

Rocky Flats Field Office Site Closure Handbook

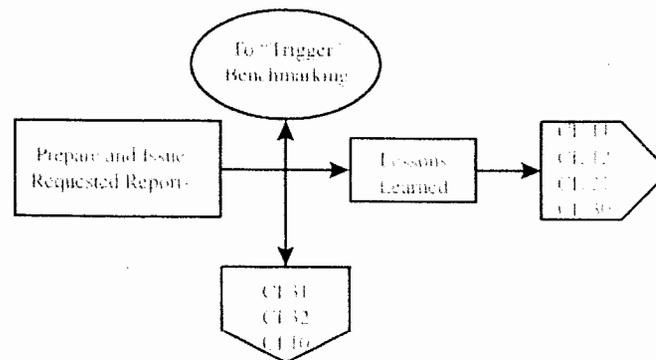
Plan \Longrightarrow **Action** \Longrightarrow **Result**

“The significant problems we face today cannot be solved at the same level of thinking we were at when we created them.”

Albert Einstein

Double Loop Learning

Single Loop Learning



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FORWARD

The Closure Handbook is designed for Rocky Flats Field Office (RFFO) management and staff to guide the performance of work. The handbook contains processes and process descriptions facilitating the efficient development of RFFO work products described herein. Revision one to the Handbook is the distillation and representation of the efforts put forth by all management and staff involved in the Management Alignment Program (MAP). The publication and distribution of revision one represents a significant refinement of the original product due to the valuable input and insight of all RFFO staff who "field tested" the first edition.

Beyond the dramatic mission changes experienced at the Rocky Flats Environmental Technology Site (Site) even the name of the facility has changed – the SITE work environment remains dynamic. The mission by its nature requires RFFO to plan, observe, learn and adjust future plans based upon what has been observed and learned. Revision one to the Closure Handbook is not an endpoint but is the best tool RFFO has today to carry out its mission based upon the available information. Consequently, the MAP will be an ongoing program used to ensure that the RFFO continues to develop and use the most appropriate tools to carry out its mission.

The time spent by management and staff to become familiar with the Closure Handbook has paid dividends

in the form of revision one. Most organizations and many individuals provided valuable feedback regarding

what worked and what didn't work with the original version. It was anticipated that a significant number of improvements would be incorporated into the handbook and thus a complete reissue (instead of page changes) was pursued.

Significant improvements to the Handbook include the development of the enabling processes, a considerable refinement of the Work Breakdown Structure and updates to the process flows based upon the lessons learned during the past six months. Additionally, performance measures are being developed to provide feedback to the RFFO on its effectiveness in implementing the MAP and, therefore, in carrying out its mission.

As the handbook becomes more refined, and the RFFO becomes better able to anticipate change based upon the effectiveness of its systems, subsequent updates to the Handbook will involve only page changes and not wholesale change. Government Operations will be responsible for configuration control of the Handbook – ensuring that all holders of the Handbook receive revisions and updates. A team of RFFO staff will periodically review all proposed changes to the Handbook and its products and processes against criteria designed to ensure consistency of approach and integration amongst the RFFO organizations. A handbook page summary, accessible on the RFFO local area network, will provide a means of confirming that your Handbook includes the latest page changes.

INTROSPECTION

The RFFO organization has operated in a constant state of flux and an adversarial environment until as recently as 1995. The RFFO has recognized that if it is to accomplish its mission, it has to think and respond differently. Otherwise it will continue engaging in practices that are ineffective. The MAP is designed to move the RFFO from uncertainty and reactivity to predictability and control. MAP has two principal purposes. The first is to bring structure and discipline to the RFFO through the use of systems thinking. The second is to build a mental model, first with the RFFO senior management and then with the rest of the staff, that yields common respect, understanding and purpose.

Considerable resources have been applied to phasing out the Management and Operations Contractor in favor of the Integrating Management Contractor (IMC), encouraging competition from world-class contractors not traditionally involved in performing DOE work, and designing improved contractor performance incentives. There has not, however, been a similarly rigorous complex-wide review of the Federal organization responsible for overseeing its contractors (either in the field or at Headquarters). The MAP, initiated during the summer of 1996, likely represents the first comprehensive review of its kind within the Environmental Management complex and is the first comprehensive assessment of the

RFFO since the curtailment of the production mission.

The MAP was developed by the RFFO for self-assessment, focus, feedback, and improvement. It is a continuous review of the processes, products, and interactions, both personal and organizational, in which the RFFO staff and management engage to accomplish the site mission. The MAP has affirmed that the RFFO mission has changed, particularly with the introduction of the IMC, but that the RFFO organization has not yet fully seized the opportunities presented by this change.

CHANGE

Rocky Flats is no longer a production plant. Rocky Flats, and the RFFO, is in the site closure business. Like any successful business, RFFO has products and customers to whom the products must be delivered. It is intuitive that the processes, products and behaviors associated with the production era mission must be replaced with new ones consistent with the new closure mission if RFFO is to be successful. RFFO must develop new processes reflecting the new mission. RFFO management and staff must adopt new behaviors more appropriately aligned with the new mission and the dynamic work environment associated with it. The MAP is a tool, designed by RFFO management and staff, to enable the

RFFO to accomplish the its mission while remaining responsive to change.

SETTING THE DIRECTION

The MAPping effort is focused on developing appropriate systems and processes to accomplish the work of the RFFO in a consistent and predictable manner. It is further recognized that socializing the outcomes of MAPping within the RFFO so that the behavior of people matches the defined processes is an ongoing activity of management. Before effecting positive change in the organization through the MAP, a common understanding of where the organization should go must be reached. At a summary level it can be described as follows:

- The goal of Site is to: "Make it safe, Clean it up, Close is down by 2006."
- The mission of RFFO is defined as: "Achieve accelerated site closure by eliminating barriers."
- The contribution by the RFFO in achieving its mission can be further defined as:

"Rocky Flats is responsible for defining the work to be performed in order to close the site, identifying and securing the resources necessary to complete the work which has been defined, and continuing to increase and improve effectiveness and efficiency of the RFFO and its integrating contractor."

MAP APPROACH

With an understanding of the desired condition, namely being successful at implementing the mission elements described above, a systematic approach to defining necessary change was taken. During early phases of MAP it often appeared more chaotic than systematic, but hindsight, foresight, and willingness by all MAPpers to accept that there were often more variables than constants enabled the MAP team to persevere. Looking back, the process can be described as six primary phases:

1. Identifying the organizational "AS-IS" condition.
2. Identifying and agreeing to the "TO-BE" condition (see the mission elements above).
3. Alignment of "AS IS" to "TO BE."
4. Systems Design.
5. Implementation.
6. Feedback and Improvement.

GETTING STARTED

Identifying the "AS-IS" condition in Phase One focused on developing a Work Breakdown Structure of all RFFO products and services. This was extremely arduous and technically challenging since, with all the changes in role and mission over the previous six years, the information had not previously been examined in such detail. Also, the majority of RFFO tasks are performed by infor-

mation workers rather than production workers. This made identification and definition of products and services even more difficult. This difficulty was expressed repeatedly by all levels of the staff.

During Phase Two, (actually performed somewhat concurrently with Phase One) the "TO-BE" condition was identified regarding what activities the RFFO should be engaged in. This was approached both from the top down and from the bottom up. From the top down, the Site mission was defined and examined with respect to the role the RFFO should play. The top level products needed to be delivered by the RFFO were identified. From the bottom up, the organizational and work breakdown structures were examined with respect to how they contribute to products identified above. Activities not contributing to the RFFO products were discontinued, and necessary activities not currently being performed were defined and associated resources described.

Phase Three focused on addressing misalignments of personnel, functions, and organizations. During Phases One and Two, by focusing on systems integration the RFFO avoided its seventh reorganization and the major chaos that often paralyzes and makes it difficult to operate effectively.

SYSTEMS MODEL

Phase Four of MAP resulted in designing and manufacturing the critical systems needed to

ensure consistent and predictable development of the RFFO products. The RFFO critical systems, and processes supporting them, were created. The basis for process development was discussions held by the MAP team.

This definition translated into three critical systems:

- Define the Work
- Identify and Secure Resources
- Measure Performance and Effect Improvement

The systems served as an effective model and provided a basis for identifying the "TO BE" products and processes for which RFFO is responsible. Processes supporting these systems and enabling reproducible and predictable outcomes were identified. Some processes are closely associated with a particular system but no process is exclusively associated with one system. Nor is any process independent of the others. The seven processes identified and developed are:

- The Rocky Flats Closure Plan
- Rocky Flats Cleanup Agreement
- Terms and Conditions
- Field Budget Submission Development
- Baseline Management
- RFFO Effectiveness and Efficiencies
- Contractor Performance Incentive and Improvement

The processes were developed by subject matter experts and end users. The processes were developed at the direct report level. This means activities defined by process steps are associated with activities at the Assistant Manager (AM) level. It is recognized that the considerable amount of staff work necessary to complete a given process step is not necessarily represented on the process flow chart, but would be represented at the next one or two levels of detail. Desk Top Procedures have and are being developed where appropriate to ensure certain staff activities are consistent and reproducible.

During initial validation of the seven processes for completeness and accuracy, it was recognized that some common threads were sewn into all seven of the processes. These threads seemed to focus on several areas including external communications, internal communications, regulatory interface and contract management. They seemed to touch each process and, therefore, were considered to be more than just lower level process steps not overshadowed by the high level at which the seven processes are presented. Thus, these cross-cutting areas were termed "Enablers" and Enabling Processes were developed. They are considered cross-cutting processes which are essential to enabling the successful implementation of the seven critical processes. As a consequence of the deliberations of the Enabling Process Teams, it became apparent that two Enabling Processes were clearly

needed; one for contract management and one for regulatory interface. The role of internal and external communication was the subject of extensive debate. It was ultimately agreed that a holistic approach to communications was needed, but that it did not lend itself particularly well to a regimented process flow.

WORK BREAKDOWN STRUCTURE

Next the RFFO products were revisited in terms of the critical processes and the RFFO mission. These products are represented below as a Work Breakdown Structure (WBS). The RFFO WBS identifies top level work products and shows a hierarchy of work. Process steps which yield products are clearly identified in the critical process flows. For example:

Site Closure

1.0 Define the Work

1.1 Rocky Flats Closure Plan

The top level work product for RFFO is Site Closure. At the next level of detail there are three RFFO deliverables which support Site Closure which are:

1.0 Define the Work

2.0 Secure and Deploy Resources

3.0 Performance Measurement and Improvement

At the next level of detail nine work products are identified which support Define the Work.

One of these is WBS 1.1 Rocky Flats Closure Plan. The elements which support the Rocky Flats Closure Plan will be further defined in a revision to the Handbook and will have the nomenclature 1.1.1, 1.1.2, 1.1.3, etc. The lower level work products are described by longer strings of WBS numbers. Note that the top-level products have fewer numbers and that each product at the next level of detail shares the numbers of its higher level product. The seven critical processes were developed to deliver the top level products identified in the WBS. Lower level products which support the top level RFFO work products may not explicitly be represented within a critical process, but would be developed by staff either with or without the use of a Desk Top Procedure.

Process steps associated with a product are clearly identified. The product is identified by its WBS nomenclature. For example, in the Rocky Flats Closure Plan process, Step CP 17 has an output, WBS 1.1.3. It is recognized that not all deliverables are neatly identified exclusively with one of the three systems (just as the seven processes are not neatly associated with only one of the three systems), however, the above convention was established for planning purposes.

INTEGRATED SAFETY MANAGEMENT AND MAPPING

The objective of Integrated Safety Management (ISM) is to integrate all of the safety management programs so that work is conducted safely and efficiently. RFFO must implement ISM in the way work is conducted and oversee implementation of ISM in the work performed by contractors.

By aligning staff and management with the Site Mission and designing and implementing processes and procedures to operate, RFFO has been supporting an integrated safety management system (ISMS). The functions of an ISMS are to:

- 1) Define the scope of work.
- 2) Identify and analyze the hazards.
- 3) Identify and implement controls.
- 4) Perform the work.
- 5) Provide feedback and continuous improvement.

In order to accomplish work safely and efficiently, the scope of the work must first be identified. One of the systems identified through the MAP is to Define the Work. RFFO accomplishes this through the Closure Plan, Performance Measures, the IMC and

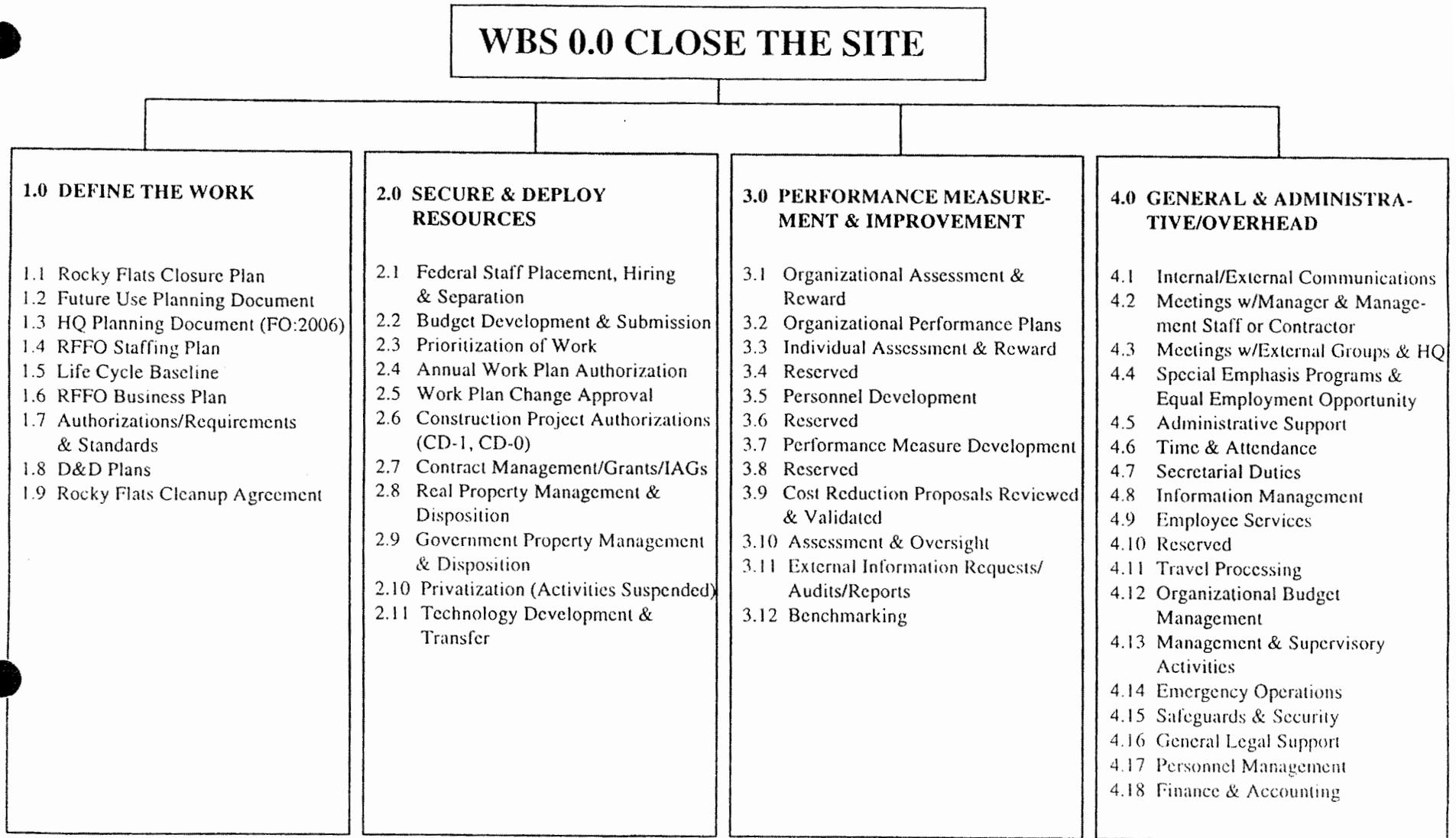
other contracts, RFCA and State Agreements. On a personnel level, work is defined through Position Descriptions and Individual Development Plans. The majority of these programs or products have been defined through critical or enabling processes from the MAP. ISMS functions 2) and 3), Identify and analyze the hazards, and Identify and implement controls, respectively, are accomplished by RFFO through many of the same programs or products identified for defining the work. Specifically, to prevent or mitigate the identified hazards, RFFO uses the Authorization Basis process which is identified in the contract and is supported by the Terms and Conditions process. RFFO performs work through managing the contracts using the Contract Management enabling process, the Systematic Assessment Program (SAP), and the Price Anderson Act (PAA) enforcement.

RFFO plays a major role in providing feedback for continuous improvement. RFFO uses the contracts(Performance Measures), SAP, Monthly/Quarterly Performance Reviews, Quarterly Management Reviews, Monthly Report Cards, Restart Authorizations, and PAA enforcement. Other than contracts, the majority of these programs or products are defined in the Contractor Incentives and Improvement Process. For RFFO personnel there

are many programs which provide feedback for continuous improvement, such as Personnel Management, which includes appraisal, awards, counseling and improvement plans. The RFFO Personnel Management program is defined in the RFFO Effectiveness and Efficiencies process. Also, the RFFO management has an Internal Assessment program to provide feedback on how the organization is working. RFFO roles and responsibilities identified through the MAP and as defined in the critical and enabling processes will be documented in the Functions, Responsibilities and Authorities Manual (FRAM). The FRAM is being revised to include all orders, requirements, and commitments with which the RFFO must comply. The FRAM will assign responsible organizations. In addition, the FRAM will matrix the steps of the critical and enabling processes to the corresponding order, requirement or commitment. The FRAM will also include a matrix of the implementing procedures.

The majority of the critical and enabling processes align with the functions and principles of the ISMS. RFFO recognizes the need to continuously improve and will use the MAP to drive improvement.

ROCKY FLATS FIELD OFFICE WORK BREAKDOWN STRUCTURE



EFFECTIVE COMMUNICATIONS IS ESSENTIAL FOR A LEARNING ORGANIZATION

INTERNAL COMMUNICATIONS

A number of methods are available to facilitate communications within the Rocky Flats Field Office (RFFO). These methods are based on the principle that **EVERYTHING** potentially needs to be communicated. Exceptions to this principle should only be based on classification, confidentiality, or propriety of information. Below is a list of several communications methods and tools that exist within RFFO.

Communication Index

Communication methods employed within RFFO are included in the Communications Index. This index is a written listing of where to find commonly accessed information within the RFFO.

Employee Connection

This is a bi-weekly publication sent to all employees containing items such as accomplishments, upcoming visits, important meetings, new Site news, computer information, personnel activities, new policies, and human interest information.

Ten O'clock News

This is a daily e-mail message containing breaking news or other important information all or most of the staff needs to know.

Criteria for the Ten O'clock News includes:

1. Information that has general applicability to the majority of the RFFO population.
2. Information that needs general distribution prior to the next issuance of the Employee Connection.

All electronic Broadcast messages must be sent out via the Ten O'clock News unless specifically authorized by the appropriate Direct Report.

Perspectives

This is a collection of diversity related articles sent to all employees.

Manager's Information Meeting

This is a meeting open to all Federal Employees held by the RFFO Manager to provide an exchange of information between management and staff.

Communication Plan

This is a document prepared by each Supervisory Direct Report that details the communications expectations within that organization. These plans will include statement of how a

Direct Report will assure communication to staff and other organizations with specific commitments. In addition, this plan will describe the Direct Reports expectations regarding how staff in that organization will handle their communications.

Each Direct Report's plan will be approved by the RFFO Manager. Staff input must be received prior to submission of the Plan to the RFFO Manager. The Manager will be required to develop a communication plan with input from the Direct Reports

Internal Assessment will annually review each Direct Report's performance against their approved plan.

EXTERNAL COMMUNICATIONS

The External Communications Model is made up of three basic phases: Input, Processing and Output. Although Processing is an internal process closely related to internal communications, it is clearly defined in this model as well.

In the Input phase, input from outside of DOE can come in at any level – the staff level, the direct report level or at the manager/deputy manager level. In most cases though, it comes in at the staff level. It is incumbent on the staff who receives information/questions/input to forward the input to their direct report as soon as possible for any required action and coordination with other direct reports. In addition to coordination with other direct reports, the direct report with the information is also required to forward the information/input to the front office staff person with responsibility for providing programmatic and organizational analysis and advice to the manager on top level management issues that cross cut RFFO which require integration across the organization. This individual also has responsibility for preparation of responses to the inquiries and facilitate the determination of the RFFO position. When the responsible direct report has conveyed the pertinent information/questions/input received externally to the Manager's staff, we have moved from input to processing.

In the Processing phase, the Manager's staff responsible for coordinating input and determining the RFFO position receives the data from the responsible direct report and then works the input internally within the RFFO organization, making sure that all affected direct

reports are aware of the input and have determined what the potential impacts may be related to their responsibilities. It is up to the Manager's staff to verify that all the internal analysis and appropriate coordination has been performed, either by the responsible direct report or the performing the required work. If decision authority has been delegated by the Manager related to this effort, it is up to the delegated authority to objectively make the required decision with a full understanding of the analysis and potential impacts. If no delegation has been made by the Manager, the responsible direct report and the Manager's staff responsible for coordination and facilitating the RFFO position brief the Manager so that a decision relative to the input or the RFFO position can be made. Once a decision has been made and the RFFO position has been determined, the position is socialized within the RFFO by either the responsible direct report or the Manager's staff. At this point, the decision and position is turned over to the appropriate organization for processing as output.

In the Output phase, the decision(s) made and the RFFO position is related to the appropriate organization for output. If it relates to the regulators of the Site, it would go to the Environmental Compliance to be relayed appropriately to the Environmental Protection Agency and/or the Colorado Department of Public Health and the Environment. If it relates to the Defense Nuclear Facilities Safety board (DNSFB), it will go to Engineering to be relayed appropriately to the DNFSB. If it goes to any external entities like the media, the Citizens Advisory Board, or the public, decisions

and RFFO positions would go to the Communications Division for appropriate processing for release. If the external entities are the Inspector General or the GAO, the information would be related to the Field Chief Financial Officer organization for processing before release. If the decisions/RFFO positions relates to Land Use, it would go the Planning and Integration organization for processing and release. If the decisions relate to internal issues, it would go to either Communications for dissemination or to Human Resources for dissemination. If the decision/RFFO position relates to contracting relative to IMC, the information would go to Contracts for processing.

Once the decision/RFFO position has been related by the appropriate organization to the appropriate entity, Communications will record the decision(s)/RFFO positions for future use and make available to all RFFO staff for review.

GUIDE TO THE PROCESS DESCRIPTIONS

Each of the process flow charts will be followed by several pages of text. The text provides a top level description of the process in addition to a detailed description of each of the process steps.

PROCESS TITLE

One of the seven processes will be listed here along with its two letter abbreviation.

PROCESS DESCRIPTION

A brief overview of the process will be provided. Major activities or outputs which support products will be described here. A description of major sections of the process may be included when it enhances the overall understanding of the process.

Key Products:

Products which are outputs at the system level - to the Define the Work, Secure Resources, and Effectiveness and Efficiencies systems - will be listed/ described here.

Interfaces:

A description of the other processes which interface with this process. Critical timing and coordination issues will be described here.

PROCESS STEPS

In this section each process step will be defined in greater detail as described below.

BL 1 (for example) indicates the process and process step number as reflected on the process flow diagram. For this example, it is step 1 of the Baseline Management process.

Process Step Title

This is the title associated with the process step identified above and indicated on the process flow chart.

WBS

Indicates the work product associated with the step. Note that not all process steps result in the delivery of a work product as described by the RFFO WBS. Many process steps will have outputs which are intermediate steps to reaching a WBS product.

Outputs:

List of outputs to other processes, enabling processes, or to this process which directly support the system level products.

Activity Description:

Plain talk about what happens during this step including the value added and time constraints, if any.

Inputs:

RFFO inputs into the process step. This includes inputs from other processes and inputs from outside of RFFO which are inputs to the process step including the IMC, Department of Energy Headquarters (DOE HQ), and stakeholders.

Responsible Organization:

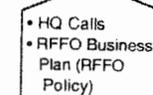
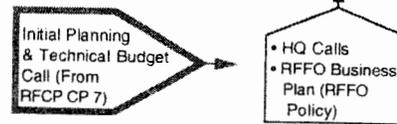
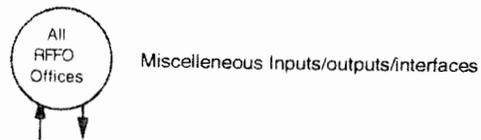
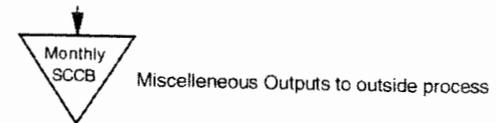
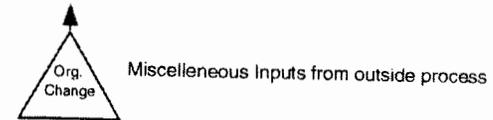
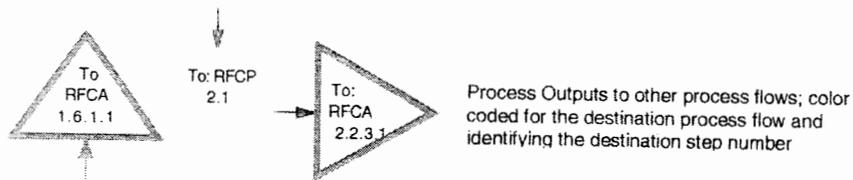
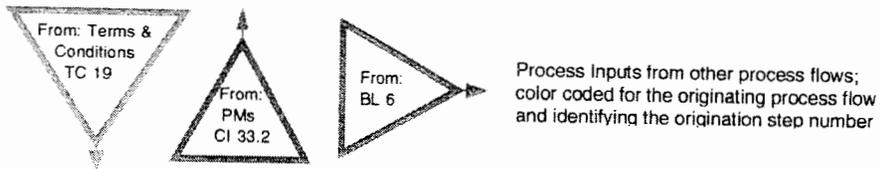
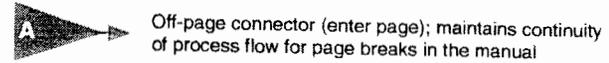
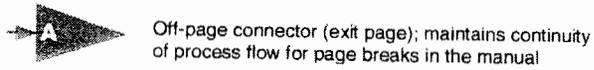
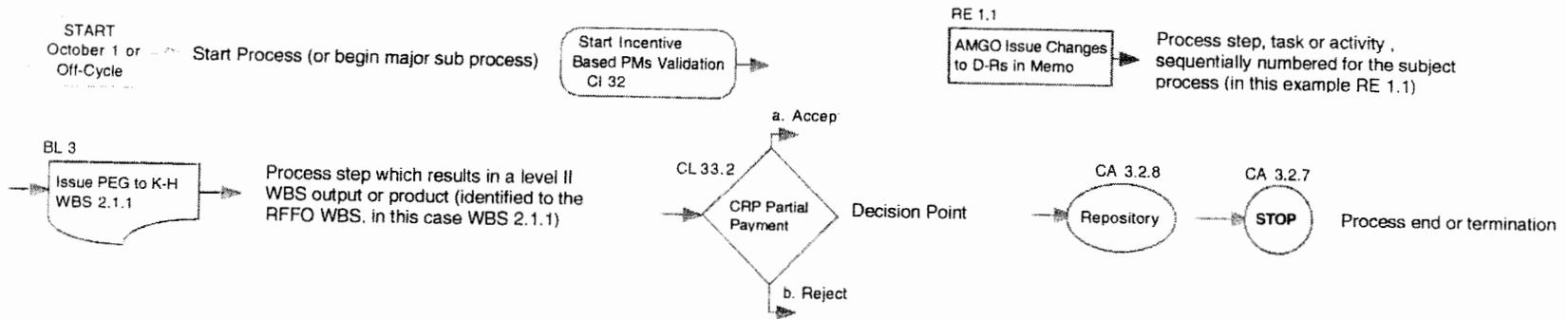
Lists the organization with the primary responsibility for the execution of the process step. Some process steps may indicate "all" which means that it is an RFFO-wide activity, such as organizational reviews of the budget. Other process steps may indicate "all as required." This is an indication that subject matter expertise may be required, and participation will vary depending upon the nature of the issue and the required expertise. If more than one organization is listed as having the lead, the process step likely has an obvious division of responsibility such as a process step which has public relations and legal aspects.

Roles and Responsibilities Table:

Provides a summary of the data contained in each process step for a quick reference.

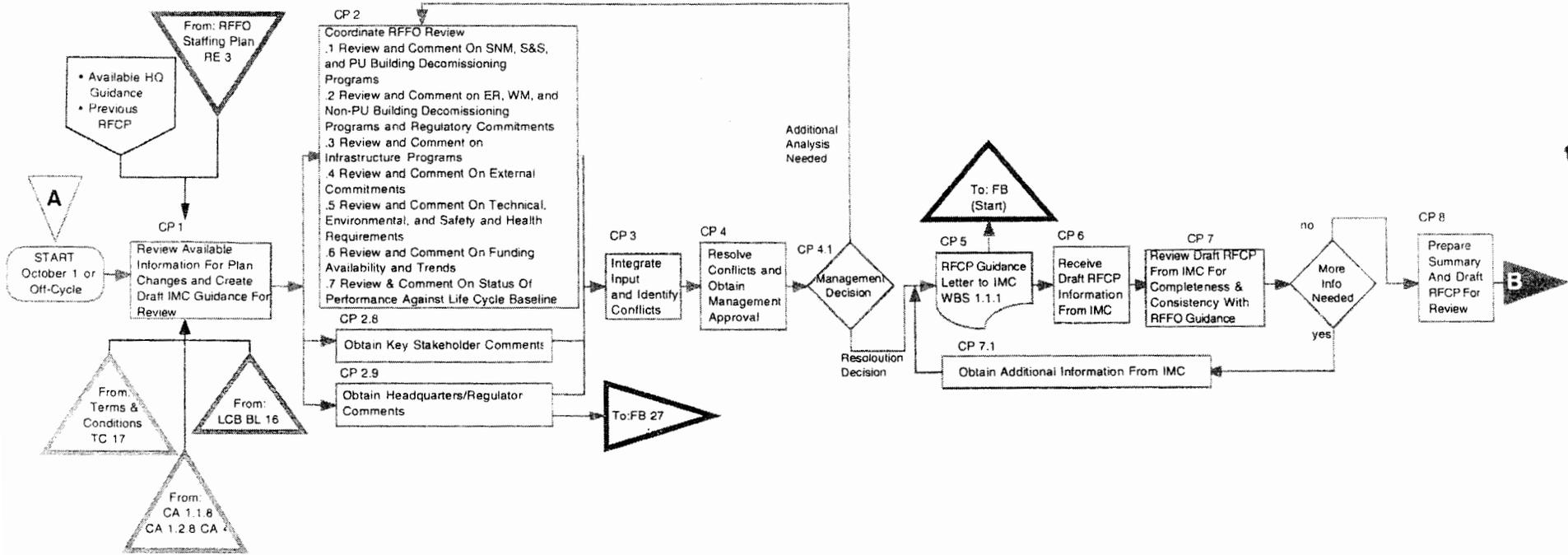
PROCESS FLOW LEGEND SYMBOLS AND CONVENTIONS

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|--|--|--|---|
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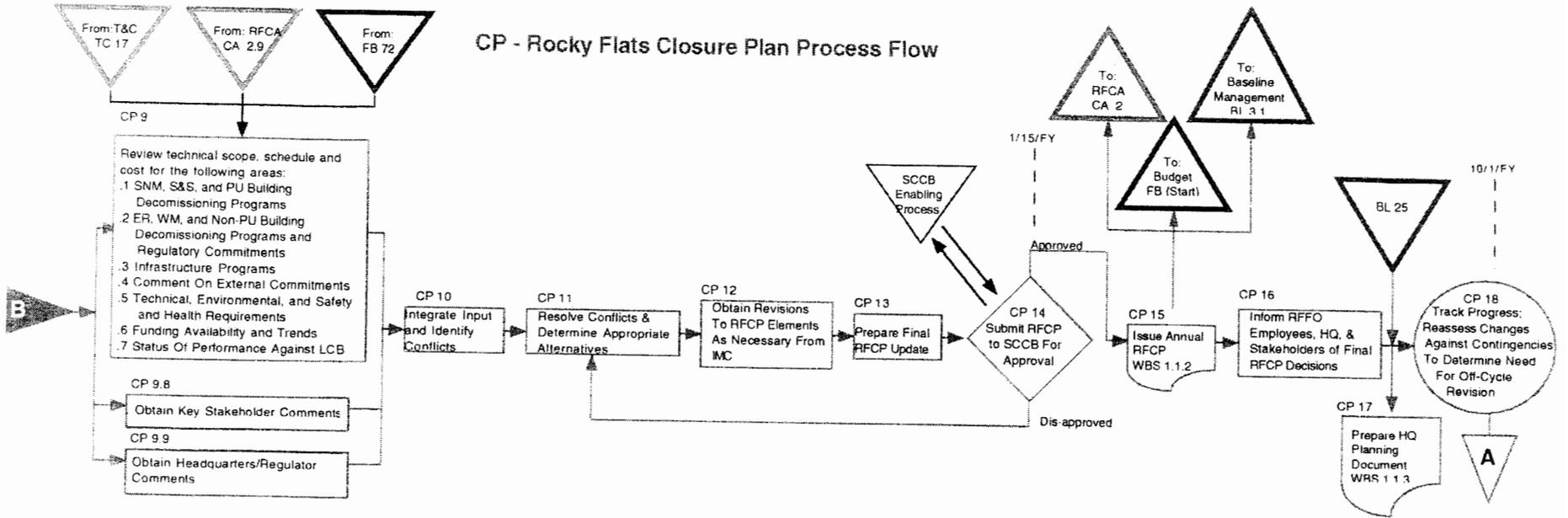


NOTE: This Figure May be used in place of a triangle when the information included within the figure is excessive for a simple triangular shape.

CP - Rocky Flats Closure Plan Process Flow



CP - Rocky Flats Closure Plan Process Flow



ROCKY FLATS CLOSURE PLAN (CP)

PROCESS DESCRIPTION

RFFO must develop and maintain a strategic planning document that focuses on the work activities required to fulfill the Site's primary mission, closure. The Rocky Flats Closure Plan (RFCP) is the high level planning document that serves that purpose, providing an integrated picture of the relationship among individual activities on the Site and documenting alternatives and contingencies with timelines for management decisions. The RFCP also serves as a valuable tool for communicating the Site's mission, strategies, goals and objectives to all parties interested in the future of the Site. The RFCP encompasses all activities to be carried out on the Site, including the activities of the Federal workforce. The RFCP will be reviewed and revised as necessary on an annual basis. However, if circumstances warrant, the RFCP could be revised more frequently. The RFCP is based on information and guidance received from the DOE HQ, an understanding of Site requirements, RFFO program office knowledge and experience related to technical workscope and progress, and input from Site regulators and the public. The RFCP will provide a basis for all work planning on the Site and support obtaining the necessary resources to accomplish that work.

The DOE HQ has periodically directed the development of long range plans in many different forms; however, such strategic planning efforts have not been institutionalized into the Department's decision-making process. In order to be successful, RFFO must develop and maintain its own strategic plan with the resili-

ence to endure frequent recasting of departmental plans. A high quality RFCP and the associated detailed cost and schedule baseline will enable RFFO to provide DOE HQ with any Site planning information it requires.

KEY PRODUCTS

The RFCP process was developed to support two major RFFO products. The first product is guidance to be used by the IMC, Kaiser-Hill, in the development of information which supports an annual RFCP revision. The second is the RFCP itself, the Site's strategic document that includes the following:

- mission statement
- identification of customers
- strategies
- goals and objectives
- assumptions
- work breakdown structure (WBS)
- WBS dictionary (from the Life Cycle Baseline)
- description of the overall work logic to achieve closure
- critical path (from the Life Cycle Baseline)
- a high level cost and schedule summary (from the Life Cycle Baseline)
- prioritization methodology and integrated priority list
- statement of potential issues
- discussion of contingencies/alternatives to address those issues should they materialize

PROCESS INTERFACES

The RFCP process is directly linked to the process for preparation and submission of

RFFO's annual budget request and the process for maintenance of an accurate detailed cost and schedule baseline. Guidance for development of the annual field budget submission will be derived from the RFCP. The annual budget submission will incorporate any changes to the Site's planning since issuing (or revising) the RFCP. The budget submission will then serve as the basis for developing an updated life cycle/execution year baseline. The baseline developed will incorporate any changes to the Site's planning since the submitting the budget to DOE HQ. The updated life cycle baseline will provide the foundation for guidance to develop the annual RFCP update. The integration of these three processes provides a continuous cycle that will allow the Site to maintain an accurate picture of its plans and progress toward closure. The RFCP is validated annually and revised as necessary by January 15 to serve as guidance for development of the annual field budget submission.

The RFCP process is linked to the Terms & Conditions process in two ways. The first link is to an output of the Terms & Conditions process, a master list of all applicable laws, regulations, consent orders, implementing orders, etc. that apply to the Site as a whole. Each item on the list will include a brief synopsis of the requirements that apply to and are in effect at Site and a Site point of contact (technical expert). This list will be updated at least annually through the Terms & Conditions process and will be provided to all RFFO offices as part of the guidance package issued for review in CP2. Second, the implementation decisions resulting from the Terms & Conditions process are expected to filter into the RFCP through the annual life cycle baseline

update and through the input received from the various program offices.

Similarly, the RFCA and IMC Performance Assessment Incentives/Improvements processes are expected to filter into the RFCP through the annual life cycle baseline update and through the annual RFCP program office review and validation activities. The RFFO Effectiveness and Efficiencies process will be filtered into the RFCP through comments stemming from development of the RFFO Business Management Plan (BMP).

There are many documents issued by RFFO that need to be taken into consideration when updating the RFCP. Some, but not all, of these are the SISMP, DPP, DOPs, CLUD, and BMOP. The information contained in these (and other documents) is expected to be incorporated into the RFCP through the review and validation activities performed by RFFO's program organizations.

PROCESS STEPS

CP 1

Review Available Information For Plan Changes and Create Draft IMC Guidance For Review

Outputs: Summary of changes from previous RFCP, draft guidance and specific expectations for review.

Activity Description: On October 1, or whenever an off-cycle revision to the RFCP is determined to be necessary, the organization coordinating the RFCP review process gathers work progress data generated since issuance

of the latest revision of the RFCP. The data is analyzed and summarized into draft IMC guidance for review by RFFO. The coordinating organization provides the reviewing organizations with a copy of the draft guidance to the IMC as well as a summary of information included in the draft guidance that reflects a change to the previous guidance/plan. For RFFO organizations, the request for review will include specific expectations on the results to be obtained during the review.

Inputs: Inputs will include at least the current updated Life Cycle Baseline (LCB), any changes in major Site assumptions, a list of IMC efficiencies implemented, any changes to the WBS & WBS dictionary, a log of changes processed through the Site Change Control Board, current HQ guidance, and a list of new or updated laws or regulations.

Responsible Org.: PPI

CP 2

Coordinate RFFO Review

Outputs: Validation of assumptions, cost and schedule, prioritization method and comments on draft guidance.

Activity Description: The guidance, highlighting significant changes and potential impacts to the Site's closure plan, is distributed for review and comment to cognizant RFFO organizations. RFFO organizations with cognizance for Special Nuclear Material (SNM); safeguards and security; decommissioning and deactivation of Pu buildings; decommissioning and deactivation of non-Pu buildings; waste management; environmental restoration; Site infra-

structure; environmental compliance; public participation; external commitments; technical environmental, safety and health requirements; funding trends and LCB performance assessment will review the guidance. Reviewing organizations will consider the effect of requirements contained in such documents as RFCA, DPP, SISMP, BMP, CLUD, and BMOP, in their reviews.

Inputs: The reviewing organizations will provide the coordinating organization with a markup of the draft guidance to go to the IMC.

Responsible Org.: PPI

CP 2.8

Obtain Key Stakeholder Comments

Outputs: Validation of assumptions, cost and schedule, prioritization method.

Activity Description: A summary of the guidance highlighting significant changes and potential impacts to the Site's closure plan is provided to the public and other stakeholders for review and comment. Meetings may be conducted to clarify information and receive feedback. Written comments may be received for a specified time period.

Inputs: Written and/or verbal comments from stakeholders for consideration in finalizing RFCP guidance.

Responsible Org.: CED

CP 2.9

Obtain HQ/Regulator Comments

Outputs: Validation of assumptions, cost and schedule, prioritization method.

Activity Description: A summary of the guidance highlighting significant changes and potential impacts to the Site's closure plan is provided to appropriate DOE HQ personnel for review and comment. Meetings may be conducted to clarify information and receive feedback. Written comments may be received for a specified time period.

Inputs: Written and/or verbal comments from DOE HQ personnel and/or Site regulators for consideration in finalizing RFCP guidance.

Responsible Org.: EC

CP 3

Integrate Input and Identify Conflicts

Outputs: Updated guidance and identification of internal conflicts.

Activity Description: Comments generated by the internal and external reviews are received by the organization coordinating the review process. The organization integrates appropriate comments into the draft guidance and identifies any conflicts. Minor conflicts are resolved among the coordinating organization and the conflicting organizations. Conflicts which cannot be resolved are prepared for referral to RFFO senior management.

Responsible Org.: PPI

CP 4

Resolve Conflicts and Obtain Management Approval

Outputs: Management consensus on RFCP guidance.

Activity Description: The coordinating organization hosts a meeting with senior management to determine final action on conflicts which could not be resolved. Senior management is briefed on the overall content of the guidance not in contention. The identified pros and cons of decisions associated with unresolved comments are discussed and final decisions on the action to be taken are made.

Inputs: Rocky Flats Closure Plan with Direct Report (DR) comments.

Responsible Org.: PPI

CP 4.1

Management Decision

CP 5

WBS: 1.1.1

RFCP Guidance Letter to IMC

Products: RFCP Guidance

Outputs: Direction to the IMC to prepare appropriate RFCP information and materials. A copy of the RFCP final guidance is provided to the organization responsible for developing budget formulation guidance to IMC and RFFO.

Activity Description: The results of conflict resolutions are integrated into the guidance by the coordinating organization. The coordinat-

ing organization then issues guidance to the IMC for the formal IMC review of the RFCP assumptions, issues, WBS and WBS dictionary, prioritization methodology, and work logic. The IMC is also directed to develop alternatives and/or contingencies for any issues or concerns raised in the guidance document

Inputs: The IMC will provide the coordinating organization with validated or revised RFCP assumptions, issues and alternatives and/or contingencies, prioritization methodology, and work logic. The IMC will also provide attachments to the RFCP to include the WBS and WBS dictionary, priority list, justification for changes to RFFO directed assumptions and prioritization methodology.

Responsible Org.: PPI

CP 6

Receive Draft RFCP Information from IMC

Outputs: Information and materials necessary to revise RFCP.

Activity Description: The coordinating organization is available to answer IMC questions on the guidance. They provide additional information as necessary, working with the appropriate program organizations to ensure the accuracy of information provided.

Inputs: The IMC provides to the coordinating organization comments, revisions to RFCP elements, attachments to the RFCP, alternatives and contingency plans and justification for changes to RFFO directed assumptions and prioritization methodology.

Responsible Org.: PPI

**CP 7
Review Draft RFCP Information from IMC for Completeness and Consistency with RFFO Guidance**

Outputs: Determination of adequacy of IMC information and materials and, if necessary, a request to the IMC for additional information.

Activity description: The coordinating organization reviews the RFCP elements, attachments and justifications received from the IMC for completeness and consistency with RFFO guidance. The focus of this review is content, not technical accuracy. For example, if the IMC deviated from an assumption provided in the RFCP guidance, the coordinating organization would look for an explanation or rationale for the deviation. If such an explanation has been provided, the IMC input would be considered complete. If no such explanation was provided, the IMC input would be considered incomplete.

Inputs: Coordinating office knowledge of content and intent of RFCP guidance issued to the IMC.

Responsible Org.: PPI

**CP 7.1
Obtain Additional Information from IMC**

Outputs: A request by the coordinating to IMC for additional information.

Activity Description: If the materials are determined to be inadequate to support revision of the RFCP, the coordinating organization requests additional information from IMC.

**CP 8
Prepare Summary and Draft RFCP for Review**

Outputs: Draft RFCP revision for review and summary of deviations from original guidance to support external reviews.

Activity Description: The coordinating organization will review the RFCP information provided by the IMC and prepare a summary of the areas where the IMC deviated, for cause, from the guidance provided by DOE. This summary will serve as an indicator to external reviewers that the RFCP is being released as a draft and does not necessarily reflect a final RFFO position. In addition, the coordinating office prepares a full draft RFCP in the proper format. This draft will include all the sections identified under KEY PRODUCTS. It will also include an executive summary that reflects changes made to the closure plan since the last revision and an overview of the closure project.

Inputs: IMC information and materials, the most recently available funding information and any updated RFCA commitments.

Responsible Org.: PPI

**CP 9
Coordinate RFFO Review**

Outputs: Validation of RFCP.

Activity Description: The draft revised RFCP is distributed for review and comment to cognizant RFFO organizations. RFFO organizations with cognizance for SNM; safeguards and security; decommissioning and deactivation of Pu buildings; decommissioning and deactivation of non-Pu buildings; waste management; environmental restoration; Site infrastructure; environmental compliance; public participation; external commitments; technical, environmental, safety and health requirements; funding trends and life cycle baseline performance assessment will review the draft revised RFCP. Reviewing organizations will consider the effect of requirements contained in such documents as RFCA, DPP, CLUD, SISMP, BMP, and BMOP, in their reviews.

Inputs: The reviewing organizations will provide the coordinating organization with a marked-up draft revised RFCP and/or comments as appropriate.

Responsible Org.: PPI

**CP 9.8
Obtain Key Stakeholder Comments**

Outputs: Validation of RFCP

Activity Description: The draft revised RFCP is provided to stakeholders for review and comment. Meetings may be conducted to clarify information and receive feedback. Written comments may be received for a specified time period. Meetings may be conducted to clarify information and receive feedback. Written comments may be received for a specified time period.

Inputs: Written and/or verbal comments from stakeholders for consideration in finalizing/revising the RFCP.

Responsible Org.: CED

**CP 9.9
Obtain HQ/Regulator
Comments**

Outputs: Validation of assumptions, cost, schedule and prioritization method.

Activity Description: The draft revised RFCP is provided to appropriate DOE HQ personnel and Site regulators for review and comment. Meetings may be conducted to clarify information and receive feedback. Written comments may be received for a specified time period.

Inputs: Written and/or verbal comments from DOE HQ personnel and/or Site regulators for consideration in finalizing/revising the RFCP.

Responsible Org.: EC

**CP 10
Integrate Input and Identify Conflicts**

Outputs: Management issues.

Activity Description: The coordinating organization integrates comments from the RFFO internal review and the HQ and public review processes into the draft revised RFCP. Stakeholder, HQ and regulator comments are discussed with appropriate program officer personnel before incorporation into the RFCP. The coordinating office identifies and prepares summary information related to any conflicting input.

Responsible Org.: PPI

**CP 11
Resolve Conflicts and Determine Appropriate Alternatives**

Outputs: Consolidated RFFO position and determination of alternatives/contingencies to be included in final RFCP.

Activity Description: The coordinating organization works with the Manager to resolve any identified conflicts and to choose appropriate alternatives. Meetings and briefings that involve representatives from RFFO program organizations and senior IMC management will be scheduled as necessary to achieve final resolution.

Inputs: Rocky Flats Closure Plan with DR comments - 2nd draft.

Responsible Org.: PPI

**CP 12
Obtain Revisions to RFCP Elements as
Necessary from IMC**

Outputs: Direction to the IMC to provide additional information.

Activity Description: As a result of obtaining final management decisions, the IMC may need to revise the information provided in response to the guidance. The coordinating organization works with the IMC to revise RFCP elements as necessary for preparation of the final RFCP.

Inputs: Additional information/revisions from the IMC to support revision of the RFCP to reflect final management decisions.

Responsible Org.: PPI

**CP 13
Prepare Final RFCP Update**

Outputs: Final RFCP document that reflects RFFO decisions and position for submission for Site Change Control Board (SCCB) approval.

Activity Description: The coordinating organization prepares the final version of the annual RFCP revision, incorporating the results of the conflict resolution process and any revised/additional information received from the IMC.

Responsible Org.: PPI

CP 14**Submit RFCP to SCCB for Approval**

Products: Revised Rocky Flats Closure Plan

Outputs: Formal entry of various RFCP elements into the change control process (e.g. Site strategies, goals and objectives, assumptions, prioritization methodology, priority list, WBS and dictionary).

Activity Description: The coordinating organization submits the RFCP to the SCCB for approval. This includes the Site strategies, goals and objectives, assumptions, prioritization methodology, priority list, WBS and dictionary to ensure changes are well documented, carefully tracked, and approved by RFFO management. This will establish a firm basis for the development of all other RFFO deliverables, from policy and direction provided to the IMC to various reports and informational materials. If RFFO identifies a need to develop products or policies that deviate from the RFCP, a formal change to these elements would need to be submitted to the SCCB for review and approval. At this point, it is assumed that all issues with the RFCP have been resolved and that SCCB approval is highly probable. If the SCCB does not approve the RFCP then the coordinating organization returns to step CP11.

Inputs: SCCB process requirements for submission of items for change control.

Responsible Org.: PPI

CP 15**WBS: 1.1.2****Issue Annual RFCP**

Outputs: Copies of the approved RFCP provided to stakeholders, DOE HQ, and regulators. Copies of the approved RFCP are also specifically provided to organizations responsible for executing and maintaining RFCA, preparing the field budget submission, developing performance measures and managing the Site's life cycle baseline.

Activity Description: If the RFCP is approved by the SCCB, the coordinating organization issues the final RFCP revision. The RFCP will receive a wide internal and external distribution. Those sections that are under change control will be specifically marked as such. Those receiving copies of the RFCP will be requested to indicate an interest in being kept advised of revisions to those sections under change control. A log will be kept of interested individuals and organizations requesting copies of changes as they are approved, and controlled changes will be issued by the Site.

Inputs: External communications process requirements for distribution of important RFFO documents.

Responsible Org.: PPI

CP 16**Inform RFFO Employees, HQ, Regulators and Stakeholders of Final RFCP Decisions**

Outputs: Briefings on RFCP.

Activity Description: The coordinating organization provides briefings for RFFO employees, HQ, regulators and stakeholders to communicate final RFCP decisions and their implications. The purpose of these briefings is to provide a common understanding of the Site's plans and ensure that recipients of copies of the plan understand the utility of the information it encompasses.

Input: Internal and external communications process requirements for dissemination of RFFO information.

Responsible Org.: PPI

CP 17**WBS: 1.1.3****Prepare HQ Planning Document**

Outputs: Satisfaction of HQ planning requirements.

Activity Description: The coordinating organization prepares updated material as requested for the HQ-level planning documentation. It is expected that, as DOE HQ further develops its own policies and procedures for implementing the Government Performance and Results Act, the Department will institutionalize a planning process. At this time, the actual requirements and timing considerations are not known. However, the information contained in the RFCP along with an updated life cycle baseline will provide all information necessary to meet HQ requirements. In effect, any HQ plan will essentially be a reformatting of existing information.

Inputs: HQ call for planning documentation.

Responsible Org.: PPI

CP 18

**Track Progress; Reassess Changes
Against Contingencies To Determine Need
For Off-Cycle Revision**

Outputs: Knowledge of evolving issues and work progress; basis for determining need for out-of-cycle revision to RFCP.

Activity Description: The coordinating organization receives periodic updates of the life cycle baseline and other performance tracking systems as well as input from regulators, HQ and the public from the time of the last RFCP revision through the beginning of the next annual cycle. If a significant change occurs (e.g. passage of a new law, major reduction in funding) that would change one or more basis Site strategies or assumptions and that was not addressed in the development of RFCP contingency plans, the coordinating office may determine that an intra-cycle revision to the RFCP is necessary.

Inputs: Changing conditions identified from analyzing work progress on Site, from changing terms and conditions, or from new information received from external sources such as HQ or the Congress.

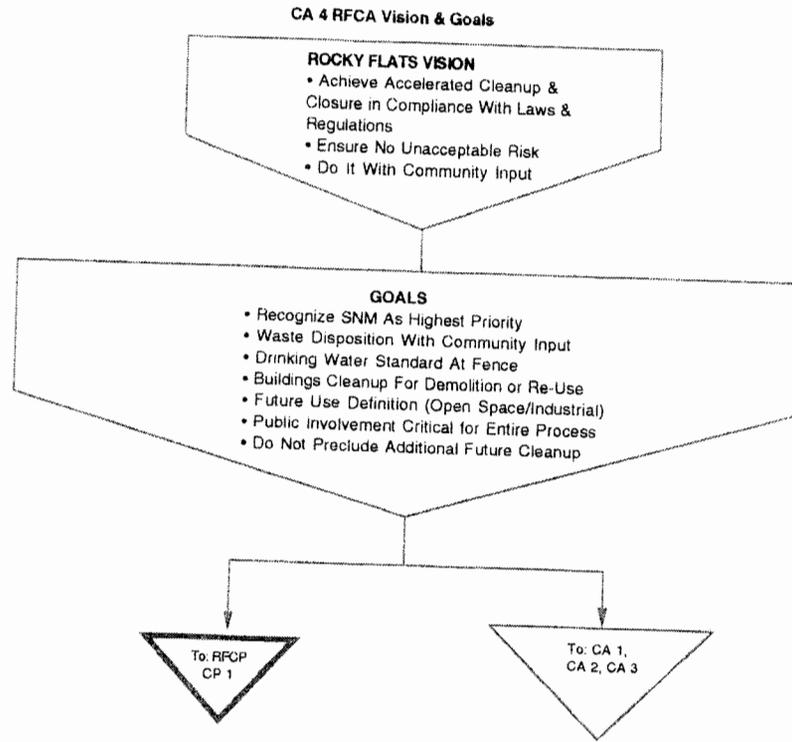
Responsible Org.: PPI

ROCKY FLATS CLOSURE PLAN (CP)

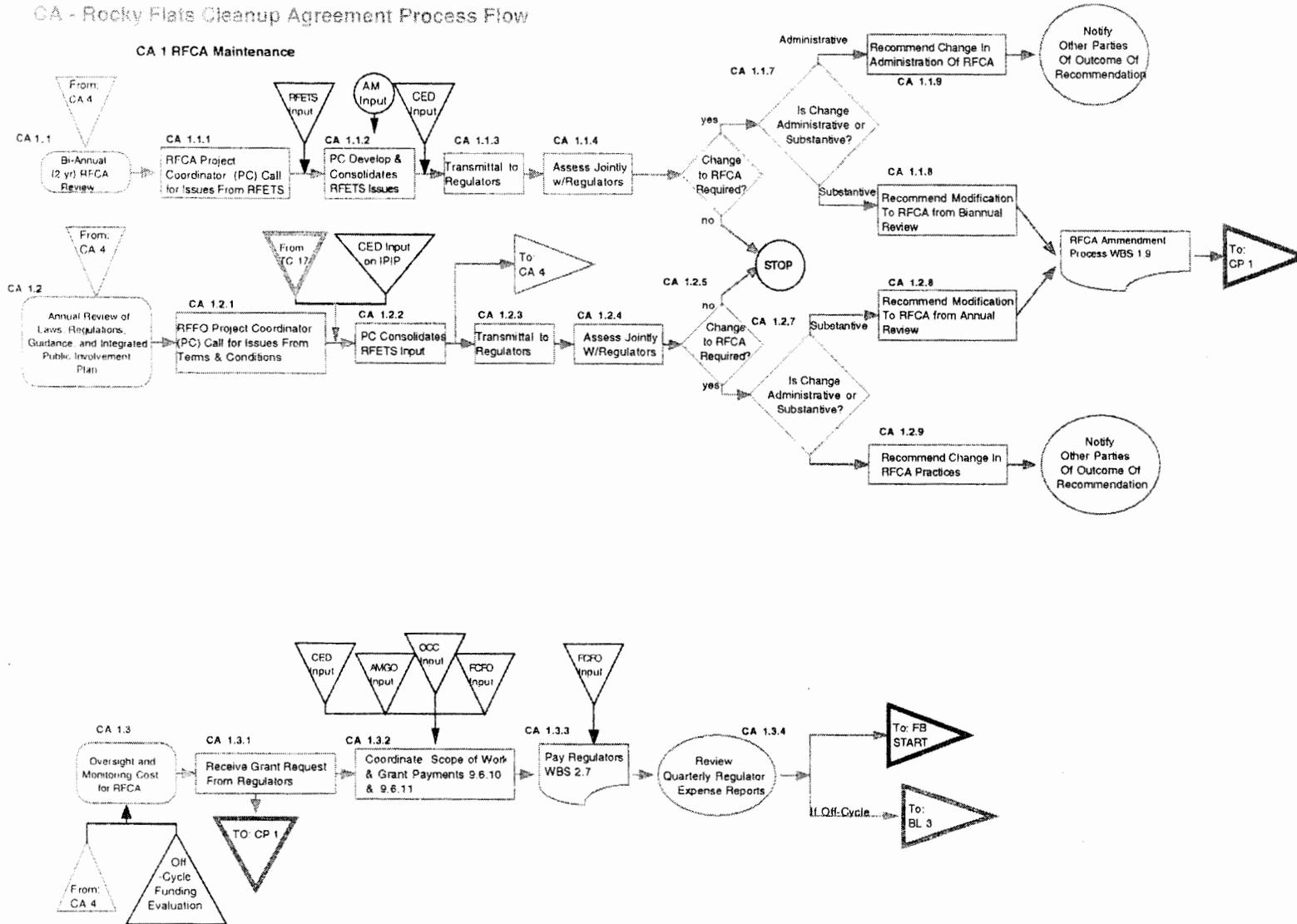
PROCESS STEP	WBS #	ACTIVITY	RESP. ORG.
CP 1		Review Available Information For Plan Changes and Create Draft Contractor Guidance for Review	PPI
CP 2		Coordinate RFFO Review	PPI
CP 2.8		Obtain Stakeholder Comments	CED
CP 2.9		Obtain Headquarters/Regulator Comments	EC
CP 3		Integrate Input and Identify Conflicts	PPI
CP 4		Resolve Conflicts and Obtain Management Approval	PPI
CP 4.1		Management Decision	
CP 5	1.1.1	RFCP Guidance Letter to K-H	PPI
CP 6		Receive Draft RFCP Information from K-H	PPI
CP 7.1		Review Draft RFCP Information from K-H for Completeness and Consistency with RFFO Guidance	
CP 8		Prepare Summary and Draft RFCP for Reviews	PPI
CP 9		Coordinate RFFO Review	PPI
CP 9.8		Obtain Stakeholder Comments	CED

PROCESS STEP	WBS #	ACTIVITY	RESP. ORG.
CP 9.9		Obtain Headquarters/Regulator Comments	EC
CP 10		Integrate Input and Identify Conflicts	PPI
CP 11		Resolve Conflicts and Determine Appropriate Alternatives	PPI
CP 12		Obtain Revisions to RFCP Elements as Necessary from K-H	PPI
CP 13		Prepare Final RFCP Update	PPI
CP 14		Submit RFCP to SCCB for Approval	PPI
CP 15	1.1.2	Issue Annual RFCP	PPI
CP 16		Inform RFFO Employees, Headquarters, Regulators and Stakeholders of Final RFCP Decisions	PPI
CP 17	1.1.3	Prepare HQ Planning Document	PPI
CP 18		Track Progress, Reassess Changes Against Contingencies to Determine Need for Off-Cycle Revision	PPI

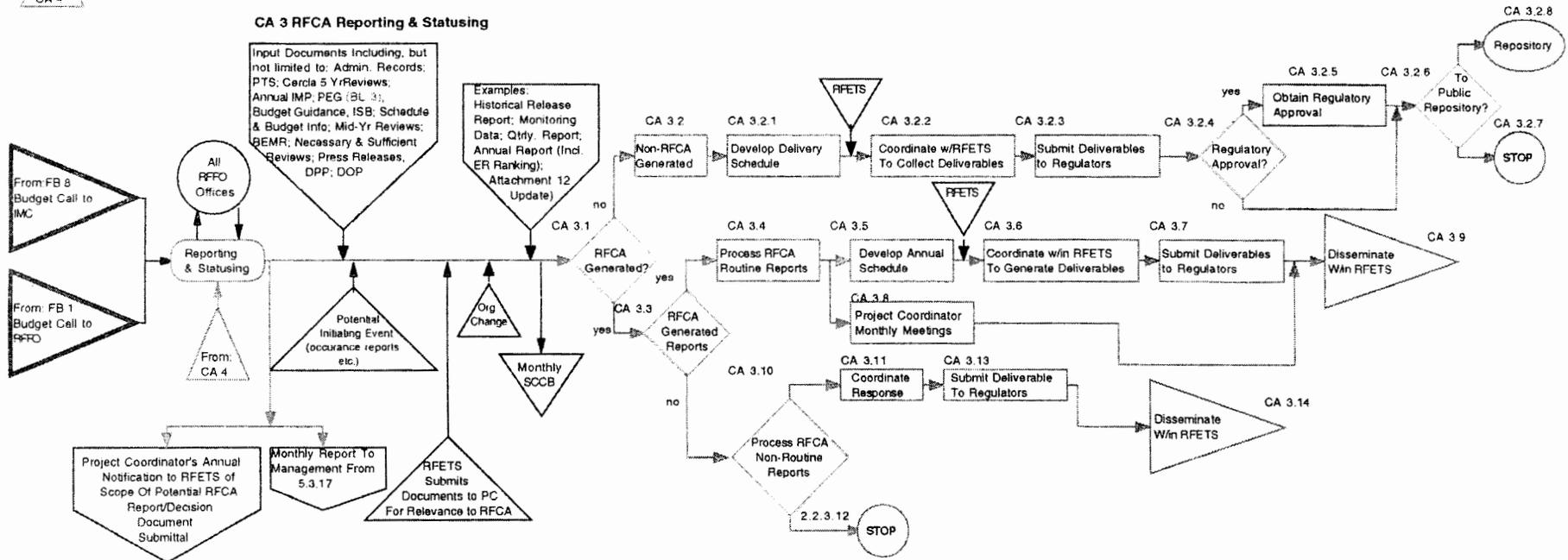
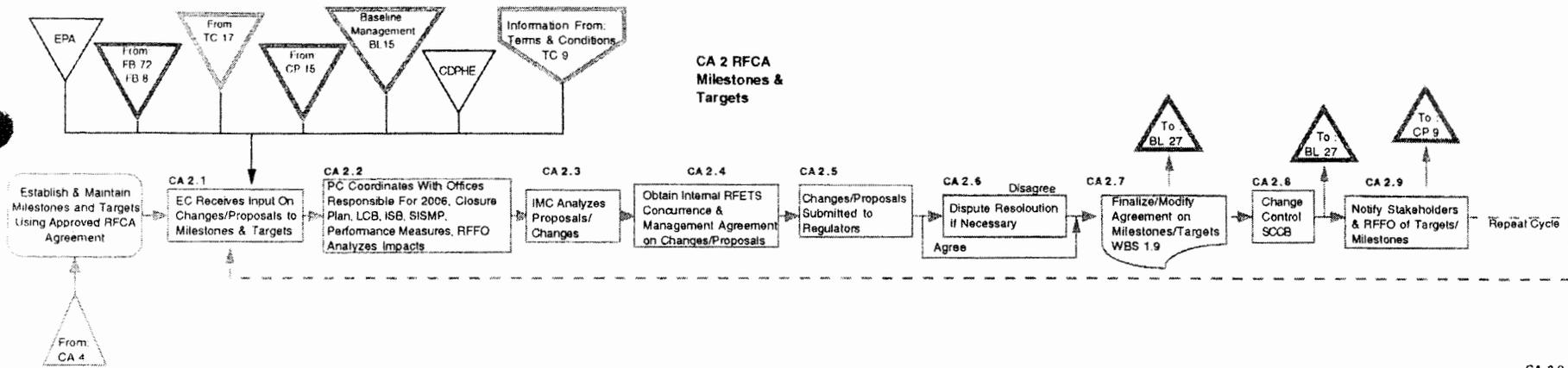
CA - Rocky Flats Cleanup Agreement Process Flow



CA - Rocky Flats Cleanup Agreement Process Flow



CA - Rocky Flats Cleanup Agreement Process Flow



ROCKY FLATS CLEANUP AGREEMENT (CA)

PROCESS DESCRIPTION

This process allows the Rocky Flats Field Office to maintain and administer the RFCA such that the work activities at the Rocky Flats Environmental Technology Site (Site) are focused on cleanup and closure according to the Vision, Goals and Objectives in RFCA. RFCA is a legally binding agreement among the Environmental Protection Agency (EPA), the Colorado Department of Public Health and Environment (CDPHE) and the RFFO. RFCA identifies the near-term Site condition, intermediate Site condition, and the long-term Site condition. RFCA sets the process for achieving Site closure in compliance with the Comprehensive Environmental Response Compensation and Liability Act (CERCLA) and the Resource Conservation and Recovery Act (RCRA).

KEY PRODUCTS

Recommendations for changes to RFCA to regulators: this comes out of CA 1.1.8 and consists of a recommendation, supported by management on whether to end RFCA. Any substantive change to RFCA requires regulator approval.

Recommendation on change to RFCA based on change in laws, guidance and integrated public involvement plan: this comes out of CA 1.2.8 and consists of a recommendation, based on evaluation by Terms & Conditions (TC) on whether a change to RFCA is required.

Proposed funding of CDPHE for all regulatory costs associated with RFCA: this comes out of CA 1.3.2, a review of the scope of work and grant payments by GO and FCFO.

Recommendation on changes/proposals to milestones or targets: this comes out of CA 2.6, following input from offices responsible for the closure plan, LCB, SISMP, PMs, and Budget, and analysis of that input by IMC and OCC. Once a final decision on milestones/targets is reached with the regulators, the SCCB will initiate changes to the appropriate Site baseline documents.

Delivery of information to regulators that is called for under RFCA: this comes out of CA 3.2.5, CA 3.7, CA 3.1.3.

PROCESS INTERFACES

Inputs From Other Process Flows

Outputs To Other Process Flows

PROCESS STEPS

CA 1 RFCA Maintenance

Activity Description: The RFCA Maintenance sub-process has three components: bi-annual RFCA review; annual review of laws, regulations, guidance, and the integrated public involvement plan; and oversight and monitoring costs associated with RFCA.

CA 1.1

Bi-Annual (2-Year) RFCA Review

Products: A revision to RFCA, if required.

Outputs: May change objectives or goals other offices or processes are working toward.

Activity Description: RFCA, para. 257, requires the Parties to assess the implementation of RFCA every two years with the first assessment no later than the second anniversary date of the execution of RFCA (July 19, 1998).

In the assessment, a review is conducted of the substantive and procedural requirements of RFCA, including but not limited to the regulatory approach set forth in Part 8, to determine the measures needed to ensure effective implementation of RFCA. Such measures may include reallocation of resources; internal reorganization; revised procedures for consultation or internal coordination; and additional training of appropriate staff.

Inputs: RFCA Project Coordinator (PC) receives input from all RFFO office and the integrating contractor and sub-tier contractors.

Responsible Org: EC

CA 1.1.1

RFCA PC Calls For Issues From Site

Products: Memo to the Assistant Managers and IMC to solicit input.

Activity Description: RFCA Project Coordinator requests and receives input from Site for issues to be discussed.

Inputs: Entire Site provides data as a response to the request.

Responsible Org: EC

**CA 1.1.2
PC Develops And Consolidates Site**

Input

Products: Issue paper outlining all Site issues and letter to CDPHE and EPA transmitting any proposed changes.

Activity Description: RFCA develops and coordinates Site issues, and obtains Management approval and signature for transmittal to regulators (CDPHE and EPA).

Inputs: Each Assistant Manager and OOM must review and concur prior to submittal to the regulators.

Responsible Org: EC

**CA 1.1.3
Transmits To Regulators**

Products: RFFO Letter to the Regulators.

Outputs: Information copy to RFFO and IMC Offices.

Activity Description: RFCA Project Coordinator prepares transmittal of Site issues to regulators. OOM or EC to sign out.

Inputs: CED is involved with the transmittal and stakeholder input.

Responsible Org: EC

**CA 1.1.4
Assess Jointly w/Regulators**

Products: Agreed-upon changes to RFCA.

Outputs: To CED for comment from stakeholders, to other Site offices, contractors that might be affected by the changes.

Activity Description: EC conducts joint assessment with regulators regarding whether or not changes to RFCA are required.

Inputs: SMEs from the other Site offices participate with EC.

Responsible Org: EC

**CA 1.1.7
If "Yes," Is Change Administrative Or Substantive?**

Activity Description: Determine whether an administrative or substantive change to RFCA is required.

Inputs: SMEs and the PC will provide a recommendation for EC decision.

Responsible Org: EC

**CA.1.1.8
Recommend Modification To RFCA From Bi-Annual Review**

Products: Written documentation that the change is substantive and requires a Site change in approach.

Outputs: Depending on the nature of the change, other processes may take over.

Activity Description: If a substantive change to RFCA is required then amendment of the RFCA is done pursuant to the procedures set out on Part 19, para. 252 of RFCA are followed.

Inputs: From other affected offices.

Responsible Org: EC

**CA 1.1.9
Recommend Change In The Administration Of RFCA**

Products: Make the change(s) to RFCA.

Outputs: May affect how RFFO processes RFCA paperwork or interactions.

Activity Description: If administrative change, notify other parties.

Inputs: From other Site offices.

Responsible Org: EC

**CA 1.2
Annual Review Of Laws, Regulations,
Guidance, And Integrated Public Involvement Plan**

Products: Reviewed documents with proposed changes, if any.

Outputs: Request to TC for issues, CED for an Integrated Public Involvement Plan.

Activity Description: Annual review of laws, regulations, guidance and integrated public involvement plan. Under para. 5 of RFCA, the Parties are required to conduct an annual review of all applicable new and revised statutes and regulations and written policy and guidance to determine if an Endment to Part 19 (Endment of Agreement) is necessary. Any reference to a statute shall include that statute's implementing regulations. The public involvement plan is also to be reviewed and updated, if necessary, annually.

Inputs: TC, CED

Responsible Org: CED for IPIP, E, EC for laws, regulations, guidance.

**CA 1.2.1
RFFO Project Coordinator Call For Issues From Terms & Conditions**

Products: Written documentation as a result of TC process and CED revision of IPIP.

Activity Description: RFCA requests and receives input from Terms and Conditions (TC) for issues to be discussed. CED provides updated IPIP

Inputs: Documentation of TC

Responsible Org.: E

**CA 1.2.2
Consolidate Site Input**

Products: Memo transmitting input to regulators

Outputs: Concurrence on memo

Activity Description: RFCA Project Coordinator develops and consolidates TC input, and obtains management approval prior to transmittal to regulators (CDPHE and EPA).

Inputs: Data from E, EC, CED, and others.

Responsible Org: EC and OCC

**CA.1.2.3
Transmit To Regulators**

Products: Letter to regulators.

Outputs: Data for EC to use in letter.

Activity Description: EC transmits Site issues to regulators.

Inputs: Letter for information to Site.

Responsible Org: EC

**CA.1.2.4
Assess Jointly W/Regulators**

Products: Agreed upon statement on issues and how to address them.

Outputs: Statement from group on resolution of issues.

Activity Description: EC conducts joint assessment with regulators.

Inputs: SMEs from RFFO and the integrating contractor to address specific issues.

Responsible Org: EC

**CA 1.2.5
Change To RFCA Required?**

Products: Decision on changing or not.

Activity Description: Decision on whether change to RFCA is required. If no, change to RFCA is required then process is finished.

Inputs: Regulators and RFFO management.

Responsible Org: EC to coordinate w/SME support.

**CA 1.2.8
Recommend Modification To RFCA**

Products: RFCA modified language.

Outputs: Draft language to review

Activity Description: If a substantive change to RFCA is recommended then Endment of RFCA is done pursuant to the procedures set out in Part 19, para. 252.

Inputs: Comments from other offices

Responsible Org: EC

**CA 1.2.9
Recommend Change To RFCA Practices**

Products: Redraft practices

Outputs: Draft to review

Activity Description: If only a change in RFCA practice is needed, then the other parties are notified of the change.

Inputs: Other offices advise EC of impacts, and adopt the revised practice.

Responsible Org: EC

**CA 1.3
Oversight And Monitoring Cost For RFCA**

Products: Payment of invoices.

Outputs: GO & FCFO verification of services performed.

Activity Description: DOE, in Part 31 of RFCA, agreed to reimburse CDPHE for all non-discriminatory state environmental fees and assessments and CERCLA administrative or oversight activities incurred specifically relating to implementation of RFCA at the Site, to the extent such costs are reasonable, not inconsistent with the National Contingency Plan (NCP) and are not covered by permit fees and other assessments, or by any other agreement between the Parties. The amount and schedule of payments for these costs will be negotiated based on anticipated needs and in consideration of DOE's multi-year funding cycles. In meeting this obligation, DOE and CDPHE may enter into a grant or other mechanism for payment.

Inputs: Request for assistance to verify invoices.

Responsible Org: GO

**CA 1.3.1
Receive Grant Request From Regulators**

Activity Description: Receive grant request from regulators (CDPHE and EPA).

Responsible Org: GO

**CA 1.3.2
Coordinate Scope of Work & Grant Payments**

Products: Deliver final scope of work.

Outputs: Request other EC/FCFO input.

Activity Description: GO and FCFO coordinate on Scope of Work and Grant Payments. EC will be heavily involved with the development of the scope of work.

Inputs: EC, GO, FCFO provide data.

Responsible Org: GO

**CA 1.3.3
WBS 2.2
Make Payment To Regulators**

Outputs: FCFO certification of funds; Request payment authorization from Treasury.

Activity Description: Make payment to regulators.

Responsible Org: FCFO

**CA 1.3.4
Review Quarterly Expense Reports**

Products: Quarterly Report.

Outputs: Data from EC on work performed.

Activity Description: Review of Quarterly Regulator expense reports.

Responsible Org: FCFO

**CA 2
Establish And Maintain Milestones And
Targets Using Approved RFCA Agreement**

Activity Description: This process flow sheet describes the process RFCA uses to establish and maintain milestones and targets for closing the Site. The process is divided into two pieces: (1) Maintenance of Execution Year Milestones and Targets by the Site and regulators once they have been approved by the regulators, and (2) Establishment of FY+1 and FY+2 Milestones and Targets with both Site and the regulators.

Regulatory Milestones or "milestones" are dates for which a particular event is negotiated among the parties in accordance with RFCA. Failure to meet the requirements of a regulatory milestone shall trigger liability for stipulated penalties (RFCA 25.bc.). Milestones are defined in Attachment 8, Regulatory Milestones, to RFCA. Targets establish non-enforceable dates (RFCA 25.bs. & 10.j.) regarding the removal of weapons-useable fissile material from Site and are defined in Appendix 6, Target Activities for Special Nuclear Material Management at Site, to RFCA. In the year 2000 all parties will review these targets and establish them as enforceable commitments (RFCA 10.j.).

**CA 2.1
EC Receives Input On Changes/Proposals
To Milestones & Targets**

Activity Description: EC receives input from external sources on changes to milestones or targets in execution year.

Inputs: Milestone and target data from all Site organizations.

Responsible Org.: EC

**CA 2.2
Coordinate With Offices Responsible For
2006, Closure Plan, LCB, ISB, SISMP, Per-
formance Measures, RFFO Analyze Im-
pacts**

Products: Analysis of input with report back to Site management.

Outputs: Consultation with other offices.

Activity Description: EC consults with the offices responsible for the Closure Plan, LCB, SISMP, PM's, budget on execution year milestone/target changes.

Inputs: Extensive input from other offices on milestones and targets.

Responsible Org: EC

**CA 2.3
IMC Conducts Analysis Of Proposals/
Changes**

Products: Written documentation from

IMC on impacts.

Outputs: EC provides impacts to other RFFO offices.

Activity Description: An analysis of the proposed changes is conducted.

Responsible Org: PPI

**CA 2.4
Obtain Internal Site Concurrence & Man-
agement Agreement On
Changes/Proposals**

Products: Agreed upon proposals/changes.

Outputs: IMC documentation.

Activity Description: Consult with OCC, OOM and the DRs to obtain concurrence and make decision on the proposed changes.

Inputs: Analysis of IMC documentation.

Responsible Org: EC, OCC

**CA 2.5
Changes/Proposals Submitted To
Regulators**

Products: Letter to regulators.

Outputs: Copies to other organizations.

Activity Description: Consult with regulators. EC consults with the regulators with SME support. Changes must follow RFCA, Part 12, Changes to Regulatory Milestones (RFCA 165 through 170).

Inputs: SME support.

Responsible Org: EC

**CA 2.6
Dispute Resolution**

Outputs: Results of the dispute resolution.

Activity Description: Dispute resolution if required. Regulators may or may not agree with the proposed change. Disagreement is resolved via RFCA, Part 15, Resolution of Disputes.

Inputs: SME's to assist in process

Responsible Org: EC

**CA 2.7
WBS 1.9
Finalize/Modify Agreement On Milestones/Targets**

Products: Finalized milestones/targets.

Outputs: Copy of final agreed upon milestones and targets.

Activity Description: If the regulators agree with the milestone & target changes, the RFCA is Ended per RFCA, Part 19, Endment of Agreement. The regulatory review and approval process is conducted per RFCA, Part 9, Review and Approval of Documents and Work.

Inputs: SME support.

Responsible Org: EC

**CA 2.8
Site Change Control Board**

Products: Changed baseline.

Outputs: Revised PBS's.

Activity Description: Go through the SCCB. Once the RFCA is modified, the Site initiates the change control process to the appropriate Site baseline documents.

Inputs: Review BCP's and other baseline documents.

Responsible Org: PPI

**CA 2.9
Notify Stakeholders Of Targets/Milestones**

Products: Formal notification to stakeholders.

Activity Description: Stakeholders are notified of any milestones and targets that have been set or modified.

Responsible Org: CED

**CA 3
RFCA Reporting And Statusing**

Activity Description: This sub-process details the requirements called out by RFCA for reporting information to the RFCA parties. The process flow is broken down into two components, that for disseminating Site information that is generated irrespective of RFCA (referred to herein as "non-RFCA generated

information") and that for processing information that is generated and disseminated specifically because it is a requirement of RFCA (referred to herein as "RFCA generated information"). The latter is further broken into two activity paths, routine reporting (i.e., generated/ disseminated on a recurring delivery schedule) and non-routine reporting (i.e., generated/disseminated as the result of a specific occurrence).

**CA 3.1
RFCA Generated?**

Products: Decision on whether document/request is mandated by RFCA.

Activity Description: The first activity determines whether the information is RFCA generated information or non-RFCA generated information.

Inputs: Various documents, etc. that other offices believe are pertinent.

Responsible Org: EC

**CA 3.2.1
Develop Delivery Schedule**

Products: Schedule.

Outputs: Send schedule.

Activity Description: The activity develops a schedule for disseminating non-RFCA generated information.

Responsible Org: EC

**CA 3.2.2
Coordinate w/Site To Collect Deliverables**

Products: Various documents.

Outputs: Requests for documents, etc.

Activity Description: This activity coordinates the collection of the requisite information within the Site for non-RFCA generated information.

Inputs: Obtain documents.

Responsible Org: EC

**CA 3.2.3
Submit Deliverables To Regulators**

Products: Various documents, etc.

Activity Description: This activity is the physical delivery of non-RFCA generated information to the RFCA parties.

Inputs: Documents.

Responsible Org: EC

**CA 3.2.4
Regulatory Approval?**

Activity Description: This activity delineates between those deliverables that require regulatory approval versus those that are simply delivered to the RFCA parties.

Inputs: SME assistance.

Responsible Org: EC

**CA 3.2.5
Obtain Regulatory Approval**

Activity Description: This activity is the gaining of the RFCA parties' approval for information requiring such approval.

Responsible Org: EC

**CA 3.2.6
Go to Public Repository**

Activity Description: This activity determines whether the information requires submittal to a public repository. If the information does not require submittal to a public repository, then the activity pathway stops.

Responsible Org.: CED

**CA 3.2.8
Repository**

Activity Description: If the information required submittal to a public repository, then this activity submits the information to the repository. The activity pathway then stops.

Responsible Org: CED

**CA 3.4
Process Routine Site Reports**

Activity Description: Process Routine Site Reports Issued to RFCA activity determines whether RFCA-generated information (i.e., that information the generation of which is a specific requirement of RFCA) should be processed as "routine information" or "non-routine" information.

Inputs: SME's to advise EC.

Responsible Org: EC

**CA 3.5
Develop Annual Schedule**

Activity Description: This activity develops a schedule for disseminating routine RFCA generated information.

Responsible Org: EC

**CA 3.6
Coordinate Within the Site To Generate Deliverables**

Activity Description: This activity coordinates the collection of the requisite information within the Site for RFCA generated information.

Inputs: Inputs from all processes.

Responsible Org: EC

CA 3.7
Submit Deliverables To Regulators

Activity Description: This activity is the physical delivery of the information to the RFCA parties.

Responsible Org: EC

CA 3.8
Project Coordinator Monthly Meetings

Activity Description: This activity is a parallel activity whereby the RFCA statuses RFCA actions during a monthly RFCA meeting. (See p. 89, para. 252) with the regulators.

Inputs: At times from all processes.

Responsible Org: EC

CA 3.9
Disseminate Within the Site

Activity Description: This activity disseminates the RFCA generated information within the Site. This pathway then stops.

Responsible Org: CED

CA 3.10
Process RFCA Non-Routine Reports

Activity Description: This activity initiates the process for disseminating non-routine RFCA generated information. Non-routine information is that which is event-driven.

Responsible Org: EC

CA 3.11
Coordinate Response

Activity Description: If RFCA requires the dissemination of information relative to the event, then the RFCA works with the applicable Site organizations to ensure a response is prepared. If RFCA does not require information to be disseminated relative to the event that occurred, then the activity pathway stops.

Inputs: Other processes will be tasked with response for their areas.

Responsible Org: EC

CA 3.13
Submit Deliverable To Regulators

Activity Description: This activity is the physical delivery of the information to the RFCA parties.

Responsible Org: CED

CA 3.14
Disseminate Within the Site

Activity Description: This activity disseminates the information provided to the RFCA parties within the Site. This pathway then stops.

Responsible Org: CED

CA 4
RFCA Vision & Goals
Requirement Originator

Activity Description: This process flow describes the RFCA Vision for Site closure. All activities at the Site are guided by the Vision. The RFCA Preamble outlines the objectives to be met and sets the "Near Term Site Condition" (B.9.f) and the "Intermediate Site Condition" (B.9.g). The Long Term Site Condition is defined in RFCA Section B.9.i. The Long Term Site Condition continues indefinitely. It is assumed to be the implementation of the CERCLA Record of Decision (ROD) and allows additional cleanup as funding, technology, and political opportunities allow.

The Rocky Flats Vision and Goals as contained in the July 1996 version of RFCA are stated with implementation commencing July 19, 1996.

Inputs: The Rocky Flats Cleanup Agreement as it is interpreted and/or modified by the Parties to the Agreement, stakeholder comments/concerns on the vision and objectives.

Responsible Org: EC is the lead with participation of all RFFO offices on RFCA. PPI is the lead on the closure planning to meet the vision.

ROCKY FLATS CLEANUP AGREEMENT (CA)

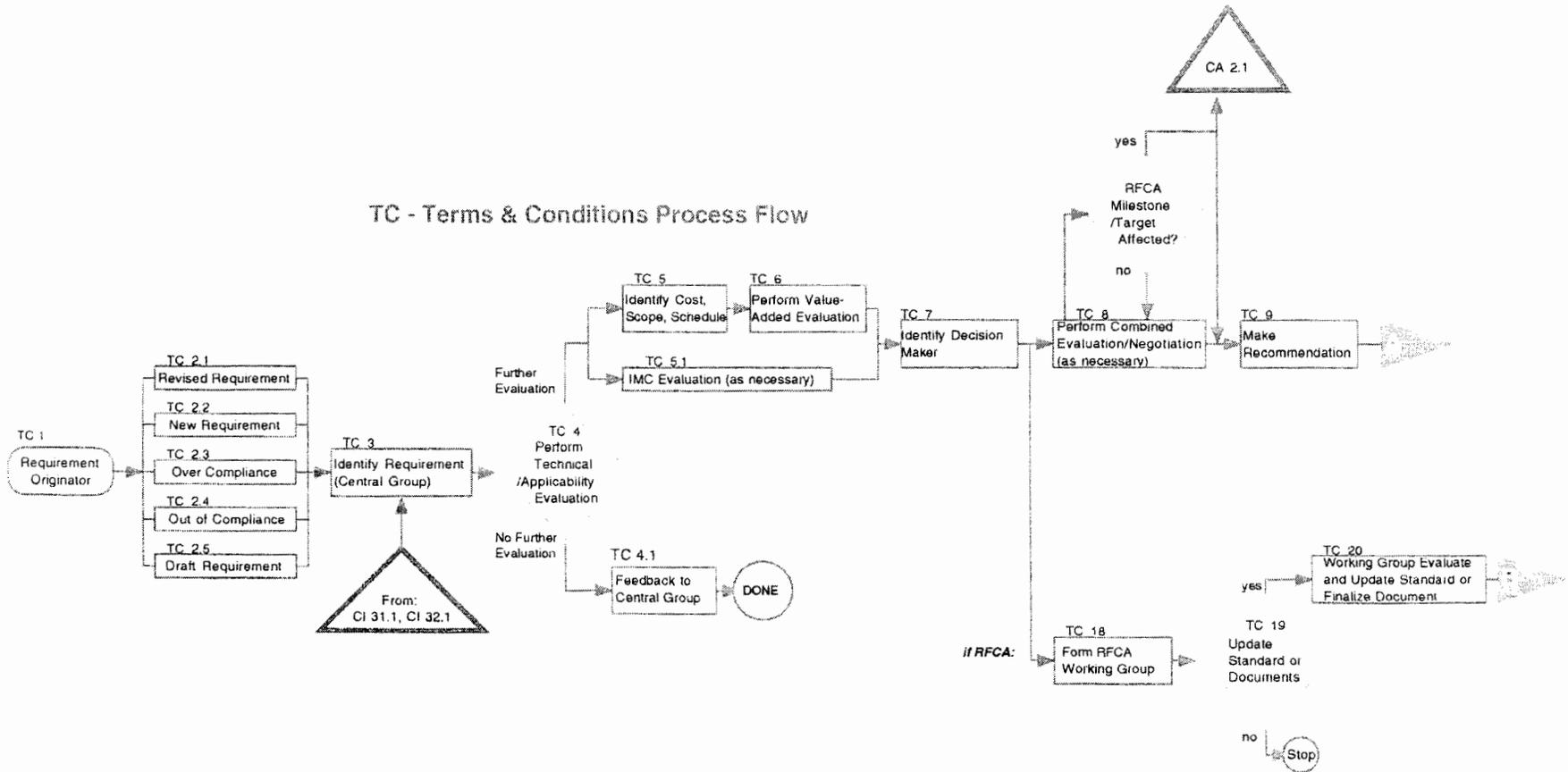
PROCESS STEP	WBS #	ACTIVITY	RESP. ORG.
CA 4		RFCA Vision and Goals	EC/PPI/ All
CA 1		RFCA Maintenance	
CA 1.1		Bi-annual (2-year) RFCA Review	EC
CA 1.1.1		RFCA PC Calls for Issues from RFETS	EC
CA 1.1.2		PC Develops and Consolidates RFETS Input	EC
CA 1.1.3		Transmits to Regulators	EC
CA 1.1.4		Assess Jointly w/Regulators	EC
CA 1.1.7		Change to RFCA Required?	EC
CA 1.1.8		Recommend Modification to RFCA from Bi-annual Review	EC
CA 1.1.9		Recommend Change in the Administration of RFCA	EC
CA 1.2		Annual Review of Laws, Regulations, Guidance, and Integrated Public Involvement Plan	CED, E, EC
1.2.1		RFFO Project Coordinator Call for Issues From Terms and Conditions	E
CA 1.2.2		Consolidate Site Input	EC
CA 1.2.3		Transmit to Regulators	EC
CA 1.2.4		Assess Jointly w/Regulators	EC
CA 1.2.5		Change to RFCA Required?	EC
CA 1.2.8		Recommend Modification to RFCA	EC

PROCESS STEP	WBS #	ACTIVITY	RESP. ORG.
CA 1.2.9		Recommend Change to RFCA Practices	EC
CA 1.3		Oversight and Monitoring Cost for RFCA	GO
CA 1.3.1		Receive Grant Request From Regulators	GO
CA 1.3.2		Coordinate Scope of Work & Grant Payments	EC/GO/ FCFO
CA 1.3.3	2.2	Make Payment to Regulators	FCFO
CA 1.3.4		Review Quarterly Expense Reports	FCFO
CA 2		Establish & Maintain Milestones and Targets Using Approved RFCA Agreement	
CA 2.1		Maintenance of Execution Year Milestones and Targets	EC
CA 2.2		Coordinate with Offices responsible for 2006, Closure Plan, LCB, ISB, SISMP, Performance Measures, RFFO Analyze Impacts	EC
CA 2.3		IMC Conducts Analysis Proposals/Changes	PPI
CA 2.4		Obtain Internal RFETS Concurrence & Management Agreement on Changes/Proposals	EC
CA 2.5		Changes/Proposals Submitted to Regulators	EC

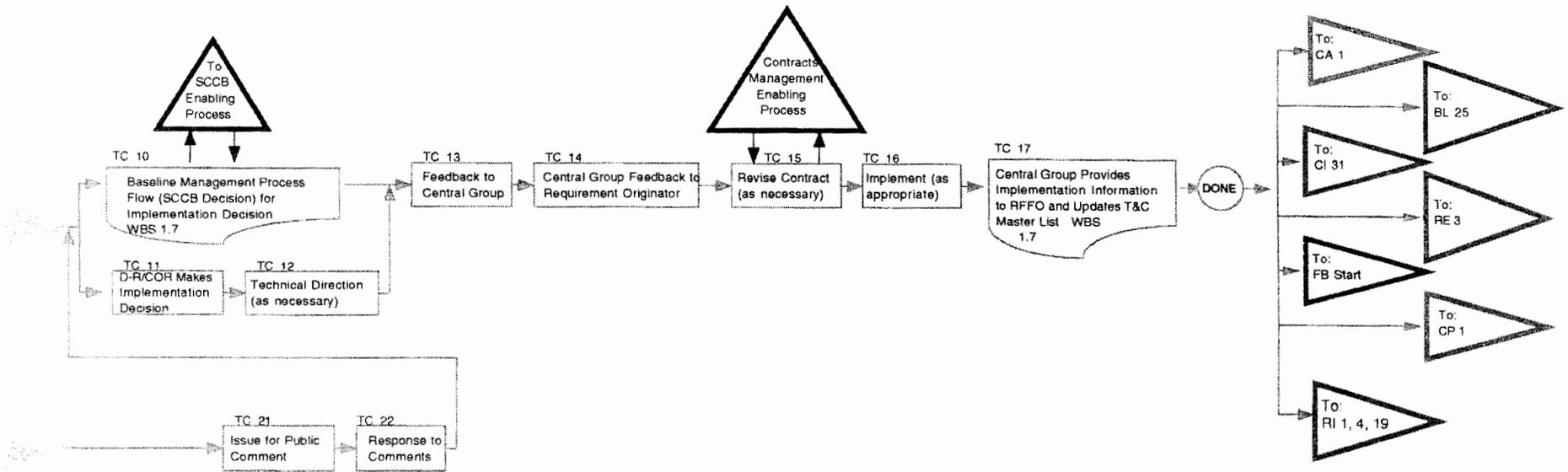
ROCKY FLATS CLEANUP AGREEMENT (CA)

PROCESS STEP	WBS #	ACTIVITY	RESP. ORG.
CA 2.6		Dispute Resolution	EC
CA 2.7		Finalize/Modify Agreement	EC
CA 2.8		Site Change Control Board	PPI
CA 2.9		Notify Stakeholders of Targets/Milestones	CED
CA 3		RFCA Reporting and Statusing	
CA 3.1		RFCA Generated?	EC
CA 3.2.1		Develop Delivery Schedule	EC
CA 3.2.2		Coordinate w/RFETS to Collect Deliverables	EC
CA 3.2.3		Submit Deliverables to Regulators	EC
CA 3.2.4		Regulatory Approval?	EC
CA 3.2.5		Obtain Regulatory Approval	EC
CA 3.2.6		Go to Public Repository	CED
CA 3.2.8		Repository	CED
CA 3.4		Process Routine Site Reports	EC
CA 3.5		Develop Annual Schedule	EC
CA 3.6		Coordinate w/in RFETS to Generate Deliverables	EC
CA 3.7		Submit Deliverables to Regulators	EC
CA 3.8		Project Coordinator Monthly Meetings	EC
CA 3.9		Disseminate w/in RFETS	CED
CA 3.10		Process RFCA Non-routine Reports	EC
CA 3.11		Coordinate Response	EC
CA 3.13		Submit Deliverable to Regulators	CED
CA 3.14		Disseminate w/in RFETS	CED

TC - Terms & Conditions Process Flow



TC - Terms & Conditions Process Flow



TERMS AND CONDITIONS (TC)

PROCESS DESCRIPTION

Terms and Conditions are those requirements and constraints that define what, when and how we do our work. TC consist of DOE directives, Defense Nuclear Facilities Safety Board (DNFSB) recommendations and laws and regulations. Additionally, TC includes the associated implementing procedures, programs, compliance orders, agreements, permits, and contracts.

This process evaluates new, revised, out-of-compliance, over-compliant, and draft terms and conditions (i.e., requirements) so that a logical and educated decision can be made on implementation of the requirements on Site. Evaluations consist of a technical/applicability evaluation, as well as a value-added evaluation, and a combined evaluation/negotiation with applicable RFFO organizations, DOE HQ, regulators and other applicable stakeholders. Responsibility for coordinating evaluations belongs to one organization to ensure consistent evaluations and decisions. This process ensures that the benefits, costs and impacts of implementation of a requirement are considered prior to making a final decision on implementation. This process also ensures that the implementation decision, which is the main product of the process, is formalized and documented.

It is assumed that the Site has identified current TC in the IMC and is in substantial compliance with them. A comprehensive revalida-

tion of the applicability and implementation of all current TC is not a part of the TC process.

KEY PRODUCTS

Recommendation on implementation of TC to the SCCB: This product comes out of step TC 10 and consists of a recommendation, based on the evaluation of the TC, to the SCCB on whether to fully, partially or to not implement the TC.

Proposed contract change: This product comes out of step TC 15 and consists of a proposal for any necessary contract changes that result from the implementation decision for the TC.

Annual report of TC that were evaluated through this process to RFCA process: This product comes out of step TC 17 and consists of a list of all TC that were evaluated through this process during the past year. This report will be provided to the RFCA process flow in June of each year. The RFCA process flow will use this report to satisfy the RFCA requirement to do an annual review of laws, regulations and guidance.

Updated master list of TC to Rocky Flats Closure Plan process: This product comes out of step 2.3.19 and consists of an updated master list of TC. The list will be provided to the Rocky Flats Closure Plan process flow on an annual basis, as requested by that process flow.

TC implementation decision: This is the main product of the Terms and Conditions process. It consists of a final decision, based on an

evaluation of the TC, on whether to fully, partially or not implement the TC.

PROCESS INTERFACES

Inputs From Other Process Flows

- TC identified as out-of-compliance or over-compliant through informal/formal day-to-day process evaluations assessments from CI.
- Organizational function and responsibility statements from RE.
- SCCB decision on implementation of new, revised, out-of-compliance, or over-compliant TC from BL.

Outputs To Other Process Flows

- Information regarding effects on RFCA milestones and targets to RFCA.
- New, revised, out-of-compliance, or over-compliant TC implementation recommendation to SCCB to BL.
- Annual report (in June) of TC evaluated through this process to RFCA.
- Implementation information to determine non-fee Performance Measures (PM') to CP.
- Implementation information for Life Cycle Baseline Maintenance to BL.
- Implementation information to develop/revise organizational functions, position descriptions, performance appraisal plans, etc. to RE.
- Implementation information to FB.
- Updated master list of TC to CP.

PROCESS STEPS

TC 1

Requirement Originator

Activity Description: The requirement originator is an entity outside of RFFO that creates a TC (requirement). Examples include: Congress, DNFSB, DOE HQ, EPA, Occupational Safety and Health Administration (OSHA), other Federal agencies, state and local agencies, court orders, proposed RFCA action levels and standards. RFFO can also be the requirement originator by imposing TC that are not required by one of the above.

Responsible Org.: Anyone, in or out of RFFO

TC 2

(2.1-2.5)

New Requirement, Revised Requirement, Out-of-compliance, Over Compliance, Draft Requirement

Activity Description: This process will evaluate new or revised requirements as they are generated. It will also evaluate requirements with which the Site is out-of-compliance or with which the Site is over-compliant and potentially wasting resources.

Out-of-compliance and over compliance situations will be identified through on-site assessments. No additional initiative or effort to identify these requirements will be pursued.

This process will also evaluate draft requirements as they are generated so that RFFO will have a basis to provide substantive comments

to the requirement originator. This will also allow RFFO to begin to plan ahead for implementation of the requirement, as appropriate, when the requirement becomes final.

This process will not be used to evaluate/validate the applicability and implementation of all current TC.

Responsible Org.: N/A

TC 3

Identify Requirement (central Group)

Activity Description: One central group is responsible for coordinating the identification and evaluation of new, revised, out-of-compliance, over-compliant, and draft TC.

The central group can delegate the task of identifying new, revised and draft TC to Subject Matter Expert (i.e., technical expert) organizations. SME's and the DR's will be held accountable for providing timely, thorough and accurate input. The SME organizations should proactively identify new, revised and draft TC.

The central group can delegate the task of identifying out-of-compliance and over-compliant TC to the SME and/or assessment organizations. The SME's, assessors and DR's will be held accountable for providing timely, thorough and accurate input.

Any RFFO organization can identify new, revised, out-of-compliance, over-compliant, or draft TC, and will inform the central group of the TC.

The central group should establish and document a threshold level that will define which of the new, revised, out-of-compliance, over-compliant, and draft TC should be evaluated through this process. This threshold will apply mostly to out-of-compliance and over-compliant TC, and should ensure that the process does not become overwhelmed with TC that do not warrant this level of evaluation. It is the central group's responsibility to define this threshold level.

The central group will task the appropriate SME organization (the task will be given to the appropriate DR) to perform the technical evaluation (step TC 4), and to identify cost, scope, schedule (step TC 5) and to perform the value-added evaluation (step TC 6), as necessary. At that time the central group will establish a preliminary time frame for completing the evaluation process and will provide guidance to the SME organization on performing the evaluation. The central group will be held accountable for identifying and tasking the correct SME organization. If more than one SME organization is identified for a particular TC, the central group will assign one of the SME organizations as the lead.

The central group should be adequately staffed to ensure timely coordination, identification and evaluation of TC.

The central group should create a master list of all laws/regulations, compliance agreements/orders, and DNFSB recommendations that apply to and are in effect at Site and RFFO (e.g., RCRA, CERCLA, Endangered Species Act, PAA Act, Americans with Dis-

abilities Act, Davis-Bacon Act, Site Treatment Plan Compliance Order, etc.). The list should also include a short description of each requirement, as well as the SME (i.e., technical expert) that can be contacted for more information. The central group can task the SME organizations to provide the information needed to create this list. The information on the list should be updated at least annually, or as changes are identified and implemented through this process flow.

The central group should develop written procedures that will ensure that all of its responsibilities (those listed above and in other description areas below) are successfully carried out.

Inputs: Two inputs from other process flows occur at this step: 1) In order to identify the correct SME organization to lead the evaluation, the central group can use organizational function and responsibility statements (input from the Effectiveness/Efficiencies process flow). 2) Out-of-compliance and over-compliant TC can be received as input from the Contractor Performance Incentive and Improvement process flow, which identifies out-of-compliance and over-compliant TC through informal/formal day to day process evaluations and assessments.

Responsible Org.: E

TC 4 Perform Technical/Applicability Evaluation

Activity Description: The SME (i.e., technical expert) determines if the requirement applies to Site.

The SME determines if disciplines overlap, contacts any other affected disciplines, and coordinates the evaluation. The SME can have the central group coordinate the participation of other organizations in the evaluation.

The SME researches the purpose of the requirement (basis, history, whether it was spawned by an accident, etc.), as necessary.

The SME identifies the amount of time that is allowed for implementation of the requirement, if applicable.

The SME identifies the amount of time that Site has been out-of-compliance with the requirement, if applicable.

The SME makes a recommendation to the DR on whether to further evaluate the requirement based on the technical/applicability evaluation. The DR makes the final decision and informs the central group of that decision.

Responsible Org.: All

TC 4.1 No Further Evaluation/Feedback To Central Group

Activity Description: The requirement will undergo no further evaluation in this process if any of the following are true: The SME (i.e., technical expert) determines that the requirement is not applicable to Site; the SME determines that the requirement is superseded by a new requirement; the SME determines that Site is covered by an existing exemption to the requirement.

The SME provides written feedback and justification to the central group on the decision to not continue the evaluation of the requirement.

Responsible Org.: All (as applicable)

TC 5 Identify Cost, Scope, Schedule (CSS)

Activity Description: A CSS review is performed if the decision in step TC 4 is to perform further evaluation.

This further evaluation will assess the potential impact of the requirement on RFFO, on IMC, or on both RFFO and IMC.

The CSS review is expected to be supported by the responsible DR and performed by the SME (i.e., technical expert).

As needed, the SME will request input/assistance from other RFFO organizations or individuals. It is expected that impacted

DRs will support these requests for input/assistance.

The CSS of any new requirement is identified and/or the impact on existing CSS is evaluated/identified. Subsequent to TC 6 (value-added evaluation) the organization responsible for CSS evaluation will prepare a BCP or brief the decision maker regarding non-implementation, as appropriate.

Only gross estimates/impacts are necessary at this stage. The CSS will provide gross estimates in the following areas for the different alternatives to meeting the requirement: How much will it cost to implement? How long will it take to implement (estimate implementation time frame)? Does it define the scope?

If the effective date of the requirement is near and the implementation time is short or already past, this fact may impact cost and implementation schedule if compliance is mandatory and sanctions are serious.

Any due date problems should be identified. If it is not possible to meet date/scope, the situation should be flagged for special handling.

The central group is responsible for establishing a written procedure for CSS evaluations to ensure consistency.

Responsible Org.: All (as applicable)

TC 5.1 IMC Evaluation (As Necessary)

Activity Description: In some instances, it will be necessary for IMC to initiate a parallel cost, scope and schedule assessment and value-added evaluation of implementing a requirement. If this is necessary in the judgment of the responsible DR, IMC will be given technical direction by the appropriate Contracting Officer's Representative (COR) to perform the evaluation. This decision and technical direction will be coordinated through the central group. Reasons why IMC would be tasked with the evaluation include, but are not limited to: Implementation of the requirement will significantly affect the current baseline scope or schedule of work; timeliness (if it is imperative that a requirement be implemented in a short time period, and IMC waiting for the DOE evaluation would impair the Site's ability to implement); implementation of the requirement would affect current performance measures.

If IMC evaluation is not performed in parallel with DOE's evaluation, a subsequent IMC evaluation may be necessary.

In most cases, it would be expected that IMC management duties would include evaluation of TC and it would fall within the current scope of the budgeted contract. In a few cases, however, it may be necessary to redirect funding to allow for a parallel IMC evaluation. It is the responsibility of the responsible DR to work with the IMC counterpart to determine and negotiate whether a BCP is necessary to initiate the IMC independent evaluation.

Responsible Org.: IMC/E

TC 6 Perform Value Added Evaluation

Activity Description: After the cost, scope and schedule implications of implementing the requirement have been estimated, the responsible DR will ensure that a value-added evaluation is performed to help weigh the benefits of meeting the term or condition against the cost of implementation. The evaluation will be prepared by a lead SME, with input as needed from other SME's and RFFO organizations. The value-added evaluation will include a look at the following listed elements (but is not limited to):

Closure Plan: Evaluate how implementation of the requirement: Supports shutting down the Site; hinders or helps projects which shut down the Site; affects the Life Cycle Baseline and the overall cost, scope and schedule of the Closure Plan.

Effects on Other Work: Evaluate how implementation of the requirement affects: RFCA milestones and targets (the lead SME should involve the RFFO RFCA Project Coordinator to determine if implementation of the requirement will adversely affect Site' ability to meet a RFCA milestone or target); schedule of other projects; scope and cost of other projects; budget while implementing the requirement; ability to comply with other requirements.

Compliance/Legal Effects: Evaluate whether implementation of the requirement: Avoids fines, penalties or civil or criminal conse-

quences; is necessary to avoid injunctions on planned work (e. g., NEPA); affects the Site's vulnerability to litigation.

Benefits of Compliance: Evaluate how implementation of the requirement provides a benefit to: Worker safety (nuclear, occupational, etc.); public safety; security; environment; stakeholder relations; other tangible and intangible benefits.

Finally, the value-added evaluation will compare the benefits and effects of implementation of the requirement with the cost, scope and schedule of implementation (from step TC 5) in order to lead to step TC 8, where negotiations with affected parties take place, and ultimately to steps TC 11 and TC 10, where decisions are made on whether to implement requirements.

Responsible Org.: All (as applicable)

TC 7 Identify Decision Maker

Activity Description: At this point it is necessary for the SME (i.e., technical expert) and/or the central group to identify the decision maker for implementation of the requirement so that the decision maker can participate in the following negotiation step, as necessary. The decision maker will either be the Site Change Control Board (SCCB) or the Manager/responsible DR/COR. It is recognized that final decisions that impact the contract are made by the CO.

The central group will prepare written criteria that will help in the identification of the decision maker. In general, the decision maker will be the SCCB if a BCP is required, a major change to the LCB will occur, a decision is made not to implement a major requirement, etc. A member of RFFO management (Manager, COR, responsible DR) will be the decision maker for requirements that do not meet the criteria for the SCCB.

Responsible Org.: E

TC 8 Perform Combined Evaluation/Negotiation (As Necessary), If RFCA Go To Step TC 18

Outputs: Output to the RFCA process flow (step 1.6.1.1) regarding impacts to RFCA milestones and targets will occur at this step, as applicable.

Activity Description: At this point in the TC process, the benefits and effects of implementing the requirement have been compared against the costs. Depending upon the specific term or condition, it may be necessary to perform some negotiation before making a recommendation to the decision maker. The negotiation and combined evaluation will be coordinated by the central group and performed by the SME (i.e., technical expert) and DR organization. The CO and the decision maker will participate in the negotiations as required.

Negotiation: Negotiate and/or solicit input from parties affected by the likely recommendation (including the requirement originator, if appropriate). Revise the evaluation and/or recom-

mendation as necessary based on input. The following is a non-inclusive list of parties: DOE HQ- Input from EM-64 (Rocky Flats Program Office) and other Headquarters organizations with connections to the requirement. Kaiser-Hill- Compare to the IMC CSS and/or value-added evaluation of implementing the requirement (step TC 5.1); IMC support of recommendation of whether and how to implement the requirement. Stakeholders- Regulator (including DNFSB) input to evaluation of whether and how to implement; appropriate public input to evaluation of whether and how to implement the requirement. RFCA Project Coordinator- If implementation of the requirement will adversely affect Site' ability to meet a RFCA milestone or target, the RFCA (and other appropriate RFCA personnel) should be involved in this negotiation phase.

Combined Evaluation: Depending upon the results of negotiations, the cost, scope, schedule and value-added evaluations will be revised and combined with the IMC or other evaluations.

The SME will initiate discussions and begin teaming with IMC for preparing an implementation plan (where it is clear that the requirement will be implemented and will require some kind of an implementation plan).

Upon completion of the combined evaluation, it is time for the SME to make a recommendation on implementation of the requirement.

Inputs: Input from all negotiating parties listed above.

Responsible Org.: All (as applicable)

**TC 9
Make Recommendation**

Activity Description: Based on the results of the evaluation and negotiation steps previously performed, the SME makes a recommendation to the decision maker on whether to fully implement, partially implement, or not implement the requirement.

Responsible Org.: All (as applicable)

**TC 10
WBS 1.7
Baseline Management Process Flow (SCCB Decision)**

Products: Recommendation on implementation of TC to SCCB.

Outputs: The central group will forward the implementation recommendation from this process flow as an output to the SCCB process within the Baseline Management process flow.

Activity Description: The decision is made to fully implement, partially implement, or not implement the requirement. This is the step at which the RFCA TC enters back into the main process flow.

Inputs: This step is a part of the SCCB enabling process flow. After the SCCB makes an implementation decision, that decision is input back into the TC process flow for continuation through the process.

Responsible Org.: See Baseline Management Process

**TC 11
DR/COR Makes Decision**

Activity Description: The decision is made to fully implement, partially implement, or not implement the requirement. The SME (i.e., technical expert) will ensure a strong, crisp technical basis is documented for the decision.

Responsible Org.: All (as applicable)

**TC 12
Technical Direction (As Necessary)**

Activity Description: Responsible DR staff prepares technical direction memo for COR/Manager signature. Contracts group is copied on the memo to initiate contract revision, if necessary.

Responsible Org.: All (as applicable)

**TC 13
Feedback To central group**

Activity Description: After the implementation decision is made, the SME (i.e., technical expert) will provide written documentation of that decision to the central group.

Responsible Org.: All (as applicable)

**TC 14
Central Group Feedback To Requirement Originator**

Activity Description: Although the requirement originator has probably been involved in negotiations during the TC process flow, the central group will provide formal notification to the requirement originator (if appropriate) as to whether the requirement will be fully implemented, partially implemented or not implemented; and the schedule of implementation.

The central group may direct the SME (i.e., technical expert) to prepare the notification memorandum.

Responsible Org.: E

**TC 15
Revise Contract (As Necessary)**

Products: Proposed contract change.

Outputs: Proposed contract change to Contracts Management enabling process.

Activity Description: This step is handled through the Contract Management enabling function. If the requirement being evaluated has been determined to apply to IMC and requires a change in contract language, the CO is informed of the need to make a change in contract language. The CO will act on recommendations to modify the contract coming from the SCCB or central group and, as appropriate, COR's and other DRs. If the change in the contract requires negotiations with IMC, the CO (at her discretion) should be involved

in that earlier stage in the process (see step TC8). Changes to the contract require bilateral approvals unless agreement cannot be reached. If negotiations were unsuccessful at step TC8, then the contract change may be directed, but such action is subject to dispute by the contractor.

Responsible Org.: GO

**TC 16
Implement (As Appropriate)**

Activity Description: An appropriate SME (i.e., technical expert) will be responsible for performing and/or overseeing implementation planning. Planning may consist of the preparation of an implementation plan, consent order, memorandum of understanding, or other type of planning/implementation document as appropriate. The SME and DR are responsible for ensuring that required approvals of the planning/implementation document are obtained. Implementation of the requirement begins, according to the implementation planning.

Responsible Org.: All (as applicable)

**TC 17
WBS: 1.7
Central Group Provides Implementation Information To RFFO**

Products: TC implementation decision.

Annual report of TC that were evaluated through this process to RFCA. Updated master list of TC to Rocky Flats Closure Plan.

Outputs: Several outputs to other process flows occur at this step. The central group is responsible for making sure that these outputs are provided:

An annual report (in June) of TC that were evaluated through this process will be provided to the RFCA process flow. The RFCA process flow will use this report to satisfy the requirement to do an annual review of laws, regulations and guidance.

TC implementation decisions will be provided to the Contractor Performance Incentive and Improvement process flow, to be used in determining non-fee PMs (as applicable).

TC implementation decisions will be provided to the Baseline Management process flow, to be used in updating and maintaining the Life Cycle Baseline.

TC implementation decisions will be provided to the Effectiveness/Efficiencies process flow, to be used to develop/revise organizational functions, position descriptions, performance appraisal plans, etc. (as applicable).

TC implementation decisions will be provided to the Field Budget Submission process flow.

An updated master list of TC will be provided to the RFCP process flow on an annual basis, at the time that it is requested from that process flow.

Activity Description: The central group is responsible for informing RFFO staff of the im-

plementation decision for each TC that is evaluated by this process.

This step will ensure that RFFO staff who will be responsible for either implementing the requirement or overseeing the implementation of the requirement are educated about the requirement.

In addition, this step should ensure that stakeholders that were involved in negotiations (step TC8) are informed of the final decision.

The central group should develop criteria for determining who should be informed of each decision and should develop written procedures that will ensure that the information is provided in a timely and useful manner to the right people.

The central group is responsible for updating the master list of TC, as appropriate.

Responsible Org.: E

**TC 18
If RFCA, Form RFCA Working Group**

Activity Description: This activity has the involved RFCA parties convene a working group to analyze and react to RFFO's preferred alternative. EC has the lead to ensure the appropriate players are present.

Responsible Org.: EC

TERMS & CONDITIONS (TC)

PROCESS STEP	WBS #	ACTIVITY	RESP. ORG.
TC 1		Requirement Originator	Anyone
TC 2 (2.1-2.5)		New Requirement, Revised Requirement, Out of Compliance, Over Compliance, Draft Requirement	N/A
TC 3		Identify Requirement (Central Group)	E
TC 4		Perform Technical/Applicability Evaluation	All
TC 4.1		No Further Evaluation/Feedback to Central Group	All
TC 5		Identify Cost, Scope, Schedule (CSS)	All
TC 5.1		IMC Evaluation (As Necessary)	IMC/E
TC 6		Perform Value Added Evaluation	All
TC 5.1		IMC Evaluation (As Necessary)	IMC/E
TC 7		Identify Decision Maker	E
TC 8		Perform Combined Evaluation/Negotiation (As Necessary)	All
TC 9		Make Recommendation	All
TC 10		Baseline Management Process Flow (SCCB Decision)	

PROCESS STEP	WBS #	ACTIVITY	RESP. ORG.
TC 11		DR/COR Makes Decision	All
TC 12		Technical Direction (As Necessary)	All
TC 13		Feedback to Central Group	All
TC 14		Central Group Feedback to Requirement Originator	E
TC 15		Revise Contract (As Necessary)	GO
TC 16		Implement (As Appropriate)	All
TC 17	1.7	Central Group Provides Implementation Information to RFFO	E
TC 18		If RFCA, Form RFCA Working Group	EC
TC 19		Update Standard or Documents	EC
TC 20		Working Group Evaluate and Update Standard or Finalize Document	EC
TC 21		Issue for Public Comment	CED
TC 22		Response to Comments	CED
TC 23	1.7.1	Revise and Issue New Standard to Site	EC

TC 19
Update Standard Or Documents

Activity Description: This activity determines whether a standard or other document has to be updated to reflect the preferred activity. This is a yes/no decision.

Responsible Org.: EC

TC 20
Working Group Evaluate And Update Standard Or Finalize Document

Activity Description: If standards or documents need to be updated, then this activity entails the updating.

Responsible Org.: EC

TC 21
Issue For Public Comment

Products: Standard/Document for public comment.

Activity Description: This activity issues the standard/document for public comment. CED has the responsibility for this activity.

Responsible Org.: CED

TC 22
Response To Comments

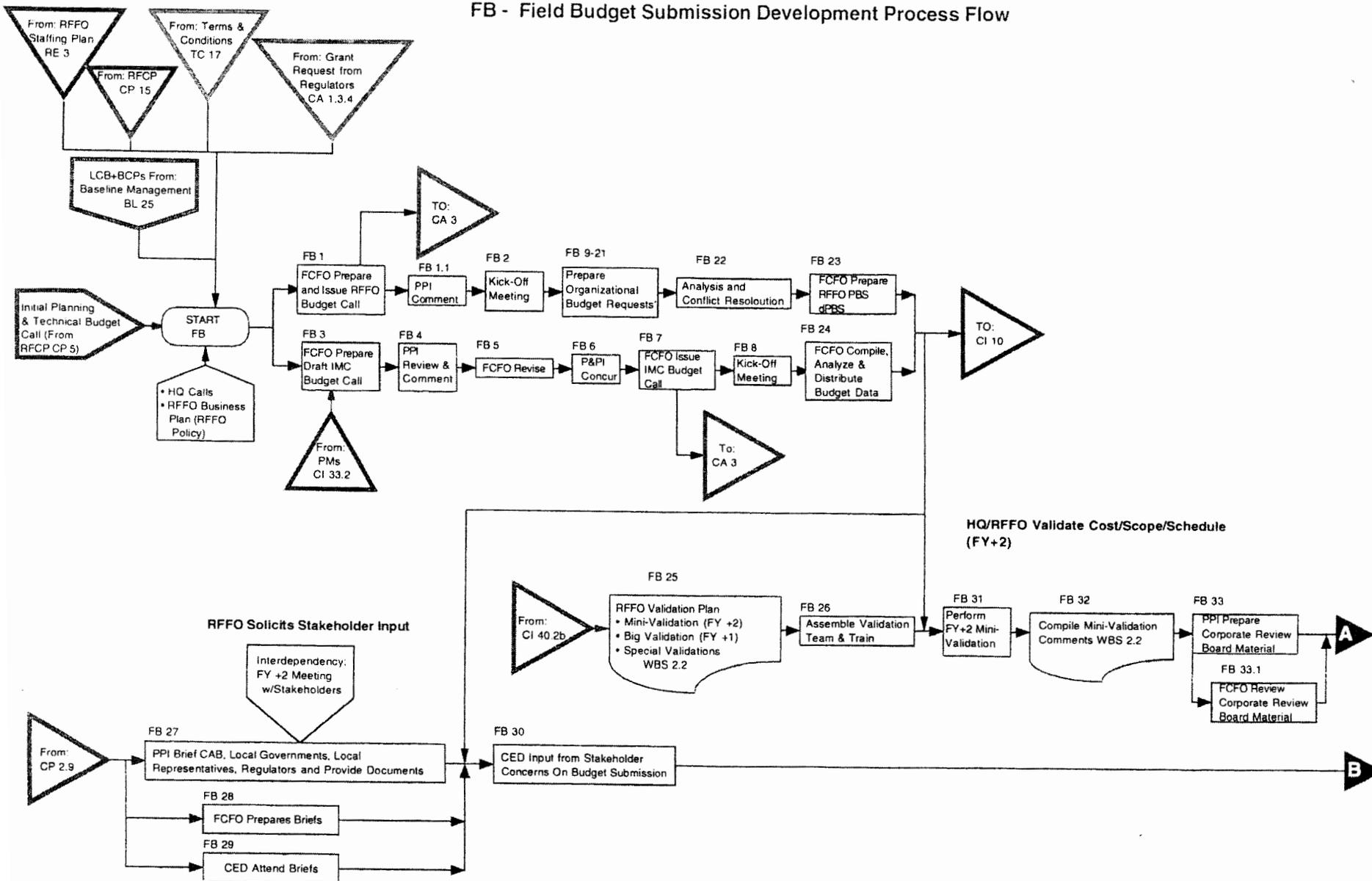
Products: Response to comments.

Activity Description: This activity has the working group responding to the public com-

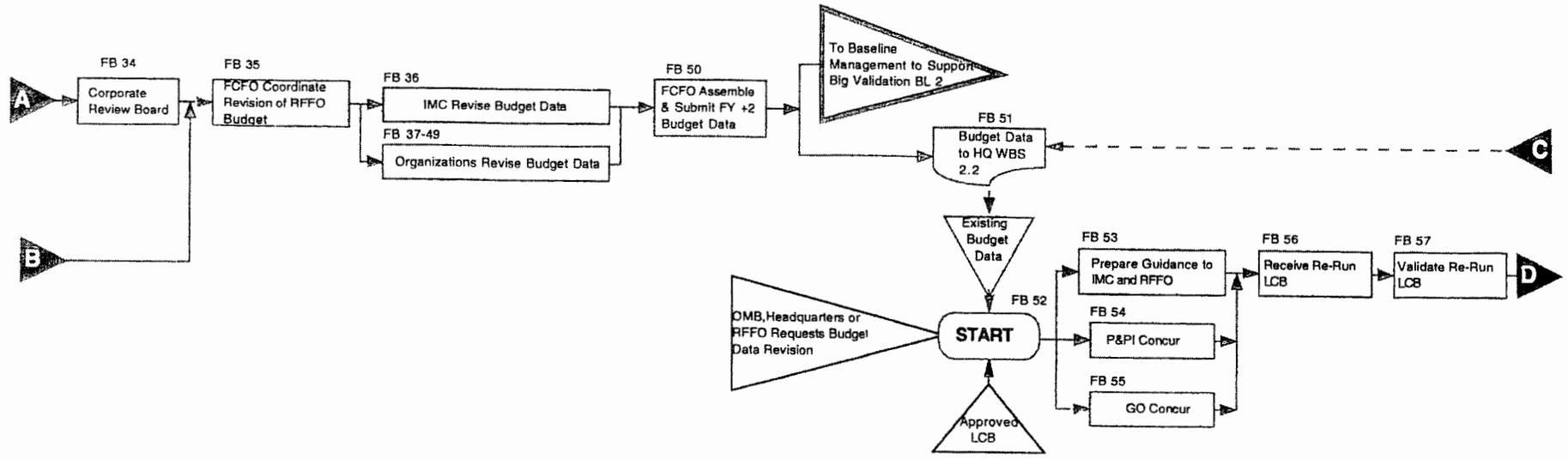
ment. CED has the responsibility for coordinating this activity

Responsible Org.: CED

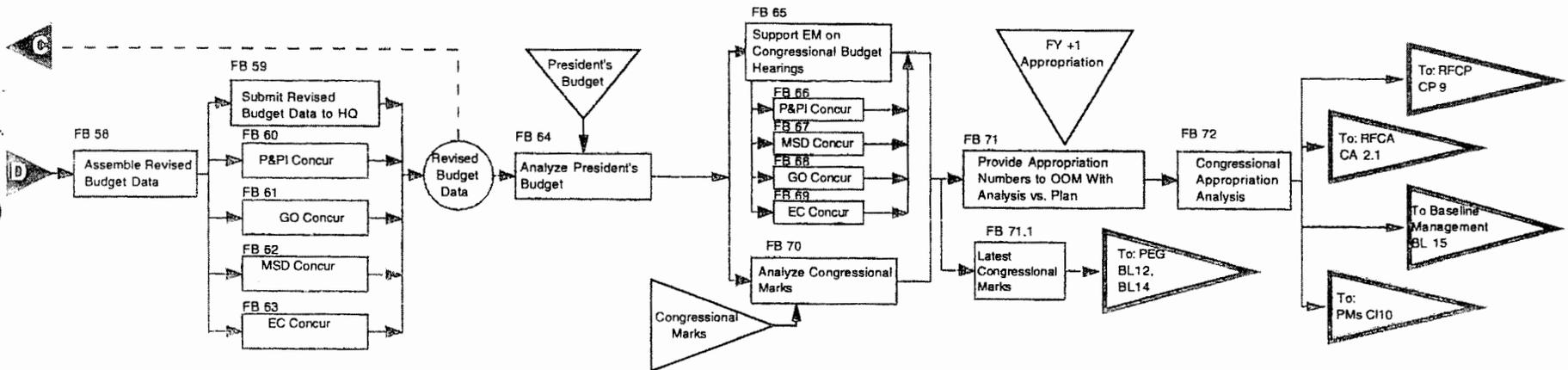
FB - Field Budget Submission Development Process Flow



FB - Field Budget Submission Development Process Flow



FB - Field Budget Submission Development Process Flow



FIELD BUDGET SUBMISSION (FB)

PROCESS DESCRIPTION

The budget submission process is divided into three main activities:

- Preparation of FY+2 budget call and budget data for the RFFO and the IMC on cost, scope and schedule.
- Validation of cost, scope and schedule producing budget and technical data for HQ.
- An iterative activity leading to securing an FY+1 budget appropriation.

The budget call is prepared in January and draft budget data is provided by the IMC and the RFFO in March. This draft data is validated and provided to Headquarters in mid-April as final budget data. The FY+1 appropriation is typically received in late September or early October, 18 months later. After submission of budget data and prior to receiving the FY+1 appropriation, the RFFO provides additional information on the budget data as requested by DOE HQ, the Office of Management and Budget, and Congress.

KEY PRODUCTS

The two major products derived from this process are validated budget data from the LCB for FY+2; and an FY+1 appropriation.

PROCESS INTERFACES

This process primarily interfaces with the Rocky Flats Closure Project (RFCP) process,

the Baseline Management (BL) process, the RFFO Effectiveness and Efficiencies (RE) process, the Performance Improvement and Incentives (CI) process, and the RFCA process. The essential information required by the Field Budget Submission process includes the RFCP, the most recent approved version of the LCB, and the RFFO Staffing Plan. The essential information provided by the Field Budget Submission process to other processes include budget calls and data to the RFCA process, budget data to the Performance Improvement and Incentives process, and FY+1 appropriation information to the Baseline Management process.

PROCESS STEPS

FB 1

FCFO Prepare and Issue RFFO Budget Call

Outputs: The RFFO Budget Call. This budget call is also provided to the RFCA process for transmittal to the regulators.

Activity Description: The FCFO prepares and issues a letter to all organizations requesting them to prepare their FY+2 budget request in the specified format. In the letter, the FCFO will specify any assumptions and constraints that would be helpful to the organizations in preparing their budget request. The budget call letter may also specify different budget scenarios to be analyzed (e.g., a 10percent reduction or 10percent increase). This activity occurs in mid-January.

Inputs: Required inputs to this step include the latest approved revision of the LCB, any BCP

approved since the last revision to the LCB, the RFFO Staffing Plan, the Guidance Letter to the IMC for RFCP update information, the RFFO Business Plan and budget calls originating at DOE HQ.

Responsible Org.: FCFO

FB 1.1

PPI Comment

Activity Description: Review for consistency for the IMC work scope.

Responsible Org.: PPI

FB 2

Kick Off Meeting

Activity Description: The FCFO hosts a meeting for the purpose of describing the RFFO Budget Call and answering any questions to ensure a common understanding of requirements, format and time constraints.

Responsible Org.: FCFO

FB 3

FCFO Prepare Draft the IMC Budget Call

Outputs: The draft the IMC budget call for review by PPI.

Activity Description: The FCFO prepares a letter to the IMC requesting them to prepare their FY+2 budget request in the specified format. In the letter, the FCFO will specify any assumptions and constraints that would be helpful to the IMC in preparing their budget

request. The budget call letter may also specify different budget scenarios to be analyzed (e.g., a 10percent reduction or 10percent increase). This activity occurs in early January.

Inputs: Required inputs to this step include the latest approved revision of the LCB; any BCP approved since the last revision to the LCB; the guidance letter to the IMC for RFCP update information; information on activities that the RFFO is considering incentivizing; RFCA milestones and target activities for FY+2; and budget calls originating at DOE HQ.

Responsible Org.: FCFO

FB 4 PPI Review for Comment

Activity Description: PPI reviews the draft the IMC budget letter for consistency with approved plans and planning guidance and provides comments as necessary to the FCFO.

Responsible Org.: PPI

FB 5 FCFO Revise

Activity Description: The FCFO revises the draft the IMC budget call letter to incorporate comments received from PPI.

Responsible Org.: FCFO

FB 6 PPI Concur

Activity Description: PPI concurs in the revised the IMC Budget Call.

Responsible Org.: PPI

FB 7 FCFO Issue the IMC Budget Call

Products: The the IMC Budget Call letter.

Outputs: The the IMC Budget Call letter is provided to the RFCA process for transmittal to the regulators.

Activity Description: The FCFO issues the IMC Budget Call letter in mid-January.

Responsible Org.: FCFO

FB 8 Kick Off Meeting

Activity Description: The FCFO hosts a meeting with the IMC for the purpose of describing the IMC Budget Call and answering any questions to ensure a common understanding of requirements, format and time constraints. This activity occurs in mid-January.

Responsible Org.: FCFO

FB 9-21 Prepare Organizational Budget Requests

Outputs: Organizational budget requests required by the FCFO in order to prepare the RFFO portion of the budget request.

Activity Description: Each organization in the RFFO prepares their budget request for FY+2 in the format specified in the RFFO Budget Call. This activity occurs from mid-January to mid-February.

Responsible Org.: All

FB 22 Analysis and Conflict Resolution

Activity Description: The FCFOs analyzes the organizational budget requests received for completeness and compares the total request against target amounts for various accounts. Any conflicts, such as incomplete requests or over-target requests are resolved with the organizations.

Responsible Org.: FCFO

FB 23 FCFO Prepare RFFO PBS and dPBS

Outputs: The RFFO Project Baseline Summary (PBS) and detailed Project Baseline Summary (dPBS). These products are key components of the draft budget data to be validated by the RFFO.

Activity Description: The FCFO assembles the organizational budget requests into budget

documents for validation by the RFFO. This activity occurs at the end of February.

Responsible Org.: FCFO

**FB 24
FCFO Compile, Analyze, and Distribute
Budget Data**

Outputs: The IMC budget data to be validated by the RFFO. This budget data includes PBS's and dPBS's, a prioritized funded and unfunded list, various budget crosscuts required by DOE HQ, Project Data Sheets (PDS's), and other specialized information, such as Defense Programs budget data. This data is provided to the IMC Performance Incentive and Improvement process for consideration when negotiating the suite of performance measures.

Activity Description: The FCFO analyzes the IMC budget request received for completeness and compares the total request against target amounts for various accounts. Any conflicts, such as incomplete requests or over-target requests are resolved with the organizations. This activity occurs in early March.

Responsible Org.: FCFO

**FB 25
WBS 2.2
RFFO Validation Plan**

Activity Description: This activity results in the following: Mini-Validation (FY+2); Big Validation (FY+1) and special validating. Validation plan made available at RFFO.

Responsible Org.: PPI

**FB 26
Assemble Validation Teams and Train**

Activity Description: The FCFO assembles and trains the team that is to validate the draft budget data from both the IMC and the RFFO.

Inputs: The RFFO Validation Plan.

Responsible Org.: FCFO

**FB 27
PPI Brief Citizens Advisory Board (CAB),
Local Governments, Local Representatives,
Regulators, and Provide Documents**

Activity Description: PPI solicits input from stakeholders and regulators through CABs meetings, public meetings, and budget briefings. The main objective of this activity are to answer stakeholder and regulator questions on the pending budget submission and ascertain any issues or concerns the stakeholders and regulators may have. This activity is completed in mid-March to mid-April.

Inputs: Information from the RFCP stakeholder and regulator involvement process steps.

Responsible Org.: PPI

**FB 28
FCFO Prepares Briefs**

Activity Description: The FCFO assists PPI by preparing and discussing financial portions of briefs for stakeholders and regulators.

Responsible Org.: FCFO

**FB 29
CED Attends Briefs**

Activity Description: CED attends stakeholder and regulator briefings to assist PPI in answering questions and to ascertain the concerns regulators and stakeholders may have with the pending budget submission.

Responsible Org.: CED

**FB 30
CED Input from Stakeholder Concerns on
Budget Submission**

Activity Description: Communications and Economic Development develops a statement of stakeholder and regulator concerns on the budget submission for inclusion in the final budget data to DOE HQ. This activity is completed in mid-April.

Responsible Org.: CED

FB 31

Perform Mini-Validation

Activity Description: The mini-validation team coordinated by the FCFO will determine that the IMC budget data and the RFFO budget data is well-grounded, justified, relevant, meaningful, logically correct, appropriate to the end in view, and consistent with legal requirements and the LCB. The mini-validation team will have members from Engineering, Program and Planning Integration, Performance Assessment, Government Operations, Environmental Compliance, Materials Stabilization and Disposition, Chief Counsel, and the Field Chief Financial Office, at a minimum. This activity culminates in a report issued to the IMC and the RFFO for use in revising draft budget data. This activity will occur from early March to late March.

Responsible Org.: PPI

FB 32

WBS: 2.2

Compile Mini-Validation Comments

Outputs: Comments from the mini-validation of the draft budget data to be transmitted to the IMC and the direct report organizations. These comments are to be used in updating the draft budget data prior to sending to DOE HQ as final budget data. In addition, these comments are provided to the Office of the Manager and Program and Planning Integration for use in developing Corporate Review Board material.

Activity Description: The FCFO collects comments from the mini-validation team for trans-

mittal to the IMC and the RFFO. This activity is completed in late March.

Responsible Org.: FCFO

FB 33

PPI Prepare Corporate Review Board Material

Activity Description: PPI prepares the Corporate Review Board briefing for use by the Office of the Manager. The Corporate Review Board is held at DOE HQ and is a high level technical briefing by the various Field and Operations Office Managers to the Assistant Secretary of Environmental Management. The purpose of the briefing is to provide the background information required by senior management.

Responsible Org.: PPI

FB 33.1

FCFO Review Corporate Review Board Material

Activity Description: The FCFO assists PPI in preparing the financial information required in the Corporate Review Board presentation.

Responsible Org.: FCFO

FB 34

Corporate Review Board

Activity Description: The Manager, or the Manager's designee, travels to the DOE HQ and presents requested information at the

Corporate Review Board. This activity is completed in late March and early April.

Responsible Org.: OOM

FB 35

FCFO Coordinate Revision of RFFO Budget

Activity Description: RFFO takes input from the Corporate Review Board, both written and learned, and from the mini-validation and determines what adjustments need to be made to the draft budget data. Guidance is prepared for and provided to both RFFO and the IMC based on the adjustments required.

Responsible Org.: FCFO

FB 36

the IMC Revise Budget Data

Activity Description: the IMC uses the guidance provided by FCFO to revise and update their elements of the Site Budget Data.

Responsible Org.: FCFO

FB37-49

Organizations Revise Budget Data

Activity Description: RFFO organizations use the guidance provided by FCFO to revise and update their organizational element of the RFFO Budget Data.

Responsible Org.: All

**FB 50
FCFO Assemble and Submit FY+2 Budget
Data**

Products: FY+2 Final Budget Data.

Outputs: FY+2 Budget Data is provided to:
Baseline Management Process - Process Step
3.1.2; Sent to DOE HQ.

Activity Description: FCFO converts revised
data prepared by RFFO and the IMC into final
formats required for submittal to DOE HQ and
prepares and routes for concurrence accom-
panying correspondence.

Responsible Org.: FCFO

**FB 51
WBS 2.2
Budget Data to Headquarters**

**FB 53-55
Prepare Guidance to the IMC and RFFO**

Activity Description: A guidance letter is pre-
pared for RFFO and the IMC stating require-
ments that must be met in the FY+2 Data revi-
sion.

Initiating Events: This Process Step is initiated
by the following inputs: OMB Passback; RFFO
requests an FY+2 Budget Data revision; DOE
HQ requests an FY+2 Budget Data revision;
OMB requests an FY+2 Budget Data revision.

Required Inputs:

Latest approved LCB

FB Rev 1 02/12/98

FY+2 Budget Data Submitted to DOE HQ

Request for revision from RFFO, DOE HQ, or
OMB

Responsible Org.: FCFO/PPI/GO

**FB 56
Receive Re-Run LCB**

Activity Description: the IMC and RFFO pre-
pare required revisions in accordance with
guidance letter and submit to RFFO.

Responsible Org.: FCFO

**FB 57
Validate Re-Run LCB**

Activity Description: RFFO validates updates
to assure they are consistent with the revision
request and are technically adequate. Where
necessary, corrections are made to the data
based on the validation.

Responsible Org.: FCFO

**FB 58
Assemble and Revise Budget Data**

Activity Description: All corrected budget data
revisions submitted by the IMC and RFFO are
consolidated into required formats for submit-
tal.

Responsible Org.: FCFO

**FB 59-63
Submit Revised Budget Data to Headquar-
ters**

Products: OMB Passback

Outputs: Revised budget data is sent to re-
questing organization.

Activity Description: Correspondence is pre-
pared to submit revised data and routed for
concurrence.

Responsible Org.: FCFO

**FB 64
Analyze President's Budget**

Products: President's Budget Analysis.

Outputs: President's Budget Data to RFCA
Process.

Activity Description: Perform preliminary
analysis of president's budget data for impacts
to the Site. Inform DRs and OOM of prelimi-
nary assessment of impacts and request re-
view where impact may be significant.

Inputs: President's Budget Request to Con-
gress (typically February).

Responsible Org.: FCFO

**FB 65- 69
Support EM on Congressional Budget
Hearings**

Products: Congressional Marks Response.

Outputs: Various reports, impact statements and appeals to DOE HQ to addressing the potential impacts of proposed changes to the Site.

Activity Description: Based on impacts of president's budget and latest Congressional language, assessments are done and reported on of potential impacts to the Site.

Responsible Org.: FCFO

FB 70

Analyze Congressional Marks

Outputs: Congressional Marks and Impact analysis to Baseline Management for Program Execution Guidance - Process Steps BL13, BL15.

Activity Description: Perform preliminary analysis of president's budget data for impacts to the Site. Inform DRs and OOM of preliminary assessment of impacts and request review where impact may be significant.

Initiating Event: Congressional Marks from House and Senate

Responsible Org.: FCFO

FB 71

Provide Appropriation Numbers to OOM with Analysis vs. Plan

Products: Congressional Appropriation Analysis.

Outputs:

To RFCP - Process Step CP9
To RFCA - Process Step CA21
To Baseline Management-Process Step BL16
To Performance Measures-Process Step CI10

Activity Description: Perform preliminary analysis of Congressional Appropriation data for impacts to the Site. Inform DRs and OOM of preliminary assessment of impacts and request review where impact may be significant.

Initiating Event: Congressional Appropriation

Responsible Org.: FCFO

FB 71.1

Latest Congressional Marks

Responsible Org.: FCFO

FB 72

Congressional Appropriation Analysis

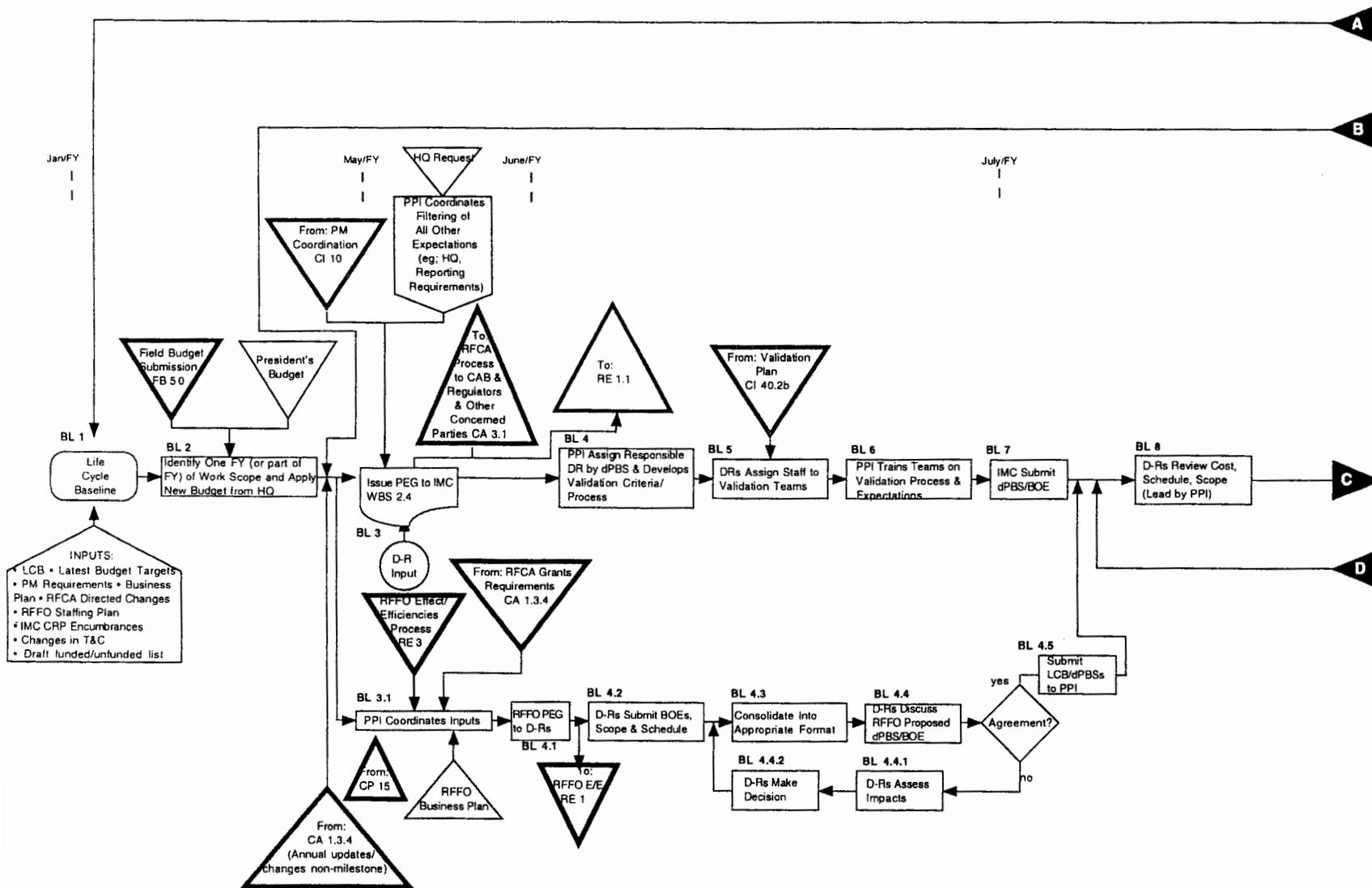
Responsible Org.: FCFO

FIELD BUDGET SUBMISSION (FB)

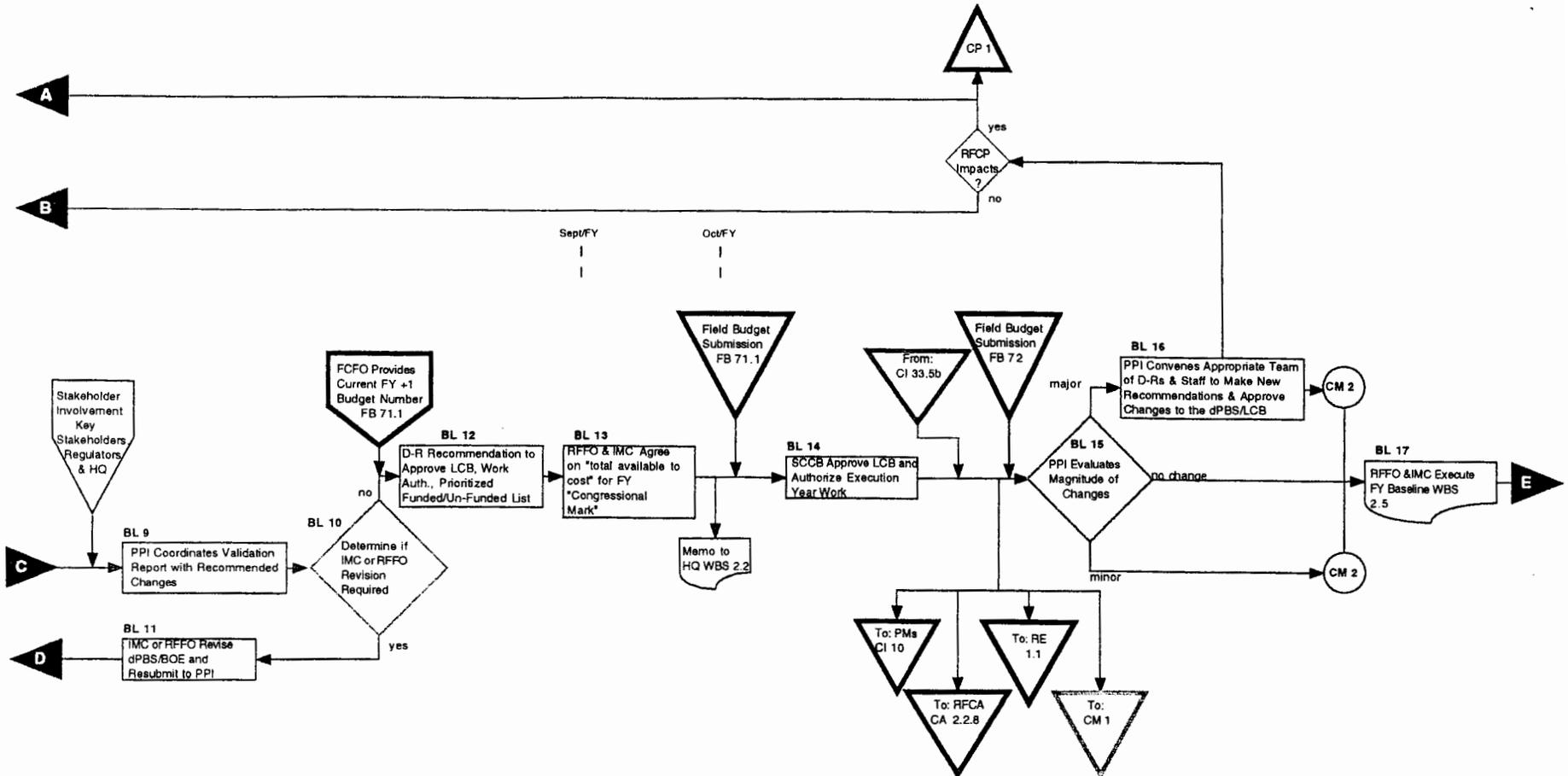
PROCESS STEP	WBS #	ACTIVITY	RESP. ORG.
FB 1		FCFO Prepare and Issue RFFO Budget Call	FCFO
FB 1.1		PPI Comment	PPI
FB 2		Kick-off Meeting	FCFO
FB 3		FCFO Prepare Draft IMC Budget Call Output	FCFO
FB 4		RFFO Review for Comment	PPI
FB 5		FCFO Revise	FCFO
FB 6		PPI Concur	PPI
FB 7		FCFO Issue IMC Budget Call	FCFO
FB 8		Kick-off Meeting	FCFO
FB 9-21		Prepare Organizational Budget Requests	All
FB 22		Analysis and Conflict Resolution	FCFO
FB 23		FCFO Prepare RFFO PBS and dPBS Outputs	FCFO
FB 24		FCFO Compile, Analyze, and Distribute Budget Data	FCFO
FB 25	2.2	RFFO Validation Plan	PPI
FB 26		Assemble Validation Teams and Train	FCFO
FB 27		PPI Brief CAB, Local Governments, Local Representatives, Regulators, and Provide Documents	PPI
FB 28		FCFO Prepares Briefs	FCFO
FB 29		CED Attends Briefs	CED
FB 30		CED Input from Stakeholder Concerns on Budget Submission	CED
FB 31		Perform Mini-Validation	PPI

PROCESS STEP	WBS #	ACTIVITY	RESP. ORG.
FB 32	2.2	Compile Mini-Validation Comments	FCFO
FB 33		PPI Prepare Corporate Review Board Material	PPI
FB 33.1		FCFO Review Corporate Review Board Material	FCFO
FB 34		Corporate Review Board	OOM
FB 35		FCFO Coordinate Revision of RFFO Budget	FCFO
FB 36		IMC Revise Budget Data	FCFO
FB 37-49		Organizations Revise Budget Data	All
FB 50		FCFO Assemble and Submit FY+2 Budget Data	FCFO
FB 51	2.2	Budget Data to HQ	
FB 53-55		Prepare Guidance to IMC and RFFO	FCFO
FB 56		Receive Re-run LCB	FCFO
FB 57		Validate Re-run LCB	FCFO
FB 58		Assemble and Revise Budget Data	FCFO
FB 59-63		Submit Revised Budget Data to Headquarters	FCFO
FB 64		Analyze President's Budget	FCFO
FB 65-69		Support EM on Congressional Budget Hearings	FCFO
FB 70		Analyze Congressional Marks	FCFO
FB 71		Provide Appropriation Numbers to OOM with Analysis vs. Plan	FCFO
FB 71.1		Latest Congressional Marks	FCFO
FB 72		Congressional Appropriation Analysis	FCFO

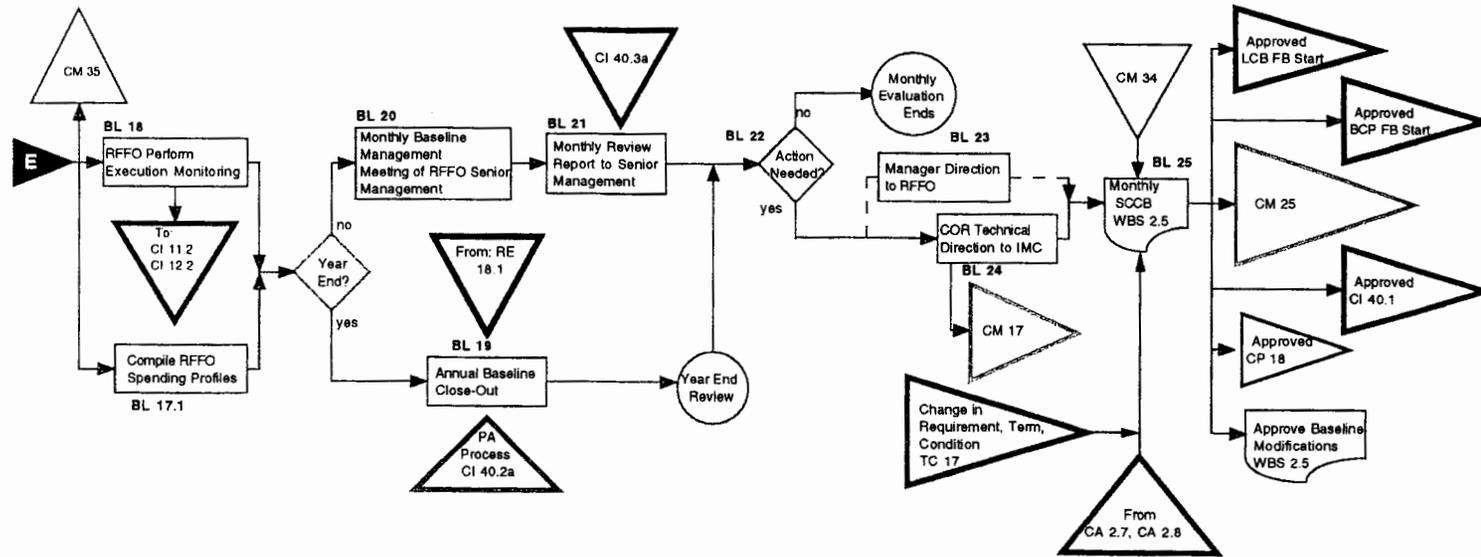
BL - Baseline Management Process Flow



BL - Baseline Management Process Flow



BL - Baseline Management Process Flow



BASELINE MANAGEMENT (BL)

PROCESS DESCRIPTION

RFFO must develop a process for management of the development, validation and execution of the Life Cycle Baseline (LCB) to ensure Site work is being performed within funding limitations and proper monitoring of the execution of funds is being accomplished. Major activities include: Issuance of program execution guidance (PEG); development of the RFFO LCB; annual validation and approval of the detailed Project Based Summary (dPBSs) and revised LCB; monthly evaluation of LCB execution (including a monthly report and briefing of the DRs); annual baseline close-out (resulting in a year end review and report), and management and facilitation of the SCCB.

KEY PRODUCTS

- PEG for the IMC and RFFO
- RFFO dPBSs and LCB
- Annual Report of the Validation of dPBSs and the LCB
- Annually Approved dPBSs, Updated LCB, Work Authorization, Prioritized Funded/Unfunded List
- RFFO Spending Profiles
- Year End Review and Report

- Monthly Review Report to Senior Management
- Approved BCPs

PROCESS INTERFACES

Field Budget Submission provides current budget information at various times during the year (May, August, September and whenever the final appropriation number is available) for PEG development, dPBS/LCB validation and approval and annual authorization of work.

Coordination with Contractor Incentives and Improvement (i.e., performance measures) and input from the RFCA process (annual updates/changes that are non-milestone), DOE HQ requests which are passed through a PPI filtering of all expectations occur during PEG development.

When PEG is issued, it is provided to the RFCA process, the CAB and other concerned parties as well as to the RFFO Effectiveness and Efficiencies process. RFFO Effectiveness and Efficiencies, the RFCP, and the RFFO Business Plan provide input to the PPI coordination for RFFO PEG development.

RFCA grant requirements provide input to the development of RFFO PEG.

The Validation Plan from the Contractor Effectiveness and Efficiencies process provides input to the activity where PPI assigns responsible DR by dPBS and develops the validation criteria and process.

The Final Implementation Information from the TC process provides input to the coordinated review/validation of the dPBSs/LCB.

Prior to PPI issuing the validation report, there is stakeholder involvement with key stakeholders, regulators and DOE HQ regarding the submitted dPBSs/LCB.

Once Execution Year Work is authorized, the approved dPBSs and LCB are provided to the PM process, RFCA, and the RFCP.

The Contractor Incentives and Improvements process (via the Performance Assessment sub-process) provides input to the monthly and annual reviews of LCB execution.

The DR's and the results from the invoice reviews are also inputs to the monthly reviews. Results from the monthly review process potentially provide input to the Contracts Enabling Function. A change in requirement, TC, RFCA changes from the RFCA process or an the IMC proposed change are inputs to the SCCB Enabling Process.

PROCESS STEPS

BL 1 Life Cycle Baseline

Outputs: Becomes the input for determining the "slices" of work to be included in the current development of the PEG.

Activity Description: Baseline Management uses the LCB as the central point in managing Site closure. The LCB is the only baseline for the Site regarding work planning and execution. Baseline Management will exist until the closure project is complete.

Inputs: The latest budget targets, PM requirements, Business Plan, RFCA Directed Changes, RFFO Staffing Plan, the IMC CRP Encumbrances, Changes in TC, and the Draft Funded/Unfunded List.

Responsible Org.: PPI

**BL 2
Identify One FY (Or Part Of FY) Of Work
Scope And Apply New Budget From Head-
quarters**

Outputs: One year of work scope.

Activity Description: Each January, the RFFO and the IMC identify another FY of work scope from the LCB. This work scope is for the FY+1, but the documents used for decision making (PBSs and dPBSs) include 3-6 years of work scope, all separately identified by FY.

Inputs: Each January, the FB process (FB 50) and the President's budget are imposed on the work planned for FY+1.

Responsible Org.: PPI

**BL 3
WBS 2.4
Issue PEG To the IMC**

Products: PEG for RFFO and the IMC.

Outputs: Copies of the PEG go to the RFCA process, CAB, regulators and other concerned parties (CA3.1). The PEG also becomes input to the RFFO Effectiveness and Efficiencies process.

Activity Description: The RFFO uses the current budget number and the identified work scope to develop the formal PEG. The PEG is issued in May.

Inputs: The DR's, coordination with Contractor Incentives and Improvement (i.e., performance measures CI 10), input from the RFCA process (annual updates/changes that are non-milestone), DOE HQ requests which are passed through a PPI filtering of all expectations occur during PEG development. Changes to the RFCP.

Responsible Org.: PPI

**BL 3.1
PPI Coordinates Input**

Outputs: Coordinated data for RFFO PEG development.

Activity Description: PPI coordinates input from the DR's on modifications or additions to the LCB that need to be considered for RFFO PEG development.

Inputs: RFCP changes, RFFO Business Plan, RFFO Effectiveness and Efficiencies (RE6).

Responsible Org.: PPI

**BL 4
PPI Assigns Responsible DR By dPBS And
Develops Validation Criteria/Process**

Products: Validation criteria/process.

Activity Description: PPI assigns a cognizant DR for each dPBS. PPI (with the assistance of PA) develops the dPBS/LCB validation criteria and process.

Responsible Org.: PPI

**BL 4.1
RFFO PEG to DR's**

Products: RFFO PEG.

Activity Description: At the same time that PEG is issued to the IMC (May), PPI issues the RFFO PEG to the DR's. This reflects the latest budget number from the "President's Budget" process. The PEG will also specify the content and format of the DR's' responses (e.g., dPBSs and draft revised LCB). For FY98, this will consist of significant effort to bring the RFFO leg of the LCB to the same level of detail and accuracy as RFFO's expectations of the IMC.

Inputs: RFCA Grant Requirements (CA10).

Responsible Org.: PPI

**BL 4.2
DR's Submit BOEs, Scope And Schedule**

Outputs: Becomes input for PPI to consolidate.

Activity Description: In June, the DR's submit their organization's bases of estimates, technical scope and schedule for accomplishment of work to PPI.

Responsible Org.: DR's

**BL 4.3
Consolidate Into Appropriate Format**

Outputs: Consolidated DR input into appropriate format.

Activity Description: In July, PPI consolidates the DR's dPBSs and draft revised LCB and distributes to all DR's for initial review.

Responsible Org.: PPI

**BL 4.4
DR's Discuss RFFO Proposed dPBS/BOE**

Activity Description: The DR's meet to discuss the RFFO proposals.

Responsible Org.: DR's

**BL 4.4.1
DR's Access Impacts**

Activity Description: DR's get agreement on the dPBSs and LCB and negotiate changes among the organizations.

Responsible Org.: DR's

**BL 4.4.2
DR's Make Decision**

Outputs: Revised input to PPI for consolidation.

Activity Description: Agreements reached by the DR's are pulled together to determine the changes to the dPBSs/LCB and related im-

pacts to other RFFO planned work. DR's re-submit to PPI for consolidation.

Responsible Org.: DR's

**BL 4.5
Submit LCB/dPBSs To PPI**

Products: RFFO dPBSs/LCB

Activity Description: The RFFO dPBSs/LCB are submitted to PPI for validation and RFFO Manager approval.

Responsible Org.: DR's

**BL 5
DR's Assign Staff To Validation Teams**

Outputs: List of staff supporting the validation teams.

Activity Description: Each DR assigns staff to form teams for each dPBS for which the DR is responsible. The expertise of the team must cover the scope of the dPBS.

Inputs: From CI40.2b, the validation plan.

Responsible Org.: DR's

**BL 6
PPI Trains Teams On Validation Process And Expectations**

Outputs: Trained Validation Teams.

Activity Description: PPI trains the validation teams using the validation criteria and process

developed in BL4. This must occur in June, prior to dPBS/LCB submittal and subsequent validation.

Responsible Org.: PPI

**BL 7
the IMC Submits dPBS/BOE**

Activity Description: This step is a place holder to indicate when the IMC submits the dPBSs/LCB. The dPBSs/LCB are due the first week of July.

Responsible Org.: the IMC

**BL 8
DR's Review Cost, Schedule And Scope (Lead By PPI)**

Outputs: Review data.

Activity Description: PPI leads the DR's through the validation of the cost, schedule and scope of the dPBSs/LCB with the DR's coordinating the teams internal to their organizations.

Responsible Org.: PPI

**BL 9
PPI Coordinates Validation Report With Recommended Changes**

Products: Validation Report.

Activity Description: PPI leads the effort to consolidate and coordinate the review data

into a validation report which includes recommended changes to the dPBSs/LCB.

Inputs: Stakeholder Involvement, Key Stakeholders, Regulators and DOE HQ.

Responsible Org.: PPI

**BL 10
Determine If the IMC Or RFFO Revision Required**

Outputs: Recommendations on whether or not to revise the dPBSs/LCB.

Activity Description: PPI presents the consolidated data and validation report to the DR's who determine if the IMC and/or RFFO should be directed to revise the dPBSs/LCB.

Responsible Org.: DR's

**BL 11
the IMC Or RFFO Revise dPBS/LCB And Resubmit To PPI**

Products: Revised dPBSs/LCB from the IMC and/or RFFO.

Activity Description: Based on recommended changes from the validation and integration steps, the IMC and/or RFFO revise the dPBSs/LCB and resubmit to PPI for revalidation.

Responsible Org.: the IMC/PPI

**BL 12
DR Recommendation To Approve LCB, Work Authorization, Prioritized Funded/Unfunded List**

Outputs: DR's' collective recommendations to approve the LCB, Work Authorization and Prioritized Unfunded List.

Activity Description: Once the dPBSs/LCB are acceptable based on the validation results, the DR's must make a collective recommendation to approve the LCB, Work Authorization and Prioritized Unfunded List. In making this recommendation, they use the current budget number provided by FCFO.

Inputs: FCFO provides current FY+1 budget number (FB71.1).

Responsible Org.: DR's

**BL 13
RFFO And The IMC Agree To "Total Available To Cost" For FY "Congressional Mark"**

Outputs: A final funding figure to be used in the annual SCCB. A memorandum to DOE HQ and the DNFSB stating the DR's' recommendations.

Activity Description: PPI, FCFO and the IMC agree on a total available to cost for the FY "congressional mark." This will include the new BA and best estimate for carryover from the current FY.

Responsible Org.: FCFO

**BL 13a
DOE HQ Review**

Product: Issuance of memorandum to DOE HQ confirming that sufficient money is available to meet Site commitments or to identify those commitments that are not fully funded or not funded.

Activity Description: When the IMC and RFFO management reach agreement on the FY Budget, a memorandum shall be prepared and submitted to DOE HQ that confirms sufficient budget to meet Site commitments or outlines the shortfalls or areas of concern. Specifically, DNFSB recommendations not fully funded need a complete justification for why. The memorandum is to be submitted to DOE HQ within 15 days after the IMC and RFFO management reach agreement on the FY Budget.

Responsible Organization: PPI

**BL 14
SCCB Approves LCB And Authorizes Execution Year Work**

Products: Approved LCB, dPBSs.

Outputs: Provides the approved LCB and dPBSs to CI10 for PMs, to CA2.2.8 (RFCA) and to RE 1.1.

Activity Description: PPI facilitates the annual SCCB meeting during which the SCCB approves the LCB and authorizes execution year work.

Inputs: Current budget numbers from Field Budget Submission (FB70).

Responsible Org.: PPI

BL 15
PPI Evaluates Magnitude Of Changes

Outputs: Determination that the changes are: No Change, Minor, or Major.

Activity Description: When the final appropriation is approved for the Site, PPI evaluates the approved LCB against the number to determine the magnitude of the impact (and potential changes) if the number is different from that used during the annual SCCB meeting. Minor changes go directly to the SCCB for approval. If there is no change, the process continues into baseline execution.

Inputs: Final appropriation number from Field Budget Submission (FB72).

Responsible Org.: PPI

BL 16
PPI Convenes Appropriate Team Of DR's And Staff To Make New Recommendations And Approve Changes to the dPBSs/LCB

Products: Revised dPBSs/LCB to SCCB enabling process.

Activity Description: If the final appropriation number creates a major change in what was approved during the annual SCCB meeting, PPI convenes an appropriate team of the DR's and staff to make new recommendations and

approve changes to the dPBSs/LCB. Revised dPBSs/LCB are submitted through the SCCB enabling process, and the process continues with baseline execution.

Responsible Org.: PPI

BL 17
WBS 2.5
RFFO & the IMC Execute FY Baseline

Outputs: LCB Update Process

Activity Description: This is the place holder in the WBS for execution of the LCB for the current FY as approved and authorized by RFFO.

Responsible Org.: RFFO & the IMC

BL 17.1
Compile RFFO Spending Profiles

Products: RFFO Spending Profiles

Activity Description: PPI assists each DR in developing spending profiles for their RFFO dPBSs. FCFO provides support in this effort.

Responsible Org.: PPI

BL 18
RFFO Perform Execution Monitoring

Activity Description: RFFO monitors RFFO's and the IMC's execution of the baseline. This occurs through a number of different means, such as facility and programmatic assessments; invoice reviews; PM validation; cost reviews; contractor information meetings; and

readiness determinations. In addition, monitoring the baseline is accomplished through reviews of monthly cost performance reports (CPR's), the financial information system (FIS's), variance analysis reports (VAR's), and the status of critical path activities for both RFFO and the IMC. PPI coordinates the reviews of the monthly CPR's, FIS, VAR's and status of critical path activities.

Outputs: the IMC Incentives and Improvement Process (CI 11.2, CI 12.2).

Responsible Org.: PA

BL 19
Annual Baseline Close-Out

Products: Year End Review Report

Activity Description: For the twelfth month, PPI coordinates a year end review of RFFO's and the IMC's performance for the entire FY and creates a report for the year's performance. The process then proceeds with the determination as to whether or not there is any action needed based on the review's findings (BL22).

Inputs: RE 18.1

Responsible Org.: PPI

Inputs: Support from the DR's for their respective dPBSs for which they are responsible. Input from the results of invoice reviews. Process development support from CI 40.2b (the PA process).

Responsible Org.: PPI

BL 20

Monthly Review Report To Senior Management, Meeting Of RFFO Senior Management

Products: Monthly Review Report

Activity Description: PPI consolidates the data collected during the monthly review and creates a monthly review report which goes to senior RFFO management.

Responsible Org.: PPI

BL 21

Monthly Baseline Management Meeting Of RFFO Senior Management

Activity Description: PPI coordinates the monthly baseline management meeting of RFFO senior management to discuss the monthly review report.

Responsible Org.: PPI

BL 22

Action Needed?

Outputs: Decision on action needed.

Activity Description: The DR's determine if action is needed based on any findings in the monthly review report and the monthly meeting discussions. If action is needed, the process goes to the manager for direction to RFFO or the IMC, or to the Contracts Enabling Process. If action is not needed, the monthly evaluation ends.

Responsible Org.: DR's

BL 23

Manager Direction To RFFO

Products: Direction to RFFO.

Activity Description: Based on findings in the monthly review report and the monthly meeting discussions, the RFFO manager may provide direction to the RFFO.

Responsible Org.: OOM

BL 24

COR Technical Direction To the IMC

Products: Technical Direction to the IMC.

Activity Description: Based on findings in the monthly review report and the monthly meeting discussions, the RFFO manager may provide direction to the IMC.

Responsible Org.: COR's

BL 25

**WBS 2.5
Monthly SCCB**

Products: Approved BCPs, LCB, dPBSs, RFCP, Prioritized Funded/Unfunded List.

Activity Description: To process changes as a result of technical direction, changes in a requirement, term or condition, a RFCA change, or an the IMC proposed change that changes a document controlled through site change

control, PPI facilitates a monthly SCCB meeting.

Inputs: An the IMC proposed change, a Change in Requirement, Term or Condition (TC17), and RFCA changes from CA 2.7 and CA 2.8.

Responsible Org.: PPI

BL 26

Reply Based On The Analysis Of Shortfall From DR

Outputs: Reply.

Activity Description: The DR's reply based on the analysis of the shortfall from the DR's.

Responsible Org.: DR's

BL 27

RFCP Impacts?

Activity Description: Based on the reply, PPI determines if there is an impact to the RFCP. If there is an impact, the process starts over by going back to the LCB at BL1. If there is no impact to the RFCP, the process goes back to PEG development (BL3), and skips the identification of the appropriate slice of work scope.

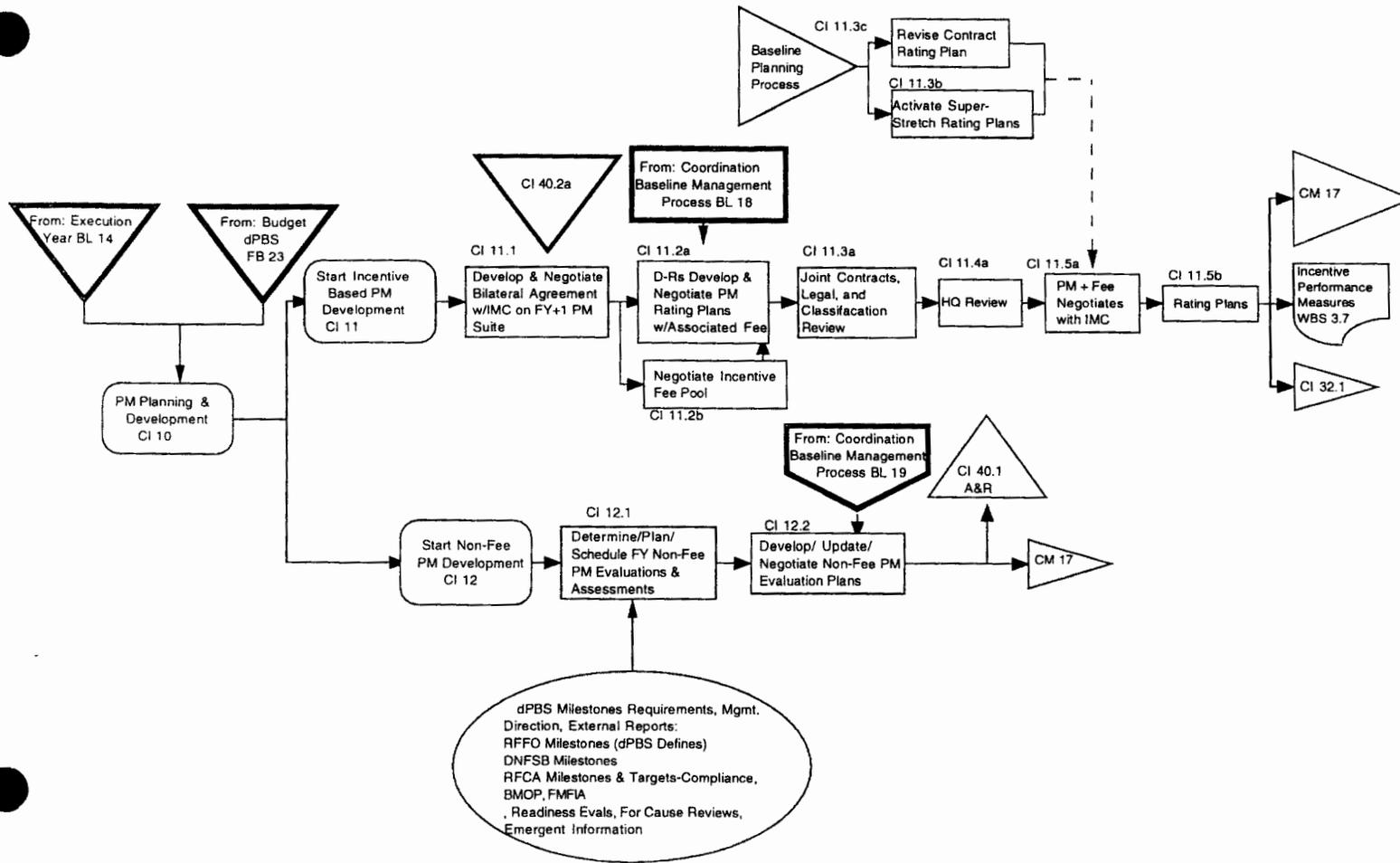
Responsible Org.: PPI

BASELINE MANAGEMENT (BL)

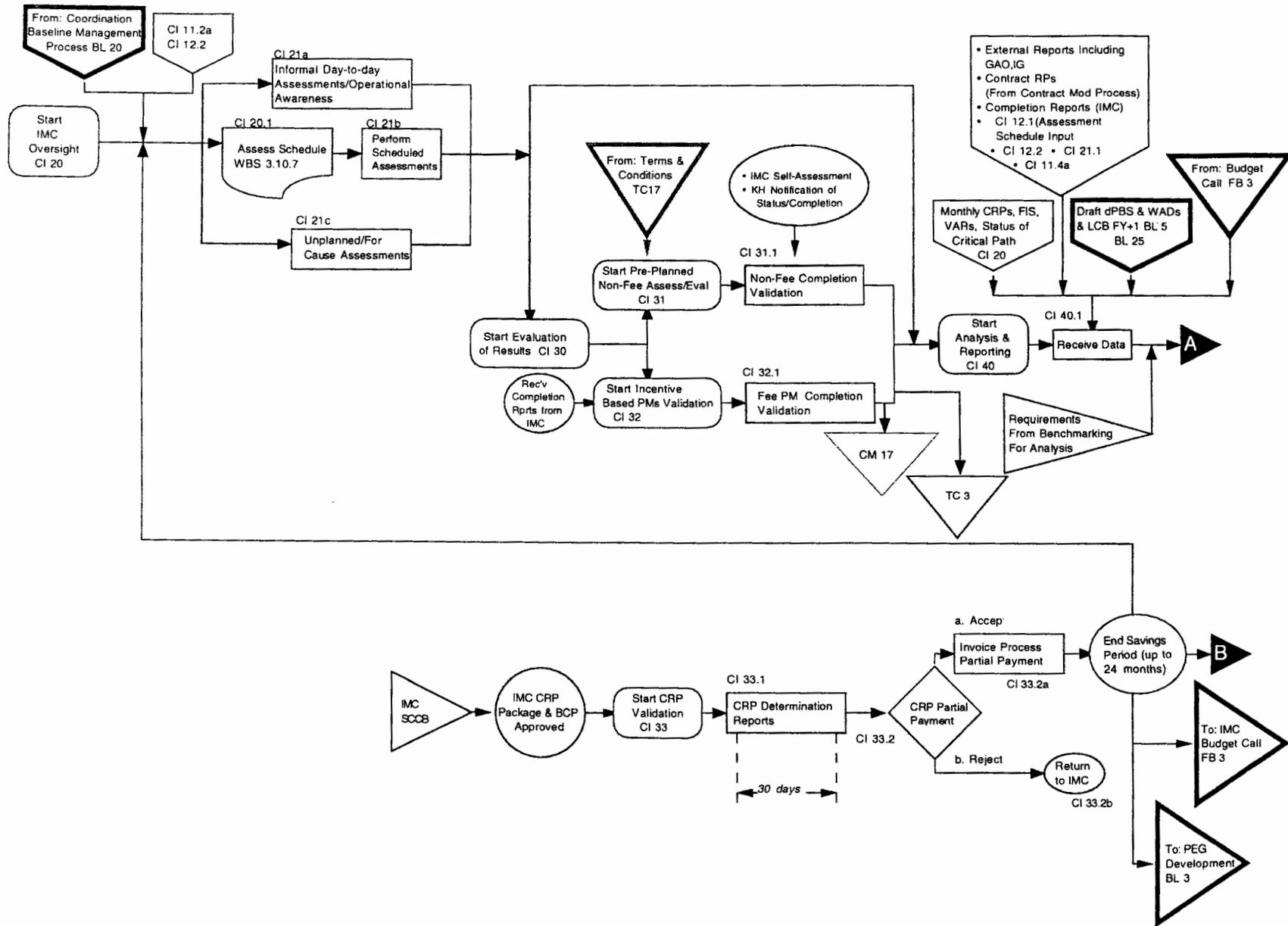
PROCESS STEP	WBS #	ACTIVITY	RESP. ORG.
BL 1		Life Cycle Baseline	PPI
BL 2		Identify One FY (or part of FY) of Work Scope and Apply New Budget from Headquarters	PPI
BL 3	2.4	Issue PEG to IMC	PPI
BL 3.1		PPI Coordinates Input	PPI
BL 4		PPI Assigns Responsible DR by DPBS and Develops Validation Criteria Process	PPI
BL 4.1		RFFO PEG to DR's	PPI
BL 4.2		DR's submit BOEs, Scope and Schedule	DR's
BL 4.3		Consolidate Into Appropriate Format	PPI
BL 4.4		DR's Discuss RFFO Proposed dPBS/LCB	DR's
BL 4.4.1		DR's Assess Impacts	DR's
BL 4.4.2		DR's Make Decision	DR's
BL 4.5		Submit LCB/dPBSs to PPI	DR's
BL 5		DR's Assign Staff to Validate Teams	DR's
BL 6		PPI Trains Teams on Validation Process and Expectations	PPI
BL 7		IMC Submits dPBS/LCB	IMC
BL 8		DR's Coordinate Reviews to Validate Cost, Schedule and Scope	PPI
BL 9		PPI Coordinates Validation Report with Recommended Changes	PPI
BL 10		Determine if IMC or RFFO Revision Required	DR's
BL 11		IMC or RFFO Revise dPBS/LCB and Resubmit to PPI	IMC/PPI

PROCESS STEP	WBS #	ACTIVITY	RESP. ORG.
BL 12		DR Recommendation to Approve LCB, Work Authorization, Prioritized Funded/Unfunded List	DR's
BL 13		RFFO and IMC Agree to "Total Available to Cost" for FY "Congressional Mark"	FCFO
BL 14		SCCB Approves LCB and Authorizes Execution Year Work	PPI
BL 15		PPI Evaluates Magnitude of Changes	PPI
BL 16		PPI Convenes Appropriate Team of DR's and Staff to Make New Recommendations and Approve Changes to the dPBSs/LCB	PPI
BL 17	2.5	RFFO & IMC Execute FY Baseline	RFFO/IMC
BL 17.1		Compile RFFO Spending Profiles	PPI
BL 18		RFFO Perform Execution Monitoring	PA
BL 19		Annual Baseline Close-out	PPI
BL 20		Monthly Review Report to Senior Management, Meeting of RFFO Senior Management	PPI
BL 21		Monthly Baseline Management Meeting of RFFO Senior Management	PPI
BL 22		Action Needed?	DR's
BL 23		Manager Direction to RFFO	OOM
BL 24		COR Technical Direction to IMC	COR's
BL 25	2.5	Monthly SSCB	PPI
BL 26		Reply Based on the Analysis of Shortfall from DR	DR's
BL 27		RFCP Impacts?	PPI

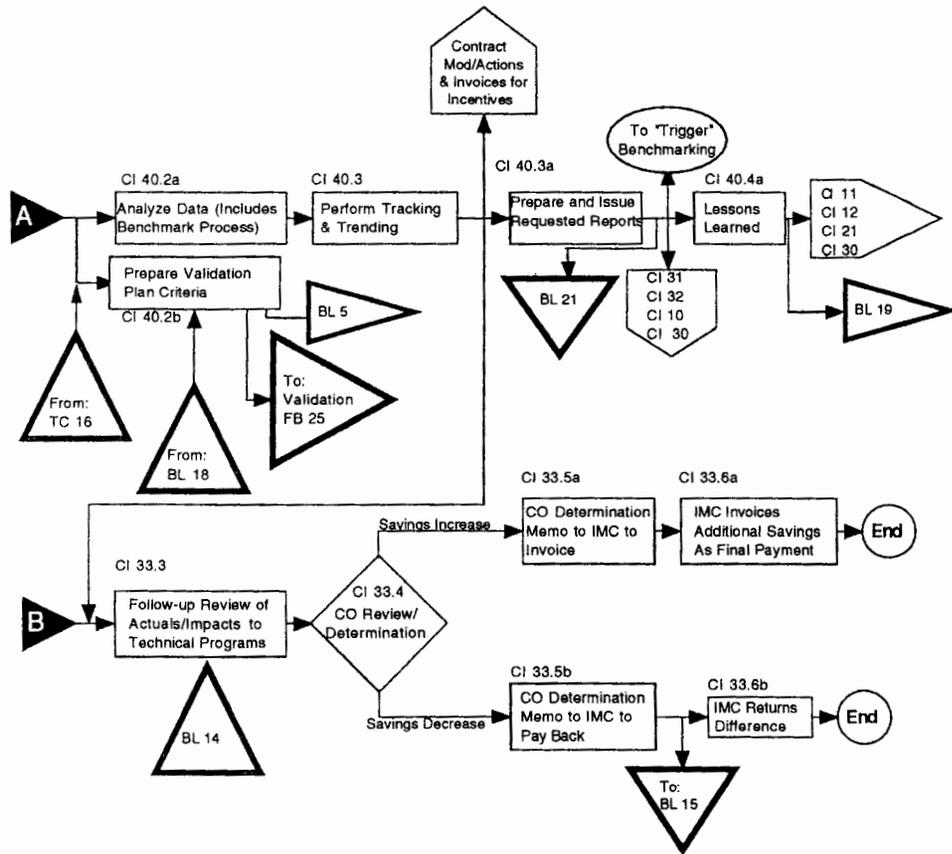
CI - Contractor Performance Incentive & Improvement Process Flow



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CONTRACTOR PERFORMANCE INCENTIVES/IMPROVEMENTS (CI)

PROCESS DESCRIPTION

The Contractor Performance Incentives/ Improvements (CI) process was developed to provide the RFFO guidance in the oversight of the contractor. In conjunction with the RFCP, the CI documents specify contractor performance incentives/improvements and contractor oversight requirements.

The scope of the CI process includes the activities necessary to perform PM's (fee and non-fee) planning and development, contractor oversight and analysis and reporting. The process identifies organizational responsibilities and process interfaces as well as defining the general content of the CI. The process is broken down into four sub-processes as outlined below.

CI 10 is the PM Planning and Development sub-process. The process starts with feedback from the execution year. Output is provided to the PEG. The process continues with development and negotiation of the fee PM's and the non-fee PM's.

CI 20 is the Contractor Oversight sub-process, with the purpose of observing and tracking the contractor's performance to established RFFO processes. The process includes identifying emergent issues, performing readiness evaluations, informal/formal day-to-day process evaluations and assessments and identifying cost reduction opportunities. Emergent

issues may relate to fee and non-fee and benchmarking issues.

CI 30 is the Evaluation of Results sub-process used for evaluation of results including fee and non-fee PM's and Cost Reduction Proposals.

CI 40 is the Analysis and Reporting sub-process with the purpose of receiving data from numerous sources, including completion reports, assessments, SME's and databases and analyzing this data for trending purposes and reporting requirements.

KEY PRODUCTS

The major products of this process lay out the basis for:

- development of fee-bearing PM's
- development of non-fee PM's
- establishment of fee pool
- development of rating plans
- evaluation of contractor performance against PM's
- interpretation and analysis of the data through tracking and trending reports

PROCESS INTERFACES

This process primarily interfaces with the Baseline Management process, the Field Budget Submission process, and the TC process, although it interfaces to a lesser extent with virtually every other process. This process provides information primarily to the Contracts Enabling Process (to be developed) and to a number of other processes to a lesser extent.

PROCESS STEPS

CI 11

Start Incentive Based PM Development

Activity Description: This is an initiating step. The process is defined in follow-on steps.

Inputs: Subjective judgments of current budget expectations, informal stakeholder recommendations, and emergent information affecting planning.

CI 11.1

Develop and Negotiate Bilateral Agreement W/the IMC On Fy+1 PM Suite

Products: Bilateral PM suite.

Outputs: RFFO negotiation position on PM suite.

Activity Description: PPI PM development

team develops guidance and draft schedule for PM development process and facilitates input from appropriate players. The first product will be a list of PM's (rough scope and targets) to be further developed and aligned with the risk reduction or discretionary milestones called out in the work proposal documents (dPBS) for the appropriate funding case. PPI chairs DRs PM integration meetings to review and finalize PM acceptance criteria, identify SME's, prioritize PM's and select PM's for recommendation to the Manager as a PM suite for further development.

The RFFO and the IMC PM development teams jointly conduct SME training on PM development process and rating plan development. Training includes RFFO principles of PM development, quality product expectations, tools, lessons learned, roles and responsibilities, documentation requirements and schedule.

PPI briefs stakeholders and accepts informal feedback on planning priorities, budget expectations/current picture, PM acceptance criteria and a recommended PM suite.

PPI briefs the Manager on the RFFO integrated recommendation for PM suite, DOE HQ and other stakeholders' feedback/input, and emergent information with possible impacts on PM's. The Manager provides a negotiating position for the PM suite. The RFFO Contracting Officer (CO) chairs the first negotiating meeting between the RFFO Manager and, the IMC president. The product of the negotiation will be a negotiated, signed list of PM's (regular and potential super stretch) for which rating plans should be developed and targets further defined.

Inputs: dPBS milestones, lessons learned from PM evaluations, feedback on rating plan effectiveness.

Responsible Org.: PPI

**CI 11.2a
Develop and Negotiate PM Rating Plans
With Associated Fee**

Products: Signed rating plans

Activity Description: PM development team facilitates and supports the development of rough draft PM rating plans (by trained RFFO SME's and their the IMC counterparts with management direction). PM development team provides quality check, facilitates, supports, and documents the development of the responsible manager's recommended PM rating plans for the Manager's approval and signature. PPI develops a recommendation for the Manager for fee allocation across the individual PM's after the fee pool has been negotiated with the IMC. Sanity checks will be provided at DRs PM integration meeting.

PPI briefs the Manager, prior to the second negotiation, on the AM's recommended PM rating plans and justifications, outstanding issues, and recommended fee allocation, and obtains a negotiating position.

The RFFO CO chairs the second negotiation meeting between the Manager and the IMC President, to allocate fee among the PM's, resolve (or identify specific actions to resolve) any remaining issues regarding the rating plans, place the 'bar' between super stretch and 'regular' PM's, and document any new agreements on tools or process issues. The rating plans for this negotiation will be prepared by the IMC and provided to the RFFO PM team at least 24 hours prior to the negotiation so that they can confirm the responsible manager's agreement. No rating plans will be signed at this meeting.

PPI and the PM team facilitate resolution in accordance with the Manager's direction. PPI informs and involves responsible AM's, SME's,

and other players, as appropriate, and prepares final rating plans for signature.

The RFFO CO chairs the third negotiation to sign the final 'regular' and super stretch PM rating plans (with associated fee allocation) and documented structure agreements as to tools / process. The rating plans for this negotiation will be prepared by the RFFO PM team and provided to the IMC at least 24hrs prior to the negotiation.

Inputs: the IMC submission of rough-draft PM rating plans, lessons learned from PM evaluations, and current budget picture/expectations.

Responsible Org.: PPI

**CI 11.2b
Develop and Negotiate Incentive Fee Pool**

Products: Negotiated fee pool.

Activity Description: The responsible organization develops draft RFFO fee position in preparation for the IMC submittal of fee proposal. Upon receipt of the the IMC proposal, the official RFFO fee position is developed based upon current reasonable expectations of funding level and in accordance with the contract.

Inputs: Negotiated PM suite, the IMC fee proposal, approved RFFO fee position.

Responsible Org.: GO

**CI 11.3a
Joint Contracts, Legal, and Classification
Review**

Output: Approved PM's, rating plans and fee.

Activity Description: PM's, fee and rating plans are reviewed from a procurement, legal and classification perspective before negotiations with the IMC.

Inputs: PM suite, rating plans and fee.

Responsible Org.: GO

CI 11.3b

Activate Super Stretch Rating Plans

Product: Super stretch rating plans.

Activity Description: Based on available funds and Site priorities, activate, by coming to agreement with the IMC, super stretch PM's and their associated rating plans.

Inputs: Baseline data.

Responsible Org.: PPI

**CI 11.3c
Revise Contract Rating Plan**

Output: Revised contract.

Responsible Org.: GO

**CI 11.4a
PM and Fee Negotiations With the IMC**

Product: Contract modification incorporating negotiated PM's and fee.

Output: Rating plans.

Activity Description: Formal negotiations between senior RFFO and the IMC management on the final PM's and associated PM fees to be used by procurement for incorporation into the IMC contract.

Inputs: PM suite with associated fee.

Responsible Org.: PPI, GO

**CI 11.4b
WBS 3.7
Rating Plans**

Product: Rating plans for use by the IMC to establish performance goals.

Output: Rating plans for assessors' use (contractor oversight).

Activity Description: After negotiation of PM's and incorporation of the PM's with rating plans and established fees are incorporated into the contract, rating plans are now available for use by the assessors for oversight and evaluation of the contractor.

Inputs: Negotiated contract modification incorporating PM's, fee, and rating plans.

Responsible Org.: PPI

**CI 12.1
Determine/Plan/Schedule FY Non-Fee PM
Evaluations and Assessments**

Products: Assessment schedule, validation plan, and business management oversight process assessment list.

Outputs: Integrated assessment schedule, validation plan, business management oversight plan.

Activity Description: RFFO plans and schedules all assessments, including those not specifically tied to contractor incentive fee and advises HQ, RFFO, the IMC and the EH Site representatives. FM-10 is specifically advised of the annual two-week windows available for on-Site assessments of business operations.

Inputs: Lessons learned from previous year, assessment reports, DOE Order 220.1, HQ business activity direction, COR letters IG reports, GAO reports, DCAA reports, WBS milestones, FMFIA, Readiness Evaluations, RFCA milestones, DMOP reports, etc.

Responsible Org.: PA

**CI 12.2
Develop/Update/Negotiate Non-Fee PM
Evaluation Plans**

Products: Signed non-fee rating plans.

Activity Description: Based on the areas of emphasis for oversight and the non-fee assessment and evaluation, develop and negotiate non-fee rating plans with the IMC.

Inputs: Schedule of non-fee PM evaluations and assessments.

Responsible Org.: PPI

**CI 20
Contractor Oversight**

Outputs: Assessment reports

Activity Description: To observe contractor performance, assess contractor performance to standards, and evaluate contractors performance in terms of fee and non-fee areas.

Inputs: the IMC reports

**CI 20.1
Assess Schedule
WBS 3.10.7**

Responsible Org.: PA

**CI 21a
Informal Day-To-Day Assess-
ments/Operational Awareness**

Products: Assessments and preliminary assessments.

Activity Description: Perform assessments not planned on the integrated assessment schedule. They are initiated by various assessment groups based on time and resources available, feedback on emergent issues, or negative trends. These assessments may include area walk-throughs, spot checks on program issues and interviews. Results are distributed to the organization whose action is needed as expe-

ditiously as possible. These assessment reports are sent to A&E for tracking and trending purposes.

Responsible Org.: PA

**CI 21b
Perform Scheduled Assessments**

Activity Description: All organizations conduct scheduled assessments according to the internal assessment schedule.

Input: Schedule.

Output: Reports.

**CI 21c
Unplanned/For Cause Assessments**

Responsible Org.: PA

**CI 30
Evaluation of Results**

Activity Description: This is an initiating step. The process will be defined by the follow-on steps.

**CI 31
Start Pre-Planned Non-Fee Assess-
ment/Evaluation**

Activity Description: This is an initiating step. The process is defined in follow-on steps.

Inputs: Manager and DR direction (both written and oral) and contract TC.

Responsible Org.: PA

**CI 31.1
Non-Fee Completion Validation**

Products: Assessments, evaluations and validation reports.

Activity Description: Evaluations begin according to either a negotiated schedule or when the contractor submits a self assessment or completion report. The responsible manager will form an assessment team (if needed) and task them with assessment of the self assessment or completion report. The report written will then be forwarded to A&E for tracking and trending. Any emergent issues which need quick resolution will be brought to the attention of the appropriate group whose action is needed.

Inputs: The IMC self-assessments and the IMC notification of status and completion reports.

Responsible Org.: PA

**CI 32
Start Incentive-Based PM Validation**

Activity Description: Validation of the IMC performance against completion reports. Details of this process will be explained in follow-on steps.

Responsible Org.: PA

CI 32.1

Fee PM Completion Validation

Activity Description: AM organization evaluates completion reports against approved rating plans and provide input to PA for consolidation for CO and fee determination official (manager).

Inputs: Negotiated PM's and associated fee and rating plans.

Responsible Org.: EC

CI 33

Cost Reduction Proposal (CRP) Validation

Products: Transmittal memo distributing the IMC CRP package for technical review and financial review.

Activity Description: the IMC CRP package received by CO and to FCFO and program department for financial and technical reviews, respectively.

Inputs: the IMC CRP package.

Responsible Org.: GO

CI 33.1

CRP Determination Reports

Products: Technical determination report and financial determination report.

Outputs: Determination of savings from both a technical and financial perspective.

Activity Description: the IMC CRP package received by FCFO and programs for financial and technical reviews, and the IMC has provided needed information to complete reviews. The evaluations/reviews are performed to assure the savings claimed is valid and the financial data used to estimate the claimed savings is appropriate. Both the program area and the FCFO will provide written reports on the results of their reviews and provide to the CRP coordinator. The coordinator reviews the determination reports (both technical and financial) and makes a determination as to the savings allowed.

Inputs: CRP from the IMC.

Responsible Org.: GO

CI 33.2

CRP Partial Payment

Products: Contracting Officer notification memo to the IMC.

Activity Description: The CO reviews the technical and financial determinations and makes a determination as to the savings allowed. The CO's determination is either to accept or reject the CRP. The CO will notify the IMC by memo listing the amount of the savings accepted or if the CRP is rejected.

Inputs: Determination reports (both technical and financial).

Responsible Org.: GO

CI 33.3

Follow-up Review Of Actuals/Impacts To Technical Programs

Products: Memo to the IMC requesting additional actual data needed.

Outputs: Technical and financial determination reports.

Activity Description: the IMC CRP package (actuals) distributed by AMGO to FCFO and programs for follow-up financial and technical reviews, and the IMC has provided needed/actual information to complete reviews. The evaluations/reviews are performed to assure the savings claimed using actual date is valid. Both the program area and FCFO will provide written reports on the results of their reviews and provide to the CO. The CO reviews the technical and financial determination reports and makes a determination as to the final savings allowed.

Inputs: CRP package with actual data, validated baseline, previous validation of the CRP (financial and technical determination reports), initial CO determination letter of savings accepted/rejected and financial data to support CRP actual savings claimed.

Responsible Org.: GO

CI 33.4

CO Review/Determination

Products: CO notification memo to the IMC.

Activity Description: The CO reviews the technical and financial determination reports on the reviews of the actual savings and makes a determination as to the final savings allowed. The CO determines if the savings is increased or decreased and will notify the IMC in a memo.

Inputs: CRP technical and financial determination reports, and HQ guidance on CRP's.

Responsible Org.: GO

CI 33.5a
CO Determination Memo to the IMC to Invoice

Products: CO notification memo to the IMC

Activity Description: The CO determines if the savings is increased and will notify the IMC in a memo to invoice for the saving.

Inputs: CRP technical and financial determination reports, and HQ guidance on CRP's

Responsible Org.: GO

CI 33.5b
CO Determination Memo To The IMC To Pay Back

Products: CO notification memo to the IMC.

Activity Description: The CO determines if the savings is increased or decreased and will notify the IMC in a memo to pay back/return funds to RFFO.

Inputs: CRP technical and financial determination reports, and HQ guidance on CRP's.

Responsible Org.: GO

CI 33.6a
the IMC Invoices Additional Savings As Final Payment

Activity Description: the IMC prepares and submits an invoice for the agreed-upon amount of savings that the IMC has not yet received payment for.

Inputs: CO determination memo.

Responsible Org.: GO

CI 33.6b
The IMC Returns Difference

Products: RFFO receives funds back from the IMC.

Outputs: New funds RFFO needs to account for.

Activity Description: The IMC prepares paperwork and returns funding that has been overpaid by RFFO based on the original estimate of savings on the CRP package.

Inputs: CO determination memo.

Responsible Org.: GO

CI 40
Analysis and Reporting

Activity Description: This is an initiating step. The process is explained in follow-on steps.

CI 40.1
Receive Data

Activity Description: PA receives data from numerous sources for analysis.

Inputs: Receive data from multiple sources including the IMC databases, the IMC self-assessments, RFFO performed assessments, preliminary notifications, rating plans, completion reports, external reports(IG and GAO), dPBSs, CRP's and variances.

Responsible Org.: PA

CI 40.2a
Analyze Data (Includes Benchmark Process)

Outputs: Data that has been analyzed and ready for use in the preparation of reports.

Activity Description: Analysis of data received from numerous sources to track, trend and predict performance from administrative, technical, enforcement (*such as Price Anderson Act*) and financial perspectives.

Inputs: Data from numerous sources including preliminary assessments, assessments, on-site databases, Price Anderson Non Compliance Tracking System, as well as data from

private industry and other federal Sites performing comparable work.

Responsible Org.: PA

CI 40.2b

Prepare Validation Plan Criteria

Outputs: Criteria for use in the validation plan prepared by PPI.

Activity Description: Prepare criteria for the validation plan based on analyzed data from preliminary assessments, assessments and other data sources. These criteria will focus not only the validation of proposed contractor efforts, but also areas of concentration for future assessments and identifying potential areas of concern.

Inputs: Preliminary assessments, assessments, and other data sources.

Responsible Org.: PPI

CI 40.3

Perform Tracking and Trending

CI 40.3a

Prepare and Issue Requested Reports

Products: Reports including Site-wide report cards and RFFO annual report.

Outputs: Reports including those used for tracking and trending purposes.

Activity Description: Prepare reports based on analyzed data from numerous sources includ-

ing preliminary assessments, assessments, cost reviews, and databases at RFFO. These reports are prepared for use by staff and management in determining the level of performance of both the IMC and RFFO.

Inputs: Analyzed data.

Responsible Org.: PA

CI 40.4a

Lessons Learned

Products: Lessons learned for use by the IMC.

Outputs: Lessons learned for use by RFFO staff and management in numerous areas including PM development (fee and non-fee).

Activity Description: Based on analyzed data and reports prepared, prepare lessons learned.

Inputs: Data from numerous sources including evaluations of rating plans and PM's and assessments performed by RFFO or the IMC.

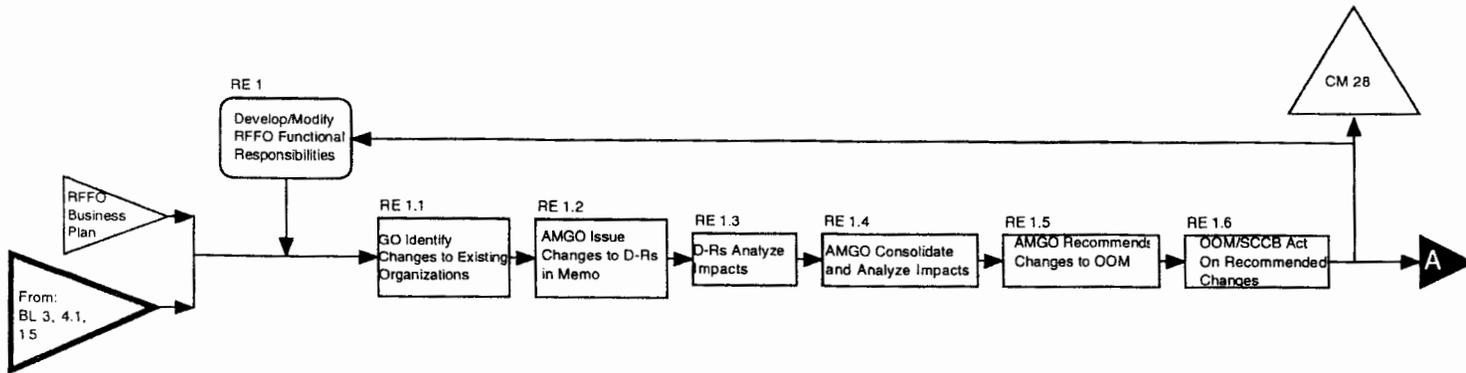
Responsible Org.: PA

CONTRACTOR PERFORMANCE (CI)

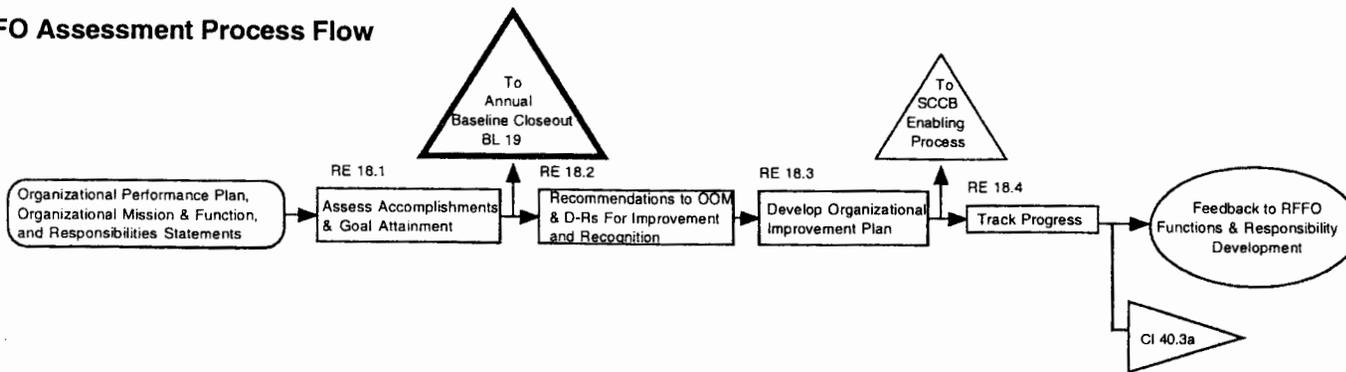
PROCESS STEP	WBS #	ACTIVITY	RESP. ORG.
CI 11		Start Incentive-Based PM Development	
CI 11.1		Develop & Negotiate Bilateral Agreement w/K-H on FY+1 PM Suite	PPI
CI 11.2a		DR's Develop & Negotiate PM Rating Plans with Associated Fee	PPI
CI 11.2b		Develop and Negotiate Incentive Fee Pool	GO
CI 11.3a		Joint Contracts, Legal and Classification Review	GO
CI 11.3b		Activate Super Stretch Rating Plans	PPI
CI 11.3c		Revise Contract Rating Plan	GO
CI 11.4a		PM & Fee Negotiations with KH	PPI
CI 11.4b	3.7	Rating Plans	PPI
CI 12.1		Determine/Plan/Schedule FY Non-fee PM Evaluations & Assessments	PA
CI 12.2		Develop/Update/Negotiate Non-fee PM Evaluation Plans	PPI
CI 20		Contractor Oversight	PA
CI 20.1	3.10.7	Assess Schedule	PA
CI 21a		Informal Day-To-Day Assessment/Operational Awareness	PA
CI 21b		Perform Schedule Assessments	PA
CI 21c		Unplanned/For Cause Assessments	PA
CI 30		Evaluation of Results	
CI 31		Start Pre-planned Non-fee Assessment/Evaluation	PA

PROCESS STEP	WBS #	ACTIVITY	RESP. ORG.
CI 31.1		Non-Fee Completion Validation	PA
CI 32		Start Incentive-based PM Validation	PA
CI 32.1		Fee PM Completion Validation	
CI 33		Cost Reduction Proposal (CRP) Validation	GO
CI 33.1		CRP Determination Reports	GO
CI 33.2		CRP Partial Payment	GO
CI 33.3		Follow-up Review of Actuals/Impacts to Technical Programs	GO
CI 33.4		CO Review/Determination	GO
CI 33.5a		CO Determination Memo to K-H to Invoice	GO
CI 33.5b		CO Determine Memo to K-H to Pay Back	GO
CI 33.6a		K-H Invoices Additional Savings as Final Payment	GO
CI 33.6b		K-H Returns Difference	GO
CI 40		Analysis and Reporting	
CI 40.1		Receive Data	PA
CI 40.2a		Analyze Data (Includes Benchmark Process)	PA
CI 40.2b		Prepare Validation Plan Criteria	PPI
CI 40.3		Perform Tracking and Trending	
CI 40.3a		Prepare and Issue Management Requested Reports	PA
CI 40.4a		Lessons Learned	PA

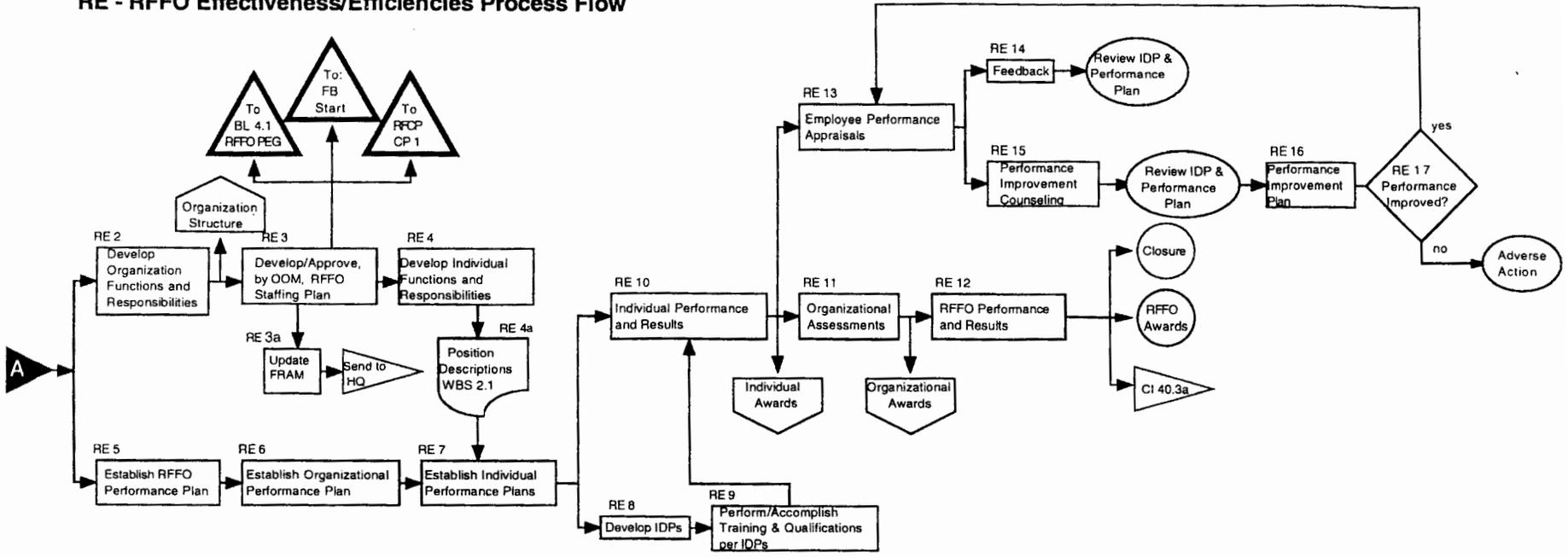
RE - RFFO Effectiveness/Efficiencies Process Flow



RE 18 - RFFO Assessment Process Flow



RE - RFFO Effectiveness/Efficiencies Process Flow



RFFO EFFECTIVENESS AND EFFICIENCIES (RE)

PROCESS DESCRIPTION

The RFFO Effectiveness/Efficiency process incorporates the requirements and guidance of DOE Headquarters and the RFFO Mission.

Inputs are received from the Rocky Flats Closure Plan, RFCA, Field Budget Submission, Terms and Conditions, Baseline Management, Life-Cycle Baseline (LCB), and RFFO Business Plan. These inputs are utilized to measure the efficiency and effectiveness of the RFFO organization through a process which establishes RFFO functions and responsibilities and organizational expectations; establishes individual expectations; measures and provides feedback on individual performance and measures organizational success. Each of these is accomplished and evaluated with one goal in mind: To help the site reach closure.

KEY PRODUCTS

- RFFO and Organizational Mission, Functions and Responsibilities Statements
- RFFO Staffing Plan
- Site and Organizational Performance Plans
- Position Descriptions
- Individual Performance Plans
- Individual Performance Appraisals
- Individual, Organizational, and RFFO Awards
- Individual Performance Improvement Plan
- Organizational Improvement Plan

- Site Training

INPUTS

Any updates or changes to Site-wide assumptions, WBS, work logic, cost assumptions, prioritization methodology, and any other issues that may impact RFFO mission, organizational functions, responsibilities, and staffing requirements will be input from the Rocky Flats Closure Plan (RFCP).

Any updates or changes to the Rocky Flats Cleanup Agreement that may impact RFFO mission, organizational functions, responsibilities, and staffing requirements will be input from the Rocky Flats Cleanup Agreement (RFCA).

Any updates or changes to the budget data that may impact RFFO mission, organizational functions, responsibilities, and staffing requirements will be input from the Field Budget Submission (FB).

Any updates or changes to Defense Nuclear Facilities Safety Board recommendations, laws, regulations, procedures, compliance orders, agreements, etc. that may impact RFFO mission, organizational functions, responsibilities, and staffing requirements will be input from Terms and Conditions (TC).

Any updates or changes to the baseline that may impact RFFO mission, organizational functions, responsibilities, and staffing requirements to be input from Baseline Management (BL).

OUTPUTS

- RFFO Staffing Plan impact on RFCP
- RFFO Staffing Plan impact on the budget to Field Budget Submission
- RFFO Assessment Process impact on baseline to Baseline Management

PROCESS STEPS

RE 1

Develop/Modify RFFO Functional Responsibilities

Products: RFFO Mission, Function, and Responsibilities Statements.

Activity Description: Develop RFFO functional responsibilities. The Site mission is defined in the Focus on 2006, or analogous documents. RFCA is the primary regulatory document that defines many of the requirements that the Focus on 2006 must work to. Below the level of the overall Site mission, several other factors impinge upon what RFFO does and how it performs its function. The Site baseline and budget, determined in large part by Headquarters, lay out the funding and FTE levels for the Office, determining manpower levels, and in turn affecting the amount of work that can be done by RFFO. Terms and Conditions also plays a large role in determining Federal requirements placed upon Site, requirements that must be performed by Federal employees. An example of such a requirement is Price-Anderson. These requirements may lead to establishing positions or organizations within RFFO devoted to fulfilling them.

Inputs: Baseline Management, RFFO Business Plan.

Responsible Organization: GO

RE 1.1

GO Identify Changes To Existing Organizations

The organization needed to support the scope of work as identified by the RFFO PEG, IMC PEG, and approved LCB is compared to the existing organization.

Responsible Organization: GO

RE 1.2

GO Issues Changes To DR's In Memo

Products: Memorandum from GO to DRs requesting organizational impacts of LCB change.

Activity Description: Because of Headquarters direction, changes in funding level or major changes in work approach, the Site LCB could change, perhaps substantially. PPI is responsible for understanding and communicating the scope and magnitude of the change. GO is responsible for coordinating the analysis of the impacts of the change to RFFO organization. Direct reports will be asked to translate any impacts on organizational responsibilities into impacts on needed personnel skill mixes or staffing levels.

Inputs: From BL14, Major Change in LCB

Responsible Organization: GO

RE 1.3

DR's Analyze Impacts

Products: Impact statements by DRs.

Activity Description: Following receipt of information from GO regarding anticipated LCB changes, DRs analyze how the major changes in the LCB affect their organizations. Direct reports develop analyses of potential impacts to their organizations. Staffing levels and needed skill mixes are proposed by the DRs based upon any perceived changes in organizational responsibilities.

Responsible Organization: All

RE 1.4

GO Consolidate And Analyze Impacts

Activity Description: GO consolidates and analyzes the cumulative impacts that DRs have submitted regarding changes to their organizations based upon a change to the LCB. GO performs an integrating function, to see if more than one organization has adopted any proposed new functions, and to ensure that any and all new RFFO functions that arise from the LCB change are accounted for within the RFFO organization. GO also reviews any changes in staffing level or skill mix necessitated by the LCB change, and ensures that any staff changes requested can be justified. GO finally integrates the personnel impacts of the LCB change across RFFO, and may recommend personnel transfers, retraining, new hires, etc. to realign the RFFO organization with the LCB change.

Responsible Organization: GO

RE 1.5

GO Recommends Changes To OOM

Products: Formal recommendation by GO to RFFO management for staffing realignment based upon LCB change and input from DRs.

Activity Description: GO submits recommendations to realign RFFO staff with LCB changes. These recommendations may take the form of a proposed change in the RFFO staffing plan, as well as proposed changes in the functions and responsibilities of individual DR organizations. GO will also present a plan for making the needed changes in personnel, which may include inter-office transfers, new hires, retraining, etc., considering such factors as personnel ceilings and budgets.

Responsible Organization: GO

RE 1.6

OOM/SCCB Act On Recommended Changes

Products: Final staff/organizational realignment based upon LCB changes and GO recommendations.

Outputs: To RE 2, Develop Organization Functions and Responsibilities, and subsequently RE 3, Develop RFFO Staffing Plan.

Activity Description: Considering GO recommendations, RFFO management makes the final decisions as to the actions to be taken to ensure continued RFFO alignment with the

revised LCB. Depending upon the magnitude of the needed changes, OOM may simply direct changes to the functions and responsibilities of DR organizations, or may direct changes to the staffing plan itself.

Responsible Organization: OOM

**RE 2
Organization Functions And Responsibilities**

Products: Organizational Functions and Responsibilities Statements.

Activity Description: Develop organizational functions and responsibilities that derived, cascade down from RE 1. Refer to RE 1 for details.

Responsible Organization: All

**RE 3
Develop/Approve By OOM RFFO Staffing Plan**

Products: RFFO Staffing Plan.

Activity Description: Develop RFFO Staffing Plan. RFFO staffing, in terms of numbers of personnel and their expertise, follows from the definition by OOM and DOE HQ of RFFO roles and functions, and subsequent establishment of the RFFO organization needed to meet these roles and functions.

Each organization then determines its staffing needs given the roles and functions assigned to it. It is incumbent upon each organization,

and the Office as a whole, to project its staffing needs, including skill mixes, through Site closure. Each DR then prepares or delegates preparation of position descriptions based upon current and future personnel needs.

Requests for staffing analysis are generated by DRs (for individual organizations) or by the Office of the Manager for RFFO as a whole. GO receives the requests and reviews them for completeness. GO then analyzes the staffing needs of the requesting organization, considering the results of MAPping, and the resultant mission, roles and functions of the organization in question. GO identifies the staffing needs for the organization based upon this analysis, discusses these with the DR and seeks approval to implement the results of the staffing analysis from the Office of the Manager.

Inputs: DOE HQ

Responsible Organization: GO

**RE 3a
Update FRAM**

Product: RFFO Functions, Responsibilities and Authorities Manual.

Activity Description: As RFFO organizational functions, responsibilities and authorities are adjusted (RE 2) as a result of change to RFCA, RFCP, SCCB, etc., those changes that affect the RFFO Functions, Responsibilities and Authorities Manual (FRAM) will be revised. The revisions will ensure that lead and support organizations are properly aligned to

DOE requirements drivers and are linked to the EM-Level 1 FRAM. This linkage will ensure that an effective integrated safety management program is defined at the RFFO.

GO will issue a call for revisions to the FRAM from each affected RFFO organization that is responsible for the evaluation and revision. GO will revise the document and issue a draft for comments and final document upon approval.

Responsible Organization: GO

**RE 3b
Inform AFGE**

**RE 4
WBS 2.1
Develop Individual Functions And Responsibilities**

Products: Individual Position Descriptions.

Activity Description: Develop individual functions and responsibilities. The PD process flows from the definition of organizational roles and functions as modified through defining staffing levels. Staffing levels are in turn dependent on the available RFFO budget. It is the job of the DR to organize work around the office's function, and then to define the knowledge, skills and abilities required by the subordinate positions. PD's are written based on the required knowledge, skills and abilities, and are submitted for classification relative to both job series and grade level. GO will classify the positions according to preset criteria.

Responsible Organization: All

**RE 5
Establish RFFO Performance Plan**

Products: Site Performance Plan.

Activity Description: Establish Site Performance Plans. Headquarters establishes the performance plan for the RFFO Manager. In turn, the Office of the Manager selects the rating system to be employed, such as 360, traditional 5-level, pass-fail, etc.

OOM establishes performance plans for their DRs. GO provides training for supervisors on the performance planning system chosen by OOM, and it is the obligation of line supervisors to attend this training. Generic portions of the performance plans (if applicable) are written by supervisors. Supervisors write the position-specific portion of the performance plans, based upon the organizational needs, consistent with the individual PD. GO subsequently administers the performance appraisal system and tracks the results.

Inputs: DOE HQ

Responsible Organization: OOM

**RE 6
Establish Organizational Performance Plan**

Products: Organizational Performance Plans

Activity Description: Expectations of individual DR organizations flow down from the overall matrix of RFFO functions and responsibilities.

RE Rev 1 02/12/98

Based upon organizational roles and functions, expectations of the individual DR organizations can be set by the Office of the Manager, in the individual DR's performance appraisal plan.

The OOM can also set organizational goals in an organizational performance appraisal plan, with performance bonuses which could be given to organizations as a whole and shared by their employees. When clear organizational expectations are established, and when a staffing analysis based upon those expectations is performed, the expectations of the individual employees can be established.

Responsible Organization: All

**RE 7
Establish Individual Performance Plans**

Products: Individual Performance Plans.

Activity Description: Expectations of individual performance flow from the expectations placed on the organization and should be consistent with and clearly defined within the roles and responsibilities of the organization. The establishment of clearly defined and measurable expectations is critical to fostering individual performance by communicating to the employees the products expected and the level of quality of these products.

Expectations are defined first by establishing the PD, which defines the general duties of the position, the grade level, and the knowledge, skills and abilities required to perform these duties successfully. The Performance Plan

translates the PD into an annual employee work plan, defining specific products expected and the desired quality. Annual and mid-year performance appraisals provide the employee with direct feedback on performance, further defining the supervisor's expectations. If necessary, Performance Improvement Plans and counseling by supervisors provide remedial guidance for employees on expectations.

Responsible Organization: All

**RE 8
Develop Individual Development Plans**

Products: IDP's.

Activity Description: Develop Individual Development Plans (IDP). IDP's are developed by employees and supervisors to record an employee's short and long range employment goals and how the employee can best meet those goals. The IDP can also include formal training, detail assignments, and on-the-job training which are needed to improve or enhance performance. IDP's can also be developed for special training programs and for new or probationary supervisors.

Responsible Organization: All

**RE 9
Perform/Accomplish Training And Qualifications Per IDP's**

Activity Description: Perform and accomplish Training & Qualifications per IDP's. The Training and Qualifications function schedules training classes for employees, determines

which positions are covered by the technical qualifications program and monitors employees' completion of the requirements. Training and Qualifications receives requests from individuals to attend specific training and then schedules the attendance at the courses. Failure to satisfactorily complete the requirements in the allotted time requires removal from the position.

Responsible Organization: GO

**RE 10
Individual Performance And Results**

Products: Individual Recognition.

Activity Description: Measures individual performance and results. An individual's performance is measured against the expectations in the performance plan. The employee's performance results are evaluated during the performance appraisal process.

The purpose of individual awards is to reward employees through monetary or non-monetary recognition of service or accomplishment. Monetary recognition includes, but is not limited to, Exceptional Achievement Awards, Quality Step Increases, Special Act or Service Awards, and Suggestion Awards. Non-monetary recognition includes such items as Career Appreciation Plaques, Distinguished Career Service Awards, Exceptional Service Awards, Non-Departmental Honor Awards, PRAISE Store Awards, Time-Off Awards, and Unsung Hero/Heroine Awards. Employees can be nominated for individual awards either by their supervisors or fellow employees in the

case of Unsung Hero/Heroine Awards. Employees are eligible for Suggestion Awards based on individual own initiative. The RFFO Manager/Deputy Manager approves all awards over \$2,000 for non-SES employees. The Awards Review Board recommends approval/disapproval of all awards over \$2,000.

Responsible Organization: All

**RE 11
Organizational Assessments**

Products: Organizational Recognition.

Activity Description: Measures organizational performance and results. The purpose of organizational recognitions are to reward employee teams through monetary or non-monetary recognition of service or accomplishment. Monetary recognition includes Exceptional Achievement Awards, Special Act or Service Awards, and Suggestion Awards. Non-monetary recognition may include such items as Exceptional Service Awards and PRAISE Store Awards (RFFO golf balls would be nice, for example). Teams can be nominated for organizational awards by Group Leads and supervisors. The Awards Review Board recommends approval/disapproval of all team awards prior to payment.

Responsible Organization: All

**RE 12
RFFO Performance And Results**

Products: RFFO Recognition and Ultimate Closure.

Activity Description: Measures RFFO performance and results. The purpose of the recognition program is to reward RFFO employees through monetary or non-monetary recognition of service or accomplishment. When a significant service or accomplishment is completed that brings us closer to our ultimate mission of Site Closure and all employees either directly or indirectly had a hand in this service or accomplishment, an RFFO award would be appropriate. RFFO awards recognize significant Site-wide services or accomplishments that will ultimately lead us to closure. The RFFO Manger/Deputy Manager makes the nomination. DOE-DOE HQ approves this award.

Inputs: DOE HQ

Responsible Organization: OOM

**RE 13
Employee Performance Appraisals**

Products: Individual Performance Appraisals

Activity Description: Supervisors, coworkers and self rate individual's performance. The Performance Appraisal is the formal appraisal of the employees accomplishments for the rating period. It is based on assigned performance standards which reflect organizational goals and requirements and assigned job responsibilities. Successful completion of assigned responsibilities may earn the employee an individual award while failure to meet the required standards will necessitate being placed on a Performance Improvement Plan.

Responsible Organization: All

**RE 14
Positive Feedback**

Activity Description: Supervisor reviews individual's performance and IDP. The review is positive.

Responsible Organization: All

**RE 15
Performance Improvement Counseling**

Activity Description: Supervisor reviews individual's performance and IDP. The review is negative and leads to performance improvement counseling.

Responsible Organization: All

**RE 16
Performance Improvement Plan**

Activity Description: Any individual whose performance is rated either marginal or unsatisfactory will be put on the Performance Improvement Plan (PIP). A PIP is developed for an employee by the supervisor when that employee has failed to pass one or more critical element of the assigned performance plan. The PIP is developed to provide the employee with the knowledge and skills required to successfully accomplish assigned duties. During the improvement period, the employee and supervisor meet to discuss progress towards improving the performance to a fully successful level.

Responsible Organization: All

**RE 17
Performance Improved?**

Activity Description: Supervisors evaluate whether the marginal or unsatisfactory performer has improved. If yes, the improvement will be reflected in the individual's performance appraisal. If no, the individual may be terminated.

Responsible Organization: All

**RE 18
RFFO Assessment Process Flow**

**RE 18.1
Assess Accomplishments and Goal Attainment**

Product: Formal assessment report against performance goals.

Activity Description: All organizations assess their accomplishments against performance goals. Organizational assessments are forwarded to Internal Assessment, who then prepare the RFFO Assessment. The RFFO Assessment will be forwarded to OOM for review and to PPI for use in the annual baseline closeout.

Input: Organizational Performance Plans.

Responsible Organization: All

**RE 18.2
Prepare Recommendations To OOM and DR's For Improvement And Recognition**

Products: Memorandum from Internal Assessment recommending improvements and recognition as appropriate.

Activity Description: Internal Assessment will prepare and forward any improvement recommendations or recommendations for recognition to the OOM and the DR's.

Responsible Organization: IA

**RE 18.3
Develop Organizational Improvement Plan**

Products: Organizational Improvement Plan.

Activity Description: Each organization will prepare an improvement plan based on Internal Assessments recommendations and OOM's comments.

Responsible Organization: All

**RE 18.4
Track Progress**

Products: Progress Reports on each organization.

Activity Description: Direct Reports track progress of their organization and report to Internal Assessment, who prepare the progress report.

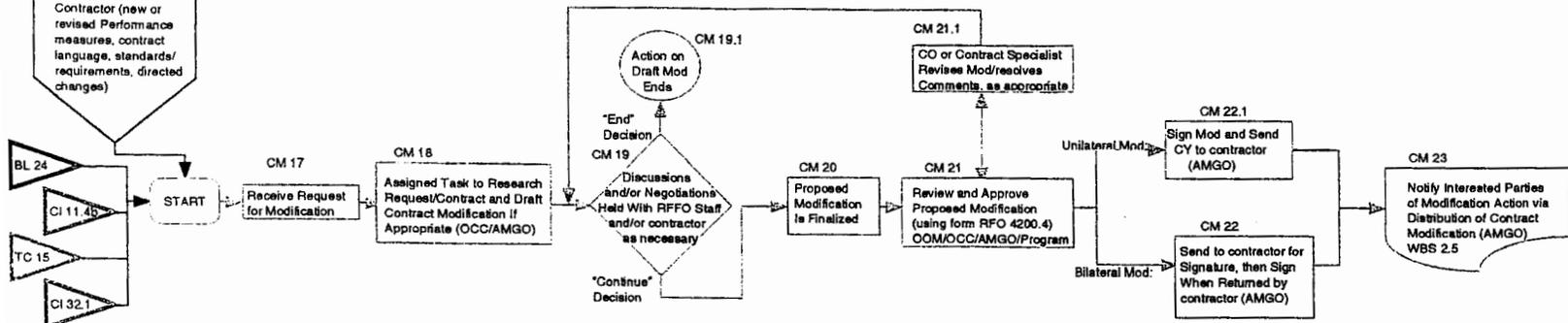
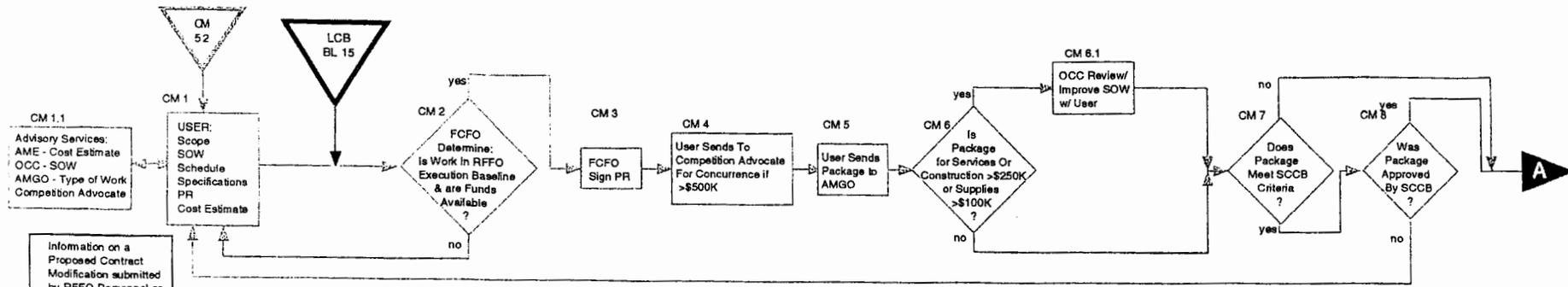
Responsible Organization: All

RFFO EFFECTIVENESS AND EFFICIENCIES (RE)

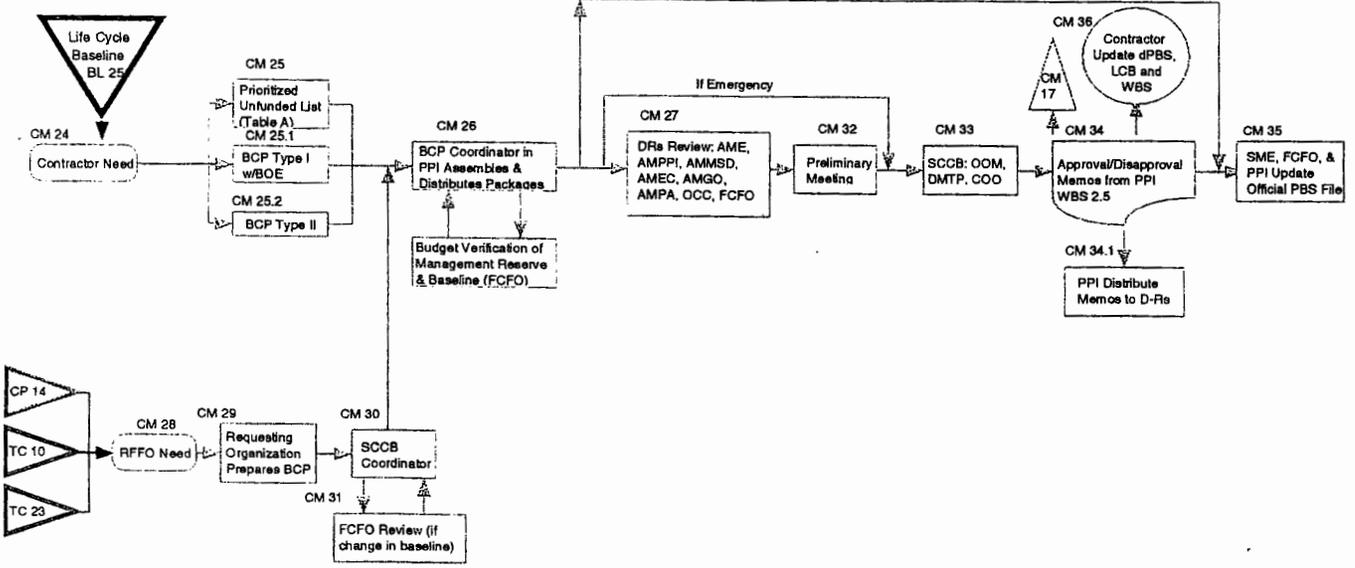
PROCESS STEP	WBS #	ACTIVITY	RESP. ORG.
RE 1		RFFO Functional Responsibilities	OOM
RE 1.1		GO Issues Changes to DR's in Memo	GO
RE 1.2		DR's Analyze Impacts	All
RE 1.3		GO Consolidate and Analyze Impacts	GO
RE 1.4		GO Recommends Changes to OOM/COO/CRDM	GO
RE 1.5		OOM/SCCB Act on Recommended Changes	OOM
RE 2		Organization Functions and Responsibilities	All
RE 3		Develop RFFO Staffing Plan	GO
RE 4	2.1	Develop Individual Functions and Responsibilities	All
RE 5		Establish RFFO Performance Plan	OOM
RE 6		Establish Organizational Performance Plan	All
RE 7		Establish Individual Performance Plans	All

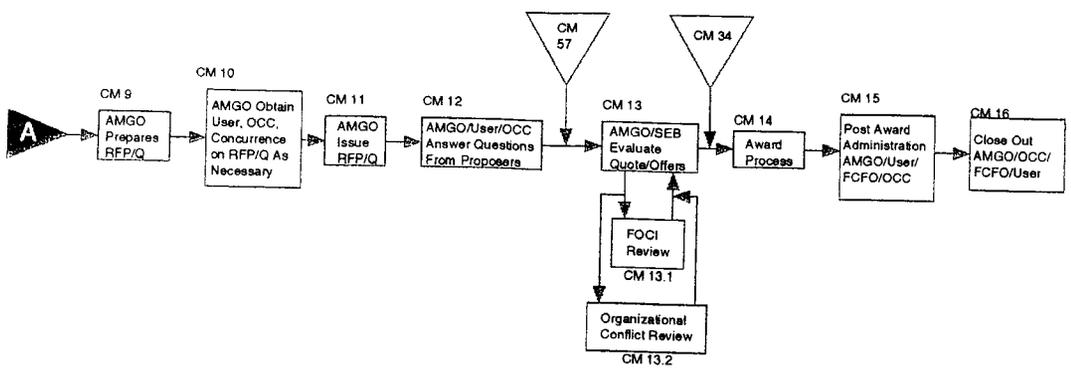
PROCE SS STEP	WBS #	ACTIVITY	RESP. ORG.
RE 8		Develop Individual Development Plans	All
RE 9		Perform/Accomplish Training and Qualifications per IDPs	GO
RE 10		Individual Performance and Results	All
RE 11		Organizational Assessments	All
RE 12		RFFO Performance and Results	OOM
RE 13		Employee Performance Appraisals	All
RE 14		Positive Feedback	All
RE 15		Performance Improvement Counseling	All
RE 16		Performance Improvement Plan	ALL
RE 17		Performance Improved?	ALL
RE 18.1		Assess Accomplishments & Goals	All
RE 18.2		Prepare Recommendations to OOM & DR's for Improvement & Recognition	IA
RE 18.3		Develop Organizational Improvement Plan	All
RE 18.4		Track Progress	All

CM - Contract Management Enabling Process Flow



Type II BCPs Only





CONTRACT MANAGEMENT ENABLER (CM)

PROCESS DESCRIPTION

The Contract Management process is an enabling process required by several of the critical processes. The scope of the Contract Management Enabling process is the solicitation, award, administration and close out of all contracts and financial assistance vehicles held by RFFO. Four distinct sub-processes have been developed and are described below: procurement, contract modification, Site Change Control Board, and acquisition planning and approval.

The procurement sub-process describes in general terms the steps necessary to procure services or equipment necessary for the Rocky Flats Field Office (RFFO) to achieve its mission of eliminating barriers to Site closure.

The contract modification sub-process describes the steps for modifying the contract RFFO holds with the Site contractor. This sub-process is necessary to complete portions of the Terms and Conditions, Baseline Management, and Contractor Performance Incentives/Improvements critical processes. This sub-process can also be used as a guide in modifying most contracts held by RFFO.

The Site Change Control Board (SCCB) sub-process describes the steps for changing the Site contractor's cost baseline and the RFFO cost baseline. This sub-process is necessary to complete the Baseline Management process. It is also necessary to complete the Clo-

sure Plan process because the SCCB is the approval authority for the Rocky Flats Closure Plan.

The acquisition planning and approval sub-process focuses RFFO on procuring the right services and equipment for achieving its mission of eliminating barriers to Site closure. This sub-process makes use of the SCCB to approve acquisitions over certain thresholds.

KEY PRODUCTS

The Contract Management enabling process was developed to support major RFFO products.

The procurement sub-process results in RFFO acquiring services and equipment necessary for mission achievement.

The contract modification sub-process results in the contract modifications necessary to add, change or delete fee-bearing performance measures or rating plans for the Site contractor; add, change or delete the terms and conditions contained in the Site contract; or add, change or delete contractual requirements as desired by the SCCB.

The SCCB sub-process results in changes to the Site contractor's cost baseline and Life Cycle Baseline (LCB) at thresholds established by the SCCB.

The acquisition planning and approval sub-process results in a long-range acquisition plan, a two-year acquisition plan, and procurements approved by the SCCB.

PROCESS INTERFACES

The Contract Management enabling process interfaces with many of the critical processes.

The procurement sub-process interfaces with the Baseline Management process to ensure that sufficient funding has been set aside in the RFFO cost baseline for the procurement under consideration. It also interfaces with the same process again to return any unneeded funds after a procurement action has been awarded.

The contract modification sub-process interfaces with the Terms and Conditions process to add, change or delete the terms and conditions contained in the Site contract. It also interfaces with the Contractor Performance Incentives/Improvements critical process to add, change or delete fee-bearing performance measures or rating plans for the Site contractor. It also interfaces with the Baseline Management process to add, change or delete contractual requirements as desired by the SCCB.

The SCCB sub-process interfaces with the Terms and Conditions process to approve the addition, modification or deletion of terms and conditions that negatively impact the Site contractor's cost baseline or LCB. It also interfaces with the Closure Plan process as the approval authority for the Rocky Flats Closure Plan. It also interfaces with the Baseline Management process as the approval authority for the Life Cycle Baseline and the annual performance baseline.

The acquisition planning and approval process interfaces with the Closure Plan process in that the long-range acquisition plan is a lower tier plan that must tie to the Closure Plan. The long-range plan also interfaces with the Field Budget Submission process because the long-range acquisition plan is to be used by RFFO organizations in developing their organizational budget requests.

PROCUREMENT SUB-PROCESS

CM 1

User Preparation of Contract-Specific Items

Activity Description: The Procuring Organization prepares the Contract Statement of Work (SOW), Description of Scope, Schedule, Specifications, Procurement Request (PR) and Cost Estimate, with the help of AMGO, OCC, AME and the Competition Advocate.

Inputs: The Acquisition Plan from either AMGO or the Site Change Control Board (SCCB).

Responsible Org.: The procuring Organization.

CM 1.1

Advisory Services

Activity Description: Organizations are prepared to assist requesting organizations in the preparation of the procurement package. OCC can assist with the Statement of Work, AME can assist with government cost estimates, AMGO can provide overall advice, and the

Competition Advocate can assist with the type of competition necessary.

Responsible Org.: AMGO

CM 2, CM 3

Review of Package by FCFO

Activity Description: FCFO determines if the goods or services are within the RFFO Baseline, and whether sufficient funds are available for the acquisition.

Inputs: Life Cycle Baseline and annual performance baseline.

Outputs: If the package passes both tests, FCFO signs the PR.

Responsible Org.: FCFO

CM 4

Review by Competition Advocate

Activity Description: The solicitation proposal is reviewed with the Competition Advocate to determine if there is agreement on the level of competition for the award.

Outputs: If agreement is reached, the package goes to CM 5; if not, the level of competition is determined by the Contracting Officer or Head of Contracting Activity, after consultation with the procuring organization, AMGO and OCC.

Responsible Org.: FCFO

CM 5

User Sends Package to AMGO

Activity Description: User sends the procurement package to AMGO to start processing.

Responsible Org.: Requesting Organization

CM 6, CM 6.1

Is Package for Services or Construction > \$250K or Supplies > \$100K?

Activity Description: AMGO sends the procurement package to OCC for an up-front review of the Statement of Work, if the expected cost passes certain thresholds. The purpose of this step is to resolve issues early in the process.

Responsible Org.: AMGO

CM 7, CM 8

Does Package Meet SCCB Criteria?

Activity Description: If the package meets certain thresholds established by the SCCB, AMGO will ensure that the package has been previously approved by the SCCB.

Responsible Org.: AMGO

CM 9

Preparation of Solicitation

Activity Description: Preparation of the solicitation package for dissemination by AMGO.

Responsible Org.: AMGO

**CM 10
Obtain Concurrences**

Activity Description: All necessary concurrences are obtained for the RFP/RFQ, including the procuring organization and OCC.

Responsible Org.: AMGO

**CM 11
Issue Solicitation**

Activity Description: The Solicitation is sent out to the dissemination list of potential bidders/proposers, and the solicitation is advertised or summarized in the Congressional Business Daily, if and as required.

Responsible Org.: AMGO

**CM 12
Answer Questions from Proposers**

Activity Description: If required, conferences or Question and Answer opportunities are held with or given to prospective bidders or proposers, followed by their Best and Final Offers.

Outputs: Final proposals or offers.

Responsible Org.: AMGO

**CM 13
Evaluation of Bids/Proposals**

Activity Description: All final bids or proposals are evaluated by AMGO or the Source Selection Board to determine the best offer (lowest

cost, responsible, responsive bidder, best value proposal, etc.)

Inputs: SCCB price determination

Outputs: If the offers exceed the SCCB ceiling on price, the SCCB and AMGO must determine whether to proceed with the acquisition, reformulate and re-solicit the procurement, or terminate it.

Responsible Org.: AMGO

**CM 13.1, CM 13.2
Review of Selected Offeror**

Activity Description: The selected offeror must be reviewed for FOCl and organizational conflicts before award.

Responsible Org.: OCC

**CM 14
Contract Award Process**

Activity Description: After any required pre-award notifications, the award is made and announced, debriefings offered and held, and any protests considered and decided.

Outputs: Successful protests could require a re-solicitation or new award.

Responsible Org.: AMGO

**CM 15
Post-Award Administration**

Activity Description: With contract implementation, administration may include invoice review, contract modification or interpretation, audits, performance oversight, etc.

Responsible Org.: AMGO

**CM 16
Contract Close Out**

Activity Description: Upon completion of the contractor's performance, necessary inquiries and verifications are made, final audits and invoices are processed, and the contract is formally ended.

Outputs: Baseline management for applying excess funds to unfunded activities.

Responsible Org.: Procuring organization, AMGO

CONTRACT MODIFICATION SUB-PROCESS

**CM17
Receive Request for Modification**

Outputs: Request for modification is assigned to the Contract Administrator for processing.

Activity Description: Upon receipt of a request for modification to a contract, the contracting officer reviews the request for modification and assigns the action to the contract administrator

responsible for the administration of the contract.

Inputs: Inputs will include a purchase request, requested changes to the contract which require modification, an independent government estimate and any other information which may be appropriate to the modification.

Responsible Org.: The responsible organization may be any organization within RFFO which is receiving services or supplies by contract, or has delegated administrative oversight responsibilities for a contractual action.

CM18
Assign Task to Research Request/Contract and Draft Contract Modification if Appropriate

Outputs: Draft modification or decision not to modify the contract

Activity Description: The request for modification is reviewed by the contract administrator for any administrative inconsistencies or conflicts with the basic contractual agreement. If a modification is appropriate, the contract administrator will draft the modification and prepare a coordination package for the document.

Inputs: The decisions of the administrative contracting specialist based upon the information received from the requesting organization and applicable Federal Acquisition Regulatory requirements.

Responsible Org.: AMGO

CM19
Discussions and/or Negotiations Held With RFFO Staff and/or Contractor as Necessary

Outputs: Decision to modify the contract and how to modify the contract.

Activity Description: The Administrative Contracting Specialist prepares the modification and discusses the modification with the requesting activity. All changes and/or corrections are incorporated into the modification.

Inputs: The decisions of the administrative contracting specialist based upon the information received from the requesting organization and applicable Federal Acquisition Regulatory requirements. All review comments and discussions of the modification and other information which was inadvertently omitted from the modification request package.

Responsible Org.: The responsible organization may be any organization within RFFO which is receiving services or supplies by contract, or has delegated administrative oversight responsibilities for a contractual action, AMGO, OCC and the Contractor as applicable.

CM19.1
Action on Draft Mod Ends

Outputs: Decision not to modify the Contract

Activity Description: The administrative contracting specialist prepares the modification and discusses the modification with the requesting activity. The decision not to modify

the contract is made. The Administrative Contracting Specialist ends the modification process.

Inputs: The decisions of the administrative contracting specialist based upon the information received from the requesting organization and applicable Federal Acquisition Regulatory Requirements. All review comments and discussions of the modification and other information and the Contracting Officer's opinion. The process is documented in the contract file.

Responsible Org.: The responsible organization may be any organization within RFFO which is receiving services or supplies by contract, or has delegated administrative oversight responsibilities for a contractual action, AMGO, and the Contractor, as applicable.

CM20
Proposed Modification Is Finalized

Outputs: Modification sufficient for negotiation and/or approval

Activity Description: The proposed modification is finalized and all applicable documentation are placed in a review file to begin the process of review.

Inputs: The decisions of the administrative contracting specialist based upon the information received from the requesting organization and applicable Federal Acquisition Regulatory Requirements. All review comments and discussions of the modification and other information including the Contracting Officer's recommendation.

Responsible Org.: AMGO

**CM21
Review and Approve Proposed Modification (using for RFO 4200.4)**

Outputs: Modification package sufficient for review.

Activity Description: Modification package is reviewed by OCC for legal sufficiency and conflicts, both contractual and administrative; the FCFO reviews the funding for applicability and availability; and the Program Office, OOM, and AMGO review the package to determine if the modification is in the best interest of the Site.

Inputs: Comments resulting from the review process.

Responsible Org.: AMGO

**CM 21.1
CO or Contract Specialist Revises Mod/Resolves Comments, As Appropriate**

Outputs: Revised Modification Package which includes comments and recommendations.

Activity Description: Administrative Contract Specialist or Contracting Officer revises package to include comments received during the review cycle.

Inputs: Comments resulting from the review process.

Responsible Org.: AMGO

CM Rev I 02/12/98

**CM 22
Send to Contractor for Signature then Sign When Returned by Contractor**

Outputs: Bilateral modification of the Contract

Activity Description: The bilateral modification is forwarded to the Contractor for signature signifying acceptance of the terms and conditions of the modification. The Contracting Officer then signs the modification which obligates the Government and the Contractor to the terms and conditions of the modification.

Inputs: Signatures of an authorized agent of the Contractor and signature of a Contracting Officer.

Responsible Org.: AMGO

**CM 22.1
Sign Modification and Send Copy to Contractor**

Outputs: Unilateral modification to the Contract

Activity: The unilateral modification is signed by the Contracting Officer obligating the Government and the Contractor to the terms and conditions of the modification

Inputs: Signature of the Contracting Officer

Responsible Org.: AMGO

**CM 23
Notify Interested Parties of Modification Action via Distribution of Contract Modification**

Outputs: Completed modification process.

Activity: The modification is distributed. One original copy of the modification is placed in the contract folder file, one original copy is forward to the Contractor, and one original copy is forwarded to finance. A copy is forwarded to the using activity or any other interested organization.

Inputs: Signature of the Contracting Officer.

Responsible Org.: AMGO

RFFO SITE CHANGE CONTROL BOARD SUB-PROCESS

Products: Lifecycle and Annual Baseline (detailed Project Baseline Summaries - dPBSs) approval. Approved changes in scope, schedule, and costs associated with the Annual and Lifecycle Baselines, Changes in the Work Breakdown Structure (WBS).

Activity Description: Thresholds for SCCB actions included in the annual RFFO internal budget and PEG guidance. Annual baselines provided by RFFO and the Contractor. Proposed Baseline change Proposals provided by RFFO and the Contractor.

Inputs: Contractor, FCFO, All RFFO Orgs.

Responsible Org: PPI

CM 24

Contractor Need

Products: Lifecycle Baseline (LCB), Annual Baseline or Annual Work Plan (dPBSs), WBS Dictionary, Baseline Change Proposals (BCPs)

Output: Approved baseline or changes to either the Annual and Lifecycle baselines.

Activity Description: Based on Lifecycle baseline (LCB) and PEG guidance, Contractor shall either provide an annual baseline (AB) or Work Plan (WP) to be approved by the SCCB, or make changes in cost, scope and schedule to the approved LCB or AB/WP. This activity includes changes in the WBS. Contractor need is established based on annual PEG guidance, required changes to the AB, WBS, or LCB.

Inputs: LCB, AB/WP, BCP by Contractor.

Responsible Org.: PPI

CM 25

BCP Input Requirements

Products: Prioritized Unfunded List, Contractor Table "A" Funding Table, Management Reserve Ledger

Output: Reviewed Prioritized Unfunded List, Contractor Table "A" Funding Table, Management Reserve Ledger

Activity Description: The above documents are provided to DOE RFFO PPI for review.

Inputs: Prioritized Unfunded List, Contractor Table "A" Funding Table, Management Reserve Ledger from Contractor.

Responsible Org.: PPI

CM 25.1

Contractor Type I Baseline Change Proposal

Products: Contractor Type I Baseline Change Proposal

Output: Reviewed Contractor Type I Baseline Change Proposal

Activity Description: The Contractor Type I Baseline Change Proposal is reviewed by PPI to determine if applicable to PEG and SCCB thresholds.

Inputs: Contractor Type I Baseline Change Proposal

Responsible Org.: PPI

CM 25.2

Contractor Type II Baseline Change Proposal

Products: Contractor Type II Baseline Change Proposal

Output: Reviewed Contractor Type II Baseline Change Proposal

Activity Description: The Contractor Type II Baseline Change Proposal is reviewed by PPI

to determine if applicable to PEG and SCCB thresholds.

Inputs: Contractor Type II Baseline Change Proposal

Responsible Org.: PPI

CM 26

Coordination and Distribution of BCP Packages

Products: Annual Baseline or BCP review packages to Direct Reports

Output: Review packages with SCCB agenda, revised Unfunded list, Table "A", Management Reserve Ledger, Open Action Items List, Contractor Type I and RFFO BCPs are provided to Direct Reports. Direct Reports should have relevant documents reviewed by staff Points of Contact (POCs). Contractor Type II BCPs are provided to the Direct Reports for review and information only.

Activity Description: The SCCB Coordinator prepares and distributes packages containing the above documents. SCCB Coordinator also schedules pre- and main SCCB meetings, and verifies with the Budget Group that Table "A" and Management Reserve Ledgers reconcile in both DOE and Contractor financial systems.

Inputs: SCCB agenda, revised Unfunded list, Table "A", Open Action Items List, Management Reserve Ledger, RFFO and Contractor Type I and Type II Baseline Change Proposals.

Responsible Org.: PPI, FCFO

CM 27

Direct Report/Points of Contact Reviews

Products: Completed reviews, comments, and recommendations for baseline or BCP approval.

Output: Completed reviews, comments, and recommendations for baseline or BCP approval.

Activity Description: Direct Reports should have relevant documents reviewed by staff Points of Contact (POCs). POCs should provide DRs comments and recommendations for baseline or BCP approval. POCs should review the dPBSs/BCPs for the following information: 1) Does the work scope make sense and are any changes justified? 2) Is the work scope/changes consistent with the LCB/Closure Plan? 3) Are Authorization Basis issues covered? 4) Are safety issues covered? 5) Are QA/QC issues covered? 6) Is the cost estimate consistent with the work scope? 7) Is the schedule consistent with the work scope? 8) Is the schedule consistent with the LCB/Closure Plan? 9) Are assumptions valid? 10) Are changes real or perceived (i.e. - bad estimates, unscoped work)? 11) Are adequate resources available and loaded? 12) Are adequate project controls in place? 13) Are milestones value-added and realistic? 14) Does the sequence of work make sense and is it consistent with the schedule? 15) Are restraints and constraints identified? 16) Is the administrative information complete (i.e. dPBS#, WBS#, approvals complete, dates,

etc.)? 17) Are impacts to changes in scope, schedule and cost identified? 18) Are other alternatives presented to minimize impacts/changes (i.e. value engineering, cost reduction, cost benefit analysis, etc.)?

Inputs: Baseline or BCP review packages.

Responsible Org.: AMPPI

CM 28

RFFO Need

Products: Determination of need for change in RFFO baseline.

Output: RFFO Internal BCP

Activity Description: RFFO organization determines a need to change RFFO internal or Contractor baseline.

Inputs: Staff recommendation for baseline change; changes conditions.

Responsible Org.: Requesting Organization

CM 29

Requesting Organization Prepares RFFO Internal BCP

Products: RFFO Internal Baseline Change Proposal

Output: Completed and Reviewed RFFO Internal Baseline Change Proposal

Activity Description: The requesting organization prepares the RFFO Internal BCP. The

originator requests a RFFO BCP tracking and Control Number from the SCCB Coordinator in PPI. The BCP is approved by the organization's DR and forwarded to the SCCB Coordinator.

Inputs: RFFO Internal Baseline Change Proposal Form

Responsible Org.: Requesting Organization

CM 30

SCCB Coordinator Review

Products: Reviewed RFFO Internal Baseline Change Proposal

Output: Reviewed RFFO Internal Baseline Change Proposal

Activity Description: SCCB Coordinator reviews RFFO Internal Baseline Change Proposal for completeness and to determine if applicable to SCCB thresholds. Forwards to FCFO to determine availability of funds. After funds availability is determined, forwards copy back to originator.

Inputs: RFFO Internal Baseline Change Proposal

Responsible Org.: PPI

CM 31

Contractor Type I Baseline Change Proposal

Products: Reviewed RFFO Internal Baseline Change Proposal

Output: Reviewed RFFO Internal Baseline Change Proposal with funding authorization

Activity Description: SCCB Coordinator submits RFFO Internal Baseline Change Proposal to FCFO Budget Group. FCFO review BCP and determine availability of funds in RFFO Management Reserve. Also reviews appropriate cost coding. BCP is signed indicating availability of funds. Forwards back to SCCB Coordinator for inclusion into SCCB review packages.

Inputs: RFFO Internal Baseline Change Proposal

Responsible Org.: FCFO

**CM 32
Monthly SCCB Pre-meeting**

Products: Reviewed baseline or BCP packages.

Output: Recommendations to SCCB by POCs through DRs to approve, disapprove or approve with modifications the annual baseline or BCP action.

Activity Description: DR's, through POCs, meet with COO and DMTP and discuss issues associated with baseline or BCP approvals. Provide recommendations to SCCB. Open action items from the previous SCCB meetings are discussed.

Inputs: Reviewed BCPs by RFFO staff.

Responsible Org: AMPPI

**CM 33
Site Change Control Board Meeting**

Products: Approved baselines and/or Contractor Type I and RFFO Internal Baseline Change Proposals

Output: Approved baselines and/or Contractor Type I and RFFO Internal Baseline Change Proposals

Activity Description: Baseline, or BCPs, Unfunded List, Action Items List, and Management Reserve Ledger are presented to the SCCB. Based on DR recommendations, the baseline and/or BCPs are approved, disapproved, or approved as modified. Management Reserve Ledger and Action Items List is updated. Meeting minutes are prepared. Action items are reviewed and either tabled or closed out.

Inputs: Baselines and/or Contractor Type I and RFFO Internal Baseline Change Proposals, DR recommendations.

Responsible Org: PPI

**CM 34
Meeting Results**

Products: Approved, disapproved or approved as modified baselines and/or Contractor Type I and RFFO Internal Baseline Change Proposals, updated Action Items list, meeting minutes, and updated Management Reserve Ledger.

Output: Approved, disapproved or approved as modified baselines and/or Contractor Type I and RFFO Internal Baseline Change Proposals, updated Action Items list, meeting minutes, and updated Management Reserve Ledger.

Activity Description: SCCB Coordinator prepares final meeting minutes, updated Action Items list, signed Baseline (dPBSs) or BCPs, and revised Management Reserve Ledger. This information is forwarded to the Contractor, who updates the milestone listings, Contractor baseline, Contractor Action List, accounting ledgers and implements changes. Contractor also updates LBC, WBS, and dPBSs as appropriate. SCCB Coordinator provides copies to the RFFO DRs for final review and filing.

Inputs: Approved, disapproved or approved as modified baselines and/or Contractor Type I and RFFO Internal Baseline Change Proposals, updated Action Items list, meeting minutes, and updated Management Reserve Ledger.

Responsible Org: PPI

**CM 35
Final Staff Actions**

Products: Approved, disapproved or approved as modified baselines and/or Contractor Type I and RFFO Internal Baseline Change Proposals, updated Action Items List, meeting minutes, and Management Reserve Ledger.

Output: File copies of Baseline, BCPs. Updated RFFO accounts ledger.

Activity Description: SCCB Coordinator delivers final meeting minutes, updated Action Items List, signed Baseline (dPBSs) or BCPs, and revised Management Reserve Ledger to DRs and FCFO. FCFO updates accounting ledgers and implements funding changes. Contracting Officer prepares contract modifications as required. DRs or POCs as appropriate update organizational working files by filing BCPs with dPBSs. SCCB Coordinator retains copies of all documentation in SCCB files, maintains controlled copies of baseline (dPBSs) with changes by BCP, and second set of BCPs filed by numerical tracking order.

Inputs: Approved, disapproved or approved as modified baselines and/or Contractor Type I and RFFO Internal Baseline Change Proposals, updated Action Items list, meeting minutes, and updated Management Reserve Ledger.

Responsible Org: PPI

ACQUISITION PLANNING AND APPROVAL SUB-PROCESS

CM 37 AMGO Issues Call for Long-range Acquisition Plan

Products: Long-range Acquisition Plan call letter.

Outputs: Direction and guidance to the direct reports on input necessary for preparation of the Long-range Acquisition Plan.

Activity Description: AMGO prepares and transmits a call letter to all direct report organizations requesting long-range acquisition information in a specified format. Thresholds for being included in the Long-range Acquisition Plan will be established by procedure. This activity takes place about one month after issuance of the RFCP.

Inputs: The Rocky Flats Closure Plan (RFCP) is used as an input to this process so that any long-range RFFO acquisitions discussed in the RFCP can be specifically cited in the call letter.

Responsible Org.: AMGO

CM 38 DRs Complete Call Information and Submit to AMGO

Outputs: Information for inclusion in the Long-range Acquisition Plan in the format specified by AMGO.

Activity Description: Direct Report organizations complete the request for information. Organizations are to determine all their acquisition needs, above specified thresholds, for the remaining time to Site closure.

Inputs: Long-range Acquisition Plan call letter.

Responsible Org.: All

CM 39 AMGO Integrates Input and Prepares Draft Long-range Plan

Outputs: Draft Long-range Acquisition Plan

Activity Description: AMGO ensures input has been received from all direct report organizations and integrates the input to ensure all requests are in accordance with the Rocky Flats Closure Plan and are not duplicative. In addition, AMGO checks received input against the Life Cycle Baseline (LCB) to identify any requests that have not been previously incorporated into the LCB. AMGO also works with the direct report organizations to recommend intermediate milestones for tracking progress in planning acquisitions contained in the draft Long-range Acquisition Plan.

Inputs: Direct Report responses to the Long-range Acquisition Plan call letter.

Responsible Org.: AMGO

CM 40 AMGO Issues Draft for Comment

Outputs: Draft Long-range Acquisition Plan.

Activity Description: AMGO issues the draft Long-range Acquisition Plan to the Direct Report organizations for comment.

Inputs: None.

Responsible Org.: AMGO

**CM 41
DRs Review/Comment on Draft**

Outputs: Comments on the Draft Long-range Acquisition Plan

Activity Description: Direct Report organizations provide any comments, or resolve any questions, they have on the Draft Long-range Acquisition Plan.

Inputs: Draft Long-range Acquisition Plan.

Responsible Org.: All

**CM 42
AMGO Incorporates Comments**

Outputs: None.

Activity Description: AMGO works with responding Direct Report organizations to resolve issues, comments and concerns to the satisfaction of all involved parties.

Inputs: Comments from Direct Report organizations on the Draft Long-range Acquisition Plan.

Responsible Org.: AMGO

**CM 43
AMGO Submits Final to SCCB for Approval**

Outputs: None.

Activity Description: AMGO submits the Long-range Plan to the SCCB for approval.

Inputs: None.

Responsible Org.: AMGO

**CM 44
SCCB Approves**

Products: The Long-range Acquisition Plan.

Outputs: This product is used: to update the RFFO portion of the LCB, as an input to revising the Rocky Flats Closure Plan, and as an input to the Budget Call letter to Direct Report Organizations.

Activity Description: The SCCB approves or disapproves the Long-range Acquisition Plan. If the plan is disapproved, AMGO incorporates the SCCB input and re-enters the process at step CM 39. This step should be completed three months after the issuance of the Rocky Flats Closure Plan.

Inputs: None.

Responsible Org.: AMGO

**CM 45
AMGO Issues Call for Rolling Two Year Acquisition Plan**

Products: Two-year Acquisition Plan call letter.

Outputs: Direction and guidance to the direct reports on input necessary for preparation of the Two-year Acquisition Plan.

Activity Description: AMGO prepares and transmits a call letter to all direct report organi-

zations requesting two-year acquisition information in a specified format. Thresholds for being included in the Two-year Acquisition Plan will be established by procedure. This activity takes place about one month after approval of the Long-range Acquisition Plan.

Inputs: The Long-range Acquisition Plan (RFCP) is used as an input to this process so that all approved long-range RFFO acquisitions discussed in the Long-range Acquisition Plan can be specifically cited in the call letter.

Responsible Org.: AMGO

**CM 46
DRs Complete Call Info and Submit to AMGO**

Outputs: Information for inclusion in the Two-year Acquisition Plan in the format specified by AMGO.

Activity Description: Direct Report organizations complete the request for information. Organizations are to determine all their acquisition needs, above specified thresholds, for the remaining time to Site closure.

Inputs: Two-year Acquisition Plan call letter.

Responsible Org.: AMGO

**CM 47
AMGO Integrates Input and Prepares Draft Two Year Plan**

Outputs: Draft Two-year Acquisition Plan

Activity Description: AMGO ensures input has been received from all direct report organizations and integrates the input to ensure all requests are in accordance with the Long-range Acquisition Plan and are not duplicative. In addition, AMGO checks received input against the Life Cycle Baseline (LCB) to identify any requests that have not been previously incorporated into the LCB. AMGO also works with the direct report organizations to recommend intermediate milestones for tracking progress in planning acquisitions contained in the draft Two-year Acquisition Plan, including when actions must be before the SCCB for approval in step CM 56.

Inputs: Direct Report responses to the Two-year Acquisition Plan call letter.

Responsible Org.: AMGO

**CM 48
AMGO Issues Draft for Comment**

Outputs: Draft Two-year Acquisition Plan.

Activity Description: AMGO issues the draft Two-year Acquisition Plan to the Direct Report organizations for comment.

Inputs: None.

Responsible Org.: AMGO

**CM 49
DRs Review/Comment on Draft**

Outputs: Comments on the Draft Two-year Acquisition Plan

Activity Description: Direct Report organizations provide any comments, or resolve any questions, they have on the Draft Two-year Acquisition Plan.

Inputs: Draft Two-year Acquisition Plan.

Responsible Org.: AMGO

**CM 50
AMGO Incorporates Comments**

Outputs: None.

Activity Description: AMGO works with responding Direct Report organizations to resolve issues, comments and concerns to the satisfaction of all involved parties.

Inputs: Comments from Direct Report organizations on the Draft Two-year Acquisition Plan.

Responsible Org.: AMGO

**CM 51
AMGO Submits Final to SCCB for Approval**

Outputs: None.

Activity Description: AMGO submits the Two-year Acquisition Plan to the SCCB for approval.

Inputs: None.

Responsible Org.: AMGO

**CM 52
SCCB Approves**

Products: The Two-year Acquisition Plan.

Outputs: This product is used to update the RFFO portion of the LCB and to update the RFFO portion of the Field Budget Submission.

Activity Description: The SCCB approves or disapproves the Long-range Acquisition Plan. If the plan is disapproved, AMGO incorporates the SCCB input and re-enters the process at step CM 47. This step should be completed three months after the approval of the Long-range Acquisition Plan.

Inputs: None.

Responsible Org.: AMGO

**CM 53
Requesting Organization Submits Package to AMGO**

Outputs: A procurement package ready to go to the SCCB for approval to proceed.

Activity Description: For all actions on the approved Two-year Acquisition Plan, per the timetable contained in the Two-year Acquisition Plan, requesting organizations prepare procurement packages as described in steps CM 1 and CM 1.1.

Inputs: The Two-year Acquisition Plan.

Responsible Org.: AMGO

CM 54
AMGO, OCC Screen Package for Completeness

Outputs: None.

Activity Description: AMGO and OCC review the packages completed by the requesting organization.

Inputs: Procurement packages.

Responsible Org.: AMGO,

CM 55
Complete?

Outputs: Procurement packages to be submitted to the SCCB for approval.

Activity Description: If AMGO and OCC determine that the package is complete, the package is submitted to the SCCB for approval. If the package is not complete, it is returned to the requesting organization with suggestions on how to complete.

Inputs: None.

Responsible Org.: AMGO

CM 56
SCCB Approves

Outputs: Approved procurement packages.

Activity Description: The SCCB approves or disapproves procurement packages. AMGO coordinates the agenda for the procurement portion of the SCCB meeting. If a package is

not approved, it is returned to the requesting organization by AMGO, with the reason(s) for disapproval.

Inputs: Procurement packages for approval.

Responsible Org.: AMGO

CM 57
Is Award Cost Within 10 Percent of Proposed Cost Approved by SCCB?

Outputs: None.

Activity Description: If the award cost for a procurement exceeds the SCCB approved cost estimate by more than 10 percent, the package must go back to the SCCB for re-approval.

Inputs: Procurements about to be awarded.

Responsible Org.: AMGO

CM 58
Requesting Organizations Brief Status of Major Acquisitions on the Long-range Acquisition Plan

Outputs: None.

Activity Description: Organizations requesting acquisitions in the Long-range Acquisition Plan brief the SCCB on achieving the intermediate milestones contained in the Long-range Acquisition Plan.

Inputs: Long-range Acquisition Plan.

Responsible Org.: AMGO

CONTRACT MANAGEMENT ENABLER (CM)

PROCESS STEP	ACTIVITY	RESP. ORG.
CM 1	USER: Scope, SOW, Schedule, Specifications, PR, Cost Estimate	All
CM 1.1	Advisory Services	FCFO
CM 2	FCFO Determine is work in RFFO execution baseline and are funds available?	FCFO
CM 3	FCFO sign PR	FCFO
CM 4	User sends to Competition Advocate for concurrence	FCFO
CM 5	User sends package to AMGO	ALL
CM 6	Is package for services or construction > \$250K or supplies > \$100K?	AMGO
CM 6.1	OCC review/improve SOW with user	OCC
CM 7	Does package meet SCCB criteria?	AMGO
CM 8	Was package approved by SCCB?	AMGO
CM 9	AMGO prepares RFP/Q	AMGO
CM 10	AMGO obtain user, OCC concurrence on RFP/Q as necessary	AMGO
CM 11	AMGO issue RFP/Q	AMGO
CM 12	AMGO/user/OCC answer questions from proposer	AMGO
CM 13	AMGO/SEB evaluate quote/offers	AMGO
CM 13.1	FOCI review	OCC
CM 13.2	Organizational conflict review	OCC
CM 14	Award process	AMGO
CM 15	Post award administration	AMGO
CM 16	Close out	AMGO
CM 17	Receive request for modification	ALL
CM 18	Assign task to research request/contract and draft contract modification if appropriate	AMGO
CM 19	Discussions and/or negotiations held with RFFO staff and/or contractor as necessary	ALL
CM 19.1	Action on draft mod ends	ALL

CM 20	Proposed modification is finalized	AMGO
CM 21	Review and approve proposed modification	AMGO
CM 21.1	CO or contract specialist revises mod/resolves comments as appropriate	AMGO
CM 22	Send to contractor for signature, then sign when returned by contractor	AMGO
CM 22.1	Sign mod and send copy to contractor	AMGO
CM 23	Notify interested parties of modification action via distribution of contract modification	AMGO
CM 24	Contractor need	PPI
CM 25	Prioritized unfunded list (Table A)	PPI
CM 25.1	BCP Type 1 with BOE	PPI
CM 25.2	BCP Type 2	PPI
CM 26	BCP Coordinator in PPI assembles and distributes packages	PPI
CM 26.1	Budget verification of management reserve and baseline	FCFO
CM 27	DRs review	PPI
CM 28	RFFO need	ALL
CM 29	Requesting organization prepares BCP	ALL
CM 30	SCCB coordinator	PPI
CM 32	Preliminary meeting	PPI
CM 31	FCFO review (if change in baseline)	FCFO
CM 33	SCCB	PPI
CM 34	Approval/disapproval memos from PPI	PPI
CM 34.1	PPI distribute memos to DRs	PPI
CM 35	SME, FCFO, PPI update official PBS file	PPI
CM 36	Contractor update dPBS, LCB and WBS	PPI
CM 37	AMGO issues call for Long Range Acquisition Plan	AMGO
CM 38	DRs complete call info and submit to AMGO	ALL
CM 39	AMGO integrates inputs and prepares draft Long Range Plan	AMGO
CM 40	AMGO issues draft for comment	AMGO
CM 41	DRs review/comment on draft	ALL

CM 42	AMGO incorporates comments	AMGO
CM 43	AMGO submits final to SCCB for approval	AMGO
CM 44	SCCB approves	AMGO
CM 45	AMGO issues call for rolling 2 Year Acquisition Plan	AMGO
CM 46	DRs complete call info and submit to AMGO	AMGO
CM 47	AMGO integrates inputs and prepares draft 2 Year Plan	AMGO
CM 48	AMGO issues draft for comment	AMGO
CM 49	DRs review/comment on draft	AMGO
CM 50	AMGO incorporates comments	AMGO
CM 51	AMGO submits final to SCCB for approval	AMGO
CM 52	SCCB approves	AMGO
CM 53	Requesting organization submits package to AMGO	AMGO
CM 54	AMGO, OCC screen package for completeness	AMGO
CM 55	Complete?	AMGO
CM 56	SCCB approves	AMGO
CM 57	Is award cost within 10% of proposed cost approved by SCCB?	AMGO
CM 58	Requesting organizations brief status of major acquisitions on the Long Range Acquisition Plan	AMGO

REGULATORY INTERFACE ENABLER (RI)

PROCESS DESCRIPTION

The Regulatory Interface (RI) process is the mechanism by which relevant information related to a regulatory requirement, agreement or commitment is integrated into the Rocky Flats Field Office's (RFFO) decision-making process as Terms and Conditions for: (i) making the Rocky Flats Technology Site (Site) safe; (ii) cleaning Site up, and (iii) closing Site down by the year 2006. The primary function of the RI process is to ensure all regulatory requirements, agreements, or commitments, both continuing and newly identified, are captured and channeled into the RFFO decision-making process in a consistent manner so that regulatory decisions affecting closure of Site are integrated. The RI process also captures the position of the Department of Energy (DOE) with respect to budget allocation, contract management with the Site's Integrating Management Contractor, and associated public involvement. The RI process includes all formal regulatory requirements, agreements, and commitments, except those in the Rocky Flats Cleanup Agreement (RFCA) which has its own implementing process and interfaces with the Terms and Conditions process. However, RFCA agreements and commitments will be captured in the database described in the RI process.

The RI process is based on an awareness that the more carefully RFFO manages its regulatory decision making, vis-à-vis integrating DOE's existing and future regulatory requirements, agreements, and commitments in the

Terms and Conditions process, the more likely Site will be safely cleaned up and closed by the year 2006. The RI process therefore ensures that the cognizant RFFO office (i) receives, coordinates, and dispositions relevant, both continuing and newly identified regulatory requirements, agreements, and commitments; (ii) receives and resolves comments/concerns gathered from the Site-wide public involvement process for dealings with the public, stakeholder groups, and regulators and, as applicable, through the formal rule-making processes or the internal DOE review and comments process; (iii) captures final RFFO regulatory decisions and archives these decisions for future retrieval; (iv) integrates regulatory requirements, agreements or commitments into the Site-wide integrated baseline, the DOE budget planning process, the baseline change control process, and the contract management process for work being conducted by the Site's Integrating Management Contractor.

KEY PRODUCTS

Final position for all regulations or commitments for the Site including implementation documented with appropriate regulator and stakeholder involvement. This will ensure that the decision process for the item will be unambiguous in the future, helping to ensure consistency of representation of the RFFO position. This will include:

1. Database entry/update of:
 - what the specific requirement is;

- where the regulation/commitment is specifically derived from;
- what is to be done;
- the responsible organization for implementation; and
- when it is due to be completed.

2. Hard copy documentation for the RFFO Operating Record and historical perspective, including records of discussions, comments, comment resolutions, and the final decision document.

Recommendation to the Site Change Control Board (SCCB) when "new dollars" (new requirement not previously funded or change to funding for current requirement) are required to accomplish the requirement. This is done by the output to the Contract Management Enabling process.

Recommendation to TC to evaluate any changes to a position or requirement brought about by the regulator/stakeholder during the RI process.

PROCESS INTERFACES

Inputs From Other processes

- Primary input is from Terms and Conditions (TC) for final resolution with applicable regulators and stakeholders.
- Inputs from the RFCA process (CA) to ensure decisions reached there are captured in the database of RFFO positions.
- Input from all of the current requirements and commitments for RFFO.

Outputs To Other process Flows

- RI process has direct output to the Contracts Management Enabling process for SCCB actions.
- RI process has direct output to the Records Management
- RI process has direct output to the TC process for evaluation of regulator/stakeholder-driven changes.
- RI process has direct output to several RFFO Critical processes to support their need for change/determination of an RFFO position on a new or changed requirement/commitment. The affected processes are CA and CP. The remaining Critical processes are supported by secondary outputs.
- RI process has numerous secondary outputs to the remaining RFFO Critical processes to ensure the RFFO position is accurately reflected in those processes. The affected processes are CA, CI, BL, CP, and FB.

PROCESS STEPS

RI-1 DOE Responsible for Action?

Activity Description: Decide if DOE RFFO is responsible to prepare responses or if it is a Contractor required function.

This is to assist in transmitting the item to the responsible organization for disposition. This determination is based on the determination in TC-7 for who the decision maker is.

Responsible Org.: AME

RI-2/4 RFFO/DOE Responsible AM/Person/Contractor Responsible

Activity Description: Prepare documents, respond/resolve comments, coordinate implementation.

This activity includes all of the preparation of position documents, transmittal discussions, comment receipt, resolution and disposition of comments, implementation plans and instructions, and other necessary functions to support/facilitate the approval of the item. This includes a classification review of all items to be released outside of Site.

Responsible Org.: Affected Organization

RI-3 Is DOE Legal Review Required?

Activity Description: Decide if the item requires a review by DOE Legal.

Responsible Org.: Affected Organization/OOC

RI-5 Is DOE Approval Required?

Activity Description: For items prepared by the Contractor, does transmittal require a prior RFFO approval of the position, resolution, intentions, or disclosure of the information.

Responsible Org.: Affected Organization

RI-6 /7 RFFO Review of Item

Activity Description: This is the RFFO internal review (concurrence) of the item.

Responsible Org.: Affected Organization

RI-8 DOE Legal Review

Activity Description: Review the item for legal impacts on current agreements, court orders, or other specific legalities associated with the item.

Responsible Org.: OCC

RI-9 RFFO Approval of Item

Activity Description: This is the RFFO internal approval of the item for issue to appropriate agency/stakeholder group.

Responsible Org.: Responsible AM/Person

RI-10 Transmit to Applicable Agency/Stakeholder

Activity Description: Transmittal of the item to the identified organizations.

Responsible Org.: Responsible AM/Person

RI-11

Applicable Agency/Stakeholder Review

Activity Description: This is a review for comment and when required, approval.

This activity is defined by the agency/group and includes transmission of comments and approvals back to the RFFO originator.

Responsible Agency/Stakeholder Org.: Applicable

RI-12

Was Item Accepted as Submitted?

Activity Description: process Decision - Determine if there are comments that may require a revision to the submitted item.

Responsible Org.: Responsible AM/Person

RI-13

Comments Received

Activity Description: The receipt and resolution of any comments.

This can take many forms. For relatively simple comments the actual process is not as important as for more substantive issues/concerns. A group resolution with the comment originator is encouraged whenever possible to facilitate a more thorough understanding of the issue. This will also prevent being locked in the review and comment phase repeatedly.

Responsible Org.: Responsible AM/ Person

RI-14

Was Item DOE Prepared?

Activity Description: Determine if the responsible organization is an RFFO or Contractor organization and route the comments.

Responsible Org.: AME

RI-15

Issue Final Item

Activity Description: After the item is finalized with external reviewers, make it available to the affected/interested parties.

This is the distribution of the final requirement/commitment to affected organizations. This also includes transmittal of the final items and any historical notes or other references to Records Management.

Responsible Org.: Responsible AM/Person

RI-16

Was Item Revised by Outside Comment?

Activity Description: Determine if the final document represents a substantive change from the original item sent out to the applicable agency/stakeholder group.

If the document/commitment was changed as a result of the outside review and comment, it will be necessary to determine if compliance or implementation are affected by the change. The process outputs to TC to make this determination.

Responsible Org.: Responsible AM/Person

RI-17

Are New Dollars Required to Implement?

Activity Description: Determine if additional funding is required to implement the item.

This will support other Critical processes by routing additional funding requests through the Site SCCB prior to committing funds. New dollars are required for new requirements and may also be needed for current requirements funding level changes.

Responsible Org.: Responsible AM/Person

RI-18

RESERVED

RI-19

RFFO Requirements and Commitments Database Custodian/Administrator

Activity Description: Input/update the RFFO Requirements & Commitments Database.

This is the mechanism by which relevant information related to a regulation or commitment is captured for future reference. This will ensure that the "right" answer is always easily retrievable to ensure consistency. By capturing the driver for the item, future assessment of compliance is eased as the requirement, applied context, and committed actions are captured together.

Responsible Org.: AME/Standards

RI-20

**RFFO and Contractor Self-Assessments
and RFFO Assessments of the Contractor**

Activity Description: Performance-Based and Compliance-Based assessments of RFFO and the Contractor. These assessments are to firmly established criteria captured in the RFFO Requirements & Commitments Database.

Responsible Org.: ALL

REGULATORY INTERFACE ENABLER (RI)

Process Step	Description	Resp. Org.
RI-1	DOE Responsible for Action?	AME
RI-2	RFFO/DOE Responsible AM/Person	Affected Org
RI-3	Is DOE Legal Review Required?	Affected Org/OCC
RI-4	Contractor Responsible	Affected Org
RI-5	Is DOE Approval Required?	Affected Org
RI-6	RFFO Review of Item	Affected Org
RI-7	RFFO Review of Item	Affected Org
RI-8	DOE Legal Review	OCC
RI-9	RFFO Approval of Item	Responsible AM/Person
RI-10	Transmit to Applicable Agency/Stakeholder	Responsible AM/Person
RI-11	Applicable Agency/Stakeholder Review	Applicable Agency/Stakeholder
RI-12	Was Item Accepted as Submitted?	Responsible AM/Person
RI-13	Comments Received	Responsible AM/Person
RI-14	Was Item DOE Prepared?	AME-Standards
RI-15	Issue Final Item	Responsible AM/Person
RI-16	Was Item Revised by Outside Comment?	Responsible AM/Person
RI-17	Are new Dollars Required to Implement?	Responsible AM/Person
RI-18	RESERVED	
RI-19	RFFO Requirements and Commitments Database Custodian/Administrator	AME-Standards
RI-20	RFFO and Contractor Self-Assessments and RFFO Assessments of the Contractor	ALL

ACRONYMS

OOM - Office of the Manager
IA - Internal Assessment
CRDM - Civil Rights & Diversity Management
CED - Communications & Economic Development
OCC - Office of Chief Counsel
GO - Government Operations
FCFO - Field Chief Financial Officer
DMTP - Deputy Manager for Technical Programs
PPI - Program & Planning Integration
E - Engineering
PA - Performance Assessment
EC - Environmental Compliance
MSD - Material Stabilization & Disposition
AM - Assistant Manager
BCP - Baseline Change Proposals
BOE - Base of Estimates
BMOP - Business Management Oversight Process
BMP - Business Management Plan
CA - (RFCA) - Rocky Flats Cleanup Agreement
CAB - Citizens Advisory Board
CDPHE - Colorado Department of Public

CERCLA - Comprehensive Environmental Response Compensation & Liability Act
CLUD - Comprehensive Land Use Development
CP (RFCP) - Rocky Flats Closure Plan
CO - Contracting Officer
COR - Contracting Officer's Representative
CRP - Cost Reduction Proposal
CSS - Cost, Scope and Schedule
DCAA - Defense Contracts Audit Agency
DNFSB - Defense Nuclear Facility Safety Board
DOE - Department of Energy
DOP - Decommission Operation Plan
dPBS - detailed Project Baseline Summary
DPP - Decommission Project Plan
DR - Direct Report
EPA - Environmental Protection Agency
FB - Field Budget Submission Process Flow
FMFIA - Federal Managers Financial Integrity Act
FY - Fiscal Year
GAO - General Accounting Office
HQ - Headquarters
IDP - Individual Development Plan

IG - Inspector General
IMC - Integrating Management Contract
LCB - Life Cycle Baseline
MAP - Management Alignment Program
NCP - National Contingency Plan
OMB - Office of Management & Budget
PBS - Project Baseline Summary
PC - Project Coordinator
PD - Position Description
PEG - Program Execution Guidance
PIP - Performance Improvement Plan
PM - Performance Measures
Pu - Plutonium

**TIMELINE
FOR SYSTEM LEVEL PRODUCTS**

This timeline was created as a reference for viewing major RFFO deliverables regardless of the process in which they may reside.

October 1	Current FY Appropriation Is Received
October	Organizational Guidance Issued Based Upon Changes In Budget, FTEs or SAI
	Organizational Assessment
	RFFO Performance Assessment and Results
	Establish RFFO Performance Measures
	Establish Organizational Performance Measures
November 1	Closure Plan Update Guidance Is Issued To Kaiser-Hill
November 25	Office Of Management And Budget Passback For FY+1 Is Received
December	RFFO Proposes FY+2 Activities And Relative Priorities To The Regulators For RFCA
	Complete RFFO Staffing Plan
January 15	RFFO FY+2 Budget Call Is Issued
January 15	Kaiser-Hill FY+2 Budget Call Is Issued
January 15	Revised Closure Plan Is Issued
January	RFCA Parties Agree, Or Regulators Set FY+2 Milestones And Target Activities
February 1	President Submits The FY+1 Budget To Congress
February 15	RFFO Organizational FY+2 Budget Requests Are Submitted
March 1	Kaiser-Hill Submits Draft FY+2 Budget Request
March 31	Draft FY+2 Budget Data Is Validated
March 31	First Cut Of Performance Measure Suite Due
March	Dispute Resolution (if invoked) Is Concluded For Disputed FY+2 Milestones And Target Activities
April 1	Corporate Review Board For FY+2 Is Held In Washington
April	Final FY+2 Budget Data Is Transmitted To Headquarters
April	Regulators Set FY+2 Milestones, Even If No Consensus Exists
May 1	Program Execution Guidance For FY+1 Is Issued To Kaiser-Hill
May 1	RFFO Program Execution Guidance For FY+1 Is Issued To Direct Reports
May 1	Second Cut Of Performance Measure Suite Due
June 1	Third Cut Of Performance Measure Suite Due
June 30	Annual Report Of Terms And Conditions Reviewed In Preceding Twelve Months Is Issued
July 1	Kaiser-Hill Submits Work Proposal Documents And Life Cycle Baseline For Validation For FY+1
July	Complete RFCA Biennial Review
August 20	Development Of Performance Measure Rating Plan And Fee Allocation Complete
August	Transmit Integrated Site-wide Baseline To The Regulators
September 1	Site Change Control Board Approves Work Proposal Documents And Life Cycle Baseline For FY+1
September 1	Suite Of Fee Bearing Performance Measures Are Added To The Kaiser-Hill Contract For FY+1

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I am certainly not an advocate for frequent and untried changes in laws and constitutions, but I know also that laws and institutions must go hand in hand with the progress of the human mind.

Thomas Jefferson