

**INFORMATION
ONLY**

ROCKY FLATS ENVIRONMENTAL TECHNOLOGY SITE	Manual No.:	2-11000-ER-ADM (a.k.a. 3-21000-ADM)
ERPD ADMINISTRATIVE PROCEDURES MANUAL CATEGORY 1	Procedure No.:	Table of Contents, Rev 30
	Page:	1 of 3
	Effective Date:	01/13/95
	Organization:	Environmental Restoration

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ENVIRONMENTAL RESTORATION PROGRAM DIVISION
ADMINISTRATIVE PROCEDURES MANUAL**

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01.01	ER Organization		
02.01	2-F94-ER-ADM-02.01 - Training	1	12/01/94
02.02	Personnel Qualifications	0	08/15/91
03.04	Control of QAA Development	0	09/23/91
04.01	Procurement Document Control	0	04/08/92
05.01	2-E95-ER-ADM-05.01 - Procedure Development	1	06/01/94
94-DMR-001227	Appendix Replacement	1	07/05/94
05.03	RFI/RI Work Plan Development	0	08/15/91
94-DMR-002179	Extension of DCN 93.01	0	11/23/94
05.05	2-E02-ER-ADM-05.05 - Document Review	1	06/01/94
94-DMR-002108	DOE/RFFO Review Determination Inclusion	1	12/01/94
94-DMR-002218	Allowance of Delays for Late Comments	1	12/01/94
05.07	2-E04-ER-ADM-05.07 - Environmental Restoration Program Division (ERPD) Preparation and Use of Document Modification Requests	2	10/07/94
94-DMR-002219	ERPD Training Process Facilitation	2	12/01/94
05.08	Forms Control	0	09/23/91
05.10	2-G06-ER-ADM-05.10 - Control of Scientific Notebook Systems	0	07/15/94
05.11	Preparation of Instructions	0	04/08/92
06.01	2-G01-ER-ADM-06.01 - Document Control	1	12/22/94

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**ROCKY FLATS ENVIRONMENTAL
TECHNOLOGY SITE****Manual No.:****2-11000-ER-ADM
(a.k.a. 3-21000-ADM)****ERP ADMINISTRATIVE
PROCEDURES MANUAL
CATEGORY 1****Procedure No.:****Table of Contents, Rev 30****Page:****2 of 3****Effective Date:****01/13/95****Organization:****Environmental Restoration**

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08.01	Control and Identification of Items, Samples, and Data	0	04/08/92
08.02	2-G32-ER-ADM-08.02 - Evaluation of ERM Data for Usability in Final Reports	0	10/21/94
94-DMR-001986	Laboratory Detection Limit	0	10/21/94
08.03	2-J77-ER-ADM-08.03 - Graded Validation	0	11/10/94
08.05	2-J76-ER-ADM-08.05 - Contract Compliance Screening	0	11/10/94
10.01	Inspections	0	04/08/92
12.01	Control of Measuring and Test Equipment	0	04/08/92
15.01	Control of Nonconforming Items and Activities	1	10/12/92
16.01	Corrective Action	0	04/08/92
17.01	2-G18-ER-ADM-17.01 - Records Capture and Transmittal	0*	10/31/94
*This revision supersedes procedure 3-21000-ADM-17.01 Revision 0.			
17.02	Administrative Records Screening and Processing	0	12/07/92
17.09	2-N96-ER-ADM-17.09 - Records Identification, Preliminary Preparation, and Creation	0	10/31/94
18.02	Surveillance Activities	1	04/08/92
18.03	2-G21-ER-ADM-18.03 - Readiness Assessments	1	08/24/94
94-DMR-002243	Training & Records Corrections and Editorial Changes	1	12/16/94
94-DMR-002293	Clarification of Category 3 Assessment	1	12/16/94
18.05	2-G23-ER-ADM-18.05 - Environmental Restoration Management Self Evaluation	0	07/15/94
•21.01	2-F73-ER-ADM-21.01 - ERP Commitment Tracking	0	01/13/95

**ROCKY FLATS ENVIRONMENTAL
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AQD.08	Preparation of EPA Form R	1	10/10/91

INFORMATION ONLY

Rocky Flats Environmental Technology Site 2-F73-ER-ADM-21.01

REVISION 0 ERPD COMMITMENT TRACKING

APPROVED BY: S.G. Stiger / S.G. Stiger / 12-20-94
Director, Print Name Date
EG&G Environmental Restoration Program Division

Stephen Sub / STEPHEN LUKER / 12-19-94
Quality Assurance Program Manager, Print Name Date
Data Management and Reporting Services

DOE RFFO/ER Concurrence on file: Yes No N/A

Environmental Protection Agency Approval Received: Yes No N/A

Responsible Organization: Environmental Restoration Program Division Effective Date: 1-13-95 *dyb*

CONCURRENCE BY THE FOLLOWING DISCIPLINES IS DOCUMENTED IN THE PROCEDURE HISTORY FILE:

- Data Management and Reporting Services
- Environmental Operations Management
- Solar Pond Projects
- Operations Support
- Group 1 Closures
- OU 2 Closures
- Industrial Area OU Closures / D&D Team
- OU 5, 6, 7 Closures
- Environmental Data Management & Reporting

USE CATEGORY 4

ORC review not required

The following have been incorporated in this revision:
94-DMR-001438

Periodic review frequency: 1 year from the effective date

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1. PURPOSE

This procedure identifies the steps adopted by the Data Management and Reporting Services (DM&RS) Department to ensure timely reporting of Rocky Flats Environmental Technology Site Environmental Restoration Program Division (ERPD) project commitments and action items. This procedure establishes the process, policies, requirements, and interfaces for documenting, reporting, and tracking internal and external commitments and action items.

This procedure implements the requirements of 1-P04-SCMP-16.00, Sitewide Commitments Management Process.

2. SCOPE

This procedure governs the activities associated with commitments and action items initiated from, but not limited to:

- Quality Assurance deficiencies.
- Environmental Restoration Management Self Evaluation.
- Rocky Flats Environmental Technology Site management requests and assignments.
- Table Six Interagency Agreement milestones.
- Cost Plus Award Fee items.
- Reportable Occurrences.
- Items identified in the daily mail addressed to the Director.

This procedure addresses the following topics:

- Initiation of action items
- Processing an action item
- Closing an action

This procedure applies to all ERPD employees and subcontractors.

3. DEFINITIONS

Action Plan. A formal document created by the responsible manager that describes:

- The work to be performed.
- The reason for and benefits of performing the work.
- The tasks and schedules required to successfully complete an acknowledged commitment.

3. DEFINITIONS (continued)

Commitment. An action with a specific due date assigned to and acknowledged by an individual. A commitment generally requires an Action Plan, but can be a recurring action needed to satisfy Rocky Flats obligations. A commitment may be, but is not limited to, a response for information or action, or an action taken to fulfill a Department of Energy Order requirement.

Commitment Tracking System (CTS). The process by which commitments and action items are identified, assigned, tracked, reported, and closed.

CTS Status Revision Form. A form used for reporting changes to existing tasks from any Action Plan tracked in PATS. The form may also be used to report minor changes to an Action Plan.

Department Plant Action Tracking System (DPATS). The Commitment Management System (CMS) module of PATS that tracks and provides status for all internal actions originated within ERPDC, and ERPDC actions that are not included in the formal PATS.

External Action Items. Items that are formally tracked outside of ERPDC including, but not limited to:

- Assurance Audits.
- Corrective Action Reports (CARs).
- Correspondence Control.
- Deficiency Reports and Nonconformance Reports (NCRs).
- Direct Line Questions.
- New Ideas Program.
- Occupational Health and Safety Administration (OSHA).
- Operational Safety Analysis (OSA).
- PATS.
- Reportable Occurrences.

Completion Certificate. A form prepared by Plan/Task Manager which certifies that a specific Task has been completed or that the plan is complete (that is, all Task in the Plan have been completed). This form combines the previously used Final Certificate of Completion form and the Task Certificate of Completion form.

Internal Action Items. Action items identified and assigned an action number by the ERPDC CTS Coordinator, including all ERPDC actions that are not tracked in the formal PATS. This definition does not include lower-level action items assigned by individual managers within the respective organizations.

3. DEFINITIONS (continued)

Plant Action Tracking System (PATS). The CMS module of PATS that tracks and provides status for all Rocky Flats formal commitments.

4. RESPONSIBILITIES**4.1 Director**

Establishes ERPDC organization responsible for ERPDC commitment tracking.

Assigns and resolves action item ownership disputes.

4.2 Program or Operations Managers (Responsible Managers)

Establish a single point of contact within the respective area of responsibility for communication with the ERPDC CTS Coordinator.

Ensure that actions are completed, revised as necessary, statused, and closed.

4.3 Environmental Quality Support

Provides Quality Assurance deficiency reports and NCRs to the ERPDC CTS Coordinator.

Verifies that quality-related internal action items are complete and adequate.

4.4 Data Management and Reporting Services (DM&RS)

Establishes the ERPDC CTS.

4.5 ERPDC Commitment Tracking System (CTS) Coordinator

Implements and maintains the ERPDC CTS process, including reporting and statusing with managers.

5. INSTRUCTIONS

NOTE 1 *The ERPDCoordinator functions as the single point of contact with the Sitewide Commitments Management Department, Plant Action Tracking System (PATS).*

NOTE 2 *A flow chart of the ERPDCoordinator process is included as Appendix 1, ERPDCoordinator Commitment Tracking Process Flow Chart.*

NOTE 3 *All external actions are handled in accordance with 1-P04-SCMP-16.00.*

5.1 Initiation of Action Items**ERPDCoordinator**

[1] Identify action items contained in the Director's daily mail.

[2] Obtain additional action items from PATS and management requests.

NOTE *External action items may be received with predetermined action assignments and tracking identifiers. The ERPDCoordinator uses the preassigned numbers to ensure proper reporting of action items.*

[3] Assign action item numbers to commitments, as required.

[4] Determine the action item ownership.

NOTE *Instructions for completing Appendix 2, Action Item Form are included on the last page of appendix.*

[5] Complete Appendix 2, Action Item Form, blanks 1 through 7.

[6] Distribute copies of the Action Item Form and the commitment documentation to the responsible manager.

[7] Attach a copy of the Action Item Form to the commitment, and file in CTS Files.

NOTE *Action Item Forms not returned within the given time defaults responsibility to the individual listed.*

5.1 Initiation of Action Items (continued)**Program or Operations Manager or Designee**

- [8] Accept or decline ownership of action assignment by validating the Action Item Form.
- [9] Return the validated Action Item Forms to the CTS Coordinator within 1 working day.

ERPDCTS Coordinator

- [10] **IF** a responsible manager declines ownership of an assigned action item, **THEN** repeat Steps [4] through [9] until a responsible manager accepts ownership of the action item.

ERPDCTS Coordinator (continued)

- [11] Escalate unresolved disputed action item assignments to the Director.

Director

- [12] Resolve any action item ownership disputes that arise.

5.2 Processing an Action Item**ERPDCTS Coordinator**

- [1] Ensure entry of action item information into the PATS and DPATS.
- [2] Provide action item updates to PATS, as required.
- [3] Prepare and distribute a weekly status report to the following individuals:
 - Director
 - Affected managers
 - Department personnel

Responsible Manager or Designee

- [4] Provide status updates of commitments listed in the weekly status report.
- [5] Route the original status revision forms to the ERPDCTS Coordinator, as required.
- [6] Issue originals of all Action Plans to the ERPDCTS Coordinator for transmittal to PATS.

5.3 Closing an Action

NOTE *Written closure documentation (such as notes and memos) is required to close out an action. Verbal notification of closure is not an acceptable method of closure.*

Responsible Manager or Designee

- [1] Close internal actions by signing off the Action Item Form or by interoffice correspondence.

Environmental Quality Support

- [A] Provide the Responsible Manager or designee with written documentation verifying the completion and adequacy of all corrective action responses generated by Environmental Quality Support before closure, in accordance with this procedure.

Responsible Manager or Designee

- [2] Close external actions tracked by PATS by submitting a Completion Certificate to the ERP D CTS Coordinator.
- [3] Submit the original form and copies of other relevant closure documentation to the ERP D CTS Coordinator.
- [4] Close external actions assigned by Correspondence Control in accordance with 1-11000-ADM-003, Correspondence Control Program, with a courtesy copy sent to the ERP D CTS Coordinator.

ERP D CTS Coordinator

- [5] Close internal actions in DPATS.
- [6] Close external actions by submitting original closure paperwork to Commitments Management.
- [7] Check the weekly status report to ensure that the action item has been closed.
- [8] File the closure documentation in CTS Files.
- [9] Forward a copy of all actions and closures to the ERP D Project File Center.

6. RECORDS

Management of all records is consistent with 1-77000-RM-001, Records Management Guidance for Records Sources.

ERPDM CTS Coordinator

[1] Ensure that the original and one copy of the following nonquality-related records, as appropriate, are transmitted to the ERPDM Project File Center in accordance with 2-G18-ER-ADM-17.01, Records Capture and Transmittal:

- Weekly status reports.

Submission of record copies to the ERPDM Project File Center satisfies Administrative Records requirements in accordance with 3-21000-ADM-17.02, Administrative Records Screening and Processing.

7. REFERENCES

1-11000-ADM-003, Correspondence Control Program

1-77000-RM-001, Records Management Guidance for Records Sources

3-21000-ADM-17.02, Administrative Records Screening and Processing

1-F74-ADM-16.17, Deficient Condition Report and Corrective Action System

1-P04-SCMP-16.00, Sitewide Commitments Management Process

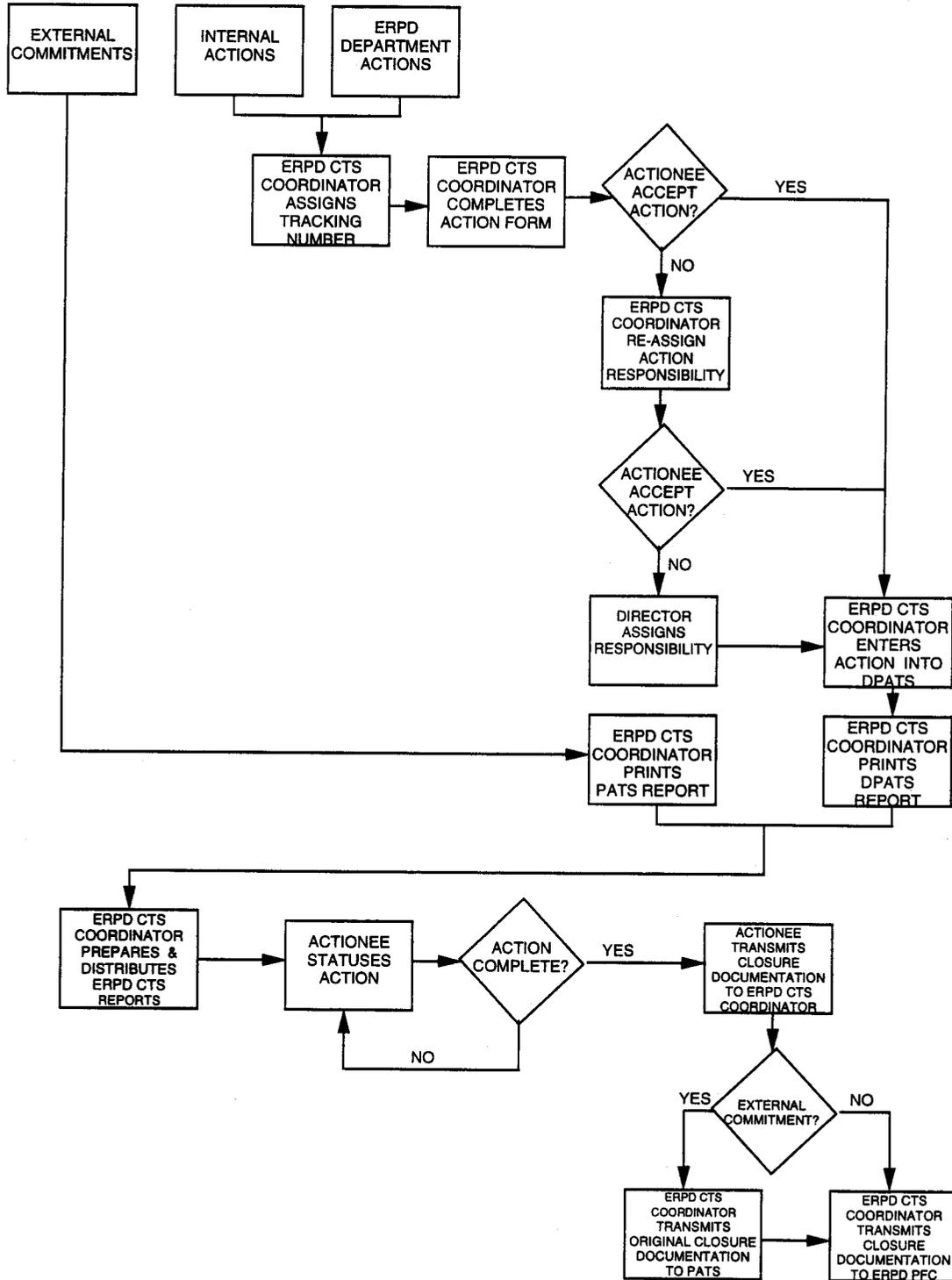
2-G18-ER-ADM-17.01, Records Capture and Transmittal

2-G23-ER-ADM-18.05, Environmental Restoration Management Self Evaluation

APPENDIX 1

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ERPD COMMITMENT TRACKING PROCESS FLOW CHART



APPENDIX 2

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ACTION ITEM FORM

ACTION ITEM

1

From: 2

Date: 4 Date of correspondence: 3

The following Action is assigned to:

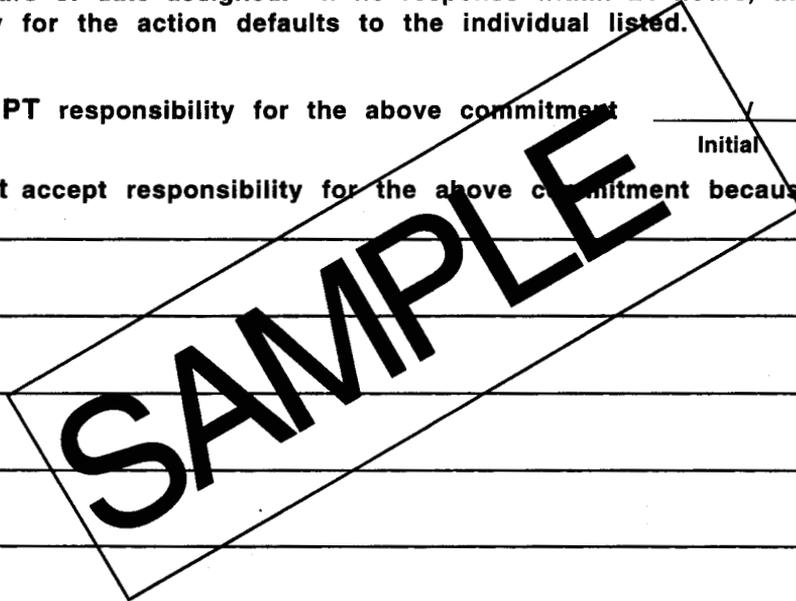
5

With a response date no later than: 6

Comments/Notes: Please indicate acceptance or nonacceptance of responsibility for this commitment and return this form to: 7, within 24 hours of date assigned. If no response within 24 hours, the responsibility for the action defaults to the individual listed.

8 I ACCEPT responsibility for the above commitment _____ / _____
Initial date

9 I DO NOT accept responsibility for the above commitment because:



I believe this commitment is the responsibility of: _____

Closure Approved: 10 _____ / _____
Initial date

APPENDIX 2

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INSTRUCTION FOR PREPARATION AND USE OF THE ACTION ITEM FORM

Prepare the Action Item form as follows: (Number references are made to space numbers on accompanying form).

Note: The ERPDCTS Coordinator completes numbers 1 through 7.

1. Enter the CCN or PATS tracking identifier for formal commitments or assign next available consecutive number from the Internal Action Tracking log book.
2. Enter name of individual or agency requesting action to be taken.
3. Date form prepared.
4. Date of correspondence.
5. Name of individual responsible for completing the action.
6. Date the response due.
7. Name of individual preparing the form.

Note: The responsible manager or designee completes numbers 8 through 10.

8. Place an X in the box if accepting responsibility, and return the blue form to the ERPDCTS Coordinator (retain a photocopy until closure).
9. Place an X in the box if not accepting responsibility, and state the reason for declining below. Enter name or group responsible for completing the action; initial and date; return the blue form to the ERPDCTS Coordinator.
10. The manager responsible for the action signs the photocopy when complete and returns the form to the ERPDCTS Coordinator.