

## **7.0 ROLES AND RESPONSIBILITIES**

This section summarizes the roles and responsibilities for implementing the IPABS Handbook. This section does not address general EM roles and responsibilities, roles and responsibilities for topics not in the IPABS Handbook, or specific organizational roles and responsibilities. Appendix I outlines roles and responsibilities for EM-50 business processes.

## 7.1 INTEGRATED SAFETY MANAGEMENT

The FRAM defines EM functions, responsibilities, authorities, and Field delegations necessary to achieve Integrated Safety Management (ISM) for EM activities. The FRAM also provides information needed to respond to DNFSB Recommendation 95-2, which is institutionalized in the Department’s Integrated Safety and Management Policy 450.04.

Environmental cleanup activities are, by their very nature, potentially hazardous to personnel performing the cleanup. As such, it is imperative that all cleanup activities are planned and executed in a manner that promotes worker safety. ISM is the philosophy that health and safety activities need to be incorporated into all phases of the cleanup process. Integrated Safety Management requires that health and safety considerations be made consistent with the life-cycle of the project.

To assist the EM Program in incorporating ISM into its cleanup activities, EM has developed the EM FRAM. This guidance document outlines the role of EM Headquarters relative to the Field Office and contractor. It reflects the ongoing restructuring and decentralization efforts, and provides information needed to respond to DNFSB Recommendation 95-2.

## 7.2 INFORMATION MANAGEMENT

Information management is a responsibility shared by both EM Headquarters and the Field. The Field maintains the detailed information about each project required for good project management (e.g., specific technical information and a detailed project baseline). Most of this information is not required to be maintained at Headquarters to support the program management function. Instead, Headquarters requires general information to support higher level planning, budgeting, and program advocacy responsibilities of the EM Program.

The EM CIO is responsible for overall information management within EM and for leading the development and implementation of the IPABS-IS. IPABS will coordinate and integrate most of the data that Headquarters currently collects through separate, sometimes redundant data calls. Any request for data that Headquarters intends to send to the Field separate from the routine updates to IPABS will be reviewed by the CIO to ensure minimal duplication of information requests. Having complete information about data availability, the CIO will be able to facilitate information sharing within EM and reduce the need for independent data calls.

## 7.3 ROLES AND RESPONSIBILITY SUMMARY

Roles and responsibilities associated with each element of this handbook are presented in Table 2. The numbers associated with each element correspond to the related section in this handbook.

**Table 2. EM Business Process Roles and Responsibilities Summary**

Handbook Element	Field Responsibility	EM Headquarters
<b>1. INTRODUCTION-IPABS INTEGRATING ELEMENTS</b>		
1.2.1 EM Projects	Organize work into EM projects to support the way it is managed in the	Review and approve EM project structure and

Handbook Element	Field Responsibility	EM Headquarters
	Field	changes
1.2.2 Project Baseline Summaries (PBS)	Develop and maintain information in PBSs according to the update schedule established by the CIO	Review and approve PBS and any changes thereto  Establish the schedule for updating project information in the PBS and provide guidance
1.2.3 Corporate Performance Measures	Incorporate EM Corporate Performance Measures into planning, budgeting, execution and evaluation at the EM Project Level	Establish EM Corporate Performance Measures (categories)
1.2.4 IPABS Document Hierarchy	Provide input to IPABS document hierarchy development	Develop and implement IPABS-IS Guidance and Procedures  Develop and implement IPABS Business Process Procedures  Develop Life-cycle Planning and Budget Guidance
1.2.5 IPABS-Information System	Provide data to support IPABS-IS as requested by the CIO	Develop and implement IPABS-IS
1.3 Strategic System Framework	Provide input to designation of Strategic and Major Systems and comply with the departmental requirements	Provide input to designation of Strategic and Major Systems and comply with the departmental requirements (S-1 approve designations)
<b>2. PLANNING</b>		
2.1 EM Vision, Policies, and Strategies	Incorporate EM Vision, policies, and strategies, including <i>Paths to Closure</i> , into project planning	Establish policies and strategies to meet EM Vision/ <i>Paths to Closure</i>
2.2 EM Decision-Making Process	Make decisions delegated to Field, consistent with regulatory framework and Headquarters oversight	Make decisions with complex-wide implications within regulatory framework  Approve significant regulatory decisions (e.g. RODs)  Provide oversight of project decisions
2.3.1 Project Baselines	Develop and maintain a baseline for each EM Project	Review and approve project baselines
2.3.2 Integrated Site Baselines	Integrate project baselines with associated on-site and off-site projects to form the integrated site baselines	Conduct integrated site baseline reviews as directed by Headquarters Site Lead  Identify cross-site integration requirements/opportunities
2.3.3 Baseline Validation	Ensure that independent validation of project baselines and integrated site baseline is performed	Concur in selection of validation team and participate as a member/observer in the validation team as appropriate
2.4.1 Project Baseline Summary (PBS)	Develop and maintain the life-cycle baseline information in the PBS to be consistent with the project baseline when the PBS is updated	Conduct annual review of PBS to ensure consistency with Headquarters-approved baseline

<b>Handbook Element</b>	<b>Field Responsibility</b>	<b>EM Headquarters</b>
2.4.2 Disposition Maps	Provide data to allow development of Disposition Maps covering all EM-managed waste, contaminated nuclear material, or contaminated media at each site	Review Disposition Maps for accuracy and completeness of data and identification of inter-site issues
2.4.3 Site Critical Path	Develop initial Site Critical Path and provide annual updates of the Site Critical Path to Headquarters	Review Site Critical paths and identify additional actions to maintain or improve the critical path  Ensure off-site interfaces are identified and integrated with other sites
2.4.4 Programmatic Risk Management Plans	Develop Programmatic Risk Management Plans for high programmatic risk activities	Evaluate the appropriateness of risk scores compared with what is known about each project  Review plans and identify any additional actions to minimize or mitigate programmatic risk
2.4.5 Project Plans	Develop project plans for EM projects using graded approach as negotiated with Headquarters  Maintain and update project plans as necessary	Negotiate with Field which projects require project plans  Review project plans for accuracy and completeness and utilize project plans for project oversight and interaction with stakeholders and regulators
2.5.1 Site <i>Accelerating Cleanup: Paths to Closure</i> Annual Update	Prepare Site Annual Update	Develop guidance for <i>Site Paths to Closure</i> (integrated with budget guidance)  Review Site Annual Update
2.5.2 EM <i>Accelerating Cleanup: Paths to Closure</i> Annual Update	Review EM Annual Update	Develop EM Annual Update
2.5.3 Performance Plans	Provide Performance Measures input to DOE Annual Performance Plan	Provide EM input to DOE Strategic Plans and the DOE Annual Performance Plan  Ensure Field performance goals are accurate, complete, and challenging
<b>3. BUDGETING</b>		
3.1 EM Budget Formulation Guidance	Review draft budget guidance as requested	Develop and issue budget formulation guidance (integrated with <i>Paths to Closure</i> guidance)
3.2 Field Budget Input	Update budget information in the PBS and budget narratives, Performance Measures, funding profiles, and Integrated Priority Lists (IPL) to reflect budget guidance	Work with the Field to clarify budget guidance issues and review and comment on IPL, PBSs, budget narratives and Performance Measures
3.3 EM Budget Review/ Corporate Forum	Participate in EM Corporate Forum  Support EM Headquarters data needs	Analyze the Field submission to verify adherence to Headquarters strategy and guidance. Review and coordinate detailed narratives, IPL, and Performance Measures

Handbook Element	Field Responsibility	EM Headquarters
		Identify issues for the EM Corporate Forum  Recommend funding changes to the Lead DAS/EM-1/Corporate Review Board
3.4 EM Corporate Budget Review	Support EM Headquarters data needs for EM's Corporate Review Budget	Consolidate Field and National Program budgets to develop the EM Corporate Review Budget and reflect decisions from the Corporate Forum  Advocate budget within DOE
3.5 OMB Budget and Passback	Support EM Headquarters data needs for the OMB Budget	Identify recommended changes to comply with S-1 budget allocation  Develop OMB Budget Submission based on final Secretarial decisions  Advocate budget to OMB  Provide input to OMB passback appeal, as required
3.6 Congressional Budget and Appropriation	Update budget authority, budget narrative and Performance Measures as requested  Assist in responding to Congressional inquiries	Identify recommended changes to comply with OMB passback  Prepare Congressional Budget, testimony, briefings, etc.  Advocate budget to Congress  Respond to Congressional inquiries  Maintain summaries of Congressional questions and answers
<b>4. EXECUTION</b>		
4.1 Approved Funding Program	Provide input to initial AFP  Redirect funding as necessary and make AFP changes  Coordinate AFP changes with Headquarters	Prepare initial AFP  Coordinate AFP changes with Field  Approve AFP changes exceeding thresholds previously negotiated with Field
4.2 Management Commitments	Establish and sign annual Management Commitments  Assure Management Commitments flow down to contractors and individual performance appraisals	Establish and sign annual Management Commitments between the Field Manager and EM-1 for performance measures, key high-visibility project milestones, Site Critical Path milestones and other major milestones  Provide input for S-1 agreement with the President
4.3 Program/ Project Execution	Execute Projects in accordance with approved baseline and project, site, EM Program, Departmental, and other compliance requirements  Utilize appropriate performance measurement, and project management	Support resolution of project execution issues  Identify EM policies and guidance required to help site achieve/enhanced performance and advocate development of appropriate EM policies and guidance

Handbook Element	Field Responsibility	EM Headquarters
	techniques	
4.4 Field Baseline Change Control	Establish and implement rigorous baseline change control process  Develop a Baseline Change Control Charter in coordination with Headquarters  Provide copy of baseline change log to Headquarters quarterly	Monitor project baseline change requests  Develop and approve a Baseline Change Control Charter in coordination with the Field
4.5 Headquarters Involvement in Project Baseline Change Control	Submit change control documentation to Headquarters whenever thresholds are exceeded	Approve or disapprove Field requests for baseline changes, per Headquarters change control management process  Act as ESSAB Baseline Change Control Secretariat
4.6 Project and Geographic Site Closeout	Provide Headquarters with documentation of project closeout	Review project closeout documentation  Communicate project lessons learned
<b>5. EVALUATION</b>		
5.1 Field Project Manager's Periodic Performance Assessment	Field Project Manager conducts periodic project assessment	Participate as directed by Headquarters Site Lead (frequent participation for high visibility and other projects, as required)
5.2 Periodic Performance Assessments and Mid-Year and Year-End Reviews	Field Manager conducts periodic project assessment  Participate in mid-year and year-end reviews	Establish agenda for and conduct mid-year and year-end reviews with Field participation  Document results of review
5.3 Headquarters Project Execution Monitoring	Provide contractor performance reports to Headquarters and report project execution status information in IPABS-IS	Monitor project performance information and work with Field to address issues/problems
5.4 Quarterly Management Review	Report information required for the QMR  Participate in QMR	Prepare QMR report and conduct the QMR
5.5 Summary Project Performance Reports/OMB A-11 Project Status Reports	Report information required for Summary Project Performance Reports and OMB A-11 Project Status Reports	Review and consolidate Field information and develop reports per external requirements
5.6 DOE Annual Reports	Provide required annual performance information in annual PBS update, including information for DOE Annual Financial Statement	Provide EM input to DOE performance reports  Consolidate input from Field for inclusion in DOE Annual Financial Statement
5.7 Employee Performance Reviews	Reflect performance measures and commitments in employees' performance elements, standards, and subsequent evaluations	Reflect performance measures and commitments in employees' performance elements, standards, and subsequent evaluations

<b>Handbook Element</b>	<b>Field Responsibility</b>	<b>EM Headquarters</b>
5.8 Contractor Performance Reviews	Evaluate contractor performance Make fee determinations	Review Award Fee Plans Review and provide input to fee determinations Track historical fee determinations
<b>6. PERFORMANCE ENHANCEMENT MECHANISMS</b>		
6.1 Program Integration	Implement the working charter for EM Program Integration with Headquarters Implement program integration with Headquarters Participate in Program Area Integration Teams	Issue the working charter for EM Program Integration and implement program integration with Field Participate in Program Area Integration Teams
6.2 Project Sequencing	Plan work to take advantage of mortgage reduction opportunities	Review project sequencing to identify opportunities for mortgage reduction
6.3 Technology Deployment	Identify opportunities for technology deployment	Participate in technology deployment reviews and advocate deployment of innovative technology at the site, as appropriate
6.4 Contracting Approach	Develop and implement site-specific contract approaches consistent with EM contracting strategy and policies	Develop EM-wide contracts policies to implement contract reform initiatives Participate in high-visibility procurements as required
6.5 Pollution Prevention	Identify opportunities for waste minimization/recycling and incorporate into project planning	Establish waste minimization goals, identify cross-site opportunities, and communicate best practices and lessons learned
6.6 Lessons Learned	Submit information on project successes and failures to Headquarters	Collect pertinent information and disseminate the information to the Field
<b>7. ROLES AND RESPONSIBILITIES</b>		
7.1 Integrated Safety Management	Implement ISM in all aspects of project management (see FRAM for additional Field responsibilities)	Assure ISM is effectively implemented by reviewing Field's safety system, safety trend data, and other indicators (see FRAM for additional Headquarters responsibilities)
7.2 Information Management	Collect, maintain and report detailed information about each EM project, site, or Operations Office as directed by the CIO	Responsible for overall information management in EM (CIO) Review requests for data (CIO) Facilitate information sharing in EM (CIO)