



## 10.0 Baseline Change Tool Module

### 10.1 Policy and Topical Guidance

#### 10.1.1 Overview of the Configuration Control Process

The Baseline Change Tool (BCT) has been implemented to support the configuration control process for the EM program. The BCT automates the creation, submission, review, and decision steps for Baseline Change Proposals (BCPs) that are submitted through the configuration control process.

##### *The Configuration Control Process*

The configuration control process for the EM program was established by Standing Operating Policies and Procedures (RM 1.1 Rev 1) dated December 17, 2002, entitled "Resource Management: Configuration Management Change Control Process for the Environmental Management (EM)." The configuration control process is designated to ensure the proper definition, coordination, evaluation, and disposition of all proposed changes to the program elements and documents under HQ configuration control.

The EM configuration control process is overseen by the Configuration Control Board (CCB). The CCB is made up of three individuals (two board members and one chairperson) who are appointed to the board by EM-1 for a term of one year. The CCB is supported by an appointed Secretary, who prepares formal Board meeting minutes to communicate the deliberations of the Board, actions assigned by the Board, decisions made by the Board, and changes to policy made by the Board.

The current CCB is comprised of the following individuals.

- Paul Golan (Chairperson)
- Gene Schmitt
- Patty Bubar
- Marc Jones (Secretary)

All requested changes to program elements that are under configuration control must be submitted to the CCB.

##### *Elements Under Change Control*

The elements listed below are included within the scope of the Configuration Control Board Charter.

- Performance Management Plans (site strategy document)
- Cleanup end states/end points (criteria that define completion)



- EM Corporate Performance Metrics [Gold Chart] (Schedule and life-cycle scope)
- Performance Measures/Performance Incentives (Incentives to accomplish work)
- Annual baseline cost (Cost)
- Life-cycle cost (Cost)
- Project Baseline Summary Structure (Budget Structure)
- WIPP transportation baseline (Key Disposal Interface)
- Non-labor Resources

Any changes to the program elements and documents under configuration control require either notification or approval of the EM Configuration Control Board.

### CCB Meeting Schedule

The CCB meets once each month to review Baseline Change Proposals (BCP) that have been submitted for a decision. At least two of the CCB members must be in attendance in order to render an official decision on any requested change.

All BCPs must be submitted to the CCB at least five business days before the next scheduled CCB meeting. The schedule for CCB meetings is as follows.

BCP Due Date	CCB Meeting Date
February 26, 2004	March 4, 2004
April 1, 2004	April 8, 2004
April 29, 2004	May 6, 2004
TBD	TBD

If a decision for a BCP is required before the next scheduled CCB meeting date, an emergency meeting of the CCB may be requested. The BCP should indicate the date by which the emergency decision is required, and should provide a clear explanation of why the BCP requires an emergency decision (using the Justification field in the electronic BCP form).

Minutes for each CCB meeting will be posted in the BCT after EM-1 has approved all CCB decisions and notification has been sent for each submitted BCP.

### Guidance Organization

This guidance package is organized as follows:

- Section 10.1 Policy and Topical Guidance
- Section 10.1.1 Overview of the Configuration Control Process
- Section 10.1.2 Baseline Change Tool System Overview
- Section 10.1.3 Roles and Responsibilities



- Section 10.1.4 Submitting BCP Requests and Receiving Notification of Decision
- Section 10.1.5 Providing Baseline Funding Change Requests
- Section 10.1.6 Providing Performance Measure Change Requests
- Section 10.2 User's Manual
- Section 10.2.1 Logging Into the BCT
- Section 10.2.2 Navigating the BCT
- Section 10.2.3 Home Screen
- Section 10.2.4 Create BCP
- Section 10.2.5 HQ/Field Manager Submitting BCP to the CCB
- Section 10.2.6 Routing Templates
- Section 10.2.7 Entering CCB Comments and Decisions
- Section 10.2.8 CCB Chairperson Signature and Notification of Decision

### ***Monthly BCP Due Dates, and Contacts***

**All BCP requests are due to the Change Control Board no later than one week prior to the monthly control board meeting.** If you have any questions about the BCP process, contact Marc Jones at 301-903-3072 (Marc.Jones@em.doe.gov). If you have any technical questions about the BCT system, please contact the IPABS Help Desk at 703-748-8617 (ipabssupport@ppc.com).

## **10.1.2 Baseline Change Tool System Overview**

The BCT is a web-enabled information workflow system that automates the process by which EM Headquarters Organizations and EM Field Sites submit Baseline Change Proposals (BCP) to the Configuration Control Board (CCB). The BCT also automates the process by which EM Headquarters Organizations and EM Field Sites are notified of official CCB decisions.

The BCT system replaces the paper-driven process that had been in use. EM Headquarters Organizations and Field Sites submit electronic BCPs using the BCT. The system automatically sends email notifications points of contact at the HQ/Field Organization, CCB, and HQ Leads (site leads, budget leads, etc.) when a BCP is submitted for review and decision. The BCT also sends an email notification to this same group of users after the CCB's decision has been formally signed. Upon receipt of the email, the users who have been included in the notification will be able to log into the BCT and view the complete BCP form and the CCB's decision and comments (if a decision has been reached). All BCPs that are submitted through the BCT are stored in a traceable and searchable electronic archive. By automatically sending emails and providing instantaneous access to, the BCT expedites the routing and notification process for all BCPs and reduces the level of effort required to administer the CCB review process.

### ***Accessing the BCT***

User access to the BCT is controlled through the main IPABS-IS login screen: <https://ipabs-is.em.doe.gov/ipabs>. All BCT users must have an IPABS-IS user name and password and must have either read, write, or approver access privileges in order to access and use the BCT. User names and passwords to IPABS-IS are granted by the user's Operations Office Administrator (contact information for these individuals is available through the IPABS-IS login screen). Only the BCT System Administrator can grant access privileges to the BCT. Requests for BCT



access must be submitted by contacting Michelle Primack at 202-586-8194 (michelle.primack@em.doe.gov) or the IPABS-IS Help Desk at 703-748-8617 (ipabssupport@ppc.com).

**Note:** Computers running some popup advertisement blocking software may block functionality of the BCT. The popup blocking software should be disabled while the BCT is in use.

## Read/ Write Access

When logging into the BCT, all users (regardless of access privilege level) will be required to select the “Baseline Change Tool” radio button on the IPABS-IS login screen and then provide a valid user name and password. Users with **read access** privileges will be able to view all BCPs (users will only be able to view BCPs submitted by their respective HQ or Field Office) and will be able to create a new Draft BCP or make changes to an existing Draft BCP. Users with **write access** to the BCT will be able to view active BCPs, create new BCPs, edit existing draft BCPs, and submit BCPs to the CCB. Users with **write/approver** access to the BCT will be able to enter the official CCB decision and comments on each BCT. The CCB Chairperson will also be able to enter the CCB decision and comments and will be able to provide an electronic signature to mark the official CCB decision. Headquarters Lead users will be able to view all BCPs that have been submitted to the CCB, but will not be able to edit the BCPs or enter the CCB decision or comments.

All requests for changes to IPABS-IS data that are under change control, as well as any requests for non-labor resources, should be submitted to the CCB using the BCT. A HQ/Field Manager must submit all requests to the CCB.

Submitted BCPs can be accessed through the data entry screens or through reports designed to the CCB’s specifications. The BCT provides an electronic feedback mechanism to communicate the results of the CCB decision for each BCP.

### 10.1.3 Roles and Responsibilities

The workflow process of the BCT requires that users at various levels log into the system and provide inputs for each BCP in order to move the BCP through the data entry, submission, review, and decision process. The four main user types have the following roles and responsibilities in the system.

**HQ/Field Staff:** Federal HQ/Field Staff users serve the main data entry role for the BCT but cannot submit a BCP directly to the CCB. HQ/Field Staff log into the system, create Draft BCPs (or edit existing Draft BCPs), and submit the BCP to the Field Manager for their approval. Staff level users can also view BCPs throughout the submission, review, and approval process but cannot make any changes. HQ/Field Staff are only able to create or view BCPs for their HQ Office or Field Site.



**HQ/Field Manager:** The HQ/Field Managers are the only users in the system that can submit a BCP to the CCB. Managers have the ability to create Draft BCPs, edit Draft BCPs, and submit BCPs to the CCB. Field Managers can also view BCPs throughout the CCB review and decision process but cannot make any changes after submitting a BCP for CCB decision. HQ/Field Managers are only able to create, view, or submit BCPs for their HQ Office or Field Site. HQ/Field Managers provide an electronic signature of approval for each BCP by logging into the system and submitting the request electronically.

**Note:** BCPs must be created and submitted by Federal staff. Contractors are not permitted to create and submit BCPs.

**CCB Staff:** CCB Staff users perform activities in the BCT to support the review and decision of the CCB on each requested change. CCB Staff print each of the submitted BCPs for review at the monthly CCB meeting. After the CCB makes a decision and provides comments on the printed BCP, the CCB Staff then enter the decision and comments into the BCT and submit the decision to the CCB Chairperson for final signature.

**CCB Chairperson:** The CCB Chairperson's role in the system is to provide an electronic signature on each BCP after the CCB's decision and comments have been entered into the system. By logging into the system and signing each BCP after the monthly CCB meeting, the CCB Chairperson finalizes the CCB's decision and sends notification of the decision to the submitting organization.

**Note:** A scanned PDF file of the actual CCB signature and comments will be attached to each electronic BCP after a decision has been made. This PDF file serves as the official record of the CCB decision.

**Headquarters Leads:** Headquarters leads will be able to log into the BCT to view all BCPs that have been submitted for decision. These users will receive email notifications when selected offices submit BCPs, or when BCPs are submitted for certain types of changes (e.g., Performance Incentives, Non-labor Resources, etc.). Headquarters leads will be able to view all BCPs that have been submitted to the CCB.

User Type	Draft BCP	Submit to CCB	Log CCB Decision and Comments	Sign CCB Decision	View CCB Decision
HQ/Field Staff	✓				✓
HQ/Field Manager	✓	✓			✓
CCB Staff			✓		✓
CCB Chairperson			✓	✓	✓



## 10.1.4 Submitting BCP Requests and Receiving Notification of Decision

### *Submitting a BCP*

All change requests must be submitted to the CCB by a Field/HQ Manager. Any user with read access to the BCT at a Field Site or HQ Organization may enter a change request into the system and save it in draft form, but the users will not be allowed to submit the BCP for review by the CCB unless they are a Field Manager or a DAS at Headquarters with write access to the BCT. BCPs may only be created and submitted by Federal staff.

### *Electronic Notification of Submission*

When Draft BCPs are submitted for HQ/Field Manager approval and submission to the CCB, an email is sent to the HQ/Field Manager's email addresses to notify them that a BCP has been entered into the system and is awaiting approval. In order for a BCP to be officially submitted to the CCB, the requesting organization's HQ/Field Manager must log into the system and submit the BCP. When the HQ/Field Manager officially submits the BCP, an email is sent to the CCB Staff and all other users that are displayed in the routing list to notify them that the BCP has been officially submitted for a CCB decision.

### *CCB Review and Decision*

Following submission by the HQ/Field Manager, each BCP is routed to the CCB support staff. CCB support staff review each BCP submission (Field submissions are also sent to the cognizant site leads, who provide offline comments and feedback to the CCB). The CCB support staff print a hard copy of each BCP, which is then reviewed, commented on, and decided upon by the CCB at the monthly board meeting. Following the CCB meeting, the CCB staff enters the official decision ("Approve," "Disapprove," "Table," "Approve with Modifications," or "Resubmit with Changes") electronically into the BCT system. The CCB Staff will attach a PDF copy of the CCB decision and signature. This attachment is the official documentation of the meeting. After entering the official CCB Decision and Comments, the CCB Staff submit the BCP for the Chairperson's electronic signature. At this point, the system sends an email to the CCB Chairperson providing notification that a BCP is awaiting approval. The CCB Chairperson provides an electronic signature for each BCP. This signature finalizes the CCB's decision and causes a notification email to the Field/HQ Manager that submitted the request and to all other users that were notified of the original BCP submission.

### *Electronic Notification of Decision*

After the CCB's decision has been signed electronically, the BCT system sends an email to the Field/HQ Manager, the Point of Contact (POC), the CCB Staff, and the Cognizant Site Leads (for Field requests), and any other user that was sent an email notification when each BCP was submitted. This email notifies each user that the CCB has provided a final decision on each BCP and that the final decision can be viewed on the BCT Home screen. In order to view the CCB decision and comments, all users will be required to have access privileges to the BCT through IPABS-IS.

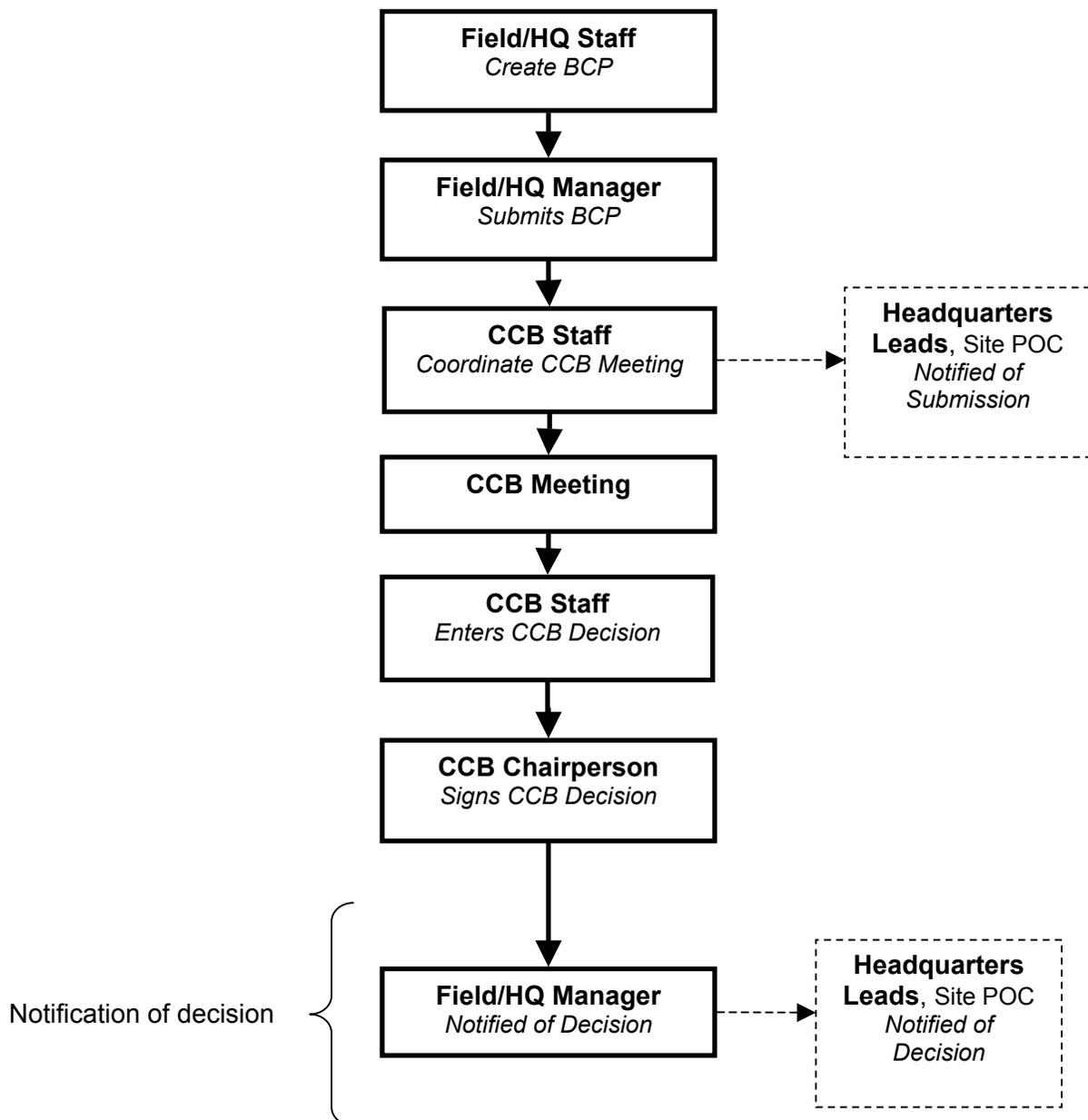


## Handling of BCPs After CCB Decision is Signed

After the CCB Chairperson provides the official electronic signature, each signed BCP will appear in the Close Out BCPs list on the Home screen (unless the CCB decision is "Table"). BCPs in the Close Out list are waiting to be archived by the System Administrator.

All BCPs that are marked as "Approve" or "Approve With Modifications" will remain in the Close Out BCPs list until the approved changes are made in IPABS-IS, at which point the BCP will be archived by the System Administrator. If the approved changes do not require an IPABS-IS update, then the BCP will be archived. BCPs that are marked with a decision of "Disapprove" will be archived by the System Administrator.

Figure 10.2 BCP Workflow Diagram





All BCPs that are marked with a decision of “Resubmit With Changes” will be archived by the System Administrator, and the system will create a new Draft BCP that contains the same information that was submitted in the original BCP. The HQ/Field Staff or Manager will then be required to modify the BCP and resubmit the BCP for another CCB decision.

BCPs that are marked with a decision of “Table” will remain in the Active BCPs list after the CCB Chairperson has provided an electronic signature. BCPs that have been “Tabled” will remain active in the system until the CCB reviews the BCP and makes an official decision.

### 10.1.5 Providing Baseline Funding Change Requests

All requests for Baseline Funding changes, as well as requests for additional Budget Authority, must be submitted through the BCP process and must be reviewed and decided upon by the CCB. All sites requesting a change to these data must complete and submit an electronic BCP through the BCT.

Requests for changes to Baseline Funding must be submitted with detailed narratives that describe the requested change, provide a justification for the change, and discuss the impacts of the requested change. In addition to these narratives, HQ or Field Sites must also provide a detailed annual breakdown of the changes at the Project Baseline Summary (PBS) level through the BCT.

#### *Seed Data*

Each requested Baseline Funding change should be associated with an existing IPABS-IS PBS. The BCT will provide the capability for each Field Site to select the PBS for which the changes are being proposed. The system will seed the existing Baseline Funding Costs for each year that are current in IPABS-IS into the BCP form.

All PBS Baseline Cost data that are seeded into the BCP reflect the current data that are shown in IPABS-IS (in Constant 2003 Dollars). Recently approved changes that were submitted through the CCB may not be reflected in the current data in IPABS-IS.

### 10.1.6 Providing Performance Measure Change Requests

All requests for Baseline Funding changes, as well as requests for additional Budget Authority, must be submitted through the BCP process and must be reviewed and decided upon by the CCB. All sites requesting a change to these data must complete and submit an electronic BCP through the BCT.

Requests for changes to Baseline Funding must be submitted with detailed narratives that describe the requested change, provide a justification for the change, and discuss the impacts



of the requested change. In addition to these narratives, HQ or Field Sites must also provide a detailed annual breakdown of the changes at the Project Baseline Summary (PBS) level through the BCT.

### **Seed Data**

Each requested Performance Measure change should be associated with an existing IPABS-IS PBS. The BCT will provide the capability for each Field Site to select the PBS and Performance Measure for which the changes are being proposed. If data for the selected PBS/Performance Measure combination are currently available in IPABS-IS, then the system will seed the existing Gold Chart numbers into the BCP.

**Note:** Performance Measures in the BCT are displayed as follows: Pre-2003 Actuals, FY 2003 Actuals, and FY 2004 – FY 2035 Targets. The Life-Cycle quantity displayed in the BCT is calculated from Pre-2003 Actuals, FY 2003 Targets, and FY 2004 – FY 2035 Targets.