

Management System: Site Transition

Subject Area: Site Transition

Procedure: Essential Steps to Site Transition

**Issue Date and
Revision Date:**
9-5-2012

Lead Subject Matter Expert:
Sue Smiley

Management System Owner:
Terry Brennan

1.0 Applicability

The EM Consolidated Business Center (EMCBC) holds line management authority for the Office of Environmental Management (EM) Small Sites. As such, the EMCBC is responsible for execution of Site Transition planning and execution requirements at affected Closure (i.e., non-Mission) sites and Ongoing Mission sites where EM work is being performed. The scope of the site transition may be limited to transfer of responsibility for long-term surveillance and maintenance (LTS&M) actions associated with the final environmental remedy; however, the transfer may be broader and include such things as transfer of responsibility for a variety of DOE Programs and/or responsibility for administration of contractor retiree pension and benefits.

This procedure applies to EMCBC staff members who support site transition planning efforts at sites where EM “Legacy” cleanup scope is nearing completion. A site transition team (comprised of EM and Landlord organization Federal personnel) may include EMCBC subject matter experts from a variety of functional areas, including but not limited to: real property, records and information management, contracts, legal services, budget, personal property, environmental compliance, community relations, emergency management, and others. The EMCBC Site Transition Coordinator and the Federal Project Director are key members of the site transition team. EM Headquarters personnel may also participate on site transition teams, on an as-needed basis.

EMCBC and EMCBC customer site personnel who follow this procedure should be aware of related EMCBC procedures administered by the EMCBC Project Management Organization (PMO) management system. The PMO is available at (<http://www.emcbc.doe.gov/pmo/>). Refer to PMO system description subject areas: 1.) Critical Decision Management, Process # 5 – Critical Decision 4; and 2.) Project Delivery, Process # 9 – Managing the Project Transition/Closeout Phase.

This procedure is meant to supplement, not replace, requirements and guidance documents that are referenced below, or are referenced in the EMCBC Site Transition Management System Description.

1.1 Programmatic Requirements

Requirements for DOE Site Transition are defined in:

For non-Mission (i.e., Closure) sites transferring to the Office of Legacy Management (LM): EM-1/LM-1 memorandum dated 2/15/05 entitled “Development of Site Transition Plan, use of the Site Transition Framework, and Terms & Conditions for Site Transition.”

For Ongoing Mission sites transferring/being returned to the Office of Science (SC): EM-1/SC Director memorandum dated 2/9/06 entitled “Terms and Conditions for Site Transition.”

For Ongoing Mission sites transferring/being returned to the National Nuclear Security Administration (NNSA): EM-1/NNSA Associate Administrator for Infrastructure and Environment memorandum dated 9/5/06 entitled “Terms and Conditions for the Transfer of Completed Environmental Projects from EM to NNSA.”

1.2 Definitions

The EMCBC Site Transition Management System and this subject area procedure are designed to capture all necessary steps required to achieve *EM Completion*, as defined in EM-1 memorandum entitled “Definition of Environmental Completion,” dated 2/12/03.

***EM Completion* occurs when:**

- (1) all required short-term response activities are complete (e.g., soil excavation, cap construction, building D&D);
- (2) all required long-term response measures (e.g., groundwater treatment system) are constructed and determined to be operational and functional;
- (3) all required documentation is in place (e.g., operating permits); and
- (4) the site has been administratively transferred from EM to another DOE, Federal, state, or private entity.

***Administrative Transfer of Programmatic Responsibility* is accomplished via:**

- (1) transfer, or return, to another DOE office; or
- (2) transfer to another Federal government agency; or
- (3) transfer to a state government agency or a private entity.

While not specifically called out in the EM-1 memo, EM achievement of “Physical Completion” and “Regulatory Completion” are sub-elements of *EM Completion*. It is also important to note that *EM Completion* does not mean the DOE has no further responsibility for the site. At a minimum, the DOE (e.g., LM, NNSA, SC) will have continuing responsibility to manage Government-owned records associated with the site. And in many cases, the DOE (e.g., LM, NNSA, SC) will also have responsibility to manage long term response actions (LTRA) at the site, such as operation of a pump and treat system or performance of long-term groundwater

monitoring. In a budget sense, such LTRA scope constitutes the continuing DOE Environmental Liability for a site where EM has completed the Legacy cleanup scope.

Long Term Response Action (LTRA) follows EM Completion. LTRA may occur for an indefinite period, or may end upon Response Action Completion when a specific response achieves its response action objective/cleanup criteria such that no land use restrictions remain. The terms LTRA and LTS&M are used interchangeably in the procedure.

Definition of DOE Site Closure:

- at a non-DOE owned site, is achieved upon cessation of DOE mission.
- at a DOE-owned site, is achieved upon transfer of ownership of real property to a non-DOE entity.
- DOE Site Closure is not required for *EM Completion*.

1.3 Equivalencies

For Closure sites transferring to LM, the EM/LM “Site Transition Plan Guidance” (December 2004 – Final) identifies the below equivalencies to requirements in DOE O 430.1B, Change 2 (Real Property Asset Management):

The Site Transition Plan meets the requirement for a “Disposition Plan” under DOE O 430.1B, Change 2.

The Long Term Surveillance & Maintenance (LTS&M) Plan functions as the DOE Ten-Year Site Plan required under DOE O 430.1B, Change 2.

1.4 Schedule considerations

Site Transition planning activities must begin no later than three fiscal years before the planned date of transition (actual “site transition” will always occur on the first day of a particular fiscal year). A key outcome of the site transition planning process is the publication of a Site Transition Plan (STP) or a Project Closeout and Transition Plan (PCTP). The STP or PCTP is jointly authored between EM and the Landlord organization. An STP is required at Closure sites, where the DOE Office of Legacy Management (LM) will eventually assume responsibility for all site activities upon EM’s completion of Legacy work scope. An STP is also required at Ongoing mission sites operated by the DOE Office of Science (SC). A PCTP is required at Ongoing mission sites operated by the National Nuclear Security Administration (NNSA). In spite of the difference in document titles, the format and content of STPs and PCTPs is virtually identical (refer to Section 2.0, Required Procedure, below for further details on the STP/PCTP).

NOTE: The DOE Office of Nuclear Energy (NE) has yet to negotiate a “terms and conditions” (T&C) agreement with EM that defines requirements for site transition planning. Separate T&C agreements are already in place between EM and LM, EM and SC, and EM and NNSA (refer to Section 3.0, References, below). However, should an NE-Landlord site engage EM in preliminary site transition planning discussions, it is

likely that the elements from the existing set of T&C agreements could be tailored to conditions or issues that are unique to that NE-Landlord site. Alternatively, EM and NE Headquarters may decide that a formal T&C agreement needs to be negotiated and approved, prior to any site-specific planning discussions between EM and NE.

The planned date of transition will always be on the first day of a particular fiscal year (i.e., the planned date of transition will always fall on October 1st, in order to coincide with the federal fiscal year calendar). An exception to this is in the event of a Continuing Resolution where “new starts” are expressly prohibited.

The EMCBC’s experience with site transition planning shows that “long poles” in the site transition planning and execution process can include:

- (1) Formulation of budget for the first five years post-closure, in a manner which: (a) will meet the needs of the future DOE Landlord (e.g., LM, SC, NNSA); and (b) will meet EM’s needs for budget development (e.g., adherence to Integrated Priority List [IPL] submission format and schedule, the process for requesting target versus over-target funding, and the protocol for request of budget for “emerging” [i.e., new] scope at sites where EM legacy work will be complete).
- (2) Execution of Real Property instruments (e.g., easements, licenses) for DOE’s continued access to privately-owned property (e.g., for groundwater wells), for conveyance of land parcels (via real estate deed) to a non-DOE entity, or execution of Environmental Covenants where state law requires that institutional controls (e.g., restrictions on land use) must “follow the land.” Execution or updates of such real property instruments can be a challenge at non-Mission sites in particular, since EM personnel may no longer be present at the site.
- (3) Disposition of EM-held inactive Government-owned records to a storage facility approved by the DOE Landlord organization. This can be a challenge at non-Mission sites in particular. This is because Government-owned records may have accumulated at such sites for a number of years; were likely originally managed by the site management and operation (M&O) contractor on behalf of the DOE site office and then “handed off” to the EM cleanup contractor; the records may be scattered across multiple DOE or DOE contractor custodians, co-mingled with Contractor-owned records, non-record materials or even expired records; and a large proportion of the records may not have been assigned to a DOE records retention schedule at the point of generation or receipt (thus some records may actually be expired and should be destroyed).

Figure 1 at the end of this procedure shows a hypothetical timeline for the general planning activities that must be addressed as part of the overall Site Transition process. The timeline is based on a “FY 2014” transfer date. Thus, the graphic illustrates activities that must occur up to three years before and up to six years after the transfer of LTRA to the DOE Landlord organization in FY 2014.

2.0 Required Procedure

The table below summarizes site transition planning steps that are typically required. However, these steps can be tailored, as necessary. For example, at Ongoing Mission sites where the Landlord Program (e.g., NNSA, SC) mandates that EM-funded work must be performed by the Landlord's M&O contractor, the Landlord Program (not the EMCBC) will be responsible for Contract Closeout upon completion of the EM-funded work. In addition, for non-LTS&M-related environmental compliance-type activities (e.g., monitoring and reporting required by the Clean Water Act) and/or administration of contractor retiree pension and benefit programs, the Landlord Program has always been, and will continue to be, responsible for those functions once EM's cleanup mission is complete at the site. In general, the scope of site transition activities will be broader (i.e., encompass all of the below steps) at Closure sites that LM will assume responsibility for once the EM mission is complete.

Step 1	<p>Development of Site Transition Plan (STP) or Project Closeout and Transition Plan (PCTP)</p> <p>Sites transferring to LM or to SC follow the Site Transition Framework (STF) for Long-Term Surveillance and Maintenance (LTS&M), which establishes the following ten (10) functional areas that should be considered during development of the Site Transition Plan (STP). The STF is included in the aforementioned EM-1/LM-1 memo dated February 15, 2005. Sites transferring to NNSA follow the Project Closeout and Transition Plan Guidance for Environmental Projects at NNSA Sites, which establishes the same ten (10) functional areas which should be considered during development of the Project Closeout and Transition Plan (PCTP); this guidance is included in the aforementioned EM-1/NNSA memo dated September 5, 2006.</p> <p>The ten functional areas in a STP or PCTP are:</p> <ul style="list-style-type: none">• Authorities and Accountabilities• Site Conditions• Engineering Controls, Operation and Maintenance (O&M) requirements, Emergency and Contingency Planning• Institutional Controls, Real and Personal Property, and Enforcement Authorities• Regulatory Requirements and Authorities• Budget, Funding, and Personnel requirements• Information and Records Management requirements• Public Education, Outreach, Information and Notice requirements• Natural, Cultural and Historic Resource Management requirements• Business Closure functions, Contract Closeout or Transfer,
---------------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

	<p style="text-align: center;">and other administrative requirements</p> <p>The initial draft STP or PCTP should be assembled by EM, in consultation with the DOE Landlord organization, approximately three years (definitely no later than two years) prior to the date of site transition. The task of developing the STP or PCTP will greatly facilitate future dialogue between EM and the DOE Landlord organization on the development of a budget for LTRA during the first five years post-closure.</p>
<p>Step 2</p>	<p>Formulation of LTS&M Budget for the first five years following site closure</p> <p>The EM/LM, EM/SC and EM/NNSA “terms and conditions” agreements all require development of a five-year post-closure budget. The five-year budget must be jointly-developed by EM and the DOE Landlord organization, so that during the spring budget formulation cycle, the EM’s Integrated Priority List (IPL) will reflect the true, anticipated post-closure costs at the site. <u>Two years</u> before the planned transfer date, the five-year post-closure budget numbers must be documented in a site-specific “Transfer Memorandum “to the DOE Chief Financial Officer (see Step 3 below).</p>
<p>Step 3</p>	<p>Issuance of Transfer Memorandum to DOE Chief Financial Officer</p> <p>A site-specific Transfer Memorandum to the DOE Chief Financial Officer (CFO) documents EM’s intent to transfer budget authority (and full time equivalent [FTE] positions, if appropriate) from EM to the DOE Landlord organization. The Transfer Memo is jointly-authored by EM and the DOE Landlord organization, and cannot be submitted to CFO until EM and the DOE Landlord organization agree on the five-year budget for LTRA. This agreement must be reached two years before the planned transition date. For example, if LTRA at a site is transferring to the Office of Science in FY 2014, the Transfer Memo to the CFO must be executed in mid-FY 2012 (spring/early summer). EM authors the Transfer Memo, for signature by EM-1 and the DOE Landlord organization. The Transfer Memo documents the Department’s intent to assign programmatic responsibility to the DOE Landlord organization for the conduct of all LTRA, after EM completion of Legacy cleanup scope. Examples of LTRA include operating a pump and treat system, maintaining a public reading room, and custodianship of Government-owned records. All site-specific Transfer Memoranda are compiled by the CFO and a single “Program Direction Memorandum” (PDM) is issued by the Deputy Secretary in late summer of each year (e.g., in late-summer 2012, a PDM for the “FY 2014” transfer sites will be issued). Once all Transfer Memoranda and the subsequent PDM are issued, EM is no longer responsible for performing or funding LTRA actions at the site after the date of planned transition (i.e., after September 30, 2013, in the case of a “FY 2014” transfer). Thereafter, target funding for the five-year post-closure period will be provided by the CFO to the DOE Landlord organization, on an</p>

	<p>annual basis, in accordance with the annual funding levels specified in the PDM for that five-year period.</p> <p>NOTE: In cases where a DOE Appropriation has not been enacted by the first day of the planned date of site transition, and there is a “Continuing Resolution” that provides temporary funding until an appropriation is enacted, EM and the DOE Landlord organization must continue to coordinate with one another during that fiscal year until such time an appropriation is in place. In most cases, the DOE Landlord organization will still assume “operational” responsibility for the LTRA, as originally planned, and EM and the Landlord organization will agree upon a method for funding that LTRA until such time an appropriation is in place. Essentially, the DOE Landlord organization cannot accept “programmatic” responsibility for LTRA until the Landlord organization receives target funding to perform the LTRA scope.</p>
<p>Step 4</p>	<p>EM achievement of Physical Completion</p> <p>The EM contractor’s Declaration of Physical Completion (DPC), or equivalent, is one of several key precursors for the future Critical Decision 4 (CD-4) package that EM will prepare (see Step 10 below). Upon receipt of the Contractor’s DPC, the EM Contracting Officer must determine whether EM will “accept” the Contractor’s work as complete. The EM Contracting Officer will typically issue a Determination of Reasonableness (DOR), or equivalent, to the Contractor, formally accepting the DPC. It is reasonable to use the date of DPC submission as the date that documents achievement of “EM Physical Completion.”</p> <p>NOTE: The distinction of Physical Completion (from <i>EM Completion</i> [as defined in the aforementioned EM-1 memo dated February 12, 2003]) is particularly important at sites that have been tasked to submit a CD-4 package within a certain timeframe. For example, at a site where the CD-4 (approval) target date is end-of-fiscal-year, however, the EM Contractor will still be performing physical work through August/September – the DOE Landlord organization will typically agree to concur on a CD-4 Checklist by the end of the fiscal year, so long as the CD-4 Checklist includes a succinct list of “Post-CD-4 actions” that will be completed by EM. An example of a Post-CD-4 action might be EM’s transfer of any “final” Government-owned records to the DOE Landlord organization (see Step 6 below), or EM’s achievement of Regulatory Completion (see Step 8 below).</p>
<p>Step 5</p>	<p>Independent verification of achievement of cleanup objectives</p> <p>EM is required to obtain an independent verification (IV) of the adequacy of the</p>

	<p>cleanup contractor’s physical work and the associated achievement of regulator-imposed cleanup objectives. The IV contractor may require several weeks to gather the data and submit a final report to EM. The IV Final Report should be completed before EM assembles the CD-4 Checklist.</p> <p>NOTE: The Oak Ridge Institute for Science and Education (ORISE) provides third party quality validation, or independent verification, of radiological survey procedures and practices for property to be released by DOE. Independent Verification <u>must</u> be performed for any real property that will be released to non-EM organizations within DOE, other Federal, state, or local government agencies, or private parties, as required by the “Office of Environmental Management Plan for the Approval and Independent Verification of Authorized Limit” dated May 2008. That plan also specifies requirements for independent verification for other real or personal property releases.</p>
<p>Step 6</p>	<p>Disposition of inactive EM Government-owned Records</p> <p>EM must assign all Government-owned records in its custody to the appropriate DOE records retention schedule, and disposition those records to a storage facility(s) that has been approved by the DOE Landlord organization. For the non-Mission sites, the LM may request that EM send inactive records to the LM records storage facility in Morgantown, West Virginia; or in some cases, LM may request inactive records be sent to the closest Federal Records Center (FRC). For the Ongoing Mission sites operated by SC or NNSA, the DOE Landlord organization may simply request that EM “turn over” all inactive records to an on-site records storage facility maintained by the Landlord or its site contractor. Records that are necessary for EEOICPA claims processing (e.g., employee medical records; employment, training and qualification records; time cards), Real Property records (e.g., easements/licenses for access to monitoring wells), and the CERCLA Administrative Record (AR) are some examples of the entire EM records collection that must be turned over to the DOE Landlord organization.</p> <p>NOTE: “Active” EM records may be retained by EM until such time those records are no longer needed; at such time, those records must be promptly transferred to the DOE Landlord organization. Examples of active records may include records required to settle EM litigation or to close out EM contracts. For sites transferring to LM or to SC, the aforementioned Site Transition Framework (STF) requires development of a “Site Information and Records Transition Plan.” For sites transferring to NNSA, the aforementioned EM/NNSA Project Closeout and Transition Plan Guidance for Environmental Projects at NNSA Sites includes the “NNSA Long Term Stewardship (LTS) Information and Records Management Transition Guidance.” The exercise of developing records-related disposition plans has proven useful in</p>

	<p>identifying all locations and custodians of EM-held records, assembling all necessary records-finding aids, assigning all records to the appropriate DOE records retention schedule, and establishing an action plan for the timely disposition of all (i.e., inactive and active) Government-owned records to a DOE Landlord organization-approved storage facility.</p>
<p>Step 7</p>	<p>Site Transition Readiness Review/Assessment</p> <p>A Site Transition Readiness Review/Assessment is required by the EM/LM, EM/SC and EM/NNSA “terms and conditions” agreements. The T&C do not prescribe a process (e.g., level of rigor, requirement for issuance of a formal report) for accomplishing the readiness review; however, EMCBC experience shows that at a minimum the readiness review should include an evaluation of whether all T&C requirements and STP or PCTP action items have been met. Readiness reviews are typically performed just prior to the EM cleanup contractor’s achievement of physical completion. For those requirements/actions that will not be met by the time of programmatic transfer (i.e., by the first day of the upcoming fiscal year), the readiness review should include an evaluation of whose responsibility (EM versus Landlord organization) it will be to meet each requirement/action and a target date for accomplishing same, post-EM’s transfer of LTRA to the DOE Landlord organization. The level of rigor for the review and the formality of the readiness review report are at the discretion of EM and the DOE Landlord organization. A simple review of “paper” may be adequate for some sites; however, other sites may require a formal site visit, with walk-down of LTRA infrastructure (e.g., pump and treat system, landfill cap and leachate collection & treatment system) and a review of site procedures and LTRA personnel qualifications. The Site Transition Readiness Review/Assessment Report is one of several precursors to the future CD-4 Checklist that EM will prepare.</p>
<p>Step 8</p>	<p>EM achievement of Regulatory Completion</p> <p>Regulatory Completion will, ideally, be achieved soon after the EM cleanup contractor’s declaration of physical completion. However, sometimes Regulatory Completion (e.g., regulator-signature on a final CERCLA Record of Decision) can take several months post-completion of physical remediation work. Therefore, at the discretion of EM and the DOE Landlord organization, programmatic transfer of responsibility for LTRA (i.e., on October 1st of the planned date [i.e., fiscal year] for site transition) can occur <u>before</u> EM achieves Regulatory Completion. This EM/DOE Landlord organization decision on whether Regulatory Completion can happen after programmatic transfer has occurred has the potential to affect the timing of EM’s preparation of the CD-4 Checklist and subsequent request for Acquisition Executive (AE) approval of CD-4. For that reason, it is vitally important that all field and headquarters</p>

	<p>personnel within EM and the DOE Landlord organization understand the site-specific definitions of Regulatory Completion, Physical Completion and EM Completion well in advance of the planned date of site transition.</p>
Step 9	<p>Programmatic transfer of responsibility for LTS&M to DOE Landlord</p> <p>Transfer of LTSM/LTRA, including responsibility for Records Custodianship, from EM to the DOE Landlord organization will occur on the first day of the fiscal year in which the five-year post-closure period begins. In the event of a Continuing Resolution (where, typically, no “new starts” are allowed), EM will remain responsible for funding and performing the LTRA until such time an appropriation is in place and the DOE Landlord organization receives target funding to perform that work. As mentioned previously, in cases where a Continuing Resolution is in place, the DOE Landlord organization may agree to assume “operational” responsibility for the LTRA, on the originally planned date, and EM and the Landlord organization will agree upon a method for funding that LTRA until such time an appropriation is in place.</p>
Step 10	<p>EM achievement of Critical Decision 4 (CD-4) for capital asset project, or equivalent approval for Operations Activity</p> <p>For EM capital asset projects, a Critical Decision 4 (CD-4) Checklist must be prepared to document “Project Completion” under DOE O 413.3B, Program and Project Management for Acquisition of Capital Assets. The CD-4 Checklist is prepared after EM’s acceptance of the contractor’s declaration of physical completion, or equivalent. CD-4 Checklists must be prepared in accordance with EM Standard Operating Procedure (SOP) # 004, Revision 2, Validation of Project Readiness for Approval for Operations Critical Decision-4. The EM must provide a copy of the CD-4 Approval Memorandum to the DOE Office of Engineering and Construction Management (OECM); however, the referenced CD-4 Checklist should not be provided to OECM For EM Operations Activities, closeout documentation must be prepared in accordance with the “Policy and Protocol for Office of Environmental Management Operations Activities” (dated March 15, 2012) and any associated subsidiary requirements or guidance. For capital asset projects, the Federal Project Director (FPD) is in a position to control the timing of CD-4 Checklist preparation, and the quality and completeness of the CD-4 Checklist. However, depending upon the nature of the EM work (e.g., capital asset project versus Operations Activity), total project cost and other factors, the FPD may not be in a position to control the timing of CD-4 approval by the AE. In such cases, it is the responsibility of EM Line Management to act as an advocate of the CD-4 approval process, and to ensure that all necessary CD-4 documentation is promptly routed to all appropriate EM, future DOE Landlord organization and other (e.g., OECM, GC) reviewers at DOE Headquarters prior to submittal to the AE for approval. For closeout of EM Operational Activities, development of that process is still</p>

	<p>underway and has yet to be exercised (as of the date this EMCBC procedure was issued).</p>
Step 11	<p>EM development of Post-CD-4 Lessons Learned Report for capital asset project (or equivalent for Operations Activity)</p> <p>Per DOE O 413.3B, submission of Lessons Learned “regarding project execution and facility start-up” (or in EM’s case, approval of Project Completion) is a post-CD-4 requirement for capital asset projects. In June 2011, EM issued guidance for the assembly and dissemination of “project management” lessons learned (PMLL) via the DOE Corporate Lessons Learned Database. This guidance has greatly streamlined the method for assembling and distributing lessons learned during project execution, including those associated with the site transition process. EM should consult with the DOE Landlord organization before publication of any project management lessons learned that are associated with the site transition planning process. The OECM does not consider posting of “PMLL” to the DOE Corporate Lessons Learned Database as meeting the requirement under DOE O 413.3B to submit lessons learned to OECM post-CD-4 approval. Therefore, FPDs can download copies of PMLLs from the corporate database and transmit the PMLLs to OECM via formal memorandum (or simply by including the PMLLs as an Exhibit to the Project Closeout Report required under DOE O 413.3B [see Step 13 below]). EM Operations Activities will also be required to submit Lessons Learned to the DOE corporate database; however, a formal Lessons Learned Report will not be submitted to OECM.</p>
Step 12	<p>EM contract closeout</p> <p>Achievement of Contract Closeout must be documented by the EM Contracting Officer. Completion of final DCAA audits and settlement of outstanding EM litigation can sometimes delay actual contract closeout for several years. The term Contract Closeout should not be confused with CD-4/Project Completion under DOE O 413.3B, with <i>EM Completion</i> (as defined in the aforementioned EM-1 memo dated February 12, 2003), or with the EM Project Closeout Report (see Step 13 below). The method for documenting Contract Closeout is at the discretion of the EM Contracting Officer, and the DOE Landlord organization does not typically play a role in this effort.</p> <p>NOTE: Contract Closeout protocol may be different at sites where EM work is required to be performed by the DOE Landlord (SC, NNSA) site contractor, and the Contracting Officer is from the Landlord organization (not EM).</p>
Step 13	<p>EM Final Project Closeout Report for capital asset project (or equivalent for Operations Activity)</p> <p>For capital asset projects, submission of an Initial Project Closeout Report to</p>

OECM must be completed within 90 days of CD-4 approval. However, submission of the Final Project Closeout Report cannot be completed until the following events have occurred: all project costs have been incurred and invoiced; all contracts are closed; and final cost details are assembled, to include a claims and claims settlement strategy where appropriate. For this reason, submission of the Final Project Closeout Report cannot be tied to a particular calendar date, post-CD-4 approval. In some cases, it may make sense for EM to publish the Final Project Closeout Report before Contract Closeout (see Step 12 above), given that ongoing litigation make delay actual contract closeout for a significant number of years.

NOTE: DOE G 413.3-16A entitled *Project Transition/Closeout (CD-4)*, dated October 26, 2011, Section 9.3 entitled *Final Project Closeout Report*, contains useful information on Final Project Closeout Report content. At the time this EMCBC procedure was written, OECM or EM had not issued an SOP or guidance on the format or content of PCRs.

3.0 References

[EM-1/LM-1 memorandum entitled *Development of Site Transition Plan, use of the Site Transition Framework, and Terms & Conditions for Site Transition*, dated February 15, 2005.](#)

[EM-1/SC Director memorandum entitled *Terms and Conditions for Site Transition*, dated February 9, 2006.](#)

[EM-1/NNSA Associate Administrator for Infrastructure and Environment memorandum entitled *Terms and Conditions for the Transfer of Completed Environmental Projects from EM to NNSA*, dated September 5, 2006.](#)

[EM-1 memorandum entitled *Definition of EM Completion* \(dated February 12, 2003](#)

[EM-1 memorandum entitled *Transition of Long-Term Response Action Management Requirements*, dated June 10, 2003](#)

[EM/LM “Site Transition Plan Guidance” \(December 2004 – Final\)](#)

[Site Transition Planning Timeline graphic, EMCBC Draft \(Revision 0\).](#)

DOE Long Term Stewardship (LTS) website at
<http://www.em.doe.gov/ltstewardship/ltstewardship.aspx>

[LM Fact Sheet entitled “Transition Process Process Upon Cleanup Completion” dated May 19, 2009.](#)

[DOE “Site Transition Summary: Cleanup Completion to Long-Term Stewardship at Department of Energy On-going Mission Sites” dated February 2012.](#)

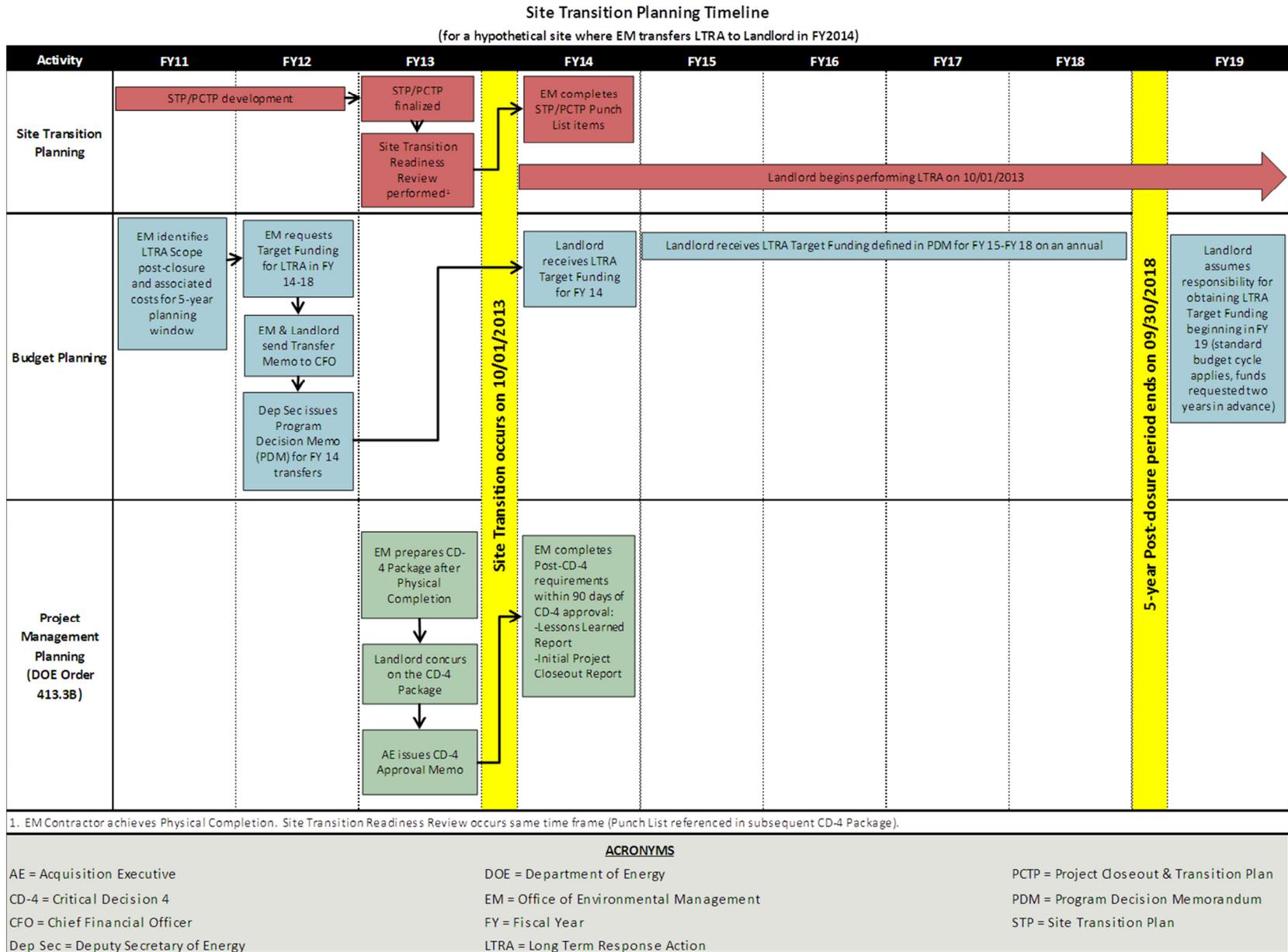
4.0 Records Generated

The records table identifies those records generated during the work process described in any controlled document/procedure that shall be maintained to document activities or preserve historically valuable information after the work process is completed.

Records generated through implementation of this procedure are identified as follows and are maintained by the (originating office or individual) in accordance with the EMCBC Organizational File Plan. The below table does not include records generated through implementation of other EMCBC procedures that support the site transition planning and execution processes (e.g., records associated with implementation of procedures under the EMCBC Project Management Organization [PMO]):

Records Category Code	Records Title	Responsible Organization	QA Classification (Lifetime or Non-Permanent)
ENV 01-K-03 (D&D Cleanup & Transitioning Case Files)	Site Transition Plans (STP) or Project Closeout and Transition Plans (PCTP) Site Transition Readiness Review/Assessment Reports Site Transition Team documents (e.g., meeting minutes) Integrated Priority List (IPL) for LTS&M budget to be transferred to Landlord organization Transfer Memoranda to Chief Financial Officer	Office of Cost Estimating and Project Management Support	Not Applicable

Figure 1: Site Transition Planning timeline



EMCBC RECORD OF REVISION

DOCUMENT TITLE: Essential Steps to Site Transition

If there are changes to the controlled document, the revision number increases by one. Indicate changes by one of the following:

- I Placing a vertical black line in the margin adjacent to sentence or paragraph that was revised.
- I Placing the words GENERAL REVISION at the beginning of the text.

<u>Rev. No.</u>	<u>Description of Changes</u>	<u>Revision on Pages</u>	<u>Date</u>
0	Initial Document		9/5/12