

Functional Area WBS #: 19.1 Integrated Assessment
19.2 Issues Management

Completed by: R. D. Phipps (ANL-W) D.K. Jensen (INEEL)

FUNCTIONAL AREA SUMMARY FORM

(ANL-W & INEEL Laboratory Consolidation to INL)

Consider facilities, hardware, processes, procedures, personnel, training, database, etc. in your functional area.

1) **ACTIVITIES** needed to transition

What activities should be conducted to support to transition to a single contractor? When is the most opportune time to conduct each activity (pre-transition, transition, incoming contractor)?

Activities to transition functional area to one contractor	3/1 – 11/15 Pre-transition	11/15 – 1/30 Transition	1/31/05 Incoming Contractor
1. Consolidate Integrated Assessment programs/policies and procedures			X
2. Consolidate Issues Management and Corrective Action Systems (Including ORPS, Lessons Learned, Cause Analysis)			X
3. Consolidate Performance Measurement and Analysis Programs			X
4. Consolidate Human Performance Programs			X
5. Consolidate Independent Oversight Programs			X

2) **GAP(S)**

In your functional area, identify gap(s) that may inhibit a smooth transition. Please list below. Additionally, utilize the Gap/Risk Description form to define each gap/issue.

There were no gaps identified for the Performance Assurance (PA) functions that must be managed before transition. All PA functions can be transitioned and consolidated after the incoming contractor has taken over the contract.

- ANL-W and INEEL each have Performance Assurance (PA) functions to implement the DOE and Federal requirements. However, each contractor has different methods and systems to achieve compliance. A consistent application of requirements and performance of PA functions needs to be developed by the INL contractor.

3) Other

Are there issues or concerns outside of your functional area that may inhibit the consolidation? If so, please list. Additionally, utilize the Gap/Risk Description form to define each gap/issue.

- No other issues were identified.

4) Have you initiated any actions outside of this review to facilitate the integration? If so, please describe.

- No

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GAP/RISK DESCRIPTION FORM

Please complete one form per gap.

- a) Describe the gap(s) that affects the integration of ANL-W and INEEL.
 ANL-W and INEEL each have Performance Assurance (PA) functions to implement the DOE and Federal requirements. However, each contractor has different methods and systems to achieve compliance. A consistent application of requirements and performance of PA functions needs to be developed by the INL contractor.

- b) Rank the risk, on a scale of 1 to 5, associated with the above gap, and describe the impact(s)?
 (Risk 1 = minimal consequence on January 31, 2005; Risk 5 = operational barrier to laboratory on January 31, 2005)
 Risk: 1
 Description: All PA functions can perform independently and remain in compliance until after the contractor has been awarded and a consistent implementation method for all PA functions has been determined.

- c) What steps should be taken to address the gap(s) and when (pre-transition, transition, incoming contractor)? Please indicate the owner of the action (ANL-W, INEEL, or both where applicable).

	3/1 – 11/15 Pre-transition	11/15 – 1/30 Transition	1/31/05 Incoming Contractor
1. Review PA functions and implementation methods used by ANL-W and INEEL. Recommend appropriate elements to be employed by INL.			INL
2. INL Contractor to select appropriate PA implementation methods.			INL
3. INL Contractor to implement appropriate compliance methods.			INL

Functional Area WBS #: 19.3 – PAAA
Compliance

Completed by: R. D. Phipps (ANL-W) A. G. Wagner (INEEL)

FUNCTIONAL AREA SUMMARY FORM

(ANL-W & INEEL Laboratory Consolidation to INL)

Consider facilities, hardware, processes, procedures, personnel, training, database, etc. in your functional area.

1) ACTIVITIES needed to transition

What activities should be conducted to support to transition to a single contractor? When is the most opportune time to conduct each activity (pre-transition, transition, incoming contractor)?

Activities to transition functional area to one contractor	3/1 – 11/15 Pre-transition	11/15 – 1/30 Transition	1/31/05 Incoming Contractor
1. Consolidate PAAA reporting processes and procedures.			X
1.1 Standardize training processes and audiences for PAAA Reporting			X

2) GAP(S)

In your functional area, identify gap(s) that may inhibit a smooth transition. Please list below. Additionally, utilize the Gap/Risk Description form to define each gap/issue.

- The INEEL and ANL-W conduct PAAA training with different levels of detail.
- The laboratories document and apply PAAA screening and reporting differently.

3) Other

Are there issues or concerns outside of your functional area that may inhibit the consolidation? If so, please list. Additionally, utilize the Gap/Risk Description form to define each gap/issue.

- No

4) Have you initiated any actions outside of this review to facilitate the integration? If so, please describe.

- No

Functional Area WBS #: 19.3 – PAAA
Compliance

Completed by: R. D. Phipps (ANL-W) A. G. Wagner (INEEL)

GAP/RISK DESCRIPTION FORM

Please complete one form per gap.

- a) Describe the gap(s) that affects the integration of ANL-W and INEEL.
 The laboratories document and apply PAAA screening and reporting differently.
- b) Rank the risk, on a scale of 1 to 5, associated with the above gap, and describe the impact(s)?
 (Risk 1 = minimal consequence on January 31, 2005; Risk 5 = operational barrier to laboratory on January 31, 2005)
 Risk: 1
 Description: The level of formality and rigor would not impact continuing operations.
- c) What steps should be taken to address the gap(s) and when (pre-transition, transition, incoming contractor)? Please indicate the owner of the action (ANL-W, INEEL, or both where applicable).

	3/1 – 11/15 Pre-transition	11/15 – 1/30 Transition	1/31/05 Incoming Contractor
1. Merge the existing PAAA program into one.			INL
1.1 Establish level of formality & rigor into one program.			INL

Functional Area WBS #: 19.3 – PAAA
Compliance

Completed by: R. D. Phipps (ANL-W) A. G. Wagner (INEEL)

GAP/RISK DESCRIPTION FORM

Please complete one form per gap.

a) Describe the gap(s) that affects the integration of ANL-W and INEEL.

The INEEL and ANL-W conduct PAAA training with different levels of detail.

b) Rank the risk, on a scale of 1 to 5, associated with the above gap, and describe the impact(s)?

(Risk 1 = minimal consequence on January 31, 2005; Risk 5 = operational barrier to laboratory on January 31, 2005)

Risk: 1

Description: This gap would not impact continuing operations at ANL-W

NOTE: Though there is no risk to continuing operations associated with this gap, there is an opportunity here to perform early coordination and communication between the two facilities.

c) What steps should be taken to address the gap(s) and when (pre-transition, transition, incoming contractor)? Please indicate the owner of the action (ANL-W, INEEL, or both where applicable).

	3/1 – 11/15 Pre-transition	11/15 – 1/30 Transition	1/31/05 Incoming Contractor
1. Provide familiarization of different programs at each laboratory.			
1.1 Familiarize appropriate levels of management		ANL-W w/ INEEL Support	INL
1.2 Familiarize Compliance Officer/Coordinators	ANL-W w/ INEEL Support		INL

Functional Area WBS #: 19.4 – Quality Assurance
19.6 - Standards & Calibration Lab (Portable Instruments)
19.7 - Suspect/Counterfeit Items

Completed by: R. D. Phipps (ANL-W) H.M. Stromberg (INEEL)

Functional Area Summary Form

(ANL-W & INEEL Laboratory Consolidation to INL)

Consider facilities, hardware, processes, procedures, personnel, training, database, etc. in your functional area.

- 1) ACTIVITIES needed to transition
 What activities should be conducted to support to transition to a single contractor? When is the most opportune time to conduct each activity (pre-transition, transition, incoming contractor)?

Activities to transition functional to one contractor	3/1-11/15 Pre-transition	11/15-1/30 Transition	1/31/05 Incoming Contractor
1. Review and standardize the procedures.			X
2. Review and standardize the organization structure.			X
3. Review and standardize the QA database (Nonconformance report, inspector certification, training, boiler and pressure vessel tracking, material traceability, inspection plans, M&TE tracking, surveillance) systems.			X
4. Review and standardize the QA audit processes.			X
5. Review and standardize the Boiler and Pressure Vessel Programs.			X
6. Review and standardize the standards and calibration processes.			X
7. Review and standardize the vendor data control and storage systems.			X
8. Review and standardize the procurement document control and the supplier flowdown of procurement requirements.			X
9. Review and standardize QA surveillance processes.			X
10. Review and standardize material status control processes.			X
11. Review and standardize the suspect and counterfeit items control processes.			X
12. Update the suspect and counterfeit items training.	X		

Activities to transition functional to one contractor	3/1-11/15 Pre-transition	11/15-1/30 Transition	1/31/05 Incoming Contractor
13. Review and standardize the software control processes.			X

2) GAP(S)

Separate systems are used by the different organizations. In addition separate data collection and tracking systems are used.

QA Program Element: Control of Nonconforming Items

Gap: Suspect/Counterfeit Item Identification and Control (SCI) Training for ANL-W (previous formal training occurred in 1993)

Risk Level: 2

3) Other

- *QA job families – HR will need to review these*
- *Color coding and labeling needs to be standardized between ANL-W and BBWI*
- *How will handling, storage, and shipping (PRD-5084) be controlled when the transportation organization moves into ICP (in regards to hazardous material shipping and hoisting and rigging)? ANL-W is self-sustaining but INEEL will not be once ICP and INL are separate entities.*
- *Welding program moving to ICP – how will this affect our certification on the lab side?*
- *Both ANL-W and INEEL need to identify audits scheduled to occur during the transition period.*

4) Have you initiated any actions outside of this review to facilitate the integration? If so, please describe.

- None

Functional Area WBS #: 19.4 – Quality Assurance
19.6 - Standards & Calibration Lab (Portable Instruments)
19.7 - Suspect/Counterfeit Items

Completed by: R. D. Phipps (ANL-W) H.M. Stromberg (INEEL)

GAP/RISK DESCRIPTION FORM

Please complete one form per gap.

a) Describe the gap(s) that affects the integration of ANL-W and INEEL.

ANL-W has not received comprehensive, formal training on suspect/counterfeit items since 1992 or 1993. The INEEL has received training a number of times since then and has developed and presented a CBT training course.

b) Rank the risk, on a scale of 1 to 5, associated with the above gap, and describe the impact(s)? (Risk 1 = minimal consequence on January 31, 2005: Risk = operational barrier to laboratory on January 31, 2005)

Risk Level: 2

No immediate impact to operations.

c) What steps should be take to address the gap(s) and when (pre-transition, transition, incoming contractor)? Please indicate the owner of the action (ANL-W, INEEL, or both where applicable).

Activities to transition functional to one contractor	3/1-11/15 Pre-transition	11/15-1/30 Transition	1/31/05 Incoming Contractor
1. Suspect/Counterfeit Item Identification and Control (SCI) Training	ANL/INEEL		

Functional Area WBS #: 19.5 Requirements Mgt.

Completed by: R. D. Phipps (ANL-W) V. M. Seely (INEEL)

FUNCTIONAL AREA SUMMARY FORM

(ANL-W & INEEL Laboratory Consolidation to INL)

Consider facilities, hardware, processes, procedures, personnel, training, database, etc. in your functional area.

The requirements management processes utilized by ANL-W and INEEL are similar, however the implementation is handled very differently. INEEL currently utilizes a formal list of responsible managers and subject matter experts (SMEs) for requirements review, as well as area points-of-contact (POCs) for requirements roll-down. The information is tracked on a web-based database. ANL-W utilizes a Program Coordination Committee for requirements review and roll-down. Documentation is done via hard-copy files.

1) ACTIVITIES needed to transition

What activities should be conducted to support to transition to a single contractor? When is the most opportune time to conduct each activity (pre-transition, transition, incoming contractor)?

Activities to transition functional area to one contractor	3/1 – 11/15 Pre-transition	11/15 – 1/30 Transition	1/31/05 Incoming Contractor
1. Identify resources (people, databases, etc.) and processes used to support requirements management	X		
2. Ensure traceability of requirements roll-down to company-level documents for current List-B on both contracts (INEEL/ANL-W) through transition		X	
3. Determine List-B requirements and requirements management process and tools to be used by new contractor		X	X
4. Determine how to integrate roll-down information from INEEL and ANL-W roll-down sets into one set		X	X
5. Merge lists of primary contacts (management and SMEs) from both contracts (INEEL and ANL-W) (LST-1, etc.)			X

6. Integrate roll-down information from INEEL and ANL-W roll-down sets into one set			X
7. Determine appropriate personnel resources and provide training on processes and systems as appropriate			X
8. Initiate consolidated requirements management processes and tracking systems			X

2) GAP(S)

In your functional area, identify gap(s) that may inhibit a smooth transition. Please list below. Additionally, utilize the Gap/Risk Description form to define each gap/issue.

- Integrating requirements roll-down information to demonstrate compliance to requirements where there are duplicate company-level implementing documents per source requirement document could be a gap if the expectation is that this is complete at the time of transition.

3) Other

Are there issues or concerns outside of your functional area that may inhibit the consolidation? If so, please list. Additionally, utilize the Gap/Risk Description form to define each gap/issue.

- Integration of requirements roll-down set to one set of company-level documents is contingent upon the consolidation of ANL-W and INEEL document management processes, systems, hierarchies, and active document sets into one

4) Have you initiated any actions outside of this review to facilitate the integration? If so, please describe.

- None

Functional Area WBS #: 19.5 –Requirements
Mgt.

Completed by: R. D. Phipps (ANL-W) V.M. Seely (INEEL)

GAP/RISK DESCRIPTION FORM

Please complete one form per gap.

- a) Describe the gap(s) that affects the integration of ANL-W and INEEL.
 There is a potential gap that could affect the integration of ANL-W and the INEEL involving the ability to demonstrate compliance to requirements (requirements roll-down) where there are duplicate company-level implementing documents (e.g., documents from ANL-W and documents from INEEL, before they are transitioned to one document set).

- b) Rank the risk, on a scale of 1 to 5, associated with the above gap, and describe the impact(s)? (Risk 1 = minimal consequence on January 31, 2005; Risk 5 = operational barrier to laboratory on January 31, 2005)
 Risk: 1
 Description: There is a potential negative consequence of being found out of compliance to a requirement in an audit if we cannot demonstrate clear flow-down of requirements.

- c) What steps should be taken to address the gap(s) and when (pre-transition, transition, incoming contractor)? Please indicate the owner of the action (ANL-W, INEEL, or both where applicable).

	3/1 – 11/15 Pre-transition	11/15 – 1/30 Transition	1/31/05 Incoming Contractor
1. Integrate roll-down information from INEEL and ANL-W roll-down sets into one set			INL
1.1 Comparing List B of each contract (ANL-W and INEEL) at the time of contract changeover,			INL
1.2 Identifying all company-level implementing documents,			INL
1.3 Consolidating the two sets of implementing documents into one set (once one document management system has been implemented).			INL