

INEEL Transition Project: Transition Activity Management Process



U.S. Department of Energy
NE-Idaho Operations Office

Revision 2
July 7, 2004

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I. Introduction

The complexity of the INEEL contract transition, coupled with the short time frame for accomplishing it, requires firm control over the identification, scheduling, sequencing, and closure of activities to prevent any critical activity from being missed or incomplete. There must also be a consistent approach for determining what constitutes a critical activity, consistent control over changes to identified activities, and consistent understanding between Teams regarding what activities must occur at what time. The Department of Energy, Idaho Operations Office (NE-ID) has created a database to identify and coordinate these transition activities. The Transition Activities Database and this set of procedures for managing it will provide the necessary consistency and control.

The Transition Activities Database is accessed via the Transition Project Virtual War Room, access to which is limited to members of the NE-ID and contractor Transition Teams. The database and this management process will be used to coordinate transition planning and execution from the time the final Requests for Proposal are issued until shortly after the transition period expires. There may be a need to maintain the database for several months after transition in order to allow completion of important transition activities, but it is not anticipated that the database will remain open for use past the end of Fiscal Year 2005. If transition activities remain to be completed past that time, they will be extracted from the database and incorporated into appropriate organizational planning documents, and responsibility for their completion will be transferred from the Transition Teams to that organization.

Transition activities will be identified in a hierarchy, as illustrated in Figure 1, and managed on two levels: NE-ID Transition Team members will manage at the Activity level, contractor Transition Team members will manage at the Task level. The NE-ID Transition Team Functional Breakdown Structure (FBS) will be the integrating structure between contractors. It will serve as the primary identification key for Activities. Each contractor is free to develop their own transition Work Breakdown Structures (WBS), which will be linked within the database to the NE-ID FBS to ensure consistent coverage of Issues and Activities among all contractors.

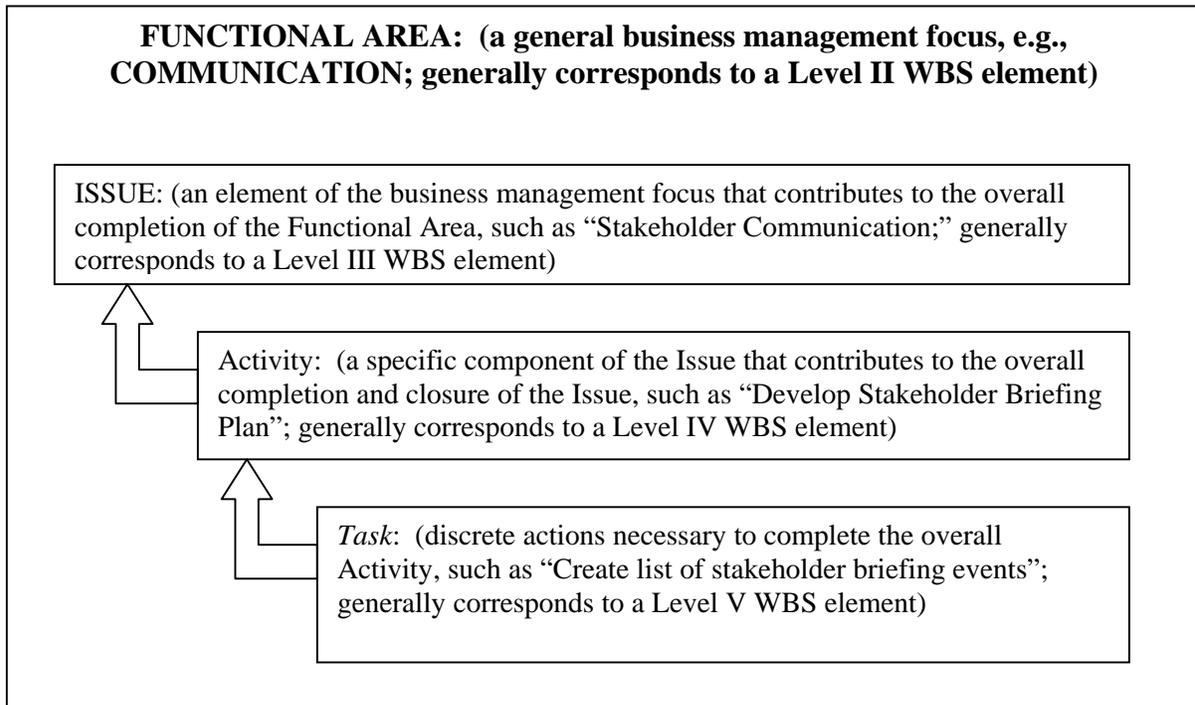


Figure 1: Hierarchy of Actions in Transition Planning.

II. Definitions

Activity – an action that must be completed to support satisfactory completion and closure of a higher level and broader Transition *Issue*. Activities correspond to the Level IV WBS elements. Generally, several Activities are necessary to satisfy the completion of a single Issue, and there may be several *Tasks* necessary to complete an Activity (see Figure 1: Hierarchy of Actions in Transition Planning). Each *Activity* will be assigned into one of three prioritization categories as follows:

Priority “A” (Critical) -- These are activities that *must* be addressed or completed prior to the end of the transition period (January 31, 2005) or the new contractors will not be able to assume the management responsibilities specified in their respective contracts. Priority A activities may have a substantial adverse or beneficial effect on contract transition, or on continuity of operations during and immediately following the new contractors’ assumption of contractual responsibilities. Priority A, or Critical, Activities will fall into one of these categories:

1. Critical to human health, safety, or protection of the environment
2. Critical to meeting all compliance agreements and regulatory commitments
3. Critical to fulfilling legislative requirements of the DOE or its contractors
4. Critical to fulfill contract terms and conditions
5. Critical to ensuring continuity of operations or programs, including:
 - a. meeting DOE-HQ or congressional milestones,
 - b. meeting external commitments (i.e., commitments to tribes, universities, stakeholders, etc.),
 - c. meeting milestones or commitments identified in the Secretary’s Performance Agreement with the President,
 - d. maintaining the science and technological competencies of the national laboratory.
6. Critical to mitigate substantial risk of liability to DOE or the contractors.

Priority “B” (Important) – These are Activities that should be addressed or completed prior to the completion of transition, or significant programmatic impacts will occur. Transition *can* occur without completion of Priority B Activities, but failure to complete these Activities within the scheduled time period will significantly hinder the new contractors’ ability to continue operations.

Priority “C” (Best Management Practices) – These are Activities that should be addressed or completed in the first year of the new contract periods in order to maximize the success of the new contractors.

Activity Lead – the contractor and NE-ID personnel responsible for ensuring the completion of an Activity. An Activity Lead will be an identified member of a Transition Team. Activities identified in the database will have an NE-ID Activity Lead and one or more contractor Activity

Leads.

Closure – the process by which the Transition teams reach formal agreement that all Activities within an Issue have been completed satisfactorily. NE-ID Primary Team Members are responsible for ensuring completion of all Activities in their respective Functional Areas, and Closure Validation Authorities are responsible for formally closing all Critical Activities within their respective Functional Area.

Crosslinked Activity – an Activity that provides a product or information necessary to begin or complete another Activity. The Activity generating the product or information is the *predecessor* Activity; the Activity receiving the product or information is the *successor* Activity. A single crosslinked Activity may support multiple Activities, including those in other Issues or Functional Areas. Activities crosslinked between Functional Areas and Issues require integrated planning between all affected Issue and Activity Leads to identify the responsibilities and outcomes of each part of the crosslinked Activity. Crosslinked Activities will be identified in the database as such.

Functional Area – A high-level component of the Transition Plan that identifies a primary business and program management responsibility. Functional Areas correspond to the WBS Level II elements. All Functional Areas must be addressed to enable transition. Generally, a Functional Area consists of one or more related *Issues* (see [Figure 1](#): Hierarchy of Actions in Transition Planning).

Issue – a component of an overall Transition *Functional Area* that must be completed to ensure transition occurs (see [Figure 1](#): Hierarchy of Actions in Transition Planning). Issues correspond to the WBS Level III elements. Generally, Issues consist of several more detailed *Activities*, all of which must be completed and closed to ensure closure of the Issue.

Issue Lead- the member of a Transition Team who is responsible to ensure the completion of an Issue. Activities identified in the database will have an NE-ID Issue Lead and one or more contractor Issue Leads. All Issue Leads will be identified members of a Transition Team.

Task – individual and detailed actions that must be completed to support satisfactory completion of a higher-order *Activity* (see [Figure 1](#): Hierarchy of Actions in Transition Planning). Tasks correspond to the Level V WBS element. Generally, there are several Tasks associated with completing a single Activity.

Task Lead – the contractor personnel responsible for completing a Transition Task. Tasks identified in the database will have one or more contractor personnel assigned to complete the Task. Task Leads may be members of a contractor Transition Team or may be general contractor staff.

III. Applicability

This transition activities management process applies to the NE-ID and incumbent contractors' Transition Team members. New contractors will be invited and encouraged to use the Transition Activities Database (in accordance with this process) to coordinate their transition activities with those of the incumbents. If new contractors choose not to use this database, the NE-ID Transition Team members will serve as the integrating agents to make sure the close coordination of transition actions and schedules between new and incumbent contractors takes place.

IV. Transition Activity Management

A. Access and Rights to the Transition Activity Database

All Activity Leads will have access to create new Activities, edit Priority B and C Activities, close Priority B and C Activities, and view all Issues, Activities, Tasks and Reports. All Activity Leads may request changes to Priority A Activities, but may not make those changes. Contractor Issue Leads may request closure of Priority A Activities. Only NE-ID CVAs may approve the closure of Priority A Activities. Contractor Activity Leads will have access to enter, edit, status, and mark as complete the Tasks within their assigned Activities. The NE-ID Team's Administrative Lead will have access to enter and edit all Issue and Activity records; the contractors' Administrative Leads will have access to enter and edit their respective Priority B and C Activity and Task records.

B. Transition Activity Creation, Editing, Statusing, and Closure

1. Creating database records

During transition planning, the NE-ID and contractor Team Leads will jointly identify the Issues for entry into the database. The NE-ID Primary Team Members and their contractor counterpart(s) will jointly develop the Activities. Contractor team members will identify their respective Tasks for entry by their own Administrative Leads. Each Issue, Activity, and Task will have a unique identifier automatically assigned to it in the database. The database record creation process is illustrated in [Figure 2](#).

- a. Creating "Issues": the NE-ID and contractor Team Leads must identify the following information for every Issue to be loaded into the database:
 - i. The Issue title
 - ii. The name of the NE-ID Primary Team Member (or their Alternate, as appropriate) responsible for completion of the Issue (called the "NE-ID Issue lead")
 - iii. The name of each respective contractor's team member responsible for completion of the Issue (called the "contractor Issue lead")

- b. Creating “Activities”: Once all Issues have been identified, the NE-ID Primary Team Members and their contractor counterparts must jointly identify the specified information for every Activity. The contractor Activity Leads then enter the information directly into the database. Activity information may be revised in the database up until the point the contractor Activity Lead “submits” it for approval by the Team Leads. Once submitted for approval, Activity information cannot be changed until it is approved and available for editing. See section [IV.B.2.](#) for how to edit approved database records.

Team Leads will jointly review submitted Activities. The reviews ensure appropriate assignment of priority, check for appropriate sequencing of the start and end dates with other Activities, and identify any crosslinkages between Activities. Once the Team Leads agree that an Activity is appropriately planned, the NE-ID Team Lead will notify the NE-ID Administrative Lead, who will mark the Activity “approved” in the database. If the Team Leads do not agree to approve an Activity, or if changes are needed to the information provided, they will disapprove the Activity and work with the Activity Leads to clarify the information about the Activity.

Information required for each Activity entry is:

- i. The Issue the Activity supports
- ii. an indication as to whether the Activity must be conducted by the ICP contractor, the INL contractor, the incumbent contractors, privatized service contractors, any combination of contractors, or by DOE (NE-ID or HQ)
- iii. an indication of the corresponding contractor WBS element;
- iv. a description of the Activity, including the clear identification of any decision that must be made, product that must be developed, and potential crosslinkages to other Activities (predecessors or successors)
- v. the Activity start date
- vi. the Activity due date
- vii. the name of the NE-ID Team member responsible for the Activity (called the “NE-ID Activity lead”)
- viii. the name of each respective contractor’s team member responsible for implementing the Activity (called “contractor Activity lead”)
- ix. the priority category of the Activity (from the list of priorities in the [Definitions](#) section)
- x. if the Activity is a Critical Activity, the name of the NE-ID Closure Validation Authority responsible for validating its closure (as identified in the “NE-ID Transition Team Membership” appendix in PLN-1605)

- xi. if the Activity is crosslinked to other Activities, the unique identifiers for each predecessor and successor Activity. For new Activities, this information should initially be included within the “Activity Description” in the database. Team Leads will confirm and identify new crosslinkages, and enter this information into the database.
- c. Creating “Tasks”: Once the Activities have been identified, the respective contractor Activity lead must enter the following information for every Task that supports the specific Activity:
- i. The Activity each Task supports (coded by the Activity’s unique identifier)
 - ii. the start date for the Task
 - iii. the due date for the Task
 - iv. the contractor(s) personnel responsible for implementing the Task
 - v. a description of the Task

2. Revising approved database records

Once Issue, Activity, and Task records are approved in the database, only substantive changes should be made to them. Changes to Tasks do not require NE-ID concurrence. The process for revising “Activities” is illustrated in [Figure 3](#).

- a. Revising “Issues”: NE-ID or contractor Team Leads and Issue Leads may suggest a change to an Issue. The Team Lead suggesting a change to an Issue must provide the suggested revision to the affected NE-ID and contractor Issue Leads and the other Team Leads for coordinated review and resolution of concerns. The NE-ID and contractor Team Leads must concur on the change. The team member initiating the change provides the approved revision of the Issue, with changes and concurrences clearly indicated, to the NE-ID Administrative Lead for entry into the database. The NE-ID Team Lead is responsible for verifying the new or revised Issue to ensure the information is correct.

Issues may only be deleted in their entirety with the joint concurrence of the NE-ID and contractor Team Leads.

- b. Revising “Activities”: Approved Activities may be revised if the need arises.
- i. *Revising Noncritical Activities*: Both contractor and NE-ID Activity Leads may make changes directly to approved Priority B or C Activities assigned to them. Changes to noncritical Activities automatically generate a notification to all other Activity Leads associated with that Activity. Revising noncritical Activities does not require Team Lead approval.

ii. *Revising Critical Activities*: Any Team member may suggest changes to a Critical Activity, but the NE-ID and contractor Team Leads must concur on the revisions to the Critical Activity, and only the NE-ID Administrative Lead may enter the approved changes into the database. The team member suggesting a revision to a Critical Activity coordinates with the NE-ID and contractor Activity Leads. The contractor Activity Lead assigned to the Critical Activity must enter the suggested revisions into the database and submit the revised Critical Activity for approval. The database will automatically send a request for approval to the NE-ID and respective contractor Team Leads. The suggested revision must include all information described in [IV.B.1.b](#). The Activity Leads and Team Leads will coordinate on resolving any concerns or logistical details related to the suggested revision. Once the Team Leads concur on the revision, the NE-ID Team Lead will “approve” the revision and the database will send an automatic notification to the NE-ID Administrative Lead to enter the approved changes to the Critical Activity in the database.

iii. *Revising Crosslinked Activities*: The team member initiating a change to a crosslinked Activity (regardless of priority) must coordinate the suggested revision with the Activity Leads for all *successor* Activities.

The assigned NE-ID Activity lead is responsible for verifying the revised Activity information is correct, including crosslinkages.

Activities may only be deleted in their entirety with the concurrence of the respective NE-ID and contractor Team Leads.

- c. Revising “Tasks”: Tasks may be deleted or revised directly in the database by the respective contractor(s) Activity Lead. The contractor Activity Lead is responsible for verifying the revised Task to ensure the information is correct.

3. *Statusing*

By Friday of each week, contractor Activity Leads must enter a status into the database for each open Task in their assigned Activity. Task status should indicate, at a minimum, whether the Task is “not started,” “in progress,” or “complete.” For “in progress” Tasks supporting Critical Activities, the Activity Lead must include a brief narrative description of the Task status, including any problems or concerns. For Tasks “in progress” that support non-Critical Activities (priority B or C), a narrative status is optional, at the discretion of the Team Lead.

4. *Closing Activities*

To ensure consistent understanding among all teams regarding what transition Activities have been completed, team members will follow a formal process to document completion.

- a. Noncritical Activities: When all Tasks associated with a *noncritical* (priority B or C) Activity are completed, that Activity may be considered “closed.” The contractor Activity Lead marks the Activity “closed” in the database. This will trigger an automatic notification of the Activity closure to the NE-ID and contractor Team Leads.
- b. Critical Activities: When all associated Tasks and all predecessor Activities supporting a Critical Activity have been completed, the contractor Activity lead will notify the contractor Issue Lead. The contractor Issue Lead must request closure of the Critical Activity from the respective NE-ID Closure Validation Authority (CVA), via the database, by close of business on the first working day after receiving this notification. Requesting closure of a Critical Activity will generate an automatic request for validation to the assigned NE-ID CVA. The Critical Activity closure process is illustrated in [Figure 4](#).

The NE-ID CVA will have unilateral authority to concur or not concur with the request to close the Critical Activity, and must indicate their concurrence or non-concurrence by close of business on the second working day after receiving the closure request from the contractor Issue Lead. In the event the respective NE-ID CVA is not available to validate the closure in the given time period, the NE-ID Project Management Sponsor may validate it and provide the necessary concurrence decision.

The NE-ID CVA will verify the Critical Activity to ensure it has been satisfactorily completed. When they are satisfied that all Tasks and all crosslinked predecessor Critical Activities have been completed, the NE-ID CVA selects the “concur” option in the database. This will generate an automatic notification of concurrence to the Team Leads, Activity Leads, and the NE-ID Administrative Lead. Upon receiving the closure concurrence, the NE-ID Administrative Lead will mark the Critical Activity “closed” in the database.

If a NE-ID CVA does not concur with the request to close the Critical Activity, they must select the “nonconcur” option in the database, and provide a written explanation of why they do not concur. This will generate an automatic notification of nonconcurrence to the NE-ID Project Management Sponsor, the Team Leads, the Activity Leads, and the NE-ID Administrative Lead..

The Team Leads, Issue Leads, and Activity Leads must then jointly develop a resolution. If a new Activity is required, the NE-ID Activity Lead will develop the information (as described in [IV.B.1.b.](#)) and provide it to the NE-ID Administrative Lead to be entered into the database. If the resolution identifies new Tasks as corrective actions, the contractor Activity lead will develop the

Task information (as described in [IV.B.1.c.](#)) and enter it into the database. If other action is identified in the resolution, the NE-ID Team Lead will document the action and assign and manage it appropriately.

- c. Crosslinked Activities: A crosslinked Critical Activity cannot be closed until all *predecessor* Activities are closed. When a crosslinked Activity is complete, it is closed using the same process as the same priority of unlinked Activities in general: crosslinked noncritical Activities are closed as per [IV.B.4.a](#); crosslinked Critical Activities are closed as per [IV.B.4.b](#). Closing a crosslinked Critical Activity will automatically generate a notification to all NE-ID and contractor Activity leads for the *successor* Activities, as well as to the Team Leads.

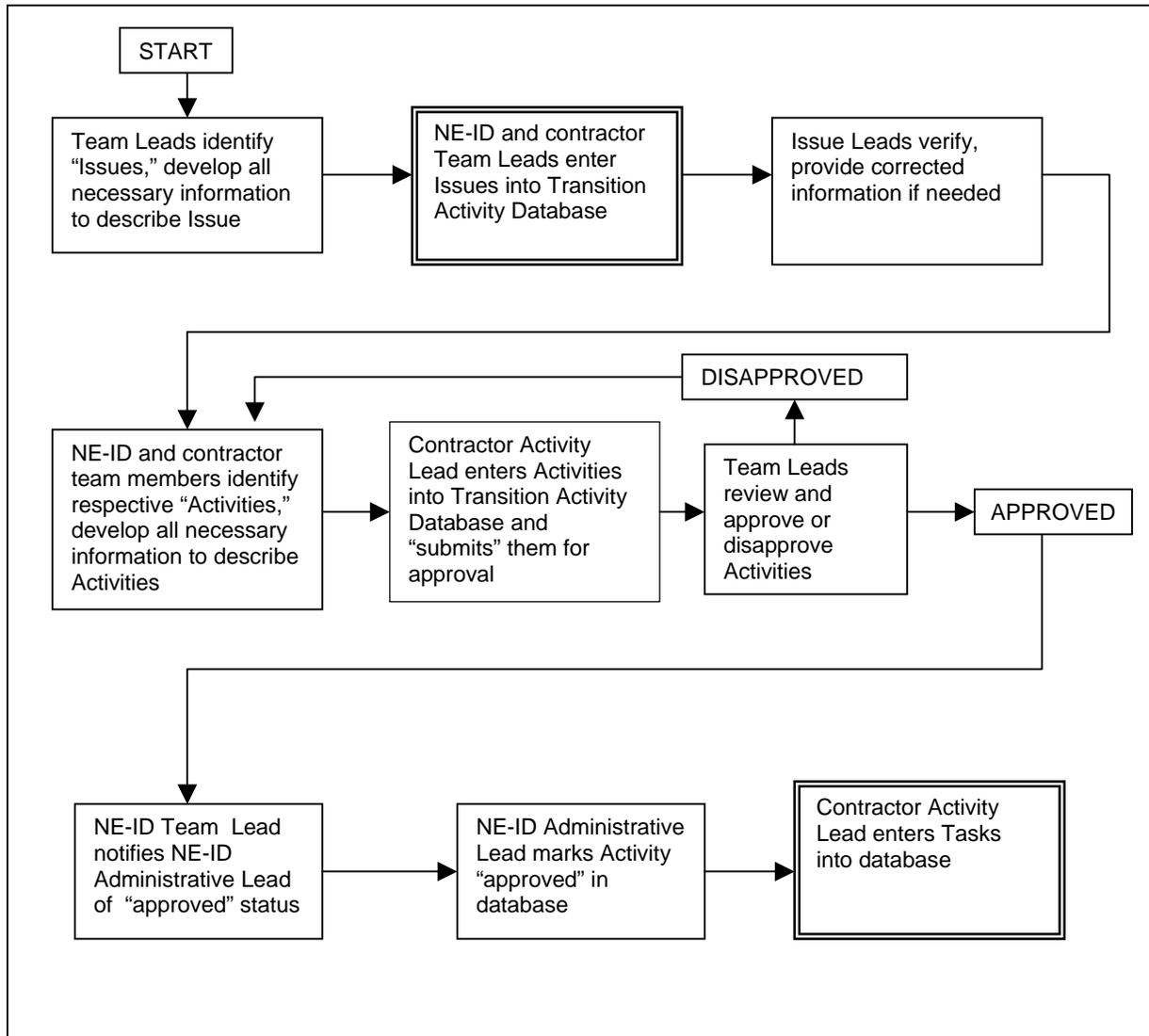


Figure 2: Creating Transition "Issues," "Activities," and "Tasks"

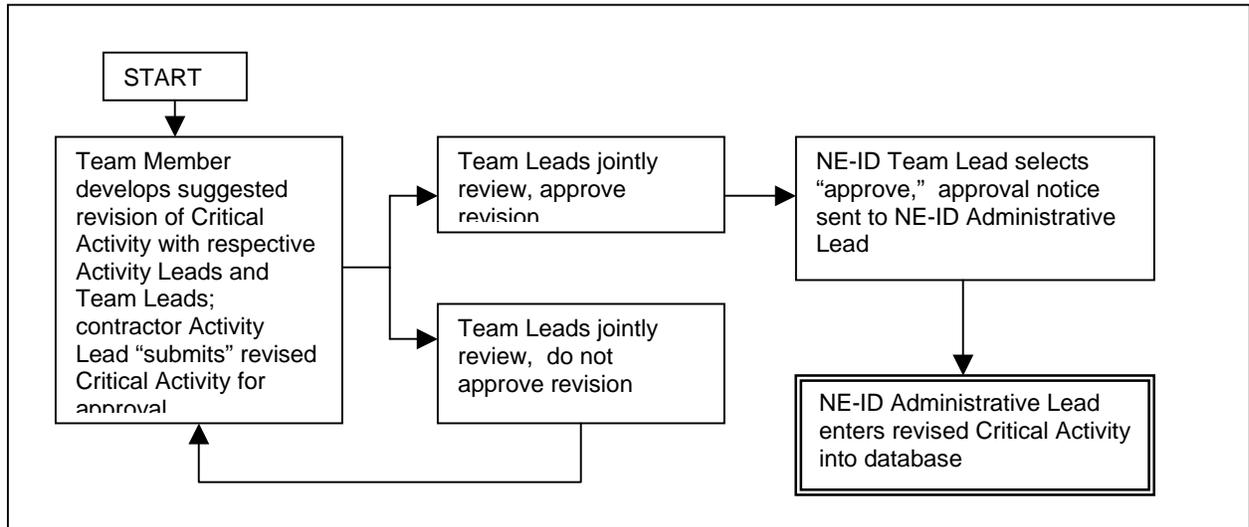


Figure 3: Revising Transition “Critical Activities”

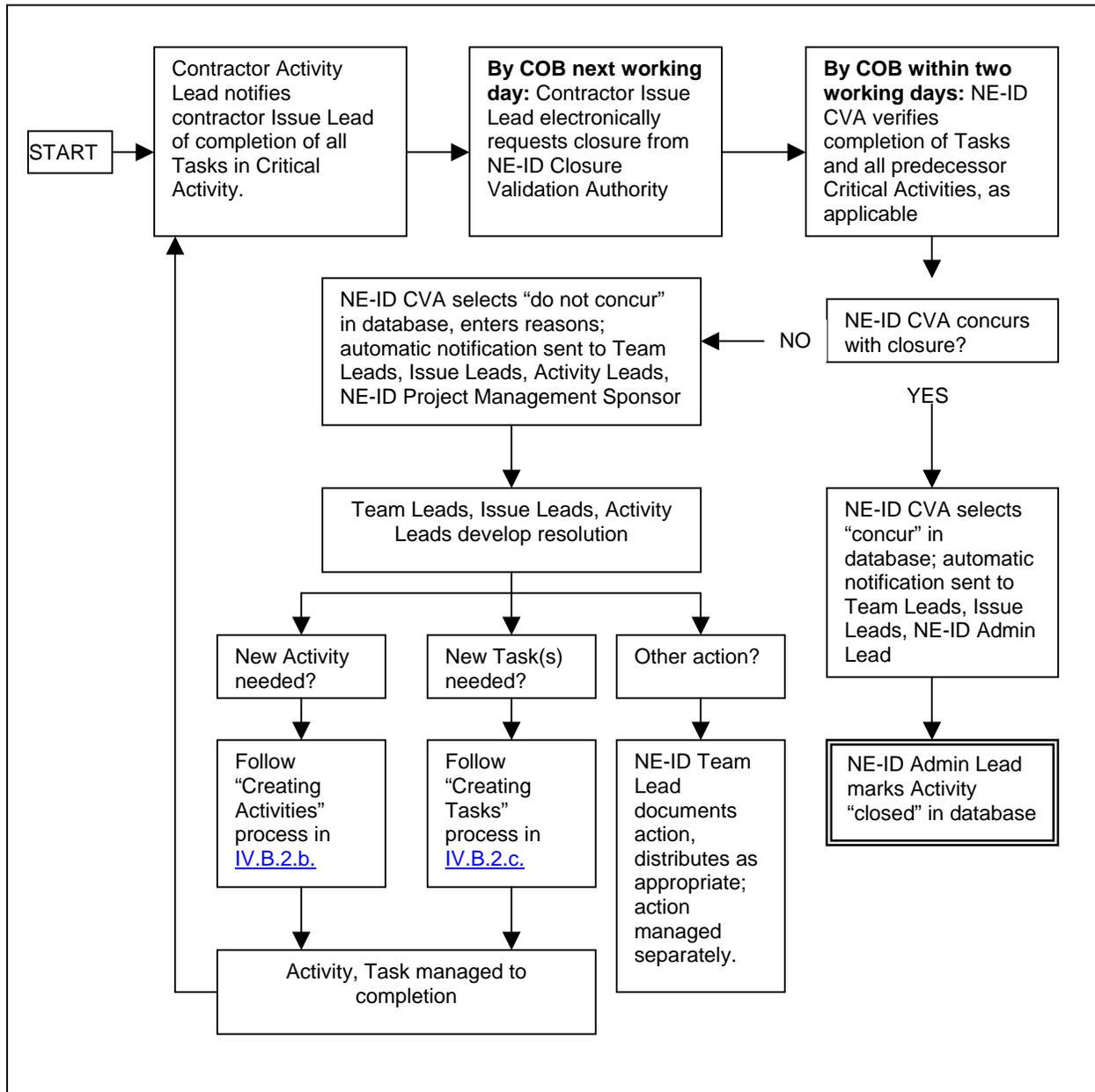


Figure 4: Closing Critical (Priority A) Transition “Activities”