

STIP Goal 3 - Status

Promote use of best business practices to ensure effective life-cycle management of STI

Presentation to the
Scientific and Technical Information
Program (STIP) Meeting
February 3, 1998

Carol L. Duncan, Goal 3 Team Leader

Goal 3: Presentation *(Best-Business Practices for LCM)*

- Presentation will cover:
 - Our Charter
 - Group Activities
 - » STIP Assessment (Section IV)
 - » R&D Cycle Flow Diagram
 - » Business Practices for Accessing STI through the EnergyFiles
 - Questions & Answers

Goal 3: Charter

(Best-Business Practices for LCM)

- The objective of this goal is to identify and promote the use of best business practices to ensure effective life-cycle management (LCM) of STI. The following is a list of activities that when accomplished will lead us to a common understanding and language in support of LCM.

Goal 3: Charter

(Best-Business Practices for LCM)

■ Clearly define DOE's LCM.

- Determine when LCM begins and ends, and the intermediate stages of common applicability across DOE.
- Define types of STI products included in LCM.

A subteam is currently working on this activity

■ Develop a "What's in it for me" statement to encourage adoption of LCM requirements.

- Address barriers in this statement.

Goal 3: Charter

(Best-Business Practices for LCM)

- Analyze and select best business practices from within industry which addresses LCM requirements
- Develop an implementation plan which identifies best business practices and also includes the concepts of prudent diversity.
 - Include elements of best business practices so that sites own their own practices and DOE provides overall guidance.
 - Provide input to the DOE STI Guide, which documents best practices for the DOE STI Program

Goal 3: Charter

(Best-Business Practices for LCM)

- Promote and market the plan
- Measure results and share success stories
 - Include costs savings, organizations who have adopted a best business approach to LCM.
 - Incorporate relevant measures in STI Performance Measures

Goal 3: Charter

(Best-Business Practices for LCM)

Members of our goal group:

- ❖ Ruth Heidt Belanger, YMP
- ❖ Vince Dattoria, OSTI
- ❖ Carol Duncan, LLNL
- ❖ Dennis Gound, ORO
- ❖ David Hamrin, ORNL
- ❖ Stephanie Janicek, Hanford M&I
- ❖ Sharon Jordan, OSTI
- ❖ Claudia Newbury, YMP
- ❖ Manuel Ontiveros, SANDIA
- ❖ Shannon Savage, ANL

Frequency of Meetings: We meet the 2nd and 4th Tuesdays of each month

Goal 3: Activities

(Best-Business Practices for LCM)

- Developed questions regarding LCM for the STIP Assessment survey
- Formed Sub Teams
 - Create a R&D Cycle Flow Diagram
 - Create Business Practices for Accessing STI through the EnergyFiles

Goal 3: Activities

(Best-Business Practices for LCM)

■ STIP Assessment (Section IV: LCM)

- We wanted to identify the LCM stages being implemented and planned for across the DOE complex.
 - » Phase I: STI Identification
 - » Phase II: STI Creation
 - » Phase III: Determination of Output Media
 - » Phase IV: Review and Release
 - » Phase V: Editing
 - » Phase VI: Production
 - » Phase VII: Output
 - » Phase VIII: Distribution
 - » Phase IX: Preservation
- We also wanted to identify the software and formats being used for creating, publishing, and archiving electronic documents, and the user's level of satisfaction with the software.

Goal 3: Activities

(Best-Business Practices for LCM)

■ Results from the STIP Assessment Survey

- Total individual responses: 24
- Representing 17 Organizations

- ANL
- Bechtel Hanford, Inc.
- DOE Savannah River Ops Office, IMTD
- DOE/NV
- Fermilab
- HR-41
- HR-43
- INEEL
- LLNL
- Oak Ridge Institute for Sciences and Education
- ORNL
- Oak Ridge, Y-12 Plant
- OSS
- Princeton Plasma Physics Laboratory
- SANDIA
- SRS
- YMP

Goal 3: Survey Results

- We agreed on two definitions:
 - **Information Life Cycle Management (LCM):** The formal process that manages information resources as long as they are determined to be useful. The activities involved include planning, budgeting, creating, packaging, protecting, delivering, storing, and archiving.
 - **Information Life Cycle Management Change Control (CC):** The formal mechanism in which changes to the established life cycle management process are managed as changes are proposed, decided upon, implemented, and communicated.

Goal 3: Survey Results

Survey Results

No Answer	LCM (CC)
9	15 (8)

■ Phase 1: STI Identification

- Identify STI that will be created as a by-product of research & development or related endeavor.
- Includes: products called out in contracts, work authorizations, task orders, and project statements of work.

Goal 3: Survey Results

■ Phase II: STI Creation

- Consists of authoring (drafting) original manuscripts for publications.
- Includes: syntheses, annotated, bibliographies, conference papers, and other information to be transferred, as well as technical reports of original research.

No Answer	LCM (CC)
8	16 (8)

Goal 3: Survey Results

■ Phase III: Determination of Output Media

- Produces the blue print for how we are going to get the information into the hands of the right recipients. Each product may need to have multiple outputs to reach those who need it; print, WWW, CD-ROM, Fax-on-Demand, etc.

No Answer	LCM (CC)
7	17 (10)

Goal 3: Survey Results

- Phase IV: Review and Release
 - Releases DOE information. Review includes: peer review to ensure scientific quality before public release; classification review for national security; and intellectual property clearances to guard against release of proprietary, copyrighted or patentable information. Distribution limitations may be placed on the document based on the review determination.

No Answer	LCM (CC)
4	20 (14)

Goal 3: Survey Results

No Answer	LCM (CC)
10	14 (9)

■ Phase V: Editing

- Conforms to style guidelines and checks grammar, syntax spelling, citation accuracy and format, and order of tables and figures. The editor also will verify formulas and other “technical” scientific aspects of the document.

Goal 3: Survey Results

■ Phase VI: Production

- Includes layout, creation and integration of graphics into format. This phase is closely coordinated with Phase 2 decisions.

No Answer	LCM (CC)
7	17 (8)

Goal 3: Survey Results

No Answer	LCM (CC)
6	18 (10)

Printing

- Phase VII: Output

- Includes using GPO for printing purposes. Publishes information electronically on the Internet.

Electronic
Publishing

No Answer	LCM (CC)
8	16 (5)

Goal 3: Survey Results

■ Phase VIII: Distribution

- Makes DOE documents available to the broadest dissemination, consistent with statutory or other guidelines.

No Answer	LCM (CC)
8	16 (9)

No Answer	LCM (CC)
4	20 (10)

■ Phase IX: Preservation

- Address STI preservation activities of archiving and repository functions to ensure availability.

Goal 3: Survey Results

- Next Steps:
 - Follow up with the organizations to gather specific process information.
 - From the numbers it appears that organizations are implementing the various aspects of LCM.

Goal 3: R&D Cycle

■ Background:

- At the past STICG meeting the relationship between R&D activities and STI deliverables was discussed.
- It was suggested that we needed a better understanding of the process and that a flow diagram of the R&D process be developed.
- The process should show
 - » roles of program managers, contracting officers, technical information officers and others, including the relationship to STI.

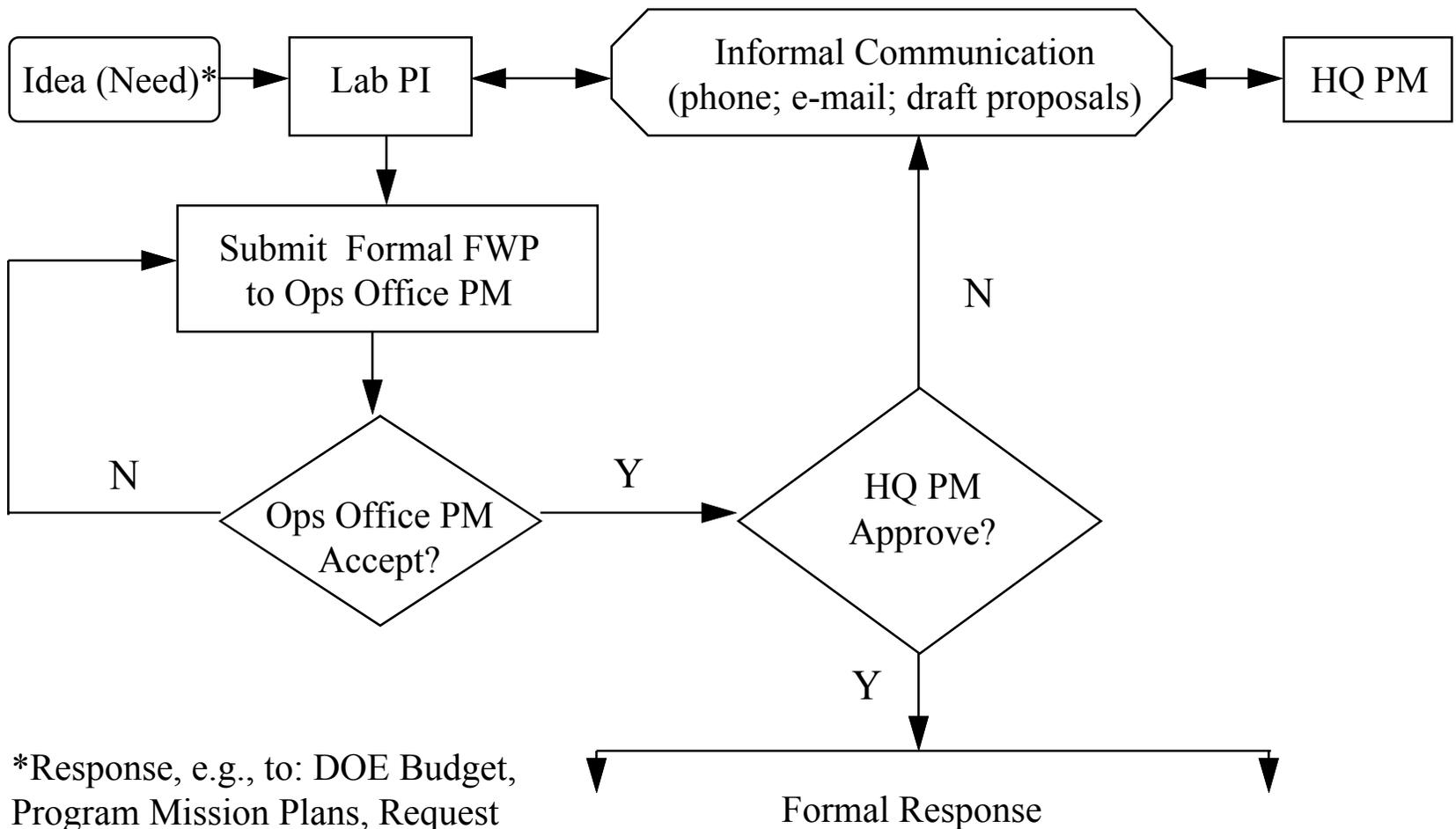
Goal 3: R&D Cycle

- Objective: Create a R&D cycle flow diagram that illustrates the process from beginning (formulating the idea) to the end (archiving the STI product) with the objective to:
 - determine where in the process STI deliverables are identified.
 - identify the tracking mechanisms so that the R&D funds can be linked to the STI product.
 - clarify roles and responsibilities.
- Subgroup members:
 - Carol Duncan, LLNL
 - Dennis Gound, ORO
 - Dave Hamrin, ORNL
 - Ruth Heidt Belanger, YMP
 - Sharon Jordan, OSTI
 - Manny Ontiveros, SANDIA

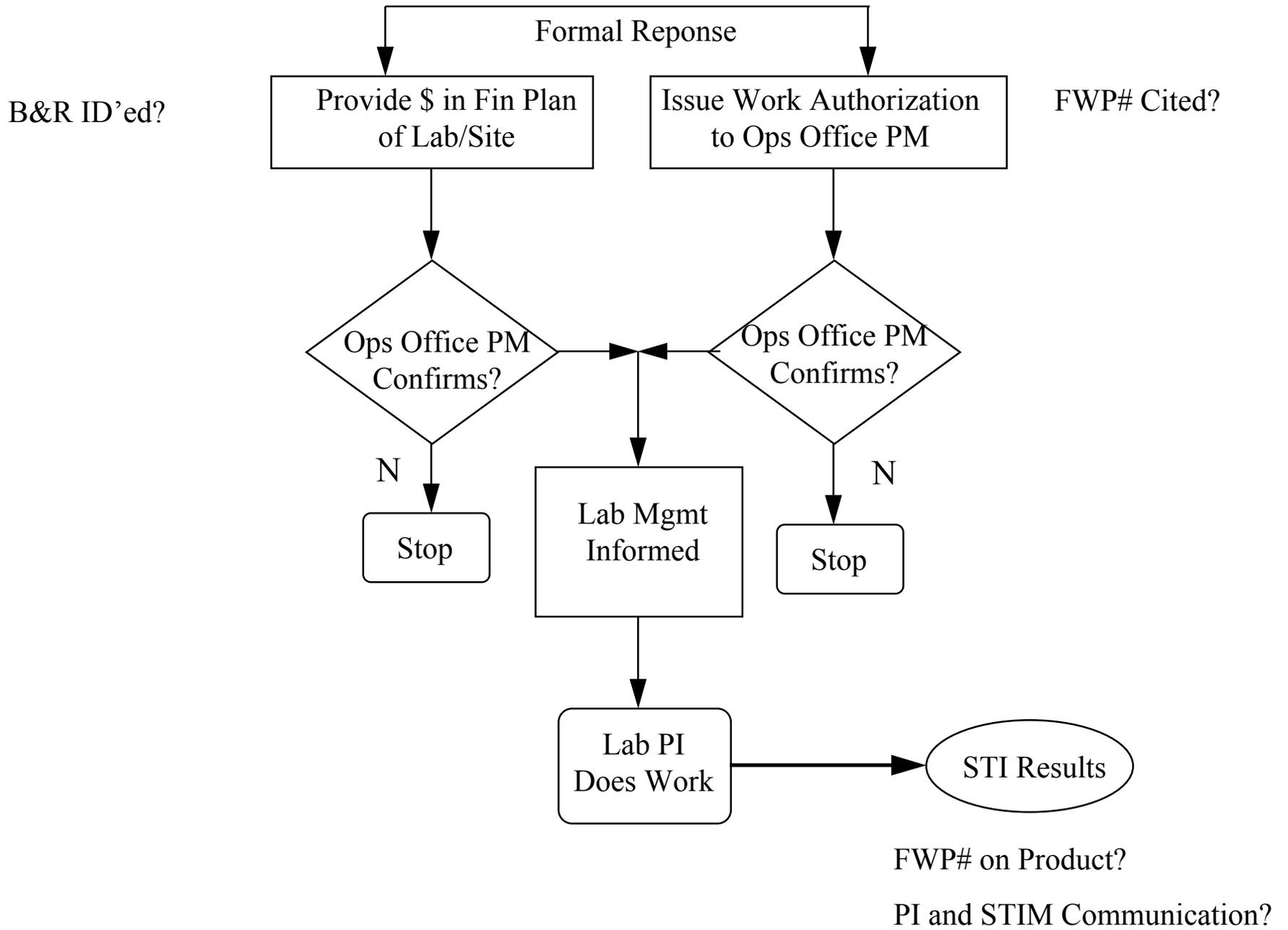
Goal 3: R&D Cycle

- A few years ago Dennis Gound and Dave Hamrin created several flow charts showing ORO and ORNL's FWP and R&D Cycle processes.
- Together with Sharon they volunteered to create a draft R&D flow diagram from a M&O perspective.

R&D Project Flow in DOE (M&O Path)



*Response, e.g., to: DOE Budget, Program Mission Plans, Request for Proposals



Goal 3: R&D Cycle

- In reviewing the draft diagram we found:

- Each site assigns a FWP number to their submission.

Example: ERW0108

- » The first two characters signify the DOE Organizational Code, the third character “W” stands for “work,” and the remaining four characters is an unique sequential number assigned by the site.

Note: This number doesn't appear on any other communication other than the FWP.

- In the “Submit Formal FWP” the “FWP” is a generic term. A variety of forms are used: FWP form is not a standard across all Program Offices. Other forms are used, ADS, TTPs (Technical Task Proposal), FTP (Field Task Proposal), FPP (Field Planning Proposals), etc.

Goal 3: R&D Cycle

- The description of work on the proposal is based on guidance the PI receives from the HQ Program Manager. This guidance can be both formal (Unicall) or informal (real-time discussions) and may or may not describe STI deliverables.
- FWPs are submitted both through the formal budget process (future dollars) and real-time proposals (current dollars).

Goal 3: R&D Cycle

- Upon approval HQ sends a formal response to the site through the respective Ops Office.
 - Issues Work Authorization form.
 - Does not reference the FWP number - it does include a Work Authorization Number.
Example: KP/99997/SF/50.
 - May include attachments describing specific projects along with their specific B&R code.
Example: KP1103010.
 - Provides dollars in the site's Financial Plan.

Goal 3: R&D Cycle

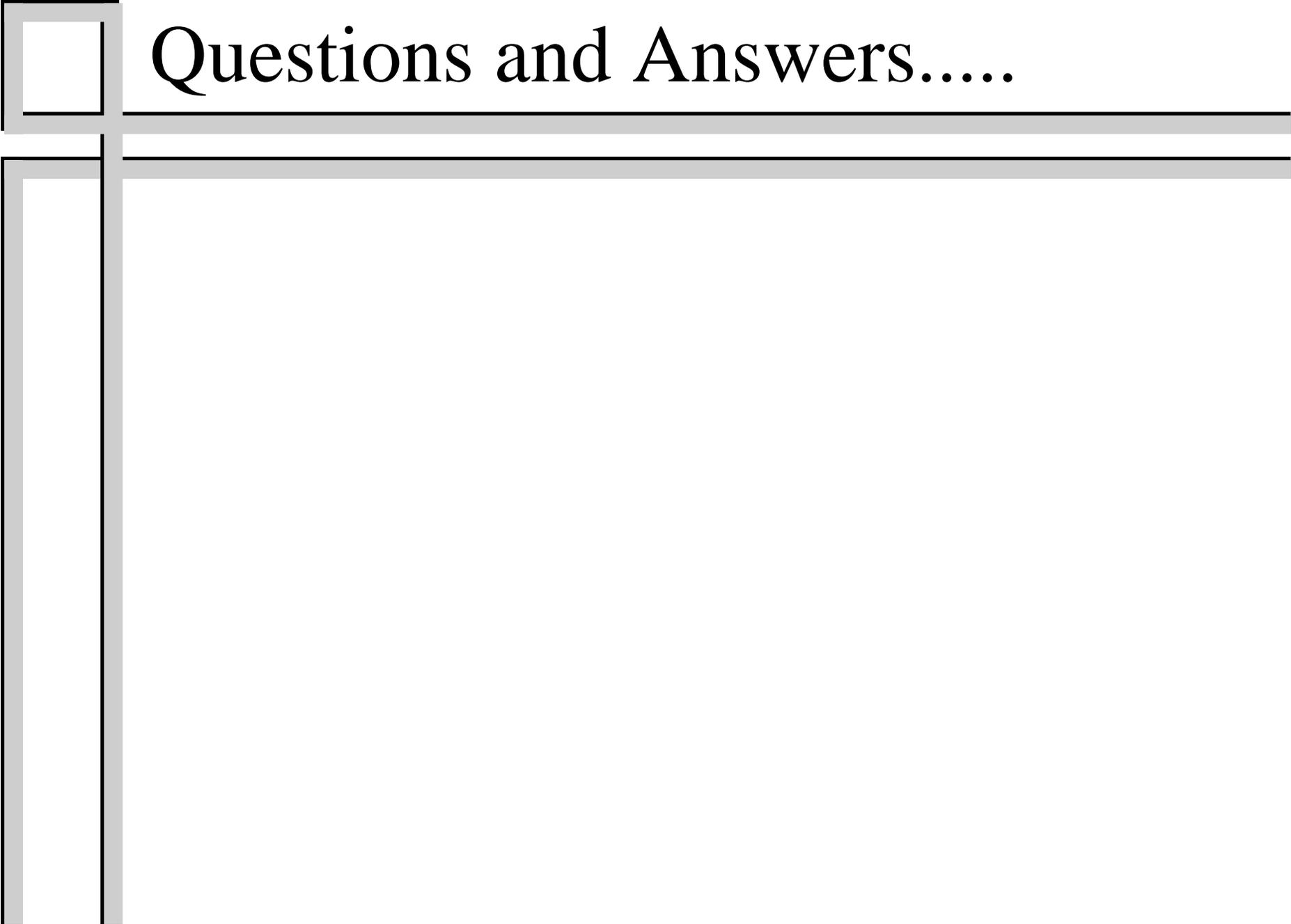
- Our work continues, our next steps:
 - Leverage existing tracking mechanisms to “close the loop” in linking the STI Product with the R&D funding.
 - » We don’t want to recreate the “wheel”
 - Clarify the role and responsibilities
 - Review guidance and supplement as appropriate to “close the loop” on how research is reported.

Goal 3: Business Practices for Accessing STI through the EnergyFiles

- Goal 1 has been working on creating the EnergyFiles collection criteria.
- During their discussion issues pertaining to the business practices of making this information available have surfaced.
- We were asked to identify best business practices for providing access to DOE's STI through EnergyFiles.

Goal 3: Business Practices for Accessing STI through the EnergyFiles

- We identify some issues:
 - pricing of materials
 - competing with NTIS
 - determining the information's location
 - addressing security issues
 - ensuring data authenticity and validation.
- We are looking for individuals interested in working on this issue.



Questions and Answers.....