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Transition management of facility-related services – Code of Practice

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Foreword

Publishing information

This British Standard is published by BSI Standards Limited, under licence from The British Standards Institution, and came into effect on 31 August 2014. It was prepared by Technical Committee FMW/1, *Facilities management*. A list of organizations represented on this committee can be obtained on request to its secretary.

Relationship with other publications

This British Standard is a new addition to an existing set of standards connected with facilities management and complements BS 8572.

Use of this document

As a code of practice, this British Standard takes the form of guidance and recommendations. It should not be quoted as if it were a specification and particular care should be taken to ensure that claims of compliance are not misleading.

Any user claiming compliance with this British Standard is expected to be able to justify any course of action that deviates from its recommendations.

Presentational conventions

The provisions of this standard are presented in roman (i.e. upright) type. Its recommendations are expressed in sentences in which the principal auxiliary verb is "should".

Commentary, explanation and general informative material is presented in smaller italic type, and does not constitute a normative element.

The word "should" is used to express recommendations of this standard. The word "may" is used in the text to express permissibility, e.g. as an alternative to the primary recommendation of the clause. The word "can" is used to express possibility, e.g. a consequence of an action or an event.

Notes and commentaries are provided throughout the text of this standard. Notes give references and additional information that are important but do not form part of the recommendations. Commentaries give background information.

Contractual and legal considerations

This publication does not purport to include all the necessary provisions of a contract. Users are responsible for its correct application.

Compliance with a British Standard cannot confer immunity from legal obligations.

Introduction

The purpose of this British Standard, which complements BS 8572, is to give recommendations and guidance on processes and procedures by which facility owners, operators and tenants can manage the transition from one facility-related service arrangement to another in an efficient and cost-effective manner and minimize exposure to risk and threat to business continuity.

Transition management of facility-related services is the process of moving from one service arrangement to another. This can cause unnecessary disruption to end-users of those services and incur additional indirect costs. The issues arising from a change in an existing arrangement can be off-putting for facility owners, operators and tenants. The idea of moving from an established familiar situation to one that is unfamiliar can be unattractive, not least because of a lack of understanding of how to manage such an undertaking. In the absence of guidance, facility owners, operators and tenants might be disinclined to break with an existing arrangement, despite some dissatisfaction with it. Transition has to be planned and controlled over and above arrangements for the procurement of facility-related services, where this applies, if it is not to impact negatively on service delivery.

1 Scope

This British Standard provides facility owners, operators and tenants (and professional advisors on their behalf) with recommendations and guidance on managing changes to their existing sourcing arrangements and where there is a move between insourcing and outsourcing and vice versa. It is applicable to a range of situations from the replacement of one service provider by another, to bringing all services in-house following a lengthy period of outsourcing, and incorporates recommendations that allow the approach to be scaled to suit the degree of complexity involved.

NOTE For the purpose of this British Standard, the "organization" can be the facility owner, an operator, a tenant or a professional advisor acting on their behalf.

2 Normative references

The following documents, in whole or in part, are normatively referenced in this document and are indispensable for its application. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

BS 8572, *Procurement of facility-related services – Guide*

BS 8587, *Guide to facility information management*

BS EN 15221-1, *Facility management – Part 1: Terms and definitions*

BS EN 15221-2, *Facility management – Part 2: Guidance on how to prepare facility management agreements*

BS EN 15221-5, *Facility management – Part 5: Guidance on facility management processes*

PAS 1192-3:2014, *Specification for information management for the operational phase of assets using building information modelling*

3 Terms, definitions and abbreviations

3.1 Terms and definitions

For the purposes of this British Standard, the terms and definitions given in BS EN 15221-1 and BS EN 15221-2 and the following apply.

3.1.1 contingency planning
activity designed to take account of conditions or events whose occurrence or effect is uncertain and which would likely result in a change to the agreed plan

3.1.2 control
comparison of actual performance with planned performance, analysing variances and taking appropriate corrective and preventive action as needed
[SOURCE: BS ISO 21500:2012, **2.6**]

3.1.3 cost contingency
sum added to a cost estimate to cover conditions or events whose occurrence or effect is uncertain and which would likely result in additional cost

3.1.4 critical path
longest planned sequence of activities (or tasks) in a network

3.1.5 flawless start-up
fault-free commencement of operations
[SOURCE: BS 8587:2012, **3.1.15**]

3.1.6 informed client function
individual or group within an organization with expertise in procurement designated to act as the client or customer in a procurement transaction
[SOURCE: BS 8572:2011, **3.1.10,** modified]

3.1.7 insourcing
delivery of a service by one part of an organization to another

3.1.8 manual of authorities
document containing the authorities and authority holders within an organization relating to its business, functions and legal entities
[SOURCE: BS 8587:2012, **3.1.20**]

3.1.9 milestone
point in a timeline, a time-plan or a schedule that indicates a significant event

3.1.10 outsourcing
business model for the delivery of a product or service to an organization by a third party provider
[SOURCE: BS ISO 37500 [1)], **2.9**]

3.1.11 precedence diagram
graphical network in which the nodes are activities or tasks and the links between them define the logical sequence of events

3.1.12 project management plan
document or collection of documents that define the execution, monitoring and control of the project

[1)] In preparation

3.1.13 risk and opportunity register
record of identified risks and opportunities, including results of assessment/analysis and planned responses

3.1.14 schedule
plan of tasks and their times with the resources required to achieve defined objectives

3.1.15 schedule contingency
time added to a schedule to cover conditions or events whose occurrence or effect is uncertain and which would likely result in delay

3.1.16 stakeholder
person, group or organization that has interests in, or can affect, be affected by, or perceive itself to be affected by, any aspect of the project
[SOURCE: BS ISO 21500:2012, **2.14**]

3.1.17 task
work item in a schedule

NOTE The term "task" is used in this British Standard instead of "activity", as defined in BS ISO 21500:2012, to refer to a work item in a schedule. This distinction is necessary to avoid possible confusion when referring to work in an organizational and business process context, where "activity" is the generally accepted term.

3.1.18 time-plan
tasks placed in sequence along a timeline or against a timescale and incorporating phases, milestones and deadlines

3.1.19 transition
activities for migrating agreed upon knowledge, assets, liabilities, systems, processes and people from the client to the provider in order to create desired delivery capability and the reverse situation
[SOURCE: BS ISO 37500 [2)], **2.24**, modified]

3.1.20 transition management
process for accomplishing transition

3.1.21 transition planning
activity of preparing for transition

3.2 Abbreviations

HSSE health, safety, security and environmental sustainability

4 Transition planning

4.1 General

A business case for transition, or statement of needs, should be prepared and used as a basis for transition planning. The starting point for transition should be made explicit.

[2)] In preparation

NOTE The starting point for transition could be a decision relating to the organization's operation of an individual facility or its facilities in general. This decision needs to be documented, either as a business case for transition or within a statement of needs. The former is the more usual situation and occurs where a change to existing arrangements is necessary, perhaps in light of operational experiences. The latter would be appropriate when a facility is to be refurbished and where a change to existing arrangements is required (see BS 8536).

4.2 Transition process

4.2.1 Transition as managed change

Transition is a process that involves change in the delivery of facility-related services. For change to be managed effectively, transition should be supported by a defined plan (see **4.2.3**) that is based on the business case for transition or statement of needs (see **4.1**).

4.2.2 Transition as a project

The organization should adopt a project-based approach to transition in which the scope of services subject to transition, together with the tasks to be performed, their times, resources and cost, are defined and controlled within a risk-bound environment.

NOTE Planning and scheduling the tasks necessary to achieve the organization's objectives form a significant activity when preparing for transition.

4.2.3 Plan for transition

The organization should prepare a plan for transition to cover, as a minimum:

a) objectives, including critical processes and activities affected (see **4.3.2.2**), scope of services subject to transition (see **4.3.4**) and criteria for measuring success (see **4.3.6**);

b) impact on the business and end-user requirements (see **4.3**), including HSSE provisions (see **4.6.6**), the needs of disabled people (see **5.3.4**) and equality obligations in general (see **5.4.3**);

c) governance, including assessment of the need for a board or equivalent body for steering purposes, definition of roles, responsibilities and accountabilities, internal approvals, applicable organizational structure and controls to be applied (see **4.6.2**);

d) external permissions and notices which might be required (see **4.6.3**);

e) stakeholders, including arrangements for assessing their interest and likely impact, engagement and communication (see **4.4** and Clause **5**);

f) risks, including identification and assessment/analysis of downside risk events and upside opportunities, responses to risk events and controls to be applied (see **4.5**);

g) knowledge and supporting information and data to be acquired or exchanged in the course of transition (see **4.6.4**);

h) procurement strategy, policy and procedures for facility-related services, where outsourcing is involved (see **4.6.5** and BS 8572);

i) service definitions (see **4.6.5.2**), service specifications (see **4.6.5.3**) and service levels (see **4.6.5.4**);

j) existing arrangements in regard to agreements, contracts and employment of personnel affected (see **4.6.7**);

k) time-plan and deadlines, or schedule, including critical tasks, milestones and controls to be applied (see **4.6.9** and **4.7**);

l) resources, including personnel, materials, equipment, temporary facilities or works, and controls to be applied (see **4.8**);

m) costs and required budgets, including controls to be applied (see **4.9**); and

n) required contingency, including quantification of schedule (i.e. time) contingency and cost contingency (see **4.10**).

*NOTE 1 Schedule contingency and cost contingency are not optional and are required. The extent of contingency might not, however, be easy to gauge and so is likely to call for a qualitative risk assessment. In the case of large or complex transitions, a quantitative risk analysis is advisable (see **4.10.2** and **4.10.3**).*

The plan should complement existing policies and procedures as far as practicable.

*NOTE 2 A plan for transition is analogous to a project management plan, which is a document, or collection of documents, defining how the project is to be executed, monitored and controlled (see **3.1.12** and **4.6**). It is necessary to distil the essential actions from the plan in order to focus on the tasks, decisions and key information needed in transition (see **4.6.1**).*

4.2.4 Transition control

The organization should adopt an integrated approach to the control of transition. The scope of services subject to transition should be accompanied by and reflected in a time-plan (or schedule), resource plan and cost estimate (or budget). Where any alteration is made to the scope, its impact on the time-plan (or schedule), resource plan and cost estimate (or budget) should be assessed before proceeding (see **4.5.2.6**). Variances from the plan for transition should be controlled so that the organization's objectives in regard to transition are achieved (see **6.4**).

4.3 Impact of transition

4.3.1 General

As transition involves change to the support for the organization's primary processes and activities and therefore has the potential to impact end-users and threaten business continuity, the organization should assess the potential impact of transition upon its ability to maintain normal operations or operations at another level that is acceptable.

4.3.2 Business continuity

4.3.2.1 General

NOTE 1 Business continuity involves managing the continuation or resumption of the primary processes and activities of the organization in the event of a disruption to operations.

The organization should identify potential threats and other risk events arising from transition and the impact upon operations that these might have. Arrangements to strengthen organizational resilience to counter the effects of disruption from transition should be made in order to safeguard the interests of key stakeholders (including end-users), value-creation and reputation.

NOTE 2 See BS ISO 22301 and BS ISO 22313 for further guidance.

4.3.2.2 Critical processes and activities

The organization should identify processes and activities that are essential to maintaining normal operations, which it should regard as critically important to the continuity of the organization's business. The organization should categorize these primary processes and activities according to their priority for resumption. Those activities whose loss would have the greatest impact in the shortest time and which need to be resumed most rapidly should be identified as "critical activities". This information should be used when planning transition, especially with regards to the management of risk (see **4.5**).

NOTE The maximum time period for resuming normal operations can vary between minutes and months depending on the nature of the process or activity. Those that are time-critical might have to be specified with a greater degree of precision, for example to the minute or hour, than less time-critical processes and activities. See BS ISO 22301 and BS ISO 22313 for further guidance.

4.3.2.3 Impact analysis

The organization should determine the potential impact of disruption to the facility-related services that support its primary processes and activities in the event that transition fails to achieve its objectives (see **4.5.2**). For each primary process and activity the organization should:

a) establish the maximum tolerable period of disruption by identifying:

   1) the maximum time period after the start of a disruption within which the process or activity needs to be resumed,

   2) the minimum level at which the process or activity needs to be performed on its resumption,

   3) the length of time within which normal operations need to be resumed;

b) assess the impacts that would occur if the process or activity was disrupted in each of the cases outlined above; and

c) identify interdependent processes, activities, assets, supporting infrastructure or resources that have to be maintained continuously or resumed over time.

NOTE See BS ISO 22301 and BS ISO 22313 for further guidance.

4.3.2.4 Disruption and contingency planning

The organization should prepare plans to counter the adverse effects of a failure in service delivery affecting normal operations irrespective of the source of the service. Plans should be based upon plausible scenarios, for example the financial failure of a key service provider or a deteriorating level of service that shows no sign of improvement. Each scenario should be accompanied by an action plan capable of minimizing disruption to normal operations, together with schedule and cost estimates for maintaining or resuming normal operations. Details of resources required to be held on standby should be identified (see **6.3.4**). A risk assessment should be undertaken to inform this process (see **4.5.2.4**). All scenarios should be kept up-to-date, as far as practicable.

NOTE 1 It is reasonable to expect that the organization would have more control over an in-house team; even so, it would be advisable to prepare plausible scenarios to cover eventualities that might affect normal operations. When preparing scenarios, the aim is to "flesh-out" possible causes, their effects and the most effective approach for dealing with them, not to predict the future; the organization is attempting to build organizational resilience.

In planning transition, the organization should assess the extent of contingency that might be required in the project's time-plan or schedule and cost or budget to avoid or lessen the impact of any disruption to primary processes or activities.

*NOTE 2 Such a situation can arise for various reasons, including a preferred service provider failing to mobilize on time or falling short of the required level of performance. A quantitative risk analysis might be needed for this purpose once sufficient data are available in regard to the project's schedule and cost estimate (see **4.10.2** and **4.10.3** respectively).*

*NOTE 3 Once costs have been estimated and subsequently accepted, it is usual for a budget or budgets to be allocated. The term "budget" is used to cover costs expected to be incurred. A budget sets the limit on the commitments that can be made, e.g. orders placed (see **6.4.6**).*

4.3.3 Types of transition

4.3.3.1 General

*COMMENTARY ON **4.3.3.1***

Transition can mean the transfer of an existing service from the organization to an external service provider (i.e. outsourcing) or from an incumbent service provider to another provider if the service is already outsourced. It can also mean bringing services in-house (i.e. insourcing) either partially or in their entirety.

The organization should categorize the nature of a proposed transition in terms of one of the following types:

a) moving to outsourcing;

b) changing the outsourcing model;

c) reverting to insourcing; or

d) insourcing for the first time.

NOTE 1 Each of the above types has implications for the organization's structure, including personnel and their required competences and skills, as well as reflecting a focus on either external or internal arrangements for service delivery. The relationship between these types of transition is shown in Figure 1.

As the realization of any transition is likely to be subject to conditions or constraints, the organization should identify limitations and state them clearly when describing the nature of a proposed transition.

The types shown in Figure 1 should be qualified as to their particular character.

NOTE 2 Changing the existing outsourcing model can cover anything from the substitution of the provider of one minor service to a complete restructuring of all service delivery including the appointment of new service providers.

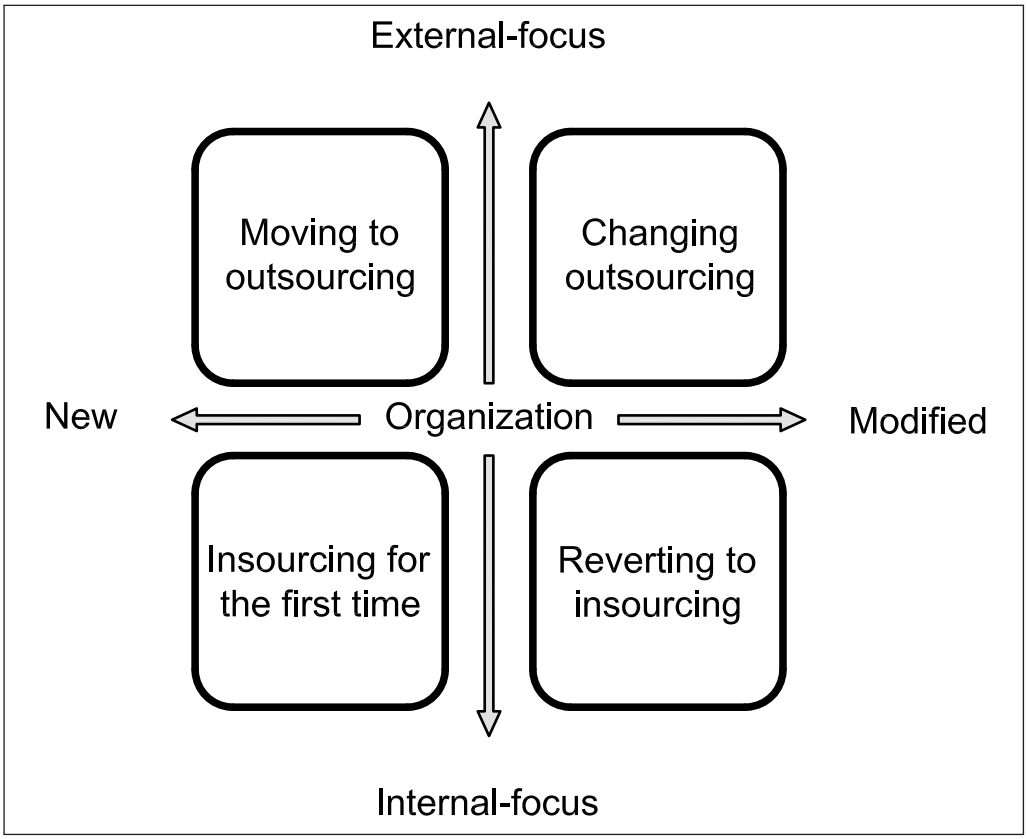
4.3.3.2 Moving to outsourcing

In aligning with this transition, the organization is changing from insourcing to the procurement of facility-related services from one or more service providers. The organization should carry out procurement in accordance with BS 8572.

4.3.3.3 Changing the outsourcing model

In aligning with this transition, the organization is continuing to procure facility-related services from service providers, but in a way that differs from the existing arrangement. The organization should address the options for service delivery in accordance with BS 8572.

Figure 1 **Types of transition**



4.3.3.4 Reverting to insourcing

In aligning with this transition, the organization is seeking to return to a situation where facility-related services – presently delivered by external service providers – are to be provided by an in-house team. The organization should determine if it has sufficiently retained the structure, resources, competences and skills to cope with this new arrangement (see **4.6.2.10**). The management of service delivery should be in accordance with BS 8572.

NOTE BS 8572 addresses the procurement of facility-related services. It looks widely at the procurement process, including stages and practices that are also applicable to an insourced arrangement, notably service definitions, mobilization and performance review.

There should be no practical difference in the way that insourced and outsourced personnel are treated in the context of service and performance. It should be established whether the organization has the structure, resources, competences and skills to manage an in-house team (see **4.6.2.8** and **4.6.2.10**).

4.3.3.5 Insourcing for the first time

In aligning with this transition, the organization is bringing in-house the delivery of facility-related services (i.e. insourcing) following an exclusive period of outsourcing. The organization should determine if it has the structure, resources, competences and skills to cope with this new arrangement (see **4.6.2.8** and **4.6.2.10**). The management of service delivery should be in accordance with BS 8572 and BS EN 15221-5.

An organizational structure, with new positions, roles, responsibilities and accountabilities, should oversee and deal with the day-to-day demands of this new arrangement (see **4.6.2**).

4.3.4 Scope definition

The organization should define and document the scope of services subject to transition (see **4.6.5.2**).

*NOTE The defined scope, together with the time-plan (or schedule), resources and cost estimate (or budget) define the project boundary for the purpose of **4.2.2**.*

4.3.5 Prioritization of requirements

The organization should prioritize its requirements and reflect them in its list of actions for transition (see **4.6.1**). Account should be taken of the practical steps involved in the procurement of facility-related services (see **4.6.5** and BS 8572) when determining priorities involving outsourcing.

4.3.6 Criteria for measuring success

The successful transition of facility-related services can be greatly assisted by the clarity with which required performance and outcomes are expressed. The organization should, therefore, determine the criteria by which success in transition is to be measured. As a minimum, the organization should consider performance in relation to the following for the defined scope:

a) schedule progress and completion, including achievement of milestones, as planned (see **6.4.4**);

b) resource consumption in line with the resource plan and schedule it supports (see **6.4.5**);

c) expenditure within the agreed cost estimate or approved budget (see **6.4.6**); and

d) continuity of operations.

4.4 Stakeholders

The organization should outline its approach to engaging with stakeholders (see Clause **5**).

*NOTE Clause **5** covers stakeholder engagement in detail. Stakeholders can be a significant source of risk and opportunity (see **4.5.1**).*

4.5 Risk management

4.5.1 Risk and opportunity

*COMMENTARY ON **4.5.1***
*Change involves uncertainty (see **4.10**), which means exposure of the organization to risks. Understanding the nature, potential impact and likelihood of risks occurring is a key determinant of successful transition. Recognizing opportunities that might prove beneficial to the organization is important too.*

An assessment should be undertaken, in conjunction with the preparation of the plan for transition, to identify any condition or event that could impact negatively or positively on operations as defined by the organization's primary processes and activities and any actions needed to manage them. Account should be taken of stakeholders' known interests in transition and facilities management in general when identifying and assessing risk and opportunity. Details of such conditions and events and action arising should be recorded in the plan for transition (see **4.2.3**), a risk and opportunity register (see **4.5.2.3**) and reflected in the time-plan or schedule (see **4.6.9** and **4.7** respectively) and cost estimate (see **4.9**).

NOTE Conditions or events that have an impact on operations can be thought of as downside risks or upside risks. Downside risks can have a potentially negative impact on transition, e.g. the failure of a service provider to mobilize resources in sufficient time to meet start-up dates for service delivery.

One important downside risk under an organization's sustainability objectives is waste of materials, equipment and discontinuity of social value in services arising in the transition from one arrangement to another (as might occur during tendering in a move to full or partial outsourcing). Insufficient attention might be given to existing resources and social value in the context of social, economic and environmental sustainability.

Upside risks can add value to the outcome of transition and are more commonly referred to as opportunities. These might arise from a re-examination of the scope of services subject to transition against the objectives recorded in the plan for transition and as reflected in the statement of needs. For example, in a move towards outsourcing, an opportunity could present itself from the bundling of services, where a single service provider could offer improved coordination of service delivery and a reduction in cost from greater economy of scale.

4.5.2 Risk management process

4.5.2.1 General

Where transition poses significant risks and/or uncertainty, the organization should assess the need to adopt a formal process of risk management covering downside risks and upside risks (opportunities).

NOTE Attention is drawn to BS 6079-3, BS IEC 62198, BS ISO 21500:2012 and BS ISO 31000.

4.5.2.2 Risk identification

The organization should identify any condition or event that could impact negatively or positively on transition and undertake a systematic review of those conditions and events on a periodic basis. Details should be recorded in a risk and opportunity register (see **4.5.2.3**). A recognized method for risk identification should be employed by the organization for this purpose.

4.5.2.3 Risk and opportunity register

A risk and opportunity register should be established and maintained from the commencement of transition and should be used to record any identified downside risks and upside risks (opportunities), an assessment of their potential impact and the likelihood of their occurrence (see **4.5.2.4**). For downside risks, actions should be explored to reduce or avoid their potential impact. For upside risks, actions should be explored to realize or enhance the improvement. The risk and opportunity register should be kept up-to-date throughout transition so that it reflects the current situation and should be preserved in order to inform decision-making in subsequent transitions.

*NOTE A risk and opportunity register allows conditions or events, which could threaten or improve outcomes, to be formally recorded and taken into account in risk assessment (see **4.5.2.4**) or risk analysis (see **4.10.2** and **4.10.3**). The register is not only a repository, but a tool to help gain a current understanding of conditions or events and the risks and/or opportunities they present.*

4.5.2.4 Risk assessment

The organization should undertake a qualitative appraisal of conditions and events recorded in the risk and opportunity register to determine their potential impact and the likelihood of their occurence. Periodic reassessment of risks should be used to update the risk and opportunity register and associated risk response (see **4.5.2.5**). The interval for reassessment should take account of the duration of transition and the extent of any changes in the scope of service delivery. A recognized method for risk assessment should be employed by the organization for this purpose.

4.5.2.5 Risk response

The organization should determine the most appropriate response to risks that have been assessed, taking into account the practicability and affordability of any proposed action including the organization's capability or, where applicable, the capability of the service provider. Account should be taken of the potential that might exist to avoid or realize the risk, reduce or increase the extent of exposure and/or the likelihood of its occurrence, together with the schedule, resource and cost implications of doing so (see **4.7**, **4.8** and **4.9**). A recognized method for determining the most appropriate response should be employed by the organization for this purpose.

4.5.2.6 Risk control

The organization should proactively monitor and check the status of downside risks and upside risks (opportunities) recorded in the risk and opportunity register, the events that give rise to them and the outcomes of any risk responses.

NOTE In addition it might be appropriate to implement an active cycle of risk identification, assessment and response (scanning the environment for new conditions or events that could materialize), depending on the duration of transition.

4.6 Transition actions

4.6.1 General

A list of actions should be prepared by the organization based on the plan for transition (see **4.2.3**). Actions should focus on the tasks, decisions and key information required for successful transition. Supporting details from the plan for transition should be appended to the list of actions to the extent that it is necessary to elaborate or substantiate requirements.

*NOTE The purpose of the list of actions is to focus on the main aspects of transition in a way that facilitates rapid communication of intentions (i.e. tasks and decisions) supported by key information and data. The plan for transition (see **4.2.3**) contains specific actions, detailed in **4.6.2**. Annex A contains a checklist of actions covering transition in the broadest sense. The checklist is intended to assist the organization in planning and implementing transition, but does not purport to reflect all the actions that might be necessary.*

4.6.2 Governance

4.6.2.1 General

As the successful management of transition relies upon clarity of roles, responsibilities and accountabilities, the organization should define a framework for governance that defines each of these functions in terms of named personnel and their level of authority within an explicit structure for the purpose of transition. In the case of outsourcing, the organization should assess the benefits of engaging a change manager and human resources manager to ensure smooth restructuring of the remaining in-house team, where appropriate, or other residual arrangement. Attention should be paid to the extent of engagement that might be required for this purpose.

NOTE The engagement of a change manager and human resources manager can, in the case of a large or complex transition, help to minimize impact upon personnel morale and business continuity (see BS ISO 37500 [3]*).*

4.6.2.2 Roles, responsibilities and accountabilities

Transition should be regarded as a distinct function within the organization's facilities management. As such, it should be covered by a designated role, which may be combined with an existing role. It should be exercised by someone with an appropriate level of competence in project management as well as in facilities management.

The organization should determine where responsibilities and accountabilities rest with respect to other defined roles in transition. Where tasks to be performed fall outside existing roles, it might be appropriate to designate additional personnel for this purpose. The need for expert advice from external sources to supplement any lack of competence and skill should be ascertained. Where found necessary, additional roles should be defined and incorporated alongside those existing. Where outsourcing is involved, the organization should identify all roles that are connected with the procurement of facility-related services and ascertain their nature as well as the relationship between them and the extent of their authority (see **4.6.2.7**). The organization should consider the extent to which an incoming service provider might be able to fulfil any of the roles so identified and the authority it will need to be given to discharge its responsibilities. Where the organization is unable to fulfil the designated role for managing transition, the appointment of a managing agent (or other consultant) might be appropriate (see **4.6.2.12**).

The organization should develop the informed client function to serve its broader and long-term interests in the procurement of facility-related services where outsourcing is involved. The informed client function should be developed and maintained to support an appropriate level of communication and cooperation between the organization and service providers as part of a mutual commitment to continual improvement.

4.6.2.3 RASCI chart

A RASCI (responsible, accountable, supported, consulted and informed) chart should be used to summarize the roles and functions performed in transition and the tasks within it.

NOTE A RASCI chart can highlight gaps in available competences or skills that the organization needs to address before proceeding and can also be used to confirm adherence to governance requirements.

[3] In preparation

4.6.2.4 Audit and review

The organization should ensure that the definition of roles, responsibilities and accountabilities are in accordance with the requirements of audit internally and externally as appropriate.

4.6.2.5 Internal approvals

The extent to which approval should be sought from within the organization for any aspect of transition should be clearly identified. The timescale involved in securing any such approval and the authority for giving that approval should be taken into account (see **4.6.2.7**).

There should be a distinction between organizational approval, i.e. a matter for the business to determine as it sees fit in meeting its targets, and corporate approval, i.e. an executive decision involving financial commitment (see **4.6.2.7**).

4.6.2.6 Financial thresholds and limits

NOTE Since transition involves expenditure, it is subject to financial controls as part of the organization's governance.

Responsibility for setting budgets and authority for expenditure should be clearly defined together with associated thresholds and/or limits (see **4.6.2.7**).

4.6.2.7 Manual of authorities

It might be appropriate to use a manual of authorities to define levels of authority, approvals and access to information and data. If used, the manual should be regarded as the definitive guide to "who is authorized to do what" and "who can approve it".

4.6.2.8 Organizational structure

Depending on the type of transition, the organization might be involved in structural changes in order to accommodate new functions, personnel and working arrangements. The organization should identify the extent and nature of such changes and incorporate necessary provisions in the list of actions (see **4.6.1**).

4.6.2.9 Personnel and reporting

Lines of communication and reporting on the part of personnel should be clearly defined in the context of transition. As far as practicable, these provisions should be incorporated in a RASCI chart (see **4.6.2.3**).

4.6.2.10 Job competences and skills

The specific competences and skills that the organization's personnel are required or expected to possess for the purpose of transition should be assessed (see **4.8.3**). Where there is an identified competence or skill's gap, the organization should take steps to resolve this shortcoming before proceeding with transition.

4.6.2.11 Recruitment and training

Where the organization lacks sufficient personnel, or personnel with specific competences and skills, it should assess the need for recruitment and training in order to ensure that it can satisfy the demands arising from transition (see **6.2.3**). The organization should differentiate between additional personnel who might be required for the purpose of transition alone (i.e. a temporary appointment) and those who are required for the new arrangement (i.e. a permanent appointment, as might arise when insourcing).

*NOTE Depending on the type of transition, the organization might need to embark upon a campaign of recruitment followed by intensive training and induction (see **6.2.3**). This would particularly arise where previously outsourced services are to be insourced.*

4.6.2.12 Managing agent

Where the organization is unable to fulfil the designated role for managing transition, it might be appropriate to appoint a managing agent (or similar consultant). Such appointment should be made in sufficient time to allow consultation with stakeholders to take place.

*NOTE Attention is drawn to BS 8572 which addresses the need to maintain and develop the informed client function. See also **4.6.2.2**.*

4.6.3 External permissions and notices

The organization should identify where permission needs to be sought from external bodies and other third parties as well as the need to give notice under any existing agreement. Attention should be paid to the timescale involved in securing such permission and/or giving of notice.

NOTE Attention is drawn to statutory and other regulatory notices regarding the termination of contracts.

4.6.4 Knowledge, information and data acquisition

The organization should define the knowledge and supporting information and data to be acquired or exchanged in the course of transition by the parties involved in order to ensure a safe, efficient and cost-effective outcome.

NOTE 1 The organization might need to acquire knowledge about people, processes and technology in order to manage transition and achieve certainty in outcomes. Conversely, the organization might find that it has to transfer knowledge to service providers about its people, processes and technology (see BS ISO 37500 [4]).

The organization should identify the information and data required for transition and use these to prepare an information deliverables plan. This plan should show, as a minimum, the information and data required, their source and the point at which it is required during transition.

NOTE 2 An information deliverables plan reduces the likelihood of failing to take account of the information and data that have to be exchanged during transition. A lack of key data could, for instance, stall transition and lead to needless delay. Cross-referencing information requirements against the facility handbook substantially reduces the likelihood of oversight (see BS 8587).

4.6.5 Procurement of facility-related services

4.6.5.1 General

Where outsourcing is involved, facility-related services should be procured in accordance with BS 8572.

Service specifications and service level agreements should be written to incorporate the implementation of spot inspections of permits, certificates, records and other documentation.

NOTE Whilst this sub-clause is primarily about outsourcing service delivery, it contains important principles and recommendations for insourcing.

[4] In preparation

4.6.5.2 Service definitions

The organization should determine at the start of transition planning whether it lacks information to specify all of its facility-related services and required levels of service. If it does, the need to request missing information as part of a tender or proposal should be assessed. A tender or proposal invited on the basis of incomplete information can make comparison between service providers difficult.

The organization should determine if it is appropriate to seek or to allow alternative proposals from prospective service providers for the delivery of a service or services. Such proposals should form an integral part of any evaluation.

The format of a proposal should be such that prospective service providers are able to submit a formal offer for the delivery of the respective service or services in a prescribed form. The organization should avoid issuing supplementary information during the tender (or proposal) period as far as possible.

No more than five prospective service providers should be invited to submit a tender or proposal.

4.6.5.3 Service specifications

For each facility-related service, a specification should be prepared with precise requirements that make clear the outcomes required from the delivery of that service. The organization should, wherever practicable, avoid stating requirements in a way that restricts the service provider's (or in-house team's) ability to select the most efficient and effective approach. The need to achieve end-user satisfaction and best value for money should also be taken into account.

The organization should prepare the service specification for the service provider, or require the in-house team to do so on its behalf where appropriate. The service specification should detail the following, as a minimum:

a) internal guidelines and specifications relating to corporate and/or departmental policy;

b) external guidelines and specifications covering compliance with international and national standards, industry standards and manufacturers' recommendations;

c) procedures with which the service provider or in-house team has to comply in order to achieve the required technical levels; and

d) quality and performance thresholds.

The service specification should be drafted consistently throughout the document. It should be consistent with other documents such as the service level agreement (see **4.6.5.4**). The organization should avoid assembling service specifications from disparate sources and should instead approach drafting from the general to the specific, utilizing best practices in the latter.

The service specification should be drafted in such a way that changes in operational requirements can be accommodated without invalidating the agreement covering the service (see **4.6.7**).

4.6.5.4 Service levels

A service level agreement (SLA) should be prepared by the organization as a statement of intentions between it and the service provider or the in-house team where appropriate on behalf of end-users. The SLA should outline the required level of service and include the following:

a) name of each party;

b) roles and responsibilities of each party;

c) scope of services to be provided and exclusions;

d) prioritization of requirements;

e) quality and performance-related targets;

f) time-related targets;

g) prices and rates (fixed or variable);

h) open-book accounting and the definition thereof;

i) resources required;

j) communication and interaction between end-users and service providers (or the in-house team); and

k) change control procedures.

The organization should decide whether it requires fixed prices and rates or if it will accept variable prices and rates. This decision should be based on assessment of current and forecast market inflation and other factors that might affect the balance of financial risk between the organization and the service provider in the case of an outsourced arrangement. Whether or not variable prices and rates are likely to be more appropriate should be established at the time prospective service providers are being evaluated for their suitability.

The SLA should be drafted in such a way that changes to performance requirements can be accommodated without invalidating the agreement covering the service (see **4.6.7**).

The SLA can be applicable to a number of services or facilities and therefore written in general terms, or it can be facility or service-specific. In all cases, it should incorporate relevant service specifications.

The SLA should identify those measures that the organization uses to judge the level of service received. These measures generally fall under the following aspects of the service:

a) compliance;

b) cost;

c) quality;

d) quantity; and

e) timeliness.

NOTE 1 BS EN 15221-2 provides further guidance on the structure and content of an SLA.

End-users' expectations should be translated into formal requirements and targets.

*NOTE 2 End-users normally have particular expectations about levels of service (see Clause **5** and **4.6.5.3**). Discussion with service providers or the in-house team can help to ensure that targets are both appropriate and practicable.*

*COMMENTARY ON **4.6.5.4***
Experience shows that over time some adjustment might benecessary to working arrangements, including targets, remuneration, penalties and incentives to improve performance, and to achieve end-user satisfaction and best value for money.

4.6.6 HSSE provisions

The organization should ensure that it has an up-to-date policy statement covering HSSE, which it should issue to new service providers and/or the in-house team, as appropriate to the type of transition.

*NOTE 1 There is a close link between risk assessment (see **4.5.2.4**) and arrangements specified in the policy statement.*

The organization should assess the risks to the health, safety and security of anyone affected by transition (e.g. end-users, service providers' personnel, customers, visitors and the general public), irrespective of the nature of sourcing, and establish a basis for implementing preventive and protective measures. Similarly, the organization should assess the environmental risks and potential impacts arising in the course of transition. Assessment should cover planning, organizing, executing, monitoring, controlling and reviewing tasks (see **4.5.2.4**).

The organization should determine the need for relevant training in HSSE matters and should make arrangements for it to be provided to service providers or the in-house team, as appropriate to the type of transition. The organization may require service providers to take responsibility for such training (see **6.3.2**).

The organization should take account of the requirements of people with disabilities and others with specific or additional needs and enable appropriate measures to be put in place to safeguard their use of the facility during transition. This might involve adapting existing means of access to, circulation within and escape from the facility.

*NOTE 2 The organization might find it beneficial to seek professional advice regarding how it can ensure that its facility, in the specific sense of environments, goods and services for people with disabilities, conforms to relevant legislation (see **5.4.3**).*

The organization should monitor and review arrangements to achieve continual improvement in HSSE, making use of the organization's policy statement and its quality system.

4.6.7 Agreements

4.6.7.1 General

The nature and extent of agreements in force should be ascertained and used to inform decision-making in regard to the type of transition that might be desirable or possible. The implications arising from the termination of any agreement should be fully examined.

NOTE Seeking appropriate professional advice might be considered by the organization before committing to a plan for transition.

4.6.7.2 Termination of agreements

*NOTE There is no single solution for a situation where a service provider is underperforming. The extent to which the service provider is falling short on requirements is likely to have a bearing on the time within which the situation has to be rectified. Where performance is failing, but not detrimental to operations, it might be sufficient to take steps to replace the service provider at the end of the current agreement or at a specified break-point following a performance review. In more serious cases, under-performance on the part of a service provider could expose the organization to unacceptable risks or hazards. An impact analysis undertaken as part of the organization's business continuity management (see **4.3**), can identify potential weaknesses and prevent the consequences or lessen their impact. In the worst case, the organization might have to take steps to remove the service provider immediately from the facility and bar any return through the enforcement of security measures.*

Any plan prepared as part of the organization's business continuity management (see **4.3.2.4**) should be activated as soon as it reasonably apparent that a service provider is failing to the extent that its actions, or lack of them, pose a threat to normal operations.

The organization should take steps to avoid a deteriorating situation worsening by adopting a conciliatory approach to the service provider.

4.6.7.3 Removal of personnel, goods and equipment

The organization should have an explicit procedure for dealing with the need to remove or exclude personnel, goods and equipment from the facility during transition.

4.6.8 Transfer of employment

Where transfer of employment from the organization to one or more service providers is anticipated under a move to outsourcing or in a change to the outsourcing model, the organization should identify the tasks involved and their likely timescale and incorporate them in the plan for transition. The management of the tasks involved should be taken into account.

NOTE Attention is drawn to the Transfer of Undertakings (Protection of Employment) (Amendment) Regulations 2009 (TUPE) [1]. This is a complex area, outside the scope of this British Standard, and seeking specialist advice might be advisable.

4.6.9 Time-plan, deadlines and phasing

The organization should define the timeframe within which transition is to take place, taking account of any deadlines (i.e. constraints) that have been set or which might have to be imposed. Key stakeholders should be involved in setting any date not previously fixed or regarded as immovable. A realistic timeframe for transition should be set.

NOTE Whilst it is desirable to set dates that suit everyone involved in transition, it is idealistic to expect such freedom. More likely than not, deadlines are imposed; as such, these constraints have to be accommodated as far as practicable. A realistic timeframe or deadline is one where there is sufficient time to undertake transition safely, efficiently and cost-effectively.

The organization should prepare a timeline or time-plan to depict the phases, main tasks, milestones and deadlines involved in transition. A more developed approach might be preferable, especially for a large or complex transition, in which case a schedule should be prepared (see **4.7**).

It might be desirable to phase-in the new arrangement as a pilot project or in increments, where ramping-up of service delivery follows feedback of satisfactory performance. The practicality of winding-down the existing arrangement as the new arrangement is phased-in should be taken into account (see **6.5**).

4.7 Schedule

4.7.1 General

For the simplest of transitions, a timeline or time-plan (see **4.6.9**) should be used for the purpose of planning and controlling transition. Large or complex transitions should utilize a schedule prepared in accordance with a recognized convention, e.g. Gantt chart or precedence diagram, and method, e.g. critical path method (see **4.7.4**).

*NOTE The Gantt chart, in which the critical path of tasks is normally shown, is a common tool in project management. The use of computer-based tools makes their preparation and manipulation relatively easy (see **4.7.6**). Despite this, failing to understand the underlying principles could lead to misleading results.*

4.7.2 Scheduling

A schedule for transition should be prepared to cover the stages in transition, planned tasks (see **4.7.3**) and their resources (see **4.8**), constraints and milestones (see **4.7.3**) against an appropriate timescale.

4.7.3 Tasks and milestones

The organization should identify the tasks involved in transition, following a logical sequence that reflects the order in which they are to be performed and the dependencies between them. Tasks might be organized in a hierarchy in which the levels correspond to increasing (or decreasing) levels of detail. The most likely duration of each task should be determined. Significant events and key points during transition should be identified as milestones and incorporated at the most appropriate place in the sequence of tasks.

NOTE Milestones cover commencements, approvals, releases, handovers and deadlines. The term "deadline" is identified separately elsewhere in this British Standard because it is a term that is commonly used in preference to milestone for particular constraints, e.g. "must finish no later than <date>".

Wherever possible, milestones should relate to significant events and measurable progress, which should be linked to payments, incentives and penalties where appropriate. Approvals and other key decisions are better incorporated as tasks having durations and not as milestones because they are rarely instantaneous events (i.e. tasks having a duration of zero).

Details of phasing-in, ramping-up, winding-down or overlapping of service delivery should be incorporated in the schedule.

4.7.4 Gantt charts, diagrams and networks

The schedule should be prepared in the form of, e.g. a Gantt chart or precedence diagram. Whichever form it takes, the schedule should be network-based and resource-loaded (see **4.8.5**) to enable its feasibility to be tested before implementation.

The schedule should show the critical path of tasks. The float (sometimes referred to as slack time) associated with tasks not lying on the critical path should also be shown. Earliest and latest start and end dates and times of tasks in the schedule should be shown together with their most likely duration.

*NOTE 1 The critical path method cannot calculate the critical path correctly if tasks in the network are not logically linked. For this reason, the schedule cannot contain tasks that are not part of the network. Tasks become critical (i.e. they fall on the critical path) because they form the longest, unavoidable path through the network. There is no float (i.e. slack time) between them. As such, the critical path defines the overall duration of the schedule, but does not necessarily indicate the most likely duration of the project. If the duration of any task on the critical path increases so will the overall duration of the schedule and, therefore, the project. There is no contingency and so any uncertainty has to be allowed for in the schedule (see **4.10.2**). Float (i.e. slack time) is not schedule contingency. An increase in the duration of a task not lying on the critical path might have the immediate effect of reducing or even removing any float as well as changing the critical path.*

The organization should ensure that sufficient resources are available (see **4.8.4**) when planning concurrent working.

NOTE 2 Compressing the overall timescale of a schedule is possible where tasks can be overlapped, because the first task does not have to be completed before the next in sequence can start

4.7.5 Information deliverables

Schedules should depict not only physical work but also supporting tasks, including the preparation and delivery of information needed to support transition and maintain or resume normal operations.

NOTE Transition schedules normally combine tasks covering the execution of work and the coordination of information and communication. It is necessary to strike the correct balance between these two types of task and the level of detail in which they are portrayed in the schedule.

4.7.6 Computer-based tools

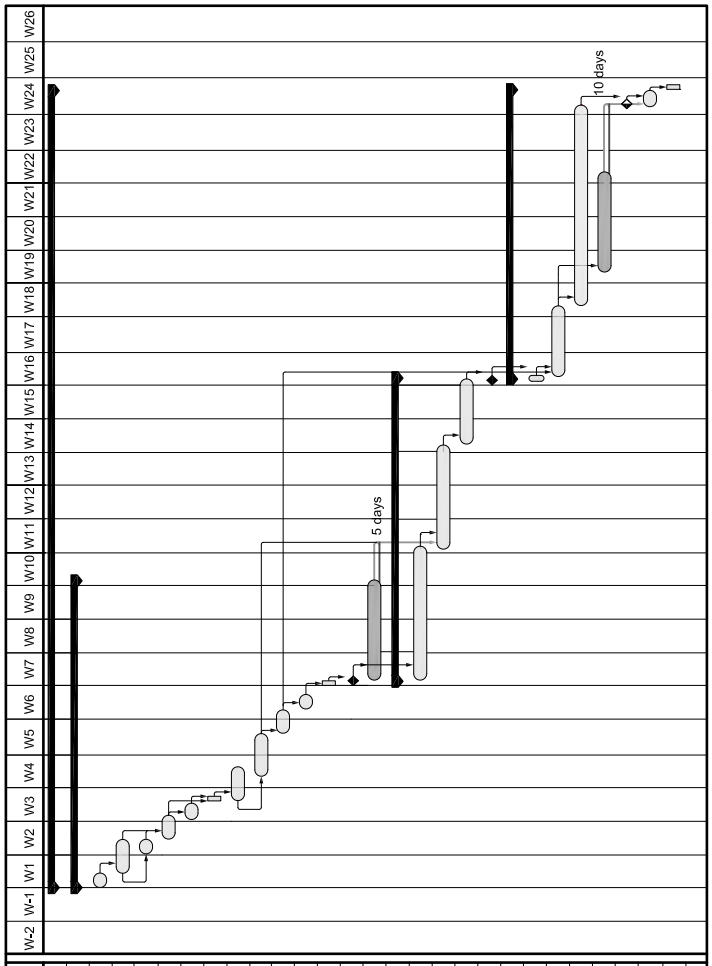
The schedule should be prepared using a computer-based tool to support control of transition in general and to facilitate easy updating of progress and reporting in particular (see Figure 2).

*NOTE Figure 2 is an example schedule, prepared using a computer-based tool, to illustrate the transition from outsourcing services individually to a total facilities management arrangement. Almost all tasks are on the critical path, whilst two are non-critical. The number of days shown after these non-critical tasks is (free) float, i.e. the time that the task can be delayed before it impacts on the start of any successor task. Overall, the schedule is tight and some schedule contingency would need to be added (see **4.10.2**) for the organization to have a reasonable chance of completing this transition within six months.*

When using a computer-based tool, the emphasis should be on ensuring that the fundamentals of project planning and scheduling are applied and that the importance of a network-based, resource-loaded schedule is understood. Mastery of the features and functionality of a computer-based tool is not a substitute for misapplication of these fundamentals.

Figure 2 Gantt chart form of schedule illustrating the tasks involved in transition (example)

	Task name	Duration	Start	Finish
1	**- Transition of facility-related services**	**120 days**	**Mon 05/01/15**	**Fri 19/06/15**
2	**- Transition planning**	**46 days**	**Mon 05/01/15**	**Mon 09/03/15**
3	Prepare plan for transition	3 days	Mon 05/01/15	Wed 07/01/15
4	Identify risks and opportunities	5 days	Thu 08/01/15	Wed 14/01/15
5	Identify and assess stakeholders	3 days	Mon 12/01/15	Wed 14/01/15
6	Assess risks and responses	3 days	Thu 15/01/15	Mon 19/01/15
7	Update contingency plans	2 days	Tue 20/01/15	Wed 21/01/15
8	Agree list of actions	1 day	Thu 22/01/15	Thu 22/01/15
9	Execute actions	5 days	Fri 23/01/15	Thu 29/01/15
10	Prepare services' documentation	7 days	Wed 28/01/15	Thu 05/02/15
11	Define resource plan	3 days	Fri 06/02/15	Tue 10/02/15
12	Prepare cost estimate	3 days	Wed 11/02/15	Fri 13/02/15
13	Agree costs and budgets	1 day	Mon 16/02/15	Mon 16/02/15
14	Obtain provisional approval	0 days	Mon 16/02/15	Mon 16/02/15
15	Await final approval	15 days	Tue 17/02/15	Mon 09/03/15
16	**- Procurement**	**45 days**	**Tue 17/02/15**	**Mon 20/04/15**
17	RFI and prequalification	20 days	Tue 17/02/15	Mon 16/03/15
18	Tender period	15 days	Tue 17/03/15	Mon 06/04/15
19	Evaluate tenders	10 days	Tue 07/04/15	Mon 20/03/15
20	Award contract	0 days	Mon 20/04/15	Mon 09/03/15
21	**- Transition implementation**	**44 days**	**Tue 21/04/15**	**Fri 19/06/15**
22	Confirm arrangement	1 day	Tue 21/04/15	Tue 21/04/15
23	Mobilize resources	10 days	Wed 22/04/15	Tue 05/05/15
24	Phase-in new arrangements	30 days	Wed 06/05/15	Tue 16/06/15
25	Wind-down existing arrangements	15 days	Wed 13/05/15	Tue 02/06/15
26	Achieves steady-state	0 days	Tue 16/06/15	Tue 16/06/15
27	Transfer responsibilities	2 days	Wed 17/06/15	Thu 18/06/15
28	After-action review	1 day	Fri 19/06/15	Fri 19/06/15
29				



Key

Critical

Non-critical

4.8 Resources

4.8.1 General

The resources required during and immediately after transition should be determined and a plan prepared to show their type (see **4.8.2**), availability (see **4.8.4**) and allocation to tasks (see **4.8.5**). In the case of human resources, competences and skills should also be shown.

In the case of large or complex transitions, the organization should ensure that the schedule is loaded with the correct resources in appropriate units for the tasks it contains to reflect the best understanding of what is practicable (see **4.8.2** and **6.3**).

NOTE A schedule that has not been resource-loaded has not had its feasibility tested. Resources are most often people, but can be materials, equipment and budgets. Resources largely determine the pace at which tasks in the schedule can be executed and, if incorrectly estimated or loaded, can produce misleading results.

4.8.2 Types of resources

NOTE Resources include people, materials, equipment and budgets.

The most critical resources for each task should be identified. It is impractical to load every resource; instead, those that determine the pace at which the task can be performed should be identified in the units they are required.

4.8.3 Resource profiling

Resources should be matched to the tasks to be performed. The organization should determine whether or not it has the most appropriate resources to undertake transition in its entirety. Where insourcing is the goal, the organization should define the competences and skills required in terms of human resources (see **4.6.2.10**) and update the resource plan to describe and quantify them.

4.8.4 Resource pool

The organization should ensure that sufficient units of resource are available in the resource pool during and immediately after transition.

4.8.5 Resource allocation

Critical resources, particularly people, materials and equipment, should be allocated to the appropriate tasks and a resource-loaded schedule for transition should be produced. The practicability of the schedule, once loaded with resources, should be ascertained to ensure that it is fit for purpose.

4.8.6 Resource levelling

The organization should adjust the resource-loaded schedule, where necessary, to ensure that a workable basis for transition can be achieved. This might require resources to be capped to smooth out peaks in demand and so maintain, as far as practicable, a feasible and economical rate of consumption. The organization should consider a “good enough” solution in preference to one optimally-derived from the use of a computer-based planning and scheduling tool.

NOTE Optimal allocation of resources might prove difficult to achieve in practice and so a “good enough” solution might be less risky.

4.9 Costs and budgets

4.9.1 General

Costs should be based on the resource plan (see **4.8**). Alternative plans for transition should be explored where the outcomes that can be obtained from them are likely to satisfy the organization's objectives at lower cost. The relationship between time and cost should be taken into account when evaluating options.

NOTE 1 One option might cost a little more than another – however, time saved might have value to the organization. Time-cost trade-offs are common when managing projects, especially where each day saved or lost attracts a reward or penalty respectively. An important principle when comparing costs or budgets for different options is to make assumptions explicit.

NOTE 2 Transparency in preparing and reporting on costs is necessary if cost estimating is to be reliable. The best decisions are made on the most reliable information and data available at a given time. The thoroughness with which costs are estimated and assumptions made explicit has a positive influence on reliability.

Agreed cost estimates should be regarded as the basis for budgets and appropriate steps should be taken to secure sufficient budgets, including cost contingency (see **4.10.3**), to support transition.

4.9.2 Cost estimating

Cost estimates should include the direct cost of employing service providers and the organization's personnel, as appropriate to the type of transition. When calculating cost, the organization should take into account the need to pay a "living wage" to its personnel and encourage service providers to do the same. The cost of materials, equipment and any other items required in the delivery of facility-related services should be included in the cost estimate. Severance or termination costs likely to arise in the course of moving from one arrangement to another should also be included in cost estimates.

The cost of managing transition and the new arrangement should also be estimated. It is necessary to reflect the true extent of the (indirect) costs associated with transition so that decision-making is correctly informed prior to transition and on future occasions when it might be contemplated.

NOTE Under-reporting of the extent of costs incurred in transition is possible, especially in regard to indirect costs associated with arrangements for transition. Direct costs, such as those covering service contracts and supplies, are easy to establish since the actual cost, initially at least, equates to either the contract sum or value of the purchase order. Indirect costs, such as those covering supervision and management of whichever type of transition is followed, might be harder to isolate. It is important that these costs are estimated as precisely as possible.

4.9.3 Allowances

Allowance for the cost of work or for other expenditure likely to be incurred during transition, but whose full extent is unknown, should be estimated. All assumptions should be made explicit.

NOTE The extent of some work might be unknown, but what is known for certain is that it is required. Making appropriate assumptions about unknown quantities, for instance, helps improve the reliability of cost estimates.

4.9.4 Budget appropriation

The organization should ensure that sufficient budgets can be appropriated as and when needed to meet the cost of new provisions and arrangements following transition, as well as those incurred in planning and implementing transition. Depending on the organization's accounting practices and financial controls, it might be necessary to seek separate approval for funds to cover direct costs and indirect costs incurred in transition. The organization should clarify the purpose of each budgetary heading to be used so that expenditure is entered against the approved budget to which it relates.

NOTE Correct posting and reporting of expenditure ensures that the organization is adequately informed of the true cost of transition. It provides valuable benchmarks and assists decision-making in subsequent transitions.

4.10 Uncertainty management

4.10.1 General

Any project is subject to natural variability in outcomes and the potential impact of unquantifiable risk events. Managing such uncertainty is, to some extent, covered by the organization's risk management process. Nonetheless, a project's inherent uncertainty and exposure to risk events should be assessed. The organization should recognize the importance of incorporating contingency in plans for transition. These should take the form of schedule contingency and cost contingency.

4.10.2 Schedule contingency

The organization should not regard the duration as defined by the critical path in a schedule as the most likely duration of the project. The organization should assess the contingency to be added to the schedule so that it has an even (i.e. 50%) chance of being achieved. Additional time may be added at the end of the schedule or allocated to parts of the schedule where there is uncertainty that regular progress can be maintained. Such a situation would occur where two or more tasks have to be completed before the next in sequence can start. As a delay in any one of the predecessor tasks would delay the start of the successor task, a buffer or dummy task should be incorporated to reduce the chance of delay occurring.

NOTE 1 The schedule's duration, as defined by its critical path, has a reasonable chance of being achieved, but no more than that. Committing to this duration might be unrealistic and unnecessarily optimistic as it takes no account of the possibility of unknown conditions and events that could materialize and impact negatively on the project. In most cases, and with the benefit of experience, the organization can make an assessment of the contingency to be added to the schedule to bring it to a 50:50 total duration. Less than 10% might represent too optimistic an assessment, whereas a contingency in excess of, for example, 40% would bring into question the extent to which planning has taken place and the reliability of the information and data that have been used for this purpose.

In the case of large or complex transitions, the organization should assess the need for computer-based quantitative schedule risk analysis to derive a range of project durations and their associated probabilities. In doing so, the organization should recognize and confirm that it has sufficient data to make schedule risk analysis meaningful in terms of the reliability of the results.

NOTE 2 It is inadvisable to attempt quantitative schedule risk analysis unless sufficient data are available for this purpose. One of the pitfalls in using computer-based tools is that they can give the impression of knowing more about a project than is the case. In this respect, the results of a risk analysis could mislead and do more harm than good. For most transitions, a qualitative risk assessment would suffice so long as it is based on realistic estimates of task durations, resources and costs. Unrealistic scheduling assumptions and a bias towards optimistic outcomes, in particular, represent needless challenges for organizations and teams, which can find themselves unable to match the performance expected of them.

4.10.3 Cost contingency

The organization should assess the contingency to be added to the cost estimate so that it has an even (i.e. 50%) chance of being achieved. Additional cost should be added to the current estimate as a lump sum rather than allocating it to individual parts. Where there is some uncertainty about costs, allowances should be made (see **4.9.3**).

NOTE 1 In most cases, and with the benefit of experience, the organization can make an assessment of the contingency to be added to the cost estimate to bring it to a 50:50 total cost. Less than 5% might represent too optimistic an assessment, whereas a contingency in excess of, for example, 25% would bring into question the extent to which planning in general has taken place and the reliability of the information and data that have been used for cost estimating purposes.

In the case of large or complex transitions, the organization should assess the need for computer-based quantitative cost risk analysis to derive a range of costs and their associated probabilities. In doing so, the organization should recognize and confirm that it has sufficient data to make cost risk analysis meaningful in terms of the reliability of the results.

Where a quantitative schedule risk analysis has been performed, the results should be used to inform the cost risk analysis.

NOTE 2 A schedule risk analysis might result in a longer duration or, in some other way, generate additional costs than have been assumed in the cost estimate.

5 Stakeholder engagement

5.1 General

*COMMENTARY ON **5.1***
Transition emphasises the need to engage with stakeholders and manage the relationship throughout. Failure to engage with one stakeholder could have negative consequences for the organization. Adequate stakeholder identification and assessment are necessary.

The organization should strive for inclusiveness through consultation and communicate its intentions to everyone affected.

A plan for engaging with stakeholders for the purpose of transition should be prepared.

5.2 Stakeholder identification

5.2.1 General

Internal and external stakeholders should be identified when planning transition and their likely interest in the facility should be documented. The extent to which this information might be communicated to third parties should be determined in advance, as far as practicable.

NOTE 1 Stakeholder identification is implicitly about looking far and wide to understand who might possibly have an interest in what is being proposed and how they might influence outcomes.

Responsibility for taking account of the interests of end-users affected by transition, as well as stakeholders in general, should be determined and made explicit. Account should be taken of the type of transition being undertaken and any agreements that are in force or which are contemplated as part of transition.

NOTE 2 Attention is drawn to statutory duties relating to consultation, such as those arising in connection with employment and equalities legislation.

5.2.2 Internal and external stakeholders

Organizations should identify their internal and external stakeholders. These could include:

a) owners and shareholders;

b) directors and non-executive directors;

c) senior managers;

d) other personnel.

e) customers;

f) service providers;

g) suppliers (excluding utilities);

h) utility companies (e.g. energy, water and telecommunications);

i) neighbours;

j) general public;

k) community groups;

l) other consultative groups;

m) investors;

n) insurers;

o) bankers;

p) local/public authority (planning);

q) local/public authority (highways);

r) building control body;

s) fire authority; and

t) police authority.

NOTE Examples e) to t) are intended to illustrate the types of stakeholder normally encountered outside the organization.

The organization should use this list as the starting point in its identification of stakeholders.

5.2.3 Differentiating stakeholders

The organization should adopt a broad view of stakeholders and who they are. The dichotomy between internal and external stakeholders should be used to assist in identification only and should not be used as the basis for assessing and classifying stakeholders (see **5.3**).

NOTE Differentiating between internal and external stakeholders can imply a clear distinction between these two broad types. Some stakeholders can have an ambiguous role, especially where they are acting independently and are owned by the organization (e.g. subsidiary companies). Often, internal stakeholders are regarded as accommodating and controllable, with external stakeholders regarded as the opposite: sometimes it proves to be otherwise. There is the added possibility that the position of some stakeholders remains unclear and so it is not a question of whether they are internal or external, but a matter of what influence or impact they can have on the organization and its operations.

5.3 Stakeholder assessment

5.3.1 General

The potential influence that individual stakeholders and groups of stakeholders might exert on the organization during transition and the phasing-in of new provisions and arrangements should be assessed. The organization should differentiate between those stakeholders who might be regarded as key in terms of their level of involvement in transition and those who would benefit from a lower level of involvement (see **6.2.2**).

5.3.2 Classifying stakeholders

Classification of stakeholders should result from an analysis of their potential to influence or impact outcomes and not from their relationship with the organization.

NOTE A common failing in stakeholder engagement is the assumption that organizations and individuals who appear the same act similarly and have to be treated the same. It is not the more obvious and visible stakeholders alone who create challenges, but those who are less obvious and for which an occasional encounter is the norm.

5.3.3 Legitimacy, power and urgency

Stakeholder attributes should be used as the basis for understanding the potential influence that an individual stakeholder or group of stakeholders might exert on the organization. These attributes are legitimacy, power and urgency and may be used as the basis of a stakeholder impact assessment (see **5.3.4**).

NOTE A stakeholder is a person or a group with a vested interest in the operation of the facility. Vested interest can be defined as having possession of one or more of these stakeholder attributes. The potential impact of identified stakeholders can be assessed by according scores on a scale of, for example, 1 to 3 for each attribute. The total score for a stakeholder can then be used to rank order all stakeholders, revealing those who are more critical to successful transition.

5.3.4 Interest and impact

The organization should, in addition to analysing stakeholder attributes, use other means for understanding the relative power and interest that each stakeholder possesses. A stakeholder impact analysis might be undertaken to determine how, and the extent to which, stakeholder interests could impact on transition and the new provisions and arrangements that stem from it. The organization should ensure that it takes account of the requirements of disabled people and others with specific or additional needs.

NOTE A power/interest matrix helps in understanding the relative power and interest that each stakeholder possesses. It can be used to focus attention on where the greatest effort in stakeholder engagement needs to be placed (see BS 8536).

5.3.5 Updating the assessment

Further stakeholder identification, assessment and impact analysis should take place during extended transitions and once the new provisions have been phased-in (see **6.5.1**). This provides an opportunity to act upon any change in stakeholders or their interests.

5.4 Consultations

5.4.1 General

Discussion and dialogue with stakeholders is an important part of successful stakeholder engagement. It is not the same as public relations and should be seen as providing an important mechanism for making progress in building understanding and gaining acceptance of the organization's plans. The organization should incorporate provision for consultations with stakeholders into its formal structures and working arrangements to ensure that engagement takes place as intended. All plans for transition should reflect this provision.

5.4.2 Formal structures and arrangements

For stakeholder engagement to be successful, it requires a degree of formality and attention to appropriate means of communication (see **5.5**). The plan for stakeholder engagement should cover the approach and working arrangements that the organization intends to follow. A key aspect of the plan should be the process by which communication with stakeholders is to be managed. Casual or ad hoc arrangements for engagement and responding to concerns should be avoided (see **5.5**).

Stakeholders can be too numerous and diverse to be engaged with on an informal basis. A planned approach that is well-documented and supported by appropriate information and communications technology should be used to manage the complexity inherent in dealing with multiple stakeholders.

NOTE 1 The consequences from a mismanaged approach could threaten an otherwise successful transition.

The organization should define its needs in regard to information management.

NOTE 2 Guidance on appropriate approaches to managing information is given in BS 8587.

5.4.3 Inclusiveness

The organization should provide information for disabled people and others who might have equalities-related needs or concerns. This information should be used to explain the provisions for access, movement and emergency evacuation immediately prior to, during and after transition.

The organization should communicate with service providers or the in-house team, as appropriate to the type of transition, regarding requirements for access, inclusion and equality.

NOTE Equality legislation covers issues around the subjects of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation.

5.4.4 Agreeing changes

Records should be kept of all interactions with stakeholders and the actions arising from them. An audit trail should exist so that it is possible to check the content of all agreements and understandings.

NOTE The dynamic nature of interactions with stakeholders over time can lead to changes in their attitudes, perspectives and positions. In the case of groups of stakeholders, changes in representation of stakeholder interests can mean a corresponding change in attitude and position on matters previously agreed.

5.5 Communication plans

5.5.1 General

A communication plan to assist in engaging with stakeholders should be prepared. The plan should take into account needs and preferences of individual stakeholders and groups of stakeholders, including disabled people and others who might have equalities-related needs.

5.5.2 Types of communication

The nature of communication with stakeholders should be carefully assessed. The organization should determine the most appropriate means for communicating with individual stakeholders and groups of stakeholders, the level of interaction that is necessary and the degree of confidentiality that might have to be maintained.

5.5.3 Updating the plans

The communication plan should be updated as changes in stakeholders or their interests become known.

6 Transition implementation

6.1 Transition readiness

*COMMENTARY ON **6.1***
Mobilization of resources, which is a precursor to start-up (and ramp-up) of service delivery, is a key aspect of the phasing-in of new provisions and arrangements. Successful implementation of transition relies on the correct definition or redefinition of roles and responsibilities.

The transfer of responsibilities can be particularly challenging and should be handled carefully. Lessons learned in the course of transition should be logged as part of a commitment to continual improvement (see **6.7.4**).

6.2 General

Once planning has been completed, the organization should ensure that it is in a state of readiness for implementation of transition to commence. The organization should assemble all plans and supporting documentation and satisfy itself that there is a sufficient basis to proceed.

6.2.1 Confirmation of arrangements

An information pack should be provided by the organization to service providers or the in-house team, as appropriate to the type of transition, in sufficient time prior to the start-up of service delivery to allow clarification to be sought on any point and to make arrangements to obtain all necessary resources. This information pack should cover, as a minimum, the following (see BS 8572):

a) terms of reference – scope, limits and any restrictions in regard to access, working hours, use of in-house resources or other relevant matter;

b) representatives of both parties and contact details;

c) procedures in the event of an emergency;

d) health, safety and security in the workplace;

NOTE Attention is drawn to the Health and Safety at Work etc. Act 1974 [2].

e) environmental sustainability;

f) human resource considerations;

g) supply chain considerations;

h) operational processes and procedures;

i) management information and reporting;

j) performance management;

k) valuations and payments; and

l) dispute resolution procedure.

Details of compliance with applicable legislation should be included in management information and reporting.

Communication on the part of the organization with service providers or the in-house team, as appropriate to the type of transition, should be defined and a single-point of contact for managing contracts or service agreements should be confirmed. Similarly, each service provider should provide a main point of contact to cover delivery of the service in the facility and contact at the provider's main place of work. An additional point of contact in the form of the service provider's health and safety person should be recorded.

*COMMENTARY ON **6.2.1***
In the case of outsourcing, the agreement that a given service provider will carry out the work is followed by a period during which it makes arrangements to start-up delivery of the service. This period can last from a few days to a few weeks or perhaps longer. From the organization's perspective, checking the proposed working arrangements of a number of service providers, if undertaken concurrently, might represent a significant task for which adequate time has to be set aside.

6.2.2 Stakeholders

The process of engaging with stakeholders is continuous and should extend beyond the period covered by transition. For the purpose of entering a state-of-readiness, the organization should ensure that affected stakeholders are informed of the steps involved in transition and their role, if any, in implementation (see Clause **5**).

6.2.3 Induction of personnel

The organization should ensure that all personnel who are to be engaged in service delivery, whether directly employed or in the employment of a service provider, are informed about their roles, responsibilities and accountabilities (see **4.6.2.2**).

NOTE Responsibilities extend to all who are directly involved in the day-to-day operation of the facility including, for example in the case of insourcing, administrative personnel and senior managers.

Responsibility should be allocated in line with authority, with resources to cover the procedures for dealing with accidents, incidents and other events.

The organization should outline arrangements for granting access to the facility (or facilities) including, in the case of service providers, any condition, prior vetting or clearance of personnel for reason of security or other matter requiring investigation and, where relevant, involving registration with official bodies, agencies or other authorities. The party responsible for making the necessary arrangements in accordance with these conditions should be clearly stated.

The organization should ensure that service providers and its own personnel, as appropriate to the type of transition, are briefed on matters of HSSE (see **4.6.6**) including actions in the event of an emergency, for example fire, flood, power cuts and bomb alerts, or other incident that might compromise individual welfare, before moving around a facility unaccompanied. This briefing should include instructions to occupants and other users of the facility (or facilities) regarding any action to be taken in the event of a situation in which they perceive a threat to health, safety or security. Briefings should also cover known hazards or operations that could pose a potential risk over the period during which occupants and other users are expected to be present in the facility (or facilities).

Information about substances, plant and equipment that might pose a potential hazard to anyone should be brought to the attention of service providers and/or the in-house team, as appropriate to the type of transition. A procedure should be implemented to keep this information up-to-date.

6.2.4 Permits and approvals

The organization should determine the extent to which permits and approvals apply to the delivery of facility-related services. A risk assessment (see **4.5.2.4**) should be carried out to determine the requirement for a safe system of work or permit-to-work. Compliance with applicable legislation should be monitored throughout transition and details included in management information and reporting (see **6.2.1**).

NOTE A permit-to-work is a formal system that states, in precise terms, the work to be done and when, and which parts of it are safe. It is a means of communication between facility managers, plant supervisors and operators, and those carrying out the work. It helps in coordinating different work to avoid conflicts. Guidance is given in HSE "Guidance on permit-to-work systems" [3]. Whilst focusing on the petroleum, chemical and allied industries, it is applicable in a wider context.

6.2.5 Insurances and indemnities

In the case of outsourcing, the organization should ensure that it has verified the validity of insurance cover for each service provider with respect to statutory obligations and specific eventualities.

NOTE 1 Where indemnities are required, the organization might consider taking appropriate professional advice.

The organization should address considerations and arrangements for HSSE (see **4.6.6**) so that there is complete alignment between the organization and service providers where these have been appointed.

NOTE 2 The organization and individuals with responsibilities in purchasing, finance and accounting, including senior managers, might find that they are culpable in the event of a serious incident arising from the failure of a service provider to adhere to relevant legislation and codes of practice. Some insurance might prove invalid if there has been a lack of compliance or failure to take all reasonable steps to avoid accident, loss and expense. In order to prevent this, it might be helpful for the organization to seek professional and/or legal advice in this matter. Lack of clarity in duties and responsibilities could lead to serious consequences, including injury or loss of life.

6.2.6 Mobilization plan

A mobilization plan should be prepared by the service provider or in-house team, as appropriate to the type of transition, based on a list of tasks, their timing and key milestones. This plan should take the form of a schedule (see **4.7**) that can be used by the organization and the service provider or in-house team, as appropriate to the type of transition, to track and report on progress. Where an existing service provider is being replaced by another, details of the transitional arrangements should be requested from the incoming service provider in consultation with the incumbent service provider to ensure that end-users experience no break in service delivery.

Transitional arrangements should include contingency planning to take account of events that might otherwise threaten successful mobilization and achievement of milestones or deadlines or that could impact on normal operations (see **4.3.2.4**).

Arrangements for demobilization, including gathering up property belonging to the incumbent service provider and or returning equipment, keys, identity passes and other property belonging to the organization, should be incorporated in the mobilization plan.

6.3 Mobilization of resources

6.3.1 General

In the case of transition involving outsourcing, a meeting should be convened between the organization and the service provider for each service to discuss mobilization and any other matter that is beneficial to the safe and correct start-up and/or phasing-in of service delivery. The following matters should be discussed, as a minimum:

a) service provider's plan for mobilization and delivery of the service;

b) insurance cover with respect to statutory obligations and specific eventualities (see **6.2.5**); and

c) contract administration (for example, payments, incentives, penalties, performance reviews and other key matters and events).

In the case of transition involving insourcing, a meeting should be convened with the in-house team (or senior manager on its behalf) to discuss mobilization and any other matter that is beneficial to the safe and correct start-up and/or phasing-in of service delivery. The following matters should be discussed, as a minimum:

1) in-house team's plan for mobilization and delivery of the service; and

2) administration (for example, performance reviews and other key matters and events).

6.3.2 Personnel, supervision and management

The resource plan required for transition and immediately afterwards (see **4.2.4** and **4.8**) should be confirmed and updated as appropriate, to include details of individuals and their job titles/grades, certificates held, expertise, and health and safety training completed. Supervisory and managerial staff should be separately identified together with their roles and responsibilities. In particular, the plan should:

a) assign human resources to their respective tasks and responsibilities;

b) differentiate between working time and non-working time, recording the need for any shift working;

c) define the procedure for handling queries and clarifications;

d) incorporate arrangements for on-the-job training and related tests and certification; and

e) ensure that the timing of, and responsibility for, giving notice and other matters of compliance are clearly defined.

6.3.3 Temporary facilities

The need for any temporary facilities, works or other arrangements identified when planning transition should be reassessed. In the case of temporary measures, the security of personnel and personal property should be safeguarded.

NOTE Attention is drawn to the Health and Safety at Work etc. Act 1974 [2].

6.3.4 Standby arrangements

Where identified as part of contingency planning (see **4.3.2.4**), resources (for example personnel, materials, plant and equipment) required to be available on standby should be clearly designated for this purpose. Arrangements should be made to ensure that they do not interfere with implementation and that, in the event they are required to assist in correcting a deviation from plan, they are deployed in a safe and controlled manner. The requirement for standby resources should be reviewed periodically (see **6.5.4**).

NOTE Transition might require personnel in excess of normal requirements to be available on standby in the event that they are required to make good a shortfall or assist in some other action to achieve the required level of service to maintain normal operations. Such a situation could arise where, for instance, a new arrangement might necessitate additional support due to a lack of familiarity with the work in hand. It is important to recognize that learning curves do exist and that starting-up a service for the first time is unlikely to yield the same level of productivity/performance as one that has bedded-in.

6.4 Controlling transition

6.4.1 General

The scope, schedule, resources and cost of a transition should be controlled to the extent that the organization should know at predefined intervals the progress that is being made towards meeting its objectives. Those intervals should be determined before transition takes place and should have regard to the overall duration and complexity of the work involved.

NOTE In some cases, progress might have to be reported in intervals of minutes, whereas a weekly review meeting might suffice in others. For example, an out-patients department in a large hospital, where multiple services are being phased-in, might necessitate reporting at hourly intervals or less, whereas the replacement of the cleaning service provider for the offices of a public authority might warrant no more than daily reporting over the first few weeks.

6.4.2 Progress and performance reporting

The organization should determine the form and frequency of progress and performance reporting that are required for those services subject to transition especially during start-up and/or phasing-in. The interval or intervals should have regard to the ease and speed with which corrective action can be taken in the event of lost progress or a drop in performance. Additionally, the resources required for measurement, analysis and reporting should be appropriate for the value derived from the information and data being provided.

The right balance should be struck between the cost of reporting and its value to senior managers. Elements that can be controlled should be measured and non-controllable elements should be monitored for their possible impact on operations.

NOTE Expending resources on non-controllable elements, e.g. events, decisions and actions outside the organization's reach, diverts resources away from where they are needed most. Such elements might however change over time leading to the need to re-assess their impact upon plans for transition.

6.4.3 Change control

*COMMENTARY ON **6.4.3***
*Change can be regarded as almost inevitable so controlling it is necessary. A sensible balance has to be struck between assessing each change irrespective of its magnitude and allowing minor changes for expediency. Defining the scope of services subject to transition (see **4.3.4**) as precisely as possible during planning helps to reduce the incidence of changes arising during implementation.*

The organization should maintain strict control over transition to the extent that its scope, including associated work, is implemented as planned and agreed with stakeholders. It is recognized that it might be necessary to adjust plans in order to reduce risk or uncertainty in outcomes arising from a condition or event that was not apparent at the time plans were prepared.

A scope change procedure should be followed to ensure that the implications of proposed adjustments to plans are adequately assessed before approving them. The organization should differentiate between changes that are necessary and those that seek to improve outcomes or safeguard commercial interests.

NOTE Further differentiation of the latter types of change might be appropriate to ensure that approval of minor changes is timely and avoids delay.

An approved change to the scope of transition and any associated work should be supported by an appropriate budget and other resources as required.

6.4.4 Schedule control

The sequence in which tasks have been defined and the dependencies between them should be closely monitored. Any variance in planned work should be immediately investigated and corrective action taken, as appropriate, to ensure that transition proceeds according to plan.

The intervals at which progress and performance are measured should be reviewed in light of any variance in planned work. It is necessary to highlight any variance as soon as it becomes apparent so that corrective action can be taken as appropriate (see **4.3.6**). Progress should be recorded against the schedule and measured at the level of tasks as percentages of work completed.

NOTE It is important to ensure that progress in each task is measured before reporting on progress. There can be a tendency to report in overall terms, indicating whether transition is on schedule (i.e. on plan) or not. This can hide situations where progress is ahead on tasks that are non-critical and behind on those that are amongst the most critical. Precise recording of actual progress and performance provides valuable data for benchmarking purposes in regard to future transitions.

The schedule, once agreed as the basis for transition, is ordinarily termed the "baseline schedule". This schedule should be re-baselined only when significant changes have been approved. The schedule should align with the scope to ensure adequate control over transition.

6.4.5 Resource control

The organization should ensure that it is able to secure sufficient resources in the quantities required at the times they are needed to ensure that progress can be made according to schedule. Consumption of resources should be monitored so that any shortfall is highlighted as soon as it becomes apparent. Any discrepancy between the resource plan and schedule should be reported and corrective action taken as appropriate (see **4.3.6**).

The resource plan and the consumption of resources should align with the schedule and the scope to ensure adequate control over transition.

6.4.6 Cost control

Costs should be controlled to the extent that commitments are not made unless sufficient budget exists. Once a commitment has been made, expenditure should not exceed the budget (see **4.3.6**).

The cost estimate (and budget), resource plan and the consumption of resources should align with the schedule and scope to ensure adequate control over transition.

6.5 Phasing-in new arrangements

6.5.1 General

NOTE 1 Transition ends once delivery of the service (or services) in accordance with the agreed specification and service level has been confirmed.

The organization should assess whether it would be beneficial to pilot the introduction of the new arrangement or to limit the extent of service delivery until sufficient evidence of its satisfactory performance can be obtained. The option of piloting a new arrangement should have regard to the ease (or difficulty) with which performance can be ramped-up without detrimental impact on service delivery and end-user satisfaction.

NOTE 2 In some cases, it might not be practicable to introduce a service at a low level and then to ramp-up delivery once feedback has confirmed satisfaction with the new arrangement. An all-or-nothing approach might be necessary.

In the case of transition involving outsourcing, transfer of responsibility to the service provider should be initiated following review by key stakeholders in light of performance data and, where found acceptable, a formal sign-off by the organization to indicate its satisfaction with the new arrangement. The business case should be updated to reflect the new arrangement. Measurement of performance should continue and be used to control delivery of the service or services against agreed service levels (see **4.6.5.4**). Action in the event of performance falling short of an agreed service level should be determined (see **6.7.3**).

During phasing-in, the organization should take steps to ensure that departing service providers do not leave any aspect of the facility (or facilities) in an unsafe or insecure state (see **4.6.7.3**).

6.5.2 Service delivery

The organization should ensure continued and consistent service delivery according to agreed service levels through a defined procedure that includes, as a minimum:

a) initiating and monitoring service delivery according to agreed service definitions, service specifications and service levels;

b) efficient allocation of resources to meet day-to-day service demands in accordance with agreed service levels;

c) ensuring that appropriately skilled and competent human resources are deployed;

d) active monitoring of plant, equipment and machinery within the scope of service delivery to ensure that maintenance is planned and implemented when needed;

e) logging lessons learned (see **6.7.4**) as part of a process of continual improvement in service delivery;

f) monitoring the impact of service delivery upon business continuity and alerting the organization to any situation that might threaten continuity;

g) providing guidance and, where appropriate, training to help end-users obtain the full benefits of service delivery; and

h) obtaining and analysing end-user feedback in the course of service delivery (see **6.7.3**).

6.5.3 Ramping-up and winding-down

The organization should monitor service delivery that is ramping-up or winding-down to ensure that it continues to support normal operations and poses no threat to business continuity (see **4.3.2**). Plans should be adjusted where either situation is not clearly evident (see **6.3**).

6.5.4 Maintaining normal operations

The organization should take whatever reasonable steps it deems appropriate to ensure that normal operations are supported by an appropriate level of service delivery. Where temporary facilities and standby arrangements exist as part of transition (see **6.3.4**), the continuing need for them should be reviewed periodically so that resources can be released when no longer required.

As maintaining temporary facilities and personnel on standby can add significantly to transition costs, such resources should be reduced in line with an increase in certainty of outcomes and a lowering of risk exposure.

6.5.5 Sign-off

Depending on the scale and complexity of service delivery, information exchange meetings should be convened until both parties have agreed that phasing-in is complete as signified by reaching a steady state of service delivery as confirmed by the consistent achievement of agreed service levels. The organization should formally sign-off transition as complete once a steady state has been achieved.

NOTE Meetings might be required on a daily basis; however, in most cases the interval is likely to be weekly to cover differences in daily routines. The period over which a steady state is achieved before it can be regarded as satisfactory calls for judgement as to the range above and below a prescribed service level that can be deemed acceptable. In many cases, it can be unrealistic to expect performance to match exactly its specified service level or target on each occasion it is measured.

6.6 Transfer of responsibilities

6.6.1 General

As the balance of control over day-to-day service delivery shifts from one arrangement to another, the roles and responsibilities associated with supervision and management also shift. The organization should ensure that changed roles and responsibilities are recorded and communicated to affected stakeholders with relevant contact details. These details should be entered into the organization's facility handbook together with other information and data to enable a true and accurate record of the existing arrangements for facilities management (see BS 8587). Information and data covering the outcomes of transition should be used to update the facility's building information model where one exists.

NOTE 1 See PAS 1192-3 for further guidance on building information models.

NOTE 2 The organization is accountable for providing timely, reliable and accurate information.

6.6.2 Roles and responsibilities

In order to achieve a complete and effective transition, the organization should record any changes to roles and responsibilities. This should include:

a) maintaining resources according to the plan agreed for transition and, where corrective action has been found necessary, as subsequently updated;

b) confirming that procedures have been followed, especially in regard to managing human resources, together with manuals and training materials;

c) completion of knowledge transfer to ensure safe, efficient and cost-effective service delivery and support for normal operations;

d) assessment and certification of personnel where applicable;

e) provision of permissions, access levels, other rights and restrictions in the workplace;

f) providing the means for continuous updating of the facility handbook (see BS 8587) and, where available, the facility's building information model (see PAS 1192-3);

g) updating of the organization's contingency planning (see **4.3.2.4**); and

h) updating of the organization's business case for transition (see **4.1**).

6.6.3 Information handover

The management of information and data used in transition provides a valuable history for the organization. Such information and data and the lessons learned from transition should be captured in a form that can be accessed into the future (see **6.7.4**). The organization should update the facility handbook as appropriate to reflect the transition including its outcomes and the basis of the new arrangement. The information deliverables plan (see **4.6.4**) should be checked to confirm that all relevant information and data have been handed over and, where this is not the case, steps should be taken to ensure that it is captured in the facility handbook.

NOTE Further guidance is given in BS 8587.

6.7 After-action review

6.7.1 General

A process is incomplete if it omits feedback. The organization should ensure that a systematic and rigorous review of transition takes place to understand the extent to which objectives have been met and where improvement in processes and procedures might be necessary. An after-action review should be used to inform the organization's transition process and wider interests, including its plans for business continuity in general and contingency planning in particular. The review should cover further actions, end-user experience and lessons learned from transition.

6.7.2 Post-implementation actions

Work might have to be undertaken as a consequence of transition which, during its planning or implementation, could not be foreseen. The organization should act accordingly, and record details of this in the facility handbook (see BS 8587) and building information model (see PAS 1192-3) where appropriate.

6.7.3 Post-occupancy evaluation

End-users affected by transition should be consulted to help understand the extent to which service delivery was maintained or not at agreed levels and the need for any corrective action.

NOTE Other stakeholders might be involved in this process.

A formal evaluation should be prepared and conducted with end-users, other key stakeholders and senior managers. Any corrective actions that might be necessary, the steps to be taken and the subsequent outcomes should be recorded in the facility handbook (see BS 8587).

The organization should decide what, if any, action is needed immediately and other arrangements that might have to be made to satisfy end-users.

6.7.4 Lessons learned

A log should be maintained of lessons learned during transition. Once sign-off has been achieved, these lessons can be summarized and the steps required to embody them in routine practice should be devised. The organization's business case for transition (see **4.1**), plan for transition (see **4.2.3**), contingency plans (see **4.3.2.4**) and the facility handbook (see BS 8587) should be updated as appropriate.

Annex A (informative) Checklist of actions

The actions checklist given in Table A.1 is intended to assist the organization in managing transition and the subsequent review of outcomes as part of its commitment to continual improvement. It does not reflect all the actions arising in the course of transition.

Table A.1 **Actions checklist**

Clause	Description	Yes	No	Action required
	Preliminaries			
	Has the organization defined its objectives in regard to transition?			
	Does the organization recognize the distinction between facilities management as a continuous process and transition as a project?			
	Is there sufficient expertise within the organization to plan, monitor and control projects of the kind faced in transition?			
	Does the organization have computer-based tools for supporting transition, e.g. project planning and scheduling?			
	Is there a formal process for defining, sourcing, delivering and controlling facility-related services?			
	Is the organization using BS 8572 or equivalent guidance on the procurement of services?			
	Does the organization maintain an "informed client function"?			
	Are contingency plans in place for ensuring business continuity in the event of a disruption to normal operations?			
4	**Transition planning**			
4.1	***General*** Has a business case for transition, or statement of needs, been prepared?			
4.2	***Transition process*** Has a plan for transition been prepared based on the business case or statement of needs?			
	Is the organization adopting a project-based approach to transition?			
	Does the plan for transition cover objectives, scope, success criteria, impact on the business and end-users, governance, permissions, stakeholders, risks, procurement strategy, time-plan, resources, costs/budget and contingency as a minimum?			
	Has due account been taken of existing policies and procedures when preparing the plan or plans for transition?			
	Does the organization recognize that transition has to be controlled in terms of a defined scope that is reflected in a time-plan (or schedule), resource plan and cost estimate?			

Table A.1 **Actions checklist**

Clause	Description	Yes	No	Action required
4.3	***Impact of transition*** Is the organization aware of the potential impact that transition will have on normal operations and, therefore, business continuity?			
	Have potential threats and other risks arising from transition been identified together with their likely impact on normal operations?			
	Has resilience been built in to the organization to counter the effects of disruption from transition?			
	Have critical processes and activities been identified in terms of their priority for resumption?			
	Has an impact analysis been undertaken to determine the potential disruption to normal operations in the event that transition fails to achieve its objectives?			
	Have contingency plans been prepared to help counter the adverse effects of a failure in service delivery affecting normal operations irrespective of the source of service?			
	Are contingency plans up-to-date?			
	Has the organization identified the type of transition that applies?			
	Where outsourcing is involved, is the organization using BS 8572 to guide its procurement?			
	Where insourcing is involved, is there an appropriate organizational structure, sufficient resources, competences and skills to cope with this arrangement?			
	Has the exact extent of transition been defined?			
	Has priority been attached to individual requirements as part of the actions for transition?			
	Have criteria for measuring success in transition been clearly defined?			
4.4	***Stakeholders*** Has an approach to stakeholder engagement been outlined?			
4.5	***Risk management*** Does the organization's consideration of downside risks extend to upside risks (i.e. opportunities) too?			
	Are stakeholders recognized as a significant source of risk and opportunity?			
	Have conditions or events that could impact negatively or positively on plans for transition been identified?			
	Has the organization made an informed decision on whether or not to adopt a formal process of risk management?			
	Where a formal process of risk management has been adopted, does this include risk identification, risk assessment, risk response and risk control?			

Table A.1 **Actions checklist**

Clause	Description	Yes	No	Action required
4.6	***Transition actions*** Has a list of actions been prepared based on the plan for transition?			
	Is the organization able to complete all actions within the time allowed for preparing and agreeing the plan for transition?			
	Does the organization have a framework for governance?			
	Does the extent of change involved in transition warrant the employment of a change manager and/or human resources manager?			
	Have roles, responsibilities and accountabilities in connection with transition been identified?			
	Have RASCI charts been prepared?			
	Does the organization have sufficient personnel with the necessary competences and skills to cope with transition?			
	Where transition is large or complex, is there sufficient expertise in project management within the organization to cope?			
	Is there any conflict between designated roles, responsibilities and accountabilities and the requirements of audit and review, both internally and externally?			
	Have relevant internal approvals been obtained?			
	Have financial and other authorities been clearly identified?			
	Is the organizational structure appropriate for the type of transition contemplated?			
	Have lines of communication and reporting been defined?			
	Where a gap in competences or skills has been identified, have steps been taken with respect to training and induction?			
	Does the organization need to recruit new personnel on a temporary or permanent basis?			
	Has the need for external permissions and notices been identified?			
	Has the organization defined the knowledge and supporting information and data to be acquired or exchanged in the course of transition?			
	Has an information deliverables plan been prepared?			
	In the case of outsourcing, has the service (or services) been defined and specified together with service levels?			
	Does the organization have an up-to-date policy statement aligning health, safety, security and environmental sustainability (HSSE)?			
	Has the HSSE policy statement been issued to those responsible for delivering services irrespective of the source?			
	Has the organization assessed the risks to health, safety and security involved in transition?			

Table A.1 **Actions checklist**

Clause	Description	Yes	No	Action required
	Has account been taken of people with disabilities and others with specific or additional needs and have appropriate measures been put in place to safeguard their use of the facility?			
	Does the organization understand the nature and extent of contracts and agreements in force and how these might affect decision-making in regard to the type of transition that is desirable or possible?			
	In the case of outsourcing, is the organization aware of its duties and obligations under TUPE [1]?			
	Has sufficient time for transition been allowed?			
	Is the time for transition constrained by deadlines?			
	Has a timeline or time-plan been prepared showing the phases, main tasks, milestones and deadlines involved in transition?			
	Has the phasing-in and/or winding-down of service delivery been incorporated within the timeline or time-plan?			
4.7	***Schedule*** Where transition is on a significant scale, has a schedule been prepared based on a recognized convention and method?			
	Does the organization have personnel with the ability to prepare, monitor and control schedules?			
	Does the schedule incorporate information requirements as well as physical work?			
	Is a computer-based tool used for scheduling?			
	Have only trained personnel been authorized to use the computer-based tool for scheduling?			
	Has contingency been added to the schedule so that it has a 50:50 chance of being achieved?			
4.8	***Resources*** Has the schedule been loaded with appropriate resources in appropriate units to test its feasibility?			
	Have the most critical resources been identified for each task?			
	Is the demand for resources matched by their availability?			
	Are resources allocated to tasks at levels that are practicable?			
4.9	***Costs and budgets*** Has the cost of transition been calculated by a transparent method?			
	Have alternative plans for transition been explored and their costs compared against the organization's objectives?			
	Are cost estimates fully-inclusive, i.e. do they include all applicable costs likely to be borne by the organization in transition?			
	Do allowances have to be made for some items of work?			

Table A.1 **Actions checklist**

Clause	Description	Yes	No	Action required
	Is the cost estimate recognized as a reliable basis for budget appropriation purposes?			
	Has contingency been added to the cost estimate so that it has a 50:50 chance of being achieved?			
4.10	***Uncertainty management*** Is quantitative risk analysis needed to determine the contingency addition to the schedule and/or cost estimate?			
5	**Stakeholder engagement**			
5.1	***General*** Has a stakeholder engagement plan been prepared?			
5.2	***Stakeholder identification*** Has the organization adopted a broad view of who stakeholders are in the context of the transition being contemplated?			
	Have stakeholders internal and external to the organization been identified?			
	Have the likely interests of individual stakeholders or groups of stakeholder been documented?			
	Has confidentiality in regard to information about stakeholders been observed?			
5.3	***Stakeholder assessment*** Has the influence that stakeholders might exert on the organization during transition in general and phasing-in of the new arrangement in particular been assessed?			
	Have stakeholders been classified according to the legitimacy of their interests, the power they can exert and the urgency of their requirements?			
	Has any other means for assessing stakeholders been tried?			
	In the case of extended transitions, has the assessment of stakeholders been kept up-to-date?			
5.4	***Consultations*** Are formal mechanisms to be put in place to support communication with stakeholders?			
	Have disabled people and others who might have equalities-related needs or concerns been kept informed about any transition that is likely to affect them?			
	Has the organization ensured that service providers, where appointed, are aware of their responsibilities in regard to the needs of disabled people and others who might have equalities-related needs or concerns?			
5.5	***Communication plans*** Has a communication plan been prepared to assist in engaging with stakeholders?			
	Are the plans capable of being updated easily as stakeholder interests, attitudes and circumstances change?			

Table A.1 **Actions checklist**

Clause	Description	Yes	No	Action required
6	**Transition implementation**			
6.1/6.2	***Transition readiness*** Is the organization in a state of readiness to implement transition, i.e. have all plans been agreed?			
	Has an information pack been presented to service providers or the in-house team as appropriate to the type of transition?			
	Have points of contact between the organization and service providers or the in-house team been established, as appropriate to the type of transition?			
	Have affected stakeholders been informed of the steps involved in transition and their role, if any, in implementation?			
	Have all personnel been informed about their roles, responsibilities and accountabilities?			
	Have all personnel been briefed on HSSE provisions and requirements?			
	Have all applicable permits and approvals been obtained?			
	Has all applicable insurance cover been obtained and its validity verified?			
	Has a mobilization plan been prepared by the service provider or in-house team, as appropriate to the type of transition, based on a list of tasks, their timing and key milestones?			
	Have details of transitional arrangements, in the case of replacement of one service provider by another, been obtained and verified?			
	Are arrangements for collecting or returning equipment, keys, identity passes and other property belonging to the organization incorporated in the mobilization plan?			
6.3	***Mobilization of resources*** In the case of outsourcing, has a meeting been convened between the organization and the provider of each service to discuss mobilization in general and safety in particular?			
	In the case of insourcing, has a meeting been convened between the organization and the in-house team to discuss mobilization in general and safety in particular?			
	Is the resource plan required for the new arrangement up-to-date?			
	Are temporary facilities, works or other arrangements identified when planning transition required in the way envisaged?			
	Are resources required to be available on standby in place and clearly designated for this purpose?			

Table A.1 **Actions checklist**

Clause	Description	Yes	No	Action required
6.4	***Controlling transition*** Has the form and frequency of progress and performance reporting been determined?			
	Has a scope change control procedure been implemented as an integral part of transition?			
	Is progress to be reported against the baseline schedule?			
	Is the consumption of resources to be measured against that planned and loaded on the schedule?			
	Are commitments to be controlled against budgets?			
6.5	***Phasing-in new arrangements*** Where phasing-in or piloting the new arrangement, has the organization put in place a mechanism for determining when satisfactory performance has been achieved?			
	Are stakeholders to be involved in the performance review of service delivery?			
	Does the organization have a defined procedure for ensuring that service delivery is in accordance with agreed requirements?			
	Does the monitoring of service delivery extend to ramping-up or winding-down?			
	Where temporary facilities and standby arrangements exist, is there a mechanism for determining when they are no longer required and can, therefore, be released?			
	Has a mechanism been agreed with service providers and/or the in-house team, as appropriate to the type of transition, to sign-off once a steady state of service delivery has been achieved?			
6.6	***Transfer of responsibilities*** Have changed roles and responsibilities been duly recorded in the facility handbook and communicated to affected stakeholders?			
	Does the recording of changes in roles and responsibilities extend to the organization's contingency planning?			
	Has the facility handbook been updated, where appropriate, to reflect the completion of transition including its outcomes and the basis of the new arrangement?			
6.7	***After-action review*** Has the organization undertaken a systematic and rigorous review of transition to understand the extent to which objectives have been met and where improvement in process and procedures might be necessary?			
	Are any post-implementation actions necessary?			
	Has a formal post-occupancy evaluation been undertaken following completion of transition?			
	Have lessons learned been summarized and embodied in routine practice?			

Bibliography

Standards publications

For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

Standards publications

BS 6079-3, *Project management – Part 3: Guide to the management of business related project risk*

BS 8536, *Facility management briefing – Code of practice*

BS IEC 62198, *Project risk management – Application guidelines*

BS ISO 21500:2012, *Guidance on project management*

BS ISO 22301, *Societal security – Business continuity management systems – Requirements*

BS ISO 22313, *Societal security – Business continuity management systems – Guidance*

BS ISO 37500 [5)], *Guidance on outsourcing*

BS ISO 31000, *Risk management – Principles and guidelines*

Other publications

[1] GREAT BRITAIN. *Transfer of Undertakings (Protection of Employment) (Amendment) Regulations 2009*. London: The Stationery Office.

[2] GREAT BRITAIN. *The Health and Safety at Work etc. Act 1974*. London: The Stationery Office.

[3] HEALTH AND SAFETY EXECUTIVE. *Guidance on permit-to-work systems: a guide for the petroleum, chemical and allied industries*. HSG250. London: HSE, 1997. ISBN: 9780717629435.

Further reading

BS 6079-1, *Project management – Part 1: Principles and guidelines for the management of projects*

[5)] In preparation

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