

Corrective Action Plan-Special DSC Meeting
LBNL Integrated ES&H Management Inspection 2009
Presented April 24, 2009

Finding Statement C-4:

LBNL has not established effective processes and rigorous documents that consistently and effectively communicate safety expectations and requirements to LBNL employees and contractors, as required by Criteria 1, 4 and 5 of DOE Order 414.1C, *Quality Assurance*.

Causal analysis:

- C4-1 Responsibilities for requirement management are only briefly mentioned in RPM and are divided among different groups (PAO (CSO), IT, OCA, EHSD) with no apparent lead for requirements management oversight.
- C4-2 LBNL lacks a comprehensive and functional institutional document and process infrastructure that maps, aligns, and integrates requirements, documents and processes across all Lab-wide functions (e.g., EH&S, HR, Procurement, IT, Shipping)
- C4-3 LBNL has not established an effective institutional mechanism for engaging the Lab community in the development of Lab-wide documents.
- C4-4 LBNL does not have an organization or position charged with the responsibility for coordinating, facilitating, and establishing a central source and repository of current and consistent information, documentation, policy, processes, procedures, and requirements for all Lab-wide functions and documents.
- C4-5 There is no LBNL organization or position charged with the responsibility for coordinating and facilitating Lab-wide and effective dissemination of information.
- C4-6 There is no standard set of expectations for communicating information about Lab-wide functions.
- C4-7 There is no institutional standard set of expectations for communication processes (e.g., Policy, Manual, Procedures, Guidelines).
- C4-8 The LBNL has not made concerted effort to evaluate the effectiveness of various communication media and paths at institutional or divisional level.

Actions to Prevent Recurrence:

- 1. Action:** Assign responsibility and provide resources to an organization or position to establish and oversee a requirement management process which includes a comprehensive and functional institutional document and process infrastructure that maps, aligns, and integrates requirements, across all Lab-wide functions, documents and processes (e.g., EH&S, HR, Procurement, IT, Shipping, etc.) The requirement management process is intended to be a project management

activity that identifies and translates legal and contractual requirements into LBNL operating policies and procedures, including requirement impact and cost analysis, requirement prioritization, ownership assignment, implementation strategy. The incumbent will collaborate with and coordinate the activities of institutional SMEs and affected stakeholders. (C4-1, C4-2)

Steps:

1. Benchmark functionality
 2. Develop functional roles and responsibilities of the organization/position
 3. Post, recruit and fill the position
 4. Define and develop processes and functions, publish in RPM
 5. Define the infrastructure in terms of project management and requirements management
2. **Action:** Assign responsibility and provide resources to an organization or position for coordinating, facilitating, and establishing a central source and repository of current and consistent information, documentation, policy, processes, procedures, and requirements for all Lab-wide functions and documents. (C4-1, C4-4)

Steps:

1. Benchmark functionality
 2. Develop functional roles and responsibilities of the organization/position
 3. Post, recruit and fill the position
 4. Define and develop document processes and functions
 5. Define the process in terms of configuration (content) management.
3. **Action:** Establish an effective institutional mechanism for engaging the Lab community in the development of Lab-wide requirements and documents. (C4-3)
4. **Action:** Assign responsibility and provide resources to an organization or position charged with the responsibility for coordinating and facilitating effective Lab-wide dissemination of information.
- 1) Plan and conduct a study to evaluate the effectiveness of various communication media and paths at institutional or divisional level.
 - 2) Establish a standard set of expectations for communicating information about Lab-wide functions which includes a Policy Manual, Procedures, and Guidelines based upon communication effectiveness study. (C4-5, C4-6, C4-7, C4-8).
1. Benchmark functionality
 2. Develop functional roles and responsibilities of the organization/position
 3. Position Description for FTE with new assignment within PAO
 4. Recruit and fill the position
 5. Job Function Process Description in RPM
 6. Define the process in terms of configuration and content management.
5. **Action:** Conduct effectiveness review of 1) requirement management process, 2) process and document infrastructure, 3) communication processes