

# ES&H Issues Management System

## Introduction

The LLNL ES&H Issues Management System (IMS) is a high level tracking and management system for addressing emerging institutional and cross-cutting ES&H Issues. Establishment of the IMS meets commitments in Contract 48, Appendix F, Section 7.2 and the 2002 SEMI Finding number ES&H-1.

## Implementation

This description of the ES&H IMS serves as an addition to ES&H Manual Document 4.2 and will be fully incorporated into the text of the Document upon its next revision. Implementation will begin by March 31, 2003 and will be integrated with improved LLNL tracking tools by the end of CY03.

## Purpose

The LLNL ES&H IMS is a high level system for identification, tracking and resolution of institutional and cross-cutting ES&H issues that require senior management attention. The ES&H IMS will

1. be forward looking to address
  - a. improvements in the effectiveness and efficiency of ISMS.
  - b. emerging issues/concerns that pose significant management challenges at the institutional level.
  - c. deficiency trends in separate directorates/organizations that could emerge as institutional cross-cutting deficiencies in other directorates/organizations.
2. focus on current institutional cross-cutting management issues requiring direct senior management attention including issues that
  - a. relate to contract performance.
  - b. involve regulatory compliance with the potential of civil penalties or enforcement actions.
  - c. can best be resolved at the senior DOE/NNSA management level.
  - d. have significant public or employee concern.
  - e. have large resource impacts.

#### 4.0 Roles, Responsibilities, and Authorities

##### Deputy Director for Operations (DDO)

- Approve the ES&H Issues Management System requirements
- Responsible to the Director for the overall effectiveness of the ES&H IMS
- Ensure accountability of line managers for implementation of this system
- Take specific action, as appropriate, to ensure issues are resolved in a timely and effective manner
- Resolve any institutional cross-cutting disagreements or potential conflict of interest issues in the implementation of the ES&H IMS
- Receive issues from external organizations for entry into the ES&H IMS and transmit resolution of issues as appropriate
- Provide updates on the status of issues to management as appropriate

##### Associate Director – Safety, Security & Environmental Protection (AD-SSEP)

- Make assignments of Responsible Managers (RMs) for resolution of findings
- Approve due dates, with Responsible Managers, for closure of findings
- Review causal analysis to determine if the findings could indicate cross-cutting institutional issues and determine if action should be taken in other parts of the organization to identify and close similar issues

##### Assurance Review Office (ARO)

- Plan and conduct institutional cross-cutting assessments in accordance with an annual audit plan approved by the DDO.
- Identify trends and common issues from all LLNL Directorate Self-Assessments that should be identified as institutional cross-cutting issues
- Serve as primary LLNL point of contact for external ES&H audits

##### Responsible Managers (RM)

- Develop corrective action plans that address the specific issue assigned
- Develop due dates for corrective actions as assigned by the AD-SSEP
- Identify underlying causes related to issues identified, as appropriate
- Assure the assigned issues are resolved/corrected by the approved due dates

##### Institutional Safety Officer (ISO)

- Act on behalf of the DDO and AD-SSEP in the day-to-day implementation of the ES&H IMS as directed
- Track and obtain updates on the progress of closure of findings
- Issue periodic reports and brief the DDO and AD-SSEP on the status of issues in the ES&H IMS
- Identify any trends associated with Issues in the IMS
- Identify data providers for each input source identified

#### Data Providers

- Screen potential issues for entry into the ES&H IMS and submit them to the ISO for entry into the Cross-Cutting Institutional Issues Tracking System (C<sup>2</sup>I<sup>2</sup>TS)

#### Cross-Cutting Institutional Issues Tracking System Manager

- Develop and maintain C<sup>2</sup>I<sup>2</sup>TS with interface with the Issues Tracking System (ITS)
- Develop electronic report formats from the C<sup>2</sup>I<sup>2</sup>TS

### 5.0 Process

#### 5.1 General

The DDO, with input from the AD-SSEP and the ISO shall develop and document the set of input sources for Issues and the screening criteria for entry into the ES&H IMS. This will be periodically reviewed to ensure it meets the need of LLNL senior management.

The ISO will identify data providers for the source input. Using the screening criteria, data providers will submit Issues to the ISO for entry into the IMS. The AD-SSEP will assign RMs for Issues in the IMS. The RMs shall develop closure actions for the Issue and shall assure or verify that the actions are fully complete and implemented in practice, as necessary.

The ISO will provide reports and briefings to the DDO and AD-SSEP by the ISO identifying the status and any additional actions or follow-up by senior management.

Figure 1 provides an overall flow diagram of the process.

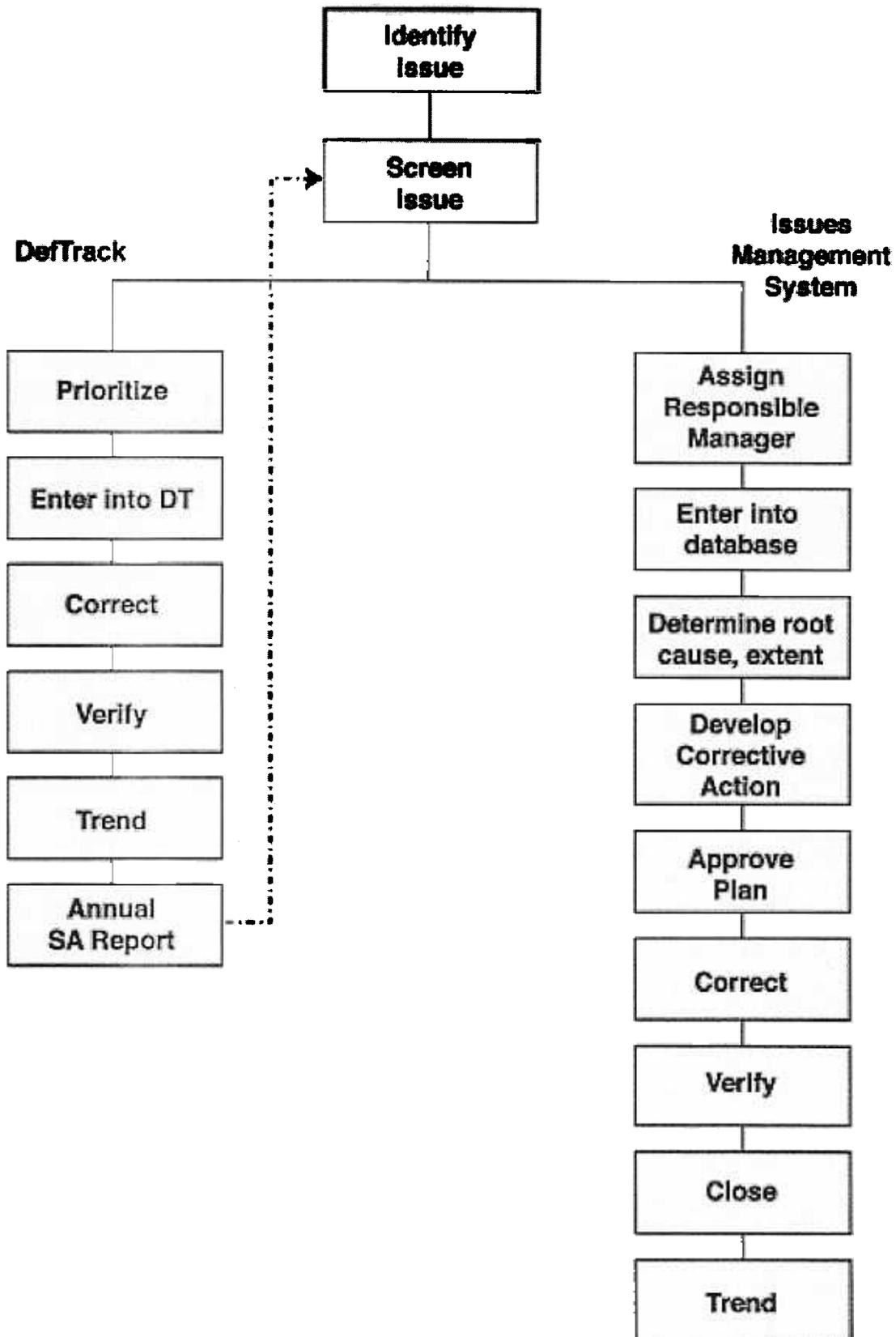


Figure 1

## 5.2 Institutional Cross-cutting Deficiencies

If the closure action is for a cross-cutting deficiency, the RM shall identify causes for deficiency and the extent of the deficiency in all other parts of the Laboratory organization. The actions shall be approved by the AD-SSEP or the DDO to assure that the institutional actions are appropriate, can be implemented and will be effective. RMs determine causes for cross-cutting deficiencies and shall use established methods for causal analysis such as those for occurrence reporting or accident investigation. The corrective actions shall address the underlying cause(s) for the cross-cutting nature of the deficiency.

## 5.3 Forward looking Issues

Forward looking Issues entered into the IMS are intended to identify those high level ES&H issues (not tracked through other LLNL processes) that are emerging as broader than single-directorate in scope or pose significant challenges to senior management. Pro-active attention of senior management to these issues should result in cost effective improvements in the ES&H Program at LLNL or prevent common deficient conditions from occurring across the Laboratory.

## 5.4 Documentation

IMS reports, briefings, causal analyses, and senior management actions shall be formal and maintained as retrievable files.

Approved:



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Deputy Director for Operations

3/14/03  
Date