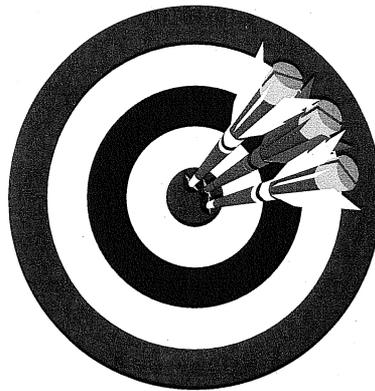


# Quality Management Office

## FY09 Business Plan



**November 25, 2008**

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**Manager for Quality Management Office**

## 1. General

This Business Plan covers the FY09 scope of work for the Quality Management Office, including supporting initiatives in the Deputy Director of Operations' Business Plan, the Assistant Laboratory Director (ALD) for Policy and Strategic Planning's Business Plan, the for CEGPA's Business Plan, Annual Laboratory Plan, PEMP, Management System reporting and ISM/Safety Improvement Project.

## 2. Organizational Goals and Objectives

The Quality Management Office supports Brookhaven National Laboratory's primary mission in Advancing the Frontiers of Science and Technology , as well as Improving the Quality and Reducing the Cost of Doing Business, to develop and sustain world-class research and development programs (R&D) that serve the needs of the nation.

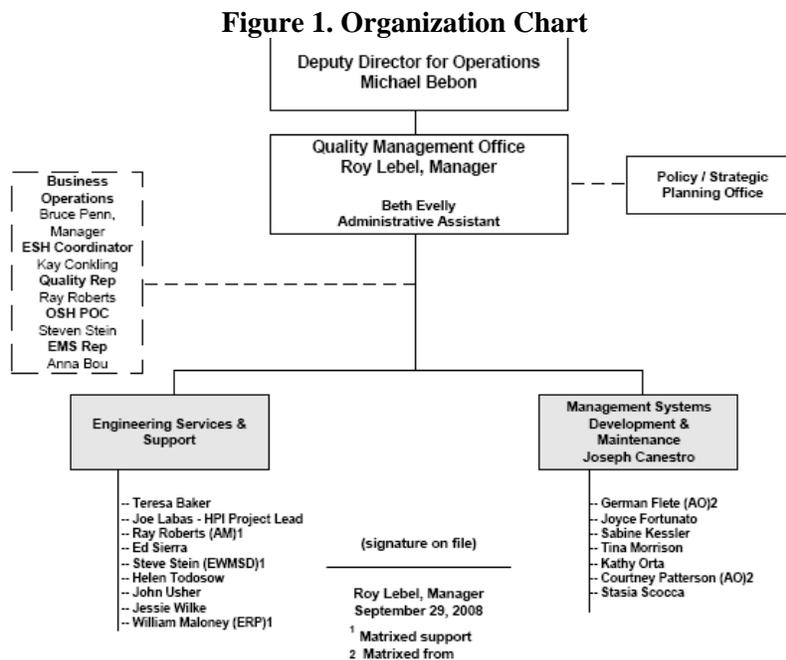
The QMO has three long-term strategic goals which are aligned with the Laboratory's strategic focus areas and goals:

- Plan and perform research and operations in a reliable, effective and efficient manner, maximize the ability to conduct quality research, and minimize its impact on the environment, safety, security and health of the staff and public;
- Standardize processes and promote continuous improvement;
- Enable the delivery of products and services that meet customers' requirements and expectations for scientific and operational excellence.
- Support an environment that facilitates scientific and operational excellence.

## 3. Organizational Structure, Roles and Responsibilities

### 3.1 Organizational Structure

The QMO reports to the Deputy Director of Operations and supports the Policy and Strategic Planning Office. The QMO has two groups, the Engineering Services & Support Group and the Systems Development and Maintenance Group. Within the Engineering Services & Support Group is the institutional HPI project lead. An organization chart is shown in Figure 1.



### 3.2 Roles and Responsibilities

The overarching roles and responsibilities of the Quality Management Office (QMO) involve the development, maintenance, improvement and deployment of laboratory-wide processes and systems tools. QMO is the steward and implementation organization for several key Laboratory programs. These include:

- Quality Assurance Program
- Quality Assurance
  - Occurrence Reporting and Processing Systems (ORPS)
  - Events/Issues Management Process
    - Fact Finding & Causal Analysis
    - Corrective Action Management
    - Assessment Tracking System (ATS)
  - Suspect and Counterfeit Items
- Standards Based Management System (SBMS)
  - Requirements Management
- Integrated Assessment
  - Contractor Assurance
- Human Performance Improvement

QMO also manages a network of Quality Representatives within Laboratory line organizations that execute elements of quality functions for the line.

Goals for QMO in FY09 will include the following:

- Support the Battelle-led effort to develop common work flows associated with the “Battelle Process Modeling Initiative” project.
- Coordinate the roll-out of the BNL Human Performance Improvement Initiative
- Upgrade the Laboratory’s Integrated Assessment Management System and its implementation by all Lab organizations.
- Management System Planning and Assessment Management including institutional vetting of assessments.
- Event/Issues Management: Develop a 3BPB like process for analyzing risks and prioritizing responses to assessments/issues.

These goals are key to driving improvement in BNL’s overall performance in the context of an environment where there is an expectation that the cost of doing business be reduced. In addition, achievement of these goals is a DOE customer expectation, either formally – ISM CAP, PEMP, or informally – HPI.

### 3.3 Organizational Funding, Staff Breakdown and Fiscal Targets

The following table shows the funding level and mechanism for the Quality Management Office for FY09., not including incremental requests.

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Organizational Structure (Department Code Titles)	FY09 Overhead (Trad & Com) Pools	FY09 FTEs
<u>Deputy Director of Operations</u>		
Quality Management Office		

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### 3.4 Diversity Characteristics

The following table shows the breakdown of current staffing levels and relevant characteristics (e.g. diversity, classifications) for FY09. The QMO also has personnel that are underrepresented at the Laboratory that are not shown in the categories below, such as 1 person with disabilities and 2 women in engineering.

Resource Type	Ethnic Title	QA
<b>Management/Supervisor</b>  Males = 1 Females = 0	American Indian	
	Asian	
	Black	
	Hispanic	
	White	1
<b>Total</b>		<b>1</b>
<b>Professional</b>  Males = 5 Females = 2	American Indian	
	Asian	
	Black	1
	Hispanic	
	White	6
<b>Total</b>		<b>7</b>
<b>Technical</b>  Males = 0 Females = 0	American Indian	
	Asian	
	Black	
	Hispanic	
	White	
<b>Total</b>		<b>0</b>
<b>Scientific</b>  Males = 0 Females = 0	American Indian	
	Asian	
	Black	
	Hispanic	
	White	
<b>Total</b>		<b>0</b>
<b>Admin Support/Secretarial</b>  Males = 1 Females = 7	American Indian	
	Asian	
	Black	
	Hispanic	
	White	8
<b>Total</b>		<b>8</b>
<b>Grand Total</b>		<b>16</b>
<b>Minority Total</b>		<b>1</b>

### 3.5 Management Systems

The Quality Management Office has primary Stewardship responsibility for the following management systems:

- Integrated Assessment Program Management System

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- Quality Assurance Management System
- Standards Based Management System

In addition, the QMO develops and maintains the following SBMS Program Descriptions:

- Occurrence Reporting
- Quality Assurance
- Suspect/Counterfeit Items

### 4. Situational Analysis

#### 4.1 Organizational Performance

A core mission of the Quality Management Office (QMO) is to support line organizations in the development and implementation of the Laboratory's quality assurance (QA) program. Line organizations needs vary based on the type of work, but overall hands-on assistance is expected in many aspects of the QA tasks - developing assessment plans, performing assessments, reviewing requisitions, applying the graded approach, calibration, inspection and acceptance testing.

A second mission of the QMO is to analyze data and information to enable Laboratory management decision-making. As currently resourced the QMO cannot adequately meet the missions/expectations noted above. Additional quality assurance expertise would enable the QMO to better provide support to the line, especially the small science organizations (The larger facilities, C-AD, NSLS, EWMSD are able to fund QA support) and will enable the QMO to meet these needs as well as support the QAP goal noted in item 1 – continuation of receiving and acceptance testing.

- Causal Analysis and Accident Investigation
- Assessment Management/Risk Prioritization of Actions/Issues
- Assessment and Information Analysis
- Human Performance Initiative

The QMO also directly supports the DDO on other management services, as requested, and the ALD for Policy and Strategic Planning for performance management services.

#### 4.2 Management System Performance

##### 4.2.1 Integrated Assessment Management System

The Integrated Assessment Program (IAP) provides BNL with feedback processes to support performance-based management, institutional feedback and improvement, and the Contractor Assurance System. IAP is used for:

- Providing scientific, operational (including environment, safety, and health), and business performance information to promote early identification and resolution of problems that may impact achievement of the Laboratory's strategic agenda, Contract Performance Measures and Directorate, Department, or Division objectives.
- Contributing to ongoing improvement in performance, including driving the Laboratory's improvement agenda by identifying strategic and tactical investments and changes to performance objectives/measures.
- Verifying expectations and requirements of stakeholders and customers to improve scientific and technological research, existing products and services, and enhance customer satisfaction.

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The functional elements of IAP are Self-Assessment (organizational and management system), Peer Review, Independent Assessment, Internal Audit, Corporate Oversight, and external assessments. These elements generate information on, and results are used to encourage, excellence in scientific, technical, ESS&H, quality, community involvement, business and operational performance. This information is used to make decisions on performance and identify areas requiring improvement. Together these elements provide comprehensive and objective information used by the Laboratory in establishing strategic direction and improving performance.

While there are no major vulnerabilities associated with IAP, there is a current focus on preventing future vulnerabilities by improving the IAP. For example, while processes for organizational business planning and for institutional-level assessment planning/management are being implemented at BNL, at the present time neither the management system description nor the Integrated Assessment subject area reflect these current practices. Additionally, issues identified during the DOE/BNL evaluation of the BNL Contractor Assurance System and the DOE/HSS Evaluation of BNL ES&H Programs will result in revisions of documentation maintained by IAP. Some requirements will be communicated through collaborative revision of subject areas for Event/Issues Management and Environmental Assessments and ESH Management Reviews.

The Corrective Action Plan (CAP) responding to the Third-party (w/DOE) Evaluation of the Contractor Assurance System (CAS) was approved by BHSO in January 2008. The CAP also included some actions developed in response to the DOE/HSS Evaluation of BNL ES&H Programs reported in November 2007. The CAP listed 40 actions; 29 actions have been completed, with 27 of these approved for closure by BHSO. The remaining 11 open actions are scheduled for completion in FY09.

BNL benchmarked risk-based approaches used by DOE contractors (ANL, ORNL, PNNL and Savannah River) and other organizations (NASA) and is incorporating the best elements and models into BNL's Assessment Management process. BNL developed a three-phase approach for categorizing Management System risks, planning performance monitoring and assessment activities in response to risks, and developing an appropriate risk-weighted Lab-wide assessment schedule. BNL developed a template to capture this information and piloted the process using 16 Management Systems. This template was also used to demonstrate the capability to roll up organizational assessment results for evaluation at the institutional level as part of the IAP. BNL shared this process at the Performance Assurance Community of Practice meeting held in Denver in May 2008 and at the EFCOG meeting held at ORNL in March 2008 with positive reviews/feedback on both occasions. Procedures implementing the Assessment Management process have been incorporated into a draft revision of IAP. BNL has drafted a risk-based assessment "vetting" process for scheduling Lab-wide assessment activities for use in FY09. BNL reviewed training used by ANL and BCO and has developed training (TQ MGMTASSESS) for managers and other practitioners for planning, conducting, and reporting self-assessments.

BNL has also begun the revision of the Event/Issues Management Subject Area to more clearly define an SCBNL-like graded approach for identifying issues of interest to BNL management and for taking these issues through the Event/Issues Management process. Key to defining the graded approach is a table of risk-based thresholds for reporting, analysis, extent-of-condition review, action planning and prioritization, and action follow-up that is being reviewed/revised.

### 4.2.2 Quality Management System

The Quality Management System (QMS) continued to be improved in line with the ISM Safety Improvement Project Plan as well as other institutional drivers. In the Events/Issues Management process, a grading system for categorizing issues was developed, to enable management to align corrective action efforts with the risk level of the issue. The process for managing actions in the Institutional Assessment Tracking System was formalized and now requires input from appropriate BSA management and the BHSO. The Suspect/Counterfeit Items program was reviewed by DOE-BHSO and found to be well implemented.

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The laboratory tasked the QMO with supporting the development and implementation of the strategy to deploy Human Performance Improvement principles and tools across the institution, and much was accomplished toward that end.

Calibration and software quality assurance are areas where efforts need to and will continue. Current procedures and processes do not fully meet these requirements.

Finally, there continues to be a need to provide more consistent training for Quality Representatives. In recent years this need has been documented and efforts initiated. Competing priorities continually overtake these efforts. Additional resources are probably needed to maintain focus on this effort to ensure completion.

### **Events/Issues Management:**

The Event/Issues Management process continued to undergo improvements. In FY 07 a process for categorizing lower level events as SCBNL was developed. In FY08 the focus was on more rigorous categorization of issues and their resulting corrective actions. The objective was to enable managers to assign appropriate levels of risk and priority to issues. It is anticipated that this will improve the alignment of resources (time, funding and staff) in support of corrective actions.

The QMO continued to respond to numerous requests for facilitation support for fact finding and causal analyses efforts.

### **ATS**

In FY08 there was increased use of the Assessment Tracking System (ATS) by management, as the need for a comprehensive process for managing assessments and corrective actions was acknowledged by senior management. The institution's planning and performance management processes included information on the status of corrective actions. The process for managing actions in the ATS was formalized and now requires input from appropriate BSA management and the BHSO.

From an information technology standpoint, the migration of the ATS to a secure server and more robust software platform was initiated.

### **Suspect/Counterfeit Items (S/CI)**

In March-April 2008 the DOE-BHSO conducted an evaluation of BNL's Suspect/Counterfeit Items Program. BNL's program was found to be mature and well implemented.

### **Human Performance Improvement (HPI)**

The laboratory tasked the Quality Management Office to support the development and implementation of the strategy to deploy HPI concepts institution-wide. To that end, a senior Quality Engineer was selected to be the institutional HPI Coordinator. Much progress has been made. A senior management HP Steering Team was established and 44 BNL employees were trained by an HPI consultant as HP Advocates. Three working groups, made up of the Advocates, were established to continue the deployment. The Integration Team focused on revising the lab-wide work planning and accident investigation processes to incorporate HPI concepts and tools. The Training Team focused on qualifying seven of the HPAs as trainers to more quickly bring HPI training to all laboratory staff. The Communications Team focused on the managing the information flow both among the HPAs and throughout the laboratory.

At the end of the FY08 another outside expert in HPI evaluated BNL's approach and progress. His input will be used by the QMO to adjust the FY'09 HPI integration plan to a risk-based approach to deployment.

### **Software QA**

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In March-April 2008 the DOE-BHSO conducted an evaluation of BNL's Software Quality Assurance Program (SQA). BNL's SQA Program was found to be not fully implemented, and five findings were cited. BNL has been in the process of developing its SQA Program and subject area, but needs to accelerate this effort. Although the prime responsibility for SQA rests with the Information Resources Management System, the Quality Management Office has provided quality engineering support ensure the requirements of the QMS are met. This will continue to be a large focus in FY09.

### **Calibration**

As a result of reviews of BNL's Calibration Program in FY06 and 07 a working team was established to significantly revise the program and subject area. The team is being led by a senior Quality Engineer and includes representation from the different research and operations organizations. The objective is to eliminate gaps in calibration requirements and to provide a process that is tailored to the different needs of research, health and safety and other operations. This task is behind schedule. The revised program and laboratory procedure will be complete in FY09.

### **Quality Representative Support**

A key function of the QMS is to provide training and guidance to the Quality Representatives (QR) in the line organizations. Although QR meetings take place with some periodicity, there is a need to improve the QR training. The web course "QAP Overview" was revised, but specific education on the application of the QA Order/Rule would increase the working knowledge of QRs, especially those that are not quality professionals. A new web course on assessments was rolled out October 1, 2008.

### **4.2.3 Standards Based Management System**

The Standards-Based Management System (SBMS) provides BNL staff with policies, standards of performance, and Laboratory-wide procedures and guidelines (subject areas) that are current, accurate, and relevant to their work. The Laboratory develops policies, standards of performance, and subject areas based on an evaluation of external requirements (i.e., Directives and Federal, state, and local laws) and BSA policies. While the SBMS does not deliver facility-, organization-, or program-specific operating procedures, guidance, and requirements, the SBMS provides the baseline BNL requirements for developing, delivering, and controlling such internal operating procedures and documents.

The Standards-Based Management System (SBMS) has seen some major improvements and changes throughout FY-08. There has been progress made on the SBMS Improvement Project, Requirements Management, and the SBMS Development, Deployment and Implementation Process. The office has met the schedule milestones in the ISM Corrective Action Plan for all items associated with SBMS. The Battelle Process Modeling Initiative (BPMI) has taken a strong foothold at BNL. It has been promoted and ushered throughout the BNL culture with support from senior management. The SBMS office has played a key role in this initiative and has been recognized as an important player and reliable resource to the BPMI Project Leader from INL.

#### **SBMS Improvement Project:**

In April 2008 a new SBMS homepage was launched along with new and easier to use features. This concept became a reality as a result of various inputs and needs. The SBMS homepage was antiquated and needed a new fresh look that would also incorporate the needs of the user community. After holding several user feedback meetings on SBMS' strengths and weaknesses with a wide variety of folks representing science and operations, a list of needs were compiled and are being systematically addressed. Along with the new, more organized homepage, some other enhancements include an updated management system contact list with the ability to filter by steward or management system, updated SME listing, improved revision history, a new electronic variance management system, improved forms listing-searchable by titles, a keyword management system, a more powerful search engine and a completely revamped terms and definitions browser which allows users to easily browse through terms and their definitions. Users can select a document and see all of its terms and definitions or select a term and its definition and see which

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document(s) the definition is associated with. Due to other priorities this project has been stalled, but efforts will continue in FY09.

### **Requirements Management:**

- The last phase of the Requirements Management Plan, Contract Mapping, was completed two months ahead of schedule
- Created a place on SBMS (as part of the Requirements Tools) where all Internal and External Variances can be accessed
- Presented BNL's Requirements Management Process at the 2008 ISM Workshop in Idaho Falls.

### **Other accomplishments:**

- The Requirements Manager from ORNL and BNL met to benchmark each Requirements System and share ideas

### **BNL's SBMS Chosen as the System of Choice:**

BNL's SBMS has been identified by other select DOE labs as the system most wanted. Last year we gave our Requirements Management module to Los Alamos. This year both SLAC and LBNL are requesting all or parts of our SBMS. In July, the SBMS office hosted members of SLAC for 3 days to review our SBMS. They decided that they want our system and will start with the Requirements Module. Plans are in place to make this happen.

In March 2008, the SBMS office was contacted by folks at LBNL about using our SBMS for construction on the DUSEL (Deep Underground Science and Engineering Laboratory) that is being built at the site of the Homestake mine in Lead, South Dakota. DUSEL is an NSF funded project and LBNL is a key player along with the South Dakota Science and Technology Authority (SDSTA). The signed contract for this was recently put in place and work to transfer our SBMS has begun.

In all instances, after careful analysis by these DOE facilities, BNL's SBMS has been selected as the system of choice.

### **Battelle Process Modeling Initiative (BPMI):**

After a successful pilot run last year the BPMI officially started in January 2008. The SBMS office has assigned a full time dedicated resource to this project and she is a member of the core project team. The BPMI Project Leader has requested that she remain on the team through FY09. Since February 2008, BNL has participated in all 12 process modeling workshops and has sent approximately 20 BNL representatives to the workshops. Plans have already been put in place at BNL to address both the importance of evaluating best practices learned at the workshops and creating a front end to our existing SBMS that will emulate a process workflow and integrate with existing SBMS documentation structure. All BNL activities for this Battelle collaboration are organized and handled through the SBMS office.

Coordinate/Conduct Annual Management System Description Reviews for DDO:

As an annual requirement, monitoring and tracking of all 17 Operations Management System Description reviews were completed on 8/1/08, approximately 1 month before the due date.

### **SBMS Oversight and Advisory Committee:**

On April 23, 2008 the first session took place of the newly established SBMS Oversight and Advisory Committee. The QMO office was instrumental and played a major role in making this committee a reality. The committee was created to monitor and make recommendations on institutional processes so that they are useful and realistic for line organizations. It will aid in setting priorities, resolve issues and provide support guidance and direction. The SBMS office lends full support to organize the meetings, and report status/issues to the committee.

### **Review SBMS Development, Deployment and Implementation Process**

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As part of the ISM CAP, action item C-1.1 was completed on schedule. This task to review SBMS development processes for developing SBMS documents was facilitated by the SBMS office and encompassed the creation of a separate working group, as commissioned by the SBMS Oversight and Advisory Committee, to review the existing process and make recommendations to the Oversight and Advisory Committee. The final report and recommendations were given to the Oversight Committee on June 30, 2008.

As a result of this report the SBMS office has created an interim procedure, created select “draft” documents and is working with the appropriate SME’s to pilot and monitor these recommendations as they work to revise ISM prioritized subject areas. Lock out/tag out (LOTO) was the first subject area to be revised under the new guidelines. Though given an extremely tight schedule, this subject area was revised, reviewed and published by the ISM due date. After adequate feedback has been received SBMS documents will be revised and published by December 31, 2008.

5. Fiscal Year Objectives and Performance Targets

**Strategic Focus Area: IMPROVING THE QUALITY & REDUCING THE COST OF DOING BUSINESS**

**INTEGRATED ASSESSMENT MANAGEMENT SYSTEM**

**Steward:** M. Bebon

**Point of Contact:** R. Lebel

Driver	Item	Activity	Owner	Supporter
<b>PEMP</b>				
<b>Target 4.1.1.3</b>	<p><b>In support of ALD for PSP:</b></p> <p>The Contractor’s Laboratory management team monitors progress and reports performance against the institutional performance expectations described in Target 4.1.1.2. Reporting is made to relevant stakeholders, including BHSO. BHSO will evaluate the effectiveness of the Contractor’s performance monitoring.</p>	Prepare period performance reports for ALP/PEMP/Management Systems/Corporate Assurance	T. Baker/J. Wilke	
<b>Target 4.1.1.4</b>	<p><b>In support of ALD for PSP:</b></p> <p>The Contractor effectively adjusts the Annual Laboratory Plan to reflect changes in institutional priorities. The Contractor will document changes to the Annual Laboratory Plan and formally submit those changes to BHSO. BHSO will evaluate these with input from the Program Offices or other external reviewers.</p>	Following each reporting period, propose changes to institutional priorities	T. Baker	
<b>Target 4.2.3.1</b>	<p><b>In support of ALD for PSP:</b></p> <p>Performance objectives and expectations for the conduct and quality of self-assessment are communicated at all levels of the organization as an integral part of the business planning</p>	<ul style="list-style-type: none"> <li>Developed a business planning guidance used to incorporate performance expectations into</li> </ul>	T. Baker	

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Driver	Item	Activity	Owner	Supporter
	process. Self assessments will take into account results from external and internal assessments.	Business Plans, <ul style="list-style-type: none"> <li>Revise IAP MS/SA with expectations;</li> <li>Pilot a management assessment training module in 10/08</li> <li>Adjust assessment training module by 12/31/08</li> </ul>	J. Usher  E. Sierra  E. Sierra	  T&Q Office  T& Q Office
<b>Target 4.2.3.2</b>	<b>In support of ALD for PSP:</b>  The Contractor will review Business plans for the effective utilization of the results of self-assessments to drive organizational performance improvements and effective management of corrective actions.	Coordinate a Business Plan Review following second period, comments to be provided to owners	T. Baker	McCallum-Turner
<b>Target 4.2.3.3</b>	<b>In support of ALD for PSP:</b>  The Contractor collects and analyzes the results of institutional and line assessments and monitors progress on corrective action management. The Contractor's Laboratory Management Team uses the results to provide feedback into institutional decision-making and assurance processes. Results are reported to BHSO through Contractor Assurance System and Performance Management reporting mechanisms.	<ul style="list-style-type: none"> <li>Document on a period basis the results of institutional assessments for senior management</li> <li>Establish and develop a concept for a CAB to present to Senior Management at BNL</li> </ul>	J. Usher /E. Sierra/H. Todosow  J. Labas	
<b>Annual Laboratory Plan</b>				
<b>Objective:</b> Corporate Assurance	Effective corporate assurance			
<b>Target:</b> Assurance Reports	Assurance reports to corporate risk committees reflect a comprehensive and objective assessment of institutional risks	Contractor Assurance Process – Reporting support to PSP <ul style="list-style-type: none"> <li>Annual Laboratory Plan</li> </ul>	T. Baker/J. Wilke	

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Driver	Item	Activity	Owner	Supporter
		<ul style="list-style-type: none"> <li>Corporate Assurance</li> <li>PEMP</li> <li>Management Systems</li> </ul>		
<b>Objective:</b> PEMP Performance	Meet Contract Performance Expectations			
<b>Target:</b> PEMP Performance	DOE Rating greater than or equal to B+	Reporting support to PSP	T. Baker	
<b>DDO Objectives</b>				
<b>MRI Incident Management Follow-up</b>	<p><b>In support of DDS &amp; DDO:</b></p> <p>QMO will work closely with the DDS in ensuring timely and accurate closure of actions.</p>	<ul style="list-style-type: none"> <li>QMO will review and comment when appropriate on all corrective action closure packages</li> <li>Develop and report on MRI statistics of Correctives Action against MRI Plan</li> </ul>	R. Lebel	H. Todosow/ E. Sierra
<b>QMO Objectives</b>				
<b>Continuous Improvement</b>	Integrated Assessment Continuous Improvement	Assessment Management and Analysis	R. Lebel (TBD)	
		Revise the Integrated Assessment Program MS Description and subject area	J. Usher	
<b>PEMP</b>	DOE PEMP Management	Prepare FY08 Year-end Report (PEMP)	J. Usher/T. Baker	
		Develop FY10 PEMP	J. Usher	

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Driver	Item	Activity	Owner	Supporter
		Prepare FY09 PEMP Period Performance Summaries	T. Baker	
<b>Contractor Assurance</b>	Contractor Assurance	Facilitate preparation of Operations Risk Committee Packages for DDO	J. Wilke	
		Develop a report for status on the Operations Business Plan by Division/organization/SFA	G. Flete	
		Coordinate/Conduct FY09 Annual Review of MS for DDO	J. Canestro	
		Prepare FY08 Integrated Assessment Report (OPS)	TBD	
<b>Corrective Action Plans</b>				
<b>None</b>				
<b>Planned Assessment</b>				
ISM Corrective Action	Effectiveness Review of Performance Management	Review of Science Organizations Business Plans	T. Baker	

**Strategic Focus Area: IMPROVING THE QUALITY & REDUCING THE COST OF DOING BUSINESS**

**QUALITY MANAGEMENT SYSTEM**

Steward: M. Bebon

Point of Contact: R. Lebel

Driver	Item	Activity	Owner	Supporter
<b>PEMP</b>				
None				
<b>Annual Laboratory Plan</b>				
<b>Objective:</b> Continuous Improvement	<b>In support of ALD for CEGPA:</b> Implement Programs to Foster Continuous Improvement to Laboratory-wide processes			
<b>Target:</b> Human Performance Initiative	<b>In support of ALD for CEGPA:</b> Integrate Develop and implement Human Performance Initiative (HPI) Principles and Tools using a risk Based Approach	<ol style="list-style-type: none"> <li>1. Coordinate with the HPST, the identification of institutional activities and processes in which to integrate HPI principles and tools to mitigate the risk of human error</li> <li>2. Coordinate the development of a set of performance measures or key indicators that the Laboratory will use to measure HPI integration success for prioritized list of risk-significant activities and processes</li> <li>3. Develop / improve and integrate controls associated with the prevention/detection of latent errors for risk-significant activities and processes</li> </ol>	J. Labas	J. Wilke/W. Brown

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Driver	Item	Activity	Owner	Supporter
<b>DDO Objectives</b>				
<b>ISM Corrective Action Plan</b>	<p><b>In support of DDO:</b></p> <p>Work the ISM CAP. Quality will play the lead role of mentoring the ISM Project Manager to ensure consistency of CAP management.</p>	<ul style="list-style-type: none"> <li>Mentor ISM project manager</li> </ul>	Roy Lebel	
<b>Illness and Injury Performance</b>	<p><b>In support of the Laboratory's SOP:</b></p> <p>Work with ESH on implementing a strategy of HPI in the worker/safety observation program.</p>	<ul style="list-style-type: none"> <li>Develop and present to ESH Management/DDO/ALD for F&amp;O a modification to the SOP to include HPI</li> </ul>		J. Labas
<b>Corrective Action Management</b>	<p>Pilot a 3PBP like process for analyzing risks and prioritizing responses to assessments/issues.</p>	<ul style="list-style-type: none"> <li>Develop charter for 3PBP team and work with Team through the Pilot process</li> <li>Present pilot process results and recommended improvement results to Senior Management</li> <li>Modify E/I SA to include process</li> </ul>	E. Sierra	J. Usher
<b>Corrective Action Management</b>	<p><b>In support of Executive Operations Manager (EOM):</b></p> <p>Continue to support EOM in development of value added ATS reports.</p>	<p>Develop monthly status reports satisfactory to the Executive Operations Manager (EOM).</p>	H. Todosow/G. Flete	
<b>Operations Hedgehog Roll-out and Follow-on Actions</b>	<p><b>In support of Hedgehog Roll-out:</b></p> <p>The QMO will develop metrics for both the SBMS and Quality Engineering Services the office provides.</p> <p>Develop a DDO Project Lead for coordination and implementation of Operations Idea Systems</p>	<ul style="list-style-type: none"> <li>Org retreat to communicate</li> <li>SBMS</li> <li>Quality Engineering</li> <li>Train and mentor a Project Lead</li> <li>Coordinate and report on a</li> </ul>	R. Lebel  J. Canestro J. Wilke R. Lebel  S. Scocca	

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Driver	Item	Activity	Owner	Supporter
		regular basis through the EOM idea system activities		
<b>Leadership Development Program</b>	<p><b>In support of DDO:</b></p> <p>Leadership Pipeline</p> <p>Leadership and Management Skills Development</p>	<ul style="list-style-type: none"> <li>• QMO will investigate the Video series on management concepts and techniques and coordinate with the EOM</li> <li>• Discussion about Leadership pipeline tools and techniques and salary distribution with staff</li> <li>• Select staff to meet with about Leadership pipeline</li> </ul>	R. Lebel Support from B. Penn	
<b>Project Management Organization</b>	<p><b>In support of DDO:</b></p> <p>Project Management Initiative</p>	Support projects when requested, as appropriate through PMI certified leaders	T. Baker	
<b>Human Performance Improvement (HPI)</b>	The Quality Management Office will continue its support of the Laboratory's integration of HPI, including development of success metrics/key performance indicators for HPI.	Continue to drive the Laboratory's integration in support of the ALD for CEGPA	J. Labas	
<b>Quality Management</b>	<p>QMO will continue to play a lead role in assisting the Office of Policy and Strategic Planning in their continuing implementation of a performance and risk based institutional management process.</p> <p>QMO will also assist NSLS II in developing their project quality program, integrating HPI principles, and providing oversight.</p> <p>QMO will continue in their role of BNL's coordinator for the Battelle initiative to create a "Next Generation" SBMS based on work sequences.</p>	<ul style="list-style-type: none"> <li>• Support PSP in performance management</li> <li>• Assist in development of NSLS-II Quality Organization and continued development of Quality Program</li> <li>• Support implementation of Battelle Process</li> </ul>	<p>T. Baker</p> <p>R. Lebel</p> <p>J. Canestro/ S. Kessler</p>	

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Driver	Item	Activity	Owner	Supporter
		Modeling Initiative		
<b>Procurement &amp; Property Management</b>	<b>In support of PPM:</b> Procurement Quality concerns – previous initiatives will be communicated to new procurement staff	Ensure procurement quality concerns are addressed in new organization	R. Lebel J. Labas R. Roberts	
<b>Facility Management (Safety &amp; Operations) Model Implementation</b>	<b>In support of Facility Management (Safety &amp; Operations) Model Implementation:</b> QMO staff is committed to being refreshed in the facilitation of work flow process development and modeling for optimization	QMO will either bring on-site or send QMO Engineering Staff to refresher training on process modeling as well as “Lean” approaches.  Work with ALDs to facilitate work flow process modeling (value stream mapping)	R. Lebel	J. Wilke J. Labas
<b>QMO Objectives</b>				
<b>Influence DOE Policies</b>	Leverage opportunities to influence emerging DOE policies and share lessons learned by networking across the DOE complex	DOE BHSO and Germantown interface	R. Lebel (All)	
		Participate in EFCOG and rewrite teams	R. Lebel (All)	
		Battelle Performance Assurance Community of Practice – <b>Hosting 1<sup>st</sup> Quarter meeting</b>	R. Lebel	J. Wilke
<b>Continuous Improvement</b>	Quality Continuous Improvement	Annual LL Coordinators workshop to prompt feedback, evaluate, and improve the BNL LL program.	E. Sierra	
		Reinvigorate Lessons Learned for BNL	E. Sierra	
		Revise Calibration Subject Area	S. Stein R. Roberts	
		SQA Project Plan - Facilitate completion of actions	S. Stein	

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Driver	Item	Activity	Owner	Supporter
		Improve S/CI Webpage on QMO Website	R. Roberts G. Flete	
		ATS Process Improvement Plan	H. Todosow	
		Migrate ATS to a secure server and more robust software platform	H. Todosow	
<b>Corrective Action Plans</b>				
3866	BHSO - Assessment of BSA Contractor Assurance Program	Associated Actions	DE	
4205	BHSO Assessment of BSA Suspect/Counterfeit Items (S/CI) & Safety Software Quality Assurance Program	Associated Actions	AO	
<b>Planned Assessment</b>				
DOE Order 226.1	BHSO - QAP Contractor Assurance Program Review - TBD	BHSO/BNL Assessment	J. Usher	
DOE Order 414.1C	QAPD Review	Annual review/revision of QAP and QMS; submittal of letter to DOE	S. Stein/R. Roberts	
DOE Order	BHSO - Procurement Quality	BHSO Assessment	J. Labas	
DOE Order 414 and CFR 830	Institutional QAP review of NSLS-II and 1 other high risk facility	BNL with outside assistance	R. Lebel	

**Strategic Focus Area: IMPROVING THE QUALITY & REDUCING THE COST OF DOING BUSINESS**

**STANDARDS-BASED MANAGEMENT SYSTEM**

**Steward:** M. Bebon

**Point of Contact:** J. Canestro

Driver	Item	Activity	Owner	Supporter
<b>PEMP</b>				
None				
<b>Annual Laboratory Plan</b>				
None				
<b>DDO Objectives</b>				
<b>Quality</b>	In support of BPMI Process:	Present initiative at a BOC meeting	J. Canestro	C. Patterson
	Modify BNL's current SBMS to include the modified work flows.	Initiate and manage all activity on behalf of the institution in support of BPMI.	J. Canestro	S. Kessler
	Coordinate the Laboratory's support of BPMI		J. Canestro	
	SBMS editors will be trained in content development and editing	Investigate training and initiate for appropriate staff	J. Canestro	S. Kessler
	Identify process modelers to be trained under the Quality Management initiative		J. Canestro	
<b>QMO Objectives</b>				
<b>Continuous Improvement</b>	SBMS Continuous Improvement	<ul style="list-style-type: none"> <li>Revise BNL Internal Waiver and External Variance/Exemption process</li> <li>Revise Requirements Management Subject Area</li> </ul>	S. Scocca	

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Driver	Item	Activity	Owner	Supporter
		Process is being revised to meet the variance requirements of 10 CFR 851, and to address the issue identified from the MRI Facility incident		
		Hosting SBMS Manager's Meeting	J. Canestro	S. Kessler
		SBMS Improvement Project	J. Canestro	
		BPMI: Continue full support and promotion of this process. Continue work on workflow integration into existing SBMS.	C. Patterson	
		Document Development Process: Revise SBMS Documents Subject Area to incorporate recommendations of the SBMS Oversight Committee as it relates to enhanced processes for SBMS document development.	J. Canestro	K. Orta
<b>Corrective Action Plans</b>				
<b>None</b>				
<b>Planned Assessment</b>				
<b>None</b>				

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Quality Management Office Goals				
Annual Lab Plan				
Attracting & Sustaining Top Talent	Support Workplace Diversity	1. Each QMO staff member participates/attends at least 1 diversity activity during the year.	R. Lebel J. Canestro	All QMO Staff
		2. Host a person with a disability for work experience.	R. Lebel	S. Scocca

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### 6. Support Needs and Strategic Hires

Assuming the same baseline budget as FY08, the QMO has two incremental requests, as shown in the following table and described in detail below:

Priority Order	Title	Incremental Request Type	Incremental Request				Priority Level
			FY09		FY10		
			\$ K	FTEs	\$ K	FTEs	
	<b>Quality Management Office</b>						
1	Human Performance Improvement (HPI) - Organizational Implementation Support	1 Time/Project	\$311.0	1			High
2	BPMI - Travel Expenditures for 12 meetings	1 Time Project	\$18.3				High
3	Quality Representative T&Q Program	1 Time/Project	\$50.0				High
	<b>Total</b>		<b>\$379.3</b>		<b>\$0</b>		

#### Human Performance Improvement (HPI)

The Laboratory will continue to implement Human Performance Improvement (HPI) concepts and tools throughout BNL as a strategy to improve performance. The strategy for this initiative has been developed with input from Laboratory senior management, DOE, and an external subject matter expert. The FY09 scope of work includes:

- Coordinate with the HPST, the identification of institutional activities and processes in which to integrate HPI principles and tools to mitigate the risk of human error
- Coordinate the development of a set of performance measures or key indicators that the Laboratory will use to measure HPI integration success for prioritized list of risk-significant activities and processes
- Develop / improve and integrate controls associated with the prevention/detection of latent errors for risk-significant activities and processes

#### Quality Representative Training & Qualification Program

QMO will facilitate the development and implementation of a Quality Representative training and graded qualification program. Weaknesses in training and qualifications have been identified in repetitive assessments.

#### Battelle Processing Modeling Initiative

This is to support the Battelle Processing Modeling Initiative by having Sabine Kessler continue participation as a core team member at the workshops. Battelle will pay for her labor to support just 5 of 12 planned workshops and the level of support for the workshops and BSA will provide travel expenses for at least 1 trip per month to the workshops.

### 7. Institutional Policy Issues For Evaluation And Resolution:

- Battelle Processing Modeling Initiative - A Battelle Corporate directive for all laboratories to collaborate on creating common workflows to drive improvement in laboratory operations through an innovative delivery system. Create communities of practice to achieve better efficiencies by networking across laboratories. This

## FY09 Quality Management Office Business Plan

process will also leverage collective strength to push back on burdensome orders and inconsistent DOE interpretations.

After a successful pilot run last year the BPMI officially started in January 2008. The SBMS office has assigned a full time dedicated resource to this project and she is a member of the core project team. The BPMI Project Leader has requested that she remain on the team through FY09. Since February 2008, BNL has participated in all 12 process modeling workshops and has sent approximately 20 BNL representatives to the workshops. Plans have already been put in place at BNL to address both the importance of evaluating best practices learned at the workshops and creating a front end to our existing SBMS that will emulate a process workflow and integrate with existing SBMS documentation structure. All BNL activities for this Battelle collaboration are organized and handled through the SBMS office

**Appendix A Quality Management Office EMS and OHSAS FY09 Objectives and Targets**

This document is provided on the QMO web page:

[http://www.bnl.gov/qmo/linkable\\_files/pdf/QMO FY09 EMS-OHS Obj and Targets.pdf](http://www.bnl.gov/qmo/linkable_files/pdf/QMO_FY09_EMS-OHS_Obj_and_Targets.pdf)