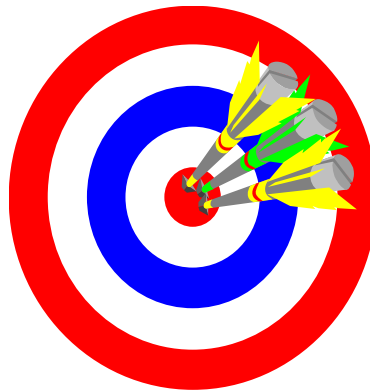


Quality Management Office

FY10 Business Plan



November 19, 2009

**Roy Henri Lebel
Manager for Quality Management Office**

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1. General

This Business Plan covers the FY10 scope of work for the Quality Management Office, including supporting the:

- Blueprint Project,
- Leadership and Well House Corrective Action Plans,
- Deputy Director for Operations' Business Plan,
- Assistant Laboratory Director (ALD) for Policy and Strategic Planning's initiatives,
- ALD for CEGPA's Business Plan,
- Annual Laboratory Plan,
- Performance Evaluation and Measurement Plan, 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 four strategic goals which are aligned with the Laboratory's strategic focus areas and goals:

- **Goal 1.0** - Provide quality tools and processes for continuous improvement of systems and programs.

The FY10 Objectives are:

- 1.1 - Coordinate the Human Performance Improvement initiative,
 - 1.2 - Coordinate the Competitiveness Improvement Project including implementation of Lean Six Sigma,
 - 1.3 - Lead the institution in support of the Battelle-led effort to develop cross-cutting work flows associated with the "Battelle Process Modeling Initiative", and,
 - 1.4 - Manage the SBMS Improvement Project to improve implementation of the system.
 - 1.5 - Support Manage by Management System to improve Laboratory operations through a streamlining and simplification of the Management Systems and alignment of the Management Systems to the functional authorities in the organization structure.
- **Goal 2.0:** Provide a comprehensive and rigorous assurance system to ensure compliance with applicable requirements, pursue excellence through continuous improvement, provide for timely identification and correction of deficient conditions, and verify the effectiveness of completed corrective actions.

The FY10 Objectives are:

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- 2.1 - Improve the Events and Issues (E/I) Program by:
 - Providing properly aligned, trained and qualified staff in line organizations,
 - Increasing the data streams (corrective action) for analysis,
 - Re-evaluating E/I thresholds and adjust as appropriate,
 - Providing a graded approach for management involvement,
 - Providing a user friendly data management system (ex. MAXIMO), and,
 - Providing processes for apprising management at all levels of vulnerabilities and issues warranting action.

- 2.2 - Improve the Integrated Assessment Program by:
 - Developing and implementing a Tracking and Trending, and Data Analysis Program (integrated with E/I processes),
 - Providing processes for apprising management at all levels of vulnerabilities and issues warranting action.
 - Supporting implementation of risk-based Management System measurement and assessment plans for monitoring institutional performance, and,
 - Improving implementation of the vetting processes for the Annual Assessment Plan.

- 2.3 - Fully support the ALD for PSP, improve the Integrated Planning System by:
 - Integrating improvements from the E/I Program and Integrated Assessment Program into the Management System and Subject Area processes, and,
 - Developing improvements from the Science and Technology Performance Management Effectiveness Review and incorporating into the system.

- **Goal 3.0:** Provide the primary stewardship responsibilities for the following management systems/programs (alpha):
 - Integrated Assessment Program Management System
 - Integrated Planning Management System
 - Quality Assurance Management System
 - Standards-Based Management System
 - BNL Lessons Learned Program
 - Occurrence Reporting and Processing System
 - Quality Assurance Program
 - Suspect/Counterfeit Items Program

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The FY10 Objectives are:

- 3.1 - Deliver functions, processes, and products commensurate with responsibilities.
- **Goal 4.0:** Continue development of QMO Personnel to ensure appropriate experience, knowledge, skills, and abilities commensurate with their responsibilities.

The FY10 Objectives are:

- 4.1 - Provide continuing training and qualification, and professional development, and,
- 4.2 - Supplement individual experience and provide a means to maintain awareness of changes and advances in the various fields of expertise.

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.

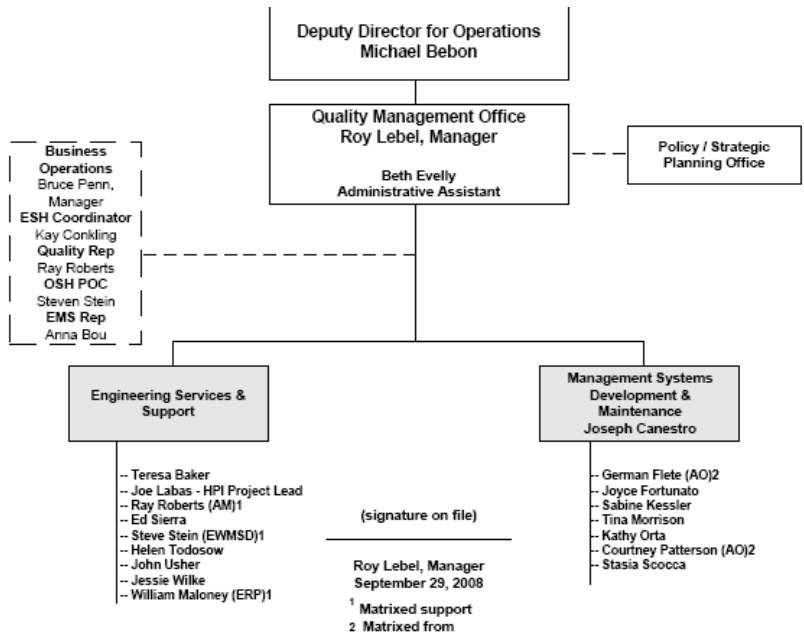
3. Organizational Structure, Roles and Responsibilities

3.1 Organizational Structure

As part of the Blueprint project, the QMO is included in the Organizational Restructuring and will have a new reporting relationship in the institution. To support the institutional restructuring, QMO will evaluate it's resources and align them functionally with the Blueprint Leadership Plan

Presently 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.

Figure 1. Organization Chart



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)
 - BNL Lessons Learned Program
 - 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

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

3.3 Organizational Funding, Staff Breakdown and Fiscal Targets

The following table shows the funding level and mechanism for the Quality Management Office for FY10, not including incremental requests.

Organizational Structure (Department Code Titles)	FY10 Overhead (Trad & Com) Pools	FY10 Support Funded FTEs	FY10 Total FTEs (Support and Direct Funded)
Deputy Director for Operations			
Quality Management Office	\$2.4 M	15.7	18.4

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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 FY10. 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, 1 person with cognitive disabilities, and 2 women in engineering.

Resource Type	Ethnic Title	QA
Management/Supervisor Males = 1 Females = 0	American Indian	
	Asian	
	Black	
	Hispanic	
	White	1
Total		
Professional Males = 3 Females = 2	American Indian	
	Asian	
	Black	1
	Hispanic	
	White	4
Total		
Scientific Males = 1 Females = 0	American Indian	
	Asian	
	Black	
	Hispanic	
	White	1
Total		
Admin Support/Secretarial Males = 1 Females = 6	American Indian	
	Asian	
	Black	
	Hispanic	
	White	7
Total		
Grand Total		14
Minority Total		1

4. Situational Analysis

4.1 Organizational Performance

In FY09 the Quality Management Office (QMO) met all of its goals for the institution. Working with Laboratory management the QMO facilitated development of improvements in the Integrated Assessment Program and the Events/Issues Management process. These improvements are in the early phases of deployment, but independent reviews have confirmed that when mature, these improvements will strengthen the Laboratory's feedback and improvement process. The QMO engaged research staff in the revision of the Calibration Subject Area and supported ITD in developing an approach for Software QA.

Over the past 12-18 months, the QMO has become a resource for senior management in supporting the higher level strategic initiatives including the Human Performance Improvement (HPI) and Competitiveness Improvement initiatives as well as coordinating and hosting a variety of external reviews (event investigations, causal analyses, extent of cause, and effectiveness reviews). Several line organizations have requested dedicated QA support as well. This increased scope and demand for support, while an indicator of the value that QMO is providing to the institution, has begun to strain the current staffing resources of the QMO.

The QMO is able to provide this level of support due to the majority of the staff's diverse set of high level expertise. QMO staff members are experienced, highly skilled and motivated individuals who can operate independently as well as collaborate successfully for the good of the institution.

The coming fiscal year provides many opportunities for the QMO to support the Laboratory, primarily in the Strategic Focus Area of Improving the Quality and Reducing the Cost of Doing Business. As noted in Section 2, in FY10 the QMO will focus on implementing the revised IAP and E/I processes, HPI, Competitiveness Improvement, SBMS Improvement, Battelle's Business Process Modeling Initiative (BPMI), improving corrective action management, improving tracking, trending and analysis capabilities, and performing effectiveness reviews as required by the Well House Management Plan.

The challenges facing the QMO in FY10 are:

- Need for additional resources to continue providing the level of support and expertise to management and the institution that will meet the growing scope of activities.
- Appropriate positioning of the QMO in order to enable its continued success in supporting the institution.

In FY10 the QMO will be reviewing the following SBMS documents:

- Quality Management System Description
- Quality Assurance Plan Program Description

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- Suspect/Counterfeit Items Program
- Graded Approach Subject Area
- Materials Requiring Special Handling Subject Area
- Lessons Learned Subject Area
- Software Quality Assurance Subject Area
- Interim Procedures Subject Area

4.2 Management System Performance

4.2.1 Integrated Assessment Management System

Many improvements in the Integrated Assessment Plan – Management System Self Assessment in particular – were instituted in FY09. The focus for FY10 is on continued implementation of these process changes. The changes were developed in response to the results of the 2007 HSS ISM Inspection and the 2008 Contractor Assurance System Review. The key improvements were:

- To more clearly delineate the responsibilities of line organizations versus owners, the Integrated Assessment subject area was separated into Management System Self-assessment, and Organizational Self-assessment. The Management System Self-assessment subject area was updated to institutionalize the development of a MS Risk-based Monitoring and Assessment Plan as part of the business planning process. The Business Planning and Performance Measurement SA refers to this process.
- The process for developing an Annual Assessment Plan at the institutional level was incorporated into the Integrated Assessment Plan MS.
- Better integration was achieved between the Management Self Assessment and Organizational Self Assessment subject areas with the Business Planning Process subject area.
- A web-based course on Assessment for managers was deployed.

The Quality and Assessments sub-team of the Well House Extent of Cause Review evaluated these recently implemented processes and concluded that the processes when fully implemented should be effective; however as of August 2009 they require continued management focus and “run time” to reach full maturity.

This confirms the result of an independent review of BSA’s performance management strategy that was performed in November 2008. The review concluded that BSA’s performance management framework (planning and assessment) will be sustainable over time.

The following vulnerabilities must be managed in FY10:

- The Well House investigations have identified areas for improvement of institutional assessment processes, and the Extent of Cause review – conducted during July and August by McCallum Turner, Inc., ORNL, and PNNL – will likely surface additional improvement areas.

The challenges facing the IAP are:

- Consistent implementation and understanding of the institutional processes established over the past 12 months.
- Analysis and roll-up of assessment results to inform management. There are limited resources dedicated to comprehensively analyze assessment results.

4.2.2 Quality Management System

The need for better analysis of assessment and performance information has increased the need for support and technical assistance in quality assurance. DOE expectations have also increased regarding Events/Issues Management (including corrective action management) across the Laboratory. This increased scope and demand for support is beginning to tax the ability of the QMO, as currently staffed, to respond as needed.

The QAP consists of ten criteria. Those criteria that have been the focus of attention over the past year, and continue to warrant attention into FY10 are as follows:

- **Quality Improvement:** There is minimal analytical activity to identify trends in a proactive manner.
- **Work Processes and Design:** Recent events have indicated weaknesses in design and configuration management processes.
- **Inspection & Acceptance Testing:** Implementation of the revised approach to the Laboratory's calibration Program has begun
- **Assessment:** Improvements have been made in the Integrated Assessment and Integrated Planning Management Systems. The implementation and effectiveness of these changes must be monitored.

The Laboratory's quality improvement process has been enhanced by defining a clearer risk-based approach to Issues Management. The revised process has been documented. In FY10 implementation and adjustment will continue. The Risk Priority Model implementation must be exercised. Feedback for improvement will be sought and the current model refined to reflect the feedback received.

Planned improvements to the Integrated Assessment Program (see the IAP MS) in FY10 will strengthen the Independent and Management Assessment elements of the Quality Assurance Program.

The Human Performance Improvement (HPI) initiative, coordinated by the Quality Management Office, continues to progress. Currently, the HPI project manager is working to integrate HPI principles and tools into work planning and control and procedure writing. Additionally, he is working with BNL's Human Factors Scientist to develop an approach for engaging research and scientific staff in coaching how HPI can be of value in their work. BSA has been working with a consultant (formerly of INPO) on this issue as well. As a result of discussions with counterparts at PNNL and BCO, BSA hosted a workshop in August focused on engaging researchers in HPI. Our consultants, representatives from DOE-HQ and Battelle attended the workshop. BSA research management and staff also participated. FY10 plans will center on what was learned at this workshop, particularly with regard to integrating HPI into research and non-operations areas (business, administration).

4.2.3 Standards Based Management System

The Standards-Based Management System instituted several major improvements and changes in FY09. There has been progress on the SBMS Improvement Project. The office has met the schedule milestones in the ISM Corrective Action Plan for all items associated with SBMS or those needing SBMS support. The Battelle Process Modeling Initiative (BPMI) continues to progress 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.

In July 2009 an electronic Notice of Intent (e-NOI) form was introduced to eliminate the time consuming task of obtaining written signatures from reviewers and approvers. The e-NOI was a suggestion from the specially selected subcommittee formed in 2008 to review the SBMS development, deployment and implementation process. Due to other IT priorities, such as creation of RPP web reporting (Rad Con), custom report creation (PSP, QMO, and for DDO), Footprints program replacing CTS and support for external consultant (i.e. McCallum), this overall improvement project slowed, but efforts will continue in FY10.

In FY09 more details were added to ROD status. Using the new normalized schema allows better management of requirements and RODs. Additional requirements management improvements are planned for FY10.

BNL's SBMS was identified by other select DOE laboratories as the system "most wanted". In March 2009, at the request of the South Dakota Science and Technology Authority (SDSTA) and Lawrence Berkeley National Laboratory (LBNL), BNL's SBMS system code was delivered to the SDSTA for construction on the Deep Underground Science and Engineering Laboratory (DUSEL).

After a successful pilot run in 2007 the BPMI workshops officially started in January 2008 and continued through FY09. The SBMS office assigned a full time dedicated resource to this project who is a member of the core project team. The BPMI Project Leader has requested that she remain on the team through FY10. For FY10 workshop selection has been shifted towards the Battelle Communities of Practice (CoPs).

A pilot program is progressing to build a How-Do-I 'like' process workflow and creating a front end to our existing SBMS.

In FY09, the SBMS Oversight and Advisory Committee was established to monitor and make recommendations on institutional processes, aid in setting priorities, resolve issues, and provide support, guidance, and direction. The SBMS team lends full support to organize meetings, and report status/issues to the Committee. This will continue through FY10.

Better metrics will be developed in FY10 to measure specific details of SBMS web site visits. At a minimum, these metrics should encompass the ability to analyze departmental visits to specific documents.

In FY10, SBMS will incorporate additional control gates to provide better awareness and monitoring of expiring periodic review dates of documents, and provide ongoing support and expertise to update and maintain institutional-level documents. The team will continue to support the ISM Corrective Action Plan by providing resources to work with SMEs, POCs and Management System Stewards to update and publish pertinent documents.

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Throughout FY09 the SBMS requirements management and editorial staff has been directly involved with reviewing and editing departmental and institutional event reports, internal and external assessments and corrective action plans. These edited reports include the ATF electrical fire, Well House Incident and the Arc Flash event. Full support of this type of effort will continue as required in FY10.

5. Fiscal Year Objectives and Performance Targets

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

Driver	Objective	Activity	Owner	Supporter
QMO Goal 1: Provide quality tools and processes for continuous improvement of systems and programs.				
ALP, QMO Goal	1.1 - Coordinate the Human Performance Improvement initiative	<ul style="list-style-type: none"> • HPA Workshop for 8 BNL Depts & Div. w/o HPAs – includes course development and training by consultants • HPI/HP Technology Consulting and Continuing Education (Muschara, Fisher, Corcoran) • HPI/HRO Benchmarking of at least 2 facilities (Pantex; commercial non-nuclear industry) • HRO/Resilience Engineering Education and Consulting (Wreathall). • Select 3 HPI trainers/HPAs to attend HPI related conferences for professional development and continuing education. • Independent assessment of HPI integration progress/effectiveness at BNL with invited participation of DOE HP Center. 	W. Brown	J. Labas J. Wilke E. Sierra
ALP, Blueprint, QMO Goal	1.2 - Coordinate the Competitiveness Improvement Project	<ul style="list-style-type: none"> • Finalize and implement the draft CIP Project Plan • Develop Management Tool to track 	S. Scocca	J. Labas C. Patterson S. Kessler

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Driver	Objective	Activity	Owner	Supporter
	including implementation of Lean Six Sigma	status of Teams, improvement indicators, and burdensome directives identified <ul style="list-style-type: none"> • Complete 3 processes <ul style="list-style-type: none"> ○ Guests and Visitors – Lead by J. Labas ○ Immigration Services/Visa ○ Routine and Small Purchasing • Training: <ul style="list-style-type: none"> ○ Procure services for Consultant to provide training and project expertise/support ○ Provide Managing Improvement Projects Training to CI Committee and Lean Six Sigma Concepts and Tools Training to Improvement Team Leaders & Members ○ Develop a Handbook to guide Teams • Facilitate Teams in use of improvement methodology (Lean Six Sigma) 		
ALP, QMO Goal	1.3 - Lead the institution in support of the Battelle-led effort to develop cross-cutting workflows associated with the “Battelle Process Modeling Initiative”	<ul style="list-style-type: none"> • Support Communities of Practice • Support implementation at BNL • Develop workflows in support of BNL and Battelle 	J. Canestro	S. Kessler T. Morrison C. Patterson H. Todosow
QMO Goal	1.4 - Manage the SBMS Improvement Project to improve implementation of the system	<ul style="list-style-type: none"> • Update Project Charter and prioritize enhancements • Develop metrics and reporting tools (ex. SBMS Visits) <ul style="list-style-type: none"> ○ e-NOI Rev 2 ○ Electronic Document Approval 	J. Canestro S. Kessler	SBMS Staff

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Driver	Objective	Activity	Owner	Supporter
		Form <ul style="list-style-type: none"> • Develop, vet, and publish a HDI “like” model • Create Business Case and Microsoft Project plan • Conduct periodic meetings with staff/users • Update SBMS Document Development and Revision Process document • Use Feedback and Assessment Results Document • Use Editorial Review Document as reference 		
ALP, Blueprint, QMO Goal	1.5 - Support Manage by Management System to improve Laboratory operations through a streamlining and simplification of the Management Systems and alignment of the Management Systems to the functional authorities in the organization structure.	<ul style="list-style-type: none"> • Support ALD for PSP <ul style="list-style-type: none"> ○ Participate in the Working Group ○ Develop strategy for consolidation of Management Systems 	R. Lebel T. Baker	J. Canestro
QMO Goal 2: Provide a comprehensive and rigorous assurance system that ensures compliance with applicable requirements, pursues excellence through continuous improvement, provides for timely identification and correction of deficient conditions, and verifies the effectiveness of completed corrective actions.				
ALP, Well House CAP Leadership Plan, QMO Goal	2.1 - Improve the Events and Issues (E/I) Program	<ul style="list-style-type: none"> • Provide properly aligned, trained and qualified Quality Representative staff at the line • Increase the data steams (corrective 	R. Lebel	

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Driver	Objective	Activity	Owner	Supporter
		action) for analysis <ul style="list-style-type: none"> • Re-evaluate the E/I thresholds, <ul style="list-style-type: none"> ○ Provide a graded approach for management involvement • Provide a user friendly data management system (MAXIMO) • Provide processes for apprising management at all levels of vulnerabilities and issues warranting action 		
ALP, Well House CAP Leadership Plan, QMO Goal	2.2 - Improve the Integrated Assessment Program	<ul style="list-style-type: none"> • Developing and implementing a Tracking and Trending, and Data Analysis Program (integrated w/ E/I Program improvements) <ul style="list-style-type: none"> ○ Provide processes for apprising management at all levels of vulnerabilities and issues warranting action • Support implementation of risk-based Management System measurement and assessment plans for monitoring institutional performance • Improve implementation of the vetting processes for the Annual Assessment Plan 	R. Lebel	
ALP, Well House CAP Leadership Plan, QMO Goal	2.3 - Improve the Integrated Planning System	<ul style="list-style-type: none"> • Integrate improvements from the E/I Program and Integrated Assessment Program into the Management System and Subject Area processes, and, • Develop improvements from the Science and Technology Performance Management Effectiveness Review and incorporating into the system. 	T. Baker	J. Wilke W. Brown
PEMP				

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Driver	Objective	Activity	Owner	Supporter
PEMP Goal 4.0 Provide Sound and Competent Leadership and Stewardship of the Laboratory	<i>Notable Target:</i> The Contractor Assurance system has well defined and fully implemented processes to identify deficiencies and opportunities for improvement, report deficiencies, and implement effective corrective actions across all Laboratory Management Systems.	<ul style="list-style-type: none"> • E/I, IAP, and IP Improvements discussed above • Assessment and Corrective Action Management • E/I Management • Performance Reporting 	R. Lebel	(All)
	<i>Notable Target:</i> The contractor assurance system provides the Office of Science and the BSA Board of Directors with reasonable assurance that performance objectives will be met and systems are operating effectively.	<ul style="list-style-type: none"> • E/I, IAP, and IP Improvements discussed above • Performance Management Processes • Support the Operations and Integrated Strategy Risk Committees 	R. Lebel	J. Wilke/T. Baker
	<i>Notable Target:</i> The Board of Directors' Assurance Committees will meet regularly with Lab management and DOE to maintain awareness of Laboratory issues and opportunities and drive improvements where required. Systems.	<ul style="list-style-type: none"> • E/I, IAP, and IP Improvements discussed above • Performance Management Processes • Support the Operations and Integrated Strategy Risk Committees 	R. Lebel	J. Wilke/T. Baker
Annual Laboratory Plan				
ALP SFA Improving the	Objective: Corporate	Contractor Assurance Process – Reporting	T. Baker	

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Driver	Objective	Activity	Owner	Supporter
Quality and Reducing the Cost of Doing Business	Assurance Effective corporate assurance Target: Assurance Reports Assurance reports to corporate risk committees reflect a comprehensive and objective assessment of institutional risks	support to PSP <ul style="list-style-type: none"> • Annual Laboratory Plan • Corporate Assurance • PEMP • Management Systems 	J. Wilke J. Labas	
ALP SFA Improving the Quality and Reducing the Cost of Doing Business	Objective: PEMP Performance Meet Contract Performance Expectations Target: PEMP Performance DOE Rating greater than or equal to B+	Facilitate preparation of PEMP Performance Summaries/YE and provide summary for ALP	T. Baker	

QMO Goal 3: Provide the primary stewardship responsibilities for the following management systems/programs:

- Integrated Assessment Program Management System
- Quality Assurance Management System
- Standards Based Management System
- BNL Lessons Learned Program
- Occurrence Reporting and Processing System
- Quality Assurance Program

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Driver	Objective	Activity	Owner	Supporter
○ Suspect/Counterfeit Items Program				
QAP/IAP/IP	3.1 - Deliver functions, processes and products corresponding with responsibilities.	<ul style="list-style-type: none"> • Coordinate preparation of Annual Assessment Plan (AAP) to be submitted to Policy Council for review • Prepare Required Line Assessment Table after approval of AAP • Monitor IAP and QAP Metrics Quarterly • Prepare FY09 Year-end Report (PEMP) • Develop FY11 PEMP • Prepare FY10 PEMP Period Performance Summaries • Prepare Annual Laboratory Plan • Facilitate preparation of Operations Risk Committee Packages for DDO • Develop and track ATS status reports to be used by senior management • Review and update Assessment Training • Participate in Integrated Performance Management Community of Practice based on agenda and working groups 	W. Brown W. Brown W. Brown T. Baker T. Baker T. Baker T. Baker J. Wilke/ J. Canestro T. Baker ? J. Labas E. Sierra R. Lebel T. Baker J. Wilke	G. Flete J. Fortunato G. Flete J. Fortunato J. Fortunato All
SBMS	3.1 - Deliver functions, processes and products corresponding with responsibilities.	<ul style="list-style-type: none"> • Coordinate/Conduct FY10 Annual Review of Operations MSs for DDO • Monitor SBMS metric and report quarterly • Participate in SBMS Managers Group <ul style="list-style-type: none"> ○ Management System Maturity ○ Contractor Assurance ○ Requirements flow down to subcontractors 	J. Canestro J. Canestro J. Canestro	T. Morrison All

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Driver	Objective	Activity	Owner	Supporter
		<ul style="list-style-type: none"> ○ Education of new staff/staff awareness ● Participate in Management System Deployment Community of Practice ● Requirements Management (RM) coordination/communication with BHSO, PPM, and Finance ● RM software changes & enhancements ● RM benchmarking with other Lab(s) ● RM process and system enhancement for DOE Policy Flashes ● Define SBMS role in 10CFR851 Awareness ● BPMI Industry Codes and Standards Initiative ● Administration of FUA Conversions ● Manage SBMS Oversight Committee <ul style="list-style-type: none"> ○ Vet SBMS Improvement Project ○ Vet HDI “like” process ● Restructure SBMS staff to better support institutional document delivery needs (i.e. key workflows, enhanced editorial skills) 	<p>R. Lebel</p> <p>H. Todosow</p> <p>H. Todosow H. Todosow H. Todosow</p> <p>H. Todosow</p> <p>H. Todosow</p> <p>J. Canestro J. Canestro</p> <p>J. Canestro</p>	<p>All</p> <p>J. Fortunato</p> <p>SBMS Staff</p>
<p>QA Program/QMS</p>	<p>3.1 - Deliver functions, processes and products corresponding with responsibilities.</p>	<ul style="list-style-type: none"> ● Provide support for investigations and CA ● Revise Graded Approach SA ● Review/update S/CI Program ● Use E/I Assessment Checklist for the institution ● Annual LL Coordinators workshop to prompt feedback, evaluate, and improve the BNL Lessons Learned 	<p>All</p> <p>J. Wilke C. Gortakowski</p> <p>E. Sierra</p> <p>E. Sierra</p>	<p>R. Roberts</p>

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Driver	Objective	Activity	Owner	Supporter
		Program <ul style="list-style-type: none"> • SQA Project Plan - Facilitate completion of actions • Develop Guidance on “What Makes a Good CAP” • Include HPAs in notification of Events • Develop a matrix to evaluate HPA involvement in events and report • Identify and train back-up Laboratory ORPS Categorizer • Provide and measure quality of matrix support to ERD, EPD, Magnet Div./PPM, NSLS-II, and RCD, report quarterly • Provide QA Oversight to EENS on NIST PRI Contract • Provide QA Oversight to ESD Dominion TTG Project Contract 	S. Stein J. Labas E. Sierra E. Sierra E. Sierra R. Lebel R. Lebel R. Lebel	T. Baker C. Gortakowski E. Perez W. Brown W. Brown C. Gortakowski S. Stein E. Perez
QMO Goal 4: Provide QMO Personnel who possess experience, knowledge, skills, and abilities commensurate with their responsibilities.				
QMO Goal	4.1 - Provide continuing training and professional development	QMO Staff examples: <ul style="list-style-type: none"> • HPI Training • Lean Six Sigma Training • Tap Root Training • Project Management Training • WIKI Training • Sharepoint Training Track involvement of training.	R. Lebel All	

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Driver	Objective	Activity	Owner	Supporter
		Institutional examples: <ul style="list-style-type: none"> • Causal Analysis Training • Quality Assurance Reps. Training • Provide Project Management Training 		
QMO Goal	4.2 - Supplement individual experience and provide a means to maintain awareness of changes and advances in the various fields of expertise	<ul style="list-style-type: none"> • DOE BHSO and Germantown interface • Participate in EFCOG and rewrite teams • Battelle Integrated Performance Management Community of Practice (CoP) • Battelle MS Deployment CoP • SBMS Managers Meeting • Each QMO staff member participates/attends at least 2 diversity activities during the year • Host a person with a disability for work experience • Host a Summer Student 	R. Lebel All	

6. Support Needs and Strategic Hires

The incremental budget request and descriptions for the QMO for FY10 are shown below, in priority order:

Priority	Description	Incremental Funding Request	
		FY10	FY11
1	Full-effect of Human Factors Scientist hire in FY2009 (Base)	\$ 68,015	
2	Support the Competitiveness Improvement Initiative	\$ 75,971	\$56,000
3	1.0 FTE Institutional Data Analysis Tracking & Trending (Base)	\$129,408	
4	Verification of Effectiveness Review of Correction Actions (One-Time)	\$ 33,579	\$0
5	HPI - final year of incremental project (Project)	\$157,000	\$0
6	BPMI (Project)	\$ 39,500	
7	Quality Representative Training & Qualification Program (Project)	\$ 27,983	\$27,983
Total Request		\$531,456	\$83,983

- 1) **Full-effect of Human Factors Scientist hire in FY2009** – This incremental request is for the base funding for the hire of a Human Factors Scientist completed in FY09. This funding will return the position from 0.70 FTE to 1.0 FTE following retirement of the Integrated Assessment Program Point-of-Contact.
- 2) **Competitiveness Improvement (CI) Initiative** – This initiative will develop and institutionalize a continuous improvement process that focuses on providing better service and value by increasing operational effectiveness and efficiency. BNL will internally cultivate the capability to manage a sustainable improvement process. Cross functional teams will apply a systematic approach using Lean Six Sigma (LSS) methodology and techniques to analyze problem areas and processes.

The CI Committee, chaired by Mike Bebon and Jim Misewich, selected Dr. Rupy Sawhney of Sawhney Solutions Inc. as the consultant to assist with BNL's implementation of an institutional level continuous improvement process over the next two years. Dr. Sawhney's distinctive approach and experience with ORNL in implementing their Lean Business System, makes him uniquely qualified to work in an environment like BNL.

Dr. Sawhney will be providing training on Lean Six Sigma concepts and tools, will work with improvement teams to assist in the progress of their projects, and will consult with the CI Committee and CI Project Manager regarding project milestones.

- 3) **Institutional Data Analysis Tracking & Trending** – QMO will develop a program for analyzing data, and in anticipation requests funding to hire 1 FTE to conduct performance analysis and roll-up of assessment results to inform management. There are limited resources dedicated to comprehensively analyze assessment results.

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- 4) **Verification of Effectiveness Review of Correction Actions** – QMO was assigned the action to conduct a series of approximately 8 effectiveness reviews for the Well House Explosion CAP. These reviews will include the review of over 100 corrective actions. It is a requirement to conduct an independent effectiveness review of the corrective measures under WBS 2.1, and produce a report identifying gaps and opportunities for improvement. Incremental funds are requested to obtain contractor support for the effectiveness reviews.
- 5) **Human Performance Improvement Initiative (HPI)** – As BNL enters its third year of Lab-wide HPI integration, it is imperative that the progress made and momentum gained in FY09 be sustained by continuing the training and integration of HPI using a risk-oriented approach. In FY10, plans will center on integrating HPI into research and non-operations areas (business, administration). Incremental funding is requested to cover contractor support for an HPA Workshop for 8 Laboratory organizations, HPI/HP continuing education, HPI/HRO benchmarking of 2 facilities, HRO/Resilience Engineering education and consulting, professional development and continuing education for 3 HPI trainers/HPAs, and an independent assessment of HPI integration progress/effectiveness.
- 6) **Battelle Process Modeling Initiative (BPMI)** – As a Battelle corporate driven directive, in FY09 the BPMI team held twelve (12) workshops to address best practices and processes for participants to bring back to their home institutions. For FY10, ten (10) process workshops are scheduled.

For each workshop BNL is required to send a minimum of two participants, (one Subject Matter Expert and one end user) in the selected process to represent the Lab. In addition, Sabine Kessler of QMO, who supports the SBMS Manager to coordinate this effort for BNL, will continue participating as a BPMI core team member at select workshops in FY10. Travel funds are requested to support both the BNL participants (\$30,000) and the QMO core team member (\$4,500). In FY09 the participants' expenses were covered directly by their BSA organizations. However, this has met resistance to dedicate participants to the initiative, resulting in the Laboratory falling short of meeting its commitment to properly support this effort.

Battelle will pay for Ms. Kessler's labor to support her participation in 3 workshops and QMO will cover the remaining labor required. Incremental funds are requested to cover her travel to the workshops for 3 trips at the rate of \$1,500 per trip for a total of \$4,500.

In FY10 the QMO would like to train an additional facilitator to support the BPMI effort. This additional facilitator's travel expense is estimated to be \$5,000. Battelle will cover training costs.

- 7) **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. Incremental funds are requested to obtain contractor support for developing the training.

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 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 FY10 Objectives and Targets

This document is provided on the QMO web page.

Appendix B Quality Management Office FY10 Assessment Plan

FY10 Quality Management Office Business Plan

Management System	Integrated Assessment Program					
Commissioned By	Title and Description of Assessment	Type	Driver	Performed By	Schedule (Month)	Impacted Organizations
BHSO	None Scheduled		Contractor Oversight			
Independent Oversight	FY2010 Assessment Topics Pending					
MS Steward	Management System Key Metrics	Measures	Performance Improvement	QMO	Quarterly (July – BSA ORC)	QMO
Other	None					

FY10 Quality Management Office Business Plan

Management System	Quality Management					
Commissioned By	Title and Description of Assessment	Type	Driver	Performed By	Schedule (Month)	Impacted Organizations
BHSO	Events & Issues (see below)	Internal	Contractor Oversight	Polanish/BNL	Sep 2010	QMO
	Operating Experience (see below)	Internal		Polanish/ISC	May 2010	QMO
Independent Oversight	FY2010 Assessment Topics Pending					
MS Steward	Training & Qualification for QA Representatives	Targeted	Improvement	QMO/DOE	TBD	QMO
	Operating Experience/Lessons Learned	Targeted	Compliance	QMO/DOE	TBD	QMO
	Management System Metrics - ORPS Assigned to QA Criteria, Assessment Results Assigned to QA Criteria, QAP Performance Summary	Measure	Performance Improvement	QMO	Quarterly (July – BSA ORC)	QMO
	E/I Checklist	Targeted	Performance Improvement	QMO and Event Organization	Event Driven	All
Other	None					

FY10 Quality Management Office Business Plan

Management System	Standards-Based Management System					
Commissioned By	Title and Description of Assessment	Type	Driver	Performed By	Schedule (Month)	Impacted Organizations
BHSO	None Scheduled		Contractor Oversight			
Independent Oversight	FY2010 Assessment Topics Pending					
MS Steward	Management System Metrics – SBMS Visits, Open RODs, # and Type Documents Published	Measures	Performance Improvement	QMO	Quarterly (October – BSA ORC)	None
	Annual Operations MSD Review	Targeted	Compliance	QMO	August	Operations
Other	None					