

Implementation of Integrated Laboratory Management System (ILMS) in Division 8000

Provided to

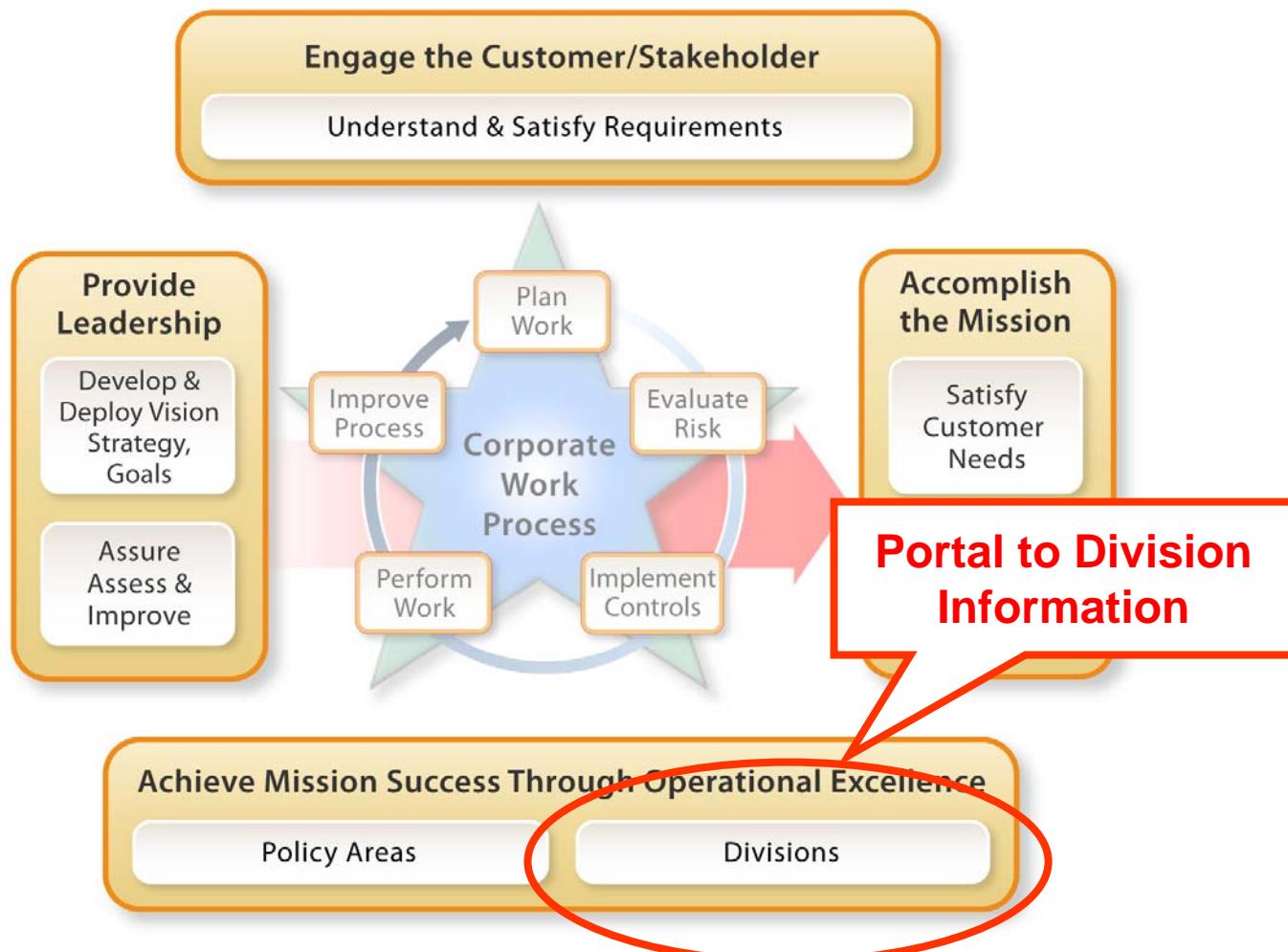
Sandia Corporation Board of Directors
Safety Oversight Subcommittee

*Ken Meashey, Advisor
Bruce Matthews, Advisor*

Dennis Beyer
Manager, Division 8000 Assurance Department
Sandia National Laboratories

August 2, 2007

ILMS Enterprise Model



Division 8000 Details

We are populating the Division 8000 Details ILMS Site with Links to Division Content

ILMS Division Details - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Address https://techweb.sandia.gov:7789/portal/page?_pageid=95,153680&_dad=portal&_schema=

Welcome Dennis Beyer

ILMS My Tools

Techweb

Overview

What's New

Corporate Calendar

Division 8000 Details

Policy and Process

- SHEAC Policies
- Div. 8000 Assurance Manual & Guides

Supporting Information

- Division Web Site

Roles and Responsibilities

- Roles, Responsibilities, Accountabilities, and Authorities of the Division VP
- Sandia Structure, Individual Roles

Objective Evidence

- Assurance Information

Structure

- Organizational Chart
- Homeland Security Systems & Development
- National Security Engineering
- Biological & Energy Sciences
- California Site Operations
- Physical & Engineering Sciences
- Computer Sciences & Information Technologies

Model Navigator

Model Menu

- ILMS Overview
- Provide Leadership
- Engage Customer/Stakeholder
- Accomplish Mission
- Achieve Mission Success Through Operational Excellence

Assurance Information/Corrective Action POC

- Dennis Beyer

Local intranet

start

10:23 AM

Sandia National Laboratories

Division 8000 Details

ILMS Division Details - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Search Favorites

Address https://techweb.sandia.gov:7789/portal/page?_pageid=95,153680&_dad=portal&_schema=PORTAL&entityType=

Welcome Dennis Beyer

ILMS INTEGRATED LABORATORY MANAGEMENT SYSTEM

ILMS My Tools

Techweb

Division 08000 Details

Policy and Process

- SHEAC Policies
- Div. 8000 Assurance Manual & Guides

Supporting Information

- Division Web Site

Roles and Responsibilities

- Roles, Responsibilities, Accountabilities, and Authorities of the Division VP
- Sandia Structure, Individual Roles

Objective Evidence

- Assurance Information

Structure

- Organizational Chart
- Homeland Security Systems & Development
- National Security Engineering
- Biological & Energy Sciences
- California Site Operations
- Physical & Engineering Sciences
- Computer Sciences & Information Technologies

Points of Contact

Assurance Information/Corrective Action POC

- Dennis Beyer

ILMS Home Page Mission Success > Divisions > Details

Model Navigator

Model Menu

- ILMS Overview
- Provide Leadership
- Engage Customer/Stakeholder
- Accomplish Mission
- Achieve Mission Success Through Operational Excellence

Local intranet

start

10:23 AM

Link to the Assurance Information Page

Division 8000 Assurance

ILMS Division Assurance - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Favorites

Address https://techwebp.sandia.gov:7789/portal/page?_pageid=95,153698&_dad=portal&_schema=PORTAL&pageTitle=u

Welcome Dennis Beyer

ILMS INTEGRATED LABORATORY MANAGEMENT SYSTEM

Techweb

ILMS My Tools

Overview

What's New

Corporate Calendar

Division 08000 Assurance

Assure Assess & Improve Process

Objectives, Goals, & Milestones (2 links)

Identify & Mitigate Risk (4 links)

Perform Self Assessments (5 links)

Analyze & Trend Assessment Results (2 links)

Feedback to Strategic Planning

Quality Assurance & Corporate Work Process

Implement Corrective Actions & Manage Resulting Issues (1 link)

Validate Results (No links)

Analyze & Trend Results (No links)

Compile Metrics & Report (4 links)

Points of Contact

Assurance Information/Corrective Action POC

Dennis Beyer

Sandia National Laboratories

Contact Us!

Model Navigator

Model Menu

ILMS Overview

Provide Leadership

Engage Customer/Stakeholder

Accomplish Mission

Achieve Mission Success Through Operational Excellence

We are populating the Division 8000 Assurance Site with Links to Division 8000 Evidence

```
graph TD; subgraph A [Assure Assess & Improve Process]; A1[Objectives, Goals, & Milestones (2 links)] --> A2[Identify & Mitigate Risk (4 links)]; A2 --> A3[Perform Self Assessments (5 links)]; A3 --> A4[Analyze & Trend Assessment Results (2 links)]; end; A4 --> A5[Feedback to Strategic Planning]; subgraph B [Quality Assurance & Corporate Work Process]; B1[Implement Corrective Actions & Manage Resulting Issues (1 link)] --> B2[Validate Results (No links)]; B2 --> B3[Analyze & Trend Results (No links)]; B3 --> B4[Compile Metrics & Report (4 links)]; end;
```

Division 8000 Assurance

ILMS Division Assurance - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Favorites Address https://techweb.sandia.gov:7789/portal/page?_pageid=95,153698&_dad=portal&_schema=PORTAL&pageTitle=ILMS%20Division%20Assurance

Welcome Dennis Beyer

ILMS INTEGRATED LABORATORY MANAGEMENT SYSTEM

Techweb

ILMS My Tools

Division 08000 Assurance

Assure Assess & Improve Process

```
graph LR; A[Objectives, Goals, & Milestones] --> B[Identify & Mitigate Risk]; B --> C[Perform Self Assessments]; C --> D[Analyze & Trend Assessment Results]; D --> E[Implement Corrective Actions & Manage Resulting Issues]; E --> F[Validate Results]; F --> G[Analyze & Trend Results]; G --> H[Compile Metrics & Report]; H --> B; B --> I[Feedback to Strategic Planning]; I --> A
```

Model Navigator

Model Menu

- ILMS Overview
- Provide Leadership
- Engage Customer/Stakeholder
- Accomplish Mission
- Achieve Mission Success Through Operational Excellence

Points of Contact

Assurance Information/Corrective Action POC

Dennis Beyer

Sandia National Laboratories

Contact Us!

Local intranet

Start ILMS Division Assur... California/8000 » Home ... FY08 Risk Matrix Microsoft PowerPoint - [I... Desktop » Quality Plans » 8:38 PM

Assure, Assess, & Improve Process is based on identifying and mitigating Risk

Elements of Enterprise Risk & Assurance Matrix

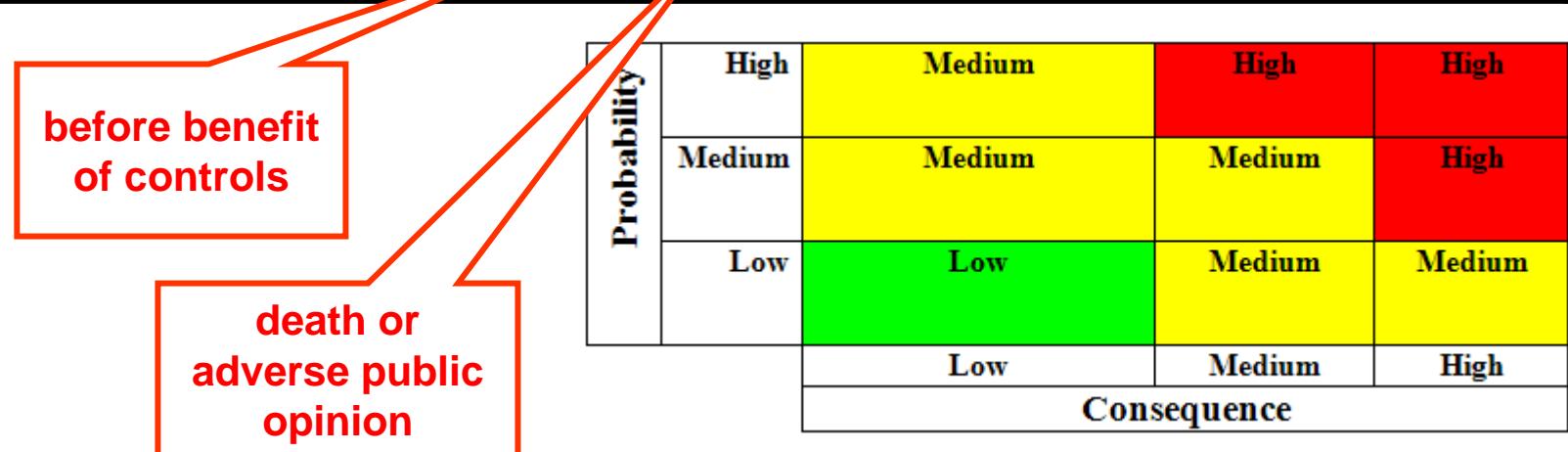
Enterprise Risk and Assurance Matrix

Planned Work		Risks				Controls			Assessments		
Strategies, Objectives, Goals, Milestones or SMU Approved Work Scope	Risk Owner(s)	Description	Category(ies)	Probability	Consequence	Inherent Risk Level	Risk Response	Control Activity(ies)	Control Owner(s)	Residual Risk Level	Oversight
		If..., Then...		✓ M	✓ M	✓ M	Accept, Share, Avoid, Reduce			✓ M	



Division Level Risk for ES&H

Risk	Prob	Cons	Inherent Risk *	Controls	Residual Risk **
<p>IF Division 8000 does not operate safely,</p> <p>THEN</p> <p>1) protection of individuals and the environment is not assured,</p> <p>2) people could be injured or killed by avoidable events,</p> <p>3) compliance scrutiny could result in adverse customer or public opinion.</p>	H	H	H	<ul style="list-style-type: none"> • Division ES&H policies • Division ISMS processes • Division ISO14001 EMS • Division SHEAC 	M



* Inherent risk is a combined measure of probability and consequence before credit is taken for the benefits of any controls.

** Residual risk is determined in the same way as Inherent Risk Level, but is evaluated using the assumption that controls are in place and working as planned.

ES&H Assessments

Oversight	Independent Assessments	Self Assessments	Metrics
<ul style="list-style-type: none">• Federal/State/Local Regulatory Agencies• SSO Assessments• LMC Audits• 12870 Audits	<ul style="list-style-type: none">• ISO14001 EMS Audits• Requested 12870 Audit of EMS	<ul style="list-style-type: none">• ES&H Management Self Assessments• Group Level Self Assessments of ES&H Topical Areas• Safety Committee Self Assessments• Program Area Self Assessments	<ul style="list-style-type: none">• Injury/Illness Rates• Occurrences• Notice of Violations• Oversight Audit Findings & CAs• Self Assessment Findings & CAs

Regulatory Agency Assessments

CY	Topic	# Findings	Finding Description
2007	CA DTSC Unannounced Audit	0	
2006	City of Livermore Wastewater Inspection and Sampling	0	
2006	CA DTSC Audit	0	
2006	CDC Select Agent Program Inspection	25	<ul style="list-style-type: none">• Report noted these as “departures from nationally recognized standards and/or deviations from requirements of 42CFR73”

SSO Assessments

CY	Topic	# Findings	Finding Description
2007	Explosives Safety & Storage	0	
2006	Industrial Safety & Industrial Hygiene	1	<ul style="list-style-type: none">• Flowdown of DOE O440.1A Requirements to Subcontractors
2006	Fire Protection	2	<ul style="list-style-type: none">• FP Self Assessment not performed• Fire Extinguisher inspections not performed
2006	Environmental Remediation	0	
2006	Hazardous Waste/Mixed Waste	0	
2006	ISMS	2	<ul style="list-style-type: none">• Training requirements for certain ES&H courses not completed in mandatory time allowed• Electrical safety issues discovered during assessment

12870 Audits

CY	Topic	# Findings	Finding Description
2007	Pressure Safety		
2007	Electrical Safety	0	
2006	Carcinogen Protection Program	0	
2006	ES&H Manual Line Implementation	0	
2006	Waste Management Self Assessment	1	<ul style="list-style-type: none">• Some hazardous waste generators not trained
2006	Hoisting & Rigging	2	<ul style="list-style-type: none">• Organizations not performing H&R Self Assessments• Inspection records for one hoist not available

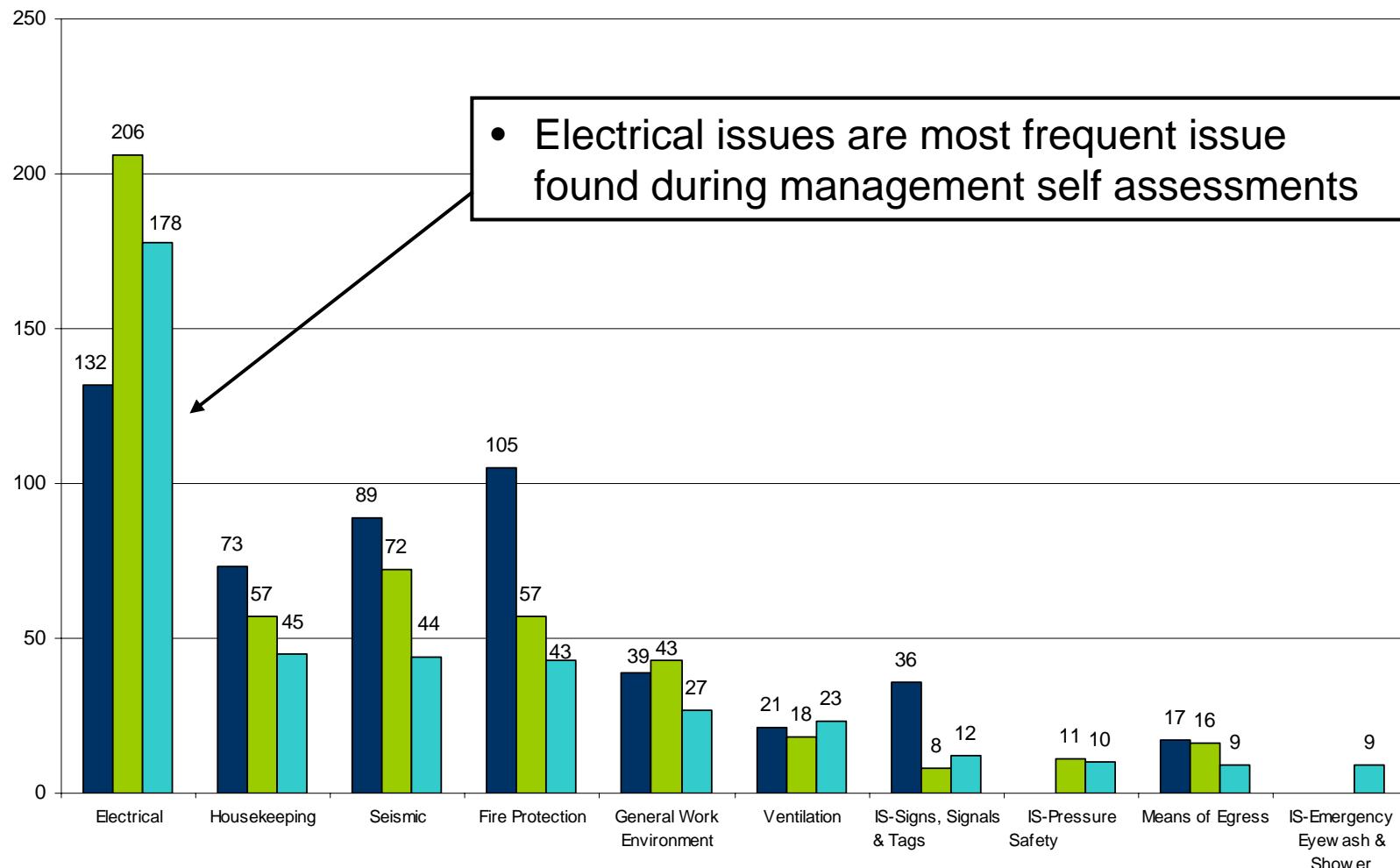
Division 8000 ES&H Self-Assessments

- Management Assessments are conducted to assess space/operations for ES&H concerns
 - Department Managers assess all space/operations under their control annually
 - Senior Managers participate in annual assessments conducted by their Department Managers
 - Directors assess all their space/operations with non-office type hazards within two years
 - VP conducts at least four assessments/year sampling space/operations with non-office type hazards
- Each line group (Senior Manager & direct-reporting Dept. Managers) selects and conducts three self-assessments per year (topics may be selected from any policy area).
- Electrical Safety Committee conducts quarterly self-assessments.
- Environmental Program Areas conduct self-assessments on schedule determined by Environmental Department Manager

1st Trimester CY07 Group Level Self Assessments

# Groups	Topic	# Findings	Finding Description
4	Housekeeping	3	<ul style="list-style-type: none">• Criteria needs to be developed• Criteria needs to be developed• Training needs to be provided to Managers & MOWs
3	Laser Safety	0	
2	Chemical Inventory	0	
1	CRDL PPE	1	<ul style="list-style-type: none">• Policy, which does not require safety glasses to be worn upon entry into “wet labs”, creating some confusion about when to wear glasses
1	Operations at Remote Sites	0	

Top Ten ES&H Management Self Assessment Issues *

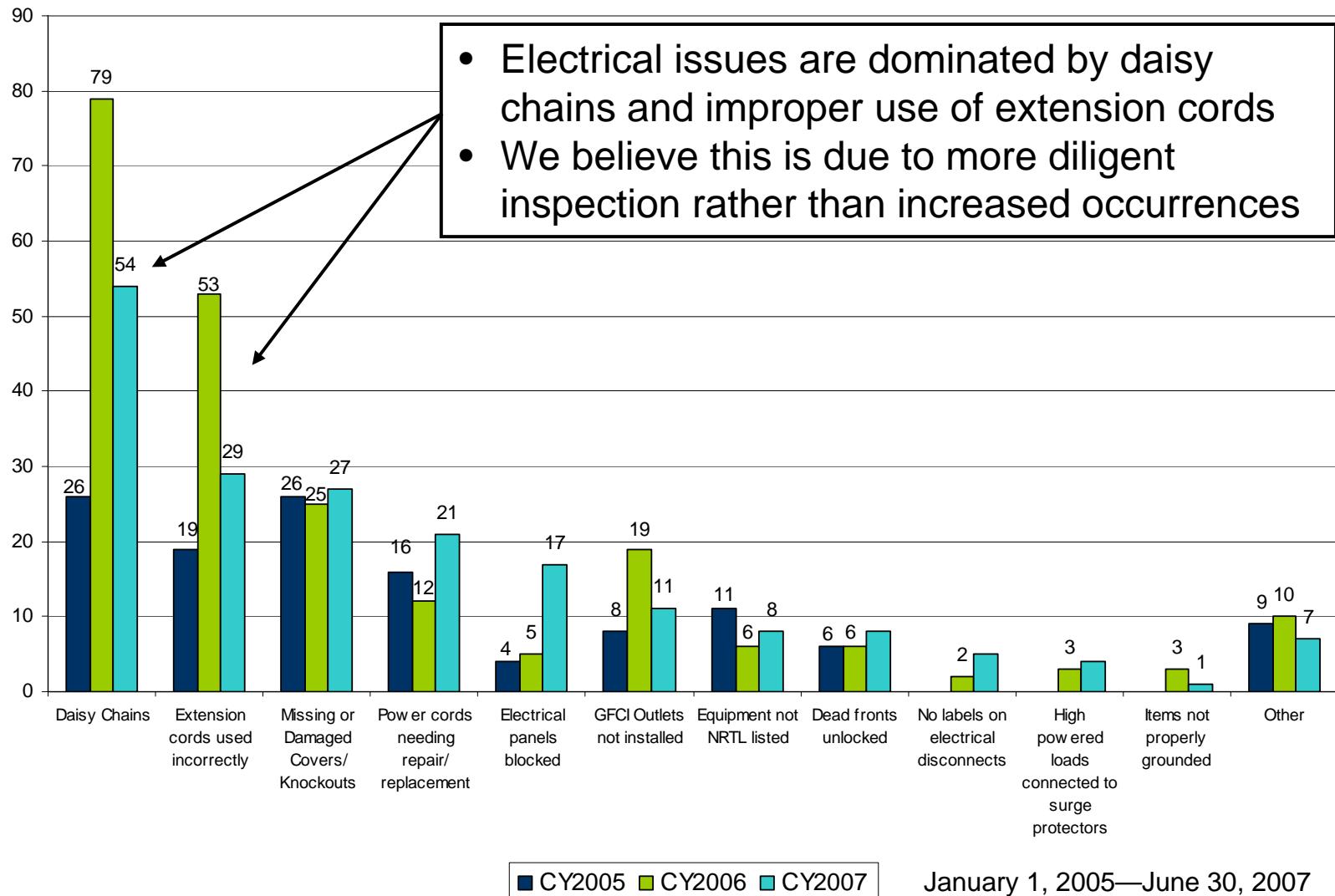


* Includes issues identified by Electrical Safety Committee

■ CY2005 ■ CY2006 ■ CY2007

January 1, 2005—June 30, 2007

Electrical Issues



Analyze & Trend Results

ILMS Division Assurance - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Search Address https://techweb.sandia.gov:7789/portal/page?_pageid=95,153698&_dad=portal&_schema=PORTAL&pageTitle=url/page/ilms/smu/aaip&entityType=Division&entity=080 Go Links

Welcome Dennis Beyer

ILMS INTEGRATED LABORATORY MANAGEMENT SYSTEM

ILMS My Tools

Help | Contact Us

SEARCH SNL Directory (Person/Org) Search Sandia

Techweb

Overview

What's New

Corporate Calendar

Division 08000 Assurance

ILMS Home > Achieve Mission Success > Divisions > Details > Division Assurance

Assure Assess & Improve Process

```
graph LR; A[Objectives, Goals, & Milestones  
(2 links)] --> B[Identify & Mitigate Risk  
(4 links)]; B --> C[Perform Self Assessments  
(5 links)]; C --> D[Analyze & Trend Assessment Results  
(2 links)]; D --> E[Implement Corrective Actions & Manage Resulting Issues  
(1 link)]; E --> F[Validate Results  
(No links)]; F --> G[Analyze & Trend Results  
(No links)]; G --> H[Compile Metrics & Report  
(4 links)]; H --> A
```

Feedback to Strategic Planning

Quality Assurance & Corporate Work Process

Model Navigator

Model Menu

- ILMS Overview
- Provide Leadership
- Engage Customer/Stakeholder
- Accomplish Mission
- Achieve Mission Success Through Operational Excellence

Points of Contact

Assurance Information/Corrective Action POC

Dennis Beyer

Sandia National Laboratories

Contact Us!

Local intranet

Start ILMS Division Assurance California/8000 » Home -... FY08 Risk Matrix Microsoft PowerPoint - [I... Desktop » Quality Plans » 8:38 PM

Sandia National Laboratories

Analyze and Trend Results

- Oversight assessments
 - 2006-2007 findings are for compliance issues
- Self assessments
 - Established and active program for all levels of management inspecting space
 - Discovery rates are increasing, due to more diligent inspections
 - Opportunities for improvement in scope and depth of self assessments