

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

*Provided to*

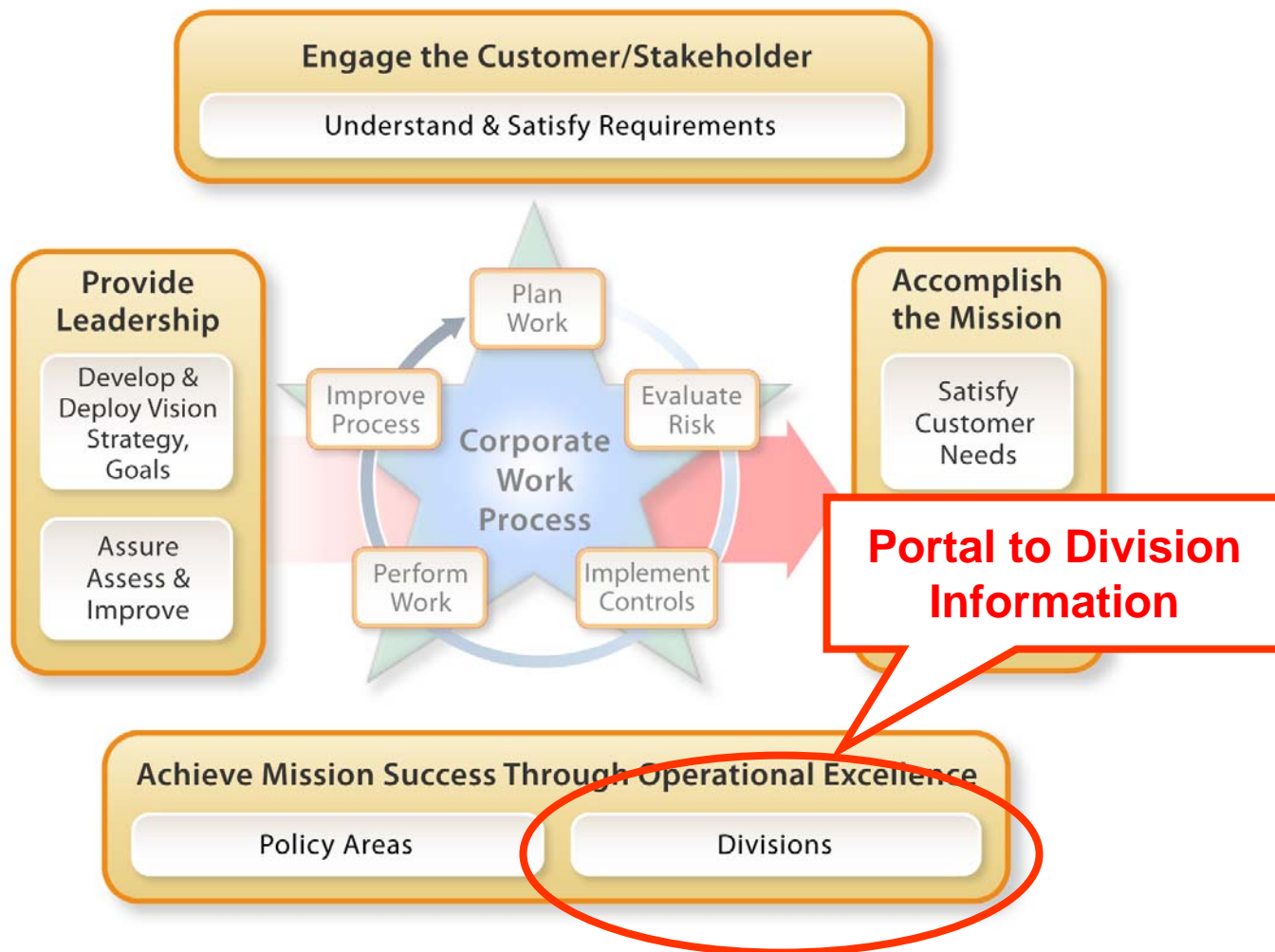
Sandia Corporation Board of Directors  
Safety Oversight Subcommittee

*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

The screenshot shows the ILMS Division 8000 Details page in a Microsoft Internet Explorer browser. The page title is "ILMS Division Details - Microsoft Internet Explorer". The address bar shows the URL: [https://techwebp.sandia.gov:7789/portal/page?\\_pageid=95,153680&\\_dad=portal&\\_schema=portal](https://techwebp.sandia.gov:7789/portal/page?_pageid=95,153680&_dad=portal&_schema=portal). The page header includes the ILMS logo and the text "Welcome Dennis Beyer". The main content area is titled "Division 8000 Details" and contains several sections:

- 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](#)
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  - [Computer Sciences & Information Technologies](#)
- Points of Contact**
  - Assurance Information/Corrective Action POC**
    - [Dennis Beyer](#)
- Model Navigator**
  - [Model Menu](#)
- Model Menu**
  - ILMS Overview**
  - [Provide Leadership](#)
  - [Engage Customer/Stakeholder](#)
  - [Accomplish Mission](#)
  - [Achieve Mission Success Through Operational Excellence](#)

Red callouts highlight the "Policy and Process" section, the "Supporting Information" section, the "Structure" section, and the "Points of Contact" section. A red box with a speech bubble contains the text: "We are populating the Division 8000 Details ILMS Site with Links to Division Content".

# Division 8000 Details

Link to the Assurance Information Page

ILMS Division Details - Microsoft Internet Explorer

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Welcome Dennis Beyer

ILMS INTEGRATED LABORATORY MANAGEMENT SYSTEM

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Techweb

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## 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](#)

### Model Navigator

### Model Menu

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

# Division 8000 Assurance

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

ILMS Division Assurance - Microsoft Internet Explorer

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## Division 08000 Assurance

**Assure Assess & Improve Process**

Objectives, Goals, & Milestones (2 links)

Feedback to Strategic Planning

Identify & Mitigate Risk (4 links)

Perform Self Assessments (5 links)

Analyze & Trend Assessment Results (2 links)

**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)

**Model Navigator**

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

**Points of Contact**

**Assurance Information/Corrective Action POC**

→ [Dennis Beyer](#)

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# Division 8000 Assurance

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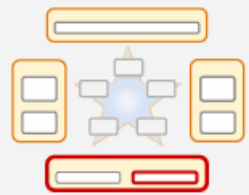
**Assure Assess & Improve Process**

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)

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**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	Independent Assessment	Self Assessment	Metrics	
		If..., Then...		H M L	H M L	H M L	Accept, Share, Avoid, Reduce			H M L					

# Division Level Risk for ES&H

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

**before benefit  
of controls**

**death or  
adverse public  
opinion**

<b>Probability</b>	High	Medium	High	High
	Medium	Medium	Medium	High
	Low	Low	Medium	Medium
		Low	Medium	High
<b>Consequence</b>				

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

# 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"> <li>• Report noted these as “departures from nationally recognized standards and/or deviations from requirements of 42CFR73”</li> </ul>

# SSO Assessments

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

# 12870 Audits

<b>CY</b>	<b>Topic</b>	<b># Findings</b>	<b>Finding Description</b>
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"> <li>• Some hazardous waste generators not trained</li> </ul>
2006	Hoisting & Rigging	2	<ul style="list-style-type: none"> <li>• Organizations not performing H&amp;R Self Assessments</li> <li>• Inspection records for one hoist not available</li> </ul>

# Division 8000 ES&H Self-Assessments

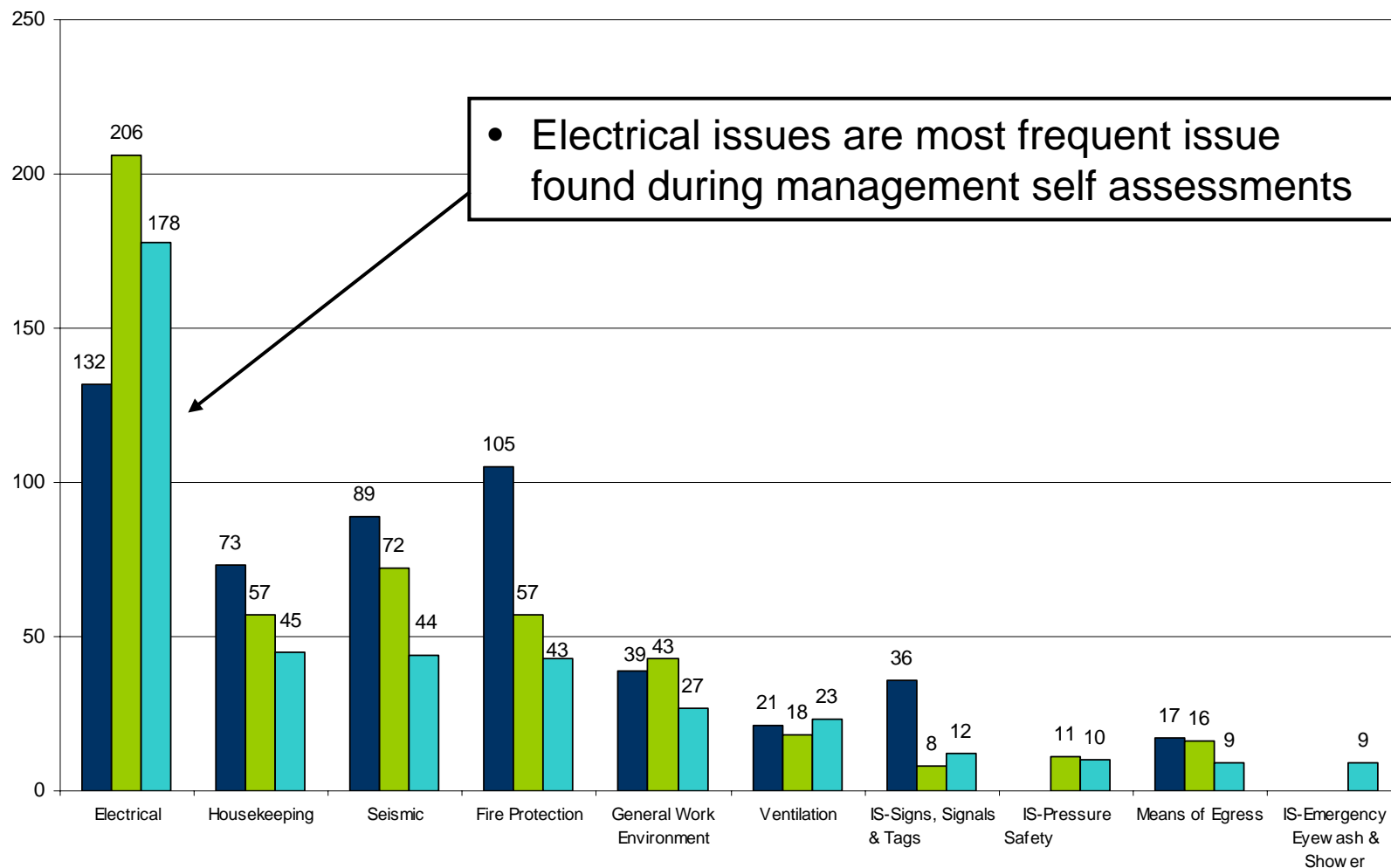
- Management Assessments are conducted to assess space/operations for ES&H concerns
  - Department Managers assess all space/operations under their control annually
  - Senior Managers participate in annual assessments conducted by their Department Managers
  - Directors assess all their space/operations 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

# 1<sup>st</sup> Trimester CY07 Group Level Self Assessments

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



# Top Ten ES&H Management Self Assessment Issues \*

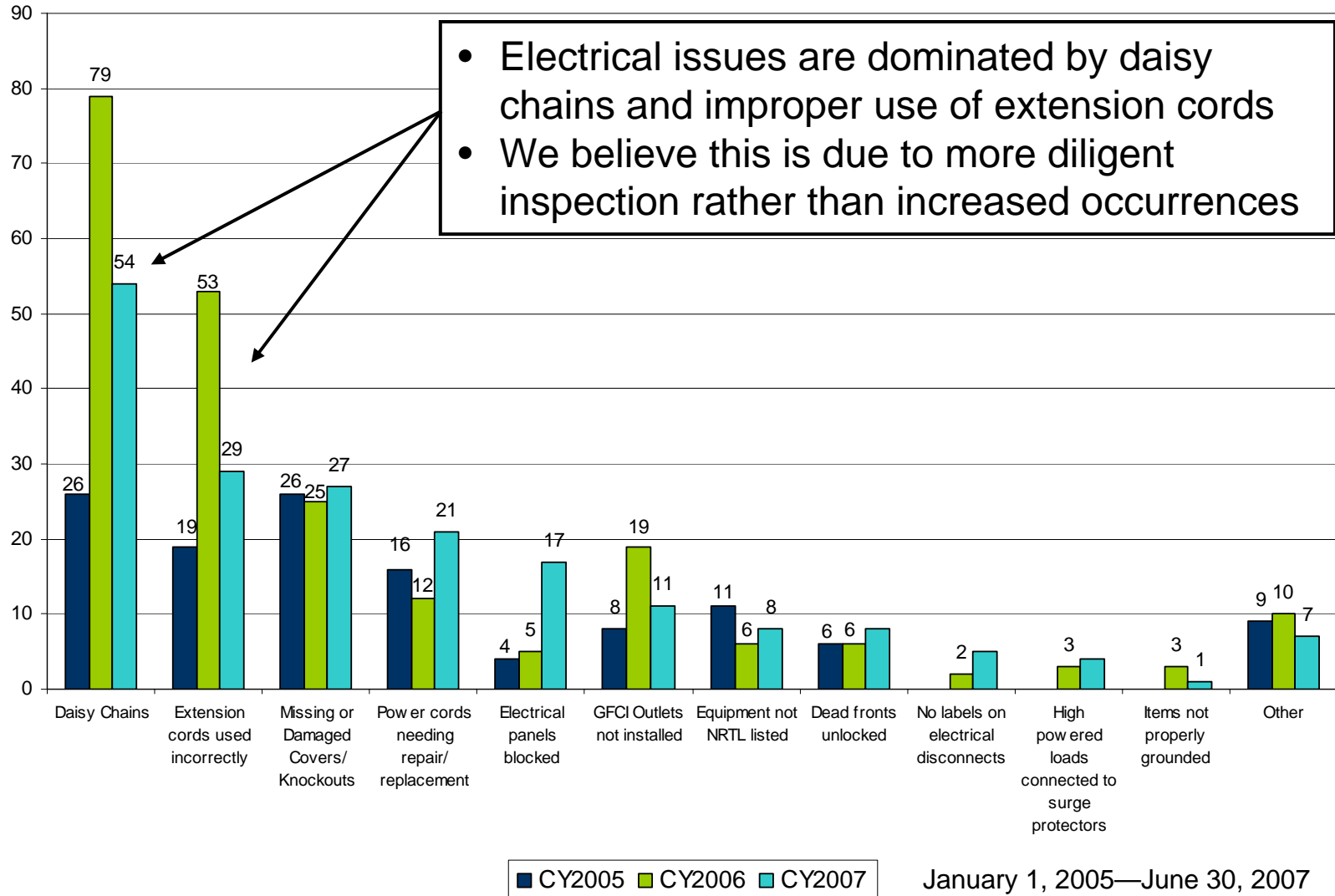


\* Includes issues identified by Electrical Safety Committee

■ CY2005 ■ CY2006 ■ CY2007

January 1, 2005—June 30, 2007

# Electrical Issues



# Analyze & Trend Results

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SEARCH SNL Directory (Person/Org) GO  
Search Sandia GO

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

## Division 08000 Assurance

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# 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