



ATAP Focus Area Self-Assessments

Selection of 2016 Focus Areas

ATAP identified two Focus Areas that will be evaluated as part of the ES&H Self-Assessment process for Fiscal Year 2016 (FY16):

Focus Area 1. Configuration Control / Change Management

This Focus Area was recommended by the ATAP ES&H Operations Committee and approved by the Division Director because of potential impact on safety of personnel. This assessment will focus on is most closely associated with the 1st Core Function of ISM, planning work. While there are very specific LBNL requirements for management of configuration control for work under Radiological Work Authorizations and the Accelerator Safety Order, the requirements for non-radiation experiments are less clear. Configuration control and/or change management have often been identified as causal factors in Lessons Learned summaries and other incident investigations. A review of Division self-assessment topics from 2010-2015 did not reveal any previous self-assessments that focused specifically on this issue.

Focus Area 2. Communication of Lessons Learned

This Focus Area was recommended by the ATAP ES&H Operations Committee and approved by the Division Director because of potential impact on health of personnel and safety culture. Is most closely associated with the 5th Core Function of ISM, feedback and improvement. ATAP (as AFRD) performed a previous assessment of Lessons Learned in FY12 and a related assessment of communications through our safety website in 2011. The FY16 assessment will follow up on the status of previous assessment recommendations and evaluate current best practices. Other Divisions have performed similar assessments: Information Technology Division assessed safety communications in FY10 and FY14, and Environmental Health and Safety (EHS) Division assessed the Lessons Learned Program in FY11.

Compliance with Requirements

ATAP's self-assessments will include evaluation of compliance with institutional requirements, including:

1. ES&H Manual;
2. LBNL Requirements and Policies Manual, *Issues Management Policy*;
3. LBNL Pub-3140, *Integrated Environment, Safety, & Health Management Plan*, Integrated Safety Management (ISM) System;



4. LBNL PUB-5519(4), *Lessons Learned and Best Practices Program Manual*

ATAP's self-assessment includes evaluation of compliance with divisional requirements, including the ATAP ISM Plan.

Scope

Following completion of Self-Assessment training provided by the Office of Contractor Assurance at the initial team meetings and study of related background information during January – February 2016, the ATAP Focus Area Assessment Teams will further define the factors to include in the scope of the Division assessments. The scope of each assessment will include locations where ATAP work takes place and ATAP employees, affiliates, and matrixed personnel. Processes for Configuration Control and Processes for communicating Lessons Learned will be evaluated. Best practices in other Divisions may also be explored.

Schedule

Both assessments will take place between January and May 31, 2016. Each Focus Area Self-Assessment Team will generate and submit a report to ATAP management by May 31, 2016. ATAP will submit a report for each assessment to the Office of Contractor Assurance by June 30, 2016 identifying findings, observations, noteworthy practices and corrective actions.

Further scheduling details for the Focus Area assessments are as follows:

- **December 2015** – Program Heads will select team members.
- **January – February 2016** -- The Office of Contractor Assurance will provide Self-Assessment training to team members at their initial meetings. The teams will begin to further refine their assessment scope, methodology, lines of inquiry, and schedule.
- **March – May 2016** – The teams will perform their assessments, which may include visits to selected ATAP work areas and interviews of selected personnel. Each team will develop a report specific to the focus area they have assessed and present their findings and recommendations to ATAP management.
- **June – September 2016** – ATAP management will assign action items to appropriate personnel and track the status of the action items

Methodology

Each Focus Area Self-Assessment Team will establish the methodology to be used when implementing their assessment. The team members will attend Self-Assessment Training provided by the Office of Contractor Assurance and consulted with the appropriate Subject Matter Experts and the Office of Contractor Assurance while developing their



methodology. The methodology is assessment-specific and includes the following basic elements:

A. Persons conducting each assessment:

ATAP Program Heads will each select a team member to participate in each Focus Area Assessment by December 23, 2015.

B. Techniques to be used during the assessments

Each Self-Assessment Team may review related documentation and websites, consult with subject matter experts, visit selected work locations, observe work, conduct a survey and/or interview personnel, and document their reviews.

At a minimum, the Configuration Control / Change Management Self-Assessment team will:

- Review recent Lessons Learned and incident investigation reports where Configuration Control was identified as a Causal Factor.
- Review configuration records of selected ATAP experiments;
- Interview selected personnel who perform configuration control.

At a minimum, the Communication of Lessons Learned team will:

- Review results of previous ATAP self-assessments on similar topics;
- Interview ATAP personnel to determine their familiarity with recent Lessons Learned relevant to their work and preferred communications methods;
- Benchmark against other Divisions to determine Best Practices in communicating Lessons Learned.

C. General Lines of Inquiry

Focus Area 1. Configuration Control / Change Management– The Focus Area Self-Assessment Team will develop lines of inquiry to determine whether Configuration Control is being effectively managed and the optimal methods of improving Configuration Control. The Focus Area Self-Assessment Team may consult with appropriate Subject Matter Experts. ATAP plans to explore:

- What should the thresholds be for requiring formal configuration management?
- How should experiment configuration be documented?
- How and when should changes be documented, reviewed, and approved?

Focus Area 2. Communication of Lessons Learned – The Focus Area Self-Assessment Team will develop lines of inquiry to determine whether Lessons Learned are being effectively communicated and the optimal methods of improving communication. The



Focus Area Self-Assessment Team may consult with appropriate Subject Matter Experts. They will start by considering the Lines of Inquiry explored in the FY12 Lessons Learned assessment:

1. How can ATAP encourage people to report near misses and to develop Lessons Learned?
2. How do ATAP Programs decide what Lessons Learned/Near Hits information should be documented and shared beyond the group level?
3. What are the quality and usefulness of Lessons Learned reports?
4. Are there Program-specific activities for developing ways to reduce risk and rethink procedures?

They will assess the status of ATAP response to issues identified in the FY12 assessment.