ESH Division Issue Management Process

An issue management process that effectively captures, evaluates, and dispositions issues is an important element of the LANL ESH Division’s Management Process. As part of the overall ESH Division Management Process improvement program, an approach to implementing issue management is outlined in this final report.

Objectives

- Establish a consistent Issue Management process for ESH Division that more effectively integrates the University of California Performance Measures and the strategic planning of the DOE, laboratory, and Division with the work performed by the Division.

- Identify all issues important to the Division’s operation and management so that they can be appropriately factored into the planning, prioritization, and budgeting processes.

- Provide an issue resolution process that assigns clear authority and responsibility for all issues, and resolves issues in a systematic and traceable manner.

- Improve the effectiveness and efficiency of issue resolution through improved treatment of redundant, trivial, and root cause issues.

- Provide Division managers a single source of readily available status information on issues, their priorities, and actions to resolve issues.

- Integrate the Division’s issue management process with the process for responding to audits and assessments to ensure major issues raised by these assessments are treated in a consistent and systematic manner.

- Engage customers, regulators, and other stakeholders in development and initial implementation of the process to foster improved confidence in the Division’s decision-making and engender improved, more effective interactions with these constituencies.

Concepts

Issues as defined in source documents, or as originally received or defined by ESH Division are called Source Issues. Through issue analysis and integration, a set of Planning Issues are defined for which resolution strategies are developed.

Source Issue Disposition

- Invalid/Not Applicable
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- Trivial (Poor Risk Management Investment)
- Quick Fix (Accommodated within Existing Resources)
- Tie to On-going or Planned Work Packages
- New Planning Issue for Which Resolution Strategies Are Developed

Planning Issues
- Consolidation of identical or similar issues
- Root cause issue(s) underlying multiple source issues
- Unique new source issues

Issue Management Creates some "New" Roles and Responsibilities
- Issue Owner
  - Performs or coordinates issue analysis, evaluation, and the development of resolution strategies.
  - Supports issue scoring by providing risk management information and working with Issue Prioritization Facilitator.
- Issue Management Coordinator
  - Supports Division personnel in implementation of Issue Management Process.
  - Assures complete and high quality information to define and characterize issues is entered into the Information System.
  - Facilitates closure of trivial or invalid issues.
  - Assists in the identification of redundant or overlapping issues.
  - Works with Division Senior Management to identify issues that come through the Division Office and identify appropriate Issue Owners.
  - Coordinates meetings of the Issue Management Committee.
  - Assures that issue status information in the Information System is current.
  - Ensures status reports and information on new issues is communicated to ESH Division managers on a regular basis.
  - Ensures recommended resolution strategies and management decisions on issues are captured in the Information System.
- Information System Administrator
Supports the Issue Management Coordinator and the Division managers in the use of the Information System, generation of reports, and, as appropriate, entry of issue information.

- Issue Prioritization Facilitator
  - Perform initial scoring of issues in concert with Issue Owner and Issue Coordinator.

- Issue Management Committee
  - Support the identification of an issue owner for issues that involve multiple laboratory divisions.
  - Provide input to the issue definition, evaluation, and resolution strategy development on selected issues of key strategic importance where senior management level input is important.
  - Review initial issue rankings and establish relative priorities.
  - Review and approve recommended resolution strategies.
  - Review issue status information and redirect or refocus work on issues as may be appropriate.

Characteristics of Issues to be Managed at the Division Level

To limit the scope of issues to be considered in the initial phase of issue management implementation, the following guidelines will be used to screen which issues to collect and manage.

- Significantly impact multiple ESH groups
- Impact other lab divisions beyond ESH
- Require significant Division resources, thus impacting previously established commitments to customers or regulators
- Derived from DOE, EH, DP, UC, LANL, or Division Strategic/Tactical Plans
- Derived from UC Performance Measures
- Emanate from assessments by external agencies (DOE, DNFSB, EPA, NMED, etc.)

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1 Committee Membership includes: Division Director and/or Deputy Division Director, Chief of Staff, Issue Management Coordinator, Issue Prioritization Facilitator, and representatives from PMPO and IAO.
• Emanate from new or revised Federal Regulations
• Represent potentially significant risks to worker/public safety, the environment, or laboratory operations.

The Information System will have the ability to capture all issues, and thus can be used by group managers for issues outside these boundaries. The Information System will be able to segregate those "group level" issues from the "Division level" issues for reporting and monitoring.

**Phase I Approach**

For the initial implementation of the Issue Management Process, flexibility is of paramount importance. Common sense must prevail over "procedures." Although a general flow is indicated, it should be emphasized that for some situations some steps may not apply, or, depending on the issue, there may be several iterations between steps.

**Issue Collection**

• Identify, define, and characterize "major" issues that impact the Division.
• Identify existing commitments made to customers/regulators to resolve these issues.
• Identify an owner for each issue.

**Issue Filtering and Analysis**

• Identify any high risk issues and institute compensatory actions.
• Screen major issues to eliminate invalid or trivial issues.
• Identify any quick fix issues.
• Integrate redundant/overlapping issues, and those issues subsumed by root cause issues to create a set of planning issues.
• Identify those issues that are already covered by a work package (planned or on-going).
• Confirm that ESH Division has the authority (implicit or explicit) to address this issue, and will be able to act upon the issue.
Issue Evaluation and Prioritization

- Develop risk management information to support prioritization.
- Perform simplified screening prioritization.
- Issue Management Committee periodically reviews the list of ranked issues and adjusts rankings as appropriate.
- Perform detailed LIPS prioritization only if essential to deal with customer or regulator.
- Identify poor risk management investments and negotiate closure with appropriate constituency (in some instances, this determination may be obvious without performing prioritization).
- Use results of prioritization in communicating the Division’s response to customers and other constituencies who are the sources of issues, and to schedule issue resolution strategy development. (When management time is limited, the ranked list determines the order in which issues are addressed by the owners.)

Issue Resolution Strategy Development

- Develop and evaluate alternative resolution strategies. Recommend preferred strategy to Division management.
- Communicate approved issue resolution strategies to Division management and other constituencies.
- Assign responsibility for work package development, if necessary to implement the resolution strategy.
- Communicate management decisions to customers/regulators as appropriate to inform them of response to issue.

Issue Status Communication and Monitoring

- Issue Management Coordinator works with Issue Owners to keep Information System up-to-date.
- New Issues and Issue Status Reports are Regularly Communicated to Division Management Team.
- Issue Status Review is a Standard Agenda Item for Group Leader Meetings.
- Distribute latest status report with agenda.
- Division Director to summarize key information from status report/inquire about work on other issues
- Schedule brief presentations on high priority issues (perhaps request a brief synopsis on the top 10 once a month).

- Status of issues assigned to each manager are reviewed in the Quarterly Program Reviews.
- Issues status information is used to prepare for audits, assessments, etc., in the Division.
Overview of the

ESH Division’s Issues Management Concept

to:

Advisory Team

April 5, 1995
Our ESH Division Management Process

- Customer Requirements and Strategic Planning
  - Performance-based Metrics
  - Project Management
  - Issues Management
  - Work Package Prioritization
  - Technical Baseline Development
  - Strategic Planning
ESH Division Issues Management

What is an issue?

- A concern that some aspects of Division’s operations or management could be improved either through addressing a problem or opportunity.

- ESH Division level issues impact multiple ESH groups and/or other Divisions.

- No one manager has authority and/or resources to resolve the issue.
ESH Division Issues Management

What is Issues Management?

**Input**
1. Issue Sources
   - UC Performance Measures
   - LANL Strategic Plan
   - LANL Tactical Plan
   - ESH Div. Strategic Plan
   - Customers
   - Stakeholders
   - Regulators
   - Process Realignment
   - LANL management
   - Division managers
   - Facility managers
   - Line organization
   - etc.

**Output**
1. Resolution Strategies
   a) No Action
   b) Address within existing budget
   c) Impacts current baseline (Change Management)
   d) New or revised Work Package for next FY. (WP Development)

2. Issue Status Information
ESH Division Issues Management

Concept

- Capture and characterize issues
- Consolidate similar or cross cutting issues
- Focus management attention and resources on the most important issues
- Logically resolve open issues
- Implement resolution strategies consistent with priority and availability of resources
ESH Division Issues Management
Components of the process

Identify issues
Evaluate issues
Develop resolution strategies
Funding?
Implement

Status and communicate
ESH Division Issues Management

Why implement issues management?

- Consistently communicate issues with other groups and the Division
- Obtain peer and Division input and support, eliminate repetitive learning and problem solving.
- Rational, consistent, common sense approach to deal with fire drills.
- Method for obtaining and maintaining ESH managers focus on Division/institutional issues.
- Consistent, defensible approach to factor issues into the planning and budgeting process.
- Improved ability to establish and satisfy customer/regulator expectations.