



# **Division Director Investigation & Analysis Process Overview**

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# Objectives

## **Discuss:**

- Lab Director's high-level philosophy on Incident Analysis
- Goals of the Investigation & Analysis Process
- Divisions Director's involvement in the Process
- Quality Assurance of the Process
- Successful Transition to Resolution



# Lab Director Principles For Conducting Incident /Event Analyses at LBNL

In evaluating safety related incidents and other adverse events:

- We do not seek to blame individuals
- We look beyond the individual's actions to understand underlying organizational issues
- We seek to learn, in a timely manner, from both the positive as well as negative actions that occur
- We will promptly share what we learn so that others can benefit from our analyses
- Incident analysis will follow the same collaborative, analytical approach we use in our science
- Incident analysis will be supported by senior management and take place in a timely manner
- Incident analysis results will be openly made available to the Lab community.



# Goals of the Investigation & Analysis Process

- Division ownership of the analysis and outcome
- Timely and quality investigation and analysis
- Communication, collaboration and transparency throughout the process
- Corrective Actions to prevent recurrence



# Division Director Involvement

- 1. Scope and Charter the Causal Analysis**
- 2. Organize and Facilitate the Kick-off Meeting**
- 3. Attend the Causal Analysis Report Briefing**
- 4. Assign a Team to develop Corrective Action(s)**
- 5. Attend the Close-out Report Briefing (*Optional*)**



# Quality Assurance (QA)

## QA of the Process

*“To ensure that the analysis, corrective actions and the formal report are credible, technically sound and accurate.”*

OCA staff interacts with the Team throughout the process:

- Begins with the Kick-Off Meeting and ends with the Final Report
- Provides immediate feedback and guidance as issues and deviations occur

Value Added:

Eliminates (or significantly minimizes) false starts and re-work



# Successful Transition to Resolution

## Division Director

- Owns the investigation and analysis results and expected outcomes.
- Understands the incident's root cause(s) and extent of condition.
- Embraces the corrective action(s) as specific, measurable, accountable, reasonable and timely.
- Commits resources to completing the corrective action(s) that are documented in the RCA Report.
- Assigns personnel to work with the reporting coordinators, as applicable, to complete the outstanding reporting requirements.