



Procedure: Developing, Reviewing, Approving an Implementation Plan

1. Purpose:

This procedure in combination with the associated optional form 04.04.001.202 leads a user through the steps of detailing a plan for the implementation of a requirement, policy, program, or process. An implementation plan is a key deliverable of the process for managing of DOE Contract requirements, Laboratory policies and institutional procedures (see Requirements Management Process, 04.04.001.003). A completed form with a timeline may be sufficient for review and approval by line management.

2. Applicability – Who this is for

This procedure may be used for scoping a plan to implement a requirement, policy, program, process, or the like. It should be used for Laboratory implementation, and it may be helpful to for division or department implementations.

2.1 Exceptions:

none

3. Prerequisites

Persons using this procedure and form should have basic project planning and management knowledge and skills. This procedure and form may be a helpful training tool for beginning project managers.

4. Definitions

Term	Definition
Contract 31	“Contract 31” is short for Contract No. DE-AC02-05CH11231 between the U. S. Department of Energy and the University of California describing the terms for management of LBNL. The Contract includes a statement of work (SOW) for the science missions and it details the requirements for managing the operations and business of LBNL.
Implementing mechanisms	A means to implement a policy or requirement, such as a document, training, program, communication or notification, role, and so forth.
Policy	Statements or directives from the federal, state or local government; the University of California; or Berkeley Lab senior management that set a course of action, define acceptable conduct, or implement governing principles.
Policy area	A grouping of related policies. Policy areas are organizationally neutral; that is, they do not reflect organizational structure. Though organizationally neutral, policy areas typically are assigned to an Operations function. Some policy areas may span more than one function, and a primary functional owner is therefore assigned. The wiki-RPM (PUB 201) has the most current policy area listing.
Record of Decision	Also known as ROD, a written record of a decision made regarding a requirement, policy, an institutional document, or regarding the implementation mechanisms or

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Term	Definition
	plan regarding a requirement, policy, or institutional document.
Requirement	A specific obligation to perform an action mandated by LBNL senior management or the federal, state, or local government; or to comply with the Laboratory's contract with the Department of Energy; or to comply with agreements made between the Laboratory and its corporate manager, the University of California.
Requirements review case	An instance or a question related to a requirement that has been logged into the Requirements Management database for disposition by the RM Committee.
Significance Rating or Level	A value that reflects the significance of a new or revised institutional policy, program, process or other document. The value provides a means to grade (a) the approach for development (or revision) of the policy or program, (b) the amount of rigor associated with the various steps of the process, and/or (c) the level of approval authority for the policy or program.
Source Requirements Document	A high level document that establishes performance expectations as a result of a citable policy, directive, law, regulation, or contract. Examples: 10 CFR 851, Worker Safety and Health Program, LBNL Travel and Expense Policy, DOE Contract 31, Section (Clause) H.18, Application of DOE Contractor Requirements Documents

4.1 Acronyms

- RM Requirements Management
- RM PM Requirements Management Program Manager
- RMC Requirements Management Committee
- ROD Record of Decision
- SRD Source Requirements Document
- SME Subject Matter Expert

5. Roles and Responsibilities

The list below emphasizes the roles and responsibilities for applying this procedure to institutional (Laboratory) requirements, policies, programs, processes and the like. These describe responsibilities pertinent to only this procedure. For the most comprehensive and up-to-date version of Requirements Management roles and responsibilities, see *LBNL Requirements Management Governance, Document 04.04.001.002*.

Role	Responsibilities
Requirements Management Committee (RMC) members	<ul style="list-style-type: none"> • Provides centralized coordination and communications on Contract 31 requirements and related Lab policy matters. • Applies the RM process in the review and disposition of Requirements Review Cases related to requirements, Laboratory policies, and on a case-by-case basis Laboratory implementing documents. Ensures that flow-down from requirement into implementing documents is addressed. • From a quality perspective, reviews and applies cross-functional knowledge and judgment on work products (analyses, implementation plans, policies) by Working Groups (WG) and SMEs. • Ensures analyses and plans lead to practical (cost, breadth of impact, simplicity, etc.) implementation. • Ensures risk analysis and problem solving techniques and best practices have been applied. • Advises responsible Sr. Line Manager on WG/SME work products. • Reviews communications plan to ensure effectiveness and thoroughness.

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Role	Responsibilities
Requirements Management Program Manager (RM PM)	<ul style="list-style-type: none"> • Overall, manages the Laboratory's requirements management and institutional document management processes. Has author/review/recommendation responsibilities for quality and completeness of RM process and institutional document management process documentation. Oversees management of Laboratory's policy manual. Maintains the Requirements Management (RM) database. • For this process, coordinates inputs from RMC members, Working Groups, and the responsible Sr. Line Manager.
Sr. Line Manager	<ul style="list-style-type: none"> • Has responsibility and accountability for managing Laboratory requirements that pertain to his/her area of responsibility, including identification of what the requirements are and implementing them through policies, programs, procedures, etc. • Has responsibility and authority to define and implement changes in policies, programs, procedures, etc. resulting from changes to Contract 31, UC requirements, and to applicable federal, state, local laws and regulations, as well as any direction provided by supplementary letters or memos from DOE or UCOP. • Has ownership and accountability for the technical content, accuracy and completeness of respective Function's documents. Approves institutional documents upon completion of required reviews. • For this process, <ul style="list-style-type: none"> • Appoints WG members, SMEs, Document Authors. • Communicates to the RM PM and RMC objectives and general guidance on implementation for the requirement or policy or program under question. • Reviews and approves implementation plans recommended by a Working Group and the RMC. Approval implies commitment of resources and funding for coverage of his/her function. For those cases where multiple functions are participating, approvals must be obtained from each participating function. • Has responsibility for execution of approved plans for implementing mechanisms supporting a Laboratory requirement or policy, including assigning resources and funding.
Subject Matter Expert (SME)	<ul style="list-style-type: none"> • A Laboratory employee or consultant with specialized knowledge about a certain topic or field of interest. • Provides technical expertise to the RMC and/or Working Group as it relates to the interpretation and implementation of requirements, including the development and review of policies and implementing documents. • (Lead or senior functional SME) Has ownership and accountability for the technical content, accuracy, and completeness of policies. For this process, <ul style="list-style-type: none"> • Leads Working Group in the development and/or revision of policy and implementing documents within area of responsibility in accordance with requirements. • Coordinates document reviews, comment resolution, and implementation actions. • May be delegated by Sr. Line Manager to approve certain institutional documents upon completion of required reviews. • Drives for timely completion of case assignments.
Working Group (WG)	<ul style="list-style-type: none"> • Under leadership of a SME or RMC member, performs detailed analyses, and determine detailed and practical implementation plans, with consideration of cost, simplicity, impact, and overall risk. • Make recommendations in a timely fashion to the RMC, RM PM, Sr. Line Manager, and if applicable, the WG's sponsoring standing committee.

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04.04.001.102-0.2

Effective Date: 12/19/2011

6. Procedure

The steps are the same whether this procedure is applied to an institutional requirement, policy, program or process, or to a division/department policy, program or process. Assignment of roles under “Division/Dept.” may be adjusted by the division or department.

Step	Role (RMC/ Institutional)	Role (Division/Dept.)	Action	
1	RM PM/ RMC rep/ Sr. Line Mgr /SME	Line Mgr /Project Lead/SME	Determines need to develop an implementation plan.	
2	RMC or Sr. Line Manager	Line Manager	Assigns Policy Area Manager and/or Project Leader and/or Subject Matter Expert.	
3	RM PM	[Not applicable]	Logs info into RM Committee database	
4	RMC rep/SME	Project lead/SME	Details proposed implementation plan using form 04.04.001.202 as guide, and 04.04.001.206 to determine significance rating. Ensures alignment between minimum required program elements as determined by significance rating and implementation plan.	
5	RMC rep/SME	Project lead/SME	Submits completed plan & recommendations to RMC and/or Sr. Line Manager, or per Division/Dept. signature approval process.	
6	Sr. Line Manager	Line Manager	Reviews proposed plan and recommendations	
7	RMC, Line Mgr	Line Manager	If...	Then....
			Plan is acceptable	Recommend approval by Sr. Line Manager(s). Go to Step 8
			Plan is not acceptable	Return to Step 4 with guidance
8	Sr. Line Manager	Line Manager	If...	Then....
			Significance Rating = C, D, E	Reviews and approves; returns to PAM/SME
			Significance Rating = A, B	Reviews, approves and then forwards to next higher level manager for review and approval; returns to PAM/SME
9	RMC rep/SME	Project lead/SME	Provides copy to RMC/RM PM	
10	RM PM	[Not applicable]	Updates database.	

7. References

7.1 Source Requirements Documents	
Requirement ID	Title
DOE Order 414.1D	<i>Quality Assurance</i>
PUB 3111	<i>LBNL Operations and Quality Management Plan</i>
04.03.001.000	<i>Quality Assurance Policy</i>
04.04.001.000	<i>Requirements Management Policy</i>
04.04.001.003	<i>LBNL Requirements Management Process Description</i>
07.01.001.002	<i>ES&H Manual, Chapter 1, ES&H Requirements, Responsibilities, and Work Practices; Work Process A - Developing or Revising ES&H Policies and Programs</i>

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7.2 Implementing Documents		
Document Number	Title	Type
04.04.001.202	<i>Implementation Plan Template</i>	Form
04.04.001.206	<i>Determining Significance Rating</i>	Form
10.06.001.203	<i>Policy Approvals</i>	Form
10.06.001.204	<i>Non-Policy Approvals</i>	Form

7.3 Other Documents of Interest	
Document Number	Title
PUB - 201	LBNL Requirements and Policy Manual (RPM)

8. Contact

Requirements Management Program Manager
 LBNL Office of Contractor Assurance
 Email: requirementsmgmt@lbl.gov

9. Revision History

Date	Revision	By whom	Revision Description	Sections affected
8/1/2014	0.2	L. Young	Review; remove PAM role; update SRD	Section 6, SRD, next review date
12/12/11	0.1	L. Young	Prepare for signoff and pre-release in OCA web	
10/18/11	0.0	L.Young	Initial	

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04.04.001.102-0.2
 Effective Date: 12/19/2011