Matrixed Employee Work Authorization

Brief

<table>
<thead>
<tr>
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BRIEF

Policy Summary

Berkeley Lab's Matrixed Employee Work Authorization Program describes the alignment of responsibility and authority within the matrixed employee management structure. This policy helps to ensure that the work of matrixed employees is appropriately authorized, and describes responsibilities for funding, equipment, infrastructure, space, and training required to perform work safely.

Who Should Read This Page

All Berkeley Lab host and home supervisors who assign or oversee work scope for matrixed employees

To Read the Full Policy, Go To:

The POLICY tab on this wiki page

Contact Information

Safety Compliance Program Manager
Technical Support Services Group
EHS Division

Policy

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POLICY

A. Purpose

The Matrixed Employee Work Authorization policy at Lawrence Berkeley National Laboratory (Berkeley Lab) describes the alignment of responsibility and authority within the matrixed employee management structure. This policy helps to ensure that the work of matrixed employees is appropriately authorized, and describes responsibilities for funding, equipment, infrastructure, space, and training required to perform work safely.

B. Persons Affected

All Berkeley Lab host and home supervisors who assign or oversee work scope for matrixed employees

C. Exceptions

None

D. Policy Statement
1. An employee is considered matrixed if assigned to an outside division (host division) by his or her home division supervisor. A matrixed employee typically receives daily direction from the host division. The matrixed employee's home division supervisor is responsible for performance assessments; the number, duration, and type of assignments; ensuring required training is completed; and the overall safety of direct reports.

2. In a matrixed management structure, the host division combines employees from several divisions and disciplines under a specific program, project, or ongoing operation of a user facility. This structure is in contrast to traditional division structures, where home divisions group employees by function within a hierarchical reporting relationship.
   a. In a matrixed structure, the host division:
      i. Has authority and responsibility for achieving the objectives of the program or project
      ii. Is responsible for the ongoing operation of the user facility
      iii. Is accountable to provide all funding, equipment, infrastructure, personnel, and space that directly benefit the program/project objectives and/or the ongoing operation of the user facility
      iv. In some cases (for example, the Engineering Division) may maintain specialized equipment that may be used by their staff to achieve host objectives
   b. In a matrixed structure, the home division:
      i. Has authority and responsibility for providing the disciplinary expertise to achieve the objectives of the program or project and/or to help operate the user facility
      ii. Is accountable (in consultation with host division) for talent acquisition, assignment to programs and projects, retention, career development, equity, succession planning, and performance management
      iii. Is responsible for the overall safety of all home division staff assigned to other programs, projects, or user facilities

3. The Roles and Responsibilities section below outlines the default configuration of authority assumed by the home and host divisions. The default configuration is considered a best practice, requiring no additional memorandum of understanding (MOU) or other formal document.
   a. If the health and safety objectives of the program/project — or the effectiveness and efficiency of the user facility — cannot be assured without adjusting the default configuration, a formal MOU must be negotiated, documented (typically by the home and host supervisors in consultation with their respective division safety coordinators), and signed by both the home and host division deputies and division directors.
   b. Subject matter experts/stakeholders from other Berkeley Lab divisions (e.g., Environment/Health/Safety [EHS]; Facilities; Office of the Chief Financial Officer [OCFO]; Office of Contractor Assurance [OCA], etc.) can be consulted at the discretion of the home and host divisions.
   c. The MOU should document:
      i. Specific responsibilities and authorities to be transferred or assumed by the home or host division
      ii. A brief description of why a change from the default configuration is needed
      iii. The specific program/project or user facility
      iv. The positions(s) affected by the change
      v. The time period
   d. If an employee is assigned to more than one host division, responsibility for employee safety and health remains with the home supervisor and cannot be transferred by an MOU.

### E. Roles and Responsibilities

<table>
<thead>
<tr>
<th>Safety Responsibility</th>
<th>Home Supervisor or Work Lead</th>
<th>Host Supervisor or Work Lead</th>
<th>Matrrixed Employee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Work Planning and Control (WPC) and WPC Activity-Identified Training</td>
<td>Ensures the matrixed employee’s work is adequately defined in accurate and active WPC Activities, and all required training is completed in a timely manner</td>
<td>Provides input to the home supervisor or work lead during the WPC process</td>
<td>Reviews and accepts the conditions of assigned WPC Activities. Completes WPC Activity-identified training before commencing work.</td>
</tr>
<tr>
<td>On-the-Job Training</td>
<td>Clarifies how each (or which) division will bear the cost of a matrixed employee’s training and time to attend training</td>
<td>Provides specific safety training and operating procedures to a matrixed employee for work performed for the host division</td>
<td>Acquires on-the-job and formal Environment, Safety &amp; Health (ES&amp;H) training before commencing work.</td>
</tr>
<tr>
<td>Self-Assessment Program of Matrized Employee's Work Space</td>
<td>Negotiable with the host supervisor or work lead</td>
<td>Negotiable — may assume responsibility</td>
<td>Keeps work areas safe and uncluttered</td>
</tr>
<tr>
<td>Hazard Correction of Matrized Employee’s Work Space</td>
<td>Negotiable with the host supervisor or work lead</td>
<td>Negotiable — may assume responsibility</td>
<td>Reports unsafe conditions and practices in a timely manner to the supervisor or work lead.</td>
</tr>
<tr>
<td>Engineering Controls for Health and Safety</td>
<td>Negotiable with the host supervisor or work lead</td>
<td>Negotiable — may assume responsibility</td>
<td>Uses the installed engineering controls properly.</td>
</tr>
<tr>
<td>Personal Protective Equipment (PPE)</td>
<td>Negotiable with the host supervisor or work lead</td>
<td>Negotiable — may assume responsibility</td>
<td>Notifies the supervisor or work lead in a timely manner of any deficiencies with the engineering control.</td>
</tr>
<tr>
<td></td>
<td>If supplied by the home division, a matrixed employee may take PPE to the next job assignment</td>
<td></td>
<td>Understand the capabilities and limitations of PPE issued pre-inspection and wear appropriate PPE when performing tasks.</td>
</tr>
</tbody>
</table>

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Lawrence Berkeley National Laboratory. The official or current version is located in the online LBNL Requirements and Policies Manual. Printed or exported versions are not official. Users are responsible for working with the latest approved revision.
### Administrative Controls for ES&H, including those in WPC Activities, Radiological Work Authorizations (RWAs), Radiological Work Permit (RWP), etc.

- Negotiable with the host supervisor or work lead
- Negotiable — may assume responsibility
  - Follows prescribed administrative controls when performing work
  - If administrative controls are unclear, asks the supervisor or work lead for clarification before starting work

#### Accident Investigation and Reporting of Injuries

- Collaborates with EHSS to investigate incident(s) to determine root cause(s) and complete necessary reports in a timely manner
- Ensures that corrective actions are completed to prevent recurrence
  - When requested, fully cooperates with the accident investigation and Injury Review process
  
- Reports all work injuries/illnesses, accidents, and discomfort symptoms to either supervisors or work leads; seeks medical assistance from Berkeley Lab Health Services
  - Provides input during the Injury Review process

#### Ergonomics

- Ensures ergonomics training required by the WPC Activities are completed prior to performing work assignments for host division
  - Provides the appropriate ergonomic tools and equipment, including furniture and accessories that enable matrixed employees to safely perform their tasks
  - Performs work with proper ergonomic practices; adjusts and uses ergo equipment properly
  - Reports ergonomic discomfort immediately to both supervisors and work leads
  - Requests an ergonomic evaluation as needed

### F. Definitions/Acronyms

<table>
<thead>
<tr>
<th>Terms</th>
<th>Definitions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Activity Lead</td>
<td>An Activity Lead is anyone who directs, trains, or oversees the work and activities of one or more workers. Activity Leads provide instruction on working safely and the precautions necessary to use equipment and facilities safely and effectively.</td>
</tr>
<tr>
<td>Home division</td>
<td>Division that provides the professional and technical specialty personnel to support program activities. Assigns matrixed personnel to support the activities of other divisions. Responsible for the technical and specialty qualifications and basic job training.</td>
</tr>
<tr>
<td>Host division</td>
<td>Division responsible for providing day-to-day technical direction and oversight, including responsibilities for proper execution of ES&amp;H activities of employees, visitors, and affiliates in the work area of the division</td>
</tr>
<tr>
<td>Matrixed employee</td>
<td>An employee assigned to another division outside his or her home division (i.e., a host division)</td>
</tr>
<tr>
<td>Matrix and home supervisor</td>
<td>A matrix supervisor provides day-to-day technical direction and oversight and is responsible for the proper execution of ES&amp;H activities by employees and affiliates within the supervisor's purview. Must be a Higher Education Employer-Employee Relations Act (HEERA)-designated supervisor. The home supervisor is the HEERA-designated and accountable supervisor for all aspects of employee performance, including safety. A matrix or host supervisor partners with the home supervisor on matters of staffing, performance review, work direction, and/or evaluation.</td>
</tr>
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</table>

### G. Recordkeeping Requirements

Memorandum of Understanding (MOU), if necessary

### H. Implementing Documents

<table>
<thead>
<tr>
<th>Document number</th>
<th>ES&amp;H Manual Reference</th>
<th>Title</th>
<th>Type</th>
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<tbody>
<tr>
<td>07.02.003.001</td>
<td>Chapter 6</td>
<td>Work Planning and Control</td>
<td>Program</td>
</tr>
<tr>
<td>PUB-3140</td>
<td>Integrated Environment, Safety &amp; Health Management Plan</td>
<td>Plan</td>
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### I. Contact Information

Safety Compliance Program Manager  
Technical Support Services Group
J. Revision History

<table>
<thead>
<tr>
<th>Date</th>
<th>Revision</th>
<th>By whom</th>
<th>Revision Description</th>
<th>Section(s) affected</th>
<th>Change Type</th>
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<tr>
<td>1/16/2013</td>
<td>0</td>
<td>W. Wells</td>
<td>Rewrite for wiki</td>
<td>All</td>
<td>Minor</td>
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<tr>
<td>12/5/2016</td>
<td>0.1</td>
<td>H. Madison</td>
<td>Language alignment with WPC</td>
<td>Various sections</td>
<td>Minor</td>
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Document Information

**DOCUMENT INFORMATION**

- **Title**: Matrixed Employee Work Authorization
- **Document number**: 07.01.008.000
- **Revision number**: 0.1
- **Publication date**: 12/5/2016
- **Effective date**: 9/6/2011
- **Next review date**: 11/15/2019
- **Policy Area**: General ES&H
- **RPM Section (home)**: ESH
- **RPM Section (cross-reference)**: PUB-3000 Chapter 1
- **Functional Division**: EHS
- **Prior reference information (optional)**

Source Requirements

- 10 CFR 851.21, *Hazard Identification and Assessment*
- 10 CFR 851.22, *Hazard Prevention and Abatement*

Implementing Documents

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Other References

- DOE P 450.4, *Safety Management System Policy*
- DOE M 450.4-1, *Integrated Safety Management System Manual*