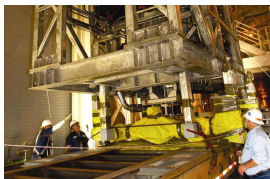
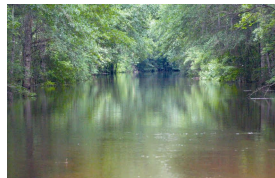




Annual WSRC ISMS Processes & Document Submittals To DOE



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Search for Best Practices

- § The slides that follow, describe WSRC's approaches to conducting each of the major annual ISM processes and documentation
- § Some of that which is described represents revisions that will be used for the first time for FY07 documentation
- § How common are any of the approaches above with other sites' approaches?
- § Let's discuss other approaches that may utilize some best practices for all to consider

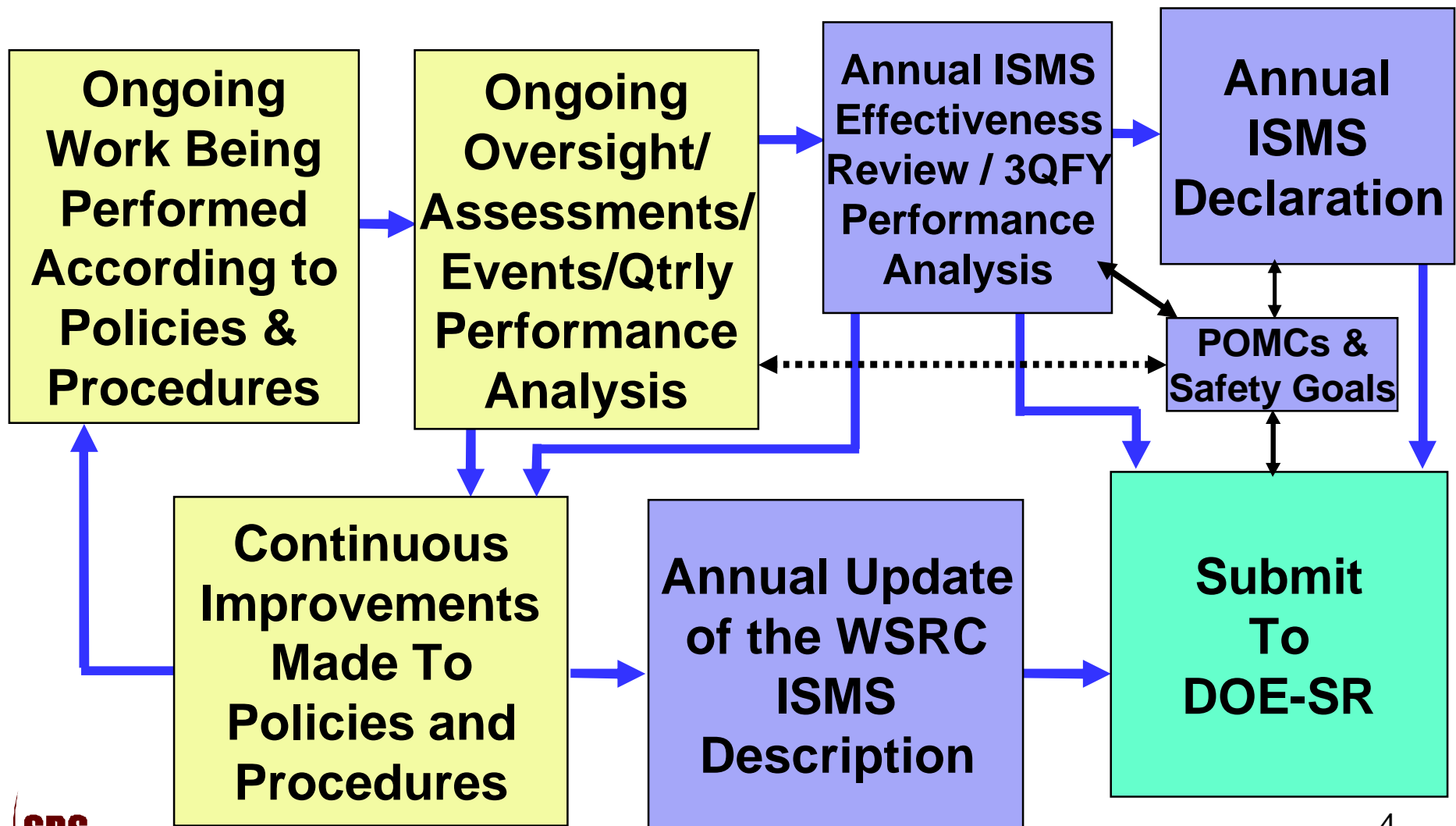
WSRC ISMS Annual Processes & Documents

§ The major Annual ISMS Processes & Documents:

- Annual Update of the ISMS Description Document
- Annual ISMS Effectiveness Review
- Annual ISMS Declaration
- Performance Objectives, Measures & Commitments

§ Submittal To DOE-SR

Simplified Model of WSRC ISM Annual Processes and Documents Submitted To DOE-SR



WSRC ISMS Description Document

- § WSRC Contract requires an annual update to be submitted to DOE-SR Manager on September 1 each year
- § The documented WSRC ISMS applies to all work performed under the Contract, including subcontracted work
- § ISMS Description is located in the front of the WSRC S/RID
 - Review & Approval same as S/RID Change Packages
 - Submitted by WSRC President to DOE-SR Manager for final approval

ISMS Description – What It Is

- § It is a “snapshot in time” of the WSRC ISMS each year
- § It is a description of approved implementing mechanisms
 - Major changes to implementing mechanisms may be reason for a mid-year ISMS Description revision and formal review & submittal to DOE-SR for approval

ISMS Description – What It is (cont.)

- § It is a “roadmap” to direct the reader to policies and procedures that specifically implement ISM Guiding Principles and Core Functions
- § It is a brief description of how each policy and procedure serves to implement the ISM Core Functions and Guiding Principles

ISMS Description – What It Is Not

- § It is not a “driver” document – it only describes the ISM System documents that “drive” ISM implementation via the 20 Functional Areas in the S/RID
- § It is not a description of “what is to be” – major planned improvements are addressed instead in the Annual ISMS Effectiveness Review and Declaration
- § It is not a detailed description – it briefly describes the purpose and scope of the referenced implementing documents which contain the details

Annual ISMS Effectiveness Review

- § Required by the DOE ISMS DEAR clause 970.5223-1
- § Now also required by the ISMS Manual, DOE M 450.4-1, to be submitted to DOE
- § Suggested methods discussed in the DOE ISMS Guide, DOE G 450.4-1B, Chapter IV
- § An aggregate review of existing internal and external assessments, events, performance analyses, etc., over the past year

Annual ISMS Effectiveness Review (cont.)

- § Verifies that appropriate and effective actions are being taken in response to past events and assessments
- § Seeks to identify problems implementing the ISM Core Functions and Guiding Principles
- § Seeks to identify and recommend opportunities for making strategic improvements to ISM System implementing mechanisms

Annual ISMS Effectiveness Review (cont.)

§ WSRC Annual ISMS Effectiveness Review for FY07 will be conducted and reported in conjunction with the 3rd Quarter Site Performance Analysis Report

- Site Quarterly PA Reports include past 12-months data, ID Recurring Problems & have “Watch List” feature
- Event Data from ORPS
- Review Data - Internal
 - Independent Assessments (FEB ISMEs)
 - Management Assessments

Annual ISMS Effectiveness Review (cont.)

– Review Data – External

- DOE-HQ and DOE-SR Reports of Assessments, Audits, Inspections
- DOE-SR Letters of Concern
- DNFSB Reports
- PNOVs/NOVs from regulators

Annual ISMS Effectiveness Review (cont.)

- Site Tracking, Analysis & Reporting (STAR) data
 - Single WSRC Issue Management database

- Disciplined Operations Summary Indicator (DOSI)
 - Performance Measures and Trending

- Effectiveness of Past Corrective Actions

- Quarterly Performance Analysis of seven key Functional Program Areas

Annual ISMS Effectiveness Review (cont.)

An appendix will be added to the 3rd Quarter Report to:

- Evaluate the WSRC ISMS relative to Continuing Core Expectations (CCEs)
 - Original set of CCEs are in Chapter IV, 4.4 of the Guide
 - Modified set of CCEs now in Attachment 4, Section 6 of the Manual

- Address WSRC Performance Metrics to date
 - Key Performance Indicators – Safety Subset
 - Annual Safety Goals per DOE P 450.7

The Annual ISMS Effectiveness Review provides objective evidence to support the Annual ISMS Declaration

Annual ISMS Declaration

- § Declares ISMS effectiveness of the DOE Field Office and all its contractors/tenants (e.g., WSRC, WSI, USFS, SREL, Parsons, etc)

- § DOE-EM in 2003 began requiring their DOE Field Offices to submit an Annual ISMS Declaration
 - Field Office Declaration typically due to HQ 9/30/yy
 - Contractors Declarations typically due to DOE-SR by 8/31/yy

Annual ISMS Declaration (cont.)

- § DOE ISMS Manual now requires Annual ISMS Declarations within all PSO organizations
- § The criteria for the content of the EM ISMS Declarations have evolved each year, but seem to be approaching steady-state
- § The ISMS Manual recommends that criteria for the annual review and declaration be made available to contractors one year in advance

Annual ISMS Declaration (cont.)

- § FY07 plans are to use the same criteria and schedule as FY06
 - safety performance
 - responses to events and assessments
 - lessons learned

- § The ISMS Declaration also describes safety improvement initiatives/opportunities planned, underway, or recommended to positively impact safety performance

Safety Performance Objectives, Measures & Commitments (SPOMCs)

- § Since 2004, WSRC has responded to PSO and Field Office annual calls for ES&H goals per DOE P 450.7
- § In past years, those ES&H goals and other safety-related Key Performance Indicators have been included in the Annual ISMS Declarations
- § ISMS Manual gives guidance on establishing SPOMCs
- § The ISMS Manual expects the DOE P 450.7 ES&H goals to be fully integrated with the SPOMCs

Safety Performance Objectives, Measures & Commitments (SPOMCs) (continued)

- § WSRC Safety Performance Objectives are driven long-range by strategic corporate vision (e.g., Zero Injuries) and short-term by the ES&H Goals process (DOE P 450.7)
- § WSRC and DOE-SR work together to establish the Safety Performance Measures (including ES&H Goals) in conjunction with the WSRC Key Performance Indicator process
- § Safety Performance Commitments arise from the WSRC Annual ISMS Effectiveness Reviews conducted and reported each year in conjunction with the 3rd Quarter Site Performance Analysis

In Conclusion

- § WSRC has submitted annual updates of its ISMS Description each year since 1997 and received DOE approval
- § WSRC has conducted Annual ISMS Reviews since 1998
- § WSRC has annually submitted ISMS Declarations to DOE since 2003
- § We strive to refine and improve the processes and documentation each year