

Annual ISMS Processes & Documentation

- - - A Search for Best Practices - - -

**Preparation for Spring 2007 ISMWG
ISM Program Managers Subgroup Meeting**

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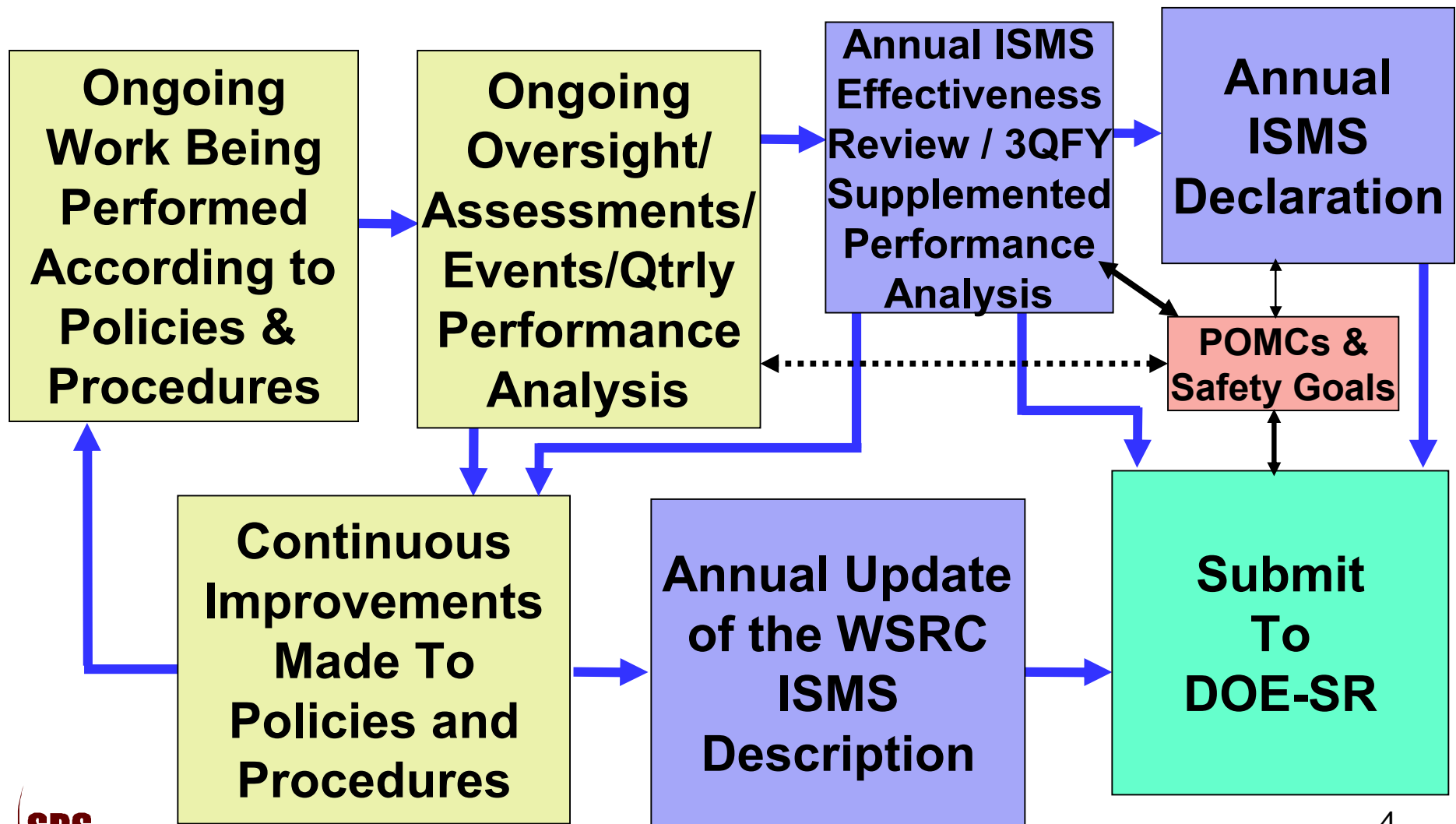
Search for Best Practices – Preparation for Spring 2007 ISM Program Managers Subgroup Meeting

- **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 revised approaches that will be used for the first time for end-of-FY07 documentation**
- **How common are any of the approaches 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 company-level implementing mechanisms
 - Major mid-year 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” – planned improvements are addressed instead in the Annual ISMS 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**
- **Provides major input to the Annual ISMS Declaration**

Annual ISMS Effectiveness Review (cont.)

- **Verifies that appropriate and effective actions are being taken in response to the past year's events and assessments**
- **Seeks to identify problems implementing the ISM Core Functions and Guiding Principles**
- **Seeks to identify and recommend opportunities for strategic improvement 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 (24 Functional Programs)**

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

– Site Tracking, Analysis & Reporting (STAR) data

Annual ISMS Effectiveness Review (cont.)

- **Disciplined Operations Summary Indicators (DOSI) – Trending**
- **Annual Performance Analysis by 24 Functional Program Areas**
- **Use Continuing Core Expectations (CCEs) to aid in the evaluation of ISMS effectiveness**
 - **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**

Annual ISMS Effectiveness Review (cont.)

- **Effectiveness of Past Corrective Actions**
- **WSRC Performance Metrics**
 - **Key Performance Indicators – Safety Subset**
 - **Annual Safety Goals per DOE P 450.7**
- **The Annual ISMS Effectiveness Review directly supports 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**
- **The criteria to be addressed primarily involve effectiveness of ISM System implementation in terms of safety performance and responses to events, assessments, and lessons learned**
- **The Declaration also describes safety improvement initiatives planned or underway to positively impact safety performance**

Safety Performance Objectives, Measures & Commitments (POMCs)

- **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 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 (POMCs) (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