Idaho National Engineering and Environmental Laboratory

DOE/DNFSB Interface Workshop Briefing

DOE Workshop Maintaining and Improving Established Integrated Safety Management Systems

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T. D. Lee

Performance Assurance Director

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Workshop Format and Content

- *General Session*
  - *Purpose*
  - *Requirements*
  - *Guidance*
  - *Expectations*
  - *Experience*
- *Breakout Sessions*
  - *DOE Oversight and Annual Reviews*
  - *Contractor Self-Assessments and Annual Evaluations*
  - *Updates to ISMS Descriptions and Safety Performance Objectives, Measures, and Commitments*
- *Closing Session*
  - *Best Practices*
  - *Issues*
  - *Recommendations*

Workshop Results

Best Practices

- *Measures and indicators of DOE performance (OAK)*
- *Robustness of field office oversight processes (SRO)*
- *DOE field office information tracking, trending, and reporting systems (ID,OAK)*
- *Promoting performance based assessments (RL/PNNL,OAK/LBNL)*
- *Integrated closure of corrective actions and findings (RF/RFETS)*
- *Implementation of DOE Policy 450.5 to reduce DOE oversight (OAK/LBNL)*
- *Senior management involvement (SRS, Y-12, RFETS, INEEL)*

Workshop Results

Best Practices (cont'd)

- *Partnering for common expectations and coordinated reviews (OAK/LBNL, RL/PNNL, ID/INEEL, YSO/Y-12, SRO/SRS, RF/RFETS)*
- *Continuous evaluation processes (RFETS, Y-12, INEEL, Fluor-Hanford)*
- *Real time feedback (RFETS, INEEL)*
- *Focus on small number of issues (RFETS, Fluor-Hanford)*
- *Formal, rigorous, annual, integrated evaluation of ISMS effectiveness (INEEL, SRS, Y-12)*
- *ISMS, VPP, and ISO 14001 EMS Integration(INEEL, Fluor-Hanford, SPRO)*
- *Human performance management (SRS, SPRO, INEEL, CH_2M Hill-Hanford)*

Workshop Results

Issues (Preliminary)

Requirements, guidance, intent, and expectations: not clear, not integrated, not understood, and not fully implemented/achieved

- *Maintenance of ISMS description documents*
- *Content of safety performance, objectives, measures, and commitments*
- *Use of DOE budget guidance and direction*
- *Identification of minimal system performance requirements (CPOF)*
- *Identification of measures of system effectiveness*
- *Completion of FRAMs*
- *Use of Guide 450.4-1B*
- *Scope and formality of DOE annual reviews*
- *Scope and formality of contractor annual evaluations*

Workshop Results

Recommendations (Preliminary)

- *Revise ISMS clause*
  - *Add requirement for annual evaluations*
  - *Delete reference to DOE budget guidance and direction*
  - *Add requirement for maintenance of ISMS description using NRC change process*
  - *Add requirement to fully describe ISMS maintenance and improvement processes in system description document*
- *Revise CPOF clause*
  - *Delete requirement for ISMS minimal performance requirements*
  - *Add (if necessary) penalties for not complying with ISMS clause*
- *Revise DOE budget guidance and direction*
  - *Delete guidance and direction for annual updates of safety performance objectives, measures, and commitments*
  - *Delete requirements for submittal and revision of related documents*

Workshop Results

Recommendations (Cont'd)

- *Complete/revise DOE FRAMs*
  - *Ensure clarity and consistency of requirements*
  - *Define and exemplify the scope, rigor, and formality of DOE annual reviews*
- *Revise DOE Guide 450.4-1B-Chapter 4*
  - *Define and exemplify safety performance, objectives, measures, and commitments*
  - *Define and exemplify measures of system effectiveness*
  - *Define (clarify) and exemplify the scope, rigor, and formality of contractor annual evaluations*
  - *Include results of above changes*
  - *Recommend schedules for completion of activities*
- *Issue instructions/expectations to all DOE/NNSA headquarters and field elements and contractors to implement the FRAMS and DOE Guide 450.4-1B - Chapter 4*

Workshop Results

Recommendations (Cont'd)

- *Hold an in-depth training workshop on ISMS maintenance and improvement using the revised requirements and guidance documents*
- *Establish a plan and schedule for full implementation and verification of ISMS maintenance and improvement processes including dates for:*
  - *Modification of all contractor and DOE field element ISMS description documents*
  - *Review of all contractor documents by field elements*
  - *Review of all contractor and field element documents by headquarters elements*
  - *Full implementation of processes*
  - *Verification of implementation by DOE headquarters led teams using Phase I and II ISMS verification processes*
- *Schedule and perform rigorous annual reviews by headquarters led teams at each site until the reviews at that site indicate full implementation of ISMS including maintenance and improvement processes*

Workshop Report

Executive Summary

Workshop Summary

1. *Background and Introduction*
2. *Requirements and Guidance*
3. *Intent and Expectations*
4. *Current Processes and Best Practices*
5. *Issues and Recommendations*
6. *Conclusions and Path Forward*