DATE: June 17, 1996

REPLY TO SMIT (McCoy/6-1419)

ATTN OF: AllN W

SUBJECT: REPORT OF COMPLETED ACTIONS ASSOCIATED WITH THE DEPARTMENT’S IMPLEMENTATION PLANS TO DEFENSE NUCLEAR FACILITIES SAFETY BOARD RECOMMENDATION 95-2

TO: Thomas P. Grumbly, Under Secretary

Appendix D to the subject implementation plan requires, in part, that the Safety Management Implementation Team develop and present an awareness briefing for Department and contractor management at the priority facilities regarding implementation of safety management systems. (Internal Management Action 5.a) Development of the awareness briefing was completed on May 31, 1996, and the briefing slides are attached for your information. The awareness briefings were successfully completed at each of the priority facilities during the two week period of June 3 - 14, 1996. In addition to conducting the briefings, I and other members of my team toured each of the priority facilities with facility management to develop a better understanding of the current state of maturity of safety management system implementation and consequent scope of effort to meet the implementation plan.

I would also like to formally report that establishment of the safety management implementation team and establishing team infrastructure to follow other related Department programs and initiatives for consistency with the implementation plan, pursuant to internal management action 1.a., was completed on May 16, 1996.

If you should have any questions on this matter please call me at (202) 586-1419.

Frank R. McCoy, III
Director, Safety Management Implementation Team

Attachment

cc w/attachment:
Mark Whitaker, S-3.1
Peter Brush, EH-2
Richard Guimond, EM-2
Victor Stello, DP-3
Defense Nuclear Safety Board 95-2
Department of Energy's Implementation Plan for

- Standards and Requirements
  - Identification of Safety

Balanced Profiles

- Controls
  - Implement
  - Develop/Perform

- Authorization
  - Operations

- Hazards
  - Analyze

- Feedback

- Improvement

- Scope of Work

- Define

- Work

- Tailored to
  - Hazard Control

- Line Management

- Responsibility for Safety

- Clear Roles and

- Responsibilities

- Competence

- Responsibilities with
  - Competence

- Work

- Performing

- Evaluated

- Integrated Safety Management
Anonymous -- any road will do, if you don't know where you're going.
Begin with the end in mind.

Cover "SAFETY WORK DO"
PROCESSING FACILITIES

ENVIRONMENTAL RESTORATION

"DO WORK SAFELY"

LABORATORIES

HAZARDOUS OPERATIONS

ACCOMPLISH?

WHAT OBJECTIVE ARE WE TRYING TO
Safety Management Functions

- Develop and Implement
- Establish and Monitor
- Train and Educate
- Evaluate and Improve
- Review and Adjust

Safety Work

Do

Analyze

Design

Safety

Work

Guiding Principles

- Line Management Support
- Line Management Planning
- Line Management Responsibility
- Competence and Cooperation
- Communication and Information
- Expectations for Safety

How is the Safety Management Objective Accomplished?
Safety Management Guiding Principles

- Operational Authorization
- Hazard Controls Tailored to Work Being Performed
- Identification of Safety Standards and Requirements
- Balanced Profiles
- Competence Commensurate with Responsibilities
- Clear Roles and Responsibilities
- Line Management Responsibility for Safety

Using the Safety Management Principles
Using the Safety Management Functions

Define Scope of Work

Develop/Implement Controls
- Categorize Hazards
- Identify and Analyze Hazards

Implement Controls
- Establish Safety Controls
- Identify Controls to Prevent/Minimize Hazards
- Identify Standards and Requirements

Perform Work
- Confirm Readiness
- Perform Work Safely

Work

Feedback/Improvement
- Enforcement - Oversight
- Make Changes to Improve
- Identify Improvement Opportunities
- Collect Feedback Information

Direction

Set Expectations
- Translate Mission Into Work
- Prioritize Tasks and Allocate Resources

Collect Feedback Information
- Enforcement - Oversight
- Make Changes to Improve
- Identify Improvement Opportunities
- Collect Feedback Information
Integrated Safety Management
Contract Envisioned by 95-2
Elements of an Authorization Basis
April 18, 1996

Washington, D.C., 20585

Integrated Safety Management

For the Development and Implementation of
Department of Energy Plan

Management Objective:

DOE SB Recommendation 95-2 Accomplish the Safety

How Does the Department's Implementation Plan for
Update the Functions, Assignments, and Responsibilities Manual

Provide Awareness Briefings

Develop Safety Management Contract Classes

Reconcile and Integrate Directives and Initiatives

Issue Guidance to Implementation System

Issue Department Policy and Notice

Commitments:

Integration of Safety into Work Planning and Execution

Principles:

Establish Clear Roles and Responsibilities

Operations Authorization

Identification of Safety Standards and Requirements

Affirm Line Management Responsibility for Safety
Develop Department-Wide Training
Establish DOE Core Technical Group Database
Develop Strategies for Improving Technical Expertise and Competence

Responsibilities:
Develop/Acquire Competence Consistent with Principle:
the safety management system as an integral part of work planning.

- Develop guidance for establishing out-year budget priorities for implementing

- Develop guidance and criteria for prioritizing beyond the priority facilities

  - Los Alamos National Laboratory/TASS and CMR
  - Oak Ridge/Y-12
  - Rocky Flats/Buildings 371 and 771
  - Savannah River Site/Canyons
  - Pantex/Cells and Bays
  - Lawrence Livermore National Laboratory/SuperBlock (Bldg 332)
  - Hanford/K-Basins and Tank Farms

facilities.

Implementation of the safety management system at the ten (10) priority

Provide, by July 1996, a progress report on the approach and schedule for

Commitments:

Principle:

their hazardous and their importance to defense and cleanup.

Prioritize the department's facilities and activities according to

Principle:
Principle:

Tailor hazard controls to the work being performed.

Commitments:

- Develop guidance for tailoring the level of controls necessary for performance of work for facilities and activities.
Who Is The Safety Management Implementation Team

Management Objective:
and What Is Their Role in Accomplishing the Safety

Advisory/Support Team:

Core Team:

Linda Wright - Admin. Assl.
Joe Nether
Bob Krinde
Richard Wolfe

Infrastructure Support:
Proposed Administrative:

Cheryl Zauda (FP)
Debra Sargent (FP)
Dan Rose (FP)
Charles O'Dell (EM)
Mary Mahnert (EM)
Shea King (Finance)
John Hobbs (ID)
Dick Crowe (DP)
Charles Phillips (IP)

Headquarters:

Schlumberger

Albuquerque
Superblock

LANL

Las Cruces

Rocky Flats

Camponex

TAXS

San Juan River

Julia SF (EE)

Dave Roth (DP)

Emil Morrow (DP)

Joe King (DP)

Mary Hambrey (EE)

Bill Haltman (NE)

Kevin Greenough (DP)

Dick Earl (IP)

Tom Evans (HR)

Charles Brouillard (EM)

Headquarters:

Oak Ridge

V-12

Iaho

Chicago

John Hoppis

John Adachi

David Hagg

Robert Poe

Robert Poe

Deo Sarver

Randy Cleddenming

Sue King

Dan Glenn

Dan Rose

Charles Simkins

Charlie Johnson

Bob Heidt

Charlie Hansen

Frank McCoy (SR)
Safety Management Implementation Team Director

Under Secretary

Tom Grumley
How will the 95-2 Effort be Focused?

Focus 1
Establish an acceptable management system at each of the 10 priority sites by building upon existing site-specific processes, and reconciling and establishing a department-level management system.

Focus 2
Identify and establish priority initiatives with the safety and health programs, and initiatives in the existing directives and regulations. Develop a process for reconciling and aligning initiatives with the safety and health programs, and initiatives in the existing directives and regulations.

Focus 3
Outline an approach to improve and maintain the safety technical expertise/competence. Develop project management including action item tracking, issue resolution, and development of integrated project plans.

Focus 4
Learned communications, briefings, and lessons.

Focus 5
Contract clauses, develop policy, guidance, and...
Near-Term Actions (Phase 1)

- Implement the 95-2 Safety Management System
- What are the Immediate Activities Necessary to

Near-Term Actions (Phase 2)

- Assess resource capability and provide preliminary needs request
- Approve and schedule for Safety Management System Implementation
- Brief Program Office / Contractor, Secretary, and DNFSD on current

Contractor and Field Management

Field Office Managers

Reconciliation

Safety Management System Guiding Principles and Functions and develop plan for.

- Identify staff technical needs.
- Evaluate ability to support assigned responsibilities.
- Assess contractor's implementation status and plan for reconciliation.

What do you need from my team?

What competencies are you missing?

Can it be reconciled?

What doesn't work? Why?

Can it be Exported?

What works? Where?
Safety Management Functions

- Do
  - Analyze hazards
  - Do risk assessment
  - Do HACCP
  - Do employee involvement
  - Do training

- Work
  - Do Quality
  - Do Environmental
  - Do Health

Safety Management Principles

- Business
  - The Safety Management System is an integral part of doing business.
  - The Safety Management System is an integral part of doing business.
  - The Safety Management System is an integral part of doing business.

- Needs
  - Needs
  - Needs
  - Needs

- Implemented
  - Implemented
  - Implemented
  - Implemented

- Line management
  - Line management
  - Line management
  - Line management

- Responsibility
  - Responsibility
  - Responsibility
  - Responsibility

- Consistent
  - Consistent
  - Consistent
  - Consistent

- Identified safety requirements
  - Identified safety requirements
  - Identified safety requirements
  - Identified safety requirements

- Accomplished
  - Accomplished
  - Accomplished
  - Accomplished

Successful Integrated Safety Management

Do Work Safely!