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1. Title for Conference or Meeting ISMS National Workshop

2. Group Sponsoring DOE/Fluor Hanford

3. Date of Conference 12/5-6/2000

4. City/State Pasco, Washington

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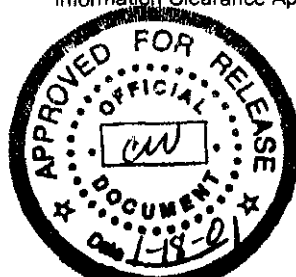
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Effective ISMS Oversight with DOE Policy 450.5 Integrated at Hanford

Prepared for the U.S. Department of Energy
Assistant Secretary for Environment, Safety and Health

Project Hanford Management Contractor for the
U.S. Department of Energy under Contract DE-AC06-96RL13200

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EFFECTIVE ISMS OVERSIGHT WITH
DOE POLICY 450 5
INTEGRATED AT HANFORD

Presented by L. D. Arnold
Fluor Hanford/ES&H

Fluor Hanford ISMS & DOE Policy (P) 450.5

- DOE Policy 450.5
 - This policy establishes expectations for DOE and contractor self-assessment and line management oversight programs relative to Environment, Safety, and Health Oversight.

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Background

In early fiscal year 2000, the Secretary of Energy established the goal that all DOE Operations/Field offices achieve successful ISMS implementation by September 30, 2000.

DOE approved FH's ISMS August 3, 2000
DOE's declared successful ISMS implementation for RL and RL Prime Contractors September 20, 2000

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How DOE P 450.5 is formalized within Fluor Hanford Project

-DOE P 450.5 published June 26, 1997 is implemented through Fluor Hanford's Contract:

(1) SECTION H-SPECIAL CONTRACT REQUIREMENTS

Paragraph H.41-Performance Objectives-Measures-Expectations, and Fee Distributions

(2) ISMS-SYSTEM DESCRIPTION 1.0 INTRODUCTION

FY 2001 Performance Incentive

- **Performance Objective #1: Safety:** Protect worker safety and health, public safety and health and the environment
- **In accordance with:** DEAR Clause 970.5204-2 (dated June 1997), and reference to DOE Policy 450.5 as a guide, and the Contractor's memorandum FH-005248, dated 9/26/00, review, update, and submit, for DOE-RL approval, safety performance objectives, performance measures, and commitments
- **Fee Schedule:** Negative fee of 20% if not met
- **Performance Expectation:** Maintain and Improve the ISMS

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Definitions

- **Performance Measure**-a general term that includes quantifiable outputs and outcomes, plus metrics such as performance indicators that demonstrate progress performance towards the desired performance objectives and expectations.
- **Performance Objectives**-are statements of desired near term outcomes or results of projects that contribute to an organizations strategic outcome.

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Definitions

- **Performance Expectations**-Expectations are the desired condition or target level of performance for each performance measure. They indicate the specific quantity or milestone date that is expected from successful execution of the project baseline for a given performance period.
- **Performance Incentive**-"After determination of objectives, measures, expectations, and related fee distribution for a fiscal year, the Contractor and DOE shall execute Performance Incentives in the format included in Section J, Appendix D, for each incentive. The Performance Incentives set forth the agreed upon criteria/specifications for acceptable performance of such objectives, measures, and expectations."

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Guiding Principles

1. Line Management Responsibility for Safety
2. Clear ES&H Roles & Responsibilities
3. Competence Commensurate with Responsibilities
4. Balanced Priorities
5. Identification of ES&H Standards & Requirements
6. Hazard Controls Tailored to Work Being Performed
7. Operations Authorization
8. Worker Involvement
9. Communication & Stakeholder Involvement
10. Continuous Improvement
11. Senior Management Involvement

Core Functions

1. Establish ES&H Policy
2. Define Scope of Work
3. Identify Hazards & Requirements
4. Analyze Hazards & Implement Controls
5. Perform Work within Controls
6. Feedback & Improvement
7. Management Review

1. A robust, rigorous, and credible contractor ES&H self-assessment program linked to the DOE Safety Management System is in place, which includes elements that address:

- a. **Performance measures and performance indicators**
- b. Line and independent evaluations
- c. **Compliance** with applicable requirements (Rules, regulatory standards, contract terms)
- d. **Data collection, analysis, and corrective actions**
- e. **Continuous feedback and performance improvement**

As an effective contractor self-assessment program is established, the DOE field element oversight function transitions to:

- a. **Operational awareness** of contractor work activities
- b. **Review of performance against formally established** ES&H performance measures
- c. **Review and assessment in support of required** readiness assessments, operational readiness reviews
- d. A periodic, value-added appraisal of sufficient frequency and duration to confirm the contractor's safe performance of work and the effectiveness of the self-assessment program.
- e. For-cause reviews, as necessary.

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DOE Field Office Responsibility

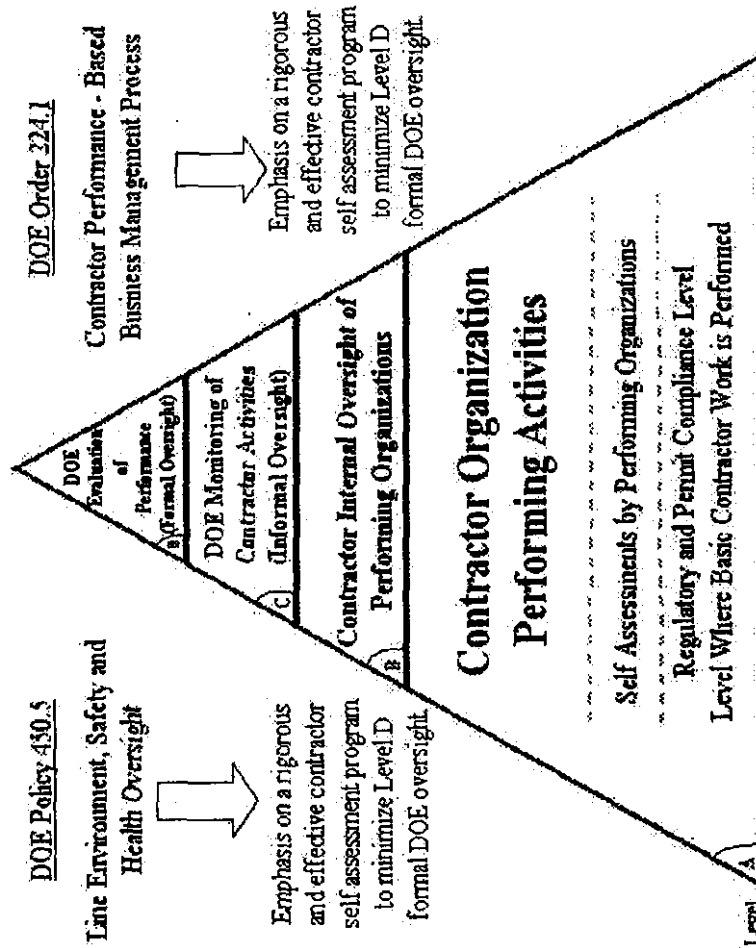
DOE Safety Management System is in place, which includes elements that address:

- Performance measures and performance indicators
- Line and independent evaluations
- Compliance with applicable requirements (Rules, regulatory standards, contract terms)
- Data collection, analysis, and corrective actions
- Continuous feedback and performance improvement

The results and conclusions of the contractor self-assessments are available to DOE.

As an effective contractor self-assessment program is established, the DOE field element oversight function transitions to:

- Operational awareness of contractor work activities, typically through DOE local line managers and staff such as facility representatives, subject matter experts, and other specialists.
- Review of performance against formally established ES&H performance measures, other ES&H performance indicators, and using contractor self-assessments.
- Review and assessment in support of required readiness assessments, operational readiness reviews, Safety Management System documentation and onsite verification reviews, and authorization basis document reviews.
- A periodic, value-added appraisal of sufficient frequency and duration to confirm the contractor's safe performance of work and the effectiveness of the self-assessment program. A cost-effective appraisal meeting the intent of this policy might need to be no more than 2 weeks in duration and no more than once a year at each site.
- For-cause reviews, as necessary.



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Fluor Hanford Documents Related to DOE (P) 450.5

Doc #	Title	Doc #	Title
FDH-5096	Feedback and Improvement Process	HNF-PRO-0246	Management Assessment
HNF-4361	PHMC Expectations for Worker Involvement	HNF-PRO-0265	Standards/Requirements Identification Document Process
HNF-4467	Feedback and Improvement Policy	HNF-PRO-0388	Radiological Problem Reports
HNF-5599	Quality Assurance Policy	HNF-PRO-0430	Safety Analysis Program
HNF-MD-0018	Performance Reporting	HNF-PRO-0450	Air Quality-Radioactive Emissions
HNF-MD-4821	Guidance for Flow Down of ISMS Requirements to Lower Tier Subcontracts	HNF-PRO-0462	Pollution Prevention
HNF-MP-599	Project Hanford QA Program Description	HNF-PRO-0653	Deficiency Tracking System
HNF-POL-PROCEDURE	Procedure Compliance Expectations	HNF-PRO-0696	Conduct of Operations Policy
HNF-PRO-0052	Corrective Action Management	HNF-PRO-1623	Radiological Work Planning Process
HNF-PRO-0060	Reporting Occurrences and Processing Operations Information	HNF-PRO-2243	Nuclear Safety Requirements Noncompliances
HNF-PRO-0067	Managing Lessons Learned	HNF-PRO-2258	Chemical Management
HNF-PRO-0074	Safety Responsibilities	HNF-PRO-2595	Air Quality Program-Nonradioactive Emissions
HNF-PRO-0076	Safety Inspections	HNF-PRO-2701	Authorization Envelope and Authorization Agreement
HNF-PRO-0079	Job Hazard Analysis	HNF-PRO-4294	Performance Indicator Process
HNF-PRO-0154	Responsibilities and Procedures for all Hazardous Material	HNF-PRO-0164	Training Identification and Training Matrix

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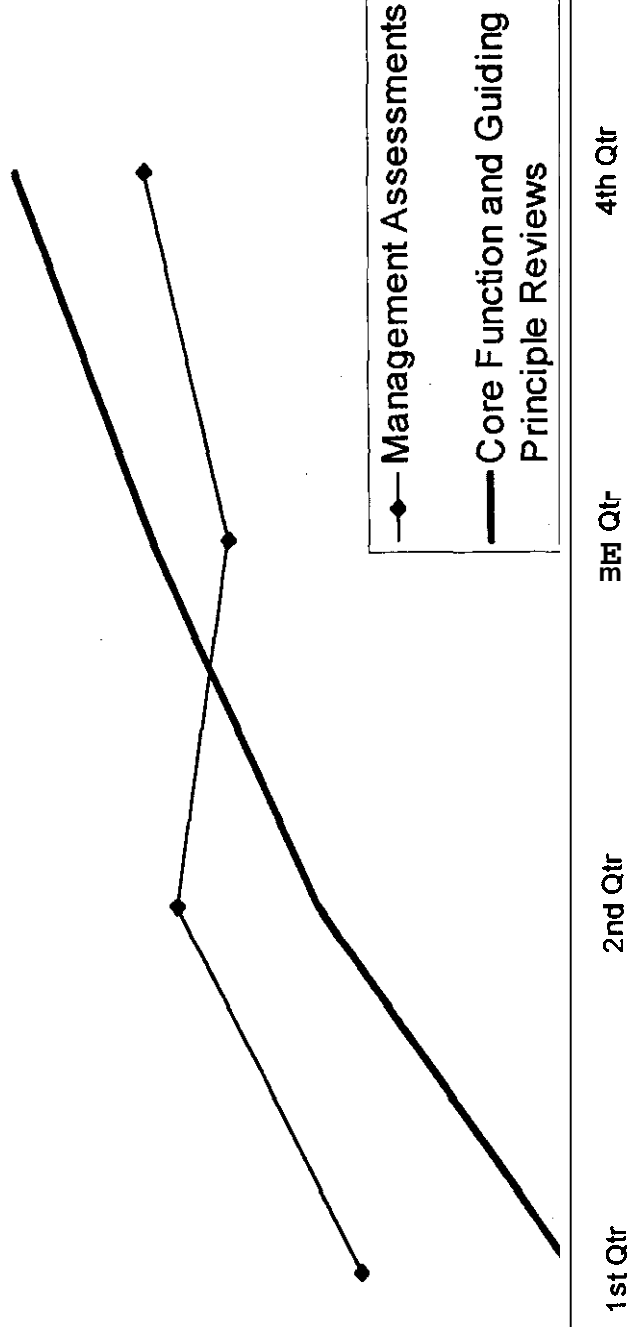
METRICS

<u>Contractor</u>	<u>DOE</u>
• Self-Assessment Results	• Facility Representative
• FEB Independent Assessment Results	Reports
• Performance Indicator/Trend Reports	• DOE Internal/External Audits
• Occurrence Reporting System	
• Corrective Actions Management System	

Management Assessment Summary

- Total Management Assessment-623
- Observations-2,604
- Deficiencies into CAM-217
- 85% Management Assessments were related to ISMS

FY 2000 Management Assessments and Reviews



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Status of Feedback & Improvement

- Based on Detailed Evaluation of Feedback & Improvement Data
- Identifying Performance Indicators for 30 ISMS Implementing Mechanism (Policy & Procedures)

▼	12/1/2000	Analyze Data	▼	1/15/2001	First Draft of ISMS Annual Review Set Baseline of Performance Indicators	▼	3/15/2001	2 nd Draft w/Client Comments	▼	6/30/2001	Final Report to DOE/Client Set PI goals and objectives for FY 2002
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- ISMS is a dynamic system
- DOE Policy 450.5 is implemented by FH § DOE procedures, policies, and programs already in place
- The combined goal of this policy and ISMS is continual improvement in “doing work safely”

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REFERENCES

FH

PHMC Contract-

<http://www.hanford.gov/phmc/phmc.htm>

PHMC Document System-

<http://apweb02/phmsdol/index.cfm>

ISMS Home Page-

<http://www.rl.gov/safety/isms/index.htm>

Quality Assurance-

<http://www.rl.gov/qa/index.html>

DOE

ex.htm

gov/ism/

76/pdfs/doe/

[http://www.explorer.doe.gov:1776/pdfs/doe/
doetext/neword/450/p4505.pdf](http://www.explorer.doe.gov:1776/pdfs/doe/doetext/neword/450/p4505.pdf)

450.6-

[http://www.explorer.doe.gov:1776/pdfs/doe/
doetext/neword/450/p4506.pdf](http://www.explorer.doe.gov:1776/pdfs/doe/doetext/neword/450/p4506.pdf)