INTEGRATED SAFETY MANAGEMENT SYSTEM DESCRIPTION

U.S. DEPARTMENT OF ENERGY
RICHLAND OPERATIONS OFFICE

Approved by David A. Brockman, Manager: David A. Brockman **Date:** 9/26/07

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Acronyms

CPOF	Conditional Payment of Fee
DNFSB	Defense Nuclear Facilities Safety Board
DOE	U.S. Department of Energy
EMS	Environmental Management System
FEOSH	Federal Employee Occupational Safety and Health
FRAM	Functions, Responsibilities, and Authorities Manual
GFI/S	Government Furnished Information and Services
HQ	Headquarters
IPP	Individual Performance Plan
ISM	Integrated Safety Management
ISMS	Integrated Safety Management System
MSS	Management System Steward
PHMC	Project Hanford Management Contract
POMCs	Performance Objectives, Measures and Commitments
QAP	Quality Assurance Program
RCC	River Corridor Cleanup
RIMS	Richland Integrated Management System
RL	U.S. Department of Energy Richland Operations Office
ROD	Requirements Records of Decision
SSO	Safety System Oversight
TQP	Technical Qualification Program

1.0 Introduction

The purpose of this Integrated Safety Management System (ISMS) Description is to describe the U.S. Department of Energy (DOE), Richland Operations Office (RL) ISMS as implemented through the RL Integrated Management System (RIMS). This document does not impose additional requirements but rather provides an overview describing how various parts of the ISMS fit together. Specific requirements for each of the core functions and guiding principles are established in other implementing processes, procedures, and program descriptions that comprise RIMS.

RL is organized to conduct work through operating contracts; therefore, it is extremely difficult to provide an adequate ISMS description that only addresses RL functions. Of necessity, this document contains some information on contractor processes and procedures which then require RL approval or oversight. Full descriptions of the contractors' ISM System Descriptions are set forth in the following:

- Contractor's approved ISM System Descriptions; and
- Various contractor organization-specific procedures.

This document will be reviewed annually and updated as necessary. The ISMS Description applies to all RL organizational elements via the RIMS.

2.0 RL Systems and Structure

2.1 Background

The Richland Operations Office (RL) establishes and manages the contracts of the Hanford Site to:

- Restore the Columbia River Corridor, a band of culturally rich land along the Columbia River, which was formerly used by DOE for nuclear fuel fabrication, production reactors and research and development activities (RCC contract) and;

- Transition the Central Plateau of the Hanford Site for waste treatment and long-term storage (PHMC contract).

Through these contracts RL:

- Safely dispositions nuclear waste and materials;

- Safeguards materials that could be used in nuclear weapons;

- Deactivates and decommissions contaminated facilities no longer needed to support the Department's mission; and

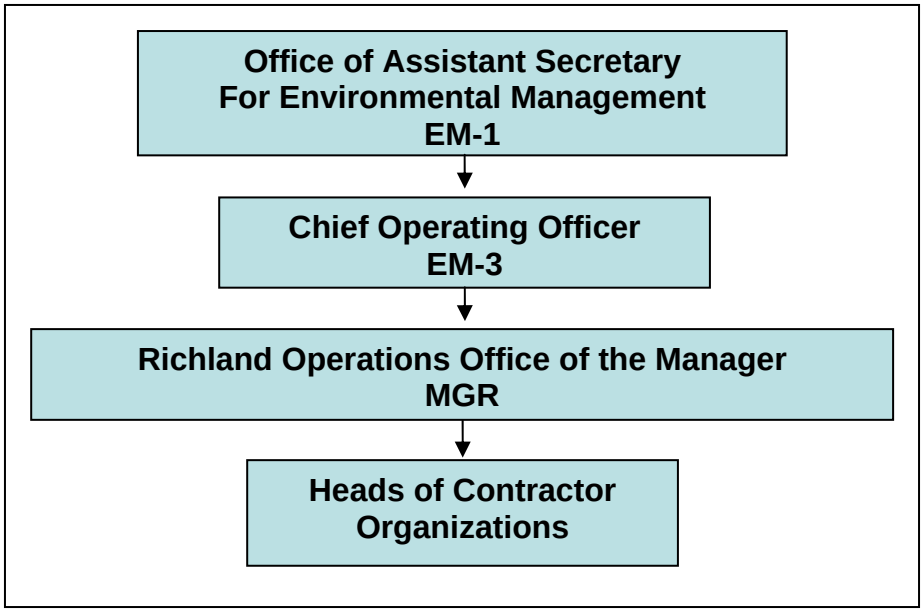
- Remediates surface and subsurface soils, and groundwater contaminated with radioactive and hazardous wastes.

RL is committed to fulfilling this complex and hazardous mission in a manner that affords maximum protection of the public, our Federal, contractor, and subcontractor workers, and the environment. RL is fully dedicated to performing its mission in compliance with the protective statutes enacted by Congress for protection of workers, the public and the environment, and for exercising good stewardship of public property. This protection is effected at all levels (site, facility, task and activity) by insisting on and routinely verifying that mission work is conducted following the five Integrated Safety Management Core Functions established in DOE Policy 450.4, *Safety Management System Policy* in a manner that is consistent with and satisfies the seven ISM Guiding Principles also established in DOE P 450.4, *Safety Management System Policy*.

This ISM System Description describes RL's processes for planning, approving, overseeing, and improving the safe conduct of work as required by DOE P 450.4. This document also integrated the four supplemental safety culture elements from the DOE 2004-1 Implementation Plan with the existing seven guiding principles.

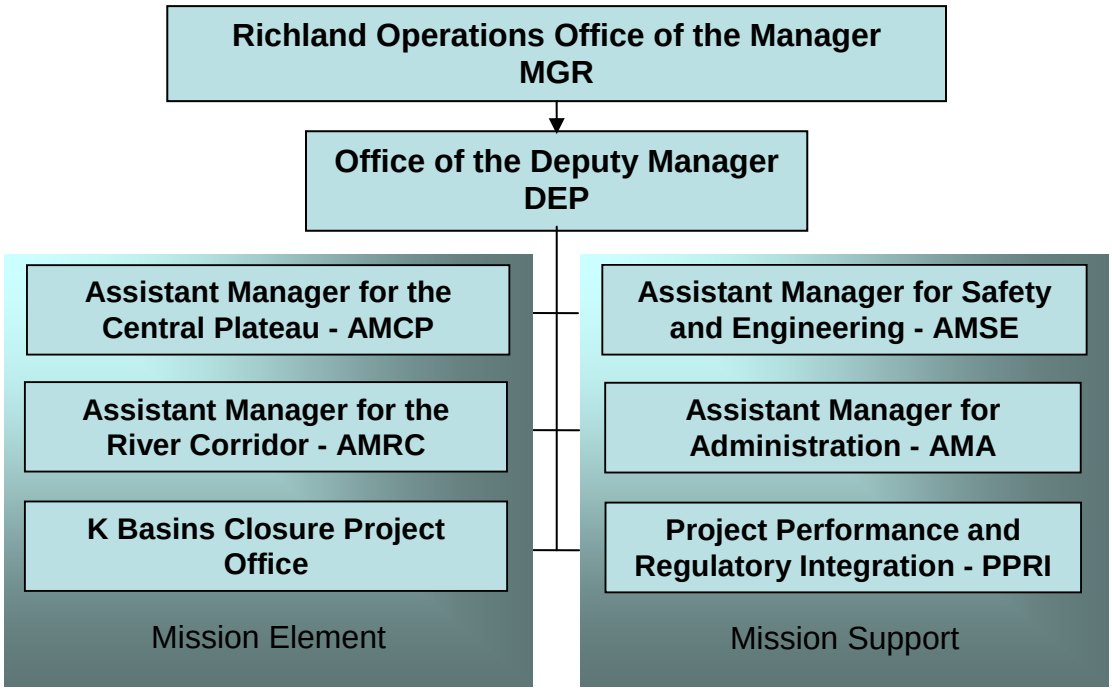
2.2 Line Management

DOE-HQ and field organizations with responsibility for mission-related work are considered to be line organizations. The RL line organization extends directly from the Secretary of Energy through EM to the Field Element Manager to the head of each contractor organization. The RL Field Element Manager is the line manager for RL. The RL line organization is defined in the *Functions, Responsibilities and Authorities Manual for the U.S. Department of Energy, Richland Operations Office (RL/RIM-2002-01, Rev 5)* and is displayed below.



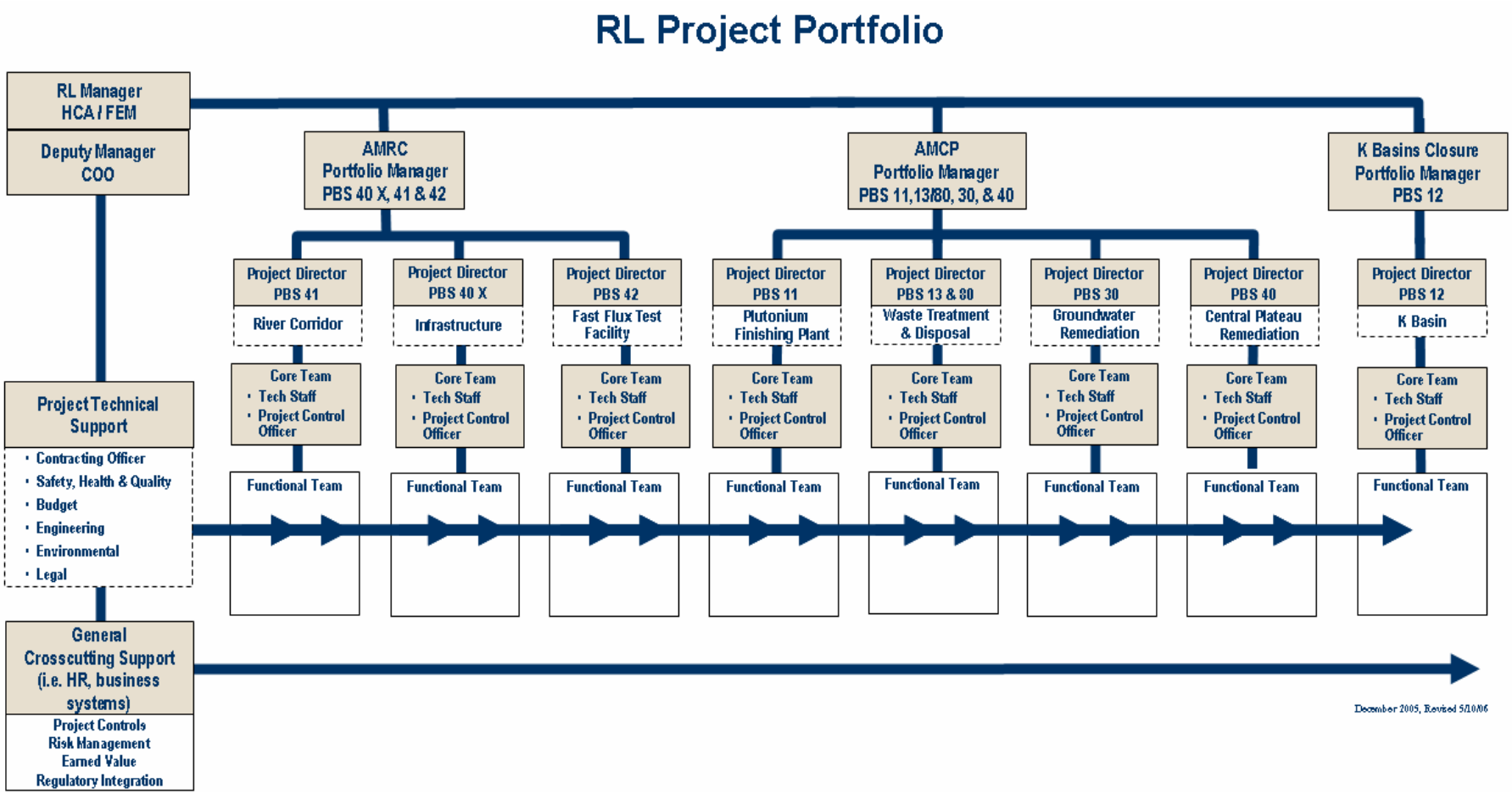
2.3 RL Organization

The RL organizational structure is generally configured to focus on two major areas of authority: 1) mission elements that establish mission direction, define work, interact with customers, and oversee the work of the contractors to achieve mission outcomes (e.g., Office of Assistant Manager for River Corridor, Office of Assistant Manager for Central Plateau, K Basins Closure Project Office) and 2) mission support elements that provide the necessary support services and infrastructure required to meet customer needs (e.g., Office of Assistant Manager for Safety and Engineering, Office of Assistant Manager for Administration, Office of Project Performance and Regulatory Integration, etc.). The RL organization is displayed below.



2.4 Project Portfolio

Consistent with DOE O 413.3, RL has identified Federal Project Directors for each of the EM projects that RL is charged with executing. As needed, staff from across the organization is assigned to support each project as members of an integrated project team. See the RL Project Portfolio graphic on the following page.


RL Project Portfolio
RL Manager
HCA / FEM
Deputy Manager
COO
AMRC
Portfolio Manager
PBS 40 X, 41 & 42
AMCP
Portfolio Manager
PBS 11,13/80, 30, & 40
K Basins Closure
Portfolio Manager
PBS 12
Project Director
PBS 41
River Corridor
Project Director
PBS 40 X
Infrastructure
Project Director
PBS 42
Fast Flux Test Facility
Project Director
PBS 11
Plutonium Finishing Plant
Project Director
PBS 13 & 80
Waste Treatment & Disposal
Project Director
PBS 30
Groundwater Remediation
Project Director
PBS 40
Central Plateau Remediation
Project Director
PBS 12
K Basin
Core Team
• Tech Staff
• Project Control Officer
Functional Team
Project Technical Support
• Contracting Officer
• Safety, Health & Quality
• Budget
• Engineering
• Environmental
• Legal
General Crosscutting Support (i.e. HR, business systems)
Project Controls
Risk Management
Earned Value
Regulatory Integration
December 2005, Revised 5/10/06

2.5 Richland Integrated Management System (RIMS)

All of RL works to one set of integrated processes and procedures found in RIMS. RIMS describes *how* the federal work will be accomplished. There are 15 organization-neutral management systems that define how RL operates:

- Acquisition Management (AM)
- Asset and Infrastructure Management (AIM)
- Communications (COM)
- Contractor Integrated Performance Evaluation (CIPE)
- Environmental Management (EM)
- Financial Management (FM)
- Human Resources (HR)
- Information Management (IM)
- Integrated Management and Planning (IMP)
- Legal Services (LS)
- Project Management (PM)
- Requirements and Products Management (RPM)
- RL Performance Improvement (RLPI)
- Safety and Health Management (S&H)
- Security and Emergency Services (SES)

Each management system is comprised of a related set of requirements-based processes and procedures used by the RL staff to perform their assigned work activities. Each management system is led by an experienced RL staff member who serves as the Management System Steward (MSS), and further overseen by a senior RL staff manager who serves as the Management System Champion. Management System Stewards and Champions are assigned by the RL Field Element Manager. The management system is described by the steward in a management system description.

RL assigns each requirement that drives the work of federal and contractor staff to a management system. The MSS completes a Requirements Record of Decision (ROD) for each requirements document that describes RL's planned or actual implementation of each requirement or responsibility statement applicable to the RL Field Element Manager (and RL staff). All DOE policies, orders, notices, manuals, and delegations of authority from Headquarters must have RODs completed. Management System Stewards are responsible to identify other requirement documents such as regulations (e.g., 10CFR830, Washington Administrative Codes, Federal Acquisition Regulations, Department of Energy Acquisition Regulations), Defense Nuclear Facilities Safety Board (DNFSB) implementation plans, or letters of direction which are also analyzed following this procedure. Planned implementation actions are tracked to completion.

Based upon the ROD analysis, requirements are translated by the MSS (with support from subject matter experts) into crosscutting processes, procedures, program descriptions, and Contractor Requirements Documents. Crosscutting processes and procedures delineate the roles and responsibilities of federal staff and describe the steps necessary to fulfill the federal work in an

efficient, consistent, and effective manner. Program descriptions are prepared when required by regulations or to communicate how related processes work together. Contractor Requirements Documents are incorporated into contracts for contracted work. Organization-specific procedures describe how work is accomplished within an individual organization.

This documented set of systems, processes, procedures, and program descriptions is kept current and accurate and is deployed electronically on the RIMS shared area for easy access by all RL employees. The RODs are available from Richland's Integrated Data Management System. (See the Requirements Management crosscutting process for more detail.)

At the highest level, federal policies and RL's values are reflected in RL Policies and Operating Principles. Federal staff's roles and responsibilities can be found within RIMS via the RL FRAM that delineates activities, directives, and those responsible for leading implementation of the requirements; RL Core Roles, Responsibilities, Accountabilities, and Authorities; and the RIMS Directory that provides a main point of contact for a product, requirement, or service.

2.6 Integration with Environmental Management System (EMS) and Quality Assurance (QA) Program

RL has included our EMS procedures in RIMS, thereby assuring consistency and integration between the ISMS and EMS. RL's EMS is specifically discussed in a program description and is built into the procedures found in the Environmental Management System.

RL's QA Program Description describes the federal role for each of the ten QA criteria. Following the identification of each individual criterion, the requirements associated with that criterion are identified. For each criterion, under the heading of General Information, RL Management Expectations are identified that must be accomplished to comply with this program, along with a discussion that amplifies the expectations and/or provides necessary background. The document then, under a heading of Implementation, provides a link to the RIMS documents (procedures, program descriptions, etc.) that implement the applicable requirements at RL. This assures consistency and integration between the QA program and ISMS.

2.7 Integration with Integrated Safeguards and Security Management System (ISSMS)

RL has included our ISSMS procedures in RIMS, thereby assuring consistency and integration between the ISMS and ISSMS. RL's ISSMS is discussed in the procedures found in the Security and Emergency Services Management System.

3.0 RL Implementation of Core Functions and Guiding Principles

ISM involves the integration of safety awareness and practices into all aspects of work performance. An ISMS, such as RIMS, defines formal processes where people plan, perform, assess and improve the safe conduct of work. Safety is integral to the planning and accomplishment of each work task. RL Federal staff plan, oversee, assess and conduct work in a manner that protects the worker, the public and the environment.

DOE established the approach to integrating safety into all aspects of work at its facilities in DOE P 450.4. This Policy describes the safety management system as consisting of six components: 1) the objective, 2) Guiding Principles, 3) Core Functions, 4) mechanisms, 5) responsibilities, and 6) implementation. See figure 1. The objective, Guiding Principles and Core Functions of safety management are used consistently in implementing safety management throughout the DOE complex. The mechanisms, responsibilities, and implementation components are unique to the organization that owns the System, and are established according to the type of work and hazards associated with that work. RL mechanisms, responsibilities, and implementation components are described within this ISMSD and the associated Management System processes, procedures and system descriptions contained in RIMS. The following sections describe each of the Core functions and Guiding Principles and the RL implementing documents (i.e. Management System processes and procedures).

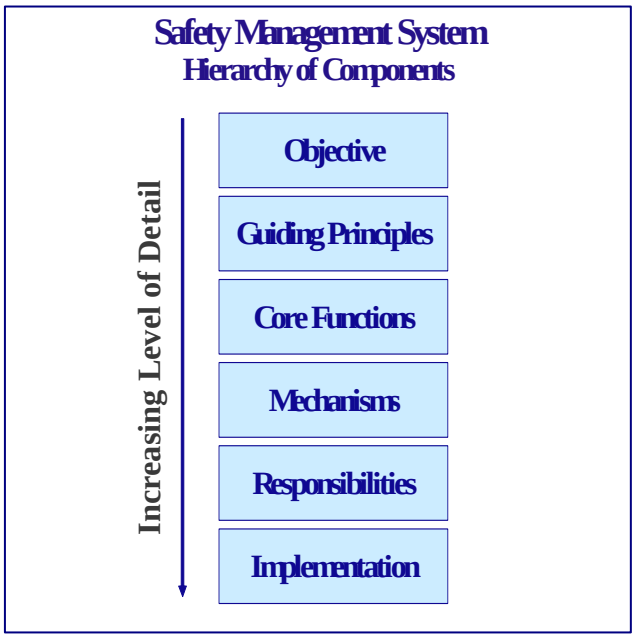


FIGURE 1. ISMS COMPONENTS

3.1 Core Function 1, Define Scope of Work

Missions are translated into work, expectations are set, tasks are identified and prioritized, and resources are allocated.

Guiding Principle - Balanced Priorities
An effective safety management system requires that resources be appropriately allocated to address safety, programmatic, and operational considerations. Protecting the public, workers, and the environment shall be a priority when work activities are planned and performed.

Supplemental High-Reliability Principle - Performance Assurance
Competent and independent oversight is an essential source of feedback to management. The feedback verifies expectations are being met and identifies opportunities for improvement.

RL Implementation - Define Scope of Work
Acquisition Management System • *Acquisition Planning* crosscutting process (*Planning and Coordination* and *Acquisition Plan and Requirements Package* procedures) • *Solicitation and Award* crosscutting process (*Solicitation, Source Evaluation,* and *Negotiate and Award* procedures) • *Contract Management* crosscutting process (*Contract Startup, Contract Administration, Performance Incentives Development and Evaluation Process,* and

RL Implementation - Define Scope of Work
Closeout procedures)
Asset and Infrastructure Management System
• *Real Estate and Real Property* crosscutting process (*Real Property Management Using NEPA* procedure)
Communications
• *Public Affairs* crosscutting process (*Public Involvement*, and *Guidelines for Answering Hanford Advisory Board Advice* procedures)
Contractor Integrated Performance Evaluation Management System
• *Oversight Planning* crosscutting process *(Integrated Evaluation Planning* procedure*)*
Environmental Management System
• *CERCLA Removal Actions* crosscutting process (*Risk-Based ARARs Process* and *CERCLA Decommissioning* procedures)
• *Environmental Compliance & Permits Management* crosscutting process (*Providing Environmental Regulatory Guidance, Policy, Opinions, Recommendations, and Agency Positions* procedures)
• *NEPA Analysis at Hanford* crosscutting process *(NEPA Analysis, Categorical Exclusions, Environmental Assessment and Finding of No Significant Impact Statement delegated Authority, Environmental Impact Statement Non-Delegated Authority, Supplemental Analysis, NEPA Scoping,* and *SEPA Environmental Check list for Permitting* procedures*)*
Financial Management System
• *Acquire Funds* crosscutting process (*Acquire EM Funding, Acquire Non-EM Funding,* and *Acquire Program Direction Funding* procedures)
• *Decisions on Allocation and Adjustment of Funds* crosscutting process (*EM Programs, Non-EM Programs, Program Direction Funding,* and *Allocation and Adjustment of RL Managed Funding* procedures)
Integrated Management and Planning Management System
• *Decision Management* crosscutting process (*Project Documents and Data*, and *Energy Systems Acquisition Advisory Board* procedures*)*
• *RL Integrated Baseline Management* crosscutting process (*Maintain RL Integrated Baseline, Scorecard Develop and Maintain,* and *Evaluate Baseline Alternatives* procedures)
Project Management System
• *Project Planning* crosscutting process (*Integrated Project Team and Charter, Tailoring*, and *Project Documentation* procedures)
Safety and Health Management System
• *Safety Documentation Review and Approval* crosscutting process *(Authorization Basis, Unreviewed Safety Question Discovery, Contractor Operations Safety and Health Documents,* and *Safety Requirements for Contracts/Realty Agreements/Inter-Entity Work Orders* procedures*)*

3.2 Core Function 2, Identify and Analyze Hazards

Hazards associated with work are identified, analyzed, and categorized.

Guiding Principle - Balanced Priorities
An effective safety management system requires that resources be appropriately allocated to address safety, programmatic, and operational considerations. Protecting the public, workers, and the environment shall be a priority when work activities are planned and performed.

Supplemental High-Reliability Principle - Performance Assurance
Competent and independent oversight is an essential source of feedback to management. The feedback verifies expectations are being met and identifies opportunities for improvement.

RL Implementation - Identify and Analyze Hazards
Acquisition Management System • *Acquisition Planning* crosscutting process (*Planning and Coordination* and *Acquisition Plan and Requirements Package* procedures) • *Solicitation and Award* crosscutting process (*Solicitation, Source Evaluation,* and *Negotiate and Award* procedures) • *Contract Management* crosscutting process (*Contract Startup, Contract Administration, Performance Incentives Development and Evaluation Process,* and *Closeout* procedures) Asset and Infrastructure Management System • *Real Estate and Real Property* crosscutting process (*Real Property Management Using NEPA* procedure) Contractor Integrated Performance Evaluation Management System • *Oversight Planning* crosscutting process *(Integrated Evaluation Planning* procedure*)* • *Facility Representative* Program Description Environmental Management System • *CERCLA Removal Actions* crosscutting process (*Risk-Based ARARs Process* and *CERCLA Decommissioning* procedures) • *Environmental Compliance & Permits Management* crosscutting process (*Providing Environmental Regulatory Guidance, Policy, Opinions, Recommendations, and Agency Positions* procedures) • *NEPA Analysis at Hanford* crosscutting process *(NEPA Analysis, Categorical Exclusions, Environmental Assessment and Finding of No Significant Impact Statement delegated Authority, Environmental Impact Statement Non-Delegated Authority, Supplemental Analysis, NEPA Scoping,* and *SEPA Environmental Check list for Permitting* procedures*)* • *Environmental Monitoring,* and *Radiation Protection of the Public and the Environment* program descriptions Financial Management System • *Acquire Funds* crosscutting process (*Acquire EM Funding, Acquire Non-EM Funding,* and *Acquire Program Direction Funding* procedures) • *Decisions on Allocation and Adjustment of Funds* crosscutting process (*EM*

RL Implementation - Identify and Analyze Hazards
Programs, Non-EM Programs, Program Direction Funding, and *Allocation and Adjustment of RL Managed Funding* procedures) Integrated Management and Planning Management System • *Decision Management* crosscutting process (*Project Documents and Data*, and *Energy Systems Acquisition Advisory Board* procedures*)* • *RL Integrated Baseline Management* crosscutting process (*Maintain RL Integrated Baseline, Scorecard Develop and Maintain*, and *Evaluate Baseline Alternatives* procedures) Project Management System • *Project Planning* crosscutting process (*Integrated Project Team and Charter, Tailoring*, and *Project Documentation* procedures) Safety and Health Management System • *Safety Documentation Review and Approval* crosscutting process *(Authorization Basis, Unreviewed Safety Question Discovery, Contractor Operations Safety and Health Documents,* and *Safety Requirements for Contracts/Realty Agreements/Inter-Entity Work Orders* procedures*)* • *Federal Employee Occupational Safety and Health (FEOSH)* program description Security and Emergency Services Management System • *Contractor Workplace Substance Abuse Programs* crosscutting process *(Evaluating Contractor Implementation Workplace Substance Abuse Programs* procedure*)*

3.3 Core Function 3, Develop and Implement Hazard Controls

Applicable standards and requirements are identified and agreed on, controls to prevent or mitigate hazards are identified, the safety envelope is established, and controls are implemented.

Guiding Principle - Identification of Safety Standards
An effective safety management system requires that before work is performed, associated hazards are evaluated and safety standards and requirements are established. Safety standards and requirements should provide adequate assurance that if they are properly implemented, the public, workers, and environment will be protected from adverse consequences.
Guiding Principle - Hazard Controls Tailored to Work Being Performed. An effective safety management system requires that administrative and engineering controls designed to prevent and mitigate hazards be tailored to the work being performed and the associated hazards.

Supplemental High-Reliability Principle - Performance Assurance
Competent and independent oversight is an essential source of feedback to management. The feedback verifies expectations are being met and identifies opportunities for improvement.

RL Implementation - Develop and Implement Hazard Controls
Acquisition Management System • *Acquisition Planning* crosscutting process (*Planning and Coordination* and

RL Implementation - Develop and Implement Hazard Controls
Acquisition Plan and Requirements Package procedures) Asset and Infrastructure Management System • *Aviation Management and Safety* program description Contractor Integrated Performance Evaluation Management System • *Oversight Performance* crosscutting process (*Technical Surveillances, Technical Assessments, Corrective Actions Management, Stop Work, Monitoring Contractor Activities,* and *Lessons Learned/Operating Experience* procedures) Environmental Management System • *Environmental Compliance and Permits Management* crosscutting process (*Performing Reviews of Environmental Regulations, Providing Environmental Regulatory Guidance, Policy Opinions, Recommendations, Agency Positions,* and *Obtaining, reviewing and Modifying Environmental Permits* procedures) • *Tri-Party Agreement Implementation and Integration* crosscutting process *(Change Control for the Tri-Party Agreement* and *Addressing site-Wide Issues that Affect Tri-Party Agreement Commitments* procedures*)* • *Radioactive Waste Management* crosscutting process *(Disposal Facility Performance Assessments* and *Disposal Site Composite Analysis* procedures*)* • *Radiation Protection of the Public and the Environmental* crosscutting process *(Release of Property with Known or Potential Residual Radioactivity* procedure*)* Integrated Management and Planning Management System • *Program Risk Management* crosscutting process (*Program Risk Identification and Management* and *Program Risk Closure* procedures*)* • *Project Risk Management* program description Requirements and Products Management System • *Requirements Management* crosscutting process (*Requirements Analysis, Implementation, and Retirement,* and *Contractor Requirements* procedures) Safety and Health Management System • *Safety Documentation Review and Approval* crosscutting process (*Authorization Basis, Unreviewed Safety Question Discovery, Contractor Operations Safety and Health Documents*, and *Safety Requirements for Contracts/Realty Agreements/Inter-Entity Work Orders* procedures) • *Federal Employee Occupational Safety and Health (FEOSH), Chemical Management, Criticality Safety, Engineering,* and *Fire Protection* program descriptions

3.4 Core Function 4, Perform Work Within Controls

Readiness is confirmed and work is performed safely.

Guiding Principle - Operations Authorization
An effective safety management system requires that the conditions and requirements that must be satisfied for operations to begin and continue be clearly established and agreed on.

Supplemental High-Reliability Principle - Performance Assurance

Competent and independent oversight is an essential source of feedback to management. The feedback verifies expectations are being met and identifies opportunities for improvement.

RL Implementation - Perform Work Within Controls
RL Operations Office Documents • Roles, Responsibilities, Accountabilities and Authorities Asset and Infrastructure Management System • *Real Estate and Real Property* crosscutting process (*Acquisition of Commercial Leased Space, Real Property Management for the Hanford Site, Facilities Information Management System, Real Property Out-Grant, Real Property Disposal,* and *Management Approval of Work on the Hanford Site* procedures) • *DOE Personal Property* crosscutting process *(Computers and Related Equipment Requests, Cellular Telephones and Related Equipment Requests, Pager Requests, Other Equipment and Personal Property Request and Receipt, Pager Repair, Equipment Use Offsite, Managing and Controlling Sensitive Property, Appropriate Use of Government Resources, Cell Phone and Pager Disposition,* and *DOE Personal Property Disposition* procedures*)* • *Motor Vehicles* crosscutting process *(Government Motor Vehicle Requests, Government Motor Vehicle Use and Reallocation, Changing Custodians for Government Motor Vehicles* and *Operations Requirements for Government Motor Vehicles* procedures*)* • *Transportation* crosscutting process *(Transportation Plan* and *US DOT Exemptions & Letter of Interpretation* procedures*)* • *Office Services* crosscutting process *(Office Supplies, Office Moves, Office Practices* and *Furniture Purchases* procedures*)* • *Federal Trust Assets* crosscutting process *(Pest Management* and *Trust Resource Mitigation* procedures*)* • *Dosimetry Services* crosscutting process *(Initiating, Changing or Deleting Dosimetry Services,* and *Using Dosimetry or Bioassay Monitoring Services* procedures*)* Contractor Integrated Performance Evaluation Management System • *Oversight Planning* crosscutting process *(Integrated Evaluation Planning* procedure*)* • *Oversight Performance* crosscutting process (*Technical Surveillances, Technical Assessments, Corrective Actions Management, Stop Work, Monitoring Contractor Activities,* and *Lessons Learned/Operating Experience* procedures) • *Evaluation and Reporting* crosscutting process *(Conditional Payment of Fee, Profit, or Incentives Clauses in Contracts,* and *Event Notification* procedures) • *RL Oversight of Contractors* and *Facility Representative Program* program descriptions Environmental Management System • *Environmental Compliance and Permits Management* crosscutting process (*Managing Regulatory Agency Inspections, Managing Environmental Deliverables* and *General Regulatory and Environmental Document Authorization, Review and Approval for the Administrative Record* procedures) Financial Management System • *Funds Control* crosscutting process (*Administrative Control of Funds, Conference*

RL Implementation - Perform Work Within Controls
Management, and *Execution of Travel Obligations & Disbursements* procedures) Integrated Management and Planning Management System • *Contractor Work Authorization* crosscutting process (*Fluor Hanford Incorporated Non-Baseline Workscope Authorization* and *EM Baseline Work Authorization* procedures*)* Project Management System • *Project Implementation* crosscutting process (*Project Oversight and Control* and Project Performance Assessment procedures) Requirements and Products Management System • *Requirements Management* crosscutting process (*Exemption Requests for Requirements* procedure) • *RIMS Products* crosscutting process *(RIMS Products Use and Product Development, Revision*, and *Cancellation* procedures*)* Safety and Health Management System • *Safety Documentation Review and Approval* crosscutting process *(Authorization Basis, Unreviewed Safety Question Discovery, Contractor Operations Safety and Health Documents*, and *Safety Requirements for Contracts/Realty Agreements/Inter-Entity Work Orders* procedures*)* • *Facility Startup and Restart* crosscutting process (*Startup Notification Report, Certification and Verification, Operational Readiness Review, Parallel Readiness Assessment, Contractor Readiness Assessment with RL as the Approval Authority, Failure to Demonstrate Readiness, Team Leader and Team Selection*, and *Plan of Action and Implementation Plan Development* procedures) Security and Emergency Services Management System • *Security Reporting* crosscutting process (*Security/Criminal Incident Reporting, Lost or Stolen Badges* and *Reporting Requirements for Employees with Security Clearances* procedures) • *Security and Emergency Services* crosscutting process (*Security Badging for Staff, Security Badging for Visitors, Foreign National Visits and Assignments, Clearances, Foreign Ownership, Control, or Influence Determinations, Classified Visits, Sigma Access/Special Access Request, Security Awareness Orientation, Official Foreign Travel, Prohibited and Controlled Article Passes, Private Vehicle Passes*, and *Security Locks* procedures) • *Emergency Preparedness* Program Description

3.5 Core Function 5, Feedback and Continuous Improvement

Feedback information on the adequacy of controls is gathered, opportunities for improving the definition and planning of work are identified and implemented, line and independent oversight is conducted, and, if necessary, regulatory and enforcement actions occur.

Guiding Principle - Operations Authorization
An effective safety management system requires that the conditions and requirements that must be satisfied for operations to begin and continue be clearly established and agreed on.

Supplemental High-Reliability Principle - Organizational performance Improvement
RL demonstrates excellence in performance monitoring, problem analysis, and solution implementation. The organization encourages continuous learning.

RL Implementation - Feedback and Continuous Improvement
Asset and Infrastructure Management System • *Real Estate and Real Property* crosscutting process (*Real Estate Advisory Panel* procedure) • *DOE Personal Property* crosscutting process (*Government-Owned Property, Reporting Loss/Damage/Destruction* procedure) • *Motor Vehicles* crosscutting process *(Government Motor Vehicle* procedure*)* • *Transportation* crosscutting process *(Transportation Compliance Evaluation /Assistance Program* procedure*)* • *Federal Trust Assets* crosscutting process *(Trust Resource Violations* procedure*)* • *Dosimetry Services* crosscutting process *(Investigation of Dosimetry Results, Reviewing and Reporting Dosimetry Results,* and *Inquiries Regarding Dosimetry Results* procedures*)* Contractor Integrated Performance Evaluation • *Oversight Performance* crosscutting process (*Technical Surveillances, Technical Assessments, Corrective Actions Management, Stop Work, Monitoring Contractor Activities,* and *Lessons Learned/Operating Experience* procedures) • *Evaluation and Reporting* crosscutting process *(Conditional Payment of Fee, Profit, or Incentives Clauses in Contracts,* and *Event Notification* procedures) • *Federal Managers' Financial Integrity Act* crosscutting process (*Federal Managers' Financial Integrity Action* procedure) Environmental Management System • *Environmental Compliance and Permits Management* crosscutting process *(Managing Regulatory Agency Issued Environmental Enforcement and Compliance Documents and Direction procedures)* Requirements and Products Management System • *RIMS Products* crosscutting process (*RIMS Products Use, Product Development, Revision, and Cancellation, Variances to RIMS Products,* and *RIMS Directories Updates* procedures) RL Performance Improvement Management System • *Performance Metrics* program description • *Management/Self-Assessment* crosscutting process (*Management/Self-Assessment* procedure) • *RL Corrective Actions* crosscutting process (*Management of RL Corrective Actions* procedure) • *Benchmarking* crosscutting process (*Benchmarking* procedure) Safety and Health Management System • *Accident Investigation crosscutting* process *(Readiness to Investigate an Accident/Incident, Actions Required Immediately Following an Accident/Incident,*

RL Implementation - Feedback and Continuous Improvement
and *Investigation of Accident/Incident and Follow On Actions* procedures*)*

3.6 Guiding Principle 1, Line Management Responsibility for Safety

An effective safety management system must ensure that line management is directly responsible for the protection of the public, the workers, and the environment.

Supplemental High-Reliability Principle - Highly-Reliable Operational Performance. RL achieves sustained, high-levels of operational performance in safety, productivity, quality and environmental. High-reliability is achieved through open communication, deference to expertise, and a systematic approach to eliminating accidents and errors.

Applies to All Core Functions

RL Implementation - Line Management Responsibility for Safety
RL Operations Office Documents • RL Functions, Responsibilities and Authorities Manual Requirements and Products Management System • *Requirements Management* crosscutting process (*Delegations of Authority* procedure) • Annual review of RL ISMSD

3.7 Guiding Principle 2, Clear Roles and Responsibilities

An effective safety management system must ensure that line management is directly responsible for the protection of the public, the workers, and the environment.

Supplemental High-Reliability Principle - Individual Attitude and Responsibility. Each worker accepts personal responsibility and accountability for safe operations. Individuals demonstrate a questioning attitude by challenging assumptions, and finding the facts for themselves.

Applies to All Core Functions

RL Implementation - Clear Roles and Responsibilities
RL Operations Office Documents • Roles, Responsibilities, Accountabilities and Authorities • RL Functions, Responsibilities and Authorities Manual Contractor Integrated Performance Evaluation Management System • *Oversight Performance* crosscutting process (*Stop Work* procedure) Human Resource Management System • *Performance and Recognition* crosscutting process (*Recognition and Awards* and *Performance Management* procedures) • *Employee Relations* crosscutting process (*Disciplinary and Adverse Actions*, and

RL Implementation - Clear Roles and Responsibilities
Performance Based Actions procedures) Safety and Health Management System • *Federal Employee Occupational Safety and Health (FEOSH),* program description

3.8 Guiding Principle 3, Competence to Perform Responsibilities

An effective safety management system must ensure that personnel possess the experience, knowledge, skill, and abilities necessary to discharge their responsibilities.

Supplemental High-Reliability Principle - Individual Attitude and Responsibility. Each worker accepts personal responsibility and accountability for safe operations. Individuals demonstrate a questioning attitude by challenging assumptions, and finding the facts for themselves.

Applies to All Core Functions

RL Implementation - Competence to Perform Responsibilities
RL Operations Office Documents • RL Technical Qualification Program Plan Contractor Integrated Performance Evaluation Management System • *RL Oversight of Contractors, Facility Representative Program,* and *Training and Qualifications for Personnel Performing Oversight* program descriptions • *Facility Rep Instructions* (Organization-Specific procedure) Human Resource Management System • *Training and Employee Development* crosscutting process (*Individual Development Plan Preparation, Training Registration, Professional Credentials, External Developmental Programs Participation, Qualification Program Participation,* and *Energy Online Learning Center* procedures) • *Training and Employee Development* program description Safety and Health Management System • *Safety System Oversight* Program Description • *Safety System Oversight (SSO) Instructions and Exhibits* (Organization-Specific procedure)

4.0 ISMS Effectiveness

RL assessments and/or surveillances of the effectiveness and implementation of the contractor's ISMS will be conducted in accordance with the processes and procedures contained in RIMS. Consistent with DOE Policy 226.1A, RL formal oversight of the contractor's ISMS will be coordinated with the contractor's oversight so as to increase efficiency and promote common understanding of processes and results. The level of formal RL oversight of the contractor's ISMS will be directly affected by the contractor's ability to demonstrate an effective independent and management assessment process that results in the identification and correction of deficiencies and

weaknesses. The data provided by the contractor's performance measurement systems will also determine the level of formal RL oversight required.

RL has established minimum performance expectations for contractor performance as reflected in Conditional Payment of Fee (CPOF) clauses in the contracts. The detailed minimum performance criteria can be viewed in the *Evaluation and Reporting* crosscutting process in CIPE. RL reports on a monthly basis contractor performance against their ISMS (see *Evaluation and Reporting* in CIPE and *Performance Evaluation and Reporting* in IMP).

For RL, the *Management/Self-Assessment* process (within the RLPI Management System) has been established to strengthen management controls and increase accountability by measuring RL's performance (including implementation of ISM). The *Management/Self-Assessment* process focuses on proactive reviews and analyses of RL performance, performance data, performance indicators, and metrics to measure and improve leadership and management effectiveness.

RL measures safety improvement by evaluating the following performance indicator examples:

• Number of qualified technical staff employed by RL (Percentage against the goal of completing the Technical Qualification Program (TQP))
• Completion of Requirements Records of Decision (RODs)
• Completion of Actions identified in RODs
• Completion rate of the RL Integrated Evaluation Plan activities (planned Assessments, Surveillances, Operational Awareness, Management Assessments and Independent Assessments)
• Disposition of employee concerns and differing professional opinions
• Occupational Safety and Health Administration DART & TRC rates
• Disposition of Government Furnished Information and Services (GFI/S)
• Completion of Tri-Party Agreement milestones
• Status of corrective actions (Richland Issues Tracking System - RITS)

5.0 Performance Objectives, Measures, and Commitments (POMCs)

The purpose of safety performance objectives, measures, and commitments is to drive improvement in safety performance, mission accomplishment and ISM system effectiveness. RL identifies specific aspects of the ISM system that need improvement and establishes performance objectives, measures, and commitments to drive these improvements.

Performance objectives are long-term management system goals or specific management objectives or deficiencies that need to be addressed. They may be driven by strategic planning processes or safety goals processes. Performance objectives typically remain relatively unchanged over multiple years, with a bias toward continuously rising standards of performance. Improving performance is expected over the long term.

Performance commitments are specific actions that will be taken during a specific year to further achievement of long-term performance objectives. Commitments are steps toward accomplishing the performance objectives. Performance commitments address significant identified weaknesses or areas of improvement. These may include either major corrective actions or major improvement actions.

Performance measures are used to track progress and monitor achievement of performance objectives and commitments. The most useful performance measures provide information that directly reflects how safely or effectively RL's operational work is being performed. These measures are changed as necessary to address the performance objectives, significant identified weaknesses, and areas for improvement.

Within 90 days of contract award, RL provides the new contractor with guidance for establishing their ISM system. Within this guidance RL specifies how the contractor is to develop and submit their POMCs. When developing annual performance objectives, measures, and commitments, the contractor is expected to consider information from sources including, but not limited to, the contractor's performance measurement system, independent and management assessments; and assessments conducted by "external" sources such as the Office of Health, Safety and Security, DNFSB, U.S. Environmental Protection Agency, State of Washington Department of Ecology, etc. The contractor submits their annual POMCs to RL for approval along with their annual ISM assessment.

RL develops RL-specific POMCs based on sources including, but not limited to, RL's performance measurement system, independent and management assessments; and assessments conducted by "external" sources such as the Office of Health, Safety and Security, DNFSB, U.S. Environmental Protection Agency, State of Washington Department of Ecology, etc.

6.0 Annual ISMS Submittal

At least annually, each contractor updates their ISM System Description and submits it to RL or sends a memorandum to RL indicating a review of the ISM System Description indicates no update is necessary. The contractor coordinates this update with an annual ISMS assessment report and POMC submittal as required by CRD DOE M 450.4-1, *Integrated Safety Management System Manual*, and contract requirements.

The contractor's annual ISM system assessment report analyzes and summarizes information from sources such as RL, the Office of Health, Safety and Security, DNFSB, U.S. Environmental Protection Agency, State of Washington Department of Ecology, etc., and self-identifies specific aspects of the contractor's ISM system that need improvement. The contractor is aware that RL will utilize their annual ISM System Description update, ISM system assessment report, and POMC submittals as a basis, along with RL's oversight and RL's internal analysis, to generate the annual ISM declaration.