

Annual Integrated Safety Management System (ISMS) Review Criteria and Declaration Guidance for DOE Office of Environmental Management (EM)



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EM Environmental Management

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Introduction

- DOE line organizations are required to perform an annual ISMS review and use the results of this review to determine and declare the effectiveness of ISMS implementation in addition to the day-to-day implementation and oversight of ISMS
- EM has developed an Annual ISMS Review Criteria and Declaration Guidance document to help ensure a systematic approach for the annual ISMS review and declaration throughout the EM complex



Goals of Annual ISMS Effectiveness Review

- Determine ISMS effectiveness in integrating safety into work performance
- Identify weaknesses of ISMS implementation to focus attention on corrective actions
- Identify strengths of ISMS implementation and sharing good practices with other organizations
- Identify opportunities for improvement and taking actions to continuously improve ISMS effectiveness



Recommended Process for Annual ISMS Effectiveness Review

1. Perform annual effectiveness review of the contractor ISMS (may be conducted throughout the year with culminating analysis document summarizing the annual review results)
2. Perform self-assessment of the field office ISMS
3. Update the ISMS Description
4. Prepare the POMCs for the next FY (include in the ISMS Declaration)
5. Prepare the ISMS Declaration of Effectiveness including addressing the 11 criteria identified in the guideline



Supporting Documents for ISMS Reviews

- The annual ISMS effectiveness review process is discussed in Attachment 4 (Guidelines for Improving DOE ISMS Implementation) of DOE M 450.4-1, Integrated Safety Management System Manual, dated November 1, 2006
- DOE-HDBK-3027-99, Integrated Safety Management Systems Verification Team Leader's Handbook, provides extensive direction and guidance on how to conduct ISMS reviews
- DOE G 450.4-1B (Volumes 1 & 2), Integrated Safety Management System Guide, and DOE G 414.1-1B, Management and Independent Assessments Guide, provide additional guidance for conducting ISMS reviews



Annual Declaration Criteria

1. ISMS Effectiveness and Changes Made to the ISMS of DOE and Contractor Organizations
2. Effective Integration of Environmental Management System (EMS), Quality Assurance (QA) Program, Worker Safety and Health Programs, and other management processes into ISMS



Annual Declaration Criteria

3. Significant events and/or accidents (e.g., Occurrence Reporting and Processing System [ORPS] events) and Recurring Events
4. Lessons Learned
5. Safety Performance Objectives, Measures, and Commitments (POMCs) for the Current Year and Next Year



Annual Declaration Criteria

6. Effectiveness of DOE Line Management Oversight of contractor and subcontractor
7. Federal Employee Occupational Safety and Health (FEOSH) activities, including annual audit results and corrective actions
8. Implementation of ISMS Core Functions for New construction and Major Facility Modification



Annual Declaration Criteria

9. Special Safety Improvement Initiatives and Human Behaviors
10. Evidence and Method of Flow-Down of Requirements from DOE to the contractors as well as to subcontractors
11. Review and Declaration of QA Program Implementation



Sample Format for Annual ISMS Declaration Report

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Sample Format for Annual ISMS Declaration Report

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Sample Format for Annual ISMS Declaration Report

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Sample Format for Annual ISMS Declaration Report

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Attachment: Current Update of ISMS Description



ISMS Description

- Annual update of the ISMS Description is not required if no changes are deemed necessary. In such cases, a statement to this effect should be included in the ISMS declaration report
- The requirements and guidelines for developing ISMS Descriptions are provided in Chapter II and Attachment 3 (Guidelines for Developing DOE ISMS Descriptions) of DOE M 450.4-1, Integrated Safety Management System Manual, dated November 1, 2006



Process for Developing POMCs

- **DOE measures safety improvement by evaluating performance against aggressive safety objectives and goals. Performance indicators are developed to measure the effectiveness of its management systems**



Suggested indicators to measure performance:

1. Annual reduction of Total Recordable Case (TRC) rates and Days Away Restricted/Transferred (DART) case rates (percentage of reduction)
2. Completion of annual individual performance plans with meaningful safety goals
3. Timely disposition of employee concerns and differing professional opinions (30 days goal)



Suggested indicators to measure performance:

- 4. Completion of planned assessments and surveillances**
- 5. Management walk-through and field observations (hours in the field, actions taken, etc.)**
- 6. Completion of annual ISMS effectiveness review and declaration**
- 7. Timely resolution of safety issues and closure of corrective actions**



Sample ISMS POMCs

Performance Objective	Performance Measure/Commitment
Reduction of workplace injuries	<ul style="list-style-type: none"> • Conduct annual ISMS review and declaration by mm/dd/yy • Review and approve contractor ISMSDs and POMCs
Management by Walking Around	Line managers spent an average of at least XX hours per week observing facility operations and interacting with line workers
Ensure contractor assurance systems and field oversight programs are comprehensive and integrated for all aspects of operations essential to mission success	<ul style="list-style-type: none"> • Provide annual oversight plan and schedule to EM HQ by October 31 • Complete more than 90% of planned annual assessments and surveillances on time • Implement actions to improve contractor assurance and field oversight



Sample ISMS POMCs

Improve workforce development, performance, and technical effectiveness through a disciplined and well-planned training and qualification requirements program

- Maintain and implement a Technical Qualification Program
- Develop and implement a human capital management plan
- Conduct periodic (e.g., quarterly, annual) assessment to evaluate program/plan effectiveness



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EM Headquarters ISMS Reviews and Declarations

- **EM HQ provides oversight of ISMS implementation in the field**
- **Reviews field ISMS declarations and related documents**
- **Provides feedback to the field offices**



Supporting Documents for EM HQ Reviews

- **DOE O 226.1A, Implementation of Department of Energy Oversight Policy; DOE M 450.4-1, Integrated Safety Management System Manual**
- **DOE O 413.3A, Program and Project Management for the Acquisition of Capital Assets**
- **DOE O 414.1C, Quality Assurance**
- **Title 10 CFR 830 Subpart A**



References

- **DEAR Clause 970.5223-1, Integration of environment, safety, and health into work planning and execution**
- **DOE O 226.1A, Implementation of Department of Energy Oversight Policy**
- **DOE M 231.1-2, Occurrence Reporting and Processing of Operations Information**



References

- **DOE M 411.1-1C, Safety Management Functions, Responsibilities, and Authorities Manual (FRAM)**
- **DOE O 413.3A, Program and Project Management for the Acquisition of Capital Assets**
- **DOE G 414.1-1B, Management and Independent Assessments Guide**



References

- **DOE G 450.4-1B (Volumes 1 & 2), Integrated Safety Management System Guides**
- **DOE M 450.4-1, Integrated Safety Management System Manual**
- **DOE P 450.4, Safety Management System Policy**
- **DOE P 450.7, Environment, Safety and Health Goals**



References

- **DOE-HDBK-3027-99, Integrated Safety Management Systems (ISMS) Verification Team Leader's Handbook**
- **DOE-STD-1189-2008, Integration of Safety into the Design Process**
- **DOE O 414.1C, Quality Assurance**

