




The Deputy Secretary of Energy

Washington, DC 20585

October 25, 1999

MEMORANDUM FOR DISTRIBUTION

FROM: T. J. GLAUTHIER 
SUBJECT: Implementation of Integrated Safety Management

The Department's goal is to implement ISM by September 30, 2000. The purpose of this memo is to request that you notify me when your program office has implemented Integrated Safety Management (ISM).

Each lead program secretarial officer is requested to provide a report to me after ISM is implemented at your assigned DOE field offices and contractor sites. By copy of this memorandum, each field manager is requested to provide a report to the assigned lead program secretarial officer and other cognizant secretarial officers when the field office has implemented ISM for its major contracts and within its associated DOE offices.

The attached ISM Implementation Criteria, compiled from current requirements and developed by the Safety Management Implementation Team (SMIT) in concert with representatives from throughout the Department, are provided as guidance for use in reviewing your progress toward the Secretary's goal. These criteria build on the ISM Phase I and Phase II verification processes, focus on DOE's actions and implementation, and provide for an integrated roll-up of ISM implementation activities across the DOE.

The line programs should advise me promptly of any obstacles to their meeting the September 30, 2000, milestone for ISM implementation. Mr. Ted Wyka, Director, Safety Management Implementation Team, will keep me informed on a monthly basis of each office's progress toward achieving ISM implementation. He will also keep me informed of the Department's progress in conducting ISM verifications and of Department-wide implementation completion status, including the institutionalization of ISM at the DOE corporate level. The current status of implementation, as reported by the field offices, is attached for your information.

Please provide any questions you have on this matter to me or to Ted Wyka at (202) 586-1418.

Attachment

T. J. Glauthier Memo
October 25, 1999

Page 2

Distribution:

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SMIT Points of Contact

Attachment A

ISM Implementation Criteria

- 1. DOE and contractor organizations have established and are maintaining agreed-upon Sets of Applicable Requirements and Standards.** *The DOE Head of Contracting Activity (HCA, or Contracting Officer) has incorporated agreed-upon sets of standards into contracts. DOE and contractor organizations have demonstrated they have in place a defined, functional, configuration management infrastructure to maintain their selected "standards set" (e.g., List A/List B, S/RIDs, "Work Smart" Standards).*
- 2. DOE has approved applicable Safety Management System (SMS) Descriptions.** *DOE element managers have completed ISM Phase I verifications and approved SMS Descriptions for all contractor organizations with primary safety responsibilities and for applicable DOE organizations.*
- 3. DOE has verified adequate implementation of applicable Safety Management Systems.** *DOE element managers have completed ISM Phase II verifications (or equivalent) and concluded that ISM is adequately implemented by all contracting organizations with primary safety responsibilities and by applicable DOE organizations. Authorization agreements are in place for Hazard Category 1 and 2 facilities.*
- 4. DOE Functions, Responsibilities and Authorities (FRA) Documents are Implemented.** *DOE organizations' roles and responsibilities with respect to ISM are clearly defined in the respective FRA Documents and/or any corresponding "Manuals of Practice."*
- 5. DOE Has Verified that Feedback and Improvement Programs Are In Place and Effective.** *The DOE organizations have verified that applicable contractor and DOE organizations have effectively implemented: (a) self-assessment programs, (b) corrective action tracking and resolution processes, (c) lessons learned sharing infrastructure, and (d) an overall feedback program leading toward continuous improvement.*
- 6. DOE Line Oversight Programs Are In Place and Effective.** *The DOE organizations have developed and implemented a documented, functional line oversight program for evaluating performance relative to ISM principles and functions, in accordance with DOE P 450.5.*
- 7. DOE has established a Documented Process to Maintain applicable Safety Management Systems.** *DOE organizations have documented and established a functioning infrastructure to provide annual update direction and to review annual updates and revisions to SMS Descriptions for all contracting organizations with primary safety responsibilities and for applicable DOE organizations.*

Attachment B

Integrated Safety Management Implementation Milestone Completion Status

**(Based on Field Self-Reported Data Collected by the
Safety Management Implementation Team)**

October 1999
















Milestone Key

| General | | | |
|---------|--|----|---|
| ■ | <ul style="list-style-type: none"> Complete. | ■ | <ul style="list-style-type: none"> In progress. |
| ■ | <ul style="list-style-type: none"> Management attention needed. | NA | <ul style="list-style-type: none"> Not applicable. |









| Specific | | | |
|-----------------------------|---|--------------------------------|---|
| Line Self-Assessment | P 450.5 <i>Line Environment, Safety & Health Oversight</i> requires line management self-assessment of Integrated Safety Management System (ISMS) implementation. | Phase I | Phase I Validation – complete when contractor’s ISMS description approved by DOE field office. Deadline is 9/99 for Priority Facilities, and 9/00 for Remaining Facilities. |
| ■ | <ul style="list-style-type: none"> Line management self-assessment system implemented & functioning. | ■ | <ul style="list-style-type: none"> Phase I ISMS description approved by field office. |
| ■ | <ul style="list-style-type: none"> Line management self-assessment system formalized. | ■ | <ul style="list-style-type: none"> Phase I ISMS description field office review in progress. |
| ■ | <ul style="list-style-type: none"> Line management self-assessment system under development. | ■ | <ul style="list-style-type: none"> Phase I ISMS description not submitted, not reviewed, or not approved by field office. |
| Phase II | Phase II Verification – complete when contractor’s ISMS is verified. Deadline – 9/99 for Priority Facilities, and 9/00 for Remaining Facilities. | Authorization Agreement | Agreement between DOE & contractor to operate high-hazard (category 1 & 2) facility for defined scope of work. |
| ■ | <ul style="list-style-type: none"> Phase II verification complete. | ■ | <ul style="list-style-type: none"> Authorization agreement issued. |
| ■ | <ul style="list-style-type: none"> Phase II verification scheduled or in progress. | ■ | <ul style="list-style-type: none"> Authorization agreement field office review in progress. |
| ■ | <ul style="list-style-type: none"> Phase II verification milestone exceeded, or verification review scheduled within 3 months of deadline, e.g., within 3 months of 9/99 for Priority Facilities, or within 3 months of 9/00 for Remaining Facilities. | ■ | <ul style="list-style-type: none"> Authorization agreement not submitted, not reviewed, or not approved by field office. |

PRIORITY FACILITIES






















LEAD PROGRAM SECRETARIAL OFFICE – DEFENSE PROGRAMS

| Site/Facility | Management Self-Assessment System | Phase I | Phase II | Authorization Agreement | Notes |
|--------------------------------------|---|---|---|---|--|
| ALBUQUERQUE OPERATIONS OFFICE | | | | | |
| LANL, TA-55 Facility |  |  |  |  |  Phase I & II review started October 12, 1999 – combined with “off ramp” review. Past the 9/99 milestone for ISM implementation at priority facilities. |
| LANL, TA-3 Facility (CMR) |  |  |  |  |  Phase I & II review started October 12, 1999 – combined with “off ramp” review. Past the 9/99 milestone for ISM implementation at priority facilities. |
| PANTEX |  |  |  |  |  Repeat Phase I review scheduled for 11/99. Phase II scheduled for 6/00. Past the 9/99 milestone for ISM implementation at priority facilities. |

LEAD PROGRAM SECRETARIAL OFFICE – SCIENCE


























| Site/Facility | Management Self-Assessment System | Phase I | Phase II | Authorization Agreement | Notes |
|------------------------------------|---|---|---|---|-------|
| OAKLAND OPERATIONS OFFICE | | | | | |
| LLNL Bldg. 332 SUPERBLOCK |  |  |  |  | |
| OAK RIDGE OPERATIONS OFFICE | | | | | |
| LMES, Y-12 Plant |  |  |  |  | |

LEAD PROGRAM SECRETARIAL OFFICE – ENVIRONMENTAL MANAGEMENT




































| Site/Facility | Management Self-Assessment System | Phase I | Phase II | Authorization Agreement | Notes |
|---|---|---|---|---|--|
| RICHLAND OPERATIONS OFFICE | | | | | |
| HLW Tank Farms |  |  |  |  | |
| K-Reactor Fuel Storage Basins |  |  |  |  |  Phase I & II reviews scheduled to commence 10/12//99. Past the 9/99 milestone for ISM implementation at priority facilities. |
| ROCKY FLATS FIELD OFFICE | | | | | |
| Bldg. 771 |  |  |  |  | ISM milestones complete. |
| Bldg. 371/374 |  |  |  |  | ISM milestones complete. |
| SAVANNAH RIVER OPERATIONS OFFICE | | | | | |
| CANYONS |  |  |  |  | ISM milestones complete. |

REMAINING FACILITIES

LEAD PROGRAM SECRETARIAL OFFICE – DEFENSE PROGRAMS

| Site/Facility | Management Self-Assessment System | Phase I | Phase II | Authorization Agreement | Notes |
|--------------------------------------|---|---|---|---|--------------------------|
| ALBUQUERQUE OPERATIONS OFFICE | | | | | |
| CARLSBAD Waste Isolation Pilot Plant |  |  |  |  | ISM milestones complete. |
| Los Alamos National Laboratory |  |  |  |  | |
| Sandia National Laboratory |  |  |  |  | |
| NEVADA OPERATIONS OFFICE | | | | | |
| Bechtel Nevada Contract (PBMC) |  |  |  |  | |
| Device Assembly Facility, Area 6 |  |  |  |  | |
| Waste Management Facilities |  |  |  |  | |
| U1a Complex |  |  |  |  | |

LEAD PROGRAM SECRETARIAL OFFICE – ENVIRONMENTAL MANAGEMENT

| Site/Facility | Management Self-Assessment System | Phase I | Phase II | Authorization Agreement | Notes |
|--|---|---|---|---|--------------------------|
| IDAHO OPERATIONS OFFICE | | | | | |
| All INEEL Sites |  |  |  |  | |
| OHIO FIELD OFFICE | | | | | |
| West Valley Demonstration Project |  |  |  |  | |
| Fernald Environmental Mgmt. Project |  |  |  |  | |
| Miamisburg Environmental Mgmt. Project |  |  |  |  | |
| RICHLAND OPERATIONS OFFICE | | | | | |
| Environmental Restoration Contract (BHI) |  |  |  |  | |
| Plutonium Finishing Plant |  |  |  |  | |
| Pacific Northwest National Lab |  |  |  |  | ISM milestones complete. |
| Project Hanford Management (PHMC) |  |  |  | NA | |
| Waste Encapsulation & Storage Facility |  |  |  |  | |




























LEAD PROGRAM SECRETARIAL OFFICE – ENVIRONMENTAL MANAGEMENT (continued)

| Site/Facility | Management Self-Assessment System | Phase I | Phase II | Authorization Agreement | Notes |
|---|-----------------------------------|---------|----------|-------------------------|---|
| ROCKY FLATS FIELD OFFICE | | | | | |
| Bldg. 559 (Anal. Lab) & Bldg. 707 | ■ | ■ | ■ | ■ | |
| Bldg. 774 Waste Processing & Bldg. 776 | ■ | ■ | ■ | ■ | |
| SAVANNAH RIVER OPERATIONS OFFICE | | | | | |
| All Site Facilities | ■ | ■ | ■ | ■ | ISM milestones complete site-wide – Canyons; HB-Line; 235-F Vault; DWPF; WTP; HLW Tank Farms; RBOF; L-Basin; K-Basin; Tritium Facilities. |

LEAD PROGRAM SECRETARIAL OFFICE – SCIENCE

| Site/Facility | Management Self-Assessment System | Phase I | Phase II | Authorization Agreement | Notes |
|---------------------------------------|-----------------------------------|---------|----------|-------------------------|---|
| CHICAGO OPERATIONS OFFICE | | | | | |
| Ames Laboratory | ■ | ■ | ■ | NA | |
| Argonne National Laboratory | ■ | ■ | ■ | ■ | |
| Brookhaven National Laboratory | ■ | ■ | ■ | ■ | ■ Phase II review scheduled for 7/00 – within 3 months of 9/00. HFBR & BMRR authorization agreement dates to be determined. |
| Environmental Measurements Laboratory | ■ | ■ | ■ | NA | |




LEAD PROGRAM SECRETARIAL OFFICE – SCIENCE (continued)

| Site/Facility | Management Self-Assessment System | Phase I | Phase II | Authorization Agreement | Notes |
|--|---|---|---|---|-------|
| CHICAGO OPERATIONS OFFICE (continued) | | | | | |
| Fermi Laboratory |  |  |  | NA | |
| New Brunswick Laboratory |  |  |  |  | |
| Princeton Laboratory |  |  |  | NA | |
| OAKLAND OPERATIONS OFFICE | | | | | |
| LLNL Bldg. 331 Superblock |  |  |  |  | |
| LLNL Bldg. 334 Superblock |  |  |  |  | |
| LLNL Site |  |  |  | NA | |
| Lawrence Berkeley Nat'l Laboratory |  |  |  | NA | |
| Stanford Linear Accelerator |  |  |  | NA | |
















LEAD PROGRAM SECRETARIAL OFFICE – SCIENCE (continued)

| Site/Facility | Management Self-Assessment System | Phase I | Phase II | Authorization Agreement | Notes |
|------------------------------------|-----------------------------------|---------|----------|-------------------------|-------|
| OAK RIDGE OPERATIONS OFFICE | | | | | |
| Bechtel Jacobs Company LLC | ■ | ■ | ■ | ■ | |
| BNFL, Inc. – 3 Bldg D&D at ETTP | ■ | ■ | ■ | ■ | |
| DRS – Bldg. K-1420 | ■ | ■ | ■ | NA | |
| East Tenn. M&EC Bldg. K-1200 | ■ | ■ | ■ | NA | |
| ETMC Water Treatment Plant | ■ | ■ | ■ | NA | |
| Foster Wheeler EWC – TRU | ■ | ■ | ■ | NA | |
| LMER Bldg. 3019 | ■ | ■ | ■ | ■ | |
| MK-Ferguson WSSRAP | ■ | ■ | ■ | NA | |
| ORAU – ORISE | ■ | ■ | ■ | NA | |
| SURA – T.J. National Accelerator | ■ | ■ | ■ | NA | |





LEAD PROGRAM SECRETARIAL OFFICE – ENERGY EFFICIENCY

| Site/Facility | Management Self-Assessment System | Phase I | Phase II | Authorization Agreement | Notes |
|--------------------------------|---|---|---|-------------------------|-------|
| National Renewable Energy Lab. |  |  |  | NA | |

LEAD PROGRAM SECRETARIAL OFFICE – FOSSIL ENERGY

| Site/Facility | Management Self-Assessment System | Phase I | Phase II | Authorization Agreement | Notes |
|--|---|---|---|-------------------------|-------|
| Federal Energy Technology Center (FETC) |  |  |  | NA | |
| Strategic Pet. Res. Proj. Mgt. Off. (SPRPMO) |  |  |  | NA | |
| Albany Research Center (ARC) |  |  |  | NA | |
| National Pet. Technology Office (NPTO) |  |  |  | NA | |
| Naval Pet. & Oil Shale Res., CO, UT, WY |  |  |  | NA | |

LEAD PROGRAM SECRETARIAL OFFICE – RADIOACTIVE WASTE

| Site/Facility | Management Self-Assessment System | Phase I | Phase II | Authorization Agreement | Notes |
|--|---|---|---|-------------------------|---|
| Yucca Mtn. Site Characterization Project |  |  |  | NA |  Phase I & II reviews scheduled for 9/00, e.g., within 3 months of 9/00. |