



Department of Energy
Albuquerque Operations Office
P.O. Box 5400
Albuquerque, New Mexico 87185-5400

The Honorable John T. Conway
Chairman
Defense Nuclear Facilities Safety Board
625 Indiana Avenue, N.W.
Suite 700
Washington, D.C. 20004

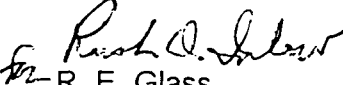
Dear Mr. Chairman:

Commitment 5.6.1 of DNFSB Recommendation 98-2 Implementation Plan states, "Develop a plan for Pantex Plant ISMSV Phase I review. Conduct the ISMSV Phase I review and issue a report. Upon satisfactory results from the ISMSV Phase I Review, approve the ISMS Description." The first deliverable against this commitment is to develop the ISMSV Phase I Review Plan. This deliverable was not complete on the cited date of July 30, 1999.

Due to delays, the Phase I Review Plan was not completed in time to be incorporated into the July deliverable submittal, and is enclosed with this letter. The review is scheduled for September 20-30, 1999 and will be led by R.T. Brock, Senior Scientific and Technical Advisor at the Amarillo Area Office. Upon completion of the scheduled review, the report will be completed and provided to the Board as the second deliverable against the referenced commitment.

The Department has completed the actions associated with the first deliverable for Commitment 5.6.1 and proposes closure of this deliverable.

If you have any questions, please contact me, or have your staff contact Dan Glenn at 505-665-6028.


R. E. Glass
Manager

Enclosures

cc: See Page 2

cc w/enclosures:

J. McConnell, DNFSB

W. Andrews, DNFSB

625 Indiana Avenue, NW

Suite 700

Washington, D.C. 20004-2901

M. Whitaker, S-3.1

E. Morrow, DP-3

D. Beck, DP-20

S. Puchalla, DP-21

S. Goodrum, ONDP, AL

J. Bernier, AAO

D. Pelligrino, AL/ISR

S. Schwartz, AL/WPD

United States Government

Department of Energy

memorandum

Albuquerque Operations Office

DATE: September 09, 1999

REPLY TO: WPD/AAO

SUBJECT: Designation as Team Leader for the ISMSV Phase I Review for the Pantex Plant

TO: R. T. Brock, Senior Scientific and Technical Advisor, AAO

The Department of Energy Acquisition Regulations (DEAR) require integration of environment, safety, and health into work planning and execution by management and operating (M&O) contractors (48 CFR 970.5204-2). The DEAR further require each M&O contractor to submit a description of their proposed integrated safety management system (ISMS) that will be used to fulfill this requirement to the Head Contracting Authority (HCA) for approval. Mason and Hanger Corporation (MHC) is the current M&O for the Pantex Plant under contract number DE-AC011-91AL65030, for which I am the HCA. In accordance with the DEAR requirement, MHC has developed and submitted an ISMS description for my approval.

You are hereby designated the Team Leader for an integrated safety management system verification (ISMSV) Phase I Review for the Pantex Plant. The primary purpose of the review is to determine if the MHC ISMS description adequately satisfies the DEAR requirement, DOE Policy 450.4, DOE guidance related to integrated safety management (e.g., DOE G 450.4), and previous guidance to MHC provided by Albuquerque Operations Office (AL). The ISMSV will be confined to a "Phase I" review focusing on the adequacy of the MHC ISMS description and the elements that constitute the system. A "Phase II" ISMSV review will be performed at a later date to evaluate the adequacy of implementation by MHC, subject to my approval of their ISMS description.

The review is to be performed in accordance with the attached Review Plan. The plan defines the scope, prerequisites, approach, and process by which the review is to be conducted. Upon completion of the review, you will prepare a written report along with a recommendation concerning approval of the MHC ISMS description.

The schedule for performance of the review is September 20-30, 1999, subject to the prerequisites being satisfied. Upon your identification of the review team, please provide a revision to the Review Plan reflecting the team composition and the final criteria review and approach documents (CRAD). Please advise me in writing if the review is delayed for any reason.



R. E. Glass
Manager

Attachment

cc: (See page 2)

R. T. Brock

-2-

cc w/attachment:

J. McConnell, DNFSB

625 Indiana Avenue, NW

Suite 700

Washington, DC 20004-2901

J. Arrango, S-3.1/HQ

E. Morrow, DP-20/HQ

J. King, DP-45/HQ

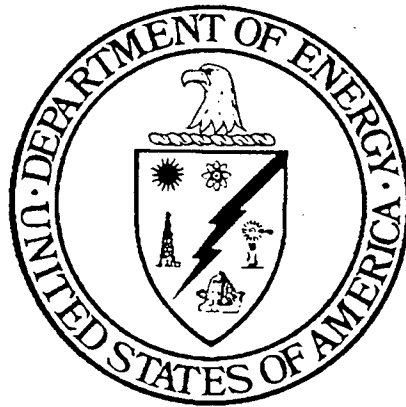
J. Bernier, AAO

L. Kirkman, OTMO/AL

G. Runkel, ISR/AL

S. Felder, CPD/AL

D. Glenn, WPD/AL



1999 Pantex Plant

Integrated Safety Management System

Phase I Review Plan

(Revision 0)

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1.0 INTRODUCTION

The Pantex Plant is located in the Texas Panhandle, approximately 17 miles northeast of Amarillo, Texas. The Pantex Plant site consists of land owned and leased by the Department of Energy (DOE). The Pantex Plant is where DOE fulfills part of its statutory responsibilities under the Atomic Energy Act for nuclear weapons production and maintenance. The current mission of the Pantex Plant includes assembly and disassembly of nuclear weapons, maintenance and modification activities related to nuclear weapons, stockpile evaluation, quality evaluation testing of weapon components, and research and production of high explosive components for nuclear weapons. Related activities include demilitarization and sanitation of weapon parts, equipment, and related materials; waste management; environmental restoration; and, onsite storage and transportation of nuclear weapons and parts (e.g., pits).

The Pantex Plant is managed and operated for DOE under contract with the Mason and Hanger Corporation (MHC) (contract # DE-AC04-91AL65030). The Manager, Albuquerque Operations Office (AL) is the Head Contracting Authority (HCA) for the Pantex Plant. The Amarillo Area Office (AAO) is located on the Pantex Plant and is the AL organizational unit responsible for administration of the contract, including day-to-day oversight of MHC operations.

DOE Policy (P) 450.4, *Safety Management System Policy*, defines the expectation that DOE facilities will be operated in accordance with an Integrated Safety Management System (ISMS). The Department of Energy Acquisition Regulations (DEAR) require the HCA to provide guidance to contractors for the preparation, content, review, and approval of their ISMS description [48 CFR 970.5204(e)]. DEAR 48 CFR 970.5204(e) also requires the HCA to review and approve the contractor's ISMS description.

The Albuquerque Operation Office provided guidance, specifically tailored to Pantex, for use in developing its ISMS description on April 27, 1998. An ISMS verification review of the MHC safety management processes was conducted by DOE on July 27-31, and August 24-28, 1998. The Integrated Safety Management System Verification (ISMSV) included two phases. Phase 1 involved the review of the MHC ISM Program Plan (which served as the ISMS description) and MHC implementing standards and procedures, and Phase 2 involved the review of selected activities/facilities in order to assess the level of implementation. The scope of the ISMSV addressed all mission and supporting work. The areas reviewed included: business practices, management and organization, nuclear explosive operations, special nuclear material, high explosive operations, mission support functions, and DOE interfaces. In addition, the ISMSV review was performed in conjunction with AL's 1998 Annual Environment, Safety and Health Assessment of the Pantex Plant and AL's 1998 Nuclear Explosive Safety Appraisal of the Pantex Plant.

Overall, the ISMSV review concluded that MHC is generally achieving DOE objectives for ISM and identified specific areas where improvement was needed. Opportunities for improvement identified through the Phase I review were; institutionalization of the ISMS processes; clarification of roles and responsibilities; DOE process guidance for nuclear

explosive operations; and AAO roles and responsibilities, and processes. The recommended actions were:

MHC should proceed to formally establish processes (including requirements, roles, and responsibilities) for defining the scope of work, analyzing hazards, developing controls, implementing controls, confirming readiness, and applying change control to nuclear explosive operations.

MHC should proceed to formally establish processes for prioritization of work consistently on a site-wide basis.

MHC should proceed to clarify responsibilities for mission work at lower levels within the management hierarchy, consistent with the current organizational structure addressing the core functions and guiding principles of ISM (i.e., address "chain of command" responsibilities down to the operations manager or department-level manager)

The ISMSV review team also recommended that the AAO establish procedures for site workload prioritization, determination of required area office resources, and change control of the MHC ISMS Description. The ISMSV review team recommended that the Manager, AL approve the MHC ISMS description contingent upon correction of the deficiencies identified, and successful results from a follow-up review.

2.0 PURPOSE

The purpose of this review is to provide an assessment on whether the MHC ISMS description and associated plant standards, manuals, and procedures adequately reflect core functions and guiding principles for ISM, as required by DOE policies and regulations.

3.0 SCOPE

The previous ISMSV review resulted in a number of "lessons learned." Performance of the ISMSV review in connection with two other major safety assessments by AL resulted in a large review team with varying levels of experience and expertise in performing such reviews. The previous ISMSV review also attempted to evaluate both the MHC ISMS description (Phase I) and the level of implementation (Phase II). These factors resulted in a review with varying degrees of success, both in terms of the rigor applied by the reviewers and the subsequent conclusions drawn.

Since the prior review was completed in August 1998, a significant number of issues have arisen related to safety management processes used at the Pantex Plant. On November 20, 1998, DOE accepted recommendation 98-2 from the Defense Nuclear Facilities Safety Board (DNFSB) regarding the need to accelerate the rate of safety improvements for nuclear explosive operations at the Pantex Plant. Both DOE and MHC

have made significant changes to management processes, including some key organizational roles and responsibilities, in response to the DNFSB recommendation.

In light of the extent of recent changes made and the anticipated time required for full implementation and maturity of the processes, this ISMSV will be confined to a Phase I review. In consideration of the problems associated with the earlier review, the scope of this review will include the ISMS description for all operations conducted by MHC at the Pantex Plant. The review will validate the closure of deficiencies identified during the previous ISMSV Phase I Review. The adequacy of the MHC ISMS description will be evaluated against the expectations of the AL Manager, the DEAR requirements, and other DOE guidance related to ISM. Because it is a "Phase I" verification, the review will be documentation based and will ascertain whether or not the principles and requirements of ISM have been reflected in plant standards, manuals, and procedures. The review will focus on the adequacy of formal mechanisms established through the MHC ISMS description (and implementing procedures and standards) to satisfy each of the core safety functions and guiding principles defined in DOE P 450.4. Interviews, briefings, and observation of selected activities will be conducted to facilitate review team understanding of ISM processes used by MHC and DOE.

Roles, responsibilities, and interfaces necessary for the institutionalization of the ISMS process will be examined on a plant-wide basis. This includes interfaces between MHC, national laboratories (weapon design agencies), and DOE that are required to safely perform work assigned to the Pantex Plant. The review will include an examination of MHC processes and their potential effectiveness in achieving integration both from an "upward" site perspective, as well as "downward" (i.e., a vertical slice) to the facility and activity level. The review will examine the extent of internal integration within AAO and MHC, and how well the two organizations are integrated to form a seamless site management system. A "Phase II" ISMSV review will be performed at a later date (tentatively April 2000) to evaluate the adequacy of implementation by MHC and AAO, pending DOE approval of the MHC ISMS description.

4.0 PREREQUISITES

The following conditions must be satisfied prior to conducting the review:

- (1) MHC has completed the corrective actions for all Phase I deficiencies identified during the previous ISMSV review (July 27-31, and August 17-28, 1998).
- (2) MHC has performed a self-assessment with respect to the criteria and objectives contained in this plan and formally asserted they are ready for the review.
- (3) The Manager, AL, has formally designated an ISMSV Phase I Review Team Leader.
- (4) The ISMSV Phase I Review Team has been approved by the Manager, AL and trained with respect to this plan.

(5) The ISMSV Phase I Review Team has finalized the criteria review and approach documents (CRAD) which will guide the review.

5.0 REVIEW APPROACH

The ISMSV team will review the ISMS description submitted by MHC for DOE approval. The review will evaluate the description and supporting plant standards, manuals, and procedures against the guiding principles and core functions defined in DOE P 450.4 and draw a conclusion as to whether the ISMS will achieve the overall objective of integrated safety management:

“The Department and contractors must systematically integrate safety into management and work practices at all levels so that missions are accomplished while protecting the public, the worker, and the environment. This is to be accomplished through effective integration of safety management into all facets of work planning and execution. In other words, the overall management of safety functions and activities becomes an integral part of mission accomplishment.”

The ISMSV team will be selected and approved by the Manager, AL. The team will be relatively small in size (5-7 personnel) and will be led by a Certified ISMS Verification Team Leader. Upon selection and approval, team member biographies and areas of assigned responsibility will be added to this review plan as Appendix I. The ISMSV team will be trained to ensure an adequate understanding of the DOE P 450.4, the expectations previously provided by the AL Manager to MHC, the specific ISMS description submitted by MHC, and the plan and strategy for the review. An indoctrination period of approximately one-week, including CRAD development will be conducted at the Pantex Plant prior to the start of the ISMSV Phase I review. The team will complete preparation of the criteria review and approach documents (CRAD) which will guide the review. The final CRAD will be attached as Appendix II to this review plan.

6.0 PREPARATIONS

Preparations for the review of the ISMSV will focus on two areas. The first is intended to prepare the team to conduct the review and finalize this plan. The second effort is to assist MHC and AAO in understanding the intended review process so that they can compile documentation, structure briefings, and recommend processes for team observation to support a successful review.

The ISMSV team will be briefed on the scope of the review, strategy for conducting the review, and the methodology to be used. This will include a discussion on the logic and structure by which the CRAD and functional areas were developed. For any team members who have not previously participated in an ISMSV, additional training will be provided (e.g., ISMS Executive Course). Team members will be provided with copies of the MHC ISMS description along with any plant standards or procedures that constitute

part of the “system.” Finally, the team will receive briefings from MHC and AAO to provide an overview and understanding of processes used as part of the ISM system.

The responsible MHC and AAO managers will each describe their organizational processes established to fulfill the core functions and guiding principles of ISM, consistent with the description. For the processes described this includes identification of interface points between internal or external organizations, roles and responsibilities of personnel, line management involvement, training and qualification requirements,

7.0 PROCESS

The ISMSV review for Phase I will be conducted using the CRAD in Appendix II. The CRAD have been organized consistent with the five core functions of integrated safety management.

- Define the Scope of Work
- Analyze the Hazards
- Develop and Implement Hazard Controls
- Perform Work within Controls
- Provide Feedback and Continuous Improvement

The CRAD were developed consistent with DOE P 450.4, DOE G 450.4, and DOE-HDBK-3027-99 *Integrated Safety Management Systems (ISMS) Verification Team Leader's Handbook*. The CRAD in Appendix II include all of the CRAD suggested in DOE-HDBK-3027-99, Appendix 2, except BBC.3, criteria 2. This CRAD was deemed more appropriate for Phase II (BBC.3, criteria 2 - *Personnel who actually participate in definition of the scope of work and allocate resources demonstrate competence to prioritize and approve work with tailored hazard controls.*). Cross reference to the CRAD adopted from DOE-HDBK-3027-99 are provided in brackets “[]” after each of the applicable criteria in Appendix II. Other CRAD were added to Appendix II based upon ISMSV Phase I review plans used at other sites and Pantex-specific considerations. The CRAD will be finalized after the AL Manager selects and approves the review team.

The CRAD were developed to evaluate whether or not the nine core expectations contained in DOE-HDBK-3027-99 for a Phase I review have been satisfied.

1. The ISMS documentation is consistent with DOE P 450.4, the DEAR, and the guidance provided to the contractor by the approval authority.
2. DOE and contractor effectively translate mission into work, set expectations, provide for integration, and prioritize and allocate resources.
3. An ISMS should include methods for identifying, analyzing, and categorizing hazards.
4. The ISMS should include methods for establishing and maintaining an agreed-upon set of safety standards before work is performed.

5. Contractor policies, procedures, and documents are established and are adequate for the work or process to be performed safely.
6. The ISMS should be continuously improved through an assessment and feedback process, which should be established at each level of work and every stage in the work process.
7. The ISMS should establish that at every level of control, line management must be responsible for safety. Clear and unambiguous roles and responsibilities should be defined and maintained at all levels within the organization.
8. The ISMS should ensure that personnel are competent commensurate with their responsibility for safety.
9. The DOE Approval Authority should have a set of processes that interface efficiently and effectively with the contractor organization.

8.10 ADMINISTRATION

Part of the Phase I review will include presentations by MHC and AAO to the ISMSV team. The purpose of the presentations will be to provide an opportunity for the team to become familiar with the ISMS description and the mechanisms used for flow-down and implementation. The presentations will provide an opportunity for MHC and AAO to describe the manner in which the elements of ISM are integrated both vertically and horizontally. The ISMSV team will use the information provided during the briefings in determining if the criteria and objectives in the individual CRAD are met. Additional information garnered through documentation reviews, personnel interviews, and field observations will be used to validate the descriptions provided in the briefings.

Information will be provided concerning individual division and facility missions; recent past, current, and planned activities; and, how the documents identified support implementation of ISMS at the site, division, facility, or activity level. MHC and AAO management will provide that information they deem relevant to assist the team in developing an accurate understanding of the ISMS used at Pantex. The presentations should illustrate how each of the core functions and guiding principles of ISM are satisfied, beginning at the macro or "site-level" and extending down to the micro or "task-level." The presentations should emphasize actions taken or process changes made in response to internal and external assessments, including DNFSB Recommendation 98-2.

The ISMSV will be an open process with the goal of ensuring the review team has a clear and accurate understanding of the ISMS description and processes used by MHC for implementation. Site personnel are invited, in limited numbers, to attend the briefings as observers. The team leader and advisor will meet with MHC and AAO senior

management periodically to ensure they are fully informed of the progress of the review and any issues raised.

The ISMSV will be guided by the CRAD. The documentation will be structured to demonstrate the CRAD were evaluated and the criteria were either met or those aspects deficient identified. The documentation will serve as a formal record of the review and provide senior management within MHC and DOE details on the results.

In order to conduct the ISMSV in a timely fashion, the draft report will be completed prior to dissolution of the team. Each team member will document the details of their review as the work is completed. This means daily input to the Form 1 will be required. Each team member will be provided with a preliminary Form 1 containing the objective and criteria for each CRAD. In the event noteworthy practices or deficiency issues are identified, they will be documented on the applicable Form 1. If the final report to the AL Manager recommends technical direction to either MHC or AAO to correct any deficiencies, such action should be supported by the detailed information contained on the Form 1s. Individual team members are responsible for ensuring the Form 1s they develop not contain classified or unclassified controlled nuclear information (UCNI).

The lessons learned from the ISMSV are important in the context of future reviews. Team members will draft lessons learned and provide them as input to the team leader.

Following the review, the team leader will conduct a briefing with the MHC and AAO senior management. The briefing will include a summary of the findings and the proposed recommendation to the AL Manager concerning approval of the MHC ISMS description. Upon completion of the final report, the AL Manager will be briefed on the results of the review and provided with a formal recommendation relative to approval of the MHC ISMS description.

9.0 FINAL REPORT FORMAT

At the completion of the review, the team will prepare a report. The report will include a recommendation to the AL Manager concerning approval of the MHC ISMS description. The report will consist of the following sections.

TITLE PAGE – states the Site and the date(s) of the review.

SIGNATURE PAGE – contains the Team Leader's signature promulgating the final version of the report.

TABLE OF CONTENTS – identifies all sections and subsections of the report, illustrations, tables, charts, figures, and appendices.

EXECUTIVE SUMMARY – provides an overview of the results of the Phase I ISMSV including a summary of the recommendations from the review. The executive summary

will identify “opportunities for improvement” (findings) and strengths identified during the review.

INTRODUCTION – includes the overall objectives of the evaluation; the review process and methodologies used in the review; and the team composition.

PURPOSE – states the purpose of the ISMSV.

SCOPE – states the scope of the ISMSV.

OVERALL APPROACH – restates (with any necessary modifications) the approach followed during the ISMSV, as delineated by the review plan.

ASSESSMENT OF MHC ISMS – provides a summary discussion of the overall results of the evaluation. The section will include a summary for each functional area and findings. The section will provide details of the review necessary to support the overall recommendation to the AL Manager concerning approval of the MHC ISMS description. This section will also provide support for any recommendations or observations associated with MHC or AAO. Any deviations from the review plan will be discussed in this section.

CONCLUSIONS AND RECOMMENDATION – will address the adequacy of the MHC ISMS description. The conclusion will include an assessment as to the adequacy of AAO/AL mechanisms to interface and support the MHC ISMS.

LESSONS LEARNED – will discuss lessons learned during the review process.

VOLUME II – will include the assessment forms (Form 1), Review Plan, and the CRAD.

10. SCHEDULE

For planning purposes, the projected schedule for the Phase I ISMSV at the Pantex Plant:

September 20-24: MHC and AAO presentations of ISMS description and implementing mechanisms.

September 27-31: Complete documentation reviews, perform interviews, write report and conduct closeout briefings.

APPENDIX I

**Team Member Biographies
(TBD)**

APPENDIX II

CORE FUNCTION 1: Define Scope of Work

OBJECTIVES

DOE and contractor processes ensure missions are translated into work, performance expectations are established, tasks are identified and prioritized, and resources are allocated. Resources are allocated to address safety, programmatic, and operational considerations and mechanisms exist to ensure balanced priorities. Roles and responsibilities for work scope definition and execution are clearly established. Mechanisms exist to ensure personnel who define the scope of work and allocate resources have competence commensurate with assigned responsibilities.

Criteria:

- C1.1 DOE guidance for translating mission into work includes delineating its plan of work. This means the scope, schedule, and funding allocations for each fiscal year. [BBC.1.1]
- C1.2 DOE guidance for setting expectations for the contractor is established through contracts and regulations. These contracts and regulations provide guidance on expected performance, set goals and priorities, and allocate resources. [BBC.1.2]
- C1.3 DOE roles and responsibilities are clearly delineated to ensure a satisfactory level of safety, accountability, and authority to define the scope of work. [BBC.1.3]
- C1.4 DOE procedures ensure that the contractor adequately prioritizes work so that, when the ISMS is implemented, mission and safety expectations are met within available budget and resources. DOE procedures require performance objectives and related goals and priorities are reviewed and approved. [BBC.1.4]
- C1.5 Contractor procedures translate mission expectations from DOE into tasks that permit identification of resource requirements, relative prioritization, and performance measures that are established consistent with DOE requirements (DEAR 970.5204-4, DOE P 450.5). [BBC.1.5]
- C1.6 DOE and contractor procedures provide for DOE approval of proposed tasks and prioritization. Work planning procedures provide for feedback and continuous improvement. [BBC.1.6]
- C1.7 DOE and contractor procedures provide for change control of approved tasks, prioritization, and identification of resources. [BBC.1.7]
- C1.8 Contractor procedures provide for flow-down of DEAR 970.5204-2, "Integration of Environment, Safety and Health into Work Planning and Execution," requirements into subcontracts involving complex or hazardous work. [BBC.1.8]
- C1.9 The prioritization and allocation process clearly addresses both ES&H and programmatic needs. The process involves line management input and approval of the results. [BBC.2.1]
- C1.10 Priorities include commitments and agreements to DOE as well as stakeholders. [BBC.2.2]
- C1.11 The incentive and performance fee structures promote balanced priorities. [BBC.2.6]

- C1.12 DOE procedures for defining the scope of work ensure balanced priorities. [BBC.2.7]
- C1.13 Contractor procedures ensure that the personnel including line management who define, prioritize, and approve the scope of work and allocate resources have competence commensurate with assigned responsibilities. [BBC.3.1]
- C1.14 The ISMS Description is consistent and responsive to DOE Policies 450.4, 450.5, and 450.6; the DEAR; and the direction to the contractor from the Approval Authority. [MG.1.1]
- C1.15 Contractor ISMS defines clear roles and responsibilities of all personnel to ensure safety is maintained at all levels. The ISMS procedures and implementing mechanisms specify that line management is responsible for safety. [MG.2.1]
- C1.16 DOE procedures and practices assure that personnel who define the scope of work or oversee the contractor practices for defining the scope of work have competence commensurate with assigned responsibilities.
- C1.17 The ISMS describes how the contractor will establish, document, and implement safety performance objectives, performance measures, and commitments in response to DOE program and budget execution guidance while maintaining the integrity of the ISMS.
- C1.18 DOE and the contractor have mechanisms to ensure changes to work scope requirements requested or established by the design agencies are evaluated for impacts.
- C1.19 DOE and the contractor have mechanisms to ensure the scope of design agency support for Pantex activities is identified, including resource requirements, deliverables, and schedules.

Approach

Record Review: The following types of documentation will be reviewed to determine if the above criteria and objectives have been met. The following constitute minimum expectations for the review. The team member(s) assigned to this core function should determine if additional documents warrant review.

1. Contract between DOE and MHC (DE-AC011-91AL65030)
2. MHC *Integrated Safety Management Program Plan*
3. Selected correspondence transmitted from AL to AAO and AAO to MHC providing fiscal year (FY 1999 or FY 2000) budget guidance, requested changes, or feedback
4. Work authorization directives (WAD)
5. Performance evaluation management plan (PEMP)
6. AL' functions responsibilities and authorities manual (FRAM)
7. AAO procedure 103.4 – *AAO Functions, Responsibilities and Authorities Manual (FRAM)*
8. AAO procedure 407.1.1 - *Work Authorization Directives' (WADs) Change Control Procedure, Prime Contract No. DE-AC011-91AL65030*
9. AAO procedure 407.2.1 - *Workload Planning and Budget Formulation Procedure, Prime Contract No. DE-AC011-91AL65030*
10. MHC STD-1045, *Work Authorization Directives (WADS) Change Control Process*
11. MHC STD-5016, *Maintenance Work Control System*

12. MHC MNL-FO-1009, *LCAM Implementation Manual*
13. MHC STD-9030, *Site Planning*
14. MHC STD-7308, *Integrated Plant Project Priorities*
15. MHC DIR-0001, *Roles and Responsibilities for the Management and Operation of Pantex Plant*
16. MHC STD-2777, *Personnel Selection, Qualification, and Certification*
17. MHC STD-7403, *Manufacturing Operations*
18. MHC AT-IOP-800027, *Applied Technology Division Guidelines for Personnel Selection, Qualification, and Certification*
19. MHC IOP-B-0019, *Manufacturing Division Guidelines for Personnel Selection, Qualification, and Certification*
20. MHC IOP-B-3075, *Selecting Facilities for Weapon Assembly/Disassembly Operations*
21. MHC STD-1012, *Capital Budget Process*
22. MHC STD-1201, *Procurement*
23. MHC STD-1222, *Procurement Information, Demonstrations, and Contracts*
24. AAO procedure 103.1 – *Pantex Integrated Safety Management System Description, Standards Requirements Identification Documents, and Directives Review Management Program*
25. AAO procedure 103.3 – *ISM Change Control Board Charter*
26. MHC MNL-133747, *Procurement Manual*
27. MHC STD-2001, *Employment Hiring Procedure*
28. MHC STD-2533, *5480.20A Position Classification Process*
29. MHC STD-2540, *Job Description, Job Review, and Evaluation*
30. MHC STD-2065, *Organizational Charts*
31. MHC STD-7401, *Weapons Program Project Team*
32. Selected MHC subcontracts
33. Selected AAO and MHC position descriptions and qualification standards

Interviews: AAO and MHC management and personnel will be selected for interviews as required to obtain additional information on methods, processes, or systems used to satisfy the above criteria.

Observations: Activities will be observed as required to gain an understanding of the scope, intent, responsibilities, and processes formally delineated to satisfy the above criteria. Observations will be focused on evaluating the adequacy of the processes formally defined. Consistency of application, personnel knowledge, and degree of satisfactory implementation of the processes will be evaluated by Phase II of the ISMSV.

CORE FUNCTION 2: Analyze the Hazards

OBJECTIVES

Hazards associated with the work are identified, analyzed, and categorized. Applicable standards and requirements are identified and agreed upon. Contractor and DOE procedures ensure roles and responsibilities for preparing, reviewing and approving hazard analyses are clearly defined. Contractor and DOE procedures ensure personnel responsible for preparing, reviewing and approving hazard analyses have competence commensurate with assigned responsibilities. Mechanisms exist to ensure worker involvement in the identification of hazards. Line management is responsible for ensuring the adequacy of hazard analyses.

Criteria:

- C2.1 Contractor procedures provide resources to adequately analyze hazards associated with the work being planned. [BBC.2.3]
- C2.2 Contractor and DOE procedures require identification, analysis, and categorization of all hazards associated with the site. Contractor ISMS procedures for analysis of hazards reflect accepted rigor and methodology. The resulting hazards are utilized in selection of standards included in the contract as List A/List B. [HAZ.1.1]
- C2.3 Contractor procedures require identification, analysis, and categorization of all hazards associated with facilities or activities. Hazards that are considered include nuclear, chemical, industrial or others applicable to the work being considered. Contractor procedures for analysis of hazards reflect accepted rigor and methodology. [HAZ.1.2]
- C2.4 Contractor procedures utilize accepted methodologies to identify adequate hazard control standards at the site or corporate level and at the facility level to protect the public, worker, and environment. Controls at the corporate level appear in the contract while those at the facility level are reflected in the authorization basis documentation. [HAZ.2.1]
- C2.5 Contractor procedures have clearly defined roles and responsibilities for personnel assigned to oversee, review, and approve the analysis of hazards associated with facilities and activities. [HAZ.3.1]
- C2.6 Contractor procedures require that personnel responsible for analyzing hazards have competence that is commensurate with their responsibilities. [HAZ.3.2]
- C2.7 DOE procedures have clearly defined roles and responsibilities for personnel assigned to oversee, review, and approve the hazard analyses associated with facilities and activities. [HAZ.3.3]
- C2.8 DOE procedures require that personnel responsible for approving hazard analyses have competence that is commensurate with their responsibilities. [HAZ.3.4]
- C2.9 Contractor procedures and policies are in place to ensure that workers are actively involved in the identification of hazards.
- C2.10 DOE procedures require that applicable standards are reviewed and agreed upon.
- C2.11 DOE has adequate procedures for the verification of standards selection.

- C2.12 DOE procedures specify the appropriate review and approval process for the hazard controls and safety standards and requirements.
- C2.13 Contractor ISM procedures hold line management directly responsible for the analysis of hazards to ensure a satisfactory level of safety.
- C2.14 DOE and contractor mechanisms ensure design agency input is included in the identification of hazards involving nuclear explosive components or assemblies.

Record Review: The following constitute minimum expectations for the review. The team member(s) assigned to this core function should determine additional documents for review.

1. Contract between DOE and MHC (DE-AC011-91AL65030)
2. MHC *Integrated Safety Management Program Plan*
3. AAO procedure 103.4 – *AAO Functions, Responsibilities and Authorities Manual (FRAM)*
4. MHC DIR-0001, *Roles and Responsibilities for the Management and Operation of Pantex Plant*
5. AAO procedure 106.1 – *Authorization Basis Documentation Program*
6. MHC STD-3071, *Authorization Basis*
7. MHC STD-3116, *Job Safety and Health Analysis*
8. MHC STD-3014, *Unreviewed Safety Question Process*
9. MHC STD-4322, *Fire Hazard Analysis*
10. MHC STD-9550, *Performance of Process Hazard Analysis for Process Safety Management*
11. MHC IOP-D-2600, *Preparation of Safety Analysis*
12. MHC MNL-00023, *ES&H and Waste Management and Environmental Restoration Workbook for Maintenance Order Reviews*
13. MHC STD-3310, *Electrical Equipment Approved for Use in Hazardous Locations*
14. MHC STD-3138, *Hazard Abatement Program*
15. MHC STD-3490, *Material Characterization Process*
16. MHC STD-3496, *Waste Characterization, Sampling and Analysis*
17. MHC MNL-00053, *Hazard Identification Team (HIT) Manual*
18. MHC *Voluntary Protection Program (VPP) Handbook*
19. MHC STD-0148, *Integrated Processes for Seamless Safety (SS-21)*
20. MHC STD-1070, *Employee Suggestion Program*
21. MHC STD-3124, *Explosive Classification/DOT Exemption Application*
22. AAO procedure 506.1.0 – *Nuclear Criticality Safety*
23. AAO procedure 510.6.0 – *Oversight of the Contractor's Occupational Safety and Health Program*
24. MHC AT-IOP-80001, *Unreviewed Safety Question for Explosive Operations*
25. MHC STD-3190, *Safety Survey of Facilities*
26. MHC STD-3260, *Pantex Written Hazard Communication Program*
27. Selected MHC subcontracts
28. Selected AAO and MHC position descriptions and qualification standards

Interviews: AAO and MHC management and personnel will be selected for interviews as required to obtain additional information on methods, processes, or systems used to satisfy the above criteria.

Observations: Activities will be observed as required to gain an understanding of the scope, intent, responsibilities, and processes formally delineated to satisfy the above criteria. Observations will be focused on evaluating the adequacy of the processes formally defined. Consistency of application, personnel knowledge, and degree of satisfactory implementation of the processes will be evaluated by Phase II of the ISMSV.

CORE FUNCTION 3: Develop and Implement Hazard Controls

OBJECTIVES

Controls tailored to the hazards are developed and implemented. Roles and responsibilities for hazard control development, approval, and implementation are clearly defined. Personnel have competence commensurate with assigned responsibilities. Line management is responsible for ensuring adequate hazard controls have been developed and implemented. Mechanisms exist to ensure worker involvement in the development of hazard controls.

Criteria:

- C3.1 Contractor procedures for allocating resources include provisions for implementation of hazard controls for tasks being funded. [BBC.2.4]
- C3.2 Resource allocations reflect the tailored hazard controls. [BBC.2.5]
- C3.3 Contractor procedures ensure controls are tailored to the hazards associated with the work or operations to be authorized. [HAZ.2.2]
- C3.4 Contractor procedures ensure the identified controls, standards, and requirements are agreed upon and approved prior to the commencement of the operations or work being authorized. [HAZ.2.3]
- C3.5 Contractor procedures utilize accepted and structured methods and processes to identify, select, gain approval for, periodically review, and maintain safety standards and requirements. [HAZ.2.4]
- C3.6 DOE procedures specify an appropriate review and approval process for the hazard controls and safety standards and requirements. [HAZ.2.5]
- C3.7 DOE contracting procedures require that the requirements of applicable Federal, State, and local regulations (List A) and the requirements of Department of Energy directives (List B) be appended to the contract. [HAZ.2.6]
- C3.8 Contractor procedures have clearly defined roles and responsibilities for personnel assigned to oversee, review, and approve the hazard controls associated with facilities and activities. [HAZ.3.1]
- C3.9 Contractor procedures require that personnel responsible for the identification of adequate hazard controls have competence that is commensurate with their responsibilities. [HAZ.3.2]
- C3.10 DOE procedures have clearly defined roles and responsibilities for personnel assigned to oversee, review, and approve the controls associated with facilities and activities. [HAZ.3.3]
- C3.11 DOE procedures require that personnel responsible for approving hazard controls have competence that is commensurate with their responsibilities. [HAZ.3.4]
- C3.12 Contractor procedures identify line management as responsible for ensuring that the implementation of hazard controls is adequate to ensure that work is planned, approved, and conducted safely. Procedures require that line managers are responsible for the verification of adequate implementation of controls to mitigate hazards prior to authorizing work to commence. [MG.2.2]
- C3.13 Contractor procedures identify line management as responsible for ensuring that hazard controls remain in effect so long as hazards are present. [MG.2.3]

- C3.14 Contractor procedures for individual processes or maintenance actions ensure that controls are implemented prior to commencing work and that these controls remain in effect so long as the hazard is present. [MG.4.1]
- C3.15 Contractor procedures for individual disciplines ensure that individual processes or maintenance actions include adequate controls associated with the individual discipline prior to commencing work and that the controls remain in effect so long as the hazard is present. [MG.4.2]
- C3.16 Contractor procedures and policies are in place to ensure that workers are actively involved in the development and implementation of controls.
- C3.17 Contractor ISM procedures ensure that controls are tailored to the hazards associated with the work or operations to be authorized.
- C3.18 Contractor work planning procedures and practices for resource allocation include provisions for the implementation of hazard controls.
- C3.19 The facility authorization envelope defines a set of controls that are tailored to, and adequate for, the identified hazards.
- C3.20 Contractor ISM procedures ensure that the basis for the safe performance of work is clearly defined and maintained through effective configuration control.
- C3.21 DOE and the contractor have mechanisms to ensure design agency input is obtained in the development of controls to prevent or mitigate hazards associated with nuclear explosive components or assemblies.

Record Review: The following types of documentation will be reviewed to determine if the above criteria and objectives have been met. The following constitute minimum expectations for the review. The team member(s) assigned to this core function should determine if additional documents warrant review.

1. Contract between DOE and MHC (DE-AC011-91AL65030)
2. MHC *Integrated Safety Management Program Plan*
3. AAO procedure 103.4 – *AAO Functions, Responsibilities and Authorities Manual (FRAM)*
4. MHC DIR-0001, *Roles and Responsibilities for the Management and Operation of Pantex Plant*
5. AAO procedure 106.1 – *Authorization Basis Documentation Program*
6. MHC MNL-RS-001, *Pantex Radiological Control*
7. MHC STD-3030, *Explosive, Nuclear Material, and Personnel Limits*
8. MHC STD-3209, *Radiation Work Permits*
9. MHC STD-3212, *Radiation Generating Devices*
10. MHC MNL-1101, *Critical Safety System Manual*
11. MHC MNL-00076, *Basis for Interim Operation for the Pantex Plant*
12. MHC O&I STD-7-5000, *General Safety Requirements-Production and Support Activities*
13. MHC STD-3071, *Authorization Basis*
14. MHC O&I STD-P7-2003, *General Requirements for Assembly/Disassembly Operations Area Activity*
15. MHC STD-0139, *Engineering and Design*

16. MHC STD-0140, *Preparation, Revision and Review of Policy Directives and Plant Standards*
17. MHC STD-1043, *Technical Procedures System*
18. MHC STD-0142, *Development and Control of Manuals*
19. MHC STD-0170, *Temporary Technical Procedures System*
20. MHC STD-6333, *Inspection and Acceptance Testing*
21. MHC STD-9513, *Response to Hazardous Material Releases*
22. MHC O&I STD-P7-0034, *Radiological Work/Operating Procedure*
23. MHC O&I STD-P7-0999, *Explosive Movement*
24. MHC STD-3607, *General Forklift Material Handling and Special Equipment Operation*
25. MHC STD-3375, *Control of Testers and Electrical Equipment Used in Nuclear Explosive Areas*
26. MHC STD-1462, *Explosives Sensitivity Committee*
27. MHC STD-1463, *Explosives Pressing, Machining, and Handling Limits*
28. MHC STD-3350, *Heating Explosives*
29. MHC STD-3311, *Safety Criteria for the Design of Tooling and Handling Equipment*
30. MHC STD-2786, *Training Development*
31. MHC STD-2787, *Training Implementation*
32. MHC STD-2788, *Training Analysis and Design*
33. MHC STD-2770, *Training*
34. MHC STD-3265, *Chemical Control Program*
35. MHC STD-3013, *Centralized Review System*
36. MHC STD-0265, *Weapons Training and Qualification*
37. AAO procedure 110.1.4, *Oversight of Contractor Training Program*
38. AAO procedure 112.1.3, *Emergency Management Oversight Program*
39. Selected MHC subcontracts
40. MHC STD-0282, *DOE Requirement Documents Review*
41. MHC STD-3020, *Safety Work Permits*
42. MHC STD-3022, *Construction Safety Program*
43. MHC STD-3118, *Lockout/Tagout Program*
44. MHC STD-3170, *Facility Lightning Protection*
45. Selected AAO and MHC position descriptions and qualification standards

Interviews: AAO and MHC management and personnel will be selected for interviews as required to obtain additional information on methods, processes, or systems used to satisfy the above criteria.

Observations: Activities will be observed as required to gain an understanding of the scope, intent, responsibilities, and processes formally delineated to satisfy the above criteria. Observations will be focused on evaluating the adequacy of the processes formally defined. Consistency of application, personnel knowledge, and degree of satisfactory implementation of the processes will be evaluated by Phase II of the ISMSV.

CORE FUNCTION 4: Perform Work within Controls

OBJECTIVES

Line management ensures readiness is confirmed and work is performed safely. DOE and contractor procedures ensure before work is performed, hazards have been analyzed; safety standards and requirements identified, agreed upon, and implemented; and hazard controls implemented. Personnel assigned to perform or oversee work have competence commensurate with assigned responsibilities.

Criteria:

- C4.1 DOE line management responsibility for safety includes responsibility to ensure that work is performed within the approved controls. [DOE.1.1]
- C4.2 DOE has established clear roles and responsibilities to ensure that work is performed within controls. [DOE.1.2]
- C4.3 DOE procedures ensure that personnel who review or oversee the performance of work have competence commensurate with the responsibilities to which they are assigned. [DOE.1.3]
- C4.4 DOE procedures ensure that priorities are balanced so that work is performed within controls. [DOE.1.4]
- C4.5 DOE procedures require work readiness be properly verified and authorized before work commences. [DOE.1.5]
- C4.6 Contractor and DOE procedures define the processes for the development, approval, and maintenance of documentation addressing the establishment of authorization protocols and authorization agreements. [HAZ.2.7]
- C4.7 Contractor procedures ensure that personnel who supervise work have competence commensurate with the responsibilities. [MG.2.4]
- C4.8 Contractor procedures require line and independent oversight or assessment activities at all levels. Oversight and assessment activities verify that work is performed within agreed upon controls. [MG.3.4]
- C4.9 Contractor procedures provide for regulatory compliance and enforcement as required by rules, laws, and permits such as PAAA, NEPA, RCRA, CERCLA, etc. [MG.3.7]
- C4.10 Contractor procedures provide mechanisms or processes for gaining authorization to conduct operations or perform work. [MG.4.3]
- C4.11 Contractor mechanisms for the control of work specify that line management is responsible for safety. [MG.4.4]
- C4.12 Contractor personnel who plan, control, and conduct work are required to have competence commensurate with the assigned responsibilities. [MG.4.5]
- C4.13 DOE and contractor procedures for the authorization of operations shall ensure that hazards have been analyzed, and an appropriate set of controls implemented.
- C4.14 The DOE and contractor procedures for authorizing operations apply a graded approach, based on the hazards present.
- C4.15 Contractor procedures for the approval of work ensure that the assigned workers are qualified for the scope of work planned, understand the hazards involved, and controls are in place to mitigate those hazards.

- C4.16 Contractor procedures ensure that roles, responsibilities, and expectations are clearly communicated to workers.
- C4.17 DOE and the contractor have mechanisms to ensure periodic review by design agency personnel of work performed at Pantex in accordance with requirements established by the design agencies.

Record Review: The following types of documentation will be reviewed to determine if the above criteria and objectives have been met. The following constitute minimum expectations for the review. The team member(s) assigned to this core function should determine if additional documents warrant review.

1. Contract between DOE and MHC (DE-AC011-91AL65030)
2. MHC *Integrated Safety Management Program Plan*
3. AAO procedure 103.4 – *AAO Functions, Responsibilities and Authorities Manual (FRAM)*
4. MHC DIR-0001, *Roles and Responsibilities for the Management and Operation of Pantex Plant*
5. AAO procedure 115.1.0 – *Startup and Restart of Pantex Plant Activities*
6. MHC STD-7301, *Management Declaration of Operational Readiness*
7. MHC STD-7302, *Operational Readiness Review (ORR)*
8. MHC STD-7303, *Readiness Assessment (RA) Procedure*
9. MHC STD-7306, *Startup and Restart of Pantex Activities*
10. MHC STD-7000, *Conduct of Operations Implementation*
11. MHC STD-0150, *Procedures Adherence*
12. MHC STD-3480, *Suspension of Activities or Operations*
13. MHC IOP-B0006, *Manufacturing Guidelines for Formal Conduct of Operations*
14. MHC STD-1054, *Authorization Agreements*
15. AAO procedure 103.2, *Authorization Agreements*
16. AAO procedure 511.1.0, *Facility Representative Program Manual*
17. AAO procedure 511.1.1, *Facility Representative Routine*
18. AAO procedure 511.1.3, *Facility Representative Continuing Training*
19. AAO procedure 511.1.4, *Facility Representative Activity Plan*
20. AAO procedure 510.6.0, *Oversight of the Contractor's Occupational Safety and Health Program*
21. AAO procedure 110.1.1, *Construction Project Safety and Health Oversight*
22. AAO procedure 101.1.1, *Stop Work Authority*
23. AAO procedure 110.1.6, *Oversight of Hazardous and Radioactive Material Transportation*
24. MHC MNL-00040, *Conduct of Operations*
25. MHC MNL-00042, *Safeguard Conduct of Operations*
26. MHC STD-7403, *Manufacturing Operations*
27. Selected MHC subcontracts
28. Selected AAO and MHC position descriptions and qualification standards

Interviews: AAO and MHC management and personnel will be selected for interviews as required to obtain additional information on methods, processes, or systems used to satisfy the above criteria.

Observations: Activities will be observed as required to gain an understanding of the scope, intent, responsibilities, and processes formally delineated to satisfy the above criteria. Observations will be focused on evaluating the adequacy of the processes formally defined. Consistency of application, personnel knowledge, and degree of satisfactory implementation of the processes will be evaluated by Phase II of the ISMSV.

CORE FUNCTION 5: Provide Feedback and Continuous Improvement

OBJECTIVES

Feedback information on the identification of safety standards and requirements, the adequacy of controls, and opportunities for improving the planning of work is identified and implemented. Line management and independent oversight is conducted as appropriate, and, if necessary regulatory enforcement actions occur.

Criteria:

- C5.1 DOE procedures describe clear roles and responsibilities to provide feedback and continuous improvement. [DOE.2.1]
- C5.2 DOE procedures ensure that competence is commensurate with the responsibilities to provide feedback and continuous improvement. [DOE.2.2]
- C5.3 DOE procedures ensure that feedback is provided and continuous improvement results in the identification of safety standards and requirements. [DOE.2.3]
- C5.4 DOE procedures ensure that feedback is provided and continuous improvement results in the tailored hazard controls of the work being performed. [DOE.2.4]
- C5.5 DOE procedures promote the continuous improvement and efficiency of operations. DOE priorities are balanced and corrective actions are developed, implemented, and tracked in order to profit from prior experience and the lessons learned. [DOE.2.5]
- C5.6 DOE procedures provide line oversight of the contractor's self-assessment programs. [DOE.2.6]
- C5.7 The contractor has mechanisms in place to direct, monitor, and verify the integrated implementation of the ISMS as described in the ISMS Description. Implementation and integration expectations and mechanisms are evident throughout all corporate/site organizational functions. [MG.1.2]
- C5.8 The contractor has assigned responsibilities and established mechanisms to ensure that the ISMS Description is maintained current and that the annual update information is prepared and submitted. [MG.1.3]
- C5.9 The contractor has established a process that establishes, documents, and implements safety performance objectives, performance measures, and commitments in response to DOE program and budget execution guidance. The ISMS describes how system effectiveness will be measured. [MG.1.4]
- C5.10 Contractor procedures describe clear roles and responsibilities to provide feedback and continuous improvement including line management responsibility for safety. [MG.3.1]
- C5.11 Contractor procedures ensure that competence is commensurate with the responsibilities to provide feedback and continuous improvement. [MG.3.2]
- C5.12 Contractor procedures ensure that priorities are balanced to ensure feedback is provided and continuous improvement results. [MG.3.3]
- C5.13 Contractor procedures ensure oversight or assessment results are managed to ensure lessons are learned and applied; that issues are identified and managed to resolution; that fundamental causes are determined and effective corrective action plans are developed and implemented. [MG.3.5]

- C5.14 Contractor procedures ensure that performance measures or indicators and performance objectives are developed in coordination with DOE as required. Contractor procedures require effective management and use of performance measures and objectives to ascertain the status of the ISMS. [MG.3.6]
- C5.15 Contractor ISM procedures for hazard analysis and identification of controls are modified to reflect lessons learned and feedback information resulting from assessments and work experience.
- C5.16 Contractor procedures include assessment and lessons learned programs to ensure continuous improvement of work planning and conduct of work.
- C5.17 Contractor procedures provide for line and independent oversight or assessment activities at all levels.
- C5.18 Contractor procedures require line management to use performance measures and objectives.
- C5.19 DOE and the contractor have mechanisms to ensure design agency feedback is provided for continuous improvement of processes. Mechanisms similarly exist for DOE and the contractor to provide feedback to the design agencies for continuous improvement.

Record Review: The following types of documentation will be reviewed to determine if the above criteria and objectives have been met. The following constitute minimum expectations for the review. The team member(s) assigned to this core function should determine if additional documents warrant review.

1. Contract between DOE and MHC (DE-AC011-91AL65030)
2. MHC *Integrated Safety Management Program Plan*
3. AAO procedure 103.4 – *AAO Functions, Responsibilities and Authorities Manual (FRAM)*
4. MHC DIR-0001, *Roles and Responsibilities for the Management and Operation of Pantex Plant*
5. MHC STD-0144, *Periodic Document Review*
6. MHC STD-9045, *Change Control for Facility Critical Safety, Safety Class/Safety Significant Systems*
7. MHC STD-3075, *Authorization Basis Change Control*
8. MHC STD-6216, *Lessons Learned Program*
9. MHC AT-IOP-80022, *Applied Technology Division Lessons Learned*
10. AAO procedure 110.4.0, *Issues Management and Tracking Program*
11. AAO procedure 114.1.0, *AAO Self Assessment Program*
12. AAO procedure 109.1.1, *AAO Trending and Analysis of Pantex Operations Information Using Performance Indicators*
13. AAO procedure 407.1.1, *Work Authorization Directive's (WADs) Change Control Procedure, Prime Contract No. DE-AC011-91AL65030*
14. AAO Procedure 410.1.1, *Cost Reduction Incentive Program (CRIP)*
15. MHC STD-6161, *Nonconformance Reporting*
16. MHC STD-3140, *Event Investigation, Critique Process, and Occurrence Reporting*
17. MHC O&I STD-7-0835, *Defect Reporting and Investigation*
18. MHC STD-6028, *Performance Measurement System*

19. MHC STD-3217, *As Low As Reasonably Achievable (ALARA) Program*
20. MHC STD-4321, *Fire Protection Assessments*
21. MHC STD-4504, *Self-Assessment Program for Safeguards, Security & Fire Protection Division*
22. MHC STD-0107, *Independent Assessments and Self-Assessments*
23. MHC STD-3008, *Annual Safety and Health Program Evaluation*
24. MHC STD-1045, *Work Authorization Directives (WADS) Change Control Process*
25. MHC STD-9038, *Vendor/Operations and Maintenance Manuals*
26. MHC STD-0270, *Internal Audit*
27. MHC STD-1070, *Employee Suggestion Program*
28. MHC STD-2112, *Enforcement of Plant Rules*
29. MHC STD-2537, *Performance Appraisal*
30. MHC STD-2570, *Employee Recognition and Awards Program*
31. MHC STD-3006, *Accident Investigation*
32. MHC STD-3061, *Employee Safety and/or Health Complaints*
33. MHC STD-3366, *Nuclear Explosive Safety Reviews*
34. MHC STD-6031, *Corrective Action Program*
35. Selected AAO and MHC position descriptions and qualification standards

Interviews: AAO and MHC management and personnel will be selected for interviews as required to obtain additional information on methods, processes, or systems used to satisfy the above criteria.

Observations: Activities will be observed as required to gain an understanding of the scope, intent, responsibilities, and processes formally delineated to satisfy the above criteria. Observations will be focused on evaluating the adequacy of the processes formally defined. Consistency of application, personnel knowledge, and degree of satisfactory implementation of the processes will be evaluated by Phase II of the ISMSV.

APPENDIX III

AL Manager Appointing Memorandum

(TBD)

APPENDIX IV

Acronyms

AAO	Amarillo Area Office
AL	Albuquerque Operations Office
AT	Applied Technology
CRAD	Criteria Review and Approach Document
DEAR	Department of Energy Acquisition Regulations
DNFSB	Defense Nuclear Facilities Safety Board
DOE	Department of Energy
FRAM	Functions, Responsibilities, and Authorities Manual
G	Guide
HCA	Head Contracting Authority
HDBK	Handbook
IOP	Internal Operating Procedure
ISM	Integrated Safety Management
ISMS	Integrated Safety Management System
ISMSV	Integrated Safety Management System Verification
MHC	Mason and Hanger Corporation
MNL	Manual
P	Policy
PEMP	Performance Evaluation Management Plan
STD	Standard
UCNI	Unclassified Controlled Nuclear Information
WAD	Work Authorization Directive(s)