

# ES&H RESPONSIBILITIES

DATED: 11/17/2008

## SUBJECT: ORO INTEGRATED SAFETY MANAGEMENT PROGRAM

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1. PURPOSE. This document establishes the elements of the Oak Ridge Office (ORO) Integrated Safety Management (ISM) Program.
2. APPLICABILITY. The provisions of this document apply to ORO Principal Staff.
3. RESPONSIBILITIES.
  - a. Manager.
    - (1) Approves and ensures implementation of the ORO ISM Program (see Attachment 1) that is consistent with the policy established in DOE P 450.4 and the requirements contained in DOE M 450.4-1. Approves annual updates, if necessary, to the ORO ISM Program description.
    - (2) Approves the contractors' initial ISMS descriptions and major updates.
    - (3) Provides a copy of the ORO ISM program description to the applicable Secretarial offices for information.
    - (4) Ensures an annual ISM effectiveness review is performed for ORO and its contractors, and using the results of this review, makes an annual declaration of the status and effectiveness of ISM for ORO and its contractors to the applicable Program Secretarial Offices.
    - (5) Approves the annual safety performance objectives, measures, and commitments for ORO and provides them to the applicable Secretarial offices.
    - (6) Makes the final determination of whether and when to conduct full ISMS verifications of ORO's activities, encompassing both Federal and contractor implementation of ISM, consistent with the guidance in Attachment 4 of DOE M 450.4-1.
    - (7) Serves as or designates an ORO ISM Champion to support ISM implementation activities as directed.
  - b. Assistant Manager for Environment, Safety, and Health (AMESH).
    - (1) Supports verifications of ORO contractors' ISM programs as requested by the Contracting Officers' Representatives (CORs).
    - (2) Conducts closure verification and effectiveness reviews of corrective actions from ISMS verifications as requested by the CORs.
    - (3) Supports ORO line management in conducting annual ISM effectiveness reviews of their organizations, as requested.

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- (4) Supports the conduct of effectiveness reviews of contractors' ISM program implementation as requested by the CORs.
  - (5) Compiles the annual ISMS effectiveness declarations from the Assistant Managers and Office Directors into a single declaration document for the Manager to submit to the applicable Secretarial offices.
  - (6) Compiles the annual safety performance objectives, measures, and commitments from the Assistant Managers and Office Directors into a single document for the Manager to submit to the applicable Secretarial offices.
- c. Assistant Managers and Office Directors with Contractor Oversight Responsibility.
- (1) Provide support for ISMS verifications and reviews.
  - (2) Conduct line oversight of the contractors' implementation of ISM consistent with the requirements of DOE O 226.1, IMPLEMENTATION OF DEPARTMENT OF ENERGY OVERSIGHT POLICY.
  - (3) Perform an annual ISM effectiveness review for your organization and contractors and make a declaration in writing to the Manager of the status and effectiveness of ISM implementation. Provide a copy to the AMESH for inclusion in the annual ORO ISM declaration.
  - (4) Prepare annual safety performance objectives, measures, and commitments for their organization and provide to the Manager, with a copy to the AMESH for inclusion in the annual submittal to the applicable Program Secretarial Offices.
- d. Contracting Officers.
- (1) Ensure the latest versions of the following DOE Acquisition Regulations (DEAR clauses) are included in applicable DOE contracts: 48 CFR 970.5223-1, INTEGRATION OF ENVIRONMENT, SAFETY, AND HEALTH INTO WORK PLANNING AND EXECUTION; 48 CFR 970.5204-2, LAWS, REGULATIONS, AND DOE DIRECTIVES; 48 CFR 970.5215-3, CONDITIONAL PAYMENT OF FEE, PROFIT, AND OTHER INCENTIVES; and 48 CFR 970.5203-2, PERFORMANCE IMPROVEMENT AND COLLABORATION.
- e. Contracting Officer's Representatives
- (1) Transmit feedback on contractor ISMS descriptions and annual updates, if changes are needed.
  - (2) Establish and maintain the latest version of the Contractor Requirements Document for DOE M 450.4-1 as a requirement in all DOE contracts that already include DEAR Clause 970.5223-1, INTEGRATION OF ENVIRONMENT, SAFETY, AND HEALTH INTO WORK PLANNING AND EXECUTION.

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- (3) Transmit annual direction to contractors on ISM, including schedule for providing contractor submittals of (a) annual ISM effectiveness reviews and annual ISM declarations, (b) ISMS description updates, and (c) safety performance objectives, measures, and commitments.
  - (4) Provide contractors with the latest approved version of the ORO ISM Program description.
  - (5) Transmit ORO's feedback on contractor ISMS performance objectives, measures, and commitments.
  - (6) Ensure inclusion of ISMS verifications and effectiveness reviews in the Annual Assessment Plan Schedule.
  - (7) Ensure that the results of ISMS verifications and effectiveness reviews are entered into ORION for use in trending and analysis.
  - (8) Coordinate with the Manager and the AMESH on the scope of contractor ISMS verifications, concur in team leader selection, and review verification plans and subsequent corrective action plans in accordance with DOE-HDBK-3027-99.
  - (9) Ensure that the contractor is tracking ISMS opportunities for improvement to closure, trending issues, and setting performance measures to support continuous improvement.
  - (10) Analyze contractor ISMS performance information and self-assessment data. Evaluate trends of identified issues and identify opportunities for improvement in accordance with DOE O 414.1C, Criterion 9.
  - (11) Implement the ISMS roles and responsibilities listed in DOE M 411.1-1C, SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES, dated December 31, 2003, in accordance with DOE P 411.1, SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES.
  - (12) Approve annual updates of contractors' ISMS descriptions (except major changes) or review and approve the contractor's rationale that changes to the ISMS description are not needed.
  - (13) Appoint team leaders for verifications of contractor ISMSs and ORO ISMS reviews of their organizations.
  - (14) Approve ISMS verification plans.
- f. Program/Project Managers.
- (1) Address ISM early in the project's lifecycle and integrate it into all project activities.

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(2) Address ISM as described in DOE O 413.3A, PROGRAM AND PROJECT MANAGEMENT FOR THE ACQUISITION OF CAPITAL ASSETS, and DOE M 413.3-1, PROJECT MANAGEMENT FOR THE ACQUISITION OF CAPITAL ASSETS.

e. ORO ISM Champion.

(1) Assists line management in developing and sustaining vital, mature ISMSs.

(2) Participates in the ISM Champions Council and supports the DOE ISM Champion in accomplishing the council functions, as defined in the charter for the ISM Champions Council.

(3) Annually reviews and proposes updates, if needed, to Attachment 1, "Oak Ridge Office Integrated Safety Management Program Description."

4. REFERENCES.

a. DOE P 411.1, SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES, dated January 28, 1997.

b. DOE M 411.1-1C, SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES, dated December 31, 2003.

c. DOE M 413.3-1, PROJECT MANAGEMENT FOR THE ACQUISITION OF CAPITAL ASSETS, dated March 28, 2003.

d. DOE O 413.3A, PROGRAM AND PROJECT MANAGEMENT FOR THE ACQUISITION OF CAPITAL ASSETS, dated July 28, 2007.

e. DOE O 414.1C, QUALITY ASSURANCE, dated June 17, 2005.

f. DOE O 425.1C, STARTUP AND RESTART OF NUCLEAR FACILITIES, dated March 13, 2003.

g. DOE O 450.1, Change 2, ENVIRONMENTAL PROTECTION PROGRAM, dated December 7, 2005.

h. DOE P 450.2A, IDENTIFYING, IMPLEMENTING, AND COMPLYING WITH ENVIRONMENT, SAFETY, AND HEALTH REQUIREMENTS, dated May 15, 1996.

i. DOE O 210.2, DOE CORPORATE OPERATING EXPERIENCE PROGRAM, dated June 12, 2006.

j. DOE G 450.3-3, TAILORING FOR INTEGRATED SAFETY MANAGEMENT APPLICATIONS, dated February 1, 1997.

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- k. DOE G 450.4-1B, Volumes 1 and 2, INTEGRATED SAFETY MANAGEMENT SYSTEM GUIDE FOR USE WITH SAFETY MANAGEMENT SYSTEM POLICIES (DOE P 450.4, DOE P 450.5); THE FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL, AND THE DOE ACQUISITION REGULATION, dated March 1, 2001.
- l. DOE-HDBK-3027-99, INTEGRATED SAFETY MANAGEMENT SYSTEM (ISMS) VERIFICATION TEAM LEADER'S HANDBOOK, dated June 1999.
- m. DOE Acquisition Regulation clause 970.5223-1, INTEGRATION OF ENVIRONMENT, SAFETY, AND HEALTH INTO WORK PLANNING AND EXECUTION, issued December 22, 2000.