

Revised SRS Approach to Declaring ISMS Effectiveness

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Objective

- Streamline SRS process for reporting ISMS effectiveness without compromising quality of input to DOE.
- The approach assists and coincides with current HQ reform



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Current Performing Entities at SRS

- Current SRS participants in annual declaration process:
 - DOE-SRS, both DOE-EM and NNSA field offices
 - USDA Forestry Service-SR
 - SRNS, LLC, M&O contractor
 - SRR, LLC, LWO contractor
 - WSI-SRS, protective force contractor
 - Parsons, SWPF contractor
 - SREL, University of Georgia ecology laboratory
- Each operates under different contractual relationship
 - Formal contract with DOE
 - Interagency agreement
 - Cooperative agreementwith varying requirements relative to ISM and deliverables

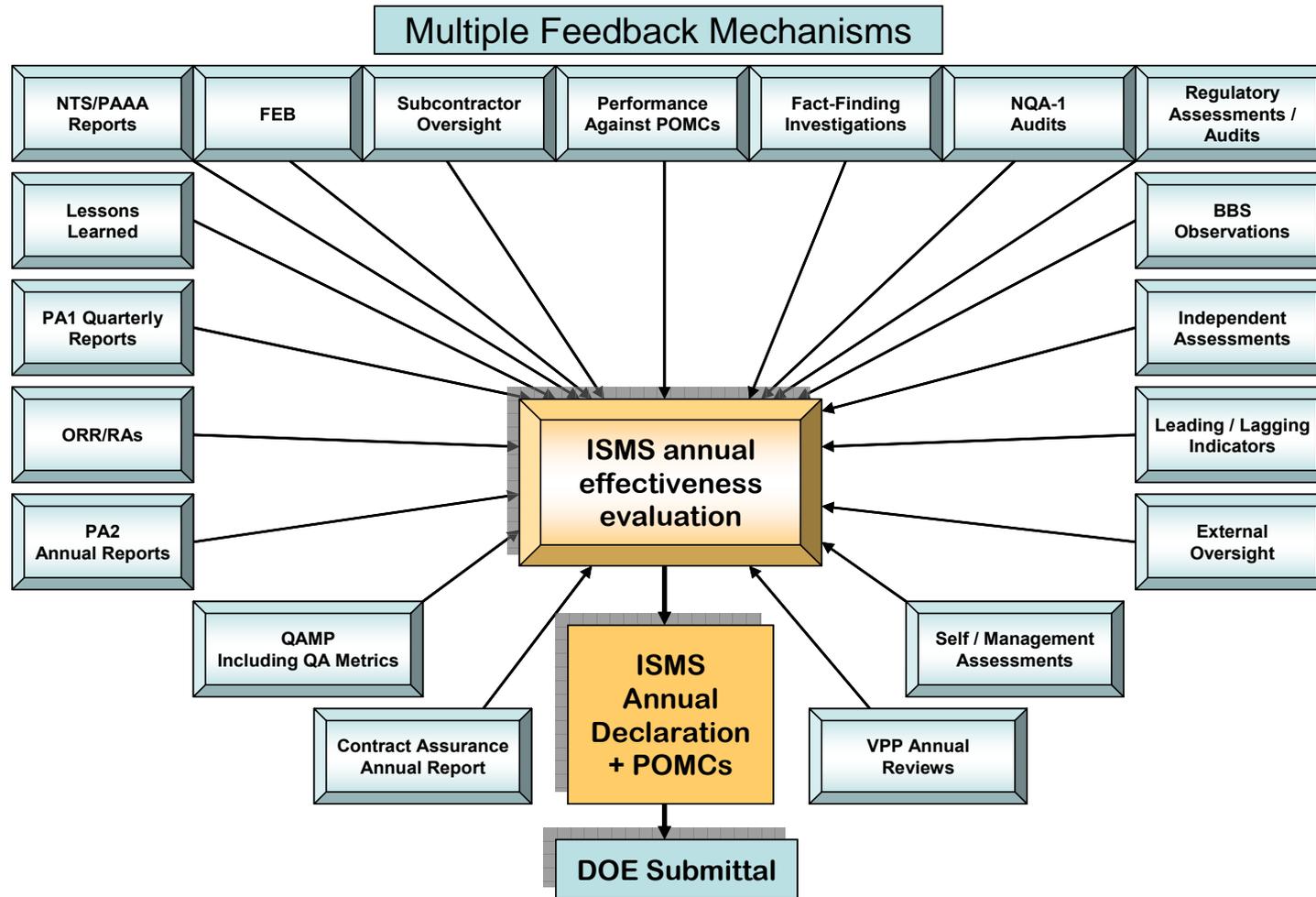


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Current Practice



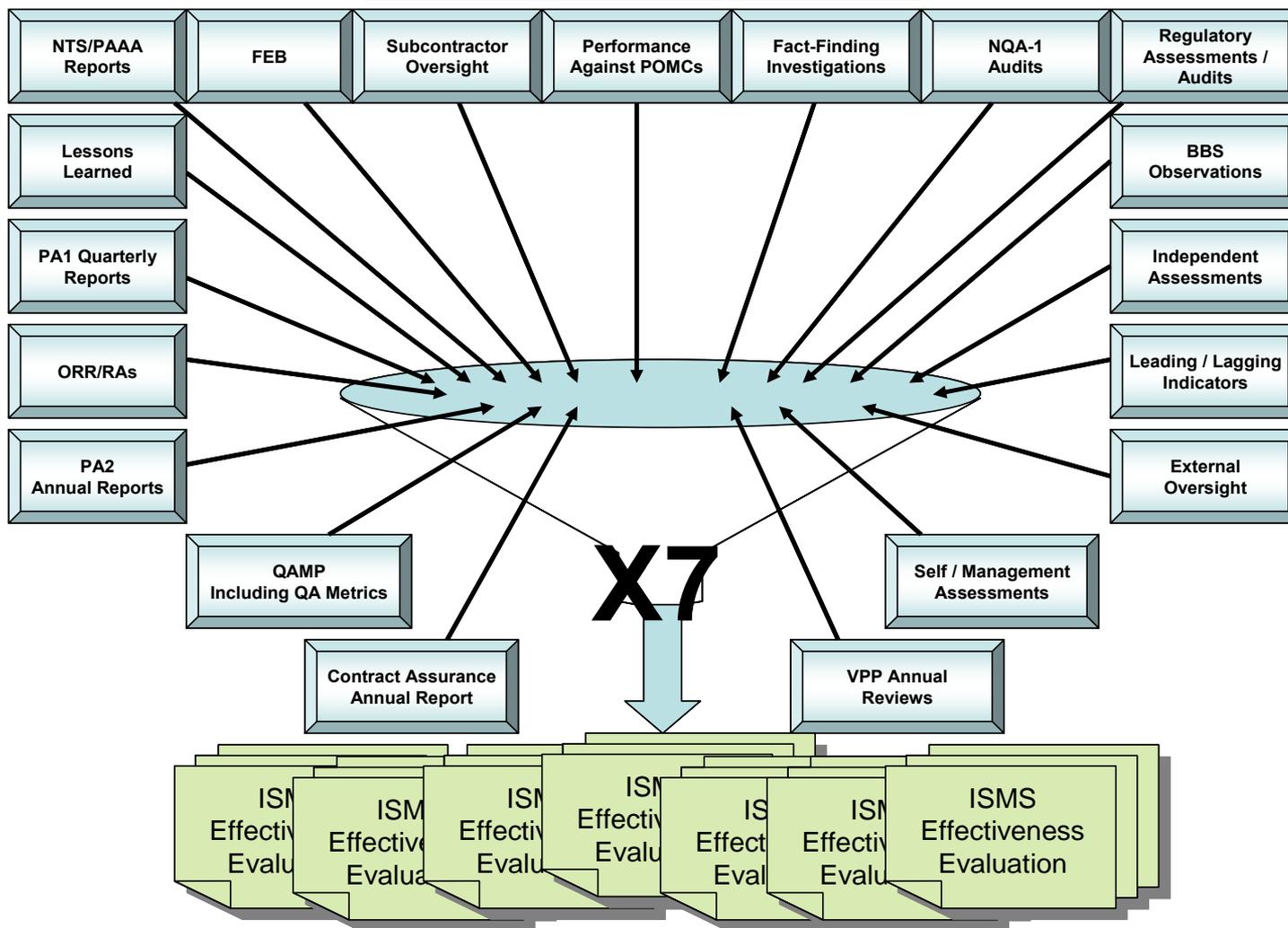
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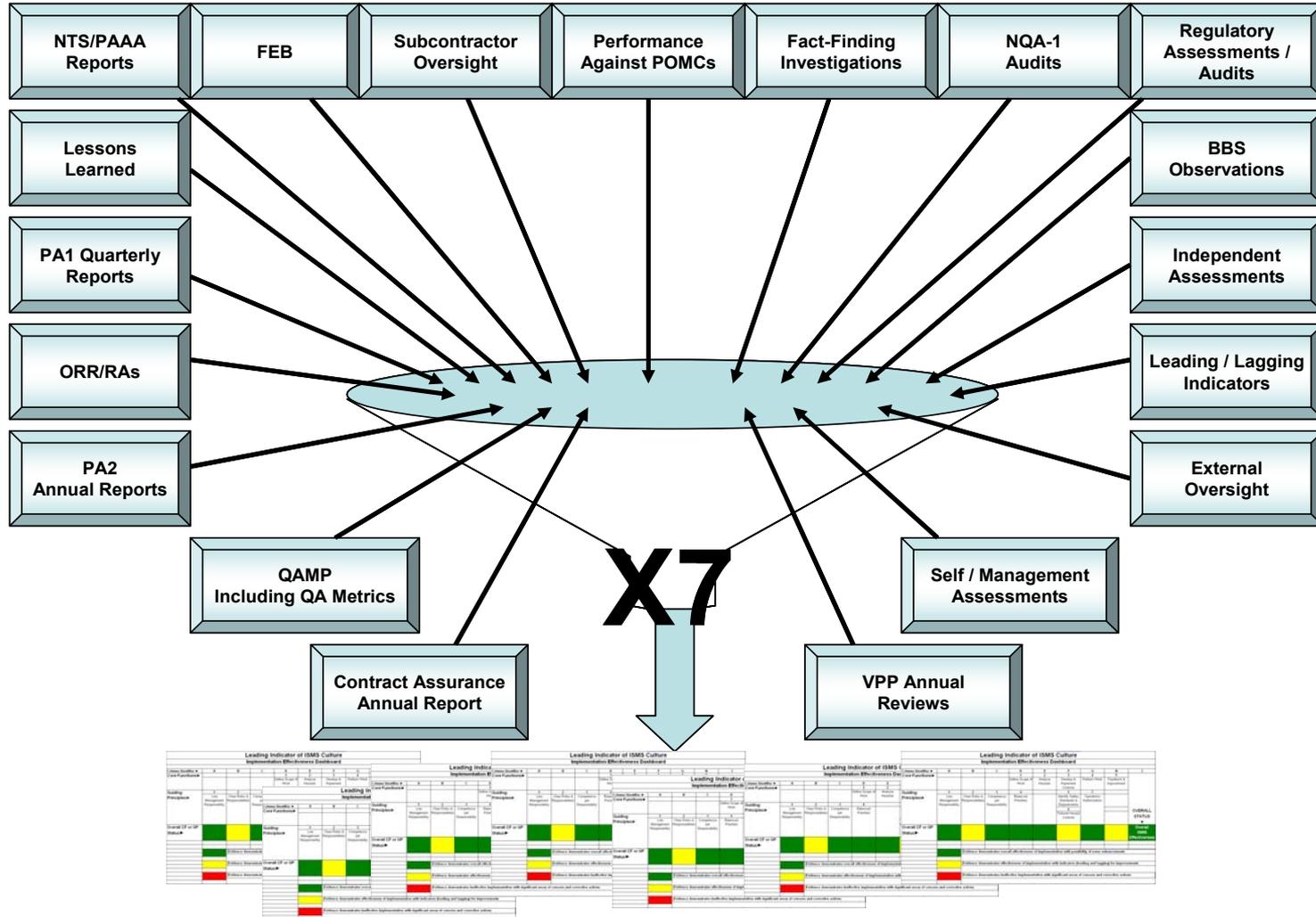
Streamlined Practice

Multiple Feedback Mechanisms



Streamlined Practice

Multiple Feedback Mechanisms



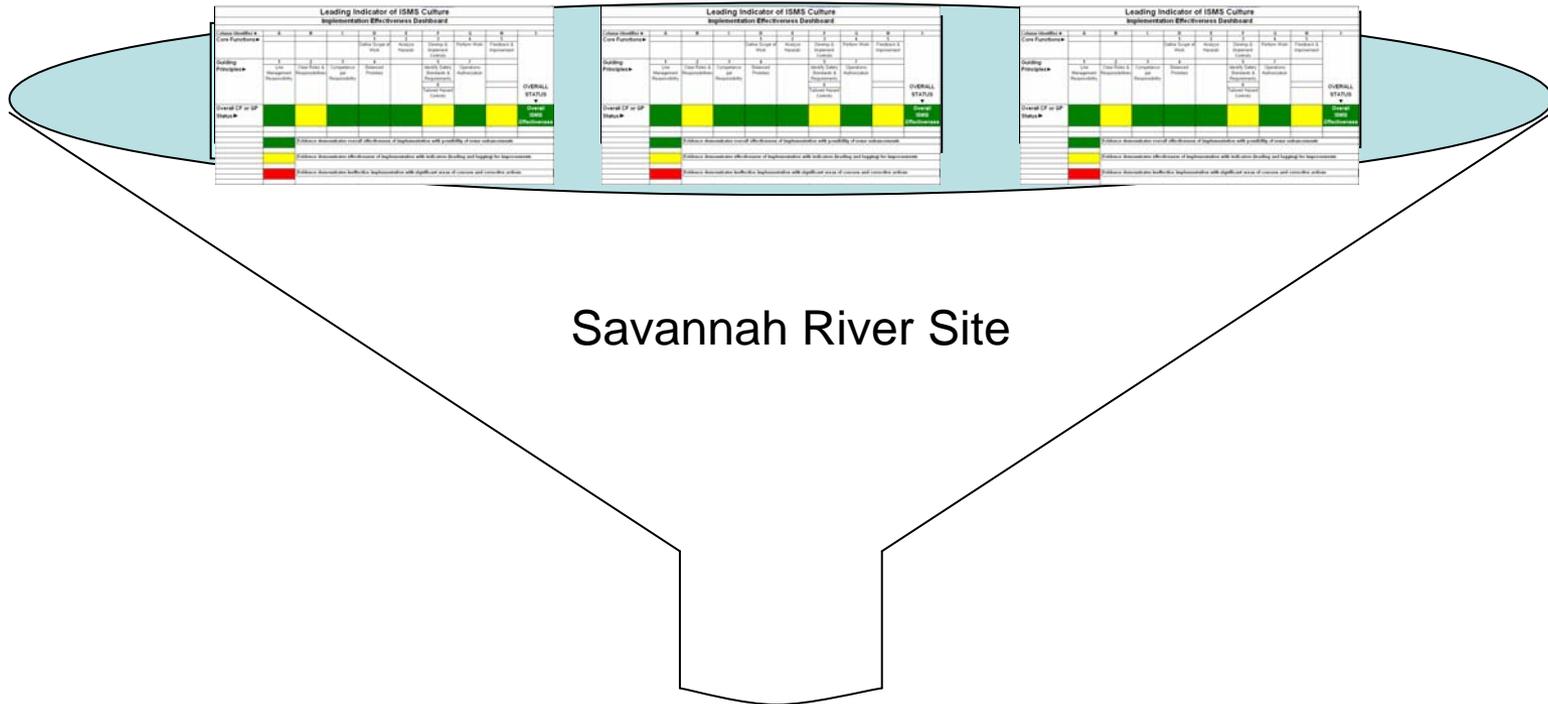
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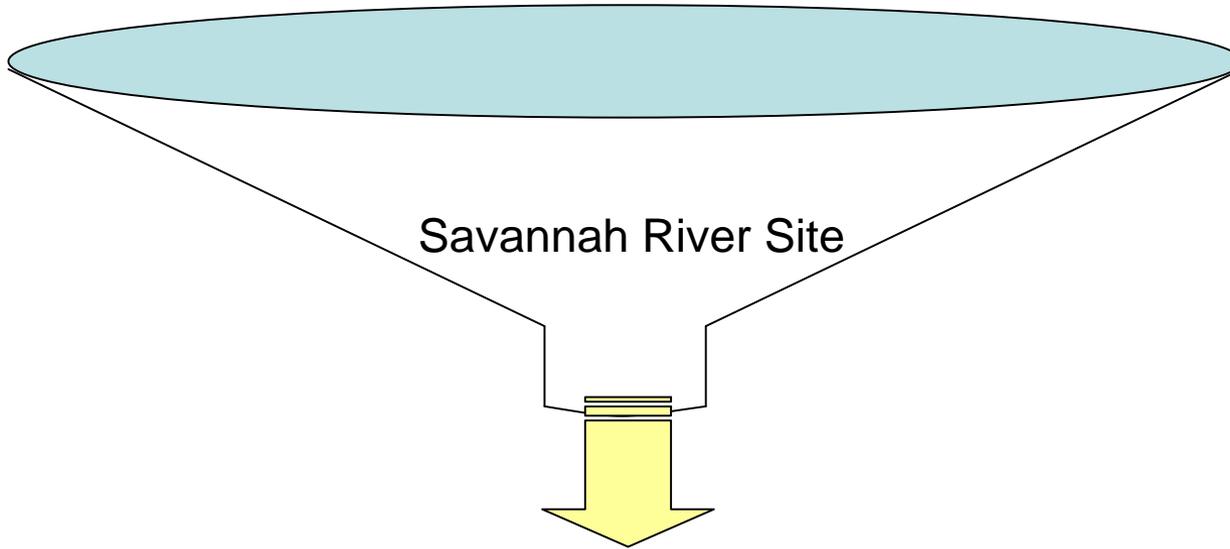


Integrating into SRS Dashboard

Leading Indicator of ISMS Culture Implementation Effectiveness Dashboard													
Core Function	Area	Sub Area	Indicator	Target	Actual	Score	Weight	Overall Score	Overall Status	Overall Trend	Overall Risk	Overall Action	
Building Programs	Program Management	Program Management	Program Management	100%	100%	100%	100%	100%	Green	Stable	Low	None	
	Program Management	Program Management	Program Management	100%	100%	100%	100%	100%	Green	Stable	Low	None	
	Program Management	Program Management	Program Management	100%	100%	100%	100%	100%	Green	Stable	Low	None	
Overall EP or IP Status										Green	Stable	Low	None
Address Remediation: Address Remediation of Implementation with full-time funding and logging for implementation.													
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Integrated SRS Dashboard



Leading Indicator of ISMS Culture									
Implementation Effectiveness Dashboard									
Column Identifier ▶	A	B	C	D	E	F	G	H	I
Core Functions ▶				1 Define Scope of Work	2 Analyze Hazards	3 Develop & Implement Controls	4 Perform Work	5 Feedback & Improvement	
Guiding Principles ▶	1 Line Management Responsibility	2 Clear Roles & Responsibilities	3 Competence per Responsibility	4 Balanced Priorities		5 Identify Safety Standards & Requirements	6 Tailored Hazard Controls	7 Operations Authorization	
Overall CF or GP Status ▶									OVERALL STATUS ▼ Overall ISMS Effectiveness
	Evidence demonstrates overall effectiveness of implementation with possibility of some enhancements								
	Evidence demonstrates effectiveness of implementation with indicators (leading and lagging) for improvements								
	Evidence demonstrates ineffective implementation with significant areas of concern and corrective actions								



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Effectiveness Declaration Dashboard

Leading Indicator of ISMS Culture										
Implementation Effectiveness Dashboard										
Column Identifier ▶	A	B	C	D	E	F	G	H	I	
Core Functions ▶				1	2	3	4	5	OVERALL STATUS ▼ Overall ISMS Effectiveness	
				Define Scope of Work	Analyze Hazards	Develop & Implement Controls	Perform Work	Feedback & Improvement		
Guiding Principles ▶	1	2	3	4		5	7			
	Line Management Responsibility	Clear Roles & Responsibilities	Competence per Responsibility	Balanced Priorities		Identify Safety Standards & Requirements	Operations Authorization			
						6 Tailored Hazard Controls				
Overall CF or GP Status ▶										
		Evidence demonstrates overall effectiveness of implementation with possibility of some enhancements								
		Evidence demonstrates effectiveness of implementation with indicators (leading and lagging) for improvements								
		Evidence demonstrates ineffective implementation with significant areas of concern and corrective actions								



Ford CEO about Stoplight Charts

The minute it is
not safe, what is
the

color

going to be?

(Hyperlink to Video Clip)

Allan Mulally, Ford CEO at the 2010 American Society for Quality World Conference on Quality and Improvement keynote speaker, May 24, 2010, St Louis MO. Photo from Wikipedia.com



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Features of Streamlined Approach

- Common use of dashboard to reflect individual and SRS effectiveness of ISMS implementation – ISMS culture and well-being
- Cross-walk of ISM core functions, guiding principles and continuing core expectations with DOE-HQ Guidance criteria

Crosswalk of ISM with HQ Guidance Criteria

	FY 2010 DOE-HQ Guidance Criteria	ISM Guiding Principles or Core Functions	ISM Continuing Core Expectations
1	ISMS Effectiveness and Changes to ISMS	CF-1, -5 & GP-1	CCE-1, -2, -7, -8
2	Integration of EMS and QA into ISMS	CF-1, -4	CCE-8
3	Operating Experience Program	CF-5	CCE-6, -8
4	POMCs	CF-5	CCE-1, -2
5	DOE Oversight	CF-5	CCE-9, -10
6	ISMS for New Construction and Facility Modifications	CF-1	CCE-3, 4, 5, -6
7	Safety Improvement Initiatives	CF-3	CCE-6
8	Flow Down of Requirements	CF-1	CCE-7
9	QAP Declaration	Separate Document	N/A



Features of Streamlined Approach

(cont'd)

- Common use of standard template for transmittal of effectiveness declaration to DOE-SR
- Maintains flexibility to use differences inherent in various contracts and agreements with DOE

Benefits

- Adoption of dashboard approach as management tool for visual depiction of where to focus improvement resources in coming year
- Use of dashboard as a type of leading indicator and to give DOE a snapshot of ISMS Culture and health at SRS
- Provides better return on investment (ROI) of manpower and use of personnel for improvement and declaration process



Summary

**Proper design and use of
indicators and what they tell
you will pay off**

as indicated by the recent BP incident

[Hyperlink to BP Video](#)



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