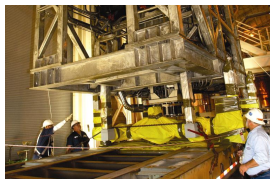
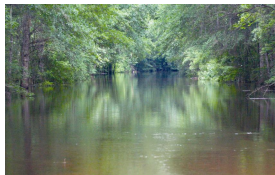




## Merging the Annual ISMS Effectiveness Review with an Enhanced Performance Analysis Process



**Bill Luce**  
**Contractor Assurance Processes**  
**Washington Savannah River Company**

**November 28, 2007**

# Quarterly Performance Analysis Process

DOE M 231.1-2 requires:

*“Each contractor at a site must perform ongoing, but as a minimum quarterly, analyses of events during a 12-month period to look for trends. This periodic performance analysis must evaluate occurrences of all significance categories plus contractor-determined non-reportable events in order to prevent serious events from occurring. Contractors must report quarterly performance analysis results to contractor and DOE line management in order to achieve improvements.”*

- **WSRC implemented the new ORPS Model in September 2003**
- **Our first Quarterly Performance Analysis was issued in January 2004**

## QUARTERLY WSRC OCCURRENCE REPORTING PERFORMANCE ANALYSIS

COVERING THE PERIOD FROM RE-DESIGNED ORPS IMPLEMENTATION  
(SEPTEMBER 12, 2003) THROUGH DECEMBER 31, 2003

Prepared by: W.L. Luce and R.W. Steitler

Westinghouse Savannah River Company  
FSS-RSS-2004-00004  
February 26, 2004



# Quarterly Performance Analysis Refinements

- As might be expected for such things, WSRC Quarterly Performance Analyses benefited from refinements made in each successive analysis
  - Included additional analysis techniques and data mining
  - Included expanded sources of performance data, including external performance feedback
- Perspective ... our 1<sup>st</sup> report was 15 pages; our most current report was 118 pages
- Set up tools to “auto feed” data breakdowns, so schedule was not adversely impacted

**February 2006 Feedback from the DOE-HQ *Inspection of Environment, Safety, and Health Programs at the Savannah River Site:***

*“Since the 2004 Independent Oversight inspection, WSRC has made a significant addition to their assessment program by adding a performance analysis element to their self-assessment program that provides for structured, periodic management evaluations of assessment and event-based issues management data to identify trends and focus future self-assessment activities.”*

# Annual ISM Effectiveness Review

## DOE M 450.4-1:

*“The annual ISM effectiveness review is a qualitative review that encompasses multiple elements, including review of: self assessments, oversight review results, integrated reviews across multiple reporting elements; performance against established performance objectives, measures, and commitments; and other feedback and performance information. Elements of this review should be ongoing throughout the year, and should culminate in a review report that supports an annual summary evaluation.”*

## Purpose is to:

- Determine effectiveness of the ISM in integrating safety into work performance, in supporting the safe performance of work, and in improving safety performance
- Identify strengths of ISM system implementation (sharing)
- Identify weaknesses of ISM system implementation (focus attention on corrective and improvement actions)
- Identify OFIs in **efficiency** or **effectiveness**

# ISM Annual Effectiveness Review Process

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- **WSRC practice was to:**
  - **Appoint a Senior Executive Sponsor**
  - **Form a multi-disciplined team to conduct the review**
  - **Form a second “Red Team” of senior managers to validate the review team’s conclusions**
- **Annual reviews were for calendar years and generally took 3 or 4 months to complete (often completed in the June/July time-frame)... were one of the inputs into the annual ISMS declaration in August**

# CY2004 ISMS Annual Review

- The review team gravitated to the Quarterly Performance Analysis for the last quarter of the CY and found that it already contained most of the data and analyses that they needed ... the team cited this as a “*distinct advantage*” in completing their report

## Recommended:

- Expanding the Quarterly Performance Analysis scope (including DOE performance feedback, DNFSB issues, and Facility Evaluation Board issues) to enable the Performance Analysis Advisory Group to have greater focus on performance improvement
- Future ISMS Annual Review reports might consist primarily of the Quarterly Performance Analysis Report, with the Continuing Core Expectations narrative attached and additional targeted analysis

# CY2005 ISMS Annual Review



**WSRC INTEGRATED  
SAFETY MANAGEMENT  
SYSTEM REVIEW**

*Harold Conner: ISMS Annual Review Executive Sponsor*

<i>ISMS Annual Review Red Team</i>	<i>ISMS Annual Review Team</i>
Team Lead C.C. (Cheryl) Cabbill Deputy Director of Research Operations & Assurance	Team Lead Craig Martin Manager of Operations Planning
P.J. (Phil) Breidenbach Manager, Environment, Safety & Health	Bill Rigot, Team Co-Lead
C.R. (Chuck) Campbell Manager, Infrastructure & Services	Richard Bartlett, PD&CS
M. (Mal) Collins Director, Internal Oversight	Rick Boyleston, WSMS
J.D. (Jim) Heffner Manager, Environmental Permitting & Monitoring	Jon Click, ISMS Program
K.A. (Kim) Hauer Manager, Liquid Waste Facility Operations	Jim Dollar, FEB
	Vince Grosso, Quality Services
	Norris Johnson, ESH&QA
	Charles Lampley, Liquid Waste
	Bill Luce, Regulatory Services
	Charles Mackie, Defense Programs
	Chris Noah, Liquid Waste
	Mandy Smith, Engineering
	Ben Terry, Environmental
	Pat Vaughan, SRNL
	Jackie Wilkinson, Maintenance/TQ&S



- The Quarterly Performance Analysis scope was expanded as recommended in the CY2004 ISMS Review
- The CY2005 Review Team concluded that the Quarterly Performance Analysis included 80 to 90% of the information contained in the annual review and was being reviewed quarterly by the PAAG ... with a modest increase in the analysis and the addition of a couple of new PAAG members, one of the quarterly performance analyses could be used as the ISMS annual review *“with improved timeliness of feedback and considerable time savings”*

# Merging Involved Management Support

- Senior Management adopted the recommendation
- Introduced the concept in the Quarterly Performance Analysis for the 1<sup>st</sup> quarter FY2007
- Added sections to the 3<sup>rd</sup> quarter FY2007 Quarterly Performance Analysis, primarily:
  - Appendix on significant operating experience and ORPS events
  - Appendix on Continuing Core Expectations
  - Discussion of opportunities for improvement in programmatic aspects of the WSRC ISMS

QUARTERLY WSRC  
PERFORMANCE ANALYSIS  
AND  
ISMS ANNUAL EFFECTIVENESS REVIEW

3QFY07

COVERING THE PERIOD  
July 1, 2006 THROUGH June 30, 2007  
(Causal Information as of 07/03/07 for ORPS data)

Prepared by: W.L. Luce, and G.L. Peterson

Approved by the WSRC PAAG Chair  on 7/13/07



# Are we finished? No, Refinements will Continue

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- **Started to include further data mining and breakdown of “errors” and new performance metrics in Quarterly Performance Analyses in support of the Human Performance Improvement Strategic Plan**
- **An important key to success is to spend most of the effort in analyzing data, rather than extracting and plotting data ... this causes us to automate data sorts, pre-align software to plot results, and electronically feed the report format**