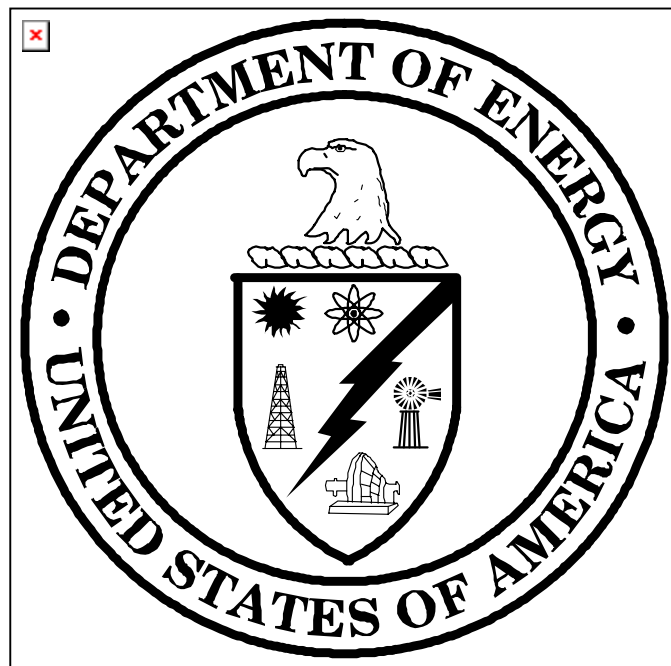


**ID Management System Description Document  
and  
Quality Assurance Manual  
99.OD.02**



**Revision 0  
Date: June 13, 2006**



## Executive Summary

This manual, the Idaho Operations Office (ID) Management System Description Document and Quality Assurance Manual (QA Manual), provides information on the structure of the Idaho Management System (IDMS), its purpose, and functions. The IDMS is intended to be an integrated system providing management policy, organizational objectives and work processes necessary to meet customer requirements and implement our strategic vision and goals. The promulgation of management policy is through the QA Manual. The QA Manual has two primary purposes. First, it is intended as a communication tool to describe the IDMS to ID staff and other interested parties. Second, it is intended to demonstrate compliance to [DOE O 414.1C](#), *Quality Assurance*, and International Standard [ISO 9001:2000\(E\)](#), *Quality Managements Systems – Requirements*. [ISO 9001:2000\(E\)](#) does not include requirements specific to other management systems (e.g., environmental, financial, occupational health and safety, etc.); however the standard enables an organization to align or integrate its management system to related management systems. ID has integrated the various Department of Energy management programs (e.g., Integrated Safety Management, Environment Management, Integrated Safeguards and Security, etc.) into IDMS.

The QA Manual is organized in two main parts with appendices. Part 1 is a “plain language” description of the IDMS and how it is integrated with other management system elements. It is written in a question and answer format, presenting and answering nine questions. These questions are:

1. “Who Are We?”
2. “What Do We Do?”
3. “Who Do We Do It For?”
4. “Why Do We Do It?”
5. “How Do We Do It?”
6. “How Do We Get It Done?”
7. “How Do We Know We Are Doing a Good Job of It?”
8. “How Do We Improve Our Performance?”
9. “How Do We Fix Our Performance When There is Room for Improvement?”

Part 2 is organized to be consistent with the [ISO 9001:2000\(E\)](#) standard and provides specific information to demonstrate compliance of the IDMS to the requirements of the standard. In addition, two appendices are included the QA Manual. [Appendix A](#) is provided as a crosswalk between [DOE O 414.1C](#), *Quality Assurance* and the [ISO 9001:2000\(E\)](#) standard to our IDMS documents. [Appendix B](#) is the Integrated Safety Management System Description Document.

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## ***Part 1***

### ***Introduction***

This document is both a combination Management System description document and a Quality Assurance manual. For ease of reference, we are referring to it as the “QA Manual.” The scope of this document is to describe the interactions of the various components of our Department of Energy (DOE) – Idaho Operations Office (ID) Management System (which we refer to as IDMS), including planning processes, work tools, and evaluation and improvement mechanisms, and to explain how the system helps ID employees consistently perform completed staff work of high quality.

This Manual is presented in two parts, the first of which is a “plain language” explanation of IDMS, written in a question and answer format. The second part is the requirements section that lays out how ID meets the requirements of [DOE O 414.1C](#), *Quality Assurance*, as well as the criteria from the [ISO 9001:2000\(E\)](#) international quality standard. A crosswalk between our IDMS and these two quality standards is displayed in a matrix found in [Appendix A](#), *Quality Standard Crosswalk*. [Appendix B](#) provides a more detailed description of our Integrated Safety Management System (ISMS).

There are some parts of the [ISO 9001:2000\(E\)](#) standard that are not applicable to ID. These are:

<b>ISO Clause</b>	<b>Title of the Clause</b>	<b>Why Is This Clause Not Applicable to ID?</b>
7.3	“Design and Development”	This clause applies to companies that produce material products. ID’s “product” is a service (i.e. planning and contract administration) and our services are “designed” by law, regulation, and DOE directive. Although we may review the design of contractor-produced products, this is done as part of our contract administration and oversight service function.
7.5	“Production and Service Provision”	This clause applies to companies that produce material products. ID’s “product” is a service; clause 7.4 covers all of our product realization activities.
7.6	“Control of Monitoring and Measuring Devices”	ID does not maintain any monitoring or measuring devices. Any such devices that our personnel may use during the course of our oversight function are provided by and maintained by our contractors in accordance with their quality assurance systems. Measuring devices used by the Radiological and Environmental Services Laboratory for their product verification are controlled by them and managed through their own ISO certified process.

In order to comply with an applicable law or regulation, some of our programs (e.g. Fort Saint Vrain and Three Mile Island Independent Fuel Storage) are required to have their own quality assurance documentation. As such, this Manual does not apply to activities regulated solely by the Nuclear Regulatory Commission.

We also have a government-owned and government-operated facility, “Radiological Environmental Sciences Laboratory” (RESL). RESL is a measurement quality assurance laboratory for technical oversight of the Department's analytical and radiation protection programs. RESL has been registered to ISO 17025:2005, “General Requirements for the Competence of Testing and Calibrations Laboratories.” This Manual does not apply to RESL.

Part 1 of the QA Manual is written in a plain language, question and answer format, presenting and answering nine questions. These questions are:

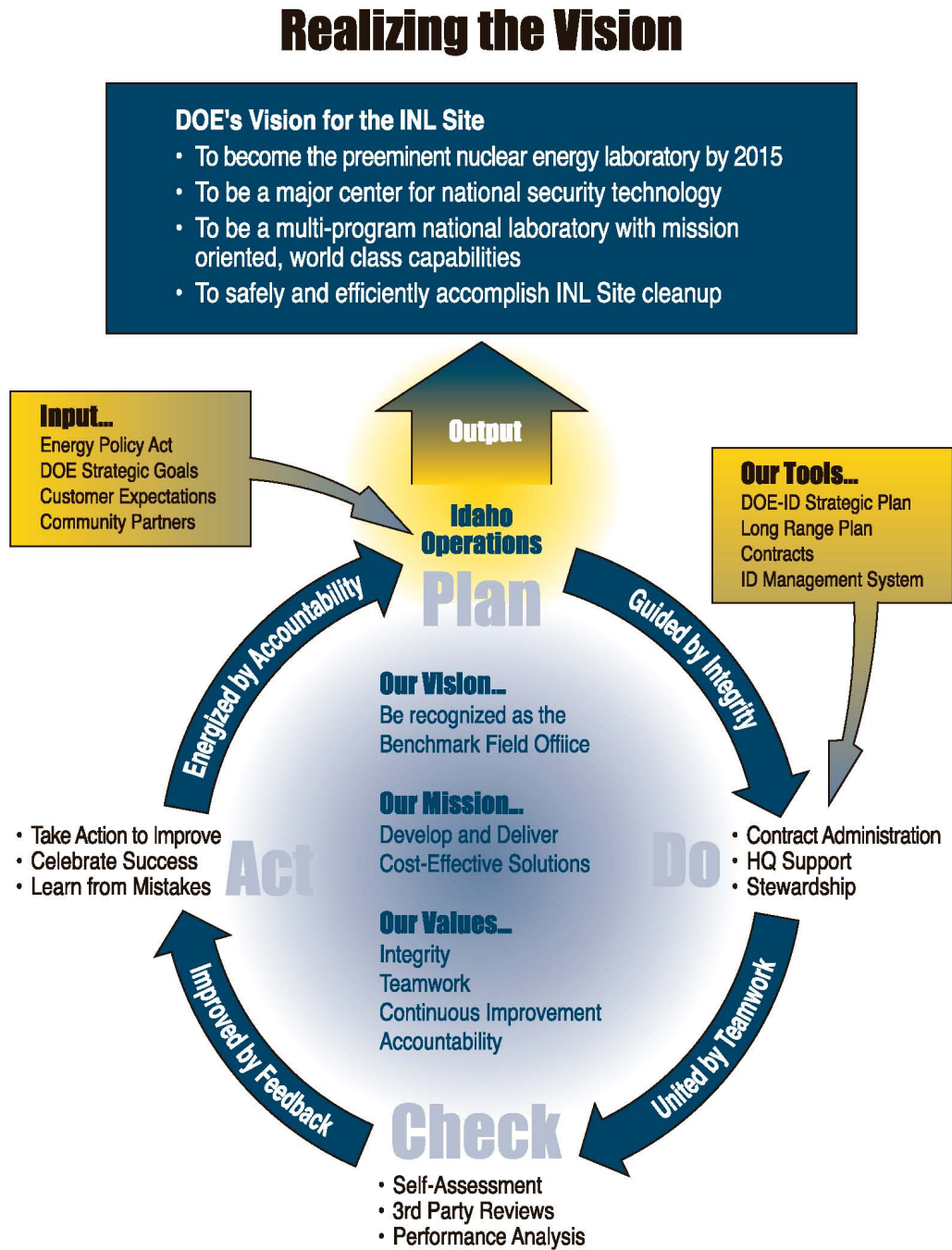
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Every ID employee needs to understand the answers to these questions in order to work effectively within our management system. [Figure 1](#), “Realizing the Vision”, illustrates the relationship of these nine questions. Every ID employee needs to actively and conscientiously engage in improving our performance in order to achieve greater organizational and personal credibility among our various customers. “Quality” does not mean anything more complicated or obscure than simply “meeting our customers’ expectations.” We meet our customers’ expectations through completed staff work of high quality. Doing high quality work is the responsibility of every ID employee.

**Our Manager on our management system:**

*“Internally within DOE-ID, we have acknowledged repeatedly that we do not always follow through on what we say we will do. While our past business practices have been good, we have not consistently followed them. This inconsistency leads to perception, management, and performance problems - internal to DOE-ID and with our customers - that prevent us from performing at our peak, and will prevent us from achieving our mission objectives. The IDMS provides a central framework for all of our federal work controls, utilized as defined for our many and diverse tasks. The IDMS, in combination with the use of ‘Pegasus,’ provide a more transparent and executable process that will be easy to explain as we are evaluated by HQs and the ISO examiners. This in turn will result in more trust and confidence in our systems and therefore, our performance.” -- Beth Sellers, October 20, 2005*

Figure 1: “Realizing the Vision”





## ***I. “Who Are We?”***

We are a field office of the United States Department of Energy (DOE) employing approximately 300 people. We are arranged in five primary organizations that report directly to the Office of the Manager. We have three additional organizations that assist our Manager with executive level services and functions. Our most current [organizational chart](#) is available on our internal web site. Of the five primary organizations, three are considered “line management” organizations (Research & Development, Laboratory Operations, and Environmental Management-Idaho Cleanup Project) and two are considered “support service” organizations (Operational Support and Administration Services). The other three organizations that report to the Manager are the Office of Chief Counsel, Office of Policy Planning and Public Affairs, and the Senior Operations and Safety Officer. The functions of each of these organizations are presented in the office [Roles, Responsibilities, Accountabilities, and Authorities \(R2A2’s\)](#). All Idaho Operations Office (ID) organizations work together to plan, execute, and evaluate our work, both within and across organizational structures.

Our Manager has established a Senior Leadership Team (SLT), composed of the Assistant Managers and other designated senior personnel, to serve as an executive management body which helps develop and implement office policies. The Senior Leadership Team includes a Management Representative for the Idaho Management System (IDMS), who is responsible for driving the development of the IDMS in an integrated manner and promoting awareness of the system throughout the office. The Management Representative is also responsible for making sure the office consistently implements and maintains the IDMS, and for reporting our status to the Manager.

## ***II. “What Do We Do?”***

The U.S. Department of Energy as a whole is primarily responsible for advancing the national, economic, and energy security of the United States, while promoting scientific and technological information in support of that mission, and ensuring the environmental cleanup of the national nuclear weapons complex.

In support of these national missions, ID’s local mission is to work in alliance with our Idaho National Laboratory (INL) Site contractors to support DOE-Headquarters customers in developing and delivering cost-effective solutions to both fundamental and advanced challenges in nuclear energy and other energy resources, national security, and environmental management. More specific and detailed information about our mission and vision is available in our [DOE-ID Strategic Plan](#).

The President, in his Presidential Management Agenda, has challenged the Federal government to make itself more efficient, more effective, more results-oriented, and more accountable to the citizens who pay taxes and benefit from the programs and services the government provides. The President recognized that “*government likes to begin things – to declare grand new programs and causes and national objectives. But good beginnings are not the measure of success. What matters in the end is completion. Performance. Results. Not just making promises, but making good on promises.*”

Our Manager directed the office to meet this challenge. We meet this challenge by implementing our Strategic Plan. The ID office is committed to:

- Protecting the environment, including the safety of our workers, and ensuring the public health while;
- Protecting and developing our energy infrastructure;
- Meeting national defense and homeland protection requirements;
- Bringing cutting edge science to bear on our national energy priorities including development of nuclear energy; and
- Accomplishing these objectives through sound business practices and resource management.

### **Our Function**

ID has one primary function – to accomplish our objectives through sound business practices and wise management of the public’s assets. These assets include:

- Funds allocated to us during the annual federal budget cycle;
- Facilities, land, equipment, structures, and technology assigned to us for use in accomplishing our missions;
- Personnel we employ and the knowledge, skills, abilities, and experience they bring to bear in executing our missions.

Being good stewards of these assets means we make sure they are used for the purposes they were intended, that they are safely maintained and managed in accordance with all respective laws, regulations, directives and other legal requirements, and that we don’t waste, abuse, or allow fraudulent use of these assets.

Within ID, we have assigned more specific functions, responsibilities and the authority necessary to execute those responsibilities to organizations and individual positions. These functions, responsibilities and authorities are specifically described in our [\*Functions, Responsibilities and Authorities Manual\*](#).

### **Our Products**

Our two products are actually services:

- Planning, and
- Contract management and administration

In “producing” our products, we act as the owner’s agent, the owner being the United States Government. We are responsible for producing the planning necessary to make sure we accomplish our assigned missions and for effective contract administration.

The primary planning documents supporting our planning function include:

- Our [Strategic Plan](#), in which our mission, vision, and strategic objectives are documented;
- A [Ten-Year Site Plan](#), in which our framework for our current and future infrastructure needs are described;
- A [Long Range Plan](#), in which our initiatives to become a benchmark Department of Energy Field Office are described;
- Our National Environmental Policy Act (NEPA) documents, which continuously evaluate environmental impacts of our proposed activities;
- Our annual budget profile which allocates financial resources to the work necessary to accomplish the mission;
- Our contract management plans, the [INL Contract Management Plan](#), [ICP Management Plan](#), and the AMWTP Management Plan, which we describe how and when we will conduct oversight activities of our prime contracts.

The primary documents that support our contract administration function include:

- The three primary contracts themselves: the [INL Contract](#), the [ICP Contract](#), and the [AMWTP Contract](#), in which we establish cost, scope and schedule.
- Our contract management plans, in which we describe how we will make sure the terms and conditions of our contracts are met and identify our Contracting Officers and Contracting Officer’s Representatives. We have contract management plans for each of the three primary contracts: the [INL Contract Management Plan](#), [ICP Contract Management Plan](#), and the AMWTP Contract Management Plan;
- Letters of direction from the Contracting Officers (CO) and Contracting Officer’s Representatives (COR), as well as reports documenting the outcome of our oversight activities make up a significant portion of our contract administration duties. The CO and COR letters are managed by the Site Services Division; oversight reports and documentation are managed within a specially designed information management system named “[Pegasus](#)”;

- Government Furnished Services and Items (GFSI), which are required by the contract and developed and delivered by us. Most of these GFSI are in the form of decisions or approvals. The Idaho Cleanup Project (ICP) contractor annually submits a request for GFSI that it needs from us in order to accomplish its work done. Our process for reviewing and approving this request is described in [Review and Approval of the Idaho Cleanup Project Government Furnished Services and Items](#).” We also review and approve items for the INL contractor that allows the contractor to accomplish its work. The list of such items is contained in the INL contract (Section J, Attachment I), and is called the “Contract Data Requirements List” (or CDRL).

### III. “Who Do We Do It For?”

Being part of a Federal government agency, we do our work ultimately, on behalf of the taxpayers. As we previously discussed, our stewardship function is focused primarily on managing the assets entrusted to us by the taxpayers.

Our primary customers are DOE-Headquarters personnel who provide us with the specific programmatic direction and guidance regarding what needs to be accomplished at this site, and to whom we provide various products communicating how well we have accomplished these expectations. DOE-Headquarters then uses this feedback to support further agency-wide planning. We receive this direction and guidance usually through a series of memoranda or other methods, including email, telephone conversations and meetings. We have two primary secretarial office sponsors at DOE-Headquarters who give us this work direction and guidance:

- The [Office of Nuclear Energy \(NE\)](#) and
- The [Office of Environmental Management \(EM\)](#).

We serve our DOE-Headquarters customers in two ways:

1. We provide Contract Award and Administration services to both NE-HQ and EM-HQ, and
2. We provide Owner’s Agent services for NE by continuing to provide and manage the infrastructure for future nuclear energy research.

In addition to our primary secretarial offices, other federal agencies contract with ID to accomplish work. We commonly refer to this work as “[Work for Others](#)”.

Although our contractors cannot be considered “customers” (because we are *their* customer), our relationship with them includes providing some services related to giving our official permission to proceed with production, and indicating our official acceptance of their products when received. And, of course, we perform oversight on them to make sure they produce the products safely, on time, within budget, and within contract requirements.

We do our work in accordance with federal laws, regulations, and legal agreements. Regulators at the national, state, and local level, in some cases, have expectations (e.g. in laws and regulations and via legal agreements such as the [Federal Facilities Agreement and Consent Order](#)) on how we perform our work. We provide them with products (e.g. environmental reports) that communicate how we will meet, or have met, those expectations.

#### **IV. “Why Do We Do It?”**

As we mentioned before, the DOE in general is charged with helping to protect the nation’s energy and economic security. The [history of the development of the DOE](#) is available on the DOE webpage, and it includes a discussion of how the Atomic Energy Commission (which later became the DOE) was formed via the [Atomic Energy Act of 1946](#). A summary of the [history of the Idaho Operations Office](#) is also available online.

In terms of the specific mission of the agency, both the [Energy Policy Act of 1992](#) and [Energy Policy Act of 2005](#) document the nation’s direction on energy development and production. DOE implements this policy. So, our history puts our mission in global context, the National Energy Policy sets and guides our mission, and our mission drives our strategic planning, which in turn drives our work planning and execution.

Our process for conducting strategic planning is described in [ID Strategic Planning Process](#). In our [Strategic Plan](#), we identify three primary strategic goals that support our mission:

- **Laboratory Management:** *Work towards the creation of a world-class, multi-disciplinary laboratory focused on nuclear energy and national security research and development;*
- **Environmental Management:** *Complete the environmental cleanup in a safe, cost-effective manner, consistent with the principles of the EM Closure Planning Guidance Document dated June 1, 2004;*
- **Corporate Management:** *Ensure the safe, reliable, and efficient completion of the DOE/INL Site missions.*

Our annual work planning to support the Laboratory Management goal is driven by various program plans and strategies that set up the more specific goals and objectives for achieving this strategic goal. These “planning” documents can be viewed on [ID’s Laboratory Programs](#) homepage.

In addition to the EM Closure Planning Guidance Document, there are many [“external” requirements](#) that drive our work on the Environmental Management goal. Some of these requirements are [agreements and commitments](#) between ID and our regulators. Examples of these requirements include:

- The [Federal Facility Agreement and Consent Order](#);
- The [Spent Fuel Settlement Agreement](#)
- The [Site Treatment Plan](#)
- The [Environmental Oversight and Monitoring Agreement](#)
- The [Voluntary Consent Order](#)

#### V. “How Do We Do It?”

##### **How do the other management programs (Integrated Safety Management (ISM), Integrated Safeguards and Security Management (ISSM), Environmental Management System (EMS)) play in this overall management system?**

Our goal at ID is to establish and maintain a single integrated management system and to work within that system to produce our products and satisfy our customers, as communicated through the ID Integrated Management Policy stated below:

*“The ID management system will be an integrated, consistent and effective tool for ID to use in meeting its mission objectives. The ID management system will be structured so that it fulfills the requirements and objectives of all applicable requirements and standards. The ID management system will be implemented through: integrated processes; effective organizational relationships; clear roles; timely and effective communication, clearly defined responsibilities and authorities; continuous improvement through measurement against approved criteria; and timely corrective action.”*

The ID management system and quality assurance system provides a structure so that ID employees can perform completed staff work to fulfill their obligations to ensure the ID mission is successful. It is also designed to incorporate the essential elements and requirements of Quality, Integrated Safety Management, the Integrated Safeguards and Security Management and the Environmental Management programs, to provide the structure to ensure that our product requirements are met in all of these areas, and ensure the safe and secure operation of the INL Site. The policies for these respective programs are documented and promulgated through this QA Manual. These programs all have many common attributes and are fully compatible with one another. They all recognize similar elements for success. These elements are summarized below and have been referenced to the Eight Guiding Principles (GP) and Five Core Functions (CF) of the Integrated Safety Management System:

- Management commitment and clear, well understood policy, roles and responsibilities. (GP-1 and GP-2)
- The need for knowledgeable, well trained and competent staff (GP-3)

- Work Processes that are definitive, specific, and minimize the use of expert based processes (GP-4, GP-5 and GP-7)
- An emphasis on work planning to clearly understand requirements, failure modes, hazard identification and mitigation, as appropriate, and providing necessary detail to the work performers. (GP-5, GP-6, CF-1, CF-2, CF-3 and CF-4)
- A vigorous and critical self-evaluation and performance measurement process that identifies lessons learned, process improvements, provides feedback to management and workers and results in continuous improvement of work processes and management systems. (GP-8 and CF-5)

Our Integrated Safety Management System is further discussed in [Appendix B](#).

Our policy statements are:

- a. **Quality:** ID will set the example for DOE in meeting customer expectations and providing high quality products and services. ID will continue to improve on how we deliver on our commitments, meet regulatory requirements, operate safely, and respect and reward individuals for their contributions to our mission success. A single integrated quality assurance program will be used to assure satisfaction of regulatory, customer and DOE quality requirements.
- b. **Safety and Security:** ID will systematically integrate environment, safety, health and security considerations into management decisions, work planning and execution, and oversight of contractor operations at the appropriate level so that missions are accomplished while protecting the public, the worker, and the environment. ID further expects:
  - (1) The guiding principles and core functions of an Integrated Safety Management (ISM) Program to be used consistently for implementing safety management.
  - (2) Contractors, as required by their contracts, to develop management system descriptions and implementation plans to describe the functions, responsibilities and authorities for integrated safety management.
  - (3) Direct involvement of workers during the development and implementation of integrated safety and security management systems.
  - (4) Maintenance and continuous improvement of integrated safety and security management systems.
  - (5) Prevention of recurrence of problems using effective issues management and application of lessons learned.
- c. **Environmental Management:** ID through its contracts and in accordance with headquarters direction will manage the Idaho National Laboratory (INL) Site in a manner that protects human health and the environment and is in full compliance with applicable

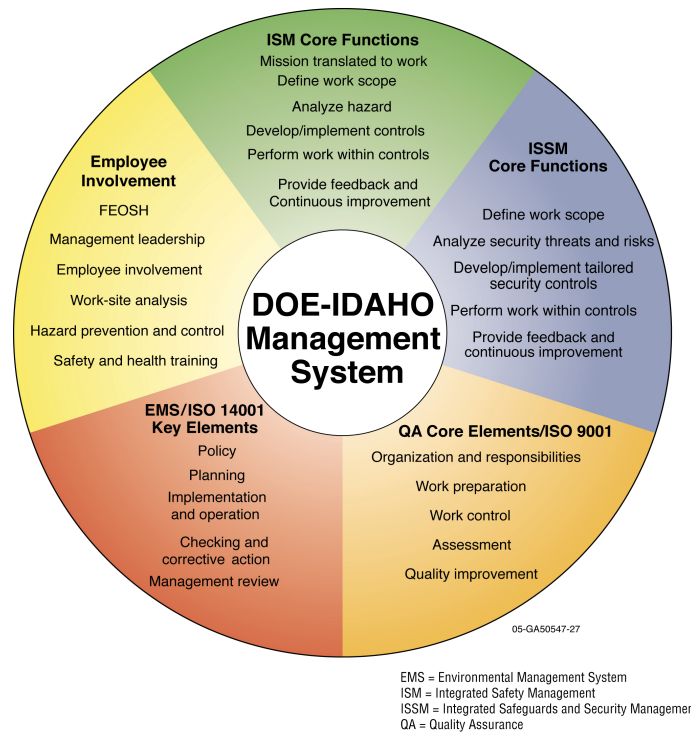
environmental laws, regulations and other requirements. ID will achieve this by integrating environmental requirements and pollution prevention into procurement actions, work planning and execution, oversight of contract operations, and taking actions to minimize the environmental impacts of operations. Through employee involvement and management commitment to environmental protection, ID will:

- (1) Protect the unique natural, biological and cultural resources of the INL.
- (2) Ensure operations and management of hazardous and radioactive materials and wastes are conducted in a safe, compliant and cost effective manner.
- (3) Establish and communicate environmental responsibilities, and provide environmental training to the ID workforce.
- (4) Integrate all efforts in daily work activities, project planning and contractor oversight to minimize volume of wastes generated, conserve natural resources and energy, and minimize and mitigate environmental impacts.
- (5) Conserve natural resources by reusing and recycling materials, purchasing recycled materials, and using recyclable materials.
- (6) Promptly identify non-compliant conditions and encourage full disclosure and open discussion regarding compliance issues. Aggressively work to resolve identified issues.
- (7) Establish documented environmental objectives, milestones and performance measures and update them as necessary to reflect changing needs, missions, and goals.
- (8) Consider stakeholder input when assessing options and communicate results on environmental performance to employees and stakeholders.

Integrated Safety Management, Integrated Safeguards and Security Management, and the Environmental Management programs are integrated into, and rely on work processes contained within the Idaho Management System. It is important to mention that [ISO 9001:2000\(E\)](#) acknowledges other management programs can be integrated into a single management system and that an integrated management system is compatible with the standard. The relationship of IDMS to the other DOE Management initiatives is illustrated in [Figure 2, ID Idaho Management System](#) below.



| Figure 2: Idaho Management System (IDMS)



### How is our management system structured?

Our management system is embodied within a collection of internal procedural documents that tell us *how* to do our work. These internal procedures are organized into business elements. All of these documents are available to ID employees on our internal website at <http://doe.inel.gov/IDMS/>. One of those documents, [IDMS Document Control Process](#), identifies the actions necessary to create or revise these management system documents. The records created during the performance of our work are maintained and controlled as described by [Records Management](#).

As we stated earlier, our procedures are organized into business elements, which are the general categories of business functions we perform and contain logically related component documents. These elements are:

- **Corporate Management** – in which we collect the processes that describe how we administer ourselves; how we document our internal processes and manage those documents; how we check on our performance and take action to improve it; and how we plan, assign, and manage our own work activities.

- **Human Capital Management** – in which we collect the processes that describe how we ensure we obtain and retain competent, well-trained employees.
- **Acquisition Management** – in which we collect the processes that describe how we execute our contract administration responsibilities and deliver the services and decisions necessary for our contractors to succeed in their missions; how we oversee the use of the site assets by our contractors and accomplishment of their missions; and standardize how we determine what fee to award the contractors.
- **Facility and Property Management** – in which we collect the processes that describe how we manage property, space, and land.
- **Financial Management** – we currently have not identified any ID specific processes necessary to support this function.
- **Budget and Resource Management** – in which we collect the processes that describe how we develop and execute our budgets.
- **Information Management** – in which we collect the processes that describe how we manage our computer and inter/intranet systems and how we administer our correspondence.
- **Program Management** – in which we collect the processes that describe how we manage federal projects; how we request and administer funding for the projects.
- **Assuring ES&H** – we currently have not identified any ID processes necessary to support this function.
- **Assuring Security** – we currently have not identified any ID processes necessary to support this function.
- **Emergency Management** – we currently have not identified any ID processes necessary to support this function.
- **Communications** – in which we collect the processes that describe how we communicate to the public.
- **Legal** – we currently have not identified any ID processes necessary to support this function.
- **Other** – in which we collect miscellaneous documents that do not fit in any of the other business elements.

You may note that we have some business elements for which we have no identified work processes. There are several reasons that this can be the case. The first is that, while we have identified discrete business elements for our system, they must all work very closely together. Many processes contain elements that, when viewed by themselves, could fit into another business element, but for the sake of continuity and integration these work process are more appropriately grouped and included in a different business element. Second, the processes for some our business elements are integrated across the organization. For example, Assuring ESH and Assuring Security are important aspects of our business, but the responsibility and activities for achieving success in these areas are distributed throughout the organization and to all levels

of management and workers. Third, some business elements, like Financial Management and Legal, operate in a very well defined area already governed by professional standards and practices.

Within the management system, we have four kinds of documents that establish our work activities:

- **Process Descriptions (PDs)** – PDs describe the federal work activities our management believes are mission-critical. “Mission-critical” means those federal work activities essential to allow INL Site contractors and ID to be successful in executing the missions of the INL Site. Because they are mission-critical, PDs must contain metrics to measure process effectiveness and provide a means to gauge continuous improvement. Senior Leadership Team approval is needed to create new PDs or make significant changes to an existing PD. A senior management official is identified as a process owner for each PD. PDs are written at a fairly high level, and may or may not require further detail for successful execution. That detail, when necessary, is documented by Work Instructions.
- **Work Instructions (WIs)** – WIs provide the detailed information/steps necessary for successful execution of a PD. WIs always link to a PD and describe in more detail how one or more component actions of a PD are performed. A PD may have several supporting WIs. WIs may describe the detail in a PD that only one organization does, or they may describe the integrated actions of several organizations.
- **Office Procedures (OPs)** - OPs are written for those non-mission critical activities that management deems still require a procedure. These are stand-alone documents that do not necessarily need to be linked to a PD or a WI, and may describe the internal processes a single organization or team uses to do their work, or crosscut multiple organizations.
- **Other Documents (ODs)** – These are general documents that may include manuals, system description documents, policy statements from our manager, and other documents normally required of DOE by law, regulation, or Order that do not fit a procedural format. A specific type of document within “Other Documents” are System Description Documents (SDDs) – SDDs identify how the requirements of a specific system (i.e., Integrated Safety Management System) are satisfied via specific PDs, WIs, OPs, and ODs within the IDMS.

[Appendix A, “Quality Standard Crosswalk”](#) includes a table, which shows the crosswalk between [ISO 9001:2000\(E\)](#), “Quality Management System Requirements”, [DOE O 414.1C](#), *Quality Assurance*, and the IDMS documents.

We also have planning documents that describe, at a higher level, our approach for managing our contracts and for overseeing the contractors' performance. These documents are generally more strategic than tactical, establish a model for planning and scheduling the related work activities, and include some guidance. These documents include:

- The [INL Contract Management Plan](#)
- The [ICP Contract Management Plan](#)
- The AMWTP Contract Management Plan
- The [INL Oversight Plan](#)
- The [ICP Oversight Plan](#), and
- The [ICP Risk Management Plan](#)

## **VI. “How Do We Get It Done”**

Our most important resource necessary to accomplish our work is the individuals within the organization. Within ID we have a variety of “tools” we use to perform our work and administer our personnel resources. These tools include documents, records, systems, equipment, and work processes, all of which are used by our primary work resource: the employees.

### ***Training and Development***

We have several systems or programs with which we manage our training and technical qualification. These include the [Individual Development Plan \(IDP\) system](#), the [Technical Qualification Program \(TQP\)](#), and various professional certification programs, such as [Acquisition Career](#) and the [Project Manager Career Development Programs](#). We also use developmental opportunities such as details to other offices or DOE Headquarters, attendance and presentations at professional conferences, and mentoring relationships. The specific use of these tools is described in the respective IDMS documents that pertain to Human Capital Management and Facility and Property Management.

### ***Work Management Processes***

Along with the written instructions on how to do our work, we have processes of management review and performance evaluation which we use to gauge the success of our work planning and execution, and make adjustments as necessary. These processes include written performance agreements specifying an employee's performance responsibilities and expectations; monthly project review meetings where the project managers report on project progress and issues; monthly Federal Baseline review meetings to gauge progress on federal employee deliverables and actions; and regular employee performance evaluations.

### ***Written Processes, Procedures, Contracts and Guidance***

The collection of PDs, WIs, OPs and ODs in our IDMS represent the written tools we use to do work in a consistent and controlled manner. As discussed in Section V, “How We Do It,” these documents are a logically related arrangement of progressively detailed instructions. We also

receive occasional written guidance in the form of memoranda from our DOE Headquarters customers. Additional verbal direction and guidance comes as needed from interactions between management and employees and with our customers.

Our contracts and the related contract management plans and contract oversight plans can also be considered work tools, in that they establish the criteria or expectations for the contractors' products, performance, and their subcontract administration, as well as set the parameters for our oversight of the contracts, including subcontract oversight. We use those tools to inform our own work planning and as standards against which we measure our own work performance. Section VII contains more discussion about evaluating our work performance.

DOE Orders, Policies, and Guides also provide direction and requirements on how our contractors and we perform work. In some instances, our PDs or WIs provide specific instruction on how we meet those requirements, but in most cases, we simply follow the direction provided in the Order, Policy or Guide. Our contracts contain references and, at times specific instructions, on how our contractors are required to follow these DOE Orders, Policies, and Guides.

Our management system is intended to ensure the operation of the INL Site is conducted safely and securely. As such, some of the more important functions are those described under the process descriptions, [Contractor Document Review and Comment/Approval/Certification Process](#), which includes work instructions for the review of [safety basis](#), radiological [protection plans](#), [NEPA documentation](#), and [safeguards and security plans Idaho National Laboratory \(INL\) Performance Evaluation Measurement Plan and Fee Administration, Idaho National Laboratory \(INL\) Site Contract Modifications](#), and [Contract Oversight](#).

### ***Diverse Communication Methods***

We have several communication mechanisms within ID. The Senior Leadership Team issues minutes of their regular meetings, the Manager issues a periodic newsletter ("Sellers' Says") to all employees, and the office holds periodic All-Hands meetings to discuss office-wide events, accomplishments, and initiatives. Other communication tools are the "10 O'Clock News" – a daily email to the office containing information on various administrative and personnel issues and daily news clippings; staff meetings at almost all organizational levels; and daily supervisory-employee interactions.

### ***Computers, Software, and Communication Equipment***

We use many computer applications to plan, track, and status our work, such as:

- The Federal Baseline
- The Contract Data Requirements List (CDRL)
- The Government Furnished Services and Items (GFSI) List
- The [Pegasus System](#) (tracking of incoming correspondences, assessments, and actions)

We host an internal web system that provides all ID employees with access to operational, organizational, and administrative information. Our computer servers host shared drives that employees can use to organize and control information about projects and initiatives.

Other physical tools we use include telephones, computers (both stationary and laptops), mobile phones, mobile communication devices (such as Blackberries®), pagers, fax machines, scanners and other office equipment. We also have offices for federal employees in each of the site areas as well as the main administrative offices in Idaho Falls.

### **VII. “How Do We Know We’re Doing A Good Job of It?”**

Accomplishing our work with the highest degree of quality is important to us. We have identified performance expectations towards that end for all employees, documented in our Strategic Plan. These expectations include modeling the “initiative, commitment, and team-work expected of a best-in-complex operations office.” We have established specific Quality Objectives for achieving this expectation in the Federal Baseline. We status our progress towards achievement of these Quality Objectives/Federal Baseline deliverables on a monthly basis, as described in the [Federal Baseline](#) process description and its related work instructions.

Our work is evaluated in several other ways, as well. Our customers, DOE Headquarters, provide feedback to us during meetings, assessments, and document reviews. In addition, our co-workers are given temporary duty assignments to support our DOE Headquarters customer back in Washington, D.C. Within our management system documentation, we have identified specific performance measures in each PD that will help us gauge how well we are performing these mission-critical processes. We also conduct regular internal assessments, in accordance with our [ID Continual Improvement Process](#) and related work instructions on [self-assessments](#), [independent assessments](#), [internal audits](#), and [management assessments](#).

Other organizations (such as the Government Accountability Office and the DOE Office of Inspector General) periodically perform independent audits on our work processes and products and may identify issues that need correction. Our process for coordinating with those auditors is documented in [Management of External Audits](#). In addition, [Public Law 97-255, 31 U.S.C 3512, Federal Managers Financial Integrity Act \(FMFIA\)](#), requires federal employees to perform annual self-assessments. These FMFIA assessments are described in work instruction, [Management Control Program – FMFIA Coordination Procedure](#). We use the results of those audits and the resulting corrective actions as further information to check the quality of our performance and our progress in continually improving it.

### **VIII. “How Do We Improve Our Performance?”**

Our improvement is a result of clear, unambiguous commitment on the part of senior management to the principle of continuous improvement, personal commitment to improvement on the part of each of us, and a number of components of an effective management system.

These include:

- Effective and vigorous internal assessment processes,
- Full cooperation with external audits and reviews,
- Effective gathering and standardizing of performance measurement information and dissemination of lessons learned,
- Effective issues management, including causal analysis and issue tracking, and
- Development of effective corrective and preventive actions.

### **IX. “How Do We Fix Our Performance When There is Room for Improvement?”**

We have a designated position (the Corrective and Preventative Action Program Manager) that administers the conduct of internal assessments (e.g. [management assessments](#), [self-assessments](#), [independent assessments](#), [internal audits](#)) and tracking of issues identified from those assessments or from independent assessments. Assistant Managers are responsible for managing issues identified in the course of internal and external assessments. To help our Assistant Managers manage these issues, a special board, called the [Idaho Issue Review Board \(IIRB\)](#), meets at least monthly to evaluate issues and monitor our issue resolution process. The IIRB membership is comprised of our Assistant Managers, Senior Operations and Safety Officer, and the Corrective and Preventative Program Manager. Regardless of where the issue was identified, our process for managing internal issues is described in [ID Continual Improvement Process](#) and related work instructions.

When corrective actions are identified, we formally track them within the [Pegasus System](#). This database helps us keep track of our internal issues, assign corrective actions to a responsible manager for developing a corrective action plan, and allows trend analyses of our responses to these issues.

We also participate in the DOE’s complex-wide Lessons Learned program. When a corrective or preventive lesson is identified that applies to our operations office, our Lessons Learned Coordinator distributes it to appropriate managers. More information about our Lessons Learned program is presented in [ID Lessons Learned](#).

## Part 2

**INTRODUCTION:** This Quality Manual describes the Idaho Operations Office (ID) Management System (IDMS), which documents how ID conducts business. It identifies site information and products/services; scope and exclusions; quality policy and objectives; references to documented procedures; and a description of the IDMS business processes and their interrelationships. The IDMS is compliant with:

- [ANSI/ISO/ASQ Q 9001:2000\(E\)](#), *Quality Management Systems-Requirements*
  - [DOE O 414.1C](#), *Quality Assurance*
- a. **Applicability:** This quality manual applies to the products and services provided solely by the Idaho Operations Office except for Nuclear Regulatory Commission (NRC) activities and the Radiological Environmental Sciences Laboratory (RESL). Contractor operations at the sites are conducted per the contractor quality manual.
- b. **Site Information:** The Idaho Operations Office is a part of the U.S. Department of Energy (DOE). The [Office of Nuclear Energy \(NE\)](#) is the Lead Program Secretarial Officer. The primary mission of ID is to ensure the proper use of federally owned resources and the adequacy of work performed at the INL Site, by [Idaho National Laboratory \(INL\)](#), the [Idaho Cleanup Project \(ICP\)](#), and the [Advanced Mixed Waste Treatment Project \(AMWTP\)](#) contractors.
- The INL Site is an 890-square mile reservation located 32 miles west of Idaho Falls, Idaho. Additional research facilities and office buildings are also located in Idaho Falls. The Site contractors employ about 7,000 people.

ID has approximately 300 full-time federal employees that are located in Idaho Falls and at various site facilities.

The mailing and street address of the facility is:

Idaho Operations Office  
1955 Fremont Avenue  
Idaho Falls, Idaho 83415

- c. **Products and Functions:** ID's primary products and functions are:
- (1) **Planning:** This includes producing the planning necessary to accomplish ID's assigned missions, strategic objectives, and future infrastructure needs.



- (2) Contract Management and Administration (service). This includes award and administration of outsourced work, including Work for Others, performed at the INL Site.
- (3) Owner's Agent (function): This includes landlord functions related to the U.S. Government ownership of the real estate and facilities that are operated by the Management and Operations (M&O), or other contractors.

For the purposes of product realization, the Oversight and Contract Management product is considered a procurement action. Owner's Agent functions are listed in Process Descriptions and Work Instructions for completeness, however, are not traditional products. These activities will be controlled through written Work Instructions but are not subject to clause 7 of the [ISO 9001:2000\(E\)](#) standard.

- d. Customers: ID has two (2) primary customers:
  - Office of Nuclear Energy (NE): ID provides Contract Award and Administration services to NE-HQ program offices for the purpose of obtaining products and services acquired from contractors performing work at the INL Site. In addition, as the only NE site in the Department, ID performs Owner's Agent services for NE-HQ to ensure continued infrastructure for future nuclear energy research.
  - Office of Environmental Management (EM): ID provides Contract Award and Administration services to EM-HQ program offices for the purpose of obtaining products and services acquired from contractors performing work at the INL Site.

ID performs work for other federal agencies, but these federal agencies are not considered primary customers. The work performed for these agencies is termed and managed as "work for others".

e. Exclusions/Non-Applicability.

ISO Clause	Title of the Clause	Why Is This Clause Not Applicable to ID?
7.3	“Design and Development”	This clause applies to companies that produce material products. ID’s “product” is a service (i.e. planning and contract administration) and our services are “designed” by law, regulation, and DOE directive. Although we may review the design of contractor-produced products, this is done as part of our contract administration and oversight service function
7.5	“Production and Service Provision”	This clause applies to companies that produce material products. ID’s “product” is a service; clause 7.4 covers all of our product realization activities.
7.6	“Control of Monitoring and Measuring Devices”	ID does not maintain any monitoring or measuring devices. Any such devices that our personnel may use during the course of our oversight function are provided by and maintained by our contractors in accordance with their quality assurance systems. Measuring devices used by the RESL for their product verification are controlled by them and managed through their own ISO certified process.

**ISO 9001:2000(E) Reference.** The numbering of the following section is consistent with the requirements of ISO 9001:2000(E).

## 1 SCOPE

### 1.1 General

ID administers three primary contracts: the [Idaho National Laboratory \(INL\)](#) contract, the [Idaho Clean-up Project \(ICP\)](#) contract, and the [Advanced Mixed Waste Treatment Project \(AMWTP\) contract](#). ID acts as an owner’s agent at the facilities associated with these contracts. ID also administers other contracts for various customers. Work supporting these contracts is accomplished in accordance with the Idaho Management System (IDMS).

## **1.2 Application**

This Quality Manual is the governing IDMS document for administration of the contracts described above. See exclusions/non-applicability above.

## **2 NORMATIVE REFERENCE**

The International Standard [ANSI/ISO/ASQ Q9001:2000\(E\)](#), *Quality Management Systems Requirements*  
[DOE O 414.1C](#), *Quality Assurance*

## **3 TERMS AND DEFINITIONS**

Definitions in the [ISO 9001:2000\(E\)](#) standard apply to this Quality Manual.

## **4 BUSINESS MANAGEMENT SYSTEM**

### **4.1 General Requirements**

The IDMS described in this Quality Manual assures conformance to requirements during the product realization process.

The IDMS is established, documented, implemented, and maintained through implementation of this manual and referenced documents. This system ensures that products conform to specified requirements and provides a framework for continual improvement within the requirements of the [ISO 9001:2000\(E\)](#) standard.

This Quality Manual includes, references, and outlines the structure and processes used in the IDMS.

Business processes and their sequence and interaction are defined and described in Part 1 of this manual. Business processes are documented in Process Descriptions and supported by detailed Work Instructions and appropriate Forms.

Criteria and methods have been established to ensure the operation and controls of those business processes identified in IDMS are effective. These include internal audits, management review, employee suggestions, and customer feedback.

The Senior Leadership Team (SLT) ensures the availability of resources and information necessary to support the operation and maintenance of these processes. Resource requirements are determined and documented in the staffing analysis plans performed by each organization.

ID sets metrics to monitor, measure, and analyze processes in the IDMS. Metrics are described within each of the Process Descriptions and are reviewed during periodic management reviews. The resulting analysis is used to implement actions necessary to achieve planned results and continually improve ID processes.

The processes in the IDMS are managed according to the [ISO 9001:2000\(E\)](#) standard.

## 4.2 Documentation Requirements

### 4.2.1 General

The IDMS documentation, described in this manual, includes documented statements of a Quality Policy and Quality Objectives; a Quality Manual; documented process descriptions required by [ISO 9001:2000\(E\)](#); documents needed by the ID Operations Office to ensure the effective planning, operation, and control of processes; and required records.

### 4.2.2 Quality Manual

The scope of the IDMS, including details and justification for any exclusion or non-applicability are documented in this Quality Manual. This Quality Manual outlines the structure and procedures used, and describes the interaction between the processes that make up the IDMS.

### 4.2.3 Control of Documents

IDMS related documents are controlled by the use of processes defined within this Quality Manual and its referenced documents. Controlled documents, their owners, and responsible Assistant Managers are listed in the Document Index. The [IDMS Document Control Process](#) defines controls for documents.

Documents are reviewed and approved for adequacy by authorized personnel prior to issue or change. Reviews are identified in the [IDMS Document Control Process](#). As a function of the Work Instruction, [Internal Audit](#), the Quality Manual and all Process Descriptions (including associated work instructions and forms) related to [ISO 9001:2000\(E\)](#) criteria are reviewed at least once in a three-year period to assure the continued adequacy of the document.

The most current, approved documents are retrievable from the [IDMS internal web page](#). Employees are expected to access the IDMS web page to verify that the documents are the current released version prior to use. The record copies are maintained in the [Electronic Document Management System](#) (EDMS) to ensure their legibility and to ensure they are readily retrievable. Obsolete documents retained for legal and/or knowledge-preservation is stored in a separate electronic folder from active documents. Records are controlled according to the [Records Management](#) process.

#### **4.2.4 Control of Records**

ID establishes and maintains records (in various types of media) to provide evidence of conformity to requirements and the effective operation of the IDMS. These records are identified in process descriptions. The [Records Management](#) process describes the procedures for identification, storage, protection, retrieval, retention times, and disposition of records.

## **5 MANAGEMENT RESPONSIBILITY**

### **5.1 Management Commitment**

The ID Senior Leadership Team is committed to the development and implementation of the IDMS and continually improving its effectiveness.

ID communicates to its employees the importance of meeting customer expectations, as well as statutory and regulatory requirements. This communication is provided through a variety of methods including All Hands Meeting with DOE Headquarters involvement, as appropriate, ID Manager letters, functional area meetings, electronic messages, and employee performance reviews.

The Quality Policy, as well as the ID Integrated Management System (IDMS) are implemented through this Quality Manual and reviewed for continued applicability and effectiveness during management reviews. Quality Objectives are identified and managed through the Federal Baseline.

Periodic management reviews are conducted in accordance with the work instruction [Semi-Annual Management Review of the Idaho Management System \(IDMS\)](#).

### **5.2 Customer Focus**

ID maintains a focus on meeting customer requirements by addressing the customer goals and objectives during the ID Strategic Planning Process, ensuring implementation of customer requirements through internal audits, management reviews; and monitoring of customer satisfaction.

### **5.3 Quality Policy**

The ID Senior Leadership Team has developed an integrated Quality Policy. The Quality Policy includes a commitment to comply with regulations and requirements and to continually improve processes. The Quality Policy includes statements that relate to quality objectives. The Senior Leadership Team ensures that the quality policy is understood within the organization. The Quality Policy is reviewed for suitability during management reviews.

*The Quality Policy is:*

*ID will set the example for DOE in meeting customer expectations and providing high quality products and services. ID will continue to improve on how we deliver on our commitments, meet regulatory requirements, operate safely, and respect and reward individuals for their contributions to our mission success. A single integrated quality assurance program will be used to assure satisfaction of regulatory, customer, and DOE quality requirements.*

## **5.4 Planning**

### **5.4.1 Quality Objectives**

The ID Senior Leadership Team sets quality objectives through the Federal Baseline. The [Federal Baseline](#) process defines the activities to establish, status and maintain configuration control of the Federal Baseline. This ensures objectives are defined for relevant functions and levels within the organization that are measurable and consistent with the ID Quality Policy.

### **5.4.2 Quality Management System Planning**

The ID Senior Leadership Team ensures that planning and implementation of the IDMS is effective and customer requirements and quality objectives are met. The process description, [ID Strategic Planning Process](#) defines the process to develop, approve, implement and update the ID Strategic Plan.

The integrity and adequacy of the IDMS is maintained as changes are planned and implemented. This is evaluated through internal audits and management review.

## **5.5 Responsibility, Authority and Communication**

### **5.5.1 Responsibility and Authority**

The responsibility, authority and interrelationship of personnel who manage, perform, and verify work affecting quality is defined in the office document, [Functions Responsibilities and Authorities](#) and the [Roles, Responsibilities, Accountabilities and Authorities, and Organization Structure](#). Individual accountability for work is established through the individual performance agreements.

### **5.5.2 Management Representative**

The Management Representative is appointed by the ID Manager and is delegated authority and responsibility for ensuring the IDMS requirements as stated in this manual, are established, implemented, and maintained in accordance with the standards listed in Part 2, “Normative Reference.” The Management Representative reports on the

functioning of the IDMS to the ID Manager and staff as a basis for continual improvement. Reporting occurs in various forums including management review and senior staff meetings. The ID Management Representative is:

Lisa A. Green  
Senior Management Systems Advisor  
Idaho Operations Office (ID)

The Management Representative reports to the ID Manager with direct access in matters relating to the IDMS. Specific responsibilities of the Management Representative include:

- Convening and presiding over the management review and reporting to the Senior Leadership Team on the performance of the IDMS and any need for improvement.
- Ensuring that processes needed for the IDMS are established, implemented, and maintained.
- Ensuring the promotion of awareness of customer requirements throughout the organization.
- Assuring liaison is maintained with customers, regulatory bodies, and the ISO registrar on matters that relate to the IDMS.

The Management Representative can delegate any duties relating to these responsibilities.

### **5.5.3 Internal Communication**

The ID Senior Leadership Team ensures that appropriate communication takes place regarding the effectiveness of the IDMS through system assessments and feedback from performance on quality objectives, management review, and customer feedback.

## **5.6 Management Review**

### **5.6.1 General**

The IDMS will be subject to a comprehensive management review at least twice a year in accordance with work instruction, [\*Semi-Annual Management Review of the Idaho Management System \(IDMS\)\*](#). The purpose of these reviews is to assess and report on the performance of the IDMS to the ID Senior Leadership Team and to ensure the continued suitability, adequacy, and effectiveness as the basis for continual improvement of the IDMS. This review shall include assessing opportunities for improvement and the need for changes to the IDMS, including the operating policy and quality objectives.

The ID Manager has designated a senior manager to serve as the Management Representative responsible for the management review. The Management Representative schedules the meeting, issues the meeting agenda, coordinates data to be reviewed, and arranges with responsible individuals to provide and present the requested information. As a minimum, attendance at the Management Review shall include the ID Manager and a majority of the ID Manager's direct reports as identified in the ID Organizational Chart.

### 5.6.2 Review Input

Mandatory topics for review are:

- a. Results of audits,
- b. Customer feedback,
- c. Metrics, product conformity, and performance,
- d. Status of preventive and corrective actions,
- e. Follow-up actions from previous management reviews,
- f. Suitability of the Quality Manual and changes that could affect the quality management system
- g. Lessons-learned, employee suggestions, and recommendations for improvement.

ID's Management Review process includes the additional topics of office communication, reporting, and IDMS document reviews.

### 5.6.3 Review Output

The Management Representative publishes minutes that include decisions, action items, and personnel responsible for each action item, and follows-up to assure timely resolution. The outputs from the management review address improvement of the effectiveness of the IDMS and its processes, improvement of product related to customer requirements, and resource needs. Issues and actions arising from this review are managed in accordance with the process description, [\*ID Continual Improvement Process\*](#).

## 6 RESOURCE MANAGEMENT

### 6.1 Provision of Resources

Resources requirements are identified and provided by the Assistant Managers under the leadership of the ID Manager to implement and maintain the IDMS, continually improve its effectiveness, and to enhance customer satisfaction by meeting requirements.



In addition, the ID Senior Leadership Team addresses specific resource demands within process descriptions [Contract Oversight](#), [Federal Baseline](#), and [ID Continual Improvement](#) and work instruction, [Workforce Full time Equivalent and Allocation Management](#).

## 6.2 Human Resources

### 6.2.1 General

Management is responsible for ensuring that personnel performing activities affecting quality are competent on the basis of appropriate education, training, skills, and experience, and that appropriate records of training are maintained.

### 6.2.2 Competence, Awareness and Training

ID competence awareness and training is defined in this section of the Quality Manual. The requirements and corresponding ID actions are listed below:

- The ID process for determining, maintaining and developing employee competency is outlined in the [Idaho Operations Office Process for Employee Competency](#) process description and its associated work instructions. This process uses the Employee Position Descriptions, [Job Task Analysis](#), [Needs Analysis](#) and [Individual Development Plan](#) to ensure employees are capable of meeting job requirements.
- The [Idaho Operations Office \(ID\) Technical Qualification Program](#) (TQP) is another tool used to assure competency of employees. DOE is committed to developing and maintaining a technically competent workforce to accomplish its missions in a safe and efficient manner. Supervisors identify who needs to be designated into the TQP and assigns the appropriate functional area. Supervisors conduct the initial evaluation of each employee's competencies against competency requirements to determine exemptions and equivalencies and identify training needs. If skill development or additional knowledge is needed, a TQP candidate uses work instruction, [Individual Development Plan](#) to identify and obtain the skills/knowledge needed to confirm competency in the identified area. Once a designated TQP candidate qualifies in their assigned functional area, competency is also maintained through the IDP process. In some TQP functional areas, such as Facility Representatives, qualified staff is re-certified on a periodic basis to ensure competency has been sustained.
- Training Fulfillment: Gaps in knowledge and skills are also rectified through the [Individual Development Plan](#) work instruction. Supervisors and employees identify knowledge and skill gaps and training is identified, prioritized, and authorized through the IDP process.
- Training Effectiveness: Effectiveness of training is evaluated through the process defined in office procedure, [Course and Program Evaluation](#) process.

- Personnel Awareness: Quality objectives are identified through the ID Federal Baselines in accordance with the [Federal Baseline](#) process description. Employee's names are listed and tied to appropriate quality objectives. Employee's status their Federal Baseline activities on a regular basis and the employees' manager review and concurs on status reports. In addition, performance plans for each ID staff member are linked to the quality and organizational specific objectives.
- Records: Records of training are maintained in accordance with office procedure, [Training Registration and Record Keeping](#). Training Support personnel maintain records of education, skills and experience.

### 6.3 Infrastructure

ID determines the infrastructure needed to achieve conformity to product requirements. Infrastructure considerations include, as applicable:

- Buildings, workspace, and associated utilities,
- Process equipment (both hardware and software),
- Supporting services (such as communication).

Additional infrastructure items are considered through the ongoing budget processes.

Infrastructure services are generally provided and maintained by the INL Contractor. The [Information Technology Services Team](#) (ITST) selects computer hardware. ID uses standard Microsoft Office software and limited amounts of other commercial software; all of which are supplied through the [ITST](#). ID uses an internal service center to assist employees with hardware and software concerns and needs.

### 6.4 Work Environment

A suitable working environment free from workplace violence and harassment is maintained through government and interoffice policies. The INL Contractor provides other services related to provision of a suitable office environment. Employee Health and Safety is managed by the Federal Employee Occupational Safety and Health Committee and through the [ID Federal Employee Occupational Safety and Health \(FEOSH\) Manual](#).

## 7 PRODUCT REALIZATION

### 7.1 Planning of product realization

This Quality Manual directs implementation of the IDMS processes. This system defines how the requirements of quality are met. Quality planning is consistent with other requirements of the IDMS. Verification of process implementation affecting the quality of products and services is the responsibility of the ID Senior Leadership Team.

Consideration is given for the following activities, as appropriate, in meeting the specified requirements for products, projects or contracts and documented in related processes:

- Quality objectives and requirements for the product are established in the Federal Baseline in accordance with the [Federal Baseline](#) process description.
- The need to establish processes, documents, and provide resources specific to the product, are determined by Senior Leadership.
- The identification of suitable verification, validation, monitoring, inspection, and test activities specific to the product, along with the criteria for acceptance of ID product, are captured by the incorporation of verification methods/standards within those process descriptions or work instructions that have the potential to result in product nonconformance.
- The identification and preparation of records to provide evidence that the realization processes and resulting product meet requirements are identified in specific process descriptions.

## 7.2 Customer-related processes

### 7.2.1 Determination of requirements related to the product

Customer (DOE Headquarters) requirements for products are defined through various DOE operating requirements. DOE operating requirements include orders, policies, notices, manuals, procurement regulations, and agreements. New and revised operating and customer requirements are received and reviewed in accordance with process description, [ID Process for Managing Customer Requirements](#). Specific actions and requests are received into the correspondence system and managed through the [Pegasus System](#) in accordance with office procedure, [Management of Correspondence Actions and Management Direction via Pegasus](#). DOE Headquarters goals are captured in the [DOE-ID Strategic Plan](#).

Using this process, ID determines:

- Requirements specified by the customer, including the requirements for delivery and post-delivery activities,
- Requirements not stated by the customer, but necessary for specified or intended use, where known,
- Statutory and regulatory requirements related to the product, and
- Any additional requirements determined by ID.

### 7.2.2 Review of Requirements Related to the Product

Records of review and comment disposition for the new and revised operating requirements are maintained in DOE Headquarters database ([RevCom](#)). When specific DOE Headquarter actions require action (i.e. written response, report, or directed action), memorandums, letters, and reports are prepared and distributed. Records of specific actions are maintained in accordance with the, [Records Management](#) process description. When required, specific necessary actions are established and progress monitored through the Federal Baseline.

### 7.2.3 Customer Communication

ID has implemented communication protocols to provide the following types of information to DOE Headquarters:

- Product information (e.g. contract management and oversight performance),
- Inquiries, agreements, requirements, criteria, including changes, and
- Customer feedback, including complaints.

This communication occurs through a variety of forums. ID staff documents customer feedback in accordance with the [ID Continual Improvement](#) process description. Feedback is evaluated by the ID Senior Leadership Team to determine if action is required. Incorporation of feedback is the responsibility of the ID Senior Leadership Team

### 7.3 Design and Development

ID does not perform design and development activities. See Part 2, Exclusions/Non-Applicability.

### 7.4 Purchasing

#### 7.4.1 Purchasing Process

ID uses standard Federal Acquisition Regulations and Department of Energy Acquisition Regulations to acquire goods and services through its contracts. ID also considers federal statutes, case decisions, acquisition letters, etc, in its procurement process. ID evaluates and selects site contractors based on ability to meet all the prescribed contractual requirements, including their ability to provide quality product and services. ID may extend its operating contracts based on the Contractor's continued ability to provide acceptable products, services, and contract type.

The process descriptions within the Acquisition Management business element define the major methods ID uses to manage the major site contracts, the [INL contract](#), the [ICP contract](#), and the [AMWTP contract](#). The designated Contracting Officer, who is designated as specified in office procedure, [Selection of Contracting Officers, Contracting Officer Representatives, and Purchase Card Holders](#), controls specific contract direction during the life of the contracts.

The type and extent of control ID exercises over the operating contracts varies with the type of contract and the particular operations being performed. ID's oversight is risk based with more focus on higher risk and mission critical operations. Formal assessments for evaluating the Operating Contractors are risk-based and scheduled in accordance with the respective contract oversight plans and applicable Process Descriptions.

Evaluations of the Contractor performance, including interim evaluations, are formally performed and transmitted by the ID in accordance with the process descriptions, [Idaho National Laboratory \(INL\) Performance Evaluation Measurement Plan and Fee Administration](#), and [ICP Cost and Fee Invoice Review Process](#).

#### **7.4.2 Purchasing Information**

As stated above, the operating contracts for the ID are based on standard Federal Acquisition Regulations and Department of Energy Acquisition Regulations, federal statutes, supplemented with a specific Statement of Work and additional site-specific contract provisions and case decisions from the General Accounting Office.

Within the contracts, the DOE defines contract performance requirements through the inclusion of a significant number of requirements. These requirements link the contract to federal/state/local laws and regulations and to applicable DOE Orders as well as scope, cost and schedule requirements. Requirements also depend on the contract type.

ID assures the contracts are current and modifies the contracts when necessary using the process descriptions, [Work Authorization System](#), [Idaho National Laboratory \(INL\) Site Contract Modifications](#), and work instruction, [ICP Baseline Change Management](#) or by following the Federal Acquisition Regulations or DOE Acquisition Regulations. Contractual documents are reviewed and approved for adequacy of the specified requirements prior to release to the contractor by the formally assigned Contracting Officer.

#### **7.4.3 Verification of Purchased Product**

ID establishes and implements the oversight necessary for ensuring the safe and secure operation of the INL Site and to ensure the contractor's deliverables meet specified contractual requirements. This oversight is conducted in accordance with process

descriptions, [Contractor Document Review/Comment/Approval/Certification Process](#), [Contract Oversight](#) and [Federal Project Management Process](#), as well as routine project reviews and subcontract oversight.

### **7.5 Production and Service Provision**

As ID does not produce material products, this ISO clause is not applicable to ID. The ID product is the service of Oversight and Contract Management. See Part 2, Exclusions/Non-Applicability.

### **7.6 Control of monitoring and Measuring Devices**

As ID does not maintain monitoring and measuring devices, this ISO clause is not applicable to ID. See Part 2, Exclusions/Non-Applicability.

## **8 MEASUREMENT, ANALYSIS AND IMPROVEMENT**

### **8.1 General**

ID plans and implements the monitoring, measurement, analysis, and improvement processes needed to demonstrate conformity of the product or service, ensures conformity of the IDMS through internal audits and management review, and uses audit and management review feedback to continually improve the effectiveness of the IDMS.

ID uses appropriate techniques to reduce process variability, to develop effective and efficient processes and to continually improve those processes.

All ID IDMS processes contain metrics to monitor ID performance. These metrics are reviewed during mandatory management reviews.

### **8.2 Monitoring and Measurement**

#### **8.2.1 Customer Satisfaction**

ID monitors information relating to customer perception as to whether the organization has met customer requirements through customer feedback. Customer feedback is received in a number of ways such as frequent contact between Headquarters personnel and ID management and staff as well as through formal comments received on document reviews. ID staff documents customer feedback in accordance with the [ID Continual Improvement](#) process description. The ID Operations Office uses this information as one of the measurements for performance during the mandatory management reviews.

### **8.2.2 Internal Audit**

ID plans, performs, and documents internal audits and assessment in accordance with the process description, [ID Continual Improvement Process](#). Audits verify that IDMS processes are effectively implemented and maintained and comply with the requirements of [ISO 9001:2000\(E\)](#), to documented procedures, and internal requirements established by the IDMS.

Audits consist of verification of program requirements and assessments of IDMS processes. Audits assess compliance with documented procedures, identify opportunities for improvement, and suggest corrective action as appropriate.

A documented plan is maintained to ensure ongoing evaluation of key elements. The frequency of audits is determined using the results of previous audits, the significance of quality program activities, and product quality indicators. The audit criteria, scope, frequency, and methods are defined.

ID selects internal auditors trained in audit processes. Internal auditors are assigned in a manner to assure objectivity and impartiality of the audit process. This is accomplished by assigning auditors from a different functional area than the area being audited. This method ensures that auditors do not audit their own work.

The responsibilities and requirements for planning and conducting audits, reporting results, and maintaining records are defined in the [Internal Audit](#) work instruction. Audit results are documented in formal reports. Both management and affect parties are notified of audit results. The [ID Continual Improvement Process](#) and the [Corrective Action](#) work instruction are implemented when corrective action is necessary. Follow-up verification activities are performed to record the completion of the corrective actions.

### **8.2.3 Monitoring and Measurement of Processes**

ID applies suitable methods for monitoring and measuring the IDMS. The system is evaluated through a combination of management review, internal audits, external audits (e.g., [ISO 9001-2000\(E\)](#) audits), self-assessment, independent assessments, customer feedback, and metrics. These methods demonstrate the ability of the processes to achieve planned results. When planned results are not achieved, corrective and preventive actions are performed using the [ID Continual Improvement Process](#) and its implementing work instructions.

#### 8.2.4 Monitoring and Measurement of Product

ID monitors and measures the characteristics of product (Oversight and Contract Management) using the [ID Continual Improvement Process](#) to verify that requirements have been met. Monitoring and measurement occurs at appropriate stages in the product realization process and conforms to all planned arrangements.

Products that are essential to meeting customer requirements have been identified in work instruction, [Controlling Nonconforming Products](#). Monitoring and measuring steps are included in the process descriptions describing ID's activities that provide the essential products to our customers.

#### 8.3 Control of Nonconforming Product

A nonconforming product is identified and controlled in accordance with work instruction, [Control of Nonconforming Products](#) to prevent its unintended use or delivery. Controls and related responsibilities and authorities are defined within this process. Responsibility for the review and disposition of nonconforming product is also controlled through this work instruction. The review will determine whether the product is dispositioned in one or more of the following ways:

- By taking action to eliminate the detected nonconformity;
- By authorizing its use, release, or acceptance under concession by a relevant authority, and, where applicable, by the customer;
- By taking action to preclude its original intended use or application.

Records of the actions taken and concessions granted are documented in [Pegasus](#). Corrected product is subject to re-verification in accordance with documented procedures. When nonconforming product is detected after delivery or use has started, action is taken appropriate to the effects or potential effects of the nonconformity.

#### 8.4 Analysis of Data

ID analyzes data to demonstrate the effectiveness of the IDMS as part of the periodic management review. Data required, and the person responsible for providing the data, is defined in the [Semi-Annual Management Review of the Idaho Management System \(IDMS\)](#) work instruction. Areas to continually improve the IDMS are identified through this data analysis. The analysis of data provides information relating to:

- Customer satisfaction,
- Conformity to product requirements,



- Characteristics and trends of processes and products including opportunities for preventive action, and
- Suppliers (e.g. Prime Contractor).

## **8.5 Improvement**

### **8.5.1 Continual Improvement**

ID is committed to continual improvement. The quality policy, quality objectives, audit results, analysis of data, corrective and preventive actions, and management review serve as the basis for the continual improvement of the IDMS. ID's process description, [ID Continual Improvement Process](#) and its implementing work instructions compose ID's continual improvement system.

### **8.5.2 Corrective Action**

ID takes action to eliminate the cause of nonconformities to prevent recurrence. Corrective action taken is appropriate to the degree and magnitude of problem and risks encountered. Resulting corrective actions are documented using the corrective action process and summarized for management review. Timeliness of corrective action is monitored and reported during management reviews. The corrective action process is implemented through the [Corrective Action](#) work instruction. Records of the results of action taken are documented and maintained in the [Pegasus](#).

Follow up reviews to ensure actions are implemented and are effective are performed through the internal assessment process.

### **8.5.3 Preventive Action**

ID through the use of management reviews, employee suggestions, customer feedback, lessons learned, and continual improvement tools, identifies potential opportunities for preventive action. Actions are determined to eliminate the causes of potential nonconformities in order to prevent their occurrence. Preventive actions that are taken are appropriate to the potential effects of risks of the potential problems. The preventive actions process is implemented through the [Preventive Action](#) work instruction. Records of the results of action taken are documented in the [Pegasus](#).

Follow up reviews to ensure actions are implemented and are effective are performed through internal assessment process.

End of Part 2



**Appendix A**  
**Quality Standard Crosswalk**  
[DOE O 414.1C](#) → [ISO 9001:2000\(E\)](#) → [Idaho Management System \(IDMS\)](#)

\* The flow down of implementing IDMS documentation was limited to the governing Process Description (PD), except in cases where a specific Work Instruction (WI) or Other Document (OD) exists in a “one-for-one” relationship to the DOE Order or ISO Clause.

Table 1:

<b><u>DOE O 414.1C</u> Paragraph 4.a Requirements</b>	<b>ISO Standard</b>	<b>ID Discussion</b>
Each DOE organization must develop and implement a QAP that does the following:	<b>4.1 General requirements:</b> The organization shall establish, document, implement and maintain a quality management system and continually improve its effectiveness in accordance with the requirements of this International Standard. <b>5.4.2 Quality management system planning:</b> Top management shall ensure that ... b) the integrity of the quality management system is maintained when changes to the quality management system are planned and implemented.	<ul style="list-style-type: none"> <li>ID has developed a QAP documented in <a href="#">99.OD.02</a>, <i>Idaho Operations Office (ID) Management System Description Document/Quality Assurance Manual</i></li> </ul>
(1) Implements quality assurance criteria using a graded approach and describing how the criteria and graded approach are applied.	<b>4.1</b> The organization shall establish, document, implement and maintain a quality management system and continually improve its effectiveness in accordance with the requirements of this International Standard. The organization shall: <ol style="list-style-type: none"> <li>identify the processes needed for the quality management system and their application throughout the organization (see 1.2),</li> <li>determine the sequence and interaction of these processes,</li> <li>determine criteria and methods needed to ensure that both the operation and control of these processes are effective,</li> <li>ensure the availability of resources and information necessary to support the operation and monitoring of these processes,</li> <li>monitor, measure and analyse these processes, and</li> <li>implement actions necessary to achieve planned results and continual improvement of these processes.</li> </ol> <b>5.3</b> Top management shall ensure that the quality policy: <ol style="list-style-type: none"> <li>is appropriate to the purpose of the organization,</li> <li>includes a commitment to comply with requirements and continually improve the effectiveness of the quality management system.</li> <li>provides a framework for establishing and reviewing quality objectives,</li> <li>is communicated and understood within the organization,</li> <li>and is reviewed for continuing suitability.</li> </ol>	<ul style="list-style-type: none"> <li><a href="#">99.OD.02</a>, <i>Idaho Operations Office (ID) Management System Description Document/Quality Assurance Manual</i></li> <li>Idaho Management System (IDMS)</li> </ul> <p>Note: The application of the <a href="#">DOE O 414.1C</a> quality assurance criteria is discussed in the Quality Manual (<a href="#">99.OD.02</a>). The graded approach is embedded throughout <a href="#">99.OD.02</a> and the IDMS. The depth and breath of the work activities documented in IDMS represents the graded approach and compliance to the cited ISO clauses. Management has established a management system (i.e. IDMS) and determined the sequence, interaction, criteria, methods, etc for this management system (i.e. IDMS).</p>

<b><u>DOE O 414.1C</u> Paragraph 4.a Requirements</b>	<b>ISO Standard</b>	<b>ID Discussion</b>
(2) Uses voluntarily national or international consensus standard where practicable and consistent with contractual or regulatory requirements and identifies the standard used. Appropriate standards include the following....	<p><b>0.4 Compatibility with other management systems:</b> This International Standard has been aligned with ISO 14001:1996 in order to enhance the compatibility of the two standards for the benefit of the user community.</p> <p>This International Standard does not include requirements specific to other management systems, such as those particular to environmental management, occupational health and safety management, financial management or risk management. However, this International Standard enables an organization to align or integrate its own quality management system with related management system requirements. It is possible for an organization to adapt its existing management system(s) in order to establish a quality management system that complies with the requirements of this International Standard.</p> <p><b>Note:</b> <a href="#">ISO 9001:2000(E)</a> has no requirement for use of consensus standard. This is to be expected since <a href="#">ISO 9001:2000(E)</a> is a consensus standard.</p>	<ul style="list-style-type: none"> <li>• <a href="#">99.OD.02</a>, <i>Idaho Operations Office (ID) Management System Description Document/Quality Assurance Manual</i></li> </ul> <p>Note: ID’s compliance with this element of <a href="#">DOE O 414.1C</a> is demonstrated by the adoption of <a href="#">ISO 9001:2000(E)</a> for ID, ISO 17025:2005 for RESL, DOE/RW-0333P for the NRC Licensed Facilities.</p>
(3) Applies additional standards, where practicable and consistent with contractual or regulatory requirements as necessary to address unique/specific work activities (e.g., development and use of safety software or establishing the competence of a testing and calibration laboratory).	<p><b>7.2.1 Determination of requirements related to product:</b> The organization shall determine:</p> <ol style="list-style-type: none"> <li>requirements specified by the customer, including the requirements for delivery and post-delivery activities,</li> <li>requirements not stated by the customer but necessary for specified or intended use, where known,</li> <li>statutory and regulatory requirements related to the product, and</li> <li>any additional requirements determined by the organization.</li> </ol>	<ul style="list-style-type: none"> <li>• <a href="#">99.OD.02</a>, <i>Idaho Operations Office (ID) Management System Description Document/Quality Assurance Manual</i></li> </ul> <p>Note: ID’s compliance with this element of <a href="#">DOE O 414.1C</a> is demonstrated by the adoption of ISO 17025:2005 for RESL and DOE/RW-0333P for the NRC Licensed Facilities. Furthermore, ID complies with DOE/RW-0333P. ID has no requirements under DOE/CBFO-94-1012.</p>
(4) Integrates quality management system requirements, Suspect/Counterfeit Items Prevention Process (see Attachment 3), and the Corrective Action Management Program (see Attachment 4) as defined in this Order with other quality or management system requirements in DOE	<p><b>7.4.3 Verification of purchased product:</b> The organization shall establish and implement the inspection or other activities necessary for ensuring that the purchased product meets specified purchase requirements....</p> <p><b>8.5.1 Continual improvement:</b> The organization shall continually improve the effectiveness of the quality management system through the use of the quality policy, quality objectives, audit results, analysis of data, corrective and preventive actions, and management review.</p> <p><b>8.5.2 Corrective action:</b> The organization shall take action to eliminate the cause of nonconformities in order to prevent recurrence. ... A documented procedure shall be established to define requirements</p>	<ul style="list-style-type: none"> <li>• Attachment 2, Contractor Requirements Document: The DOE Orders are included in the prime contracts. Applicable DOE Orders are identified in a document referred to as List B. The IDMS work instruction, <a href="#">Identification and Implementation of Directives and Other Departmental Requirements Applicable to the Major Idaho Operations Office Contracts</a>, ensures the timely and efficient</li> </ul>

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<b><u>DOE O 414.1C</u> Paragraph 4.a Requirements</b>	<b>ISO Standard</b>	<b>ID Discussion</b>
<p>directives and external requirements, including as applicable –</p> <ul style="list-style-type: none"> <li>(a) <a href="#">DOE P 450.4</a>, Safety Management System Policy, dated 10-15-96.</li> <li>(b) <a href="#">DOE P 450.5</a>, Line Environment, Safety and Health Oversight, dated 06-26-97.</li> <li>(c) NNSA Quality Management Policy, QC-1, (quality management system for the nuclear weapons complex and weapons-related activities).</li> <li>(d) DOE/RW-0333P, DOE Office of Civilian Radioactive Waste Management, Quality Assurance Requirements and Description.</li> <li>(e) DOE/CBFO-94-1012, DOE Carlsbad Field Office, Quality Assurance Program Description, (for the Waste Isolation Pilot Plant and related activities).</li> </ul>	<p><b>8.5.3 Preventive action:</b> The organization shall determine action to eliminate the causes of potential nonconformities in order to prevent their occurrence...</p> <p><b>Note:</b> <a href="#">ISO 9001:2000(E)</a> has no requirements for the DOE Suspect/Counterfeit Items Prevention Process or the specific DOE Corrective Action Management Program requirements. This is to be expected since <a href="#">ISO 9001:2000(E)</a> is a consensus standard.</p>	<p>transition, or application of requirements, to the contractors. List B is updated and revised by formal contract modifications. Requirements for the submittal of QAP to DOE for approval are addressed in the various contracts (ICP clause H.14, INL- H-27, and AMWTP - SOW Paragraph E, &amp; Section J, Attach. G) and <a href="#">DOE O 414.1C</a>, paragraph 5.c.</p> <ul style="list-style-type: none"> <li>• Attachment 3, Suspect/ Counterfeit Items (SC/I): SC/I does not directly apply to ID. ID QA staff (as authorized by their Position Descriptions) performs federal oversight of the contractors SC/I programs. SC/I is a specific oversight element in ID oversight document (<a href="#">List of Oversight Elements</a>) to ensure the contractors program meets the requirements of <a href="#">DOE O 440.1A</a>.</li> <li>• Attachment 4, Corrective Action Management Program: The IDMS Process Description, <a href="#">ID Continual Improvement</a> and its implementing work instructions define program requirements consistent with <a href="#">DOE O 414.1C</a>, Attachment 4 and <a href="#">DOE G 414.1-5</a>. ID procedures explicitly state if the issue is identified in a DOE-HQ OA ES&amp;H, or Emergency Management Assessment; Type A Accident Report; or other sources directed by the Secretary or Deputy Secretary that the ID issue management process must ensure the Corrective Action Management Process specified in <a href="#">DOE O 414.1C</a>, Attachment 4 is fulfilled.</li> </ul>

<a href="#">DOE O 414.1C</a> Paragraph 4.a Requirements	ISO Standard	ID Discussion
		<ul style="list-style-type: none"> <li>• Attachment 5, Safety Software Quality (SQA) Requirements: Individuals assigned SQA responsibilities at ID are required to possess technical capabilities commensurate with their duties. Responsibility and authority for activities such as conducting oversight of the development and use of safety software will be defined. Roles and responsibilities will be identified for safety software used for design, instrumentation and control (I&amp;C), consequence analysis, and other types of software, such as databases used for safety management functions. ID ensures that the contractor responsible for use of software implements the appropriate controls as required by <a href="#">ISO 9000-2001(E)</a> section 7.4.3 Verification of Purchased Product.</li> <li>• Element (a) <a href="#">DOE P 450.4</a>: This policy is implemented ID. It is promulgated through the QA Manual and the system is further defined in <a href="#">Appendix B</a>.</li> <li>• Element (b) <a href="#">DOE P 450.5</a>: This policy statement was cancelled and superseded by <a href="#">DOE O 226.1</a>. ID complies with this order through various process descriptions.</li> <li>• Element (c) NNSA, QC-1: Not applicable to ID.</li> <li>• Element (d) DOE/RW-0333P: Applies to ID and its contractor for activities, which may result in the generation, certification, and shipment of waste to the government repository.</li> </ul>

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<b><u>DOE O 414.1C</u> Paragraph 4.a Requirements</b>	<b>ISO Standard</b>	<b>ID Discussion</b>
		<ul style="list-style-type: none"><li>• Element (e) DOE/CBFO-94-1024: Applies to ID's contractors for the generation, certification, and shipment of waste to WIPP.</li></ul>

Table 2:

<b><u>DOE O 414.1C</u> Paragraph 4.b Quality Assurance Criteria</b>	<b>ISO Standard</b>	<b>IDMS Documentation*</b>
<p><b>Management/Criterion 1 – Program</b></p> <p>(a) Establish an organizational structure, functional responsibilities, levels of authority, and interfaces for those managing, performing, and assessing work.</p> <p>(b) Establish management processes, including planning, scheduling, and providing resources for work.</p>	<ul style="list-style-type: none"> <li>• <b>5.1 Management commitment:</b> Top management shall provide evidence of its commitment to the development and implementation of the quality management system and continually improving its effectiveness by ... e) ensuring the availability of resources.</li> <li>• <b>5.4.1 Quality objectives:</b> Top management shall ensure that quality objectives, including those needed to meet requirements for product [see 7.1a], are established at relevant functions and levels within the organization. The quality objectives shall be measurable and consistent with the quality policy.</li> <li>• <b>5.4.2 Quality management system planning:</b> Top management shall ensure that a) the planning of the quality management system is carried out in order to meet the requirements given in 4.1, as well as the quality objectives, and b) the integrity of the quality management system is maintained when changes to the quality management system are planned and implemented.</li> <li>• <b>5.5.1 Responsibility and authority:</b> Top management shall ensure that responsibilities and authorities are defined and communicated within the organization.</li> <li>• <b>6.1 Provision of resources:</b> The organization shall determine and provide the resources needed a) to implement and maintain the quality management system and continually improve its effectiveness, and ...</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">01.PD.05</a>, <i>Federal Baseline</i></li> <li>• <a href="#">99.OD.02</a>, <i>Idaho Operations Office (ID) Management System Description Document/Quality Assurance Manual</i></li> <li>• <a href="#">99.OD.01</a>, <i>Functions, Responsibilities, and Authorities</i></li> </ul>
<p><b>Management/Criterion 2— Personnel Training and Qualification</b></p> <p>(a) Train and qualify personnel to be capable of performing assigned work.</p> <p>(b) Provide continuing training to personnel to maintain job proficiency.</p>	<ul style="list-style-type: none"> <li>• <b>6.2.1 General:</b> Personnel performing work affecting product quality shall be competent on the basis of appropriate education, training, skills and experience.</li> <li>• <b>6.2.2 Competence, awareness and training:</b> The organization shall a) determine the necessary competence for personnel performing work affecting product quality, b) provide training or take other actions to satisfy these needs, c) evaluate the effectiveness of the actions taken, d) ensure that its personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the quality objectives...</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">02.PD.01</a>, <i>Idaho Operations Office (ID) Process for Employee Competency</i></li> </ul>



<b><u>DOE O 414.1C</u> Paragraph 4.b Quality Assurance Criteria</b>	<b>ISO Standard</b>	<b>IDMS Documentation*</b>
<p><b>Management /Criterion 3— Quality Improvement</b></p> <p>(a) Establish and implement processes to detect and prevent quality problems.</p> <p>(b) Identify, control, and correct items, services, and processes that do not meet established requirements.</p> <p>(c) Identify the causes of problems, and include prevention of recurrence as a part of corrective action planning.</p> <p>(d) Review item characteristics, process implementation, and other quality-related information to identify items, services, and processes needing improvement.</p>	<ul style="list-style-type: none"> <li>• <b>5.6.1 General:</b> Top management shall review the organization's quality management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness. The review shall include assessing opportunities for improvement and the need for changes to the quality management system...</li> <li>• <b>8.2.1 Customer Satisfaction:</b> As on of the measurements of the performance of the quality management system, the organization shall monitor information relating to customer perception...</li> <li>• <b>8.2.2 Internal audit:</b> The organization shall conduct internal audits at planned intervals to determine whether the quality management system a) conforms to the planned arrangements (see 7.1), to the requirements of this International Standard and to the quality management system requirements established by the organization....</li> <li>• <b>8.3 Control of nonconforming product:</b> The organization shall ensure that product which does not conform to product requirements is identified and controlled to prevent its unintended use or delivery....</li> <li>• <b>8.4 Analysis of data:</b> The organization shall determine, collect and analyze appropriate data to demonstrate the suitability and effectiveness of the quality management system and to evaluate where continual improvement of the effectiveness of the quality management system...</li> <li>• <b>8.5.1 Continual improvement:</b> The organization shall continually improve the effectiveness of the quality management system through the use of the quality policy, quality objectives, audit results, analysis of data, corrective and preventive actions, and management review.</li> <li>• <b>8.5.2 Corrective action:</b> The organization shall take action to eliminate the cause of nonconformities in order to prevent recurrence. ... A documented procedure shall be established to define requirements</li> <li>• <b>8.5.3 Preventive action:</b> The organization shall determine action to eliminate the causes of potential nonconformities in order to prevent their occurrence...</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">01.PD.03</a>, <i>ID Continual Improvement Process</i></li> <li>• <a href="#">01.WI.03.02</a>, <i>Semi-Annual Management Review of the Idaho Management System (IDMS)</i></li> <li>• <a href="#">01.WI.03.06</a>, <i>Controlling Nonconforming Products</i></li> <li>• <a href="#">01.WI.03.04</a>, <i>Management Control Program –FMFIA Coordination Procedure</i></li> <li>• <a href="#">01.WI.03.08</a>, <i>Corrective Action</i></li> <li>• <a href="#">01.WI.03.09</a>, <i>Preventive Action</i></li> <li>• <a href="#">01.WI.03.10</a>, <i>Process Improvement</i></li> </ul>
<p><b>Management/Criterion 4— Documents and Records.</b></p> <p>(a) Prepare, review, approve, issue, use, and revise documents to prescribe processes, specify requirements, or establish design.</p> <p>(b) Specify, prepare, review, approve, and maintain records.</p>	<ul style="list-style-type: none"> <li>• <b>4.2.3 Control of documents:</b> Documents required by the quality management system shall be controlled. Records are a special type of document and shall be controlled according to the requirements given in...</li> <li>• <b>4.2.4. Control of records:</b> A documented procedure shall be established to define the controls needed a) to approve documents for adequacy prior to issue, b) to review and update as necessary and re-approve documents, c) to ensure...</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">01.PD.01</a>, <i>IDMS Document Control Process</i></li> <li>• <a href="#">01.PD.02</a>, <i>Records Management</i></li> </ul>

<b><u>DOE O 414.1C</u> Paragraph 4.b Quality Assurance Criteria</b>	<b>ISO Standard</b>	<b>IDMS Documentation*</b>
<p><b>Performance/Criterion 5—Work Processes.</b></p> <p>(a) Perform work consistent with technical standards, administrative controls, and hazard controls adopted to meet regulatory or contract requirements using approved instructions, procedures, etc.</p> <p>(b) Identify and control items to ensure their proper use.</p> <p>(c) Maintain items to prevent their damage, loss, or deterioration.</p> <p>(d) Calibrate and maintain equipment used for process monitoring or data collection.</p>	<ul style="list-style-type: none"> <li>• <b>4.2.3 Control of documents:</b> Documents required by the quality management system shall be controlled. Records are a special type of document and shall be controlled according to the requirements given in...</li> <li>• <b>4.2.4. Control of records:</b> A documented procedure shall be established to define the controls needed a) to approve documents for adequacy prior to issue, b) to review and update as necessary and re-approve documents, c) to ensure...</li> <li>• <b>7.5.1 Control of production and service provision:</b> The organization shall plan and carry out production and service provision under controlled conditions. Controlled conditions shall include, as applicable a) the availability of information that describes the characteristics of the product, b) the availability of work instructions, as necessary, c) the use of suitable equipment, d) the availability and use of monitoring and measuring devices, e) the implementation of monitoring and measurement, and f) the implementation of release, delivery and post-delivery activities.</li> <li>• <b>7.5.3 Identification and traceability:</b> Where appropriate, the organization shall identify the product by suitable means throughout product realization. The organization shall identify the product status with respect to monitoring and measurement requirements. Where traceability is a requirement, the organization shall control and record the unique identification of the product (see 4.2.4).</li> <li>• <b>7.5.5 Preservation of product:</b> The organization shall preserve the conformity of product during internal processing and delivery to the intended destination. This preservation shall include identification, handling, packaging, storage and protection. Preservation shall also apply to the constituent parts of a product.</li> <li>• <b>7.6 Control of monitoring and measuring device:</b> ...Where necessary to ensure valid results, measuring equipment shall a) be calibrated or verified at specified intervals, or prior to use, against measurement standards traceable to international or national measurement standards; where no such standards exist, the basis used for calibration or verification shall be recorded; b) be adjusted or re-adjusted as necessary; c) be identified to enable the calibration status to be determined; d) be safeguarded from adjustments that would invalidate the measurement result; e) be protected from damage and deterioration during handling, maintenance and storage....</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">01.PD.01</a>, <i>IDMS Document Control Process</i></li> <li>• <a href="#">01.PD.02</a>, <i>Records Management</i></li> </ul> <p>Comments:</p> <ul style="list-style-type: none"> <li>• As a service organization, ID’s products are planning and contract management and administration; its “items” are documents.</li> <li>• ID does not calibrate and maintain equipment used for process monitoring or data collection.</li> <li>• ID has determined ISO Section 7.5 and 7.6 are non-applicable at this time.</li> </ul>

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<b><u>DOE O 414.1C</u> Paragraph 4.b Quality Assurance Criteria</b>	<b>ISO Standard</b>	<b>IDMS Documentation*</b>
<p><b>Performance/Criterion 6— Design</b></p> <p>(a) Design items and processes using sound engineering/scientific principles and appropriate standards.</p> <p>(b) Incorporate applicable requirements and design bases in design work and design changes.</p> <p>(c) Identify and control design interfaces.</p> <p>(d) Verify/validate the adequacy of design products using individuals or groups other than those who performed the work.</p> <p>(e) Verify/validate work before approval and implementation of the design.</p>	<ul style="list-style-type: none"> <li>• <b>7.2.1 Determination of requirements related to the product:</b> The organization shall determine: a) requirements specified by the customer . . . , b) requirements not stated by the customer but necessary for specified or intended use, where known, c) statutory and regulatory requirements related to the product, and d) any additional requirements determined by the organization.</li> <li>• <b>7.3.1 Design and development planning:</b> The organization shall plan and control the design and development of the product. The organization shall determine: a) design and development stages, b) review, verification, and validation appropriate to each design and development stage, and c) responsibilities and authorities for design and development.</li> <li>• <b>7.3.2 Design and development inputs:</b> Inputs relating to product requirements shall be determined and records maintained. These inputs shall include: a) functional and performance requirements, b) applicable statutory and regulatory requirements, c) information derived from previous designs, and D) other requirements essential for design and development.</li> <li>• <b>7.3.6 Design and development validation:</b> Design and development validation shall be performed in accordance with planned arrangements (see 7.3.1) to ensure that the resulting product is capable of meeting the requirements for the specified application or intended use, where known . . .</li> <li>• <b>7.4.1 Purchasing process:</b> The organization shall ensure that purchased product conforms to specified purchase requirements. The type and extent of control applied to the supplier and the purchased product shall be dependent upon the effect of the purchased product on subsequent product realization or the final product . . .</li> <li>• <b>7.4.2 Purchasing Information:</b> Purchasing information shall describe the product to be purchased, including where appropriate a) requirements for approval of product, processes, and equipment, b) requirements for qualification of personnel, and c) quality management system requirements.</li> <li>• <b>7.4.3 Verification of purchased product:</b> The organization shall establish and implement the inspection or other activities necessary for ensuring that the purchased product meets specified purchase requirements . . .</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">01.PD.05</a>, <i>Federal Project Management Process</i></li> <li>• <a href="#">03.PD.04</a>, <i>Contact Oversight</i></li> <li>• <a href="#">03.PD.01</a>, <i>Contact Document Review and Comment/Approval/Certification Process</i></li> </ul> <p>Comments:</p> <ul style="list-style-type: none"> <li>• ID has excluded ISO Section 7.3 from its Quality Management System.</li> </ul>

<u>DOE O 414.1C</u> Paragraph 4.b Quality Assurance Criteria	ISO Standard	IDMS Documentation*
<p><b>Performance/Criterion 7— Procurement.</b></p> <p>(a) Procure items and services that meet established requirements and perform as specified.</p> <p>(b) Evaluate and select prospective suppliers on the basis of specified criteria.</p> <p>(c) Establish and implement processes to ensure that approved suppliers continue to provide acceptable items and services.</p>	<ul style="list-style-type: none"> <li>• <b>7.4.1 Purchasing process:</b> The organization shall ensure that purchased product conforms to specified purchase requirements. The type and extent of control applied to the supplier and the purchased product shall be dependent upon the effect of the purchased product on subsequent product realization or the final product. The organization shall evaluate and select suppliers based on....</li> <li>• <b>7.4.2 Purchasing Information:</b> Purchasing information shall describe the product to be purchased, including where appropriate a) requirements for approval of product, processes, and equipment, b) requirements for qualification of personnel, and c) quality management system requirements.</li> <li>• <b>7.4.3 Verification of purchased product:</b> The organization shall establish and implement the inspection or other activities necessary for ensuring that the purchased product meets specified purchase requirements....</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">01.PD.05</a>, <i>Federal Project Management Process</i></li> <li>• <a href="#">03.PD.04</a>, <i>Contact Oversight</i></li> <li>• <a href="#">03.PD.01</a>, <i>Contacto Document Review and Comment/Approval/Certification Process</i></li> <li>• <a href="#">03.PD.02</a>, <i>Idaho National Laboratory (INL) Performance Evaluation Measurement Plan and Fee Administration</i></li> <li>• <a href="#">03.PD.03</a>, <i>Idaho National Laboratory Site Contract Modifications</i></li> </ul>

Approval Date: June 13, 2006

<b><u>DOE O 414.1C</u> Paragraph 4.b Quality Assurance Criteria</b>	<b>ISO Standard</b>	<b>IDMS Documentation*</b>
<p><b>Performance/Criterion 8— Inspection and Acceptance Testing.</b></p> <p>(a) Inspect and test specified items, services, and processes using established acceptance and performance criteria.</p> <p>(b) Calibrate and maintain equipment used for inspections and tests.</p>	<ul style="list-style-type: none"> <li>• <b>7.3.3 Design and development outputs:</b> Design and development outputs shall ... c) contain or reference product acceptance criteria, and d) specify the characteristics of the product that are essential for its safe and proper use.</li> <li>• <b>7.6 Control of monitoring and measuring device:</b> ...Where necessary to ensure valid results, measuring equipment shall a) be calibrated or verified at specified intervals, or prior to use, against measurement standards traceable to international or national measurement standards; where no such standards exist, the basis used for calibration or verification shall be recorded; b) be adjusted or re-adjusted as necessary; c) be identified to enable the calibration status to be determined; d) be safeguarded from adjustments that would invalidate the measurement result; e) be protected from damage and deterioration during handling, maintenance and storage....</li> <li>• <b>8.1 General:</b> The organization shall plan and implement the monitoring, measurement, analysis and improvement processes needed a) to demonstrate conformity of the product... This shall include determination of applicable methods, including statistical techniques, and the extent of their use.</li> <li>• <b>8.2.1 Customer Satisfaction:</b> As on of the measurements of the performance of the quality management system, the organization shall monitor information relating to customer perception...</li> <li>• <b>8.2.3 Monitoring and measurement of processes:</b> The organization shall apply suitable methods for monitoring and, where applicable, measurement of the quality management system processes. These methods shall demonstrate the ability of the processes to achieve planned results...</li> <li>• <b>8.2.4 Monitoring and measurement of product:</b> The organization shall monitor and measure the characteristics of the product to verify that product requirements have been met. This shall be carried out at appropriate stages of the product realization process in accordance with the planned arrangements (see 7.1).</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">01.PD.01</a>, <i>IDMS Document Control Process</i></li> <li>• <a href="#">01.PD.03</a>, <i>ID Continual Improvement Process</i></li> <li>• <a href="#">03.PD.04</a>, <i>Contract Oversight</i></li> <li>• <a href="#">03.PD.01</a>, <i>Contacto Document Review and Comment/Approval/ Certification Process</i></li> </ul> <p>Comments:</p> <ul style="list-style-type: none"> <li>• ID has excluded ISO Section 7.3 from its Quality Management System.</li> <li>• ID has declared a non-applicability to ISO Section 7.6. ID does not calibrate and maintain equipment used for inspections and tests.</li> </ul>

<u>DOE O 414.1C</u> Paragraph 4.b Quality Assurance Criteria	ISO Standard	IDMS Documentation*
<p><b>Assessment/Criterion 9— Management Assessment.</b></p> <p>(a) Ensure that managers assess their management processes and identify and correct problems that hinder the organization from achieving its objectives.</p>	<ul style="list-style-type: none"> <li>• <b>5.1 Management commitment:</b> Top management shall provide evidence of its commitment to the development and implementation of the quality management system and continually improving its effectiveness by ... e) ensuring the availability of resources.</li> <li>• <b>5.5.2 Management representative:</b> Top management shall appoint a member of management who, irrespective of other responsibilities, shall have responsibility and authority that includes...b) reporting to top management on the performance of the quality management system and any need for improvement, and...</li> <li>• <b>5.6.1 General:</b> Top management shall review the organization's quality management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness. The review shall include assessing opportunities for improvement and the need for changes to the quality management system...</li> <li>• <b>8.2.1 Customer Satisfaction:</b> As on of the measurements of the performance of the quality management system, the organization shall monitor information relating to customer perception...</li> <li>• <b>8.4 Analysis of data:</b> The organization shall determine, collect and analyze appropriate data to demonstrate the suitability and effectiveness of the quality management system and to evaluate where continual improvement of the effectiveness of the quality management system...</li> <li>• <b>8.5.1 Continual improvement:</b> The organization shall continually improve the effectiveness of the quality management system through the use of the quality policy, quality objectives, audit results, analysis of data, corrective and preventive actions, and management review.</li> <li>• <b>8.5.2 Corrective action:</b> The organization shall take action to eliminate the cause of nonconformities in order to prevent recurrence. ... A documented procedure shall be established to define requirements</li> <li>• <b>8.5.3 Preventive action:</b> The organization shall determine action to eliminate the causes of potential nonconformities in order to prevent their occurrence...</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">01.PD.03</a>, <i>ID Continual Improvement Process</i></li> <li>• <a href="#">01.PD.05</a>, <i>Federal Baseline</i></li> <li>• <a href="#">01.WI.03.02</a>, <i>Semi-Annual Management Review of the Idaho Management System (IDMS)</i></li> </ul>
<p><b>Assessment/Criterion 10— Independent Assessment.</b></p> <p>(a) Plan and conduct independent assessments to measure item and service quality and the adequacy of work performance and to promote improvement.</p> <p>(b) Establish sufficient authority and freedom from line management for independent assessment teams.</p>	<ul style="list-style-type: none"> <li>• <b>8.2.2 Internal audit:</b> The organization shall conduct internal audits at planned intervals to determine whether the quality management system a) conforms to the planned arrangements (see 7.1), to the requirements of this International Standard and to the quality management system requirements established by the organization, and b) is effectively implemented and maintained. An audit program shall be planned, taking into consideration the status and importance of the processes and areas to be audited, as well as the results of previous audits. The audit criteria, scope, frequency and methods shall be defined. ....</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">01.PD.03</a>, <i>ID Continual Improvement Process</i></li> <li>• <a href="#">01.WI.03.03</a>, <i>Internal Audit</i></li> </ul>

End of Appendix A

## **Appendix B**

### **ID Integrated Safety Management System**

#### **Purpose:**

This document describes the Department of Energy Idaho Operations Office (ID) Integrated Safety Management System (ISMS). The ID ISMS conforms to the safety management systems described in [DOE P 450.4](#), *Safety Management System Policy* and Defense Nuclear Facility Safety Board (DNFSB) Recommendation 2004-01 *Oversight of Complex High Hazard Nuclear Operations*.

#### **Summary:**

The Department of Energy's (DOE's) vision for the Idaho National Laboratory (INL) is to enhance the Nation's energy security by becoming the preeminent, internationally recognized nuclear energy research, development, and demonstration laboratory within ten years. The INL will also establish itself as a major center for national security technology development and demonstration. This requires that the INL be a multi-program National Laboratory with world-class nuclear capabilities. The INL will foster new academic, industry, government, and international collaborations to produce the investment, programs and expertise that assure this vision is realized.

A first step toward achieving this vision was a major realignment of the INL contract into three primary contracts(s):

1. [Contract No DE-AC07-05ID14517](#) for the INL,
2. [Contract No DE-AC07-05ID 14516](#) for the ICP and,
3. [Contract No DE-AC07-99ID 13727](#) for the Advanced Mixed Waste Treatment Project.

The work at the INL was divided into two major objectives:

1. Establishing a world class Nuclear Energy Research and Development Laboratory (INL), under the Office of Nuclear Energy (NE) including the thirteen nuclear facilities at the former Argonne National Laboratory West (previously administered by DOE-Chicago), and;
2. Completion of INL site cleanup under the Department's Office of Environmental Management (EM), named the Idaho Completion Project.

Note: LPSO approval of ISMS description is not a Directive requirement.

The INL Site contracts are one of the most significant components of the Department of Energy Idaho Operations Office ISMS. ID personnel perform governmental functions related to contract administration that involve exercising discretionary authority and making final value judgments that affect day-to-day or long-term development, execution, and evaluation of programs defined in the contract scope of work. The processes that establish the framework to accomplish these actions are defined in the [Idaho Management System](#) (IDMS). The three primary site contracts delineate environmental, safety, and health requirements and expectations that ID personnel administer and oversee. Federal employees are responsible for ensuring the safety of workers, the public, and the environment. A specific contract clause ([DEAR 970.5204-2, Integration of Environment, Safety, and Health Into Work Planning and Execution](#)) mandates the institutionalization of INL contractors' ISMS', stating management of ES&H functions and activities (must) be an integral and visible part of the contractors work planning and execution processes. This clause is incorporated into the three operations contracts.

The work accomplished by ID is mostly administrative in nature, with the exception of the Radiological and Environmental Sciences Laboratory (RESL), where federal employees perform work in a laboratory setting. The ISMS defined in this document applies to all ID federal employees. RESL has developed a facility specific ISMS summary to provide a high-level introduction to the laboratory's ISMS for work performed at the RESL facility and describe how the RESL processes fit within the ID ISMS. This information is supplemented by the "Integrated Safety Management System Description Document for the Radiological and Environmental Sciences Laboratory " and by the RESL procedures manual to fully describe the RESL ISMS.

The fundamental premise of the INL Site ISM systems is to "Do Work Safely" and the ID ISMS complements the activities of the INL Site ISM systems (both INL and ICP) to ensure that work is indeed performed safely. To help achieve the objective of this premise, ID supports contractor workforce initiatives and involvement in achieving safety excellence. The ID and INL Site contractors ISMS descriptions added an eighth guiding principle, "Worker Involvement" to the seven base ISMS principles in order to emphasize the necessary involvement of workers at all levels to achieve safety excellence. Furthermore, ID promotes and funds the INL Site contractor's Voluntary Protection Programs (VPP) as a vehicle to maintain the worker involvement process.

The ID IDMS defines the way business is conducted and can be referenced for additional detail on the processes that comprise the ID ISMS. The IDMS and the Quality Assurance program provide the basis that establish rigor and discipline for all ID operations. Internal work processes are formalized and the conduct of work is systematic. The appropriate environment, safety, health and quality assurance "checkpoints" are embedded in IDMS Process Descriptions (PDs) and Work Instructions (WIs) to ensure timely acknowledgement of safety implications. The INL Site contracts are the mechanism by which ID enforces requirements about how work is done. Line management responsibility for safety is well manifested and ID's organizational structure



provides for clear delineation of roles, responsibilities, reporting, and interfacing relationships. The extensive ID risk based oversight program provides crucial information and feedback to effect continual improvement.

The ID IDMS integrates all the elements of quality assurance, security, environment, safety, and health into an integrated management system. This system promotes the full inclusion and integration of ESH&QA into the totality of work, such that it is an integral part of the whole – not a stand-alone program. The Environmental Management System is an integral component of all of the core functions and principles described in this Appendix. For ease of understanding, the EMS is fully described under Core Function 2.

Safety is a part of everything that ID employees do, beginning with project and program planning, through the budget formulation process, and ending with field oversight of work being performed at the INL Site. Continual application of the ISMS guiding principles and core functions nurture the maturation of the safety culture and contribute to the attainment of the INL Site overall goal of operational excellence. It is important to note that the term "safety," when used by ID in the ISMS context and in this document, encompasses quality assurance; public and worker safety and health, safeguards and security, and environmental management, including pollution prevention and waste minimization. ID fully incorporates environmental management considerations, including pollution prevention, into all work planning and execution.

The ID ISMS both drives and complements the INL Site contractors' ISMS'. Together they comprise a unique, multi-layered and integrated system of checks and balances that ensures all work performed at the INL Site, and overseen by ID, is conducted in a manner that protects worker health and safety, the public, and the environment. This system is illustrated in [Figure 1: ISMS Core Functions to IDMS Crosswalk](#)

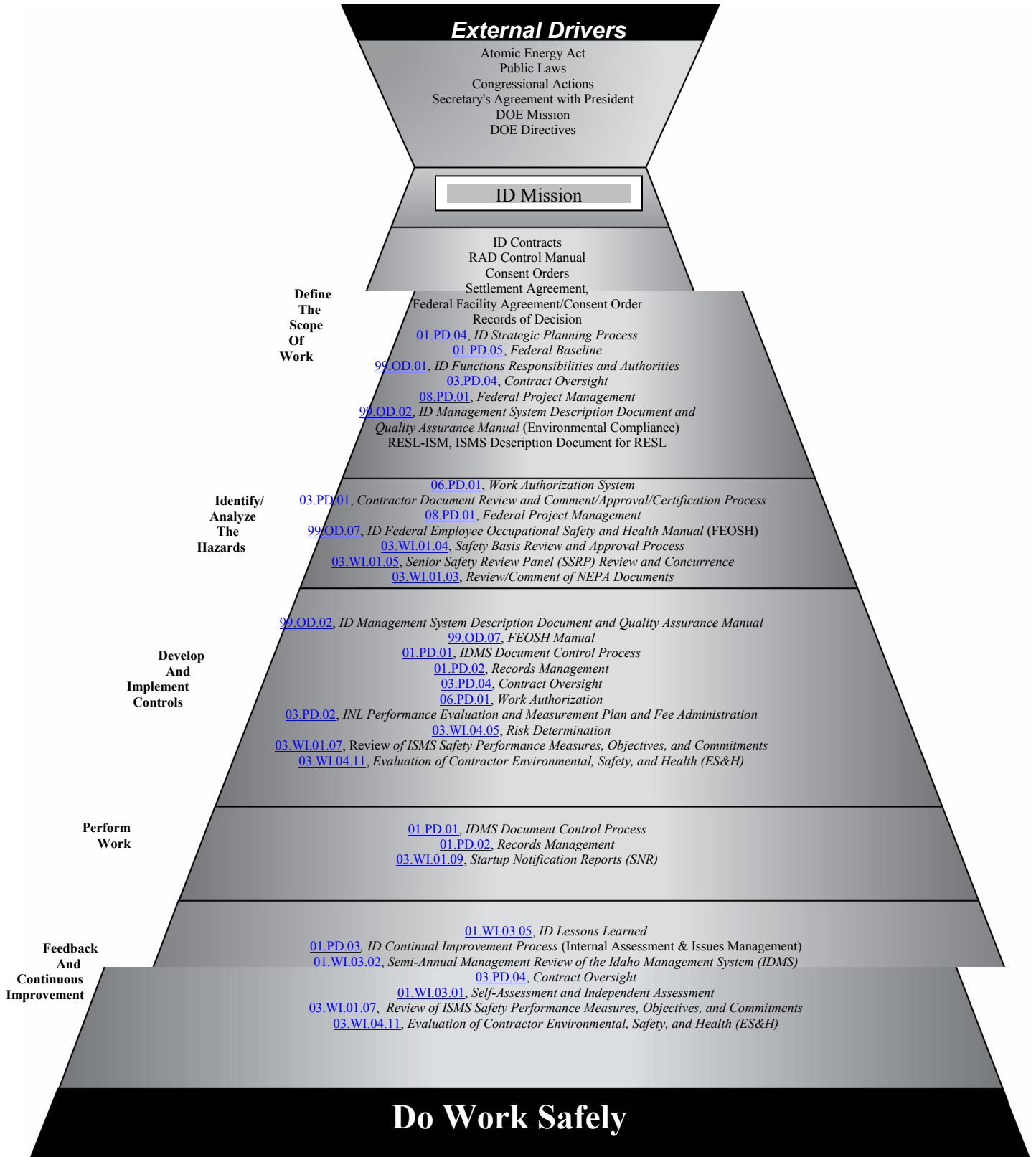


Figure 1-ISMS Core Functions To IDMS Crosswalk

### **Implementation of ISMS Core Functions and Guiding Principles:**

This section presents the safety mechanisms for how ISMS is implemented within ID and how the mechanisms are integrated to ensure work is performed safely in accordance with the five core functions and eight guiding principles. The principles that guide ID actions are simultaneously addressed with their compatible core functions.

#### **Guiding Principle 1 - Line Management Responsibility**

ID line management is directly responsible and accountable for the protection of employees, the public, and the environment. The ID Manager is the senior Department manager at the Idaho Operations Office and has responsibilities for programs and work at the INL Site. These responsibilities are shared with the ID Deputy Manager, and are delegated appropriately to assistant managers, Division Directors, and staff personnel in individual performance agreements.

ID is arranged in five primary organizations that report directly to the Office of the Manager. Three of the five primary organizations are considered “line management” organizations (Research & Development, Laboratory Operations, and Environmental Management-Idaho Cleanup Project) and two are considered “support service” organizations (Operational Support and Administration Services). In addition, the Senior Operations and Safety Officer (SOSO) reports directly to the Manager and the INL and ICP Facility Representatives are aligned and report through this position. The comprehensive functions of each of these organizations are presented in the office [Roles, Responsibilities, Accountabilities, and Authorities \(R2A2\)](#) documents. ID [R2A2](#) documents were designed to describe comprehensive positional responsibilities, for Directors and above, at a level of detail greater than the Position Description and to establish alignment between ID and contractor programs and operations. Environment, safety, health, and quality assurance responsibilities, from external sources e.g. laws, directives, standards, are detailed in the [ID Functions, Responsibilities, and Authorities](#) (FRA) document. All ID organizations work together to plan, execute, and evaluate work, both within and across organizational structures.

The Contracting Officers are the federal agents who have the capacity to formally direct the INL contractors’ actions in work scope and budget. The Contracting Officers have the authority to bind the government and have the formal authority to direct the contractor. Contracting Officer’s Representatives are identified in each line and support organization to perform specific technical and/or administrative functions in support of the Contracting Officer. ID contract management plans describe how ID ensures the terms and conditions of the contracts are met. INL and ICP Contract Management Plans are part of the IDMS and provide the requirements for oversight of the major INL Site contracts.

Note: LPSO approval of ISMS description is not a Directive requirement.

### Guiding Principle 2 - Clear Roles and Responsibilities

The [R2A2](#) documents and the [ID FRAM](#) contain details on all internal (federal) environment, safety and health functions, responsibilities, and authorities at ID. Performance requirements, roles and responsibilities contained in [R2A2s](#), and the [FRAM](#) are correlated to Position Descriptions and Performance Agreements (PA). All ID supervisors and managers review the [FRAM](#) on an annual basis and determine which areas apply to specific staff members in their work unit. The supervisor reviews the current Position Description and PA for affected employees to determine if responsibilities are adequately addressed. If revision is needed, the supervisor makes changes in consultation with the affected employee to ensure understanding of the nature and intent of the new wording.

All ID employees have Position Descriptions and PAs and both are available in official files in the Human Resources Division (HRD). In addition, Divisions Directors and above have [R2A2](#) documents. The Position Description is the basis for a position and is the recruitment and selection criteria to be used when advertising and rating applicants for a position. Position Descriptions are reviewed for currency by the supervisor yearly, but do not need to be updated if no substantial changes occur. [R2A2](#) documents further describe the general responsibilities identified in the Position Description and establish alignment between ID and the contractor programs and operations. These are reviewed and updated with major changes in organization and/or business process. The PA is a signed agreement between the supervisor and employee, executed at the beginning of each performance year, which flows positional requirements into performance expectations for the specific evaluation period.

### Guiding Principle 3 - Competence Commensurate with Responsibility

ID's process to assure that all employees have competence commensurate with their responsibilities begins when a manager or supervisor identifies the need to fill a position. The manager/supervisor defines the roles and responsibilities of the position and identifies the knowledge, skills, and abilities to do the job. This is captured in a formal Position Description.

The Human Resources Advisor works with the manager/supervisor to determine what recruitment sources to use to fill the position. They develop a vacancy announcement that states minimum OPM qualification requirements, access requirements, and specifies applicability of the Technical Qualification Program, Safety System Oversight, and Senior Technical Safety Management (STSM) qualifications. Ranking factors based on the knowledge, skills, and abilities needed to do the job are included on the announcement. The ranking factors are used to distinguish which applicants are best qualified. As a part of the application, candidates must provide a narrative of their knowledge, skills and abilities specific to the ranking factors in the announcement. The ranking factor narratives are used to develop a "short list" from which the selection is made.

When a selection is made, the manager/supervisor ID identifies what skills the employee needs to develop or improve based on the job requirements as compared to the skills, qualifications, and abilities that the selected individual brings with him or her. The manager/supervisor and employee use various sources including the [Idaho Operations Office \(ID\) Process for Employee Competency](#) PD course catalogues and the IDP course database to plan what training will be taken to develop the desired knowledge, skills, and/or abilities. The manager/supervisor and employee develop an [Individual Development Plan \(IDP\)](#) to document the training that is planned.

ID training support personnel coordinate with managers and supervisors to implement training programs to assure that all ID employees have the knowledge, skills, and abilities to perform their assigned tasks safely and successfully. Training support personnel develop and maintain training policies, procedures, and guidelines and an annual training plan. They maintain a library of course catalogues and schedules and assist managers and employees to identify and locate courses that train employees in the required skills. These support personnel procure training, process course registration, maintain training records, and evaluate courses to assure that each course is effective in teaching the required skills.

The [Idaho Operations Office \(ID\) Technical Qualification Program](#) document describes the process to select an employee to participate in the technical qualification process, provides guidance to candidates on completion of the qualification, and provides descriptions of programs that are key elements of ID's technical infrastructure (e.g. Facility Representative, Safety System Oversight, and Senior Technical Safety Manager). [DOE O 361.1A](#), *Acquisition Career Development Program*, describes the process for qualification and certification to Project Manager and Acquisition Career Development Program requirements.

After employees complete the specified qualification requirements, they maintain technical competency through continuing training, education, and experience activities. Self-study, on-the-job training (OJT), and formal training or rotational assignments are used to accomplish this. Planned training, development, education, experience, and qualification requirements are documented annually in an Individual Development Plan (IDP). Employee training needs may be reevaluated at any time. At a minimum, they are reviewed and documented annually in the IDP process outlined in the [Individual Development Plan \(IDP\)](#) WI.

Training may include formal classroom instruction, computer-based training, self-study, required reading, and on-the-job training. Testing and evaluation of Facility Representative knowledge is accomplished using a combination of oral checkouts, facility walk-downs, performance evaluations, written examinations and oral boards in accordance with the [Idaho Operations Office \(ID\) Technical Qualification Program](#) document.

Note: LPSO approval of ISMS description is not a Directive requirement.

#### Guiding Principle 4 - Balanced Priorities; Core Function 1 - Define Scope of Work

ID expectations, site and contractor capabilities, safety priorities, and available resources are considered in defining the scope of work to be performed. Activities are strategically planned and prioritized in order to ensure that ID resources are most effectively applied and concise expectations conveyed to the contractor.

Each ID organizational element is responsible for planning its activities, budgeting and allocating available resources to meet its objectives, contributing to the development and implementation of requirements, and meeting INL Site objectives. ID is responsible for executing contracts consistent with DOE policy and requirements, and for monitoring and assessing day-to-day performance under the contracts. The primary mechanisms for defining the INL Site's scope of work are the INL operations contracts.

Planning is a critical aspect of ID's ISMS. The purpose is to integrate management strategies so missions are translated into work completed by the contractor within available budget and resources. Planning activities are aligned through a comprehensive set of IDMS processes that are used by ID employees while executing their oversight activities. The [ID Strategic Plan](#) flows from the DOE Headquarters strategic goals and INL Site contract objectives. The Strategic Plan also integrates customer and market requirements and strategic objectives from INL Site planning documents. The [ID Strategic Planning Process](#) PD details the ID planning process.

ID has several "key" business processes that work together to provide an integrated program formulation, program execution, contractor oversight, information management, and personnel management system. Included in each of these areas is a series of processes and procedures, along with corresponding Process Descriptions, Work Instructions and Other Documents to assist in the day-to-day management of activities. Formal requirements are found in the IDMS including the [Work Authorization System](#), [Contract Oversight](#) and [Federal Project Management Process](#) PDs. These are applicable to all Federal employees.

Additionally, yearly the contractor submits ES&H performance objectives, performance measures, and commitments to ID for review and approval as required by [DEAR 970.5204.2](#). The purpose of this yearly requirement is to mutually establish ES&H performance objectives, performance measures, and commitments in response to ID guidance.

#### Core Function 2 - Identify and Analyze Hazards

##### Hazard Review Process:

The [Contractor Document Review and Comment/Approval/Certification Process](#) PD, as implemented by the [Safety Basis Review and Approval](#) WI, formalizes the hazard review process executed by ID. This process requires that DOE review and approve the hazard categorization of

all INL Site facilities. The safety analysis and the resulting control sets for all nuclear facilities, as well as high and moderate hazard non-nuclear facilities, must also be reviewed and concurred with by ID. The [Safety Basis Review and Approval](#) WI provides the procedure, roles and responsibilities, and hazards criteria necessary to ensure that these facilities meet the requirements and DOE can approve the Authorization Basis for these facilities.

The ID Senior Safety Review Panel provides oversight of the Authorization Basis review and approval process and ensures the integrity of the process before these documents are approved. The charter and procedures of the Senior Safety Review Panel are described in the [Senior Safety Review Panel Review and Concurrence](#) WI. The ID oversight program described by the [Contractor Document Review and Comment/Approval/Certification Process](#) PD describes activity level hazard review processes for the INL Site. The [ID Federal Employee Occupational Safety and Health Manual](#) document describes the activity level hazard review process specific to ID employees.

### **The Environmental Management System**

Environmental Protection: ID manages operations under its purview in a manner that protects human health and the environment for full compliance with environmental laws, regulations and other requirements as well as protection of natural and environmental resources. ID achieves this by implementing an Environmental Management System that provides for a cycle of planning, implementation and operation, checking and corrective action, management review, and fosters continuous improvement. This Environmental Management System promotes achieving mission goals, reducing costs, improving business practices, improving environmental compliance and reaching pollution prevention goals through work planning and execution, overseeing contractor operations and management systems, protecting the unique natural biological and cultural resources, and providing environmental training to the workforce and taking actions to minimize the environmental impacts of ID operations. The ID Environmental Management System is fully integrated with the ID ISMS and with other ID management systems. This integration increases effectiveness and improves credibility with regulators and local communities. The ID ISMS description outlines the implementation of environmental management principles as described in [DOE O 450.1, Change 1](#) and the “Environmental Compliance Policy” as incorporated in the [ID Management System Description Document and Quality Assurance Manual](#) document.

National Environmental Policy Act Program: As defined in ISO14001, an environmental aspect (i.e. "environmental hazard") is an element of an organization's activities, products, or services that can interact with the environment. A significant environmental aspect is one that has or can have a significant environmental impact. Aspects that have a potentially significant detrimental impact on the environment must be managed or controlled to minimize or mitigate the impact. ID administers programs to manage the significant aspects of all work activities.

Note: LPSO approval of ISMS description is not a Directive requirement.

ID has institutionalized the process of aspect/impact determination during the planning stages for all proposed project and program activities. The primary tool for evaluating environmental hazards is the National Environmental Policy Act (NEPA), which is unique to the federal sector. In addition to the actual NEPA statute, DOE codified NEPA regulations, and issued a NEPA Order ([DOE O 451.1B, Change 1](#), *National Environmental Policy Act Compliance Program*). ID manages NEPA through the [Review/Comment Approval of National Environmental Policy Act Documents](#) WI. This WI is a subset of the [Contractor Document Review and Comment/Approval/Certification Process](#) PD. An environmental checklist system is described in the WI and is a fundamental tool that initiates the environmental review process for all INL Site work. ID makes commitments in Environmental Assessments and Environmental Impact Statements to mitigate potential impacts that are carried out by cognizant programs.

The ID NEPA Program is administered by a NEPA Compliance Officer (NCO). Several Environmental Attorneys provide ID expert legal counsel and NEPA support. ID Line Management is responsible for adequate NEPA review of their project activities. A cadre of DOE staff and management personnel have NEPA expertise because of their involvement as NEPA Document Managers or in the preparation or review of Environmental Assessment or Environmental Impact Statement documents. A chartered NEPA Planning Board with representatives of all ID and tenant organizations, including Quality and Safety division, chaired by the NCO, meets as necessary to review planned activities and status NEPA actions. All operations, programs, projects, products, services, and activities are subject to the ID NEPA process. The [Review and Comment Approval of National Environmental Policy Act \(NEPA\) Documents](#) WI details the processes for ID action on NEPA documents

Environmental Monitoring Programs: ID administers and oversees several key-monitoring programs that function to identify potential impacts and effects of INL Site operations on the environment. [DOE O 450.1, Change 1](#), *Environmental Protection Program* as well as environmental regulations and permits, establish environmental monitoring requirements and have been adopted and implemented by ID through its operations contracts. Environmental conditions and potential hazards are identified, analyzed, and tracked by DOE contractors who maintain extensive databases of monitoring data.

The INL Site Environmental Monitoring Program is composed of comprehensive on-site and off-site environmental surveillance and effluent monitoring. ID directly administers a separate contract for offsite surveillance activities. The *INEEL Environmental Monitoring Plan*, DOE/DOE-ID-10395 (96) outlines the monitoring program for on-site radioactive and non-radioactive pollutants.

ID operates an interagency agreement with the US Geological Survey to conduct independent groundwater monitoring and characterization on the INL Site. ID also oversees the groundwater monitoring associated with INL Site facilities and the Environmental Restoration program,



excluding that used for characterization. The INL Site Groundwater Monitoring Program is described in two documents: the *INEEL Groundwater Monitoring Plan*, DOE/DOE-ID-10441, and the *INEEL Groundwater Protection Management Program*, DOE-ID-10274.

The State of Idaho operates an independent environmental surveillance program (the INEEL Oversight Program) funded by ID through a Cooperative Agreement. The monitoring and assessment work done by the State also functions to identify potential environmental hazards.

Environmental Regulatory Process: All aspects that are regulated by State or Federal environmental laws, codes, or regulations are considered significant within the context of the ID ISMS, and are governed by appropriate environmental or operational programs. DOE maintains a staff of subject matter experts, including environmental attorneys, responsible for assisting line management in maintaining regulatory compliance. This staff is integrally involved with the identification and management of day-to-day regulatory issues (aspects) and their mitigation. Internal regulatory support work processes and responsibilities are defined in the [FRAM](#), the IDMS and in the Quality Program Plans. The [Contractor Document Review and Comment/Approval/Certification Process](#) PD describes the ID process for line and SME review of environmental compliance documents to ensure quality and consistency.

Environmental regulatory programs administered by ID also include numerous databases, such as the tank inventory, chemical inventory, emissions inventory, and PCB inventory, for example, which are part of the ISMS Hazard management program. These inventories are required by external environmental regulations.

The regulatory aspects are all managed pursuant to the regulatory requirements cited in List B of the INL and ICP contracts.

The State of Idaho and the US Environmental Protection Agency conduct regulatory inspections of INL Site operations and activities to determine compliance to regulations. These inspections may function to identify hazards that must be managed/controlled by ID.

Pollution Prevention (P2) Program: Wastes and emissions are key potential environmental and safety hazards. [DOE O 450.1, Change 1](#), *Environmental Protection Program* mandates the establishment of a P2 program. The Secretary of Energy issues P2 goals that are adopted by ID and the INL Site. ISM defines "environment" as including "waste minimization and pollution prevention." The INL Site P2 program is an integral part of the ID ISMS. P2 is incorporated into all work planning and execution via the mechanisms established in the IDMS. The objectives of ID's P2 program are to reduce or eliminate waste generation and pollutant releases; to reduce environmental impacts/risks; to reduce mortgage and support costs; and to conserve natural resources by increasing purchases of recycled materials. An *INEEL Pollution Prevention Program Plan*, DOE-ID-10333 (97), outlines the overall INEEL P2 program. In

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addition, Waste Minimization Plans are required to be developed for each waste stream by the waste generator. ID line management supports the ID Environmental Management Policy, which addresses P2, *through* participation and overseeing work planning activities and promoting the integration of P2 opportunities.

Guiding Principle 5 - Identification of Safety Standards; Guiding Principle 6- Tailor Hazard Controls to Work; Core Function 3 - Develop and Implement Controls.

ID, in collaboration with the INL Site contractor, established a comprehensive list of safety standards that apply to the overall operation of the INL Site. List B "DOE Directives" is a compilation of DOE Orders, Manuals, and Notices that apply to the contracts. ID approves the set of requirements for INL Site activities. ID flows down standards without inappropriate constraints on implementation that might impact work performance. Contractor management establishes internal work control processes to determine "how" to best tailor hazard controls to fit specific work needs.

The INL contracts establish all enveloping work agreements. However, ID allows flexibility to INL Site contractors to manage the accomplishment of work to fulfill DOE missions in a cost-effective manner, as long as statutory, regulatory, and contractual requirements are met. ID works with contractor management to tailor processes for fulfilling requirements, remove roadblocks, and eliminate unnecessary activities that have no benefit, especially at the project, activity, or task level.

ID plays a crucial work performance/control oversight role, particularly within facility operations, and generates feedback that can be incorporated into the work planning process and future work plans to effect continual improvement.

Guiding Principle 7 - Operations Authorization; Core Function 4 - Perform Work within Controls

The ID operations contracts for the INL Site provide the legal authorization for the planning and conduct of work on the INL Site. The contract includes safety controls for all work that are derived from DOE Orders and other regulations invoked by the contract and implemented by contractor company level procedures.

ID authorizes continued operation of hazardous facilities (hazard category 1 and 2 nuclear facilities) by approving authorization agreements, in accordance with **DOE-ID O 450.C, *Authorization Agreements***, which are documented agreements between ID and the INL Site contractors that describe the terms and conditions under which the contractor is authorized to perform work. An authorization agreement is a binding provision of the contractor's contract

with ID. By executing an authorization agreement, the contractor commits to perform the specified work in accordance with safety terms and conditions mutually agreed upon to ensure that the public, workers, and the environment are adequately protected.

In advance of signing an agreement, ID reviews a draft agreement and the authorization basis. The authorization basis is a collection of information the contractor must provide in response to all environment, safety, and health requirements applicable to a facility or activity. This may include Preliminary Safety Analysis Reports (PSAR), Final Safety Analysis Reports (FSAR), Technical Safety Requirements (TSR), Technical Specifications (TS), Nuclear and Non-nuclear Safety Analysis, Unreviewed Safety Questions (USQ), Operational Safety Requirements (OSR), Hazard Classification and Categorization, and other documents and processes associated with the safety basis of ID activities that are required to be performed or approved as defined by DOE Orders or Rules. This review process is formalized in the [Contractor Document Review and Comment/Approval/Certification Process](#) PD. ID has considerable responsibility and flexibility to impose compensatory measures, corrective actions, and additional stipulations to ensure the environment, public health, and worker safety are protected.

After an authorization agreement is in place, ID becomes involved in the *Unreviewed Safety Questions* review process ([10 CFR 830.203](#)) when a potential unanalyzed or unevaluated impact on the authorization basis of the facility or activity is identified by the contractor organization. If an environmental, safety, or health question is determined to be positive, by either being outside the boundaries of safety analysis or violating a Technical Safety Requirement, the authorization agreement is potentially jeopardized and ID is informed and participates in the issue resolution, as appropriate.

ID governs start-up and restart of nuclear facilities by conducting Line Management Assessments, Operational Readiness Reviews, and Readiness Assessments in accordance with the [Startup Notification Reports \(SNR\)](#) WI.

#### Core Function 5 - Feedback and Improvement

The depth of safety processes functioning at ID and the INL Site, including contract oversight, self-assessment, independent assessment, lessons learned communication, occurrence reporting, issues management, and performance afford numerous opportunities to assess both federal and contractor performance and identify areas for improvement. These processes, reflected in various IDMS documents, provide assessment tools that enhance management decision-making. For example, in an era of declining budgets, it is important to maintain a balanced oversight program considering the potential vulnerabilities and risks of the work being performed. The use of performance indicators, trending, and analysis is intended to provide management with the

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information needed to make sound decisions based on risk. The universe of performance information gleaned from federal oversight activities constitutes the primary feedback to effect continual improvement and for contractor incentive determinations.

### Guiding Principle 8 - Worker Involvement

#### Federal Employee Occupational Safety and Health (FEOSH) Committee and Program:

Worker involvement is an essential ingredient of ISMS. ID has established a FEOSH Committee as a forum for employees to be involved directly in the safety and health (S&H) processes. The FEOSH Committee:

1. Promotes awareness of, and worker involvement in, safety and health issues at ID.
2. Considers current safety and health issues and develops solutions to make recommendations or take direct action to improve safety and health conditions at ID.
3. Solicits and considers safety and health concerns from employees.
4. Serves as a communication conduit between workers and management.

The FEOSH Committee is composed primarily of (worker and management) representatives from each of the assistant manager (AM) organizations. It also includes a representative of IFPTE (Union) Local 94, a management champion, and the FEOSH Program Manager. The committee consults safety experts (within and outside DOE) as needed. The FEOSH Committee Charter is on the ID FEOSH Web Page at <http://doe.inel.gov/employees/index.html>.

Workers may contact their FEOSH Committee representatives, their supervisors, the FEOSH Program Manager, or other safety professionals at ID with any safety concerns they may have. This includes, but is not limited to, safety and health hazards in ID facilities (or other INL Site facilities where ID employees work), procedural concerns, unsafe practices observations, or other suggestions to improve the health or safety of the ID workforce.

The FEOSH Program coordinates health and safety issues for ID employees, including tracking, trending, and reporting. The program promotes workers' involvement in the health and safety of both themselves and their coworkers. Further information about the program can be found in the [\*Federal Employee Occupational Safety and Health Manual\*](#) document. Employees are encouraged to participate in or conduct safety walkthroughs of their workspaces and to participate in other safety and health activities as their interest and expertise dictate.

Employees contribute to the development of the IDMS through review and comment on Process Description, Work Instruction, Office Procedure, and Other documents. If a process modification is needed, all employees have the ability to have change suggestions dispositioned through the Electronic Data Management System (EDMS).

ID Employee Concerns Program: The Employee Concerns Program (formalized by [DOE O 442.1A](#), *Department of Energy Employee Concerns Program* and [10 CFR 708](#)) provides ID employees and contractor employees unrestricted access to management to express concerns regarding the environment, safety, health, security, waste and abuse of property, operations, and differences of professional views and opinions (DPVO's). Employees, without fear of retribution or reprisal, can express concerns. The program establishes a central ID point of contact responsible for logging concerns, maintaining a status report on each concern, directing the concern to the appropriate authority, and facilitating the resolution of each concern submitted. A three-tier approach is used: Tier One-Supervisory Resolution, Tier Two-Informal Resolution, and Tier Three-Formal Resolution. This approach permits the escalation of the problem to successively higher levels of management and, if needed, increasingly independent evaluations to effect resolution of the employee's concern.

IFPTE Local 94: Another mechanism of worker involvement is through the Union at ID, Local 94 of the [International Federation of Professional and Technical Engineers \(IFPTE\)](#). Local 94 works for the benefit of ID employees through a collective bargaining agreement, informal coordination/suggestions, representation on the FEOSH Committee, proposals, and, when necessary, grievances or unfair labor practice (ULP) filings.

INL Site Occupational Safety and Health Council: The INL Site Occupational Safety and Health Council (IOSHC) was established in 1993. Its primary purpose is to ensure that every employee, regardless of level of responsibility in the organization, contributes to and strengthens the safety and health program. The ID Operations Office Manager chairs the IOSHC. Membership is limited to INL Site union presidents, senior INL Site M&O contractor management and senior DOE management. IOSHC meetings are held every four months. Meetings are documented via meeting minutes and all actions tracked to resolution

End of Appendix B