



U.S. DEPARTMENT OF
ENERGY

Office of
Science

Brookhaven Site Office
FY 2009 Annual Assessment Report
October 30, 2009

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Overview

The Brookhaven Site Office (BHSO) Annual Assessment Report (AAR) captures highlights in site office performance during the 2009 Fiscal Year (FY). The AAR was prepared using the Deputy Director for Field Operations (DDFO) guidance memorandum, *Annual Planning: Fiscal Year 2010 DDFO Goals, Objectives, Oversight Plans and Guidance for Annual Performance Plans and Assessment Reports*, dated August 17, 2009. As requested by the memorandum, attached is the *BHSO FY2009 Annual Integrated Safety Management System Effectiveness Review and Declaration*, dated September 21, 2009. Overall, BHSO performed well in FY09, meeting or exceeding the majority of objectives.

BHSO staff evaluated progress against the performance objectives and measures established in the FY09 BHSO Annual Performance Plan. The enclosed tables list the performance objectives, measures, targets and results by applicable Office of Science (SC) Corporate Initiatives and BHSO specific goals, and then by responsible BHSO divisions: Site Manager's Office (SM); Project Management Division (PMD); Business Management Division (BMD), and; Operations Management Division (OMD).

Accomplishments, noteworthy performance, and challenges are discussed in the following paragraphs.

Accomplishments & Noteworthy Performance

Management of Human Capital

BHSO management continued to closely monitor and address staffing needs throughout FY09. BHSO staffing analyses were updated throughout the year and documented in the FY10 Workforce Staffing Plan, which identified critical current and future needs. A number of personnel actions were taken to respond to dynamic and increasing project and oversight needs. These actions also provided valuable development opportunities for BHSO staff and supported much needed succession planning efforts.

- Continued the detail of the Deputy Site Manager to the NSLS-II project as the Federal Project Director (FPD). Continue detail of BHSO staff member to the Deputy Site Manager's position.
- BHSO made progress in FY2009 in several succession planning initiatives, including: creating a temporary Business Team Lead position to provide management development opportunities for business and contracts staff; continuing 120-day temporary promotions for PMD staff as PMD Director during first half of FY2009; and recruitment and utilization of entry-level staff (interns) under the three intern programs:
 - Student Career Employment Program (SCEP) – BMD Contract Specialist Intern
 - Student Temporary Employment Program (STEP) – OMD Summer intern
 - Career Intern Program (CIP) – PMD Entry-level Engineer
- Detailed of the Deputy NSLS II FPD as the Project Management Division (PMD) Director during the second half of FY2009. Prepared vacancy announcement documentation to hire PMD Director in FY2010, if funded.
- Filled all funded vacancies.

- Maintained staff Contracting Officer and Facility Representative qualifications and other professional certifications: PE, CSP, PMI/PMCDP, CIH. Continuing training and other developmental opportunities were provided throughout the year for all staff in accordance with the BHSO training plan and to meet DOE qualification and certification requirements (Project Management Career Development Program, Acquisition Career Development Program, and Technical Qualification Program).
- Completed qualification for 1 Facility Representative; BHSO FRs are now 100% qualified
- Two FPDs completed Level 2 application packages.
- Assigned greater responsibility for cyber security oversight to an OMD staff member and provided him with additional training opportunities.
- Brought staff development courses to BHSO to address professional and technical skills gaps to maximize training opportunities and minimize travel costs.
- Trained BHSO personnel in Human Performance Improvements for Oversight.
- Maintained monthly BHSO Supervisors meeting to discuss and resolve BHSO personnel, training, budget, space and other emerging issues.
- Provided a BHSO member to the SCMS implementation review team

Operational Oversight & Performance Management

BHSO maintained a robust operational oversight program staffed by qualified, certified contracting officers, facility representatives, Federal Project Directors and subject matter experts. Oversight and operational awareness activities have aided in the maintenance of effective Financial Systems, improvement in contractor safety, security performance and procurement operations.

- BHSO used the SC Integrated Assessment Schedule (IAS) to effectively manage many assessments, meeting BHSO's oversight responsibilities and identifying areas needing improvement. Findings and observations were communicated to the contractor and corrective actions were tracked to completion.
- Completed SCMS gap analysis. Developed and initiated implementation of SCMS implementation plan.
- Provided periodic formal feedback to BSA on Laboratory performance against PEMP Goals and Objectives. Briefed the BSA Board of Directors on performance against the FY08 and 09 Performance Evaluation and Management Plan (PEMP) Goals and Objectives stressing areas where expectations were not being met.
- Developed FY2010 PEMP based on SC guidance.
- Enhanced the structure and improved the usage of the BHSO Issues Database. Successfully performed trending and analysis of database and applied results to FY10 oversight planning.

- Drove increased Laboratory Management attention to Issues Management elements of the Contractor Assurance Program through focused operational awareness and assessment activities.
- BHSO oversight and involvement drove significant improvements in the BSA Emergency Management program.
- Supported the performance and response to 16 broad-scale Financial Assurance activities performed by the Office of the Inspector General at BNL. In addition to BHSO's and CH's day-to-day financial system's oversight, the GAO reviewed two areas and KPMG performed an independent review of BSA's isotopes program. We used the results of each of these efforts as a basis to provide the BHSO assurance letter that becomes a part of the Secretary's assurance letter to Congress
- Completed an Effectiveness Review of BSA's 10 CFR 851 Worker Safety and Health improvement plan which highlighted areas requiring additional attention.
- Worked closely with the HSS Office of Enforcement in their evaluation of the Well House Explosion event.
- BHSO oversight has resulted in BSA instituting several measures this past FY to lessen litigation costs. In consultation with BHSO, BSA reduced outside counsel billable hours by using in-house counsel in more discovery-related tasks, obtained favorable blended attorney fee rates, competed representation opportunities among firms, and obtained fixed price representation in one case. At BHSO recommendation, Laboratory Counsel became more involved in Laboratory activities at the line level. In doing so, they are able to provide timely and proactive legal support to their clients, as well as potentially resolve issues before they turn into active litigation. Based on BHSO feedback, BSA is in the process of hiring a Deputy General Counsel with significant procurement.

Contract Management

BHSO aggressively managed the M&O contract with Brookhaven Science Associates (BSA), holding BSA accountable to deliver effective management systems and processes, and to address Laboratory issues.

- Prepared all documents (Acquisition Plan, Federally Funded Research and Development Center (FFRDC), Continued use of an M&O justification and more) to support the extension of the BSA contract beyond its current expiration date. BHSO staff effectively and swiftly responded to the changing needs of HQ for the supporting documents.
- Supported the BNL Contract competition team.
- Partnered with BSA in discussions and negotiations with New York State for the development of a long-term agreement for low-cost electric power and obtaining low-cost hydro-power for the BNL site.

- BHSO is managing the effort to site a 37 megawatt photovoltaic array at BNL. The proposed array will be the largest in the Northeast and may be the largest in the U.S. when built. Important to BNL is the opportunity to build a research component to the project.
- Structured new Users Agreements to improve industry access to BNL facilities.
- Developed a Work for Others (WFO) agreement that secured the first \$10M of the total \$30M New York State investment in the Joint Photon Sciences Institute (JPSI), which supports the NSLS-II.
- Negotiated and received approval for an 18-month extension to the BNL electric power contract with the New York Power Authority (NYPA), and received a waiver for a Headquarters review of the extension.
- Worked with BSA in the development of the procurement package for the downblending of Highly Enriched Uranium at a Russian site (\$75M), reviewed the submitted package, and responded to comments from Integrated Support Center (ISC-CH) and Headquarters Procurement reviewers
- BHSO worked with BSA for the review and approval of several programmatically significant NSLS-II high dollar value accelerator-related components.
- BHSO worked with BSA to process ARRA related procurements.

Project Management

BHSO successfully managed the following projects and programs:

- The National Synchrotron Light Source –II (NSLS II) Project obtained approval of Critical Decision 3 (CD-3) Approve Start of Construction, awarded the ring building and the Central Chilled Water facility upgrade contracts, and completed significant progress on both contracts.
- Implemented the first full year of the Institutional General Plant Project (IGPP) program including award of the construction contract for the Central Chilled Water Facility (CCWF) Expansion, a joint NSLS-II/IGPP project.
- Managed the Electron Beam Injection Source (EBIS), a joint DOE-NASA accelerator project. Completion is scheduled during 2010.
- Participated in the Facilities Inventory Management System (FIMS) annual validation and obtaining an ALL GREEN validation.
- Implementation of Mission Readiness into site-wide planning as validated by a successful Peer Review.
- The Science Laboratories Infrastructure (SLI) program accomplishments included CD-3 approval for Renovate Science Laboratories Phase I (RSL-I), CD-2A/3A approval for Interdisciplinary Science Building (ISB), and CD-1 approved for Renovate Science Labs

Phase II (RSL-II). ISB site preparation activities were also accelerated with Recovery Act funds.

- Scoped and authorized \$18.5 million in Recovery Act General Plant Project (GPP) funding for mission critical roofing, mechanical/electrical upgrades and fire safety improvements.
- TEAM Initiative accomplishments included approval of the Executable Plan and approval of the ESCO Initial Proposal to provide \$30.6M of capital investment for infrastructure renewal. Unfortunately, this effort was canceled due to DOE contractual issues and will be restarted in FY 2010 under a different contracting mechanism.
- Initiated preparations for CD-1 approval in FY 2010 for the Accelerator Project Upgrade to the LHC (APUL) and the Heavy Flavor Tracker (HFT) Project.
- Environmental Management (EM) Project accomplishments included:
 - BHSO worked closely with the EM FPD on outreach activities resulting in EM Projects moving ahead and meeting regulator and community expectations.
 - Provided Subject Matter Experts to the EM Reactor D&D Projects to support the Operational Readiness Review (ORR) for removal of the HFBR control rod blades and beam plugs and field oversight/surveillances for field activities.

Community Involvement

- Supported SC's Nanoscale Science Research Centers as representative to National Nanotechnology Coordination Office (NNCO) Nanotechnology Public Engagement and Communications (NPEC) Working Group.
- Directed the successful announcement and outreach associated with the release of EM's High Flux Beam Reactor Record of Decision.
- Conducted five Brookhaven Executive Round Table meetings through the course of the fiscal year to communicate critical department and laboratory news to key stakeholders.
- Collaborated with the BNL Community Relations Office in preparing agendas and participants for monthly BNL Community Advisory Council meetings.
- Worked closely with the BNL public affairs office in planning and producing major public events featuring NYS Governor Paterson (power purchase agreement, February), Secretary Chu (ARRA funding, March), and U.S. Senators Schumer and Gillibrand, U.S. Congressman Timothy Bishop, and other elected officials and VIPs (NSLS-II construction start, June).

Support to SC Initiatives

- Site Office Manager led SC internal review of the PEMP process, provided a report with recommendations.

- BHSO participated in the SC safeguards/security benchmarking steering committee.
- Provided member to SC contractor assurance team. Facilitated site manager discussions to frame common issues.
- Provided substantive input for the development of the SC Quarterly Operations Report and meeting.
- BHSO staff are active and integral participants in the SC ES&H Managers Working Group.
- Participated in SC committee to improve the Accelerator Safety Order; hosted 2009 DOE Accelerator Safety Workshop.
- Continued to provide BHSO staff to serve as subject matter experts in multiple SCMS subject areas and procedures. Provided BHSO staff to serve as team members in SC-led assessments of SCMS at site offices and the ISC.
- BHSO FPDs have participated in the SC reviews of projects at other SC laboratories.
- Supported Office of Science communications with the National Nanotechnology Coordinating Office (NNCO) and participated in NNCO's Nanotechnology Public Engagement Group.

Support to other Programs and DOE Initiatives

- Site Office Manager led one of 3 DOE option teams for the Deputy Secretary's initiative on improving worker safety, provided a report and recommendations for external regulation of worker, radiological and nuclear safety by OSHA and NRC.
- Initiated planning with EM for transfer of completed BNL projects to SC, and potential for additional BNL cleanup scope transferred to EM. Engaged with EM in discussions with New York State regarding potential BNL Natural Resource Damage Claims.
- Managed DOE's Radiological Assistance Program (RAP) Region 1 (11 northeast states) with a Regional Coordinator and 5 RAP Team Leaders. Responded on numerous deployments at the request of federal and state agencies, including NYPD, FBI, USCG, Customs and Border Patrol. Effectively facilitated transition to new RAP Regional Coordinator at BHSO.
- Provided two BHSO Contracting Officers to participate (as Lead and a member) in MA Procurement System reviews across the DOE complex.
- BHSO successfully executed over 100 interagency agreements and proposals for the placement of work at BNL sponsored by non-DOE Federal organizations. Over \$60 million was received and approved by BHSO from WFO sponsors, both Federal and private in FY 2009.
- BHSO approved over 20 Technology Transfer proposals and agreements in support of the Department's initiative to move technologies from the Laboratory to Market. In a

related action, BHSO approved BSA's Royalty Use Plan for the investment in programs that will potentially lead to further commercialization of technologies.

- Provided member to the DOE Quality Assurance Council, sponsored by the Office of Health Safety and Security.

Challenges/Focus Areas for FY 2010

The following section discusses challenges identified during FY09 and focus areas for FY10. Plans are in place, or will be developed, to address these continuing improvement opportunities.

BHSO Issues Management

BHSO continues to place a high priority in improving the formality of issues and commitment management within the site office. Database improvements have been made and continue to be refined to facilitate the tracking of commitments and issues by all site office staff. In FY10, BHSO will perform a self-assessment of database usage to evaluate consistency of usage and effectiveness of BHSO issues management processes. Specific actions to drive improvements in this area have been included in the FY10 Annual Performance Plan.

SCMS implementation

SCMS has been implemented and is being utilized by BHSO staff. In FY2010, continued efforts in SCMS implementation will include further identification of inconsistencies in SCMS, implementation of lessons learned from the FY2009 SCMS assessments, and additional BHSO staff training on improvements being made to the system.

BHSO Self-Assessment

While BHSO has been performing self-assessments annually office-wide and by division, in FY2010 there will be an effort to promote greater consistency and comparability across divisions.

Strategic Management of BHSO Human Capital

We continue to manage several critical positions through details and temporary promotions. While these assignments have provided valuable developmental opportunities for several staff, they also result in gaps where staff has been removed from their previous position (OMD & PMD). The current and anticipated future work load requires BHSO to establish more stability in staff and responsibilities by permanently filling the existing vacancies of the PMD Director and NSLS II FPD.

Succession Planning

Succession planning continues to be an area of concern for future BHSO staffing. BHSO will, to the degree possible, invest in training and development opportunities that can provide mid-level staff the tools and resources to take on future management-level positions within BHSO and the Office of Science. We will continue to explore the utilization of intern recruitment to promote DOE employment among new graduates.

Training Program Implementation

BHSO will continue to work on improving the training program to ensure adequate opportunities are made available for staff to meet DOE certification and qualification requirements. Securing resources to meet Office of Science and DOE Technical Qualification Program requirements, providing training opportunities and continuing with certifications of contracting officers, project managers, and subject matter experts continues to present challenges, particularly under increasingly tight budget scenarios.

BSA Operational Leadership

BHSO has placed BSA on notice that a series of FY09 injuries and operational events has put BSA's ability to effectively deliver its science mission at risk. BHSO faces a challenge to facilitate the cultural changes necessary to drive increased institutional consistency and result in BSA operational improvements.

M &O Contract competition

BSA M&O contract expiration in January 2010 requires significant BHSO management attention in tight schedule constraints. BHSO continues to play an integral role in the M&O contract extension decision process.

BSA Financial Management

BHSO will pay close attention to BSA's financial management systems for the duration of the FY10 continuing resolution. BHSO will also continue to work with BSA on identifying opportunities for reducing the cost of doing business at BNL.

ESCO/TEAM Initiative

BHSO will continue to work with BSA to update the executable plan, restart the ESPC process, and manage implementation.

Cyber Security

DOE expectations in Cyber Security continue to change, requiring BHSO attention to ensure compliance with evolving requirements. With the departure of the cyber SME to a new position outside of SC, BHSO is challenged to retrain new staff and apply the appropriate level of resources to manage the program at an acceptable risk level.

Project Management

While there was noteworthy performance in project management in FY09, there were also challenges particularly with the EM D&D Projects (i.e., the HFBR and BGRR) performance issues. Negotiating agreement with EM on transfers of long term stewardship activities and excess facilities will also be a challenge. SC-BHSO will continue to be involved in the contract aspects of the resolution of these issues, as well as periodically providing technical expertise to the EM-BHSO project team. The FY 2010 continuing resolution may result in late funding for the design of the Renovation Science Labs – Phase II Project and uncertainty of overhead funding for IGPP projects. Vigilant oversight is needed to ensure that the RSL-I Project is executed on schedule and that the contract for the ISB building construction, which is funded in

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part by the Recovery Act, is awarded on schedule. Vigilance in safety oversight will also be critical due to the increased construction activities with the NSLS-II, ISB, CCWF Expansion and the RSL-I Projects.

Fiscal Year 2009 Annual Assessment Report
 SC FY 09 PERFORMANCE GOALS AND OBJECTIVES

Goal 1: Improve our Operation

#	Objective	Measure	Target	Owner	Results
SC – 1.a	Complete implementation of SCMS by 12/31/08	Complete a SCMS Gap Analysis	1 st quarter	BMD OMD PMD	Completed - Gap analysis was completed on 03/31/09.
		Develop SCMS Implementation Plan	1 st quarter	Dasilva / Brock	Completed - Implementation plan was developed on 6/30/09.
		Implement SCMS Plan	2 nd quarter	BMD OMD PMD SM	Completed –SCMS Plan was implemented on 7/14/09.
		Continue to staff SCMS teams with BHSO Subject Matter Experts to help draft SCMS subject areas and policies.	Ongoing	SM	Completed - A BHSO BMD member and a BHSO SM member participated in the SC-wide implementation evaluation teams.
SC – 1.b	Improve selected areas in SCMS	Human Resources Determine ISC support needs– Better align BHSO needs/gaps with ISC resources in HR, training program management	4 th quarter	SM	Completed - BHSO had a very productive site visit with CH-HR in May 2009 which resulted in better communication and alignment of ISC and Site Office roles and responsibilities in HR.
		Budget and Finance Develop Program Direction (PD) budget request for FY10 incorporating SC-3 priorities	3 rd quarter	BMD	Completed – The Revised FY10 and FY 11 Budget was completed on 3/19/09.
		Budget and Finance Execute FY09 PD budget for BHSO effectively	Ongoing	BMD	Completed – Discussions between BHSO/CH/SC-3 were continuous throughout the FY ensuring effective budget execution. 9/30/09
SC – 1.c	Update SC-3 Staffing Analysis	Perform annual workforce staffing analysis	3 rd Quarter	SM	Completed -Workforce Management Plan guidance for FY10 was received May 14, 2009. The FY10 Workforce Plan was submitted to CH on June 12, 2009.

SC – 1.d	Create and fund a staff development and succession planning program	Include BHSO succession planning analysis in workforce plan	3 rd Quarter	SM	Completed - Succession planning was included in the FY10 Workforce Plan submitted on June 12, 2009.
SC – 1.e	Prepare for SC wide ISO 9001 Certification by piloting this activity through Certification of the ISC	Support ISC, as requested	Ongoing	SM OMD	N/A - BHSO was not requested to participate in ISO 9001 certification activities.
SC – 1.f	Transfer ownership of select Management Systems/Subject Areas to SC HQ Elements and complete any necessary revisions to SCMS	N/A	N/A		N/A
SC – 1.g	Reduce the SC-3 cost of doing business	Examine possibilities for sharing resources (i.e. other Site Offices) or using other offices mechanisms (i.e. contracts, basic ordering agreements) to more effectively purchase items	3 rd Quarter	BMD	Completed – BHSO used GSA schedules to the maximum extent possible and utilized ISC support service contracts. 9/30/09

Goal 2: Improve our Laboratories

#	Objective	Measure	Target	Owner	Results
SC – 2.a	Sustain the investment in Laboratory infrastructure through continued SLI progress	Obtain CD-0 for Renovate Science Labs – Phase II (RSL-II)	1 st quarter	PMD	Completed - CD-0 was approved on October 10, 2008. CD-1 was approved on September 2, 2009.
		Obtain CD-3 for Renovate Science Laboratories 1 (RSL-1)	3 rd quarter	PMD	Completed - CD-3 was approved on June 19, 2009.
		Oversee the IGPP program to ensure compliance with DOE requirements and that commitments in annual lab plan are met	Ongoing	PMD	The IGPP program as authorized. The major accomplishment was the award of the CCWF Expansion contract. Spending was slightly under the target level. ARRA GPP funding of \$18.5M was also authorized.

SC -- 2.b	Implement the Mission Readiness (MR) Model at all of our Laboratories	Facilitate the integration of the Mission Readiness model	4 th quarter	PMD	Completed -BSA is actively engaged in the implementation of the MR model. MR concepts were used in the development of the annual lab plan. BSA's MR Peer Review was highly successful.
SC -- 2.c	Hold Labs accountable for meeting the EO goals.	Concur on Executable Plan	1 st quarter	PMD	Completed - An Executable Plan was submitted to FEMP and SC in December 2008 and concurred on by BHSO.
		Monitor completion of FY09 portion of Executable Plan	Ongoing	PMD	Tracked progress against the Executable Plan throughout the year. Provided feedback to BSA on needed improvements in routine meetings and through the PEMP feedback process.
SC -- 2.d	Control/reduce the cost of doing business at our Laboratories	Monitor progress of cost reduction actions as specifically described in the Prime Contract Appendix B (Performance Evaluation Management Plan) and rate the contractor accordingly	Ongoing	BMD	Completed -- BSA achieved significant cost savings in employee benefit areas and effectively implemented programs to control utility costs. The PEMP measures were rated accordingly. 9/30/09.
		Litigation Management – Ensure that the contractor takes actions to reduce the cost of litigation by aggressively managing cases, and move toward a reduction in the number of cases by effectively managing issues before they result in litigation	4 th quarter	SM BMD	Completed - BSA has taken several steps to reduce high litigation costs: increased use of BSA counsel during discovery-related tasks reducing billable hours of outside counsel; fixed price representation in lieu of an hourly charged rate; and, engaged in a non-binding "mini-trial" resulting in a favorable settlement offer. Management attention is needed to resolve issues before they reach litigation. 9/30/09

SC – 2.e	<p>Work to bring increased consistency to the decisions we make with respect to each lab, and in the context of all labs in the area of Human Resources. Subjects include:</p> <ul style="list-style-type: none"> i. Pensions and Benefits ii. Workforce Restructuring iii. Contractor Compensation and Key Personnel iv. Contractor personnel in the DC area and costs of contractor operations in DC 	<p>BHSO will work with SC's Office of Laboratory Policy to help develop reasonable guidance that addresses the need for improved contractor Human Resource practices in the areas of Key Personnel, compensation and benefits</p>	Ongoing	BMD	Not completed - There was no activity from SC-3 in 2009. We are awaiting guidance for 2010
SC – 2.f	<p>Build a requirements-based Safeguards & Security budget</p>	<p>Facilitate the collection of contractor data to support effort to build requirements-based S&S budget</p>	As requested	SM OMD	BHSO continued to work with SC-31 on development of Safeguards and Security budget.

Goal 3: Bring Order to Chaos

#	Objective	Measure	Target	Owner	Results
SC – 3.a	Develop a set of Integrated Management Principles and a plan to incorporate these principles into SCMS	N/A	N/A		
SC – 3.b	Implement and strengthen SCMS Requirements Management processes to ensure disciplined implementation of Order 251.1C	N/A	N/A		

Goal 4: Help our Laboratories be Successful

#	Objective	Measure	Target	Owner	Results
SC – 4.a	Improve contractor assurance systems	Monitor PEMP measures related to Contractor Assurance	Ongoing	SM BMD OMD PMD	Completed- BHSO performed an assessment with the contractor and made some improvements to streamline the process. BHSO provided mid-year feedback to the contractor on performance. Completed on 6/30/09
		BHSO will work with BSA to strengthen and align contractor assurance and self-assessment processes such that the results of assessments inform the assurance and strategic planning processes	Ongoing	SM OMD	BHSO participated in BSA's 3 rd party assessment. BHSO provided feedback to the Operations Risk Committee on BSA performance.
SC – 4.b	Gain a better understanding of contractor safety performance and drive improvement through the	Support the SC Accelerator Safety working group and the SC-3 FY09 Assessment Plan	1 st Quarter	SM OMD	The SC assessments have been canceled; however BHSO continues to move forward with local assessment of the Accelerator Safety Program. BSA and BHSO

	implementation of periodic SC-wide safety evaluations					collaborated to host the 2009 DOE Accelerator Safety Workshop in August.
SC – 4.c	Continue to drive improvement in Annual Laboratory Plans by establishing a formal feedback loop	Continue to actively participate in contractor assessments that examine implementation of the contractor's performance assurance and strategic planning processes	As per schedule	SM BMD OMD PMD	Completed - BHSO participated in BSA's 3 rd party assessment. BHSO provided feedback to the Operations Risk Committee on BSA performance. Completed on 9/30/09	
		Hold the contractor accountable, through the development of PEMP measures that drive excellence in laboratory planning, including mission readiness	Ongoing	SM BMD OMD PMD	Completed- BHSO provided feedback on 1 st period and mid-year performance and developed FY 10 PEMP measures. Completed on 9/30/09	

Goal 5: Evaluate our Contractors Fairly

#	Objective	Measure	Target	Owner	Results
SC – 5.a	Implement PEMP process improvements that will provide us a better understanding of our Goals and Objectives, strengthen our evaluation process and enhance interactions among all SC organizations	Participate in SC lessons learned workshops to continue to refine the PEMP process and implement resulting actions.	As per schedule	SM	In lieu of SC lessons learned workshops, BHSO participated in the SC-3 internal review of the PEMP process which includes recommendations for improvement.
		Strive to share PEMP process experiences with other Site Offices across the DOE complex. Integrate those experiences into the planning process for successive year PEMPs	Ongoing	SM	The SC normalization meeting in December aided in the cross-talk with other SC Site Offices. Additional discussions are taking place across the DOE complex, including Idaho in January and Savannah River in the Spring.

BHSO FY 09 PERFORMANCE GOALS AND OBJECTIVES

Goal 1: Manage and Improve BHSO Operations and Processes

#	Objective	Measure	Target	Owner	Results
BHSO – 1.a	Improve site office issues and commitment management	Continue to investigate methods for improvement in BHSO-wide issues management (e.g. increased database usage, quarterly management tracking meetings)	Ongoing	SM BMD OMD PMD	The issues management database has been implemented. Training was conducted and an action closure process was effectively implemented. BHSO will continue to promote consistency across divisions and continue to identify opportunities to further improve this process.
		Develop and implement the database procedure	3 rd quarter	OMD	Completed - BHSO ADM-24 <i>Issues Management</i> (i.e., database procedure) has been issued.
BHSO – 1.b	Improve performance feedback to contractor	Review and evaluate our contractor feedback process Make adjustments to procedures, as necessary	1 st quarter 4 th quarter	SM SM	Completed – Process was reviewed and improvements recommended. Completed– Improvements made to reporting frequency and use of automated systems by 4/30/09.
BHSO – 1.c	Improve ISM Effectiveness	Implement corrective actions from ISM Effectiveness Review	As per CAP schedule	OMD	Completed- All corrective actions from the ISM Effectiveness review have been implemented.
BHSO – 1.d	Improve Cyber Security oversight	Identify/obtain resources and technical capability to meet Designated Approval Authority (DAA) responsibilities	3 rd quarter	SM OMD	Completed - BHSO assigned a staff member more responsibility in cyber security oversight and provided additional training. Coordination with ISC has also been strengthened to support meeting DAA responsibilities.
BHSO – 1.e	Trusted Internet Connection (TIC) - Manage TIC transition	Provide feedback to the Office of Science on the impact of TIC implementation	Ongoing	SM	Participated in discussions with headquarters on the impacts of TIC implementation at BHSO. No new actions from HQ on TIC.

Goal 2: Strategic Management of Human Capital

#	Objective	Measure	Target	Owner	Results
BHSO - 2.a	Fill BHSO vacancies with qualified staff	Fill FPD vacancy in PMD	1 st quarter	PMD	Completed - New FPD started October 2008.
		Fill Project Intern vacancy	1 st quarter	PMD	Completed - Project intern started September 2009.
		Fill PMD Director vacancy	3 rd quarter	PMD	Due to hiring freeze, FY 09 funding was not available for posting and hiring PMD Director.
BHSO - 2.b	Complete/Maintain staff technical qualifications	Complete training needs analysis	1 st quarter	BMD	Completed - A training needs analysis was completed for all BHSO employees in 2009. A new training plan was developed and mandatory training was completed.
		Complete all IDPs	2 nd quarter	SM BMD OMD PMD	Completed - All IDPs are complete
		Formalize the staff training program to maintain PMCDP, CO, TQP and other certifications and develop expertise (e.g. TEAM Initiative)	2 nd quarter	BMD	Completed - Completed as per the update of the BHSO local procedure BHSO-ADM-03 - Brookhaven Site Office Training, Revision 3 dated February 19, 2009 and BHSO-PPP-09, BHSO Training Plan, dated December 2008.
		Perform Facility Representative staffing analysis per DOE-STD-1063-2006	1 st quarter	OMD	Completed - Facility Representative staffing analysis completed in 2 nd quarter using DOE-STD-1063-2006.
BHSO - 2.c	Continue focus on Staff Development & Team Building	Maintain monthly supervisor meetings focused on general office issues and personnel management	As scheduled	SM	Completed - Supervisor meetings were held approximately every two months In March and May, Supervisor training was held.
		Budget for and provide personal and professional skills development training opportunities at BHSO	Ongoing	SM BMD	Based on the training needs analysis, many of the documented training needs were completed. In addition, we hosted a four day invitational course entitled "Integrated Safety in Project Management" where many DOE

						employees from other sites were invited. Other training needs have been identified and are scheduled for FY 2010.
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Goal 3: Contract Management & Federal Stewardship

#	Objective	Measure	Target	Owner	Results
BHSO – 3.a	Support BNL Prime Contract Extension and Competition Process	Prepare BNL contract-related documents that complement and facilitate the competition process (i.e. contract extension, Federally Funded Research and Development Center (FFRDC) and Management & Operations (M&O) determinations, Nuclear Hazards indemnifications and others)	As required	BMD	Completed - The Acquisition Plan along with the requisite accompanying documents for the latest proposed extension scenario was timely submitted to HQ, awaiting further guidance/decisions (with the exception of the Nuclear Hazards Indemnification request, to be submitted separately). 9/30/09
BHSO – 3.b	Critical Contracts (BSA)	Develop the BNL New York Power Authority (NYPA) power contract for Headquarters review and approval	3 rd quarter	BMD	Completed. The JOFOC was signed by HQ on June 8. The Power Contract was signed by BHSO and NYPA on June 17, 2009.
		Develop and approve an easement for the Long Island Power Authority (LIPA) Solar RFP if BNL is selected as a site	4 th quarter	BMD	Pending - Extensive work has been completed in order to provide a draft easement to BP Solar. We are awaiting their presentation to the Board currently scheduled for November 2009.
		Develop the Joint Photon Science Institute (JPSI) Work for Others (WFO) agreement for the Construction phase for Headquarters approval (\$25M)	4 th Quarter	BMD	Pending - BHSO continues to pursue state funding for JPSI; project currently pending receipt of funds.
BHSO – 3.c	Continue “Sense of the Laboratory” Activities	Maintain program office relationships and ensure BHSO representation at on-site program reviews and program conference calls	Ongoing	SM	Hosted presentations by BNL top managers and scientists approximately monthly to learn about BNL’s planning, operations, and research.

					<p>Annual NASA review of the EBIS on December 17, 2008.</p> <p>SC-NP Annual Review of the EBIS project was held on January 21-22, 2009 BHSO participated in regularly scheduled calls with SC-NP on the EBIS project.</p>
<p>BHSO – 3.d</p>	<p>Perform risk-based DOE Oversight</p>	<p>Meet BHSO FY 09 risk-based integrated Assessment Schedule (IAS)</p>	<p>As scheduled</p>	<p>BMD OMD PMD</p>	<p>Completed - OMD---Assessments have been completed as scheduled. IAS being updated as needed. PMD – All assessments completed as scheduled.</p> <p>BMD - The reports scheduled for FY 09 were completed or rescheduled as necessary.</p> <p>Completed on 9/30/09</p>
		<p>Develop risk-based FY 10-12 IAS based on laboratory performance and DOE requirements</p>	<p>4th quarter</p>	<p>BMD OMD PMD</p>	<p>Completed – A risk based FY10-12 IAS was included in BHSO's FY 2010 Annual Performance Plan.</p>
		<p>Maintain senior BHSO and BSA management face-to-face discussions of key laboratory issues, activities and events; Frequent exchange of information with Lab Director and key senior staff</p>	<p>Ongoing</p>	<p>SM</p>	<p>Biweekly meetings between BHSO and BSA management were maintained.</p>
		<p>Continue monthly meetings with BSA to discuss injury case management</p>	<p>As scheduled</p>	<p>OMD</p>	<p>BHSO continued to hold meetings with BSA management. Improvements in meeting format and BSA line management participation were implemented. Improvements included ALD presentations on injuries in their facilities.</p> <p>Meetings are now being held bi-monthly.</p>

		Maintain awareness and track BSA progress towards addressing OMB A-123 (financial systems assurance) requirements	Ongoing	BMD	<p>Completed - Participated in DOE-CFO December meeting in Oak Ridge to understand changing requirements for OMB-A123.</p> <p>BHSO is participating in weekly meetings and assisting BNL in the transition from the AART tool, which captures OMB A-123 testing, to the Financial Management Assurance (FMA) Tool. FMA is being accelerated to identify specific controls relating to the Recovery Act. In addition, BHSO reviews the quarterly reporting to track progress of OMB A-123 testing. Completed on 9/30/09</p>
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Goal 4: Successful Project Execution

#	Objective	Measure	Target	Owner	Results
BHSO - 4.a	Plan and Manage projects for future Laboratory science improvements	Manage EBIS project successfully	Ongoing	PMD	The Annual NP Review was held on January 21-22, 2009. The Project is on schedule for baseline CD-4
		Manage JPSI project successfully	Ongoing	PMD	CD-0 was approved on January 12, 2009. Continue to pursue State funding of \$20 million.
BHSO - 4.b	Oversee and manage the NSLS-II Project	Facilitate on-time CD-3 approval	Ongoing	PMD	Completed as scheduled.
		Review and approve NSLS II procurement packages and conduct appropriate oversight	As scheduled	PMD	BHSO reviewed and provided valuable input on the NSLS-II conventional procurement resulting in the successful award of the \$172M Ring Building contract ahead of the baseline schedule.
					Action completed on February 18, 2009

BHSO - 4.c	Facilitate the successful completion of the EM Project	Manage the EM relationship	Ongoing	SM	Both the HFBR and BGRR projects are progressing. A good working relationship exists between EM site and BHSO staff. Project and ARRA funding received.
		Resolve EM funding issues	Ongoing	SM	EM HQ has taken the lead. BHSO is providing support and participating in NRD conference calls. A public CAC meeting included a presentation on NRD.
		Facilitate resolution of Natural Resource Damages (NRD) issues with NYS	Ongoing	SM	Supported HQ EM rollout of ARRA funding for EM complex and Brookhaven cleanup project, including conducting multiple media interviews. Developed and distributed communications materials and provided communications support associated with completion of HFBR ROD.
		Facilitate stakeholder interaction	Ongoing	SM	BHSO has provided all information requested and coordinated with on-site EM and SC HQ personnel. Transfer is dependent upon EM obtaining funding.
		Facilitate transfer of excess facilities to EM	Ongoing	PMD	

Goal 5: Facilitate Laboratory Success

#	Objective	Measure	Target	Owner	Results
BHSO – 5.a	Support Stakeholder Involvement	Maintain dialogue with stakeholders about BNL science and technology, reactor decommissioning projects, environmental stewardship, and other activities and programs of public interest	Ongoing	SM	Hosted five meetings of the Brookhaven Executive Round Table and discussed timely and critical issues with the key stakeholders in attendance. Collaborated with Laboratory personnel in identification of topics and preparation of presenters for monthly BNL Community Advisory Council meetings. Worked with the Laboratory in preparing for and hosting visits to BNL by Secretary Chu and NYS Governor Paterson, both of which received extensive and positive media coverage. Represented DOE at high and middle school regional Science Bowl competitions, science fairs, and other Workforce Development-related activities conducted by BNL.
		Conduct corporate level communications and public engagement activities for the Nanoscale Science Research Centers in support of the Office of Science	Ongoing	SM	Worked with HQ PA on development of the portion of “A Decade of Discovery” that is focused on DOE’s Nanoscale Science Research Centers (NSRC). Because of BHSO involvement with NSRC communications, the “Discovery” book featured BNL’s Center for Functional Nanomaterials, CFN users, and the CFN director in the discussion of DOE’s nanoscale research.

						Supported SC's Nanoscale Science Research Centers as representative to National Nanotechnology Coordination Office (NNCO) Nanotechnology Public Engagement and Communications (NPEC) Working Group.
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Goal 6: Effective Integrated Safety Management

#	Objective	Measure	Target	Owner	Results
BHSO – 6.a	Manage ISM requirements	Complete annual ISM program plan review & update	4 th quarter	OMD	Completed - Annual BHSO ISM program plan was reviewed and updated as scheduled.
		Complete annual ISM effectiveness review & declaration	4 th quarter	OMD	Completed - Annual ISM effectiveness review and declaration was completed as scheduled.
BHSO – 6.b	Promote Organizational Safety & Accountability	Conduct annual site office FEOSH inspection	3 rd quarter	OMD	Completed -BHSO conducted the annual site office FEOSH inspection including two Facility Representative (outside BHSO) offices.
		Conduct quarterly FEOSH team meetings	As scheduled	OMD	BHSO conducted quarterly FEOSH team meetings.
BHSO – 6.c	Ensure Safety Conscious Work Environment	Conduct Safety Day Training & Awareness w/management participation and >80% of employees	As scheduled	OMD	Safety Day Training & Awareness was held on August 21, 2009. Attendance goals were exceeded.
BHSO – 6.d	Organizational Learning and Assessment	Conduct operating experience self-assessment	4 th quarter	OMD	Completed – Self-assessment conducted as part of ISM effectiveness review.
BHSO – 6.e		“Zero Incidents”: Analyze every incident and violation; implement improvement actions	As required	OMD	BHSO incurred a minor finger injury requiring stitches in the 2 nd qtr. BHSO conducted an investigation and causal analysis and provided training to staff on handling sharp objects.

**Brookhaven Site Office
Fiscal Year 2009**

**Annual Integrated Safety Management System
Effectiveness Review and Declaration**

**September 21, 2009
Revision 1**



**U.S. DEPARTMENT OF
ENERGY**

Office of Science

Brookhaven Site Office (BHSO)

**Fiscal Year (FY) 2009 Annual Integrated Safety Management System
Effectiveness Review and Declaration**

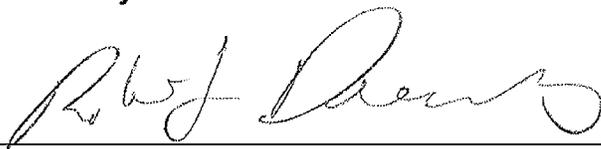
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Table 1: Brookhaven Site Office Fiscal Year 2009 Annual Performance Plan Safety Performance Objectives, Measures, and Commitments

I. Introduction

This report documents the Brookhaven Site Office's (BHSO) annual review and declaration of the effectiveness of the BHSO and Brookhaven National Laboratory's (BNL) contractor (Brookhaven Science Associates (BSA)) Integrated Safety Management System (ISMS) programs. The purpose of the ISMS effectiveness review is to:

- Determine the effectiveness of the ISMS in integrating safety into work performance, in supporting the safe performance of work, and in improving safety (including environmental and health) performance.
- Identify strengths of ISMS implementation for sharing with other DOE elements to aid improvements at other locations.
- Identify weaknesses of ISMS implementation to focus attention on corrective and improvement actions.

The ISMS effectiveness review is a qualitative review that encompasses multiple elements, including the review of: self-assessments; oversight reviews results; performance against established performance objectives, measures, and commitments; and other feedback and performance information. Elements of this review were ongoing throughout the year, and culminated in this report that supports an annual summary evaluation. The review is required per DOE-M 450.4-1, *Integrated Safety Management System Manual*, and the Office of Science Management System (SCMS) *Environment, Safety, and Health*.

The ISMS effectiveness review was performed by a team of BHSO staff.

II. Contractor Performance and Integrated Safety Management System Effectiveness

The *Brookhaven National Laboratory 2008 Annual ISMS Effectiveness Review and Declaration Report*, dated February 2008, was reviewed by the team. The review included:

- The annual ISMS effectiveness review and summary evaluation performed by the contractor.
- The safety performance of the contractor against the previous year's safety performance objectives, measures, and commitments (POMC).
- The overall safety performance of the contractor, including results from various sources of feedback and improvement information.
- The results of line oversight of the contractor.

- The completeness and accuracy of the contractor's *ISMS Program Description*.

ISMS Attributes

- Completed Industrial Hygiene Baseline Monitoring project.
- Safety Observation program improved with 93 percent of participants reaching their targeted number of observations.
- Developed a safety observation report application to track department and individual manager progress in completing safety observations.
- The Waste Management Facility was downgraded to a Radiological Facility.
- Internal Audit and Oversight completed their risk assessment of the Brookhaven Medical Research Reactor (BMRR).
- BSA/BNL took a strategic approach to integrating human performance principles into Laboratory practices at all levels.
- A description of the Environmental Management System and OHSAS 18001 Worker Safety & Health Management System was incorporated into Section 3 of BNL's ISM Program Description.
- The ISM Program Manager position was expanded to include management of the ISO14001 EMS and OHSAS 18001 programs.
- The Radiological Control Division (RCD) and BHSO agreed to a lowering of the site ALARA dose goal from 10.5 person-rem to 8.35 person-rem.
- The 2008 Office of Health, Safety, and Security (HS)-63 inspection found that the BNL Emergency Management Program significantly improved by the issuance of a Hazards Survey, Emergency Planning Hazard Assessments, a revised Emergency Plan, and other upgraded program plans and procedures.

ISMS Areas for Improvement

BSA made significant progress in reducing worker injuries; however it did not meet DOE's target for DART and TRC. Efforts to reduce injuries include:

- Sustaining the clear progress already achieved by the Laboratory in the Human Performance initiative will be dependent upon:
 - maintaining leadership commitment,
 - establishing a set of performance measures or outcomes that the Laboratory would use to measure progress against, and

- identifying the next generation of institutional initiatives to be examined in the context of Human Performance principles.
- Further maturation of improvements in the Worker Planned Work process will be driven by:
 - continued training of BNL staff in Human Performance principles, and
 - an effective line oversight process that includes work observations geared toward understanding both the desired outcome (working safely) and the desired behavior (conscious application of work planning expectations).
- The Facility Safety initiatives to upgrade, verify, and sustain facility-authorization basis documents and the associated management systems shall continue.

Based on the evaluation of the contractor's performance and ISMS effectiveness, the review team reached the overall conclusion that ISM is being effectively implemented.

The team reviewed the contractor's *ISMS Program Description* for completeness and accuracy and found the document acceptable.

III. **Brookhaven Site Office Performance and Integrated Safety Management System Effectiveness**

For determining the BHSO ISMS effectiveness, the team reviewed:

- Self-assessment results regarding BHSO ISMS performance.
- BHSO performance against the previous year's safety Performance Objectives, Measures, and Commitments (POMCs).
- The completeness and accuracy of the BHSO ISM System Description.
- Integrated DOE/contractor safety performance, including results from various sources of feedback and improvement information such as external and independent oversight findings.
- BHSO procedures, policies, plans, instructions, and guidance documents.
- Operational awareness and assessment activity planning documents and schedules.
- Operational awareness data and assessment reports to ensure adherence to schedules.
- Periodic reports (e.g., Facility Status Updates).
- Documentation related to deficiencies (e.g., procedures, completed assessments, causal analysis and corrective action plans).

- Training and qualification records.
- Interviewing BHSO personnel.

Overall, BHSO has established a safety management system that integrates environment, safety, and health criteria into work planning and execution as outlined in the *BHSO ISMS Description*.

All the assessment criteria and core expectations have been met or exceeded. The BHSO management system processes and procedures are evidence of an effective ISMS. BHSO management and staff are well organized to execute their mission with clearly defined and understood roles, responsibilities and authorities. Communication of expectations and performance within BHSO as well as between BSHO and BSA is effective in assuring priorities are balanced.

The BHSO safety performance objectives are driven by the core belief that safety comes first and are valued above production, budget and schedule. The BHSO systematic approach motivates a culture of personal responsibility by and for each employee.

Strong leadership and management expectations produce a high standard of excellence throughout BHSO. BHSO performance measure data is continuously analyzed throughout the year and adjustments are made to accomplish objectives. The strength of the BHSO ISMS program is demonstrated by BHSO commitment to established safety performance indicators.

BHSO's safety performance objectives are documented in the Annual Performance Plan (APP), listed in attached Table 1, and the multi-year integrated assessment schedule (IAS). BHSO's APP serves as the primary document for establishing POMCs. The BHSO IAS is the primary mechanism for planning and executing assessments covering both BSA and BHSO programs. The APP and IAS are reviewed throughout the year and additional improvements provided as necessary.

A number of reviews and assessments were performed throughout the year that identified strengths as well as areas for improvement. Several of these reviews are described below and a summary of the attributes as well as the areas for improvement are listed below.

BHSO conducted a mid-year review of its performance against the APP goals. BHSO was on target and in some cases ahead of schedule for meeting their commitments (i.e., closing out performance measures).

In Fiscal Year 2009, BHSO conducted topical self assessments of the Facility Representative (Fac Rep) Program and the Federal Employee Occupational Safety and Health (FEOSH) Program. The findings from the Fac Rep Program self-assessment included increased utilization of external sources such as the Integrated Support Center and internal sources of support such as BHSO SMEs, defining and documenting the duties of an "interim qualified" Fac Rep, and increased management awareness of the Fac Reps' schedule and work load. Additionally, the self assessment concluded that Fac Rep staffing analyses should be regularly performed. Fac Rep Program self-assessments continue to be formally documented. Findings contained in the FEOSH self-assessment included the revision of the BHSO FEOSH procedure, modification of

posters to designate reporting of unsafe or unhealthful conditions, improved documentation of appointments to the FEOSH Committee and as Safety and Health Designated Representative, and finding and participating in the Field Federal Safety and Health Council. "Safety Days" were found to be widely accepted by the BHSO staff. Corrective action plans have been developed and implemented for each self-assessment.

ISMS Attributes

- The BHSO *ES&H Management Plan* is effective at detailing the execution of roles, responsibilities and authorities stated in the BHSO Functions, Responsibilities, and Authorities Document (FRAD) by organization and key functions for ES&H oversight of the contract. This document also effectively describes the overall systematic approach of the BHSO to providing performance based oversight of the Contractor's overall ES&H and ISMS program.
- BHSO management demonstrated leadership and accountability for safety. The results of interviews and management actions clearly demonstrated that BHSO management is accountable for safety. Interviews indicated that staff was confident in management leadership. They detailed examples where potential problems in getting the appropriate cooperation from some individuals or organizations within the Lab were effectively resolved by raising issues to management. In addition, staff clearly expressed the view that they were empowered to raise concerns regarding practices or procedures and recommend improvements which are typically endorsed by management. The staff expressed that management was strongly committed to safety. They point to the growing safety culture both at BNL and in BHSO. It was expressed that safety was part of the BHSO values. This was reinforced by senior management awareness of safety issues, and their emphasis on continuous improvement, clearly stated in documents as well as actions taken to improve BHSO performances through self-assessment and effectively implemented corrective actions.
- An additional tool that management has deployed to ensure easier access to requirements and information is the PORTAL. The PORTAL is an electronic file share that is available to all employees and includes BHSO documents including stop work, training, and the organization chart. Many employees demonstrated their use of the PORTAL when they wanted to find and present documents to the team. BHSO uses it as a mechanism to ensure quick access and control of document versions.
- The overall BHSO training approach is detailed in *BHSO-PPP-09, Brookhaven Site Office (BHSO) Training Plan*. This document does an excellent job of explaining BHSO training and management responsibilities, elements of the training program, annual office training priorities and their relationship to unit work requirements. This document and the rest of BHSO's well integrated staff training and qualification process is derived from the SCMS *Human Resource Services Management System Description* and described in *BHSO-PPP-03, BHSO Quality Management Plan; BHSO-PPP-06, Subject Matter Functional Area Qualification and Training; BHSO-PPP-07, Facility Representative Qualification and Training and BHSO-ADM-03, BHSO Training*. The success of this program is also clearly demonstrated by the number of staff with professional certifications.

- The BHSO PEMP process is mature and an integral part of the oversight of BNL. Recent improvements to the PEMP process have made the process more effective. BNL's PB Views software is a tool that is used by BHSO staff to capture PEMP information throughout the year to track performance and to develop more meaningful PEMP measures and targets for the following year. It also makes performance information viewable by OMD personnel such as SMEs and FRs and provides a more visible means of collecting feedback on PEMP measures throughout the year. To assure information and feedback from OMD staff was reviewed and captured in a consistent manner; the BHSO QA SME developed an event/issue checklist for ES&H performance Target 5.1.2.1 to be used by BHSO staff to demonstrate effective implementation of feedback and improvement processes. In addition, BHSO uses a color-coded dashboard to provide visual feedback of BHSO's assessment of BNL's performance. The use of the color-coded *Summary Dashboard for PEMP Status* in the *Mid-Year BHSO Feedback Report* is an excellent means to provide the status of the BNL Goals and Objectives.
- BHSO has a visible and effective FEOSH Program described in *BHSO-ADM-05, BHSO FEOSH Program*. The FEOSH document is well written and provides additional information with electronic links to forms as well as the actual standards or regulations. These links provide an ease of access to requirements for all employees.
- BHSO Operational Awareness Program is effective with all program elements (assessments, surveillances walk-throughs, observations) well documented and records maintained. The staff is highly qualified and OMD management expectations for the program is rigorous in terms of time in the field and number of pre-planned, formal surveillances (4 per year per staff) and walk-throughs (with an average of 5 database entries per week per staff) conducted by staff. Assessment plans cover a wide range of topics and include all of those required by DOE Directives. The program includes FRs for some higher hazard facilities and those FRs are located within those host facilities. The results of these oversight activities are routinely tracked in the BHSO Issues Database.
- The closure process for assessments is well understood and documented through the use of the BHSO Corrective Action Closure Form.
- The BHSO Issues Database is a process oriented tool that has been structured to assist BHSO staff and management in assuring the status of issues and corrective actions are known and tracked through closure.

ISMS Areas for Improvement

- Assessment reports from assessments scheduled in IAS are not linked in the IAS as required by SCMS.
- The current New Employee Orientation (NEO) program and checklist does not adequately cover FEOSH. Employees become aware of the program but it is not required to be routinely covered by their Division Director as part of the NEO. In addition, Division Directors are not consistently using the NEO procedure checklist with new employees.

- The BHSO-ADM-22, *Performance Assurance Procedure*, describes two roles, those of the *Management Steward* (MS) and the *Point of Contact* (POC). The POC function is not clearly understood by some staff. Staff who expressed these views were not sure through what mechanism or how the POC role is supposed to impact the performance evaluation of the Contractor for the systems they are responsible for.
- *BHSO-ADM-10, Contractor Performance Based Management Procedure*, should document BHSO's use of the BNL's PB Views system as a tool to track performance for the measures and targets and to develop the following year's PEMP measures/targets.
- *BHSO-ADM-14, Self-Assessment*, covers the BHSO evaluation of the APP. However, there is no formal standardized process or procedure for conducting functional/topical self-assessments.
- The BHSO Issues Database system has been developed and implemented in the last year and some implementation issues were noted. BHSO was unable to provide a complete closure package (scoping documents, announcement letter to the contractor, corrective actions, assessment report, and approval of completed corrective actions) for assessments and surveillances. Despite being completed, some surveillances had open items in the database that were not closed out and the status of some were uncertain.
- Management has not identified the type of indicators they need for reporting on the status of issue and corrective action. The OMD Director routinely queries staff on the status of issues and corrective actions but it is unclear how senior management is kept up-to-date on the status of various corrective actions.

IV. **BHSO Integrated Safety Management System Declaration and Areas of Improvement**

Based on the evaluation of BHSO's performance and ISMS effectiveness, the review team reached the overall conclusion that ISM is being effectively implemented. The review along with BHSO management developed Corrective Actions (CAs) for each of the above referenced "ISMS Areas for Improvement". Closure of the CAs is being tracked in the BHSO Issues Database.

Corrective Action 1: (Completed)

- a) Add an IAS checkbox into the BHSO's database for all assessments linked to the IAS
- b) Ensure all new and existing assessment reports, linked to the IAS, have the IAS check box filled in.
- c) Automate BHSO's Issues Database to send notifications to the IAS steward when new assessment reports are loaded into the database.

Corrective Action 2: Due: September 30, 2009

Create a new employee "check list" to ensure that new employee's are made aware of FEOSH program. In addition add signature blocks for the new employees and Division Director to demonstrate proper use of the checklist.

Corrective Action 3:

- a) Send BHSO-ADM-22 "*Performance Assurance*" procedure to ALL Division Directors, Caroline Polanish, and Joe Dasilva. Request that they review the procedure and provide feedback, within two weeks, as to whether or not the procedure can be (1) Combined with BHSO-ADM-10 "*Contractor Performance-Based Management Procedure*" (2) Deleted from the list of effective procedures with no further action (3) Updated to clarify the roles of the Management System Steward and Point of Contact. **(Completed)**
- b) After Receiving comments from the Division Directors, Caroline Polanish, and Joe Dasilva determine if BHSO-ADM-22 "*Performance Assurance*" procedure needs to be (1) Combined with BHSO-ADM-10 "*Contractor Performance-Based Management Procedure*" (2) Deleted from the list of effective procedures with no further action (3) Updated to clarify the roles of the Management System Steward and Point of Contact. **(Completed)**
- c) Using the results from CA 2 perform one of the following steps: (1) Combine BHSO-ADM-22 "*Performance Assurance*" procedure with BHSO-ADM-10 "*Contractor Performance-Based Management Procedure*" (2) Deleted BHSO-ADM-22 "*Performance Assurance*" procedure the list of effective procedures with no further action (3) Updated BHSO-ADM-22 "*Performance Assurance*" procedure to clarify the roles of the Management System Steward and Point of Contact. Due: December 31, 2009

Corrective Action 4: Due: December 31, 2009

Review and revise BHSO-ADM-10, "*BHSO Contractor Performance Based Management*" procedure to ensure that BHSO has documented their use of BSA's PB Views system as a tool to track performance for the measures and targets and to develop the following year's PEMP measures/targets.

Corrective Action 5: Due: December 31, 2009

- a) Rename BHSO-ADM-14 "*Self-Assessment*" procedure to "*Performance Planning Self-Evaluation Process*" for clarity.
- b) Revise BHSO-OA-01 "*Conduct of ESH Assessments*" procedure to include *topical self-assessments*".
- c) Use BHSO-OA-01 "*Conduct of ESH Assessments*" procedure.

Corrective Action 6: Due: December 31, 2009

- a) Improve the BHSO Issues Database to ensure data integrity and the inclusion of appropriate Assessment/Surveillance documents.
 - 1) Add a data field for attachment of CAP Acceptance Letters. **(Completed)**
 - 2) Add logic to prevent database issues identified as Assessments and Surveillances from being closed until all 4 documents (Scoping Letter, Report, CAP, CAP Acceptance Letter) are attached or marked 'N/R'. **(Completed)**
 - 3) Add a data field to indicate if an entry is part of the BHSO IAS. **(Completed)**
 - 4) Create Database Coordinator (DC) and IAS Coordinator (IASC) positions in the BHSO Issues Database. **(Completed)**
 - 5) Add code to notify/prompt the DC to perform a quality check of the record when Assessments/Surveillances are closed. **(Completed)**
 - 6) Add code to notify the IASC when an Assessment/Surveillance Report is entered into the database. **(Completed)**
- b) Improve the management of Assessments/Surveillances hard copy.
 - 1) Revise BHSO Corrective Action Closure Form (in BHSO-ADM-24, Issues Management) to include Database/Cats closure actions and filing of hardcopies. **(Completed)**
 - 2) Notionalize a filing process that will actively track filing of Assessment and Surveillance documentation. **(Completed)**
- c) Review and improve Assessment/Surveillance data quality content in the Issues Database.
 - 1) Enter FY08 Assessment/Surveillance data and supporting documentation into the database.
 - 2) Review Assessment/Surveillance data records to ensure fields are appropriately completed.
 - 3) OMD personnel report on database activity during staff meetings. **(Completed)**

Corrective Action 7: (Completed)

Revise BHSO-OA-03 "Operations Management Division (OMD) Reporting" procedure to clarify how senior management is kept up-to-date on the status of corrective actions.

Table 1

**Brookhaven Site Office
Fiscal Year 2009 Annual Performance Plan (APP)
Safety Performance Objectives, Measures, and Commitments**

Goal 6: Effective Integrated Safety Management

Number	Objective	Measure	Target	Owner
BHSO – 6.a	Manage ISM requirements	Complete annual ISM program plan review & update	4 th quarter	OMD
		Complete annual ISM effectiveness review & declaration	4 th quarter	OMD
BHSO – 6.b	Promote Organizational Safety & Accountability	Conduct annual site office FEOSH inspection	3 rd quarter	OMD
		Conduct quarterly FEOSH team meetings	As scheduled	OMD
BHSO – 6.c	Ensure Safety Conscious Work Environment	Conduct Safety Day Training & Awareness w/management participation and >80% of employees	As scheduled	OMD
BHSO – 6.d	Organizational Learning and Assessment	Conduct operating experience self-assessment	4 th quarter	OMD
		“Zero Incidents”: Analyze every incident and violation; implement improvement actions	As required	OMD