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Page 1 of 7		Submitted By: <i>Greg Mitchell</i>	Date: 05/15/2008
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Business Services Section ES&H Self-Assessment Program

1.0 PURPOSE AND SCOPE

The purpose of the Business Services Section (BSS) Environment, Safety, and Health (ES&H) Self-Assessment Program (SAP) is to implement the requirements of Fermilab ES&H Manual (FESHM) chapter 1040.1 and, in so doing, evaluate objectively the various components of the ES&H program within the Section. ES&H performance shall be measured against contractual requirements and performance measures, BSS Annual ES&H Plan, internal (BSS) ES&H-related policies and procedures, BSS Departmental Procedures, and any other requirement deemed applicable and appropriate by the Section Head. The SAP contributes to the performance assessment function of the Integrated ES&H Management System, thereby facilitating continuous improvement of the BSS ES&H program.

2.0 RESPONSIBILITIES

2.1 The Section Head:

- Those responsibilities as assigned in FESHM 1040.1
- Approves this procedure and reviews it triennially for adequacy.
- Provides an annual report to the Laboratory Director and the ES&H Director on the results of the self-assessment program, including those actions identified in the Annual ES&H Plan
- Approves subject matter and scope for Tripartite assessments and communicates them to the ES&H Section.
- Provides personnel who are appropriately experienced, trained, and impartial to participate in assigned Tripartite assessments. In the event that the only appropriately knowledgeable individuals in the Section are not sufficiently independent of the activities being assessed, the Section Head will secure the participation of independent and impartial employees from another Division/Section. The Section Head may also provide personnel for Tripartite teams assessing other organizations when requested by their management due to lack of qualified, impartial staff.
- Conducts periodic walk-through inspections of BSS spaces.

2.2 The Line Organizations:

- Participate directly in periodic Department Head inspections and Section Head Management Tours.

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- When requested, supply personnel to participate as team members on Tripartite assessment teams.
- Cooperate fully with auditors assessing their activities.
- Develop corrective actions in response to assessment findings related to activities under their purview and complete them in a timely manner.
- Assist the BSS Senior Safety Officer (SSO) in analyzing the root cause of any assessment findings given a risk assignment of 1 or 2 by an auditor (or the ES&H Section, in the case of an external assessment) in order to ensure that corrective actions will be effective.
- Assist the BSS SSO in writing up lessons learned from assessment findings having a risk assignment of 1 or 2 in order to share information across the Laboratory.
- When requested for a Tripartite assessment focusing on their organization, provide an assessment coordinator who, although not part of the assessment team, would assist the team by providing organizational support, including arranging for interviews and securing requested documents, and keep the Section Head and the BSS Senior Safety Officer informed regarding the planning and progress of the assessment.

2.3 Senior Safety Officer (SSO):

- Assist the Section Head in carrying out his/her responsibilities under FESHM chapters 1040.1 and 1040.2.
- Participate in Department Head and Building Manager inspections.
- Participate in Highly Protected Risk (HPR) inspections.
- Serve as Tripartite assessment team member or coordinator.
- Arrange for assessment findings and corrective action plans to be entered into ESHTRK; close findings when corrective actions are completed.
- Prepare or assist in the preparation of lessons learned in response to significant findings.
- Prepare this procedure. The Department Head approves revisions to Appendix 1.
- Advise Section and Department management on methods for improving the safety of their processes.
- Audit line organizations' ES&H performance as requested by BSS Management.

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3.0 INSTRUCTIONS

3.1 ELEMENTS OF THE BSS ES&H SELF-ASSESSMENT PROGRAM

3.1.1 Assessments by the Section Head

The BSS Head monitors and is involved with scheduled and ad hoc informal assessments of the BSS ES&H performance. The Section Head may also commission reviews on an *ad hoc* basis to examine specific problems - ES&H or programmatic - which may arise. The degree of formality accorded such assessments is dependent upon the subject of the review and is determined by the Section Head, as is the level of documentation required. The Section Head also conducts periodic (approximately monthly) Management Tours/walk-through inspections of BSS areas. Participants normally include the Deputy Head, Department Head or designee, the Directorate, the BSS SSO, and individuals from the Department of Energy Fermi Site Office (DOE-FSO). The tours focus on facility condition and work practices of BSS personnel. In addition, the tour includes a review of safety, health, and environmental protection activities. The results of these tours are entered into ESHTRK.

3.1.2 Department Head Inspections

There are no formal departmental self-assessments conducted, however the Department Head participates in BS Management Tours and is aware of the HPR Inspections for their areas of responsibility.

3.1.3 Tripartite Assessments

A Tripartite assessment is an audit of an organizational unit or an ES&H topic across the organization that brings together three groups: DOE-FSO, ES&H Section and division/section personnel. Tripartite assessments are scheduled and conducted in accordance with FESHM chapter 1040.1.

3.1.4 Internal Assessments by the BSS Line Organizations or Senior Safety Officer

There are inspections and tests conducted relating to the potential hazards within the Section's areas and activities. These inspections and tests are integral to maintaining a safe operation and are performed in accordance with practices developed within the Department or as prescribed in FESHM. The various inspections are listed in Appendix A for reference. These assessments generally do not require tracking in ESHTRK, but rather incorporate their own means of resolving discrepancies identified during their performance.

In addition, more formal audits are conducted on an as-needed basis to supplement tripartite assessments and department head inspections. They are conducted either by the line organization or the SSO and are primarily functional audits of ES&H specialty disciplines or programs within BSS. An outcome of these assessments is to verify that applicable elements of the ES&H program has been developed, documented, and effectively implemented throughout the Section and to determine ways to

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improve implementation of sound ES&H practices within the Section.

The Section Head, Department Head and/or the SSO may determine the need for these types of audits and will schedule them with the concurrence of the Section Head. Line personnel and/or the SSO conduct these assessments, though they may request the assistance of other Division/Section personnel, Fermilab ES&H Section professionals, or subcontracted consultants. The results of individual assessments are reported to the Section Head and may be entered into ESHTRK for tracking after acceptance by the Division Head.

3.1.5 Highly Protected Risk (HPR) Inspections

ES&H inspections of buildings conducted by the Laboratory's Fire Protection Engineer with the intent of identifying potential hazards to property whose dollar or programmatic value dictates that it be in the best-protected class of industrial risks. The inspections focus on fire prevention practices and procedures, quality of construction, fire detection and suppression systems, verification of testing and maintenance of fire protection systems and equipment, and general review of processes and activities occurring within the building, including basic housekeeping. Other ES&H issues that are identified incidental to the inspections are also noted and entered into ESHTRK if the inspectors deem appropriate.

3.1.6 Review of the BSS ES&H Self-Assessment Program

This program shall be reviewed by the Section Head at least every three years to evaluate the effectiveness of the program in meeting the goals of the Section and the Laboratory. The review is to be documented either by reissuing a revised SAP or, if no revisions are required, stamping the front of the existing version to that effect or issuing a memorandum-to-file.

3.2 DOCUMENTATION AND REPORTING

The level of documentation required for the various elements of the SAP vary based on the type of assessment.

Section Head Management Tours are documented to include the participants, locations covered, and observations noted. A statement of areas toured and observations is entered into ESHTRK.

Department Head tours and inspections of their areas are less formal and are usually not entered into ESHTRK. Results of the line organization functional tests of equipment do not require entry into ESHTRK, however, documentation is maintained. The format and content of these reports are either determined by precedent within the department or within FESHM for the specific item that was tested.

HPR inspection results are documented and tracked via ESHTRK per FESHM 6015.

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Requirements for format and content of tripartite self-assessment reports are contained in FESHM 1040.1.

Section ES&H Plans and annual reports to the Director follow the most current format and content guidance available from the Director's Office.

3.3 SCHEDULES

The Section Head schedules the Management Tours on an annual basis and publishes a schedule for the CY.

Tripartite Assessments are scheduled pursuant to the process outlined in FESHM Chapter 1040.1. HPR inspections are scheduled pursuant to FESHM Chapter 6015.

The schedules for line organization and SSO of the inspections and tests are listed in Appendix A.

3.4 AUDITOR QUALIFICATIONS

Appropriate levels of experience, training, and independence for participants in ES&H self-assessments will be determined by the Section Head, in consultation with the SSO as needed.

3.5 ESHTRK PROCEDURES

The SSO will ensure that the following are entered into ESHTRK:

- Observations and Findings made during Section Head Management Tours.
- Findings from Department Head Inspections
- Results of assessments conducted by the line organization and/or SSO
- Corrective actions in response to any assessment findings entered into ESHTRK
- Results of Tripartite ES&H assessments for which AD supplied the lead auditor

Entries shall be made consistent with the formatting guidance in FESHM chapter 1040.1.

Findings in ESHTRK will be Closed when the responsible individual reports that the corrective actions have been completed.

The SSO will periodically review the contents of ESHTRK to check on the appropriateness and status of follow-up actions and to identify trends. Quarterly summaries of open findings are provided to Department and Section management.

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4.0 REFERENCES

- 4.1 Fermilab ES&H Manual Chapter 1040.1, ES&H Self-Assessment Program
- 4.2 Fermilab ES&H Manual Chapter 1040.2, ESHTRK Procedures
- 4.3 Fermilab ES&H Manual Chapter 1040.3, ESHTRK Procedures, Risk Assignment

5.0 DISTRIBUTION

- 5.1 An electronic controlled copy of this procedure is maintained at

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APPENDIX A: BSS ES&H INSPECTIONS AND TESTING

Radiation Safety

- Dose rate, radioactive material, contamination, and radwaste storage surveys (weekly-to-annual, depending on the location)
- Radiation fence and sign surveys (semiannual)

Environmental Protection

- Chemical storage and Satellite (waste) Accumulation Area inspections (Quarterly)

Safety and Health

- Emergency Eyewash inspections (weekly)
- Review of Confined Spaces (annual)
- Emergency Lights, Exit Signs (monthly)
- Forklift (weekly)
- Slings (annual)
- Overhead Hoist (monthly)
- Fire Department Equipment (see FD)

