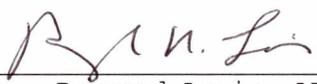


ACCELERATOR DIVISION ENVIRONMENT, SAFETY AND HEALTH PROCEDURE

ADSP-01-0401

ES&H SELF-ASSESSMENT PROGRAM

RESPONSIBLE DEPARTMENT ES&H

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1.0 PURPOSE AND SCOPE

The purpose of the Accelerator Division (AD) Environment, Safety, and Health (ES&H) Self-Assessment Program (SAP) is to implement the requirements of Fermilab ES&H Manual (FESHM) chapter 1010.1 and, in so doing, evaluate objectively the various components of the ES&H program within the Division. ES&H performance shall be measured against contractual requirements (i.e., the "Work Smart Set" (FESHM chapter 1070)) and performance measures, internal (AD) ES&H-related policies and procedures (e.g., AD ES&H Procedures (ADSPs), AD Departmental Procedures (ADDPs)), and any other requirement deemed applicable and appropriate by the Division Head. The SAP contributes to the performance assessment function of the Integrated ES&H Management System, thereby facilitating continuous improvement of the AD ES&H program.

2.0 RESPONSIBILITIES

2.1 The DIVISION HEAD:

- Approves this procedure and reviews it every 5 years 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 Division are not sufficiently independent of the activities being assessed, the Division Head will secure the participation of independent and impartial employees from another Division/Section. The Division 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 AD spaces.

2.2 The LINE ORGANIZATIONS:

- Participate directly in periodic Department Head inspections and Division Head walk-throughs.
- 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 ES&H Department 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 ES&H Department 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 Division Head and the ES&H Department Head informed regarding the planning and progress of the assessment.

### 2.3 AD ES&H DEPARTMENT staff:

- Assist the Division Head in carrying out his responsibilities under FESHM chapters 1010.1 and 1010.2.
- Participate in Department Head inspections.
- Participate in Highly Protected Risk (HPR) inspections.
- Serve as Tripartite assessment team members or coordinators.
- Enter assessment findings and corrective action plans 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 Division and Department management on methods for improving the safety of their processes.
- Audit line organizations' ES&H performance.

### 3.0 INSTRUCTIONS

#### 3.1 ELEMENTS OF THE AD ES&H SELF-ASSESSMENT PROGRAM

##### 3.1.1 Assessments by the Accelerator Division Head

The Accelerator Division Head is continually engaged in scheduled and ad hoc informal assessments of Division performance. The Division 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 Division Head, as is the level of documentation required. The Division Head also conducts periodic (approximately weekly) walk-through inspections of AD areas. As needed, he involves other division's management in these walk-throughs. The tours focus on facility condition and work practices of AD personnel.

##### 3.1.2 Department Head Inspections

Formal departmental self-assessment activities are limited to quarterly Department Head Inspections. These walk-through

inspections are generally conducted quarterly, although a few organizations with responsibility for a relatively small amount of territory may be inspected semi-annually or annually. Participants normally include the Department Head or designee, assigned Area Manager(s), AD ES&H Department personnel, and individuals from the Department of Energy Fermi Site Office (DOE-FSO). The scope of the inspections is usually conventional safety and health plus environmental protection. Radiation protection inspections are handled separately (see Appendix A), although if a radiation safety issue is observed, it is noted as a finding and referred to the AD Radiation Safety Group for action. The results of these inspections are entered into ESHTRK by the AD ES&H Department.

### 3.1.3 Tripartite Assessments

A Tripartite assessment is an audit of an organizational unit that brings together three groups: DOE-FSO, ES&H Section and division/section personnel. Tripartites are scheduled and conducted in accordance with FESHM chapter 1010.1.

### 3.1.4 Internal Assessments by the AD ES&H Department

The AD ES&H Department conducts numerous inspection and test activities relating to the potential hazards within the Division's areas and activities. These inspections and tests are integral to maintaining the safe operation of the accelerator complex and are performed in accordance with practices developed within the Department. They are listed in Appendix A for reference; they 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 by the AD ES&H Department and are primarily functional audits of ES&H specialty disciplines or programs within AD to verify that applicable elements of each program have been developed, documented, and effectively implemented throughout the Division and to determine ways to improve implementation of sound ES&H practices within the Division.

The Head of the AD ES&H Department determines the need for these types of audits in consultation with his staff and schedules them with the concurrence of the Division Head. AD ES&H personnel conduct these assessments, though they may request the assistance of AD or other Division/Section personnel, Fermilab ES&H Section professionals, or subcontracted consultants. The results of individual assessments are reported to the Accelerator Division Head and 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 AD ES&H Self-Assessment Program

This program shall be reviewed by the AD Head at least every five years to evaluate the effectiveness of the program in meeting the goals of the Division 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.

Division Head walk-throughs are typically informal affairs with little documentation unless a substantial issue is identified, in which case it would be referred to the ES&H Department for entry into ESHTRK.

Department Head and HPR inspection results are documented and tracked via ESHTRK.

Results of ES&H Department functional audits are also entered into ESHTRK per FESHM chapter 1010.1. The format and content of these reports are either determined by precedent within the division for that type of report or are established at the discretion of the lead auditor. Requirements for format and content of tripartite self-assessment reports are contained in FESHM 1010.1.

Division 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 Division Head schedules his walk-throughs with the Deputy Division Head and the department head for the area being inspected.

The ES&H Department Head publishes a schedule for the Department Head inspections each December for the coming year.

Tripartite Assessments are scheduled pursuant to the process outlined in FESHM Chapter 1010.1. HPR inspections are scheduled pursuant to FESHM Chapter 6015.

The schedules for the AD ES&H Department inspections and tests listed in Appendix A are determined by the Head of the AD ES&H Department or cognizant group leader. The nominal frequency of these activities is shown in Appendix A. ES&H Department audits of AD ES&H programs are scheduled by the ES&H Department Head once a need is identified.

The schedule of activities of the AD SAP may be adjusted by up to two calendar quarters if conflicts arise from or because of programmatic operations or other reasons. When anticipated, such delays are to be reported to the Division Head. Postponement of any such scheduled activities, if warranted, is to be approved by the AD Division Head.

3.4 AUDITOR QUALIFICATIONS

Appropriate levels of experience, training, and independence for participants in ES&H self-assessments will be determined by the Division Head, in consultation with the AD ES&H Department Head.

3.5 ESHTRK PROCEDURES

The ES&H Department will enter the following into ESHTRK:

- Observations made during Division Head walk-throughs when deemed worthy of reporting and tracking by the Division Head
- Findings from Department Head Inspections
- Results of assessments conducted by the ES&H Department
- Corrective actions in response to any assessment findings entered into ESHTRK
- Results of Tripartite ES&H assessments for which AD supplied the lead auditor
- Results from HPR Inspections

Entries shall be made consistent with the formatting guidance in FESHM chapter 1010.1.

The ES&H Department will also close findings in ESHTRK when the responsible individual reports that the corrective actions have been completed.

The ES&H Department will periodically review the contents of ESHTRK to check on the appropriateness and status of follow-up actions and to identify trends.

**APPENDIX A: AD ES&H DEPARTMENT 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)
- Radiation Safety System testing (semiannual)

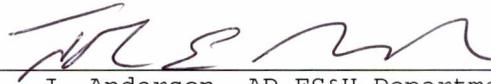
Environmental Protection

- Chemical storage and Satellite (waste) Accumulation Area inspections (bimonthly)
- Spill source inspections (performed by departments owning the equipment; results provided to AD/ES&H)

Safety and Health

- Eyewash inspections (weekly)
- ELSA escape pack inspections (monthly)
- MI-65 underground stored Ocenco escape pack inspections (quarterly)
- Asbestos inspections and air monitoring (annual)
- High Noise Area monitoring and inspection (as needed)
- Fixed oxygen monitor tests (semiannual)
- Review of confined spaces (annual)

APPROVAL:



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J. Anderson, AD ES&H Department Head