

Line #	Criteria/ Lines of Inquiry	Item #	Fac & Log Div Compliance Description	Compliant (Y/N)	Corrective Actions	Action Manager	Target Comp Date	Actual Comp Date
1	<b>Criteria:</b> Line management ensures that the contractors and subcontractors utilize systematic mechanisms to define the scope and schedule of work and identify associated risks and hazards so that the plan at each successively lower tier reflects an increasingly detailed description of the work to be performed.							
2	<b>Criteria:</b> Work control systems and procedures that address definition of work scope are developed for all types of work activities and are effectively implemented. These processes ensure that the scope of all work is clearly defined, communicated, and bounded such that activities necessary to control hazards to workers, the public, and the environment are identified.							
3	<b>Lines of Inquiry:</b>							
4	Are contractor/subcontractor managers and subject matter experts' managers actively involved in the definition of projects to ensure allocation of resources can be addressed?	4.a	At all levels, the Annual Work Plan defines projects and allocates resources.  Ten Year Site Plan (TYSP) is updated annually.	Y	NA	NA	NA	NA
		4.b	Work is defined in a subcontractor statement of work.  VFA database (site condition assessment) is used to populate FIMS for developing a budget for work.	Y	NA	NA	NA	NA
5	Do project documents, safety envelopes, and permits adequately bound the scope of work defined in work orders, procedures, and/or instructions? Does the work definition process include a screening against the safety envelope and/or permits?	5.a	FSAD establishes the safety envelope	Y	NA	NA	NA	NA
		5.b	Work orders detail the safety issues, hazards, and specifications for the tasks through Maximo.  Activity Hazard Analysis, Task Hazard Analysis  SOPs help define the tasks as well as daily pre-job briefs.	N	Explore a hard link between ATLis and its clones and Maximo.  Evaluate putting a link between CATS and work orders.	Kair Heffner, MIS	5/31/08	

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6	Is the work observed adequately bounded by approved work packages, procedures, and permits?		ES&H Manual, SOPs, and work orders bound the work.					
		6.a	Property and Procedures Manual Skill of the Craft (individual training plans)	N	Include Jlab specific training required for JSA employees within their ITP.	Brand	4/30/08	
		6.b	Subcontractors - training, qualification, and experience requirements are specified in subcontract.	Y	NA	NA	NA	NA
7	Have higher-level work documents, such as project plans, been translated into discrete work packages and procedures with well-defined boundaries and interfaces?	7.a	AWP requirements flow down into work packages and SOPs, which define the boundaries and interfaces.	Y	NA	NA	NA	NA
8	Is work defined at the task level such that workers, supervisors, planners, and appropriate environment, safety, and health (ES&H) personnel can readily identify the hazards and risks associated with both the work activities and the environment/location in which it is performed?	8.a	AHAs as well as THAs are used to define the hazards and risks associated with the task and are included in work orders and SOPs. Pre-job walkdowns are performed as an additional step for defining the hazards and risks.	N	Develop and publicize Skill of the Craft workflow chart.	Bob May	4/30/08	
		9.a	Division-wide - Urgency is communicated by the work request in Maximo. Daily planning meetings are held which allow allocation of resources.	N	Develop a generic agenda to describe key points to cover during daily planning meetings.	Paul Powers	4/18/08	
9	Are work activities properly prioritized to allow adequate allocation of resources and scheduling based on the importance of the work, safety impact, and risk?	9.b	Mechanical Group - Tasks/issues are maintained on a white board and are used to help review, prioritize, and schedule work.	Y	NA	NA	NA	NA
		9.c	Janitorial and Security - DAR (daily activity report) and inspection reports from janitorial services are reviewed daily to identify urgent issues.	Y	NA	NA	NA	NA
10	Have adequate personnel and equipment resources been identified for the performance of work, including operations, maintenance, and ES&H support?	10.a	AWP requests Project documents clearly define cost, scope and schedule.	Y	NA	NA	NA	NA

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11	Do work-planning processes provide for early involvement of workers and ES&H staff to fully define the work and allow effective identification of hazards? Are specific thresholds identified for involvement of ES&H personnel in the hazard analysis process?	11.a	The requisition system (for subcontracted work) risk code 2 or above gets routed to ES&H for review and approval.  Service Subcontractors - pre-bid walkdowns and conferences  Workers are encouraged to provide input before and during work document development process.  Manager open door policy for receiving input.	Y	NA	NA	NA	NA
12	Are tasks for minimizing waste generation and controlling the release of effluents to the environment adequately defined during work planning?	12.a	Subcontract includes requirements for minimizing waste and controlling release of effluents.	Y	NA	NA	NA	NA
		12.b	JSA work - requirements included in SOPs as they flow from ES&H requirements.  Property Manual also provides guidance for release of potentially contaminated items.	Y	NA	NA	NA	NA
13	Are work packages sufficiently detailed, based on work activity and degree of hazard, to establish a clear understanding of the work to be performed and how safety should be integrated into that work?	13.a	Work is defined in a subcontractor statement of work.  Details in work packages describing the hazard and safety aspects are included based on a graded approach.	Y	NA	NA	NA	NA
14	Is worker input integrated into planning activities?	14.a	See 11.a	Y	NA	NA	NA	NA

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15	<b>Criteria:</b> Work systems and procedures are developed and effectively implemented that ensure hazards for all work are identified and appropriately analyzed based on the significance of the hazards. Prior to the initiation of work, line management identifies, analyzes, and categorizes the hazards associated with the work activity so that the hazards are eliminated or appropriate administrative and engineering controls can be put in place to prevent or mitigate those hazards.							
16	<b>Lines of Inquiry:</b>							
17	Do institutional level ES&H procedures effectively address the hazard analysis process at the working level and are the procedures properly implemented?	17.a	ESH&Q Division Responsibility	NA	NA	NA	NA	NA
18	Are the responsibilities for environment, safety and health subject matter experts and reviewers for hazard analyses established and understood?	18.a	For projects that disturb one acre or more of land, an Environmental Protection Plan is required.. For projects that disturb between 2,500 square feet and 1 acre of land, an Erosion Control Plan is required. SOTR works with ESH personnel to determine if the DCR stormwater permit needs to be amended.  ES&H personnel are required to sign-off on all requisitions with a risk code 2 or above.  Pre-job walkdowns are performed as an additional step for defining the hazards and risks.	Y	NA	NA	NA	NA
19	Are standardized hazard assessment processes developed and appropriately graded in their approach based on the complexity of the activity/work, performance frequency, and initial or previous hazard screenings or analysis of the activity?	19.a	Work orders detail the safety issues, hazards, and specifications for the tasks through Maximo.  AHAs as well as THAs are used to define the hazards and risks associated with the task and are included in work orders and SOPs.  Pre-job walkdowns are performed as an additional step for defining the hazards and risks.	N	Explore a hard link between ATLis and its clones and Maximo.  Evaluate putting a link between CATS and work orders.	Kair Heffner, MIS Duplicate of Item 5.b	5/31/08	

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20	Are thresholds identified within the hazard analysis process to trigger appropriate involvement of ES&H professionals?	20.a	<p>For larger projects and initiation of Service subcontracts, EH&amp;S is involved in the planning and review of safety requirements. Generally, SOTRs are the EH&amp;S SMEs, so they are involved at the Work Request stage. Work orders detail the safety issues, hazards, and specifications for the tasks through Maximo.</p> <p>AHAs as well as THAs are used to define the hazards and risks associated with the task and are included in work orders and SOPs.</p> <p>Pre-job walkdowns are performed as an additional step for defining the hazards and risks.</p>	Y	NA	NA	NA	NA
21	Do the hazard analysis processes address all types of work activities to be performed including skill of the craft or skill of the performer?	21.a	<p>Work orders are classified at the beginning as to the "Skill of the Craft" required. Where this is found to be in error, the work order is reassigned to the appropriate personnel. Work orders detail the safety issues, hazards, and specifications for the tasks through Maximo.</p> <p>Pre-job walkdowns are performed as an additional step for defining the hazards and risks.</p>	Y	NA	NA	NA	NA
		22.a	<p>Subcontractor Projects require a Work permit. The work permit has other projects required permits and plans attached or notes location. Attachments to work permits include dig permit, safety plan, etc as required for the work to be performed.</p> <p>When work is assigned via work orders, the work order is the work permit and the same or other documents may be required, depending on the scope of the work.</p>	Y	NA	NA	NA	NA

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22	Do formal procedures guide the development of activity-level hazard analyses and ensure the hazard analyses are tailored to the specific work being performed?	22.b	Work by JSA staff - AHA, SOP, TOSP are developed as needed. Work orders detail the safety issues and hazards for the tasks through Maximo. ESH sign-off is not required unless work is level 2 or above.	Y	NA	NA	NA	NA
23	When work scope and technical work document tasks are changed, are the hazard assessments reviewed for impact'?	23.a	Yes, they are analyzed to verify that the work can proceed. If not, they are mitigated through engineered or administrative measures before work resumes.	Y	NA	NA	NA	NA
24	Do planners, workers, environment, safety and health and waste management staff, and facility management personnel walk down work sites to identify activity-related hazards and co-located hazards based on the risk associated with the activity?	24.a	All projects (subcontractor or staff) are inspected by the SOTR and by ESH personnel on regular basis. Walkdowns are performed prior to the start of work for every task.	Y	NA	NA	NA	NA
25	Are resident area hazards and potential for additive or synergistic effects properly considered for the introduction of additional hazardous, materials, or activities?	25.a	Yes, as part of the hazard analysis, consideration of the work requirements are analyzed with regard to their impacts to other activities and scheduled accordingly.	Y	NA	NA	NA	NA
26	When conditions change, are new potential hazards analyzed?	26.a	See Line Item #23	Y	NA	NA	NA	NA
27	Are accident scenarios related to hazardous work analyzed and properly considered to mitigate potential occurrence and severity?	27.a	Subcontractor follows our procedures for incident investigation. They are found in the Division 1 specifications. They use the Incident Investigation Worksheet, JLab Form No. 5200-T1 of the JLab EH&S manual. Yes, all accidents and close calls are analyzed using root cause analysis. Follow-on actions are assigned and Lessons Learned are published.	Y	NA	NA	NA	NA
28	Are workers involved in the hazard analysis process?	28.a	Pre-job walkdowns are performed as an additional step for defining the hazards and risks. This is in addition to the AHAs done prior to submitting work requests.	Y	NA	NA	NA	NA

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29	<b>Criteria:</b> Management systems for work control are developed and effectively implemented for work activities that ensure development of adequate hazard controls for performing the work safely and mitigating environmental impact.							
30	<b>Criteria:</b> Line management has established processes for identifying and tailoring controls for hazards associated with all facilities, operations, and work activities.							
31	<b>Criteria:</b> Hazard controls are established based on an analysis of hazards, vulnerabilities, and risks in the work environment (e.g., radiological, chemical, industrial, physical, and natural phenomena).							
32	<b>Lines of Inquiry:</b>							
33	Are standardized hazard controls developed and used in an appropriately graded approach based on project/work complexity and risk, performance frequency, and hazard analysis results?	33.a	<p>Work orders detail the safety issues, hazards, and specifications for the tasks through Maximo.</p> <p>AHAs as well as THAs are used to define the hazards and risks associated with the task and are included in work orders and SOPs.</p> <p>Pre-job walkdowns are performed as an additional step for defining the hazards and risks.</p>	Y	NA	NA	NA	NA

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34	Do controls encompass each phase of work performance and all aspects of the work, including potentially abnormal or emergency situations?	34.b	<p>If work changes, it stops until abnormal or emergency conditions are addressed. Work orders detail the safety issues, hazards, and specifications for the tasks through Maximo.</p> <p>AHAs as well as THAs are used to define the hazards and risks associated with the task and are included in work orders and SOPs.</p> <p>Pre-job walkdowns are performed as an additional step for defining the hazards and risks. For a new activity, a pre-task walkdown may also be conducted. SOTR contacts ESH personnel for abnormal or more critical activities.</p>	Y	NA	NA	NA	NA
35	Are the knowledge, skills, and abilities of the work force considered when selecting the form of controls'?	35.c	<p>Work is assigned based on Skill of the Craft which starts at the SOTR level. Subcontractor construction and service ESH presentations have been developed specifically to cover controls. It is a basis ESH course and other courses can be required at JLAB. JLAB training is provided at no cost to the contractor.</p>	Y	NA	NA	NA	NA
36	Are the types of controls (engineering, administrative, and personal protection equipment) applied in the correct sequence and with an appropriate technical basis?	36.a	<p>Engineering controls, where possible, are either built-in or added. Where Engineering controls don't exist or are not feasible, appropriate Administrative controls, including work control documents, are developed. Subcontractor construction and service ESH presentations have been developed specifically to cover controls. It is a basis ESH course and other courses can be required at JLAB. JLAB training is provided at no cost to the contractor. The types of JLAB training, PPE, etc. are defined in the meeting.</p>	Y	NA	NA	NA	NA

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37	Are the hazard controls comprehensive and adequate for maintaining planning efficiency while ensuring acceptable hazard mitigation or elimination?	37.a	To some degree, it is a work in progress and its always going to be so. When a need is identified, an Administrative control is developed. While the Administrative control is in use, the feasibility of an Engineering control is examined. Subcontractor construction and service ESH presentations have been developed specifically to cover controls. It is a basis ESH course and other courses can be required at JLAB. JLAB training is provided at no cost to the contractor. The types of JLAB training, PPE, etc. are defined in the meeting.	Y	NA	NA	NA	NA
38	Are corresponding training requirements incorporated into controls and hazard assessments'?	38.a	Subcontractors - training, qualification, and experience requirements are specified in subcontract. When additional training is required, the subcontracts are modified to require that training or task orders are issued to cover the training and JLab pays for it.	Y	NA	NA	NA	NA
39	Are thresholds identified for involvement of ES&H personnel in the tailoring or implementation of hazard controls?	39.a	ES&H personnel are involved for any construction project where the risk code is greater than a 2.	Y	NA	NA	NA	NA
40	Are workers/supervisors stop work authorities and responsibilities clearly defined for unexpected hazards or safety concerns?	40.a	This is Jlab policy and is included in Safety Training. All employees and subcontractor personnel have Stop Work authority.	Y	NA	NA	NA	NA
41	Do procedures address liaisons and interfaces between organizations to ensure conflicts and overlapping work activities are properly coordinated and resolved?	41.a	This is one of the reasons for the multiple work coordination databases (Atlis, Tatl, FELlist, end Stations).  Procedures are being followed to communicate with other departments, but it is not a formal process.	N	Develop procedures to coordinate work with Safety Wardens and Building Managers.	Carroll Jones	4/30/08	
42	Are control sets sufficiently analyzed to ensure they do not conflict or introduce additional hazards?	42.a	Controls is part of the planning for the activity. The best control is selected prior to a task commencing.	Y	NA	NA	NA	NA

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43	Do controls sufficiently provide notification and afford protection to co-located workers who may either be present or traverse the areas potentially impacted by the activity?	43.a	Use of barriers is included in work control documents to protect non-involved workers. These barriers are available to workers for their use and, as appropriate, their use is inspected. In many cases, construction areas in its entirety are roped off. Walking trail being closed is one example.	Y	NA	NA	NA	NA
44	Is independent safety review of the adequacy of controls provided for higher hazard activities?	44.a	ES&H personnel are involved for any construction project or contracted service where the risk code is greater than a 2.  AHA, TOSP, SOPs and Safety Plans are reviewed by ES&H personnel	Y	NA	NA	NA	NA
45	Are workers involved in the development of controls?	45.a	Yes, workers are consulted during the development of work control documents for feasibility and their suggestions for improvement. Controls is part of the planning for the activity. The best control is selected prior to a task commencing.	Y	NA	NA	NA	NA
46	Are parameters clearly defined and established in appropriate facility procedures? Are hazard controls sufficient to ensure that facility and other operating limits are not exceeded?	46.a	Yes, work control documents are developed to be broad enough to capture the entire scope of the activity covered. Subcontractor construction and service ESH presentations have been developed specifically to cover controls. It is a basis ESH course and other courses can be required at JLAB. JLAB training is provided at no cost to the contractor.	Y	NA	NA	NA	NA
47	Have facility safety requirements been clearly translated into facility, building, system, and equipment specific information that are available and usable by workers within the facility?	47.a	Safety requirements are a door that a worker has to go through to access the facility, building, system and equipment, but is not a substitute for O&M Manuals. Examples include Evacuation Plans, Hazard Warning signs on doors.	Y	NA	NA	NA	NA
		48.a	Work by JSA staff - AHA, SOP, TOSP are developed as needed. Work orders detail the safety issues and hazards for the tasks through Maximo. ESH sign-off is not required	Y	NA	NA	NA	NA

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48	Are appropriate hazard controls from hazard analyses and permits included in approved work documents and are they adequately implemented'?	48.b	Subcontractor Projects require a Work permit. The work permit has other projects required permits and plans attached or notes location. Attachments to work permits include dig permit, safety plan, etc.	Y	NA	NA	NA	NA
49	Are standardized hazard controls developed and used in an appropriately graded approach that considers work complexity, performance frequency, and magnitude of the risks'?	49.a	We use the risk code matrix as part of the AHA and THA. EH&S review is required for any activity with a 2 or greater.	Y	NA	NA	NA	NA
50	Are work documents complete with adequate procedures, instructions, and/or drawings, and are bounding conditions and limitations clearly specified?	50.a	Work documents (work orders, work permits) define the scope and address bounding conditions and limitations.	Y	NA	NA	NA	NA
51	Are permits appropriately tailored, specified and integrated into the work package (e.g., Lockout/Tagout, radiological work, confined space, hot work, energized electrical, elevated work, and asbestos abatement)?	51.a	These requirements are addressed in contract documents for contractors. For Jlab workers, they are given initial training in required areas and additional training is provided as the need arises or requirements change.  For construction projects, work permits are issued with other approved permits attached, as required.	Y	NA	NA	NA	NA
52	Is the reliability of hazard controls for higher risk activities assessed and failure consequences determined and considered?	52.a	All risk codes greater than 2 are mitigated to 2 or less. If mitigation fails, work is stopped until additional measures can be taken to address the deficiency. If this results in a new procedure, that new procedure is incorporated into training for existing and new personnel.	Y	NA	NA	NA	NA
53	When project/work scope and tasks are changed, are the hazard controls reviewed for impacts?	53.a	See Line Item 23.	Y	NA	NA	NA	NA
54	Are training requirements for personnel needed to perform the work in accordance with established controls clearly defined, specified and implemented'?	54.a	These requirements are addressed in contract documents for contractors. For Jlab workers, they are given initial training in required areas and additional training is provided as the need arises or requirements change. As their training expires, notices are received to update their training.	Y	NA	NA	NA	NA
55	Are appropriate analytical parameters and data quality objectives included in sampling and analysis programs?	55.a	ASTM Standards, Property Manual Sampling by IH	Y	NA	NA	NA	NA

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56	Are the required administrative and engineering controls in place at locations where waste is generated and stored (for example, signs identifying less-than-90-day storage areas) per internal and external requirements?	56.a	Section 6760 - Acid, oil, refrigerant turned over to RadCon per the SPCC plan.	N/A	IH			
57	Are signs and postings clear and current with regard to hazards and entry requirements?	57.a	This work is accomplished by other groups via consultation with EH&S	N/A				
58	Is there appropriate linkage between tasks, hazards, and hazard controls in work control documents?	58.a	Work control documents include hazard identification, analysis and required mitigation measures to reduce the hazard to risk code 2 or lower.	Y	NA	NA	NA	NA
59	Are workers and appropriate environment, safety, and health professionals included on planning teams and involved in hazard control development? Are minimum thresholds identified, based on the hazards and risks, which require the involvement of ES&H and waste management personnel and subject matter experts when developing work packages and during work activities?	59.a	ES&H personnel are included in the planning, design review, pre-bid and pre-performance stages of all construction projects. They are required to review and work where the risk code is greater than a 2.  AHA, TOSP, SOPs are reviewed by ES&H personnel	Y	NA	NA	NA	NA
60	Do environmental, waste management, radiological, health, safety, and operations personnel have an adequate understanding of each other's requirements and processes to minimize environmental impacts and meet regulatory requirements?	60.a	ES&H personnel are involved for any construction project where the risk code is greater than a 2.  AHA, TOSP, SOPs are reviewed by ES&H personnel  AHAs for example define the hazard and provide controls to minimize these hazards.	Y	NA	NA	NA	NA
61	Are the roles and responsibilities for ES&H subject matter experts, and reviewers well documented, and are development and implementation or controls established and understood?	61.a	ESH&Q Division Responsibility	NA	NA	NA	NA	NA

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62	<b>Criteria:</b> Line management ensures that work is safely performed and managed in accordance with requirements and safety management performance expectations. Contractors and subcontractors execute defined requirements such that employees are protected from adverse consequences.							
63	<b>Criteria:</b> Line management has established and implemented processes to confirm that a facility or work activity, as well as the work force and selected hazard controls, are in an adequate state of readiness before authorizing the performance of work.							
64	<b>Criteria:</b> Line management has the responsibility for ensuring that all operations are authorized at a level commensurate with the hazards, and has established work authorization processes for site, facility, and activity-level operations.							
65	<b>Lines of Inquiry:</b>							
66	Are work activities formally scheduled on the plan of the day, or equivalent mechanisms, to facilitate notification to affected personnel, resolution of scheduling conflicts, identification of resources and support required, prioritization with other work, and availability of required facilities and systems?	66.a	For all construction projects - a barchart or CPM schedule is a requirement. Prior to work commencement a work permit is issued.	Y	NA	NA	NA	NA
		66.b	For all FM work requests - work is scheduled by contacting the building manager or person/group affected and coordinating work with that person. In sensitive areas, use of one of the many work tracking systems is used coordinate activities among various groups.	Y	NA	NA	NA	NA
67	Are pre-job briefings appropriately performed and effective in communicating work scope, prerequisites (including training), hazard control requirements, and permit requirements to all workers? Are job specific and area hazards adequately communicated to all workers before the start of work?	67.a	Pre-job walkdowns are performed as an additional step for defining the hazards, materials, and resources. Pre-job briefings are used to verify that appropriate notifications have been made, that materials are ready, that work control documents, if required, are accessible and contingencies are ready.	Y	NA	NA	NA	NA
68	Is there an effective process that defines the interface requirements between the facility managers, operations, support organizations, and the maintenance organization to ensure that defined work does not overlap and cause conflicts?	68.a	For larger jobs, work is coordinated in the bi-weekly status report. For smaller jobs, coordination is provided to the building manager. For very small jobs, the work is coordinated with the occupants of the area.	N	Develop procedures to coordinate work with Safety Wardens and Building Managers. See Item Number 41	Carroll Jones	4/30/08	

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69	Does the work approval and authorization process define appropriate mechanisms to address significant changes in work scope or method of work completion once initial approval is obtained?	69.a	These requirements are defined in the subcontract documents. Direction to proceed comes from the Subcontracting Officer after EH&S review if risk cat. Is above 2.	Y	NA	NA	NA	NA
70	Have work activities and projects been properly planned, reviewed, and authorized? Are methods for authorizing work and verifying the readiness to perform work formal and documented?	70.a	For all construction projects - a barchart or CPM schedule is a requirement. This schedule is reviewed and approved by FM&L before work can proceed. Prior to work commencement a work permit is issued.	Y	NA	NA	NA	NA
		70.b	For all FM work requests - work is scheduled by first accepting a work order to understand the scope of work and order materials. Work is not formally scheduled, but is assigned daily by the facilities supervisor.	Y	NA	NA	NA	NA
71	Is proper authorization obtained to perform the work (e.g., project work or work package approval) and immediately prior to start of work (work release – facility/building conditions adequate to start work)?	71.a	For larger jobs, construction jobs, a work permit is issued prior to work commencement a .	Y	NA	NA	NA	NA
		71.b	For smaller jobs - work is scheduled by issuance of a work order from the work request system, Maximo. After walkdowns, work is scheduled with affected parties. Immediately prior to beginning work, work is approved to begin at morning meetings which serve as coordination functions.	Y	NA	NA	NA	NA
72	Is the work performed in a manner consistent with the defined work scope and limitations?	72.a	For all construction projects - a work statement is provided for work to be bid on. If a change is required, a formalized change control process is initiated.	Y	NA	NA	NA	NA
73	Are all precautions and prerequisites met including facility/system configurations, hazard controls, and other conditions?	73.a	In larger jobs, this is spelled out in the work restrictions and EH&S specifications. In smaller jobs, it is accomplished through the other work control systems, where applicable.	Y	NA	NA	NA	NA
74	Are training requirements and pre-job briefings completed and adequate for the authorized work activity?	74.a	All construction personnel must be either 100% escorted or be trained. Training requirements for all personnel.	Y	NA	NA	NA	NA

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75	Are personnel qualified and trained to perform the work in accordance with established controls?	75.a	Workers ITPs are kept up to date and reviewed before assigning work where an unusual hazard exists. Where regular/normal hazards exist, those hazards and mitigation are addressed via skill of the craft and Jlab or subcontractor training.	Y	NA	NA	NA	NA
76	Is there periodic and adequate supervision of activities based on the risk of the work activity'?	76.a	All SOTR are required to regularly inspect projects for schedule, quality control and safety. Where there is a higher hazard or work that is not more routinely done, additional oversight is performed.	Y	NA	NA	NA	NA
77	Is the supervisor's span of control adequate based on the complexity of the work, the hazards, and the number of concurrent jobs being supervised?	77.a	All employees have Stop Work authority. Supervisor's are assigned based on their knowledge of the work to be performed. Where additional projects require additional oversight, additional inspectors are hired.	Y	NA	NA	NA	NA
78	Do personnel adhere to postings, work control documents, procedures, and permits, including working within defined scopes, instructions and hazard controls, and completing required documentation?	78.a	JLAB Employees - Not everyone follows postings. Walking trail violations for instance.	N	Policy Enforcement	Mike Dallas	4/30/08	
		78.b	Project Personnel - Stop observations and construction safety fines are used as a means to comply with established controls.	Y	NA	NA	NA	NA
79	Are quality control/quality assurance provisions accurately and adequately followed during performance of the work?	79.a	Inspections are part of the close-out of any activity that a work order is generated.	Y	NA	NA	NA	NA
80	Are workers knowledgeable of activity/project level instructions and are they competent so the work is performed as described in the work documents?	80.a	Yes - Skilled trade is on site or is brought in as required.	Y	NA	NA	NA	NA
81	Is equipment placed in a safe condition at the end of the work activity or work shift, and properly turned over to the next shift?	81.a	These requirements are contained in subcontract documents. Typically, work is performed with only one shift of personnel. At the end of that shift, the area is cleaned/restored or it is secured/posted.	Y	NA	NA	NA	NA
82	Do workers/supervisors stop activities and/or correct deficiencies when tasks cannot be performed as prescribed by work control documents or when safety concerns are encountered? Do workers understand their stop work authority and responsibility?	82.a	All personnel understand that they have stop work authority.	Y	NA	NA	NA	NA

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83	Are mission/production pressures appropriately balanced with the requirements to work safely during the observation of work? Do these pressures have the potential to lead to unsafe practices or failure to follow required controls?	83.a	Safety will not be compromised. If we can't work safely, then work cannot be performed	Y	NA	NA	NA	NA
84	Are ongoing surveys or other analyses conducted to ensure work hazards are not changing and work controls remain effective?	84.a	SOTR/staff responsibility. STOP observations are used to collect data and focus additional training.	Y	NA	NA	NA	NA
85	Do all personnel comply with established controls including procedure requirements, postings, barriers, limits, sampling and monitoring requirements, stop work limits, and personal protective equipment requirements?	85.a	Stop observations and construction safety fines are used as a means to comply with established controls.	Y	NA	NA	NA	NA
86	Are waste generation and storage requirements at the point of generation being performed (for example, hazardous waste containers are labeled and kept closed) within requirements?	86.a	Waste generation is part of the project/task planning activity and subcontracts. We allow subcontractor personnel to recycle with our containers on site.	Y	NA	NA	NA	NA
87	Are hazard controls effective in their ability to maintain releases to the environment as low as reasonably achievable?	87.a	Hazard control is part of the project/task planning activity and subcontracts.	Y	NA	NA	NA	NA
88	Do workers properly segregate the wastes generated to facilitate the waste management requirements and enhance the pollution prevention opportunities?	88.a	EMS is taught to all personnel including subcontractor personnel and is required as part of subcontract documents.	Y	NA	NA	NA	NA
89	Are the environmental impacts of operations and activities properly managed in accordance with requirements?	89.a	For projects that disturb one acre or more of land, an Environmental Protection Plan is required.. For projects that disturb between 2,500 square feet and 1 acre of land, an Erosion Control Plan is required. SOTR works with ESH personnel to determine if the DCR stormwater permit needs to be amended.	Y	NA	NA	NA	NA
90	Is there an established systematic approach to authorizing work, including projects, startup of processes and facilities, and operations?	90.a	Subcontractor Projects require a Work permit. The work permit has other projects required permits and plans attached or notes location. Attachments to work permits include dig permit, safety plan, etc.	Y	NA	NA	NA	NA
		90.b	Work by JSA staff - AHA, SOP, TOSP are developed as needed. Work orders detail the safety issues and hazards for the tasks through Maximo. ESH sign-off is not required unless risk code is 2 or above.	Y	NA	NA	NA	NA

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91	Are ES&H representatives actively involved in the observation of work activities?	91.a	The limited knowledge and experience with construction standards (OSHA) restricts EH&S effectiveness.	N	Additional training and off-site observation for EH&S professionals to gain experience. ESH&Q Internal Seminar is planned.	Bob May	4/30/08	

Line #	Criteria/ Lines of Inquiry	Item #	Fac & Log Div Compliance Description	Compliant (Y/N)	Corrective Actions	Action Manager	Target Comp Date	Actual Comp Date
92	<b>Criteria:</b> Line management has effectively developed and implemented a feedback and improvement process at the work activity level.							
93	<b>Lines of Inquiry:</b>							
94	Are formal post-activity review processes (e.g., post-job reviews, operations reviews) established and effectively used?	94.a	Lab-wide - No formal post job review process exists	N	Develop and implement a post job review process.	Bob May	NA - Tracked in Acc CRAD Wksp Matrix 94.a	
		94.b	Bi-weekly meetings are held to discuss what was done well and what can be done better.  Large projects - a post job review is performed and documented in meeting minutes.	Y	NA	NA	NA	NA
		94.c	Subcontractors - subcontracts require feedback and monthly QA meetings are held.	Y	NA	NA	NA	NA
95	Do subject matter experts, workers, supervisors, and line managers recognize, report, evaluate, and address accidents, incidents, near misses, injuries, illnesses, exposures and opportunities for improvement in a timely manner and in accordance with established procedures?	95.a	Lab-wide - ES&H Chapters 5200 (Incident/Injury Investigation) & 5300 (Occurrence Reporting) dictate this process.	Y	NA	NA	NA	NA
96	Is feedback from workers effectively solicited and used during work planning, execution, and closeout?	96.a	Workers are provided with opportunities to provide feedback. Feedback is informally solicited from workers. Feedback received is used during work planning and execution.	N	A formal worker feedback mechanism is being developed by ESH&Q	Bob May		
97	Is worker participation in safety programs (e.g., behavior based safety, safety committees) encouraged and effective?	97.a	Work Observation Program Representatives on Worker Safety Committee, Electrical Safety Committee, JRRP Committee Pressure Safety Committee, Material Handling Safety Committee Safety Warden	Y	NA	NA	NA	NA
98	Are lessons learned identified and incorporated into the work planning and authorization process?	98.a	See line 94	N	Site-wide Lessons Learned program being revised to address this.	Walt Akers	NA	NA
		98.b	In some cases yes - see 94.b & 94.c	Y	NA	NA	NA	NA

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99	Do assessment activities by line oversight include observation of work activities by managers, supervisors, and subject matter experts?	99.a	See 97.a	Y	NA	NA	NA	NA
100	Are deficiencies and weaknesses identified during work activities appropriately documented and managed in accordance with site issues management processes? Are associated corrective actions developed and implemented as required?	100.a	Risk code 2 and above, as defined by the Issues Management Procedure, are entered into CATS and managed by the Issues Management Procedure.	Y	NA	NA	NA	NA
101	Have findings related to work planning and control from previous Independent Oversight assessments been effectively corrected?	101.a	Work orders have been generated to correct physical deficiencies. Polices and work control documents have been developed to correct program deficiencies.	Y	NA	NA	NA	NA
102	For issues identified by the current inspection, what prevented contractor line oversight activities from identifying and correcting the problems?	102.a	That is the purpose of Lessons Learned and a result of Continuous Improvement.	Y	NA	NA	NA	NA