

Line #	Criteria/ Lines of Inquiry	Item #	Physics Div Compliance Description	Compliance (Y/N)	Corrective Actions	Action Manager	Target Comp Date	Actual Comp Date
1	Criteria: 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	Criteria: 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	Lines of Inquiry:							
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 a high level, the Annual Work Plan defines projects and allocates resources Program Advisory Committee (PAC) process includes defining scope and identifies needed resources necessary to support upcoming experiments Procedures that support the Experiment Readiness Review process and flowchart flows down to day-to-day allocating of resources and experiment schedules.		Review subcontract work process to see if there is a requirement for subcontractor managers to be involved in defining projects	Bob May	See Acc Div Matrix CA 4.d	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	Experiment Readiness Review process in ES&H Manual chapter 3120 incorporates the review and consideration of safety envelope and permit parameters in work procedures/instructions. ATLis as well as AList, BList, and Clist electronic planning and scheduling tools incorporate screening against safety envelope limits (ASE)		Review the Lab-wide work planning process (ES&H Manual Chapter 6711??) to see if it requires consideration of permit requirements during activity planning and procedure development. If not, revise work planning process, as necessary.	Bob May	See Acc Div Matrix CA 5.c	NA

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6	Is the work observed adequately bounded by approved work packages, procedures, and permits?	6.a	<p>Experiment Readiness Review process in ES&H Manual chapter 3120 is used to develop procedures for experiments.</p> <p>Procedures for maintenance (not related to experiments) are prepared IAW the SOP, TOSP chapter (3310) of the ES&H Manual</p> <p>Activity lists for schedules define scope of work</p> <p>ATLis as well as AList, BList, and Clist are used as electronic planning and scheduling tools. MS Project is used in all Halls to schedule major work activities.</p> <p>In addition, work conducted at Jlab is bounded by Skill of the Craft (Worker Planned Work) processes specified in ES&H Manual Chapter ????, personnel training & qualification, and use of approved procedures</p>		Define the threshold and expectations associated with Skill of the Craft work category	Bob May	See Acc Div Matrix CA 6.a	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	JLab work planning process is well defined in the ES&H manual and the provided work planning tools (Ex Review Process; AList, BList, CList) are implemented in one form or another at every level to develop work packages for discrete tasks specified in higher level documents (AWP, etc.)	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		Y	NA	NA	NA	NA

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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.a	The experiment schedule and activity lists identify the priorities for the Halls	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	The experiment schedule and activity lists identify necessary resources	Y	NA	NA	NA	NA
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	<p>Technicians write some of the procedures (SOPs and TSOPs) and also input work planning information into ATLis as well as AList, BList, and Clist electronic planning and scheduling tools</p> <p>Workers participate in meetings where planning for future work activities is discussed</p> <p>Workers review THAs</p> <p>ES&H Manual chapter 3210, Risk Matrix thresholds, requires that for risk levels above 2 that ES&H personnel be involved in the planning process</p>	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	Potentially contained in ES&H manual, chapter 6711, Environmental Monitoring. Managing petroleum products is governed by SOP (Phy-05-008-SOS)		Determine if Chapter 6711 of the ES&H Manual specifies waste generation and effluent release be considered during work planning. If not determine appropriate whether or not Ch 6711 is the appropriate place for this information and add accordingly.	Bob May	See Acc Div Matrix CA 12.a	NA

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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	Clear understanding of work to be performed and how safety is to be integrated is covered in Experiment Safety Assessment Documents, procedures, Work packages, training contents, qualification expectations, daily toolbox meetings, and job walkdowns.	Y	NA	NA	NA	NA
14	Is worker input integrated into planning activities?	14.a	See 11.a above	Y	NA	NA	NA	NA

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15	Criteria: 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	Lines of Inquiry:							
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	<p>Experiment Readiness Review process in ES&H Manual chapter 3120 is used to develop procedures for experiments.</p> <p>Procedures for maintenance (not related to experiments) are prepared IAW the SOP, TOSP chapter (3310) of the ES&H Manual</p> <p>Activity lists for schedules define scope of work</p> <p>ATLis as well as AList, BList, and Clist are used as electronic planning and scheduling tools. MS Project is used in all Halls to schedule major work activities.</p> <p>In addition, work conducted at Jlab is bounded by Skill of the Craft (Worker Planned Work) processes specified in ES&H Manual Chapter 3210, personnel training & qualification, and use of approved procedures.</p>	Y	NA			

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18	Are the responsibilities for environment, safety and health subject matter experts and reviewers for hazard analyses established and understood?	18.a	ES&H Manual chapter 3210, Risk Matrix thresholds, requires that for risk levels above 2 that ES&H personnel be involved in the planning process.	Y	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	Experiment Readiness Review process in ES&H Manual chapter 3120 incorporates the review and consideration of safety envelope and permit parameters in work procedures/instructions. ATLis as well as AList, BList, and Clist electronic planning and scheduling tools incorporate screening against safety envelope limits.	Y	NA			
20	Are thresholds identified within the hazard analysis process to trigger appropriate involvement of ES&H professionals?	20.a	ES&H Manual chapter 3210, Risk Matrix thresholds, requires that for risk levels above 2 that ES&H personnel be involved in the planning process.	Y	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	Experiment Readiness Review process in ES&H Manual chapter 3120 incorporates the review and consideration of safety envelope and permit parameters in work procedures/instructions. ATLis as well as AList, BList, and Clist electronic planning and scheduling tools incorporate screening against safety envelope limits. In addition, work conducted at Jlab is bounded by personnel training & qualification, and use of approved procedures.	Y	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.a	Work not explicitly governed by the ES&H Manual are covered by appropriate OSPs and TOSPs.	Y	NA			
23	When work scope and technical work document tasks are changed, are the hazard assessments reviewed for impact?	23.a	Work changes are handled with the Hall Task Lists and the Hall MSproject work schedules.	Y	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	As required. Graded approach used.	Y	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	Task Hazard Analysis/Graded approach.	Y	NA			
26	When conditions change, are new potential hazards analyzed?	26.a	Part of "stop work" and associated protocols.					
27	Are accident scenarios related to hazardous work analyzed and properly considered to mitigate potential occurrence and severity?	27.a	Done in pre-job briefings and tool box meetings.	Y	NA			

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28	Are workers involved in the hazard analysis process?	28.a	<p>Technicians write some procedures (SOPs and TSOPs) and also input work planning information into ATLis as well as AList, BList, and Clist electronic planning and scheduling tools</p> <p>Workers participate in meetings where planning for future work activities is discussed</p> <p>Workers review THAs</p> <p>ES&H Manual chapter 3210, Risk Matrix thresholds, requires that for risk levels above 2 that ES&H personnel be involved in the planning process</p>	Y	NA			

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29	Criteria: 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.		THA's, Hall work lists and schedules.					
30	Criteria: Line management has established processes for identifying and tailoring controls for hazards associated with all facilities, operations, and work activities.		Same as #29					
31	Criteria: 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	Lines of Inquiry:							
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>Technicians write some of the procedures (SOPs and TSOPs) and also input work planning information into ATLis as well as AList, BList, and Clist electronic planning and scheduling tools</p> <p>Workers participate in meetings where planning for future work activities is discussed</p> <p>Workers review THAs</p>	Y	NA			
34	Do controls encompass each phase of work performance and all aspects of the work, including potentially abnormal or emergency situations?	34.a	Done as necessary and reasonably possible.	Y	NA			

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35	Are the knowledge, skills, and abilities of the work force considered when selecting the form of controls'?	35.a	Technicians write some of the procedures (SOPs and TSOPs) and also input work planning information into ATLis as well as AList, BList, and Clist electronic planning and scheduling tools Workers participate in meetings where planning for future work activities is discussed Workers review THAs ES&H Manual chapter 3210, Risk Matrix thresholds, requires that for risk levels above 2 that ES&H personnel be involved in the planning process In addition, work conducted at Jlab is bounded by Skill of the Craft (Worker Planned Work) processes specified in ES&H Manual, personnel training & qualification, and use of approved procedures,	Y	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	Done as required.	Y	NA			
37	Are the hazard controls comprehensive and adequate for maintaining planning efficiency while ensuring acceptable hazard mitigation or elimination?	37.a	Done through work control documents.	Y	NA			
38	Are corresponding training requirements incorporated into controls and hazard assessments'?	38.a	Done through work control documents and ITPs.	Y	NA			
39	Are thresholds identified for involvement of ES&H personnel in the tailoring or implementation of hazard controls?	39.a	ES&H Manual chapter 3210, Risk Matrix thresholds, requires that for risk levels above 2 that ES&H personnel be involved in the planning process.	Y	NA			
40	Are workers/supervisors stop work authorities and responsibilities clearly defined for unexpected hazards or safety concerns?	40.a	Yes, EH&S Manual clearly outlines and documents roles and responsibilities.	Y	NA			

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41	Do procedures address liaisons and interfaces between organizations to ensure conflicts and overlapping work activities are properly coordinated and resolved?	41.a	Atlas, Clist, Blist are being modified to allow for cross divisional activities.	Y	NA			
42	Are control sets sufficiently analyzed to ensure they do not conflict or introduce additional hazards?	42.a	Done as necessary and reasonably possible.	Y	NA			
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	Hall Work Coordinators, Admin controls	Y	NA			
44	Is independent safety review of the adequacy of controls provided for higher hazard activities?	44.a	Yes, experiments undergo safety reviews before they are approved to run.	Y	NA			
45	Are workers involved in the development of controls?	45.a	Done routinely		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	Area safety wardens sign work control documents	Y	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	Area safety wardens and workers sign work control documents	Y	NA			
48	Are appropriate hazard controls from hazard analyses and permits included in approved work documents and are they adequately implemented'?	48.a	Yes, EH&S Manual documents roles and responsibilities.	Y	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	Done routinely	Y	NA			
50	Are work documents complete with adequate procedures, instructions, and/or drawings, and are bounding conditions and limitations clearly specified?	50.a	Done routinely	Y	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	Done routinely	Y	NA			
52	Is the reliability of hazard controls for higher risk activities assessed and failure consequences determined and considered?	52.a	Accomplished by work documents and tool box meetings.	Y	NA			
53	When project/work scope and tasks are changed, are the hazard controls reviewed for impacts?	53.a	Accomplished by work documents and tool box meetings.	Y	NA			
54	Are training requirements for personnel needed to perform the work in accordance with established controls clearly defined, specified and implemented'?	54.a	Worker Job descriptions and use of ITP program.	Y	NA			

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55	Are appropriate analytical parameters and data quality objectives included in sampling and analysis programs?	55.a	Done where appropriate	Y	NA			
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	Yes, each hall and major workplace has a supply cabinet and posted OSP for waste management.	Y	NA			
57	Are signs and postings clear and current with regard to hazards and entry requirements?	57.a	Appropriate signage posted at entrances to the Halls and work areas.	Y	NA			
58	Is there appropriate linkage between tasks, hazards, and hazard controls in work control documents?	58.a	Done through work control documents.	Y	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	Done as required.	Y	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	Physics Division activities have minimal impact on environment, all personnel are aware of their responsibilities.	Y	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	Yes, EH&S Manual documents roles and responsibilities.	Y	NA			

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62	Criteria: 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	Criteria: 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	Criteria: 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	Lines of Inquiry:							
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	Atlis, Alist, Blist, Clist, toolbox meetings	Y				
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	Atlis, Alist, Blist, Clist, toolbox meetings	Y				
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	Atlis, Alist, Blist, Clist, toolbox meetings	Y				
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	Done by supervisors and gatekeepers for work control documents.	Y	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	Atlis, Alist, Blist, Clist, toolbox meetings. Worker ITP's	Y	NA			

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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	Done in Hall work task lists and MS schedule document	Y	NA			
72	Is the work performed in a manner consistent with the defined work scope and limitations?	72.a	Observation of work activities	Y	NA			
73	Are all precautions and prerequisites met including facility/system configurations, hazard controls, and other conditions?	73.a	Observation of work activities	Y	NA			
74	Are training requirements and pre-job briefings completed and adequate for the authorized work activity?	74.a	Atlis, Alist, Blist, Clist, toolbox meetings. Worker ITP's	Y	NA			
75	Are personnel qualified and trained to perform the work in accordance with established controls?	75.a	Worker ITPs	Y	NA			
76	Is there periodic and adequate supervision of activities based on the risk of the work activity?	76.a	Done by direct observation by Division safety personnel	Y	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	Supervision as required.	Y	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	Done by supervisors and gatekeepers for work control documents.	Y	NA			
79	Are quality control/quality assurance provisions accurately and adequately followed during performance of the work?	79.a	Direct inspection and observation by Division safety personnel.	Y				
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	Technicians write some of the procedures (SOPs and TSOPs) and also input work planning information into ATLis as well as AList, BList, and Clist electronic planning and scheduling tools Workers participate in meetings where planning for future work activities is discussed Workers review THAs	Y	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	Use of standard work practices in line with EH&S manual.	Y	NA			

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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	Yes, all workers have received training in stop work	Y	NA			
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	Work observations are done continuously so worke	Y	NA			
84	Are ongoing surveys or other analyses conducted to ensure work hazards are not changing and work controls remain effective?	84.a	Done by supervisors and gatekeepers for work control documents.	Y	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	Direct inspection and observation by Division safety personnel.	Y	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 control containers are maintained in the halls and major work areas.	Y	NA			
87	Are hazard controls effective in their ability to maintain releases to the environment as low as reasonably achievable?	87.a	Continuous inspection by Division safety personnel are conducted.	Y	NA			
88	Do workers properly segregate the wastes generated to facilitate the waste management requirements and enhance the pollution prevention opportunities?	88.a	Waste is properly managed in each work area	Y	NA			
89	Are the environmental impacts of operations and activities properly managed in accordance with requirements?	89.a	Continuous inspection by Division safety personnel are conducted.	Y	NA			
90	Is there an established systematic approach to authorizing work, including projects, startup of processes and facilities, and operations?	90.a	Work authorization is done in accord with the Experimental Procedures that are extensively documented on the web.	Y	NA			
91	Are ES&H representatives actively involved in the observation of work activities?	91.a	Done by direct observation by Division safety personnel	Y	NA			

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92	Criteria: Line management has effectively developed and implemented a feedback and improvement process at the work activity level.							
93	Lines of Inquiry:							
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 Standard Experiment Feedback process shared with Hall leaders and Acc Ops, email sent personally by Larry to users		Develop and implement a post job review process.	Bob May	NA - See Acc CRAD Wksp Matrix CA 94.a	NA
		94.b	Post job/lessons learned reviews are performed occasionally at the discretion of the work team. Now done at the first Hall weekly meeting after a major down.		Physics Division - Provide input on how post job review and lessons learned process will be incorporated	Dennis Skopik		4/8/2008
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	Quarterly Safety Warden meetings review lessons learned Constant worker communication at all levels of work (SOPs and Skill of the Craft) - built into the process		Formal worker feedback mechanism is being developed by ESH&Q	NA	NA	NA

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97	Is worker participation in safety programs (e.g., behavior based safety, safety committees) encouraged and effective?	97.a	Work Safety Council, Safety Wardens, Electrical Safety Committee, material handling, welding	Y	NA	NA	NA	NA
98	Are lessons learned identified and incorporated into the work planning and authorization process?	98.a	Information from DOE lessons learned database is reviewed at quarterly Safety Warden meetings. 8:00 MCC meeting, morning tool box meetings, Carter Ficklin emails, Charles Hightower emails DOE lessons learned when appropriate and conducts one on one discussions.	Y	Site-wide lessons learned program is being developed by ESH&Q	NA	NA	NA
99	Do assessment activities by line oversight include observation of work activities by managers, supervisors, and subject matter experts?	99.a	Lab-wide - assessment activities are conducted managers, supervisors, and SMEs IAW the following: - work observation program (patterned on Dupont STOP) - management self assessment procedure - Independent assessment procedure - Weekly safety inspections	Y	Increase and continue to reinforce the use of the work observation process throughout the Halls	Dennis Skopik		On-going
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 in 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	Findings from independent oversights are entered into CATS and tracked to completion. No open items for Physics Division	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	NA	NA	NA	NA	NA	NA