

## ATAP Focus Area Self-Assessments

### Selection of 2015 Focus Areas

ATAP identified two Focus Areas that will be evaluated as part of the ES&H Self-Assessment process for Fiscal Year 2015 (FY15):

#### Focus Area 1. Lockout/Tagout

This Focus Area was recommended by the ATAP ES&H Operations Committee and approved by the Division Director because of potential impact on safety of personnel and to evaluate compliance with requirements. The LBNL Lockout-Tagout Program was revised in October 2013. Division and matrixed personnel often have the need to enter areas where the potential for exposure to high voltage exists to adjust experimental equipment, or to service or repair equipment or machinery that could cause injury if inadvertently powered up during servicing or repair. In these situations, equipment or machinery are de-energized and locked out under lockout-tagout (LOTO) procedures. This assessment will focus on LOTO performed by Division and matrixed personnel. ATAP has seven active equipment-specific LOTO Procedures and four new procedures under development or review. LOTO is most closely associated with the 3rd Core Function of ISM, development and implementation of hazard controls.

This important area of LBNL safety has not been the subject of a thorough assessment. A search of the Lessons Learned/Best Practices Database reveals only one LBNL Lesson, LL-12-0027 *Failure to perform start test resulted in improper lockout of a low-voltage power circuit breaker*. A review of other Division self-assessment reports for FY10-14 reveals one self-assessment by Computing Sciences focused on LOTO. ATAP has not performed any previous Focus Area Self-Assessments related to LOTO.

EHS Division and several other Divisions are planning to conduct Focus Area Self-Assessments of LOTO this year. We anticipate the opportunity to coordinate our efforts to take a site-wide look at some common Lines of Inquiry to develop institutional findings, recommendations, and corrective actions.

#### Focus Area 2. Work Planning and Control

This Focus Area was recommended by the ATAP ES&H Operations Committee and approved by the Division Director because of potential impact on health of personnel and safety culture. Is most closely associated with the 1st Core Function of ISM, planning work.

LBNL has been developing a new work planning and control system to describe work, identify hazards, identify controls appropriate to those hazards, and authorize workers. This system (WPC Activity Manager) is scheduled to launch in November of 2014. WPC Activity Manager is LBNL's corrective action to a finding from the 2009 Independent Oversight Inspection conducted by DOE. The finding states:

*“The LBNL job hazard analysis process design and implementation does not sufficiently ensure that all hazards at the activity level are systematically identified, analyzed, and controlled, as needed to ensure compliance with 10 CFR851, Worker Safety and Health Program, DOE Policy 450.4, Safety Management System Policy, and the LBNL Health and Safety Manual.”*

This self-assessment will focus on the initial implementation of WPC Activity Manager within ATAP.

## **Assessment Categories (General)**

### **Compliance with Institutional Requirements**

ATAP's self-assessments will include evaluation of compliance with institutional requirements, including:

1. ES&H Manual, Chapter 6, *Safe Work Authorization*;
2. ES&H Manual, Chapter 18, *Lockout Tagout Program*;
3. LBNL Requirements and Policies Manual, *Hazard Analysis & Work Authorization Policy and Overview*;
4. LBNL Requirements and Policies Manual, *Lockout-Tagout Program*;
5. LBNL Pub-3140, *Integrated Environment, Safety, & Health Management Plan, Integrated Safety Management (ISM) System*

### **Compliance with Established Divisional Requirements**

ATAP's self-assessment includes evaluation of compliance with divisional requirements, including the ATAP ISM Plan.

### **Scope**

Following completion of Self-Assessment training provided by the Office of Contractor Assurance at the initial team meetings and study of related background information during November - December 2014, the ATAP Focus Area Assessment Teams will further define the factors to include in the scope of the Division assessments. The ATAP assessment will include the scope of the institutional self-assessments, but may also include other related issues, to be determined by the assessment team. The scope of each Focus Area self-assessment is outlined below:

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### **Focus Area 1. Lockout/Tagout**

- a. Locations where ATAP LOTO work takes place;
- b. ATAP employees, affiliates, and matrixed personnel; and
- c. Lockout-Tagout performed by ATAP or matrixed personnel.

### **Focus Area 2. Work Planning and Control**

- a. Locations where ATAP work takes place;
- b. ATAP employees, affiliates and matrixed personnel; and
- c. Process of establishing Work Planning and Control Projects and Activities.

The scope of the institutional self-assessment covers the authorization of work under the new work planning and control system (WPC Activity Manager). The institutional self-assessment excludes assessment of execution to the requirements within the Activities and assessment of the adequacy of the pre-established hazards and their associated controls in WPC Activity Manager. The institutional assessment attempts to ask and answer if we have the right work authorizations in place.

### **Frequency and Schedule**

**Focus Area 1.** – This assessment will take place between October 1, 2014 and May 31, 2015. The Focus Area Self-Assessment Team will generate and submit a report to ATAP management by May 31, 2015. ATAP will submit a report to the Office of Contractor Assurance by June 30, 2015 identifying findings, observations, noteworthy practices and corrective actions.

**Focus Area 2.** – This assessment will take place between October 1, 2014 and May 31, 2015. The Focus Area Self-Assessment Team will generate and submit a report to ATAP management by May 31, 2015. AFRD will submit a report to the Office of Contractor Assurance by June 30, 2015 identifying findings, observations, noteworthy practices and corrective actions.

Further scheduling details for the Focus Area assessments are as follows:

- **September – October 2014** – Program Heads selected team members.
- **December 2014 – January 2015** -- The Office of Contractor Assurance provided Self-Assessment training to team members at their initial meetings.
- **February - May 2015** – The teams will further refine their assessment scope, methodology, lines of inquiry, and schedule. The teams will perform their assessments, which may include visits to selected ATAP work areas and interviews of selected personnel. Each team will develop a report specific to the focus area they have assessed and present their findings and recommendations to ATAP management.

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- **June – September 2015** – ATAP management will assign action items to appropriate personnel and track the status of the action items.

## **Methodology**

Each Focus Area Self-Assessment Team will establish the methodology to be used when implementing their assessment. The team members will attend Self-Assessment Training provided by the Office of Contractor Assurance and consulted with the appropriate Subject Matter Experts and the Office of Contractor Assurance while developing their methodology. The methodology is assessment-specific and includes the following basic elements:

### **A. Person(s) conducting each assessment:**

#### **Focus Area 1. Lockout/Tagout**

- a. Focus Area Self-Assessment Team members (selected by ATAP Program Heads) will conduct the assessment: Warren Byrne (ALS Accelerator Physics), Jeroen van Tilborg (BELLA), Kerri Campbell (CBP), Tom Lipton (FS&IBT and Supercon).
- b. Subject Matter Expert (Stephanie Collins) will provide advice, as needed.

#### **Focus Area 2. Work Planning and Control**

- a. Focus Area Self-Assessment Team members (selected by ATAP Program Heads) will conduct the assessment: Hiroshi Nishimura (ALS Accelerator Physics), Csaba Toth (BELLA), John Byrd (CBP), Thomas Schenkel (FS&IBT), Dan Dietderich (Supercon).
- b. Subject Matter Expert (Scott Taylor) will provide advice, as needed.

### **B. Techniques to be used during the assessment**

**Focus Area 1.** – The Focus Area Self-Assessment Team may review related documentation and websites, consult with subject matter experts, visit selected work locations, observe work, conduct a survey and/or interview personnel, and document their reviews. At a minimum, the LOTO Self-Assessment team will:

- Review training records of persons who perform LOTO;
- Review selected LOTO procedures;
- Interview selected personnel who perform LOTO; and
- Observe selected LOTO work performed by ATAP or matrixed personnel.

**Focus Area 2.** – The Focus Area Self-Assessment Team may review related documentation and websites, consult with subject matter experts, conduct a survey and/or interview personnel, and document their reviews. At a minimum, the Work Planning and Control Self-Assessment team will:

- Review a representative number of activities within WPC Activity Manager;
- Inspect work areas and comparing this to information in Activities within Activity Manager;

- Interview workers to understand the work they do and evaluate whether the scope of work, hazards and controls are clearly and accurately described in Activities;
- Interview Project Leads, Activity Leads, and Supervisors to determine whether the work is appropriately authorized.

## **General Lines of Inquiry**

**Focus Area 1. Lockout/Tagout** – The Focus Area Self-Assessment Team will develop lines of inquiry to determine whether hazards are properly identified and controlled. The Focus Area Self-Assessment Team may consult with appropriate Subject Matter Experts. EHS will be coordinating a multi-Division effort and has suggested some common lines of inquiry:

- Do division LOTO procedures meet requirements of the ES&H Manual?
- Are LOTO procedures properly reviewed?
- Are people performing LOTO properly trained?
- Are people knowledgeable of the requirements of the LOTO procedures they are implementing?
- Are Responsible Individuals properly trained and knowledgeable of their responsibilities?

**Focus Area 2. Work Planning and Control** – The Focus Area Self-Assessment Team will develop lines of inquiry to determine optimal methods of improving safety culture. The Focus Area Self-Assessment Team may consult with appropriate Subject Matter Experts. EHS will be coordinating a multi-Division effort and has suggested some common lines of inquiry:

- Are work activities covered by activities within WPC Activity Manager?
- Are descriptions of work sufficiently detailed to be able to determine all applicable hazards?
- Are hazards of the activities being appropriately identified in WPC Activity Manager?
- Are descriptions of work sufficiently detailed to clearly communicate to the worker the scope of work for the authorization?
- Are the hazards and controls sufficiently customized so that the worker understands what controls apply to the specific work they are doing?
- Are workers authorized by activities that cover all of the work they perform?