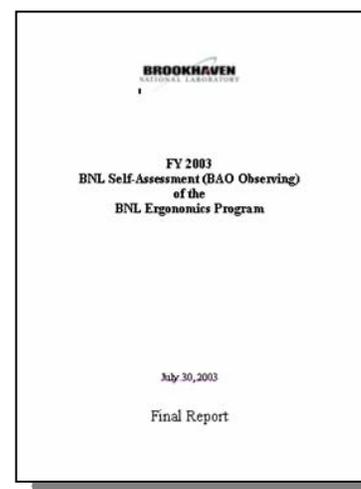


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1.0 Purpose & Scope

This document describes the process of conducting a Self Assessment of an Industrial Hygiene subject area (topic). The goal of the procedure is to provide a uniform methodology/protocol to ensure high quality assessments. This procedure provides direction on methodology, content and structure of the assessment and the review reports and status tracking.

2.0 Responsibilities

- 2.1 **Program Administration:** This procedure is administered through the SHSD Industrial Hygiene Group. The IH Group Leader uses IH50500 to plan the program areas to be assessed each year, set due dates, and the assign IH staff to conduct assessments (*Lead Assessors*).
- 2.2 *Lead Assessor* is responsible to follow this procedure in conducting the assessment, reporting results, and tracking the status.

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- The Lead Assessor is responsible to report progress on the assessment on a weekly basis to the IH Group Leader using a format such as *Attachment 9.3*.
- The Lead Assessor is responsible to manage and schedule the assessment as a project using a timeline such as the example in *Appendix 9.2*.

3.0 Definitions

- 3.1 **Lead Assessor:** A person assigned by the IH Group Leader to plan, organize, lead and document the self-assessment.

- 4.0 **Prerequisites** *Lead Assessors* must have subject matter expert knowledge of the topic to be assessed.

5.0 Precautions

Personal Protective Equipment: The use of personal protective equipment to protect the assessment team members is required when field reviews are done in areas with hazards. If it is necessary for an assessment team member to enter areas with hazards, appropriate personal protective equipment must be obtained, qualified, and used.

6.0 Procedure

6.1 **Equipment: None**

- 6.2 **Planning the assessment:** The key assessment steps are summarized using the format in *Attachment 9.1: Compliance Self-Assessment Master Checklist*.

- 6.2.1 At the beginning of the assessment quarter, the *Lead Assessor* announces the assessment to BNL organizations via email or memorandum, giving the

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dates and scope of the assessment. This announcement should occur at least one month prior to the start date of field reviews.

- 6.2.2 As early as possible prior to the start of field reviews, the *Lead Assessor* offers assistance to line organizations in preparing for the assessment. This can be done by providing written guidance, answering submitted questions, scheduling assistance meeting(s), and/or conducting one-on-one meetings as requested by BNL organizations
- 6.3 **Scoping meeting:** The *Lead Assessor* holds an *Assessment Scoping Meeting* with the IH Group Leader, SHSD Manager, BAO counterparts, and members of the Assessment team. At this meeting:
- 6.3.1 The scope of the assessment (what drivers will apply, program elements to include, etc.), field assessment protocol, BAO participation, start dates, milestone dates, and completions dates are set.
- 6.3.2 Service organizations that play a role in implementation of the subject area services are identified to receive field assessments.
- 6.3.3 Line organizations that interact with the subject area are identified to receive field assessments.
- 6.4 **Driver Review:** The *Lead Assessor* researches current regulatory drivers from on-line databases and regulatory web sites.
- 6.4.1 The *Lead Assessor* prepares assessment **checklists** based on contractual drivers. The *Lead Assessor* circulates the checklist to the assessment team for review. See *Appendix 9.4* for an example of a program checklist. See *Appendix 9.5* for an example of a field implementation checklist.
- 6.5 **Preliminary Management In-Briefing:** The *Lead Assessor* conducts an “In Brief” (pre-review) meeting with key BNL managers (if requested by management).
- 6.6 **Written Program Review:** The Assessment team reviews the BNL written program for compliance with applicable regulatory driver(s). The team determines if BNL written program (SBMS Subject Area, SOPS, etc.) contains all needed elements and complies with the regulatory driver. Gaps are recorded in the *Self Assessment Report*.

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6.7 Program Service Delivery Review: The Assessment team reviews internal BNL services providers who administer portions of the BNL written program for compliance with applicable regulatory driver(s). Elements to be reviewed include medical surveillance/approval, training, protective equipment specification and issuance, hazard assessments, exposure monitoring, etc.

6.8 Line Implementation Field Review

6.8.1 The *Lead Assessor* announces start of field assessments via e-mail or memo and schedules field reviews of line organizations operations via Microsoft Outlook calendar appointments.

6.8.2 The Assessment team conducts Field implementation reviews on BNL organizations. Gaps are recorded in the *Self-Assessment Report*.

6.9 Assessment Report:

6.9.1 The *Lead Assessor* prepares a Draft *Self-Assessment report*.

6.9.2 The *Lead Assessor* circulates the Draft *Self-Assessment Report* to BAO counterpart and assessment team for review and comment.

6.9.3 The *Lead Assessor* prepares correspondence and routes the Draft *Self-Assessment Report* for factual accuracy review by impacted organizations and BNL management.

6.9.4 The *Lead Assessor* resolves issues and revises the Draft *Self-Assessment Report* based on comments received during the Factual Accuracy comment period.

6.9.5 The *Lead Assessor* issues the Final *Self-Assessment Report* to SHSD Management, the Office of Independent Oversight, and all parties assessed.

6.10 Corrective Action Plan: If there are identified conditions that need corrections:

6.10.1 The *Lead Assessor* prepares the Draft *Corrective Action Plan*.

6.10.2 The *Lead Assessor* circulates the Draft *Corrective Action Plan* to all organizations with an identified action for a Factual Accuracy review and consensus on action description and commitment dates.

6.10.3 The *Lead Assessor* resolves issues and revises the Draft *Corrective Action plan* based on comments received during the Factual Accuracy comment period.

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6.10.4 The *Lead Assessor* issues the *Final Corrective Action Plan* to SHSD Management, the Office of Independent Oversight, and all parties with an identified action.

6.10.5 The *Lead Assessor* prepares *ATS* wording for concerns/finding and submit to IO (for Special Emphasis Assessments) and to SHSD FATS (for IH Group periodic assessments).

6.11 **Out Brief Meeting:** The Lead Assessor conduct “Out Brief” meeting (if requested by BNL management).

7.0 Implementation and Training

7.1 **Qualification Criteria:** Only individuals who have demonstrated knowledge of this procedure, to the satisfaction of the IH Group Leader, will be qualified to perform in the role of *Lead Assessor*. The qualification criteria to perform the role *Lead Assessor* are demonstrated competency in knowledge of this procedure and knowledge of the subject area to be assessed.

8.0 References

8.1 Industrial Hygiene Auditing: A Manual for Practice, A. Leibowitz, AIHA Publications, 1994.

9.0 Attachments

9.1 **Attachment 9.1: BNL IHG Self Assessment Master Checklist**

9.2 **Attachment 9.2: Sample Project Plan Timeline**

9.3 **Attachment 9.3: Sample weekly Activity Status Report**

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9.4 Attachment 9.4: Sample of *Program review Checklist*

9.5 Attachment 9.5: Sample of *Field Compliance Reviews Checklists*

10.0 Documentation

Document Review Tracking Sheet		
PREPARED BY: <i>(signature and date on file)</i> R. Selvey Author Date 10/28/03	REVIEWED BY: <i>(signature and date on file)</i> K. Erickson Date 10/30/03	APPROVED BY: <i>(signature and date on file)</i> R. Selvey Group Leader Date 10/31/03
Filing Code: IH52QR.01	DQAR Date	Effective Date: 11/04/03

Periodic Review Record		
Date of Review	Reviewer Signature and Date	Comments Attached

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Attachment 9.2 Sample of Assessment Schedule

BNL xxx Program FYnn Self-Assessment Schedule

WBS#	Task	Assigned to:	Status/ (Duration)	Project Dates- Acceptable Task Date Ranges or Due Dates			
				Month1 nn/01/YY – nn/30/YY	Month2 mm02/01/YY – mm02/31/YY	Month3 Mm03/01/YY – mm03/30/YY	Month4 Mm04/01/YY – mm04/31/YY
1.0	Pre-Assessment Assistance to BNL Organizations			month1/01/YY – month1/30/YY			
1.1	Announce assessment to organizations	Lead assessor	Completed (2 hours)	<i>Fill in date range in these boxes...</i>			
1.2	Announce preparation/guidance meeting(s)	Lead assessor	(1 hours)				
1.3	Conduct preparation meeting and one-on-one meetings requested by BNL organizations	Lead assessor	(as needed, estimate 10 hours)				
2.0	Self-Assessment			month2/01/YY – month2/30/YY			
2.1	Compile contractual/regulatory drivers list.	Lead assessor	(4 days)				
2.2	Hold Scoping Meeting. Determine field assessments.	Assessment Team					
2.3	Prepare assessment checklists based on contractual drivers	Lead assessor					
2.3	Hold meeting or via email team reviews driver list and checklists.	Assessment Team	(2 hours)				
2.5	Announce start of <u>field</u> assessments via e-mail or memo and schedule field reviews on MS Outlook.	Lead assessor	(1 hour)				
2.6	Conduct “In Brief” (pre-review) meeting with key BNL managers (if requested by management).	Lead assessor	(2 hours)				

Sample

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WBS#	Task	Assigned to:	Status/ (Duration)	Project Dates- Acceptable Task Date Ranges or Due Dates			
				Month1 nn/01/YY – nn/30/YY	Month2 mm02/01/YY – mm02/31/YY	Month3 Mm03/01/YY – mm03/30/YY	Month4 Mm04/01/YY – mm04/31/YY
2.7	Conduct BNL written program vs. regulatory driver(s) review	Assessment Team	(4 days)		Critical Start Date:		
2.8	Conduct Field implementation reviews on BNL Organizations	Assessment Team	(14 days)		Critical Start Date:		
3.0	Self-Assessment Report Preparation month03/01/ - month03/31/YY						
3.1	Prepare <i>Draft Assessment report</i>	Lead assessor	(5 days)			Key Due date MM/DD/YY (Milestone)	
3.2	Circulate <i>Draft Assessment Report</i> to BAO counterpart and assessment team for review and comment.	Lead assessor/ BAO coun	(1 day)				
3.3	Prepare correspondence and route <i>Draft Assessment Report</i> for factual accuracy review by impacted organizations and BNL management	Lead				Due Date: MM/DD/YY	
3.4	Factual Accuracy comment period	BNL Organizations	(2 hours)			Due Date MM/DD/YY	
3.5	Resolve issues and incorporate comments from FA review into <i>Final Assessment Report</i>	Lead assessor	(5 days)				
3.6	Present <i>Final Assessment Report</i> to IO.	Lead assessor	(1 day)			Key Due Date MM/DD/Y Y Assessment Final ATS Milestone	

Sample

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WBS#	Task	Assigned to:	Status/ (Duration)	Project Dates- Acceptable Task Date Ranges or Due Dates			
				Month1 nn/01/YY – nn/30/YY	Month2 mm02/01/YY – mm02/31/YY	Month3 Mm03/01/YY – mm03/30/YY	Month4 Mm04/01/YY – mm04/31/YY
3.7	Conduct “Out Brief” meeting (if requested by BNL management).	Lead assessor	(1 day)				
3.8	Issue <i>Final Assessment Report</i> from BNL to BAO.	IO Office	(1 day)			Key Due Date MM/DD/YY Milestone	
4.0	Corrective Action Plan	month4/01/YY – monhth4/30/YY					
4.1	Prepare draft <i>Corrective Action Plan</i> (CAP) based on Final report	Lead assessor	3 days				
4.2	Distribute <i>Draft CAP</i> to affected organizations for comment	Lead assessor	1 day				
4.3	Comment period on <i>Draft CAP</i>	BNL Organizati					
4.4	Resolve issues on <i>Draft CAP</i>	Lead asses					
4.5	Issue Final <i>Corrective Action Plan</i> to IO.	Lead assessor	2 days				Key Due Date: MM/DD/YY Milestone
4.6	Prepare <i>ATS</i> wording for concerns/finding and submit to IO for entry.	Lead assessor	2 days (2 day)				Key Due Date: MM/DD/YY Final Milestone

Sample

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Attachment 9.3

Sample: Weekly Self-Assessment Activity Status Report

Assessment Title: _____

Report By: _____ **Week Ending:** _____

WBS Item	Action this week by IHG	ATS Due Date/ IHG Owner
Scoping meeting	<i>Describe action on this entry or open/closed status...</i>	<i>Mm-dd-yy / Lead Assessor's Name or assignee</i>
Preparatory Meetings with organizations		
Regulatory Driver search and review		
Program Review		
Service Provider Review		
Field- line organization Review	Sample	
Team Draft Assessment Report		
Factual Accuracy Report		
Final Report		
Corrective Action Plan Draft		
Corrective Action Plan- Final		
Entry of Actions into ATS		
Closure of SHSD Assigned Action Items		

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Attachment 9.4

Sample of *Program Checklist*

FYnn BNL *Beryllium Program Self Assessment - Written Program Checklist*

	DOE Rule 10CFR850	DOE requirement	Observed State	Compliance Status
1.	10 c.	CBDPPS shall be reviewed at least annually and updated as necessary.		
2.	11 b	CBDPP: Include formal plans and measures for - maintaining exposures to beryllium at or below the permissible exposure levels (PELs); - minimizing the number of current workers exposed and potentially exposed to beryllium; - minimizing the number of opportunities for workers to be exposed to beryllium		
3.	20	Baseline beryllium i inventory of : - beryllium operations and other contamination - identify the workers exposed permanently at those locations. (1) Review employee records; (2) Interview employees; (3) Document the presence and locations of beryllium at the facility (4) Conduct sampling to identify the presence of beryllium.	Sample	
4.		<i>Additional topic listed as rows....</i>		

Review Conducted by:

Name	Organization	Date

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Attachment 9.5

Sample of Field Compliance Reviews Checklist

Organization:	Date:
Interviewed:	
Review By:	

Requirement	Observed State	Compliance Status
1. Baseline beryllium inventory: Organization has submitted information for the baseline inventory of : - beryllium operations and other locations of potential beryllium contamination - identify the workers exposed or potentially exposed to beryllium at those locations.	<i>Record status found in field</i>	Complies/ Does not comply/ Open/Corrected
2. Initial Monitoring Perform initial monitoring for all w that may have airborne concentratio as shown by the baseline inventory and hazard assessment.	Sample	
3. <i>Additional rows for each requirement...</i>		