

Final Minutes of the Tier I Working Group Meeting held May 13, 2009
Safety and Health Services Division
Brookhaven National Laboratory

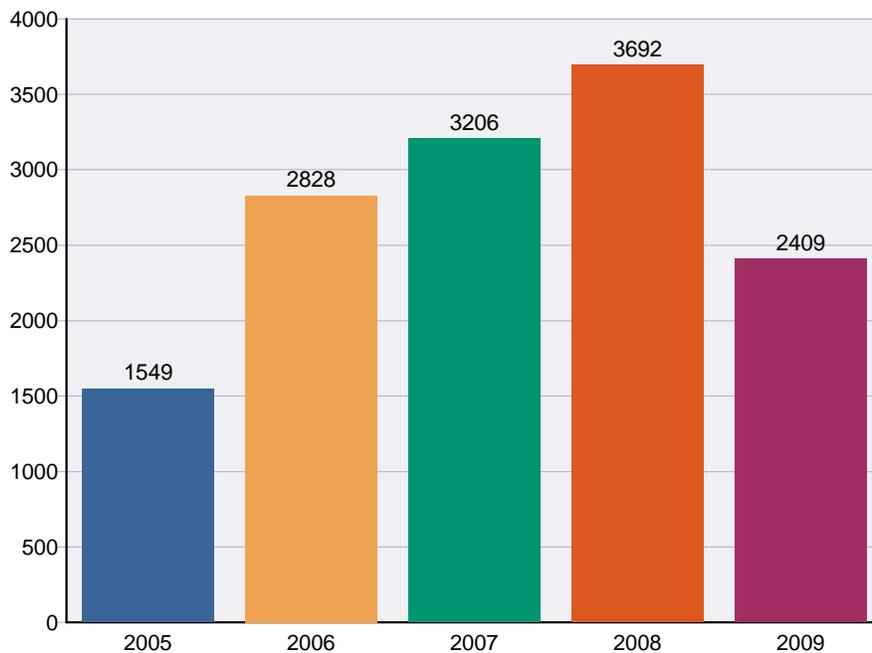
Attendees:

Rick Backofen, Diane Cabelli, Arlene Carlson, Pat Carr, Kay Conkling, Cheryl Conrad, Deborah Cubillo, Ayse Frosina, Dan Galligan, Steve Kane, Arnold Moodenbaugh, Mike Paquette, Dave Passarello, John Peters, Marteenio Rankine, Robert Sabatini, John Taylor

Agenda:

- 1 Overview of FY 09 2nd Quarter Tier I Inspection Findings
- 2 Discussion of Tier I Findings Database Being Developed
- 3 Checklists for Tier I Inspections (Samples 1-4)
 - 3.1 Fire Safety Checklist (Sample 5)
- 4 Brainstorming Session – Tier I Inspection Program Improvements
- 5 Discussion – Senior Managers on Tier I Inspections to Fulfill Management STOP Observations
- 6 General Discussion
 - 6.1 “Repeat” vs. “Not Closed”

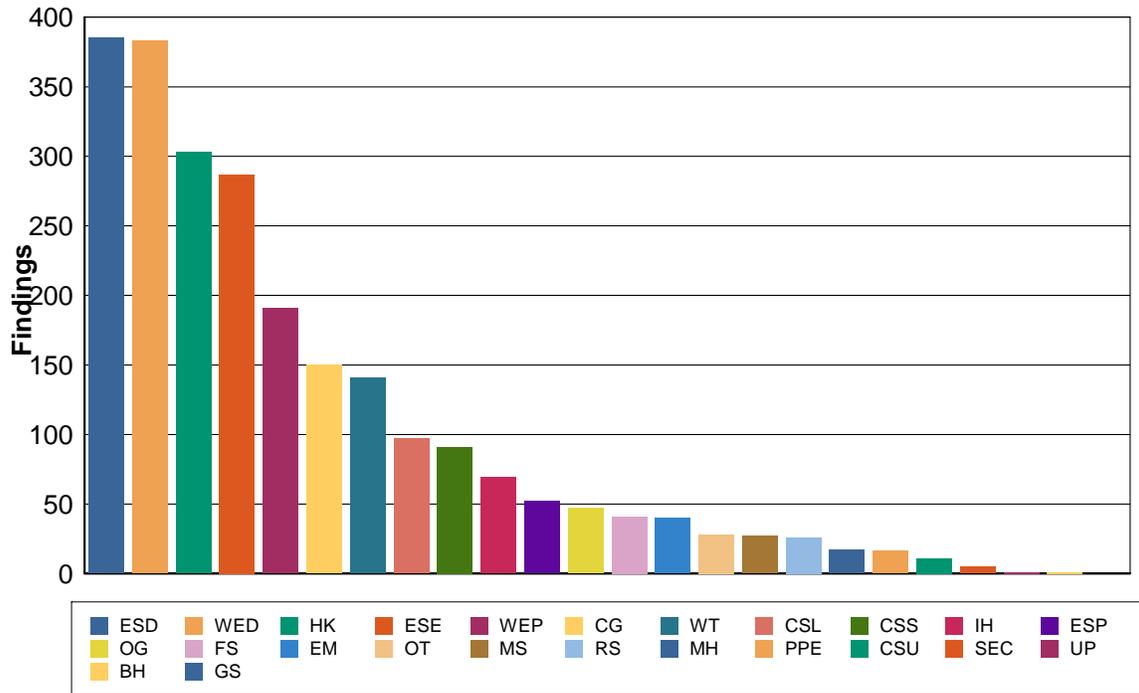
Data Rollup Tier I Findings by Fiscal Year:



The following points were made:

- 1 The number of findings of the past five years has been steadily increasing
- 2 At the current rate, the number of findings for 2009 will be greater than in the previous years.

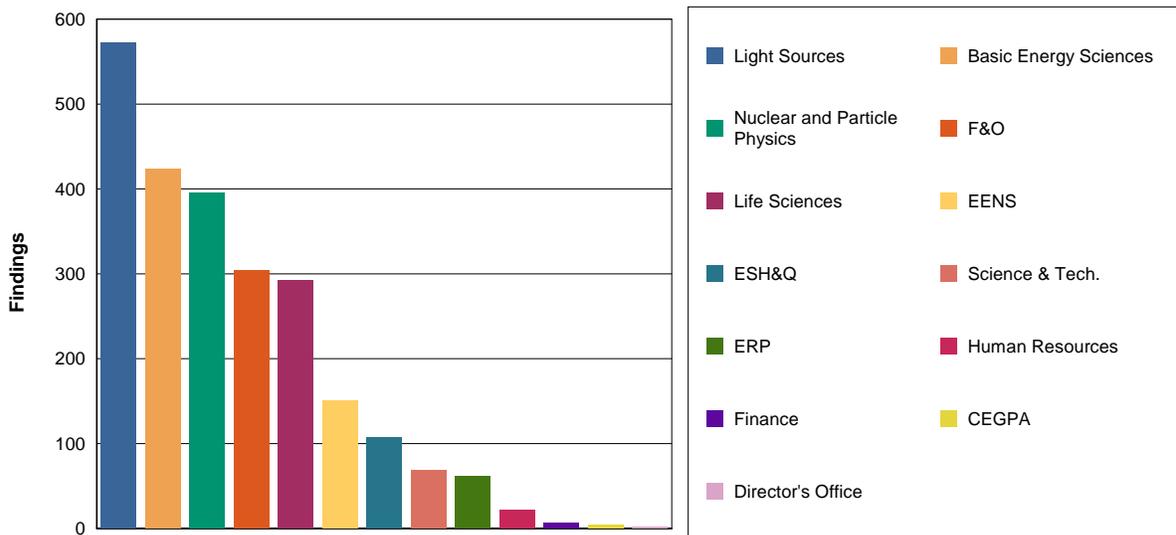
Data Rollup of FY 2009 Q1 and Q2 Tier I Findings by Category:



The following points were made:

- 1 There is nothing dramatic in the first five categories (Electrical Safety: Distribution [ESD], Working Environment: Department [WED], Housekeeping [HK], Electrical Safety: Equipment [ESE], and Working Environment [WEP]).
- 2 Compressed Gas is sixth which makes sense as Compressed Gas training was recently given by Mike Gaffney, Compressed Gas SME, so the people knew better what to look for.

Data Rollup of FY 2009 Q1 and Q2 Tier I Findings by Directorate:



The following points were made:

- 1 The directorates with the fewest number of findings have office space and Steve Kane is not too concerned.
- 2 The folks are doing a good job; they are looking for things.
- 3 Steve Kane reminded the group that they can generate their own reports from the Tier I database on the web, and if they don't see a report that they want, please contact Deborah Cubillo, the SHSD computer programmer.

Discussion of New Tier I Database Being Developed:

The following points were made:

- 1 In response to a corrective action for an Integrated Safety Management (ISM) finding, BNL is developing an institutional database that will handle Tier I data and trending; Tom Schlagel being the owner of this action.
- 2 A small group of the Tier I Working Group is working on a draft of a Requirements Document which will describe how the database will handle the Tier I data and who will have which privileges.
- 3 A survey of existing systems was conducted including Maximo, an IBM application, which is currently used for preventive maintenance and equipment management.
 - 3.1 Maximo is expandable and the Tier I data will tie in well with the information (work orders) already in Maximo.
 - 3.2 Screens have to be developed which will consist of mainly drop-down menus where the areas of interest are selected. The program will be able to do scheduling and send out emails to Committees, but will not be able to do meeting notices with Outlook.
 - 3.3 Entering Tier I data into this database will be required.
 - 3.4 An option in the software will be to put in a due date.
- 4 The next step is for the Requirements Document to be finished and a contract to be awarded.
- 5 Currently, findings get entered into Maximo with a target date, and findings are classified as safety, OSHA, or maintenance.
 - 5.1 The clock begins when the work order gets entered into the system. Maintenance management has a goal to close out work orders within 90 days.
 - 5.2 Some findings may not be closed out for a year or more as they may need an ADS or a contract may specify that the corrective action will not be done until a future date.
 - 5.3 The assumption is that a finding will be corrected by the next Tier I (within 90 days).
- 6 The findings from the Tier I inspections are not ranked or prioritized.

Checklists for Tier I Inspections:

The following points were made:

- 1 A suggested improvement for Tier I inspections is to use a checklist. Samples of different checklists were handed out and discussed to see if any particular format would be helpful or useful.
- 2 Sample 1, taken from the F&O website, is a two-page checklist with various categories and items under each category, i.e., housekeeping, working environment, and chemical safety.
 - 2.1 The consensus was that the format of this checklist was fine, but check boxes should not be used.
 - 2.2 One department had used checklists for years and never filled in the boxes.
 - 2.3 One department had a two page checklist which they laminated and use as guidance. On the Tier I inspections, they write down the findings and room numbers.
- 3 Sample 2, taken from Compliance Suite, was deemed not to be useful for Tier I inspections as it had too much information. The consensus was to remove anything remotely related to Compliance Suite.
 - 3.1 Some of the information in this sample would prove helpful in identifying OSHA violations.
 - 3.2 The suggestion was made to put this information on the Safety Engineering website.
 - 3.3 Some of these items from this sample could be added to Sample 1.
- 4 Sample 3 was an OSHA Self-Inspection Checklist.
 - 4.1 The questions on this 13-page checklist would be helpful as training material or used for a self-assessment as it described all the areas of concern.

- 5 Sample 4, an eight-page Safety Self-Assessment Inspection Checklist, was not specific enough, very long, and had check boxes.
- 6 Sample 5, a Fire Safety Checklist, had too much information and the Working Group did not want this checklist put on the web.
- 7 To enhance the Tier I Inspection experience, the consensus of the Working Group was to have as guidance a two-page guidance document consisting of line items describing common or priority items.
 - 7.1 There could be a master list of items including a core list that everyone would look for, and then supplemental items that would be department-specific or even building-specific.
 - 7.2 The document would have to be easily editable.
- 8 Guidance documents are a powerful tool, especially for new people doing Tier I inspections.
 - 8.1 One department has guidance cards that get reviewed and updated by the Tier I team once a year.
- 9 The suggestion was made to focus on particular issues in a particular quarter.
 - 9.1 The BNL fire safety engineer should be asked to go on a Tier I inspection.

Discussion About People Looking at American Disabilities Act (ADA) Requirements during Tier I Inspections:

The following points were made:

- 1 One organization said they are notified ahead of time when someone will be working in its facility will need ADA accommodations so that these changes can be made.
- 2 NSLS II will be built to conform to ADA requirements.
- 3 A. Moodenbaugh will send out an email to Rich Scheidet to see if in the renovations to Buildings 480 and 815 they are required to upgrade to ADA requirements, i.e., building accessibility.
- 4 Mike Paquette is putting in a request to lab management for money to have at the ready to make building changes as needed to conform to ADA requirements.

People Shared Lessons Learned and Discussed What Improved Their Tier I Inspection Process:

The following points were made:

- 1 Someone new or an SME should go on a Tier I Inspection because it brings a new pair of eyes to the inspection.
- 2 One department has a core group including an electrical engineer and mechanical engineer, each rotating going on a Tier I inspections. The group also has workers, mainly technicians, who do Tier I inspections for one year at a time.
 - 2.1 This department has over 100 buildings to be inspected.
- 3 Medical has a Committee that includes scientific staff. The Tier I team has to attend all the safety committee meetings, and they go on one inspection per quarter, with each lasting 3 or 4 hours.
 - 3.1 While on a Tier I inspection, if there is a lengthy discussion of whether something is a violation, the folks will be asked to discuss this off-line; having long discussions during the inspection can slow things down and the PIs are not happy about this as they have work to do.
- 4 EENS has the same Tier I people going on each inspection, in addition to building managers and department-specific Chairs.
 - 4.1 The Tier I committee is comprised of ESH coordinators, ECRs, and Rad-Con reps.
 - 4.2 Management does not want to rotate the people on the Tier I team.
 - 4.3 PI's or there designee must be at the Tier I Inspection which might allow findings to be corrected during the inspection.
 - 4.3.1 65-70% of the PIs show up on these inspections.
 - 4.4 Sending emails to managers ahead of time helps have them attend the inspections.
 - 4.5 It would be helpful to have SMEs go on the Tier I inspections.
- 5 In one organization, when one person who went on Tier I inspection identified deficiencies, the manager didn't want him to go on any more Tier I inspections.
- 6 IH reps going on Tier I inspections help identify issues, and while they are not experts, they will be able to get answers.
- 7 Having an SME, such as an electrical expert, in the field can help show the Inspection Team what to look for. (R. Biscardi, Safety Engineering Group electrical engineer, attended Tier I inspections every week for the first year he was in SHSD.)

Discussion of Frequency of Tier I Inspections:

A question was asked regarding requirements for Tier I inspection frequency.

The following points were made:

- 1 One person felt that the riskier areas (i.e., more hazardous material, chemicals) should have more frequent Tier I inspections.
- 2 Another individual felt that based on the number of findings, the frequency should not decrease; if anything, the inspections should be more frequent.
- 3 There is no driver for the frequency of Tier I inspections, but there is an exhibit "Organizational ESH&Q Inspections Minimum Suggested Frequency" in the Tier I subject area.
- 4 In one organization where a building has minimal usage, there is a smaller group going on the inspection to just look for life safety issues.

Discussion of Training:

The following points were made:

- 1 Per the Tier I subject area, at least one person on the Tier I team must have the 10-hr OSHA training.
 - 1.1 In one organization, the individual who goes on every Tier I has not been able to have this OSHA training because twice it was cancelled, and then it stopped being offered.
 - 1.2 The OSHA training used to be offered by an outside company, but then the Training Office decided that they would do the training.
 - 1.3 We were told that in the near future the Training Office will offer the OSHA training.
- 2 Attending the Working Group meetings is not considered training; the group discusses how they want to do Tier I inspections.
- 3 Having an SME show pictures to the group would be helpful.
- 4 It was suggested that ESH coordinators be given Fire Protection training.
- 5 New people conducting a Tier I inspection should be trained in the subject area.
- 6 Classroom training is more effective except when English is the second language of an attendee, in which case reading is better.
- 7 As people get trained, the number of findings increases. This is a good thing as it shows you're better educated. You're finding what is out there to be found.
- 8 Pat Williams had wanted training for the ESH coordinators, but this training could not be given at the ESH Coordinators meeting.
 - 8.1 Training has recently been given on pressure safety and compressed gas as the subject areas were recently revised.
- 9 It would be helpful to have an expert on conducting a Tier I inspection accompany those who are new in the Tier I inspection process. In this way, the new folks can be shown what the most important things are and what to look for.

Discussion about Senior Managers on Tier I Inspections to Fulfill Management STOP Observations:

The following points were made:

- 1 When asked how many people have senior management doing their work observations while attending Tier I observations, the group said none.
- 2 One person invites senior management to all their Tier I inspections.

Discussion about “Repeat” vs. “Not Closed”:

The following points were made:

- 1 The definition of a “repeat” finding was reviewed: As stated in the Dec. 2007 minutes, a “repeat” finding means a different instance of the same finding. “Not closed” refers to a previous finding which remains unresolved.
 - 1.1 At that time, a column for repeats was added to the Tier I findings entry form, but the following quarter that column was removed.
- 2 When F&O uses the word “repeat”, the word refers to the same exact finding from the previous Tier I inspection for which a work order has been placed, but the finding has not been closed. The word “repeat” will be replaced with another word in order to avoid confusion, and Mike Paquette will change his suggested memo.
- 3 The consensus of the group is to use the terminology “open” or “not closed”. Do not use the word “repeat”.
- 4 Only new findings are counted for the current inspection; if a finding is not closed, it has already been counted in the previous inspection.

Additional Discussion:

The following points were made:

- 1 Steve Kane is the facilitator for the Working Group. Before each Working Group meeting, the members are asked to submit agenda items. The success of the Working Group depends upon the participation of the members.
- 2 Steve Kane has already begun talking to upper management about getting additional money to close out findings.
- 3 Some members expressed concern that management may not like the fact that Tier I inspections are resulting in more findings. When Steve Kane talks to the ALDs or DDO about the number of findings, he tells them that if they indicate they do not like the number of findings going up, then the next quarter nothing will be found. This would not be desirable.

Suggested Actions:

- 1 For the next meeting, Steve Kane will outline what is in the Requirements Document for the new Tier I database.
- 2 Tom Schlagel will be invited to discuss the new Tier I database.
- 3 Steve Kane will discuss what progress he has made with his discussions with upper management on getting additional money to close out findings.
- 4 The next Tier I Working Group meeting will be in the July-August time frame, after the third quarter findings have been entered.