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Contents: Integrated Assessment

Effective Date: **January 2004**

Point of Contact: [Integrated Assessment Program Point of Contact](#)

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2. Annual Review of Organizational Performance	<ul style="list-style-type: none"> • Send reminder memo. • Plan and conduct review. • Document review and maintain records.
3. Planning and Conducting Management System Self-assessment Programs	<ul style="list-style-type: none"> • Develop and document a self-assessment program. • Conduct and document self-assessments as planned. • Evaluate for PAAA applicability and Lessons Learned. • Manage corrective and improvement actions.
4. Annual Management System Self-evaluations	<ul style="list-style-type: none"> • Prepare an annual evaluation using the prescribed format. • Forward the evaluation to the Integrated Assessment Program Point of Contact.
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Training Requirements and Reporting Obligations

This subject area does not contain training requirements.

This subject area contains the following reporting obligations:

See the section [Planning and Conducting Organizational Self-assessment Programs](#).

- Send assessment results that indicate a potential weakness in areas related to nuclear or radiological programs to the Laboratory's Price-Anderson Amendments Act (PAAA) Coordinator in a timely fashion.

See the section [Planning and Conducting Management System Self-assessment Programs](#).

- Report assessment results to the following:
 - Laboratory Director
 - Deputy Director for Science and Technology
 - Deputy Director for Operations
 - Management System Steward
 - Management System Point of Contact
 - Manager Quality Programs and Services
 - Other managers and staff that are impacted by the results, or were involved in the assessment.
- Send assessment results that indicate a potential weakness in areas related to nuclear or radiological programs to the Laboratory's Price-Anderson Amendments Act (PAAA) Coordinator in a timely fashion.

See the section [Annual Management System Self-evaluations](#).

- The Management System Steward forwards the management system annual self-evaluation to the Integrated Assessment Program Point of Contact.

References

[Critical Outcome Performance Measures](#) Subject Area

[Davis-Bacon Act](#) Subject Area

DOE Order 430.2, In-House Energy Management

[Environmental Assessments](#) Subject Area

[ES&H Standard 1.1.1, Price-Anderson Amendments Act Compliance Validation and Noncompliance Reporting Program](#)

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Standards of Performance

Managers shall develop a program that provides the information needed to ensure organizational performance objectives are being met and also to ensure that, based on an evaluation of assessment results, appropriate improvement actions are identified and implemented.

1. Peer review shall be part of the technical assessment of all Laboratory Science and Technology work, and it shall be considered an option for assessing all aspects of Laboratory operations.

2. Managers shall solicit feedback from customers to improve the quality and value of delivered scientific and technological research and analysis.
3. Managers shall, as appropriate, establish performance objectives, indicators and targets; conduct self-assessments to collect data and monitor progress; and evaluate the data to identify strengths and weaknesses in performance, and areas for improvement.
4. Managers shall establish, implement, and track appropriate actions to correct weaknesses in performance and areas for improvement.

Management System

This subject area belongs to the **Integrated Assessment Program** management system.

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Introduction: Integrated Assessment

Effective Date: **January 2003**

Point of Contact: [Integrated Assessment Program Point of Contact](#)

Key elements of the Brookhaven National Laboratory (BNL) Integrated Self-Assessment Program include organizational self-assessments, assessments of management systems, and the annual self-evaluation process.

Self-assessment is performed at the organization and management system level. Organizational self-assessment is an internal process used to monitor progress toward achieving organizational performance objectives. Management system assessments are conducted to evaluate the adequacy, efficiency, and effectiveness of the management system and associated organizational or laboratory-wide procedures used for implementing the management system. Self-assessments may include peer review processes, and/or the use of independent assessors.

Key processes of the self-assessment program include

- Establishing objectives and performance measures;
- Monitoring and evaluating performance through the development and implementation of a self-assessment plan; and
- Implementing improvements identified through assessment activities.

Annual self-evaluations are conducted at the organization and management system level. Self-evaluations are a systematic review of the progress towards established objectives. Self-evaluations consider all indicators of performance (such as established measures, external assessment results, peer review, and occurrence reports).

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Subject Area: *Integrated Assessment*

1. Planning and Conducting Organizational Self-Assessment Programs

Effective Date: **November 2003**

Point of Contact: [Integrated Assessment Program Point of Contact](#)

Applicability

This information applies to Department Chairs, Division Managers, and Office Managers.

Required Procedure

Note: Some organizations develop and implement self-assessment programs at the directorate level. This is acceptable provided that Level 2 Managers are involved and the assessment program is of sufficient detail for Level 2 Management.

Step 1	<p>Determine the scope of organizational work. Areas that should be considered include the following:</p> <ul style="list-style-type: none"> • Cooperative Research and Development Agreements (CRADAs); • Critical Outcome Performance Measures Subject Area; • Current-year work plans; • Brookhaven National Laboratory's Institutional Plan; • Operation and maintenance of facilities; • Field Work Proposals (FWPs); • Improvement initiatives; • Laboratory Directed Research and Development (LDRD); • Laboratory Management Systems; • Project Planning, Programming and Budgeting Process (PPPBP); • Organizational strategic plans; • Work for Others. <p>Note: Reviewing the Assessment Planning and Evaluation Criteria Framework may also be useful in defining the scope of organizational work.</p>
Step 2	<p>Based on the scope of work, define organizational performance objectives.</p>

	<p>Examples of what organizations should consider when establishing performance objectives include the following:</p> <ul style="list-style-type: none"> • Budgetary constraints; • Critical Outcome Performance Measures; • Results of previous assessments and self-evaluations; • Laboratory requirements and Standards of Performance; • Operational and business requirements; • Stakeholder/customer views and expectations; • Operational and business requirements; • Significant environmental, safety, or health aspects; • Technological options and limitations. <p>Note: Organizations should carefully select objectives to ensure they capture the full scope of performance expectations, while at the same time keeping the number manageable.</p>
<p>Step 3</p>	<p>For each objective, determine appropriate measures/assessments. Where appropriate, identify an approach for achieving an objective.</p> <p>Note: Applicable FY04 Required Line Self-Assessments must be included in the organization's self-assessment program.</p> <p>Note: Measures and assessment activities should be based on the following:</p> <ul style="list-style-type: none"> • Issues published through the Laboratory's Lessons Learned program; • Priorities; • Results of previous assessments and self-evaluations; • Resources; • Required assessments; • Risk (programmatic, financial, environment, safety, health, security). <p>Note: The Assessment Planning and Evaluation Criteria Framework may also be useful in identifying potential assessment areas. For more information on objectives, refer to the Guidelines for Developing Objectives and Performance Measures exhibit.</p>
<p>Step 4</p>	<p>For each measure/assessment, consider the need for the following:</p> <ul style="list-style-type: none"> • Independent assessors; • Peer review; • Specific training or qualification requirements of assessors; • Subject matter expertise.
<p>Step 5</p>	<p>Determine a schedule of measurement/assessment activities.</p>
<p>Step 6</p>	<p>Assign responsibilities for achieving measures/performing assessments, evaluating results, and reporting the results to organizational managers.</p>
<p>Step 7</p>	<p>Document the self-assessment program in conformance with the requirements specified on the Self-Assessment Program Requirements exhibit.</p>

Step 8	Conduct self-assessments as planned. Guidelines that can be used for conducting some assessments are included in the Guidelines for Performing Assessments exhibit.
Step 9	<p>Ensure that assessment results are</p> <ul style="list-style-type: none"> • Documented; • Evaluated for the Price Anderson Amendments Act (PAAA) applicability. Send assessment results that indicate a potential weakness in areas related to nuclear or radiological programs to the Laboratory's Price-Anderson Amendments Act (PAAA) Coordinator in a timely fashion. The Laboratory reviews the results in accordance with ES&H Standard 1.1.1, Price-Anderson Amendments Act Compliance Validation and Noncompliance Reporting Program. <p>Note: Notification to the PAAA Coordinator should be made within two working days.</p> <ul style="list-style-type: none"> • Evaluated for the Laboratory Lessons Learned program.
Step 10	Corrective/improvement actions must be managed in accordance with ES&H Standard 1.2.1, Corrective Action Management and Tracking for Internal and External Assessments .

Guidelines

Self-assessment programs are process-oriented. Managers may choose to define the following three basic processes of self-assessment programs:

1. Establishing objectives;
2. Monitoring performance;
3. Implementing improvements.

These processes can result in a single document or a collection of documents. The institutional expectation is that auditable processes are defined and implemented in accordance with the content of this subject area. Their specific form is determined based on organizational preferences.

References

[Critical Outcome Performance Measures](#) Subject Area

[ES&H Standard 1.1.1, Price-Anderson Amendments Act Compliance Validation and Noncompliance Reporting Program](#)

[ES&H Standard 1.2.1, Corrective Action Management and Tracking for Internal and External Assessments](#)

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Subject Area: **Integrated Assessment**

2. Annual Review of Organizational Performance

Effective Date: **January 2003**

Point of Contact: [Integrated Assessment Program Point of Contact](#)

Applicability

This information applies to Associate Laboratory Directors, Assistant Laboratory Directors (ALDs), Department Chairs, Division Managers, and Office Managers.

Required Procedure

Managers of organizations shown on the Laboratory Organizational Chart (and line managers directed by those on the Organizational Chart) are responsible for conducting an annual review of organizational performance versus objectives and measures defined in their self-assessment program. The review of the previous year's performance and the subsequent update of the organization's self-assessment program for the current year must be completed by the end of the first quarter (December 31) of each fiscal year.

Step 1	In September the Integrated Assessment Program Point of Contact prepares and distributes a reminder/guidance memorandum and distributes it to positions identified on the Laboratory Organizational Chart. This memorandum serves to remind organizations to conduct their annual review and provides any special circumstances that may be unique to the review period.
Step 2	<p>Organizational Managers plan and conduct their review. The specific approach for the annual review can be determined by the Organizational Manager. Examples include a meeting with presentations or facilitated discussions, a report generated and/or reviewed by an appropriate representation of the organization, a combination of these examples.</p> <p>The annual review must, at a minimum</p> <ul style="list-style-type: none"> • Analyze performance versus the objectives/measures in the self-assessment program; • Consider other indicators of performance such as results of Laboratory-wide assessments, external (e.g., DOE) assessments/reviews, Price-Anderson Amendments Act (PAAA) noncompliances, occurrence reports, nonconformance reports, Radiological Awareness Reports; • Involve staff sufficiently to ensure staff concerns and perspectives are included in the review; • Involve management, through the ALD, sufficiently to ensure management awareness of key organizational issues; • Identify improvement actions and/or areas requiring further management attention. <p>Note: Most Organizational Managers find it beneficial to conduct their annual management review of their Environmental Management System as part of their review of organizational performance. See the section Preparing for and Conducting Environmental Management Reviews in the Equipment Assessments Subject Area for information.</p>

	Environmental Assessments Subject Area for information.
Step 3	Document the review sufficiently to provide objective evidence that the above criteria have been satisfied. Maintain documentation as organizational records. See the Records Management Subject Area for information on maintaining records.

References

[Environmental Assessments](#) Subject Area

[Records Management](#) Subject Area

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3. Planning and Conducting Management System Self-Assessment Programs

Effective: January 2003

Point of Contact: [Integrated Assessment Program Point of Contact](#)

Applicability

This information applies to Management System Stewards.

Required Procedure

Step 1	<p>Maintain an assessment program of your respective management system to</p> <ul style="list-style-type: none"> • Ensure that the systems are being implemented and maintained in accordance with Brookhaven National Laboratory (BNL) and Department of Energy (DOE) expectations; • Evaluate the effectiveness and value of the system for achieving BNL results; • Identify improvements that should be made to maintain the system's suitability, adequacy, and effectiveness. <p>Note: The assessment approach should include the periodic use of "independent assessments."</p>
Step 2	<p>Determine the scope and frequency of management system measures/assessments based on the customer and DOE/Brookhaven Site Office (BHSO) needs and expectations listed below</p> <ol style="list-style-type: none"> 1. Risks (e.g., programmatic, financial, environment, safety, health, security) that are affected by the respective system; 2. Results of other assessment and self-evaluation activities (e.g., external assessments, peer review, special studies, routine performance indicators); 3. Resources (such as time, people, money); 4. The maturity of the system or improvements that have been made to the system;

	<ul style="list-style-type: none"> 5. Scheduled/performed independent assessments; 6. Regulatory or other external driver requirements; 7. Results of past annual system evaluations; 8. Issues published through the Laboratory's Lessons Learned program.
Step 3	<p>When planning assessments, consider the need for</p> <ul style="list-style-type: none"> • Subject matter expertise ; • Specific training or qualifications requirements of assessors ; • Use of peer review ; • Use of independent assessors.
Step 4	<p>Maintain a documented schedule of assessments as well as any required assessment procedures and protocols. The assessment schedule must include responsibilities for performing the assessments as well as</p> <ul style="list-style-type: none"> • Subject matter expertise; • Specific training or qualifications requirements of assessors; • Use of peer review; • Use of independent assessors.
Step 5	<p>Ensure that assessment results are</p> <ul style="list-style-type: none"> • Documented and reported to the following: <ul style="list-style-type: none"> ○ Laboratory Director ○ Deputy Director for Science and Technology ○ Deputy Director for Operations ○ Management System Steward ○ Management System Point of Contact ○ Manager Quality Programs and Services ○ Other managers and staff that are impacted by the results, or were involved in the assessment. <p>Note: When determining an appropriate reporting "audience" and approach, consider the subject matter, the affected Laboratory population, and the significance of the assessment results. Presentations of assessment results at routine/standing meetings (Policy Council, Management Council, ESH Coordinators, etc.) should be considered.</p> <ul style="list-style-type: none"> • Evaluated for the Price-Anderson Amendments Act (PAAA) applicability. Send assessment results that indicate a potential weakness in areas related to nuclear or radiological programs to the Laboratory's Price-Anderson Amendments Act (PAAA) Coordinator in a timely fashion. The Laboratory reviews the results in accordance with ES&H Standard 1.1.1, Price-Anderson Amendments Act Compliance Validation and Noncompliance Reporting Program. <p>Note: Notification to the PAAA Coordinator should be made within two working days.</p> <ul style="list-style-type: none"> • Evaluated for the Laboratory Lessons Learned program.
Step 6	<p>Corrective/improvement actions must be managed in accordance with FS&H</p>

Step 5
Corrective/improvement actions must be managed in accordance with [ES&H Standard 1.2.1, Corrective Action Management and Tracking for Internal and External Assessments](#). Corrective and improvement actions addressing programmatic (Laboratory-wide) issues or concerns should be tracked through the Laboratory's ATS.

Guidelines

In management system assessments, the following should be considered and/or used:

- Role of and feedback from BNL committees that serve the management system;
- Performance of subcontractors in the assessment activities;
- Peer review and benchmarking with other basic science laboratories to identify other improvement opportunities.

References

[ES&H Standard 1.1.1, Price-Anderson Amendments Act Compliance Validation and Noncompliance Reporting Program](#)

[ES&H Standard 1.2.1, Corrective Action Management and Tracking for Internal and External Assessment](#)

[Lessons Learned](#) Subject Area

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4. Annual Management System Self-Evaluations

Effective Date: **January 2003**

Point of Contact: [Integrated Assessment Program Point of Contact](#)

Applicability

This information applies to Management System Stewards.

Required Procedure

Step 1	The Integrated Assessment Program Point of Contact sends out a memorandum, with guidance for conducting an annual evaluation of each management system, to the respective Management System Steward.
Step 2	<p>Management System Stewards prepare an annual report using the format shown in the Management System Annual Self-Evaluation Aid exhibit. The evaluation should consider information derived from all sources, including</p> <ul style="list-style-type: none"> • Self-assessments; • External assessments; • Independent assessments; • Peer review processes; • The Corporate Oversight office; • Occurrence reports; • Nonconformance reports; • Radiological awareness reports.
Step 3	The Management System Steward forwards the management system annual self-evaluation to the Integrated Assessment Program Point of Contact.

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Assessment Planning and Evaluation Criteria Framework

Effective Date: **January 2003**

Point of Contact: [Integrated Assessment Program Point of Contact](#)

The Assessment Planning and Evaluation Criteria Framework exhibit is also provided as a [Word](#) file.

Assessment Planning and Evaluation Criteria Framework

Brookhaven Science Associates (BSA) has adopted a self-assessment framework based primarily on the Malcolm Baldrige National Quality Award Criteria. The criteria have been modified to meet the expectations of the Department of Energy (DOE) and other stakeholders. This framework allows us to focus on the Critical Outcome Trees as well as other contract expectations and stakeholder concerns.

The Assessment Planning and Evaluation Criteria and examples of program or performance attributes that may be included in assessment activities are listed below. Note that some programs and assessment activities can be reasonably aligned with more than one criteria.

1.0 Leadership commitment and involvement examples include programs for:

- communications (internal and external);
- management involvement in organizational performance evaluation and improvement;
- setting direction and mentoring effective leadership systems;
- integrating customer and performance expectations in the management systems;
- Integrating risks, regulatory, and contractual requirements in setting operational objectives;
- Strategic planning; and
- Senior management walk-throughs.

2.0 Human Resource development and management examples include programs for:

- planning and evaluating performance for staff development;
- promoting effective work, compensation, and reward systems;
- promoting education, training, and development;

- maintaining quality of work life (employee satisfaction and well being);
- diversity management (affirmative action); and
- workstation ergonomics.

3.0 Customer focus and satisfaction (customer value) examples include programs for:

- identification of new experiment/research opportunities;
- relevance of mission to DOE needs;
- the support organization to understand science division needs;
- understanding customer and market needs;
- managing customer relations;
- determining customer satisfaction; and
- using customer feedback results.

4.0 Process management examples include programs for:

- performance monitoring;
- information management;
- control of software;
- nonconformance reporting;
- environmental management systems;
- energy management;
- work planning and control (experiments and routine);
- internal procedures;
- acquisition management;
- quality management;
- Real Property Asset Management;
- designing and introducing products and services;
- managing facilities and equipment;
- designing and managing support services;
- managing supplier performance; and
- use of the "Lessons Learned" program.

5.0 Business and operational results (performance against key objectives and measures) for:

- organizational mission objectives;
- quality of research;
- operational measures;
- environment, safety, and health measures; and
- financial management.

6.0 Compliance with Laws, Regulations, and Contractual Requirements

Note: Due to DOE oversight of BNL operations, many aspects of performance can be categorized as "compliance." However, many of the programs listed below also could be aligned with other criteria.

- Requirements management programs.
- Compliance areas, for example:
 - conduct of operations;

- configuration management;
 - documents and records;
 - emergency management;
 - environmental;
 - finance/contracts;
 - maintenance/work control;
 - operational safety and health/fire protection;
 - personnel/diversity;
 - procurement/subcontracts;
 - radiation protection;
 - safeguards and security/property;
 - training/qualifications;
 - waste management;
 - lockout/tagout;
 - electrical safety;
 - confined space;
 - interlock safety;
 - Price Anderson Act Amendments; and
 - occurrence reporting.
- Risks of regulatory and other legal requirements addressed in planning and setting operational requirements.

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Assessment Planning and Evaluation Criteria Framework

BSA has adopted a self-assessment framework primarily based on the Malcolm Baldrige National Quality Award Criteria. The criteria have been modified to meet the expectations of DOE and other stakeholders. This framework allows us to focus on the Critical Outcome Trees as well as other contract expectations and stakeholder concerns.

The Assessment Planning and Evaluation Criteria and examples of program or performance attributes that may be included in assessment activities are listed below. Note that some programs and assessment activities can be reasonably aligned with more than one criteria.

1.0 Leadership Commitment and Involvement

Examples include programs for:

- Communications (internal and external)
- Management involvement in organization performance evaluation and improvement
- Setting direction and mentoring effective leadership system
- Integrating customer and performance expectations in the management systems
- Integrating risks, regulatory, and contractual requirements in setting operational objectives
- Strategic planning
- Senior management walk-throughs

2.0 Human Resource Development and Management

Examples include programs for:

- Planning and evaluating performance for staff development
- Promoting effective work, compensation, and reward systems
- Promoting education, training, and development
- Maintaining quality of work life (employee satisfaction and well being)
- Diversity management (affirmative action)
- Workstation ergonomics

3.0 Customer Focus and Satisfaction (Customer Value)

Examples include programs for:

- Identification of new experiment/research opportunities
- Relevance of Mission to DOE needs
- Support organizations understanding of science division needs
- Understanding of customer and market needs
- Managing customer relations
- Determining customer satisfaction
- Using customer feedback results

4.0 Process Management

Examples include programs for:

- Performance monitoring
- Information management
- Control of software
- Non-conformance reporting
- Environmental management systems

- Energy management
- Work planning and control (experiments and routine)
- Internal procedures
- Acquisition management
- Quality management
- Lifecycle asset management
- Designing and introduction of products and services
- Managing facilities and equipment
- Designing and managing support services
- Managing supplier performance
- Use of the Lessons Learned program

5.0 Business and Operational Results (Performance against key objectives and measures)

- Organizational mission objectives
- Quality of research
- Operational measures
- Environment, Safety & Health measures
- Financial management

6.0 Compliance with Laws, Regulations, and Contractual Requirements

NOTE: Due to DOE oversight of BNL operations, many aspects of performance can be categorized as “compliance.” However, many of the programs listed below also could be aligned with other criteria.

- Requirements management programs
- Compliance areas
 - Conduct of operations
 - Configuration management
 - Documents and records
 - Emergency management
 - Environmental
 - Finance/contracts
 - Maintenance/work control
 - Operational safety and health/fire protection
 - Personnel/diversity
 - Procurement/subcontracts
 - Radiation Protection
 - Safeguards and security/property
 - Training/qualifications
 - Waste management
 - Lock out/tag out
 - Electrical safety
 - Confined space
 - Interlock safety
 - Price Anderson Act Amendments
 - Occurrence reporting
- Risks of regulatory and other legal requirement addressed in planning and setting operational requirements.



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FY04 Required Line Self-assessments

Effective Date: **January 2004**

Point of Contact: [Integrated Assessment Program Point of Contact](#)

FY04 Required Line Self-assessments is provided as a [Word](#) file.

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FY04 Required Line Self-Assessments

Note: This table does not include operational inspections, surveillances, etc., as defined in SBMS.

Required Self-Assessments Within Line Organizations				
Management System	Assessment	Applicable Organizations	Assessment Aid	Required Report Out Schedule
Acquisition Management	None	N/A	N/A	N/A
Emergency Preparedness and Off-Normal Event Reporting	Fire Safety	All	Lab-wide Assessment Aid for Fire Safety POCs: J. Levesque x4259; R. Costa x8227	June 30, 2004
Environmental Management	- Regulatory Compliance	- All*	- See the section Preparing for and Conducting Regulatory Compliance Assessments in the Environmental Assessments Subject Area	- 2 nd & 3 rd Quarter
	- EMS Assessments	- All*	- See the section Preparing for and Conducting Environmental Management System Assessments in the Environmental Assessments Subject Area	- 2 nd or 3 rd Quarter
	- Management Review	- All*	- See the section Preparing for and Conducting Environmental Management Reviews in the Environmental Assessments Subject Area	- 4 th Quarter
Facility Operations	NONE			
Facility Safety	Annual Program Assessment of 801 and BLIP	Medical Dept.	N/A	4 th Quarter
Financial Management	None			
Hazardous Material Transportation Safety	None			

*All = Directorates and Departments/Divisions as reflected in the Laboratory's organizational charts.

Required Self-Assessments Within Line Organizations				
Management System	Assessment	Applicable Organizations	Assessment Aid	Required Report Out Schedule
Integrated Planning	None			
Intellectual Property	None			
Legal	None			
Life Cycle Asset Management	1. Maintenance Management	C-A, LS, EP	Self-assessment Aid for Maintenance Program Requirements/Elements in the Maintenance Management Subject Area POCs: C. Johnson x7636; R. Costa x8227	June 30, 2004
	2. Energy Management Awareness	All	Lab-wide Assessment Aid for Energy Awareness POCs: M. Toscano x2599; R. Costa x8227	June 30, 2004
Property Management	None			
Quality Management	None			
Radiological Control	None			
Records Management	Level 2 Managers Self-assessment of Records Management System	All	Self-assessment Aid for Records Management POC: M. Petersen x3489	June 30, 2004
Safeguards and Security	Foreign Visits and Assignments	All	Lab-wide Assessment Aid for Foreign Visits and Assignments POCs: K. Walker x7105; R. Costa x8227	June 30, 2004

*All = Directorates and Departments/Divisions as reflected in the Laboratory's organizational charts.

FY04 Required Line Self-Assessments

Note: This table does not include operational inspections, surveillances, etc., as defined in SBMS.

Management System	Assessment	Applicable Organizations	Assessment Aid	Required Report Out Schedule
Standards-Based Management	None			
Training and Qualifications	None			
Work for Others	None			
Work Planning and Control	1. Compare Department-level Work Planning and Control (WP&C) procedures to Work Planning and Control for Experiments and Operations Subject Area to ensure consistency and compliance.	All	Department Review of Work Planning and Control (WP&C) Procedure POC: S. Hoey x7936	June 30, 2004
	2. Evaluate feedback received on FY04 Work Permits.	All	Feedback in Block 7 of Work Permit POC: S. Hoey x7936	June 30, 2004
Worker Safety and Health	Department ESH Inspections (Tier Is) OSHA Roll-Up/Chemical Management Occupational Injury Management Lockout/Tagout	All All All Organizations with active LOTO programs	Worker Safety and Health Required Assessment Aid (Covers all topics) POC: S. Hoey x 7936	June 30, 2004

*All = Directorates and Departments/Divisions as reflected in the Laboratory's organizational charts.



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Subject Area: **Integrated Assessment**

Guidelines for Developing Objectives and Performance Measures

Effective Date: **January 2003**

Point of Contact: [Integrated Assessment Program Point of Contact](#)

The Guidelines for Developing Objectives and Performance Measures is also provided as a [Word](#) file.

Guidelines for Developing Objectives and Performance Measures

SMART Criteria for Objectives and Measures. They should be

S -- Specific. A clear and precise statement of desired results.

M -- Measurable. Quantitative or qualitative results that indicate accomplishment, state of progress, and the degree to which the goal was met or achieved.

A -- Attainable. Challenging, but not impossible. Can reasonably be accomplished with available resources.

R -- Relevant. Contribute to the achievement of critical outcomes and Brookhaven National Laboratory (BNL) objectives.

T -- Trackable. Specific dates and/or events exist to help gauge progress.

After planning objectives and measures and filtering them through the SMART test, revise them where the test reveals deficiencies.

Philosophies and Practices

- "What you count counts." "What you measure gets managed." Use measures to focus limited resources on the important things that will promote the desired outcome.
 - A mix of leading and lagging indicators (i.e., a mix of past, present and future). **Leading** indicators measure precursors (e.g., near misses, procedure violations, overdue preventive maintenance). **Lagging** identifies incidents that have occurred (e.g., lost work day cases, permit violations). **Behavioral** measures managerial, organizational and individual commitment to activities that lead to improvements (training, management walkthroughs, participation, ISO 14001 registration status, initiatives).
 - Use the "balanced scorecard" approach. Balanced set of metrics to monitor progress towards meeting factors critical to set. **Balance Is Key** — measures should tell you what is not working as well as what is.
 - Items within the organization's span of control (e.g., should not depend upon timely approval by regulators).
 - Important, meaningful, and rational.
 - Linked to factors needed for success. Make sure your measures relate to the objective.
 - Based on needs of customers and other key stakeholders.
 - Critical to our mission.
 - Fewer are better - concentrate on measuring the vital few key variables rather than the trivial many.
- Start at the top and flow down to all levels and employees.*

- Start at the top and flow down to all levels and employees.
- Adequate baseline data exists to establish the "bar" or performance level.
- Infrastructure in place to support timely exchange of data, and internal controls to ensure reliability of data.
- Enable you to identify what is and is not working (and identify opportunities for improvement).
- Enable you to benchmark yourself against best-in-class.
- Can tell you how you are performing over time (e.g., if you change the measurement every year, you can't trend).
- Collectable. Don't select a measure that requires development of a resource intensive data collection system, or a measure where results will be difficult to quantify.
- Clear and understandable.
- Be clear on what constitutes success in the measure description (i.e., how will we document that the measure has been met).
- Should not be all or nothing (e.g., if you don't achieve 100%, you fail).
- Normalized (e.g., to operations, number of employees, etc. Can use an operational adjustment factor).
- Appropriate for the organizational level.

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3.0-012003/standard/1g/1g03e011.htm

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Guidelines for Performing Assessments

A. Assessment Process

- A checklist can be used to:
 1. Ensure depth and continuity of assessment.
 2. Provide documentation of assessment results (findings) including substantiating details as objective evidence. These details are not necessarily included in the assessment report.
 3. Provide documentation of recommendations, observations, etc.
- Seek objective evidence to determine compliance with applicable requirements.
- Selected elements of the program should be assessed to the depth necessary to determine whether or not they are being implemented effectively.
- Conditions requiring immediate corrective action should be reported to management immediately.
- Specific attention should be given to corrective action on findings identified during previous assessments.

B. Assessment Techniques

Assessment techniques include document review, interview, observation, and inspection. An effective assessment includes the use of a combination of techniques in order to maximize assessment time and resources.

- **Interviewing** provides the assessor with the opportunity to substantiate the results of observation, document review, and inspection. In addition, it allows the responsible person to elaborate and clarify those results. The interview helps to eliminate misunderstandings about program implementation and provides a dialogue between the assessor and the assessee. It provides the assessee with an opportunity to explain apparent conflicts or recent changes and to describe the organization and program expectations.
- **Document Review** is used extensively during an assessment to substantiate the results of interviews and observation. Usually during the course of an assessment, questions are raised concerning what is heard and seen. The review of documents provides a method for answering these questions and validating the assessment results. This technique needs to be combined with interviewing, observation, and/or inspection to provide a complete picture of performance. Records and documents must be selected carefully in order to assure that they impact the program, system, or process being assessed.
- **Observation** involves the actual viewing of work activities. This technique is often considered the most effective technique for determining whether performance is adequate. An assessor should understand the effect their presence has on the person being observed. To properly observe work performance, the assessor must portray a mindset and attitude that is helpful, constructive, contributing, positive, and unbiased. The primary goal during observation is to get as complete a picture as possible of the performance.
- **Inspection** is performed to verify the adequacy and condition of physical facilities and equipment/systems. Usually it is done to substantiate other items identified during the assessment, such as equipment labeling, configuration control, adequacy of construction, or proper material storage. Inspection may also be performed to gain information and data in preparation for interviews and/or work observation. It is always a good practice to be accompanied by someone familiar with the facility.



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Subject Area: **Integrated Assessment**

Self-assessment Program Requirements

Effective Date: **January 2003**

Point of Contact: [Integrated Assessment Program Point of Contact](#)

Organizational self-assessment programs are process-oriented. All of the requirements listed below do not need to be included in a single document. Self-assessment program requirements include the following:

1. Organizational objectives and measures that include an approach where appropriate.
Note: Any special funding not allocated through the BNL budget process is identified in the approach.
2. Dates specific measures/assessments are to be accomplished.
3. The need/use of
 - o Independent assessors;
 - o Peer review;
 - o Qualifications/subject matter experts.
4. Individuals (or positions) responsible for
 - o Performing assessments/measures activities;
 - o Reviewing/evaluating assessment results and determining/approving corrective, preventive, and improvement actions for both internal and external assessments. A standing committee or management team could also be used.
5. Description of programs/processes used to assign responsibility and tracking corrective, preventive, and improvement actions.

Note: Corrective action management must meet the requirements of [ES&H Standard 1.2.1, Corrective Action Management and Tracking for Internal and External Assessments](#).

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3.0-012003/standard/1g/1g05e011.htm

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Steam Consumption (lbs) by Department
FY 2003

Department	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Total
BGRR	35,910	35,910	41,040	48,735	46,170	38,996	27,758	28,638	31,044	13,194	15,858	21,368	384,620
BIOLOGY	1,615,026	1,870,175	2,986,444	3,228,415	3,279,527	2,699,013	2,181,081	1,714,162	1,338,211	250,599	289,022	308,176	21,759,851
CA	4,435,154	8,182,269	15,482,793	12,613,501	12,178,479	12,835,143	8,924,193	5,795,124	3,571,328	1,645,628	1,816,171	2,383,331	89,863,114
CAFETERIA	159,339	331,301	440,299	669,570	502,392	370,457	386,688	344,221	213,980	199,690	135,796	139,252	3,892,986
CHEMISTRY	619,701	4,016,277	4,013,165	3,379,740	4,253,382	3,516,248	3,184,699	1,871,751	641,434	394,967	473,609	704,445	27,069,416
CHILLED WATER PLANT	0	90	480	130	780	40	2,577,900	4,676,610	8,449,360	8,016,320	3,801,570	6,381,190	33,904,470
COMPUTING AND COMMUNICATIO	345,716	510,301	561,946	771,194	651,862	622,916	528,567	423,858	408,363	214,412	195,507	259,211	5,493,853
EENS	2,234,596	3,904,278	4,488,050	5,526,401	4,809,730	4,210,394	3,228,456	3,491,367	3,295,288	3,522,053	3,161,826	2,581,671	44,454,110
ERD	1,244	18,429	18,779	18,958	12,671	13,403	9,947	8,832	9,613	3,782	4,010	5,400	125,069
G & A	5,933,930	6,994,867	7,849,303	10,374,558	8,566,014	7,265,783	5,477,668	5,393,776	4,229,407	4,024,837	3,896,777	4,055,856	74,062,777
MATERIALS SCIENCE	420,775	861,006	834,742	1,101,914	808,085	719,391	614,151	375,340	224,115	116,525	122,379	169,938	6,368,360
MEDICAL	1,465,965	1,863,837	2,552,154	3,438,746	2,989,143	2,102,005	1,342,622	1,244,628	937,291	989,424	827,033	964,901	20,717,749
MEDICAL RESEARCH	174,174	206,057	288,855	398,630	349,665	235,655	140,829	137,038	106,864	119,963	100,096	116,005	2,373,830
N.S.L.S.	1,579,607	1,936,195	2,871,015	2,885,426	2,497,767	2,113,774	1,847,653	2,277,530	1,596,295	1,047,155	901,451	1,099,951	22,653,820
PHYSICS	1,126,165	1,656,328	2,197,941	2,478,061	2,313,531	2,121,754	1,798,125	1,406,293	1,139,196	699,635	502,735	623,321	18,063,085
REACTOR DIVISION	148,832	123,928	112,179	95,940	68,487	57,758	41,200	75,851	73,576	76,279	81,417	69,068	1,024,516
Safeguards and Security	17,614	84,632	91,656	97,419	70,759	69,273	53,609	45,363	42,094	20,619	20,087	26,157	639,283
WASTE MANAGEMENT	288,649	383,033	870,721	55,553	53,990	45,602	37,664	36,432	34,264	10,905	13,154	15,366	1,845,332

Department Review of Work Planning and Control (WP&C) Procedure
(Work Planning and Control Line Assessment)

This form should be filled out by the Department/Division's Work Control Manager:

- 1) Does your Department/Division use the Work Planning and Control for Experiments and Operations Subject Area or an internal procedure to implement work planning? _____

If you use the Work Planning and Control for Experiments and Operations Subject Area, then skip question 2, sign the form and return to the Work Planning & Control POC.

- 2) a) Is your internal WP&C implementing procedure up-to-date per the requirements in the Work Planning and Control for Experiments and Operations Subject Area? _____

b) If not, when will you update your procedure?

c) Sign and date below.

WCM Signature

Date

Please return this completed form to Steve Hoey, Bldg. 120

Feedback in Block 7 of Work Permit
(Work Planning and Control Line Assessment)

This form should be filled out by the Department/Division's Work Control Manager:

- 1) Review up to 25% of the work permits, generated by your Department/Division, from October 2003 to August 2004 for the following (if your Department/Division generated less than 10 permits, please review all of them):

a) What percentage of the work permits have a "yes" denoted in block 7(a)?

b) What percentage of the work permits have information denoted in block 7(b)?

c) In your opinion what is the qualitative worth of the information provided in blocks 7(a) and 7(b)?

WCM Signature

Date

Please return this completed form to Steve Hoey, Bldg. 120

Lab-wide Assessment Aid for Energy Awareness

	Assessment Question*	Yes	Partial	*No	**Not Sure, Requires Assessment	Not Applicable	Comments
	<p>The answers to the following questions are to be approved by the Department Chair/Division Manager</p>						<p>*All "No" responses should warrant a corrective action. **All "Not Sure, Requires Assessment" responses require a date the assessment will be accomplished by.</p>
1.	Do the administrators in your organization track your electricity use and cost?						
2.	<p>Do you use electric bill data (which includes electricity for chilled water) that is available on the Energy Management web page for planning and to establish energy reduction goals?</p> <p>Note: Reports include monthly bills by department, site summaries, multi-fiscal year electric use and cost by department.</p>						
3.	<p>Do you use steam use data (see attached) for your organization in planning and establishing energy reduction goals?</p> <p>Note: Contact the Energy Management Group for additional information.</p>						See the exhibit Steam Consumption (lbs) by Department .
4.	Are your building managers aware of the quantity and cost of energy your buildings use?						
5.	Do the employees turn off their office lights at lunchtime?						
6.	Do the employees turn off their computers at the end of the workday?						
7.	Are fume hoods turned off/closed when not in use?						
8.	Are photocopiers turned off at night?						
9.	<p>Are there any leaking faucets in your building(s)?</p> <p>If yes, has a work order been called in to Plant Engineering?</p>						
10.	Is the temperature in your buildings set back at night?						

***Reference: DOE Order 430.2, In-House Energy Management**

Please return this completed form to R. Costa, Bldg. 130M

Lab-wide Assessment Aid for Energy Awareness

	Assessment Question*	Yes	Partial	*No	**Not Sure, Requires Assessment	Not Applicable	Comments
11.	If heating and/or cooling control is accomplished by BNL's Energy Management Control System, does the computer schedule match your occupancy schedule? If no, who has been notified? _____						
12.	In air conditioned spaces, are the doors and windows closed when the A/C is on?						
13.	Are doors and windows kept closed during winter?						
14.	Are the lights off in restrooms when not in use?						
15.	Are restroom exhaust fans shut off during unoccupied hours?						
16.	Are compressed air leaks kept to a minimum?						
17.	Has your organization implemented any energy-saving practices? If yes, please identify them.						
18.	Has your organization identified any energy-saving opportunities? If yes, please identify them.						

Prepared by/Date: _____

Department/Division Code: _____

Level 2 Manager's Approval/Date: _____

***Reference: DOE Order 430.2, In-House Energy Management**

Please return this completed form to R. Costa, Bldg. 130M

Lab-wide Assessment Aid for Fire Safety

	Assessment Question	Reference	Yes	Partial	*No	**Not Sure, Requires Assessment	Not Applicable	Assessment Guidance
	<p>The following questions are to be answered by Department Chairs/Division Managers</p>							<p>*All "No" responses should warrant a corrective action. **All "Not Sure, Requires Assessment" responses require a date the assessment will be accomplished by.</p>
1.	Are building occupants aware that they are to leave the building and go to the outdoor assembly point when the fire alarm sounds?	1						This can be measured by reviewing the results of evacuation drills, results of evacuations from false alarms, or by distributing the attached questionnaire to a sample population of your staff (see Attachment A).
2.	Do the organizational safety review systems (e.g., Work Control reviews, Experimental Reviews Committees) adequately identify fire safety issues?	1						Verify that reviews include looking for fire safety concerns. Examples of fire safety concerns are cutting/welding operations, flammable liquids use or storage, combustible liquids use or storage, use of open flames, use of fuel or gas fire furnaces/boilers, matching of appropriate fire protection systems with the dollar value and programmatic importance of the experiment/equipment, purchase of high value electronics, use or storage of oxidizers, minimization of combustible materials in radiological areas and around high value/programmatically important equipment, and use or storage of explosives.
3.	Are fire safety related findings tracked by the organization to ensure they are addressed?	1						Verify that: <ol style="list-style-type: none"> 1) Fire Rescue safety inspection recommendations issued to your Building Managers are appearing in the organization's tracking system. 2) Fire safety issues identified during Tier I inspections are being tracked in the organization's tracking system. 3) Occupancy Readiness Evaluations and/or Exit Review Evaluations findings are appearing in the organization's tracking system.

Reference Source Key:

1. ES&H Standard 4.0.0 Fire Safety Program, Section IV. C
2. ES&H Standard 4.0.0 Fire Safety Program, Section IV. A

Return complete form to R. Costa, Bldg. 130M

Lab-wide Assessment Aid for Fire Safety

	Assessment Question	Reference	Yes	Partial	*No	**Not Sure, Requires Assessment	Not Applicable	Assessment Guidance
4.	Are deviations from the required elements of the DOE/BSA contract related to fire protection documented and have exemptions/equivalencies been granted by DOE?	1						For facilities with Safety Assessment Documents (SAD), review the Fire Hazard Analysis report. Determine if all recommendations have been corrected. If uncorrected, determine if uncorrected conditions have been processed to DOE for concurrence.
5.	Have resources been allocated or have resources been requested to correct fire safety deficiencies that are currently unfunded? a) Have Activity Data Sheets (ADS) been submitted to address the issues beyond the financial capabilities of the organization? b) If funding has not been provided or is pending, has the organization used alternative means under their control to address the issues?	1						Reviewing the organization's tracking system to determine if funds have been allocated for corrective actions can assess this.

Reference Source Key:

1. **ES&H Standard 4.0.0 Fire Safety Program, Section IV. C**
2. **ES&H Standard 4.0.0 Fire Safety Program, Section IV. A**

Return complete form to R. Costa, Bldg. 130M

Lab-wide Assessment Aid for Fire Safety

	Assessment Question	Reference	Yes	Partial	*No	**Not Sure, Requires Assessment	Not Applicable	Assessment Guidance
6.	<p>Have supervisors ensured that their staff know these key points:</p> <p>The BNL emergency numbers are 911 and 2222 (on-site) and 631-344-2222 by cellular telephone;</p> <ul style="list-style-type: none"> • Employee's responsibility for reporting fires/hazardous conditions/spills; • The facility's Local Emergency Plan contents; • BNL's policy on fire extinguishers; • BNL's no smoking policy within facilities; • The requirement for good housekeeping and control of combustible/flammable materials specific to the employees workplace; • Ways to properly design/arrange the work and equipment to minimize ignition sources (i.e., space heaters, electrical wiring, use of extension cords, designate cutting welding areas); and • The principal of "Stop, Drop and Roll" for clothing fires. 	2						<p>This can be measured by distributing the attached questionnaire to a sample population of your staff (see Attachment A).</p>

Reference Source Key:

1. **ES&H Standard 4.0.0 Fire Safety Program, Section IV. C**
2. **ES&H Standard 4.0.0 Fire Safety Program, Section IV. A**

Return complete form to R. Costa, Bldg. 130M

Lab-wide Assessment Aid for Fire Safety

	Assessment Question	Reference	Yes	Partial	*No	**Not Sure, Requires Assessment	Not Applicable	Assessment Guidance
7.	Do supervisors of cutting/welding operations have related training on the hazards?	2						Reviewing the training records of those people who supervise cutting or welding operations can assess this. This function should be defined in their training requirements. They should have Welding, Cutting, and Brazing (HP-OSH-006) or GE-22A - Welding, Cutting, Brazing Oversight
8.	Do employees who perform cutting/welding operations have required training for fire watch and fire extinguisher use?	2						Reviewing the training records of those people who perform cutting or welding operations can assess this. This function should be defined in their training requirements. They should have GE-22 - Welding, Cutting, Brazing & Fire Watch Qualified (or Fire Watch (HP-FRF-202)) and Practical Fire Extinguisher (HP-FRF-101)
9.	Are employees aware of BNL's "No Smoking Policy" within buildings?	2						This can be measured by input from Building Managers and ESH Coordinators.
10.	Has practical fire extinguisher training been taken by employees working in vital areas (control rooms) or those employees who use significant quantities of flammable liquids (>5 gallons)?	1						This can be measured by reviewing the training record for Practical Fire Extinguisher (HP-FRF-101). Employees working in the areas stated should have this documented in their training requirements.

Prepared by/Date: _____

Department/Division Code: _____

Level 2 Manager's Approval/Date: _____

Reference Source Key:

1. **ES&H Standard 4.0.0 Fire Safety Program, Section IV. C**
2. **ES&H Standard 4.0.0 Fire Safety Program, Section IV. A**

Return complete form to R. Costa, Bldg. 130M

Lab-wide Assessment Aid for Fire Safety

Attachment A

Please take a moment to fill in the answers to these questions as part of an assessment of our organization.

1. What telephone number would you call from a **BNL telephone** to summon the fire department or police in an emergency? _____
2. If you had a **cellular telephone** and needed the BNL fire department or police in an emergency, what number would you call? _____
3. Place a check next to all of the following conditions that you are **required** to report to the BNL emergency number:
 A fire
 A chemical spill that is too big for you to clean up
 An injured co-worker
4. What building do you work in (number or name) _____
5. Where is the "indoor assembly point" for your building? _____
6. Where is the "outdoor assembly point" for your building? _____
7. Check the right answer for the following:
 - a. If the fire alarm bells rings, I should: _____ Check my area and leave only if I see smoke or flames
_____ Leave the building immediately
 - b. If I discover a fire, I should: _____ Use a fire extinguisher only if I feel it is safe to use one, warn others, then leave
_____ Leave the building immediately, without pause, and go to my assembly point
 - c. If my clothes catch on fire, I should _____ Run to a shower
_____ Use a fire extinguisher on myself
_____ "Stop, Drop and Roll"
8. If I use an electric heater in my work area, check which statements are needed for safe operations:

Reference Source Key:

3. **ES&H Standard 4.0.0 Fire Safety Program, Section IV. C**
4. **ES&H Standard 4.0.0 Fire Safety Program, Section IV. A**

Lab-wide Assessment Aid for Fire Safety

- a) The building heat has been examined and cannot provide adequate heat _____
- b) The electrical power circuits are not being overload by the heater _____
- c) Draperies, furniture, and other combustibles are being kept at least 3 ft. away from the heater _____
- d) The heater has an Underwriter's Laboratory (UL) label for safety _____
- e) The heater has tip over protection that turn the unit off it tipped _____
- f) Plant Engineering has reviewed use of the heater for safety _____
- g) The heater is used in an area where fire detection is present _____

:
9. If I am a smoker, I can smoke in the following areas:

- a. At my desk, with the door closed and the window open _____
- b. Outside the building by the "butt stop" _____
- c. In the area of flammable liquid storage _____
- d. In my "smoking" designated dormitory room _____
- e. In a government vehicle _____

Name/Date

Department/Division

Reference Source Key:

- 3. **ES&H Standard 4.0.0 Fire Safety Program, Section IV. C**
- 4. **ES&H Standard 4.0.0 Fire Safety Program, Section IV. A**

Lab-wide Assessment Aid for Foreign Visits and Assignments

	Assessment Question	Yes	Partial	*No	**Not Sure, Requires Assessment	Not Applicable	Comments
	<p>The answers to the following questions are to be approved by the Department Chair/Division Manager</p>						<p>*All "No" responses should warrant a corrective action. **All "Not Sure, Requires Assessment" responses require a date the assessment will be accomplished by.</p>
1.	<p>Does your Organization host any foreign guests?</p> <p>If no, no further action required.</p> <p>If yes, please complete the remainder of this questionnaire.</p> <p>Is staff aware of the registration and approval process for guests who are <u>not</u> citizens of the United States?</p> <p>Summary of requirements:</p> <ul style="list-style-type: none"> • Guest pre-registers into Guest Information System (GIS). DOE requirement is for 30 days in advance of the visit/assignment. • Guests should list all family members who might accompany them on their registration. • Organization review, approval, and assignment of host for foreign national. • Inform foreign national guests to bring appropriate documentation to show current legal status. • Notifying foreign national not to come until receiving notice of approval or denial. <p>(See the Guests and Visitors Subject Area and SPI 5-09, Visits and Assignments of Foreign Nationals)</p>						

Please return this completed form to R. Costa, Bldg. 130M

Lab-wide Assessment Aid for Foreign Visits and Assignments

	Assessment Question	Yes	Partial	*No	**Not Sure, Requires Assessment	Not Applicable	Comments
2.	Are foreign guests aware of the "Household Relative Badge" available for their immediate family members who are on site or living with them off site?						
3.	Have long-term foreign guests registered their vehicles with the Personnel Security Office in Bldg. 30?						
4.	Do foreign guests know that they can report incidents of security concern at any time to the BNL Police Watch Commander at extension 2235?						
5.	Do foreign guests know that in an emergency they can call either 2222, or 911 to obtain fire, medical, or police assistance at any time?						

Prepared by/Date: _____

Department/Division Code: _____

Level 2 Manager's Approval/Date: _____

Please return this completed form to R. Costa, Bldg. 130M

Lockout/Tagout Assessment Aid

Area: *Control of Hazardous Energy*

Topic: *Lockout/Tagout*

References: *SBMS Subject Area ESH 1.5.1 - Lockout/Tagout Requirements*

List any applicable supporting organizational procedures or programs:

Basis for the Assessment: *(Why is the assessment being done?)*

Routine Special Performance

Assessor(s):

Date of Assessment:

Organization/Facility:

Assessment Criteria:

1. Is there a program of lockout/tagout within the Department/Division which applies to any source of hazardous energy, including electrical, thermal (high or low temperatures), pressure, gravity, stored mechanical energy (springs), etc.?

Observations:

2. For all devices involving the use or control of hazardous energy which are currently being installed or modified, is the equipment provided with energy-isolating devices capable of accepting a lockout/tagout device?

Observations:

3. For those in the Department/Division authorized to perform lockout/tagout, are there a "Knowledgeable Employee" list (for individual lockout/tagout) and a "Responsible Employee" list (for group lockout/tagout), and is their training current?

Observations:

4. Is the record of the use of locks and tags maintained in a bound journal or logbook, with numbered pages? Is the record current, and does it show completion (closeout) of individual applications of lockout/tagout?

Observations:

5. Are dedicated, red-banded locks being used for lockout, and only for lockout? How are the second keys furnished with each lock being controlled? Are cable ties (capable of withstanding a 50 pound pulling force) being used to attach tags? Are methods used for lockout/tagout applied to circuit breakers in a panel?

Observations:

6. Is lockout/tagout applied unnecessarily to secure equipment or a device for programmatic reasons when a yellow CAUTION tag should be used for this purpose; for example, to control the use of an overhead crane?

Observations:

Procedure: *(Perform the following as applicable for the assessment)*

- Review applicable subject area and assessment guidance card.
- Review any applicable internal procedures.
- Review Lessons Learned web-site for lessons that may be applicable to organizational performance.
- If appropriate, observe an activity controlled by the subject area.
- Review records generated through the subject area implementation.
- Interview appropriate personnel about requirements and practices.
- Record observations including strengths and areas for improvement.

Issues Requiring Follow-up Action:

Are there any Lessons Learned (including strengths) that may have Lab-wide or DOE complex applicability?

No

Yes: List them below and forward a copy of assessment results to Lessons Learned Coordinator _____
*Initial/Date**

Are identified issues related to any of the following?

- Any radiological work.
- Work performed in BNL Nuclear Facilities.
- Supervision of employees or contractors who work within a Radiological Controlled Area or nuclear facility.
- Work performed by BNL staff that could affect the radiological or nuclear safety in a BNL nuclear facility or radiological activity.

No

Yes: Forward copy of assessment results to the Laboratory PAAA (Price-Anderson Act Amendment) Coordinator: _____
*Initial/Date**

**Initials indicate that the document has been sent to the respective coordinator.*

Reviewed/Approved By: _____
Cognizant Line Manager/Date

Management System Annual Self-Evaluation Aid

Management System

The following is a series of questions that should be considered when evaluating management systems and planning for future assessments.

None of the answers require a commitment on behalf of the Management System Steward to address improvements in the following fiscal year. This is an aid to facilitate awareness of management system performance and prioritization of improvement actions.

	Yes	Somewhat	No	Not Sure, Requires Assessment	Not Applicable To Management System Activities
1. Leadership Commitment and Involvement					
a. Have aspects of the management system been effectively communicated to affected organizations?					
b. Are key responsibilities included in the scope of R2A2 templates?					
c. Are there any impending changes in the DOE Orders or other regulations that may affect the implementation of the management system?					
2. Human Resource Development and Management					
a. Do "Job Training Assessments" reflect any special training required to implement the management system?					
b. Is the experience and knowledge base of Laboratory staff sufficient to implement the management system?					
3. Customer Focus and Satisfaction (Customer Value)					
a. Has input from affected organizations been solicited and addressed?					
b. Has the Management System Steward verified that users are satisfied with the system programs/requirements?					
c. Has input from the DOE been solicited and addressed?					
d. Has subcontractor performance been evaluated?					
4. Process Management					
a. Do implementing procedures, subject areas, manuals, etc. reflect the correct expectations of the Laboratory?					
b. Has acceptable progress been made developing, revising, and improving procedures (subject areas, manuals, etc.)?					
c. Are management system requirements consistent with and integrated with other Laboratory management systems?					
d. Do line self-assessments check performance with respect to the expectations of this management system?					

Management System Annual Self-Evaluation Aid

	Yes	Somewhat	No	Not Sure, Requires Assessment	Not Applicable to Management System Activities
4. Process Management (cont'd.)					
e. Have Laboratory Lessons Learned been reviewed and incorporated into the system and related procedures as appropriate?					
f. Have assessment tools been developed to facilitate line self-assessments?					
g. Are BNL committees that serve the management system effective and efficient? Is the committee charter up-to-date?					
h. Has peer review been used to assist in the assessment of the management system elements?					
i. Have independent assessments been performed?					
j. Are corrective and improvement actions from assessment activities prioritized and tracked to closure?					
k. Have interim actions been considered and implemented as appropriate?					
5. Business and Operational Results (Performance against key objectives and Measures)					
a. Are key performance objectives and measures established for the management system processes?					
b. Are the results achieved?					
c. Are costs associated with implementation of the management system understood?					
d. Has system implementation and performance been benchmarked with other Basic Science Laboratories?					
e. Are these performance objectives and measures effectively captured in the Laboratory's Critical Outcome Trees and, in turn, in the appropriate management and staff goals?					
6. Compliance with Laws, Regulations, and Contractual Requirements					
a. Are the risks of non-compliance with regulatory and other legal requirements specifically identified and addressed in planning and setting operational requirements?					

Self-assessment Aid for Records Management

As Management System Point of Contact for the Records Management System, I am responsible for periodically assessing the implementation of the management systems' requirements across all Laboratory organizations. The Records Management System is included in Critical Outcome 3.2.1.1 Management System Objectives and Assessment Activities and is listed as one of the FY04 Required Assessments in the Integrated Assessment Subject Area. This process is intended to provide senior management with a cross-cutting look at specific aspects of Laboratory operations.

The attached questionnaire has been developed to assist in accomplishing this evaluation. The Self-Assessment is to be completed by the Level 1 or Level 2 Manager for each organization.

Please take a few moments to answer the questions thoughtfully and accurately. If you need clarification, or other assistance, please call Mary Petersen at extension 3489, or Corene Wood at extension 5070.

Your responses should be submitted to Mary Petersen no later than June 30, 2004. I will then develop a "roll-up" report summarizing the Lab-wide results for senior management.

Assessment Question	Reference	Yes	Partial	*No	**Not Sure, Requires Assessment	Not Applicable	Comments
The following questions are to be answered by the Level 1 or Level 2 Manager for each Laboratory organization.							*All "No" responses require an explanation. **All "Not Sure, Requires Assessment" responses require a date the assessment will be accomplished by.
Have your organization's records been identified and inventoried?	1						
Is your organization's records inventory current and accurate?	2						

Self-assessment Aid for Records Management

Assessment Question	Reference	Yes	Partial	*No	**Not Sure, Requires Assessment	Not Applicable	Comments
Is there a current, signed R2A2 in file for your organization's Records Representative(s)?	3						
Has your organization's Vital Records Custodian (s) completed the required training (ID-VITALREC7)?	4						
Are duplicate copies of your organization's vital records being cycled to the Laboratory's off-site storage location?	4						
Is responsibility for records routinely transferred upon the termination or transfer of an employee?	5						

Reference Key

1. See the sections *Identifying, Filing, and Maintaining Records* and *Inventorizing Records* in the Records Management Subject Area.
2. See the section *Inventorizing Records* in the Records Management Subject Area.
3. See the sections *Developing the R2A2* and *Identifying and Defining the Role* in the Roles, Responsibilities, Accountabilities, and Authorities (R2A2) Subject Area.
4. See the section *Vital Records* in the Records Management Subject Area.
5. See the section *Inventorizing Records* in the Records Management Subject Area.

Self-Assessment of Organizational Self-Assessment Programs Aid

<u>Organization</u>	No	Somewhat	Yes
1. Have performance objectives been established that cover the scope of the organization’s operational, business, and financial activities?			
2. Are critical outcome measures for which your organization contributes included in self-assessment planning?			
3. Are assessment activities planned to periodically evaluate performance towards all performance objectives?			
4. Are assessment activities prioritized and balanced with other operational activities?			
5. Are the appropriate staff members involved in planning assessment activities?			
6. Are all applicable “Required Assessments” (defined in the Integrated Assessment Program) identified in the Self-Assessment Program?			
7. Are assessment activities completed as scheduled?			
8. Are responsibilities for assessment activities clearly defined and communicated?			
9. Are programs for corrective and improvement actions clearly defined, linked to and in accordance with ESH Standard 1.2.1?			
10. Are corrective and improvement actions from all assessment activities (internal and external) identified and tracked to closure?			
11. Is your Self-Assessment Program adequately defined to ensure assessment results are considered for Price Anderson Amendments Act reportability?			
12. Is your Self-Assessment Program adequately defined to ensure assessment results are considered for publication in the Laboratory Lessons Learned Program?			
13. Is your Self-Assessment Program adequately defined to ensure Lessons Learned (from other organizations) are considered when planning and conducting assessment activities?			
14. Are planned “Independent Assessments” considered?			

Self-Assessment of Organizational Self-Assessment Programs Aid

	No	Somewhat	Yes
15. Is "Peer-Review" utilized in assessment activities?			
16. Do organizational managers periodically participate in assessments of facility operations/condition (e.g., Tier 1 programs)?			

List any identified and planned self-assessment program improvements:

List any programmatic issues that need to be addressed through the Laboratory Integrated Assessment Program. Consider:

- *Are requirements and guidance provided appropriate?*
- *Are assessment aids appropriate?*

Please forward suggested improvements to the Office of Performance Based Management/ Integrated Assessment

Organization:		YEAR:
Tier 1 Inspection Program (Due by June 30th)		
1.	What key deficiencies have been identified during Tier 1 inspections?	
2.	What processes are used to ensure timely completion of corrective actions for identified deficiencies?	
3.	What trends have been observed with respect to repeat deficiencies?	
4.	To what extent do Tier 1 inspections include involvement of subject matter experts?	
5.	To what extent do Tier 1 inspections include management?	
6.	To what extent do Tier 1 inspections include involvement of workers?	
7.	Are guidance, tools, and processes provided by the Laboratory for the Tier 1 program sufficient to meet your organizational needs?	
Chemical Management & Industrial Hygiene Hazards (Due by June 30th)		
1.	How does management ensure its <i>chemical inventories</i> (CMS) are being maintained in accordance with Laboratory requirements?	
2.	How does management ensure that <i>Carcinogen, Reproductive Hazards, and High Toxicity Chemicals</i> are appropriately identified and controlled?	
3.	How does management ensure that <i>Peroxide Forming Compounds</i> are tested at appropriate frequency?	
4.	Has organizational management maintained and updated its review of: <input type="checkbox"/> <i>Beryllium Use (BURF)</i> <input type="checkbox"/> <i>Static Magnetic Fields (SMURF)</i> <input type="checkbox"/> <i>Class 3b & 4 Laser Registration</i> <input type="checkbox"/> <i>Confined Space Inventory</i> <input type="checkbox"/> <i>Confined Space Cancelled Permits</i> <input type="checkbox"/> <i>Etiologic Agent Inventory</i> <input type="checkbox"/> <i>Noise Area Assessment</i> <input type="checkbox"/> <i>PPE and Respiratory Protection Assessments</i>	
Lock-Out – Tag-Out Program (Due by June 30th)		
1.	Describe typical findings observed during LOTO audits?	
2.	Describe the frequency of LOTO audits (e.g., logbook, tagging order, and tag reviews):	
3.	Briefly describe the most significant finding/discrepancy? Was it adequately addressed?	
4.	Is the Lab LOTO process sufficient for your organization's needs or have you supplanted the Lab process with an internal guidance document?	
Occupational Injury Management (Due June 30th)		
1.	How have organizational supervisors been made aware of their responsibilities for reporting and follow-up of occupational injuries?	
2.	What actions have been taken by management to ensure staff members are aware of the importance of preventing worker injuries?	
3.	What proactive measures have been implemented to improve the organization's occupational injury performance?	
4.	What is your organization's current LWCR? What is it relative to BNL/DOE? What actions/processes are being implemented to reduce/sustain those rates?	
5.	How has management demonstrated their commitment to preventing worker injuries?	
6.	Cite your method of demonstrating that managers truly understand what is causing accidents?	
Prepared By:		Date:
Reviewed By:		Date:

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Definitions: Integrated Assessment

Effective Date: **January 2003**

Point of Contact: [Integrated Assessment Program Point of Contact](#)

Term	Definition
approach	An action (or series of actions) taken to provide confidence that Performance Measures can be achieved. Examples include: dedicated resources, formal project management controls, communications and training, work planning and controls, and use of Subject Matter Experts or external expertise, etc.
assessment	Activity performed specifically for the purposes of evaluating the level of performance (or condition) to ensure it is maintained at expected levels and/or for identifying improvement opportunities. Note: An assessment can also be viewed as a measure.
critical outcome	The official Laboratory term for a top level goal (in Performance-Based Management terminology).
external assessment	Assessment activity performed by an organization "external" to Brookhaven Science Associates (BSA) or organizations subcontracted to perform work in support of the BSA Mission. External Assessments are typically performed by regulatory agencies (Department of Energy Chicago Operations Office, EPA, Suffolk County Department of Health Services).
independent assessment	An assessment performed on behalf of a Management System Steward or organization manager by individual(s) who have no line responsibility for the system or organizational performance.
integrated assessment	A performance measurement system consisting of various types of assessments, peer review, independent oversight, and internal audit.
management system assessment	An assessment performed on behalf of a Management System Steward to evaluate the consistency and/or effectiveness of the implementation of their respective Management System throughout the Laboratory.
measure	A specific performance expectation or assessment selected to achieve an objective or provide evidence that the objective is being achieved. Measures should be quantified where practical.
objective	Higher level performance expectation.
performance-based management	An evaluation system based on clear and reasonable objectives, against which overall performance is evaluated.
required assessments	Those assessment activities required by the Laboratory Director (or Laboratory Management Systems) or initiatives that have been approved by the Laboratory Director.

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Revision History: Integrated Assessment

Point of Contact: [Integrated Assessment Program Point of Contact](#)

Revision History of This Subject Area

Date	Description	Management System
September 2004 -- Minor Rev. 5.3	Life Cycle Asset Management MS has been changed to Real Property Asset Management MS	Integrated Assessment Program
August 2004 -- Minor Rev. 5.2	ES&H Standard 1.2.0, Departmental Environment, Safety & Health Inspections is deleted from References; in section Preparing for and Conducting Environmental Management System Assessments , Brookhaven Site Office (BHSO) replaces Brookhaven Area Office (BAO).	Integrated Assessment Program
July 2004 -- Minor Rev. 5.1	On the exhibit FY04 Required Line Self-assessments , K. Walker replaces D. Peter as the POC for Safeguards and Security.	Integrated Assessment Program
January 2004	The following new assessment aids are added to this subject area: <ul style="list-style-type: none"> • Department Review of Work Planning and Control (WP&C) Procedure; • Feedback in Block 7 of Work Permit; • Lab-wide Assessment Aid for Energy Awareness; • Lab-wide Assessment Aid for Fire Safety; • Lab-wide Assessment Aid for Foreign 	Integrated Assessment Program

	<p>Visits and Assignments;</p> <ul style="list-style-type: none"> • Self-assessment Aid for Records Management; <p>The exhibit FY04 Required Line Self-assessments is updated to include the new assessment aids and the Self-assessment Aid for Maintenance Program Requirements/Elements in the Maintenance Management Subject Area.</p> <p>The Worker Safety and Health Required Assessment Aid is updated.</p>	
<p>November 2003</p>	<p>The exhibit FY04 Required Line Self-assessments is updated to reflect those assessments necessary to support the FY04 Management System Assessment Program.</p>	<p>Integrated Assessment Program</p>
<p>January 2003</p>	<p>The exhibit Required Self-assessments is updated to reflect those assessments necessary to support the FY03 Management System Assessment Program.</p> <p>Additionally, the section Annual Review of Organizational Performance for conducting annual organizational self-evaluations is revised to address concerns raised during a Laboratory-wide review of this subject area. The changes provide greater flexibility in the approach and schedule for conducting organizational self-evaluations, improves integration with other Laboratory assessment activities (i.e., EMS management review requirements), and reduces reporting requirements. The title of the section is changed from Annual</p>	<p>Integrated Assessment Program</p>

	Organizational Self-Evaluations to Annual Review of Organizational Performance to distinguish between and be consistent with other Laboratory terms.	
June 2001	Section 3, Planning and Conducting Management System Self-Assessment Programs, is revised to describe the reporting of assessment results. The section lists the reporting audience.	Integrated Assessment Program
September 2000	This subject area establishes the Laboratory program for organizational and management system self-assessment and evaluation processes. The subject area includes a listing of required assessments which must be included in organizational self-assessment plans.	Integrated Assessment Program

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