U.S. DEPARTMENT OF ENERGY

HSS

Outreach & Awareness Series

A Basic Overview of the

FEOSH

Federal Employee Occupational Safety & Health

Self Assessment Process

May 2012

Office of Health, Safety and Security (HSS)
U.S. Department of Energy

Notes from Steven Chu, Secretary and Deputy Secretary Daniel B. Poneman U.S. Department of Energy

Memorandum for Heads of all Departmental Elements
Nuclear Safety at Department of Energy
December 5, 2011

"We will pursue our mission in a manner that is safe, secure, legally and ethically sound, and fiscally responsible."

"The safety culture issues that have arisen in various forms underline the need for intensified effort. Given the responsibilities for the safety of our workers and the public with which we have been entrusted, no contractor or Federal employees should even feel unable or unwelcome to raise safety issues."

"No matter what role you play in supporting the DOE enterprise - whether a line manager, mission support, contractor, Federal employee, internal or external oversight - you are a key part of the Department s efforts to execute our mission safely and responsibly. Each one of the safety of our activities, and we must continuously refresh our efforts to review and us, whether contractor'or Federal employee, must be invested in and take responsibility for improve our approach. Safety is everyone's business."

"DOE is committed to a strong and sustained safety culture, where all employees - from workers with shovels in the ground to their managers all the way up to the Secretary and everyone in between - are energetically pursuing the safe performance of work, encouraging a questioning work environment, and making sure that executing the mission safely is not just a policy statement but a value shared by all."

Steven Chu, *Secretary*
U.S. Department of Energy

Daniel B. Poneman, *Deputy Secretary*
U.S. Department of Energy

Overview

This booklet is designed to provide greater corporate awareness regarding the Department of Energy (DOE) Federal Employee Occupational Safety and Health (FEOSH) program. As the Designated Agency Safety and Health Official (DASHO) and on behalf of the Department's senior leadership; it is my strongly held belief that the corporate commitment to ensure the safety and health of DOE Federal employees is not only a legal responsibility but a moral obligation.

The FEOSH program is one of the key corporate tools available that enables meaningful participation and engagement of DOE Federal employees in the development and implementation of strategies aimed at minimizing and managing workplace related risks that impede safe and efficient execution of programs and projects.

Two key DOE Management principles[1] are that: 1) DOE employees are our greatest assets, and 2) we will only succeed through team work and continuous improvement. These principles are vital to successful execution of DOE's critical missions.

Effective implementation of the FEOSH program hinges on having in place a resilient safety culture. In other words, an environment that promotes proactive and inquisitive engagement by all employees to raise and identify any known and emerging workplace risks without concerns or fear of reprisal. This is the natural outcome of a transparent and respectful partnership among managers, employees, safety and health professionals, and the labor representatives.

The enclosed pamphlet provides a methodical FEOSH self-assessment process intended to further strengthen, foster, and advance program implementation. The process is built on not only the regulatory framework that governs all Federal agencies' FEOSH programs but also incorporates fundamental elements of DOE's Integrated Safety Management (ISM) and safety and health excellence-based Voluntary Protection Program (VPP). The insights gained from application of the process will be relevant to the specific work locations. The results will vary based on the complexity and inherent risks associated with the work performed by each organization. Leveraging the results will make an already strong program stronger and advance efficient execution of the DOE mission.

I encourage you to explore the information and resources provided in this pamphlet and contact the Office of Health, Safety and Security (HSS) with any questions or need for technical assistance.

Glenn S. Podonsky
Designated Agency Safety and Health Official (DASHO)
Chief Health, Safety and Security Officer,
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[1] http://energy.gov/sites/prod/files/maprod/documents/DOE_2011-Management-Principles_Poster.pdf

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Introduction

The Federal Employee Occupational Safety and Health (FEOSH) program is mandated by several regulations and Executive Orders aimed at protecting and preserving the safety, health, and well-being of all Federal employees.

The regulatory foundation of the FEOSH program is reflected in 29 CFR Part 1960, *Basic Program Elements for Federal Employee Occupational Safety and Health Programs and Related Matters*, and mandated by Congress with the enactment of Public Law 91-596, the *Occupational Safety and Health Act of 1970* (OSH Act), and directed by Executive Order 12196, *Occupational Safety and Health Programs for Federal Employees*. Within the Department of Energy, DOE Directive O 440.1B; *Worker Protection Management for DOE Federal and Contractor Employees*; also outlines Departmental expectations and requirements (consistent with those outlined in 29 CFR 1960) for a performance-based approach to the development and implementation of an effective safety and health program.

The DOE FEOSH Program elements are reflective of the Integrated Safety Management System (ISMS) core functions. The five ISM Core Functions provide the necessary structure for work activity that poses a hazard to the worker, public, and environment. The Functions are applied as a continual cycle with the degree of rigor appropriate to control the work hazards. As depicted in Figure 1, these include: Define the scope of work, Analyze the Hazards, Develop and Implement Hazard Controls, Perform work within controls, and Provide Feedback and continuous Improvement. Self-assessments provide the technical basis to ensure that these processes are functioning and achieving their intended outcomes.

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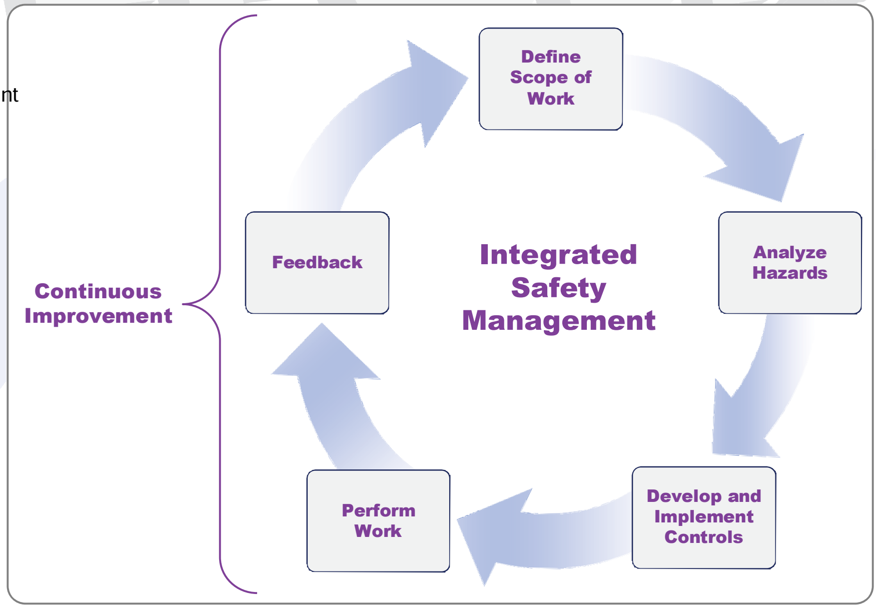

Figure 1: ISMS Core Functions

The FEOSH Self-Assessment process described in this pamphlet is one method by which DOE organizational entities can systematically examine the effectiveness of their program implementation. The insights gained will potentially identify opportunities for improvements as well as to highlight strategies to enhance operational efficiencies. Two key outcomes of the FEOSH self-assessment process include:

1. Provide an indication of the extent to which the program is institutionalized, owned, and embraced by line management and the employees, and
2. A gauge of program effectiveness, implementation, and functionality in terms of timely and proactive recognition and correction of existing and emerging safety and health issues, hazards, and risks.

The process is designed to be simple and implemented at a pace that is responsive to the needs of each organization. Specifically; as depicted in Figure 2, the FEOSH self-assessment process consists of the following phases:

- Programmatic review (Table 1). This portion of the process provides a baseline of program infrastructure and implementing mechanisms as benchmarked against applicable requirements of 29 CFR 1960 and DOE O 440.1B.
- Safety Programs and Risk Management (Table 2). This aspect of the process is intended to shed focus and attention on some of the known workplace risks that may be present. The intent is to ensure that the organization has an effective risk management/safety program in place to proactively manage any risks to the employees.
- Perception surveys (Table 3). The surveys focus on employees, managers/supervisors, and the safety and health professionals. They are intended to provide a sense of ownership and engagement. This is perhaps one of the most critical aspects of the self-assessment process as the overall program success cannot be achieved without meaningful participation and involvement by all. The perceptions also provide some insights into organization's overall safety culture.
- Walkthrough and Hazard Recognition (Table 4). This aspect of the self-assessment process provides a great opportunity for employees and managers to jointly walk the workspace and attempt to identify and mitigate workplace related hazards.
- Benchmark Against the Principles of S&H Excellence (Table 5). This aspect of the process is designed to roll up and relate the results of the self-assessment to principles of safety and health excellence programs, specifically the tenets of the Voluntary Protection Program (VPP). The tenets include
  - Management Leadership and Employee Involvement
  - Worksite Analysis
  - Hazard Prevention and Control
  - Safety and Health Training
  - Self-Evaluation and Outreach Commitment

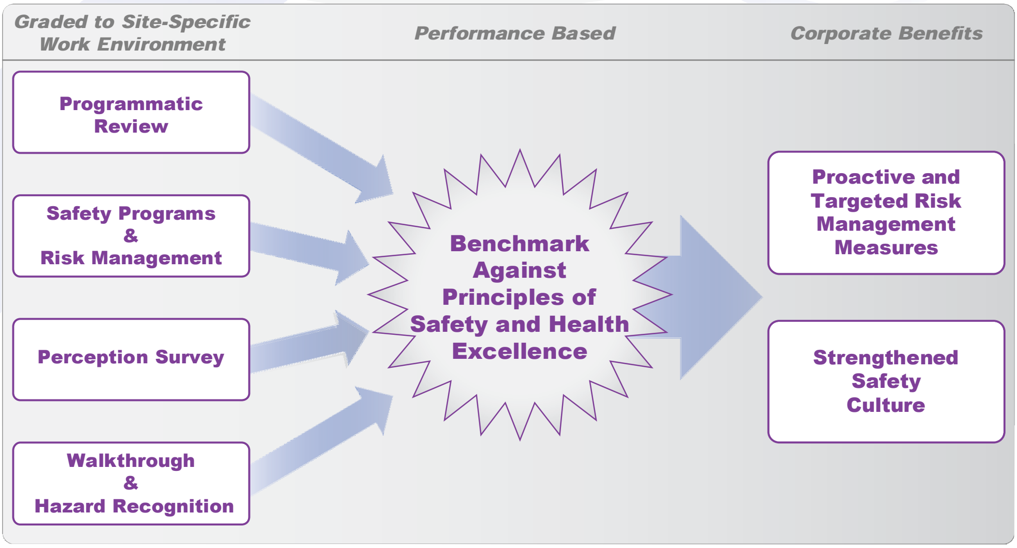

Figure 2: FEOSH Self Assessment Process

The issues and topics covered as part of the FEOSH self-assessment process are designed to be generic in nature. Specifically; they are intended to address and cover as many diverse work conditions as possible. The process recognizes the varying work conditions, organizational structure, and the inherent risk associated with the diverse mission of the Department. The FEOSH self-assessment encourages and recommends modification of elements listed as part of the process, especially the Risk Management/Safety Programs (Table 2) and Walkthrough/Hazard Recognition (Table 4) to ensure they accurately reflect the needs and conditions of organization-specific work environment and processes. The grading process will benefit the individual organizations implement a more resilient and cost-effective performance-based FEOSH program.

Table 1: FEOSH Programmatic Self-Assessment

Program Elements	Requirements & Expectations		Applicable to the Organization and/or Working Environment (Yes/No)	Implementing Documents(s)
	29 CFR 1960	DOE O 440.1B		
Appoint a Designated Agency Safety and Health Official (DASHO) with sufficient Headquarters staff with necessary training and experience.	6(a)			
Establish: An OSH policy and program to carry out the provisions of section 19 of the OSH Act, Executive Order 12196, and 29 CFR 1960, and paragraphs 4a through 41 of DOE Order 440.1B including applicable functional area requirements and other site-specific worker protection activities.	6(b)(1)	4(a)(2)		
Establish: An organization of qualified worker protection staff to implement the OSH program at all operational levels.	6(b)(2)	4(c)		
Establish: Written procedures to implement the OSH policy and program.	6(b)(3)	4(a)		
Establish: Written goals and objectives for reducing and eliminating occupational accidents, injuries, and illnesses; encourage the involvement of employees in the development of program goals and objectives.	6(b)(4)	4(b) & (e)		
Establish: Plans and procedures for evaluating the OSH program effectiveness at all operational levels; encourage the involvement of employees in the development of performance measures	6(b)(5)	4(e)		
Establish: Hazard prevention/abatement process including priorities with respect to the factors which cause occupational accidents, injuries, and illnesses in the workplace so appropriate corrective actions can be taken promptly, including interim actions pending final abatement; controls are incorporated into appropriate facility or procedure design; hazards are addressed when selecting new equipment, products, and services.	6(b)(6)	4(j)(l), 4(j)(2), 4(j)(3)		
Hazard control methods are selected based on the following hierarchy: ▪ Engineering controls. ▪ Work practices and administrative controls that limit worker exposure. ▪ Personal protective equipment.		4(j)(4)		

Table 1: FEOSH Programmatic Self-Assessment
(Continued)

Program Elements	Requirements & Expectations		Applicable to the Organization and/or Working Environment (Yes/No)	Implementing Documents(s)
	29 CFR 1960	DOE O 440.1B		
Maintain a counterfeit/suspect program: ▪ Identify, document, test, and remove counterfeit or suspect parts. ▪ Report all suspect/counterfeit products to the responsible program office and the Office of the Inspector General in accordance with DOE O 231.2, DOE O 232.1, and DOE 2030.4B, REPORTING, FRAUD, WASTE AND ABUSE TO THE OFFICE OF INSPECTOR GENERAL, of 5-18-92. ▪ Ensure quality of products purchased from vendors supplying parts or goods. ▪ Maintain current, up-to-date knowledge of counterfeit or suspect parts		4(i)		
Ensure that safety and health officials at each level have authority to plan for and ensure funding for necessary S&H staff, equipment, materials, and training.	6(c)			
Plan for and request resources for the safety and health program; implement and evaluate the OSH budget.	7(b)			
OSH resources shall include: 1. sufficient personnel to implement and administer the program at all levels; 2. abatement of unsafe or unhealthful conditions 3. S&H sampling, testing, and diagnostic and analytical tools and equipment, including lab analyses; 4. any necessary contracts to identify, analyze, or evaluate unsafe or unhealthful conditions/operations; 5. program promotional costs such as publications, posters, or films; 6. technical information, documents, books, standards, codes, periodicals, and publications; and 7. medical surveillance programs for employees.	7(c)			
Each employee is furnished employment and a place of employment free from recognized hazards that are causing or are likely to cause death or serious physical harm; employee has the right to decline to perform an assigned task because of a reasonable belief that, under the circumstances, the task poses an imminent risk of death or serious bodily harm; employees , through their supervisors, also have the right to stop work when they discover exposures to imminent dangers.	8(a)	4(a(l), 4(f)(4), 4(g)		

Table 1: FEOSH Programmatic Self-Assessment
(Continued)

Program Elements	Requirements & Expectations		Applicable to the Organization and/or Working Environment (Yes/No)	Implementing Documents(s)
	29 CFR 1960	DOE O 440.1B		
Comply with applicable OSHA standards. Specifically highlight standards as related to: ▪ Ergonomics ▪ Electrical ▪ General Office Safety ▪ HAZCOM ▪ Respiratory Programs ▪ HAZWOPPER	8(b)	Implied		
Comply with the following worker protection requirements: ▪ American Conference of Governmental Industrial Hygienists (ACGIH), AThreshold Limit Values for Chemical Substances and Physical Agents and Biological Exposure Indices@ (most recent edition), when ACGIH Threshold Limit Values (TLVs) are lower (more protective) than Occupational Safety and Health Administration (OSHA) Permissible Exposure Limits. ▪ American National Standards Institute Z136.1, Safe Use of Lasers. ▪ American National Standards Institute Z88.2, Practices for Respiratory Protection.		4(m)		
Additional requirements for specific functional areas are contained in (Attachment 1to this table)		4(o)		
Develop, implement, and evaluate an OSH program in accordance with section xx of the Act, Executive Order 12196, and 29 CFR 1960.	8(c)			
Identify existing and potential workplace hazards and evaluate the risk of associated worker injury or illness.		4(i)		
Assess worker exposure to chemical, physical, biological, or ergonomic hazards through appropriate workplace monitoring (including personal, area, wipe, and bulk sampling), biological monitoring, and observation. Record results.	28(d)(1)	4(i)(3)		
Analyze and review: 1) designs for new facilities and modifications to existing facilities and equipment; 2) new and existing operations and procedures including all work activities of workers, supervisors, and managers; 3) equipment, products, and service needs.		4(i)(l), 4(a),(b)& 4(i)(3)		
Acquire, maintain, and require the use of approved PPE, safety equipment, and other devices necessary to protect employees.	8(d)	4(j)(4)(c)		

Table 1: FEOSH Programmatic Self-Assessment
(Continued)

Program Elements	Requirements & Expectations		Applicable to the Organization and/or Working Environment (Yes/No)	Implementing Documents(s)
	29 CFR 1960	DOE O 440.1B		
Authorize S&H personnel to utilize expertise from other agencies, professional groups, consultants, universities, labor organizations, and S&H committees.	8(e)			
Supervisors comply with all applicable OSH standards and with all rules, regulations, and orders issued by DOE with respect to the OSH program.	9			
Employees comply with applicable OSH standards, rules, and regulations.	10(a)			
Employees use safety equipment, personal protective equipment, and safety procedures as directed.	10(b)			
Employees report unsafe and unhealthful conditions and other related worker protection concerns to appropriate officials.	10(c)	4(f)(3)		
Employees are authorized official time to participate in the activities provided for in Sect. 19 of the OSH Act, Executive Order 12196, 29 CFR 1960, and DOE' OSH program.	10(d)	4(f)(2)		
Evaluate performance of all personnel with worker protection responsibilities including management officials in charge of an establishment; supervisors measure performance in meeting requirements of the OSH program. (Superior performance should be noted.); hold personnel accountable.	11	4(d)		
Copies of the OSH Act, Executive Order 12196, and 29 CFR 1960, as well as details of the agency OSH program, applicable S&H standards, and other DOE worker protection publications are made available to employees and employees representatives for review.	12(a)	4(f)(5)		
A copy of the written OSH program for the establishment is made available to each supervisor, OSH committee member, and employee representative.	12(b)	4(f)(5)		
A poster informing employees of the provisions of the OSH Act, Executive Order 12196, and the agency OSH program is posted.	12(c)	4(h)		
Employee awareness of OSH matters is promoted through information channels such as newsletters, bulletins, and handbooks.	12(e)			
Comply with all OSHA standards issued under section 6 of the Act or with alternate standards pursuant to 1960.	16	4(a)(2)		

Table 1: FEOSH Programmatic Self-Assessment
(Continued)

Program Elements	Requirements & Expectations		Applicable to the Organization and/or Working Environment (Yes/No)	Implementing Documents(s)
	29 CFR 1960	DOE O 440.1B		
Apply an alternate standard where deemed necessary and notify the Secretary and request approval of such alternate standards.	17			
Adopt such emergency temporary and permanent supplementary standards as necessary and appropriate for application to working conditions of employees for which there exists no appropriate OSHA standards. Notify Secretary of subject matter upon initiation of standard development.	18			
Where employees of different agencies engage in joint operations and/or primarily report to work or carry out operations in the same establishment, the standards adopted under 1960.17 and 1960.18 of the host agency govern.	19(a)			
Comply with other standards issued by Federal agencies which deal with hazardous working conditions, but for which OSHA has no standards.	19(b)			
Should conflict occur between OSHA standards and other Fed. Agency standards, comply with the more protective of the conflicting standards until issue is resolved jointly by Secretary and other Federal Agency.	19(c)			
Inspectors are qualified to recognize and evaluate hazards, suggest abatement procedures, and ensure that S&H specialists have experience and/or up-to-date training in OSH hazard recognition.	25(a)			
Provide access to S&H inspectors who have appropriate security clearance to workplaces containing classified information.	25(b)			
All areas and operations of each workplace are inspected at least annually. More frequent inspections are conducted where there is an increased risk of accident, injury, or illness due to the nature of the work performed. Sufficient unannounced inspections and unannounced follow-up inspections are conducted to ensure hazard identification and abatement.	25(c)			
When situations arise involving multiple agencies' responsibilities for employee S&H conditions, coordination of inspection functions is encouraged.	25(d)			
Inspectors prepare by reviewing hazard reports, injury/illness records, previous inspection reports, and reports of unsafe and unhealthful working conditions. Determine in advance, where possible, the actual work procedures and conditions to be inspected.	26(a)			

Table 1: FEOSH Programmatic Self-Assessment
(Continued)

Program Elements	Requirements & Expectations: 29 CFR 1960	Requirements & Expectations: DOE O 440.1B	Applicable to the Organization and/or Working Environment (Yes/No)	Implementing Documents(s)
1. Authorize inspectors to enter without delay, and at reasonable times, any environment where work is performed; inspect and investigate such place and conditions; and question employee, supervisor, and/or official in charge. 2. In the absence of employee representatives, inspector consults with a reasonable number of employees during the walk around. 3. If necessary to conduct sampling, inspectors may request employees to wear personal monitoring devices. 4. Encourage employees to wear personal monitoring devices during an inspection, upon request of the inspector. 5. Upon conclusion that a danger exists, undertake immediate abatement and the withdrawal of employees who are not necessary for abatement of the dangerous conditions. 6. At inspection conclusion, S&H inspector confers with official in charge and appropriate employee representatives and informally advises them of any apparent unsafe/unhealthful working conditions.	26(b)			
Inspectors describe in writing the procedures followed during the inspection.	26(c)(1)			
Notices of Unsafe or Unhealthful Working Conditions shall be issued not later than 15 days after completion of the inspections for safety violations or not later than 30 days for health violations. Notices include written description of the hazard, including classification of seriousness, standard referenced, and an abatement date. Copies of the notice are sent to the official in charge, employee representative(s), and/or S&H committee.	26(c)(2)			
Facility directors immediately post the Notice at or near the hazard until the condition has been corrected or for three working days, whichever is later. Copy of the notice is filed and maintained for five years after abatement.	26(c)(2) (3-4)			
S&H inspectors are in charge of inspections and may interview employees in private, if necessary. Representatives of the official in charge and employees shall be given an opportunity to accompany inspectors during the inspection to aid in the inspection and to provide representatives with more detailed knowledge of any condition.	27(a)			

Table 1: FEOSH Programmatic Self-Assessment
(Continued)

Program Elements	Requirements & Expectations		Applicable to the Organization and/or Working Environment (Yes/No)	Implementing Documents(s)
	29 CFR 1960	DOE O 440.1B		
S&H inspectors are authorized to deny right of accompaniment to any person interfering with a fair and orderly inspection.	27(b)			
With regard to classified facilities, only authorized personnel may accompany a S&H inspector.	27(c)			
S&H inspectors consult with employees to the extent deemed necessary.	27(d)			
Employees are encouraged to report unsafe and unhealthful working conditions and to request a workplace inspection; employees have the right to: 1. accompany DOE worker protection personnel during workplace inspections; 2. observe monitoring of hazardous agents; 3. have access to the monitoring results; and, 4. receive results of inspections and accident investigations.	28(c)	4(f)(1), 4(f)(3), 4(f)(6), 4(f)(7), 4(f)(8)		
Employees are informed of their rights and responsibilities by appropriate means.		4(h)		
Record each report of an existing or potential unsafe/unhealthful working condition, including monitoring results, on a log maintained at the establishment. Send a copy of each report to the appropriate establishment S&H committee.	28(d)(1)	4(i)(5)		
Assign a sequentially numbered case file, coded for identification to maintain an accurate record of the report and response. Minimally, each log should contain: date, time, code/reference/file number, location of condition, brief condition description, classification, and date and nature of action taken.	28(d)(2)			
Conduct inspections within 24 hours for employee reports of imminent danger conditions, within three working days for potentially serious conditions, and within 20 working days for other than serious working conditions.	28(d)(3)			
Notify an employee submitting a report of unsafe/unhealthful conditions in writing within 15 days if the official receiving the report does not plan to make an inspection based on such report. A copy of the notification should be provided to the S&H committee. Make the inspection or investigation report available to the employee making the report within 15 days after completion of the inspection for safety violations, or within 30 days for health violations.	28(d)(4)			

Table 1: FEOSH Programmatic Self-Assessment
(Continued)

Program Elements	Requirements & Expectations		Applicable to the Organization and/or Working Environment (Yes/No)	Implementing Documents(s)
	29 CFR 1960	DOE O 440.1B		
Each accident which results in a fatality or the hospitalization of five or more employees is investigated to determine the causal factors involved.	29(b)			
Any information/evidence uncovered during accident investigations which would be of benefit in developing a new OSHA standard or modifying/revoking an existing standard, is promptly transmitted to the Secretary.	29(c)			
Report and investigate accidents, injuries, and illnesses and analyze related data for trends and lessons learned. Reports of accident investigations are forwarded to the official in charge of the workplace, appropriate safety and health committee, and exclusive employee representative, if any; and include appropriate documentation on date, time, location, description of operations and accident, photographs, employee and witness interviews, measurements, and other pertinent information.	29(d)	4(i)(5)		
Prompt abatement actions are taken for unsafe or unhealthful conditions. If abatement is not possible within 30 calendar days, an abatement plan is prepared that includes a proposed timetable.	30	4(j)(2)		
Elect to establish local S&H committees to monitor and assist in the execution of S&H policies and program at the workplaces within their jurisdiction. Committees shall have equal representation of management and non-management employees.	37			
Make available to committees all agency relevant and necessary information to their duties, such as S&H policies and program, human & financial resources, accident, injury, and illness data, etc.	39			
Establish procedures that no employee is subject to restraint, interference, coercion, discrimination or reprisal for filing a report of an unsafe/unhealthful working condition, or other participation in OSH program activities.	46	4(f)		
S&H committees shall be kept advised of agency activity regarding allegations of reprisal and any agency determinations thereof.	47			
Provide top management with orientation and other learning to enable them to manage OSH programs. Orientation should include coverage of Section 19 of the Act, Executive Order 12196, 29 CFR 1960, and the agency OSH program.	54	4(k)		

Table 1: FEOSH Programmatic Self-Assessment
(Continued)

Program Elements	Requirements & Expectations		Applicable to the Organization and/or Working Environment (Yes/No)	Implementing Documents(s)
	29 CFR 1960	DOE O 440.1B		
Provide comprehensive OSH training to supervisors consistent with the agency OSH program, Section 19 of the Act, Executive Order 12196, 29 CFR 1960, and any other applicable OSH standards and procedures. Training should enable supervisors to recognize and eliminate, or reduce, OSH hazards in their working units.	55	4(k)		
Provide OSH training for safety and health specialists through courses, lab experiences, field study, and other formal learning experiences. Implement career development programs for OSH specialists to enable staff to meet present and future program needs.	58	4(k)		
Provide training for S&H inspectors with respect to appropriate standards, use of equipment and testing procedures, as well as report preparation to support inspection findings.	58	4(k)		
Provide training for collateral S&H personnel and all members of certified OSH committees commensurate with the scope of their assigned responsibilities.	58	4(k)		
Provide appropriate S&H training for employees and employee representatives that include information on the agency OSH program and employee rights and responsibilities.	59	4(k)		
May seek training assistance from Secretary of Labor, NIOSH, and other appropriate resources.	60			
Utilize information collected through management information systems to identify unsafe and unhealthful working conditions, and to establish program priorities.	66			
Maintain a record or log of all occupational injuries and illnesses.	67			
Maintain a supplementary record for each occupational injury and illness. (OSHA Form No. 101, or OWCP Forms CA-1, CA-2, and CA-6)	68			
Each Federal Agency, on a fiscal year basis, compiles an annual summary of occupational injuries and illnesses based on the record or log of occupational injuries and illnesses.	69		HQ Function	
Within 48 hours after the occurrence of an employee accident, the head of the Federal Agency shall report by telephone to OSHA: (1) any occupational accident which is fatal to one or more employees and results in hospitalization of five or more people; and (2) any occupational illness which results in death.	70			

Table 1: FEOSH Programmatic Self-Assessment
(Continued)

Program Elements	Requirements & Expectations		Applicable to the Organization and/or Working Environment (Yes/No)	Implementing Documents(s)
	29 CFR 1960	DOE O 440.1B		
The log and supplementary records required by 1960.67 and .68 shall be maintained at each establishment. Each Federal agency shall post a copy of its agency annual summary of Federal occupational injuries and illnesses for an establishment at such establishment no later than 45 calendar days after the close of the fiscal year.	71			
Provide the Secretaries of Labor and Health and Human Services with access to the maintained records.	72		HQ Function	
Maintain and retain all records for five years following the end of the fiscal year to which they relate.	73			
Develop and implement a program of self-evaluations to determine the effectiveness of OSH programs.	79	4(d) 4(e) 4(i)(3)		
Participate in Field Federal Safety and Health Councils.	88			

Table 1: FEOSH Programmatic Self-Assessment
(Continued)

Elements of DOE O 440.1B Functional Area Requirements	Coverage (Yes/No)	Implementing Documents(s)
440.1b Attachment 1(1) Construction Safety. Implement a construction analysis program that includes: hazard analysis, worker hazard awareness, workplace inspections and hazard abatement, and project safety and health plan.		
440.1b Attachment 1(2) Fire Protection. Implement a comprehensive fire protection program with the objective of providing an acceptable level of safety from fire.		
440.1b Attachment 1(3) Firearms Safety. Establish firearms safety policies and procedures to ensure proper accident controls are in place.		
440.1b Attachment 1(4) Explosives Safety. Ensure that applicable explosives operations comply with DOE M 440.1-1, DOE EXPLOSIVES SAFETY MANUAL		
440.1b Attachment 1(5) Industrial Hygiene. Implement a comprehensive and effective industrial hygiene program to reduce the risk of work-related disease or illness at affected facilities.		
440.1b Attachment 1(6) Biological Safety. Implement and manage a program that confirms handling, transfer, use, and receipt of etiologic agents are conducted by professionally and technically qualified individuals in a manner consistent with the potential hazard.		
440.1b Attachment 1(7) Pressure Safety Requirements. Ensure that all pressure vessels, boilers, air receivers, and supporting piping systems conform to: ASME, ANSI, and the strictest applicable State and local codes.		
440.1b Attachment 1(8) Motor Vehicle Safety. Implement a Motor Vehicle Safety Program to protect the safety and health of all drivers and passengers.		
440.1b Attachment 1(9) Electrical Safety. DOE Elements must implement a comprehensive electrical safety program appropriate for the activities at the facility. The program must meet the applicable electrical safety codes and standards referenced in paragraph 4m of this Order.		
440.1b Attachment 1(10) Training and Information. Develop and implement a worker safety and health training and information program to ensure that all federal workers exposed or potentially exposed to hazards are provided with the training and information on that hazard in order to perform their duties in a safe and healthful manner.		
440.1b Attachment 1(11) Recordkeeping and Reporting. Establish and maintain complete and accurate records of all hazard inventory information, hazard assessments, exposure measurements, and exposure controls.		

Table 2: Safety Programs and Risk Management

Risk Management/ Safety Program	Risk Applicable to the Organization and/or Work Environment (Yes/No)	Effectiveness of Program Implementation Score (1-4)[1]	Opportunities for Improvement
Chronic Beryllium Disease Prevention Program (CBDPP)			
Psychological Risk Factors			
Telework			
Occupational Exposure Limits			
Electrical			
General Office Safety ***(Including Ergonomics)***			
HAZCOM			
Respiratory Programs			
HAZWOPER			

[1] A score of 4 indicates a fully developed and well-functioning program element.
A score of 1 indicates program implementation in an infancy stage.

Table 3a: Perception Surveys - Employee

Section Number	Question and Answer Section
1. What is your opinion about the safety program?	
1a.	What are the organization's safety and health policy and goals?
2. What do you do to contribute to the safety and health program?	
2a.	What are your safety and health responsibilities?
2b.	How do you know your responsibilities for safety and health?
2c.	How does your management demonstrate their support for your safety and health efforts?
2d.	What resources do you have to meet your responsibilities? (consider people, time, funding, and access to services)
3. How are you held accountable for safety and health?	

Table 3a: Perception Surveys - Employee
(Continued)

Section Number	Question and Answer Section
3. How are you held accountable for safety and health? (Continued)	
3a.	What happens to a worker is he/she breaks a safety rule or does something dangerous?
3b.	What happens to a worker is he/she does something special to make the workplace safer?
4. How do you identify and control safety and health risks?	
4a.	Are you involved in routine job hazard analyses? If yes, elaborate.
4b.	Are you involved in routine general hazard inspections? If yes, elaborate
4c.	How can you raise a safety concern or complaint? Are responses appropriate and timely? Are you involved in accident investigations? If yes, elaborate.
4d.	Are identified hazards addressed in a timely manner? Please elaborate.
4e.	How is the preventive maintenance program at preventing risk?
4f.	Are you prepared to respond to emergencies? How have you become prepared?

Table 3a: Perception Surveys - Employee

(Continued)

Section Number	Question and Answer Section
5. What are the most significant safety and health risks in your work area?	
5a.	How do you protect yourself from these hazards?
6. What training have you received?	
6a.	With respect to performing your job tasks?
6b.	With respect to safety and health?
6c.	With respect to responding to emergencies?
6d.	How is it determined if you need additional training?
7. How are you involved in the safety and health program?	

Table 3a: Perception Surveys - Employee
(Continued)

Section Number	Question and Answer Section
7. How are you involved in the safety and health program? (Continued)	
7a.	What safety and health decisions do you make? What opportunities do you have to direct your own work?
7b.	How are you encouraged to communicate informally across functions and units?
8. How successful is the safety and health effort?	
8a.	How is success in safety and health measured?
8b.	How does your safety performance compare to other organizations, industry averages, and benchmarks?
9. How are safety and health expectations and results communicated to you?	
9a.	Do you attend safety meetings routinely? Please elaborate.

Optional *(Section)*			
Name:			
Position:		Phone Number:	
Organization:		Years in Position:	
Interviewer:		Date:	

Table 3b: Perception Surveys - Manager/Supervisor

Section Number	Question and Answer Section
1. What is your role in the safety and health program?	
1a.	With respect to establishing and communicating safety and health policy?
1b.	With respect to establishing and communicating goals?
2. What are your safety and health responsibilities and what authority do you have to discharge your responsibilities?	
2a.	What resources do you have to meet your responsibilities?
2b.	What are your responsibilities and authority for contractors and other organizations with whom you and your staff interface?
3. How are you and your subordinates held accountable for safety and health?	
3a.	How is appropriate behavior reinforced and how is inappropriate behavior disciplined?

Table 3b: Perception Surveys - Manager/Supervisor

(Continued)

Section Number	Question and Answer Section
4. How do you identify and control safety and health risks?	
4a.	With respect to hazard assessment and communication?
4b.	With respect to evaluating new and planned facilities, equipment, and materials?
4c.	With respect to written employee complaints?
4d.	With respect to accident investigation?
4e.	With respect to timely hazard prevention and control?
4f.	With respect to preventive maintenance?
4g.	With respect to emergency planning and preparation?
4h.	With respect to medical services and emergency care?

Table 3b: Perception Surveys - Manager/Supervisor
(Continued)

Section Number	Question and Answer Section
5.	What are the most significant safety and health risks within your area of responsibility?
6.	What training do your employees receive with respect to safety and health?
6a.	With respect to responding to emergencies?
7.	How do you involve your employees in the safety and health program?
7a.	How do you encourage informal communications across functions and units?
8.	How successful is your safety and health effort?
8a.	How do you measure success in safety and health?
8b.	Based on your safety and health measurement information, what are the trends?

Table 3b: Perception Surveys - Manager/Supervisor
(Continued)

Section Number	Question and Answer Section
8. How successful is your safety and health effort? (Continued)	
8c.	How does your safety performance compare to other organizations, industry averages, and benchmarks?
8d.	How do you evaluate contractor performance?
8e.	What do you do to improve safety and health data?
9. How are safety and health expectations and results communicated?	

Optional *(Section)*			
Name:			
Position:		Phone Number:	
Organization:		Years in Position:	
Interviewer:		Date:	

Table 3c: Perception Surveys - Safety and Health Staff

Section Number	Question and Answer Section
1. What is your role in the safety and health program?	
2. What are your safety and health responsibilities and what authority do you have to discharge your responsibilities?	
2a.	What do you do in the safety and health program?
2b.	How are your responsibilities communicated to you?
2c.	How does your management demonstrate support for your safety and health efforts?
2d.	What resources do you have to meet your responsibilities? (consider people, time, funding, and access to services)
3. Who is accountable for safety in the workplace and how are they held accountable?	
3a.	Who gets in trouble in the event of a serious accident or incident?

Table 3c: Perception Surveys - Safety and Health Staff
(Continued)

Section Number	Question and Answer Section
4. How do you identify and control safety and health risks?	
4a.	With respect to hazard assessment and communication?
4b.	With respect to evaluating new and planned facilities, equipment, and materials?
4c.	With respect to routine job hazard analyses?
4d.	With respect to routine general hazard inspections?
4e.	With respect to written employee complaints?
4f.	With respect to accident investigation?
4g.	With respect to timely hazard prevention and control?
4h.	With respect to preventive maintenance?

Table 3c: Perception Surveys - Safety and Health Staff
(Continued)

Section Number	Question and Answer Section
4. How do you identify and control safety and health risks? (Continued)	
4i.	With respect to emergency planning and preparation?
4j.	With respect to medical services and emergency care?
5. What are the most significant safety and health risks you deal with?	
6. What training have you received to help you perform your job?	
6a.	Are you confident in your skills to do your job?
7. How are employees involved in the safety and health program?	
7a.	What safety and health decisions do workers make? What opportunities do they have to direct their own work?
7b.	How are informal communications encouraged across functions and units?

Table 3c: Perception Surveys - Safety and Health Staff
(Continued)

Section Number	Question and Answer Section
8. How successful is the safety and health effort?	
8a.	How do you measure success in safety and health?
8b.	Based on your safety and health measurement information, what are the trends?
8c.	How does your safety performance compare to other organizations, industry averages, and benchmarks?
8d.	How do you evaluate the service your organization receives from others?
9. How are safety and health expectations and results communicated?	
10. What would you do to improve the safety and health program?	

Optional ***(Section)***			
Name:			
Position:		Phone Number:	
Organization:		Years in Position:	
Interviewer:		Date:	

Table 4: Walkthrough and Hazards Recognition

Section Number	Requirements	Yes	No	N/A[1]
1. Posting Requirements				
1a.	Is the DOE FEOSH poster displayed in a prominent location where all employees are likely to see it?			
1b.	Are signs concerning fire and emergency escape routes, room capacities, or floor loading posted where appropriate?			
1c.	Is the Summary of Occupational Illnesses and Injuries (OSHA No. 200) posted in the month of February?			
2. Walking and Working Surfaces				
2a.	Are floors, aisles and passageways kept clean, dry and all spills cleaned immediately?			
2b.	Are carpets kept tight so they will not develop rolls or bunch up?			
2c.	Are office areas uncluttered, without excessive accumulation of paper or other combustible material?			
2d.	Are floor receptacle boxes located where they may cause tripping hazards?			
2e.	Is sufficient space (room) provided in office areas between desks and other furniture, and adjacent to doors to facilitate exit into hallways?			
2f.	Are electric and phone cords run across aisles or passageways?			
2g.	Are stair rails or handrails provided on all stairways?			
2h.	Are holes in the floor or other walking surfaces repaired properly, covered or otherwise made safe?			
2i.	Are changes of direction or elevations readily identifiable?			
2j.	Is adequate headroom provided for the entire length of any aisle or walkway?			
2k.	Are all the work areas properly illuminated?			
3. Electrical Safety				
3a.	Are flexible cords and cables used permanently as a substitute for fixed wiring?			
3b.	Are all appliances plugged directly into receptacles?			
3c.	Is all equipment connected by cord and plug (i.e., fans, space heaters, typewriters, microwaves, coffee pots, etc.) provided with grounded connections?			

[1] Not Applicable to the Organization or the Work Environment

Table 4: Walkthrough and Hazards Recognition
(Continued)

Section Number	Requirements	Yes	No	N/A[1]
3. Electrical Safety *(Continued)*				
3d.	Are power strips or surge protectors overloaded, plugged in series or not used in accordance with the manufacturer's recommendations?			
3e.	Have exposed wires, frayed cords, and deteriorated insulation been repaired or replaced?			
3f.	Are junction boxes, receptacles, and switches provided with tight-fitting covers or plates, hence not exposing wires or conductors?			
3g.	Are flexible cords and cables run through holes in walls or ceiling or through doorways and windows?			
3h.	Are flexible cords and cables free from splices or taps?			
3i.	Are multiple-plug adapters used?			
4. Fire Protection				
4a.	Are sprinkler heads kept clear of storage material, where the clearance between sprinkler heads and the top of storage is at least 18 inches?			
4b.	Are fire doors unobstructed and protected against obstructions?			
4c.	Are all doors that must be passed through to reach an exit or way to an exit always free to access with no possibility of a person being locked inside?			
4d.	Are all fire extinguishers fully charged and in their designated places?			
4e.	Are extinguisher locations free from obstructions or blockage?			
4f.	Are all exit routes always kept free of obstructions?			
4g.	Are portable fire extinguishers provided in adequate number and type?			
4h.	Have all extinguishers been serviced, maintained, and tagged at intervals not to exceed one year?			
4i.	Are all extinguishers checked monthly to see if they are in place or if they have been discharged?			
4j.	Are fire extinguishers mounted in readily accessible locations?			

[1] Not Applicable to the Organization or the Work Environment

Table 4: Walkthrough and Hazards Recognition
(Continued)

Section Number	Requirements	Yes	No	N/A[1]
5. Means of Egress				
5a.	Are exits marked with an exit sign and illuminated by a reliable light source?			
5b.	Is the direction to exits, when not immediately apparent, marked with visible signs?			
5c.	Are doors, passageways or stairways, that are neither exits nor access to exits and which could be mistaken for exits, appropriately marked e.g., "NOT AN EXIT"			
5d.	Are there sufficient exits to permit prompt escape in case of fire or other emergency?			
5e.	Are there doors which are required to serve as exits designed and constructed so that the way of exit travel is obvious and direct?			
5f.	Are exit doors able to open from the direction of exit travel without the use of a key or any special knowledge or effort when the building is occupied?			
5g.	Where exit doors open directly onto any street, alley or other area where vehicles may be operated, are adequate barriers and warnings provided to prevent employees from stepping into the path of traffic?			
5h.	Is emergency lighting in stairways, hallways and other work areas tested periodically to determine if they are in operable condition?			
5i.	Are dead bolts affixed to exit doors?			
5j.	Are door stops installed on exit doors?			
5k.	Do smoke barrier doors close properly?			
6. Ergonomics (Video Display Terminals) Have ergonomics evaluations been conducted for:				
6a.	1. Monitor and document arrangements: ▪ positioned too high or too low ▪ positioned too close or too far away ▪ are not height adjustable ▪ are too difficult to see/read			
6b.	2. Lighting/glare: ▪ ambient light is too bright or too dim ▪ task lighting is needed ▪ glare is visible on the monitor ▪ operator faces uncovered window/uncovered light source			

[1] Not Applicable to the Organization or the Work Environment

Table 4: Walkthrough and Hazards Recognition
(Continued)

Section Number	Requirements	Yes	No	N/A[1]
6. Ergonomics (Video Display Terminals) *(Continued)* Have ergonomics evaluations been conducted for:				
6c.	3. Workstations and accessories: ▪ work surface is crowded or too small ▪ keyboard or work surface is too high or too low ▪ hand/wrist rests on hard/sharp edge ▪ hand/wrist rests on palm rest while keying			
6d.	4. Work area: ▪ the work area restricts body movement ▪ causes reaching/twisting/bending/awkward positions ▪ an anti-fatigue mat/foot rail/footrest is needed but unavailable.			
6e.	5. Input devices: ▪ contribute to non-neutral ▪ wrist/elbow/shoulder positions ▪ require excessive force to activate ▪ cannot be repositioned ▪ require awkward static positions ▪ require excessive reaches			
6f.	6. Has an ergonomics evaluation been conducted for seating arrangements to determine if the seats: ▪ lack a back rest which is separated from the seat pan ▪ lack adequate/adjustable lumbar support ▪ lack adequate/adjustable seat height ▪ lack appropriate/adjustable arm rests			
6g.	Are employees instructed in the proper manner of lifting heavy objects?			
6h.	Has training been provided on how to adjust the workstation/seating?			
7. Hazardous Substances Communication				
7a.	Is there a list of hazardous substances used in your workplace?			
7b.	Is there a written hazard communication program that deals with MSDSs, labeling, and employee training?			
7c.	Is each container for a hazardous substance labeled with product identity and a hazard warning?			
7d.	Is there a MSDS readily available for each hazardous substance used?			
7e.	Is there an employee training program for hazardous substances?			

[1] Not Applicable to the Organization or the Work Environment

Table 4: Walkthrough and Hazards Recognition
(Continued)

Section Number	Requirements	Yes	No	N/A[1]
8. Sanitation				
8a.	Are restrooms kept in clean and sanitary condition?			
8b.	Are covered receptacles for waste food kept in clean and sanitary condition?			
8c.	Are foods and drinks stored, prepared, and consumed where chemicals and cleaning products are stored and used?			
9. Medical Services and First Aid				
9a.	Are first aid supplies easily accessible to each work area, with necessary supplies available, periodically inspected and replenished as needed?			
9b.	Are medical personnel readily available for advice and consultation on matters of employee health?			
9c.	Are emergency phone numbers posted where they can be readily found in case of emergency?			

[1] Not Applicable to the Organization or the Work Environment

Table 5: Benchmark Against the Prinicples of S&H Excellence

Safety Excellence Program Tenet/Indicator	Applicable to the Organization or Work Environment (Yes/No)	Comments	Opportunities for Improvement
MANAGEMENT LEADERSHIP & EMPLOYEE INVOLVEMENT			
Have safety and health (S&H) policies and objectives been established and communicated to all workers?			
Does the S&H policy declare the priority of worker S&H over other goals, such as production?			
Can workers express the S&H policy or at least tell where they have seen it?			
Have any injuries occurred at the site because workers did not understand the importance of safety precautions?			
Is there a written goal for the S&H program, and is it updated annually?			
Are there written objectives, such as a plan for reaching the S&H goal?			
Do managers and supervisors have their own written objectives for S&H?			
Is top management visibly involved in S&H?			
Are there one or more written programs that involve top-level management in S&H activities?			
Can workers describe how managers are involved in S&H activities?			
Do workers perceive that managers follow S&H rules and work practices?			
Are S&H responsibilities clearly assigned?			
Are managers and supervisors held accountable for S&H?			

Table 5: Benchmark Against the Prinicples of S&H Excellence

(Continued)

Safety Excellence Program Tenet/Indicator	Applicable to the Organization or Work Environment (Yes/No)	Comments	Opportunities for Improvement
MANAGEMENT LEADERSHIP & EMPLOYEE INVOLVEMENT			
Do supervisors reinforce safe work through positive feedback and training?			
Do performance evaluations for line managers and supervisors include specific criteria relating to S&H?			
Does management respond adequately and in a timely manner to worker S&H concerns?			
Are employees involved in identifying and solving S&H problems?			
Do those workers with S&H responsibilities have adequate authority and resources?			
Does evidence show that workers are held accountable for S&H performance?			
Are there one or more written programs that provide for worker involvement in decisions affecting S&H?			
Is there written documentation of management response to worker S&H program activities?			
Is there a written guarantee of employee protection from harassment resulting from S&H program involvement?			
Do S&H committees exist, and do workers have adequate representation on them?			
Do workers show pride in the achievements of the FEOSH program?			
Does a policy exist for stopping work in an imminent danger situation?			
Have workers been involved in safety analyses, inspections, program reviews, etc.?			

Table 5: Benchmark Against the Prinicples of S&H Excellence
(Continued)

Safety Excellence Program Tenet/Indicator	Applicable to the Organization or Work Environment (Yes/No)	Comments	Opportunities for Improvement
MANAGEMENT LEADERSHIP & EMPLOYEE INVOLVEMENT (Continued)			
Does a system exist for workers to report S&H concerns, and are workers using it?			
WORKSITE ANALYSIS			
Is the FEOSH program reviewed periodically to evaluate success in meeting goals and to prepare new objectives?			
Has a baseline comprehensive survey of hazards been conducted?			
Is the baseline survey updated periodically?			
Are S&H analyses conducted for new or modified facilities, processes, equipment, or material?			
Is job hazard analysis routinely conducted?			
Do supervisors conduct regular self-inspections?			
Do accident investigation reports show a thorough analysis of causes, rather than a tendency to blame the injured worker?			
Are near misses investigated using the same techniques as for accident investigations?			
In addition to the required OSHA log, are careful records kept of first-aid injuries and/or illnesses that might not immediately appear to be work-related?			
Are near misses, injuries, and illnesses analyzed and trended to uncover connections?			
In reviewing the OSHA 200 log, are there patterns of illness or injury that should have been analyzed for previously undetected hazards?			

Table 5: Benchmark Against the Prinicples of S&H Excellence

(Continued)

Safety Excellence Program Tenet/Indicator	Applicable to the Organization or Work Environment (Yes/No)	Comments	Opportunities for Improvement
HAZARD PREVENTION AND CONTROL			
Are identified hazards prevented or controlled in the best feasible manner?			
Have written safe work procedures been established based on job hazard analyses?			
Are safe work procedures and S&H rules enforced fairly and efficiently through a system that all workers understand?			
When new or repeat hazards are identified, are corrective actions taken in a timely manner?			
Do facilities and equipment receive regular maintenance to prevent hazardous breakdowns?			
Do written procedures exist for use of personal protective equipment (e.g., respirators)?			
Are hazards that could feasibly be controlled through improved design being inadequately controlled by other means (e.g., work practices or PPE)?			
Have arrangements been made for occupational health specialists to provide medical services?			
Are first aid and CPR-trained workers available?			
Are good, clear records kept of medical testing and assistance?			
Does the occupational health care provider understand the potential hazards of the workplace so that occupational illness symptoms can be recognized?			
Are exits, evacuation routes, and emergency telephone numbers prominently displayed?			

Table 5: Benchmark Against the Prinicples of S&H Excellence
(Continued)

Safety Excellence Program Tenet/Indicator	Applicable to the Organization or Work Environment (Yes/No)	Comments	Opportunities for Improvement
SAFETY AND HEALTH TRAINING			
Are supervisors adequately trained to conducted S&H self-inspections?			
Are specified workers trained to conduct regular site inspections?			
Are workers familiar with the FEOSH program?			
Can workers explain the S&H considerations involved in doing their job?			
Can workers demonstrate correct use of required personal protective equipment?			
Does the written training program include complete training for every worker in emergency procedures and in all potential hazards to which the worker may be exposed?			
SELF-EVALUATION & OUTREACH COMMITMENT			
Is there is a formalized self-evaluation program in place?			
Are self-evaluations conducted in a regular basis?			
Are the results of self-evaluations communicated to all employees and managers?			
Is the self-evaluation system integrated with other activities such as trending and root cause analysis?			
Are the self-evaluation findings and recommendations followed up on and completed?			
Are there opportunities for employees and managers to share and exchange lessons learned and best practices with external groups and organizations?			
Is there a proactive and open attitude mentor other groups and organizations?			

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