Division ES&H
Self-Assessment Training
BLI 2012

A Short Course for Division Self-Assessment Teams
March 2010
Training Objectives

1. To outline the fundamentals of ES&H self-assessments
2. To assist the teams in developing and carrying out ES&H self-assessments
3. To provide practice in preparing and conducting ES&H self-assessments
Introduction

Course Content

Small Group Exercises
Why ES&H Self-Assessment?

It Drives Continuous Improvement

Self-assessment helps make the Lab a safer place to work!
Ongoing and Formal Assessments

Formal assessments are just a little more structured than what you are currently doing.
General Considerations

Assessment Team Roles and Responsibilities

Everyone is a team member
Assessment Preparation

Lines of Inquiry
Methodology
Team Selection
Coordination and Scheduling
Assessment Preparation

LINES OF INQUIRY

• Questions that direct the assessment
  • Satisfactory/unsatisfactory?
  • Yes/no?
  • How?

• Can be modified as needed

Lines of inquiry will help keep the assessment on track
A robust line of inquiry should include at least one question addressing each ISM core function.
As an example, lines of inquiry for an Ergonomics Program review might include:

- How is the program implemented across the division?
- How are ergonomics hazards identified?
- What systems/procedures are in place to control exposure to ergonomics hazards?
- How does management anticipate and plan for physical changes in workstations, lab spaces, material handling processes, etc.?
- How does management respond to employee discomfort complaints?
- What methods are used to facilitate feedback and improvement?

*Lines of inquiry help guide the self-assessment and keep it on track*
Methodologies could include:

- Documentation review
- Inspections
- Observation of work
- Personnel interviews
- Review of issues, corrective actions, and Lessons Learned

Methodology helps answer the questions in your lines of inquiry
As an example, methodology for an Ergonomics Program review might include:

- Comparing work assignments against Job Hazard Analyses
- Conducting inspections of areas (or processes) selected for review
- Reviewing written operating procedures, supervisor accident reports, etc.
- Observing work practices
- Interviewing employees who perform or supervise applicable work
- Reviewing CATS for pending corrective actions

Methodology helps answer the questions in your lines of inquiry
Assessment Preparation

TEAM SELECTION

• Team selection is driven by focus area, scope, and the expertise needed to do the work

• Selection factors include:
  
  • Familiarity with division operations and personnel
  • Familiarity with hazards
  • Working knowledge of ES&H policies and procedures
  • Capable of carrying out assessment methods
  • Ability to work collaboratively with team members and other stakeholders

Member experience will contribute to the quality and value of the assessment!
Assessment Preparation

COORDINATION AND SCHEDULING

• Consider the scope, methodology, and lines of inquiry when planning the assessment

• Plan ahead!
  
  • Let people know you are coming
  • Schedule interviews, location visits, etc., accordingly
  • Ask for documents well in advance

Be considerate of peoples’ time
Getting Ready to Start

Pre-assessment briefing
Reviewing relevant documentation
Confirming points of contact

The preparatory steps are now complete!
GO!

The Rubber Meets the Road

Observation of Work
Interviews
CLASS EXERCISES

Work Observations

Interviews

Classifying Results

Have some fun with this!
Performing the Assessment

OBSERVATION OF WORK

Use the established lines of inquiry

Observe work practices vis a vis policies, procedures, and best practices

Be careful...too much reliance on checklists could result in missing important activities

Are people working safely and within controls ... and are they effective?
Performing the Assessment

OBSERVATION OF WORK

Basic Observation Techniques

- Introduce yourself and explain why you’re there
- Ask what the process is for the work being observed
- Watch people perform the work
- Gauge what you see against the documented procedures
- Identify deficiencies and noteworthy practices, if any
- If you see a deficiency, ask why
- Document deficiencies, responses to deficiencies, and noteworthy practices
- Be respectful
EXERCISE I

Work Observations: 30 Minutes

Groups convene to develop lines of inquiry

Groups view a video of work in a typical laboratory and look for findings, observations, and noteworthy practices

Groups reconvene to compare and discuss work observations
Work Observation Exercise Discussion
Performing the Assessment

INTERVIEWS

Use the lines of inquiry to guide you

Develop interview questions based on lines of inquiry

Your interview will be a valuable source of information

*Interviews will provide valuable insight and augment what is learned from work observations.*
Basic Interview Techniques

- Chose a convenient and safe location
- Best not to include mgrs and supvs in employee interviews
- Interview one person at a time
- Explain the purpose: be positive and keep it friendly
- Have person tell story in their own words: don’t argue
- Ask one question at a time, and try to ask questions that are open-ended (versus “yes/no”)
- Use Silence – be patient with the interviewee
- Document responses…a team member can record information
EXERCISE II

Interviews: 30 Minutes

Everyone will have a chance to conduct an interview…and be interviewed!

Each group will meet to develop interview questions based on the previous exercise

Participants will conduct the interviews and trade places with a new partner
Interview Exercise Discussion
Completing the Assessment

Crossing the Finish Line

Team Debrief
Consolidating Results
Generating the Report
Establishing Factual Accuracy (not opinions)
Senior Management Briefing
Issues Management & Corrective Action
Performing the Assessment
CONSOLIDATING RESULTS

Findings
Observations
Noteworthy Practices
Performing the Assessment
FINDINGS

Findings Include:

- Program or performance deficiencies
- Noncompliance with internal or external requirements
- Issues that require formal corrective action
Observations Include:

Practices or conditions that are not technical noncompliant with internal/external regulations or requirements

Practices that could lead to noncompliance if not addressed
Noteworthy Practices Include:

Practices or conditions that are recognized for excellence

Practices or conditions that should be considered for Lab-wide application
Closing Comments

A FEW THINGS TO TAKE AWAY

- Self-assessment promotes *continuous improvement*
- Self-assessments identify *opportunities for improvement*
- Self-assessments should focus on *issues of importance*
- Carefully plan self-assessments so that they are *efficient and productive*
- Resources are available to help you plan and implement your assessments

*PUB 3105 was designed with you and your team in mind.*