

ESHTRK PROCEDURES

INTRODUCTION

ESHTRK is a database that is used at Fermilab primarily to support ES&H performance monitoring and follow-up of associated issues. However, this system can also accommodate a wide variety of non-ES&H applications, and its general use is strongly encouraged. Although issue tracking systems are often viewed as large “to do lists,” they can also provide valuable information about the status of associated programs. In particular, ESHTRK plays a key role in monitoring the status of Fermilab’s self-assessment program. This chapter contains the Lab’s policy regarding its use as well as associated implementation procedures.

DEFINITIONS

Formal external ES&H assessments - ES&H assessments conducted by external oversight organizations for which a report is forwarded to Fermilab.

Formal internal ES&H assessments - ES&H assessments conducted by, or on behalf of Fermilab personnel, for which recognition of completion by the Directorate is sought. This includes program evaluations performed as part of the Lab’s formal ES&H Self-Assessment Program Plan (SAPP).

Formal ES&H investigations - Investigations required by Fermilab’s Work Smart set of standards, including CAIRS and ORPS investigations, as well as formal internally initiated investigations.

SPECIAL RESPONSIBILITIES

Divisions/Sections are responsible for entering the results of their own assessments into ESHTRK.

For Tripartite Assessments, the division/section leading the assessment is responsible for entering the results of the assessments into ESHTRK after getting concurrence from the assessed organization.

Assessed divisions/sections are responsible for developing corrective actions in response to the assessments and entering them into ESHTRK. They are also responsible for implementing corrective actions and closing them out in ESHTRK.

The ES&H Section is responsible for managing the ESHTRK database and for providing training in its use. The ES&H Section is also responsible for entering the results of assessments conducted by organizations external to the Lab.

It is expected that senior managers and/or senior safety officers will periodically review the contents of ESHTRK to check on the appropriateness and status of follow-up actions, and to identify trends.

PROCEDURES

1. ESHTRK uses

- a. The use of ESHTRK is mandatory for all formal ES&H assessments (external and internal). In order to provide a standardized mechanism for measuring progress in completing assessments, formal internal ES&H assessments must be entered, regardless of the presence or absence of findings.
- b. ESHTRK is mandatory for all formal investigations with open findings. Examples include ORPS, CAIRS, Highly Protected Risk Inspections, and internal division/section investigations, including those for near-miss incidents.
- c. The use of ESHTRK is recommended for all other situations where the non-confidential tracking of issues and associated follow-up is desirable. ESHTRK can accommodate the tracking of a wide variety of issue and follow-up data, and its use is strongly encouraged. However, personnel-related issues such as attendance problems should be avoided since access to records across organizational lines is encouraged.
- d. Although this system can be used to assign corrective actions down organizational lines, it must not be used to assign work across division/section lines, unless negotiated with the other division/section head in advance.

2. Assessment response process

- a. Although access to view the contents of ESHTRK is encouraged, data entry is generally limited to a small number of people within each division/section. These individuals are trained by the ES&H Section and should be familiar with the detailed functioning of the database. Detailed procedures for managing data in ESHTRK are described in the technical supplement to this chapter [to be provided later].
 - b. A summary of the process for managing data in ESHTRK is provided below in the form of a flowchart. This does not apply to external ES&H Assessments.
 - c. Findings are not entered into ESHTRK until they have been validated by the assessed organization. If the risk code (see FESHM 1040.2) is 1 or 2, the finding shall be validated immediately so that corrective action can be quickly implemented.
3. *Trending and analysis* - Trending and analyses are periodically conducted to see if associated programs need to be redirected and to verify that root causes are being adequately addressed.

ASSESSMENT RESPONSE PROCESS

