Office of Secure Transportation
Standard Operating Procedure Documentation

SOP Background	
Document Title: Safety Hazard/Concern Reporting Program	**Document Number:** OST SOP 7.00.08
Document Owner(s): *(Identify by name and organization)* Dean Triebel, ESHB	**Approval Authority:** *(Identify by name and title).* Michael A. Connor, PDADA

Notify of Changes to SOP:
OST federal and contractor employees

Document(s): *(Documents used as reference or for input into SOP; documents developed as a result of the SOP; and Forms utilized in the performance of the SOP).*

- DOE O 231.1A, *Environment, Safety and Health Reporting*
- DOE M 231.1-1A, *Chg 2, Environment, Safety and Health Reporting Manual*
- DOE O 440.1B, *Worker Protection Management for Federal Employees*
- OST M, *Worker Protection Management Plan*
- OST F 3790.1, *Hazard Concern Reporting Form*
- OST P 7.07, *Operational Risk Management*

Document History

Rev.	Date	Description of Change *(Include name of individual making the revision)*
0	06/30/08	New SOP, Dean Triebel. This SOP will replace OST P 1.05 which will be rescinded.

Prepared By:

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Dean F. Triebel, Chief   Date
Environmental, Safety and Health Branch (ESHB)

Approved By:

Michael A. Connor   6-30-2008

Michael A. Connor   Date
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I. Purpose

The Office of Secure Transportation (OST) Safety Hazard/Concern Reporting Program is used to identify any safety hazards or safety concerns within the workplace. OST F 3790.1 is the preferred form that should be used to report safety hazards or safety concerns. Verbal communication of a safety hazard or safety concern is also acceptable, with follow-on documentation generated for tracking purposes and corrective actions.

II. Scope

This procedure applies to OST federal and contractor employees.

III. Responsibility

Command Safety Team (CST):
- Receives an OST F 3790.1 from OST employees.
- Investigates and validates the safety hazard or safety concern.
- Provides recommendations on the corrective actions.
- Forwards the completed form to the Chief, ESHB.
- Implements immediate mitigative actions to reduce risk of hazard/concern, if appropriate.

Chief, ESHB:
- Reviews the OST F 3790.1 and ensures the corrective actions will eliminate or mitigate the safety hazard or safety concern.
- Performs an Operational Risk Management (ORM) review to determine the risk level or potential severity of the safety hazard.
- Works with affected Division Director and takes appropriate actions to eliminate/mitigate the concern.
- If further actions are needed, distributes the OST F 3790.1 to the appropriate OST Office Manager for action to mitigate or eliminate the safety hazard or safety concern.
- Maintains an available stock of OST F 3790.1 at OST locations.
- Provides awareness training to OST employees on the Safety Hazards/Safety Concerns Program.
- Provides feedback to individuals or groups on closure of concern.

OST Office Managers, Division Directors and Supervisors: Take appropriate action within their scope of influence to ensure safety hazards or safety concerns are mitigated by applying resources to resolve hazards/concerns to maintain a safe and healthy workplace for OST employees.

OST Office Manager:
- Receives OST F 3790.1 from Chief, ESHB.
- Reviews recommendations by Chief, ESHB.
- Takes action as required to address hazard/concern.
- Closes out concern via written notification to Chief, ESHB.

IV. Definitions

Operational Risk Management (ORM): An OST risk management model used to determine the level of risk of a Hazard/Concern Report.

SEVERITY			HAZARD PROBABILITY				
			Frequent	Likely	Occasional	Seldom	Unlikely
			A	B	C	D	E
	Catastrophic	I	EXTREMELY HIGH		HIGH		
	Critical	II	EXTREMELY HIGH		HIGH		
	Marginal	III		MODERATE			LOW
	Negligible	IV					LOW

Severity: The expected consequences of an event in terms of degree of injury, property damage or other mission-impairing factors.

Catastrophic: Death or permanent total disability, system loss, major damage, significant property damage or mission failure.

Critical: Permanent partial disability, temporary total disability in excess of 3-months, major system damage, significant property damage or significant mission degradation.

Marginal: Minor injury, lost workday incident, minor system damage, minor property damage or some mission degradation.

Negligible: First aid or minor medical treatment, minor system impairment or little/no impact on mission accomplishment.

Probability: The likelihood an event will occur.
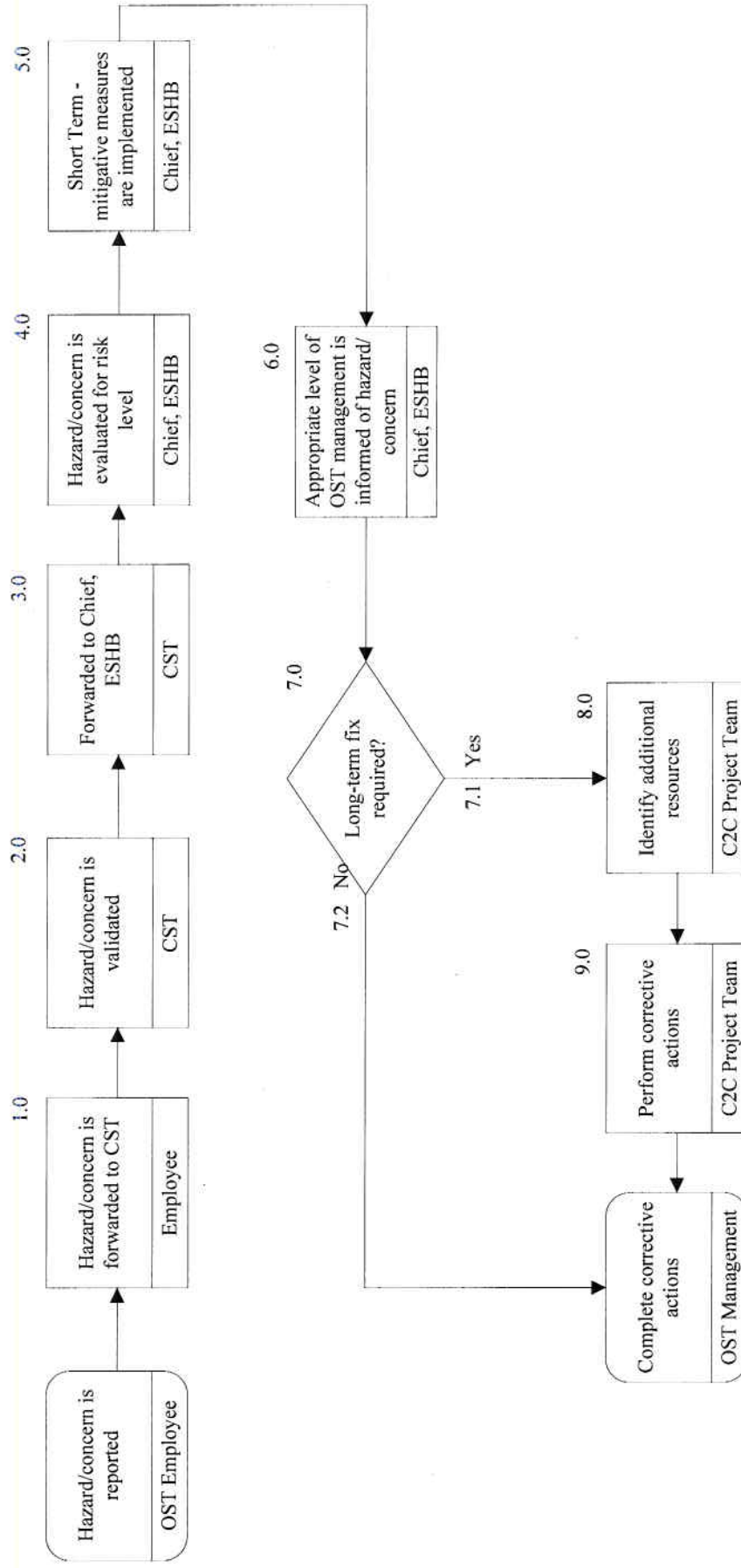
Frequent: Occurs often or continuously.

Likely: Occurs several times.

Occasional: Occurs sporadically.

Seldom: Unlikely, but could occur at some time.

Unlikely: Can assume it will not occur.

V. Flowchart the SOP

1.0
Hazard/concern is reported

OST Employee

1.0
Hazard/concern is forwarded to CST

Employee

2.0
Hazard/concern is validated

CST

3.0
Forwarded to Chief, ESHB

CST

4.0
Hazard/concern is evaluated for risk level

Chief, ESHB

5.0
Short Term - mitigative measures are implemented

Chief, ESHB

6.0
Appropriate level of OST management is informed of hazard/concern

Chief, ESHB

7.0
Long-term fix required?

7.1 Yes

7.2 No

8.0
Identify additional resources

C2C Project Team

9.0
Perform corrective actions

C2C Project Team

Complete corrective actions

OST Management

1.0   **Hazard/concern is forwarded to CST**
Employee forwards hazard/concern to CST.

2.0   **Hazard/concern is validated**
CST performs an initial validation of the hazard/concern and recommends corrective actions to Chief, ESHB. Implement immediate mitigation measures, as required.

3.0   **Forwarded to Chief, ESHB**
CST forwards hazard/concern with recommended corrective actions to Chief, ESHB.

4.0   **Hazard/concern is evaluated for risk level**
Chief, ESHB determines the risk to OST posed by the hazard/concern using Operational Risk Management (ORM).

5.0   **Mitigative measures are implemented**
Chief, ESHB ensures actions are taken to reduce the risk of the hazard/concern until a permanent solution can be implemented.

6.0   **Appropriate level of OST management is informed of the hazard/ concern**
Chief, ESHB will keep OST management informed of hazard/concern at a level consistent with the risk, i.e. extremely high risk hazard/concern is reported to the Assistant Deputy Administrator, via the chain of command.

7.0   **Long-term fix required?**
Chief, ESHB determines if the solution to the hazard/concern will require a long-term fix because of needed funding, additional resources, etc.

   7.1   **Identify additional resources**
   Additional resources will be required to address the hazard/concern.

   7.2   **Complete corrective actions**
   The hazard/concern can be addressed within the normal resources available to the appropriate OST Manager/Director/Supervisor.

8.0   **Identify additional resources**
The hazard/concern should be entered into the OST Concept to Capability (C2C) process to establish a project team, resources, and funding for long-term corrective actions.

9.0   **Perform corrective actions**
C2C Project Team will complete corrective actions for the Hazard/Concern Report.