

Facilities Engineering Support Section (FESS)

Director's Policies Compliance Manual

December 18, 2009

Approved: _____

Randy Ortgiesen, Head, FESS

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Introduction

The purpose of the FESS Director's Policy Compliance Manual (the "Manual") is to provide policy direction and procedures within FESS to implement applicable Director's Policies as published in the Fermilab Director's Policy Manual. The Director's Policies represent the complete source for ensuring that all FESS-related requirements of the contract between DOE and Fermi Research Alliance, LLC, including all applicable laws, regulations and DOE Directives are met.

The FESS Head is responsible to ensure FESS compliance to Director's Policies and FESS Department Heads are responsible for compliance within their departments including any associated procedures.

The FESS Head shall select a Senior Management Team composed of the Department Heads, Environmental Officer, Senior Safety Officer, and others as deemed appropriate by the FESS Head. The Senior Management Team shall meet on a regular basis to provide feedback to the FESS Head concerning compliance to the Director's policies.

The Manual shall be approved and signed by the FESS Head and the Laboratory Chief Operating Officer. The Manual will be reviewed annually, and revised as necessary to maintain the relationship between FESS and Fermilab's commitments to DOE as embodied in the Director's Policies.

All FESS employees have the responsibility to apply these policies to their work and to identify non-conformances. The FES Section Head determines the applicability of Director's Policies to the section.

Policy on Policies (DP1)

DP1 requires that the Director approve all FESS section level policies and procedures intended to implement Directorate level policies. It shall be the responsibility of the FESS Head to ensure that the Manual is submitted to the Directorate for approval.

Personnel (DP2)

FESS Hiring Managers are responsible for coordinating with appropriate personnel in WDRS to obtain qualified personnel of the highest quality for FESS employment. Decisions on hiring will normally be made at the Department Head level, with the concurrence of the FESS Head.

Environment, Safety and Health (DP3)

All FESS employees shall be responsible for carrying out the general objective of the Environmental, Safety and Health Policy, which is to conduct work in a safe and environmentally sound manner. The FESS Head shall be responsible for appointing a qualified individual as Senior Safety Officer (SSO) and Environmental Officer (EO) for FESS. A partial list of the responsibilities of the SSO and EO are detailed in the Fermilab ES&H Manual (FESHM).

Operations (DP4)

The FESS Head is ultimately responsible for ensuring that all operations of FESS personnel are carried out in a safe and responsible manner. Department Heads shall establish policies, procedures, goals and objectives and requirements through assignments, meetings and other means as necessary to ensure that this standard of quality is met by all FESS employees.

Maintenance (DP5)

This policy defines the four principal requirements for conducting maintenance at Fermilab:

1. That facilities and equipment are maintained in an operating and safe condition.
2. That maintenance operations are conducted in a safe, deliberate, and efficient manner.
3. That maintenance activities are carried out with minimal impact on facility or equipment availability.
4. That systems are maintained with the objective of achieving high reliability within an established budget.

All personnel within FESS shall be held to these principles by specific written procedures and by expectations conveyed through work orders, verbal assignments, goals and objectives, and meetings.

It shall be the responsibility of the Department Heads to establish a Maintenance Management Plan for facilities under their control as specified in DP5.

Procurement (DP6)

FESS shall maintain a system of signature authority for all purchase requisitions, linked to the type and dollar amount requisitioned. Those FESS personnel authorized to prepare and sign requisitions are responsible for coordinating with FESS budget and administrative personnel to ensure the timely submittal of requisitions to the Procurement department, and for ensuring that requisitions submitted to authorized signers are complete and follow all applicable regulations.

Make or Buy Decisions (DP7)

It shall be the responsibility of the FESS Head, and all Department Heads to understand and abide by the specific provisions of DP7, especially in considering all factors listed in the DP relevant to making the decision.

Design (DP8)

Design of equipment, parts, systems, and larger projects shall conform to appropriate engineering standards. Construction designs for FESS facilities are subject to review by all FESS Departments (see DP18, below).

FESS Engineering Department Head shall be responsible for procedures controlling design of major projects, including the oversight of Architect/Engineering firms selected for the purpose.

Experimenters/Users Identification (DP9)

The Fermilab National Environmental Research Park (NERP) program resides within FESS, and is maintained through Memoranda of Understanding between Fermilab and individual NERP researchers. The NERP Coordinator shall ensure that all requirements of DP9 are met.

Quality Assurance (DP10)

The FESS Head is responsible for adherence of the section to the Fermilab Integrated Quality Assurance Program, maintaining the level of quality within the section, ensuring that adequate implementing procedures within the section are documented, followed and maintained, and coordinated with the Office of Quality and Best Practices.

Each individual employee in FESS is responsible for maintaining the high quality of his/her work and communicating quality issues to the appropriate supervisor.

Property (DP11)

The FESS Head and all FESS Department Heads shall ensure that all sections of the Fermilab Property Manual that are applicable to FESS are followed.

Project Management (DP12)

The FESS Head and Engineering Department Head shall ensure that all major projects managed either entirely or in part by FESS employees are managed according to applicable DOE Directives and Laboratory management standards.

Document Control (DP13)

FESS Department Heads shall be responsible for ensuring that program documents, program implementation plans, and procedures are properly controlled, and are in compliance with the standards of DP13 and Fermilab's Integrated Quality Assurance.

Security and Site Access (DP14)

This policy is not normally applicable to FESS, and no implementation procedures are necessary.

Financial Management (DP15)

The FESS Budget Office is responsible for ensuring that all FESS accounts are accurate, up to date, and in accordance with accounting principles according to the FRA contract and accepted accounting standards.

Discretionary Funds (DP16)

Discretionary funds become available to FESS from time to time from FRA to support various non-contract events (e.g., Safety celebrations, etc.) Requests for discretionary funds will comply with all the requirements of DP16 and be approved by the FESS Head.

Community Outreach (DP17)

FESS personnel are often called upon to interact with the public. All FESS employees will conduct their behavior toward the public in ways that further the positive relationship between Fermilab and surrounding communities.

Construction/Modification (DP18)

The FESS Engineering Head shall be responsible for carrying out FESS responsibilities under DP18, and that FESS reviews of construction projects subject to this DP comply with the standards therein. Results of DP18 reviews conducted by FESS shall be reported to the Associate Director for Operations Support by the Head of FESS Engineering.

Training (DP19)

All FESS Department Heads shall ensure that each of their employees has an Individual Training Needs Assessment (ITNA), and that it is reviewed at least annually, or whenever the employee's job classification changes substantially, Department Heads shall ensure that training prescribed in ITNAs is taken and documented in TRAIN. Department Heads are expected to provide support for training that significantly advances employees' abilities to perform well in their jobs, above and beyond ITNA requirements as budget and resources allow. Employees are responsible for communicating their training needs to supervisors.

Self Assessments (DP20)

FESS Department Heads are responsible for conducting self-assessments of applicable activities and processes. The object of self-assessments will be to ensure that FESS activities are compliant with our own procedures and all applicable FRA contractual requirements including laws, regulations, and Director's Policies.

Periodic Review meetings shall be conducted throughout the year by each FESS Department for FESS upper management and representatives of the other FESS Departments. The Review meetings combined with the daily FESS management/department meetings serve as a forum to discuss Department program challenges, accomplishments, safety issues, and assessment findings, and to collaborate on inter-dependent issues.

The FESS SSO and EO shall be responsible for establishing a schedule of management walk-throughs of all FESS spaces and shall include representatives from FESS Management, the Fermilab Directorate, and the DOE-FSO.

All self-assessments conducted within FESS shall be documented and tracked as necessary, either in ESHTRK or in an alternate database.

Computing (DP21)

FESS Department Heads shall ensure that all employees follow the Fermilab Computing Policy, which can be found at <http://security.fnal.gov/Policies>.

The Head of the FESS Site Services Department shall be responsible for ensuring that FESS Information Technology group provides computing support as resources allow. The FESS IT group also maintains liaison with the Computing Division.

Fermilab Scientific Appointments (DP22)

This policy is not normally applicable to FESS, and no implementation procedures are necessary.

Public Affairs (DP23)

All official contacts with the public by FESS personnel shall be coordinated with the Office of Communications. FESS personnel shall observe the principles of DP23 whenever interacting in an official capacity with members of the public.

Freedom of Information Act Requests (DP24)

This policy is not normally applicable to FESS, and no implementation procedures are necessary.

Smoking (DP25)

All FESS employees are responsible for compliance with the Laboratory policy on smoking.

Substance Abuse (DP26)

All FESS employees are responsible for compliance with the Laboratory policy on substance abuse.

Sexual Harassment (DP27)

It is the responsibility of all FESS management and employees to ensure that the workplace is free from any and all forms of harassment. Supervisors and managers in FESS are required to complete Fermilab course # FN000312/CR "Sexual Harassment Training for FNAL Managers and Supervisors".

Emeritus Status (DP28)

This policy is not normally applicable to FESS, and no implementation procedures are necessary.

Guest Appointments (DP29)

This policy is not normally applicable to FESS, and no implementation procedures are necessary.

Ozone Depleting Substances (DP30)

FESS Department Heads are responsible for reviewing any work within their organizations that involves ODS. Wherever practicable, non-ODS alternatives should be chosen. The FESS EO shall be available for consultation on finding alternatives as needed.

The Fermilab Refrigeration Manager shall be appointed by the FESS Head, and is responsible for implementing applicable requirements of Title VI of the Clean Air Act (Stratospheric Ozone Protection).

Demonstrations (DP31)

This policy is not normally applicable to FESS, and no implementation procedures are necessary.

Honoraria (DP32)

This policy is not normally applicable to FESS, and no implementation procedures are necessary.

Interactions with Legislators (DP33)

This policy is not normally applicable to FESS, and no implementation procedures are necessary.

Loaning Tools (DP34)

All FESS employees will ensure that the appropriate procedures and forms are used whenever such loans are deemed necessary.

Foreign Travel Approval (DP 35)

The FESS Administration is responsible for processing all foreign travel requests from FESS employees according to this Director's Policy and DOE guidance, utilizing the Fermilab Foreign Travel Management System.

Facility Reuse Program (DP36)

The FESS Head shall appoint a Real Property Manager, who is responsible for maintaining DOE's FIMS database for all Fermilab facilities. The Real Property Manager shall update the FIMS database whenever the Fermilab Capital Asset Manager takes any action to change property disposition.

The disposition of excess real property under the custody of FESS is the responsibility of the FESS Head.

Code of Conduct (DP37)

It is the responsibility of every FESS employee to conduct him/herself according to the guidelines contained in this policy. Department Heads and Supervisors should review these guidelines with their employees.

Personally Identifiable Information (DP38)

All FESS personnel with access to Personally Identifiable Information are responsible for following the requirements of DP38.

Assurance Program (DP39)

The FESS Head shall appoint a lead to be responsible for complying with all assurance programs, i.e., Quality Assurance and Contractor Assurance. The lead will serve as a liaison to the Office of Quality and Best Practice (OQBP). The FESS Head shall also serve as the FESS representative on the Fermilab Assurance Council.

Inclement Weather and Snow Policy (DP40)

If inclement weather forces the Laboratory to close, the FESS Head will consult with FESS Department Heads to determine whether/which FESS personnel are to be declared "essential" in the meaning of DP40. The FESS Head will notify the Directorate of essential personnel during such periods.

Fermilab Employee Assignments to non-US Institutions while Awaiting Visa Renewals (DP41)

This policy is not normally applicable to FESS, and no implementation procedures are necessary.

Revision History

Revision No.	Revision Date	Revision Title	Approved
1	May 10, 2011	Remove COO Approval line	