

SAFETY, HEALTH AND ENVIRONMENTAL MANAGEMENT SYSTEM OPERATING PROCEDURE

Objectives, Targets, and Programs

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ATTACHMENTS: None

A. PURPOSE AND APPLICABILITY

The purpose of this Operating Procedure (OP) is to establish a uniform process for identifying objectives and targets to fulfill the Region's commitments established in its Health & Safety and Sustainability Policy statements, for mitigating unacceptable risks, and for achieving a desired level of performance relevant to the significance of environmental aspect impacts that result from the Region's activities, products, and services (*e.g.*, processes, jobs, or tasks), as identified using SHMS 1006.7210.01 and EMS 1006.7210.01. Further, this OP establishes a uniform process for developing and maintaining management programs (MPs) to achieve the Region's Health & Safety and Environmental objectives and targets.

The Region's processes tend to be relatively stable and change slowly over time; thus, the hazards, risks, and significant aspects, along with their mapping to existing MPs, is also fairly stable. This means they will typically carry over from one Safety & Health Management System (SHMS) and Environmental Management System (EMS) cycle to the next with emphasis placed on developing new objectives to achieve higher levels of performance within existing programs rather than creating new programs. New MPs will typically be developed if a hazard emerges, the level of risk associated with a particular hazard changes, a new significant aspect emerges, and/or the desired levels of performance cannot be met through an existing program.

This OP applies to all risks within the stated scope of EPA Region 7 SHMS and EMS.

B. DEFINITIONS

All definitions may be found in the document titled *US Environmental Protection Agency Region 7 Safety, Health, & Environmental Management System Terms and Definitions* contained in the SHMS Manual. For the purposes of this OP, the following terms apply:

- Activity, Product, or Service
- Continual Improvement
- Document
- Environmental Aspect
- Environmental Impact
- Hazard
- Interested Party
- Legal and Other Requirements
- Management Program
- Objective
- Operational Controls
- Record
- Regional Safety & Health Manager (RSHM)
- Risk
- Safety & Health Committee
- Safety & Health Management Policy
- Senior Management
- Target

C. PROCEDURAL STEPS

Objectives

1. The SHMS Coordinator or EMS Coordinator will consult with the Regional Safety & Health

Manager (RSHM – SHMS only), Associate SHMS or EMS Coordinator, MP Leads, and others (as appropriate), to develop a list of objectives and targets to achieve a specific level of health & safety or environmental performance associated with the Region’s activities, products, and services (*e.g.*, processes). With regards to the EMS, each significant aspect must have at least one objective and each objective must have at least one target associated with it.

- a. In establishing the objectives the Coordinators will ensure they are measureable (where practicable) and consistent with the principles and commitments of the Region’s Safety & Health Management and Sustainability Polies (SHMS 1006.9010.01 & EMS 1006.9010.01). In addition, the Coordinators shall ensure that the following are considered:
 - (1) Applicability of legal and other requirements identified using SHEMS 1006.7210.04;
 - (2) Agency-wide objectives passed down from HQ EPA;
 - (3) Potential effects achieving the objective may have on other Region processes;
 - (4) Views of interested parties;
 - (5) Applicability of technological options and their feasibility;
 - (6) Financial, operational, and organizational considerations including information from suppliers and contractors;
 - (7) Potential effects on the Region’s public image;
 - (8) Findings from previous compliance/conformance audits and reviews; and
 - (9) Goals established within other Region 7 programs (*i.e.*, the Region 7 Strategic Priorities).
- a. In establishing the target(s) for the objective(s), the Coordinators will ensure they are:
 - (1) Specific
 - (2) Measurable
 - (3) Achievable
 - (4) Realistic
 - (5) Time-bound
2. The list of objectives and targets will first be reviewed and approved by the RSHM and the Region’s Safety & Health Committee (SHC - SHMS) or the EMS Sustainment Team (EMS) and the Designated Safety, Health & Environmental Management Official (DSHEMO) before being forwarded to the Region’s Senior Management for their consideration and approval. The Senior Management may direct changes to some or all of the objectives and targets, taking into consideration the items listed in Paragraph 1 above, as long as those changes do not violate the legal and other requirements that are applicable to the Region’s activities or the Region’s policy statements.
3. If changes to the list of objectives and targets are directed by Senior Management the list will be sent to the appropriate Coordinator for action. Once the changes have been made the list will again be made available to Senior Management for review and approval.
4. The approved lists of objectives and targets, a SHMS or EMS Document, are provided to the RSHM and MP Leads, as appropriate, for implementation.
5. The Coordinators will work with the RSHM and MP Leads, as appropriate, and then notify the

DESHMO and Senior Management prior to making substantial changes to the list of objectives and targets. Substantial changes include the creation or deletion of objectives and targets, but do not generally include changing completion dates. Completion dates established for objectives and targets are established as a “best guess” based on the assumed availability of resources and may be adjusted by consultation between the Coordinators, the RSHM, and MP Leads to account for changing circumstances.

Management Programs

1. As noted above in Paragraph A, MPs are created to achieve the Region’s safety & health and environmental/sustainability objectives. If it is determined that a new MP is needed, the Coordinator will create the appropriate program folders on the network in accordance with the most current version of SHEMS 1006.7210.02, *Document Control*, and work with the Associate Coordinator to identify the Program Lead and train them on their roles and responsibilities including creation of the MP Form as outlined below.
2. The SHMS Coordinator, RSHM, and MP Lead will develop the MP form by completing the Management Program Form Template (SHMS 1006.2500.00). This form is a tool used to identify the key parameters of the program and monitor progress toward completing the program’s objectives (Note: Completed templates are Documents). The Management Program Form is completed as follows:
 - a. Complete the Administrative Data Fields (A, B, C, and D) of the Template.
 - (1) Enter the title of the program in the block at the top of the form.
 - (2) In Field A insert the name(s) of the significant environmental aspect(s) or hazards/risks for which the program is being developed.
 - (3) In Field B insert the appropriate document control code in accordance with the most current version of SHEMS 1006.7210.02. Do not include the version number portion of the code.
 - (4) In Field C insert the date the form is completed. This is also the date used in the top right corner of the document. Updates to information on the form are indicated by changing the date in Field C. If an update to the form is considered significant enough by the Program Lead to warrant updating the version number of the form, then the date in the top right corner would also be updated.
 - (5) In Field D insert the name, organization, and phone number of the person with overall responsibility for the program.
 - b. Complete the Basis for Management Program Development Fields (1, 2, 3, and 4) of the Template.
 - (1) In Field 1 list the objective(s) that are to be met through the program.
 - (2) In Field 2 list the target(s) that are to be met through completion of the program, the corresponding performance indicators that will be used to assess progress toward completing the program, the record(s)/document(s) associated with the performance indicator, and the name of the person responsible for the record/document along with where the record/document will be maintained. When the target is completed, fill in the date.
NOTE: Targets are not required by OHSAS 18001 as they are by ISO 14001; however, Region 7 chooses to develop targets for its programmatic objectives in order to help create the performance requirements needed to achieve those objectives.

- (3) In Field 3 describe the conditions and/or impacts associated with the significant environmental aspects, or the hazards and risks, that are being avoided and/or mitigated by implementing the program.
- (4) In Field 4 list the specific legal and other requirements that are to be met through the program.
- c. Complete the Management Program Description Fields (5, 6, and 7) of the Template.
 - (1) In Field 5 insert a general description of the management program designed to achieve the objective(s) and target(s).
 - (2) In Field 6 list the names and document control numbers associated with the operational controls already in place to maintain the compliance within the program.
 - (3) In Field 7 provide a description of the resource requirement(s) (financial, personnel support, equipment, etc.) above and beyond normal staff time that are needed to achieve the objectives and targets and their estimated costs.
- d. Complete the Task Description and Remarks Fields (8 and 9) of the Template.
 - (1) In Field 8 insert a list of the key tasks, paired to a corresponding target, that are required to complete the target, the schedule for the tasks, and the individuals (name or title) responsible for them. Fill in the date completed column when the task is completed.
 - (2) In Field 9 provide any additional information relative to the completion of the MP such as reasons for updating the form, difficulties/successes, and other notes.
3. Achieving the objectives, along with the completion of all tasks and maintaining and updating the MP form, is the responsibility of the Program Lead with assistance, as needed, from the SHMS or EMS Coordinator.
 - a. Progress towards completing the activities and achieving the objectives and targets should be annotated in the remarks section of the MP form (Field 9) in accordance with the most current version of SHEMS 1006.7210.11, *Monitoring and Measurement*.

D. RECORDS MANAGEMENT

This OP may result in the generation of SHMS and EMS records. Any records created will be managed in accordance with the most current versions of SHEMS 1006.7210.02, *Document Control* and SHEMS 1006.7210.17, *Records Management*.

E. QUALITY ASSURANCE AND QUALITY CONTROL

The quality assurance and quality control (QA/QC) success of the objective and target identification process, as detailed in this OP, will be determined through the internal and external SHMS conformance audit processes. Deficiencies noted during these audits will be managed through the Region's Corrective/Preventive Action Process as defined in the current version of SHEMS 1006.7210.12.

F. REFERENCES

Current versions of the following references are assumed if no date is provided.

1. OHSAS 18001:2007; *Occupational Health and Safety Management Systems – Requirements*; July 2007
2. US EPA R7, *US Environmental Protection Agency Region 7 Safety, Health, & Environmental*

Management System Terms and Definitions, SHEMS 1006.9000.02

3. US EPA R7, *Document Control*, SHEMS 1006.7210.02
4. US EPA R7, *Monitoring and Measurement*, SHEMS 1006.7210.11
5. US EPA R7, *Corrective/Preventive Action Process*, SHEMS 1006.7210.12
6. US EPA R7, *Records Management*, SHEMS 1006.7210.17
7. US EPA R7, *Management Program Form Template*, SHEMS 1006.2500.00