

**U.S. Department of Energy**  
**Washington, D.C.**

**ORDER**

DOE O 210.1

Approved: 09-27-95  
Sunset Review: 09-27-97  
Change 1: 10-26-95  
Change 2: 05-01-96

**SUBJECT: PERFORMANCE INDICATORS AND ANALYSIS OF OPERATIONS  
INFORMATION**

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1. **OBJECTIVES.** To identify, monitor, and analyze data that measures the Environment, Safety and Health (ES&H) performance of facilities, programs, and organizations. These data are to be used to demonstrate improving or deteriorating performance relative to identified goals and, in conjunction with a program to analyze and correlate data, as a means to suggest further improvement through the identification of good practices and lessons learned.
2. **CANCELLATION.** Cancellation of an Order does not, by itself, modify or otherwise affect any contractual obligation to comply with such an Order. Canceled Orders that are incorporated by reference in a contract shall remain in effect until the contract is modified to delete the reference to the requirements in the canceled Orders. The following Order has been canceled by this Order: DOE 5480.26, TRENDING AND ANALYSIS OF OPERATIONS INFORMATION USING PERFORMANCE INDICATORS, of 1-15-93.
3. **APPLICABILITY.**
  - a. **DOE Elements.** Except for the exclusion in paragraph c, this Order applies to all DOE elements.
  - b. **Contractors.** The attached Contractor Requirements Document (CRD) sets forth requirements that are to be applied to contractors awarded contracts for the operation and management of DOE-owned and leased facilities. Contractor compliance with the CRD will be required to the extent set forth in the contract. Contractors shall be directed to continue to comply with the requirements of the Order canceled by this Order until their contracts are modified to delete the reference to the requirements of the canceled Order.
  - c. **Exclusions.** Activities conducted under the authority of the Director, Naval Nuclear Propulsion Program, as described in Public Law 98-525 are exempt from the provisions of this Order.
4. **REQUIREMENTS.** All DOE Elements shall do the following:
  - a. Establish a program that identifies, gathers, verifies, analyzes, trends, disseminates, and makes use of ES&H performance indicators to improve the performance of DOE facilities, programs, and organizations.

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Distribution:  
All Departmental Elements

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Initiated By:  
Office of Environment, Safety  
and Health

- b. Gather, verify, analyze, trend, and disseminate ES&H performance indicator data, including narrative data, which can help assess performance; where appropriate, perform root cause analyses.
- c. Implement feedback mechanisms for identification and communication of ES&H good practices, lessons learned, and corrective actions.
- d. Maintain a management information system containing appropriate ES&H performance indicator data for historical reference.
- e. Periodically assess ES&H performance indicator programs to verify that indicators are accurately measuring performance and are resulting in improved performance.

5. RESPONSIBILITIES.

- a. DOE shall use analytical ES&H data to base decisions, establish goals, identify performance trends, provide early identification of potential problems, and apply lessons learned and good practices.
- b. DOE shall develop incentives to encourage contractors in the achievement of desired levels of ES&H performance in critical areas through the use of ES&H performance indicators.
- c. Field Elements are responsible for determining whether adequate protection can most effectively be achieved by continuing to operate under the terms of existing contracts requiring compliance with old Orders or by modifying the contract to incorporate the requirements of revised Orders.
- d. Field Elements are responsible for determining that implementation of new rule or Order requirements will provide adequate protection prior to requesting contract modification to drop old Order requirements from the contract.

6. REFERENCE. TRADE publication "How to Measure Performance: A Handbook of Techniques and Tools" is available electronically through the PBB SIG Home Page at the following address: <http://www.llnl.gov/PBM/handbook> (case sensitive). A hard copy may be obtained by contacting Lawrence Livermore National Laboratory on (510) 423-3710. This handbook provides non-mandatory supplemental information which may be used to fulfill the requirements of this Order.

7. CONTACT. Office of Operating Experience Analysis and Feedback (EH-33), (301) 903-8371.

BY ORDER OF THE SECRETARY OF ENERGY:



ARCHER L. DURHAM  
Assistant Secretary for  
Human Resources and Administration

## **CONTRACTOR REQUIREMENTS DOCUMENT**

### **PERFORMANCE INDICATORS AND ANALYSIS OF OPERATIONS INFORMATION**

In the performance of this contract, the contractor shall identify, monitor, and analyze data that measure the Environment, Safety and Health (ES&H) performance of facilities, programs, and organizations. These data are to be used to demonstrate improving or deteriorating performance relative to identified goals and in conjunction with a program to analyze and correlate data, as a means to suggest further improvement through the identification of good practices and lessons learned.

The contractor shall do the following:

1. Establish a program that identifies, gathers, verifies, analyzes, trends, disseminates, and makes use of ES&H performance indicators to improve the performance of DOE facilities, programs, and organizations.
2. Gather, verify, analyze, trend, and disseminate ES&H performance indicator data, including narrative data, which can help assess performance; where appropriate, perform root cause analyses.
3. Use analytical ES&H data to base decisions, establish goals, identify performance trends, provide early identification of potential problems, and apply lessons learned and good practices.
4. Implement a feedback mechanism for the identification and communication of ES&H lessons learned, good practices, and corrective actions.
5. Maintain a management information system containing appropriate ES&H performance indicator data for historical reference.
6. Periodically assess ES&H performance indicator programs to verify that indicators are accurately measuring performance and are resulting in improvements to performance.
7. Prepare and submit an implementation plan to the approving organization within 180 days of the effective date of this Order, unless an extension is granted. If the contract between the DOE and the contractor contains agreed upon requirements for performance indicators/measures, then the implementation plan requirement is fulfilled and an implementation plan is not required.

The contractor shall direct compliance with these requirements to the extent incorporated into contract.