

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

ORDER

DOE O 231.1 Chg 2

Approved: 09-30-95

Review: 09-30-97

SUBJECT: ENVIRONMENT, SAFETY AND HEALTH REPORTING

Chg 2: 11-07-96

1. OBJECTIVE. To ensure collection and reporting of information on environment, safety and health that is required by law or regulation to be collected, or that is essential for evaluating Department of Energy (DOE) operations and identifying opportunities for improvement needed for planning purposes within the DOE.
2. CANCELLATIONS. The Orders or paragraphs of Orders listed below are canceled. Cancellation of an Order or paragraphs of Orders does not, by itself, modify or otherwise affect any contractual obligation to comply with such an Order or paragraphs of Orders. Canceled Orders or paragraphs of Orders incorporated by reference into a contract shall remain in effect until the contract is modified to delete the reference to the requirements in the canceled Orders.
 - a. Chapter II; paragraph 2d, and the second sentence of paragraph 3(b) of Chapter III; and paragraph 10 (c) of Chapter IV of DOE 5400.1 of 11-9-88.
 - b. Paragraphs 5a(2) and 5a(7) of DOE 5400.2A, ENVIRONMENTAL COMPLIANCE ISSUE COORDINATION, of 1-31-89.
 - c. Paragraph 1a(3)(a) of Chapter II of DOE 5400.5, RADIATION PROTECTION OF THE PUBLIC AND THE ENVIRONMENT, of 2-8-90.
 - d. Paragraphs 5b(1) and 6a(23) of DOE 5440.1E, NATIONAL ENVIRONMENTAL POLICY ACT COMPLIANCE PROGRAM, of 11-10-92.
 - e. Paragraph 9e of DOE 5480.3, SAFETY REQUIREMENTS FOR THE PACKAGING AND TRANSPORTATION OF HAZARDOUS MATERIALS, HAZARDOUS SUBSTANCES AND HAZARDOUS WASTES, of 7-9-85.
 - f. Paragraph 6a(4) of DOE 5480.26, TRENDING AND ANALYSIS OF OPERATIONS INFORMATION USING PERFORMANCE INDICATORS, of 1-15-93.
 - g. Paragraphs 2a, 2b, and 2c of Chapter III of DOE 5483.1A, OCCUPATIONAL SAFETY AND HEALTH PROGRAM FOR DOE CONTRACTOR EMPLOYEES AT GOVERNMENT-OWNED CONTRACTOR-OPERATED FACILITIES, of 6-22-83.
 - h. Paragraph 1e of Chapter II and Chapters III, IV, and V of DOE 5484.1, ENVIRONMENTAL PROTECTION, SAFETY, AND HEALTH PROTECTION INFORMATION REPORTING REQUIREMENTS, of 2-24-81.
 - i. Paragraphs 7c(6), 7c(7)(a), 7c(8)(a), and 7g(8)(f) of DOE 5630.12A, SAFEGUARDS AND SECURITY INSPECTION AND ASSESSMENT PROGRAM, of 6-23-92.

Vertical line denotes change.

Distribution:
All Departmental Elements

Initiated by:
Office of Environment, Safety
and Health

3. APPLICABILITY.

- a. DOE Elements. Except for the exclusions in paragraph 3c, below, this Order applies to all DOE elements.
- b. Contractors. Except for exclusions in paragraph 3c, below, the Contractor Requirements Document (CRD), Attachment 1, sets forth requirements to be applied to contractors awarded contracts for performing work for DOE on 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 Orders canceled by this Order until their contracts are modified to delete the reference to the requirements of the canceled Orders or paragraphs of Orders.
- c. Exclusions.
 - (1) Activities conducted under the authority of the Director, Naval Nuclear Propulsion Program, as described in Public Law 98-525, with the exception of reporting required by Title 29, Code of Regulation (CFR), 1960.
 - (2) Occurrence reporting activities covered in DOE O 232.1, OCCURRENCE REPORTING AND PROCESSING OF OPERATIONS INFORMATION, of 9-25-95.

- 4. REQUIREMENTS. The reports listed under Responsibilities and in the CRD shall be submitted in accordance with DOE M 231.1-1, ENVIRONMENT, SAFETY, AND HEALTH REPORTING MANUAL, of 9-30-95, which specifies in detail the reports that shall be filed, the persons or organizations responsible for filing the reports, the recipients of the reports, the format in which the reports shall be prepared, and the time schedules on which the reports shall be filed. The DOE M 231.1-1 is a mandatory part of this Order. Procedures, protocols, or other methods shall be developed on a site-wide or facility basis to meet the reporting requirements contained in this Order and DOE M 231.1-1.

5. RESPONSIBILITIES.

- a. Heads of DOE Elements shall meet the reporting requirements in DOE M 231.1-1, Chapters II and III.
 - (1) Report work-related fatalities, injuries, and illnesses occurring among DOE and contractor employees arising out of work primarily performed at DOE-owned or -leased facilities in accordance with DOE M 231.1-1, Chapter II, paragraph 2a.

(For additional information regarding occupational safety and health (OSH) programs, see DOE O 440.1, WORKER PROTECTION MANAGEMENT FOR DOE FEDERAL AND CONTRACTOR EMPLOYEES, of 9-30-95; 29 CFR 1904, and 29 CFR 1960.)

- (2) Report work-related damage or loss of property and vehicles in accordance with DOE M 231.1-1, Chapter II, paragraph 2c. Estimated loss or damage to DOE property or other property amounting to \$5,000 or more, or estimated costs of \$5,000 or more for cleaning (including decontamination), renovating, replacing, or rehabilitating structures, equipment, or property. Estimated damage of \$1,000 or more that involves Government-owned, -rented, or -leased vehicles or privately owned vehicles operated while on official business, shall be considered a "recordable case" and shall be reported. Excluded are commercial rental motor vehicles and private motor vehicles used for short periods of time (1 to 14 days) by employees on official travel status, and on which mileage records are not kept. The effective date of the revised reporting threshold for property and vehicle damages in this paragraph is 1-1-96. Prior to that date, the thresholds for reporting property and vehicle damages are to remain at \$1,000 and \$500, respectively, in order to ensure a uniform reporting basis within each year.
- (3) Report work-hours and vehicle usage in accordance with DOE M 231.1-1, Chapter II, paragraph 2f; include total quarterly work-hours and vehicle usage, on a calendar year basis, for use in normalizing DOE accident statistics.
- (4) Report DOE annual estimated property valuation in accordance with DOE M 231.1-1, Chapter II, paragraph 2g; include annual (on a calendar year basis) estimates of property valuation by organization for use in normalizing DOE accident statistics.
- (5) Report interim exposure data reporting in accordance with DOE M 231.1-1, Chapter III, paragraphs 1 and 3. (For additional information, see 10 CFR 835, "Occupational Radiation Protection.") Report work-related ionizing radiation exposure data pertaining to an individual who visits a DOE or DOE contractor site or facility to the Radiation Records Repository, to the individual's employer, and to that individual.
- (6) Report annual exposure data in accordance with DOE M 231.1-1, Chapter III, paragraphs 2 and 3. (For additional information, see 10 CFR 835, "Occupational Radiation Protection.") DOE facility directors shall report ionizing radiation exposure data summaries to the Radiation Records Repository for each monitored person-.

- (7) Submit radiological exposure reports to individuals in accordance with DOE M 231.1-1, Chapter III, paragraph 4. (For additional information, see 10 CFR 835, "Occupational Radiation Protection.") Radiological exposure data pertaining to a visit to a DOE or DOE contractor site by an individual shall be provided as a report to that individual.
- (8) Submit Annual Summary of Fire Damage in accordance with DOE M 231.1-1, Chapter II, paragraph 3. (For additional information, see DOE O 420.1, "FACILITY SAFETY, of 9-30-95.") Submit an annual report of fire damage to the DOE fire protection authority having jurisdiction by 3-31 of the following calendar year.
- (9) Submit epidemiologic analyses -- Excess Injuries and Illnesses in accordance with DOE M 231.1-1, Chapter II, paragraph 4. Notify the Assistant Secretary for Environment, Safety and Health of suspected excesses of illnesses or injuries that require epidemiologic analyses to determine if the excesses are work related.
- (10) Submit OSH information in support of epidemiological studies conducted by external organizations in accordance with DOE M 231.1-1, Chapter II, paragraph 5. Submit OSH information, upon request, to Centers for Disease Control officials, state health officials, their contractors, and grantees conducting epidemiological studies.

b. Cognizant Secretarial Officers.

- (1) National Environmental Policy Act Reporting In Accordance With DOE M 231.1-1, Chapter I, paragraph 2. (For additional information, see DOE O 451.1, "NATIONAL ENVIRONMENTAL POLICY ACT COMPLIANCE PROGRAM, of 9-11-95.") Each Secretarial Officer shall, for matters under the office's purview;
 - (a) Report annually on the progress made in implementing, and the effectiveness of, any commitment for environmental impact mitigation that is essential to render the impact of a proposed action not significant or that is made in a record of decision; and
 - (b) Prepare an annual National Environmental Policy Act planning summary
- (2) Safeguards and Security Vulnerability Reporting in accordance with DOE M 231.1-1, Chapter IV. (For additional information, see DOE 5634.1B, "FACILITY APPROVALS, SECURITY SURVEYS, AND NUCLEAR MATERIALS SURVEYS, of 9-15-92.") Upon receipt of a draft inspection report containing a "marginal" or "unsatisfactory" rating or other finding of noncompliance

with requirements or performance weakness, the lead cognizant secretarial officer shall report on corrective actions to the Under Secretary.

c. Assistant Secretary for Environment, Safety and Health

- (1) Annual Report to the Secretary of Energy in accordance with DOE M 231.1-1, Chapter II, paragraph 1. Prepare a report on the status and adequacy of DOE and contractor performance of their occupational safety and health responsibilities.
- (2) Periodic Summary of Accident Data in accordance with DOE M 231.1-1, Chapter II, paragraph 2h. Prepare a DOE-wide summary of accident data
- (3) Ionizing Radiation Exposure Information.
 - (a) Inform the cognizant Secretarial Officer when a Headquarters employee's occupational ionizing radiation exposure for a given period approaches 70% of an administrative or regulatory limit; and
 - (b) Approve the use of alternate media for submitting information to the Radiation Records Repository as required by this Order.
- (4) DOE ES&H Performance Indicator Report in accordance with DOE M 231.1-1, Chapter II, paragraph 6b. (For additional information, see DOE O 210.1, "PERFORMANCE INDICATORS AND ANALYSIS OF OPERATIONS INFORMATION, of 9-27-95.") Prepare a quarterly DOE Summary Performance Indicator report.

d. Heads of Field Elements (Managers and Directors).

- (1) National Environmental Policy Act Reporting in accordance with DOE M 231.1-1, Chapter I, paragraph 2. (See DOE O 451.1, "NATIONAL ENVIRONMENTAL POLICY ACT COMPLIANCE PROGRAM.") Heads of a Field Organization shall, formatters under their Offices' purview:
 - (a) Report annually on the progress made in implementing, and the effectiveness of, any commitment for environmental impact mitigation that is essential to render the impact of a proposed action not significant or that is made in a record of decision; and
 - (b) Prepare an annual National Environmental Policy Act planning summary.

- (2) Annual Site Environmental Reports in accordance with DOE M 231.1-1, Chapter I, paragraph 1. Field element managers and directors shall prepare, on an annual basis, a summary of environmental data so as to characterize site environmental management performance.
- e. Assistant Secretary for Human Resources and Administration in accordance with DOE M 231.1-1, Chapter II, paragraph 2a. Reports required by this Order which relate to work-related injuries, illnesses, property damage, vehicle damage, work-hours and vehicle usage involving DOE Headquarters employees are to be prepared and submitted by the Office of the Assistant Secretary for Human Resources and Administration.
6. REFERENCES. The following references describe additional sources of information that may assist in the implementation of this Order.
- a. DOE 1324.5B, RECORDS MANAGEMENT PROGRAM, of 1-12-95, establishes the DOE records management policy and program for managing records.
- b. Title 29 CFR 1904, "Recording and Reporting Occupational Injuries and Illnesses," provides Occupational Safety and Health Administration standards for recording and reporting occupational injuries and illnesses.
- c. Title 29 CFR 1960, "Basic Program Elements for Federal Employee Occupational Safety and Health Programs and Related Matters," Subpart I, "Recordkeeping and Reporting Requirements," provides Occupational Safety and Health Standards for recording and reporting Federal employee occupational injuries and illnesses.
- d. DOE 5700.2D, COST ESTIMATING, ANALYSIS AND STANDARDIZATION, of 6-12-92, establishes policy and responsibilities for developing, reviewing, and preparing cost estimates; standardizing cost estimating procedures; and improving cost estimating and analytical techniques, cost data bases, cost and economic escalation models, and cost estimating systems.
7. CONTRACT. 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
ENVIRONMENT, SAFETY AND HEALTH REPORTING

In the performance of this contract, the contractor is required to ensure that essential environment, safety and health information which is reliable and comprehensive is collected and made available efficiently to requesting organizations.

The reports listed below shall be filed in accordance with DOE M 231.1-1, ENVIRONMENT, SAFETY, AND HEALTH REPORTING MANUAL, which specifies in detail the reports that shall be filed, the persons or organizations responsible for filing the reports, the recipients of the reports, the format in which the reports shall be prepared, and the time schedules on which the reports shall be filed. DOE M 231.1-1, is a mandatory part of this Contractor Requirements Document. Procedures, protocols, or other methods shall be developed on a site-wide or facility basis to meet the reporting requirements contained in this Contractor Requirements Document and DOE M 231.1-1.

1. Work-Related Fatalities, Injuries, and Illnesses DOE and Contractor Employee Occupational Safety and Health (OSH) Programs in accordance with DOE M 231.1-1, Chapter II, paragraph 2b. (For additional information see DOE O 440.1, WORKER PROTECTION MANAGEMENT FOR DOE FEDERAL AND CONTRACTOR EMPLOYEES, of 9-30-95 and Title 29, Code of Federal Regulations (CFR), Part 1904.)
 - a. Report recordable occupational fatalities, injuries, and illnesses occurring among contractor employees arising out of work primarily performed at DOE-owned or -leased facilities in accordance with DOE M 231.1-1, Chapter II, paragraph 2b.
 - b. Report occupational fatalities, injuries, and illnesses occurring among subcontractors arising out of DOE work-related activities in accordance with DOE M 231.1-1, Chapter II, paragraph 2d.
2. Work-Related Damage or Loss of Property and Vehicles in accordance with DOE M 231.1-1, Chapter II, paragraph 2c. Report estimated loss or damage to DOE property or other property amounting to \$5,000 or more, or estimated costs of \$5,000 or more for cleaning (including decontamination), renovating, replacing, or rehabilitating structures, equipment, or property. Estimated damage of \$1,000 or more that involves Government-owned, -rented, or -leased vehicles or privately owned vehicles operated while on official business, shall be considered a "recordable case" and shall be reported. Excluded are commercial rental motor vehicles and private motor vehicles used for short periods of time (1 to 14 days) by employees on official travel status, and on which mileage records are not kept. The effective date of the revised reporting threshold for property and vehicle damages in this paragraph is 1-1-96. Prior to that date, the thresholds for reporting property and vehicle damages are to remain at \$1,000 and \$500, respectively, to ensure a uniform reporting basis within each year.

Vertical line denotes change.

3. Work-Hours and Vehicle Usage in accordance with DOE M 231.1-1, Chapter II, paragraph 2f. Report quarterly (on a calendar year basis) total work-hours and vehicle usage by organization to provide data for normalizing DOE accident statistics.
4. DOE Annual Estimated Property Valuation in accordance with DOE M 231.1-1, Chapter II, paragraph 2g. Report annual (on a calendar year basis) estimates of property valuation by organization to provide data for normalizing DOE accident statistics.
5. Interim Exposure Data Reporting in accordance with DOE M 231.1-1, Chapter III, paragraphs 1 and 3. (For additional information see 10 CFR 835, "Occupational Radiation Protection.") Report work-related ionizing radiation exposure data pertaining to an individual who visits a DOE or DOE contractor site or facility to the Radiation Records Repository, to the individual's employer, and to that individual.
6. Annual Exposure Data Reporting in accordance with DOE M 231.1-1, Chapter III, paragraphs 2 and 3. (For additional information see 10 CFR 835, "Occupational Radiation Protection.") Report ionizing radiation exposure data summaries to the Radiation Records Repository for each monitored person.
7. Radiological Exposure Reports to Individuals in accordance with DOE M 231.1-1, Chapter III, paragraph 4. Radiological exposure data pertaining to a visit to a DOE or DOE contractor site by an individual shall be provided as a report to that individual.
8. Annual Summary of Fire Damage in accordance with DOE M 231.1-1, Chapter II, paragraph 3. (For more information see DOE O 420.1, "FACILITY SAFETY, of 9-30-95.") Annually report fire damage to the DOE fire protection authority having jurisdiction by March 31, of the following calendar year.
9. Epidemiologic Analyses -- Excess Injuries and Illnesses in accordance with DOE M 231.1-1, Chapter II, paragraph 4. Notify the Assistant Secretary for Environment, Safety and Health, through their field office, of suspected excesses of illnesses or injuries that require epidemiologic analyses to determine if the excesses are work related.
10. OSH Information in Support of Epidemiological Studies Conducted by External Organizations in accordance with DOE M 231.1-1, Chapter II, paragraph 5. OSH information, upon request, shall be provided to Centers for Disease Control officials and state health officials and their contractors and grantees conducting epidemiological studies.
11. Quarterly Performance Indicator Data in accordance with DOE M 231.1-1, Chapter II, paragraph 6. Report quarterly performance indicator data in support of the EH DOE Performance Indicator Program. (For additional information see DOE O 210.1, "PERFORMANCE INDICATORS AND ANALYSIS OF OPERATIONS INFORMATION, of 9-27-95.")
12. Annual Site Environmental Reports in accordance with DOE M 231.1-1, Chapter I, paragraph 1. Prepare on an annual basis a summary of environmental data to characterize site environmental management performance.

Vertical line denotes change.

DOE ORDERS
MANAGEMENT DIRECTIVES CONTROL SHEET

PART A

TO: Larry Skousen, Director, SD

DATE
11/02/95

FROM: Director, IMD

and DOE M-231.1-1, *Rev.*

NUMBER AND TITLE OF DIRECTIVE. DOE O 231.1, ENVIRONMENT, SAFETY, & HEALTH REPORTING, of 9-30-95

The attached directive, which is primarily within your area of functional responsibility, is forwarded for review and necessary action as circled below. Complete this form and return it with your comments to the Directives Management Center (DMC).

DATE DUE DMC
11/20/95

PART B

1. PROPOSED DOE DIRECTIVE. Prepare comments in accordance with instructions on the reverse of this form.

CONCUR, NO COMMENT ☐CONCUR, WITH COMMENT ☐NONCONCUR ☐

(2) NEW OR REVISED DOE DIRECTIVE. In coordination with the appropriate Contracting Officer(s)/Contracting Officer Representative(s), determine applicability to contractors and enter proposed statement of SCOPE in item 5 below.

a. NV Order implementation or revision of existing issuance is required. ☐b. NTS-SOP implementation or revision of existing issuance is required. ☐Target date for submission of draft(s) to IMD is:
or _____

(date)

c. No action necessary. ☐

IMPACT ON DOE/NV OPERATIONS.

NONE ☐SOME ☒SIGNIFICANT ☐

(4) SUMMARY OF POLICY OR PROCEDURAL CHANGES AND PROJECTED IMPACT ON DOE/NV OPERATIONS

Order establishes formal policy requirements for the CHARS data reporting. It now requires Federal programs to report using the CHARS system.

(5) a. SCOPE The order applies to DOE NV and will apply to contractors when the appropriate contract modifications have been made.

b. COMPLIANCE

EG&G

RAYTHEON

REEC

WSI

LLNL

LANL

SNL

OTHERS

(6) REMARKS Contract modification will be delayed until such time as all Contractor Requirement Documents are available and only one modification will have to be made.

(1) TITLE AND SIGNATURE

DATE

Director Safety Division

11/7/95

INSTRUCTIONS

PART A. To be completed by IMD. Self-explanatory.

PART B. Items circled to be completed by Principal Staff member with primary responsibility.

1. PROPOSED DOE DIRECTIVE. Check appropriate block. Submit comments and/or nonconcurrences typed on plain bond paper in the format shown below.
 - a. Group all comments under headings which identify them as "MAJOR ISSUES" or "SUGGESTED COMMENTS."
 - b. Precede each comment with an underlined reference to the appropriate page and paragraph from the directive.
 - c. Include recommended solutions to the problem identified by the comment when possible.

NOTE: The following should explain differences between "Major Issue" and "Suggested Comments."

MAJOR ISSUES. Those matters affecting efficiency, economy, mission accomplishment or other management concerns, and require a rationale for nonadoption. Nonconcurrences to Major Issues are reserved when a directive in whole or in part would have a serious adverse effect on mission accomplishment by the responding element or is directed to the entire concept of a directive.

SUGGESTED COMMENTS. Comments made in an effort to avoid an incorrect, unresponsive, or misleading statement, such as editorial comments, which would clarify the directive or provide constructive suggestions on improving its quality. Suggested Comments do not require a rationale for nonadoption, unless they are procedural or formatting requirements.

OPR COMMENT/CONCURRENCE FORMAT

The DOE Nevada Operations Office (concurs with comments as follows or nonconcur for the following reasons, whichever applies) with the draft DOE Order XXXX, Title.

MAJOR ISSUES:

Page 2, paragraph 3a.

SUGGESTED COMMENTS:

Page 1, paragraph 2b(3).

2. NEW OR REVISED DOE DIRECTIVE. Check appropriate block and, if appropriate, indicate a target date for the DOE/NV draft supplement to reach IMD.
3. IMPACT ON DOE/NV OPERATIONS. Check appropriate block. This item must be completed for both PROPOSED and NEW OR REVISED DOE DIRECTIVES.
4. SUMMARY OF POLICY OR PROCEDURAL CHANGES AND PROJECTED IMPACT ON DOE/NV OPERATIONS. Briefly summarize changes in policy or procedures and explain the project impact on DOE/NV operations. If there is no change, state this. This item must be completed for both PROPOSED and NEW OR REVISED DOE DIRECTIVES.
5. a. SCOPE. Enter SCOPE. Include applicability to DOE/NV organizations, contractors, associated agencies, and NTS users, for NEW OR REVISED DOE DIRECTIVES. The scope statement must address applicability organizationally rather than functionally. (See DOE and NV Orders 1321.1B, Chapter II, 10c.)
b. COMPLIANCE. Check appropriate blocks. Must be compatible with scope statement.
6. REMARKS. May be used for additional comments.
7. TITLE AND SIGNATURE--DATE. Self-explanatory.

M&O CONTRACTOR COMMENTS FORMAT

- a. DOE/NV. Field elements (IMD), utilizing the Directives Management Center (DMC), will transmit the draft DOE Order to M&O contractors for input and will provide an information copy to the DOE/NV OPR.
- b. M&O contractors will submit (fax OR mail) their concurrence/nonconcurrency and comments directly to the DOE/NV OPR.
- c. DOE/NV OPR. The DOE/NV OPR is responsible for:
 - (1) Consolidating the M&O contractor comments with theirs into one response and returning it to DMC.
 - (2) Notating on the contractor comment sheet if each comment was used or not.
 - (3) Notifying the M&O contractor, in writing, of any unadopted comments. A copy of notification to contractors (unadopted comments must be included in the OPR package when returned to DMC).
 - (4) Submitting the M&O contractor concurrence/nonconcurrency and comments in the OPR package when returned to DMC.
 - (5) Submitting consolidated comments in hard copy and on disk in WPS 1.