



Department of Energy

Washington, DC 20585

January 21, 2010

Mr. Francis Yebesi
Director
U.S. Department of Labor - OSHA
Directorate of Enforcement Programs
Office of Federal Agency Programs
Room N-3622
200 Constitution Avenue, N.W.
Washington, DC 20210

Dear Mr. Yebesi:

Thank you for your email message of August 19, 2009, to Designated Agency Safety and Health Officials requesting an annual report on each agency's Federal employee occupational safety and health program.

As the Department of Energy's (DOE) Designated Agency Safety and Health Officer, a single, consolidated response is being submitted for DOE on behalf of each Program Secretarial Office.

The attached report covers Fiscal Year 2009 as required by 29 Code of Federal Regulations 1960.71(a)(1) and it follows the format specified in the template furnished by your staff. As requested, this report has been formally submitted as an electronic copy in Microsoft Word format to ofap@dol.gov.

If you have any questions or need clarification, please contact me at (301) 903-3777 or your staff may contact Mr. Charles Lewis, Director, Corporate Safety Programs, at (301) 903-7755. Mr. Lewis will be contacting you to review our planned actions, and solicit your advice, as we continue to strive for excellence in occupational safety and health.

Sincerely

A handwritten signature in black ink, appearing to read "G. Podonsky", written over a horizontal line.

Glenn S. Podonsky
Chief Health, Safety and Security Officer
Office of Health, Safety and Security

Enclosure



Printed with soy ink on recycled paper



FY 2009 Department of Energy Annual Occupational Safety and Health Report for Federal Employees to the Secretary of Labor

U.S. Department of Energy
1000 Independence Avenue SW
Washington, DC 20585

Number of Federal civilian employees this report covers: 15,346

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EXECUTIVE SUMMARY

The Department of Energy's (DOE) mission is to ensure the nation's energy security; maintain the safety, security, and reliability of the nuclear weapons stockpile; develop innovations in science and technology; provide reliable, clean, and affordable energy; and clean up the environmental and radioactive legacy of the Cold War. Through its system of national laboratories, DOE is engaged in basic and applied research at the forefront of science. The Department's research into new and existing sources of energy promotes energy efficiency, while reducing climate change. Through extensive systems of transmission lines, DOE also delivers cost-effective electric energy to commercial and private customers.

Given this diverse set of missions, safety is a key element of everything DOE does. The safety of workers and the public, and the responsibility to safeguard our natural surroundings, are integral to management practices throughout DOE. The Fiscal Year (FY) 2009 Department of Energy Annual Occupational Safety and Health Report for Federal Employees to the Secretary of Labor provides an overview of DOE accident, injury, and illness data, as well as initiatives the Department is undertaking to continuously improve worker safety and health.

Statistics

In FY 2009, DOE continued to improve its safety and health performance. Since FY 2003, DOE has reduced overall Federal employee injury and illness case rates by 19 percent. The DOE Total Case Rate (TCR) is less than half that of the overall rate for the Federal Government and its Lost Time Case Rate (LTCR) is also less than half of the overall Government rate. The Department continues to set and strive for even more ambitious goals each year.

Injury and Illness Trends – In FY 2009, DOE had a total of 254 injury/illness cases, as compared with 432 cases in FY 2008. The TCR was 1.66, the lowest DOE TCR rate ever. DOE experienced 103 lost time cases, for a rate of 0.67. The LTCR has remained steady over the past 7 years. Many lost time injuries were strains or traumatic injuries associated with falls, materials handling, and slips and trips. Those organizations with the highest injury rates in prior years made the greatest progress in reducing injuries. For example, process improvements in physical training for DOE Federal protective force agents contributed to a 44 percent reduction in their injuries in FY 2009. Electrical workers at Western Area Power Administration (WAPA) saw this year's case rate reduced by 25 percent, thanks, in part, to workplace stretching programs and training in defensive driving and winter driving.

Lost production days increased in FY 2009 over the previous year, but were fewer than the number of FY 2006 and FY 2007 lost production days. Total workers' compensation chargeback cost was \$9,300,198 for the 2009 chargeback year. For cases first claimed in FY 2009, the chargeback cost was \$512,806.

Fatalities and Catastrophic Accidents—DOE experienced no fatalities among Federal employees and no catastrophic accidents.

Overseas Employees—DOE assigns a relatively small number of Federal and contractor employees overseas. For the most part, they work under the umbrella of the United Nations, the International Atomic Energy Agency, or the Department of State.

Occupational Safety and Health Initiatives

Safety, Health and Return-to-Employment (SHARE) Initiative—In FY 2009, DOE met three of its four SHARE goals: TCRs; timely filing of claims; and lost production days. DOE did not meet the SHARE goal for LTCRs, but maintained the same rate as prior years. These safety performance improvements have largely been achieved by focused efforts within those DOE organizations that have historically had the highest case rates. Over the past 3 years, these organizations have improved safety by evaluating hazards and improving hazard controls.

Motor Vehicle/Seat Belt Safety—Seven Federal employees suffered lost work days due to motor vehicle incidents during FY 2009. DOE promotes and requires the use of seat belts on its premises and by employees who are on Government business or drive Government vehicles.

Pandemic Flu Planning—DOE established the Biological Event Monitoring Team (BEMT) in 2006 to ensure Department readiness in the event of a pandemic or other biological threat. The BEMT developed a *Recommended Action Matrix* as the primary guidance document for pandemic planning. Individual sites have prepared Continuity of Operations Plans based on this matrix. Communication channels include training, announcements, and the DOE website.

Employee and Contractor Support—DOE provides Department-wide orientation and site-specific training and assistance to its Federal employees through mechanisms such as the Integrated Safety Management System (ISMS); Federal Employee Occupational Safety and Health (FEOSH) program; technical committees, programs, or other methods of addressing employee concerns; and assistance visits. Under Title 10, Code of Federal Regulations, Part 851, “*Worker Safety and Health Program*” (10 C.F.R. 851), DOE requires its contractors to have a DOE-approved, site-specific worker safety and health plan and pays for site-specific required training. Contractors attend DOE-sponsored courses, seminars, and workshops.

Accomplishments and Goals—DOE has been successful in controlling the highest hazards in its workplaces and is now increasing its attention on improving safety in more commonplace tasks, such as driving, materials handling, walking, and using computers. More than ever, employees are involved in workplace safety, including training, safety committees, workplace inspections, safety fairs, fitness activities, and communications. In 2007, DOE implemented ISMS for DOE Federal employees. The impact is now apparent, as each sub-organization begins to apply the guiding principles

to its workplaces. The Department's emphasis on evaluating trends and recommending corrective actions to improve safety is much more visible.

The Office of Secure Transportation, Bonneville Power Administration, and WAPA, the three DOE organizations which have historically had the highest injury and illness rates, achieved the greatest improvements during this fiscal year. The Department recognizes the challenge and need for action to sustain accomplishments and further improve safety performance. DOE has established the following three FEOSH program goals for FY 2010.

1. Improve motor vehicle safety awareness.
2. Reach out to Communities of Interest through collaborative electronic networks.
3. Enhance analysis capability and provide feedback for the FEOSH program.

DETAILED REPORT

The Department of Energy's (DOE) overarching mission is to advance the national, economic, and energy security of the United States; to promote scientific and technological innovation in support of that mission; to provide reliable, clean, and affordable energy; and to ensure the environmental cleanup of the national nuclear weapons complex.

A key strategy for DOE mission accomplishment is to conduct most of its operations through full-time, long-term contracts. In fact, although DOE has approximately 15,000 Federal employees subject to Occupational Safety and Health Administration (OSHA) requirements, it has over 110,000 contract employees, who are not covered by OSHA, working to fulfill its mission. Contractors operate most DOE facilities and provide technical, research, administrative, construction, maintenance, and emergency services. Most DOE contractor employees are subject to a comprehensive Worker Safety and Health Program via Federal regulation in Title 10, Code of Federal Regulations, Part 851, "*Worker Safety and Health Program*" (10 C.F.R. 851).

Major DOE organizational units are the National Nuclear Security Administration (NNSA), Office of the Under Secretary of Energy, Office of Science (SC), the Power Marketing Administrations (PMA), and Departmental staff and support offices. An organizational chart is included as Appendix I; a list of sub-agency contacts is provided in Appendix II.

NNSA is responsible for the management and security of the nation's nuclear weapons, nuclear non-proliferation, and naval reactor programs. NNSA also responds to nuclear and radiological emergencies in the United States and abroad. Additionally, NNSA Federal Agents in its Office of Secure Transportation (OST) provide safe and secure transportation of nuclear weapons and components and special nuclear materials, along with other missions supporting the national security. These Federal Agents are an elite security protective force that faces unique hazards similar to military concerns, rather than industrial operations. NNSA consists of over 2,000 Federal employees, of which approximately 700 are assigned to OST.

The Office of the Under Secretary of Energy manages multiple program offices that support the DOE core mission of national energy security. These program offices are Environmental Management (EM), Fossil Energy (FE), Legacy Management (LM), Nuclear Energy (NE), Civilian Radioactive Waste Management (RW), Electricity Delivery and Energy Reliability (OE), and Energy Efficiency and Renewable Energy (EERE). Approximately 2,300 Federal employees comprise this Office.

The Office of Science (SC) is the single largest supporter of basic research in the physical sciences in the United States. SC oversees, and is the principal Federal funding agency for, the nation's research programs in high-energy physics, nuclear physics, and fusion energy sciences. The organization oversees the construction and operation of some of the nation's most advanced research and development user facilities, including particle

and nuclear physics accelerators, synchrotron light sources, neutron scattering facilities, supercomputers, and high-speed computer networks. SC has more than 900 Federal employees and manages 10 of the nation's national laboratories.

The four PMAs market electricity. In addition, the Bonneville Power Administration (BPA) and Western Area Power Administration (WAPA) operate extensive electricity transmission systems. They maintain high-voltage transmission lines and right of ways, substations, and microwave towers. The PMAs have over 4,700 Federal employees, with nearly 3,000 in BPA and 1,500 in WAPA.

The Designated Agency Safety and Health Official (DASHO) is the Chief Health, Safety and Security Officer of the Department and reports directly to the Deputy Secretary. This role provides corporate-level leadership through the Office of Health, Safety and Security (HSS), including the Federal Employee Occupational Safety and Health (FEOSH) program. Included in the HSS responsibility for support and oversight are offices dedicated to worker health and safety, nuclear safety, corporate safety analysis, worker safety and health enforcement, independent oversight, and the National Training Center (NTC).

Staff offices at DOE Headquarters provide administrative, management, and oversight support to the DOE program offices and contractors to assist them in the successful accomplishment of their respective missions. Staff offices include the Office of Management (MA), HSS, Human Capital Management (HC), and various other offices, each reporting directly to the Deputy Secretary. MA provides facilities management support in the Headquarters offices. Approximately 5,800 employees are stationed at DOE Headquarters.

I. STATISTICS

A. Injury and Illness Statistics

a. Injury and Illness Rates

Since 2003, DOE has reduced overall Federal employee injury/illness case rates by 23 percent. This year's rate of 1.66 is the lowest rate that DOE has ever achieved. The data in the following table have been extracted from the OSHA website, except as footnoted.

Table 1.1. Injury and Illness Statistical Summary

	FY 2008	FY 2009	Change
Number of Federal Civilian Employees (includes full-time, part-time, seasonal, and intermittent workers)	14,755	15,346	+591
Total Cases Injury/Illness (number of injury/illness cases—no lost-time, first aid, lost-time, and fatalities)	432	254	-178
Total Case Rate (rate of all injury/illness cases per 100 employees)	2.93	1.66	-1.27
Lost Time Cases (number of cases that involved days away from work)	109	103	-6
Lost Time Case Rate (rate of only the injury/illness cases with days away from work per 100 employees)	0.74	0.67	-0.02
Lost Work Days ¹ (number of days away from work)	2,154	2,609	+455
Lost Work Day Rate (per 100 employees)	14.6	17.0	+2.4

Source: <http://www.osha.gov/dep/fap/fap-inj-ill-stats.html>

b. Facilities with High Injury and Illness Rates

Three DOE organizations sustained the highest injury and illness rates for the entire Department: OST and two PMAs, BPA and WAPA. The OST, BPA, and WAPA injuries most often were the result of field activities and were not associated with the facilities themselves.

Historically OST has had the highest injury rates in the Department. This year, Federal Agents in OST experienced a tremendous improvement over Fiscal Year (FY) 2008 rates, falling from 245 cases to 52 cases. Most of this

¹ Computed by multiplying the published lost work day rate by the number of employees, divided by 100.

improvement was because 149 cases in FY 2008 were caused by a single contagious disease outbreak. Excluding the claims associated with the FY 2008 disease outbreak, OST Federal Agents achieved an injury rate reduction of 44 percent in FY 2009. In FY 2008, OST had 97 injury claims; in FY 2007, there were 110. This year's cases produced a rate of 7.76, compared with a Total Case Rate (TCR) of 37.97 in FY 2008 and 19.54 in FY 2007. Lost time cases decreased from 21 cases in FY 2008 to 15 cases in FY 2009, with a corresponding Lost Time Case Rate (LTCR) of 2.24, a reduction from the FY 2008 rate of 3.25. Initiatives begun in FY 2008 are showing significant results in FY 2009, with fewer injuries and illnesses. In 2009, HSS and OST studies of the OST injuries showed that the major causes of injuries were physical and tactical training, motor vehicle incidents, and material handling events. OST implemented a process improvement team to review all aspects of physical fitness, engaged exercise physiologists to help reduce injuries, and conducted a management review of injury causes and recommended corrective actions.

BPA has been reducing the number of injuries over recent years. This year, 90 claims were submitted, compared with 96 claims in both FY 2008 and FY 2007. These numbers translate to an FY 2009 rate of 3.31, compared with 3.50 in FY 2008 and 3.85 in FY 2007. Lost time cases have not improved, with 39 cases this year. There were 31 cases in FY 2008 and 36 cases in 2007. The FY 2009 LTCR is 1.43, compared with a 1.13 rate in FY 2008 and a rate of 1.44 in FY 2007.

WAPA is also reducing injuries. In FY 2009, 34 injury/illness claims were submitted, compared with 40 claims in FY 2008 and 50 claims in FY 2007. These claims correspond to rates of 2.52, 3.36, and 4.03 for FY 2009, FY 2008, and FY 2007, respectively. WAPA made significant improvements in LTCR, with an FY 2009 rate of 0.37, compared with 0.92 in FY 2008 and 0.97 in FY 2007. The most serious lost time injuries and illnesses were two back injuries and an electrical shock from a battery bank.

Collectively, OST, BPA, and WAPA are responsible for 66 percent of the DOE Federal employee injury and illness claims and for 54 percent of the lost work day cases, but they logged 33 percent of the hours worked.

B. Fatalities and Catastrophic Incidents

DOE completed FY 2009 with no Federal employee fatalities and no catastrophic incidents.

Fatality and Catastrophic Accident Investigations

DOE had no Federal employee fatalities or catastrophic accident investigations for FY 2009.

C. Overseas Employees

Small numbers of NNSA and various Headquarters staff may be assigned overseas for periods of up to 2 or 3 years. No DOE safety officers are assigned overseas. Although the home DOE Program Office is responsible for the identification and control of hazards, DOE overseas employees are typically covered under the occupational safety and health plan of the host organization. For example, three NNSA employees reside on State Department posts, and EERE has one employee stationed with the International Energy Agency in Paris, France. The New Brunswick Laboratory has cooperative relations with the United Nations International Atomic Energy Agency (IAEA) and has staff on temporary-term assignment there. Assignments to IAEA can be for 1 to 3 years at a time. NNSA requires completion of a comprehensive checklist prior to departure overseas and has a dozen employees stationed overseas who are not on State Department posts. The Office of Policy and International Affairs had one overseas employee during FY 2009, but that employee returned in September 2009.

MA receives accident reports from Headquarters employees when they are injured while traveling or stationed overseas. In FY 2009, one influenza illness was reported while an employee was traveling outside the United States.

D. Significant Trends and Major Causes or Sources of Lost Time Disabilities

a. Tracking Accidents

Injuries are tracked in the Office of Worker's Compensation Programs (OWCP) reports and in the DOE Computerized Accident/Incident Reporting System (CAIRS). CAIRS collects all of the information required under 29 C.F.R. 1904, *Recording and Reporting Occupational Injuries and Illness*, as well as information about corrective actions taken and recommended. Both the OWCP and CAIRS reporting systems are being improved through continuing efforts to train employees in incident reporting and in conducting quality analyses of the data. In addition, DOE performs field visits to evaluate the CAIRS recordkeeping system.

The predominant lost time injury category is sprains and strains, accounting for over one-third of lost time cases. What is notable about DOE Federal employee injuries is that most arise from ordinary tasks (i.e., material handling; slips, trips and falls; and motor vehicle operation) and not from the high hazard tasks that DOE performs. Rigorous attention is paid to controls and procedures for handling nuclear materials, high energy sources, weapons, and hazardous chemicals. In order to make further improvements

in workplace safety, DOE is devoting renewed attention to areas such as Human Performance Improvement precursors for skill-based tasks.

Table 1.2. Significant Trends and Major Causes or Sources of Lost Time Disabilities

FY 2009 Major Trends				Description
Nature (case count)	% of Total	% of Cost ²	Cost	
Back strain (22)	20.0	12.7	\$64,919.33	Six material handling cases accounted for two-thirds of these costs.
Strain, not back (18)	16.4	4.9	\$25,295.16	
Traumatic injury—unclassified (17)	15.5	9.2	\$47,346.29	
Contusion, bruise, abrasion, (11)	10.0	0.7	\$3,350.40	
Fracture (10)	9.1	11.3	\$57,694.80	Four injuries accounted for the majority of costs in this category.
Cause of Injury (case count)				
Other falls (20)	18.2	21.9	\$112,282.99	One injury accounted for half of these costs.
Unclassified (19)	17.3	5.3	\$26,987.63	
Other material handling (11)	10.0	9.7	\$49,760.73	One injury accounted for nearly half of these costs.
Slip, twist, trip, not falling (6)	5.4	7.6	\$38,791.70	Nearly all of these costs were from one injury.

The total DOE workers' compensation costs for the 2009 chargeback year was \$9,300,198. Costs for new cases claimed in FY 2009 were \$512,803.

Back strains were the most frequent injuries and were largely the result of material handling or falls. The fracture injuries were caused by motor vehicle crashes, falls, and material handling. A head-on collision with another vehicle that was in the wrong lane produced a lower back fracture, but the employee's defensive driving actions saved his life. He had 15 lost work days. A broken leg, caused by a slip and fall on an icy walkway, resulted in 24 lost work days. A slip on oil on a floor caused an ankle fracture with 42 lost work days. An All-Terrain Vehicle (ATV) rollover caused fractures of an ankle and two vertebrae, which resulted in 18 lost work days.

² The costs for FY 2009 claims were calculated from OWCP data for those claims received in FY 2009. Claims submitted in FY 2009 totaled \$512,806.05 in payments (excluding Continuation of Pay), but there may be additional costs incurred for these claims in FY 2010 and in future years.

“Other” falls were the predominant cause category for injuries; but all falls, including slips and trips, contributed to nearly 25 percent of injuries. Resultant injuries included contusions, sprains, strains, dislocations, and fractures. Material handling of all types contributed to 21 percent of injuries. Sprains and strains predominated, but other injuries included lacerations, fractures, pain, and carpal tunnel syndrome. One material handling injury, which was caused by attempting to lift equipment onto a truck under adverse weather conditions, resulted in over 180 lost work days.

b. Controlling Trends

The Department tracks and analyzes data on injuries and illnesses. The CAIRS password-protected system allows Department-wide, as well as organization-specific trends to be analyzed to measure improvements and opportunities for improvement. HSS briefs the Deputy Secretary of Energy and other senior DOE leadership on trends in their respective organizations. An HSS website provides updates on injury/illness rates.

The Occurrence Reporting and Processing System (ORPS) provides timely notification to the DOE Complex of events that could adversely affect public or DOE worker health and safety, the environment, national security, DOE's safeguards and security interests, functioning of DOE facilities, or the Department's reputation. This system encourages the reporting of near misses, so lessons learned can be applied to operational improvements and future injuries can be prevented. DOE has a robust Lessons Learned program.

Program offices also track and control their trends. They conduct evaluations in response to occasional employee complaints and notices of unsafe or unhealthful conditions or in the process of other routine business. HSS provides comprehensive site assistance to assess the effectiveness of Environment, Safety and Health (ES&H) programs. In FY 2009, six assessments assisted line managers in identifying and correcting weaknesses at the sites. Collectively, results are used to track and trend improvements and identify priority actions.

E. Contract Workers and Volunteers

Contract workers comprise the overwhelming majority of the DOE workforce. There are approximately 110,000 full-time equivalent (FTE) contractors, mostly working on DOE premises. DOE issued a comprehensive Rule for DOE contractors as Federal regulation 10 C.F.R. 851, *Worker Safety and Health Program*, on February 9, 2006. The Rule goes beyond OSHA compliance to require each contractor and subcontractor to submit a site-specific safety and health plan for approval before work commences and to submit annual updates to their plans. The Rule guarantees every contract

worker the right to stop work if conditions are believed to be imminently dangerous.

For the third year in a row, DOE contractors experienced a lower total recordable case rate than DOE Federal employees (1.26 vs. 1.46), based on CAIRS data. DOE contractor Days Away, Restricted, or Transferred (DART) rates were also lower (0.52 vs. 0.80). A significant percentage of contractor injuries are the result of slips, trips, and falls. DOE contractors have implemented Integrated Safety Management Systems (ISMS) specific to their work sites for over a dozen years.

One contractor was fatally injured on June 26, 2009, as the result of a single Government-owned pick-up truck accident in a DOE parking lot. A DOE specially trained Investigation Board performed a thorough investigation and found that management had not foreseen the potential consequence of a driver inexperienced in operating a pick-up truck with an extended cargo bay and, therefore, did not evaluate whether the possession of a valid driver's license was a sufficient demonstration of experience to safely operate the vehicle. In addition to recommending improvements in vehicle selection and driver training, the Board recommended a DOE-wide effort to heighten awareness of vehicle safety to reduce fatal vehicle accidents in the Department.

Because most DOE contractors are not regulated by OSHA, DOE implemented a Voluntary Protection Program (VPP) similar to the OSHA VPP, which has been active since January 1994. In FY 2009, there were 27 DOE VPP STAR sites. In addition, four DOE contractor sites maintain STAR status under the OSHA VPP.

Contractors play a key role in ES&H operational activities and contribute to a safe DOE workplace by maintaining facilities in a safe operable condition and requiring safe work practices. Many Federal DOE employees work in contractor workspaces and are protected by contractor safety and health programs at operating facilities, construction and field sites, and national laboratories. Many contractors work side by side with Federal employees in Government offices. The cooperative efforts of DOE and its contractors identify and correct workplace hazards at Government-owned, contractor-operated facilities. Contractor initiatives to improve safety directly impacting Federal employees include training, participation in safety committees, fire drill exercises and safety fairs, engineering and administrative controls, and access to contractor medical clinics.

In general, the DOE Complex uses only a few volunteers who support functions and events for Federal employees such as blood bank; Combined Federal Campaign; science fairs; and active programs for summer student interns, college co-op students, and visiting professors. LM, for example, has

approximately 18 volunteers who assist with light groundskeeping (e.g., planting flowers, mulching) and staffing the Weldon Springs Interpretive Center, which is open to the public. The volunteers are all briefed and sign job safety analyses tailored to their efforts. Within SC, volunteers work under the same safety and health programs and training requirements as paid employees. There was one volunteer injury in FY 2009: a guest scientist fell in a DOE handicapped parking area. This cut-lip injury was immediately treated with stitches at the onsite clinic, but a week later, the volunteer was hospitalized with a small subdural hematoma with delayed concussive effects that likely resulted from the fall. The investigation team found that the parking spaces, ramp, curb, and walking surfaces were all properly marked and in good working condition; but, as a precaution, the curb was repainted, and all handicapped parking spaces across the site are being evaluated in light of human performance indicators. This injury was reported in the ORPS database.

II. OCCUPATIONAL SAFETY AND HEALTH (OSH) INITIATIVES — Safety, Health and Return-to-Employment Initiative (SHARE) and Motor Vehicle and Seat Belt Safety

A. SHARE

a. SHARE Analysis

a) ■ Goal 1: Total Case Rates (TCR)

FY03 Baseline	FY04 Perf	FY05 Perf	FY06 Perf	FY07 Perf	FY08 Perf	FY09 Target	FY09 TCR
2.14	2.37	1.96	2.03	2.26	2.93	1.72	1.66

b) ● Goal 2: Lost Time Case Rates (LTCR)

FY03 Baseline	FY04 Perf	FY05 Perf	FY06 Perf	FY07 Perf	FY08 Perf	FY09 Target	FY09 LTCR
0.73	0.73	0.73	0.67	0.81	0.74	0.61	0.67

c) ■ Goal 3: Timely Filing of Claims (TFC) *

FY03 Baseline	FY04 Perf	FY05 Perf	FY06 Perf	FY07 Perf	FY08 Perf	FY09 Target	FY09 TFC
47.5	56.4	61.3	62.4	66.6	45.7	63.7	63.8

* Percent of claims filed within 10 working days, after receipt.

d) ■ Goal 4: Lost Production Days (LPD)

FY06 New Baseline	FY07 Perf	FY08 Perf	FY09 Target	FY09 LPD
22.1	30.3	14.6	21.4	17.0

Source: <http://www.dol.gov/owcp/dfec/share/getxls.htm?id=0160>

DOE met its SHARE goals for TCRs, timely filing of claims, and lost production days. The TCR is the lowest that DOE has achieved in the 6 years of the SHARE initiative, with a rate of 1.66. For Goal 2, DOE missed the FY 2009 target, but the Department has experienced a flat performance over the past 6 years. DOE's timely filing of claims (Goal 3) showed a marked improvement over last year and met the SHARE goal. For the fourth SHARE

goal, DOE increased its lost production days over the FY 2008 rate, but met the FY 2009 target.

DOE is especially proud of the improvements made at OST and the PMAs in reducing rates and improving timeliness in filing claims. OST reduced rates from 37.97 to 7.75 by eliminating contagious disease outbreaks and reducing training injuries. The PMAs reduced their rates as part of their continuing programs involving safety committees, fitness programs, and behavioral safety initiatives. WAPA, for example, reduced its rates from 3.36 to 2.52.

b. SHARE Programs/Initiatives

DOE continually strives to provide safe working conditions for all of its employees. DOE's injury rates are less than half that of the Federal Government average. This is particularly noteworthy considering the high hazard materials and complex operations that DOE manages. Historically, DOE has concentrated its injury/illness reduction programs on those high hazard operations. These efforts have been successful in reducing injuries and illnesses over the years. Now, the challenge is reducing injuries and illness from lower hazard, more common operations, such as material handling, walking, physical training, and using computers. Supervisors are required to investigate each OSHA-recordable case and must report corrective actions, both taken and recommended, when filing the case in CAIRS. Events that meet the criteria for reporting into ORPS must be investigated, with corrective actions recommended and tracked to completion. In addition, program and field offices use their injury experience to develop corrective actions to reduce their injuries and occupational illnesses.

HSS periodically provides updates and analyses of safety performance to senior DOE management to address trends and provide insights into safety performance issues. Further, the reports serve to keep senior management aware of progress in meeting the Department's SHARE goals. Safety performance summaries are also posted on the DOE website.

The DOE FEOSH program has revitalized interactive communications with field FEOSH representatives to explore safety issues across the Department. Quarterly teleconferences address topics submitted by the representatives. Additionally, DOE has initiated an annual FEOSH meeting in conjunction with the DOE Integrated Safety Management Workshop to facilitate open exchange of information and cross-training. The initial meeting this year included a guest presentation by the OSHA director of the Office of Federal Agency Programs. The FEOSH online training course includes information about reporting all occupational injuries and illnesses. The annual FEOSH inspection and program review reiterates Federal employee responsibility to report injuries and illnesses in a timely manner.

A major HSS initiative was a safety perception survey administered in October 2008; 570 HSS Federal and contractor employees participated in this National Safety Council (NSC) survey. The results were shared in “all hands” meetings held in February 2009, and a volunteer employee task group was chartered to study the results and make recommendations. Their recommendations were submitted in June 2009, and HSS is committed to implementing them. Both the survey results and the task group recommendations were published on the DOE website. This initiative is a step toward increasing employee involvement in the health and safety program.

Over the past several years, MA has worked to improve the reporting of Headquarters injuries and illnesses. MA has worked with the Germantown and Forrestal occupational medicine clinics to provide both the accident report form and the workers’ compensation forms to individuals who report to the clinics. MA has worked with HC and HSS to ensure it receives notifications of accidents, injuries, and illnesses. This has allowed MA to follow up with the individuals to ensure that proper reporting occurs and that corrective actions are implemented. To educate employees, MA, in partnership with HC, has created displays and information sheets related to reporting and workspace hazards. During bi-weekly new employee orientation MA informs new employees of the need for prompt reporting of occupational illnesses or injuries, including near-miss scenarios.

HC has written policies that establish roles, responsibilities, and functional procedures for managing and administering the DOE Headquarters workers’ compensation program, including case management and file maintenance. HC also developed performance measures and employee standards that encourage effective management of the DOE Headquarters workers’ compensation program and continues to provide annual OWCP training to its managers on the filing process.

B. Motor Vehicle/Seat Belt Safety

a. Number of Motor Vehicle Accidents Experienced by Employees in FY 2009

Complex-wide, DOE Federal employees were involved in 39 motor vehicle accidents in FY 2009 – an increase of 21 accidents over FY 2008. Seven of the 11 injuries resulted in lost time injuries to Federal employees. The table below summarizes these accidents.

Table 2.1. Motor Vehicle Accidents, FY 2009

	FY 2008	FY 2009	Change
Number of motor vehicle accidents reported by employees	18	39	+21
Number of accidents resulting in personal injury	11	11	0
Number of accidents resulting from emergency response and disaster recovery operations	0	0	0

There were 29 reported motor vehicle accidents involving Headquarters employees while on Government business or while in Government-owned or leased vehicle during FY 2009. One incident involved injuries. Sixteen of the 29 incidents involved more than one vehicle, while 3 involved incidents with the pop-up security barriers at the entrance gates.

NNSA reported one accident in which an OST Federal Agent fell asleep at the wheel. The vehicle went off the road and sustained severe damage, and three Federal Agents received minor injuries. Two field offices reported one accident each, but neither accident incurred personal injury. The PMAs reported seven motor vehicle accidents, five of which resulted in lost work days. Of those, BPA had five accidents that resulted in injury. Four of these injuries involved lost work days. In one serious accident, an employee had a head-on collision with an oncoming truck in the wrong lane. The defensive driving of the employee saved his life, but he suffered a lower back fracture and lost 15 work days.

b. Mechanisms in Place to Track the Percentage of Seat Belt Usage by Employees

DOE requires seat belt usage when driving on DOE property and when operating a vehicle on official business. Seat belt use is emphasized throughout DOE as part of other general safety promotion efforts throughout Headquarters and field safety programs. Security officers have observed that most drivers entering Headquarters property are wearing seat belts.

Few formal seat belt usage surveys have been conducted recently due to this high confidence in usage conformance. Savannah River Operations Office (DOE-SR), however, conducted a 1-day assessment of about 200 Federal employees located in one area. DOE-SR site employees reported that seat belt usage was 90 percent or more. South Carolina has a primary seat belt law that is enforced at site entrances. Site communications will remind employees about seat belt usage, and another assessment in FY 2010 will monitor improvement.

Seat belt usage at WAPA is tracked on all accident reports, which show 100 percent seat belt usage. This is the only formal tracking mechanism in

place at WAPA, although seat belt usage is monitored visually by crews and safety professionals.

c. Efforts Taken to Improve Motor Vehicle Safety and Seat Belt Usage

The majority of field sites are reporting some form of motor vehicle safety and seat belt usage awareness training and initiatives. These include mandatory defensive driving courses (e.g., winter driving) and safety seminars; parking safety briefings; signage; and procedural changes, such as a 360-degree walk-around before vehicle operation. Field site efforts to improve motor vehicle safety include the following.

- The Brookhaven Site Office conducted an impaired driver exercise during Safety Day activities that provided convincing evidence of the effect of intoxicants on a driver's ability to judge surroundings and navigate a roadway.
- Pacific Northwest Site Office corrected a traffic safety issue involving poor visibility at an intersection as a result of an employee initiative.
- WAPA offers a "Safe Driving Awards" program that varies regionally. A sample program considers safe driving as zero accidents or vehicle/property damage. Individuals accumulate 1 hour of leave for every 1,000 safe miles driven. In other regions, "no motor vehicle accidents" is part of the overall bonus goals. These regions award monetary awards based on exposure.
- Southwest Power Administration (SWPA) encourages the use of motor vehicle safety and operational checklists for vehicle operation.

The HSS security organization that experienced several motor vehicle accidents in FY 2009 is taking corrective actions. Investigations were conducted and corrective actions were implemented to improve event tracking and trending, driver accountability, and training. HSS is also investigating the use of enhanced technology, such as vehicle backup cameras and sensors.

C. Pandemic Flu Preparations

DOE's Pandemic Flu Response Plan (Appendix III) includes information, guidance, and training on public health strategies that may mitigate the spread of this disease, as well as information regarding human capital policy for DOE employees. The DOE Continuity of Operations (COOP) Plans Standard Operating Procedure includes guidance on pandemic planning and response actions.

The Department established the Biological Event Monitoring Team (BEMT) in 2006 to ensure Department readiness in the event of a pandemic or other biological threat. The BEMT provides medical, epidemiologic, and public

health expertise to the Department and has developed the *Recommended Action Matrix* (RAM) as the primary guidance document for the DOE Complex and all employees. This matrix contains information for employees, supervisors, building facility management, occupational medicine providers, child care facilities, and security to consider in their pandemic planning. The RAM actions are based on information available from the U.S. Department of Health and Human Services, the Centers for Disease Control and Prevention, the U.S. Department of Homeland Security, and the U.S. Office of Personnel Management. The BEMT also developed a communication plan to ensure that recommendations and guidelines are distributed across the Complex.

The Department developed a robust influenza website³ that has information specifically developed for DOE employees, as well as links to external websites such as flu.gov and the CDC website. Information is disseminated to employees through Department-wide announcements, through various program offices, and in specific training sessions covering the history of pandemics, recommended actions, and human capital guidance. Posters, displays, and hand sanitizers are provided throughout DOE Headquarters to provide constant reminders regarding mitigation strategies to prevent the spread of influenza.

At Headquarters, MA has been working with HC, HSS, and other program offices regarding pandemic flu preparations. MA and the Headquarters Incident Management Team monitor the prevalence of cases throughout Headquarters. Information is posted and provided to employees on how they can prevent the spread of influenza, with emphasis on hand-washing. Hand sanitizers have been mounted in building entrances, cafeterias, and large meeting areas where soap and water are not available. HSS is working with contractors who are the most likely to be exposed to infectious agents (e.g., custodial workers, maintenance workers, nurses, security personnel) to ensure that they are properly protected when performing their duties. MA continues to work closely with the BEMT to ensure that actions are in keeping with current recommendations.

HC routinely encourages managers and essential personnel to work remotely, thereby testing the effectiveness of its operations continuously. Flexiplace Agreements and Rules of Behavior have been signed for all essential personnel. These same personnel have the necessary tools in hand to remotely maintain contact with Headquarters, including proper handling of sensitive personnel information.

³ <http://www.hss.energy.gov/healthsafety/pandemic.html>

Program and field offices have developed pandemic flu COOPs with the guidance provided by the BEMT and DOE Order 150.1, *Continuity Programs*. DOE field office and site flu plans include the following.

- The Nevada Site Office (NSO) Pandemic Flu Plan is currently being modified with a graded approach based on recently completed pandemic exercises, including relocations.
- The Savannah River Site (SRS) Pandemic/Epidemic Influenza Plan is a flexible and cohesive guidance document that supports all entities at the site, whether Federal or contractor. The Plan has been coordinated with all site groups and local communities to provide across the board planning and implementation for any major public health emergency.
- The NE Idaho Operations Office (NE-ID) has developed a Pandemic Flu Plan as part of the COOP, as has the B&W Pantex site operating contractor.
- At the Hanford site, the Hanford Pandemic Event Coordination Team comprising of DOE, Advanced Med Hanford, and Hanford contractor representatives work closely with Headquarters, as well as state and local agencies, to prepare for a pandemic outbreak.

III. EMPLOYEE AND CONTRACTOR SUPPORT

A. OSH Training

a. Ensuring Staff are Trained

DOE HSS FEOSH provides all DOE Federal employees with annual safety training online in an interactive presentation that includes a test of comprehension. This training, begun in FY 2007, is now housed on the DOE training portal, which sends out notices to employees and tracks their course completion. This annual safety training for all Federal employees is tied to a mandate by the Deputy Secretary of Energy that required safety and health performance elements to be placed in every Federal employee's performance elements. To ensure this annual safety training is of added value, each year HSS modifies the mandatory course to provide in-depth information about newly selected safety topics. The special topics for FY 2009 and 2010 annual training were vehicle safety, including distracted driving, and pandemic flu.

Each DOE organization is responsible for identifying specific safety training needs and providing specific safety training for its personnel. At Headquarters, Federal and contractor employees are briefed on emergency procedures and general safety. Headquarters elements also provide awareness campaigns on topics such as slips, trips, and falls; flu prevention; electrical safety; workplace violence; classroom training and briefings on

construction safety; asbestos; first aid, cardiopulmonary resuscitation, and automated external defibrillators (AED); emergency procedures; warden/monitor duties and responsibilities; and escape mask use, among other topics. Safety issues are also communicated via online videos, handouts, flyers, broadcast e-mail messages, pamphlets, and newsletters. Designated safety officers within many of the Headquarters organizations conduct regular walk-through inspections of work areas to identify and correct hazards (e.g., protruding electrical outlets, surplus furniture, excessive local area network/electrical cords).

The NTC provides specialized and centralized training for Safeguards and Security Program (S&S), safety, foreign interaction, and counterintelligence. On a space-available basis, the NTC provides training for other Federal, state, and local government agencies, such as the Department of Homeland Security and the Department of Defense. DOE also has a safety training program that is designed to complement the DOE-wide Technical Qualification Program and its associated DOE safety-related qualification standards. The intent of the safety training program is to ensure a technically capable Federal workforce from a safety perspective by recruiting, training, and retaining qualified safety professionals. DOE field elements and sites maintain equally rigorous OSH training programs such as the following.

- NE-ID uses a new employee checklist for supervisors to identify all needed OSH training and qualification standards. Supervisors work with employees to develop training plans as part of the annual Individual Development Planning process.
- DOE-SR has an annual training requirement for all employees that includes safety training of a general nature and FEOSH program basics.
- The Office of River Protection (ORP) FY 2009 FEOSH training, which integrates pertinent regulatory requirements and site-specific worker protection programs (e.g., employee job task analyses, ergonomics, and personal protective equipment), was disseminated through the ORP Home Page.

b. Impact of Training

Awareness campaigns and training opportunities at Headquarters have greatly increased employee awareness of safety and health issues. A continuing challenge for Headquarters remains in creating effective training that reaches all co-located contractors and reaches those Headquarters employees who are stationed in locations other than Washington, D. C. Additionally, DOE field offices report the following information.

- HC staff is more cognizant of trip and fall hazards, and the methods to take to avoid such hazards because of the emphasis placed on prevention,

both in online training and in quality control, which is reinforced on a regular basis.

- Fossil Energy's safety training efforts have lowered the frequency and severity of occupational injuries at its sites.
- Southwest Power Administration OSH Training has resulted in lower TCRs and reduced OWCP costs, compared with FY 2008. SWPA is continuing SAFE START training, a behavior-based safety training effort, and they report motor vehicle accidents are fewer this year than in FY 2008.

c. Staff Trained

Each Program Office uses a specific training matrix, with all risk and specialty required training accounted for, including one-time or recurring employee training. DOE does not maintain a comprehensive central record of training provided; rather, each organization maintains its own records. Appendix IV provides a representational list of some of the specific safety training offered in FY 2009 across the DOE Complex and the number of employees trained.

B. Agency OSH Poster

See Appendix V for the DOE OSH poster.

C. OSH Conferences/Seminars

The annual ISM Workshop was held on August 24 through August 27, 2009, at the Knoxville Convention Center in Knoxville, Tennessee. The workshop was sponsored by the DOE Oak Ridge Office, NNSA's Y-12 Site Office, and several contractor organizations. The 2009 workshop theme, "Reaching New Heights," encompassed DOE efforts to take the ISM system to the next level, strengthening DOE's safety culture. The 10 technical tracks included traditional ISM areas, such as work planning and control, environmental management systems, and feedback and improvement processes, as well as new topics, such as safety of work created under the 2009 American Recovery and Reinvestment Act. The Federal Technical Capability Panel discussed the development of software that will consolidate technical qualifications programs across DOE. In addition, a FEOSH preliminary session was held to enhance open exchange of communication among sites. FEOSH will be an integral part of the annual ISM Workshop in the future.

DOE Headquarters Offices also sponsored, co-sponsored, contributed to, or attended the following safety-related conferences, meetings, and workshops.

- General Services Administration Safety Day conference and an OSHA-sponsored workshop on the VPP

- Chemical Safety and Lifecycle Management Workshop in March 2009 in conjunction with the Energy Facility Contractors Group (EFCOG)
- Radiological Control Coordinating Committee Meeting Teleconference in January 2009
- 2009 DOE/NNSA Enforcement Coordinator Workshop
- DOE Hoisting and Rigging Technical Advisory Committee
- EFCOG Safeguards & Security Working Group
- DOE/Energy Federal Contractors Operating Group, 2009 DOE Electrical Safety Meeting and Workshop

Additionally, DOE safety and health professionals attended the National Safety Congress and Expo in October 2009. Notably, a DOE Headquarters employee has recently been named to the NSC's Board of Directors.

D. Field Federal Safety and Health Councils

a. Involvement

There is limited DOE involvement with the Federal Safety and Health Field Councils. Several NNSA Site Offices located near larger population centers participate in Field Federal Safety and Health Council activities. WAPA's Corporate Services Office continues to participate in the Denver Federal Safety and Health Committee. WAPA is a member of the National Fire Protection Association and the NSC, and a WAPA safety specialist received the Distinguished Service to Safety Award at the NSC Congress and Expo this year.

b. Field Council Support

WAPA sponsored a Denver Federal Safety and Health Committee meeting at its corporate office and provided a speaker on emergency preparedness.

E. Contractor Safety

The Department is committed to fulfilling its mission in a manner that affords maximum protection of the public; DOE's Federal, contractor, and subcontractor workers; and the environment.

The Department of Energy Acquisition Regulations (DEAR) require every contract to contain an ISM plan requirement and all work to be performed in accordance with the ISM DEAR 970.5223-1 clause, 10 C.F.R. 851, as well as all applicable Federal regulations and site-specific requirements. Further, the DOE-required DEAR clause requires contractors to address how they will ensure adherence to the ISM Guiding Principles and Core Functions. In addition to those contract requirements, 10 C.F.R. 851 serves as the

Department's regulatory framework to protect the safety and health of contract workers, just as OSHA does for private sector workers.⁴ See Appendix VI for the DEAR clause.

DOE's ISM Policy defines how DOE integrates environment, safety, and health requirements and controls into Federal work activities and oversees implementation of contractor activities. DOE routinely verifies that all mission work is conducted following the ISM Guiding Principles, which are fundamental policies that guide DOE actions from development of plans and procedures to conduct of work. The ISM Guiding Principles include the following.

1. Line Management Responsibility for Safety
2. Clear Roles and Responsibilities
3. Balanced Priorities
4. Identification of Safety Standards/Requirements before work is performed
5. Hazard Controls Tailored to Work Being Performed
6. Operations Authorization where the conditions and requirements for operations to be initiated are agreed upon and clearly established

The ISM Core Functions provide the necessary structure for work activity that poses a hazard to the public, workers, and the environment. These Core Functions are as follows:

- Define the Scope of Work;
- Analyze the Hazards;
- Develop and Implement Hazard Controls;
- Perform Work within Controls; and
- Provide Feedback and Continuous Improvement.

The safety of workers and safe execution of the DOE mission are the responsibility of DOE line management. The DOE *Worker Safety and Health Program* (10 C.F.R. 851) provides DOE contractor workers with safe and healthful workplaces in which hazards are abated, controlled, or otherwise mitigated in a manner that provides reasonable assurance that workers are protected from the hazards associated with their jobs. The Rule applies to

⁴ See : <http://www.hss.energy.gov/HealthSafety/WSHP/rule851/851final.html>

work performed by contractors and their subcontractors at DOE sites. Contractor activities include design, construction, operation, maintenance, decontamination and decommissioning, research and development, and environmental-restoration-related work.

Importantly, the Rule establishes a requirement for contractors to develop and implement a “worker safety and health program.”⁵ The Department established the following requirements to reflect what DOE considers to be the essential elements of a successful worker safety and health program.

- Management responsibilities and worker rights
- Hazard identification and assessment
- Hazard prevention and abatement
- Safety and health standards
- Functional areas
- Training and information
- Recordkeeping and reporting

DOE has additional regulatory requirements for DOE employees and contractors that provide greater protection than current OSHA regulations. These are listed below.

- 10 C.F.R. 707, *Workplace Substance Abuse Programs at DOE Sites*. This Part establishes policies, criteria, and procedures for developing and implementing programs that help to maintain a workplace free from the use of illegal drugs.
- 10 C.F.R. 835, *Occupational Radiation Protection*. This Part establishes radiation protection standards, limits, and program requirements for protecting individuals from ionizing radiation resulting from the conduct of DOE activities.
- 10 C.F.R. 850, *Chronic Beryllium Disease Prevention Program*. This Part, promulgated in 1999 and 2007, establishes a chronic beryllium disease prevention program (CBDPP) to reduce the number of workers currently exposed to beryllium in the course of their work at DOE facilities managed by DOE or its contractors.

⁵ http://www.hss.energy.gov/HealthSafety/WSHP/rule851/A_Basic_Overview_of_the_Worker_Safety_and_Health_Program.pdf

F. Other Support Activities

For Federal employees at Headquarters' facilities, MA's Office of Headquarters Safety, Health and Security conducts specific training in safety and health. The Office offered training on asbestos remediation work to the entire HSS staff during the current year. In addition, MA staff and a representative of the National Treasury Employees' Union co-chair the Headquarters Labor-Management Safety, Health, and Security Committee, which discusses a variety of issues, including indoor air quality, emergency procedures, and construction projects. MA also actively encourages employees to pursue continuing education and advanced degrees in the areas of safety and health and professional certification.

All DOE field sites have active safety and health committees, and field site FEOSH Program points of contact participate in DOE FEOSH conference calls held quarterly by HSS. HSS is responsible for providing guidance, support, and assistance to the DOE field organizations and sites as a "corporate" function, in addition to providing support for their organization.

There is extensive activity at DOE field sites supporting occupational safety and health efforts. Examples of these activities include the following.

- At DOE-SR, Federal employees attended onsite safety conferences including Voluntary Protection Program Participants Association, ISM, American Conference of Governmental Industrial Hygienists (ACGIH), Health Physics Society, Chemical Safety, American Society of Safety Engineers (ASSE), Fire Protection, Aviation Safety, and EFCOG. Many Federal employees have various professional certifications, such as, Certified Health Physicist, Certified Safety Professional, and Professional Engineer. Others are members of ASSE and ACGIH.
- A member of the NSO Federal safety staff attended the ASSE Professional Development Conference as a co-presenter. The presentation on DOE's Worker Safety and Health Rule was given in Spanish for those Spanish-speaking attendees. In October of 2009, the staff member provided the same presentation in English to the National Safety Congress.
- ORP and Richland Operations Office (RL) Federal employees attended the 2009 Hanford Health & Safety Expo in May 2009. The expo is a celebration focused on Health & Safety issues for Hanford employees, the surrounding communities, and the northwest region. The Safety Expo was held at the TRAC facility in Pasco, Washington, with over 30,000 people attending over 2½ days.
- WAPA hosted HSS Accident Investigation training in July 2009 for WAPA and other DOE agencies. Additionally, WAPA annually hosts WAPA-wide Safety Committee training at the corporate office for all WAPA

regions, and mandatory OSHA safety committee training is provided. Further, each region of WAPA has a Regional Safety Committee and each region conducts an annual Safety and Health Fair in their area.

IV. SELF-EVALUATIONS

DOE complies with 10 C.F.R. 1960.79, *Self-evaluations of Occupational Safety and Health Program*. This is accomplished primarily through the ISM annual self-assessments performed by each program and field office. DOE M 450.4-1, *Integrated Safety Management System Manual*, provides requirements and guidance for DOE and contractors to ensure development and implementation of an effective ISMS that is periodically reviewed and continuously improved. In support of this Manual, DOE published DOE G 414.1-1B, *Management and Independent Assessments Guide for Use with 10 C.F.R. Part 830, Subpart A*, and DOE O 414.1C, *Quality Assurance*; DOE M 450.4 -1, *Integrated Safety Management System Manual*; and DOE O 226.1A, *Implementation of DOE Oversight Policy* in September 2007. Together, these documents provide the foundation for the self-evaluation program. The scope of the self-evaluations varies across the Federal field offices. For HQ facilities, these evaluations are primarily facility inspections. In contrast, at Idaho (NE-ID) and DOE-Savannah River Operations Office (DOE-SR), more comprehensive evaluations are performed annually, as shown in the following.

- As described in the *ID Management System Description Document and Quality Assurance Manual (Quality Manual)*, annual and ongoing activities to assess, evaluate, update, and improve the way business is conducted are part of the Federal workforce scope of work. These activities are intended to ensure the effectiveness of the ISMS is sustained and they are imbedded in NE-ID safety processes and culture.
- The DOE-SR self-assessment was performed to develop an improvement plan that looked at past performance, particularly personal protective equipment use, ergonomics, and the transfer of budget responsibilities to the FEOSH program administrator from the supply office. The improvement plan self-assessment included a survey of selected FEOSH programs at other DOE sites to identify strengths and weaknesses that could be compared and contrasted with the direction of DOE-SR's FEOSH program. The year-end assessment identified good and poor performance in injury reductions and program improvement features. Many of the improvement features from last year were only partially completed, so they will be FY 2010 goals. Most notable injury/illness improvement was in the area of slips, trips, and fall incidents; only one first-aid event occurred.

A self-evaluation format used by EM is presented in Appendix VII. An example of a completed self-evaluation by DOE-SR is found in Appendix VIII.

V. ACCOMPLISHMENTS FOR FY 2009

DOE has been successful in controlling the highest hazards in its workplaces and is now increasing its attention on improving safety in more commonplace tasks, such as driving, materials handling, walking, and use of computers. More than ever, employees are involved in workplace safety, including training, safety committees, workplace inspections, safety fairs, fitness activities, and communications. In 2007, DOE implemented an ISM for DOE Federal employees. The impact is now apparent as each sub-organization begins to apply the guiding principles to its workplaces. Emphasis on evaluating trends and recommending corrective actions to improve safety is much more visible. Accomplishments have occurred at the Headquarters facility level, and at field operations. Examples include the following.

- The goal of enhancing employee awareness and training on pandemic flu was advanced on several fronts. Most visible have been the newsletters, webcasts, and posters, training, and sanitizing supplies to prevent the spread of H1N1 influenza.
- HSS conducted a safety perception survey for its employees and contractors in October 2008. The results were presented in “all hands” meetings and a volunteer employee task group convened to develop recommendations for improvement, based on the survey results
- The HSS VPP committee has been active this year in building employee safety awareness.

DOE continues progress on the goal of improving feedback on program performance. Implementation of the ISM for the Federal workforce has been highly effective. FEOSH safety self-inspections of Forrestal/Germantown operations in 2009 provided many opportunities for improvement. HSS regularly provides summaries of safety performance to top management and publishes them on DOE websites. In 2009, HSS conducted a study of the data quality in two DOE recordkeeping databases, CAIRS and ORPS, both to assess data quality and to provide a methodology that can be used by the field to assess their own data quality. As drafts of this report were circulated, improvements started being made in the timeliness of report submissions and in coding the data to enhance electronic search capabilities.

VI. RESOURCES

Overall, DOE maintained current resources and made modest investments in additional health and safety resources. In FY 2008, MA had three FTEs and two contractors supporting the Safety and Health Programs at Headquarters. In FY 2009, MA expanded the Headquarters Safety, Health and Security Office by a net of one FTE and one contractor, adding additional expertise in emergency management, fire protection, and industrial hygiene. In addition, MA has two

additional FTEs supporting the MA security efforts. In FY 2010, MA will devote 1.6 FTEs to reviewing and improving the overall Headquarters Safety, Health and Security Program.

SC Headquarters reviewed and revised existing plans and procedures to ensure that all occupational safety and health functional areas are covered and used the resources of the SC Integrated Support Center to augment efforts where necessary.

NNSA Headquarters and all NNSA site offices, the NNSA Service Center, and the OST locations have designated FEOSH Program Managers. The FEOSH managers are all Safety and Health Professionals responsible for assisting line management with FEOSH implementation efforts. Depending on the size of the staff, funding may range from a few thousand dollars to tens of thousands of dollars at larger installations.

At DOE field sites, modest investments or improvements in additional health and safety resources were also the case. Two Federal industrial hygiene positions and one additional safety-related support contractor position were added at ORP for FY 2009.

VII. GOALS

For FY 2010 and beyond, the FEOSH program improvement goals and sub-elements are the following.

1. Motor vehicle safety awareness
2. Outreach to Communities of Interest (Improve communication through use of social networking tools such as wiki and blogs)
3. Enhanced analysis capability and provide feedback for the FEOSH program.

The Department will take a strategic approach to support the overarching initiatives of the Executive Branch, such as the President's recent Executive Order on distracted driving. Coupled with DOE's own findings and analyses of trends, motor vehicle safety is one major goal. DOE will use follow-up activities of recent vehicle accident investigations and judgments of need to develop corrective actions, lessons learned, and other forms of support aimed at overall improvement in this area.

DOE will approach communications and outreach in a unified manner that combines the Department's substantial technical knowledge and expertise with its commitment to advise and assist the Headquarters and field elements as a value-added service and will invite greater employee involvement in research, analysis, and development of safety and health policy. DOE will benchmark best practices, strengthen participation in field safety and health activities, and provide improved customer services.

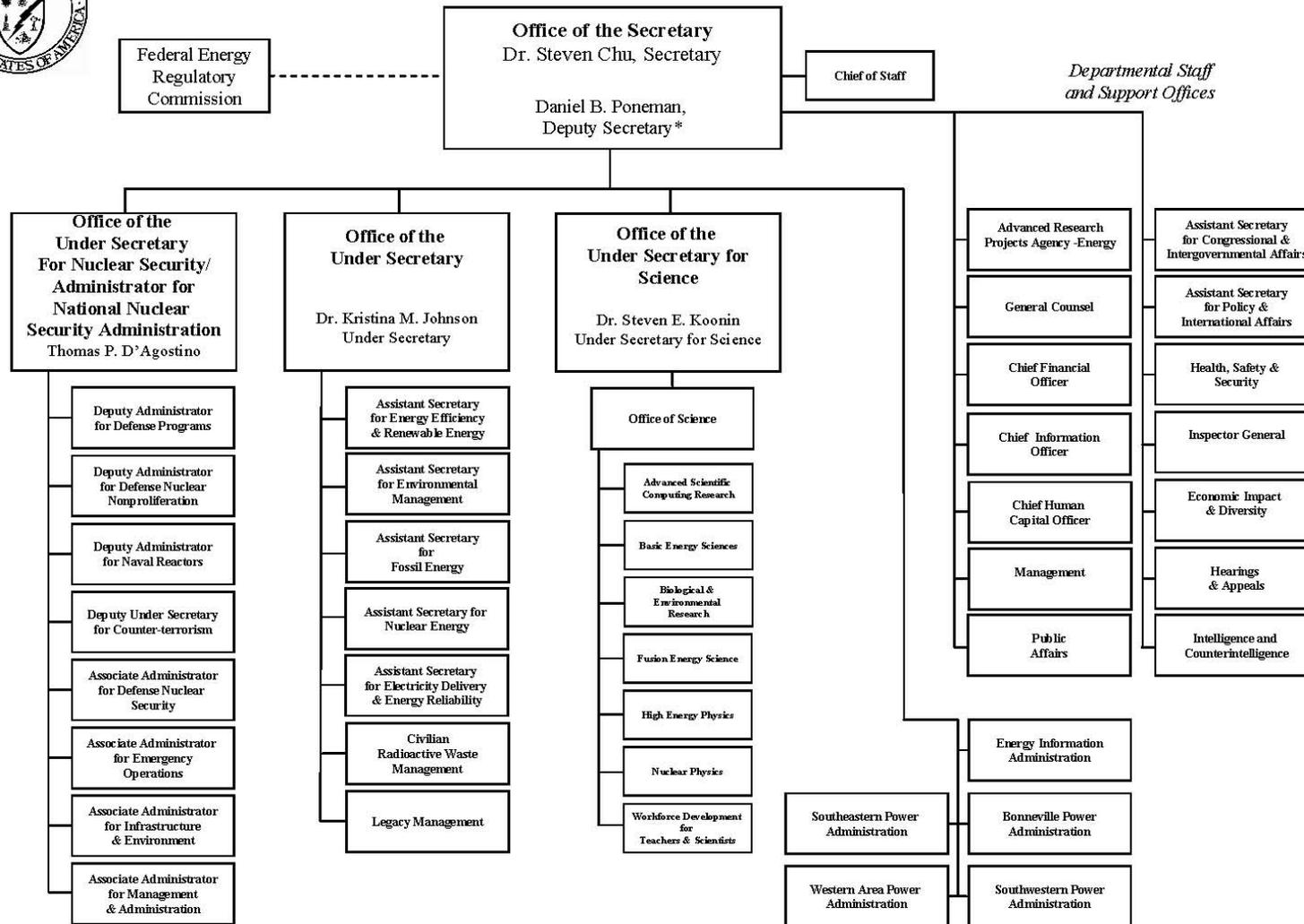
Finally, DOE will re-emphasize and re-invigorate the analytical capability and services need to effectively manage overall safety efforts and to identify, target, and remediate significant safety and health issues and concerns.

VIII. QUESTIONS/COMMENTS

DOE has no questions, but would like to express its appreciation to OSHA for making the request for this report earlier in the year to give DOE field sites more time to respond to the data requests needed to compile this report. In particular, DOE would like to thank Mr. Francis Yebesi, Director, Office of Federal Agency Programs, for his contribution to the DOE annual ISM Workshop. His presentation to the attendees provided a perspective on the history of OSHA and on DOE program effectiveness compared with other Federal agencies and clarified the information that OSHA requested for this FY 2009 Annual Report.

Appendix I - DOE Organizational Chart

DEPARTMENT OF ENERGY



*The Deputy Secretary also serves as the Chief Operating Officer

26 May 09

Appendix II - Subagency Contacts ⁶

Name		Official Title	Telephone	E-mail
Subagency Name:	National Nuclear Security Administration			
OSH Manager:	Frank Russo	Senior Advisor for Environment, Safety and Health	202-586-8395	frank.russo@nnsa.doe.gov
Other Contact:				
Subagency Name:	Office of Science			
OSH Manager:	Matt Cole	Fire Protection Engineer	301-903-8388	matt.cole@science.doe.gov
Other Contact:				
Subagency Name:	Bonneville Power Administration			
OSH Manager:	Alan Connors	Safety and Health Manager	360-418-2383	awconnors@bpa.gov
Other Contact:				
Subagency Name:	Western Area Power Administration			
OSH Manager:	Kathy Patchell	Safety and Occupational Health Manager	720-962-7295	patchell@wapa.gov
Other Contact:				
Subagency Name:	Headquarters			
OSH Manager:	Cherylynne Williams	Safety and Occupational Health Manager	202-586-1005	cherylynne.williams@hq.doe.gov
Other Contact:				

⁶ For DOE subagencies with more than 1,000 Federal employees.

	Name	Official Title	Telephone	E-mail
Subagency Name:	Office of Environmental Management			
OSH Manager:	Terry Krietz	Safety and Occupational Health Manager	301-903-6456	terry.krietz@hq.doe.gov
Other Contact:				
Subagency Name:	Office of Nuclear Energy			
OSH Manager:	John Serocki	Industrial Hygienist	301-903-7999	john.serocki@hq.doe.gov
Other Contact:				
Subagency Name:	Office of Fossil Energy			
OSH Manager:	Rick DuBose	Safety and Occupational Health Manager	502-586-4641	Rick.dubose@hq.doe.gov
Other Contact:				

Appendix III - DOE Pandemic Flu Response Plan

Department of Energy *Recommended Action Matrix for Pandemic Influenza* August 2009

Introduction

The following document provides guidance to Department of Energy (DOE) program offices and field elements to consider in preparation for a possible influenza pandemic. Included in this matrix is information for employees, supervisors, building facility management, occupational medicine providers, child care facilities, and security to consider in their pandemic planning.

The recommended actions are based on information available from the Department of Health and Human Services (HHS), the Centers for Disease Control and Prevention (CDC), the Department of Homeland Security, the Office of Personnel Management, and DOE's Biologic Event Monitoring Team (BEMT).

This Recommended Action Matrix for Pandemic Influenza replaces an earlier guidance document, entitled MEDCON Alert Matrix that had been developed in preparation for a potential Avian Influenza (H5N1) pandemic. With the recent 2009 H1N1 influenza outbreak, the BEMT reviewed its earlier documents, updated information and created additional guidance. The Recommended Action Matrix differs from the MEDCON⁷ levels in that the recommended actions are more specific, provides guidance to employees and supervisors, and is collapsed into three categories depending on the pandemic geographic distribution and disease severity.

The Recommended Action Matrix for Pandemic Influenza may be utilized to support pandemic planning decisions in conjunction with the recommendations of site or facility occupational medical providers, and State and local health departments. The Matrix should be tailored to a specific site's needs and the geographic distribution and severity of disease. It is important to note that all pandemic plans remain flexible to accommodate new epidemiologic and medical information as it is revealed.

The Recommended Action Matrix for Pandemic Influenza is just one part of the Department's pandemic plan. Additional guidance and educational materials can be found on DOE's pandemic web page at <http://www.hss.energy.gov/HealthSafety/pandemic.html>. The Department encourages every employee to become familiar with this site and to practice the recommended actions to protect their own health and well being.

⁷ Programs that have developed their pandemic planning according to the MEDCON matrix may find the following useful: MEDCON 0-2 similar to *Recommended Action Matrix* (RAM) Level 1; MEDCON 3-4 similar to RAM Level 2 and MEDCON 5-6, similar to RAM Level 3

Implementation

The goals of the Federal Government's response to pandemic influenza are to limit the spread of a pandemic; mitigate disease, suffering, and death; and sustain infrastructure and lessen the impact on the economy and the functioning of society. The *Recommended Action Matrix* was designed to make DOE employees mindful of actions that should be considered in the pandemic preparation process and actions that should be implemented during an influenza outbreak. Collectively, CDC and HHS refer to the implementation of these guidelines (e.g. staying home when sick, hand washing, social distancing, and cough etiquette) as nonpharmaceutical interventions (NPIs).

According to HHS, the timing of initiation of various NPIs will influence their effectiveness. Implementing these measures prior to the pandemic may result in economic and social hardship without public health benefit, and over time, may result in "intervention fatigue" and erosion of public adherence. Conversely, implementing these interventions after extensive spread of pandemic influenza illness in a community may limit the public health benefits of employing these measures. **HHS guidance suggests that the primary activation trigger for initiating interventions should be the arrival and transmission of pandemic virus.** It is recommended for planning purposes that these NPIs are maintained for up to 12 weeks in a pandemic.

The suggested guidelines for DOE have been categorized into three levels, 1 through 3, as the severity and geographic distribution of H1N1 influenza increases. Each higher level is built on implementing the actions in the previous lower level. The "trigger" for implementing each level is based on disease incidence (the number of cases in the community surrounding the site) and/or the rate of absenteeism at work. In addition, the severity of the disease may be used to modulate the implementation of these recommended activities.

Implementation of Level 1 activities are recommended at the beginning of an influenza outbreak, when clusters of disease in a community are relatively small. These conditions may be similar to what is experienced during the rise of seasonal flu, where about 10 percent of the population is infected (or 10 percent of the workforce is absent). As the size of these disease outbreaks becomes larger (absenteeism around 20-25 percent), or symptoms associated with the disease become more severe, it is recommended that the additional guidance in Level 2 be implemented. As the outbreak approaches pandemic levels, where 35 to 40 percent of the population is infected (absenteeism 35-40 percent), the guidance in level 3 may be implemented. DOE sites or facilities that elect to implement these guidelines must consider local community situations or the rate of absenteeism at the site.

The recommendation to activate a Continuity of Operations (COOP) plan occurs at level 3. Each site or facility should evaluate its particular situation, and ensure that pandemic planning is part of their COOP.

High Risk Individuals

The recommended actions are generally designed for application to most employees. Supervisors and pandemic planners should be aware that there are certain groups of

individuals who are at higher risk for adverse health outcomes associated with the flu. These groups include pregnant women, those with asthma or diabetes, and those with other underlying medical conditions. Some of the recommended actions in the matrix may be applied earlier to these high risk individuals (e.g. they would be encouraged to telework earlier than other employees). These individuals would be expected to self-identify to their supervisors, although they need not disclose the specific medical condition.

Level 1

Viral Outbreak

- Small clusters of human to human transmission
- Low virulence (symptoms similar to seasonal influenza)
- Community incidence or site absenteeism about 10 percent

Employees - *General Employee Population*

- Focus on personal preparedness and disease prevention for yourself and others.
- Exercise, eat a healthy diet, and get plenty of sleep.
- Follow CDC guidelines on hand-washing (at least 20-30 seconds with soap or an alcohol-based hand gel). Wash your hands frequently.
- Cover your cough or sneezes appropriately, then wash your hands or use hand gel.
- Use a tissue or paper towel to open restroom door handles and to turn on/off faucets.
- If you or anyone who lives with you has flu-like symptoms call your doctor or other medical provider.
- Do not come to work sick!
- If possible, telework; discuss telework options with your supervisor.
- Review sick leave and family leave options.
- Use sick leave as needed, plan to remain at home 24 hours after your fever returns to normal (without the use of medications).
- If your doctor or other health care provider confirms or suspects influenza, inform your supervisor.
- Plan an annual seasonal influenza immunization.

Shared Equipment

- Viruses do not typically last a long time on solid surfaces; however, it is always good practice to wipe surfaces of shared equipment periodically with a sanitizing wipe or solution.
- For shared phones, consider individual headsets.

Office Water - Coolers

- It is always good practice to sanitize stand-alone, office-type water coolers between water bottle replacements. Companies have instructions on their websites to sanitize coolers.
- Do not touch drinking cups, mouths, or water bottles to water fountain spigots.

Team Sports = Fitness Centers

- Avoid close contact with others.
- Do not share towels, water bottles, etc.

Supervisors

- Ensure employees are informed about pandemic planning and preparedness.
- Ensure that notification lists are up to date.
- Review your local pandemic plan and discuss with employees.
- Verify appropriate telework agreements are in place for employees.
- Review the advisability of subordinates teleworking if they become sick or anyone who lives with them becomes sick.
- Keep aware of anyone who is confirmed or suspected to have influenza.
- Consider IT access issues such as RSA tokens, if applicable, for employees who are eligible to work from home.
- Understand Health Insurance Portability and Accountability Act (HIPPA)/Privacy rules.
- Contact your human resource staff for guidelines regarding sick leave and family leave policies.
- Keep your management chain and human resources staff (at Headquarters, administrative staff) aware of anyone who is suspected or confirmed with influenza.

- In the event of a CDC travel advisory, Federal employees who were on official travel may be authorized to use up to 3 days of excused absence/administrative leave. Employees who were on personal travel should take sick or annual leave until able to return to work.

Program Offices/Field Elements

Travel

- DOE follows State Department and CDC travel recommendations.
- Advise employees who return from a location for which a travel advisory exists to stay home, and if possible, telework.
- In the event of a CDC travel advisory, Federal employees who were on official travel may be authorized to use up to 3 days of excused absence/administrative leave. Employees who were on personal travel should take sick or annual leave until able to return to work.

Meetings - Conferences

- There is currently no restriction on conducting or attending meetings and/or conferences.

COOP

- Review and update COOP plan, including section on pandemic planning, if applicable.

Facility Management

Facilities

- Ensure that procedures are in place to sanitize offices.
- Ensure that custodial personnel are familiar with universal precautions and procedures to avoid cross contamination.
- Ensure that restrooms remain well stocked with supplies.
- Be prepared to have hand sanitation mechanisms/supplies at entrances and cafeterias/snack bars.
- Post signs to encourage personal preparedness and disease prevention.
- No change to the operation of ventilation systems is recommended.

Offices in General

- No changes are recommended for office operations and/or cleaning schedules.

Offices of Sick Individuals

- Wipe desks, phones, and keyboards with a sanitizing solution or wipe.

Custodial Crews

- Ensure that universal precautions against blood-borne pathogens are in place for cleaning restrooms or offices in which an individual has been sick.
- Ensure that Material Safety Data Sheets are available for cleaning/sanitizing solutions.
- Ensure that employees are following procedures for proper handling and use of chemicals.
- Prevent tendency to use more than necessary or to mix chemicals.

Food Service

- Ensure that food sanitation procedures are in place.
- Consider installing hand sanitizers at entrances for patrons.

Child Care Centers

- Ensure Centers are following their pandemic plans.
- Encourage parents to develop back up plans for the care of their sick children or in the event that their child care center is closed.

Health Care Facilities

- Ensure health care providers are working in compliance with their pandemic plan and CDC guidance.
- Provide educational materials regarding influenza.
- Keep aware of the number of cases within your State or local area.
- Review information and guidance on HHS website: <http://www.hss.energy.gov/HealthSafety/pandemic.html> or CDC www.flu.gov or WHO websites.
- Consider the purchase and stockpiling of antiviral medication.
- Initiate dialogue with State Health Department regarding procurement of vaccines for employees with mission essential functions.
- Brief senior management of potential threat.

- Maintain stock of universal protective materials (gloves, masks, disinfectants, etc)

Security Forces

- Follow recommended actions listed in “Employees” section above.
- Ensure hand-gel is placed at a visible and accessible location at reception areas.

Level 2

Viral Outbreak

- Larger clusters, but human to human transmission is localized
- Moderate virulence
- Community incidence or site absenteeism 20 to 25 percent

Employees

General Employee Population

- Focus on personal preparedness and disease prevention for yourself and others.
- Exercise, eat a healthy diet, and get plenty of sleep.
- Follow CDC guidelines on hand-washing (at least 20-30 seconds with soap or an alcohol-based hand gel). Wash your hands frequently.
- Cover your cough or sneezes appropriately, then wash your hands or use hand gel.
- Use a tissue or paper towel to open restroom door handles and to turn on/off faucets.
- If you or anyone who lives with you has flu-like symptoms call your doctor or other medical provider.
- Do not come to work sick!
- If possible, telework; discuss telework options with supervisor.
- Review sick leave and family leave options.
- Use sick leave as needed, plan to remain at home 24 hours after your fever returns to normal (without the use of medications).
- If your doctor or other health care provider confirms or suspects H1N1 influenza, inform your supervisor.
- Plan an annual seasonal influenza immunization.

- Sign a telework agreement and get an RSA token if you are eligible to work from home, if not already completed.
- Develop a family response plan, including communicating or providing care for elderly or distant relatives. (See Department of Homeland Security, Red Cross, or community websites.)
- Avoid mass transportation during peak hours due to increased risk of exposure to ill or contagious commuters.
- If you experience anxiety, contact your local Employee Assistance Program (EAP) office.
- Prepare your home with extra food, water, medicine, toiletries, pet supplies to cover at least two weeks as for any emergency situation.

Shared Equipment

- Viruses do not typically last a long time on solid surfaces; however, it is always good practice to wipe surfaces of shared equipment periodically with a sanitizing wipe or solution.
- For shared phones, consider individual headsets.

Team Sports - Fitness Centers

- Avoid close contact with others.
- Do not share towels, water bottles, etc.
- May cancel team sports.

Office Water - Coolers

- It is always good practice to sanitize stand-alone, office-type water coolers between water bottle replacements. Companies have instructions on their websites to sanitize coolers.
- Do not touch drinking cups, mouths, or water bottles to water fountain spigots.

Supervisors

- Ensure employees are informed about pandemic planning and preparedness.
- Ensure that notification lists are up to date.
- Review your local pandemic plan and discuss with employees.
- Verify appropriate telework agreements are in place for employees
- Review the advisability of subordinates teleworking if they become sick or anyone who lives with them becomes sick.

- Keep aware of anyone who is confirmed or suspected to have H1N1.
- Consider IT access issues such as RSA tokens, if applicable, for employees who are eligible to work from home.
- Understand Health Insurance Portability and Accountability Act (HIPPA)/Privacy rules.
- Contact your human resource staff for guidelines regarding sick leave and family leave policies.
- Keep your management chain and human resources staff (at Headquarters, administrative staff) aware of anyone who is suspected or confirmed with influenza.
- In the event of a CDC travel advisory, Federal employees who were on official travel may be authorized to use up to 3 days of excused absence/administrative leave. Employees who were on personal travel should take sick or annual leave until able to return to work.
- Have signed telework agreements in place for employees, if not already completed.
- Encourage employees to apply for RSA tokens, if not already completed.
- Consider social distancing:
- Implement staggered work schedules;
- Limit the number of people in meetings dependent on the size and layout of the room (try to keep people 3 – 6 feet apart);
- Encourage conference calls and televideo meetings.
- Plan to have essential workers backed up “3-deep” by cross-training and establish delegation of authority.
- Review policies related to restricting travel (domestic or foreign) for employees going to or leaving affected areas.
- Communicate need to prepare for widespread outbreak and to prepare accordingly. Consider providing additional protection to individuals who identify themselves as high risk (pregnant women, persons with compromised immune systems due to other medical conditions, persons age 65 or greater) by reducing their social contact or increasing the flexibility of worksite or hours.

Program Offices/Field Elements

- DOE follows State Department and CDC travel recommendations.
- Advise employees who return from a location for which a travel advisory exists to stay home, and if possible, telework.
- Limit non-essential travel.

Travel • If there is a CDC travel advisory, Federal employees who were on official travel may be authorized to use up to 3 days of excused absence/administrative leave. Employees who were on personal travel will have to take sick or annual leave until able to return to work.

Meetings - Conferences

- Limit face-to-face meetings; keep individuals 6 feet apart
- Encourage teleconferencing.

COOP

- Review and update COOP plan, including section on pandemic planning, if applicable.

Facilities

- Ensure that procedures are in place to sanitize offices.
- Ensure that custodial personnel are familiar with universal precautions and procedures to avoid cross contamination.
- Ensure that restrooms remain well stocked with supplies.
- Be prepared to have hand sanitation mechanisms/supplies at entrances and cafeterias/snack bars.
- Post signs to encourage personal preparedness and disease prevention.
- No change to the operation of ventilation systems is recommended.
- Make arrangements to allow for increased frequency or depth of cleaning especially for objects frequently touched by many people, such as doorknobs and handrails.

Custodial Crews

- Ensure that universal precautions against blood-borne pathogens are in place for cleaning restrooms or offices in which an individual has been sick.
- Ensure that Material Safety Data Sheets are available for cleaning/sanitizing solutions.
- Ensure that employees are following procedures for proper handling and use of chemicals.
- Prevent tendency to use more than necessary or to mix chemicals.

Offices in General

- No changes are recommended for office operations and/or cleaning schedules.

Offices of Sick Individuals

- Wipe desks, phones, and keyboards with a sanitizing solution or wipe.

Food Service - Snack Bars

- Ensure that food sanitation procedures are in place.
- Consider installing hand sanitizers at entrances for patrons.

Child Care Centers

- Ensure Centers are following their pandemic plans.
- Encourage parents to develop back up plans for the care of their sick children or in the event that their child care center is closed.

Health Care Facilities

- Ensure health care providers are working in compliance with their pandemic plan and CDC guidance.
- Provide educational materials regarding influenza.
- Keep aware of the number of cases within your State or local area.
- Review information and guidance on HHS website:
<http://www.hss.energy.gov/HealthSafety/pandemic.html> or CDC www.flu.gov , or WHO websites
- Consider the purchase and stockpiling of antiviral medication.
- Initiate dialogue with State Health Department regarding procurement of pre-pandemic or pandemic vaccines for employees with mission essential functions.
- Maintain stock of universal protective materials (gloves, masks, disinfectants, etc)
- Employees reporting to the health care facility with flu-like symptoms should be advised to go home and seek medical care. A facemask may be issued and recommended to be worn until symptoms subside.
- Replenish stocks of protective materials as needed.
- Consider purchase of specialized supplies for first responders and staff with close patient contact.
- Initiate surveillance in accordance with CDC, Department of Homeland Security or DOE recommendations.

- Initiate vaccine programs if vaccine is available.

Security Forces

- Follow recommended actions listed in “Employees” section above.
- Ensure hand-gel is placed at a visible and accessible location at reception areas.
- Wipe down equipment that is frequently shared, such as hand-held detector wands, and computer keyboards, with disinfectant wipe or spray.
- Facemask use is **not** recommended for protective forces in contact with the general employee population.

Level 3

Pandemic Situation

- Increased and sustained transmission in general population
- Community incidence or site absenteeism 35- 40 percent

Employees

General Employee Population

- Focus on personal preparedness and disease prevention to yourself or others.
- Exercise, eat a healthy diet, and get plenty of sleep.
- Follow CDC guidelines on hand-washing (at least 20-30 seconds with soap or an alcohol-based hand gel). Wash your hands frequently.
- Cover your cough or sneezes appropriately, then wash your hands or use hand gel.
- Use a tissue or paper towel to open restroom door handles and to turn on/off faucets.
- If you or anyone who lives with you has flu-like symptoms call your doctor or other medical provider.
- **Do not come to work sick!**
- If possible, telework; discuss telework options with supervisor.
- Review sick leave and family leave options.
- Use sick leave as needed, plan to remain at home 24 hours after your fever returns to normal (without the use of medications).
- If your doctor or other health care provider confirms or suspects H1N1 influenza, inform your supervisor.

- Plan an annual seasonal influenza immunization.
- Sign a telework agreement and get an RSA token if you are eligible to work from home, if not already completed.
- Develop a family response plan, including communicating or providing care for elderly or distant relatives. See Department of Homeland Security, Red Cross, or community websites.
- Avoid mass transportation during peak hours.
- If you experience anxiety, contact your local Employee Assistance Program (EAP) office.
- Prepare your home with extra food, water, medicine, toiletries, pet supplies to cover at least two weeks as for any emergency situation.

Shared Equipment

- Viruses do not typically last a long time on solid surfaces; however, it is always good practice to wipe surfaces of shared equipment periodically with a sanitizing wipe or solution.
- For shared phones, consider individual headsets.

Office Water - Coolers

- It is always good practice to sanitize stand-alone, office-type water coolers between water bottle replacements. Companies have instructions on their websites to sanitize coolers.
- Do not touch drinking cups, mouths, or water bottles to water fountain spigots.

Team Sports - Fitness Centers

- Cancelled

Supervisors

- Ensure employees are informed about pandemic planning and preparedness.
- Ensure that notification lists are up-to-date.
- Review your local pandemic plan and discuss with employees.
- Verify appropriate telework agreements are in place for employees
- Review the advisability of subordinates teleworking if they become sick or anyone who lives with them becomes sick.
- Keep aware of anyone who is confirmed or suspected to have H1N1.

- Consider IT access issues such as RSA tokens, if applicable, for employees who are eligible to work from home.
- Understand Health Insurance Portability and Accountability Act (HIPPA)/Privacy rules.
- Contact your human resource staff for guidelines regarding sick leave and family leave policies.
- Keep your management chain and human resources staff (at Headquarters, administrative staff) aware of anyone who is suspected or confirmed with influenza.
- If there is a CDC travel advisory, Federal employees who were on official travel may be authorized to use up to 3 days of excused absence/administrative leave.
- Employees who were on personal travel will have to take sick or annual leave until able to return to work.
- Have signed telework agreements in place for eligible employees, if not already completed.
- Encourage employees to apply for RSA tokens, if not already completed.
- Consider social distancing:
 - Implement staggered work schedules;
 - limit the number of people in meetings dependent on the size and layout of the room (try to keep people 3 – 6 feet apart);
 - Encourage conference calls and televideo meetings.
- Plan to have essential workers backed up “3-deep” by cross-training and establish delegation of authority.
- Review policies related to restricting travel (domestic or foreign) for employees going to or leaving affected areas.
- Communicate need to prepare for widespread outbreak and to prepare accordingly
- Consider providing additional protection to individuals who identify themselves as high risk (pregnant women, persons with compromised immune systems due to other medical conditions, persons age 65 or greater) by reducing their social contact or increasing the flexibility of worksite or hours.
- Expect a large number of employees to be absent due to illness or care of family members.
- Plan on 6-8 week contingency operations.
- Ensure essential functions are maintained.
- Consider relocation and re-distribution of staff.
- Consider issuing a site-wide evacuation order whereby the site executes its COOP.

Program Offices/ Field Elements

Travel

- DOE follows State Department and CDC recommendations.
- Advise employees who return from a location for which a travel advisory exists to stay home, and if possible, telework.
- If there is a CDC travel advisory, Federal employees who were on official travel may be authorized to use up to 3 days of excused absence/administrative leave. Employees who were on personal travel will have to take sick or annual leave until able to return to work.
- Limit non-essential travel.

Meetings - Conferences

- Keep individuals 3 - 6 feet apart.
- Suspend non-essential meetings.
- Use teleconferencing.

COOP

- Review and update COOP plan, including section on pandemic planning, if applicable.
- Prepare to activate COOP, if warranted.

Facilities

- Ensure that procedures are in place to be able to sanitize offices.
- Make arrangements to allow for increased frequency or depth of cleaning.
- Ensure that custodial personnel are familiar with universal precautions and procedures to avoid cross contamination.
- Ensure that restrooms remain well stocked with supplies.
- Be prepared to have hand sanitation mechanisms/supplies at entrances and cafeterias/snack bars.
- Post signs to encourage personal preparedness and disease prevention.
- No change to the operation of ventilation systems is recommended.
- Make arrangements to allow for increased frequency or depth of cleaning especially for objects frequently touched by many people, such as doorknobs and handrails.

- There is no evidence to support the efficacy of widespread disinfection of the environment or air.

Custodial Crews

- Ensure that universal precautions against blood-borne pathogens are in place for cleaning restrooms or offices in which an individual has been sick.
- Ensure that Material Safety Data Sheets are available for cleaning/sanitizing solutions.
- Ensure that employees are following procedures for proper handling and use of chemicals.
- Prevent tendency to use more than necessary or to mix chemicals.

Offices in General

- Surfaces that are frequently touched with hands (keyboards, phones, personal items) should be disinfected at least daily by employees.

Offices of Sick Individuals

- Wipe desks, phones, and keyboards with a sanitizing solution or wipe.

Food Service - Snack Bars

- Ensure that food sanitation procedures are in place.
- Consider installing hand sanitizers at entrances for patrons.

Child Care Centers

- Ensure Centers are following their pandemic plans
- Encourage parents to develop back up plans for the care of their sick children or in the event that their child care center is closed.
- Consider closure of child care centers following guidance from State Health Departments/Board of Education for your area

Health Care Facilities

- Ensure health care providers are working in compliance with their pandemic plan and CDC guidance.
- Provide educational materials regarding influenza.
- Keep aware of the number of cases within your State or local area.

- Review information and guidance on HHS website: <http://www.hss.energy.gov/HealthSafety/pandemic.html> or CDC www.flu.gov or WHO websites.
- Consider the purchase and stockpiling of antiviral medication.
- Initiate dialogue with State Health Department regarding procurement of vaccines for employees with mission essential functions.
- Maintain stock of universal protective materials (gloves, masks, disinfectants, etc).
- Employees reporting to the health care facility with flu-like symptoms should be advised to go home and seek medical care. A facemask may be issued and recommended to be worn until symptoms subside.
- Replenish stocks of protective materials as needed.
- Consider purchase of specialized supplies for first responders and staff with close patient contact.
- Initiate surveillance in accordance with CDC, Department of Homeland Security or DOE recommendations.
- Initiate vaccine programs if vaccine is available.
- Consider the purchase of anti-viral medication for essential personnel.
- Initiate discussion with State Health Department regarding the procurement of pre-pandemic or pandemic vaccine.

Security Forces

- Follow recommended actions listed in “Employees” section above.
- Ensure hand-gel is placed at a visible and accessible location at reception areas.
- Wipe down equipment that is frequently shared, such as hand-held detector wands, and computer keyboards, with disinfectant wipe or spray.
- Facemask use is not recommended for protective forces in contact with the general employee population.
- Restrict the number of visitor entrances to ensure adequate number of security personnel.

Appendix IV - Training Offered in FY 2009 and Number of Employees Trained ⁸

Type of Training Provided in FY 2009	Number Trained
Office of the Chief Human Capital Officer	
ENVIRONMENTAL PROTECTION: Air Pollution	1
ELECTRICAL EQUIPMENT: Transformers	1
ELECTRICAL EQUIPMENT: Electrical Production and Distribution	1
ENVIRONMENTAL PROTECTION: Water Pollution and Waste Disposal	1
Fire Safety	1
HQ Emergency Video 270	3
HQ Emergency Video 955	4
HQ Emergency Video Forrestal	3
National Security Objectives, Structures, and Processes: An Introduction course	4
Operations Security (OPSEC) Overview	2
Personnel Security Annual Refresher Training--FY 2009	2
Federal Employee Occupational Safety and Health (FEOSH) Orientation Program	6
Sexual Harassment Prevention for Federal Employees	1
Office of Management	
New Employee Orientation	334
Escape Mask Training	262
Warden/Monitor Training	46
Incident Management Training	110
First Aid/CPR/AED Training	60
Asbestos Awareness Briefing	About 1500
National Nuclear Safety Administration	
Alcohol Awareness	400
Emergency Radiological	400
Handling and storage of Explosives	400

⁸ These are examples of training offered and are not intended to be a comprehensive list of all DOE safety training. The number of training hours completed are as reported.

Type of Training Provided in FY 2009	Number Trained
Federal employee occupational safety and health	500
Fire fighting	400
Flight line driving	400
General Employee Radiation Training	400
Hazardous materials	400
Hearing conservation	400
Integrated Safety Management	400
Lead safety	400
Nuclear cargo safety	400
Respiratory protection	400
Technical safety requirements	400
Tiedown procedures	400
Pantex Site Office	
Occupational Safety & Health	72
Beryllium Worker	14
Hazard Communication	73
Emergency Management	73
Fire Protection	73
RadCon for Managers	8
General Employee Radiation Training	39
Radiation Worker Training I	1
Radiation Worker Training II	2
Human Performance Improvement	8
High Reliability Operations	58
Nevada Site Office (courses part of Technical Qualification Program)	
Industrial Hygiene	74
Fire Safety, Occupational Health and Safety Act	74
Integrated Safety Management	74
29 CFR 1910.120 Hazardous Waster Operations and Emergency Response	74
Radiological Controls and Theory	74
Contamination Control and Theory	74
Radiological Practices/ Procedures/Limits	74
Basic Nuclear Theory and Principles	74

Type of Training Provided in FY 2009	Number Trained
Basic Fission Process	74
Basic Radiation Detection Methods and Principles	74
Sources and types of Radioactive and Hazardous Waste	74
Orders/Standards and regulations related to Environmental Protection/Restoration & Waste	74
Principles of the Conduct of Operations	74
Management	74
DOE Order 232.1-Occurance Reporting and Processing of Operations Information	74
DOE O 414.1B and it's Relationship to 10 CFR 830.120-Quality Assurance	74
DOE O 5480.21-Unreviewed Safety Questions	74
DOE O 5480.22 and 10 CFR 830 Subpart B	74
DOE O 420.1a-Facility Management	74
Western Area Power Marketing Administration	
ENVIRONMENT (with included safety topics)	
Hazardous and Universal Waste Handling Procedures	114
Oil SPCC Initial and Annual Refresher	13
PCB (Polychlorinated Biphenyls) Handling Procedures	74
Pollution Prevention and Waste Minimization Training	78
SAFETY TOPICS	
DOE Order 440.1 Overview	58
Acting Foreman	210
ARC Flash Training	132
ATV Training	0
Barehand Certification	12
Brush Cutting/Chipper	14
Chain Saw Operation	14
Construction Safety	0
Crane Operation	0
Desert Survival	0
DOT Training	8
DOT MOT Training	11
Drug & Alcohol Awareness -Supervisor	0
Excavation Trench Shore Safety	0
Fall Protection	78

Type of Training Provided in FY 2009	Number Trained
Forklift Training	0
Grounding	131
Heavy Equipment Operator	0
Helicopter Aerial OB Safety	0
Hotstick Certification	12
JHA	0
Manlift Operations	0
Motor Carrier	0
Pilot Car	0
Pole Top Rescue	10
Power Tools	0
Rigging	0
SF6 Gas	0
Snowcat Training	49
Snowmobile Training	0
Switch Certification	114
Tree Cutting	33
Welding Machine	19
Winter Driving School (Substitute for Defensive Driving)	0
Winter Survival	0
AED	47
Asbestos Training	6
Bloodborne Pathogens	54
Confined Space	0
CPR	300
Defense Driving	128
ERGO	150
Federal Employee Occupational Safety and Health	1
Fire Extinguisher Safety	30
First Aid	200
Hantavirus	043
Hazard Communication Training	114
Hazardous Waste Operations and Emergency Response (HAZWOPER) Refresher Training	120
Hearing Conservation	40

Type of Training Provided in FY 2009	Number Trained
Lead Awareness-initial training	0
Lockout/Tagout	0
Occupant Emergency Plan	63
PPE	40
Respirator	0
RF Training	0
Safe Electrical Work Practice	81
Flammable Liquid Safety	0
General Safety	56
Heat & Cold Stress	0
Proper Lifting	0
Save-a-Back	133
Slips, Trips, & Falls	0
Annual Security Training (may include the following: Violence in the Workplace, Continuity of Operations, Counterintelligence, Information Security, Physical Security)	331
Security Refresher Briefing for employees with security clearance	17
OCRWM Yucca Mountain Project	
All Terrain Vehicles (ATVs) On-the-Job-Training (OJT)	10
American Heart Association First Aid and CPR/Automated External Defibrillator (AED)	15
Cart Safety the Integrated Safety Management (ISM) Way (Computer-basted Training [CBT])	1
Caterpillar Backhoe Loader, Model 446B (OJT)	4
Emergency Response Team (ERT) Training for Nevada -- Office of Civilian Radioactive Waste Management (OCRWM)	1
Fork Lift Truck 1.5-10 Ton (OJT)	5
General Employee Training (GET) - Initial Class	4
Powered Industrial Vehicles -- Forklifts (CBT)	4
Respiratory Protection -- Annual Refresher (CBT)	5
Site Access Training (CBT)	7
YMP Hearing Conservation (CBT)	6
Workplace Safety	1
FEOSH Orientation	1

Type of Training Provided in FY 2009	Number Trained
Idaho Operations Office/Nuclear Energy	
ES&H Awareness Training	60
GERT	62
ICP Site Access Training	13
ICP RadWorker 1 Initial Training	6
ICP RadWorker 1 Refresher Training	2
INL RadWorker 1 Initial	4
INL RadWorker 2 Initial	1
RadWorker 1 Refresher Training	28
RadWorker 1 Practical Training	23
ICP RadWorker 2 Initial Training	18
ICP RadWorker 2 Refresher Training	31
RadWorker 2 Practical	22
ICP RadWorker 2 Practical	20
Hazwoper Core Part A	2
Hazwoper Core Part B	1
24-Hour Hazwoper Training	10
8-Hour Hazwoper Scope	43
8-Hour Hazwoper Toxicology	40
8-Hour Hazwoper Haz and Risk	40
8-Hour Hazwoper Respiratory	39
8-Hour Hazwoper Conf Spaces	35
8-Hour Hazwoper Site Control	35
8-Hour Hazwoper Emergency Response	40
8-Hour Hazwoper Refresher INEEL	41
8-Hour Hazwoper Classroom	4
MFC Access	29
HazardCom Core Training	2
ICP Personal Protective Equipment	1
PPE	3
INTEC Facility Specific TSDF Hazwoper	13
RWMC Access and HazardCom	8
ICP Beryllium Safety	17
INL Beryllium Safety	6
Accelerated Retrieval Project Health and Safety Plan	8

Type of Training Provided in FY 2009	Number Trained
BEA Site Access Training	37
TSCM Awareness Briefing	31
SMC Equipment Operator Boundaries/Zones	1
Richland Operations Office	
RL Functions, Responsibilities and Authorities Manual	44
RL Quality Assurance Program Description	44
RL Integrated Safety Management System Description	44
Hanford "Stop Work" Policy	44
Hanford Site Tri-Party Agreement	44
SCRD O 470.2B, Rev. 2, Independent Oversight and Performance Assurance Program	44
Richland Integrated Management System (RIMS)	44
Contractor Integrated Performance Evaluation Management System	44
Safety and Health Management System	44
RL Contracts	44
Project Hanford Management Contract	44
River Corridor Closure Contract I	44
Plateau Remediation Contract	44
Contractor Quality Assurance Program Description	44
Contractor Integrated Safety Management System Description	44

Appendix V - DOE OSH Poster



The poster features a central graphic with the DOE seal and several circular portraits of diverse employees. The title is in large yellow font on a dark blue background. The text is organized into columns with bullet points. At the bottom, there is a white box with a blue border containing a form and contact information.

Occupational Safety and Health Protection for DOE Employees

The Occupational Safety and Health Act of 1970, Executive Order 12196, and 29 CFR Part 1960 require the heads of Federal agencies to furnish employees places and conditions of employment that are free from job-related safety and health hazards.

Management Responsibilities

- Comply with applicable OSHA standards or approved DOE alternate standards.
- Establish procedures for responding to employee reports of unsafe or unhealthful working conditions.
- Acquire, maintain, and require the use of approved personal protective equipment and safety equipment.
- Ensure that personnel who are trained in hazard recognition conduct inspections of all workplaces at least annually and that employee representatives are permitted to participate.
- Establish procedures to assure that no employee is subject to restraint, interference, coercion, discrimination, or reprisal for exercising his/her rights under the DOE safety and health program.
- Post notices of unsafe or unhealthful working conditions found during inspections.
- Assure prompt abatement of hazardous conditions. Employees exposed to the conditions must be informed of the abatement plan. Conditions which pose an imminent danger must be corrected immediately.
- Develop a management information system to retain records of occupational accidents, injuries, illnesses, and their causes. An annual summary of injuries and illnesses must be posted for a minimum of 30 days.
- Conduct safety and health training for top management, supervisors, safety and health personnel, safety and health committee members, employee representatives, and all other employees.

Employee Responsibilities

- Comply with applicable OSHA standards or approved DOE alternate standards.
- Comply with DOE policies and directives relative to the safety and health program.
- Use personal protective equipment and safety equipment provided by DOE.

Rights of Employees and Their Representatives

- Participate in the DOE safety and health program. Employees must be authorized official time to participate in the activities provided by Executive Order 12196, 29 CFR Part 1960, and the DOE safety and health program.
- Have access to DOE standards, injury and illness statistics, and safety and health program procedures.
- Present comments on proposed DOE alternate standards.
- Report and request inspections of unsafe or unhealthful working conditions to the appropriate officials, including the Secretary of Labor, with assured anonymity. However, the Secretary of Labor encourages employees to use DOE procedures for reporting hazardous conditions as the most expeditious means of correction.



The Safety and Health Official for this Workplace is:

Name: _____

Title: _____

Location: _____

Telephone Number: _____

The Department of Energy Designated Safety and Health Official is :

Chief Health, Safety and Security Officer
HS-1
1000 Independence Avenue, SW
Washington, DC 20585

Appendix VI - DEAR Contract Clause

970.5223-1 Integration of environment, safety, and health into work planning and execution.

As prescribed in 48 CFR 970.2303-2(a), insert the following clause:

INTEGRATION OF ENVIRONMENT, SAFETY, AND HEALTH INTO WORK PLANNING AND EXECUTION (DEC 2000)

- (a) For the purposes of this clause,
- (1) Safety encompasses environment, safety and health, including pollution prevention and waste minimization; and
 - (2) Employees include subcontractor employees.
- (b) In performing work under this contract, the contractor shall perform work safely, in a manner that ensures adequate protection for employees, the public, and the environment, and shall be accountable for the safe performance of work. The contractor shall exercise a degree of care commensurate with the work and the associated hazards. The contractor shall ensure that management of environment, safety and health (ES&H) functions and activities becomes an integral but visible part of the contractor's work planning and execution processes. The contractor shall, in the performance of work, ensure that:
- (1) Line management is responsible for the protection of employees, the public, and the environment. Line management includes those contractor and subcontractor employees managing or supervising employees performing work.
 - (2) Clear and unambiguous lines of authority and responsibility for ensuring (ES&H) are established and maintained at all organizational levels.
 - (3) Personnel possess the experience, knowledge, skills, and abilities that are necessary to discharge their responsibilities.
 - (4) Resources are effectively allocated to address ES&H, programmatic, and operational considerations. Protecting employees, the public, and the environment is a priority whenever activities are planned and performed.
 - (5) Before work is performed, the associated hazards are evaluated and an agreed upon set of ES&H standards and requirements are established which, if properly implemented, provide adequate assurance that employees, the public, and the environment are protected from adverse consequences.
 - (6) Administrative and engineering controls to prevent and mitigate hazards are tailored to the work being performed and associated hazards. Emphasis should be on designing the work and/or controls to reduce or eliminate the hazards and to prevent accidents and unplanned releases and exposures.

- (7) The conditions and requirements to be satisfied for operations to be initiated and conducted are established and agreed-upon by DOE and the contractor. These agreed upon conditions and requirements are requirements of the contract and binding upon the contractor. The extent of documentation and level of authority for agreement shall be tailored to the complexity and hazards associated with the work and shall be established in a Safety Management System.
- (c) The contractor shall manage and perform work in accordance with a documented Safety Management System (System) that fulfills all conditions in paragraph (b) of this clause at a minimum. Documentation of the System shall describe how the contractor will:
- (1) Define the scope of work;
 - (2) Identify and analyze hazards associated with the work;
 - (3) Develop and implement hazard controls;
 - (4) Perform work within controls; and
 - (5) Provide feedback on adequacy of controls and continue to improve safety management.
- (d) The System shall describe how the contractor will establish, document, and implement safety performance objectives, performance measures, and commitments in response to DOE program and budget execution guidance while maintaining the integrity of the System. The System shall also describe how the contractor will measure system effectiveness.
- (e) The contractor shall submit to the contracting officer documentation of its System for review and approval. Dates for submittal, discussions, and revisions to the System will be established by the contracting officer. Guidance on the preparation, content, review, and approval of the System will be provided by the contracting officer. On an annual basis, the contractor shall review and update, for DOE approval, its safety performance objectives, performance measures, and commitments consistent with and in response to DOE's program and budget execution guidance and direction. Resources shall be identified and allocated to meet the safety objectives and performance commitments as well as maintain the integrity of the entire System. Accordingly, the System shall be integrated with the contractor's business processes for work planning, budgeting, authorization, execution, and change control.
- (f) The contractor shall comply with, and assist the Department of Energy in complying with, ES&H requirements of all applicable laws and regulations, and applicable directives identified in the clause of this contract entitled "Laws, Regulations, and DOE Directives." The contractor shall cooperate with Federal and non-Federal agencies having jurisdiction over ES&H matters under this contract.
- (g) The contractor shall promptly evaluate and resolve any noncompliance with applicable ES&H requirements and the System. If the contractor fails to provide resolution or if, at any time, the contractor's acts or failure to act causes substantial harm or an imminent danger to the environment or health and safety of employees or the public, the contracting officer may issue an order stopping work in whole or in part. Any stop work order issued by a contracting officer under this clause (or issued by the contractor to subcontractor in accordance with paragraph (i) of this clause) shall be without prejudice to any other legal or contractual rights of the Government. In the event that the contracting officer issues a stop work order, an order

authorizing the resumption of the work may be issued at the discretion of the contracting officer. The contractor shall not be entitled to an extension of time or additional fee or damages by reason of, or in connection with, any work stoppage ordered in accordance with this clause.

- (h) Regardless of the performer of the work, the contractor is responsible for compliance with the ES&H requirements applicable to this contract. The contractor is responsible for flowing down the ES&H requirements applicable to this contract to subcontracts at any tier to the extent necessary to ensure the contractor's compliance with the requirements.
- (i) The contractor shall include a clause substantially the same as this clause in subcontracts involving complex or hazardous work on site at a DOE-owned or -leased facility. Such subcontracts shall provide for the right to stop work under the conditions described in paragraph (g) of this clause. Depending on the complexity and hazards associated with the work, the contractor may choose not to require the subcontractor to submit a Safety Management System for the contractor's review and approval.

(End of clause)

Appendix VII - Evaluation Protocol

The following transmittal memorandum provided direction to the Office of Environmental Management field elements for the conduct of their FY 2009 self-evaluation which included an assessment of their FEOSH program effectiveness.



Department of Energy

Washington, DC 20585

June 16, 2009

MEMORANDUM FOR DISTRIBUTION

FROM: JAMES OWENDOFF
CHIEF OPERATIONS OFFICER 
FOR ENVIRONMENTAL MANAGEMENT

SUBJECT: Fiscal Year (FY) 2009 Integrated Safety Management System (ISMS) and Quality Assurance (QA) Effectiveness and Annual Declaration

You are requested to perform an ISMS and QA effectiveness review for FY 2009 and submit a declaration report by October 30, 2009. The declaration should include a summary of the results of your annual effectiveness review and the status of ISMS and QA implementation within your office and your contractor's organizations.

DOE M 450.4-1, *Integrated Safety Management System Manual*, and DOE O 414.1C, "Quality Assurance," provide general guidelines for ISMS and QA review and declaration. For Environmental Management (EM) organizations, the annual ISMS/QA declaration should address all 10 criteria identified in the attached *FY 2009 Annual ISMS and QA Review Criteria and Declaration Guidance*. The criteria represent an effective integration of Safety, QA, and Environmental Management System (EMS) elements. For those sites that are still developing program elements to comply with the requirements of DOE O 450.1A, provide the implementation plans for initial certification efforts. In order to ensure appropriate focus and consistency of contents of the declaration report, a sample format is also provided in the guidance document.

All organizations are required to maintain their ISMS Descriptions and to ensure that they are complete, accurate, and up-to-date. Along with the annual ISMS/QA declaration report, please provide the most recent update of your office's ISMS Description along with your EM Corporate QA Performance Metrics summary reports. If no changes are needed to maintain the ISMS Description up-to-date, an explanation to this effect must be included in your declaration report.

Please submit your declaration report to Dae Chung, Deputy Assistant Secretary for Safety Management and Operations, with electronic copies to Chuan Wu at Chuan-Fu.Wu@EM.DOE.gov and B. K. Singh at Braj.Singh@EM.DOE.gov. If you or your staff have any questions, please call Chuan Wu at (202) 586-4166 or B. K. Singh at (301) 903-3037.

Attachment



Distribution

David Brockman, Manager, Richland Operations Office (RL)
Shirley Olinger, Manager, Office of River Protection (ORP)
Jeffrey M. Allison, Manager, Savannah River Operations Office (SR)
David C. Moody, Manager, Carlsbad Field Office (CBFO)
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Fiscal Year 2009 Annual Integrated Safety Management System and Quality Assurance Review Criteria and Declaration Guidance

Office of Environmental Management

1.0 Objectives

The Environmental Management (EM) Fiscal Year (FY) 2009 Annual Integrated Safety Management System (ISMS) and Quality Assurance (QA) Review Criteria and Declaration Guidance document ensures a systematic approach for EM field elements to perform annual ISMS and QA effectiveness reviews and prepare an annual declaration of the status of ISM and QA implementation using the results of this review. It also provides review criteria for EM Headquarters (HQ) for evaluating field office annual ISMS and QA Declaration and related documents.

2.0 Introduction

The EM field offices are responsible for performing annual ISM and QA effectiveness reviews and use the results of this review to prepare an annual declaration of the status of ISMS and QA implementation and submit it to EM HQ.

The annual ISMS and QA effectiveness reviews are an essential element of ISMS and QA implementation that allows for making necessary adjustments to promote continuous improvement. These annual effectiveness reviews are comprehensive and encompasses multiple elements, including review of: self-assessments, oversight reviews results, integrated reviews across multiple reporting elements, performance against established Performance Objectives, Measures, and Commitments (POMCs), Operating Experience Programs (OEP), and other feedback and performance information. Elements of these reviews are ongoing throughout the year, and culminate in a review report that supports an annual summary evaluation. The purpose of these reviews is to:

- (1) Determine the effectiveness of the ISMS Description and QA Plan (QAP) in supporting the conduct of work.
- (2) Identify weaknesses to focus attention on corrective and improvement actions.
- (3) Identify opportunities for improvement in efficiency or effectiveness of the ISMS and QA documents and their implementation, and identify actions for continuous improvement both at the site and for sharing with other Department of Energy (DOE) elements to aid in improvements at other locations.

Annual declaration documents the annual summary evaluation of the effectiveness review and provides useful feedback on the effectiveness status of these management systems and focus attention on identified safety and quality performance issues.

DOE field offices are encouraged to plan and conduct full ISMS verifications on a fixed periodicity, such as once every three to five years, to promote organizational learning and continuous improvement. Field offices should consider the scope and periodicity of assessment activities by outside groups in determining whether a full verification is needed. Tailoring the scope of the verification to focus on areas that have not received recent attention or are known to

need verification of improvement actions is a good practice. Further, DOE field offices are encouraged and required by DOE 0 414.1C "Quality Assurance" to perform independent assessments of QAP implementation effectiveness with a scope and frequency that is graded and based on the status of prior quality performance and any third-party QAP certification. Once the need, scope and frequency are identified, ISMS re-verifications and QA independent assessments should be scheduled on the sites Integrated Assessment Schedule.

The annual declaration should address all 10 criteria discussed in Section 5, including POMCs for the next FY. It should also include an ISMS Description update, if necessary. The guidance for preparation of these documents is discussed in Sections 5-7.

The timing of this annual process is coordinated with the budget cycle so that safety and quality inputs to the budget process are made at an appropriate time to have an impact on future resources. EM HQ establishes and communicates an appropriate schedule to coordinate with the budget cycle. Once established, this schedule is maintained, to the extent practicable, so that the annual process is predictable and manageable. The field office organizations are required to submit to EM HQ annual declarations by the end of October 2009, unless otherwise directed by EM HQ. The effectiveness reviews should be planned to meet this deadline.

3.0 Recommended Process for Annual ISMS and QA Effectiveness Reviews

In order to develop required documents, the following steps constitute the annual effectiveness reviews:

- (1) Perform annual effectiveness review of the contractor's ISMS and QA management systems (may be conducted throughout the year with culminating analysis document summarizing the annual review results).
- (2) Perform self-assessment of the field office ISMS and QA management systems.
- (3) Update the ISMS Description and QAP as necessary.
- (4) Prepare the ISMS and QA POMCs for the next FY.
- (5) Prepare the ISMS and QA Declaration, including addressing the 10 criteria identified in Section 5.0.

The annual ISMS effectiveness review process is discussed in Attachment 4 (Guidelines for Improving DOE ISMS Implementation) of DOE M 450.4-1, *Integrated Safety Management System Manual*, dated November 1, 2006. Guidelines for performing annual QA effectiveness reviews can also be found in DOE G 414.1-IA "Management Assessment and Independent Assessment Guide."

Both process and outcome measures should be considered for evaluating effectiveness. Examples of ISM process measures include:

- (1) Implementation of each ISMS core function and principle.
- (2) Integration of ISM with other management systems, such as QA, Environmental Management System (EMS), and OEP.
- (3) Identification of weaknesses and improvement activities.
- (4) Satisfactory performance on process-based performance measures.
- (5) Positive feedback from oversight reviews.

Examples of outcome measures include satisfactory performance on outcome-based performance measures, including those related to safe identification of work activities.

DOE field offices are recommended to determine and provide the criteria they will use to judge effectiveness to their contractors as early as possible, and preferably one year in advance, so that contractors can effectively focus their resources and efforts to meet expectations. Similarly, DOE field offices would benefit from early identification of effectiveness criteria in planning self-assessments and line oversight reviews. The criteria for determining effectiveness should be included in the ISMS description and QAP and updated annually if changes are made.

ISMS and QA requirements are applicable to subcontractors as well as the Management and Operation (M&O) or Management and Integration (M&I) contractors. The subcontractors should be required to either develop an individual ISMS Description or to meet the requirements of the M&O/M&I ISMS Description. Prime contractors are responsible for flowing-down quality requirements to subcontractors who are then required to develop applicable QA programs. Therefore, it is necessary that the ISMS and QA verification include subcontractors, and as appropriate, their ISMS Descriptions and QAPs be evaluated utilizing the same core expectations and requirements. The Criteria and Review Approach Documents (CRADs) should be appropriately tailored to include the subcontractors.

4.0 CRAD for Annual ISMS and QA Effectiveness Reviews

The annual ISMS and QA effectiveness review should assess implementation of the ISMS Description and QAP; and assess the adequacy of the management systems performance. The review team will delineate areas, if any, where ISMS and QA implementation fail to meet review criteria. The team should review performance against the ISMS Description and QAP, including company-level documents identified in the ISMS Description and QAP and facility-level process documents, using the CRADs developed by the review team. Based on this assessment, the review team will draw conclusions and make recommendations to the DOE Field Manager as to whether ISMS Description implementation and QAP are adequate.

The scope of the review should include all EM projects, facilities, and activities managed by the field office. In assessing the adequacy of ISMS and QA implementation, the review should consider relevant aspects of ISMS and QA performance, performance trends, assessment results, and the results of independent ISMS and QA assessments.

DOE-HDBK-3027-99, *Integrated Safety Management Systems Verification Team Leader's Handbook*, provides extensive direction and guidance on how to conduct ISMS reviews. The set of CRADs in the Handbook provide a template for developing a tailored approach for conducting annual ISMS effectiveness reviews. DOE offices should use the direction and guidance provided in the Handbook for developing the CRADs for conducting ISMS reviews. ISMS core expectations from this Handbook should be included in the review. DOE G 450.4-1 B (Volumes I & 2), *Integrated Safety Management System Guide*, and DOE G 414.1-IB, *Management and Independent Assessments Guide*, provide guidance for conducting QA reviews along with additional guidance for conducting ISMS reviews.

The annual effectiveness review is an assessment of the adequacy of the ISMS documentation and QA performance as submitted to the Approval Authority by the contractor. The review evaluates how these procedures, policies, and manuals of practice have been implemented at the

upper levels of management and includes detailed discussions with key management personnel who are assigned, or will be assigned, safety management responsibilities. The primary goal for the review is to provide recommendations to the approval authority as to whether the ISMS and QA documentation should be approved and the performance of these management systems meets expectations. To reach that conclusion, it is necessary to develop a complete understanding of the safety and quality management programs and to determine that, when implemented; they will satisfy DOE requirements for ISMS and QA and adequately manage and perform the work correctly and safely. The review also includes an assessment of the adequacy of the DOE office responsibilities as they relate to ISMS and QA interface functions, responsibilities, and authorities.

Each CRAD objective specific to ISMS includes a reference to the specific ISMS Core Expectation (CE) it addresses. The referenced CEs as delineated in DOE G 450.4-1B and Appendices of this Guide are included in parenthesis after the statement of the objective. As for QA each performance metric references a specific criterion of 10 CFR 830.122 and DOE 0414.1C.

The full scope of the review of DOE responsibilities to support the development of ISMS is contained in the Business, Budget and Contracts (BBC), Hazards Identification and Standard Selection (HAZ), and DOE CRADs. The scope of the review for QA was provided in a January 8, 2009, memorandum from the Deputy Assistant Secretary for the Office of Safety Management and Operations. These approaches involve the review of DOE programs and policies, interviews with DOE managers, and selected observations of DOE interactions with the contractor. In preparation of the tailored CRADs for the DOE review, the applicable DOE FRAM/EM FRA documents should be reviewed to determine the extent of the review approaches.

ISMS and QA policy requirements are applicable to subcontractors as well as the prime contractors. The DEAR clause specifies that the subcontractors be required to either develop an individual ISMS Description or meet the requirements of the prime contractor's Description. Therefore, it is necessary that the ISMS verification includes subcontractors and that as appropriate their ISMS Description be evaluated utilizing the same core expectations. The CRADs should be appropriately tailored to include the subcontractors. The FAR describes requirements for QA programs.

5.0 Annual ISMS and QA Declaration

The Annual Declarations provide an opportunity to review, analyze, and evaluate safety and quality performance and are a means to identify continuous improvements for EM programs. The desired outcome is a conclusion stating that the ISMS and QA management systems are effective while identifying improvements and any remaining weaknesses. Declarations should address the 10 criteria listed below and must be supported by objective evidence, such as: safety and quality performance metrics and trending data; results from assessments, surveillances, management walkthroughs, and event and accident investigations; and documented effectiveness of corrective actions taken to improve deficiencies or adverse safety and/or quality performance. The objective evidence should include both DOE and contractor oversight activities. It is anticipated that improvements and enhancements will occur periodically to remedy weaknesses and to achieve continuous improvement. The requirements for improving ISMS implementation for annual ISMS Declarations are provided in Chapter II of DOE M 450.4-1, *Integrated Safety*

Management System Manual, dated November 1, 2006. Improvements to QA should be referenced from DOE 0 414.1C, the appropriate guides, and associated consensus standards.

The field office organizations are required to submit to EM HQ annual Declarations by the end of October 2009. The effectiveness review and applicable POMC development activities should be planned to meet this deadline. The analysis of ISMS must include criteria 1-10. The analysis of QA must include criteria 2, 9, and 10. The annual declarations should address the following 10 criteria:

1. ISMS Effectiveness and Changes Made to the ISMS of DOE and Contractor Organizations

- a. How effectively the ISMS Description is maintained and an overall judgment as to the effectiveness of the ISMS implementation? If the judgment is that ISMS is effectively implemented, provide justification/discussion for the decision based on how ISMS has provided the worker with a safe work process. If it is concluded that ISMS is not effective or requires strengthening, identify the actions planned by DOE and/or the contractor(s).
- b. Changes made to the ISMS since the last declaration and a determination of effectiveness of the changes. The Field office must submit a copy of the most recent update of its ISMS Description along with the declaration report.

2. Effective Integration of Environmental Management System (EMS), QA, and ISMS

- a. How effectively EMS, QA Program, Worker Safety and Health Programs, Operating Experience Program, and other management processes and systems are being integrated into the ISMS.
- b. Provide a summary level evaluation of the effectiveness of QA program implementation by the field office and contractors. (Note: Requested detail with respect to individual QAPs is described under criterion 10).

3. Operating Experience Program (OEP)

- a. Describe the results of assessment/self-assessment conducted to evaluate the effectiveness of the OEP as required by DOE Order 210.2, *DOE Corporate Operating Experience Program*. Include measures taken to prevent adverse operating incidents and to expand the sharing of lessons learned.
- b. List significant safety events (reportable and non-reportable), to include Type A or B accidents that have occurred since the last declaration. Include investigation results, corrective actions taken, lessons learned shared, and their effectiveness in preventing recurrence, addressing programmatic weaknesses, and improving safety performance.
- c. Include a summary of "Recurring" event reports that have been identified since the last declaration. Include a brief description of the nature, cause, and result of the occurrences identified through the quarterly analyses required by DOE Manual 231.1-2, *Occurrence Reporting and Processing of Operations Information*, as well as the corrective actions taken, lessons learned and their effectiveness.

4. Safety Performance Objectives, Measures, and Commitments (POMCs)

- a. Progress towards the FY 2009 POMCs and its influence on establishing FY 2010 POMCs, including discussion of site and contractor performance against FY 2009 POMCs.
- b. POMCs for FY 2010 (See guidelines including a sample Table for preparation of POMCs in Section 7).

5. Effectiveness of DOE Line Management Oversight

Evaluation of the effectiveness of DOE line management oversight of contractor and subcontractor activities and any planned improvements. Include plans/schedule for conducting full ISMS verification for new contractors or full ISMS assessments for contractors that have not undergone a full assessment within two years of its ISMS verification.

6. Federal Employee Occupational Safety and Health (FEOSH) Activities

Identification and discussion of FEOSH activities, including annual audit results and corrective actions taken. Include information for those areas the DOE provides to the Department of Labor Occupational Safety and Health Administration in the Annual Agency FEOSH Report.

7. Implementation of ISMS Core Functions for New construction and Major Facility Modification

- a. Assess the implementation of ISMS core functions for new design/construction and major facility modification projects, including implementation of: 1) DOESTD-1189-2008 (dated March 2008), *Integration of Safety into the Design Process*; and 2) the EM interim guidance on integration of safety into design phases (prior to issuance of STD-1189).
- b. Describe the contractor's process for assuring rigorous and timely implementation of the ISMS core functions as applied to the new facility (or major modification) projects that are subject to DOE G 450.4-1B, *ISMS Guide for Use with Safety Management System Policies*; DOE M 411.1-1 C, *Safety Management Functions, Responsibilities, and Authorities Manual (FRAM)*; and DOE Acquisition Regulation (DEAR) clauses, and consistent with DOE O 413.3A, *Program and Project Management for the Acquisition of Capital Assets*, for the applicable stage of the project.
- c. How effectively have the contractors implemented their process and what is your office's involvement in ensuring ISMS is properly applied and for overseeing the new construction or major facility modification projects?

8. Special Safety Improvement Initiatives and Human Behaviors

- a. Identification of trial or special safety improvement initiatives planned or underway intended to positively impact safety performance and improve the safety culture at the site.

- b. Assessment of how effectively ISMS expectations are being implemented into desired human behaviors.

9. Evidence of Flow Down of Requirements

- a. Provide evidence of flow down of requirements from DOE to the contractor as well as to subcontractors (especially QA and safety).
- b. Describe the method of DOE and contractor oversight of the flow down of requirements, how DOE and the contractor ensure proper implementation of these flowed-down requirements (including to the subcontractor), and present objective evidence (e.g., contract safety requirements/List B and sub-tiered contract documents with appropriate safety and QA requirements).

10. Review and Declaration of QAP Implementation

Using the guidance provided by the Deputy Assistant Secretary for the Office of Safety Management and Operations on January 8, 2009, Subject: "Revision of the Office of Environmental Management Corporate Performance Metrics System for Quality assurance Programs", address the 10 performance and assessment criteria listed below:

- (1) Program
- (2) Personnel Training and Qualification
- (3) Quality Improvement
- (4) Documents and Records
- (5) Work Processes
- (6) Design
- (7) Procurement
- (8) Inspection and Acceptance Testing
- (9) Management Assessment
- (10) Independent Assessment

Annual ISMS and QA declarations should provide useful feedback into determining whether significant safety and quality performance problems exist. DOE field offices are encouraged to conduct full ISMS verifications on a fixed periodicity, such as once every five years, to promote organizational learning and continuous improvement. Tailoring the scope of the verification to focus on areas that have not received recent attention is a good practice. DOE field offices are also encouraged and required by DOE 0 414.1C "Quality Assurance" to perform independent assessments of QAP implementation effectiveness with a scope and frequency that is graded and based on the status of prior quality performance and any third-party QAP certification.

The field office organizations should address all 10 criteria including sub criteria and if a criterion is not applicable, it should be stated in the declaration with a brief explanation stating the reasons for any criteria not being applicable. To help ensure appropriateness of focus and consistency of contents, the following format is provided for the field's preparation of the annual ISMS and QA declaration report:

Sample Format for Annual ISMS and QA Declaration Report

Table of Contents

1.0 Executive Summary

2.0 Background

3.0 Field Office Annual ISMS Effectiveness Review and Declaration Process

4.0 ISMS Declaration Criteria

4.1 ISMS Effectiveness and Changes Made to the ISMS of DOE and Contractor Organizations

4.2 Effective Integration of EMS and QA into ISMS

4.3 Operating Experience Program

4.4 Performance Objectives, Measures, and Commitments (POMCs)

4.5 Effectiveness of DOE Line Management Oversight

4.6 FEOSH Activities

4.7 Implementation of ISMS Core Functions for New Construction and Major Facility Modification

4.8 Special Safety Improvement Initiatives and Human Behaviors

4.9 Evidence of Flow Down of Requirements

4.10 Review and Declaration of QAP Implementation

5.0 Conclusions

Attachment 1: Current Update of ISMS Description

(Note: Annual update of the ISMS Description is not required if no changes are deemed necessary. In such cases, a statement to this effect should be included in the ISMS declaration report).

Attachment 2: EM Corporate QA Performance Metrics Summary Reports.

6.0 ISMS Description

The ISMS Description is the primary, all-encompassing roadmap for accomplishing work in a safe and environmentally sound manner within the organization. The system description defines the integral role of safety in DOE's business approaches, processes, and management control systems.

The objective of developing and maintaining ISMS Description is much more than a simple paper or documentation exercise, where DOE organizations identify activities and processes being accomplished to fulfill ISMS principles and functions. Rather, it is expected to motivate real and ongoing dialogue and exploration of areas needing attention for ISMS implementation and improvement. Senior leadership commitment to ISMS must be visible and clear at all levels (DOE enterprise level, DOE Secretarial office level, DOE field office level, and the contractor level). This commitment is borne out of an understanding of intended safety management values and processes, and personal engagement in developing and sustaining the ISMS. Development of ISMS and implementation of identified improvements and commitments is expected to have a significant impact on DOE attitudes and behaviors related to safety.

The requirements and guidelines for developing ISMS Descriptions are provided in Chapter II and Attachment 3 (Guidelines for Developing DOE ISMS Descriptions) of DOE M 450.4-1. Although the Manual suggests that the ISMS Description format is left up to the developing organizations, it is suggested that the field office organizations follow the Sample Table of Contents for ISMS Description provided in Section 3 of Attachment 3 of DOE M 450.4-1. If a field office prefers not to follow this format, a cross reference to Sections in this sample table should be provided in a tabular form.

The EM HQ ISMS Description can be used as the foundation for developing field ISMS Descriptions. The goal of the site specific ISMS Description is to incorporate the high standard of safety excellence that is accepted as the norm throughout the EM organization.

Field office ISMS Description will be reviewed at least annually to determine whether updates are needed. If no changes are needed to maintain complete, accurate, and up-to date, ISMS Descriptions, then no annual update is necessary. A statement to this effect should be included in the annual ISMS Declaration. If changes are needed, these will be approved by the field office manager, and provided for information to EM HQ.

7.0 POMCs

Each year, EM HQ, DOE field offices, and DOE contractors develop POMCs for tracking and reporting. The purpose of POMCs is to:

- (1) Establish specific commitments goals for key improvement initiatives and key safety performance metrics.
- (2) Provide performance benchmarks.
- (3) Provide quantitative feedback and comparative analysis.

DOE P 450.7, *Environment, Safety and Health Goals*, establishes policy expectations for DOE ES&H performance goals to be developed annually. Site-specific ES&H and QA performance measures are established annually to drive performance improvement or maintain excellent performance. The DOE's ultimate ES&H goal is zero accidents, work-related injuries and

illnesses, regulatory enforcement actions, and reportable environmental releases. QA performance goals are established and maintained in the EM Corporate QA Program. These goals are to be pursued through a systematic and concerted process of continuous performance improvements using performance measurement. The ES&H and QA goals are expected to drive performance excellence, thereby reducing or precluding other work-related injuries and illnesses, and adverse impacts to the public and environment. The annual ES&H safety goals and metrics, established in accordance with DOE P 450.7, must be fully integrated with the ISMS POMCs. Quality goals and metrics established by both HQ and field elements must also be fully integrated with the QA POMCs as established in the EM Corporate QA Program.

The following process for developing EM Field and Contractor POMCs is recommended

- (1) DOE field offices provide EM HQ guidance, supplemented by field element guidance and direction to its contractors for input into the field offices site specific safety performance measures.
- (2) DOE field offices develop their site-specific safety performance measures in response to EM HQ safety performance goals and direction.
- (3) DOE field offices provide direction to its contractors on their contract-specific ISMS and QA POMCs.
- (4) Contractors submit their contract-specific ISMS and QA POMCs to the DOE field office for approval.
- (5) DOE field offices develop their site-specific ISMS and QA POMCs and submit them to EM HQ.

The field office organizations are required to submit annual POMCs for the next FY with their declarations to EM HQ for DOE field offices and contractors. The POMCs address safety and quality areas where analysis identified as deficient or requiring strengthening, and trial or special safety initiatives. All EM sites will focus on improving work control, as well as, oversight of subcontractor and vendor activities. Work control consists of many processes and elements such as planning, hazards analysis, and coordination with other work activities, effective supervision, attentive and trained workers, pre-and postjob briefings, accurate documentation, and oversight of these elements.

DOE measures safety and quality improvement by evaluating performance against aggressive safety/quality objectives and goals. Performance indicators are developed to measure the effectiveness of its management systems. The following are some suggested safety indicators to measure performance:

- (1) Annual reduction of Total Recordable Case (TRC) rates and Days Away Restricted/Transferred (DART) case rates (percentage of reduction) based on each organizations past performance. New contractors should consider the previous contractor performance where the scope of work activities is similar.
- (2) Completion of annual individual performance plans with meaningful safety goals.
- (3) Timely disposition of employee concerns and differing professional opinions (30 days goal).
- (4) Completion of planned assessments and surveillances.
- (5) Management walk-through and field observations (hours in the field).
- (6) Completion of annual ISMS readiness review and declaration.
- (7) Timely resolution of safety issues and closure of corrective actions.

- (8) Contractor readiness to safely conduct American Recovery and Reinvestment Act funded work.

The FY 2010 annual POMCs should include one table for the DOE field office and each contractor showing POMCs. A sample set of POMCs is shown below.

Sample ISMS POMCs

Performance Objective	Performance Measure/Commitment
Reduction of workplace injuries	Improve safety performance by reducing TRC and DART case rates at least by 5% annually over their organization's previous FY performance (or more if rates are > 25% above the average EM-wide rates)
ISMS review and declaration	<ul style="list-style-type: none"> • Review and approve contractor ISMSDs and POMCs • Conduct annual ISMS review and declaration by mm/dd/yy
Management by Walking Around	Line managers spent an average of at least XX hours per week observing facility operations and interacting with line workers.
Ensure contractor assurance systems and field oversight programs are comprehensive and integrated for all aspects of operations essential to mission success	<ul style="list-style-type: none"> • Provide annual oversight plan and schedule to EM HQ by the end of October • Complete more than 90% of planned annual assessments and surveillances on time • Implement actions to improve contractor assurance and field oversight
Improve workforce development, performance, and technical effectiveness through a disciplined and well-planned training and qualification requirements program	<ul style="list-style-type: none"> • Maintain and implement a Technical Qualification Program • Develop and implement a human capital management plan • Conduct periodic (e.g., quarterly, annual) assessment to evaluate program/plan effectiveness

The field office may chose to change the sample table format in order to present its POMCs as long as the information is provided in a tabular form.

8.0 EM Headquarters ISMS and QA Reviews and Declarations

EM HQ provides oversight of field ISMS and QA implementation, reviews field ISMS declarations and QAPs and other related documents, and provides feedback to the field offices. The EM HQ ISMS and QA oversight, review, and declaration responsibilities include:

- (1) Conducting assessments and providing feedback on the implementation of ISMS at EM sites/facilities consistent with the requirements and guidance of DOE 0 226.1A, *Implementation of Department of Energy Oversight Policy*; DOE M 450.4-1,

- Integrated Safety Management System Manual*; and other applicable rules and regulations. Lead organization - Office of Operations Oversight (EM-62).
- (2) Providing guidance for the annual ISMS effectiveness review and declaration, reviewing field declaration reports and providing feedback to the field offices, and using the results of this review and other applicable information to make a declaration of the status of ISMS implementation in EM. Lead organization Office of Safety Management (EM-61).
 - (3) Conducting audits of EM site and contractor QA programs consistent with the DOE 0 413.3A, *Program and Project Management for the Acquisition of Capital Assets*, DOE 0 414.1C, *Quality Assurance*, and 10 CFR 830 Subpart A. Lead organization - Office of Standards and Quality Assurance (EM-64).

9.0 Contact

Braj K. Singh, EM Office of Safety Management (EM-61), (301) 903-3037.
BraLSingh@em.doe.gov. For QA related enquires: Bob Murray, EM Office of Standards & Quality Assurance (EM-64), (301) 586-7267, Robert.Murray@em.doe.gov.

10.0 References

DEAR Clause 970.5223-1, *Integration of environment, safety, and health into work planning and execution*

DOE 0 210.2, *DOE Corporate Operating Experience Program*

DOE 0 226.1A, *Implementation of Department of Energy Oversight Policy*

DOE M 231.1-2, *Occurrence Reporting and Processing of Operations Information*

DOE M 411.1-1 C, *Safety Management Functions, Responsibilities, and Authorities Manual (FRAM)*

DOE 0 413.3A, *Program and Project Management for the Acquisition of Capital Assets*

DOE G 414.1-1B, *Management and Independent Assessments Guide*

DOE G 450.4-1B (Volumes 1 & 2), *Integrated Safety Management System Guides*

DOE M 450.4-1, *Integrated Safety Management System Manual*

DOE P 450.4, *Safety Management System Policy*

DOE P 450.7, *Environment, Safety and Health Goals*

DOE-HDBK-3027-99, *Integrated Safety Management Systems (ISMS) Verification Team Leader's Handbook*

DOE-STD-1189-2008, *Integration of Safety into the Design Process*

DOE 0 414.1 C, *Quality Assurance*

Appendix VIII - Evaluation Report

Attached is an example of one Office of Environmental Management field element self-evaluation. Excerpts from the Savannah River Site ISMS Declaration are presented in the pages that follow.

United States Department of Energy Savannah River Site



Fiscal Year 2009 Integrated Safety Management System & Quality Assurance Program Declaration

Prepared By:
DOE-SR/OSQA
NNSA
SRNS

Date Published:
October 2009

Prepared for the U.S. Department of Energy
Assistant Secretary for Environmental Management

Savannah River Site FY 2009 Integrated Safety Management System & Quality Assurance Program Declaration

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Savannah River Site FY 2009 Integrated Safety Management System & Quality Assurance Program Declaration

1.0 Executive Summary

The Department of Energy (Savannah River Operations Office (DOE-SR) and National Nuclear Security Administration (NNSA))–Savannah River Site (DOESRS), its contractors and the United States Forest Service-Savannah River (USFS-SR) declare their respective Integrated Safety Management Systems (ISMS) effective for Fiscal Year (FY) 2009. The basis for this declaration includes, but is not limited to, the review and analysis of safety performance, the DOE-SRS and contractors' updated FY 2009 ISMS Descriptions (ISMSD), each contractor's performance and Lessons Learned Program, and corrective actions implemented to address safety concerns and ISMS weaknesses identified during FY 2009.

This report is the SRS response to the Office of Environmental Management (EM) June 16, 2009 memorandum that delineated the criteria to be addressed by the FY 2009 Annual ISMS and QA Declaration. This SRS response is an integrated summary of the individual responses in the declarations of DOESR/NNSA, Savannah River Nuclear Solutions LLC (SRNS), Savannah River Remediation LLC (SRR), WSI-Savannah River Site (WSI-SRS), the Salt Waste Processing Facility (SWPF), Savannah River Ecology Laboratory (SREL), and United States Department of Agriculture Forest Service-Savannah River (USFSSR). SRS concludes, based on an evaluation of the responses to these criteria, that ISMS and Quality Assurance (QA) Programs are adequately implemented and functioning at the Savannah River Site (SRS).

Notable changes within and actions that affect respective ISM Systems since the SRS FY 2008 Annual ISMS and QA Declaration was submitted are:

- On July 1, 2009, Savannah River Remediation LLC replaced Washington Savannah River Company (WSRC) as the Liquid Waste Operations (LWO) contractor for the Savannah River Site.
- A Phase II Verification Review of the SRNS ISMS was performed by SRNS and validated by DOE-SR.
- Revision 0 of the SRR ISMS Description was submitted to and approved by DOE-SR.
- A Phase II Verification Review of the SWPF Project ISMS was performed by DOE-SR.
- In November 2008, the SWPF Project completed final design and received DOE approval (CD-3) to begin the Project Performance Measurement Baseline construction scope.

4.6 Federal Employee Occupational Safety and Health (FEOSH) Activities

This year the FEOSH program completed its transition of program evaluations to a fiscal year evaluation period. The 2009 year began October 1 and ends on September 30, 2009; however, the OSHA 300 Log and Summary still represents the calendar year period. Thus, year end injury/illness rates may not correspond to the fiscal year values.

DOE-SR has implemented the FEOSH requirements found in DOE O 440.1B and 29 CFR 1960 as described in Savannah River Implementing Procedure (SRIP) 400, Chapter 440.3, *DOE-SR Federal Employee Occupational Safety and Health Program (FEOSH)*. This SRIP outlines objectives of the site FEOSH program and describes how the following program elements are implemented at SR:

- Roles and Responsibilities (among Agency, SR managers, supervisors, and employees);
- Reporting Unsafe Conditions;
- Injury/Illness Recordkeeping and Reporting;
- Occupational Safety and Health Training and Safety Awareness Briefings;
- Identifying, Evaluating and Controlling Hazards;
- Implementation of the DOE-SR Industrial Hygiene Program;
- Implementation of the Occupational Medical Program;
- Implementation of the DOE-SR Motor Vehicle Safety Program; and
- Issuance and Use of Personal Protective Equipment.

Additionally, the injury/illness data, assessments, and incidents are analyzed and used to develop goals and improve the FEOSH program. Past practice of DOE-SR sending its annual input to Headquarters within the first 60 days of each year has changed to a fiscal year cycle now. Employees are indoctrinated on the FEOSH program as part of their New Employee Training and are periodically reminded of their rights and responsibilities under FEOSH (posters are located in all SR workspaces). Employees receive safety and health training commensurate with their assigned job duties. The DOE-SR Technical Qualification Program ensures that various technical employees are fully qualified. SRS has an active Employee Concerns Program to address any allegations of reprisal relative to the safety and health program. DOE-SR safety professionals occasionally participate in safety and health conferences, training, or seminars, which often provide valuable information for safety and health program improvement ideas and lessons learned, as well as, the safety information shared with SRS Federal employees. There are approximately 340 Federal employees at SRS.

Significant FEOSH activities undertaken by DOE-SR in FY 2009 and a list of major FY 2009 FEOSH Program improvements are summarized in Attachment 1. The overall FEOSH Program performance is summarized as follows: The DOESR TRC and DART rates have traditionally been low and are typically below the DOE average rates, indicating that the DOE-SR FEOSH Program has been effective in providing for worker protection. The FY09 TRC case rate is 0.64, and the DART rate is 0. Injury/illness cases are coupled with DOE-SR first aid cases to provide sufficient data points to facilitate analysis of trends. Preliminary indications are that “slip and fall” performance and ergonomic injuries (officially illnesses) have improved as there was only one slip and fall

injury and no ergonomic injuries during the year. The slip and fall injury was a first aid case. The reduction in slip and fall injuries is attributed to program improvements made during the year. Although there were no ergonomic injuries, the potential for ergonomic injuries still represents the greatest likelihood for serious and costly injuries.

Employee personal protective equipment (PPE) is available through Stores for many commonly needed items, such as ear plugs (hearing protection), gloves (common leather/cloth type), hard hats, and non-prescription eyewear. Other common items like safety prescription eyewear are obtained through the M&O contractor's system, as a means to reduce costs. Safety shoes are obtained through local contract with safety shoe suppliers. Employees obtain prescription safety eyewear at no cost and safety shoes via a stipend issued by Stores. These items are available to employees through approval forms via either the contractor's eyewear program or the normal internal DOE-SR process. Annually, it is estimated that \$12,000 is spent on various PPE. The 2010 FEOSH Plan provides a breakdown of these items and projected costs. Special PPE, such as, fall protection equipment, respirators, C-Zone clothing, and special gloves are obtained from the contractor on an as-needed temporary basis.

The USFS-SR Safety Management System (SMS) complies with the USDA Forest Service guidance listed below, which provides the description and specifics of SMS components. These components involve natural resource management, wildland fire protection, and engineering and environmental management systems, and are controlled and maintained current through the US Forest Service Directives System.

- a. Forest Service Manual (FSM) 6700 – Safety and Health Program is a key component of the control process for the assignment of safety management functions, responsibilities and authorities, as well as providing the identification of the US Forest Service directives which implement them.
- b. Safety & Health Management System Review, Rev. 9, 3/31/05 contains sections dealing with program management, safety training and education, safety and health promotion, recordkeeping and accident investigation, inspections, program analysis and evaluation, and special program emphasis areas.
- c. Forest Service Handbook (FSH) 6709.11 – Health and Safety Code Handbook describes the standards for safe and healthful workplace conditions, project inspections, and operational procedures and practices in the Forest Service.
- d. Forest Service Handbook 6709.12, chapter. 40, Basic Program Elements for Federal Employee Occupational Safety and Health Programs, implements the requirements of 29 Code of Federal Regulations (CFR) 1960, “Basic Program Requirements for Federal Employee Occupational Safety and Health programs and related matters.
- e. Forest Service Manual 2100, Environmental Management is the primary source of policy used for the protection of the environment with regard to solid waste management, pesticide-use management and coordination, hazardous material management, and energy management.
- f. Forest Service Handbook 2109.14, Pesticide-Use Management and Coordination Handbook is the basis of the USFS-SR pesticide-use program as it affects safety and environment.

- g. Forest Service Handbook 5109.32a, Fireline Handbook, March 2004 (NWCG Handbook 3) describes firefighting safety policy and procedures including risk management, firefighter health, entrapment, and organizational guidelines.
- h. Forest Service Handbook 5109.17 Wildland Fire Qualifications Handbook establishes positions, qualifications, and certification requirements in fire and aviation management to ensure Forest Service personnel have the organizational, training, and qualifications to carry out fire and aviation management policies and programs in a safe, cost efficient manner, consistent with land and resource management objectives.