



U.S. Department of Energy
Office of River Protection

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05-ESQ-018

Mr. J. P. Henschel, Project Director
Bechtel National, Inc.
2435 Stevens Center
Richland, Washington 99352

Dear Mr. Henschel:

CONTRACT NO. DE-AC27-01RV14136 – REPORT A-05-ESQ-RPPWTP-002 – REVIEW OF OCCUPATIONAL SAFETY AND HEALTH ACT (OSHA) INJURY/ILLNESS RECORDKEEPING FOR FEBRUARY 28 THROUGH MARCH 8, 2005

This letter forwards the results of the U.S. Department of Energy (DOE), Office of River Protection (ORP) review of the Bechtel National, Inc. (BNI), OSHA Injury/Illness Recordkeeping for the Waste Treatment and Immobilization Plant (WTP) during the period February 28 through March 8, 2005. The reviewer identified two Findings.

In this assessment the ORP reviewer found that BNI had implemented improvements in its injury/illness safety records, procedures, and categorization of injury/illness events. The reviewer also identified the following two weaknesses: BNI failed to record cases, work hours, and other required data into the Computerized Accident/Incident Reporting System (CAIRS) database since January 1, 2005, as required by DOE M 231.1-1A, Environment, Safety and Health Reporting Manual and BNI procedure 24590-WTP-GPP-SIND-023, Injury/Illness Notification, Investigation, and Reporting and BNI oversight of subcontractor recordkeeping processes was insufficient to assure accurate reporting. These weaknesses are documented as Findings and require a written response within 30 days of receipt of this letter. The response should include:

- Admission or denial of the Findings;
- The causes of the Findings;
- The corrective steps that have been taken and the results achieved;
- The corrective steps that will be taken to prevent further Findings; and
- The date when full compliance with the applicable DOE Injury/Illness and OSHA requirements will be achieved.

The attached Assessment Report A-05-ESQ-RPPWTP-002 documents the details of the assessment.

Mr. J. P. Henschel
05-ESQ-018

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If you have any questions, please contact me, or your staff may call Robert C. Barr, Director, Office of Environmental Safety and Quality, (509) 376-7851.

Sincerely,

ESQ:PRH

Roy J. Schepens
Manager

Attachment

cc w/attach:
T. E. Kreitz, EM-3
C. Davis, BNI

U.S. DEPARTMENT OF ENERGY
Office of River Protection
Environmental, Safety and Quality

ASSESSMENT: (OSHA) Injury/Illness Recordkeeping Review
Bechtel National, Inc.

REPORT: A-05-ESQ-RPPWTP-002

FACILITY: Bechtel National, Inc. Waste Treatment Plant

LOCATION: Hanford Site

DATES: February 28 through March 8, 2005

ASSESSORS: Paul Hernandez, Lead Assessor

APPROVED BY: Patrick P. Carrier, Team Lead
Verification and Confirmation Team

Executive Summary

Introduction

From February 28 through March 8, 2005, the U.S. Department of Energy (DOE), Office of River Protection conducted an assessment of Bechtel National, Inc.'s (BNI) Occupational Safety and Health Administration (OSHA) injury/illness recordkeeping program. The assessor evaluated the procedural requirements, interviewed those charged with managing and implementing the processes, and examined records pertaining to the assessment subject.

Assessment activities focused on verifying the effectiveness of the Contractor's implementation of procedures which satisfy the requirements of OSHA 29 CFR 1904, "Recording and Reporting Occupational Injuries and Illnesses." Assessment efforts focused on assessing the effectiveness of the processes associated with identifying, evaluating, and recording injuries and illnesses on OSHA forms and in the DOE Computerized Accident/Incident Reporting System (CAIRS) database.

Conclusions

The assessor found the Contractor had established electronic access to the CAIRS database and had procedures in place to sufficiently implement the DOE M 231.1-1A requirements associated with DOE O 231.1 A. These procedures prescribed processes which, if implemented properly, would produce effective results. The assessment team identified no problems with procedure content. Two weaknesses were identified that related to inadequate implementation of the processes prescribed in the procedures. The weaknesses provided the basis for the assessment team to conclude the Contractor's safety organization was not effective in consistently implementing injury/illness recordkeeping processes and that in some cases the Contractor's staff failed to enter recordable incidents into the DOE CAIRS database. These weaknesses, documented as Findings, are listed below:

- A-05-ESQ-RPPWTP-002-F01. BNI failed to record cases, work hours, and other required data into the CAIRS database since January 1, 2005. Although the procedures clearly delineate responsibilities, they were not followed; and
- A-05-ESQ-RPPWTP-002-F02. BNI could not produce documented evidence that they had performed oversight on Waste Treatment and Immobilization Plant subcontractors. Desired oversight would contain evidence of comparison of OSHA 300 and first aid logs with injuries reported to BNI, and an assessment of the appropriateness of categorization.

In summary, BNI has adequate procedures to implement Federal accident and injury reporting requirements but continues to have implementation errors. These Findings indicate that BNI management oversight of this area requires significant strengthening.

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List of Acronyms

| | |
|-------|---|
| BNI | Bechtel National, Inc. |
| CAIRS | Computerized Accident and Incident Reporting System |
| CAR | Corrective Action Report |
| DOE | U.S. Department of Energy |
| ORP | Office of River Protection |
| ORPS | Occurrence Reporting System |
| OSHA | Occupational Health and Safety Administration |
| SDS | Safety Data System |
| WTP | Waste Treatment and Immobilization Plant |

**OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION
(OSHA) INJURY/ILLNESS RECORDKEEPING REVIEW
BECHTEL NATIONAL, INC. (BNI) FEBRUARY 28 THROUGH MARCH 8, 2005**

Background

OSHA 29 CFR 1904 requires employers to record and report work-related fatalities, injuries, and illnesses. The U.S. Department of Energy (DOE), Office of River Protection (ORP) conducted an OSHA injury/illness recordkeeping review during the period of February 28 through March 8, 2005. A DOE employee from the ORP Office of Environmental Safety and Quality conducted the assessment. The assessment included review of all injuries occurring at the Waste Treatment and Immobilization Plant (WTP) construction project between September 2004 and March 2005. The reviewer selected cases for analysis from BNI's "SDS First Aid Log" concentrating on first aid cases which would typically result in medical service beyond first aid and/or restricted or lost work days. Examples included strains, contusions, pulled muscles, back pain, objects in the eye, fractures, and heat stress. The reviewer conducted discussions with the BNI safety staff and medical providers. The reviewer evaluated OSHA 300 Logs and Calendar Year (CY) 2004 OSHA Form 300As for BNI and BNI subcontractors. The reviewer accessed the DOE Computerized Accident/Incident Reporting System (CAIRS) to compare data entries with hardcopy records.

Review of Procedures

DOE's review of the contractor's procedure for the OSHA Recordkeeping Program determined there was a clear delineation of responsibilities between the employees, supervisors, safety group, project medical staff, and the CAIRS Coordinator. There was a clear process described for reporting injuries for CAIRS and OSHA recordkeeping purposes. BNI procedure 24590-WTP-GPP-SIND-023, Revision 2, Injury/Illness Notification, Investigation, and Reporting, dated October 1, 2004, was found compliant with September 2004 revisions to the DOE Environmental, Safety and Health Reporting Manual, DOE M 231.1-1A.

BNI recently created a new Disposition of Recordability form. This form is used to describe injury/illness events and provide justification for cases where BNI determined an event was not recordable for OSHA purposes. The information supplements the medical files and provides adequate information to give the reviewer an understanding of why a case would not be classified as first aid, recordable, restricted, or non-occupational. The documentation indicated the BNI safety organization had performed an analysis of the cases to determine OSHA recordability. This is considered a good practice.

Review of Medical Files

ORP reviewed case files maintained in the WTP onsite first aid clinic, which is managed by WorkCare. Review of these files for the October 2004 through February 2005 time period found that if restrictions were imposed there was a form, "WTP Medical Status Update," filed. The forms contained sections for listing restrictions, date of restriction, duration, and end date, as well as a section describing the work available for the restricted employee. The forms were signed by the employee, their supervisor, and the safety representative. Employees have been instructed that unless the restriction assessment is completed and signed, there were no work restrictions; thus eliminating uncertainties. There were no issues found in the area of medical files.

Comparison of OSHA Log and CAIRS Data

To evaluate BNI's and BNI subcontractor's entries on OSHA logs and in the DOE CAIRS database, the reviewer accessed the CAIRS production database online. The information from September through December 2004 was reviewed to the BNI OSHA 300 Log for CY 2004. The reviewer analyzed all cases posted on the OSHA log that indicated restricted or lost work days. Using the assigned case numbers from the log, the reviewer accessed the applicable DOE Form 5484.3, "Individual Accident/Incident Reports," for each case. The contents of the 5484.3 forms were then compared to the information in the patient's medical file.

In this review, the assessor identified that no CAIRS data entries had been made between January 2005 and March 2005. When the reviewer brought this to the attention of BNI, the BNI Safety Assurance Manager confirmed the problem and initiated Corrective Action Report Number 24590-WTP-CAR-QA-05-029. This issue is documented as Finding A-05-ESQ-RPPWTP-002-F01.

Since discovery, BNI has taken the following corrective actions. The Safety Assurance Manager temporarily assumed the responsibility of CAIRS Coordination and Administration. On March 3, 2005, the Safety Assurance Manager was granted data entry rights on the DOE CAIRS Database. Recovery was initiated the following day. Pending the selection of a new Occurrence Reporting and Processing System (ORPS)/CAIRS Coordinator, the Safety Assurance Manager has been managing ORPS/CAIRS activities directly. An additional three individuals are in the process of CAIRS data entry rights on the CAIRS Database. Their activities will be supervised by the Safety Assurance Manager until such time that an ORPS/CAIRS Coordinator is selected, trained, qualified, and granted access to the CAIRS Database.

Review of Subcontractor OSHA Recordkeeping

To evaluate BNI's oversight of major subcontractors, the assessor requested up-to-date OSHA 300 Logs of Work-Related Injuries and Illnesses, and CY 2004 OSHA 300A Summary of Work-Related Injuries and Illnesses for WTP subs. Over 20 OSHA Form 300 logs and Form 300A Summary sheets were evaluated and found acceptable.

DOE M 231.1-1A requires BNI to ensure injury/illness reports for select subcontractors working on the WTP are recorded in accordance with OSHA 29 CFR 1904. The reviewer found there was no documented evidence that BNI had performed oversight on WTP subcontractors. (This issue has been documented as Finding A-05-ESQ-RPPWTP-002-F02.)

Items Opened, Closed and Discussed

Opened Findings

A-05-ESQ-RPPWTP-002-F01 - The BNI CAIRS Coordinator failed to record cases, work hours, and other required data into the CAIRS database since January 1, 2005.

Requirements:

DOE M 231.1-1A, "Environment, Safety And Health Reporting Manual," Chapter 2 Section 1.c. stated, "New reports (DOE F 5484.3) will be submitted at least bi-monthly for receipt on or before the 15th of the month or the last working day of the month. Initial reports will include estimated lost work time. Revisions to lost work time, and any other information initially reported, will be submitted quarterly. Revisions will be submitted for receipt by the 10th of the month following the end of the calendar quarter, i.e., April 10th, July 10th, October 10th, and January 10th."

BNI procedure 24590-WTP-GPP-SIND-023, Revision 2, "Injury/Illness Notification, Investigation, and Reporting," Section 3.2.5 required the ORPS/CAIRS Coordinator to perform the following duties:

- Submit CAIRS information directly into the DOE CAIRS reporting database;
- Periodically review and reconcile the OSHA 300 log with the CAIRS database; and
- Coordinate with medical staff on injured employees restricted days and lost workdays in order to correctly report to the CAIRS database.

Discussion:

Requirements of DOE M 231.1-1A, “Environmental, Safety And Health Reporting Manual” flow down to BNI procedure 24590-WTP-GPP-SIND-023, Revision 2, Injury/Illness Notification, Investigation, and Reporting. Contrary to procedural requirements the BNI CAIRS Coordinator failed to record cases, work hours, and other required data into the CAIRS database since January 1, 2005. Although the procedures clearly delineate responsibilities, they were not followed. This issue has been documented as Finding A-05-ESQ-RPPWTP-002-F01.

A-05-ESQ-RPPWTP-002-F02 –There was no documented evidence BNI had performed oversight on WTP subcontractors’ environment, safety and health reporting.

Requirements:

DOE M 231.1-1A, “Environment, Safety And Health Reporting Manual,” Attachment II, 3.c. stated, “The contractor must ensure that reports for select subcontractors, those who employ more that 10 employees on the DOE work being performed, are recorded in accordance with 29 CFR 1904.4 through 1904.11, 1904.30, 1904.31, and 1904.46.”

Discussion:

DOE M 231.1-1A and 24590-WTP-GPP-SIND-023 requires contractors to ensure reports for select subcontractors, those who employ more that 10 employees on the DOE work being performed, are recorded in accordance with 29 CFR 1904.4 through 1904.11, 1904.30, 1904.31, and 1904.46. Contrary to the above requirement, there was no documented evidence that BNI had performed oversight on WTP subcontractors. Desired oversight would contain evidence of comparison of OSHA 300 and first aid logs with injuries reported to BNI, and an assessment of the appropriateness of categorization under 29 CFR 1904. This issue has been documented as Finding A-05-ESQ-RPPWTP-002-F02.

Conclusions

The assessor concluded that BNI and subcontractors have developed and implemented procedures adequate for injury/illness recordkeeping as required by OSHA 29 CFR Part 1904, Recording and Reporting Occupational Injuries and Illnesses. Medical files located at the WTP onsite first aid clinic containing injury and illness records were complete and well-maintained. OSHA records including 300 Logs and 300A Summary forms were completed, signed, and displayed as required. No evidence of underreporting in terms of OSHA recordability requirements was found during this assessment. However, BNI is required to follow the reporting requirements of DOE O 231.1A. The assessor found that the contractor had not reported 14 cases as required by the DOE Order and the BNI contract; there were 14 items underreported to DOE via the CAIRS database. This issue has been documented as Finding A-05-ESQ-RPPWTP-002-F01.

In addition, BNI continues to exhibit weakness in the area of subcontractor oversight for OSHA recordkeeping. BNI could not produce documented evidence that they performed oversight of WTP subcontractors OSHA records. Desired oversight would include evidence of comparing OSHA 300 and first aid logs with injuries reported to BNI, and assessment of the appropriateness of categorization under 29 CFR 1904. This issue has been documented as Finding A-05-ESQ-RPPWTP-002-F02.

Due to the importance of accurate injury/illness recordkeeping DOE ORP will assess contractor implementation of OSHA 29 CFR 1904 semi-annually.

Signatures

Paul R. Hernandez
Assessment Team Leader

Patrick P. Carrier, Team Leader
Verification and Confirmation Team