

Administrative Change

An administrative change to this directive was approved on 06-03-04. In accordance with the Departmental Directives System:

Administrative Changes are simple changes that do not substantively affect the directive. Examples of such changes are nomenclature changes to organization names or titles of officials, changes to legal citations, and minor reductions in requirements and responsibilities.

To see the redline/strikeout of changes for this administrative change, please click on <http://www.directives.doe.gov/reference/rso2311a.pdf>.

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

ORDER

DOE O 231.1A

Approved: 08-19-03
Review Date: 08-19-05
Admin Chg 1: 06-03-04

SUBJECT: ENVIRONMENT, SAFETY, AND HEALTH REPORTING

1. OBJECTIVES. To ensure timely collection, reporting, analysis, and dissemination of information on environment, safety, and health issues as required by law or regulations or as needed to ensure that the Department of Energy (DOE) and National Nuclear Security Administration (NNSA) are kept fully informed on a timely basis about events that could adversely affect the health and safety of the public or the workers, the environment, the intended purpose of DOE facilities, or the credibility of the Department.

2. CANCELLATIONS. The directives listed below are cancelled. Cancellation of a directive or paragraph of a directive does not, by itself, modify or otherwise affect any contractual obligation to comply with such a directive or paragraph. Cancelled directives incorporated by reference into a contract will remain in effect until the contract is modified to delete the references to the requirements in the cancelled directives.
 - a. DOE O 232.1A, *Occurrence Reporting and Processing of Operations Information*, dated 7-21-97.
 - b. DOE O 210.1, *Performance Indicator and Analysis of Operations Information*, dated 9-27-95.
 - c. DOE O 231.1, *Environment, Safety and Health Reporting*, dated 9-30-95.

3. APPLICABILITY.
 - a. Primary DOE Organizations, Including NNSA Organizations. Except for the exclusions in paragraph 3c, this Order applies to all Primary DOE Organizations (see Attachment 1 for a complete list of Primary DOE Organizations). This Order automatically applies to Primary DOE Organizations created after it is issued.

Note that only the NNSA Administrator, or those in the NNSA chain of command, can direct NNSA employees. Wherever this Order gives direction to NNSA employees, it should be understood that this direction is provided only for the convenience of the Administrator and is not intended to assume or replace the authority of the Administrator's direction.

- b. Site/Facility Management Contractors. This Order does not apply to site/facility management contractors.
- c. Exclusions.
- (1) Activities conducted under the authority of the Director, Naval Nuclear Propulsion Program, pursuant to Executive Order 12344, as set forth in Public Law 98-525 and Public Law 106-65, with the exception of reporting required by 29 CFR 1960.
 - (2) Power Marketing Administration reporting of major electrical power outages, disturbances, and fuel shortages subject to the emergency power system reporting requirements prescribed in 10 CFR 205, "Administrative Procedures and Sanctions," and 350-354, "Report of Major Electric Utility Systems Emergencies."
 - (3) This Order does not apply to the Bonneville Power Administration (BPA), in accordance with Secretarial Delegation Order Number 00-033.00A to the BPA Administrator and Chief Executive Officer, dated 9-27-02.
4. REQUIREMENTS. Unless otherwise indicated, the reports listed below will be submitted in accordance with the most recent versions of DOE M 231.1-1 and DOE M 231.1-2. These Manuals, which are mandatory for ensuring compliance with parts of this Order, specify in detail the reports that must be filed, the persons or organizations responsible for filing the reports, the recipients of the reports, the formats in which the reports must be prepared, and the time schedules for filing the reports. The following reports and information are required.
- Occupational injury and illness reports
 - Fatality and catastrophe reports
 - Work hours reports
 - Occupational radiation exposure data to individuals (and visitors)
 - Annual individual occupational radiation exposure data to the Radiation Exposure Monitoring System (REMS)
 - National Environmental Policy Act (NEPA) reporting
 - Annual Site Environmental Reports
 - Excess injury and illness reports
 - Information requested by external organizations for epidemiological studies
 - Annual fire protection summaries
 - Occurrence reports
 - Environmental Protection Program reports

5. RESPONSIBILITIES.

- a. Heads of Departmental Elements (those organizations which report directly to the Secretary, Under Secretaries, or Deputy Secretary) must meet all the reporting requirements in the referenced directives, including the following.
- (1) Occupational Injury and Illness Reports. In accordance with DOE M 231.1-1A, *Environment, Safety and Health Reporting Manual*, dated 03-19-04, implement a record keeping and reporting program to ensure the use of common definitions, consistent recording procedures, and timely reporting practices for DOE employee and all contractor and subcontractor occupational fatalities, injuries, and illnesses.
 - (2) Fatality and Catastrophe Notification. Report accidents that involve fatalities or multiple hospitalizations of DOE employees to the Assistant Secretary for Environment, Safety and Health. (See requirements in 29 CFR 1960.70.)
 - (3) Environmental Protection Program Reporting. In accordance with DOE M 231.1-1A, Chapter I, ensure that the reporting requirements of DOE O 450.1, "*Environmental Protection Program*," dated 01-15-03; Executive Order 13148, "*Greening the Government Through Leadership in Environmental Management*"; and Executive Order 13101, "*Greening the Government Through Waste Prevention, Recycling and Federal Acquisition*" are achieved.
 - (4) Occupational Radiation Exposure Reports to Individuals. Prepare and provide reports of occupational radiation exposures to individuals in accordance with 10 CFR 835.801, "Reports to Individuals."
 - (5) Annual Individual Radiation Exposure Records. Report new and revised radiation exposure records required by 10 CFR 835.702 (a) and (b), "*Individual Monitoring Records*," to the REMS repository. (See DOE M 231.1-1A, Chapter III)
 - (6) Excess Injury and Illness. Notify the Assistant Secretary of Environment, Safety and Health and the Deputy Assistant Secretary for Health of suspected excess illnesses/injuries that may require epidemiologic investigations to determine whether the injuries/illnesses are work related. (See DOE M 231.1-1A, Chapter II.)
 - (7) Epidemiological Studies by External Organizations. Submit requested information to designated Department of Health and Human Services

(DHHS) officials and contractors and DHHS grantees conducting epidemiological studies. (See DOE M 231.1-1A, Chapter II.)

- (8) Annual Fire Protection Summary. Submit an annual report of the previous year's fire damage to the DOE fire protection authority having jurisdiction on April 30 each year. (See DOE M 231.1-1A, Chapter II.)
 - (9) Work hours. Prepare total quarterly work hours reports on a calendar year basis in accordance with DOE M 231.1-1A.
 - (10) Occurrence Reports. Implement an occurrence reporting program to ensure appropriate and timely identification, categorization, response, notification, investigation, reporting, and analysis of abnormal conditions and events in accordance with DOE M 231.1-2 and DOE O 151.1A, *Comprehensive Emergency Management System*, dated 11-01-00.
- b. Heads of Field Elements, including NNSA,¹ unless otherwise indicated, must meet reporting requirements listed in DOE M 231.1-1A and DOE M 231.1-2, including the following.
- (1) National Environmental Policy Act Reporting.
 - (a) Report annually on progress made in implementing, and the effectiveness of, any commitment for environmental impact mitigation that is essential to render the impact of a proposed action not significant or that is made in a record of decision.
 - (b) Prepare an annual NEPA planning summary.
 - (2) Environmental Protection Program Reporting. Ensure that the reporting requirements of DOE O 450.1, Executive Order 13148, and Executive Order 13101 are achieved. (See DOE M 231.1-1A, Chapter I.)
 - (3) Annual Site Environmental Reports. Prepare summaries of environmental data annually to characterize site environmental management performance. (See DOE M 231.1-1A, Chapter I.)
 - (4) Fatality and Catastrophe Notification. Report information on accidents that result in DOE employee fatalities or multiple hospitalizations to the

¹Includes heads of operations offices, field offices, site offices, area offices, project offices, and service centers.

Assistant Secretary for Environment, Safety and Health. (See requirements in 29 CFR 1960.70, "Reporting of Serious Accidents.")

(5) Occurrence Reports.

- (a) Ensure that occurrence reporting requirements listed in the CRD for DOE M 231.1-2 are applied as appropriate to contracts within 3 months after this Order is approved.
- (b) Ensure that agreements for carrying out occurrence reporting requirements of this Order are established with responsible Secretarial Officers or Deputy Administrators, NNSA.
- (c) Assess contractor capability and performance in carrying out the occurrence reporting requirements of this Order and take actions to correct any weaknesses.
- (d) Provide technical support as necessary to facility representatives or line management staff responding to reportable occurrences.
- (e) Direct facility representatives and/or line management designees to fulfill the occurrence reporting responsibilities required by this Order.

c. Secretarial Officers/Deputy Administrators, NNSA with responsibilities for field facilities must do the following.

- (1) National Environmental Policy Act Reporting. In accordance with DOE M 231.1-1A, Chapter I—
 - (a) report annually on the progress made in implementing, and the effectiveness of, any commitment for environmental impact mitigation that is essential to render the impact of a proposed action not significant or that is made in a record of decision and
 - (b) prepare an annual NEPA planning summary.
- (2) Environmental Protection Program Reporting. In accordance with DOE M 231.1-1A, ensure that the reporting requirements of DOE O 450.1, Executive Order 13148, and Executive Order 13101 are achieved.
- (3) Occurrence Reports. (See DOE M 231.1-2.)

- (a) Delegate responsibility and authority for implementing the occurrence reporting requirements stated in this Order.
 - (b) Ensure that the occurrence reporting requirements in the CRD for DOE M 231.1-2 are applied to applicable contracts within 3 months after approval of this Order.
 - (c) Establish agreements with DOE/NNSA heads of field elements.
 - (d) Review occurrence reports for indications of deteriorating or poor performance.
- d. Director, Office of Management, Budget and Evaluation. In accordance with DOE M 231.1-1A, prepares reports on DOE/NNSA Headquarters employees' work-related injuries and illnesses and submits them to the Assistant Secretary for Environment, Safety and Health as required by this Order.
- e. Assistant Secretary, Office of Environment, Safety and Health
- (1) Reporting Fatalities and Multiple Hospitalization Incidents. Reports DOE employees' accidents that result in fatalities or multiple hospitalizations to the Occupational Safety and Health Administration, U.S. Department of Labor. (See requirements in 29 CFR 1960.70.)
 - (2) Periodic Summary of Accident Data. In accordance with DOE M 231.1-1A, Chapter II, ensures that the following reporting requirements are met.
 - (a) Prepare and submit an annual report to the Secretary describing the status and adequacy of DOE and contractor performance of environment, safety and health responsibilities.
 - (b) Maintain an accident database, currently in the Computerized Accident/Incident Reporting System, which compiles reports and provides quarterly DOE-wide summary reports of recordable injury and illness accident cases.
 - (3) Occupational Radiation Exposure Information.
 - (a) Informs the cognizant Secretarial Officer when a Headquarters employee's ionizing radiation exposure for a given period approaches 70 percent of an administrative or regulatory limit.
 - (b) Approves the use of alternate media for submitting information to the REMS repository as required by DOE M 231.1-1A.

- (4) Occurrence Reports. Establishes and maintains policies and guidance for the Occurrence Reporting Program and assesses implementation of occurrence reporting requirements to identify needed improvements, especially as related to the Office of Environment, Safety and Health functional areas of responsibility. (See DOE M 231.1-2.)

f. Director, Office of Security.

- (1) Formulates Department-wide policy regarding the protection and control of both classified matter and unclassified controlled information which includes Official Use Only and Unclassified Controlled Nuclear Information.
- (2) Resolves any security issues with respect to occurrence reporting.
- (3) Director, Office of Operations Support. Ensures that the Headquarters Operations Center is prepared to receive and record initial notifications of significant occurrences and to disseminate these reports to appropriate Headquarters organizations. (See DOE M 231.1-2.)

6. REFERENCES. The following references provide additional requirements for environment, safety, and health reporting.

- a. DOE M 231.1-1A, *Environment, Safety and Health Reporting Manual*, dated 03-19-04, establishes DOE management objectives and requirements for reporting environment, safety, and health information.
- b. DOE M 231.1-2, *Occurrence Reporting and Processing of Operations Information*, dated 08-19-03, which establishes the specific requirements for implementing an occurrence reporting program.
- c. DOE O 151.1A, *Comprehensive Emergency Management System*, dated 11-01-00, which establishes the roles and responsibilities for the DOE Emergency Management System.
- d. 10 CFR 835, "Occupational Radiation Protection," which establishes radiation protection standards, limits, and program requirements for protecting individuals from ionizing radiation resulting from the conduct of DOE activities.

- e. DOE O 450.1, *Environmental Protection Program*, dated 01-15-03, which provides for the implementation of sound stewardship practices that are protective of the air, water, land, and other natural and cultural resources affected by DOE operations and by which DOE cost-effectively meets or exceeds compliance with applicable environmental, public health, and resource protection laws, regulations, and DOE requirements.
 - f. DOE O 451.1B, *National Environmental Policy Act Compliance Program*, dated 10-26-00, which established DOE internal requirements and responsibilities for implementing NEPA, Council on Environmental Quality regulations implementing the procedural provisions of NEPA (40 CFR Parts 1500–1508), and DOE NEPA implementing procedures (10 CFR Part 1021).
7. CONTACT. Questions concerning this Order should be addressed to the Office of Environment, Safety and Health at 301-903-6096 or, for Occurrence Reporting requirements only, at 301-903-3393.



SPENCER ABRAHAM
Secretary

**PRIMARY DOE ORGANIZATIONS TO WHICH
DOE O 231.1A IS APPLICABLE**

Office of the Secretary
Chief Information Officer
Office of Civilian Radioactive Waste Management
Office of Congressional and Intergovernmental Affairs
Office of Counterintelligence
Departmental Representative to the Defense Nuclear Facilities Safety Board
Office of Economic Impact and Diversity
Office of Electric Transmission and Distribution
Office of Energy Efficiency and Renewable Energy
Energy Information Administration
Office of Environment, Safety and Health
Office of Environmental Management
Office of Fossil Energy
Office of General Counsel
Office of Hearings and Appeals
Office of Independent Oversight and Performance Assurance
Office of the Inspector General
Office of Intelligence
Office of Legacy Management
Office of Management, Budget and Evaluation and Chief Financial Officer
National Nuclear Security Administration
Office of Nuclear Energy, Science and Technology
Office of Policy and International Affairs
Office of Public Affairs
Office of Science
Secretary of Energy Advisory Board
Office of Security

Office of Security and Safety Performance Assurance

Office of Energy Assurance

Southeastern Power Administration

Southwestern Power Administration

Western Area Power Administration