



Calendar Year 2014 Department of Energy Annual Occupational Safety and Health Report for Federal Employees to the Secretary of Labor

Name of Department/Agency: U.S. Department of Energy
Address: 1000 Independence Avenue, SW
Washington, DC 20585

Number of Federal civilian employees this report covers: **13,547**

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AGENCY NARRATIVE OF SELF-EVALUATION

I. Assessment of Occupational Safety & Health Program Activities and Events

A. Federal Government-wide & Presidential Initiatives

1. Motor Vehicle Safety

The Department of Energy (DOE) has access to General Services Administration (GSA) vehicle accident information, which covers approximately 70 percent of DOE vehicle usage. Per GSA, the DOE Federal and contractor employees drove 90,211,945 total miles in calendar year (CY) 2014. Of the total DOE miles driven, 74,212,274 miles were driven in GSA-leased vehicles.

The DOE motor vehicle safety program is implemented independently at the DOE program offices and field sites. As part of the Occupational Safety and Health Administration (OSHA) self-evaluation survey response, a total of 92 vehicle accidents were reported and investigated by the offices that provided input to this report for CY 2014, including the following:

- a. Oak Ridge Office (ORO) reported two vehicle accidents but no related injuries and a total of approximately \$900.00 in damages. In addition to the normal vehicle safety campaigns, ORO holds All Hands meetings throughout the year in which some aspect of distracted driving is presented.
- b. Bonneville Power Administration (BPA) reported 44 motor vehicle incidents involving Federal drivers in CY 2014: (1) 17 were preventable; (2) 17 were nonpreventable; and (3) 10 cases were under review at the time of this report. In fiscal year (FY) 2014, BPA's backing accidents dropped from 22 percent in FY 2012 to 19 percent. BPA's "Get Out and Look" campaign is being used to aid in the reduction of backing incidents.
- c. Western Area Power Administration (WAPA) reported 26 vehicle accidents with no personal injuries. All motor vehicle incidents incurring damage exceeding \$1,000 are investigated, and lessons learned are shared throughout the power administration.
- d. National Nuclear Security Administration (NNSA) reported no vehicle accidents at any of its sites during CY 2014. All NNSA procedures and protocols are intended to ensure safe operation of motor vehicles and compliance with all applicable laws and executive orders (E.O.). Sites utilize various methods to reinforce Motor Vehicle Safety throughout the NNSA complex. For example, Livermore Field Office (LFO) employees are expected to comply with California State laws, which are clearly communicated in the LFO Federal Employee Occupational Safety and Health (FEOSH) manual; the Nevada Field Office (NFO) manager issued a policy statement reinforcing Nevada law and the potential consequences if such activities are conducted in a Government-owned/leased vehicle or privately owned vehicle on official duty or at the NNSA; and Savannah River Field Office's (SRFO) protective force onsite (Law Enforcement Division) has the authority to issue State motor

vehicle violations for personnel found to be in violation of State law while operating a motor vehicle.

The Department **has not undertaken any new compliance initiatives** to assure compliance with E.O. 13043 (requiring use of seatbelts) and E.O. 13513 (banning texting while driving-distracted driving) that have not been reported in previous annual report submissions; however, DOE site offices continued to address these topics through its site safety training, health and safety fairs, and safety campaigns throughout the year. DOE also covers these topics in its annual FEOSH training to communicate the requirements of E.O. 13043 and E.O. 13513, *Federal Leadership on Reducing Text Messaging While Driving*.

Security officers informally report that most drivers entering Headquarters' properties wear seatbelts. However, there have been no comprehensive Department surveys taken to determine if DOE employees are complying with these requirements. E.O. 13043 required that all Federal Agencies and its contractors provide data annually to the Department of Transportation regarding seatbelt usage.

2. Protecting Our Workers and Ensuring Reemployment

The Protecting Our Workers and Ensuring Reemployment (POWER) initiative is intended to set performance targets, encourage the collection and analysis of data on the causes and consequences of injuries and illnesses, and prioritize safety and health management programs.

DOE has met POWER goals 2, 4, and 8. This includes goals on reduction of lost-time injury and illness case rates; increasing the timely filing of workers' compensation claims; and compliance with the regulatory requirement to establish a method for electronic submission of Forms CA-1, CA-2, and CA-7. DOE did not meet Goal 1, Reducing Total Injury and Inness Case Rates, for this reporting period. DOE's FY 2014 Target rate was 1.40; however, the Department achieved a Cumulative Rate of 1.45. DOE did not meet goal 5, Timely Filing of Wage Loss Claims; or Goal 6, Lost Production Days. Further analysis is needed to explain why goals 5 and 6 were not met. Information was not available on Goal 3, Analysis of Lost-Time Injury and Illness Data, at the time of this report. DOE POWER goal 7, Speeding Employees' Return to Work in Cases of Serious Injury or Illness, is not applicable for DOE in that DOE is not one of the 14 Federal Agencies with statistically significant case volumes for which performance is tracked.

B. Illnesses, Injuries, Fatalities, & Catastrophic Events

1. Slips, Trips, Falls, and Exertion Injuries

The Department, through its program offices, conducts training classes focused primarily on its office personnel (additional site/job-specific training is handled based on an employee's responsibilities and potential exposure to specific hazards). Slips, trips, falls, and exertion injuries are addressed through annual safety trainings, All Hands meetings, and through site safety and health fairs. These issues are also addressed throughout the year in the form of e-mail messages and safety bulletins and, in a broader sense, are

included in site-safety campaigns. The following are examples of how some DOE sites address slips, trips, falls, and exertion injuries.

- a. **BPA** has had a focused campaign on preventing slip, trip, and fall injuries for a few years. The campaign includes presentations at employee meetings and education outreach to managers on how to prevent these injuries. In FY 2014, BPA saw its slip, trip, and fall injuries reduced to 28 percent compared to 41 percent in FY 2013. At the time of this report, BPA was in the process of procuring a vendor for a pilot program for its warehouse workers and plan for deployment to its field locations. It also plans on expanding its ergonomics program, which has traditionally been office-focused, to its field crew employees.
- b. **NNSA** sites address slips, trips, and falls in a number of different ways to bring awareness to its employees. Examples include using e-mails, Web sites, and newsletters to alert employees of potentially hazardous conditions. Bicycle accidents are attributed to the most common type of fall at LFO; as a result, helmets are required and are provided to LFO employees. At the Los Alamos National Laboratory, employees are encouraged to take a slip simulator class offered at the laboratory. The class teaches participants how to walk on slippery surfaces without falling. The laboratory also installed temperature-sensitive warning signs outside on sidewalks that change color in freezing temperatures to warn employees of freezing conditions.
- c. **Golden Service Center** is an office-setting location on the National Renewable Energy Laboratory (NREL) campus in Golden, Colorado. During inclement weather, NREL takes the initiative to add active freeze warning signs throughout the campus to alert employees of potential icy conditions. It also provides shuttle services from the parking garage to the office building to reduce the slip, trip, and fall risk when coming to, and leaving, work.
- d. The Office Safety section of the Office of Legacy Management (**LM**) FEOSH Policy describes slips, trips, and falls as a common hazard in its work environment. LM initiated a slips, trips, and falls campaign called “Winter 3- Slips, Trips, and Falls.” The campaign was an effort to increase awareness and promote safety tips to avoid slips, trips, and falls in icy, wet, or snowy conditions. In addition, staff were provided information on how to take a surefooted approach to slips, trips, and falls from the National Safety Council. During inclement weather, situational flexiplace, early office closings, and delayed office openings are also used to ensure the safety of the workforce.
- e. Two offices within the Office of Environmental Management (**EM**) reported a total of three slip, trip, and fall incidents. One was recordable, and two resulted in no lost days. However, actions like buffing concrete walking surfaces, filling sidewalk seams with putty, and posting umbrella bags at building entrances to prevent dripping water onto tile floors were taken to minimize the potential for future events.
- f. During annual FEOSH inspections, team members observe employee workstations and inquire about any ergonomic issues or concerns. Once identified, detailed ergonomic reviews are conducted by qualified in-house or contract personnel.

Typically, if an organization has an Ergonomics Program Manager (EPM) or equivalent, the EPM will conduct the ergonomic-related reviews and workstation evaluations. Workstation evaluations are done upon request or as needed. Usually, the employee’s manager is responsible for ensuring that any identified needs (e.g., ergonomic chairs, document holders, desks, etc.) are procured.

2. Fatalities and Catastrophic Events

Total Number of Fatalities: 0	Total Number of Catastrophic Events: 0
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No fatalities or catastrophic events were reported for this reporting period.

C. Title 29, Code of Federal Regulations (CFR), Part 1960 (10 CFR 1960) Requirements

Organization of Agency Safety and Health Mission: The overall Occupational Safety and Health (OSH) function for the Department is located within the Office of Environment, Health, Safety and Security (AU). AU protects DOE and employees by serving as the Department’s environment, health, safety, and security advocate. AU supports the Department by identifying the risks associated with activities that could jeopardize DOE’s mission.

AU supports the Department’s strategic objective of operating the DOE enterprise safely, securely, and efficiently in the following focus areas:

Environment, Health, and Safety Policy and Support:

- Protecting the health and safety of DOE’s Federal and contractor workforce, addressing the health effects legacy of the Nation’s nuclear weapons program, and conducting national and international health studies;
- Minimizing DOE’s radiological and other environmental footprints and improving DOE’s safety performance through analysis, policy development, and sharing lessons learned; and
- Promoting the safe design, construction, and operations of DOE’s nuclear and nonnuclear facilities and providing cross-organizational leadership in resolving related issues.

Security Policy and Support:

- Establishing effective policies, through a collaborative enterprise approach, by which the entrusted national security assets are protected and secured;
- Furthering DOE’s national security, nonproliferation, and open governmental goals through the identification of classified, controlled, and unclassified information; and

- Providing specialized security services to DOE Headquarters facilities and securing the work environment for both Federal and contractor personnel.

DOE managers delegate the authority necessary for personnel to carry out their assigned safety and health responsibilities effectively. The DOE Strategic Mission promotes a culture of safety and health in its organizations. Managers at DOE demonstrate safety and health leadership using a top-down approach. For example, in CY 2014 DOE management granted the necessary authority over the work, resources, and subordinates to focus on health and safety issues present at Headquarters. This delegation of authority at DOE is outlined in documents provided to employees that include charts depicting the organizational hierarchy and position descriptions detailing job functions. Individuals with assigned safety and health responsibilities have the authority to perform their duties, and tasks are typically updated weekly.

Each organization within the Department initially addresses health and safety concerns identified by its employees. At most field locations, identified issues are brought to the attention of the organization's or facility's safety coordinator who either resolves the issue or brings it to the attention of the Assistant Manager in the Office of Operations. Safety and health concerns are handled as quickly as possible to avoid any long-term health and/or safety issues.

1. Field Federal Safety and Health Councils

DOE program offices and field sites encourage involvement in Field Federal Safety and Health Councils (FFSHC); in fact, DOE Federal employees are active participants in numerous councils. Examples include:

- a. DOE Headquarters personnel attend the Washington, DC, FFSHC meetings and participate on groups and activities sponsored by the council.
- b. WAPA serves on the Denver Federal Safety and Health Council, and a WAPA representative also serves as the recording secretary for the group and has hosted Council meetings several times at its Lakewood, Colorado, location. WAPA works closely with the OSHA Regional Office representative, produces the newsletter, maintains the e-mail group, and assists in providing information for the Council's Web site, which is hosted by the Denver Federal Executive Board.
- c. NNSA personnel are also involved in FFSHC meetings to varying degrees, largely depending on availability of the Councils in their geographic area. The NNSA FEOSH Program Manager and the Transportation Safety Manager participate in the bi-monthly meetings in Albuquerque, New Mexico. Staff members are encouraged to attend these offsite meetings. The NNSA Senior Advisor for Safety and Health at Headquarters regularly attends the Metropolitan Washington Federal Safety and Health Council meetings. In some cases where FFSHCs are not available, employees attend their local section of the American Society of Safety Engineers.

2. Inspection of the Safety and Health Management System

DOE has not had an OSHA inspection of the Federal workplace during this reporting period. DOE program offices and field sites have policies and programs in place to respond to OSHA inspections and mitigate any hazards identified.

The requirements in DOE Order 440.1B ensure “*that unannounced worker protection inspections of Federal workplaces are conducted at least annually*” by DOE safety and health personnel. DOE program offices and field sites reported the following regarding responses to internal inspections:

- a. The DOE Headquarters Office of Administration, within the Office of Management (MA), conducts annual inspections of the Headquarters workplaces. There is no formal tracking system to ensure that identified issues are addressed.
- b. Carlsbad Field Office (CBFO), within EM, reports it has recently completed inspections in accordance with the procedures identified in DOE/CBFO 94-1051, *CBFO FEOSH Program*. These inspections resulted in numerous issues requiring abatement. CBFO is continuing to track cited issues to closure. Upon completion, the CBFO Deputy Manager, or designee, will verify issue abatement and sign the issue abatement form.
- c. At ORO, OSHA-type inspections are performed annually, and the identified noncompliances are abated and tracked to closure by Facility Management. Noncompliances are not identified as “serious.” Many of the findings are corrected at the time of the inspection and noted in the final report.
- d. At DOE program offices and field sites, when an imminent danger situation is identified, corrective actions are taken immediately. Typically, these inspections do not result in the issuance of “Notices of Unsafe or Unhealthy Working Conditions.”

3. Occupational Safety and Health Training

DOE has developed an annual safety training course that is mandatory for all current DOE Federal employees and for each new hire. Every DOE Federal employee should be familiar with this online course, which presents safety awareness information and resources. Successful completion is accomplished by logging onto the course, following the course, and answering knowledge self-checks along the way. Every DOE Federal employee, without exception, is expected to complete this course annually. Each year, new topics are developed that reflect regulatory/policy changes and safety and health trends within the Department. Individual offices/programs go beyond the mandatory FEOSH training and provide its employees with additional classroom and online training, as well as provide training in the form of awareness bulletins, e-mails, posters, safety topics at staff and other meetings, brown bag luncheons, etc. Many of the DOE safety and health topics are also applicable while working away from the office environment (telework), as well as nonwork activities (driving, ladder safety, etc.). Employees with safety and health responsibilities are provided opportunities to attend regional and national conferences and workshops related to their areas of expertise.

The following is an abbreviated list of safety and health training topics at DOE Headquarters and Field sites:

- a. DOE FEOSH Annual Training;
- b. Integrated Safety Management System (ISMS) (site specific);
- c. Holiday Safety;
- d. Distracted Driving;
- e. Slips, Trips, and Falls;
- f. Ergonomic Awareness;
- g. Hazard Communication;
- h. Emergency Preparedness; and
- i. Ladder Safety.

The Department uses the guidelines outlined in the *Occupational Safety and Health Training Guidelines for Federal Agencies* to ensure that each employee has the knowledge and skills necessary to fulfill their OSH obligation pertinent to their specific employee group per 29 CFR 1960.

4. Whistleblower Protection Program

Federal employees at DOE have the full protection of section 11(c) of the Occupational Safety and Health Act. Additionally, the Civil Service Reform Act (CSRA) of 1978 specifically protects DOE Federal employees by prohibiting retaliation against a Federal employee for the act of disclosing a violation of any law, rule, or regulation; gross mismanagement; a gross waste of funds; an abuse of authority; or a substantial and specific danger to public health or safety.

The statutory provisions protecting whistleblowers in the CSRA are part of the Act's Prohibited Personnel Practices as set forth in 1978, and as amended in 1989, and again in 1994. The Whistleblower Protection Act of 1989 also covers DOE Federal employees. In addition, DOE Order 442.1A, *Department of Energy Employee Concerns Program*, ensures employee concerns related to the environment, safety, health, and management of DOE and NNSA programs and facilities are addressed promptly and prohibits reprisals against, or intimidation of, employees who have reported concerns.

DOE has also established a Differing Professional Opinion (DPO) process in DOE 442.2, *Differing Professional Opinions for Technical Issues Involving Environment, Safety and Health*, for employees to raise technical concerns related to environment, safety, and health (ES&H) that cannot be resolved using routine processes. This DPO process is intended to supplement, not replace, existing processes designed to address concerns. Employees must first seek to resolve concerns with their first-line supervisors or use established concern or complaint resolution systems. If these systems have not dealt, or

cannot deal effectively, with an ES&H technical concern, the concern may be submitted as described in the DPO process.

No DOE program, site, or support organizations reported information or investigations regarding employee allegations of reprisal related to Federal employees during this reporting period.

5. Product Safety

DOE frequently performs change analyses when there are changes in equipment, materials, or processes. In general, major changes in facility infrastructure or systems are reviewed by the building/facility managers and the facility health and safety office. For example, at Headquarters, MA is also responsible for products purchased and ensures their safety. The Facility Management Office in ORO has the responsibility for maintaining the Federal Building Complex and has adopted the Globally Harmonized System and maintains safety data sheets (SDS) for the chemical inventory needed in ORO buildings. Typically, throughout the complex during the work planning process, SDSs are reviewed and used as appropriate. When possible, less hazardous products are purchased after review and analysis to ensure employee protection.

D. Special 29 CFR 1960 Reporting

While DOE is not required to have a Certified Safety and Health Committee (CSHC), DOE recognizes the importance of establishing a CSHC and has identified the importance of this in previous reports. At Headquarters, MA sponsors a Headquarters-Labor Management Safety, Health, and Security Committee in accordance with the Collective Bargaining Agreement. The committee is a chartered committee comprised of four union representatives from the National Treasury Employees Union (NTEU) and four management representatives. The committee usually meets quarterly. In addition, NTEU representatives participate in the FEOSH annual inspections.

II. Safety and Health Management System Self-Evaluation

Overall Assessment

Based on the analyses of the information reported in the OSHA self-evaluations submitted by the DOE program offices and field sites, DOE performance is considered effective (2-3).

Agency Safety & Health Management System – Overall Assessment Score				
0	1	2	3	NA
		✘		

Summary of Self-Evaluation

DOE received self-evaluation summaries from program offices and field sites representing approximately two-thirds of the Federal DOE population. An overall assessment rating of two (2) was derived based on input received. Appendix 4 of this report contains DOE's summary of the subagency evaluation reports.

Strengths Identified

Administration and Supervision; Planning and Evaluation; and Management and Leadership as reflected through DOE Policy 450.4A, *Integrated Safety Management Policy*.

Areas for Improvement

Supervisor training that covers the supervisory aspects of the supervisors' safety and health responsibilities, new employee safety and health orientation training, and tracking hazard corrections.

Accomplishments

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; preventing slips, trips, and falls; and improving office workstation ergonomics. Accomplishments have occurred at the Headquarters level and at field operations. Examples include the following:

- a. Safety topics are routinely used to start DOE Savannah River (SR) All-Hands Meetings.
- b. Results for the FY 2014 DOE West Valley Demonstration Project ISMS review indicated the program was effectively implemented.
- c. The WAPA Safety and Occupational Health's updated training matrix is used in assessing leading indicators, such as motor vehicle incidents correlated with defensive driving training records.
- d. NNSA Production Office (NPO) developed and approved a Management Walk-out Procedure that requires management to observe various facilities, including NPO office spaces.
- e. DOE-MA facilitated training on the Globally Harmonized System for Hazards Communication in accordance with the updated OSHA standard. This training was attended by all MA personnel. Asbestos Inspector/Management Planner training, OSHA 30-Hour Construction, and OSHA 10-Hour General Industry training was provided to MA employees to be able to better recognize safety and health hazards.
- f. Based on a FEOSH finding, all the roofs at the DOE Forrestal facility in Washington, DC were surveyed, and a large rooftop fall protection project was initiated in CY 2014. A decision was made to construct a permanent railing around

the internal perimeter of one roof, as well as around the stairs that access the roof. A permanent fall arrest and protection system was installed for any work associated with rooftop antennas.

DOE continues to improve feedback on program performance through the use of brown bag lunches with managers and a recently implemented Workplace Improvement Committee that explores a variety of topics and recommendations to improve the overall working environment not just limited to safety and health concerns.

Action plans are being developed to resolve the areas for improvement. The goals outlined below address the identified areas for improvement based on the data collected from the DOE program offices and field sites.

III. Goals

Since the premise of any high reliability organization is to provide continuous improvement, DOE has established the following FY 2015 goals to improve the effectiveness of the Agency's Safety and Health Management System:

- a. Conduct improved safety and health training to ensure that all employees understand safety and health responsibilities, identification of hazards, and the use of more effective communication tools. Special emphasis will be focused on new employee orientation training.
- b. Reestablishment of the ergonomics technical panel to explore cost-effective implementation of a proactive ergonomics program among the various DOE Headquarters' program organizations.

Appendix 1. Subagency Occupational Safety and Health (OSH) Contacts

These are the Department of Energy (DOE) program offices and field sites with 1,000 or more Federal employees.

Name	Official Title	Telephone	E-mail
Subagency Name:	Headquarters		
OSH Manager	Cherylynne Williams	Safety and Occupational Health Manager	(202) 586-1005 Cherylynne.williams@hq.doe.gov
Subagency Name:	Office of Science		
OSH Manager	Vacant – pending replacement	Safety and Occupational Health Manager	
Subagency Name:	National Nuclear Security Administration		
OSH Manager	Stephen Wallace	Senior Occupational Safety and Health Advisor	(202) 586-6113 Stephen.Wallace@nnsa.doe.gov
Subagency Name:	Bonneville Power Administration		
OSH Manager	Brad Bea	Chief Safety Officer	(360) 418-2002 babea@bpa.gov
Subagency Name:	Western Area Power Administration		
OSH Manager	Kevin Jensen	Director – Safety	(720) 982-7292 Kjensen@wapa.gov

Appendix 2. Fatalities & Catastrophic Events - Summary Report

Total number of fatalities: **0**

Total number of catastrophic events: **0**

Fatality/Catastrophic Event Summary Report	
<input type="checkbox"/> Fatality	<input type="checkbox"/> Catastrophic Event
Work Related? Yes	No <input type="checkbox"/>
Number of Employees injured: <input type="text"/>	Date of Incident:
Number of employee fatalities:	Time of Incident:
Description of workplace operations:	
Description of incident:	
Analysis of workplace cause:	
Corrective actions taken: Yes <input type="checkbox"/> No <input type="checkbox"/>	
If yes, please describe:	
Programmatic changes made? Yes <input type="checkbox"/> No <input type="checkbox"/>	
If yes, please describe:	

Appendix 3. Certified Safety & Health Committee (CSHC)

Part I: General Information

1. Does your agency have an Occupational Safety and Health Committee (OSHC) at the National level? No

DOE established an FY 2013 goal to explore the feasibility of developing a CSHC meeting OSHA's requirements and is continuing discussion with the Department.

Appendix 4. SAFETY & HEALTH MANAGEMENT SYSTEM SELF-EVALUATION

I. Hazard Anticipation and Detection

1. A comprehensive, baseline hazard survey has been conducted within the past 5 years.

Reporting sites indicated comprehensive, baseline hazard surveys have been conducted within the past 5 years. Work activities are comprehensively surveyed by safety and health subject matter experts (SME). When hazard abatement/control options are proposed, they are reviewed by SMEs to ensure an appropriate level of worker protection is provided. Some field site work activities are periodically reviewed by offsite entities (e.g., DOE Headquarters) to assess the status of onsite worker protection.

0	1	2	3	NA
		✘		

2. Effective safety and health self-inspections are performed regularly.

Based on data received from DOE program offices and field sites, safety and health inspections are performed and documented regularly. Responsibility for inspections is assigned to the safety and health staff by the supervisors and managers. At some field sites, more frequent inspections are conducted covering all workspaces where an increased risk of accident, injury, or illness exists due to the nature of the work performed. The degree of employee participation in safety inspections varies depending on the worksite and the hazards posed.

0	1	2	3	NA
		✘		

3. Effective surveillance of established hazard controls is conducted.

Facility assessments conducted by safety and health personnel focus on 10 CFR 851 requirements to include the effective identification, evaluation, and control of hazards. When assessing facility evolutions, SMEs review hazard analysis documentation and verify that hazards were effectively identified and evaluated and that appropriate controls were identified to eliminate or mitigate hazards. Where staff oversee contracts (Contract Officer Technical Representatives), staff is provided with training to aid in their identification of health and safety issues.

0	1	2	3	NA
		✘		

4. Change analysis is performed whenever a change in facilities, equipment, materials, or processes occurs.

At locations where most Federal staff work in office spaces, there is minimal need to have a formal change analysis program. For example, at Oak Ridge Office, the General Services Administration-owned Federal building is maintained by Facilities Management. Maintenance work is planned and performed in accordance with all safety and health regulations and requirements through the Integrated Safety Management System (ISMS). However, where Federal employees work in, or are exposed to, non-office environments where equipment, materials, or processes may be removed, replaced, or put into operation, changes proposed are scrutinized by DOE SMEs who ensure that associated hazards have been analyzed and hazard controls are developed and implemented.

0	1	2	3	NA
		✘		

5. Material Safety Data Sheets are used to reveal potential hazards associated with chemical products in the workplace.

Safety Data Sheets are available to all employees and are accessible through the organization's/building management or safety and health office or site Intranet.

0	1	2	3	NA
		✘		

II. Hazard Prevention & Control

6. Feasible engineering controls are in place.

DOE utilizes the hierarchy of controls to address safety and occupational health hazards. As an example of feasible engineering controls in place at DOE Headquarters during the annual Federal Employee Occupational Safety and Health (FEOSH) survey questions were raised about the location where the window washers tied off. An engineering assessment was conducted of the window washer tie-off points, and it was determined that the location was not a good location. A construction project was initiated to add appropriate tie-off points around the perimeter of the building. This engineering control was developed and tested by experienced professionals.

0	1	2	3	NA
		✘		

7. Effective safety and health rules and work practices are in place.

Effective safety and health rules and work practices are in place for Federal employees. Integrated Safety Management (ISM) integrates safety into management and work practices so that missions are accomplished efficiently while protecting the workers, the public, and the environment. DOE employees are responsible and accountable to observe all safety requirements.

0	1	2	3	NA
			✘	

8. Applicable OSHA-mandated programs are effectively in place.

Based on field input, data received from ISM verifications, site visits, quarterly and annual reporting data, applicable OSHA-mandated programs are in place. Programs in place for Federal office employees with field/contractor oversight responsibilities include hazard communications, hearing conservation, injury/illness recordkeeping, respiratory protection, and radiation exposure monitoring.

0	1	2	3	NA
			✘	

9. An effective procedure for tracking hazard correction is in place.

Federal employee work hazards and corrective actions are monitored through verification inspections and site visits. Most field sites utilize the primary contractor’s hazard tracking system to ensure abatement of identified hazards. A few program offices in Headquarters have separate hazard tracking systems or have access to a contractor developed system.

DOE’s Office of Administration (MA-40) uses DOE’s Facilities Access Management System (FAMS) to track hazard correction. Both Federal and contract employees are able to enter occupational health and safety-related service requests into FAMS for tracking to completion. FAMS service requests are assigned to the appropriate individual or group for completion and are tracked by MA’s Office of Industrial Hygiene and Safety staff for progress reporting to management on a weekly basis.

0	1	2	3	NA
		✘		

III. Planning & Evaluation

10. Hazard incidence data are effectively analyzed.

Hazard incident data are analyzed at least on an annual basis throughout the DOE complex. Some field offices develop quarterly trending reports to evaluate operation trends and monitor performance in order to promote continuous improvement of programs. At Headquarters facilities, the identification of incident trends and hazard recurrences leads to an evaluation of root causes and contributing factors for high hazard or common findings. The findings of the annual FEOSH inspections are compared to previous years to correlate repetitive deficiencies. Accident and injury data is also compared to previous years and analyzed to explore trends between each building of the Headquarters facilities. The results of the data analysis are used to create or modify existing Standard Operating Practices to identify the need for additional health and safety training modules or awareness campaigns and for the implementation of hazard controls. For issues requiring extensive engineering controls, a project is created and added to the master project list.

0	1	2	3	NA
		✘		

11. An action plan designed to accomplish the organization’s safety and health objectives is in place.

The degree of which formal action plans designed to accomplish an organization’s safety and health objectives varies throughout the complex. For example, one site reported that although it had not experienced any hazardous incidences, the industrial hygienist tracks and analyzes lower

threshold incidents (noninjury cases) to ensure these “accident precursors” are appropriately reviewed and addressed to reduce the potential for the occurrence of similar injury-causing incidents. Another organization reported its employee Performance and Development Plans include distinct actions to improve workplace safety and health.

0	1	2	3	NA
		✘		

12. A review of the overall safety and health management system is conducted at least annually.

To ensure the overall safety and health management system is conducted at least annually, site ISMSs are evaluated annually, and an ISMS Declaration is sent to DOE Headquarters for verification that ISMS systems are fully functioning and improving. A periodic effectiveness review of the ISMS programs for each program office and field site is required per DOE Order 450.2, *Integrated Safety Management*. These reviews may be conducted by comparing the results of self-assessments and analysis against established performance objectives, measures, and commitments, as well as through other feedback and performance mechanisms.

0	1	2	3	NA
		✘		

IV. Administration & Supervision

13. Safety and health program tasks are each specifically assigned to a person or position for performance or coordination.

Throughout the DOE complex, staff assignments are established through position descriptions. Although in some cases it may not be identified specifically as FEOSH activities, employees are given the responsibility for their organization’s safety and health activities.

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14. Individuals with assigned safety and health responsibilities have the necessary knowledge, skills, and timely information to perform their duties.

Individuals assigned safety and health responsibilities must meet certain qualification criteria prior to being hired in a job category with safety and health responsibilities. Safety and health staff must meet Technical Qualification requirements for each position, as well as the established job knowledge, demonstrated skill, and education level required by the position. DOE’s safety and health employees are usually members of professional organizations in their respective disciplines.

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15. Individuals with assigned safety and health responsibilities have the authority to perform their duties.

Authority is defined and established through the Functions, Responsibilities, and Authorities Procedure. In addition, as required by DOE Order 440.1B and DOE Rule 10 CFR 851, all site employees have the authority to stop work if they observe an imminent danger situation. Safety and health professionals work directly with DOE line organization staff who have direct responsibility for safe operations onsite.

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16. Individuals with assigned safety and health responsibilities have the resources to perform their duties.

DOE managers and organizations are responsible for the overall direction, program support, and oversight of work. The ISMS description document states that activities should be strategically planned and prioritized in order to ensure that DOE safety resources are most effectively applied. Further, it states that each organizational element is responsible for planning its activities, budgeting and allocating available resources to meet its objectives, and contributing to the development and implementation of requirements and objectives.

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17. Organizational policies promote the performance of safety and health responsibilities.

DOE is committed to providing a safe and healthful working environment for all employees and has documented this commitment in the employees throughout the complex. DOE has established an ISMS that ensures that safety is integrated into all organizational operations. ISMS is evaluated annually to validate that it is functioning as designed. Site Functions, Responsibilities, and Authorities Procedures define roles and responsibilities for DOE organizations and specifically assign safety and health responsibilities. Site contractor operated facilities operate in accordance with established procedures and processes, and operations are assessed regularly to verify compliance with established and defined safety and health requirements.

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IV. Safety and Health Training

18. Employees receive appropriate safety and health training (including overseas).

Safety and health training is provided to ensure that DOE employees are able to work in a safe and healthful manner. Each employee is provided the necessary safety and health training commensurate with their job functions. Training is tailored to the work performed and the hazards associated with the work location and are reevaluated whenever there is a change in the type of work performed, the work location, or the potential hazards at the work location. Additional training or refresher training is provided as necessary. The mandatory Web-based FEOSH annual training is available to all domestic and overseas employees. The CY 2014 course covered timely topics that included office ergonomics and distracted driving. Employees are encouraged to provide feedback to the Office of Environment, Health, Safety and Security’s Office of Worker Safety and Health Policy with recommendations for future course topics and improvements to course layout and function.

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19. New employee orientation includes applicable safety and health information.

Within the Department, safety and health is part of new employee orientation for both program offices and field sites. Further, a FEOSH orientation training program covering the pertinent sections of title 29, Code of Federal Regulations, part 1960; Executive Order 12196; and the OSH Act exists on the Department’s Online Training Center (OLC2) Web site, which is accessible by all DOE sites. In addition, DOE reinforces this training with mandatory annual

training on current safety and health events. New employees also have access to employee handbooks or “customer services” handbooks at both program offices and field sites, which contain safety and health information and links. Safety and health information provided during the orientation of new employees always contains location-specific safety and health information. A CY 2015 year goal has been established to update the mandatory FEOSH New Employee Orientation Web-based training course.

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20. Supervisors receive training that covers the supervisory aspects of their safety and health responsibilities.

All supervisors receive training on the DOE ISMS, as well as other DOE safety and health programs. In addition, supervisors receive safety and health training specific to their assigned responsibilities and locations. As an example, some supervisors at DOE’s defense nuclear facilities are required to be Senior Technical Safety Managers (STSM) and must requalify as an STSM every 5 years per the requirements of DOE Order 426.1, *Federal Technical Capability*. Local procedures delineate specific requirements for supervisors/managers, and training is tailored to that level. However, DOE identified some gaps in supervisor safety and health training. As a result, DOE’s annual mandatory safety and health training has segments specifically targeted toward supervisors.

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IV. Management & Leadership

21. Top management policy establishes clear priority for safety and health.

DOE ISMS ensures DOE program and site organizations are committed to conducting work efficiently and in a manner that ensures protection of workers, the public, and the environment. Further, safety management systems are used to systematically integrate safety into management and work practices at all levels so that missions are accomplished while protecting the public, the workers, and the environment.

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22. Top management provides competent safety and health staff support to line managers and supervisors.

DOE establishes strict education and experience requirements for all safety and health staff and candidates, for these positions are judged against those criteria. Once safety and health personnel are hired, they must complete a specific functional area qualification (e.g., occupational safety and health, industrial hygiene, fire protection, etc.) within a set time period. In some organizations, resources are allocated to allow the acquisition of qualified contract support staff. Many of DOE’s existing safety and health staff have earned professional licenses or certifications and are encouraged to be allowed to attend annual conferences and workshops specific to their areas of expertise.

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23. Managers delegate the authority necessary for personnel to carry out their assigned safety and health responsibilities effectively.

DOE managers delegate the authority necessary for personnel to carry out their assigned safety and health responsibilities effectively. The DOE Strategic Mission promotes a culture of safety and health throughout the complex. Managers at DOE demonstrate safety and health leadership using a top-down approach. In CY 2014, management at DOE granted the necessary authority over the work, resources, and subordinates to focus on health and safety issues present at Headquarters. This delegation of authority at DOE is outlined in a number of documents provided to personnel. These include charts depicting the organizational hierarchy, position descriptions detailing job functions, and the charter of the health and safety committee.

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24. Managers allocate the resources needed to properly support the organization’s Safety and Health Management System.

Allocations for safety and health are included in each budget cycle. Managers are responsible for ensuring that the resources allocated are sufficient. Each employee is responsible for requesting whatever resources are necessary to accomplish a specific task or objective. However, Management has the option of approving or disapproving a request.

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25. Managers assure that appropriate safety and health training is provided.

In addition to program and site office safety and health training, all DOE Federal employees are required to complete the mandatory FEOSH annual training course sponsored by the Office of Environment, Health, Safety and Security. Monthly safety topics, posters, pamphlets, awareness bulletins, e-mails, etc., also serve as training tools to increase employee knowledge on the health and safety concerns related to their specific jobs and worksites.

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26. Top management is involved in the planning and evaluation of safety and health performance.

DOE senior management takes the responsibility when information is received from employee surveys, including the Federal Employee Viewpoint Survey. Based on these surveys, managers develop specific safety and health goals for their respective organizations. Senior management evaluates its performance against those goals throughout the year. While DOE as a whole does well with the appropriate management level involved in planning and evaluation of safety and health performance, it has been reported there are some managers who lack ISM principles, evidenced by their questioning the need for safety training and other requirements.

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VII. Employee Participation

27. There is an effective process to involve employees in safety and health issues.

Employee concerns and employee suggestion programs, as well as meetings and “brown bag” lunches with supervisors and managers, provide employees opportunities to bring safety and health issues and concerns to the attention of top-level managers and safety and health professionals throughout the DOE complex.

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28. Employees are involved in organizational decisionmaking in regard to the allocation of safety and health resources.

The development of budgets and resource allocation is primarily a function of management personnel. However, employees have the ability to submit safety and health suggestions to their supervisors and managers that could potentially affect resource allocations. Suggestions are considered and may be implemented based on their value, feasibility, and cost. Managers typically provide feedback to their organizations on the decision to accept or deny implementation of a suggestion.

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29. Employees are involved in organizational decisionmaking in regard to safety and health training.

DOE employees have input into the planning process through development of an annual Individual Development Plan (IDP), which includes safety and health training. Employees have the responsibility to work with their supervisors to develop their IDPs. Based on the employee’s job function, several safety and health courses are made available throughout the year. Employees are also encouraged to provide feedback to their managers and training departments on any courses they take.

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30. Employees participate in the evaluation of safety and health performance.

Employees are engaged during routine safety and health inspections of their workspaces and buildings. A FEOSH program point of contact is usually a member of the inspection team conducting the inspections. Employees are asked if they have any safety or health concerns or observed any unsafe conditions. Typically, employees are willing to discuss their concerns with members of the inspection teams. Union representatives are invited to participate on the inspection teams.

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