



PROCEDURE 231.1-3C

Title:	ENVIRONMENT, SAFETY, AND HEALTH REPORTING
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There are no attachments to this procedure.	

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FORMS

DOE Form 5484.3, [Individual Accident/Incident Report](#)

DOE Form 5484.4, [Tabulation of Work Hours, Vehicle Usage, and Property Valuation](#)

OSHA Form 300, [Log of Work-Related Injuries and Illnesses](#)

OSHA Form 300A, [Summary of Work-Related Injuries and Illnesses](#)

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1. **PURPOSE**

- a. To ensure collection and reporting of environment, safety, and health (ES&H) information that is required on a scheduled basis by DOE, law, or regulation, or that is essential for evaluating NETL operations and identifying opportunities for improvement needed for planning purposes.

2. **APPLICABILITY**

- a. This procedure applies to all NETL employees, research associates, and visitors to the NETL site.

3. **PROCEDURE**

- a. **Reporting Guidelines** — Reports, documents, and other submissions listed in this procedure shall be prepared and submitted in accordance with DOE Manual 231.1-1, Environment, Safety, and Health Reporting Manual, which specifies in detail the reports that shall be filed, the persons or organizations responsible for filing the reports, the recipients of the reports, the format in which reports shall be prepared, and the time schedules on which the reports shall be filed.
- b. **DOE Reporting Requirements** — NETL shall meet the following DOE reporting requirements:
- (1) **Work-Related Fatalities, Injuries, and Illnesses**
 - Report work-related fatalities, injuries, and illnesses occurring among DOE and onsite contractor employees arising out of work performed at NETL-owned or -leased facilities (see DOE Manual 231.1-1, Chapter II, Paragraphs 1.a. and 1.b.). Reporting includes preparation of “Log and Summary of Occupational Injuries and Illnesses” (i.e., OSHA 300 log) and DOE Form 5484.3, “Individual Accident/Incident Report.”
 - Submit a legible copy of each new or revised DOE Form 5484.3, Individual Accident/Incident Report, quarterly (on or before the 25th of April, July, October, and January) for receipt by the computerized accident/incident reporting system (CAIRS) data coordinator. Reports shall be addressed to the CAIRS data coordinator, U.S. Department of Energy, EH-72, Building 270 Corporate Center, 19901 Germantown Road, Germantown, MD 20874-1290. Note: These submissions can also be made electronically using the DOE computerized CAIRS.
 - Please see NETL Procedure 231.1-2, Injury/Illness Investigation and Reporting, for more detailed information on investigating and reporting NETL accidents, injuries, and illnesses.

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(2) Work-Hours

- Report work-hours in accordance with DOE Manual 231.1-1, Chapter II, paragraph 1.d., including total quarterly work-hours and vehicle usage, on a calendar-year basis, for use in normalizing DOE accident statistics.
- Use DOE Form 5484.4, and submit form before the 25th of each January, April, July, and October to CAIRS data coordinator.

(3) Annual (Calendar Year) Summary of Fire Damage

- Submit annual summary of fire damage report in accordance with DOE Manual 231.1-1, Chapter II, paragraph 2 and Appendix F, and DOE Order 420.1, Facility Safety.
- Submit the report to the DOE fire protection authority having jurisdiction by March 31st of the following calendar year.

(4) Epidemiological Information

- Submit any epidemiologic analyses related to excess injuries and illnesses in accordance with DOE Manual 231.1-1, Chapter II, paragraph 4. Notify the assistant secretary for environment, safety, and health of suspected excesses of illnesses or injuries that require epidemiologic analyses to determine if the excesses are work related.
- Submit occupational safety and health (OS&H) information in support of epidemiological studies and conducted by external organizations in accordance with DOE Manual 231.1-1, Chapter II, paragraph 5. Submit OS&H information, upon request, to Centers for Disease Control officials, state health officials, their contractors, and grantees conducting epidemiological studies.

(5) National Environmental Policy Act

- Submit the National Environmental Policy Act report in accordance with DOE Manual 231.1-1, Chapter I, paragraph 3. This annual report shall include:
 - 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
 - A National Environmental Policy Act planning summary.

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- Submit the report by January 31st of each year to the assistant secretary of environment, safety, and health.
- (6) Annual Site Environmental Report
- Prepare the annual site environmental report (ASER) in accordance with DOE Manual 231.1-1, Chapter I, paragraph 2. This report shall include a summary of environmental data so as to characterize site environmental management performance.
 - Prepare the report by October 1st of the following year (e.g., CY 2003 report is due by October 1, 2004) and submit to the assistant secretary for environment, safety, and health.

c. Additional ES&H Reporting Requirements

- (1) NETL's additional ES&H reporting requirements are contained in NETL directives available on NETL's intranet. These include both external regulatory reporting (i.e., federal, state, and local) and internal reporting (i.e., DOE/NETL organizational requirements not previously listed) requirements. The directives include information on additional reporting deliverables, their periodicity, their intended recipients, and the responsible persons for their preparation and submission.

d. Quality Control

- (1) The quality of information reported using this procedure shall be the responsibility of the director, ES&H Division.

4. **RESPONSIBILITIES**

a. Federal CAIRS Manager

- (1) Prepare and submit NETL's work-related fatalities, injuries, and illnesses report (which includes all of NETL's reporting federal and onsite contractor organizations) to the appropriate person/agency according to the format, schedule, and process outlined in DOE Manual 231.1-1, Environment, Safety, and Health Reporting Manual (Chapter II, pages II-1 through II-3).
- (2) Provide NETL's work-hours and vehicle usage information (the latter in concert with NETL's property manager) to the appropriate person/agency according to the format, schedule, and process outlined in DOE Manual 231.1-1, Environment, Safety, and Health Reporting Manual (Chapter II, page II-3).
- (3) Post the OSHA Summary (OSHA Form 300A), as required per 29 CFR 1904 by February 1st of each year, following the year covered by the form and keep it

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posted until April 30th of that year, as outlined in DOE Manual 231.1-1 (Chapter II, page II-3).

b. Federal Property Manager

- (1) Provide vehicle usage information to the NETL CAIRS manager.

c. Federal Fire Protection Program Manager

- (1) Prepare and submit NETL's annual (calendar year) summary of fire damage report to the appropriate person/agency according to the format, schedule, and process outlined in DOE Manual 231.1-1, Environment, Safety, and Health Reporting Manual (Chapter II, page II-5).

d. Federal Occupational Medicine Program Manager

- (1) Submit any epidemiologic analysis related to excess injuries and illnesses according to the format, schedule, and process outlined in DOE Manual 231.1-1, Environment, Safety, and Health Reporting Manual (Chapter II, page II-5).
- (2) Notify the assistant secretary for environment, safety, and health of suspected excesses of illnesses or injuries that require epidemiologic analyses to determine if the excesses are work related.
- (3) Submit occupational safety and health (OS&H) information in support of epidemiological studies conducted by external organizations and OS&H information, upon request, to Centers for Disease Control officials, state health officials, their contractors, and/or grantees conducting epidemiological studies according to the format, schedule, and process outlined in DOE Manual 231.1-1, Environment, Safety, and Health Reporting Manual (Chapter II, page II-6).

e. Federal NEPA Compliance Officer

- (1) Prepare and submit the NETL's national environmental policy act planning summary to the appropriate person/agency according to the format, schedule, and process outlined in DOE Manual 231.1-1, Environment, Safety, and Health Reporting Manual (Chapter I, page I-2).

f. SMS Representative/Director, ES&H Division

- (1) Prepare and submit NETL's annual site environmental report (ASER) to the appropriate person/agency according to the format, schedule, and process outlined in DOE Manual 231.1-1, Environment, Safety, and Health Reporting Manual (Chapter I, page I-1).

- (2) Ensure that occupational health and safety information is documented and that interested parties are informed.
- (3) Ensure that employees are involved in the development and review of policies and procedures to manage risks.

g. Federal ES&H Program Managers

- (1) Prepare and submit reports as stated in program operating plans and procedures.

5. TRAINING

- a. The CAIRS manager, property manager, occupational medicine program manager, NEPA compliance officer, environmental managers, and ES&H program managers shall be familiar with this procedure. No recurring training is required.

6. RECORD CONTROL

- a. These records created by this procedure are retained according to DOE Environmental Records Retention Schedule, Item 1b5b. Destroy after 30 years, 29 CFR 1910.20 (N1-434-98-28).
 - (1) Annual summary of fire damage report.
 - (2) Any epidemiologic analyses.
 - (3) OS&H information in support of epidemiological studies.
 - (4) National Environmental Policy Act report.
 - (5) Annual site environmental report.
 - (6) NETL's work-related fatalities, injuries, and illnesses report.
 - (7) NETL's work hours and vehicle usage information.
 - (8) DOE Form 5484.3, Individual Accident/Incident Report.
 - (9) DOE Form 5484.4, Tabulation of Work Hours, Vehicle Usage, and Property Valuation.
 - (10) OSHA Form 300, Log of Work-Related Injuries and Illnesses.
 - (11) OSHA Form 300A, Summary of Work-Related Injuries and Illnesses.

- b. The National Environmental Policy Act report is retained according to DOE Environmental Records Retention Schedule, Item 2f4. Cutoff annually at the end of the calendar year of project completion. Destroy in 3 years, 10 CFR 1021, 10 CFR 1500, and 10 CFR 1508 (N1-434-98-28).
- c. Reports, documents, and other submissions associated with implementing this procedure's requirements shall be archived in the NETL ES&H records center.

7. **REQUIREMENTS**

- a. DOE Order 231.1, [Environment, Safety, and Health Reporting](#).
- b. DOE Order 440.1, [Worker Protection Management for DOE Federal and Contractor Employees](#).
- c. DOE Order 451.1, [National Environmental Policy Act Compliance Program](#).
- d. DOE Manual 231.1-1, [Environment, Safety, and Health Reporting Manual](#).
- e. NETL Order 231.1, [Environment, Safety, and Health Reporting](#).
- f. NETL Operating Plan 440.1-5, [Fire Protection Program](#).
- g. NETL Procedure 231.1-2, [Injury/Illness Investigation and Reporting](#).
- h. NETL Procedure 451.1-1, [NEPA Implementation](#).
- i. 29 CFR 1904 -- Recordkeeping and Reporting Occupational Injuries and Illnesses.
- j. 29 CFR Part 1960 (Basic Program Elements for Federal Employees), Subpart I -- Recordkeeping and Reporting Requirements.

8. **REFERENCES**

- a. DOE Order 420.1, [Facility Safety](#).
- b. ISO 14001, Environmental Management System – Specification with Guidance for Use.
- c. OHSAS 18001, Occupational Health and Safety Management Systems – Specification.

9. **DEFINITIONS**

- a. ASER — Annual Site Environmental Report.
- b. CAIRS — Computerized Accident/Incident Reporting System.

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- c. ORPS — Occurrence Reporting and Processing System.
- d. OHSAS 18001 — Occupational Health and Safety Assessment Series 18001.

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10. **REVISION HISTORY**

VERSION	DATE	SUMMARY OF CHANGES
450.4-12	11/26/01	To ensure collection and reporting of environment, safety, and health (ES&H) information that is required on a scheduled basis by DOE, law or regulation or that is essential for evaluating NETL operations and identifying opportunities for improvement needed for planning purposes.
450.4-12A	3/5/03	This procedure has been revised to eliminate reporting requirements that do not add value or are adequately addressed in other NETL procedures. This will bring the procedure into alignment with existing NETL practices.
450.4-12B	3/8/04	This procedure has been revised to bring the procedure into alignment with existing NETL practices.
231.1-3	9/15/04	The number of the directive is being changed from the 450 series to the 231 series to be consistent with other directives in the same series. Other minor changes were made for clarity.
231.1-3A	9/12/05	Reference to NETL’s register of ES&H periodic requirements was removed from this procedure since this register is no longer maintained. Specific reporting requirements are contained in this procedure, as well as in other ES&H directives. NETL Order 231.1, ES&H Reporting, was included in the reference section.
231.1-3B	3/24/06	Primary changes to the procedure were to ensure that references made in the procedure coincide with changes made to DOE Order 231.1 and DOE Manual 231.1-1.
231.1-3C	8/31/07	Primary changes to the procedure were to incorporate information on NETL’s safety management system and the occupational health and safety assessment series (OHSAS) 18001.

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