

Summary of Changes

to

P 231.1-2

Injury/Illness/Property Damage Investigation and Reporting

**Revised Version Issued as P 231.1-2A of 1/19/05**

NETL Procedure 231.1-2, Injury/Illness/Property Damage Investigation and Reporting, of 10/7/04, has undergone revisions. Changes were made to reflect changes in the updated DOE Manual 231.1-1, Environmental, Safety, and Health Reporting Manual; Chapter II, Reporting Occupational Safety and Health Information; and ES&H Reporting Manual for the computerized Accident/Incident Reporting System; and criteria for establishing CAIRS Reporting Organizations. Please replace NETL Procedure 231.1-2 with NETL Procedure 231.1-2A.

The most recent and official controlled hard copy version of this directive resides with NETL's Directives Coordinator. An electronic version of the controlled directive has been placed on the NETL Intranet for employee use. Printed hard copies of this electronic version are considered noncontrolled documents.

# U.S. Department of Energy

## National Energy Technology Laboratory

# PROCEDURE

P 231.1-2A

DATE: 1/19/05

**SUBJECT:** INJURY/ILLNESS INVESTIGATION AND REPORTING

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1. PURPOSE. This Procedure sets forth the minimum requirements for injury/illness investigation and reporting for the National Energy Technology Laboratory and applies to all Federal employees and onsite support contractors.
2. CANCELLATION. NETL Procedure [231.1-2](#), Injury/Illness/Property Damage Investigation and Reporting, of [10/7/04](#).
3. REFERENCES.
  - a. DOE Order 225.1, [Accident Investigations](#).
  - b. DOE Order 231.1, [Environment, Safety and Health Reporting](#).
  - c. DOE Order 440.1, [Worker Protection Management for DOE Federal and Contractor Employees](#).
  - d. DOE Guide 225.1A-1, [Implementation Guide for Use with DOE Order 225.1, Accident Investigations](#).
  - e. DOE Manual 231.1-1, [Environment, Safety and Health Reporting Manual](#).
  - f. NETL Procedure 320.1-2, [New Employee Orientation](#).
  - g. DOE Form 5484.3, [Individual Accident/Incident Report](#).
  - h. DOE Form 5484.4, [Tabulation of Work Hours and Vehicle Usage and Property Valuation](#).
  - i. NETL Form 440.1-34/1, [NETL Injury/Illness Report](#).
  - j. OSHA Form 300A, [Summary of Work-Related Injuries and Illnesses](#).

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**INITIATED BY:** Office of Institutional and Business Operations  
**NO. OF PAGES/ATTACHMENTS:** 8 pages

- k. OSHA Form 300, [Log of Work-Related Injuries and Illnesses](#).
- l. Statutory ES&H Requirements:
  - (1) 29 CFR 1904, Recording and Reporting Occupational Injuries and Illnesses.
  - (2) 29 CFR 1960 Subpart I, Recordkeeping and Reporting Requirements for Federal Employees.

#### 4. DEFINITIONS.

- a. CAIRS -- DOE Computerized Accident/Illness Reporting System.
- b. CAIRS Coordinators -- **Contractor** individuals assigned to assist NETL CAIRS **Federal** Program Manager with injury/illness investigation and reporting.
- c. DOE CAIRS Data Coordinator -- The external agency identified to be the recipient of the NETL Quarterly CAIRS Report.
- d. Incident Reporting Coordinator -- An individual appointed by each NETL organization that coordinates the reporting and investigation of accidents.
- e. NETL CAIRS **Federal** Program Manager -- The DOE Point of Contact who is responsible for the **management of** reporting and investigation of NETL accidents.
- f. Occupational Injury or Illness -- Any work-related injury or illness resulting from NETL work activity.
- g. OHU -- The NETL Occupational Health Units located at the NETL MGN and PGH sites.
- h. Recordable Injury or Illness -- An occupationally related injury or illness as defined by the Occupational Safety and Health Administration (References L.(1) and L.(2)).

#### 5. QUALITY CONTROL.

- a. The Incident Reporting Coordinator shall ensure the quality of information that is submitted on forms DOE F 5484.3 and DOE F 5484.4 and that the forms are complete.
- b. The NETL CAIRS **Federal** Program Manager shall review all forms DOE F 5484.3 and DOE F 5484.4 to ensure their completeness and shall ensure the quality of submissions **into the CAIRS database.**
- c. The Incident Reporting Coordinator is responsible for the accuracy of the OSHA **Form 300A, Summary of Work-Related Injuries and Illnesses,** and for ensuring it is properly posted.

6. RESPONSIBILITIES.a. Line Managers shall:

- (1) Be familiar with and implement this Procedure's requirements.
- (2) Make their employees aware of this Procedure and their responsibilities to report all of their organization's occupational injuries and illnesses and property damage.
- (3) Conduct investigations as appropriate for all reported accidents to determine root cause and initiate documentation of any/all preventative measures, which have or will be enacted.
- (4) Initiate corrective actions to prevent reoccurrence and track them to closure.
- (5) Ensure that new employee orientation is conducted in accordance with reference g. including the requirement for employees to report all injuries sustained in the line of duty and the employee's ES&H rights and responsibilities.

b. Employees shall:

- (1) Understand their responsibility to report all personnel injury/illnesses requiring medical treatment to their immediate supervisor and respective OHU.
- (2) Cooperate with the individuals conducting investigations and complete the required forms and witness statements as requested.
- (3) If personnel injury/illnesses are not reported within a period of **10 working** days from date of the incident, the occurrence may not be classified as a work-related injury or illness.

c. Incident Reporting Coordinator shall:

- (1) Adhere to this Procedure as minimum requirements for processing, investigating, and reporting incident information, in addition to the reporting of quarterly work hours.
- (2) Ensure that their organization's OSHA 300 logs and **300A** summaries are maintained.
- (3) Ensure that the **updated** DOE Form 5484.3 (required to be submitted within **7 calendar** days of occurrence) and DOE Form 5484.4 and associated reports (required to be submitted **prior to** the 10th of the month immediately following the quarterly reporting period) are completed.

- (4) Ensure that quarterly reports are submitted to the NETL CAIRS **Federal** Program Manager and Coordinator prior to the reporting deadline cited in this Procedure.

d. NETL CAIRS **Federal** Program Manager shall:

- (1) Manage this program by maintaining this Procedure, all appropriate records, and providing interpretations of this Procedure **to federal and contractor employees.**
- (2) Ensure that NETL quarterly incident reports are **inputted** timely per this Procedure.
- (3) Review all submitted DOE F 5484.4 and DOE F 5484.3 forms to ensure proper documentation of recordable injuries/illnesses and follow-up investigations and corrective actions have been completed.
- (4) Analyze **federal and contractor** injury/illness data to look for trends that may be an indication of systemic problems that need to be addressed within the ES&H Program.
- (5) Report incident information to the NETL ES&H Director and NETL's Safety and Health Manager(s) on a monthly basis and make recommendations for improvements to ES&H Programs based on analysis of the data.
- (6) **Maintain a current list of NETL CAIRS reporting organizations based on the following criteria:**
  - (a) **NETL Site DOE or contractor personnel with more than ten full time employees**
  - (b) **Other personnel performing NETL managerial work at NETL site.**
  - (c) **Other significant injuries or illnesses occurring at NETL without a CAIRS Reporting Organization Code may be report in the NETL ORPS.**
- (7) **Coordinate the completion and posting of all Federal OSHA 300 and 300A logs, Summary of Work Related Injuries and Illnesses.**

e. The NETL CAIRS Coordinator(s) shall:

- (1) Assist the NETL CAIRS **Federal** Program Manager in performing responsibilities d.(1) through d.(5) above.
- (2) Implement electronic CAIRS reporting.
- (3) Perform an annual review of NETL CAIRS reporting and recordkeeping and submit a summary report to the NETL CAIRS **Federal** Program Manager by mid January of each subsequent calendar year.

- f. The Site Occupational and Health Unit (OHU) shall initiate NETL Form 440.1-34/1, Injury/Illness Report, for all occupational injuries and illnesses logged into the OHU. The report shall be distributed as specified in Section 9 below.
7. TRAINING REQUIREMENTS. Those with responsibilities within the Procedure shall be familiar with the requirements of this Procedure and receive training as required.
8. DOCUMENT CONTROL.
  - a. All Federal employee injury/illness/incident documentation records shall be maintained for 30 years.
  - b. Contractors shall be responsible for maintaining their own **OSHA and DOE** injury/illness/incident documents. A file copy of the quarterly CAIRS report for the contractor reporting organization should be retained for the duration of the contract period.
9. PROCEDURE.
  - a. Procedure for Investigating, Reporting, and Recording Injuries and Illnesses

The injury/illness reporting procedure shown below outlines the process for investigating, reporting, and recording injuries/illnesses. Additional information is contained on the forms that are to be used for this Procedure.

- (1) Following an incident, the injured or ill employee shall report to the OHU for treatment of any work-related injury or illness. If the OHU is closed (after normal business hours), employees shall notify NETL Security and their supervisor regarding the incident and obtain immediate medical attention as required. The employee shall subsequently report injuries/illnesses occurring after hours including treatment provided to the OHU the next business day.
- (2) The OHU will treat work-related injuries or illnesses and log each occurrence as specified in their local procedure for logging visits.
- (3) The OHU completes Section I of the NETL Form 440.1-34/1, Injury/Illness Report and electronically distributes the report to the employee's Incident Reporting Coordinator, supervisor, respective OHU, and to the NETL CAIRS **Federal** Manager and Coordinators.
- (4) The Incident Reporting Coordinator shall coordinate the completion of Section II of the NETL Form 440.1-34/1, Injury/Illness Report. Input to this form shall be obtained directly from the employee and will be completed by his/her supervisor. If the injury or illness is not OSHA recordable (first aid only), the Incident Reporting Coordinator shall coordinate the completion of the report and forward it to the NETL CAIRS **Federal** Manager and Coordinators within 72 hours.

- (5) If the injury or illness is OSHA recordable, the Incident Reporting Coordinator shall (1) return the NETL Form 440.1-34/1, Injury/Illness Report, to the NETL CAIRS Federal Manager and Coordinators within 72 hours, and (2) coordinate the completion of a DOE Form 5484.3 and forward it to the NETL CAIRS Federal Program Manager and Coordinators and enter the case on the organization's 300 Log of work-related injuries and illnesses within 7 calendar days.
- (6) If the accident is a Type A or B injury/illness as defined in this Procedure, the ES&H Division Director shall be notified to coordinate the investigation process in accordance with the requirements described in references a. and e. in this Procedure.
- (7) The Incident Reporting Coordinator shall complete and submit a DOE Form 5484.4, Tabulation of Work Hours to NETL CAIRS Federal Manager and Coordinators by the 7<sup>th</sup> day of the month following the quarter (April, July, October, January).
- (8) The NETL CAIRS Federal Manager and Coordinators shall electronically submit DOE F 5484.3 into CAIRS Direct Data Entry. Reports (DOE F 5484.3) will be submitted at least twice per month for receipt on or before the 15<sup>th</sup> of the month and the last working day of the month. The DOE F 5484.4 shall be submitted to the CAIRS Direct Data Entry the 10<sup>th</sup> day of the month following the quarter.
- (9) DOE, as well as contractors, shall post their OSHA Form 300A, Summary of Work-Related Injuries and Illnesses, signed by their designated company executive, by February 1 to April 30 of each year in a conspicuous location where employees notices are customarily posted.
- (10) To provide consistent reporting, documentation, and record keeping when an NETL visitor(s) sustains an injury or illness reported to the OHU or NETL Security (i.e., delivery person), the OHU will initiate a NETL Form 440.1-34/1, Injury/Illness Report, and distribute it in accordance with the procedure specified above.

b. Accident Categorization

- (1) If an incident or event has met the criteria for reporting into the ORPS Reporting system, then, the Occurrence Reporting and Processing System (ORPS) procedure shall be implemented as appropriate.
- (2) If the incident is a non-emergency, the site ORPS procedures shall be implemented as appropriate.
- (3) An incident categorized as a Type A will meet one of the following:

- (a) Any injury or chemical or biological exposure that results in, or is likely to result in the fatality of an employee or member of the public
  - (b) Any accident where three or more DOE, contractor, or subcontractor employees, or members of the public incur a serious injury that requires hospitalization for more than 48 hours, commencing with 7 calendar days from the date the injury was received; results in severe hemorrhages; results in severe damage to nerves, muscles, tendons, or internal organs; results in second or third degree burns affecting more than 9 percent of the body surface; or has a high probability of realizing a permanent total disability due to injuries, chemical exposures, or biological exposures received.
  - (c) Estimated loss of, or damage to, DOE or other property equal to or greater than \$2.5 million or requiring estimated costs equal to or greater than \$2.5 million for cleaning, decontaminating, renovating, replacing, or rehabilitating structures, equipment, or property.
  - (d) Any apparent loss, explosion or theft involving radioactive or hazardous material under the control of DOE, contractors, or subcontractors in such quantities and under such circumstances to constitute a hazard to human health and safety or private property.
- (4) An incident categorized as a Type B will meet one of the following:
- (a) Any accident that results in the hospitalization of one or more DOE, contractor, or subcontractor employees or members of the public for five continuous calendar days or longer due to serious injury (as defined in 49 CFR 830.2), occupational illness (except members of the public), chemical exposure, or biological exposure.
  - (b) Any one accident resulting in five or more lost-workday cases.
  - (c) A series of accidents involving 5 or more lost-workday cases occurring within a one-year time period that involve identical or similar facilities, systems, equipment, materials, or procedures. This criterion is intended to cover injuries, illnesses, and exposures that reveal a pattern and cause for concern.
  - (d) Estimated loss of, or damage to, DOE or other property of less than \$2.5 million but more than \$1 million, including costs for cleaning, decontaminating, renovating, replacing, or rehabilitating structures, equipment, or property.

- (5) An incident categorized as a Type C will meet the following: any OSHA recordable injury or illness that is not a Type A or B incident.
- (6) An incident categorized as a type "NR" (non-recordable) will meet the following: any previously reported case that has been revised to a non-recordable status.

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Director, OIBO

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