

DOE 3790.1B
1-7-93



THIS PAGE MUST BE KEPT WITH DOE 3790.1B, FEDERAL EMPLOYEE OCCUPATIONAL SAFETY AND HEALTH PROGRAM.

DOE 3790.1B, FEDERAL EMPLOYEE OCCUPATIONAL SAFETY AND HEALTH PROGRAM, HAS REVISED DOE 3790.1A TO REFLECT ONLY ORGANIZATIONAL TITLE AND ROUTING SYMBOL EDITORIAL REVISIONS REQUIRED BY NOTICES IN THE SEN-6 SERIES. NO SUBSTANTIVE CHANGES HAVE BEEN MADE AT THIS TIME. HOWEVER, THIS ORDER WILL UNDERGO SUBSTANTIVE CHANGES IN THE NEAR FUTURE. IF YOU HAVE ANY QUESTIONS ABOUT PROVISIONS OF THE ORDER, PLEASE CONSULT APPROPRIATE STAFF MEMBERS IN THE OFFICE OF PERSONNEL. DUE TO THE NUMBER OF PAGES AFFECTED BY THE REVISIONS, THE ORDER HAS BEEN ISSUED AS A REVISION.

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

ORDER

DOE 3790.1B

1-7-93

SUBJECT: FEDERAL EMPLOYEE OCCUPATIONAL SAFETY AND HEALTH
PROGRAM

1. PURPOSE. To set forth policy for the implementation and administration of the Federal Employee Occupational Safety and Health Program for the Department of Energy (DOE).
2. CANCELLATION. DOE 3790.1A, FEDERAL EMPLOYEE OCCUPATIONAL SAFETY AND HEALTH PROGRAM, of 10-22-84.
3. REFERENCES.
 - a. Executive Order 12196, "Occupational Safety and Health Programs for Federal Employees," of 2-27-80, which establishes policies and responsibilities within Federal departments and agencies for implementation of the Occupational Safety and Health Act of 1970.
 - b. Public Law 91-596, Occupational Safety and Health Act of 1970, which establishes the authority for assuring, so far as possible, safe and healthful working conditions for employees.
 - c. Title 29, Code of Federal Regulations (CFR), Part 1960, Basic Program Elements for Federal Employee Occupational Safety and Health Programs, which establishes the requirements and minimum standards for Federal employee occupational safety and health programs.
 - d. DOE 3771.1, GRIEVANCE POLICY AND PROCEDURES, of 7-2-81, which provides general policy guidance and instructions and states responsibilities for establishing and administering the grievance system.
 - e. DOE 5480.1B, ENVIRONMENT, SAFETY, AND HEALTH PROGRAM FOR DEPARTMENT OF ENERGY OPERATIONS, of 9-23-86, which establishes the Environmental Protection, Safety, and Health Protection Program for DOE operations.
 - f. DOE 5484.1, ENVIRONMENTAL PROTECTION, SAFETY, AND HEALTH PROTECTION INFORMATION REPORTING REQUIREMENTS, of 2-24-81, which establishes the requirements and procedures for the reporting of information having environmental protection, safety, or health protection significance for Department of Energy operations.

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Office of Personnel

- g. DOE 1324.2A, RECORDS DISPOSITION, of 9-13-88, which provides descriptions of retention periods for DOE and DOE contractor records.
- h. DOE 4330.4A, MAINTENANCE MANAGEMENT PROGRAM, of 10-17-90, which provides policy and procedures for the establishment of programs for the maintenance and repair of the DOE real property.

4. DEFINITIONS.

- a. Abatement Plan. An agenda containing identified unsafe or unhealthful working conditions, a proposed timetable for their correction, and a summary of steps being taken in the interim to protect employees.
- b. Employee Representative. Representatives of employee groups, such as labor organizations recognized as such by the Department, who are elected or appointed to represent employees. Where an employee group is not officially represented by a recognized labor organization, a nonsupervisory member of that group may be elected by the employees to be the occupational safety and health representative.
- c. Federal Employee. Any person who is directly employed by the DOE or who is authorized to work for the Department by law, rule, or regulation. The term does not include contractor employees.
- d. Formal Inspection. A comprehensive survey of all or part of a workplace in order to detect safety and health hazards. Formal inspections do not include routine day-to-day visits or routine workplace surveillance of occupational health conditions.
- e. Imminent Danger. Any conditions or practices in any workplace, which are such that a danger exists, which could reasonably be expected to cause death or serious physical harm immediately or before the imminence of such danger, and can be eliminated through normal procedures.
- f. Qualified Safety and Health Inspector. A person meeting the Office of Personnel Management (OPM) standards as cited in 29 CFR part 1960.2(s) or inspector qualifications defined in 29 CFR part 1960.25(a).
- g. Serious Condition. An unsafe or unhealthful working condition in which there is a substantial probability that death or serious physical harm could result.
- h. Unannounced Inspection. An inspection that is conducted without alerting responsible management officials prior to the beginning of the inspection.

- i. Unsafe or Unhealthful Working Conditions. Situations that cause or could cause injury or illness to DOE employees in the course of their employment.

5. POLICY. It is the policy of the Department to:

- a. Provide places and conditions of employment that are as free as possible from recognized hazards that cause or are likely to cause illness or physical harm.
- b. Assure that employees and employee representatives shall have the opportunity to participate in the Federal Employee Occupational Safety and Health Program.
- c. Establish programs in safety and health training for all levels of Federal employees.
- d. Assure that no Federal employee is subject to restraint, interference, coercion, discrimination, or reprisal for filing a report of an unsafe or unhealthful working condition, or other participation regarding the safety and health of Federal employees.
- e. Consider all Occupational Safety and Health Administration (OSHA) and 29 CFR part 1960 requirements to be minimum standards for Federal employees.

6. RESPONSIBILITIES AND AUTHORITIES.

- a. Director of Administration and Management, as the designated safety and health official for the Department, is responsible for the administration and overview of the Federal Employee Occupational Safety and Health Program, and shall:
 - (1) Designate an official with sufficient authority and responsibility to plan for and assure funds for necessary safety and health staff, equipment, materials, and training required to manage and administer the program for Headquarters' staff and facilities. These responsibilities are identical to those assigned to Heads of Field Elements in paragraph 6c, below.
 - (2) Promulgate policies and directives to establish the program.
 - (3) Evaluate the managerial effectiveness in establishing and implementing the Federal Employee Occupational Safety and Health Program.

- (4) Prescribe requirements for recordkeeping, reporting, and statistical analysis necessary to satisfy the provisions of applicable laws and regulations and, where appropriate, ensure the confidentiality of information.
 - (5) Promulgate alternate or supplementary standards designed to minimize safety and health hazards to the Federal employee work force.
 - (6) Prepare for the Secretary an annual summary report on the status of the Federal Employee Occupational Safety and Health Program.
 - (7) Establish programs in safety and health training.
 - (8) Process requests for variances from applicable safety and health standards.
 - (9) Monitor the Office of Workers' Compensation Program to ensure that occupational injuries and illnesses are properly recorded within the DOE accident/incident reporting system.
 - (10) Serve as the principal DOE representative to the Department of Labor on all matters pertaining to the Federal Employee Occupational Safety and Health Program.
 - (11) Serve as DOE liaison with other Federal agencies having responsibilities in support of the Federal Employee Occupational Safety and Health Program.
- b. Program Secretarial Officers are responsible for implementation of the program in all activities for which they have direct management responsibilities and shall ensure the program is implemented in accordance with the requirements of paragraph 6c, below.
- c. Heads of Field Elements with Delegated Personnel Authority must establish and maintain Federal employee occupational safety and health programs that meet the requirements of section 19 of the Occupational Safety and Health Act of 1970, Executive Order 12196, 29 CFR part 1960, and amplifying DOE directives. In discharging these responsibilities, they shall:
- (1) Designate an official with sufficient authority and responsibility to plan for and assure funds for necessary safety and health staff, equipment, materials, and training required to manage and administer the Federal Employee Occupational Safety and Health Program.

- (2) Implement the occupational safety and health standards promulgated under the Occupational Safety and Health Act of 1970 and DOE 5480.1B.
 - (3) Ensure prompt abatement of all unsafe or unhealthful working conditions.
 - (4) Where appropriate, establish safety and health committees to assist in the execution of the Federal Employee Occupational Safety and Health Program.
 - (5) Provide safety and health training in accordance with Chapter V of this Order.
 - (6) Ensure that funds sufficient to conduct the program are identified in the budget planning process.
 - (7) Ensure that employees are authorized official time to participate in the Federal Employee Occupational Safety and Health Program.
 - (8) Conduct management evaluations of the safety and health programs of subordinate field elements at least once every 3 years.
 - (9) Conduct functional evaluations of safety and health activities of subordinate field elements with sufficient scope and frequency to ensure effectiveness.
7. RECORDS RETENTION. Records of all Federal Employee Occupational Safety and Health Program activities shall be maintained in accordance with OSHA standards and regulations and DOE 1324.2A, RECORDS DISPOSITION.

BY ORDER OF THE SECRETARY OF ENERGY:



DOLORES L. ROZZI
Director of Administration
and Management

TABLE OF CONTENTS

<u>CHAPTER I - INSPECTION AND ABATEMENT PROCEDURES</u>		<u>Page</u>
1.	Purpose	I-1
2.	Responsibilities and Authorities	I-1
3.	Procedures	I-2
4.	Routine Surveillance	I-3
5.	Safety and Health Inspection Guide for Offices	I-3
	Attachment I-1 - Safety and Health Inspection Guide for Offices	I-5
<u>CHAPTER II - FEDERAL EMPLOYEE REPORT OF UNSAFE OR UNHEALTHFUL WORKING CONDITIONS</u>		
1.	Purpose	II-1
2.	General	II-1
3.	Responsibilities and Authorities	II-1
4.	Procedures	II-1
<u>CHAPTER III - NONDISCRIMINATION AND ALLEGATIONS OF REPRISAL</u>		
1.	Purpose	III-1
2.	Responsibilities and Authorities	III-1
<u>CHAPTER IV - DISSEMINATION OF INFORMATION</u>		
1.	Purpose	IV-1
2.	Responsibilities and Authorities	IV-1
<u>CHAPTER V - SAFETY AND HEALTH TRAINING</u>		
1.	Purpose	V-1
2.	Responsibilities and Authorities	V-1
<u>CHAPTER VI - SAFETY AND HEALTH COMMITTEES/FIELD FEDERAL SAFETY AND HEALTH COUNCILS</u>		
1.	Purpose	VI-1
2.	Responsibilities and Authorities	VI-1
<u>CHAPTER VII - FEDERAL EMPLOYEE INDUSTRIAL HYGIENE PROGRAM</u>		
1.	Purpose	VI I-1
2.	Reference	VI I-1
3.	Definitions	VI I-1
4.	Responsibilities and Authorities	VI I-1
5.	Requirements	VI I-4
	Attachment VII-1 - Management's Policy Statement	VI I-11

CHAPTER VIII - FEDERAL EMPLOYEE OCCUPATIONAL MEDICAL PROGRAM

1.	Purpose	VIII-1
2.	References	VIII-1
3.	Definitions	VIII-2
4.	Responsibilities and Authorities	VIII-2
5.	Requirements	VIII-3
6.	Nonmandatory Components	VIII-7
7.	Program Guidance	VIII-7
8.	Health Standards	VIII-7

CHAPTER IX - EVALUATION PROGRAM

1.	Purpose	IX-1
2.	Definitions	IX-1
3.	Responsibilities and Authorities	IX-1
4.	Implementation Procedures	IX-2
5.	Factors for Safety and Health Evaluations	IX-3

CHAPTER I

INSPECTION AND ABATEMENT PROCEDURES

1. PURPOSE. To establish responsibilities and prescribe procedures for formal inspections, hazard abatement, and routine surveillance.
2. RESPONSIBILITIES AND AUTHORITIES.
 - a. Director of Administration and Management shall designate an official who shall assure that all Federal employee occupational safety and health line management responsibilities, identical to those assigned to Heads of Field Elements in paragraph 2b, below, are carried out for the Headquarters.
 - b. Heads of Field Elements with Delegated Personnel Authority shall assure that:
 - (1) Requests or notifications served on a Departmental Element by the Department of Labor or the National Institute for Occupational Safety and Health, relative to its desire or intent to conduct an inspection, shall be permitted in accordance with the provisions of 29 CFR parts 1960.31 and 1960.35, provided the inspectors possess appropriate security clearances. The Director of Administration and Management and cognizant Program Secretarial Officers shall be advised immediately of all such requests or notifications.
 - (2) Qualified safety and health inspectors conduct formal inspections at least annually of all areas and operations of each workplace. More frequent inspections shall be made where there is an increased risk of accident, injury, or illness due to the nature of the work performed.
 - (3) Periodic unannounced inspections and follow up inspections are conducted.
 - (4) An employee representative(s) who has an appropriate security clearance is authorized to accompany safety and health inspectors during formal inspections. If practical, the employee representative(s) must be selected by employees; otherwise, the safety and health inspector shall interview a number of employees to ascertain the consensus of the employees and to identify any safety and health concerns. A different employee representative may participate during each phase of an inspection.

- (5) In imminent danger situations, the hazardous condition is abated immediately and, if necessary, the withdrawal is made of employees who are not necessary for correcting the condition.
 - (6) Unsafe and unhealthful working conditions are promptly abated.
 - (7) When applicable under DOE 4330.4A, reviews of maintenance and repair listings are performed periodically by safety and health inspectors to determine existence and extent of hazardous conditions.
3. PROCEDURES The following procedures must be followed in conducting formal inspections:
- a. Conduct of Inspection.
 - (1) The safety and health inspectors shall meet with management officials of the facility to be inspected to explain the purposes of the inspection.
 - (2) Prior to or during an inspection, safety and health inspectors shall obtain the necessary equipment to conduct a formal workplace inspection and review all relevant records pertaining to conditions of the workplace to be inspected.
 - (3) The inspection shall not result in unreasonable disruption of operations. Safety and health inspectors are authorized to deny the right of accompaniment to any person whose participation interferes with the inspection.
 - (4) Safety and health inspectors shall consult with employees concerning matters of occupational safety and health and any employee shall be afforded an opportunity to bring to the attention of the inspector any unsafe or unhealthful working condition which the employee has reason to believe exists in the workplace.
 - (5) Sampling of work environments shall be conducted where there is reason to suspect that work processes are creating health hazards.
 - (6) If a hazardous condition is determined to be an imminent danger, appropriate management officials and affected employees shall be immediately informed.
 - (7) A closing conference shall be conducted with the appropriate levels of management and the employee representative(s) present during the inspection. Unsafe and unhealthful

working conditions disclosed by the inspection and appropriate abatement procedures shall be brought to management's attention at this time.

b. Notices and Abatement Plans.

(1) Within 15 days of completion of an inspection (30 days for items dealing with health), a written notice shall be conspicuously posted at or near each place a hazardous working condition exists until the condition has been abated or for 3 working days, whichever is longer. Where it is not practical to post the notice at or near each place, such notice shall be posted in a prominent place where it will be readily observable by all affected employees. The notice shall:

- (a) Describe with particularity the nature and extent of the unsafe or unhealthful working condition(s);
- (b) Reference any safety or health standard violated;
- (c) Establish a reasonable time for abatement of the hazardous purposes of the inspection.
- (d) Be provided to the appropriate levels of management and the employee representative(s) who participated in the closing conference.

(2) An abatement plan shall be developed for the correction of unsafe and unhealthful working conditions that cannot be corrected within 30 calendar days. The plan shall:

- (a) Explain the circumstances of the delay;
- (b) Establish a proposed timetable for abatement;
- (c) Explain the steps being taken to protect employees in the interim;
- (d) Be provided to the employee representative(s) who participated in the inspection.

4. Routine Surveillance. Unsafe or unhealthful working conditions detected during routine workplace surveillance activities shall be documented and brought to the attention of appropriate management officials for corrective action. Sufficient follow-up actions shall be taken to ensure corrective action.

5. Safety and Health Inspection Guide for Offices. To assist in identifying unsafe and unhealthful working conditions in an office environment, Attachment I-1, "Safety and Health Inspection Guide for Offices" is provided for guidance.

SAFETY AND HEALTH INSPECTION GUIDE FOR OFFICES

PURPOSE. This guide was developed for use by safety and health inspectors in conducting inspections of office areas. In addition, this guide can be used for training collateral duty safety and health personnel, employee representative, and safety and health committee members thereby enabling such groups to function appropriately in ensuring a safe and healthful office environment.

1. FIRE PROTECTION.

- a. Good housekeeping (trash/loose papers).
- b. Books/paper/printouts (properly stored).
- c. Exit lights (visible, operational).
- d. Emergency lights (necessary, visible, operational, properly positioned).
- e. Emergency egress (adequate, no obstructions).
- f. Fire extinguishers (inspected, operational, adequate).
- g. Fire systems (detection, alarms).
- h. Flammable/combustible liquids (approved and properly labeled containers, properly stored, minimum quantities, necessary).

2. TRIPPING, SLIPPING, AND FALLING HAZARDS.

- a. Floors kept clean and dry.
- b. Uneven walking surfaces clearly indicated.
- c. Carpeting or floor covering (secured, torn, curled).
- d. Floor tiles (broken, missing, loose, slip resistant wax).
- e. Stairways (clean, suitable handrails, anti-slip treads).
- f. Outlets (appropriately placed/protected).
- g. Extension cords (tripping hazard, covered and when crossing walking areas).
- h. Ladders or stands available for high files.
- i. Desk and file cabinet drawers kept close.

3. EQUIPMENT.

- a. Properly guarded (belts, gears, pulleys).
- b. Cabinets/shelves (secured, properly loaded).
- c. Furniture (condition, properly utilized).
- d. Office layout (arrangement, walkways).
- e. Protruding objects eliminated or guarded (pencil sharpeners).

4. ELECTRICAL HAZARDS.

- a. Electrical equipment (UL approved, properly connected, no defects in cords and wiring, circuits not overloaded).
- b. Electrical equipment properly grounded.

5. INDUSTRIAL HYGIENE.

- a. Illumination (adequate lighting).
- b. Noise (sound enclosures for printers).
- c. Sanitation (clean work environment).
- d. Ventilation (adequate ventilation for copiers and microfiche printers).
- e. Video display terminals (proper illumination, free from glare, appropriate furniture).
- f. Chemicals/solvents (material safety data sheets, hazardous materials specially identified).

6. OTHER ITEMS.

- a. Floors are adequate to carry loads placed upon them.
- b. Unlettered doors provided with clearly visible identifying marks.
- c. Solid swinging doors provided with clear glass observation panels.
- d. Conditions existing adjacent to DOE occupied space evaluated as a source of danger to employees.
- e. First-aid services provided or arranged.

CHAPTER II

FEDERAL EMPLOYEE REPORT OF UNSAFE OR UNHEALTHFUL WORKING CONDITIONS

1. PURPOSE. To establish a formal system for Federal employees to report unsafe or unhealthful working conditions.
2. GENERAL. Procedures in this Chapter shall not preclude immediate corrective action by supervisors in response to oral reports of unsafe or unhealthful working conditions; however, employees shall not be required to make or await the outcome of such oral reports before filing a written report to DOE designated personnel or the Department of Labor.
3. RESPONSIBILITIES AND AUTHORITIES.
 - a. Director of Administration and Management shall designate an official who shall assure that all Federal employee occupational safety and health line management responsibilities, identical to those assigned to Heads of Field Elements in paragraph 3b, below, are carried out for the Headquarters.
 - b. Heads of Field Elements with Delegated Personnel Authority shall assure that:
 - (1) A system is in place that permits a Federal employee who believes that unsafe and unhealthful working conditions exist to request an inspection by giving notice of the alleged conditions to DOE designated personnel.
 - (2) Personnel with sufficient authority and responsibility are designated to receive reports of unsafe and unhealthful working conditions.
 - (3) Inspection and abatement procedures outlined in Chapter I are utilized during the investigation of reports of unsafe or unhealthful working conditions.
4. PROCEDURES. The following procedures must be followed in investigating reports of unsafe or unhealthful working conditions made to DOE designated personnel:
 - a. Each report shall be recorded on a log by subject matter. Sufficient descriptive information such as date, time, and location of condition shall be maintained for each case recorded.
 - b. Upon receipt of a report, an inspection shall be made: (1) immediately for imminent danger conditions; (2) within 3 working days for potentially serious conditions; and (3) within 20 working days for all other conditions. However, an inspection may not be

necessary if, through normal management action and with prompt notification to employees, the hazardous condition(s) identified can be abated immediately.

- c. Employee reports shall be reports to writing either by the person receiving the report or the employee. Such written reports shall include the grounds for concern, the name of the employee or representative of the employee filing the report and, in the case of oral notification, shall be made available to the reporting employee for review.
- d. Within 15 days following an investigation (30 days for items dealing with health), a written response to the report, including a copy of the inspection, if any, shall be provided to the employee or representative of the employee that filed the report. A copy of the inspection shall also be provided to appropriate supervisory personnel in the area affected by the report.
- e. If an employee filing a report requests anonymity, the identity of the employee shall not be revealed to anyone other than an authorized representative of the Department of Labor or such other persons as authorized by the complainant.

CHAPTER III

NONDISCRIMINATION AND ALLEGATIONS OF REPRISAL

- 1 . PURPOSE. To establish responsibilities and prescribe procedures regarding employee participation and rights under the Federal Employee Occupational Safety and Health Program.
2. RESPONSIBILITIES AND AUTHORITIES.
 - a. Director of Administration and Management shall designate an official who shall assure that all Federal employee occupational safety and health line management responsibilities, identical to those assigned to the Heads of Field Elements in paragraph 2b, below, are carried out for the Headquarters.
 - b. Heads of Field Elements with Delegated Personnel Authority shall assure that:
 - (1) No Federal employee shall be subject to restraint, interference, coercion, reprisal or other discrimination by virtue of participation in DOE's Federal Employee Occupational Safety and Health Program, including the filing of a report of an unsafe or unhealthful working condition, or because of the exercise of other rights afforded by section 19 of the Occupational Safety and Health Act, Executive Order 12196, and 29 CFR part 1960.
 - (2) Any employee or employee representative who believes that an act of reprisal or discrimination has been committed may file a complaint under the grievance procedures described in DOE 3771.1 or under an applicable negotiated grievance procedure.



CHAPTER IV

DISSEMINATION OF INFORMATION

1. PURPOSE. To establish responsibilities and prescribe procedures regarding the dissemination of safety and health program information.
2. RESPONSIBILITIES AND AUTHORITIES.
 - a. Director of Administration and Management shall designate an official who shall assure that all Federal employee occupational safety and health line management responsibilities, identical to those assigned to the Heads of Field Elements in paragraph 2b, below, are carried out for the Headquarters.
 - b. Heads of Field Elements with Delegated Personnel Authority must implement and maintain a system for the dissemination of Federal employee occupational safety and health program information and shall assure that:
 - (1) The following information is made available to employees and employee representatives:
 - (a) Occupational Safety and Health Act of 1970.
 - (b) Executive Order 12196, "Occupational Safety and Health Programs for Federal Employees."
 - (c) Title 29 CFR Part 1960, Basic Program Elements for Federal Employee Occupational Safety and Health Programs.
 - (d) Safety and health program directives.
 - (e) Applicable safety and health standards.
 - (f) Records of recordable occupational injuries and illnesses.
 - (2) Occupational safety and health promotional materials are disseminated for the purpose of employee awareness, including a poster informing employees of the provisions of the Occupational Safety and Health Act of 1970, Executive Order 12196, and other pertinent program information.
 - (3) A copy of the annual summary of occupational injuries and illnesses be posted not later than 45 calendar days after the close of the fiscal year and shall remain posted for a minimum of 30 calendar days. These summaries shall be posted in a sufficient number of places to permit employees to observe a copy.

CHAPTER V

SAFETY AND HEALTH TRAINING

1. PURPOSE. To establish responsibilities and prescribe procedures regarding safety and health training.
2. RESPONSIBILITIES AND AUTHORITIES.
 - a. Director of Administration and Management shall designate an official who shall assure that all Federal employee occupational safety and health line management responsibilities, identical to those assigned to the Heads of Field Elements in paragraph 2b, below, are carried out for the Headquarters.
 - b. Heads of Field Elements with Delegated Personnel Authority must implement and maintain a system for providing appropriate job-related safety and health training, including training as required in promulgated safety and health regulations and standards, for the following groups:
 - (1) Training for Top Management. Top management shall be provided orientation training which will enable them to manage their programs in a safe manner. Such orientation training should include coverage under section 19 of the Occupational Safety and Health Act of 1970, Executive Order 12196, 29 CFR part 1960, and the DOE's Federal Employee Occupational Safety and Health Program.
 - (2) Training for Supervisors. Supervisors shall be trained through introductory and specialized courses and materials to recognize and eliminate occupational safety and health hazards in their work units. Such training should also include the development of requisite skills in managing the safety and health program within their work unit, including the training and motivation of subordinates toward safe and healthful work practices.
 - (3) Training for Employees. Occupational safety and health training for employees shall include specialized job safety and health training appropriate to the work performed. Such training shall also include informing employees of their rights and responsibilities under section 19 of the Occupational Safety and Health Act of 1970, Executive Order 12196, 29 CFR part 1960, and the DOE's Federal Employee Occupational Safety and Health Program.
 - (4) Training for Representatives of Employees. Training for employees who are representatives of employee groups, such as labor organizations which are recognized by the Department, shall include introductory and specialized

courses and materials which will enable such groups to function appropriately in the interest of ensuring safe and healthful working conditions and practices in the workplace and, in particular, to enable them to effectively assist in the conduct of workplace safety and health inspections. Nothing in this paragraph shall be construed to alter the provisions of the Federal Service Labor-Management Relations Statute, other provisions of law providing for collective bargaining agreements and procedures, or any agreements entered into pursuant to such provisions.

- (5) Training for Safety and Health Professionals. Safety and health personnel shall be trained through courses, laboratory experiences, field study, and other learning experiences to perform the necessary technical monitoring, consulting, testing, inspecting, designing, and other tasks which will enable them to determine whether applicable standards are being evaluations, recommending corrective action, and functioning as consultants to management.
- (6) Training for Collateral Duty Safety Personnel. Training should be designed so as to develop skills in hazard recognition, obtaining qualified evaluations, recommending corrective action, and functioning as consultants to management.

CHAPTER VI

SAFETY AND HEALTH COMMITTEES/FIELD FEDERAL SAFETY AND HEALTH COUNCILS

1. PURPOSE. To establish responsibilities and prescribe procedures regarding the establishment of safety and health committees and participation in field Federal safety and health councils.
2. RESPONSIBILITIES AND AUTHORITIES.
 - a. Director of Administration and Management shall designate an official who shall assure that all Federal employee occupational safety and health line management responsibilities, identical to those assigned to the Heads of Field Elements in paragraph 2b, below, are carried out for the Headquarters.
 - b. Heads of Field Elements with Delegated Personnel Authority are encouraged to establish safety and health committees and to participate in local field Federal safety and health councils. In discharging this responsibility, they should:
 - (1) Establish safety and health committees, at appropriate organizational levels, for the purpose of enhancing communication between employees and management. The committees should be composed of representatives of management and nonmanagement employees. Where there are exclusive bargaining representatives for employees, such representatives should select the appropriate nonmanagement employee members of the committee.
 - (2) Encourage employees to actively participate in local field Federal safety and health councils. Representatives to field Federal safety and health councils shall be selected in accordance with the requirements set forth in 29 CFR part 1960.88.

CHAPTER VII

FEDERAL EMPLOYEE INDUSTRIAL HYGIENE PROGRAM

1. PURPOSE. To establish the requirements and guidelines for maintaining an effective Federal Employee Industrial Hygiene Program.
2. REFERENCE. DOE 5480.4, ENVIRONMENTAL PROTECTION, SAFETY, AND HEALTH PROTECTION STANDARDS, of 5-15-84, which identifies DOE statutory and mandatory standards.
3. DEFINITIONS.
 - a. Industrial Hygiene is that occupational health science and art devoted to the recognition, evaluation, and control of environmental factors or stresses arising in or from the workplace that may cause sickness, impaired health and well-being, or significant discomfort and inefficiency among workers or those with whom they are in contact.
 - b. Industrial Hygiene Program is the implementation of a written systematic plan to recognize, evaluate, control, and document exposure to health hazards in the environment.
 - c. Industrial Hygiene Staff are individuals who are experienced and skilled in the art and science of industrial hygiene and who are retained to provide industrial hygiene program services, as full-time, part-time, or intermittent employees, or by contract.
4. RESPONSIBILITIES AND AUTHORITIES.
 - a. Director of Administration and Management (AD-1) shall designate an official who shall assure that all Federal employee industrial hygiene line management responsibilities, identical to those assigned to Heads of Field Elements in paragraph 4b, below, are carried out for the Headquarters. In addition, the designee shall:
 - (1) Provide general requirements for the Federal Employee Industrial Hygiene Program.
 - (2) Provide advisory and interpretive services on matters dealing with the policy, responsibilities, requirements, and procedures contained in this chapter.
 - (3) Evaluate the performance of the Federal Employee Industrial Hygiene Program of Headquarters and field elements and, upon the request of field elements or Program Secretarial Officers, provide independent evaluations of field elements Federal Employee Industrial Hygiene Programs.

- (4) Upon the request of field elements or Program Secretarial Officers, provide technical guidance on the evaluation and control of Federal employee occupational health hazards.
- b. Heads of Field Elements with Delegated Personnel Authority shall establish and maintain a Federal Employee Industrial Hygiene Program that meets the requirements of 29 CFR part 1960, section 19 of the Occupational Safety and Health Act of 1970 (the Act), Executive Order 12196 of 2-26-80, and paragraph 2 of this chapter. In discharging this responsibility, they shall provide a written and signed policy statement setting forth the purpose and intent of the Federal Employee Industrial Hygiene Program and clearly specify the authority vested in the staff administering the program. An example is provided as Attachment VII-1. (This policy statement may be incorporated into existing documents covering the health and safety program). In addition, they shall assure that:
- (1) The level of industrial hygiene performance is maintained, consistent with the intent of this chapter, for those activities under their direction.
 - (2) Periodic appraisals are conducted of the Federal Employee Industrial Hygiene Program in accordance with Chapter I.
 - (3) Additional or more stringent requirements are prescribed, as appropriate, if it is determined that current standards as identified in paragraph 2 of this chapter are inadequate to protect the health and well-being of Federal employees.
 - (4) Operations are consistent with established procedures to control exposures to harmful environmental contaminations or stresses.
 - (5) Notification is made to the organization's environmental, safety, and health staff whenever a new process or facility is being planned, or whenever an existing process is being considered for change or modification to allow the impact of the anticipated change on the work environment to be evaluated while it is still in the planning stage.
 - (6) The organization's environmental, safety, and health staff evaluates the effectiveness of proposed environmental control equipment and approves work procedures for its operation.
 - (7) The medical organization:
 - (a) Maintains records of occupational illnesses in accordance with the recordkeeping requirements of the Act.

- (b) Consults with the industrial hygiene staff in the development of adequate methods to detect exposures to harmful environmental agents in the context of periodic physicals or bioassays.
 - (c) Alerts the industrial hygiene staff to all suspected occupational illnesses to facilitate early evaluations and corrections of problems.
 - (d) Alerts the industrial hygiene staff to all diagnosed occupational illnesses for follow up investigations. These follow-ups shall be designed to supply the information required by the Occupational Safety and Health Administration (OSHA) Form No. 200F, "Record or Log of Federal Occupational Injuries and Illnesses," or its equivalent.
- (8) Procurement officials:
- (a) Submit purchase order requests for all identified hazardous materials to the industrial hygiene staff for review or other appropriate action.
 - (b) Participate, as requested by the industrial hygiene staff, in auditing toxic chemical usage by:
 - 1 Maintaining inventory and use data on toxic material.
 - 2 Participating in labeling procedures to the extent required.
 - 3 Assisting the industrial hygiene staff, in liaison with suppliers of proprietary products, in obtaining appropriate toxicological information.
- (9) Where industrial hygiene instrumentation is maintained, the facilities and technical support personnel are available to implement the requirements of this chapter. If it is impractical to provide these services onsite, the services of offsite laboratory facilities and instrument sources shall be retained.
- (10) Employees are made aware on a continuing basis that they are required to:

- (a) Observe all safety and health rules and make maximum use of all prescribed personal protective equipment, and follow practices and procedures established to maintain health and safety for them and their fellow workers.
 - (b) Notify supervisors immediately of exposures to harmful agents and when certain conditions or practices may cause illness or injury.
- 5. REQUIREMENTS. The following are necessary components for maintaining an effective Federal Employee Industrial Hygiene Program and for providing protection in accordance with 29 CFR part 1960, Executive Order 12196, and section 19 of the Act. The requirements shall be implemented by the Heads of Field Elements and the designated official for the Headquarters, as appropriate, to the activity being conducted.
 - a. Industrial Hygiene Staff.
 - (1) The services of a qualified industrial hygienist must be available. His or her qualifications must meet the Office of Personnel Management standard for industrial hygienists. The extent of industrial hygiene services required are determined by the Heads of Field Elements, based upon the size and scope of operations and the magnitude of hazard potential at the facility.
 - (2) As an alternative to a staff industrial hygienist, a part-time or intermittent expert, or a contractor who at the minimum meets the Office of Personnel Management standard for industrial hygienists and is apprised of the requirements of this chapter and other directives (such as DOE 5480.1B, ENVIRONMENT, SAFETY, AND HEALTH PROGRAM FOR DOE OPERATIONS) may be retained to augment the field elements in providing industrial hygiene support.
 - b. Function.
 - (1) The Federal Employee Industrial Hygiene Program shall be designed to preserve employee health and well-being. This shall be accomplished by recognition, evaluation, and control of hazardous exposures and stresses found in the occupational environment. These exposures and stresses include, but are not limited to, the following:
 - (a) Chemical (e.g., liquid, particulate, vapor, gas, and fumes).
 - (b) Physical (e.g., electromagnetic radiation, noise, vibration, magnetic fields, and extremes of temperature and pressure).

- (c) Biological (e.g., infectious diseases).
 - (d) Ergonomic (e.g., body position in relation to task, repetitive motion, and mental or physical fatigue).
- (2) A program that incorporates the following elements will provide a mechanism to deal with occupational hazard exposures, stresses, and potential health hazards:
- (a) Identification of Health Hazards. The industrial hygienist shall identify and document potential health hazards by reviewing inventories and substances being stored or utilized by an operation and through his or her knowledge and assessment of the operations, periodic walk-through surveys, information provided by interorganizational communication and coordination, and the review of proposed new material purchases, projects, and facilities.
 - (b) Hazard Evaluation.
 - 1 Once potential health hazards are identified, the industrial hygienist must determine the extent of the hazard by any one or a combination of the following methods:
 - a The examination of work practices;
 - b Personal and area exposure measurements;
 - c Sound professional judgment; or
 - d The application of established standards or guides (paragraph 2) and scientific techniques such as air monitoring and bioassay.
 - 2 Where potential occupational exposures are determined to be within permissible exposure limits, the conclusions of the industrial hygienist together with the supporting data shall be recorded. When a potential health hazard is identified that has no assigned permissible exposure limit, a guideline on evaluation and control should be developed based upon the best available technical information.
 - 3 The industrial hygiene staff shall inform the medical organization of potential and existing health hazards identified, the results of hazard

evaluations, and other industrial hygiene information needed for the operation of a medical monitoring program.

- (c) Control Measures. Whenever it is determined that exposure to a potential health hazard exists sufficient to produce illness or injury, or that applicable requirements are not being followed, the industrial hygienist shall formally recommend control measures that must be dictated by each individual situation. Where feasible, engineering controls shall be used to prevent exposure to hazards. Administrative controls and personal protective equipment shall supplement engineering controls as appropriate. The following control measures shall be implemented:
- 1 Respiratory Protection Program. If engineering and work practices are not feasible or adequate to protect employees from potential gas, vapor, and particulate hazards, respirators may be used. In addition, during the implementation of engineering or work practice controls or specific operations involving short, intermittent exposures or emergencies, respirators may be used. Where respirators are used, the respirator program shall contain the following elements:
 - a Written procedures for selection and use.
 - b Proper selection.
 - c User training.
 - d Assignment of respirators to individual workers (where practical).
 - e Regular cleaning and disinfecting (at least after each use).
 - f Storage in a clean, sanitary location.
 - g Inspection and maintenance (during cleaning for routinely used equipment and monthly for emergency equipment).
 - h Surveillance of work area conditions.
 - i Inspection and evaluation of program effectiveness.

- j Medical screening of users (initial and periodic).
 - k Use of approved respirators.
- 2 Hearing Conservation Program. A hearing conservation program must be established for all Federal employees whose exposure to noise equals or exceeds an 8-hour time weighted average (TWA) of 85 decibels (dB). The program shall include the following elements:
- a Identification of work areas and specific noise sources.
 - b Monitoring of work areas and identification of employees exposed at or above 85dB.
 - c Conducting baseline, annual, and exit audiograms for persons exposed at or above the TWA of 85dB.
 - d An effective personal protection program which includes providing a variety of hearing protection devices for persons exposed to potentially hazardous noise levels; educating personnel concerning the need for hearing protection; developing enforceable regulations concerning use of personal hearing protection; and selection of hearing protectors which provide adequate attenuation for each employee's work environment.
 - e Conducting training at least annually to discuss the requirements for the hearing conservation program; the effects of noise; the purpose, advantages, disadvantages, and attenuation of various types of hearing protectors; and the purpose and procedures of audiometric testing.
 - f Maintenance of noise exposure records for a minimum of 2 years and audiometric test results for as long as the duration of employment of the affected employee.

- (d) Carcinogen Control. Exposure to carcinogens encountered in the workplace shall be maintained as low as feasible. Adherence to requirements of existing applicable standards shall be strictly followed. Where a carcinogen is present in the workplace for which a standard does not exist, every effort shall be made to obtain a suitable substitute or to minimize employee exposure by application of good industrial hygiene principles.
- (e) Periodic Review. The satisfactory control of occupational health hazards must be given continuing attention despite the imposition of control measures. Documented periodic monitoring is essential to assure maintenance of and shall report to management regarding the continuing adequacy of controls, the need for additional measures, or recommendations for maintenance or reemphasis of administrative controls. Employees shall be given the opportunity to observe the monitoring for toxic materials or harmful physical agents and shall be given access to the results.
- (f) Education. Training requirements shall conform to Chapter V.
- (g) Recordkeeping Requirements.
- 1 Survey Records. Area walk-through surveys that result in noted deficiencies in control of hazards, procedures, and violations shall be documented as to what was observed and what action was taken. Deficiencies that are identified in formal compliance inspections shall be documented in accordance with Chapter I.
 - 2 Occupational Environmental Monitoring Records.
 - a The results of personal air samples taken in the breathing zones or other environmental monitoring shall be documented in a manner that can be audited, that is directly comparable to the applicable standards, and which can reasonably be associated with an individual, a particular job station, or a job description.
 - b The industrial hygiene staff's evaluation as to compliance or noncompliance with the standard applicable to a particular

situation shall be clearly evident in the record. Actions taken in the event of noncompliance shall be included. The affected employees shall be notified promptly of any exposures or potential exposures exceeding the standards of paragraph 2.

- 3 Records Maintenance. Records shall be maintained in accordance with DOE 1324.2A, RECORDS DISPOSITION.
- 4 Records Access. Records access shall be provided to employees in accordance with OSHA Safety and Health Standard 29 CFR 1910.20, "Access to Employee Exposure and Medical Records." All designated representatives of employees must have written authorization from affected employees in order to have such access.

MANAGEMENT'S POLICY STATEMENT

United States Government

Department of Energy

memorandum

DATE

REPLY TO
ATTN OF AD-54

SUBJECT Federal Employee Industrial Hygiene program

TO All Employees (Organization)

This memorandum sets forth the policy for the Federal Employee Industrial Hygiene Program at (Organization). Your participation is required to Make it work. I expect all supervisors and employees to work together to perform each task safely. Employees' health is an important consideration in all work to be performed.

Policy

It is the policy of (Organization) to provide employees with facilities that are free from recognized hazards that are likely to cause death, physical harm, or illness. This shall be accomplished by limiting exposure or eliminating unhealthy conditions, instructing employees in healthful practices, and assuring compliance with health requirements by all employees. Management, supervisors, and employees are responsible for the effective implementation of the industrial hygiene program in their respective areas of activity. They shall reserve sufficient time to plan and perform each task so that the health of employees is optimized. Additionally, supervisors and employees shall comply with instructions issued by the Safety Manager/Industrial Hygienist relating to the industrial hygiene program. The Safety Manager/Industrial Hygienist directly represents me in this program, and I expect your cooperation.

Goals of the program include illness prevention, compliance with the Occupational Safety and Health Administration and other regulatory requirements, mission protection, damage control, and limitation of liability. Supervisors are responsible for ensuring any identified residual risk arising from (Organization) activities is minimized. They shall document any decisions to accept risk after review of appropriate industrial hygiene evaluations. Management officials are responsible for seeing that industrial hygiene requirements, including financial requirements, are planned for as an integral part of (Organization) activities, especially those relating to development of contracts, Construction, engineering design, procurement, operations, maintenance, and personnel.

(Signature of Organization Director)

CHAPTER VIII

FEDERAL EMPLOYEE OCCUPATIONAL MEDICAL PROGRAM

1. PURPOSE. To establish basic requirements and guidance for developing and maintaining an effective Federal Employee Occupational Medical Program that will:
 - a. Measure the medical fitness of employees to ensure they can perform their duties without hazard to themselves or others;
 - b. Assist employees in maintaining or improving their health;
 - c. Detect the effects of hazardous working conditions and advise on corrective measures;
 - d. Establish and maintain a record of each employee's physical and health status at the time of each examination;
 - e. Collect epidemiological data to analyze for statistic trends in occupational illnesses or injuries; and
 - f. Protect Department of Energy employees and property.

2. REFERENCES.
 - a. Bureau of the Budget Circular A-72, of 6-18-85, which authorizes the heads of departments and agencies to establish, within the limits of available appropriations, an occupational health program with services to be provided as necessary.
 - b. DOE 1700.1, FREEDOM OF INFORMATION PROGRAM, of 11-19-79, which establishes guidelines and procedures for processing requests made to the Department under the Freedom of Information Act.
 - c. DOE 1800.1A, PRIVACY ACT, of 8-13-84, which establishes guidelines and procedures for implementing the Privacy Act of 1974 (Public Law 93-579, Title 5 U.S.C. 552a) in the Department.
 - d. Federal Personnel Manual Supplement 792-1, Subchapter S2, "Health Services Authorized and Procurement Sources," which outlines health services authorized by paragraph 2b.
 - e. Title 5 CFR Part 339, "Medical Determinations Related to Employability"; Part 432, "Reduction in Grade and Removal Based on Unacceptable Performance"; Part 752, "Adverse Actions"; and Part 831, "Retirement," which provide specific authorities and procedures for agencies to require or request medical information relevant to making a personnel management decision.

- f. Title 5 CFR 630.403, Subpart D, "Sick Leave, Supporting Evidence," which permits an agency to require medical or other administratively acceptable evidence to support absences in excess of 3 consecutive workdays.
- g. Title 29 CFR 1910.20, "Access to Employee Exposure and Medical Records," which provides employees and their designated representatives the right of access to relevant exposure and medical records.
- h. Title 5 U.S.C. 7901, Chapter 79, "Service to Employees," which authorizes heads of departments and agencies to establish Federal employee health service programs by contract or otherwise, following consultations with the Public Health Service.
- i. Title 5 U.S.C. 8101 to 8193, "Federal Employees' Compensation Act," which authorizes compensation benefits for work injuries and for which medical care shall be provided in accordance with Federal Personnel Manual, chapter 810.

3. DEFINITIONS.

- a. Complete Health Evaluation. A medical examination the scope of which is determined by a physician based upon an individual's age, sex, medical history, and position requirements.
- b. Hazard. Anything which causes danger, peril, or risk to persons or property.
- c. Hazardous Occupation. Employment which has an associated danger or peril and a degree of risk for personal injury or illness.

4. RESPONSIBILITIES AND AUTHORITIES.

- a. Director of Administration and Management (AD-1), shall designate an official who will assure that all Federal Employee Occupational Medical Program line management responsibilities, identical to those assigned to Heads of Field Elements in paragraph 4b below, are carried out for Headquarters. In addition, the Director of Administration and Management shall:
 - (1) Establish basic requirements for the Federal Employee Occupational Medical Program.
 - (2) Provide advisory and interpretive services on matters dealing with the policy, responsibilities, requirements, and procedures contained in this chapter.

- (3) Evaluate the performance of the Federal Employee Occupational Medical Program of Headquarters and field elements and, upon the request of Heads of Field Elements or Program Secretarial Officers, provide special independent evaluations of the Federal Employee Occupational Medical Program at field sites.
- b. Heads of Field Elements with Delegated Personnel Authority shall develop, establish, provide, and maintain a Federal Employee Occupational Medical Program. In discharging this responsibility, they shall:
 - (1) Assure that close cooperation and coordination between health services personnel and established safety and health organizations are maintained.
 - (2) Prescribe additional or more stringent requirements than those established in this directive when they determine that such requirements are necessary to protect the health and well-being of Federal employees.
 - (3) Determine the number of health services personnel and the types and extent of facilities to be provided, according to the working conditions, the number of employees, and the program requirements.
 - (4) In organizations where a program does not exist, submit program documentation prepared in accordance with this chapter to Headquarters for review prior to submission to the U.S. Public Health Services as required by paragraph 2h, above.
5. REQUIREMENTS. The mandatory components of a Federal Employee Occupational Medical Program are as follows:
 - a. Health Services Personnel.
 - (1) Health services shall be provided under the direction of a licensed physician, and nursing services shall be provided by licensed professional nurses. To the maximum extent feasible, such physicians and nurses shall be qualified in occupational medicine and occupational nursing.
 - (2) As an alternative, Heads of Field Elements may elect to contract for medical services. When this option is selected, licensed physicians and nurses shall be qualified in occupational medicine and occupational nursing, if possible, and programs shall comply with the requirements of this chapter.

- b. Preplacement Health Evaluation. Prior to employment, where a hazard is associated with job performance, each employee shall have a complete health evaluation, with special emphasis placed upon the health and physical factors that relate to the hazards of the position. The purpose of this examination is to determine an employee's health status prior to any exposures associated with a job. In addition, it is to determine the employee's physical capabilities and any required accommodations necessary for safe and healthy job performance. The health evaluation shall be performed by the health services staff at no cost to the employee.
- c. Health Screening Evaluation. Each employee age 45 and over shall be offered a complete health evaluation annually at no cost to the employee.
- d. Job Change or Transfer Health Evaluation.
- (1) Employees who change or transfer job functions with associated hazards (e.g., electrician to lineman or lineman to crane operator) shall have their health status and physical fitness reviewed with emphasis on the effects of the position vacated and the health and physical factors that relate to the new job tasks and demands. The evaluation shall be at no cost to the employee.
 - (2) Employees who change or transfer from a job function with associated hazards to a job function with negligible associated hazards or vice versa (e.g., courier to file clerk or draftsman to lineman) shall have their health status and physical fitness reviewed with emphasis on the effects of the position vacated and the health and physical factors that relate to the new job tasks and demands, for whichever involves hazards. The evaluation shall be at no cost to the employee.
- e. Retirement or Separation Health Evaluation. The health status of an employee who is retiring or separating from a position where there is an associated hazard shall be determined by a health evaluation, with emphasis placed upon the health and physical factors of that position. The evaluation shall be at no cost to the employee.
- f. Return to Work (Fitness-for-Duty) Evaluation. An employee who occupies a position with an associated hazard, who is absent from work more than 3 consecutive workdays due to either an occupational or a nonoccupational illness or injury, shall submit either a health status report from a personal physician (obtained at the employee's expense) to the employee's supervisor stating that the employee is fit to work, or shall undergo a health

evaluation by the health services staff (at no cost to the employee) sufficient to ensure that the employee's return to work will be without undue health hazard or accident risk to the employee or others.

- g. Treatment and Medications. The health services staff shall at their discretion administer the following at no cost to the employee:
- (1) Vaccines or other medications furnished by the employee and prescribed in writing by the employee's personal physician as reasonably necessary to maintain the employee's health and well-being while at work; and
 - (2) Treatment prescribed by a physician providing medical care in performance-of-duty injury or illness cases under the Federal Employee's Compensation Act.
- h. Screening Examinations. Tests and immunizations for specific diseases shall be provided as necessary by health services personnel.
- i. Health Education and Counseling, provided at no cost to employees, shall include:
- (1) Lectures on health and health education materials to promote and encourage employees to improve and maintain personal health;
 - (2) Individual counseling on health matters; and
 - (3) Utilization of available Employee Assistance Program services.
- j. Treatment of Injuries or Illnesses.
- (1) Occupational Injury or Illness. Any employee with an occupationally related injury or illness shall be initially examined and treated to allay pain, discomfort, and anxiety without undue delay and at no cost to the employee. The scope and content of the examination and treatment shall be based upon the nature and extent of the injury or illness, and shall be sufficient to determine whether the employee may return to work without undue health hazard or accident risk to the workforce. If necessary, conveyance of the employee to a local hospital emergency room shall be provided.
 - (2) Nonoccupational Injury or illness. On-the-job care is given, at no cost to the employee, as necessary to allay pain, discomfort, and anxiety; to allow completion of the

workday, and to provide interim care prior to referral of the employee to his or her physician for private medical attention.

- k. Emergency Training. Employees shall have the opportunity to receive training in the basic elements of first aid and cardiopulmonary resuscitation (CPR) and CPR refresher training, at no cost to the employee.
- l. Medical Emergency Response. Areas with the potential for emergencies shall be identified and a written emergency planning, preparedness, and response program shall be prepared. The medical emergency response capability must include the following:
 - (1) The ability to treat the initial consequences of potential medical emergencies which might occur on the site and, if necessary, the ability to process injured or sick personnel for transfer to offsite medical emergency facilities; and
 - (2) The capacity to treat the number of patients and types of illnesses or injuries which are likely to occur on the site.
- m. Emergency Tests and Exercises. Medical response capabilities shall be conducted periodically for the identified potential emergencies. When practicable, tests and exercises shall be conducted under simulated emergency conditions.
- n. Reporting Requirements.
 - (1) Heads of Field Elements, the designated Headquarters official, or designees, shall be advised of the results of each health evaluation performed on one of their employees which contains meaningful data relative to physical limitations and/or work restrictions in order to ensure safe placement of the employee.
 - (2) A monthly summary of the tapes of treatments performed by the health services staff shall be submitted to the safety and health official of each field element or Headquarters as appropriate.
- o. Medical Records.
 - (1) Field elements shall maintain records of employee medical examinations in accordance with instructions of the Office of Personnel Management in the Federal Personnel Manual, chapter 339; DOE 1700.1; and DOE 1800.1A.

(2) Medical records and professional evaluations of current employees and persons selected for appointment will be maintained under the control of health service personnel and for use only by professional personnel, industrial hygienists, and health physicists.

(3) Employees shall be allowed access to their own records as specified in paragraph 2g, above.

6. NONMANDATORY COMPONENTS. In order to enhance the Federal Employee Occupational Medical Program, the following optional health screening is suggested:
- a. Employees under age 45 may be offered a complete health evaluation on a space-available basis at no cost to the employee.
 - b. Employees in a hazardous occupation should be given priority consideration for health evaluations.
7. PROGRAM GUIDANCE. Additional guidance for servicing personnel officers in the development of individual medical programs can be obtained from the Department's safety and health staff and is also found in paragraphs 2a, d, e, f, h, and i.
8. HEALTH STANDARDS. Standards and requirements for special health examinations and health monitoring for Federal employees who work in jobs involving specific physical, chemical, or biological hazards or specific stressful work environments will be set forth in separate attachments to this chapter as they are developed.

CHAPTER IX

EVALUATION PROGRAM

1. PURPOSE. To establish the evaluation program for the Federal Employee Occupational Safety and Health Program.
2. DEFINITIONS.
 - a. Functional Evaluation is an oversight review of a safety or health specialty discipline to ensure that applicable elements of the safety and health program have been developed, documented, implemented, and maintained in accordance with specific safety and health requirements and needs, e.g., occupational safety, industrial hygiene, medical, aviation safety.
 - b. Management Evaluation is a determination of managerial effectiveness in establishing and implementing safety and health programs which conform to DOE policy requirements. This is a documented oversight review and evaluation of management performance covering various safety and health disciplines and management responsibilities to ensure proper safety and health program balance.
3. RESPONSIBILITIES AND AUTHORITIES.
 - a. Director of Administration and Management.
 - (1) Conducts management evaluations of Departmental Elements' safety and health programs at least once every 3 years. These evaluations shall provide management with timely and reliable information concerning their effectiveness in establishing and implementing the Federal Employee Occupational Safety and Health Program.
 - (2) Conducts functional evaluations of Departmental Elements' safety and health programs with sufficient frequency to provide meaningful input to the management evaluations.
 - (3) In the conduct of evaluations, substantially utilizes the implementation procedures described in paragraph 4.
 - (4) Develops a schedule showing the evaluations planned for the following fiscal year and coordinates the evaluation dates with each organization that is to be evaluated.
 - (5) May augment evaluation teams with functional experts from other DOE organizations or from the private sector.

- b. Heads of Field Elements with Subordinate Organizations Not Collocated with the Field Element.
- (1) Conduct self-evaluations of the management of their subordinate organizations' safety and health programs at least once every 3 years.
 - (2) Conduct self-evaluations of functional safety and health specialty disciplines of subordinate organizations with sufficient scope and frequency to ensure effectiveness.
 - (3) Ensure that the implementation procedures described in paragraph 4 are utilized in the conduct of evaluations.
 - (4) May augment evaluation teams with experts from other DOE organizations or from the private sector.
 - (5) Prepare a schedule showing the functional and management evaluations planned for the following fiscal year and provide a copy to the Director of Administration and Management not later than 8-1 of each year.

4. IMPLEMENTATION PROCEDURES.

a. Management Evaluations.

- (1) The Director of Administration and Management's management evaluations will be formal activities. The evaluation methodology will include an opening and closing conference with the senior staff of the organization being evaluated. During the closing conference, evaluation findings and recommendations will be presented. Such conferences are encouraged when field elements conduct self-evaluations.
- (2) The evaluation process shall include the use of applicable generic factors detailed in paragraph 5. Functional evaluations of safety and health specialty disciplines shall be a source of input.
- (3) A report of the evaluation shall be prepared and transmitted to the head of the evaluated organization. Positive findings shall be emphasized as well as program deficiencies. Where appropriate, the report shall make specific recommendations for corrective action(s).
- (4) The evaluated organization shall respond to evaluation reports and indicate what corrective action will be taken on program deficiencies. Time frames for corrective actions shall be included in the response.

- (5) Followup visits may be required for the purposes of reviewing the adequacy of corrective action and determining whether additional action is necessary. These reviews shall be presented in writing to the evaluated organization and, where no additional action is necessary, shall constitute formal closeout of the evaluation. If no follow up visits are conducted, the evaluated organization's response shall be reviewed during the next evaluation.

b. Functional Evaluations.

- (1) Functional evaluations shall be conducted by qualified specialists.
- (2) The evaluation process shall include the use of applicable generic factors detailed in paragraph 5. Specific emphasis should be given to program deficiencies noted during previous functional and management evaluations.
- (3) The Director of Administration and Management's functional evaluations will be formal activities, and the evaluation methodology will include an opening and closing conference with appropriate staff members of the organization being evaluated. During the closing conference, evaluation findings and recommendations will be presented. Such conferences are encouraged when field elements conduct self-evaluations.
- (4) A report of the evaluation shall be prepared and transmitted either as a component of a management evaluation report or separately to the head of the evaluated organization.
- (5) The evaluated organization shall respond to evaluation reports and indicate what corrective action will be taken on noted program deficiencies. Time frames for corrective actions shall be included in the response.
- (6) Follow-up of the evaluated organization's response shall be made at the next earliest opportunity, but in no case later than the next evaluation. Follow-ups shall be confirmed in writing to the evaluated organization and, where no additional action is necessary, shall constitute formal closeout of the evaluation.

5. FACTORS FOR SAFETY AND HEALTH EVALUATIONS. In addition to the detailed safety and health requirements and standards contained in applicable DOE Orders, Occupational Safety and Health Administration's standards and regulations, and by Executive order, the following generic factors are to be applied in the safety and health evaluation program:

- a. Management Involvement and Support. Adequacy and extent of management involvement in the operation of the safety and health program.
- b. Management Directives. Extent to which safety and health directives are complied with and the extent to which, and how adequately, local policies are written, published, transmitted, kept current, and implemented.
- c. Organization and Administration. Structure and effectiveness of the organization toward ensuring a comprehensive safety and health program, and determination of the effectiveness of liaison and coordination between organizational components with regard to the safety and health program.
- d. Documentation. Adequacy of documentation covering safety and health activities.
- e. Budgeting and Expenditures. Adequacy of safety and health input to the budget formation and review processes and adequacy of funds to implement the safety and health program.
- f. Staffing. Adequacy in amount and technical skill of staff assigned to carry out the safety and health program.
- g. Training. Adequacy of training, program promotion, and education in the areas of safety and health for all groups of employment. Determination of the adequacy of training records.
- h. Communication and Coordination. Adequacy of information flow on safety and health matters within the organization.
- i. Performance Measurement. Adequacy of a system established to implement DOE accident/incident investigation and reporting requirements. Determination of the adequacy of trend and risk analyses and resulting effort(s) in accident/incident prevention. Adequacy of a system to ensure that claims filed with the Office of Workers' Compensation Programs are properly recorded within the DOE accident/incident reporting system.
- j. Evaluation Programs. Frequency, adequacy, and records of evaluations, including notification of findings with an effective follow up system.
- k. Inspection and Abatement Program. Adequacy of a safety and health inspection program, including the scheduled abatement of deficiencies noted.

- l. Property Management. Adequacy of measures taken to ensure that safety and health requirements are translated into specifications, drawings, procedures, equipment, and instructions.
- m. Employee/Employee Representatives Involvement. Adequacy of program involvement by employee representatives through committee activities, safety and health inspections, access to program information, and the reporting of unsafe and unhealthful working conditions through established procedures.

