

ES&H RESPONSIBILITIES

DATE: 11/14/2008

SUBJECT: ACCIDENT INVESTIGATIONS

1. PURPOSE. This document addresses responsibility and accountability and provides administrative guidance to the Oak Ridge Office (ORO).
2. APPLICABILITY. The provisions of this document apply to ORO Principal Staff.
3. RESPONSIBILITIES.
 - a. Manager, ORO.
 - (1) Categorizes incidents to determine if they meet Type A or B requirements, as outlined in DOE O 225.1A, and notifies the Assistant Secretary for Environment, Safety and Health.
 - (2) Provides Accident Investigation Board members (including trained investigators and trained Board Chairperson) for formal accident investigations locally or for investigations at other DOE locations as requested by DOE Headquarters (HQ).
 - (3) Determines the level of investigation for those accidents/incidents which do not meet Type A or B requirements per DOE O 225.1A.
 - (4) Requests concurrence from DOE HQ when waivers to Type A or B investigations are deemed appropriate.
 - (5) Appoints, within three calendar days of the categorization of the incident, the local Type B Accident Investigation Board following guidelines outlined in DOE O 225.1A and issues an appointment letter defining the scope of the investigation, including limitations. Briefs all Board members to ensure they clearly understand their roles and responsibilities. If impractical to brief the entire Board, then the Chairperson will be briefed and he will convey the information to Board members. Recommends Board members to the Assistant Secretary for Environment, Safety and Health, DOE HQ, for incidents that meet Type A requirements. DOE HQ will formally appoint the Type A Board.
 - (6) Resolves any concerns/issues raised by a Type A or B Accident Investigation Board Chairperson.
 - (7) Reviews the draft Type A or B Accident Investigation Report and ensures all parties have reviewed that report for factual accuracy.
 - (8) Accepts, by signature, the Type B Investigation Board report and transmits as outlined in DOE O 225.1A. Type A Investigation Board reports are reviewed for factual accuracy and forwarded to DOE HQ Appointing Official for signature acceptance.
 - (9) Develops lessons learned from the accident investigation and disseminates DOE-wide.
 - (10) Provides DOE HQ with a corrective action plan on investigation judgments of need and notifies DOE HQ when it is reported and verified by the Contracting Officer's

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Representative (COR) that all corrective actions have been completed and validated effective.

- b. Assistant Manager for Environment, Safety, and Health (AMESH).
 - (1) Advises the Manager, ORO, on occurrences requiring a Type A or B investigation and assists in determining the level of investigation on other accidents/incidents not meeting the criteria for a Type A or B investigation as defined in DOE O 225.1A.
 - (2) Advises the Manager, ORO, when waivers to Type A or B investigation requirements are appropriate.
 - (3) Recommends nominees to the Manager, ORO, to serve as Board Chairperson, trained investigator, and members of the Board.
 - (4) Appoints an Accident Investigation Point-of-Contact and Alternate to coordinate all aspects of the Accident Investigation Program.
 - (5) Ensures that Investigation Boards receive the necessary logistical and administrative support.
 - (6) Ensures that an adequate number of AMESH technical staff are trained in accident investigation and analytical techniques to support requests for Board members.
 - (7) Ensures that appropriate staff reviews the draft accident investigation report and applicable comments are resolved with the Board Chairperson.
 - (8) Ensures that the accident/incident requirements of DOE O 225.1A are implemented for both the contractor and Federal organizations.
- c. Director, Technical Support and Assessment Division, (TSAD) (AMESH).
 - (1) Coordinates the accident investigation process to provide continuity within ORO.
 - (a) Prepares correspondence for the Manager, ORO, appointing Type B investigation boards delineating the level and scope of the investigation to the members of the board and the affected contractor.
 - (b) Prepares correspondence to DOE HQ requesting concurrence when waivers to Type A or B investigation requirements are deemed appropriate by ORO.
 - (c) Prepares correspondence for the Manager, ORO, signature to the appropriate contractor transmitting the Type B Board's findings and requesting a corrective action plan within sixty (60) days.
 - (d) Prepares correspondence for the Manager, ORO, signature transmitting the Type B report to DOE HQ, providing copies to all offices designated in DOE O 225.1A. Ensures that a statement is included in the transmittal which indicates that ORO has evaluated the report and comments were resolved with the Board.

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- (e) Reviews Federally related Corrective Action Plans for adequacy and effectiveness.
 - (f) Prepares correspondence for the Manager, ORO, signature to DOE HQ Secretarial Officers' for approval of the corrective action plan when received from the COR.
 - (g) Prepares correspondence to DOE HQ requesting closure of the investigation report when the COR advises that all actions have been verified complete and validated effective.
- (2) Maintains an accident investigation kit for use by the Board that contains flow charts, procedures, manuals and other appropriate investigative tools as recommended by DOE HQ.
 - (3) Recommends an Accident Investigation Point-of-Contact and Alternate to coordinate the Program and maintain interface with DOE HQ.
 - (4) Assists the Manager, ORO, AMESH, and COR in determining the appropriate level of investigation.
 - (5) Maintains a list of all DOE-trained accident investigators, Board members, and Board Chairpersons.
 - (6) Reviews draft Type A or B investigation reports for factual accuracy and procedural compliance within the time frame allotted.
 - (7) Attends briefing presented to the Manager, ORO, concerning the investigation board's findings.
 - (8) Maintains official files on accident investigation.
 - (9) Retires board backup files when provided by the Board Chairperson.
 - (10) Maintains computer log of all accident investigations.
 - (11) Responds to Freedom of Information Act requests regarding contractor and/or Federal accident experience when requested by the Office of Chief Counsel.
 - (12) Ensures lessons learned from board investigations are developed and transmitted to ORO personnel, contractors, other DOE locations, and DOE HQ as appropriate.
- d. Director, Procurement and Contracts Division, ensures that DOE O 225.1A is incorporated into contracts in accordance with DOE O 225.1A, paragraph 5c(2).
 - e. Contracting Officer's Representatives.
 - (1) Perform the task identified in DOE O 225.1A, 5c(1).
 - (2) Ensure that the contractors under their jurisdiction are informed of and fully comply with the provisions of DOE O 225.1A and this Chapter to the extent set forth in their contract.

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- (3) Notify the Manager, ORO, of any occurrence that meets accident investigation requirements and assists in determining the level of investigation for accidents/incidents
 - (4) Ensure that the contractor takes immediate corrective action, if necessary, to ensure worker safety and health after an incident.
 - (5) Advise the Manager, ORO, on nominees to serve as Board Chairperson, trained investigator, and members of the Board.
 - (6) Ensure that the contractor, except for necessary emergency actions, preserves the scene of any occurrence requiring or possibly requiring a DOE HQ or ORO board investigation. Normal operations would resume after the investigation board concurs.
 - (7) Ensure that the contractor establishes and maintains accident investigation readiness capability (to include training employees as outlined in DOE O 225.1A).
 - (8) Ensure that the investigation board is provided onsite assistance (logistical and administrative) as needed and request the contractor provide a point-of-contact to act as liaison.
 - (9) Ensure that appropriate staff reviews the draft accident investigation report and resolve applicable comments with the Board Chairperson.
 - (10) Ensure a system is in place to track closure of all corrective actions from Type A and B accident investigation reports. Approve and transmit the contractor's corrective action plans to the TSAD for transmittal to DOE HQ.
 - (11) Follow corrective action status until all actions are verified as being complete, providing copies to the TSAD of all correspondence generated.
 - (12) Ensure that an adequate number of staff are trained as accident investigators to support requests for Board members and/or act as liaison for investigations at their respective facility.
- f. The Office of Chief Counsel.
- (1) Provides a legal point of contact to serve as liaison and advisor on accident investigation boards.
 - (2) Reviews, comments on, and concurs on draft accident investigation board reports.
- g. Team Leader, Training and Development Group.
- (1) Ensures that appropriate training is provided when requested so as to maintain a high level of trained accident investigators for the ORO.
 - (2) Disseminates notice of training availability to Federal and contractor points of contact. Coordinates nominees for proposed training.

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- h. Information Resources Management Division, provides assistance, such as technical editing, reproduction, binding, etc., to accident investigation boards as requested.
- i. Director, Public Affairs Office, directs the preparation and release of public statements concerning the investigation of occurrences, where deemed appropriate. Also determines when congressional distribution of reports is appropriate.
- j. Board Chairperson (Type A or B Accident Investigations).
 - (1) Conducts the investigation and prepares the report per guidelines established in DOE O 225.1A.
 - (2) Reports to the Manager, ORO (or other appointing official), throughout the investigation, any problems encountered during the conduct of the investigation.
 - (3) Obtains an accident investigation kit from TSAD, if deemed necessary. This kit contains pertinent accident investigation charts and materials as recommended by DOE HQ.
 - (4) Requests technical expertise to aid in the investigation if that expertise is not available from members of the Board.
 - (5) Notifies TSAD if assistance in obtaining necessary clerical support (this includes technical editing and report binding) is needed.
 - (6) Ensures that the report receives a classification review before the draft report is issued.
 - (7) Obtains a DOE/ORO technical document number through TSAD.
 - (8) Provides a draft copy of the investigation board report to the Manager, ORO, TSAD, COR, and others as appropriate for technical review. Briefs ORO management concerning the draft investigation report and conducts additional investigative activities if deemed necessary by the Manager, ORO. The Board Chairperson should ensure that the Manager, ORO, signs the acceptance sheet for the report if no further investigative actions are required.
 - (9) Prepares correspondence to the Manager, ORO, transmitting the final report (ensuring that TSAD is provided a copy of the report along with an electronic version of the report).
 - (10) Organizes and boxes the Board's backup files and sends them to the TSAD for retirement.
 - (11) Provides to the TSAD any applicable lessons learned from the conduct of the investigation as well as a copy of the final report for appropriate lessons learned dissemination.