



**U.S. Department of  
Transportation**

Office of the Secretary  
of Transportation

# ORDER

DOT 3902.6B

8-18-83

**Subject:** OCCUPATIONAL SAFETY AND HEALTH MANAGEMENT  
INFORMATION SYSTEM

1. **PURPOSE.** This Order establishes the Department of Transportation (DOT) Occupational Safety and Health Management Information System (SMIS) and sets forth policy for promulgation, implementation and use of this system.
2. **CANCELLATION.** DOT 3902.6A, Departmental Occupational Safety and Health Loss Management Information System, of 8-10-82. Canceled in order to change the subject to Occupational Safety and Health Management Information System and the abbreviation from LMIS to SMIS
3. **REFERENCES.**
  - a. DOT 3902.7, Occupational Safety and Health Management Program, of 7-6-81, establishes an occupational safety and health program which assures a safe and healthful work environment for all employees, and sets forth policy for implementation and administration of an effective program.
  - b. Executive Order (E.O.) 12196, Occupational Safety and Health Programs for Federal Employees, of 2-26-80, outlines the requirements necessary to conduct an effective occupational safety and health program within the DOT including in Section 1-2(j) the operation of an occupational safety and health management information system.
  - c. DOT 1050.3, Implementation of the Privacy Act of 1974, of 12-23-75, establishes the policies, procedures and responsibilities for implementing the Privacy Act of 1974 (P.L. 93-579). The Assistant Secretary for Administration is responsible for Departmental oversight. The heads of operating administrations are responsible for assuring that their employees are aware of the provisions of the Act, and that their administrations comply with the Act and with the DOT regulations in 49 CFR Part 10. The Privacy Act requires annual publication of the existence and character of the system of records. The Office of the Secretary (OST), Office of Information Systems and Telecommunications Policy, publishes an annual Federal Register notice of record system DOT/ALL-2, Safety Management Information System.
  - d. DOT 2300.1C, Reimbursable Agreements, of 5-3-79, establishes policies and procedures relating to reimbursable agreements covering goods and services provided by the OST and operating administrations to other Departmental elements, Federal agencies, and non-Federal activities.

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All Operating Administrations

**OPI:** Office of  
Installations  
and Logistics

- e. Occupational Safety and Health Act of 1970, as amended, Title 29, USC, Part 1960, Basic Program Elements for Federal Employee Occupational Safety and Health Programs, provides regulatory requirements to be incorporated into Federal Safety and Health Programs including in Subpart I collection and compilation by agencies of occupational safety and health data for proper evaluation and necessary corrective action.

4. BACKGROUND.

- a. Executive Order 12196 directs that the Secretary of Transportation shall establish and maintain an occupational safety and health program meeting the requirements of Section 19 of the Occupational Safety and Health Act and the guidelines published in 29 CFR 1960 shall be observed. These documents established the requirements for an occupational safety and health SMIS but do not provide specific details. DOT has conducted a pilot SMIS program which complies with the requirements of the E.O. and 29 CFR 1960, and utilizes current DOT computer capability. By this Order the SMIS program will become mandatory for all of DOT. This SMIS will avoid duplication of effort in recordkeeping, standardize loss analysis methods and provide the Office of the Secretary and heads of operating administrations with timely and significant loss data.
- b. The information system established by this Order is based on interactive real time and conversational state-of-the-art computer technology. It is designed to serve as a management tool, and provides information from the data bank via a remote terminal and printer in a matter of minutes. Multiple forms, key punching and batch processing and their disadvantages are eliminated. Mishap information will be telephoned to a district, region or headquarters safety office. A person in the safety office receives the mishap data and enters the data into the Transportation Systems Center (TSC) computer via a terminal at their installation. The initial mishap information input need not be delayed until the report is fully complete because it can easily be updated as information becomes available. A standard format will be used to assure uniformity of data input. Following input of the initial report the safety office receives a printout from the terminal which is sent to the originator through proper channels for review. Review, telephoned changes or new information, input, printout, further review, and so on, are easily accomplished until requirements are satisfied. Reports will be stored on magnetic discs or tapes for at least five years to comply with Occupational Safety and Health Act requirements for records.



5. POLICY. It is the policy of the Secretary that:
- a. The Office of the Secretary and the operating administrations shall investigate and report all occupational accidents, injuries and illnesses which occur in operations internal to DOT including those of visitors to DOT facilities.
  - b. Accident information is to be compiled by SMIS to develop and monitor management objectives necessary to achieve the maintenance of safe and healthful workplaces within DOT in a cost effective manner.
  - c. This system shall implement the recordkeeping requirements imposed by E.O. 12196 and the Occupational Safety and Health Act of 1970.
6. DEFINITIONS. Occasionally in the application of DOT Orders, and Department of Labor guidelines and forms, ambiguity arises as to which term among "accident," "injury," or "occupational illness" is most suitable. To alleviate this problem, the term "mishap" is introduced. Mishap as defined hereinafter has a broad meaning which encompasses accident, injury or occupational illness. The term "mishap" may be used in lieu of the others, but one of the more specific terms will usually be more applicable. Definitions are as follows:
- a. Mishap. An unanticipated occurrence causing injury, occupational illness, death, or property loss, or any combination of these.
  - b. Accident. An unanticipated occurrence that results in injury to personnel, property loss, or a combination of these occurrences.
  - c. Major Accident. An accident that results in a death, hospitalization of five or more employees or destruction of \$100,000 or more of DOT property.
  - d. Occupational Injury. An injury (such as a cut, fracture, sprain, amputation, etc.) which results from an occupational accident or from a single incident exposure in the work environment. Note: Conditions resulting from animal bites, such as insect or snake bites or from one time exposure to chemicals, are considered injuries.
  - e. Occupational Illness. Any abnormal condition or disorder, other than one resulting from an occupational injury, caused or aggravated by exposure to environmental factors associated with DOT employment. This category includes acute and chronic illness or disease which may be caused by noise, radiation, inhalation, absorption, ingestion or direct contact.
  - f. Recordable Occupational Injuries or Illnesses. Any occupational injuries or illnesses which result in: (1) occupation-related deaths regardless of the time between injury and death, or the length of illness; (2) nonfatal occupational illnesses; or (3) nonfatal occupational injuries which involve one or more of the following: days away from work or days of restricted work activity; loss of

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consciousness; restriction of work or motion; transfer to another job; or medical treatment.

- g. First Aid. A minor injury which receives one-time treatment and subsequent observation such as scratches, cuts, burns, splinters and so forth, which does not ordinarily require medical care (even though the one-time treatment and subsequent observations are provided by a physician or registered professional personnel), and after this treatment the employee can perform all normal duties connected with the job, and incurs no workers' compensation costs.
- h. Designated Agency Safety and Health Official. The individual who is responsible for the management of the safety and health program within DOT and who is so designated by the Secretary in accordance with 29 CFR 1960.6 and the provisions of E.O. 12196.
- i. Safety and Health Official. An individual who manages the occupational safety and/or health program at organizational levels below the Designated Agency Safety and Health Official.
- j. Vehicle Accident. Any occurrence involving a Federal Government owned, leased, rented or privately owned vehicle while operated on Federal Government business which results in death, injury or property damage, regardless of who was injured (if any) or what property was damaged.
- k. Major Reporting Organizations. An operating administration's national headquarters level, its district or regional levels, and major field activities such as the FAA Technical Center, Transportation Systems Center (TSC), Aircraft Repair and Supply Center (ARSC), the Aviation Training Center (ATC) and the Coast Guard Yard.

## 7. RESPONSIBILITIES.

- a. Assistant Secretary for Administration Responsibilities. The Assistant Secretary for Administration shall be responsible for the overall management of the SMIS and the administrative functions shall include:

- (1) Establishing the essential information and/or data elements required for recordkeeping and analysis (see the Appendix of this Order).



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- (2) Providing the basic users manual and system maintenance (i.e., software changes) which will control the overall data input requirements and assure standardization and compatibility of the system. Providing review and approval of special purpose utilization, unique to an operating administration.
  - (3) Serving as the Departmental point of contact for all interagency actions specifically involving the SMIS.
  - (4) Serving as central point of contact and coordinator between the operating administrations, other offices of OST and TSC. Establishing separate reimbursable agreements with each operating administration to cover its computer services expenses and entering into one reimbursable agreement with TSC for computer services for the total program. Appointing a data base administrator. Also, stimulating information flow and serving as coordinator between the operating administrations of DOT.
  - (5) Performing Department-wide analysis of the information available in the SMIS and providing guidance to all of DOT.
- b. Operating Administration and OST Safety and Health Official Responsibilities. The heads of operating administrations and the Safety and Health Official of the Office of the Secretary shall establish programs by December 31, 1982, to implement the provisions of this Order including:
- (1) Programs to ensure compliance with Subpart I, Recordkeeping and Reporting Requirements, of 29 CFR 1960 which in summary requires:
    - (a) Each Federal agency to maintain a record or log of all recordable occupational injuries and illnesses at each regional or district office and at each major field activity. Occupational Safety and Health Administration (OSHA) forms numbers 100F and 101F or their equivalent are to be used for this purpose. The DOT SMIS is equivalent to these OSHA forms because it can easily record and retrieve the information required on these forms. The DOT SMIS shall be used by the operating administrations in lieu of forms 100F and 101F to the extent practicable. See the Appendix of this Order for details of the SMIS recording and reporting requirements.
    - (b) Each Federal agency to submit OSHA form 102F, Summary Report of Federal Occupational Injuries and Illnesses, annually. The information for form 102F is retrievable from the SMIS as a computer printout, but the data will have to be transferred to a form 102F because OSHA requires a completed form 102F.
  - (2) Resources to train their personnel to use SMIS and to obtain and maintain equipment and services necessary to operate their segments of the SMIS. The operating administrations and OST Safety and Health Official shall each enter into a reimbursable agreement with the Office of Installations and Logistics for their computer services.

- (3) Resources to conduct a one year test of the SMIS program. The U.S. Coast Guard (USCG) is exempt from this test because it has completed a USCG-wide test and has adopted the SMIS. The FAA shall include at least one region and headquarters in the test with the option of expanding the test scope during the year. Since the other operating administrations have less reporting activity they shall include their total OSH reporting activity in the test in order to make a significant evaluation. The test shall start no later than January 3, 1983. If there are no serious unresolved problems all operating administrations and the OST Safety and Health Official shall adopt the SMIS as a permanent activity at the end of the test. Terminals with modems (telephone data couplers) and the Federal Telecommunications Systems (FTS) shall be used to interface with the TSC computer.
  - (4) Procedures for advising the Assistant Secretary for Administration of planned intra-administration safety and health information systems so as to prevent duplication of effort, ensure compatability with SMIS and assist in the Department-wide exchange of information.
- c. Transportation Systems Center Responsibility. TSC shall provide the computer services generated by this Order. TSC shall assist the OST in coordination of programs of the operating administrations and the offices of OST including review of intra-administration information systems to ensure compatability with SMIS. TSC shall devise and implement a security system to prohibit inter-administration access to records; however, the Office of Installations and Logistics shall have access to all records. The intra-administration access control shall be provided by TSC according to the requirements of each administration. TSC shall establish a reimbursable agreement with the Office of Installations and Logistics for all TSC services generated by this Order.

FOR THE SECRETARY OF TRANSPORTATION:



Karen S. Lee  
Deputy Assistant Secretary  
for Administration



## APPENDIX

### Basic Elements of SMIS Reporting

#### 1. PURPOSE

This Appendix provides the minimum reporting requirements for the DOT information system for occupational injuries and illnesses and property loss mishaps. The details of format and exact content are to be included in the provisions of the User's Manual required by Section 7.a.(2) of this Order. Section 2.4 of this Appendix provides the schedule of reporting.

#### 2. BASIC ELEMENTS OF SMIS REPORTING

2.1 Case Identifying Data. For each case, identifying data shall include:

- 2.1.1 Identifying number(s) or alphanumeric(s) which will facilitate input and output to and from the TSC computer and serve as a reference index for correspondence or other records.
- 2.1.2 The employee's name, social security number, age, sex and grade and series.
- 2.1.3 The occupation and experience of the employee. For the occupation, enter the title of the job to which the employee was assigned at the time of injury or illness. If there is no formal job title, enter a brief description of the duties of the employee at the time. Experience in years at this same occupation to the nearest half of a year is required. Zero to three months is to be considered as zero experience, three months to nine months is 0.5 years, nine months to 15 months is 1.0 year, 15 months to 21 months is 1.5 years, 21 months to 27 months is 2 years, and so on.
- 2.1.4 The date and time of injury or date of illness. For occupational injuries enter the date and time of the work accident which resulted in injury. For occupational illnesses enter the date of initial diagnosis of the illness, or, if absence occurred before diagnosis, the first day of the absence in connection with which the case was diagnosed. In the case of only property loss, provide the date and time of the mishap.
- 2.1.5 Identification of the establishment where the employee is regularly employed and location of the mishap. Establishment is defined in DOT 3902.7. The name and address of the establishment is required. Provide the location of the mishap in a brief narrative which identifies the workplace location, or property loss or damage location.

- 2.1.6 The name and title of the person initiating the report and the date and time the report is received at a major reporting organization. Also required is the name and title of the person at the major reporting organization who enters the report via the computer terminal and date and time the report is entered into the computer.

2.2 Description of Injury, Illness or Mishap. For each case descriptive information shall include:

- 2.2.1 For the benefit of DOT information and to correspond with OSHA form No. 100F, a two digit injury or illness code and a brief description to identify the nature of the illness or injury. If applicable, indicate the parts of the body affected.
- 2.2.2 For use by DOT, a full narrative description of the mishap which caused the illness(s), injury(s) and/or property loss. This narrative shall also provide information to identify the severity of the illness(s), injury(s) and/or a description of property loss. The cause of the mishap shall be provided. A description of the weather at the time of the mishap is required in order for it to be evaluated in terms of being a contributing factor.

2.3 Extent and Outcome of Cases. Usually only part of the information about a mishap is known shortly after the mishap. One of the advantages of the SMIS is the ability to easily change and update reports. Reporting and updating shall be according to Section 2.4, Reporting Schedule, of this Appendix. The following information shall be reported for subsections 2.3.1, 2.3.2 and 2.3.3 in a format which will enable the user to fill out OSHA form 102F:

- 2.3.1 Fatalities. When the occupational injury or illness results in death, provide the date (month-day-year) of the death.
- 2.3.2 Lost Workday Cases. Lost workdays fall in two categories: (1) days away from work and (2) days of restricted activity. In both categories the day of the injury or illness onset should not be counted. Restricted activity days are those days the employee was assigned to another job on a temporary basis or worked at a permanent job less than full time, or worked at a permanently assigned job but could not perform all duties normally connected with it.
- 2.3.3 Nonfatal Cases Without Lost Workdays. This category is provided for cases which did not involve fatalities or lost workdays but is a recordable mishap because it did involve one or more of the following: medical treatment other than first aid, loss of consciousness,



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restriction of work or motion, transfer to another job or termination of employment. First aid cases are not to be reported.

- 2.3.4 Property Loss Cases. A reportable property loss mishap is any mishap in which Federal Government property is involved and/or a Federal employee is involved while on official Government business and where property damage (including both Federal and private) results in a total of \$500 or more. Section 2.2.2 of this Appendix requires a description of each mishap. Section 2.3.4 is concerned with reporting the dollar cost of the loss and providing an annual summary report of such losses.

2.3.4.1 Property loss mishaps shall be categorized as follows:

2.3.4.1.1 Government Automobile Property Loss Mishap: Occurrence involving a car, bus, truck or motorcycle which is (a) owned, leased or rented by the Federal Government and (b) used for official Government business at the time of occurrence.

2.3.4.1.2 Private Automobile Property Loss Mishap: Occurrence involving a car, bus, truck or motorcycle which is (a) not owned by the Federal Government but is authorized by the Federal Government for travel and (b) used for official Government business at the time of occurrence.

NOTE: When a single occupational property loss mishap involves both a Government and private automobile, report it as one mishap under the category which reflects the responsibility for the occurrence.

2.3.4.1.3 Crane, Lift, Etc., Property Loss Mishap: Occurrence involving construction, warehouse, supply room or yard "Cranes, Lifts, etc." (as defined by the safety and health standards promulgated under Section 6 of the Occupational Safety and Health Act of 1970) which is (a) operated by a Federal employee and (b) used for official Government business at the time of occurrence.

2.3.4.1.4 Marine Property Loss Mishap: Occurrence involving a water-borne craft (motorized, non-motorized, steam, sail, towed, etc.) which is capable of being used as a means of transportation on water, including special purpose floating structure not primarily designed for or used as a means of transportation on water.

2.3.4.1.5 Aircraft Property Loss Mishap: Occurrence involving airborne craft (powered, towed or free flying).

2.3.4.1.6 Railroad Property Loss Mishap: Occurrence involving rail-borne vehicles (powered, towed or free rolling).

2.3.4.1.7 Property Loss Mishap Other Than Vehicles: Occurrence involving Government and/or private material, equipment or machinery which is not classified as a vehicle. This includes accidental occurrences due to use or misuse of the material, equipment or machinery. Examples include: (a) dropping a typewriter which damages either the typewriter or the material that it drops on or hits; (b) accidental bursting of a pipe which damages the nearby supplies; and (c) falling material, equipment or machinery from a scaffold, shelf or top of building.

2.3.4.1.8 Fire: Occurrence involving accidental burning or smoldering. This also includes loss caused as a result of (a) by-products of such an occurrence (smoke, etc.) and (b) extinguishment or control of such an occurrence.

2.3.4.2 An annual summary report of property loss is required which shows the following:

2.3.4.2.1 Government Automobiles - total number of miles agency owned, leased or rented vehicles were driven for this reporting period.



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- 2.3.4.2.2 Private Automobiles - total number of miles an agency reimbursed its employees for authorized travel for this reporting period.
- 2.3.4.2.3 Total Hours Operated - total (approximate if exact records are not available) number of hours the agency vehicles, other than automobiles, were operated for this reporting period.
- 2.3.4.2.4 A summary of the costs of the repair and/or replacement of property (dollar amount) regardless of what property (Government and/or private) which was damaged as a result of the loss mishap. The costs shall be associated with the above categories, i.e., so much for Aircraft Property Loss Mishaps, so much for Marine Property Loss Mishaps and etc.
- 2.3.4.2.5 A summary of the costs of repair and/or replacement of property (dollar amount) regardless of what property (Government and/or private) which was damaged as a result of the occupational property damage incident reported for Code 8.0 of the OSHA No. 102FF shall be entered on the line designated by Code 10.0 of the OSHA No. 102FF. Add the costs associated with each occurrence, and enter the total of this addition under the appropriate category.
- 2.3.4.2.6 A summary of tort claims (dollar amount) which result from the property loss mishaps other than breach of contract. Report only those tort claims paid out for the reporting period, regardless of when the incident occurred.

## 2.4 Reporting Schedule

- 2.4.1 Recordable Occupational Injury, Illness or Mishap. Within six working days of the injury, onset of an illness or mishap, the information required in Sections 2.1 and 2.2 of this Appendix shall be entered into and accessible from the SMIS computer system. By February 15 of each year an OSHA Form 102F for the previous calendar year shall be submitted to OST (M-654). Also, the annual summary of property loss shall be submitted by February 15 for the previous calendar year.

2.4.2 Major Accident. All major accidents shall be reported by telephone or telegraph to OST (M-654) within 48 hours after the occurrence. During duty hours the report shall be via the operating administrations' Occupational Safety and Health Officials. For non-duty hours the report shall be sent via the USCG Headquarters Flag Plot Duty Office, telephone 202-426-1830 or TELEX 892427. The information required in Sections 2.1 and 2.2 of this Appendix which can be accurately ascertained shall be included in the first report. As a minimum, provide: name(s) of the fatalities and/or those hospitalized; a brief description of the mishap including those events that are known to have led to the mishap, a rough estimate of property loss value; date, time and location. Subsequent deaths and updates of loss estimates shall be reported within 48 hours of their occurrence or availability.

2.4.3 Major Accident Investigation Report. The SMIS major accident report is not in lieu of the major accident investigation report required by DOT 3902.7. It is the responsibility of the OST Safety and Health Official or the operating administrations to coordinate the information of these two reports and update the SMIS report to agree with the accident investigation report. The SMIS report shall be updated within two weeks of the submittal of the investigative report.