

AGS OPERATIONS PROCEDURES MANUAL

10.1 Occurrence Reporting and Processing of Operations Information

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Attachments

Hand Processed Changes

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Approved by: \_\_\_\_\_  
AGS Department Chairman                      Date

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## **10.1 Occurrence Reporting And Processing Of Operations Information**

### **1. Purpose**

1.1 This procedure provides detailed information for categorizing and reporting occurrences at the accelerator complex. It complements DOE O 232.1A and DOE M 232.1-1A, "Occurrence Reporting and Processing of Operations Information."

### **1.2 Definitions**

1.2.1 Facility Manager -- Throughout this Procedure, the term Facility Manager includes designees. The Facility Manager is the person designated to ensure that responsibilities assigned by this procedure are accomplished.

1.2.2 ORPS – DOE Occurrence Reporting and Processing System.

### **2. Responsibilities**

2.1 The Facility Manager shall be available at all times to carry out the responsibilities for the categorization, notification, and reporting requirements.

2.2 For reportable occurrences, the Facility Manager must categorize the occurrences, notify DOE, and prepare and submit Occurrence Reports.

2.3 The Facility Manager shall document the Occurrence Reports by using the computerized Occurrence Reporting and Processing System (ORPS).

2.4 The Chair of the AGS Department or his alternate is the Facility Manager for the accelerator complex (see AGS OPM-ATT 10.1.a for a list of alternates).

2.5 AGS MCR Operations Coordinators and AGS Supervisors are responsible for notifying the Facility Manager when they become aware of a potential emergency, unusual or off-normal occurrence. A listing of potential occurrences pertinent to the accelerator complex is given in AGS OPM-ATT 10.1.b.

2.6 The AGS Associate Chair for Safety shall maintain a listing of the Safety Significant Structures, Systems, and Components (SSC) for the accelerator complex (see AGS OPM ATT 10.1.c).

2.7 Operators are responsible for completing AGS-OPM-ATT 10.1.d when responding to water spills. Operators are defined for the purposes of AGS OPM 10.1.d as AGS

Mechanical Services, Power Room, and Main Control Room personnel.

2.8 Operators are responsible for completing AGS OPM ATT 10.1.e when responding to smoke or fire in a primary area. Operators are defined for the purposes of AGS OPM 10.1.e as AGS Main Control Room personnel.

### 3. Prerequisites

3.1 Specifically excluded from this procedure are occurrences within the accelerator complex that are considered reportable but are the result of operations under the direct supervision of a non-AGS Department or Division. Regardless of who reports the occurrence, the accelerator management shall remain cognizant of events occurring in the complex.

3.2 The Facility Manager, all MCR Operations Coordinators and all Supervisors must be familiar with the BNL ES&H Standard 1.1.0, Occurrence Reporting System.

3.3 Persons listed as a qualified Facility Manager, RHIC Project Manager, MCR Operations Coordinators, AGS Operators and AGS Supervisors shall be trained in this procedure.

### 4. Precautions

4.1 The specific items in AGS-OPM-ATT 10.1.b are not limits. The Facility Manager, Supervisors and MCR Operations Coordinators have the freedom to treat undefined events as emergency, unusual or off-normal occurrences.

### 5. Procedure

#### 5.1 Event or Condition Identification and BNL Notifications

5.2 Operations or Supervisory personnel shall take appropriate immediate action to stabilize and/or place the accelerator complex in a safe condition.

5.3 The staff and operators at accelerator complex shall, upon identification of an abnormal or suspected abnormal event or condition, promptly notify the following personnel of the event status. They shall also record and/or archive all pertinent information to include details concerning the discovery of the occurrence and actions taken to stabilize or place the accelerator complex to a safe condition. Actions should be taken to preserve conditions for continued investigation; however, these actions are not to interfere with establishing a safe condition.

5.4 A notification phone list is given in AGS-OPM -ATT 10.1.a, please notify:

- 5.4.1 the next higher level of supervision,
  - 5.4.2 the MCR Operations Coordinator if the AGS is operating,
  - 5.4.3 the AGS Department Chair,
  - 5.4.4 the AGS Associate Chair for Safety,
  - 5.4.5 the AGS ES&H Coordinator, and
  - 5.4.6 IF the potential occurrence takes place at the AtR Transfer Line during RHIC Commissioning, OR IF the occurrence involves the PASS during operations, THEN notify the RHIC Project Manager and RHIC Project Assistant for Safety.
- 5.5 The Facility Manager, upon notification of an abnormal event or condition, shall categorize the occurrence within two hours of event or condition identification.
- 5.6 IF the category is not clear or the occurrence exceeds the threshold of more than one criteria, THEN the occurrence shall be categorized at the higher level being considered. The occurrence category shall either be elevated, maintained, or lowered as information is made available.
- 5.7 The Facility Manager shall ensure telephone or email notification of the following personnel or their alternates. A notification call list is given in AGS OPM ATT 10.1.a:
- 5.7.1 the DOE Facility Representative,
  - 5.7.2 the BNL Deputy Director For Science And Technology,
  - 5.7.3 the BNL Deputy Director for Operations,
  - 5.7.4 the Associate Laboratory Director for High Energy and Nuclear Physics,
  - 5.7.5 the Assistant Laboratory Director for ESH and Quality,
  - 5.7.6 the Assistant Laboratory Director for Environmental Management, and
  - 5.7.7 the ESHS Division Representative at AGS.
- 5.8 IF the occurrence is NOT found reportable to DOE, THEN the AGS Facility Manager shall ensure the reason is documented.
- 5.9 IF the occurrence involves a water spill, THEN the AGS Supervisor or the MCR Operations Coordinator shall ensure that instructions in AGS-OPM-ATT 10.1.d are carried out.
- 5.10 DOE Notifications
- 5.11 IF an event is an emergency, THEN the Department Emergency Coordinator shall implement appropriate procedures in AGS OPM Chapter 3.0.
- 5.12 IF an event has been declared an emergency, THEN the Facility Manager will be responsible for the written Notification Report and for the completion of all other

occurrence reporting requirements, as described below.

5.13 Unusual Occurrences

5.14 The Facility Manager shall notify DOE when practical, but no later than 2 hours after categorization, of an Unusual Occurrence. The Facility Manager shall contact the DOE Facility Representative for AGS and the DOE Headquarters Emergency Operations Center (EOC), which will make further notifications.

5.15 The Facility Manager shall orally notify the HQ EOC who will have the telephone call recorded.

5.16 Initial notification to DOE Headquarters EOC may be made by voice or electronic transmittal. Electronic transmittal, such as a facsimile, is preferred. All notifications shall include a valid contact point including name and telephone number. Electronically transmitted reports must be confirmed by telephone to ensure receipt and document the time of official notification. Voice notifications may be recorded by the EOC and played back for further notification.

5.17 Initial notification shall include as many of the required ORPS report fields, identified with an asterisk (\*), as possible. The Facility Manager may use the local Emergency Operations Center to expedite establishing the communication link required and to record and archive conversations.

5.18 All information should be clear and succinct. Avoid jargon. Uncommon or site-specific abbreviations and acronyms should be fully described.

5.19 Off-Normal Occurrences

5.20 IF an Off-Normal Occurrence is upgraded to an Unusual Occurrence, THEN the Facility Manager shall notify the HQ EOC within 2 hours that an existing occurrence has been upgraded and provide the HQ EOC with the Occurrence Report number.

5.21 Follow-up notifications shall be made to DOE for any further degradation in the level of safety of the facility or other worsening conditions after the previous notification, including upgrading to an Emergency.

5.22 Occurrence Investigation and Analysis

5.23 The Facility Manager should consider a graded approach when determining the level of effort for the investigation into the cause of the occurrence. The graded approach is based on the severity or risk associated with the event or condition.

6. Documentation

- 6.1 The Facility Manager shall prepare the Notification Report and distribute it to the DOE Facility Representative and the Program Manager before the close of the next working day from the time of categorization, which is not to exceed 80 hours. When an unclassified Notification Report is entered onto the computerized ORPS database, the distribution requirement is automatically satisfied.
- 6.2 Any changes in categorization shall be documented in an Update Report and submitted before the close of the next working day from the time of re-categorization, which is not to exceed 80 hours. A justification for the new categorization shall be included in the report.
- 6.3 The Facility Manager shall submit and distribute an Update Report if there is any significant and new information about the occurrence, to include the status of the investigation. Recurring consequences or the identification of additional component defects, resulting from the occurrence investigation, are activities associated with the occurrence and shall be included in Update Reports.
- 6.4 The Facility Manager should consult in a timely manner with the DOE Facility Representative and the DOE Program Manager for their assessment, if any, of the occurrence. IF the ORPS database is being used, THEN the Facility Representative's and Program Manager's comments should be obtained via the database.
- 6.5 Occurrence Report Closure
- 6.6 The Final Report shall be prepared by the Facility Manager and submitted to the DOE Facility Representative when practical but within 45 calendar days after categorization of the occurrence. The Final Report shall document the following:
  - 6.6.1 the significance, nature, and extent of the event or condition;
  - 6.6.2 the cause(s) of the event or condition, including the root cause; and
  - 6.6.3 the corrective action(s) to be taken to correct the condition and prevent recurrence.
- 6.7 IF the required analysis cannot be completed within 45 calendar days after categorization, THEN an Update Report shall be submitted within the 45 days. The Update Report shall explain the delay and provide an estimated date for submittal of the Final Report.
- 6.8 IF the Final Report is not approved by either the Facility Representative or the Program Manager, THEN the revised Final Report shall be resubmitted within 21 calendar days of the disapproval.
- 6.9 IF it cannot be resubmitted within this time, THEN an Update Report shall be submitted within the 21 calendar days explaining the delay and providing an estimated date for re-

submittal of the Final Report.

- 6.10 The Facility Manager shall use the ORPS database to ensure the distribution requirement for the Final Report is automatically satisfied.
- 6.11 The Facility Manager shall keep the ORPS database current on the status of Final Report corrective actions.
- 6.12 Classified information or classified Occurrence Reports shall not be entered onto the ORPS database.
- 6.13 The Facility Manager should regularly review the ORPS data base to identify good practices and lessons learned from other facilities that can be used in their own facilities.

7. References

- 7.1 DOE O 232.1A and DOE M 232.1-1A, "Occurrence Reporting and Processing of Operations Information," 07-21-97.

8. Attachments

- 8.1 AGS-OPM-ATT 10.1.a, "Occurrence Notification Call List."
- 8.2 AGS OPM-ATT 10.1.b, "Categorization Of Reportable Occurrences."
- 8.3 AGS OPM-ATT 10.1.c, "List of Safety Significant Structures, Systems, And Components (SSC) For Accelerator Facilities."
- 8.4 AGS OPM-ATT 10.1.d, "Operator Response To Water Spills."
- 8.5 AGS-OPM-ATT 10.1.e, "Operator Response To Smoke In AGS Primary Areas."