



## 10.1 Occurrence Reporting and Processing of Significant Operations Information

### 1. Purpose

- 1.1 Line management communication/approval is the proper route for all significant incident reporting, including Occurrence Reporting (ORPS), critiques of non-reportable events, Radiological Awareness Reports, theft, significant injuries/illnesses, and disciplinary actions. Reporting paths are both up and down the management chain.
- 1.2 This procedure provides detailed information to the BNL Associate Director, Nuclear and Particle Physics (NPP) ALD, C-A management chain, including C-A MCR Operations Coordinators, and C-A Supervisors, for reporting and processing occurrences, and information dissemination at the Collider-Accelerator Department. This procedure flows down Laboratory-wide requirements in the BNL SBMS Occurrence Reporting and Processing System (ORPS) Subject Area. See <https://sbms.bnl.gov/>
- 1.3 Definitions
  - 1.3.1 C-AD [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.
  - 1.3.2 [ORPS](#) - BNL Occurrence Reporting and Processing System.

### 2. Responsibilities

- 2.1 The [Facility Manager](#), or designee, shall be available at all times to carry out the responsibilities for notification and reporting requirements.
- 2.2 For reportable occurrences, the [Facility Manager](#) must contact the Occurrence Categorizer at pager number 631-433-0443.
- 2.3 The C-A Associate Chair for ESSHQ, or designee, is the Occurrence Categorizer for all occurrences at C-A facilities. Alternately, the on-duty Occurrence Categorizer may be contacted 24-hours per day pager number 631-433-0443.
- 2.4 The [Facility Manager](#) shall document the Occurrence Reports by transmitting a Notification Report to the Occurrence Reporting and Processing System (ORPS), and shall prepare Update/Final Reports (as necessary) for transmission to ORPS by the designated manager in the BNL Directorate.

- 2.5 The Chair of the C-A Department is the C-A [Facility Manager](#). The C-A Associate Chair for ESSHQ, and the C-A ESSHQ Division Head, are the Facility Manager Designees. See [C-A OPM-ATT 10.1.a](#) for a list of phone numbers.
- 2.6 C-A MCR Operations Coordinators, C-A Managers, C-A Group Leaders and C-A 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 is given in the BNL [Occurrence Categorizer's Procedure](#).
- 2.7 The C-A Associate Chair for ESSHQ shall maintain a listing of the Safety *Significant* Structures, Systems and Components (SSC) for the accelerator complex (see [C-A OPM ATT 10.1.c](#)). There are no Safety Class SSCs at C-A facilities.
- 2.8 Operators are responsible for completing [C-A-OPM-ATT 10.1.d](#) when responding to small and significant water spills. Operators are defined for the purposes of [C-A-OPM-ATT 10.1.d](#) as C-A Water Systems, CAS, Cryogenic Systems Operators, Power Room, and MCR Operators.
- 2.8.1 A significant water spill is defined as:
- 2.8.1.1  $\geq 100$  gallons lost to the building floor or sump or sanitary sewer,
  - 2.8.1.2 a spill that causes the system pump(s) to trip off,
  - 2.8.1.3 a spill of any amount that goes directly to the ground or storm sewer, or
  - 2.8.1.4 a leak rate outside an established baseline leak rate.
- 2.8.2 A small water spill is defined as <100 gallons.
- 2.9 Operators are responsible for completing [C-A OPM ATT 10.1.e](#) when responding to smoke or fire in a primary area. Operators are defined for the purposes of C-A OPM 10.1.e as CAS, Cryogenic Systems Operators, Power Room and MCR Operators.
- 2.10 The Facility Manager shall notify the NPP ALD of all significant Reportable and significant non-reportable events, significant thefts, significant injuries/illnesses and disciplinary actions.

### 3. **Prerequisites**

- 3.1 Specifically *INCLUDED* in this procedure are occurrences within the C-A Department facilities that are considered reportable, but are the result of operations under the direct supervision of non-C-A Department personnel. Regardless of who is involved in the occurrence, C-A management shall be the authority for reporting occurrences that happen within C-A buildings and facilities defined in the [FUA Agreements](#). A list of C-A facilities is located on the [C-A Building Manager List](#).

3.2 The following C-AD personnel shall be made aware of the reporting system described by this procedure: Facility Manager, MCR Operations Coordinators, MCR Operators, Water Services Group Members, CAS Members, Cryogenic Systems Group Members, C-A Supervisors, Technical Supervisors, Group Leaders, ESH Coordinator, and Safety Inspection Committee Members.

#### **4. Precautions**

4.1 The specific items given in BNL's [Occurrence Categorizer's Procedure](#) are not limits. The C-A [Facility Manager](#) has the freedom to treat undefined events as emergency, unusual or off-normal occurrences.

#### **5. Procedure**

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

5.1.1 Operations or Supervisory personnel shall take appropriate, immediate action to stabilize and/or place the affected C-A facility in a safe condition.

5.1.2 All C-A Department staff, upon identification of an abnormal or suspected abnormal event or condition, shall ensure their next higher level of supervision is promptly notified of the event status. They shall also record and/or archive all pertinent information to include details concerning the discovery of the event and actions taken to stabilize or place the facility in a safe condition. Actions shall be taken to preserve conditions for continued investigation; however, these actions are not to interfere with establishing a safe condition.

5.1.3 A notification phone list is given in [C-A-OPM-ATT 10.1.a](#). The Supervisor cognizant of the event shall notify or attempt to notify by phone his or her:

- next higher level of supervision,
- MCR Operations Coordinator if the C-A is operating,
- C-A Department Chair (who shall report any significant information to the BNL Director, NPP ALD, and other appropriate members of the Directorate),
- C-A Associate Chair for ESSHQ,
- C-A ESSHQ Division Head,
- C-A ESH Coordinator.

- 5.2 The Facility Manager, upon notification of an abnormal event or condition, shall contact the Occurrence Categorizer to categorize the occurrence within two hours of event or condition identification.

**Note:**  
Operational Emergencies shall be categorized as soon as possible from time of discovery.

- 5.3 The Facility Manager shall ensure telephone or email notification of the following personnel or their alternates. A notification call list is given in [C-A OPM ATT 10.1.a](#):

- DOE Facility Representative,
- BNL Director,
- BNL Deputy Director for Science and Technology,
- BNL Deputy Director for Operations,
- Associate Laboratory Director for Nuclear and Particle Physics,
- RCD Facility Services Representative at C-A, and
- If the occurrence has potential impacts on the groundwater such that the [Groundwater Contingency Plan](#) is invoked, then the Head of the Environmental Services & Waste Management Division is to be notified.

- 5.3.1 IF the event is NOT found reportable to DOE, THEN the C-A [Facility Manager](#) shall ensure the reason is documented.

5.3.1.1 The C-A Facility Manager shall relay the information to the C-A Associate Chair for ESSHQ, or if unavailable, to the on-duty Occurrence Categorizer in order to meet documentation requirements.

**Note:**

If not ORPS reportable, the event information should be transmitted to the BNL Occurrence Categorizer for entry into the ORPS Categorizers Event/Issue Categorization Form with explanation as to why the event is

5.3.1.2 The C-A Facility Manager shall make a determination if the event shall be critiqued. If available, a volunteer from the workforce shall participate in the critique. (See [C-A-OPM-9.4.5, "C-A Accident/Incident Investigation"](#).)

5.3.2 If the occurrence involves a water spill, THEN the C-A Water Systems Group Leader, or the MCR Operations Coordinator, shall ensure that instructions in [C-A-OPM-ATT 10.1.d](#) are carried out.

5.4 DOE Notifications

5.4.1 If the event or condition is categorized as an Operational Emergency , then the BNL emergency response staff will make all necessary notifications (within 15 minutes of event discovery). The BNL Fire/Rescue Group writes the initial ORPS Report for all Operational Emergencies.

5.4.2 For all Reportable Occurrences (Significant Category 1, R, 2, 3 and 4), the Event & Issues Categorizer will notify DOE via the Event/Issue Categorization Form.

5.4.3 The Facility Manager shall follow the notification requirements in the [SBMS ORPS Subject Area, Section 3.0, Occurrence Notifications](#).

5.4.3.1 All transmitted information shall be clear and succinct. Avoid jargon. Uncommon or site-specific abbreviations and acronyms shall be fully described.

5.5 Occurrence Investigation, Reporting, Follow-up and Closeout

5.5.1 The Facility Manager ensures that the appropriate analyses are completed and that ORPS reports are submitted to DOE (via the ORPS online system).

5.5.2 The Facility Manager shall follow the requirements in the [SBMS ORPS Subject Area, Section 4.0 Occurrence Investigation and Reporting](#). If available, a volunteer from the workforce shall participate in the investigation.

5.5.3 The Facility Manager shall follow the requirements in [ORPS SBMS Subject Area, Section 5.0, Report Follow-up and Action Closeout.](#)

5.5.4 The Facility Manager ensures that the designated manager in the BNL Directorate approves and transmits all appropriate ORPS Update and Final Reports.

## **6. Documentation**

6.1 The Facility Manager shall comply with the documentation requirements in the [SBMS Occurrence Reporting and Processing \(ORPS\) Subject Area.](#)

## **7. References**

7.1 BNL's [SBMS Occurrence Reporting and Processing \(ORPS\) Subject Area.](#)

7.2 BNL's [Occurrence Categorizer's Procedure.](#)

7.3 DOE Manual 231.1-1A, Environment, Safety and Health Reporting Manual, September 9, 2004.

## **8. Attachments**

8.1 [C-A-OPM-ATT 10.1.a, "Occurrence Notification Call List."](#)

8.2 [C-A OPM-ATT 10.1.c, "List of Safety Significant Structures, Systems, and Components \(SSC\) for Accelerator Facilities."](#)

8.3 [C-A OPM-ATT 10.1.d, "Operator Response to Water Spills."](#)

8.4 [C-A-OPM-ATT 10.1.e, "Operator Response to Smoke in C-A Primary Areas."](#)