

Office of Secure Transportation

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Document(s):
 DOE O151.1C, "Comprehensive Emergency Management System";
 DOE O 225.1A, "Accident Investigations";
 DOE O 231.1A, "Environment, Safety, and Health Reporting";
 DOE M 232.1-2, "Occurrence Reporting and Processing of Operations Information";
 DOE G 231.1-1, "Occurrence Reporting and Performance Analysis Guide";
 DOE G 231.1-2, "Occurrence Reporting Causal Analysis Guide";
 OST Policy 1.04, "Critique Process";
 OST Policy 1.05, "Hazard Concern Reporting";
 OST Policy 1.19, "Independent Investigation Process";
 DOE O 231.1A, "Environment, Safety, and Health Reporting";
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Document History

Rev.	Date	Description of Change <i>(Include name of individual making the revision)</i>

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I. Purpose

Define the details for the implementation of the Occurrence Reporting Processing System (ORPS)¹. This procedure focuses on OST roles and responsibilities for implementing ORPS requirements and is intended to be used in conjunction with applicable DOE Directives (Orders, Manuals, and Guides).

II. Scope

This procedure applies to all OST federal employees regardless of work assignment or location. If an event involving an OST federal employee should occur at another DOE or NNSA facility or site, the event may be subject to that site's reporting processes/procedures.

This procedure may also apply to OST contractor personnel working at OST managed facilities or at offsite venues at the direction of OST. The Safety Duty Officer will determine this procedure's applicability to the particular situation. The Safety Duty Officer will be responsible for coordinating and interfacing with affected organizations (contractor and federal).

III. Responsibility

The responsibilities outlined below are consistent with DOE M 231.1-2 requirements. The assignment of these responsibilities has been tailored to better align with OST organizational capability and resources.

OST Assistant Deputy Administrator (ADA):

- (1) Assigns staff and other resources necessary to implement ORPS
- (2) Approves reports associated with Type B, Operational Emergency (OE) and Category 1 events
- (3) Interfaces with NNSA Headquarters personnel on Type A and B events
- (4) Initiates and directs assignments for Type B Accident Investigations

OST ORPS Program Administrator (OPA) [Chief, Environment, Safety and Health Branch (ESHB)]:

- (1) Assigned by the ADA to administer ORPS within OST
- (2) Coordinates and supports the implementation of ORPS within OST

OST Managers and Senior Staff:

- (1) As assigned by the ADA, lead and/or participate in Type B Investigations
- (2) Approves reports associated with Category 2 events
- (3) Assigns staff and other resources necessary to complete corrective action plans
- (4) Tasks Division Directors with training and implementation responsibilities

¹ DOE Manual 231.1-2, 8-19-03, "Occurrence Reporting and Processing of Operations Information"

Safety Duty Officer (SDO):

- (1) The SDO is assigned by the OPA and is a rotating position filled by a member of the Safety, Security and Emergency Management Division (SSEMD).
- (2) The ESHB staff eligible for SDO are the Federal employees stationed in Albuquerque Headquarters that are in the Human Reliability Program (HRP).

OST Division Directors:

- (1) Designate staff members to perform ORPS functions
- (2) Provide a prioritized list of duty officer² names and contact numbers to the Transportation Emergency Control Center (TECC)
- (3) Participate in Type B Accident Investigations and Critiques
- (4) Review Category 2 reports
- (5) Approve Category 3 reports

Program Office for Independent Oversight (POIO):

- (1) Performs investigations for Category R, and 2 events
- (2) Assesses corrective action progress on Category 1 and 2 events
- (3) Conducts and documents quarterly Performance Analysis³ in accordance with DOE G 231.1-1.

OST Facility Manager (OFM):

The responsible OFM is determined by the event location or activity being performed at the time of the event. OFMs are designated by Command Directors to fulfill responsibilities as Facility Manager within ORPS.

These individuals are responsible for:

- (1) Monitoring day-to-day performance of facilities/activities under their guidance
- (2) Writing Category 4 reports
- (3) Providing written input to Category 2 and 3 Occurrence Reports
- (4) Performing root cause analyses
- (5) Developing and implementing corrective action plans

On-Site Official in Charge (OIC):

The OIC is generally defined as the individual at the event scene with senior supervisory or management responsibility. In instances where the event occurs and there is no supervisor/manager at the scene - it is essential that individuals present take these actions. The responsibilities listed below form the minimum training requirements for all OST personnel⁴.

These individuals are responsible for:

- (1) Taking immediate action to prevent/mitigate additional injury/damage

² Duty Officers must be available 24 hours/day, 7 days/week.

³ DOE Manual 231.1-2, Page 19, Section 5.8, "...managers at DOE owned and operated sites must perform ongoing, but as a minimum quarterly, analyses of events during a 12-month period to look for trends".

⁴ For purposes of this procedure, OST personnel includes federal employees and contractor employees working at OST managed facilities or performing work at offsite venues at OST direction. It does not include contractor employees performing OST work at contractor managed fixed sites/facilities.

- (2) Initial notification to the Emergency Control Center (ECC) or Transportation Emergency Control Center (TECC)
- (3) Preserving the event scene
- (4) Initial information gathering

Emergency Response Duty Officer (ERDO): The ERDO is assigned by the Chief, Emergency Management Branch.

TECC and Exercise Control Center (ECC)

TECC and ECC staff members are the initial communication link between the OICs, OFMs, SDO, and ERDO. The ECC is included in this category because it is the immediate communication link for offsite training venues and is required to perform similar functions in this capacity. Those responsibilities specific to the TECC are indicated with an “*”.

- (1) Provides a Headquarters Operations Center (HQ OC) with a prioritized list of ERDO and their contact numbers*
- (2) Collects immediate information and begins documenting initial timeline
- (3) Documents initial timeline on notification from the OFM or OIC
- (4) Initiates emergency response actions as directed by the OFM or OIC
- (5) Notifies the ERDO and SDO*
- (6) Performs category-specific notifications as directed by the SDO*

OST Facility Representatives (OFR):

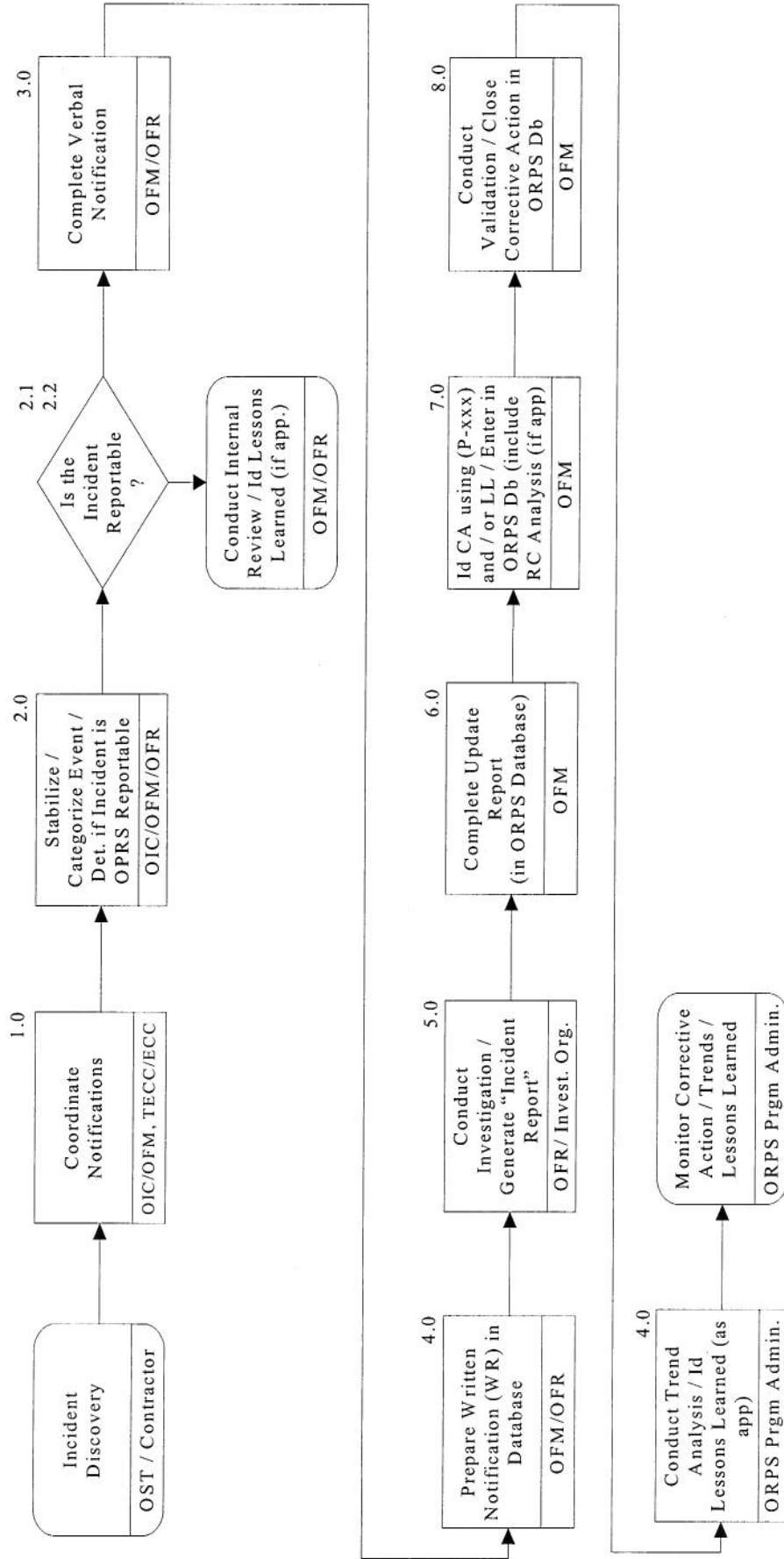
The Safety, Security and Emergency Management Division (SSEMD) Federal Command Safety Professional staff are the designated OST Facility Representatives:

- (1) Assigning initial event categorization
- (2) Coordinate and ensure classification review from a derivative classifier
- (3) Writing occurrence reports
- (4) Investigating Category 2, 3, and Hazard Concern events
- (5) As directed, participate in Type A and B Accident Investigations
- (6) As directed, participate in Category 1, R, 4 and Near Miss events
- (7) Review of root cause analyses and corrective action plans
- (8) Maintenance of this procedure
- (9) Developing and providing training on this procedure
- (10) Review of OST performance during self-assessments
- (11) Approve / validate ORPS reports
- (12) Provide lessons learned from the ORPS system to the OFMs
- (13) Attend OST ORPS training
- (14) Provide training to Command staff, as necessary

IV. Definitions

None

V. Process



1.0 Coordinate Notifications

The OIC or the OFM will immediately, upon discovery that an incident has occurred, make the necessary notifications to the TECC or the ECC, as appropriate. The OIC/OFM will document actions taken.

The TECC and/or ECC will inform the ERDO and the SDO of the incident as soon as possible. The TECC and EOC will also coordinate emergency services as needed and make other notifications as directed by the SDO/ERDO.

2.0 Stabilize/Categorize Event/Determine if Incident is ORPS Reportable

The OIC/OFM will preserve the accident scene taking care not to compromise or interfere with actions taken to stabilize the situation. The Safety Duty Officer (SDO) will evaluate actions taken to stabilize the event and will advise the OIC/OFM on additional actions as needed.

The SDO or OFM will categorize the event in accordance with DOE M 231.1-2, Section 6.0, "Reporting Criteria."

2.1 If the incident is reportable, the OFM will proceed to step 4.0.

2.2 If the incident is not reportable, the OFM/ OFR will conduct an internal review and identify lessons learned, if applicable.

3.0 Complete Verbal Notification

Once the incident is determined to be reportable, the SDO/OFM/OFR will verbally notify DOE HQ OC about the incident based on specified timeframes and category.

4.0 Prepare Written Notification in Database

The OFM/OFR will, based on specified timeframes for entering ORPS into the electronic database, enter the ORPS reports into the electronic database including the levels of approvals required.

5.0 Conduct Investigation/Generate Incident Report

The OFM/OFR will write the notification Occurrence Report in accordance with DOE M 231.1-2. The OFR will begin an investigation or notify the appropriate organization to begin an investigation.

The Investigating Organization will conduct the investigation based on the Category of the Occurrence and a graded approach provided in the ORPS Work Instruction. The investigating organization will provide a report update to the OFR.

6.0 Complete Update Report in ORPS Database

The OFM/OFR will write an update report or final report and enter it into the ORPS database within specified timeframes.

7.0 Identify Corrective Action or Lessons Learned/Enter in ORPS Database (include Root Cause Analysis if applicable)

The OFM/OFR will determine if a CAP or Root Cause Analysis is required and will inform the responsible OST organization. Upon completion of the CAP and/or root cause analysis, the responsible organization will submit the documentation to the OFM/OFR who will enter the Root Cause Analysis codes into the ORPS database as specified in DOE G 232.1-2, "Occurrence Reporting Causal Analysis Guide."

The Organization assigned responsibility for the corrective actions will complete the actions and provide written notification of completion to the Investigating Organization. If the CAP responsible organization is unable to complete an action within the identified timeframe, an updated report and new completion date estimation is provided to the Investigating Organization. In addition, any changes to corrective actions will be documented by the responsible organization and submitted to the OFR.

Note: Root cause analyses and corrective action plans will have the same approvals as the initial investigation report.

8.0 Conduct Validation/Close Corrective Action in ORPS Database

The Investigating Organization will validate the completion of corrective actions and provide written feedback to the OFM/OFR that includes a description of the actions taken to validate the corrective action as complete.

The OFM/OFR will close the corrective action in the ORPS Database.

The OPA will notify OST ADA of late or missing submittals and will perform an annual self-assessment of OST compliance.

9.0 Conduct Trend Analysis/Identify Lessons Learned

The POIO will determine the effectiveness of ORPS implementation.

The OPA will identify lessons learned, disseminate Safety Alerts, and will coordinate pertinent information with the OST Safety Committee.

The OPA will monitor corrective actions/trends and lessons learned on a regular basis and communicate information as necessary.