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Environmental Programs Directorate

Standard Operating Procedure

ADEP REPORTING REQUIREMENTS FOR ABNORMAL EVENTS

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1.0 PURPOSE AND SCOPE

This standard operating procedure (SOP) states the responsibilities and describes the process for reporting abnormal events for the Los Alamos National Laboratory (LANL) Associate Directorate for Environmental Programs (ADEP). This procedure applies to work conducted by ADEP personnel and all work under the purview of ADEP. The purpose of this procedure is to

- (1) inform ADEP personnel, deployed personnel and management of the immediate reporting chain for abnormal events within ADEP
- (2) identify expectations from ADEP management of abnormal events that require reporting up this chain, and
- (3) provide a reference listing of institutional reporting requirements likely to be encountered by ADEP

2.0 BACKGROUND AND PRECAUTIONS

In the event of an abnormal event, the first priority of all personnel is to ensure the safety of our workers, the public and the environment. Notifications to management should be made as soon as they can be made SAFELY and after immediate actions (i.e., calling 911 in the event of a serious injury) have been completed.

ADEP personnel deployed to organizations outside of ADEP must follow this reporting procedure as well as reporting procedures required by the organization to which they are deployed.

3.0 EQUIPMENT AND TOOLS

None.

4.0 STEP-BY-STEP PROCESS DESCRIPTION

Note: The process flow diagram is provided as Attachment 1, and a listing of the Key Contact Information is provided on the ADEP web page located at this link: <http://int.lanl.gov/orgs/wes/docs/internal/abnormal-event-contacts.pdf>.

4.1 Notification Requirement within ADEP Management Chain

All	1. When any incident occurs, notify the Person in charge (PIC) or First level manager (FLM) as soon as possible after immediate safety or security concerns have been addressed (e.g., 911 called in event of serious injury, notifications to Emergency Operations Center at 667-6211).
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NOTE: A 911 call from a cell phone operates differently than a 911 call made from a land line. Be prepared to reach another location (e.g., Santa Fe) and to provide the detailed information about the location of the incident.

Subcontractor (if applicable)	2. Notify the appropriate Subcontract Technical Representative (STR) if incident involves subcontractors or their activities.
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PIC/FLM	3. Notify the appropriate LANS Responsible Line Manager (RLM), and verify the situation is safe.
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Note: The RLM is the manager responsible for the work being performed to whom the FLM/PIC reports.

RLM or designee

4. Notify the FOD or designee. The FOD will notify PADOPS as required by PADOPS:06-001, Event/Incident Notification and will initiate an Occurrence Report if necessary.

NOTE: ADEP Operations Personnel may complete PADOPS reporting if requested by the respective FOD.

5. If the event is security related, notify the ADEP Deployed Security Representative at 665-3430 (pager: 664-5846)

6. If the event is safety, quality or environment related, notify the ADEP ESH&Q manager at 606-2394 (pager: 949-2122)

7. If the incident involves an environmental release or other assistance is required, notify Emergency Operations at 667-6211.

8. If the event has or is likely to generate media or stakeholder interest, notify Communications and Government Affairs (CGA) at 665-5001.

9. Notify appropriate Division Level manager.

Note: In the case of an injury to deployed personnel, this will include notification of the affected Program Director (PD) and the deployed person's Division Leader (DL).

PD/DL or designee

10. Use Attachment 2 to determine whether immediate, verbal notification (e.g., 30 minutes) to ADEP is required or whether written notification only is required.

11. Notify ADEP management.

Note: If Attachment 2 indicates immediate notification is required, contact the ADEP Administrative staff at 606-2337. The Administrative staff will ensure that both deputies and the AD are notified.

Note: If Attachment 2 indicates that written notification only is necessary, submit email with copy to the AD and to both deputies.

12. After consulting with ADEP, make any notifications to the New Mexico Environment Department (NMED), the Department of Energy (DOE), or Los Alamos County, etc., that are deemed necessary.

Note: Coordinate all NMED notifications through Strategic and Regulatory Planning Office.

Note: If the event is likely to generate media or stakeholder interest, notify Communications and Government Affairs (CGA) at 665-5001.

Note: If ADEP is not available, additional notifications to NMED or DOE should be made.

ADEP or designee

13. Notify the Principal Associate Director (PAD), as necessary (see Attachment 2). For ADEP, this is the Deputy director.

4.2 Follow on Reporting and Investigation

- FLM/RLM 1. After immediate notifications have been made as described in Section 4.1, initiate follow on reporting and investigation as appropriate.

Attachment 3 provides a listing of selected institutional requirements.

4.3 Records Management

- All 1. Maintains and submits records and/or documents generated to the Records Processing Facility according to EP-DIR-SOP-4004, Records Transmittal and Retrieval Process.

5.0 ACRONYMS

DL = Division Leader

PD = Program Director

PIC = Person in Charge

RLM = Responsible Line Manager

FLM = First Level Manager

FOD = Facility Operations Director

6.0 PROCESS FLOW CHART

Refer to Attachment 1.

7.0 ATTACHMENTS

Attachment 1 Process Flow for ADEP Reporting

Attachment 2 ADEP Project Reporting Guidelines

Attachment 3 Summary of Institutional Reporting Requirements

8.0 REVISION HISTORY

Revision No. <i>[Enter current revision number, beginning with Rev.0]</i>	Effective Date <i>[DCC inserts effective date for revision]</i>	Description of Changes <i>[List specific changes made since the previous revision]</i>	Type of Change <i>[Technical (T) or Editorial (E)]</i>
0	1/16/09	New Procedure	All

[Using a CRYPTOCard, click here to record "self-study" training to this procedure.](#)

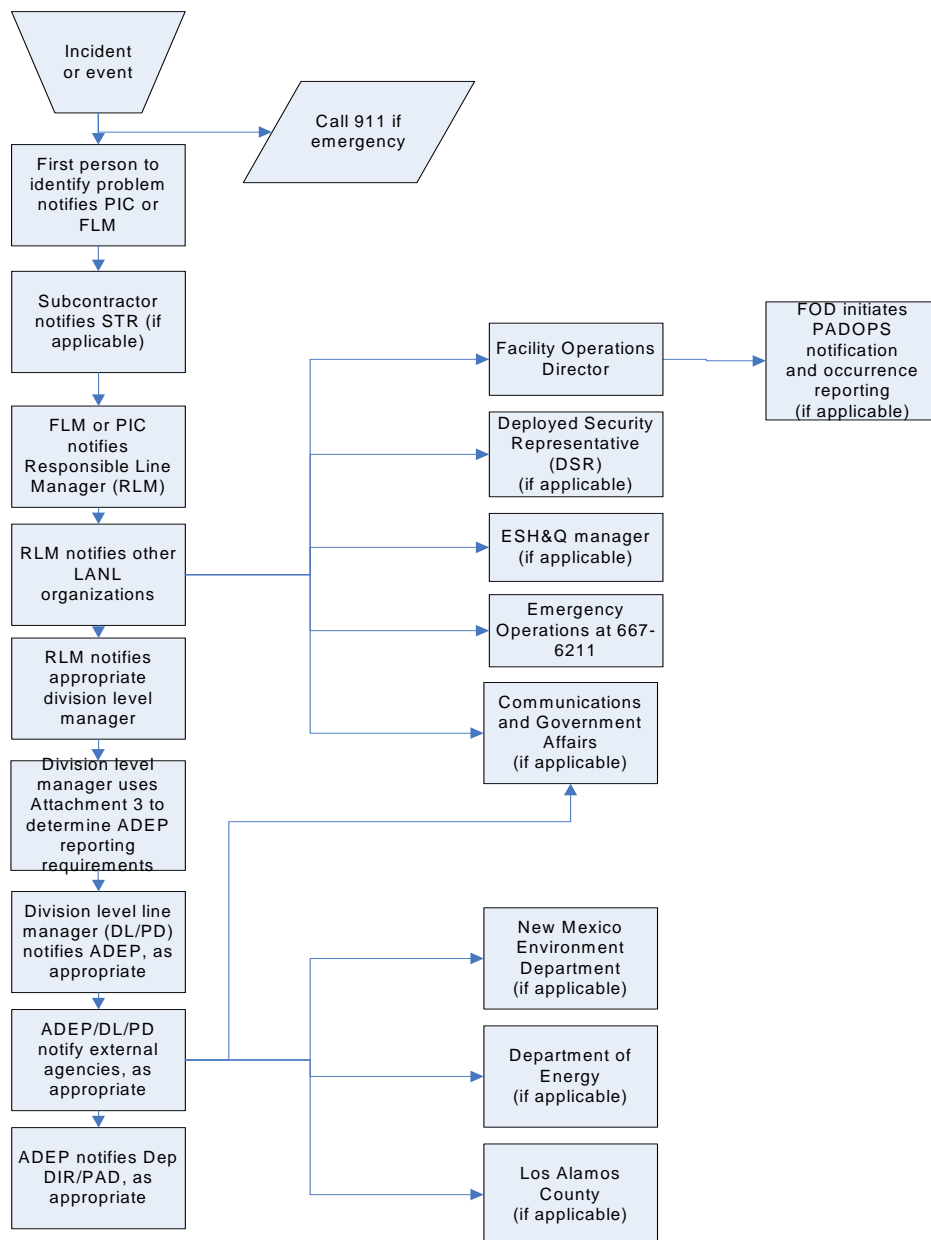
If you do not possess a CRYPTOCard or encounter problems, contact the EP training specialist.

ATTACHMENT 1

SOP-5228-1

PROCESS FLOW CHART FOR ADEP REPORTING

Records Use only



ATTACHMENT 2

SOP-5228-2

ADEP PROJECT REPORTING GUIDELINES

Records Use only



The following Events, conditions or concerns require reporting as outlined in this procedure. Information to be provided during notifications should include, as available:

- Description of event, condition or concern
- Apparent cause of the incident
- Current status or condition of equipment, facility or personnel
- Actions taken
- Mitigation and compensatory measures taken
- Current condition of the individual if an injury with transport to a hospital has occurred
- Time of occurrence and specific location

For events in Table 1, the information provided should be followed with written communication as soon as practical after verbal reporting and after the incident is under control.

Table 1. Types* of events requiring immediate, verbal notification to ADEP and DIR (e.g., 30 minutes)	
Criteria	Any injury that requires or is likely to require more than first aid.
	Any on the job vehicle accident
	Any equipment accident
	Any near miss incident. A "near miss" is something that happens or is discovered that potentially could have resulted in an adverse effect to personnel safety and health, nuclear safety basis, facility status, the environment, radiation protection..."
	Any security incident that involves potential loss of control or compromise of classified or nuclear material
	Any significant release (above legal limits) to the environment
	Any transportation incident / accident
	Any radiological skin/internal contamination of workers, general employees or the public
	Any leak of fluids from pipes during excavation work in a radiological work area or non-radiological work area where the exact nature of the fluids is not determined ahead of time.
	A violation of lockout / tagout controls where there are no credible barriers left between the worker and the energy source, regardless whether or not there was an injury
	Any highly visible situation that is ongoing
	Any fires on-site or those off-site that have the potential to affect ADEP operations
	Pause or stop work involving safety, industrial hygiene, or radiological issues. This does not apply to routine pauses that are immediately resolved.
	Any situation you have a bad feeling about or that you believe warrants attention or notification to ADEP management – may not require notification to DIR.

ATTACHMENT 2

SOP-5228-2

ADEP PROJECT REPORTING GUIDELINES (CONT)

Records Use only



For events in Table 2, only written notification (e.g., email) is required by the end of the day.

Table 2. Types* of events requiring written notification to ADEP (e.g., by end of day)	
Criteria	On the job injuries that require or are likely to require only first aid.
	Damage to any government equipment or property
	Minor security incidents (e.g., introduction of cell phone into secure area) where no loss or compromise of information or material.
	Any discovery of a pipe, telephone line or similar obstruction that was not identified on GPR, drawings, sketches, etc., during excavating/trenching
	Any leak of fluids from a glove bag
	Any incident involving a non-radworker trained employee entering a work area requiring radworker training
	Any incident involving a non-HAZWOPER trained employee entering unescorted or working in a work area requiring HAZWOPER training.
	Employees working in areas requiring specific levels of training where their training qualifications have expired and they continue to work beyond the expiration date.

*These are only examples and are not meant to be an inclusive list. ADEP personnel should use these examples as guidance in determining whether reporting is required. If there is any doubt, personnel should err on the side of over-reporting.

Note: Work outside of ADEP facilities and space may require additional notifications to other FODs based on different reporting criteria.

ATTACHMENT 3

SOP-5228-3

SUMMARY OF INSTITUTIONAL REPORTING REQUIREMENTS

Records Use only



Document No.	Title	Applicability	Purpose
ISD 322-3	Manual for Communicating, Investigating, and Reporting Abnormal Events	Abnormal events Investigations	This manual defines the process for effectively communicating abnormal event information up the line management chain, to promote timely communication of such information, and to coordinate communications regarding abnormal events to people and organizations outside of LANL. This manual also assists managers to properly categorize abnormal events, conduct investigations with the appropriate level of rigor, and prepare reports and documentation with the appropriate level of formality and detail.
P 214	Information Security Incident Management	Information security	This document guides workers in identifying and reporting information security incident.
P 102-2	Communicating, Investigating, and Reporting Occupational Illnesses and Injuries	Injuries Illnesses	This document describes the process for communicating, investigation and reporting of occupational injuries and illnesses.
P 330-6	Nonconformance Reporting	Nonconformances	This document establishes a process for documenting, reporting, evaluating, and dispositioning identified nonconformances and defining associated responsibilities for nonconformance resolution.
ISD 330-9	Suspect/Counterfeit Items	Suspect/counterfeit items	This ISD establishes LANL's site-wide S/CI requirements for implementation in accordance with DOE O 414.1 (current contractual version), <i>Quality Assurance</i> , and defines the processes used for documenting, reporting, evaluating, and dispositioning S/CI, along with the associated responsibilities.
OST 402-130-01.5	Laboratory Occurrence Reporting Requirements/Guidance	Occurrence reporting	The requirements and guidance in this program are provided primarily for use by line and facility management in categorizing reportable occurrences
ISD 201-1	General Security	General security	This document contains the requirements for identifying and reporting known and potential incidents of security concern to S Division, LASO, and DOE. Such incidents include but are not limited to classified matter, computer systems, nuclear materials, secure communications, personnel security, and physical security occurring on Los Alamos National Laboratory property or Laboratory-leased property, or involving Laboratory workers performing their duties.
P 101-7	Vehicle and Pedestrian Safety Program	Vehicle accident	Section 4.6 provides reporting and notification requirements for all accidents.
P 101-8	Explosives Safety Program Standard	Incidents involving explosives operations	The Department of Energy (DOE) <i>Explosives Safety Manual</i> (DOE Manual 440.1-1, most current revision) is the controlling document for all explosives operations at Los Alamos National Laboratory (LANL). This ISD provides Laboratory specific standards for implementing the requirements and work controls necessary to ensure the safety of explosives operations. The requirements in this document apply to LANL operations involving explosives on Laboratory property, the Nevada Test Site, and off-site locations where LANL has primary safety responsibility and provides the work authorization.