

Incident Investigation: DOE ORPS Reportable Investigation Procedure

Department: Risk Management and Response

Program: Incident Investigation

Owner: Program Manager

Authority: ES&H Manual, Chapter 28, Incident Investigation¹

Strict investigation requirements and procedures apply to incidents that are determined to be recordable into the Department of Energy (DOE) Occurrence Reporting Processing System (ORPS).

An ORPS incident is classified by the facility manager (FM), facility manager designee (FMD) and/or the ORPS program manager. The classification is based on guidelines provided by the DOE and the Occupational Safety and Health Administration (OSHA).

An ORPS reportable occurrence generally has these characteristics:

- Seriously affects the health and safety of SLAC personnel or the public
- Seriously impacts the intended work schedule of DOE facilities
- Has a noticeably adverse effect on the environment
- Is considered a *reportable occurrence*

Procedure

Step	Person	Action
1.	Reporting party	Calls emergency responders at 911 (if necessary) and SLAC Site Security at ext. 5555 (650-926-5555 from a cell phone)
2.	SLAC Site Security	Contacts the ORPS FMD and ORPS program manager
3.	ORPS FM or FMD and ORPS program manager	Determine if the incident is DOE or ORPS reportable according to the ORPS: <i>Workbook for Occurrence Reporting</i> ²
4.	ORPS FM or FMD	Notifies, as appropriate to the circumstances <ul style="list-style-type: none">▪ DOE Stanford Site Office (SSO)▪ ES&H division director▪ SLAC legal counsel▪ Incident investigation program manager (IIPM)
5.	ORPS FM or FMD and IIPM	Prepare a preliminary notification report (PNR) ³ with the assistance, as needed, from the supervisor responsible for the involved party or area. Contact the ORPS program administrator for a PNR number. For details, see the <i>Workbook for Occurrence Reporting</i> or contact the ORPS program manager.

1 *SLAC Environment, Safety, and Health Manual* (SLAC-I-720-0A29Z-001), Chapter 28, "Incident Investigation", <http://www-group.slac.stanford.edu/esh/general/incident/policies.htm>

2 *Workbook for Occurrence Reporting*, <https://www-internal.slac.stanford.edu/esh/safetydata/orps/ORPSWorkbook.pdf>

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Step	Person	Action
6.	ORPS program administrator	Assigns a PNR number
7.	Reporting party	Provides information for the PNR
8.	ORPS program manager	Assigns and/or coordinates the appropriate investigation team and facilitates the investigation according to requirements listed Table 1 below.
9.	Investigator(s)	ORPS incident investigator: <ul style="list-style-type: none">Investigates incidents of type OE, 1, and R and completes the report within 30 days of the event.Provides copy to the ORPS program administrator, IIPM, and ORPS program manager Incident investigator <ul style="list-style-type: none">Investigates incidents of type 2, 3, and 4 within 30 days and submits report to the ORPS program administrator and IIPM
10.	ORPS program manager	Enters corrective actions into the Corrective Action Tracking System (CATS) ⁴
11.	ESH director	Reviews for approval all ORPS investigations and any investigation of an incident with significant consequence(s)
12.	Associate lab director	Reviews for approval all investigation reports within the directorate and communicates investigation results and reviews corrective actions with lab director
13.	IIPM	Ensures ORPS report is added to the Basic Incident Information (BII) database ⁵
14.	ORPS program administrator	Enters report into the ORPS database

3 Preliminary Notification Report Template, <https://www-internal.slac.stanford.edu/esh/safetydata/orps/PNR.doc>

4 “CATS - Main”, <https://www-internal.slac.stanford.edu/esh-db/CATS/CATS-Main.aspx>

5 [restricted access]

Investigation Requirements

The composition of the investigating team and the final investigation results depend on the classification of the event, as follows.

Table 1 ORPS Investigation Requirements

Event / Condition Classification	Event / Condition Investigation	Event / Condition Causal Analysis
Significance category operational emergency (OE)	Team with trained investigator	Root cause determined
Significance category 1	Team with trained investigator	Root cause determined
Significance category R	Trained investigator	Root cause determined
Significance category 2	Trained investigator	Apparent cause determined
Significance category 3	Critique/ fact finding	Apparent cause determined
Significance category 4	No reporting of causal analysis in ORPS. Managed per contractor-specific corrective action programs	