



Appendix B - Supervisory Response to Abnormal Events and Conditions

1.1 Purpose

This guideline provides a systematic approach for supervisors and managers to assess their preparedness for and response to abnormal events and conditions. It is intended to be a useful tool that can be used by the supervisor in the Field before and after an abnormal event. This guideline does not restrict the options available to the individuals involved, but can guide them in determining their readiness to respond to an event (e.g., Checklist A) and judging the effectiveness of their response after an event has been stabilized (e.g., Checklist B). Checklist C is an example of a checklist that could be used during an immediate response to an abnormal event or condition.

1.2 Scope

This guideline can be used by any supervisor in any facility that has the potential for an abnormal event or condition, and will be helpful to individuals at facilities reporting under the requirements of DOE Order 232.1. It is intended to provide guidance to supervisors who will respond to and stabilize a wide range of abnormal events. The term "supervisor" is being used in a broad sense for the purpose of this document. For most facilities and/or sites, these functions could be handled by more than one individual, depending on the activity. However, the checklists are appropriate for those people involved with the initial categorization and investigation processes.

1.3 Responsibilities

1.3.1 First-Line Supervisors and Managers

First-line supervisors and managers are the initial points of contact for employees reporting abnormal events or conditions. They initiate immediate response actions and direct efforts to stabilize the affected areas or operations. They complete or direct the completion of occurrence notifications to others and conduct initial fact-finding. They also complete preliminary reports regarding the event or condition. Consequently, the first-line supervisor must be readily available to employees at all times.

First-line supervisors and managers must ensure that their personnel maintain a high state of awareness for abnormal events and conditions as well as understand what to do and whom to contact if they observe or detect such circumstances.

First-line supervisors and managers initiate data collection immediately on discovery of an abnormal event or condition to assist in classifying the event and ensure that critical data is not lost.



In addition to logging abnormal events or conditions, first-line supervisors and managers are responsible for appropriately documenting the results of initial fact finding for use in occurrence reporting and to provide a basis for follow-up investigation, analysis, and corrective action planning.

1.3.2 Support Organizations

Personnel from support organizations need to understand the importance of notifying the line manager responsible for the facility and/or operation whenever they detect an abnormal event or condition in that facility and/or operation.

1.3.3 Employees

Employees need to understand when they are expected to respond first and then notify others versus when they are to notify others before taking any action. They need to understand whom they are expected to contact first. Employees also need to understand who will fulfill the supervisor's responsibilities if the supervisor cannot be contacted.

1.4 General

Specific procedures to guide the supervisor in responding to and stabilizing abnormal events and conditions should be available in the plant's or organization's operating procedures or building emergency plan.

Supervisors and managers are expected to clearly understand their notification responsibilities and fulfill these responsibilities as defined in plant- or organization-specific procedures.

1.5 Employee's Initial Point of Contact

With the exception of emergency conditions where people or property are immediately in danger, the employee's first action will be to report the condition or event to the first-line supervisor. If the supervisor's job responsibilities are such that they cannot always be immediately available to all personnel in person, supervisors should ensure that adequate provisions are in place for employees to reach them at any time (e.g., telephones, radios, pagers).

1.6 Response and Stabilization

First-line supervisors and managers initiate and direct the immediate response actions needed to protect personnel, property, and the environment and to stabilize the situation in a safe, secure condition. Under emergency conditions, this role may be assumed by others (e.g., the Building Emergency Director, fire department) in accordance with an approved building emergency plan. Supervisors are expected to act as the person in charge of stabilization until this role is formally and clearly assumed by another manager, in accordance with approved procedures. While the immediate actions to stabilize an event may require actions without using a procedure, supervisors



should refer to and use any specific procedures for responding to and stabilizing abnormal events and conditions after the event has stabilized.

1.7 Occurrence Notifications

First-line supervisors and managers are responsible for completing or directing the completion of notifications for abnormal events or conditions. The notification responsibilities of first-line supervisors and managers differ from organization to organization and situation to situation. Supervisors and managers are expected to clearly understand and fulfill these responsibilities, as defined in plant- or organization-specific procedures. In addition, these procedures should provide guidance on the criteria for notifying any or all of the following (these will be site-specific):

- Other affected or potentially affected onsite facilities and/or organizations
- Higher levels of management
- Occurrence Notification Center
- Safeguards and Security organization(s)
- Safety organization(s)
- Environmental Protection organization(s)
- Legal Counsel
- Communications organization(s)
- Human Resources
- U.S. Department of Energy (DOE), Operations Office
- U.S. Department of Energy, Emergency Operations Center (EOC)

Many of the organizations listed above maintain a 24-hour, on-call duty officer; others could have a rotational on-call duty list. The structure of these organizations will be site-specific. Supervisors should know where to locate the on-call phone lists.

First-line supervisors and managers are expected to use good judgment in deciding whether to complete the required notifications themselves or delegate some or all of this responsibility. Considerations should include the severity of the event or condition, the priority of notifications versus other supervisory responsibilities, the time limitation for notifying DOE of emergency conditions, the number of notifications required, the knowledge base of other personnel, the complexity of the event or condition, and the location and availability of communication systems to perform the notifications.

1.8 Fact Finding and Initial Assessment

First-line supervisors and managers should initiate data collection immediately on discovery of an abnormal event or condition, assist in categorizing the event, and ensure that critical data is not lost. This includes preserving the records of all data that might be pertinent to the event or condition. This collection and preservation of data is essential for the evaluation of an event.



The objective of this activity must be fact-finding, not fault-finding. Information, observations, and evidence that might be critical to a subsequent understanding of the event, its root causes, and the actions needed to prevent recurrence may be lost if personnel perceive the supervisor or manager as having more interest in placing blame than preventing recurrence.

1.8.1 Involvement by Support Organizations

Certain types of events may require that management seek immediate involvement by other organizations (e.g., Safeguards and Security, Safety, Environmental, Legal Counsel, Human Resources, Fire Department). Depending on the specific circumstances and nature of the event, these organizations may assume direct responsibility for fact-finding, participate in this process, or simply provide specific guidelines for the conduct of the process. In any event, it is imperative that they be consulted as soon as it is apparent that one or more of the following circumstances exist:

- Criminal conduct (e.g., theft, destruction of property, assault, bomb threats)
- Unauthorized possession of prohibited articles (e.g., drugs, alcohol, firearms, explosives, recording devices)
- Loss of control of Special Nuclear Material (SNM)
- Unauthorized release of classified information
- Waste, fraud, or abuse of government assets
- Falsification of records
- Refusal to cooperate in fact-finding
- Concealment of information or evidence
- Violations of safety limits, Operating Safety Requirements (OSR), or technical specifications
- Fatality or serious injuries
- Violation of environmental laws and/or regulations
- Spills of hazardous material and/or waste
- Discrimination or sexual harassment
- Threats of litigation

Should any of these or similar circumstances become known before or during fact finding, first-line supervisors and managers should contact their management and the appropriate support organizations immediately.

1.8.2 Preservation of Critical Data and Evidence, and Securing the Scene

Steps must be taken by the first-line supervisor or manager to ensure that critical data is not lost because of passage of time or disruptive reconfiguration of physical evidence. Preservation of critical data should take precedence over cleanup activities. The following guidelines should be considered.

- Photographs may need to be taken and the areas and/or equipment isolated and



quarantined.



- Tagging and segregation of material or components of interest should be completed as soon as possible. Maintain a clear, documented record of who has custody of this material.
- Samples may need to be taken and submitted for analysis.
- Consider the need to safeguard the area; all unauthorized individuals may need to be excluded from the scene. Rope or tape off areas if necessary.
- Do not touch or move any evidence if possible. If the condition must be stabilized, attempt to take pictures before stabilizing the conditions. If evidence must be moved, avoid direct handling of the evidence, if possible, and retain it.

1.8.3 Records and Information

Recording and collecting information should be initiated immediately on detection of an abnormal event or condition. The information to be collected includes the conditions before, during, and after the event; personnel involvement and actions taken; and other information pertinent to the event. The following guidelines should be considered:

- A chronological log (accurate to the minute) should be initiated to record subsequent events and actions taken, or a tape recorder can be used to record activities.
- Pertinent information should be recorded directly in the plant or operation log or transcribed elsewhere and transferred to the log as soon as possible.
- Information should be recorded in a factual, clear, complete, and concise manner.
- All pertinent recording charts, logs, or other documentation should be clearly marked with the date and time of the incident, the source of the record, and any other pertinent operating conditions.
- Copies of relevant items such as shift logs, operating documentation, chart records, or work documents should be considered.

1.8.4 Personnel Statement and Interviews

In most cases, immediate interviews constitute the major source of information about an event or condition. Information and statements need to be obtained from all involved personnel while the event is still fresh in their minds and before they are released for reassignment or to go home. The most benefit is gained from this process when personnel trained in accident investigation and root cause analysis are directly involved in gathering this information. It should be stressed during the interviews that the primary purpose of these interviews is to help determine why the event occurred. The following guidance



should be considered:

- Detain (if possible) all individuals present at the scene and those with pertinent knowledge of the event. If a change of shift was occurring during the time of the incident, detain both outgoing and incoming shifts.
- Separate personnel and obtain independent, written statements. These written statements may need to be supplemented during the interview process.
- Question personnel one at a time using simple questions. Long and complicated questions only confuse the person being questioned. A person being interviewed might answer that they do not know, when in reality they do not understand the question.
- Avoid questions with implied answers. The object is to find out what the person knows; suggesting the answer will defeat the purpose of the interview.
- Avoid questions that can be answered by a simple yes or no; they result in inaccurate answers and prevent the flow of information.
- Avoid accusations or implications of personal errors. If the answers to questions tend to escalate to an embarrassing situation for the individual being interviewed, the interviewer should not ridicule employee behavior, poor judgment, or other deficiencies.
- After an employee has told his/her story, the interviewer should review it with him/her and request elaboration on certain key points (i.e., who, what, where, why, when, and how).
- Information obtained from one individual should be correlated with that obtained from others. Corroboration of important facts is desirable, and information on such points should be obtained in detail.
- Personnel involved in events have different perspectives and information about the event. Discrepancies may become apparent during initial interviews. Attempt to resolve these, but avoid leading to a conclusion. In some cases, falsehoods may appear. Again, attempt to resolve these without becoming judgmental. Honest mistakes should be distinguished from misrepresentations.

Following the collection of information from individual employees, it may be useful to conduct an assessment meeting with all involved personnel.



1.9 Reporting

In addition to logging abnormal events or conditions, first-line supervisors and managers are responsible for appropriately documenting the results of initial fact finding for use in occurrence reporting and to provide a basis for follow-up investigation, analysis, and corrective action planning. The requirements and responsibilities for occurrence reporting are found in plant-specific procedures. First-line supervisors and managers are expected to know and comply with these procedures.

Requirements and formats for documenting the results of initial fact finding vary from organization to organization and situation to situation. Specific information on the degree and complexity of reporting required should be obtained from the next higher level of management. Refer to Appendix C for more details about the type of information required for occurrence reporting.



Checklist A

**SUPERVISOR'S READINESS CHECKLIST
FOR ABNORMAL EVENTS AND CONDITIONS
(Page 1 of 2)**

- _____ Do I understand my responsibilities and what my manager expects of me in responding to all credible abnormal events and conditions in my facility or operation?
- _____ Are all of my employees alert and seeking indicators of abnormal events and conditions?
- _____ Does each employee clearly understand under what abnormal conditions I expect him/her to act and when I expect to be notified and/or consulted with first?
- _____ Does each employee clearly understand when I expect him/her to call the emergency phone number before notifying me?
- _____ Have I made the necessary provisions to permit every employee to reach me in a timely way at any time during the shift?
- _____ If my employees cannot reach me during the shift, would they know who to call?
- _____ Do I know under what specific conditions I might not be fully responsible for the response to an abnormal event or condition in my facility or operation?
- _____ Do I understand and know where to find the operating or emergency procedures for all credible, abnormal conditions in or affecting my facility, operation, or personnel?
- _____ Do I clearly understand when my manager expects to be notified of an abnormal event or condition?
- _____ Do I clearly understand other notifications I am expected to make and what criteria should prompt notification of:
 - Occurrence Notification Center or Emergency Operations Center (EOC)
 - Security, Safety, Environmental
 - Legal Counsel
 - Human Resources, Communications



Checklist A

**SUPERVISOR'S READINESS CHECKLIST
FOR ABNORMAL EVENTS AND CONDITIONS
(Page 2 of 2)**

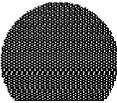
- _____ Do I know how to reach all groups at any hour?
- _____ Do I know who I would ask to help complete required notifications, and are they adequately prepared to help?
- _____ Is suitable equipment available to complete the notifications in a timely manner?
- _____ Do I understand clearly the purpose of fact-finding and know how to do this in an objective manner?
- _____ Do I understand the needs and guidelines for data collection involving facilities, equipment, and materials; records and information; and personnel?
- _____ Do I have access to all the resources I might need for data collection?
- _____ Do I understand when security, safety, legal, or environmental considerations should constrain or guide fact-finding activities and how these considerations may influence my decisions?
- _____ Do I know who I would ask in security, safety, legal, or environmental for advice and counsel before proceeding?
- _____ Do I know what is expected of me with respect to preliminary occurrence reporting?
- _____ Do I know how to put together a report on the results of my fact-finding?
- _____ Do I have access to all the necessary resources to generate a report?
- _____ Do I know when and whom to hold over past shift change after an abnormal event or condition?
- _____ Do I know when it's acceptable to let my people go home and to go home myself after an abnormal event or condition?



Checklist B

**SUPERVISOR'S RESPONSE CHECKLIST
TO ABNORMAL EVENTS AND CONDITIONS
(Page 1 of 2)**

- _____ Is emergency assistance needed? If so, has the emergency phone number been utilized?
- _____ Have all affected or potentially affected onsite facilities and personnel been notified, or are timely actions under way to achieve this?
- _____ Have I referenced an operating or emergency procedure for responding to and stabilizing this event or condition?
- _____ Are all the resources needed to effectively respond to and stabilize this situation readily available or has action to obtain them been initiated?
- _____ Have I initiated all of the actions needed to protect personnel and property and effectively stabilize the situation?
- _____ Are there any safety, security, legal, or environmental constraints that should be considered as I proceed with response actions and fact-finding?
- _____ Do I understand my responsibilities for this abnormal event or condition and what my manager expects of me?
- _____ Do I have the time and ability to complete all other required notifications in a timely manner?
- _____ If I have requested assistance, were responsibilities clearly explained?
- _____ Have I made all the other required notifications regarding the event or condition, or are notifications under way by others?
 - Management
 - Cognizant line management
 - Occurrence Notification Center or EOC
 - DOE EOC
 - Safeguards and Security
 - Environmental
 - Communications
 - Human Resources
 - Safety
 - Legal Counsel
 - DOE Facility Representative





Checklist C

**SUPERVISOR'S CHECKLIST FOR IMMEDIATE
RESPONSES TO ACCIDENTS AND NEAR MISSES**

It is extremely valuable to obtain and preserve all facts and information pertaining to an event as rapidly as possible. Critical information for the prevention of further events is lost with the passage of time.

- _____ Obtain necessary assistance to aid injured personnel.

- _____ Initiate actions to stabilize the situation to protect personnel and property. Isolate the area for nonessential personnel.

- _____ Notify potentially affected onsite personnel and facilities. Notify the facility shift manager and ask to have emergency response procedures and occurrence notification process started if applicable. Notify your immediate manager.

- _____ After assuring that injured personnel have the necessary care, initiate action to preserve all event-related information. Start the investigation immediately, and hold the associated people to:
 - Preserve all details of the accident site. Consider:
 - people/procedures - equipment
 - materials - accident environment
 - Have all witnesses record what happened (from their vantage point) in chronological order before they depart the scene.
 - Record all information on the event (e.g., preceding events, prior conditions, names of involved people, actions at the time of the event, equipment involved, site conditions, samples, photos, and tags).

- _____ Call and request the on-call safety representative for investigative assistance.

- _____ Interview witnesses and obtain witness statements as soon as possible. As delays erode the accuracy and reliability of the information, detain personnel if needed.

- _____ Brief your immediate manager and initiate follow-up investigation actions and analysis. Industrial Safety will recommend elevation to, and involvement of senior management concerning the details of the follow-up investigations as appropriate.

- _____ Provide necessary shift turnover information.