

Notable Event Report

Title of Event			
Event Title:	HRSD Notice of Deficiency for Late Submittal		
Date and Time of Occurrence:	06/23/2016	Notable Event Number:	FM&L-16-0623
Event Location:	Multiple Meters across the Site	Date Notable Event Report is Due*:	07/23/2016

*The Notable Event Report is due to the ESH&Q Reporting Officer with 30 days of the Initial Fact Finding Meeting unless an extension is requested.

Summary of Event and / or Injuries, including Initial Fact Finding Meeting information: determine the chain of events and timeline. Use attachment as necessary.

On June 23, 2016 the annual flow meter report was submitted to HRSD. The report was due to HRSD on June 21, 2016. That same day TJSO received a call from HRSD notifying us that we will receive a "Notice of Deficiency" as a result of the late submittal.

June 1, 2016- DOE received email from HRSD announcing their visit to our facility on June 13-20, 2016 to conduct week long sampling, DOE forwarded request to ESH&Q/FM&L

June 3, 2016- S. Conley met with Bill Mooney to discuss the data collection schedule

June 7, 2016- DOE received question from HRSD – Are we doing split samples?

June 7, 2016- DOE confirmed with Mike Martin from HRSD that we are not doing split samples

June 13-15,2016 ESH&Q took meter readings

June 16-20, 2016 FM&L took meter readings

June 21, 2016- Report due to HRSD- one day following last meter reading

June 21, 2016- ~1400 S. Conley mentioned to DOE that there were some flaws with the data

June 22, 2016- FM employee found the flaw in the formula and Ultra Pure Water (UPW) and needed to discuss with FM SME the following day

June 23, 2016- Reports issues were addressed with SME. 1400 HRSD called TJSO to notify them that the report was late and that we will receive a "Notice of Deficiency"

June 23, 2016- ~1500 Report was submitted to HRSD

June 23, 2016- DOE requested relief and HRSD declined

Causal Analysis: (Use attachment as necessary)

Root Cause:	There is no documented procedure for this submittal which leaves room for error. A well-defined procedure would have established roles, responsibilities, processes, schedules and communications that would have minimized the risk of re-occurrence.
Contributing Causes: (List as many as apply.)	Employees were unaware of the importance of the due date of the report. Last year the late submittal was accepted without penalty by HRSD. Those conducting data collection did not view the due date as a hard due date and felt that accurate data was more important than the due date. SME support was also not available upon discovery of the issue (Continued use of the rule with no consequences)

Causal Analysis: (Use attachment as necessary)

Direct FM supervisor was unaware of this request; the challenges faced by his employee and mixed priorities.

Clear roles, responsibility and communication Less Than Adequate (LTA) amongst all stakeholders and involved employees. During the initial meeting, it should have been made clear who owned ALL parts of this submittal. Data collection, Report submittal, etc. (Cross divisional work planning was LTA)

No internal tracking system was used to track due date and increased management awareness.

Work planning LTA- Process that was used to execute this report did not leave adequate time to address potential flaws and analysis.

Involved Subject Matter Experts had competing priorities, and no back up personnel to aide employee with equation error and that caused an additional delay in the submittal.

Timing of event, coinciding with traditional summer vacations and holidays, exacerbated resource issues.

Extent of Condition Check		<u>JLab CATS Number</u>	Target Date	Action Owner
Does this event involve failed equipment?	Y <input type="checkbox"/> N <input checked="" type="checkbox"/>	Is there similar equipment in other areas?	Y <input type="checkbox"/> N <input checked="" type="checkbox"/>	** If yes, assign extent of condition check to the appropriate DSO(s).

Corrective Action(s)	<u>JLab CATS Number</u>	Target Date	Action Owner
Immediately review future HRSD requested validation schedule and compare it to previously planned activities and available staffing. Request HRSD reschedule "time" for the week long sampling and request additional time following the last meter reading to report submittal. This request will be made officially to TJSO. Evidence of completion: Email request to TJSO and response from HRSD.	NE-2016-11	08/30/2016	Bill Rainey
Write a desktop procedure to establish roles, responsibilities, processes, schedules and communications. This procedure will guide activities starting with receipt of notification from	NE-2016-11	08/30/2016	Bob Sperlazza

Corrective Action(s)	<u>JLab CATS Number</u>	Target Date	Action Owner
HRSD scheduling the event and ending with report submittal.			
Evidence of completion: New desktop procedure			

Lessons Learned (Confer with Lessons Learned Coordinator) (Use attachment as necessary)	<u>Lessons Learned Number</u>
Never assume that we will receive a pardon for submitting a late report even if a pardon was granted the previous year.	955

Witness Accounts: (Use attachments as necessary. Box will expand as necessary)

Records, Documents, Pictures, and Other References: (Copy and paste, use attachments or document links as necessary)



June 30, 2016

Certified Mail/Return Receipt 7015 0640 0007 7712 0881

Mr. Joseph Arango
Site Office Manager
Thomas Jefferson National Accelerator Facility
12000 Jefferson Avenue, Suite 14
Newport News, VA 23606

Dear Mr. Arango:

The two (2) enclosures listed below are issued to your facility by the HRSD Pretreatment & Pollution Prevention Division.

NOTICE OF DEFICIENCY - Specific deficiencies are indicated by an (X)

COMPLIANCE ACTION REQUIRED - Please comply with the specific response requirement(s) indicated by a 1 (X)

Should you have any questions, please feel free to contact Mr. Michael Martin of this office at (757) 833-1760 or p3data@hrsd.com.

Sincerely,

Ronald E. Johnson
Chief of Pretreatment & Pollution Prevention

REJ/mem

Enclosures

cc: Mr. Mike Martin, HRSD NSP3
Mr. Bill Rainey, EHS Dept. Manager

PO Box 6902, Virginia Beach, VA 23471 • 802 • 757.460.7045 • Fax 757.454.3985

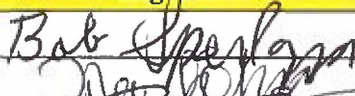



Commissioners: Vistatu K. Laskewski, Ph.D., Chair • Frederick N. Eifson, CPA, Vice-Chair • Michael E. Glenn
Arthur C. Brecomeyer • Maurice P. Lynch, Ph.D. • Stephen C. Rodriguez • Susan M. Rotka • Willie Leverston, Jr.
www.hrsd.com

Emergency Notifications Made (Subsequent to the Event):	Date	Time
Fire, Rescue & Emergency Medical: (9-911)		
Guard Post: x5822; 269-5822		
Occupational Medicine 269-7539		
ESH&Q Reporting Officer: 876-1750	06/24/2016	~1000
Crew Chief 630-7050		
Industrial Hygiene: 269-7863:		
Other: TJSO	06/23/2016	~1500


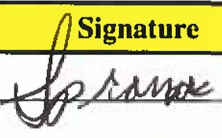
Confirmation Review Distribution: Investigation Team Members Affected Division Managers ESH&Q Reporting Officer	It is asked that you review and provide comments to this document to the Lead Investigator (denoted on Page 1) within ___ days. Your comments will be reviewed and incorporated as appropriate. Thank you for your consideration in this matter.
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Investigation Team Confirmation:

The below signees, confirm to the best of their knowledge, that the information presented in this document is accurate and complete.

Role	Print	Signature	Date
Lead Investigator	Bob Sperlazza		7/13/16
ESH&Q	Tina Johnson		7/13/16
FM&L	Paul Powers		7/13/16
ESH&Q- SME	Bill Rainey		7/13/16

Acceptance/Acknowledgement of Facts

	Print	Signature	Date:
Associate Director/ Department Manger			7/13/16

Upon confirmation submit document to the ES&H Reporting Officer for completion and distribution.

Documentation of Findings: (To be Completed by ESH&Q Reporting Officer)

Notable Event Number:	FML-16-0623
CATS Number:	NE-2016-11
Lessons Learned Number:	955
ORPS Number:	N/A

NTS Number:	N/A
CAIRS Entry:	N/A
DOE Cause Code:	A5 Communication LTA- B3 Written Communication Not Used- C01 Lack Of Written Communication
ISM Code:	Perform Work within Controls

Unless otherwise specified the following is to be completed by the Lead Investigator.

Step 1 Initial Fact-Finding Meeting (To be held as soon as reasonably possible following event (within 24 hours))			
Date:	06/27/2016	Time:	1500
		Location:	SSC- Room 47
Required Attendees: (Print Name)		Optional Attendees: (Print Name) Present	
Lead Investigator:	Bob Sperlazza	Associate Director:	Rusty Sprouse Notified
ESH&Q Representative:	Tina Johnson	TJSO Observer:	Patty Hunt Present
Supervisor of involved persons(s):	Paul Powers	<u>Subject Matter Expert(s), Facility/Equipment Owner as applicable:</u>	
Involved or impacted person(s):	Bill Mooney	Bill Rainey	
Witness(es):	Scott Conley		

Agenda (Ensure the pace of the meeting allows time for accurate note taking.)	√ if Complete
1. Introduction – Provide Event Title, Date and Time of Occurrence, and Location:	√
2. Attendance - Are Required Attendees present.	√
3. Purpose of Initial Fact-Finding meeting.	√
4. Event Reconstruction – Use information to complete Section 3. <u>Summary of Event and/or Injuries</u> below.	√
a. Personnel and organizations involved in the event.	√
b. Conditions and actions preceding the event.	√
c. Chronology (timeline) of the event; and	√
d. Immediate actions taken in response to the event.	√
5. Clarify information – <u>Subject-Matter Expert</u> (SME) confirms work conditions.	√
6. <u>Stop Work</u> or the <u>Tag Out</u> Required? If “Yes” – establish the restart criteria and inform the affected Management chain.	N/A
7. Compensatory Actions Required? If “Yes” determine responsibility and include confirmation documentation.	N/A
8. Records or documentation required to confirm, clarify, or complete information (i.e., work plans, work control documents, photos, etc).	√
9. Other Questions or Concerns: Ask attendees if there are any other questions, concerns, or information that they wish to provide.	√
10. Obtain TJSO Observer feedback on conduct of fact finding meeting and potential improvements.	√

Step 2 Investigation Team:		Date Convened: (Within 24 hours of Fact Finding Meeting.)		06/29/2016 1000
Role	Name	Department/Group	Phone	
Lead Investigator	Bob Sperlazza	FM&L	6241	
Reporting Officer	Tina Johnson	ESH&Q	7611	
SME	Bill Rainey	ESH&Q	7898	
Supervisor	Paul Powers	FM&L	7258	
<u>TJSO Observer</u>			TJSO	

Environmental Aspects			
Type of Material Released:		Quantity:	
Source:		Time Flow was Halted or Controlled:	
For Investigation Team (✓ All That Apply):			
<input type="checkbox"/> Reportable Quantity	<input type="checkbox"/> Impact Ground/Soil	<input type="checkbox"/> Storm Water Channel/Drain	<input type="checkbox"/> Sanitary Sewer

Categorization and Reporting

(To be completed by ESH&Q Reporting Officer within two hours – unless essential information is still pending)

ORPS Determination:	Date: 6/28/2016	Time: 1503
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CORRECTION: ORPS/NTS Determination: FM&L-16-0623 HRSD Notice of Deficiency for Late Submittal 1:45 PM

From: Tina Johnson
To: Patty Hunt
Cc: sperlazz

Patty;

Correction: This event identification number is FM&L-16-0623. I have updated CATS and Lessons Learned.

Regards,

Tina

From: "Tina Johnson" <cjohnson@jlab.org>
To: "Patty Hunt" <phunt@jlab.org>
Cc: "Mary Logue" <logue@jlab.org>, "sperlazz" <sperlazz@jlab.org>
Sent: Tuesday, June 28, 2016 3:03:10 PM
Subject: ORPS/NTS Determination: ESH&Q-16-0623 HRSD Notice of Deficiency for Late Submittal

Patty,

As you know, on June 23, 2016 the annual flow meter report was submitted to HRSD. The report was due to HRSD on June 21, 2016. That same day you received a call from HRSD notifying us that we will receive a "Notice of Deficiency" as a result of the late submittal.

The Lab has determined that this is not ORPS/NTS reportable at this time and will process this event as a notable event.

If you have any questions or concerns about this matter, feel free to contact me.

Regards,

—
 Tina Johnson
 Reporting Officer/ Staff Administrator I

10 CFR 851 Screen:	Date: 06/28/2016	Time: 1503
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Negative: This event does not meet the voluntary criteria as a discreet programmatic weakness.

Final Distribution:

- [ES&H Reporting Officer](#) (Original)
 Associate Director/Department Manager
- [Division Safety Officer](#)
- Investigation Team Members
- [ESH&Q Liaisons](#)

Form Revision Summary

- Revision 1.6 – 02/22/16** – Updated form to reflect extent of condition ensuring it covers failed equipment per MOA
- Revision 1.5 – 10/04/13** – Changed COE to Lessons Learned; updated links.
- Revision 1.4 – 09/06/12** – Qualifying Periodic Review. Clarification of content only.
- Revision 1.3 – 01/31/12** – Updated ESH&Q Reporting Officer assignment from S.Smith to C.Johnson per M.Logue
 Edited to clarify process steps.
- Revision 1.2 – 10/20/11** – Updated ESH&Q Reporting Officer assignment from J.Kelly to S.Smith per M.Logue.
- Revision 1.1 – 05/24/11** – Edited to clarify process steps.
- Revision 1.0 – 11/23/10** – Updated to reflect current laboratory operations.

ISSUING AUTHORITY	FORM TECHNICAL POINT-OF-CONTACT	APPROVAL DATE	REVIEW DATE	REV.
ESH&Q Division	Tina Johnson	02/22/16	02/22/19	1.6

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