

WRITER GUIDELINES

One of the major purposes of this reporting system is to provide feedback of safety and operational information identified in the Occurrence Reports to other DOE facilities. To this end, Occurrence Reports should contain sufficient information about the facility operations and the occurrence to facilitate action by other personnel who are unfamiliar with details of the facility, equipment, process, or procedures.

Written Occurrence Reports: The Facility Manager aided by the ORPA or Alternate must prepare the written Notification Report including all required fields (see below) and can include other fields for which information is known.

After transmittal of the Notification Report any changes in the reporting criteria of the occurrence, which result in a change, either lower or higher, to the Significance Category, must be documented in an Update Report and submitted within the timeframe required for the Notification Report under the new Significance Category. A discussion on the change in categorization must be included in the Description of Occurrence field (#25) in the Update Report.

Significance Categories include OE (emergency), 1, R, 2, 3, and 4, with OE being the most significant and 4 the least significant. The Significance Categories are defined as follows:

- **Category OE:** Operational Emergency Occurrences are the most serious occurrences and require an increased alert status for onsite personnel and, in specified cases, for offsite authorities.
- **Category 1:** Occurrences in this category are those that are not Operational Emergencies and that have a *significant impact* on safe facility operations, worker or public safety and health, regulatory compliance, or public/business interests.
- **Category R:** Occurrences in this category are those identified as *recurring*, as determined from the periodic performance analysis of occurrences across a site.
- **Category 2:** Occurrences in this category are those that are not Operational Emergencies and that have a *moderate impact* on safe facility operations, worker or public safety and health, regulatory compliance, or public/business interests.
- **Category 3:** Occurrences in this category are those that are not Operational Emergencies and that have a *minor impact* on safe facility operations, worker or public safety and health, regulatory compliance, or public/business interests.

- **Category 4:** Occurrences in this category are those that are not Operational Emergencies and that have *some impact* on safe facility operations, worker or public safety and health, public/business interests.

For the Update and Final Reports, information on the Notification Report shall be retained and updated as better and/or additional information from becomes available.

Occurrence Report Preparation: In preparing the Notification, Update(s) Report, and subsequently the Final Report, the following writing instructions must be followed:

- a. The report should enable the general reader to understand the basic "What, Who, When, Where, How" of the event, the safety issues involved, and the actions taken. NOTE: Names are not used only position/job titles.
- b. The Subject/Title (#20) is a brief title or description (140 characters or less) that best details the nature, cause, and result of the occurrence and the first paragraph of the Occurrence Description (#25) should relay the essential nature of the event (i.e., a summary of the occurrence in newspaper style).
- c. All information should be clear and succinct. Avoid redundant and unnecessary text, and lengthy "log book" accounts, unless a discussion of the event in chronological order is considered essential to understanding the event.
- d. Complex and more significant occurrences should warrant a greater level of detail. Significance Category 4 occurrences would likely need only a short paragraph under Occurrence Description. However, all reports should present enough information so that the general reader understands why the event needs to be reported and what the effect is.
- e. Avoid jargon and uncommon or site/facility-specific abbreviations and acronyms. If used, acronyms should be initially spelled out.
- f. Unless necessary to record and explain the event (e.g., suspect/counterfeit items or material), use general descriptions of equipment, procedures, etc., rather than presenting lengthy detailed titles and the numbers and letters assigned to those items.
- g. Quantify the level of contamination, dose, release, and damage (e.g., estimate the acres of wild land burned) when possible, instead of merely stating a reportable limit was exceeded.
- h. Use active rather than passive voice whenever possible. For example, write, "*the electrician* severed the conduit" rather than "the conduit was severed."

The type of information to be provided in the description includes, but is not limited to, the following:

- i. The method of discovery;
- j. Any component failures and the failure mode;

- k. Any personnel errors involved, including the type and result of the error;
- l. Any procedural problem encountered;
- m. The response of any automatic or manual safety systems and the signals which initiated and terminated their operation;
- n. The duration of any failures;
- o. Operator actions that affected the course of events; and the loss of any safety equipment.

When appropriate for clarification, photos, sketches, and drawings must be maintained with the **caWeb Issue Information Package** record for the identified occurrence report.

Instructions on Reporting:

The following lists all of the ORPS reportable fields. Those fields marked with an asterisk (*) preceding them are required for all (notification, update, final, and short form) reports. Fields marked with a pound sign (#) are required under certain conditions, for example, depending on occurrence type, report type, or the answer to a previous question.

Items 1 through 13, 16 through 20, 22, 23, 26 through 28, and 32 of the Occurrence Report are required fields for the Notification Report, with some of these fields computer generated. Short Form Reports require all of the Notification Report required fields plus Items 33 and 35. In both the Notification Report and the Short Form Report, additional fields may be required depending on the circumstances (e.g., Items 14 and 15). For all reports, data may be entered in the remaining fields when known. For the Update and Final Reports, information on the Notification Report shall be retained and updated as better and additional information becomes available. The Facility Representative and Program Manager may provide comments in Items 38 and 39, respectively, for all reports, except reports that have already been finalized (which includes Short Form Reports).

Occurrence Reporting Fields

* Fields are required for all ORPS

Field Name	Instructions
Facility/Personnel Information	
<p>*1. Occurrence Report Number</p>	<p>The occurrence report number is automatically generated by the system. It consists of the following:</p> <ul style="list-style-type: none"> • Secretarial Office (EM or NA) • DOE Field Office (NVSO) • DOE contractor (NST) • Facility (NTS, NLV, RSL, etc.) • Calendar Year the occurrence was first reported • Sequential number of the occurrence by facility <p>A temporary number (i.e., EM--NVSO-NST-NTS-2006-TEMP) is assigned when a Notification Report is first created. When the Notification Report is successfully transmitted, a permanent number (i.e., EM--NVSO-NST-NTS-2006-0001) will be automatically generated by the ORPS system, and may not be modified.</p>
<p>*2. Facility Name</p>	<p>Select the Facility Name from the drop-down menu. Note only facilities that the ORPA or Alternate have authority with will show up in this drop-down menu.</p>
<p>*3. Facility Function Code</p> <p>NOTE: Facility Function codes that are bolded are the one generally used by NSTEC</p>	<p>Select the Facility Function code from the drop-down menu that best describes the activity/function performed at the facility selected. Only one selection is allowed. Facility Functions are listed below:</p> <ul style="list-style-type: none"> 01 - Plutonium Processing and Handling 02 - SNM Storage 03 - Explosive 04 - Uranium Enrichment 05 - Uranium Conversion/Processing and Handling 06 - Irradiated Fissile Material Storage 07 - Reprocessing 08 - Nuclear Waste Operations/Disposal 09 - Tritium Activities 10 - Fusion Activities 11 - Environmental Restoration Operations 12 - Category "A" Reactors 13 - Category "B" Reactors 14 - Solar Activities 15 - Fossil and Petroleum Reserves 16 - Accelerators 17 - Laboratory (For search only) 17A - Laboratory - Analytical 17B - Laboratory - Research & Development

Field Name	Instructions
	18 - Power Marketing Administration 99 - Balance-of-Plant (For search only) 99A - Balance-of-Plant - Offices 99B - Balance-of-Plant - Machine shops 99C - Balance-of-Plant - Site/outside utilities 99D - Balance-of-Plant - Safeguards/security 99E - Balance-of-Plant - Storage (except SNM) 99F - Balance-of-Plant - Laundries 99G - Balance of Plant - Infrastructure (Other Functions not specifically listed in this Category)
*4. Site Name No input from NSTEC required	This field is automatically generated by the system, and indicates the logged users' site. This field may not be modified.
*5. Manager/Designee	Enter the name, title, and phone number of the responsible facility manager or designee who approved this report (verbal, email or fax) for transmittal to the DOE/HQ unclassified electronic database by the ORPA or Alternate. This field is required for all reports.
*6. Manager Phone	Enter a telephone number, including area code, for this person. Telephone number format is AAAPPPNNNN, where AAA is the area code, PPP is the prefix, and NNNN is the number. Any amount of punctuation may be included in any way desired, as long as 10 numeric digits are included and the field does not exceed 15 characters in total length. Phone numbers are displayed as (AAA) PPP-NNNN. Example: 702/295-7438 --> (702) 295-7438 This field is required for all reports.
*7. Job Title	Enter the specific job title of the Manager/Designee.
*8. Originator/Transmitter	This field is automatically generated by the system, and displays the user ID of the logged in user.
*9. Originator Phone	This field is automatically generated by the system, and displays the telephone number of the logged in user.
*10. Originator/Title	This field is automatically generated by the system, and displays the title of the logged in user.
*11. Division/Project	Identify the project or the contractor organization responsible for the facility at which the occurrence took place. This field is required for all reports.
*12. Secretarial Office NOTE: The Secretarial Offices that are bolded are the ones generally used by NSTEC	Select the DOE Secretarial/Power Administration Office to which this facility is operationally responsible from the drop-down menu. BV - Bonneville Power Administration EE - Energy Efficiency and Renewable Energy EH - Environment, Safety & Health EI - Energy Information Administration EM - Environmental Management FE - Fossil Energy

Field Name	Instructions
	<p>ME - Management, Budget and Evaluation NA - National Nuclear Security Administration NE - Nuclear Energy, Science and Technology NP - New Production Reactor (no new reports) RW - Civilian Radioactive Waste Management SC - Science SE - Southeastern Power Administration SO - Security SW - Southwestern Power Administration UE - Uranium Enrichment (no new reports) WA - Western Area Power Administration</p> <p>Only one Secretarial Office/Power Administration may be selected. If the facility is operationally responsible to more than one Secretarial Office, enter the Secretarial Office that is most directly involved in the specific work activity during which the occurrence took place. This field is required for all reports.</p>
<p>*13. System/Building/ Equipment</p>	<p>Identify all systems, equipment, or structural items involved in the occurrence, as applicable. In addition, in the case of component failures or defective parts or materials, provide such information as the manufacturer, model number, and size. The most significant item(s) should be listed here. Additional information can be provided in the Description of Occurrence.</p>
<p>#14. Authorized Classifier/ Reviewing Official</p>	<p>Enter the name of the authorized classifier who reviewed this report and determined that it was unclassified, or the name of the reviewing official who determined that there was no Unclassified Controlled Nuclear Information (UCNI) or other controlled information included in the report. Classified, UCNI, and controlled information MUST NOT be transmitted to ORPS. For reports containing classified, UCNI, or controlled information, a sanitized version of the report shall be submitted to ORPS.</p> <p>For facilities where classified operations are conducted, classified information is generated, or UCNI or other controlled information is available, this field is required for all reports.</p>
<p>#15. Classification Date</p>	<p>Enter the date when the authorized classifier or reviewing official reviewed this report and determined that it was appropriate for entry into ORPS. The date must be entered in MM/DD/YYYY format. If the date is entered in MM/DD/YY format, you will receive an error message. Examples: 06/03/1996, not June 3, 1996</p> <p>For facilities where classified operations are conducted, classified information is generated, or UCNI or other controlled information is available, this field is required for all reports.</p>
<p>*16. UCNI</p>	<p>When required and when appropriate UCNI guidance is available, a</p>

Field Name	Instructions
	reviewing official needs to make a final determination that the report contains (enter "Y" for Yes) or does not contain (enter "N" for No) UCNI. Where appropriate guidance is not available, a reviewing official should make a preliminary review determination that the report may contain UCNI (enter "Y" for Yes) or does not contain UCNI (enter "N" for No). Reports with UCNI = Y cannot be transmitted to the database.
*17. Plant Area	Indicate the name of the site-specific plant area (e.g., NTS-12 Camp, RSL-A) where the occurrence took place. This field is required for all reports.
Important Date and Time Information	
*18. Discovered Date/Time	Enter the date and time when the facility staff discovered the event or condition being reported. Date format is MM/DD/YYYY. Example: June 3, 1996 --> 06/03/1996. The time format is military time: hhmm, with midnight represented as 0000 on the second day. Examples: 6:30 AM - 0630, 6:30 PM - 1830. These fields are required for all reports.
*19. Categorized Date/Time	Enter the date and time when the Facility Manager determined that the event or condition constituted a Reportable Occurrence and determined its category (Significance Category OE or 1-4). REMEMBER NO LATER THAN 2 HOURS FROM DISCOVERY! These fields are required for all reports.
Occurrence Description	
*20. Subject/Title of Occurrence	Enter a brief title or description (140 characters or less) that best details the nature, cause, and result of the occurrence. This field is required for all reports.
*21. Reporting Criteria	Select one or more Reporting Criterion/Criteria as discussed in CD-0400.002, Appendix C. All of the specific reporting criteria applicable for an occurrence should be identified. NOTE: The Significance Category field will contain the highest significance category associated with the selected criteria. For example, if criteria with significance categories 4, 3, and 1 were selected, then the significance category would be 1.
*22. Significance Category	This field is automatically assigned by the system and is dependent on the Reporting Criterion/Criteria. Significance Categories include OE (emergency), 1, R, 2, 3, and 4, with OE being the most significant and 4 the least significant.
23. Recurring Event	If this is a recurring event, check this box. Otherwise leave it blank. When this box is checked, the significance category will be set to "R" automatically regardless of what significance category is derived from the selected reportable criteria.
*24. Subcontractor Involved	If a subcontractor is involved in this occurrence, choose <i>Yes</i> . Otherwise choose <i>NA</i> . If <i>Yes</i> is selected, enter the name of the subcontractor(s). This field is required for all reports.

Field Name	Instructions
<p>*25. Description of Occurrence</p>	<p>The following instructions should be followed when entering the description of the occurrence:</p> <ul style="list-style-type: none"> • The first paragraph of the Occurrence Description should relay the essential nature of the event (i.e., a summary of the occurrence in newspaper style). • All information should be clear and succinct. Avoid redundant and unnecessary text, and lengthy "log book" accounts, unless a discussion of the event in chronological order is considered essential to understanding the event. • Complex and more significant occurrences should warrant a greater level of detail. Significance Category 4 occurrences would likely need only a short paragraph under Occurrence Description. However, all reports should present enough information so that the general reader understands why the event needs to be reported and what the effect is. • Avoid jargon and uncommon or site/facility-specific abbreviations and acronyms. If used, acronyms should be initially spelled out. • Unless necessary to record and explain the event (e.g., suspect/counterfeit items or material), use general descriptions of equipment, procedures, etc., rather than presenting lengthy detailed titles and the numbers and letters assigned to those items. • Quantify the level of contamination, dose, release, and damage (e.g., estimate the acres of wild land burned) when possible, instead of merely stating a reportable limit was exceeded. • Use active rather than passive voice whenever possible. For example, write, "<i>the electrician severed the conduit</i>" rather than "the conduit was severed." <p>The type of information to be provided in the description includes, but is not limited to, the following:</p> <ul style="list-style-type: none"> • The method of discovery; • Any component failures and the failure mode; • Any personnel errors involved, including the type and result of the error; • Any procedural problem encountered; • The response of any automatic or manual safety systems and the signals which initiated and terminated their operation;

Field Name	Instructions
	<ul style="list-style-type: none"> • The duration of any failures; • Operator actions that affected the course of events; and • The loss of any safety equipment. <p>When appropriate for clarification, photos, sketches, and drawings should be maintained with the occurrence report record.</p> <p>For recurring events, include all pertinent information to describe how the event was determined to be recurring.</p> <p>This field is required for all reports.</p>
Notifications Made	
<p>#26. DOE HQ OC Notifications</p>	<p>Enter the date and time when the DOE HQ Operations Center was notified and the name and organization of the person notified. Date format is MM/DD/YYYY. Example: June 3, 1996 --> 06/03/1996. The time format is military time: hhmm, with midnight represented as 0000 on the second day. Examples: 6:30 AM - 0630, 6:30 PM - 1830. These fields are required for all reports that are categorized as Operational Emergencies and Significance Category 1 occurrences. The field is also required for Significance Category 2 occurrences as directed by the Field Office. In addition, the field is required for specific Significance Category 2, 3, and 4 occurrences identified with an asterisk next to the reporting criterion.</p> <p>The ORPA or Alternate will obtain this information from the NTS Duty Manager Office.</p>
<p>#27. Other Notifications</p>	<p>Enter the dates(s) and time(s) of notification of state and local officials or other agencies and the name(s) and organization(s) of the individual(s) notified. This will include the name of the NSTec person contacted for Mission Support Services, the applicable NNSA/NSO Facility Representative. Additional information can be provided in the Immediate Actions Taken field. Date format is MM/DD/YYYY. Example: June 3, 1996 --> 06/03/1996. The time format is military time: hhmm, with midnight represented as 0000 on the second day. Examples: 6:30 AM - 0630, 6:30 PM - 1830.</p>

Facility Information at Time of Occurrence	
*28. Operating Conditions	Describe the operational status of the facility or equipment at the time of the occurrence including, for example, pertinent temperatures, pressures, or other parameters necessary for evaluation of the occurrence and its consequences. If said information is not applicable, enter "Does not apply". This field is required for all reports.
*29. Activity Category	Select the activity that best describes the ongoing activity at the time of the occurrence. This field is required for all reports. 01 - Construction 02 - Maintenance 03 - Normal Operations (other than Activities specifically listed in this Category) 04 - Start-up 05 - Shutdown 06 - Facility/System/Equipment Testing 07 - Training 08 - Transportation (For search only) 08A - Transportation Onsite 08B - Transportation Offsite 09 - Emergency Response 10 - Inspection/Monitoring 11 - Facility Decontamination/Decommissioning 12 - Research
*30. Immediate Actions Taken	Describe the immediate or remedial actions taken to return the facility, system, or equipment item to service; to correct or alleviate the anomalous condition; and to record the results of those actions. These may include temporary measures to keep the facility in a safe standby condition or to permit continued operation of the facility without compromising safety until a more thorough investigation or permanent solution can be affected. This field is required for all reports.
Cause Information	
#31. Causes	Select all of the codes from the Causal Analysis Tree that best represent the causes of the occurrence. If you select A3 (Human Factors) as the Cause Code, select any associated causes (couplets) from the couplet selection list or choose a better couplet for the associated occurrence. This field is required for Final reports and optional for Short Form Reports.
#32. Description of Cause	Discuss the causes of the occurrence to include all causes and the corrective actions identified, including causal analysis contributing to a recurring event. This field should include a brief discussion to clearly link the event to the cause code(s). Do not repeat a description of the occurrence, but discuss the results of the causal analysis. The root cause analysis methodology used should be identified. A detailed

	<p>description of the corrective actions is required to demonstrate that the identified actions will adequately address the cause(s) of the problem. This field is required for all Final reports, except Short Form Reports.</p>
<p>Evaluations</p>	
<p>#33. Evaluation by Facility Manager</p>	<p>With the information available, the Facility Manager should provide his or her evaluation of the occurrence and its effect or possible effect on the plant, system, program, etc. The Facility Manager may later supplement this evaluation with additional entries in Update reports or in the Update/Final report. This field is required for all Notification reports where "Further Evaluation Required" is "Yes" and "Before Further Operation" is "Yes". It is also required for all Update and Final reports, but it is optional for Short Form Reports.</p>
<p>*34. Further Evaluation Required</p>	<p>If this occurrence will require further evaluation, choose "Yes". Otherwise choose "No". For Cancelled and Update/Final Reports, "Further Evaluation Required" should be "No". This field is required for Notification, Update, Final, and Short Form Reports.</p> <p>If further evaluation is required, specify if this occurrence will require further evaluation before further operation. For Cancelled and Update/Final Reports, "Before Further Operation?" should be "No". This field is required for all reports where "Further Evaluation Required" is "Yes".</p> <p>If further evaluation is required before further operation, enter the name of the person who will perform further evaluation on this occurrence and the date when the further evaluation will be completed. Date format is MM/DD/YYYY. Example: June 3, 1996 --> 06/03/1996 These fields are required for all reports where "Further Evaluation Required" is "Yes" and "Before Further Operation" is "Yes".</p>
<p>Deficiencies, Lessons Learned, and Corrective Actions</p>	
<p>#35. Integrated Safety Management (ISM)</p>	<p>Enter one or more ISM codes from the following list to identify an observed weakness (es) in the facility's implementation of the ISM program (e.g., failure to properly define the work scope, or failure to perform an adequate activity level hazards analysis). Available ISM codes are:</p> <ul style="list-style-type: none"> 1 - Define Scope of Work - Missions are translated into work, expectations are set, tasks are identified and prioritized, and resources are allocated. 2 - Analyze the Hazards - Hazards are associated with the work identified, analyzed, and categorized. 3 - Develop and Implement Hazard Controls - Applicable standards and requirements are identified and agreed-upon, controls to prevent/mitigate hazards are identified, the safety envelope is

	<p>established, and controls are implemented.</p> <p>4 - Perform Work Within Controls - Readiness is confirmed and work is performed safely.</p> <p>5 - Provide Feedback and Continuous Improvement - Feedback information on the adequacy of controls is gathered, opportunities for improving the definition and planning of work are identified and implemented, line and independent oversight is conducted, and, if necessary, regulatory enforcement actions occur.</p> <p>6 - N/A (Not applicable to ISM Core Functions as determined by management review) - Items that do not fall into the realm of ISM Core Functions; e.g., Natural Phenomena, Wild Fires, Counterfeit/Suspect Parts, Notifications of non-compliance (Federal, State, Local), Legacy Issues that could not have been anticipated, End of Life equipment failures where maintenance is not an issue, etc.</p> <p>This field is required for all Final reports, including Short Form Reports.</p>
<p>#36. Lessons Learned</p>	<p>Describe what lessons can be learned from this occurrence, in order to help prevent similar events from happening. Enter Lessons Learned Statement and Identifiers (Title, number and date).</p> <p>This field is required for Final reports and optional for Short Form Reports.</p>
<p>#37. Similar Occurrence Reports</p>	<p>Indicate by their report numbers any similar occurrence(s) of which you are aware for this facility or other facilities, including similar occurrences contributing to a recurring event. A discussion describing the analysis of similar occurrence reports should be included in Field 30 or Field 31, as appropriate. Also, identify any known commercial reactor Licensee Event Reports (LER) or other related documents that describe similar occurrences. The purpose of this item is to identify, if recognized, occurrences that might suggest a generic problem. It also serves to identify generic problems that may result in single or common lessons learned.</p> <p>This field is required for Final reports and optional for Short Form Reports.</p>
<p>#38. User Defined Fields (two of them)</p>	<p>These optional fields can be used to store facility-specific information (e.g., a cross-reference to performance indicator data or a site-specific number or name). They cannot exceed 124 characters in length for each field.</p>
<p>#39. Corrective Actions</p>	<p>A facility may choose to use ORPS or its own local corrective action system to track and close out corrective actions (CA). However, in either case, enter a complete description of the CA and the target date when completion of the CA is anticipated. A complete list of corrective actions should be included in the report to ensure it can stand on its own (i.e., reviewers do not have to search for other reports, etc). For facilities using ORPS to track and closeout the corrective actions, the Actual Completion date is entered when the CA</p>

	<p>is completed and closed. For facilities that choose to use their local CA tracking systems, the Actual Completion Date is not required. However, the reference number of the CA stored in the local corrective action tracking system needs to be entered. All CA items entered in ORPS with local CA reference numbers are considered closed.</p> <p>Corrective Actions are required for Final reports and optional for Short Form Reports.</p>
<p>Line Management Comments</p>	
<p>#40. Facility Representative Comments</p> <p>No input from NSTEC required</p>	<p>The NNSA/NSO Facility Representative can provide his or her evaluation of the occurrence, including an evaluation of the initial and/or proposed corrective actions, any follow-up by the facility personnel, and can describe any other actions that DOE or NNSA/NSO has taken since the occurrence. The Fac Rep may supplement such information with subsequent additional entries, as appropriate. After completing the input, the Facility Representative's name and date will be automatically entered by ORPS. If a Final Report is being rejected, the Facility Representative uses this space to indicate why.</p> <p>This field is optional on all occurrence report types except for reports that are already Final, including Short Form Reports. This field is required only on Final Reports rejected by the Facility Representative.</p>
<p>#41. Program Manager Comments</p> <p>No input from NSTEC required</p>	<p>This field is optional on all occurrence report types except for reports that are already Final, including Short Form Reports. This field is required only on Final Reports rejected by the Program Manager. If a Final Report is being rejected, the Program Manager uses this space to indicate why. The Program Manager or designee can also provide his or her evaluation of the occurrence, including an evaluation of the initial and proposed corrective actions and any follow-up, and can describe any other actions that DOE has taken since the occurrence. The Program Manager may include additional information, as appropriate. After completing the input, the Program Manager's name and date will be automatically entered by ORPS.</p>