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Administrative Procedure

PRC-PRO-EM-060

Reporting Occurrences and Processing Operations Information

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CHANGE SUMMARY

Description of Change

On page 45, corrected reference to Section 4.4.1, steps 11 and 12.

TABLE OF CONTENTS

1.0 INTRODUCTION 2
1.1 Purpose 2
1.2 Scope 2
1.3 Applicability 2
1.4 Implementation 2
2.0 RESPONSIBILITIES 2
3.0 TRAINING 3
4.0 PROCESS 4
4.1 Base Program Operational Emergencies (BPOE) 4
4.2 Abnormal Event Notifications 5
4.3 DOE-RL Facility Representative (RL-FR) Notifications 7
4.4 Reportable Occurrences 9
4.4.1 Discovery and Categorization 9
4.4.2 Information Security 12
4.4.3 Oral and Prompt Notifications 14
4.4.4 Status Changes and ORPS Data Changes 15
4.4.5 Submitting Notification and Short Form Reports 16
4.4.6 Submitting Update Reports 17
4.4.7 Submitting Final Reports 18
4.4.8 Corrective Action Management 20
4.5 Off-site Response to Events 21
5.0 FORMS 22
6.0 RECORD IDENTIFICATION 22
7.0 SOURCES 23
7.1 Requirements 23
7.2 References 23
7.3 Bases 24

List of Appendixes

Appendix A - Base Program Operational Emergency Criteria 25
Appendix B - Abnormal Event Category List 29
Appendix C - Occurrence Reporting Categories and Criteria 31
Appendix D - Occurrence Reporting Model 50
Appendix E - Guidance on Reporting Suspect/Counterfeit and Defective Items or Material 51
Appendix F - Recurring Event Criteria 52
Appendix G - Occurrence Reporting Definitions 53

1.0 INTRODUCTION

1.1 Purpose

This is the implementing procedure for the following four reporting processes:

- Base Program Operational Emergencies (BPOE) (Section 4.1)
- Abnormal Event notification process (AE) (Section 4.2)
- U.S. Department of Energy (DOE) Richland Operations Office (RL) Facility Representative (FR) Notification Process (Section 4.3)
- Occurrence reporting process (Section 4.4)

Event reporting utilizes a graded approach, based on severity and risk potential. This procedure provides the process for determining, in descending order, if an event meets the requirements of a BPOE (Appendix A, *Base Program Operational Emergency Criteria*), AE (Appendix B, *Abnormal Event Category List*) and/or the requirements of a reportable occurrence (Appendix C, *Occurrence Reporting Categories and Criteria*).

Personnel should utilize this procedure after evaluating an event or condition against the Hazardous Material Operational Emergency (HMOE) criteria as delineated by the applicable Emergency Action Levels (EAL) in DOE-0223, *Emergency Plan Implementing Procedures.*

1.2 Scope

NOTE: *Affiliate companies are not responsible for generating occurrence reports unless formally tasked with that scope of work through an official contract mechanism.*

This Level 1 Management Control Procedure is applicable to all CH2M HILL Plateau Remediation Company (CHPRC) team employees responsible for the four reporting processes listed in Section 1.1, including occurrence reports generated by affiliate companies, subcontractors, or vendors during work performed for their facility, project, service, or activity.

1.3 Applicability

This document applies to all CHPRC employees and subcontractors involved in CHPRC work scope. CHPRC project organizations shall ensure that their areas or facilities meet the requirements of this document, as appropriate.

1.4 Implementation

This procedure is effective upon publication.

2.0 RESPONSIBILITIES

All responsibilities associated with this procedure are identified in the process steps.

3.0 TRAINING

For management or designated staff responsible for event notification/categorization of adverse conditions or reportable occurrences, the following training course is required:

- 170640, *Introduction to Occurrence Reporting*

For management or designated staff responsible for writing or submitting occurrence reports, the following training courses are required:

- 170640, *Introduction to Occurrence Reporting*
- 170642, *Occurrence Report Writing*
- 600081, *CHPRC Cause Evaluator Training* (or equivalent)

For management or designated staff responsible for performing the duties of a trained investigator, the following training courses, or equivalent, are required:

- 604230, *Critique Leader Training*
- 604233, *Initial Investigation Training*
- 600081, *CHPRC Cause Evaluator Training*

4.0 PROCESS

4.1 Base Program Operational Emergencies (BPOE)

Actionee	*Step*	*Action*
Project/Facility (P/F) Management	1.	EVALUATE (immediately) events and conditions against the criteria in Appendix A, *Base Program Operational Emergency* Criteria.
	2.	CONTACT Hanford Emergency Operations Center (EOC) Shift Office personnel (376-2900), for assistance with event categorization.
	3.	IF the event/condition qualifies as a BPOE, THEN CATEGORIZE the event/condition as a BPOE within 15 minutes once adequate information has been collected to determine categorization.
	4.	IF the event does NOT meet the criteria for a BPOE, THEN GO TO Section 4.2.

NOTE:
- *Taking mitigative actions to stabilize the facility/operation to a safe condition takes precedence over notifications.*
- *The EOC Shift Office will complete the BPOE notification to the DOE Headquarters Operations Center (HQ-OC) within 30 minutes following categorization. All categorized BPOE events are also categorized as Abnormal Events.*

5. For events categorized as BPOEs, NOTIFY the RL-FR within 30 minutes of categorization.
   - If the cognizant RL-FR is not available, the on-call RL-FR can be contacted (refer to the Hanford Site Weekly On-Call Directory)

NOTE:
- *Security and safeguards reporting requirements are available in* MSC-*PRO-416, Reporting Security Incidents.*
- *Occurrence reports for "Off-site DOE Transportation Activities" will be* assigned *to the facility of shipment origin.*

6. SUBMIT an Occurrence Report as described in Section 4.4.5, for events categorized as BPOEs.

4.2 Abnormal Event Notifications

The intent of abnormal event notification is to notify off-site agencies of site events/conditions that could potentially escalate into emergencies, or where local residents or the media would expect off-site organizations to be aware of the event.

Following notification of an event by the facility, EOC Shift Office personnel will gather information and immediately evaluate and perform final Abnormal Event categorization of reported events/conditions using specific criteria negotiated with off-site agencies and contained in EOC Shift Office procedures. (The EOC Shift Office will provide facility management with the latest revision of the specific abnormal event criteria upon request.) Upon EOC Shift Office declaration of an Abnormal Event, EOC Shift Office personnel will notify off-site agencies of the event/condition.

Events/conditions categorized as Abnormal Events by the EOC Shift Office should also be evaluated against the reporting criteria in Appendix C, *Occurrence Reporting Categories and Criteria*.

Actionee	***Step***	***Action***
NOTE:	•	*The EOC Shift Office is responsible for categorization of an Abnormal Event, using EOC Shift Office-specific Abnormal Event criteria. Upon categorization of an Abnormal Event, the* EOC Shift Office *will notify the facility.*
	•	Notifications *are made with an understanding that the information is preliminary and may not include details.*
	•	*Mitigative actions taken to stabilize the facility/operation to a safe* condition *takes precedence over notifications.*
P/F Management	1.	EVALUATE events and conditions against the criteria in Appendix B, *Abnormal Event Category List*.
	2.	REPORT events or conditions that meet the categories listed in Appendix B, *Abnormal Event Category List*, to the EOC Shift Office (376-2900) as soon as possible (within 30 minutes) following discovery by cognizant facility staff.
	3.	NOTIFY the cognizant RL-FR. • If the cognizant RL-FR is not available, the on-call RL-FR can be contacted (refer to the Hanford Site Weekly On-Call Directory).
	4.	NOTIFY the EOC Shift Office prior to any press release.

Actionee	*Step*	*Action*
P/F Management	5.	IF the EOC Shift Office determines the event does NOT meet the abnormal event criteria, THEN GO TO Section 4.3.

NOTE:
- *The EOC Shift Office will provide initial and updated Abnormal Event* notifications *(when applicable) to the off-site agencies.*
- *The list of off-site agencies, as negotiated and approved by DOE-RL, is* maintained *in the EOC Shift Office.*
- *If an off-site agency contacts the EOC Shift Office with questions* regarding *a possible incident at Hanford, the EOC Shift Office contacts facility management or appropriate contractor management for additional information, and depending on the information received, may prepare an Abnormal Event notification. At a minimum, the EOC Shift Office provides the off-site agency with a response to the question.*

6. When appropriate, PROVIDE follow-up information to the EOC Shift Office and the RL-FR.

NOTE: *Abnormal Events should be evaluated against the reporting criteria in Appendix C, Occurrence Reporting Categories and Criteria. At a minimum, the Group 10(4) SC-4 criterion should be considered. Other criteria may apply to the event, including additional notifications or other actions.*

7. EVALUATE the event against the reporting criteria in Appendix C, *Occurrence Reporting Categories and Criteria*
AND, If appropriate, REPORT in accordance with Section 4.4.

4.3 DOE-RL Facility Representative (RL-FR) Notifications

Actionee	*Step*	*Action*
P/F Management	1.	NOTIFY the RL-FR on a 24-hour real-time basis (immediately) for all of the following: • Events involving personnel injuries, personnel radioactive contamination or internal deposition, work stoppages, or chemical exposures • Events that have the potential to receive public, regulatory, or DOE-HQ attention • Events that reach a threshold to notify the Facility Manager, including non-reportable and adverse conditions • Events meeting the specific criteria below: a. Where employees: • Receive occupational injuries or are exposed to hazards that result in transport to first aid, a hospital, or cause the individual to be entered into a medical monitoring program. • Are unexpectedly exposed to hazardous substances (e.g., beryllium, asbestos, mercury, lead) in excess of regulated limits referenced per 10 CFR Section 851.23, or unplanned immediately dangerous to life or health (IDLH) conditions. • Receive skin or personal clothing contamination where decontamination is performed. Distinguish between clothing contamination and skin contamination. **NOTE:** *This includes the disposal of contaminated personal clothing.* • Have indications of radioactive internal deposition as verified by positive nasal smears, positive workplace monitoring results requiring follow-up (i.e., whole body count, bioassay), or other measured indication of a potential internal deposition.

Actionee	*Step*	*Action*
P/F Management	b.	When stop work is invoked for any safety related reason, either by workers or contractor management.

NOTE: *Contractor management actions are addressed by Appendix C, Occurrence Reporting Categories and Criteria, Group 4.B (6).*

c. Whenever a situation is discovered that presents an imminent danger to workers, the environment, or the public or when it is determined such a condition was known to exist and was not mitigated.

d. Whenever any of the following barriers associated with determining isolation conditions for hazardous energy fail:

- Tagout preparation
- Technical Review
- Installation
- Verification
- Safe Condition Check
- Safe-to-Work Check

e. Any type of transportation incident/accident involving radioactive or hazardous materials.

f. Whenever any incident occurs that involves the potential loss of control or compromise of classified or nuclear material.

g. Whenever noncompliance with an environmental permit or requirement is identified and notification to a regulatory authority is planned.

h. Prior to conducting formal meetings associated with investigation of abnormal events.

1) Event investigation related meetings may include formal post jobs, In-progress ALARA reviews, critique meetings, etc.

2) Notifications will be made allowing sufficient time for the RL-FR to attend.

4.4 Reportable Occurrences

4.4.1 Discovery and Categorization

Actionee	*Step*	*Action*
All Employees	1.	IF any events or conditions that could have an adverse effect on safety, health, operations, or the environment are observed, THEN NOTIFY direct manager.
	2.	CALL 911 **immediately** for an actual or potential emergency event or condition.
On-Scene Manager	3.	INITIATE OR COMPLETE the immediate actions necessary to stabilize the facility/operation to a safe condition, ensure that any potential environmental effects are stabilized, and workers are treated for any injuries sustained.
NOTE:	*PRC-PRO-EM-058, Event Initial Investigation and Critique Meeting Process, contains further information.*	
	4.	PRESERVE conditions for the subsequent investigation; these actions should not interfere with establishing a safe condition.
	5.	NOTIFY the building emergency director/building warden and facility manager of the event or condition.
P/F Management	6.	RETAIN all supporting information pertaining to each occurrence or report (e.g., graphs, analyses, and formal investigation reports) in accordance with PRC-PRO-EM-058 and PRC-PRO-IRM-10588, *Records Management Processes*.
	7.	CALL the EOC Shift Office (**376-2900**) if other Hanford Site contractor personnel or facilities are involved in the occurrence, AND REQUEST assistance in notifying that contractor.
	8.	CALL the EOC Shift Office (**376-2900**) as soon as possible after discovery (within 30 minutes) of a spill, release, fire, explosion, or condition where there is an actual or potential non-compliance with an environmental permit condition or regulation. • Additional regulatory reporting requirements may apply in the event of a spill or release. • Refer to PRC-PRO-EP-15333, *Environmental Protection Processes* for further information on Environment Event Notification (including Spills and Releases and Agency Notifications).

Actionee	*Step*	*Action*

NOTE:
- *When the significance category is not clear, or the occurrence exceeds the threshold of more than one reporting criteria, the occurrence is categorized at the highest significance category.*
- *Reporting criteria is elevated or lowered (as needed) as information becomes available.*
- *Group 10(3) near miss occurrences are categorized as Significance Category 1, 2, or 3 only.*

P/F Management

9. CATEGORIZE the occurrence (as appropriate) within 2 hours of discovery using Appendix C.

10. NOTIFY the cognizant RL-FR.
    - If the cognizant RL-FR is not available, the on-call RL-FR can be contacted (refer to the Hanford Site Weekly On-Call Directory).

NOTE: *The operating facility is responsible for issuing the occurrence report when conditions in step 11 apply.*

11. IF the event or condition involves groundwater contamination, after criteria in Appendix C, *Occurrence Reporting Categories and Criteria,* have been exceeded,
    THEN ISSUE an occurrence report when the following condition(s) is/are met:
    - Facility operations have directly contributed to an increase in groundwater contamination through remobilization of contaminants in the unsaturated zone, or;
    - Facility operations have directly contributed to an increase in groundwater contamination through operations that have not followed appropriate standard practices.

NOTE: *Legacy **biological** contamination occurrences categorized using Group 6B(4), SC 4 criteria from Appendix C, Occurrence Reporting Categories and Criteria, are submitted to the Occurrence Reporting and Processing System (ORPS) by the Mission Support Contract (MSC) on a quarterly Short Form report. This quarterly report is an exception to the requirement for submission to ORPS with 2 working days. The final decision on what constitutes a legacy **biological** contamination occurrence, for the purposes of the quarterly report, rests with the Integrated Biological Control (IBC) Program Manager, or delegate. If the condition or concern is determined to meet the criteria for legacy **biological** contamination reporting, the MSC IBC Program Manager will perform all ORPS reporting functions.*

12. IF an event or condition involves contamination related to biological sources such as animals, animal wastes, or vegetation,
    THEN CONTACT the MSC IBC organization Program Manager or delegate for assistance in categorizing legacy ***biological*** events.
    - CALL the EOC Shift Office for the IBC Program Manager on-call contact information.

Actionee	*Step*	*Action*
P/F Management	13.	IF the IBC Program Manager or delegate determines the event or condition meets the criteria for legacy ***biological*** contamination reporting under Group 6B(4), SC 4 from Appendix C, *Occurrence Reporting Categories and Criteria,* THEN PERFORM the following: • PROVIDE verbal notification containing the following information to the IBC Program Manager or delegate: ○ Date/Time of Discovery ○ Occurrence Description ○ Contamination values [units of disintegrations per minute (dpm)/100 cm^2] ○ Immediate Actions Taken ○ Site Area (i.e., 200-E, 200-W) ○ Project ○ Identifying Contractor (CHPRC) • TRANSMIT via e-mail notification the same information to the IBC Program Manager or delegate. • NOTIFY the cognizant project/facility RL-FR within 2 hours of categorization, including in the notification that the issue is being reported in the site legacy biological roll-up quarterly report.

NOTE: *Further details and information on the quarterly short form occurrence report are available in PRC-GD-EM-40409, CHPRC Occurrence Report Writer's Guide.*

14. CATEGORIZE event-based or review-based occurrences that meet the recurring event criteria in a new occurrence report using Significance Category R.

    a. ENSURE that the appropriate functional area organization has been advised.

    b. IF no specific criteria from Appendix C, *Occurrence Reporting Categories and Criteria*, can be identified,
    THEN CATEGORIZE the occurrence as Group 10(2), Management Concerns/Issues

Actionee	*Step*	*Action*
NOTE:	• *The Subject Matter Expert (SME) for PRC-PRO-EM-060 may be contacted for assistance (when appropriate) with categorization of a Significance Category R occurrence.* • *The intent is that recurring events can be categorized and reported from a functional review-based performance analysis, or from event-based occurrences identified proactively at projects or facilities.*	
P/F Management	15.	IF the occurrence involved property damage, personnel injury, or motor vehicle damage, for additional reporting requirements, THEN REVIEW PRC-PRO-SH-077, *Reporting, Investigating, and Managing Health, Safety and Property/Vehicle Events.*
P/F Mgmt (Hazard Category 2 and 3 nuclear facilities)/ Transportation Safety Manager	16.	REVIEW occurrences marked with Unreviewed Safety Question (USQ) in Appendix C, *Occurrence Reporting Categories and Criteria*, using the potential inadequacy in the documented safety analysis (PISA) process given in PRC-PRO-NS-062, *Unreviewed Safety Question Process*.

4.4.2 Information Security

Actionee	*Step*	*Action*
NOTE:	*More information is available from MSC-PRO-407, Obtaining Classification or Declassification Reviews, PRC-PRO-IRM-184, Information Protection and Clearance, and your project/facility Technical Authority (TA).*	
P/F Management	1.	REVIEW all occurrence reports and completed Prompt Notification Forms (Section 4.4.3) for controlled-use information. • ENSURE that a review is performed prior to ORPS database entry, as draft occurrence reports containing any classified information, Unclassified Controlled Nuclear Information (UCNI), Official Use Only (OUO), or other controlled-use information must not be entered into the ORPS database. • REVIEW completed Prompt Notification Form(s) for any classified, UCNI, OUO, or other controlled-use information prior to transmittal to the EOC Shift Office.

Actionee	Step	Action
	2.	SUBMIT occurrence reports determined to be classified or controlled-use (by current classification or control guidance) using the appropriate secure transmission means. • With the exception of entry into the ORPS database, meet all other reporting requirements of this procedure. • Submit an unclassified version of the occurrence report that has been sanitized of all controlled information to ORPS within the required time frames (refer to the *Occurrence Reporting Model*, Appendix D). • Neither enter nor reference occurrence reporting-related information involving incidents of counterintelligence concern (e.g., foreign persons, governments, organizations, entities or influence) in the ORPS database. • Such reporting is not intended to interfere with or delay any actions directed toward protection of personnel or property. As soon as possible, notify the Patrol Operations Center (373-3800).
	3.	CONTACT CHPRC RadCon to verify dose information <u>AND</u> PROVIDE individual radiation dose information to the affected individual(s) before transmitting a report to ORPS.

4.4.3 Oral and Prompt Notifications

Actionee	*Step*	*Action*
P/F Management	1.	COMPLETE notifications for a Hazardous Material Operational Emergency in accordance with DOE-0223, *Emergency Plan Implementing Procedures*.

NOTE:

- *All of the specific reporting criteria from Appendix C, Occurrence Reporting Categories and Criteria, applicable to the event or condition must* be *identified when categorizing occurrences. If any criteria used are designated with the asterisk (*), Prompt Notification to DOE-HQ must be completed, as noted above. Example: Significance Category (SC) 2, 3 and 4 criteria are assigned to an occurrence, designating it as an SC-2 occurrence. If the SC-4 criteria is the only criteria with an asterisk (*), complete Prompt Notification to DOE-HQ as noted above.*
- *The EOC Shift Office will use the following information to make required* notifications *to HQ-OC (within 2 hours). If additional questions arise, they will coordinate with the facility and the HQ-OC. The EOC Shift Office will also notify the RL Accident Investigation point-of-contact when any Significance Category 1 occurrence is identified that appears to be included in the "Accident Investigation Categorization Algorithm" criteria of Attachment 2 to CRD O 225.1B, Accident Investigations.*
- *The Information Security requirements in Section 4.4.2 must be met prior to transmitting this information to the EOC Shift Office, per step 4.4.2.2.*
- *A Prompt Notification Form is available on the Hanford Intranet (A-6004-144). Use of this form is in addition to the oral notification noted below, which must be completed to verify the information and for documentation purposes. The Prompt Notification Form should be sent to the EOC Shift Office via electronic mail (**^Occurrence Notify Center**) or fax (**376-3781**).*

2. COMPLETE Prompt Notifications for all categorized occurrences designated with an asterisk (*) in Appendix C, *Occurrence Reporting Categories and Criteria,* as follows:
   - CALL the cognizant RL-FR and the EOC Shift Office (**376-2900**) within 90 minutes of categorization,
     <u>AND</u> PROVIDE the following information:
     - Significance Category/reporting criteria
     - Location and description of the event
     - Date and time of discovery
     - Damage and/or casualties
     - Impact of event on other activities and operations
     - Protective actions taken or recommended
     - Weather conditions at the scene
     - Level of media interest at scene/facility/site
     - Other notifications made (include RL-FR name and date/time)

Actionee	*Step*	*Action*

NOTE: *The Hanford Site Weekly On-Call Directory and the EOC Shift Office (**376-3030**) are available for assistance in identifying the On-Call RL-FR.*

P/F Management

- IF the cognizant RL-FR is unavailable,
  THEN NOTIFY the On-Call RL-FR.

3. COMPLETE oral notifications for all categorized occurrences not designated with an asterisk, as follows:
   - CALL the cognizant RL-FR and the EOC Shift Office (**376-2900**) within 2 hours of categorization,
     AND PROVIDE details of the occurrence, categorization, and immediate actions taken.
   - IF the cognizant RL-FR is unavailable,
     THEN CALL the on-call RL-FR.
4. NOTIFY responsible oversight organizations and facility operating organization management, as appropriate.
5. TRANSMIT a follow-up e-mail notification to the EOC Shift Office (^EOC Shift Office) that contains the following information:
   - Date/Time of Discovery
   - Date/Time of Categorization
   - Date/Time of RL-FR Notification
   - Occurrence Description
   - Immediate Actions Taken
   - Site Area (i.e., 200-E, 200-W)
   - Project
   - Identifying Contractor (CHPRC)

4.4.4 Status Changes and ORPS Data Changes

Actionee	*Step*	*Action*

NOTE: *The Occurrence Reporting Model (Appendix D) contains further information.*

P/F Management

1. COMPLETE follow-up notifications to the RL-FR and the EOC Shift Office (376-2900) under the following conditions:
   - Further degradation in the level of safety or impact on the environment, health, or operations of the facility (or other worsening conditions subsequent to the initial notification),
   - An upgrade in significance category is declared (including if conditions require an emergency classification be declared),
   - Any other changes in significance category (downgraded, cancelled, etc.).

Actionee	*Step*	*Action*
	2.	COMPLETE updated Prompt Notifications in accordance with Section 4.4.2 (when appropriate) for re-categorized occurrences. a. ENSURE notifications are completed as required for the new Significance Category, per Appendix D, *Occurrence Reporting Model*. b. PROVIDE the occurrence report number when making notifications.
	3.	NOTIFY the EOC Shift Office and cognizant RL-FR within 2 hours when requesting changes to an occurrence report from the ORPS program administrators involving: • Changes to reports already approved by DOE (SC-2 or higher). • Changes to significance category.
	4.	TRANSMIT a follow-up email to the EOC Shift Office (^EOC Shift Office).

NOTE: *Additional information is available in PRC-GD-EM-40409.*

4.4.5 Submitting Notification and Short Form Reports

NOTE: *PRC-GD-EM-40409 contains detailed instructions and requirements on completing the occurrence report. Occurrence reports are required for all event levels, including operational emergencies (Alert, Site Area, General), per Appendix D, Occurrence Reporting Model.*

Actionee	*Step*	*Action*
NOTE:		*Legacy biological contamination occurrences categorized as SC-4 under Group 6.B(4) in Appendix C, Occurrence Reporting Categories and Criteria, are reported in a single Short Form occurrence report on a quarterly basis, by the EOC Shift Office. Further details and information are available in PRC-GD-EM-40409.*
P/F Management	1.	COMPLETE the Notification Report using the ORPS and instructions, as well as PRC-GD-EM-40409. a. COMPLETE any other fields for which information is known. b. For Significance Category 4 events **only**, COMPLETE a Short Form report using the required fields in PRC-GD-EM-40409.
	2.	REFER to the *Occurrence Reporting Model* (Appendix D) for timeline requirements.

3. ENTER all Notification and Short Form occurrence reports into the Condition Reporting and Resolution System (CRRS) in accordance with PRC-PRO-QA-052, *Issues Management* and PRC-PRO-NS-2243, *Identification, Reporting, and Tracking of Nuclear Safety and Worker Safety and Health Requirement Noncompliances & PAAA/Worker Safety and Health Enforcement Activities*.

NOTE: *PRC-PRO-EM-058, PRC-PRO-QA-052 and PRC-GD-QA-33900, Issues Management Reference Guide, contain information on conducting the investigation, causal analysis, and corrective action management of the occurrence prior to submitting the Final Report.*

4.4.6 Submitting Update Reports

For detailed instructions and requirements on completing the occurrence report, refer to PRC-GD-EM-40409.

Actionee	Step	Action
NOTE:		• *Any significant or new information identified for reports reviewed under the USQ process, must also be reviewed under the USQ process (either the USQ must be revised, or a new USQ performed). PRC-PRO-NS-062 contains additional information.* • *An update report must be submitted to the ORPS database under the following conditions:* o *There is significant or new information available.* o *A final report is delayed beyond the 45-day due date.* o *A rejected report cannot be re-submitted within the 21-day due date.* o *The occurrence is re-categorized.* o *To correct editorial errors.*
P/F Management	1.	NOTIFY the cognizant RL-FR prior to submission of an Update Report.
	2.	WHEN an Update Report must be submitted to the ORPS database, THEN SUBMIT an Update Report as follows:
		a. IF there is significant or new information available (i.e., status of the investigation, recurring consequences, identification of additional component defects, corrective action status), THEN SUBMIT an Update Report to the ORPS database.
		b. IF a Final Report is delayed beyond the 45-day due date, THEN INCLUDE a justification statement and a new target completion date in the Evaluation by Facility Manager field.
		c. IF a rejected report cannot be re-submitted within the 21-day due date, THEN INCLUDE a justification statement and a new target completion date in the Evaluation by Facility Manager field.

Actionee	*Step*	*Action*
		d. IF the occurrence is re-categorized, THEN PERFORM the following: 1) ENSURE the rationale for re-categorizing the occurrence is clear in the report, and the oral notification requirements in Section 4.4.3 are met. 2) SUBMIT the Update Report within the required Notification Report time frames based on the Significance Category, per Appendix D, *Occurrence Reporting Model* . e. IF editorial errors need to be corrected, THEN SUBMIT an Update Report to the ORPS database. 3. For other changes, COMPLETE step 4.4.4.3.

4.4.7 Submitting Final Reports

For detailed instructions and requirements on completing the occurrence report, refer to PRC-GD-EM-40409.

Actionee	*Step*	*Action*
NOTE:		• It is expected that the analysis of most occurrences will be completed and the Final Report submitted within 45 calendar days. For certain occurrences (i.e., accident investigations) it is understood that the required information may not be available within this time frame. In these instances, an Update Report must be submitted per step 4.4.6.2.b. • *When* appropriate for clarification, photos, sketches, and drawings must be maintained with the ORPS occurrence report file.
P/F Management		1. For **OE, SC-1, SC-R, SC-2** and **SC-3** occurrence reports, SUBMIT a Final Report to the ORPS database within 45 calendar days from categorization, *following* completion of the following items: • The significance, nature, and extent of the event or condition have been analyzed and clearly documented. • The applicable causal analysis, per Appendix D, *Occurrence Reporting Model*, has been completed. • The applicable corrective actions, per Appendix D, have been identified and clearly documented. • Lessons learned have been identified and clearly documented.
P/F Management		2. For rejected **OE, SC-1, SC-R** and **SC-2** occurrence reports, SUBMIT a Final Report into the ORPS database within 21 calendar days of DOE-RL or DOE-HQ report rejection. • CONTACT the cognizant RL-FR to determine the cause of the rejection. • SUBMIT an Update Report per step 4.4.6.2.c when the 21-day requirement cannot be met for re-submittal of the Final Report.

Actionee	*Step*	*Action*

NOTE:
- *The RL-FR will provide approval or rejection of an **SC-3** occurrence report in an Operational Awareness (OA) report. If an OA is not provided within 5 working days of RL-FR receipt of the final occurrence report, the report is considered approved.*
- *In most instances, an editorial change will be sufficient to resolve RL-FR concerns. PRC-GD-EM-40409 contains guidance.*

3. For rejected **SC-3** occurrence reports, PERFORM the following:
   a. RESOLVE the RL-FR concerns <u>AND</u> DOCUMENT in a revised occurrence report.
   b. RESUBMIT the occurrence report into ORPS using the appropriate method.
4. For canceled reports, PERFORM the following:
   a. COMPLETE follow-up notifications to the RL-FR and the EOC Shift Office (376-2900).
   b. SUBMIT a Final Report.
   c. DOCUMENT clearly why the reporting criteria does not apply to the occurrence in the "Description of Occurrence" field.
   d. **DO NOT** CHANGE the original occurrence description.
5. MAKE appropriate modifications (i.e., causal analysis and corrective actions) to the CRRS if an entry has been made.

4.4.8 Corrective Action Management

Corrective Actions associated with Occurrence Reports are tracked in the CRRS system. For Significance Category OE, SC-1, SC-2 and R occurrences, action status changes, including text and date changes, require RL-FR approval prior to making these changes.

Actionee	*Step*	*Action*
P/F Management	1.	PERFORM the appropriate cause analysis as identified in Appendix D, *Occurrence Reporting Model.*

NOTE: *The RL-FR may waive the root cause analysis for Significance Category 1, 2, R, Operational Emergency, and Group 10(3) near miss occurrences on a case-by-case basis (i.e., when the root cause analysis is not necessary to develop corrective actions to prevent recurrence, and an apparent cause determination is adequate).*

2. For occurrences categorized using Group 2E(3), Hazardous Electrical Energy Control and Group 2F(3), Hazardous Energy Control (Other than electrical), Significance Category 4 criteria from Appendix C, *Occurrence Reporting Categories and Criteria,*
   PERFORM an apparent cause analysis

3. For occurrences categorized using Group 10(3) criteria from Appendix C, Occurrence Reporting Categories and Criteria, (near miss),
   PERFORM a root cause analysis
   <u>AND</u> INCLUDE corrective actions to prevent recurrence.

4. TRACK corrective actions to closure (per PRC-PRO-QA-052) in the CRRS as follows:

   - ENTER corrective action text, target date and Condition Report (CR) number to ORPS directly, as applicable.
   - INCLUDE an action to complete an effectiveness review for all corrective actions identified in the Final Report, as identified in Appendix D, *Occurrence Reporting Model.*
   - INCLUDE an action to **transmit a Lessons Learned** to the CHPRC Lessons Learned Coordinator, for subsequent entry into the DOE Complex Lessons Learned database, for Significance Category 1 and R occurrences.

NOTE: *ORPS and CRRS must align, relative to addressing all key causal analysis issues and corrective action due dates.*

5. For Significance Category OE, SC-1, SC-2 and R occurrences, OBTAIN approval from the cognizant DOE-RL Facility Representative prior to making any changes to corrective actions in CRRS.

4.5 Off-site Response to Events

This section applies to any staff that may, as part of their work scope, represent the CHPRC, and includes direct off-site actions in response to events involving CHPRC material, activities, or personnel, substantiated requests for assistance made by an off-site party (including members of the public) directly affected by such an event(s); or any other off-site actions that may involve risk or liability to the CHPRC or DOE. **This section does not apply to**:

- Normal day-to-day off-site activities or activities governed by current procedures or agreements, including mutual aid agreements between the Hanford Fire Department or Hanford Patrol and off-site agencies, subcontracts, memoranda of understanding, government requirements, or directives issued by DOE
- Non-substantiated or invalid requests for assistance made by members of the public
- Radiological activities performed within the scope of the CHPRC Radiation Protection Program, unless radioactivity above background from DOE activities is detected in an off-site situation

Actionee	*Step*	*Action*
NOTE:	*Updates must be provided to the EOC Shift Office as conditions change or more information is obtained.*	
P/F Management	1.	CONTACT the EOC Shift Office (**376-2900**) <u>AND</u> PROVIDE information when an off-site event occurs involving DOE or CHPRC material, activities involving CHPRC, or personnel representing CHPRC, substantiated requests for assistance made by an off-site party (including members of the public) directly affected by such an event(s); **or** any other off-site actions that may involve risk or liability to CHPRC or DOE.
NOTE:	*The EOC Shift Office will gather information on the event and contact the Emergency Duty Officer (EDO). The EDO will, in consultation with Environmental On-Call personnel, Emergency Preparedness personnel, and DOE on-call personnel, determine if additional event notifications are warranted.*	
	2.	Prior to implementing a decision to send CHPRC or CHPRC subcontracted personnel off-site to respond to any event, regardless of the circumstances, CONTACT the EOC Shift Office (**376-2900**) to assure proper approvals are obtained.

5.0 FORMS

DOE-HQ Prompt Notification Form, A-6004-144
Hazardous Materials Incident Report, Form DOT F 5800.1

6.0 RECORD IDENTIFICATION

All records are required to be managed in accordance with PRC-PRO-IRM-10588, *Records Management Processes*.

Records created during the performance of OCRWM activities shall be managed and additionally submitted to the OCRWM Records Coordinator, in accordance with PRC-PRO-QA-19579, *OCRWM Records Management*.

Records Capture Table

Name of Record	Submittal Responsibility	Retention Responsibility
Occurrence report files (including a copy of the notification and final report, Prompt Notification Form(s), related correspondence, technical data, statements of witnesses and employees, other relevant information and data, i.e., lessons learned)	Facility Manager	Project or Facility

7.0 SOURCES

7.1 Requirements

CRD O 151.1C, *Comprehensive Emergency Management System*
CRD O 232. 2 (Supp), *Occurrence Reporting and Processing of Operations Information*
DOE-0223, *Emergency Plan Implementing Procedures*
CRD O 422.1 (Supp), *Conduct of Operations*

7.2 References

7 CFR 331, *Possession, Use, and Transfer of Biological Agents and Toxins*
9 CFR 121, *Possession, Use, and Transfer of Biological Agents and Toxins*
10 CFR 835, *Occupational Radiation Protection*
10 CFR 851, *Worker Safety and Health Program*
29 CFR 1910, *Occupational Safety and Health Standards*
33 USC 1321, *Oil and Hazardous Substance Liability*
40 CFR 61, *National Emission Standards for Hazardous Air Pollutants*
40 CFR 98, *Mandatory Greenhouse Gas Reporting*
40 CFR 302, *Designation, Reportable Quantities, and Notification*
40 CFR 355, *Emergency Planning and Notification*
42 CFR 73, *Select Agents and Toxins*
49 CFR 171, *General Information, Regulations, and Definitions*
49 CFR 173, *Shippers--General Requirements for Shipments and Packagings*
49 CFR 390, *Federal Motor Carrier Safety Regulations: General*
CHPRC-00073, *CH2M HILL Plateau Remediation Company Radiological Control Manual*
CRD O 225.1B, (Supp) *Accident Investigations*
CRD O 414.1D, *Quality Assurance*
CRD O 460.1C, *Packaging and Transportation Safety*
CRD O 460.2A, *Departmental Materials Transportation & Packaging Management*
DOE O 458.1, Chg 2, *Radiation Protection of the Public and the Environment*
DOE-STD-1098-2008, *Radiological Control*
HNF-7098, *Criticality Safety Program*
IAEA-TECDOC-1169, *Managing Suspect and Counterfeit Items in the Nuclear Industry*
MSC-PRO-407, *Obtaining Classification or Declassification Reviews*
MSC-PRO-416, *Reporting Security Incidents*
PRC-GD-EM-40409, *CHPRC Occurrence Report Writer's Guide*
PRC-GD-QA-33900, *Issues Management Reference Guide*
PRC-PRO-EM-058, *Event Initial Investigation and Critique Meeting Process*
PRC-PRO-EP-15333, *Environmental Protection Processes*
PRC-PRO-HR-042, *Fitness for Duty*
PRC-PRO-IRM-184, *Information Protection and Clearance*
PRC-PRO-IRM-10588, *Records Management Processes*
PRC PRO-MS-067, *Lessons Learned*
PRC-PRO-NS-062, *Unreviewed Safety Question Process*
PRC-PRO-NS-2243, *Identification, Reporting, and Tracking of Nuclear Safety and Worker Safety and Health Requirement Noncompliances & PAAA/Worker Safety and Health Enforcement Activities*
PRC-PRO-NS-8317, *Safety Basis Implementation and Maintenance*
PRC-PRO-QA-052, *Issues Management*

PRC-PRO-QA-301, *Control of Suspect/Counterfeit and Defective Items*
PRC-PRO-QA-19579, *OCRWM Records Management*
PRC-PRO-SH-077, *Reporting, Investigating, and Managing Health, Safety and Property/Vehicle Events*
Public Law 92-500, *Federal Water Pollution Control Act (commonly referred to as the Clean Water Act)*

7.3 Bases

10 CFR 830, *Nuclear Safety Management*
CRD O 471.1B, *Identification and Protection of Unclassified Controlled Nuclear Information*
CRD M 470.4-4A, *Information Security Manual*
DOE-STD-7501-99, *The DOE Corporate Lessons Learned Program*
ERG2008, *Emergency Response Guidebook,* Department of Transportation
MSC-RD-12223, *Protecting and Controlling Classified Matter*
PRC-PRO-WKM-12115, *Work Management*

Appendix A - Base Program Operational Emergency Criteria

NOTE:	*When considering categorization of an occurrence in this section, PRC-PRO-HR-042, Fitness for Duty, should be reviewed to determine if a Fitness for Duty evaluation is required. Timeliness is a factor in this decision.*

Health and Safety

NOTE: *The following events or conditions represent, cause, or have the potential to cause serious health and safety impacts to workers or members of the public.*

1. The discovery of radioactive or other hazardous material contamination from past DOE operations that may have caused, is causing, or may reasonably be expected to cause uncontrolled personnel exposures exceeding protective action criteria.

2. An off-site hazardous material event not associated with DOE operations that is observed to have or is predicted to have an impact on a DOE Site, such that protective actions are required for on-site DOE workers.

NOTE: *For this criterion, "on-site DOE workers" includes any DOE leased buildings occupied by DOE or DOE prime contractor personnel (e.g., Federal Building, Stevens Center, etc.) where protective actions are taken. The EOC Shift Office Duty Officer shall categorize these events.*

3. An occurrence (e.g., earthquake, tornado, aircraft crash, fire, explosion) that causes or can reasonably be expected to cause significant structural damage to DOE facilities, with confirmed or suspected personnel injury or death.

4. Any facility evacuation in response to an actual occurrence that requires time-urgent response by specialist personnel, such as hazardous material responders or mutual aid groups not normally assigned to the affected facility.

NOTE:

- *Routine Hanford responders (i.e., Hanford Fire Department, Hanford Patrol, Benton County Sheriff) are considered assigned to CHPRC projects/facilities for purposes of this criteria.*
- *The event must clearly exceed Group 4.B(4) criteria (Appendix C) to be reportable under this criteria.*

5. An unplanned nuclear criticality.

NOTE: *This criterion is an HMOE that meets an EAL. Review DOE-0223.*

6. Any mass casualty event.

NOTE: *This criterion includes any leased buildings occupied by DOE or DOE prime contractor personnel (e.g., Federal Building, Stevens Center, etc.). The EOC Duty Officer shall categorize these events when the EOC Shift Office is unable to make timely contact with a cognizant BED, Shift Manager, Building Warden (BW), or contractor single-point-of-contact.*

Environment
NOTE: *The following events or conditions represent, cause, or have the potential to cause serious detrimental effects on the environment.*
1. Any actual or potential release of hazardous material or regulated pollutant to the environment, in a quantity greater than five times the Reportable Quantity (RQ) specified for such material in 40 CFR Part 302, that could result in significant off-site consequences, such as major wildlife kills, wetland degradation, aquifer contamination, or the need to secure downstream water supply intakes.
2. Any release of greater than 1,000 gallons (24 barrels) of oil to inland waters; greater than 10,000 gallons (238 barrels) of oil to coastal waters; or a quantity of oil that could result in significant off-site consequences (e.g., need to relocate people, major wildlife kills, wet-land degradation, aquifer contamination, need to secure downstream water supply intakes, etc.) [Oil (Clean Water Act, 33 USC 1321) means any kind of oil and includes petroleum.] **NOTE:** *This is **not** an identified Hanford hazard.*
Security and Safeguards
NOTE: *The following events or conditions represent, cause, or have the potential to cause degradation of security or safeguards conditions with actual or potential direct harm to people or the environment.*
1. Actual unplanned detonation of an explosive device or a credible threat of detonation resulting from the location of a confirmed or suspicious explosive device. **NOTE:** *This criterion includes any leased buildings occupied by DOE or DOE prime contractor personnel (e.g., Federal Building, Stevens Center, etc.). The EOC Duty Officer shall categorize these events when the EOC Shift Office is unable to make timely contact with a cognizant BED, Shift Manager, BW, or contractor single-point-of-contact.*
2. An actual terrorist attack or sabotage event involving a DOE site/facility or operation. **NOTE:** *This criterion includes any leased buildings occupied by DOE or DOE prime contractor personnel (e.g., Federal Building, Stevens Center, etc.). The EOC Duty Officer shall categorize these events when the EOC Shift Office is unable to make timely contact with a cognizant BED, Shift Manager, BW, or contractor single-point-of-contact.*
3. Kidnapping or the taking of hostage(s) involving a DOE site/facility or operation. **NOTE:** • *This criterion includes any leased buildings occupied by DOE or DOE prime contractor personnel (e.g., Federal Building, Stevens Center, etc.). The EOC Duty Officer shall categorize these events when the EOC Shift Office is unable to make timely contact with a cognizant BED, Shift Manager, BW, or contractor single-point-of-contact.* • *MSC-PRO-416 contains more information about this criterion.*

Off-site DOE Transportation Activities
NOTE: *The following events or conditions represent an actual or potential release of hazardous materials from a DOE shipment.*
1. The accident/incident involves a DOE shipment of hazardous materials and causes the first responders to initiate ***protective actions*** (a shelter or evacuation) beyond the event scene. **OR** The accident involves a DOE shipment of hazardous materials and causes the first responders to establish an *initial isolation distance* greater than 100 meters beyond the incident. **OR** The accident/incident results in damage to a Category I or II quantity of Special Nuclear Materials. **NOTE:** *The EOC Duty Officer shall categorize these events.*
2. Failures in safety systems threaten the integrity of a nuclear weapon, component, or test device. **NOTE:** *This is **not** an identified Hanford hazard.*
Hazardous Biological Agent or Toxins
NOTE: *The following events or conditions involving the release of a hazardous biological agent or toxin [identified in Base Order, paragraph 4a(14)(c)] represent major failure of safety systems, protocols, and/or practices with the potential to have a serious impact on health and safety of workers, collocated workers, emergency responders, members of the public, or the environment.*
1. Any actual or potential release of a hazardous biological agent or toxin outside the secondary barriers of the bio-containment area. **NOTE:** *At a minimum, specific hazardous biological agents and toxins must include Federally regulated agents and toxins identified in lists published by the Department of Health and Human Services (HHS) in 42 CFR Part 73 and the Department of Agriculture (USDA) in 7 CFR Part 331 and 9 CFR Part 121. Toxins listed in 42 CFR Part 73 and 9 CFR Part 121 must exceed the minimum quantities specified to be Federally regulated.*

Hanford Site-Specific Criteria

NOTE: *The following events or conditions are specific to the Hanford Site and may represent degradation to facilities or result in the need to take protective measures from flooding, or from the release or pending release of hazardous materials from a transportation shipment. This specific criterion is allowed per DOE O 151.C, Chapter V "Operational Emergency Events and Conditions," Item #1, second paragraph.*

1. Notification that a dam failure of Grand Coulee, Wanapum, or Priest Rapids either has or will occur (Level 3 or Level A).

NOTE: *The EOC Duty Officer shall categorize these events.*

2. An onsite transportation accident/incident involves a DOE shipment of hazardous materials that is not listed in the Green Section of the Emergency Response Guidebook, and the Incident Commander:

   a. Implements ***Protective Actions*** (a shelter/take cover) or evacuation) beyond the event scene;

   OR

   b. Implements an ***Initial Isolation Zone*** distance greater than 100 meters.

NOTE:

- The EOC Shift Office is responsible for event categorization/classification for transportation events occurring outside the cognizance of the BED, as noted below, and for events on Hanford roadways (e.g., 600 Area events).
- The BED is responsible for event categorization/classification if the transportation event occurs WITHIN the facility boundary or complex (i.e., inside a facility's fenced area), before departure from a site/facility's loading area when a fenced area does not exist, or between facilities within a project when identified in facility-specific EAL procedures (e.g., Solid Waste Operations Complex).

3. An onsite transportation accident/incident involves a non-DOE shipment of hazardous materials, and the Incident Commander implements ***Protective Actions*** (a shelter/take cover or evacuation) for DOE workers.

NOTE: *The EOC Duty Officer shall categorize these events.*

Appendix B - Abnormal Event Category List

Site and/or Facility Condition
1. Any fire on-site requiring suppression by fire department personnel.
2. Any activation of a fire suppression system involving an actual discharge.
3. Any explosion on-site.
4. Any radioactive contamination off-site expected to have originated from Hanford.
5. Any event or condition disrupting facility operations (excluding false indicators) or causing degradation of Safety Class systems.
6. Any evacuation or sheltering within a facility in response to an actual occurrence that could involve the release of radioactive or hazardous materials, or could cause media interest or public concern.

Environmental
1. Any unplanned release of a radiological or hazardous substance above established limits defined in applicable regulations, and requiring verbal notification to a regulator.
2. Any spill or release to the environment from a tank farm waste tank or associated transfer line.
3. Any event or condition affecting ecological resources (i.e., destruction of a critical habitat, damage to a historic/archeological site, damage to wetlands, etc.) or agreement/compliance areas reportable to a regulator.

Personnel Safety
1. Any occupational (work related) illness or injury resulting in any transport (i.e., private vehicle, government vehicle, ambulance, etc.) to a local hospital.
2. Any vehicular or aircraft incident on-site resulting in a fatality, or an injury resulting in any transport (i.e., private vehicle, government vehicle, ambulance, etc.) to a local hospital.
3. Any unplanned exposure to a radiological or hazardous material resulting in any transport (i.e., private vehicle, government vehicle, ambulance, etc.) to a local hospital.

Safeguards and Security
1. Any criminal, malevolent, or significant disruptive activities causing injury or property damage, or that disrupt normal site activities.

Cross-Category Items
1. Any activation of an Incident Command System in response to an actual event (excluding false indicators or personal illnesses).
2. Any event that results or may result in media attention or public concern.
3. Any event or condition where EAL criteria were met at some point in the past, but no longer exist when the event or condition is reviewed for classification purposes. These events or conditions (termed “transitory event”) do not pose a threat to workers or the public since there is no release of hazardous materials, but may generate public concern or media interest.

Appendix C - Occurrence Reporting Categories and Criteria

Significance Categories (SC) provide a means to reflect perceived risk associated with a given occurrence. Risk determinations take into consideration the potential consequence of an occurrence in terms of health, safety and security to personnel, the public, the environment, and the operational mission. Operational Emergency (OE) or Significance Category 1 (SC-1) occurrences reflect management's judgment that circumstances pose an immediate or near term potential for harm unless promptly mitigated or that the occurrence meets reporting thresholds established by other regulatory requirements. Occurrences below OE or SC-1 require assessment and mitigation to prevent or mitigate adverse consequences, but are not as time sensitive as OEs or SC-1s. Occurrences at the lower levels, SC-3 and SC-4, reflect situations that require analysis and learning in order to generate measured actions to prevent potential future consequences.

NOTE: *"SC" is Significance Category. The first number [i.e., (1)] is the sequence number. The number for the SC designation (i.e., SC-1) is the Significance Category. All criteria marked with an asterisk (*) require prompt notification to DOE-HQ, per step 4.4.3.2.*

Definitions:

Operational Emergency (as defined in DOE O 151.1C): Major unplanned or abnormal events or conditions that: involve or affect DOE/National Nuclear Security Administration (NNSA) facilities and activities by causing, or having the potential to cause, serious health and safety or environmental impacts; require resources from outside the immediate/affected area or local event scene to supplement the initial response; and require time-urgent notifications to initiate response activities at locations beyond the event scene. Operational emergencies are the most serious occurrences and require an increased alert status for onsite personnel and, in specified cases, for offsite authorities.

Base Program Operational Emergency: Major unplanned, significant events or conditions that involve or affect facilities/activities by causing or having the potential to cause serious health and safety or environmental impacts; and require time-urgent response from outside the immediate affected site or facility. Base Program Operational Emergencies may involve degradation of personnel health or safety, the environment, security and safeguards, or the release or loss of control of hazardous materials.

Significance Category 1: Occurrences in this category are those that are not Operational Emergencies, and that caused actual harm; posed the potential for immediate harm or mission interruption due to safety system failure and required prompt mitigative action; or constituted an egregious noncompliance with regulatory requirements that created the potential for actual harm or mission interruption.

Significance Category R: Occurrences in this category are those identified as recurring, as determined from the quarterly performance analysis of occurrences across the site (review-based), or as identified by an ongoing analysis of occurrences and other non-reportable events at projects or facilities. See Appendix F for additional guidance.

Significance Category 2: Occurrences in this category are those that are not Operational Emergencies, and that involve circumstances that reflected degraded safety margins necessitating prompt management attention along with modified normal operations to prevent an adverse effect on safe facility operations; worker or public safety and health, including significant personnel injuries; regulatory compliance; or public/business interests.

Significance Category 3: Occurrences in this category are those that are not Operational Emergencies, and that involve events or circumstance with localized implications including personnel injury, environmental releases, equipment damage or hazardous circumstances that were locally contained and did not immediately suggest broader systemic concerns.

Significance Category 4: Occurrences in this category are those that are not Operational Emergencies, and that involve events or circumstances that were mitigated or contained by normal operating practices, but where reporting provides potential learning opportunities for others.

NOTE:

- *Items marked USQ, are to be reviewed using the PISA process given in PRC-PRO-NS-062.*
- *An event can meet multiple reporting criteria that establish it as an occurrence. All of the specific reporting criteria applicable for an occurrence must be identified. Some criteria are "secondary" in that they complement other reporting criteria that require occurrence reporting. In these cases, all of the applicable criteria must be recorded.*

GROUP 1 – OPERATIONAL EMERGENCIES
(Includes Base Program and Hazardous Material Operational Emergencies)

NOTE: *When considering categorization of an occurrence in this section, PRC-PRO-HR-042 should be reviewed to determine if a Fitness for Duty evaluation is required. Timeliness is a factor in this decision.*

1. OE* An Operational Emergency not requiring further classification, as defined in DOE O 151.1C, Chapter V, Paragraph 2. (see Appendix A, *Base Program Operational Emergency Criteria*)
2. OE* An Alert. (Defined in DOE-0223, *Emergency Plan Implementing Procedures*)
3. OE* A Site Area Emergency. (Defined in DOE-0223, *Emergency Plan Implementing Procedures*)
4. OE* A General Emergency. (Defined in DOE-0223, *Emergency Plan Implementing Procedures*)

GROUP 2 – PERSONNEL SAFETY AND HEALTH

NOTE: *When considering categorization of an occurrence in this section, PRC-PRO-HR-042 should be reviewed to determine if a Fitness for Duty evaluation is required. Timeliness is a factor in this decision.*

Subgroup A – Occupational Injuries

1. SC-1* Any occurrence due to DOE operations resulting in a fatality or terminal injury/illness. Report fatalities or terminal illnesses caused by overexposures under Subgroup B, Occupational Exposures.
2. SC-1* Any single occurrence requiring in-patient hospitalization of three or more personnel.
3. SC-2 Any single occurrence resulting in an occupational injury that requires in-patient hospitalization for five days or more, commencing within seven days from the date the injury was received.

NOTE: *This criterion is similar to one of the thresholds for initiating a Federal Accident Investigation Board. If such an investigation is begun, the event must be reported under Group 10(1), as well as under this criterion if the injury so warrants.*

4. SC-2 Any single occurrence resulting in three or more personnel having Days Away, Restricted or Transferred (DART) cases per 29 CFR Section 1904.7, *Recordkeeping Forms and Recording Criteria*.
5. SC-3 Any single occurrence resulting in a serious occupational injury. A serious occupational injury is an occupational injury that:
   a. Requires in-patient hospitalization for more than 48 hours, commencing within seven days from the date the injury was received
   b. Results in a fracture of any bone (except bone chips, simple fractures of fingers, toes, nose, or a minor chipped tooth)
   c. Causes severe hemorrhages or severe damage to nerves, muscles, tendons, or ligaments. (Note: Severe damage is generally considered to have occurred if surgery is required to correct the damage)
   d. Damages any internal organ
   e. Causes (1) a concussion or (2) loss of consciousness due to an impact to the head
   f. Causes second- or third-degree burns, affecting more than 5% of the body surface

Subgroup B – Occupational Exposures
NOTE: *See "Personnel Exposure" in Appendix G, Definitions. 29 CFR Sections 1904.7(b)(5)(i) and (ii) define "medical treatment" and "first aid." For reporting ionizing radiation exposures, see Group 6 Contamination/Radiation Control, Subgroup C Radiation Exposure.*
1. SC-1* Any acute exposure from a chemical, biological, or physical hazard due to DOE operations resulting in a fatality or terminal injury/illness or requiring in-patient hospitalization of three or more personnel.
2. SC-2 Any acute exposure resulting in an occupational injury that requires in-patient hospitalization for 5 days or more, commencing within 7 days from the date the exposure was received or any exposure event resulting in three or more personnel having Days Away, Restricted or Transferred (DART) cases per 29 CFR Section 1904.7, *Recordkeeping Forms and Recording Criteria.*
3. SC-2* Personnel exposure to chemical, biological or physical hazards that exceeds 10 times the limits established in 10 CFR Part 851, *Worker Safety and Health Program* (See 10 CFR Section 851.23*, Safety and Health Standards*) or exceeds levels deemed immediately dangerous to life and health (IDLH).
4. SC-3 Personnel exposure to chemical, biological or physical hazards (e.g., noise, laser, ultraviolet light, heat, etc.) above limits established in 10 CFR Part 851, *Worker Safety and Health Program* (See CFR Section 851.23, *Safety and Health Standards*), but below levels deemed IDLH, and that requires the administration of medical treatment beyond first aid on the same day as the exposure.
5. SC-3 Any exposure including chronic resulting in a serious occupational injury. A serious occupation injury is an occupational injury that: a. Requires in-patient hospitalization for more than 48 hours, commencing within seven days from the date the exposure was received b. Damages any internal organ c. Leads to diagnosis of a debilitating disease or d. Causes second- or third-degree burns, affecting more than five percent of the body surface
6. SC-4 Personnel exposure to chemical, biological or physical hazards (e.g., noise, laser, ultraviolet light, heat, etc.) above limits established in 10 CFR Part 851, but below levels deemed IDLH.

Subgroup C - Fires
1. SC-1* Any fire emergency or fire incident within primary confinement/containment boundaries of a nuclear facility, except a fire that self-extinguishes in ten minutes or less. **NOTE**: *Facility specific documents need to define what constitutes the primary confinement/containment boundary.*
2. SC-2* Any fire emergency or fire incident in a nuclear facility that: a. Activates a fixed automatic fire suppression system (clean agent or wet-pipe automatic sprinkler protection), or b. Is extinguished manually by a the emergency response organization, or c. Disrupts normal operations in the facility, or d. Is a fire within primary confinement/containment that self-extinguishes in ten minutes or less **NOTE:** *The activation or degradation of SC and Safety Significant fire suppression systems are addressed by Group 4 Criteria.*
3. SC-3* Any fire emergency or fire incident in a non-nuclear facility that: a. Activates a fire suppression system or b. Takes longer than 10 minutes to extinguish following the arrival of the emergency response organization or c. Disrupts normal operations in the facility for more than eight hours
4. SC-4 Any fire in a nuclear facility.
5. SC-4* Any wild land fire (e.g., forest fire, grassland fire) or other fire outside of a DOE facility that has the potential to threaten the facility.
Subgroup D – Explosions
1. SC-1* Any unplanned explosion within primary confinement/containment boundaries of a nuclear facility. **NOTE**: *Facility specific documents need to define what constitutes the primary confinement/ containment boundary.*
2. SC-2* Any unplanned explosion in a nuclear facility that disrupts normal operations in the facility.
3. SC-3* Any unplanned explosion in a non-nuclear facility that disrupts normal operations in the facility.

Subgroup E – Hazardous Electrical Energy Control
1. SC-2 Any unexpected or unintended personal contact (burn, injury, etc.) with an electrical hazardous energy source (e.g., live electrical power circuit, etc.).
2. SC-3 Any unexpected discovery of an uncontrolled electrical hazardous energy source (e.g., live electrical power circuit, etc.). This criterion does not include discoveries made by zero-energy checks and other precautionary investigations made before work is authorized to begin. **NOTE:** • *For this criteria, work is considered authorized to begin when the associated work document has been released for work, and zero-energy (safe condition and/or safe-to-work) checks have been completed.* • *The term "zero-energy check" used in this context means any preliminary checks done to find hazardous energy during the development of a lockout/tagout, up to and including the Safe-to-Work Check done by the Authorized Worker.*
3. SC-4 Any failure to follow a prescribed hazardous energy control process (e.g., lockout/tagout, hazardous energy control program) **NOTE:** *Reporting under this criterion is defined as those events involving "technical errors." A technical error is the failure to properly execute a hazardous energy control process requirement that could have resulted in hazardous energy being present, unidentified, in the work location but was prevented by other credited process controls (i.e., technical review, installation, verification, safe condition check, safe-to-work check).*
Subgroup F – Hazardous Energy Control (other than electrical)
1. SC-2 Any unexpected or unintended personal contact (burn, injury, etc.) with a hazardous energy source (e.g., powered mechanical hazards, steam, pressurized gas).
2. SC-3 Any unexpected discovery of an uncontrolled hazardous energy source (e.g., powered mechanical hazards, steam, pressurized gas). This criterion does not include discoveries made by zero-energy checks and other precautionary investigations made before work is authorized to begin. **NOTE:** • *The term "zero-energy check" used in this context means any preliminary checks done to find hazardous energy during the development of a lockout/tagout, up to and including the Safe-to-Work Check done by the Authorized Worker.* • *For this criterion, work is considered authorized to begin when the associated work document has been released for work, and zero-energy (safe condition and/or safe-to-work) checks have been completed.*

3. SC-4 Any failure to follow a prescribed hazardous energy control process (e.g., lockout/tagout, hazardous energy control program)

NOTE: *Reporting under this criterion is defined as those events involving "technical errors." A technical error is the failure to properly execute a hazardous energy control process requirement that could have resulted in hazardous energy being present, unidentified, in the work location but was prevented by other credited process controls (i.e., technical review, installation, verification, safe condition check, safe-to-work check).*

GROUP 3 – NUCLEAR SAFETY BASIS
Subgroup A – Technical Safety Requirement and Other Hazard Control Violations (Excluding Nuclear Criticality)
NOTE: *For Technical Safety Requirement/Operational Safety Requirement events, PRC-PRO-NS-8317, Safety Basis Implementation and Maintenance, contains additional information.*
1. SC-1* Any violation of a nuclear facility's Technical Safety Requirement (or Operational Safety Requirement) Safety Limit. (**USQ**)
2. SC-2 Any violation or noncompliance of a Hazard Category 1, 2, or 3 nuclear facility's Technical Safety Requirement (or Operational Safety Requirement) Limiting Control Setting, Limiting Condition for Operation, Specific Administrative Control, or Surveillance Requirement. (**USQ**) **EXCEPTION**: An event consisting solely of a surveillance test (to include any periodic activity explicitly captured in the Documented Safety Analysis [DSA] that is used to ensure operability or viability of a structure, system, or component) performed after the prescribed surveillance period, and in which the structure, system, or component was found to be capable of performing its specified safety function. (See separate criterion for late surveillance tests below).
3. SC-3 Any violation or noncompliance of a credited hazard control specified in a Hazard Category 1, 2, or 3 nuclear facility's DOE approved DSA (issued pursuant to 10 CFR Section 830.204, *Documented Safety Analysis*, and including Basis for Interim Operation [BIO], etc.), or DOE issued Safety Evaluation Report that are not addressed by Criteria 3A(1) and 3A(2). (**USQ**) **EXCEPTIONS**: • *An event consisting solely of a violation of a safety management program (e.g., quality assurance, personnel training) cited in the DSA.* • *An event consisting solely of a surveillance test (to include any periodic activity explicitly captured in the DSA that is used to ensure operability or viability of a structure, system, or component) performed after the prescribed surveillance period, and in which the structure, system or component was found to be capable of performing its specified safety function. (See separate criterion for late surveillance tests below).*
4. SC-4 An event consisting solely of a surveillance test (to include any periodic activity explicitly captured in the DSA that is used to ensure operability or viability of a structure, system, or component) performed after the prescribed surveillance period, and in which the structure, system, or component was found to be capable of performing its specified safety function.

Subgroup B – Documented Safety Analysis Inadequacies
1. SC-2 Determination of an USQ or Unreviewed Safety Question for Transportation (USQT) that reveals a currently existing inadequacy in the DSA.
2. SC-3 Declaration of a PISA, (a potential USQ), per 10 CFR Section 830.203(g). (**USQ**) **NOTE:** *When a potential inadequacy of a DSA is found, it would be initially reported under Criterion 3B(2). If further analysis results in a positive USQ determination, then the occurrence report should be updated to recategorize it under Criterion 3B(1). If the analysis results in a negative USQ determination, the occurrence report should be updated to recategorize it under Criterion 3B(3).*
3. SC-4 Determination of a negative Unreviewed Safety Question.
Subgroup C – Nuclear Criticality Safety Control Violations **NOTE:** *HNF-7098, Criticality Safety Program, contains CHPRC Criticality Safety Program Definitions.*
1. SC-OE* A criticality accident occurs.
2. SC-1* A condition in which no documented controls are available to prevent a criticality accident. An accident has not occurred due to other, non-documented barriers or controls. (**USQ**) **NOTE:** *For ORPS reporting purposes, this criterion applies to an issue identified as a criticality Violation. HNF-7098 contains additional information.*
3. SC-2 A loss of one or more nuclear criticality documented controls such that an accidental criticality is possible from the loss of one additional documented control (Criticality Infraction). (**USQ**) **NOTE:** *For ORPS reporting purposes, this criterion applies to an issue identified as criticality Infraction in a facility where a criticality accident is credible;* ***OR*** *an issue identified as a criticality Infraction in a facility where a criticality accident is documented as not credible and a criticality accident is possible from the loss of one additional documented control. HNF-7098 contains additional information.*
4. SC-3 A deficiency in criticality safety analysis or degradation of a documented criticality control (or controls) such that adequate controls were not in place for a credible criticality accident scenario. **NOTE:** *For ORPS reporting purposes, this criterion applies to an issue identified as a criticality Discrepancy;* ***OR*** *an issue identified as a criticality Infraction in a facility where a criticality accident has been documented as not credible and the as found condition remains equivalent to a double contingent process/operation. HNF-7098 contains additional information.*

GROUP 4 – FACILITY STATUS
NOTE: • *When considering categorization of an occurrence in this section, requirements 7.1 of this procedure should be reviewed to determine if a Fitness for Duty (PRC-PRO-HR-042) evaluation is required. Timeliness is a factor in this decision.* • *The criteria below apply to both nuclear and non-nuclear facilities. However, criteria specific to Safety Class (SC) or Safety Significant (SS) Structures, Systems, or Components (SSC) would apply only to nuclear facilities.*
Subgroup A – Safety Structure/System/Component Degradation (Nuclear Facilities)
1. SC-3 Performance degradation of any SC or SS SSC, or any support system that is required for safety operation of the SC or SS SSCs, which prevents satisfactory performance of its design function when it is required to be operable. (**USQ**) **NOTE:** • *Performance degradation includes the absence of or deficiency with Design Features for which credit has been taken in the DSA.* • *All requirements of the Technical Safety Requirement bases must be met.* • *Appendix G contains definitions applicable to this criterion.*
2. SC-4 Performance degradation of any Safety Class SSC when not required to be operable. (**USQ**) **NOTE:** *Performance degradation includes the absence of or deficiency with Design Features for which credit has been taken in the DSA.*
Subgroup B – Operations
1. SC-2* A formal change of operational mode or curtailment of work or processes directed by a DOE Field Element Manager or Contracting Officer for safety reasons (e.g., a Stop Work Order).
2. SC-2 Actuation of SSC or its alarms, as a result of an actual unsafe condition. Spurious alarms (e.g., due to electronic noise, radon/thoron decay) should not be reported.
3. SC-3 Actuation of a SSC, or its alarms as a result of an actual unsafe condition. Spurious alarms (e.g., due to electronic noise, radon/thoron decay) should not be reported.
4. SC-3 A facility evacuation, other than a precautionary evacuation or an evacuation due to false alarms or spurious alarms (e.g., due to electronic noise, radon/thoron decay). If the event fell under another reporting criterion, then evacuation should be reported as well by noting multiple reporting criteria for the single occurrence.

5. SC-4 A facility operational event which resulted in an adverse effect on safety, such as, but not limited to:

   a. An inadvertent facility or operations shutdown (i.e., a change of operational mode or curtailment of work or processes), or
   b. A manual facility or operations shutdown due to alarm response procedures, or
   c. An inadvertent process liquid transfer, or
   d. An inadvertent release of hazardous material from its engineered containment (**USQ**)

6. SC-4 A facility or operations shutdown (i.e., a change of operational mode or curtailment of work or processes) directed by senior contractor or senior DOE management for safety reasons, and requiring a corrective action(s) prior to continuing operations. (**USQ**)

7. SC-4 Any event or condition that would prevent immediate facility or off-site emergency response capabilities. (**USQ**)

Subgroup C – Suspect/Counterfeit and Defective Items or Material

NOTE:

- *Findings meeting the below criteria shall be reported by the facility/project where they are found, OR if found by receiving (acquisition verification services [AVS]), the facility/project where the suspect/counterfeit items were procured or are being shipped to. Once an item has been confirmed to be Suspect/Counterfeit through the nonconformance report (NCR) dispositioning process, an occurrence report should be initiated in accordance with this procedure. The date and time the reporting facility receives confirmation is the date and time of discovery for this procedure; categorization is then required within 2 hours.*
- *Reports submitted under the following criteria must contain the manufacturer/supplier/vendor company name (if available), the model and part numbers, the quantity found, why the item/material is suspect/counterfeit or defective, and how the item/material is being used. Also include the method of detection (i.e., receipt inspection, craft inspection prior to installation, in-service inspection, or failure) and identify any resulting consequences.*
- *Appendix E contains additional guidance and definitions applicable to this criterion.*
- *PRC-PRO-QA-301, Control of Suspect/Counterfeit and Defective Items, contains additional information.*

1. SC-3 Discovery of any suspect or counterfeit item or material found in a SC or SSC. (**USQ**)

2. SC-4 Discovery of any other suspect or counterfeit item or material (i.e., not found in a SC or SSC) that is found in any application whose failure could result in a loss of safety function, or present a hazard to public or worker safety health and safety.

3. SC-4 Discovery of any defective item or material, other than a suspect/counterfeit item or material, in any application whose failure could result in a loss of safety function, or present a hazard to public or worker health and safety. (**USQ**)

GROUP 5 – ENVIRONMENTAL

NOTE: *When considering categorization of an occurrence in this section, PRC-PRO-HR-042 should be reviewed to determine if a Fitness for Duty evaluation is required. Timeliness is a factor in this decision.*

Subgroup A – Releases

1. SC-3* Any release (on-site or off-site) of a hazardous or extremely hazardous substance, including radionuclides from a DOE facility above federally permitted releases in a quantity equal to or exceeding the federal reportable quantities specified (see specifications in 40 CFR Part 302, *Designation, Reportable Quantities, and Notification*, 40 CFR Part 355, *Emergency Planning and Notification*, and CERCLA Section 101(10), *Federally Permitted Releases*.)

NOTE: *See Group 1, Criterion 1, for situations under which releases of pollutants into the environment exceeding permit limits would be reported under "Operational Emergencies."*

2. SC-4 Any release (on-site or off-site) of a pollutant from a DOE facility that is above levels or limits specified by outside agencies in a permit, license, or equivalent authorization, when reporting is required in a format other than routine periodic reports.

NOTE:

- *Oral notifications in a regulatory agreement (i.e., Air Operating Permits) are considered "routine" reporting, although the event being reported may require categorization under other criteria in this procedure. Occurrences requiring a follow-up written report to a regulator are reported under this criterion, at a minimum. PRC-PRO-EP-15333.*
- *See Group 1, Criterion 1, for situations under which releases of pollutants into the environment exceeding permit limits would be reported under "Operational Emergencies."*

3. SC-4 Any release (onsite or offsite) that exceeds 100 gallons of oil of any kind or in any form, including, but not limited to, petroleum, fuel oil, sludge, oil refuse, and oil mixed with wastes other than dredged spoil. For operations involving oil field crude or condensate, any discharge that must be reported to outside agencies in a format other than routine periodic reports is reportable under this criterion.

NOTE: *See Group 1, Criterion 1, for situations under which releases of pollutants into the environment exceeding permit limits would be reported under "Operational Emergencies."*

4. SC-4 Any discrete release of sulfur hexafluoride (SF_6) due to an event or DOE operation equal to or exceeding 115 pounds (1,247 metric tons of CO2e according to 40 CFR Part 98, Subpart A, Table A-1, *Global Warming Potentials*) or 115 pounds more than the normal release quantity if the SF_6 release is a common byproduct of the operation.

NOTE: *See Group 1, Criterion 1, for situations under which releases of pollutants into the environment exceeding permit limits would be reported under "Operational Emergencies."*

Subgroup B – Ecological and Cultural Resources
1. SC-2 Any occurrence, including releases, causing significant impact to ecological or cultural resource for which DOE is has responsibility under applicable laws, regulations, and Executive Orders. For Example, extensive damage to, or destruction of: a. Ecologically preserved areas, or pristine or protected wetlands, or b. Threatened or protected flora or fauna or critical habitats, or c. Potable drinking water intake or well usage, or d. Historical/archeological sites
2. SC-2* Any occurrence, including releases, resulting in extensive environmental degradation (e.g., fish kill, notable loss or relocation of native species, need for interdiction of crop sales, or restriction to human access). **NOTE:** *See Group 1, Criterion 1 for situations under which occurrences affecting ecological or cultural resources would be reported under "Operational Emergencies."*
GROUP 6 – CONTAMINATION/RADIATION CONTROL **NOTE:** *When considering categorization of an occurrence in this section, PRC-PRO-HR-042 should be reviewed to determine if a Fitness for Duty evaluation is required. Timeliness is a factor in this decision.*
Subgroup A – Loss of Control of Radioactive Materials
1. SC-2* Identification of radioactive material offsite due to DOE operations/activities that exceeds applicable DOE limits (pursuant to DOE O 458.1 Chg. 2, *Radiation Protection of the Public and the Environment*, dated 6-6-11).
2. SC-2 Loss or unexpected discovery of radioactive material that exceeds 100 times the values in 10 CFR Part 835, *Occupational Radiation Protection*, Appendix E (excluding consumer products such as smoke detectors, if they are handled in accordance with manufacturer's instructions), or loss of accountability of such material for more than 24 hours. The 24-hour time period begins when the loss of accountability is discovered and must include one business day. **NOTE:** *CHPRC-00073, CHPRC Radiological Control Manual, Appendix 4A contains guidance about reporting values under this criterion.*
3. SC-3 Loss or unexpected discovery of radioactive material which exceeds 1 times and no greater than 100 times the values in 10 CFR Part 835, Appendix E (excluding consumer products such as smoke detectors, if they are handled in accordance with manufacturer's instructions) or loss of accountability of such material for more than 24 hours. The 24-hour time period begins when the loss of accountability is discovered and must include one business day. **NOTE:** *CHPRC-00073, Appendix 4A contains guidance about reporting values under this criterion.*

Subgroup B – Spread of Radioactive Contamination
1. SC-2* Identification of offsite radioactive contamination due to DOE operations/activities that exceeds applicable DOE-approved authorized limits (pursuant to DOE O 458.1 Chg. 2, *Radiation Protection of the Public and the Environment*, dated 6-6-11) or, if there are none, the total contamination values in 10 CFR Part 835, Appendix D. **NOTE:** • *Release or clearance of property containing or potentially containing residual radioactive material is subject to requirements in DOE O 458.1. Compliance with 10 CFR Part 835, Appendix D values does not necessarily satisfy the requirements in DOE O 458.1.* • *The discovery of radioactive contamination from past DOE/NNSA operations that may have caused, is causing, or may reasonably be expected to cause exposures exceeding protective action criteria may be reportable as an Operational Emergency under Group 1, Criterion 1.* • *CHPRC-00073, Table 2-2 (10 CFR Part 835, Appendix D) and Table 4-1 (DOE O 458.1) contains reporting values.*
2. SC-2 Identification of onsite radioactive contamination greater than 100 times the total contamination values in 10 CFR Part 835 Appendix D, exclusive of footnote 3 to Appendix D, and that is found outside of the following locations: areas routinely posted, controlled and monitored for contamination, areas controlled in accordance with 10 CFR Section 835.1102(c), and, per Section 835.604(a), any non-posted area that is under the continual observation and control of an individual knowledgeable of and empowered to implement required access and exposure control measures. For tritium, the reporting threshold is 100 times the removable contamination values in 10 CFR Part 835, Appendix D. **NOTE**: • *This does not apply to surface contamination from residual radioactive material meeting applicable DOE-approved authorized limits.* • *This does not apply to legacy radioactive contamination, which is to be reported under a separate criterion below.* • *The exclusion from reporting contamination in a Radiological Buffer Area applies only when the area has been established for Contamination Area, High Contamination Area or Airborne Radioactivity Area and its exit requirements have adopted guidance from Article 338.2 of DOE-STD-1098-2008.* • *The discovery of radioactive contamination from past DOE/NNSA operations that may have caused, is causing, or may reasonably be expected to cause uncontrolled personnel exposures exceeding protective action criteria may be reportable as an Operational Emergency under Group 1, Criterion 1.* • *CHPRC-00073, Table 2-2 contains reporting values.*

3. SC-3 Identification of on-site radioactive contamination greater than 10 times and no greater than 100 times the total contamination values in 10 CFR Part 835, Appendix D, exclusive of footnote 3 to Appendix D, and that is found outside of the following locations: areas routinely posted, controlled and monitored for contamination, areas controlled in accordance with 10 CFR Section 835.1102(c), and, per Section 835.604(a), any non-posted area that is under the continual observation and control of an individual knowledgeable of and empowered to implement required access and exposure control measures. For tritium, the reporting threshold is 10 times the removable contamination values in 10 CFR Part 835, Appendix D.

NOTE:

- *This does not apply to contamination from residual radioactive material meeting applicable DOE-approved authorized limits.*
- *This does not apply to legacy radioactive contamination, which will be reported under a separate criterion below.*
- *The exclusion from reporting contamination in a Radiological Buffer Area applies only when the area has been established for a Contamination Area, High Contamination Area or Airborne Radioactivity Area and its exit requirements have adopted guidance from Article 338.2 of DOE-STD-1098-2008. (Article 337.2 of CHPRC-00073).*
- *This reporting criterion does not apply to packages monitored in accordance with 10 CFR Section 835.405 that meet Department of Transportation (DOT) contamination limits specified in 49 CFR Section 173.433(a).*
- *CHPRC-00073, Table 2-2 contains reporting values*

4. SC-4 Identification of on-site legacy radioactive contamination greater than 10 times the total contamination values in 10 CFR Part 835 Appendix D, exclusive of footnote 3 to Appendix D, and that is found outside of the following locations: areas routinely posted, controlled and monitored for contamination, and areas controlled in accordance with 10 CFR Section 835.1102(c), and per Section 835.604(a), any non-posted area that is under the continual observation and control of an individual empowered to implement access and exposure control measures. For tritium, the reporting threshold is 10 times the removable contamination values in 10 CFR Part 835, Appendix D.

NOTE:

- *Legacy radioactive contamination is radioactive contamination resulting from historical operations that are unrelated to current activities.*
- *This does not apply to contamination from residual radioactive material meeting applicable DOE-approved authorized limits.*
- *The exclusion from reporting contamination in a Radiological Buffer Area applies only when the area has been established for a Contamination Area, High Contamination Area or Airborne Radioactivity Area and its exit requirements have adopted guidance from Article 338.2 of DOE-STD-1098-2008 (Article 337.2 of CHPRC-00073).*
- *CHPRC-00073, Table 2-2 contains reporting values*
- *Legacy **biological** contamination occurrences categorized under this criteria are submitted to ORPS by the MSC on a quarterly Short Form occurrence report. The final decision on what constitutes a legacy **biological** contamination occurrence, for the purpose of the quarterly report, rests with the IBC Program Manager, or delegate. If the condition or concern is determined to meet the criteria for legacy **biological** contamination reporting, the MSC IBC Program Manager will perform all ORPS reporting functions. Section 4.4.1, steps 11 and 12, contain direction on categorizing these types of events.*

Subgroup C – Radiation Exposure
NOTE: *For all of subgroup C, reportability should be determined promptly following an event, using field indicators when dosimetry results are not available. Quantitative dose estimates should only be reported using the site's established dosimetry, dose assessment, and modeling processes. Resulting confirmed dose estimates may overturn initial reportabilty determinations.*
1. SC-1* Determination of a dose that exceeds the limits specified in 10 CFR Part 835, Subpart C, *Occupational Radiation Protection* or DOE O 458.1 Chg 2, *Radiation Protection of the Public and the Environment*, dated 6-6-11, paragraph 4.b(1)(a) [paragraph 2.b(1)(a) of the CRD], *Public Dose Limit*.
2. SC-2 Failure to provide the required monitoring for an exposure estimated to exceed the values for providing personnel dosimeters and bioassays as stated in 10 CFR Section 835.402(a) or 10 CFR Section 835.402(c).
3. SC-3 Determination of a single occupational dose, attributable to an identified event that exceeds an expected dose by: (1) 500 mrem Committed Effective Dose (CED), or (2) the greater of 10 percent or 100-mrem effective dose due to external exposure.
4. SC-3 A radiological release that exceeds any limit contained in paragraphs 4.f.(2), 4.f.(5), 4.g.(4), 4.g.(5)(a), 4.g.(7), 4.g.(8)(a)4, or 4.i.(1) of DOE O 458.1 Chg 2, *Radiation Protection of the Public and the Environment*, dated 6-6-11 or exceeds the 40 CFR Section 61.92 requirements.
Subgroup D – Personnel Contamination
NOTE: *Personnel contamination occurrences will be reported in 100cm^2 units.*
1. SC-2* Any occurrence requiring off-site medical assistance for contaminated personnel, including transporting a person with personnel or clothing contamination due to DOE operations/activities that exceeds one times the total contamination values in 10 CFR Part 835, Appendix D to an off-site medical facility or bringing off-site medical personnel on-site to perform treatment or decontamination.
2. SC-2 Identification of offsite personnel or clothing contamination due to DOE operations/activities that exceeds one times the total contamination values in 10 CFR Part 835, Appendix D. For tritium, the reporting threshold is one times the removable contamination value found in 10 CFR Part 835, Appendix D. **NOTE:** • *CHPRC-00073, Table 2-2, contains reporting values.* • *Does not include laundry known to be contaminated that is sent off-site for cleaning.*
3. SC-4 Identification of on-site personnel or clothing contamination (excluding anti-contamination clothing provided by the site for radiological protection) that exceeds ten times the total contamination values identified in 10 CFR Part 835, Appendix D. The contamination level must be based on direct measurement and not averaged over any area. This criterion does not apply to tritium contamination. **NOTE:** • *CHPRC-00073, Table 2-2, contains reporting values.* • *Does not include laundry known to be contaminated that is sent off-site for cleaning.*

GROUP 7 – NUCLEAR EXPLOSIVE SAFETY

NOTE: *This criteria group does not apply to CHPRC facilities, and is not included in this procedure.*

GROUP 8 – PACKAGING AND TRANSPORTATION

NOTE*:*

- *When considering categorization of an occurrence in this section, PRC-PRO-HR-042 should be reviewed to determine if a Fitness for Duty evaluation is required. Timeliness is a factor in this decision.*
- *The CHPRC DOT compliance officer (373-9594) can provide guidance for categorizing under the following criteria.*

1. SC-2* Any off-site transportation incident involving hazardous materials that would require immediate notice pursuant to 49 CFR Section 171.15(b).

NOTE: *Any occurrence involving an offsite DOE/NNSA shipment containing hazardous materials that causes the initial responders to initiate protective actions at locations beyond the immediate/affected area should also be reported as an Operational Emergency under Group 1, Criterion 1; Group 8 will be a secondary reporting criterion.*

2. SC-3 Any deviation that would require a written report to the Nuclear Regulatory Commission (per 10 CFR Section 71.95) or to DOE HCO/NNSA CO (per CRD O 460.1C or CRD O 461.1A), namely:

   a. Instance in which there is a significant reduction in the effectiveness (as defined by the certificate holder) of any approved fissile or Type B packaging during use
   b. Discovery of a defect with safety significance (as determined by the certificate holder) in a fissile or Type B packaging, after first use (by any shipper)
   c. Instance in which the conditions of approval in the Certificate of Compliance (or equivalent) were not performed in making a shipment

3. SC-3* Any offsite “accident” (per 49 CFR Section 390.5) involving a motor vehicle carrying DOE hazardous materials operating on a highway in interstate or intrastate commerce.

NOTE: *Prompt notification is not required if the accident does not involve personnel injuries.*

4. SC-3 Any offsite transportation incident involving DOE hazardous materials that requires submission of a Hazardous Materials Incident Report on DOT Form F 5800.1 pursuant to 49 CFR Section 171.16.

5. SC-3 Any off-site transportation of hazardous material, including radioactive material, whose quantity or nature (e.g., physical or chemical composition) is such that it is noncompliant with the receiving facilities Waste Acceptance Criteria (WAC) or other receipt requirements and the receiving organization’s operations were significantly impacted or disrupted (e.g., material cannot be accepted, possessed, or stored at that facility; must be treated or repackaged to be accepted; or exceeds a license or permit limit).

6. SC-3 Any transportation activity for onsite transfer resulting in onsite release of radioactive materials, hazardous materials, hazardous substances, hazardous waste, or marine pollutants that is above permitted levels and exceeds the reportable quantities (RQ) specified in 40 CFR Section 302 OR 40 CFR Section 355. **(USQ)**

NOTE:

- *This occurrence may be reportable under Group 1, Criteria 2, 3, or 4.*
- *Any release of a quantity of hazardous materials greater than five (5) times the Reportable Quantity specified for such material in 40 CFR Section 302; of greater than 1,000 gallons (24 barrels) of oil to inland waters; or greater than 10,000 gallons (238 barrels) of oil to coastal waters should also be reported as an Operational Emergency under Group 1, Criterion 1; Group 8 will be a secondary reporting criterion.*

7. SC-4 Violation of applicable Hazardous Materials Regulations requirements for activities listed in 49 CFR Section 171.1(b) performed during the preparation of offsite hazardous materials shipments and discovered during shipment in commerce or at the receiving site.

NOTE: *Issues discovered and corrected prior to truck departure are not reportable under this criterion.*

8. SC-4 Any onsite transfer of hazardous material, including radioactive material, whose quantity or nature (e.g., physical or chemical composition) is such that it is noncompliant with the receiving facilities Waste Acceptance Criteria (WAC) or other receipt requirements and the receiving organization's operations were significantly impacted or disrupted (e.g., material cannot be accepted, possessed, or stored at that facility; must be treated or repackaged to be accepted; or exceeds a license or permit limit. **(USQ)**

9. SC-4 Unauthorized deviation from DOE instructions to commercial motor carriers for DOE hazardous materials shipments (e.g., designated route, prohibited route, designated time of the day).

GROUP 9 – NONCOMPLIANCE NOTIFICATIONS

NOTE: *When considering categorization of an occurrence in this section, PRC-PRO-HR-042 should be reviewed to determine if a Fitness for Duty evaluation is required. Timeliness is a factor in this decision.*

1. SC-4 Any written notification from an outside regulatory agency that a site/facility is considered to be in noncompliance with a schedule or requirement (e.g., Notice of Violation, Notice of Intent to Sue, Notice of Noncompliance, Warning Letter, Finding of Violation, Finding of Alleged Violation, Administrative Order, or equivalent notification or enforcement action).

NOTE:

- *Formal notification must be received by CHPRC or a subcontractor in writing.*
- *This criterion is not applicable to DOE Office of Enforcement actions.*

2. SC-4 Any packaging or transportation violation of regulations discovered by DOT during onsite inspections or Compliance Reviews that results in fines greater than $5,000 or Unsatisfactory/Conditional Satisfactory ratings.

NOTE: *Noncompliance occurrence reports are to be updated to reflect fines or penalties levied or corrective actions imposed by the outside regulatory agency upon final settlement of any enforcement action undertaken.*

GROUP 10 – MANAGEMENT CONCERNS/ISSUES

NOTE: *When considering categorization of an occurrence in this section, PRC-PRO-HR-042 should be reviewed to determine if a Fitness for Duty evaluation is required. Timeliness is a factor in this decision.*

1. SC-2 Any event resulting in the initiation of a Federal Accident Investigation Board, as categorized by CRD O 225.1B, *Accident Investigations*.

NOTE: *This reporting criterion may raise the significance category of an occurrence already reported under separate criteria. Multiple reporting criteria should be noted when appropriate.*

2. SC (1-4) An event, condition, or series of events that does not meet any of the other reporting criteria, but is determined by the Facility Manager or line management to be of safety significance or of concern for that facility or other facilities or activities in the DOE complex. The significance category assigned to the management concern should be based on an evaluation of the potential risks and impact on safe operations.

NOTE:

- *This is the criteria to use for a recurring event (Significance Category R), if no other specific criteria can be identified.*
- *The Prompt Notification requirements identified in the Occurrence Reporting Model (Appendix D) should be followed.*

3. SC (1-3) A near miss to an otherwise ORPS reportable event, where something physically happened that was unexpected or unintended, or where no or only one barrier prevented an event from having a reportable consequence.

NOTE:

- *Near miss occurrences are categorized as Significance Category 1, 2, or 3 only.*
- *The significance category assigned to the near miss must be based on an evaluation of the potential risks and extent of personnel exposure to the hazard.*
- *Root cause analysis, including corrective actions to prevent recurrence, must be performed for near miss occurrences. The FR may waive the root cause analysis for Group 10(3) near miss occurrences on a case-by-case basis (i.e., when the root cause analysis is not necessary to develop corrective actions to prevent recurrence, and an apparent cause determination is adequate).*
- *The Prompt Notification requirements identified in the Occurrence Reporting Model (Appendix D) should be followed.*

4. SC-4* Any occurrence that may result in a significant concern by affected state, tribal, or local officials, press, or general population; that could damage the credibility of the Department; or that may result in inquiries to Headquarters.

NOTE: *This is the criterion used for reporting Abnormal Events.*

5. SC-4* Any occurrence of such significant immediate interest to off-site personnel and organizations that it warrants prompt notification to the DOE-HQ Operations Center (HQ OC), and which is not already designated elsewhere in this set of reporting criteria to have prompt notification [denoted by having an asterisk (*) next to the significance category].

Appendix D - Occurrence Reporting Model

Significance Category	Timelines[1]	Prompt Notification	Investigation	Causal Analysis	Corrective Actions	Report Approvals	Corrective Action Effectiveness Review	Lessons Learned[3]
Hazardous Material OE **Base Program OE** **Both**	Cat: ASAP PN: NLT 15 min (Alert, Site Area, General) Cat: ASAP (15 min) PN: NLT 30 min WN: COB next business day not to exceed 80 hrs UR: As needed Final Report: 45 days	EOC Shift Office, RL-Facility Representative (FR) & DOE HQ Operations Center (OC)	Team with Trained Investigator (See 7.1) DOE Consider Accident Investigation (AI)	Root Cause Determined	Remedy Problem, Prevent Recurrence, & Preclude Similar Problems	RL-FR & DOE Program Manager (PM) Approval	Document Independent Verification & Assessment of Effectiveness to Prevent Recurrence	Recommend entering into DOE LL Database
Significance Category 1 Reportable Occurrence	Cat: NLT 2 hrs PN: NLT 90 min WN: COB next business day not to exceed 80 hrs UR: As needed Final Report: 45 days	EOC Shift Office, RL-FR & DOE HQ OC	Team with Trained Investigator (See 7.1) DOE Consider AI	Root Cause Determined, unless waived by FR, then Apparent Cause	Remedy Problem, Prevent Recurrence, & Preclude Similar Problems	RL-FR & DOE PM Approval	Document Effectiveness Review	Recommend entering into DOE LL Database.
Significance Category R (Recurring events, all categories, including non-reportable data)	Cat: NLT 2 hrs PN: NLT 90 min WN: COB next business day UR: As needed Final Report: 45 days	EOC Shift Office & RL-FR	Trained Investigator (See 7.1 of this procedure)	Root Cause Determined unless waived by FR, then Apparent Cause	Remedy Problem, Prevent Recurrence, & Preclude Similar Problems	RL-FR Approval	Document Effectiveness Review	Recommend entering into DOE LL Database
Significance Category 2 Reportable Occurrence	Cat: NLT 2 hrs PN: NLT 90 min. WN: COB next business day UR: As needed Final Report: 45 days	EOC Shift Office & RL-FR[2] [2]	Trained Investigator (See 7.1 of this procedure)	Root Cause Determined unless waived by FR, then Apparent Cause	Remedy Problem & Prevent Recurrence	RL-FR Approval	Optional, See PRC-PRO-QA-052	LL statement required in occurrence report field; Optional entry into DOE LL Database; Process per PRC-PRO-MS-067
Significance Category 3 Reportable Occurrence	Cat: NLT 2 hrs PN: NLT 90 min WN: NLT 2 business days UR: As needed Final Report: 45 days	EOC Shift Office, RL-FR & DOE HQ OC[2]	Critique / Investigation Activities	Apparent Cause Determined Group 10(3) events require Root Cause, unless waived by FR	Remedy Problem	RL-FR Approval (See section 4.4.7)	Optional	LL statement required in occurrence report field Process per PRC-PRO-MS-067
Significance Category 4 Reportable Occurrence	Cat: NLT 2 hrs PN: NLT 90 min (as required) Short Form: NLT 2 business days	EOC Shift Office, RL-FR & DOE HQ OC[2]	The reporting of apparent causes, corrective actions and lessons learned is optional, but not required. Reportable and non-reportable occurrences are managed per PRC-PRO-QA-052. For reportable occurrences under Group 2E(3) and Group 2F(3), an apparent cause analysis is required. NOTE: The Quarterly Legacy/Contamination SC-4 occurrence is an <u>exception</u> to the '2 business day' requirement for ORPS submittal.					

[1]Cat: Categorization Time from Discovery Date & Time
PN: Prompt Notification from Categorization Date & Time
WN: Written Notification from Categorization Date & Time
UR: Update Report
Final Report from Categorization Date & Time
NLT: No Later Than
COB: Close of Business

[2]Specific Significance Category 2, 3, & 4 occurrences with an asterisk (*) in Appendix C, also require Prompt Notification to the DOE HQ OC

[3]LL: Lessons Learned
OE: Operating Experience

Appendix E - Guidance on Reporting Suspect/Counterfeit and Defective Items or Material

The following examples are provided as guidance for reporting under Group 4, Facility Status, Subgroup C, Suspect/Counterfeit and Defective Items or Materials. These are examples only and are not all-inclusive of issues that may fall under these criteria.

NOTE: *Regardless of ORPS reporting, all S/CI must be controlled, a NCR written/resolved, and the item reported to the DOE Inspector General in accordance with CRD O 414.1D, Quality Assurance.*

Group 4(1) SC-3: Discovery of any suspect or counterfeit item or material found in a SC or SSC.

- This criteria would be applicable if the item was installed, identified as a spare in a warehouse, or identified upon onsite receipt inspection by acquisition verification services (AVS).

Group 4(2) SC-4: Discovery of any other suspect or counterfeit item or material (i.e., not found in a SC or SSC) that is found in any application whose failure could result in a loss of safety function, or present a hazard to public or worker health and safety.

- This criteria would be used in the following applications:
    - S/CI fastener found in an office chair
    - S/CI components installed in permanently affixed or mobile systems and equipment
    - S/CI item found in a tool crib or shop ready spares bin
    - S/CI fastener found in proximity to an ongoing maintenance/construction job
    - S/CI item identified during onsite receiving inspection by AVS.

The following are examples where an occurrence report would not be required:

- S/CI components identified in a structural member or building equipment identified during demolition of the structure.
- S/CI components identified in an area separate from where the item would actually be used such as excess material areas, recycling lugers, or waste dumpsters.
- S/CI components identified during vendor visits to an offsite manufacturer or supplier

Appendix F - Recurring Event Criteria

Newly discovered increasing trends should be reviewed for potential categorization as a recurring event. Areas of stable performance should be reviewed on a one-time basis to determine if the current level represents an acceptable risk. The criteria (3a through 3d) below may be used to document what is considered “unacceptable”.

1. The set of events or conditions are similar in nature. This may be based on similar causes, reporting criteria, keyword, or word search.

   AND

2. a. There is either a non-improving trend

   OR

   b. The rate of occurrence is stable at an unacceptable level.

   AND

3. a. The events or conditions themselves represent an unacceptable risk of a serious event (employee injury, environmental hazard, or equipment damage).

   OR

   b. The events or conditions are symptomatic of a larger company or programmatic issue, which if left unchecked, represents an unacceptable risk of a serious event.

   OR

   c. The events or conditions are minor in nature, but frequent enough to have a serious impact on facility operations, budget, or schedule.

   OR

   d. The events or conditions are indicative of a failure of corrective or compensatory actions from previous events that, if left uncorrected, could lead to a serious event.

Appendix G - Occurrence Reporting Definitions

1. ABNORMAL EVENT. An event that does not meet the alert, site area, or general emergency classification levels, but is significant enough to generate the immediate interest of offsite agencies, the media, or generate public concern. Abnormal Event is a Hanford term used to decide when timely notification of offsite agencies is required.

2. APPARENT CAUSE. The most probable cause(s) that explains why the event happened, that can reasonably be identified, that local or facility management has the control to fix, and for which effective recommendations for corrective action(s) to remedy the problem can be generated.

3. BASE PROGRAM OPERATIONAL EMERGENCIES. Unplanned, significant events or conditions that require time-urgent response from outside the immediate affected site or facility. Base Program Operational Emergencies may involve degradation of personnel health or safety, the environment, security and safeguards, or the release or loss of control of hazardous materials.

4. BUSINESS DAY. For occurrence reporting purposes, the normal administrative day of the reporting organization (e.g., Monday through Friday, 0700 to 1630 local time). Example: A Notification Report for a Significance Category 1 occurrence must be submitted before Close of Business (COB) the next business weekday (not to exceed 80 hours) after the occurrence is categorized (1630). Example: A Notification Report for a Significance Category 3 (SC-3) occurrence is due no later than 2 business days from event categorization; therefore an SC-3 occurrence categorized on Tuesday at 1400 hours would be due Thursday at 1630 hours .

5. CONDITION. Any as-found state, whether or not resulting from an event, that may have adverse safety, health, quality assurance, operational or environmental implications. A condition is usually programmatic in nature; for example, errors in analysis or calculation; management process are all conditions.

6. DEFECTIVE ITEMS. A defective item or material is any item or material that does not meet the commercial standard or procurement requirements as defined by catalogues, proposals, procurement specifications, design specifications, testing requirements, contracts, or the like. It does not include parts or services that fail or are otherwise found to be inadequate because of random failures or errors within the accepted reliability level.

7. DISCHARGE. Includes, but is not limited to, any spilling, leaking, pumping, pouring, emitting, emptying, or dumping of oil, but excludes discharges in compliance with a permit under Chapter 402 of the Clean Water Act (CWA, Public Law 92-500, *Federal Water Pollution Control Act [commonly referred to as the Clean Water Act]*); discharges resulting from circumstances identified and reviewed and made a part of the public record with respect to a permit issued or modified under Chapter 402 of the CWA and subject to a condition in such permit; or continuous or anticipated intermittent discharges from a point source, identified in a permit or permit application under Chapter 402 of the CWA, that are caused by events occurring within the scope of relevant operating or treatment systems.

8. DISCOVERY DATE AND TIME. The discovery date and time is when the facility staff discovered or became aware of the event or condition. Discovery date is NOT the date and time when the event or condition is determined to be reportable. The facility staff are those personnel assigned to the facility and cognizant of the area in which the event or condition is identified.

9. ELECTRICALLY SAFE WORK CONDITION. A state in which the conductor or circuit part to be worked on or near has been disconnected from energized parts, locked/tagged in accordance with established standards, tested to ensure the absence of voltage, and grounded if determined necessary.

10. EQUIVALENT DOSE.

    Committed Equivalent Dose ($H_{T.50}$). Refer to 10 CFR Section 835.2 or to DOE O 458.1 Chg 2, *Radiation Protection of the Public and the Environment*, dated 6-6-11, Attachment 2 (Definitions).

    Committed Effective Dose (E_{50}). Refer to 10 CFR Section 835.2 or to DOE O 458.1 Chg 2, *Radiation Protection of the Public and the Environment*, dated 6-6-11, Attachment 2 (Definitions).

    Effective Dose (E). Refer to 10 CFR Section 835.2 or to DOE O 458.1 Chg 2, *Radiation Protection of the Public and the Environment*, dated 6-6-11, Attachment 2 (Definitions).

    Total Effective Dose (TED). Refer to 10 CFR Section 835.2 or to DOE O 458.1 Chg 2, *Radiation Protection of the Public and the Environment*, dated 6-6-11, Attachment 2 (Definitions).

11. EVENT. Something significant and real-time that happens (e.g., pipe break, valve failure, loss of power, environmental spill, earthquake, tornado, flood).

12. FACILITY. Any equipment, structure, system, process, or activity that fulfills a specific purpose. Examples include accelerators, storage areas, fusion research devices, nuclear reactors, production or processing plants, coal conversion plants, magnetohydrodynamic experiments, windmills, radioactive waste disposal systems and burial grounds, environmental restoration activities, testing laboratories, research laboratories, transportation activities, and accommodations for analytical examinations of irradiated and unirradiated components.

13. FACILITY MANAGER. A federal (including government-owned, government-operated sites) or contractor individual, or designee, with direct line responsibility for operation of a facility or group of related facilities, including authority to direct physical changes to the facility. For purposes of occurrence reporting, a Facility Manager could also be responsible for a program or activity.

14. FACILITY REPRESENTATIVE. For each major facility or group of lesser facilities, an individual or designee assigned responsibility by the Head of Field Element/Operations Organization (including NNSA) for monitoring the performance of the facility and its operations. This individual should be the primary point of contact with the facility operating personnel and will be responsible to the appropriate Secretarial Officer/Deputy Administrator (NNSA) and Head of Field Element/Operations Organization for implementing the requirements of CRD O 232.2.

15. HAZARDOUS ELECTRICAL ENERGY EXPOSURE. Within the Limited Approach Boundary (LAB) of an energized part not suitably guarded, isolated, or insulated. This includes de-energized parts for which a safe work condition has not been established, e.g. lockout/tagout.

16. HAZARDOUS SUBSTANCE OR MATERIAL.

    a. Department of Energy - Hazardous Material. Any solid, liquid, or gaseous material that is chemically toxic, flammable, radioactive, or unstable upon prolonged storage, and that exists in quantities that could pose a threat to life, property, or the environment.

    b. Department of Transportation - Hazardous Materials (see 49 CFR Sections 171.8 and 172.101). A substance or material, including a hazardous substance, which has been determined by the Secretary of Transportation to be capable of posing an unreasonable risk to health, safety, and property when transported in commerce and which has been so designated.

    c. Comprehensive Environmental Response, Compensation and Liability Act Hazardous Substances (see 40 CFR Part 302).

    d. Occupational Safety and Health Administration (OSHA) Hazardous Chemical (see 29 CFR Section 1910.1000 and 29 CFR Section 1910.1200). Any chemical which is a physical or a health hazard.

    e. Superfund Amendments and Reauthorization Act Title 3 Extremely Hazardous Substances (see 40 CFR Part 355). These are not defined but appear on lists in Appendix A, *Base Program Operational Emergency Criteria,* and Appendix B, *Abnormal Event Category List,* of 40 CFR Part 355.

17. IN-PATIENT HOSPITALIZATION. Admission to a hospital requiring at least one overnight stay. This would include admission for purposes of observation only.

18. ITEM. An all-inclusive term used in place of the following: appurtenance, sample, assembly, component, equipment, material, module, part, structure, subassembly, subsystem, system, unit, or support systems, documented concepts, or data.

    When used in reference to nuclear material, a visible, single piece or container of nuclear material with a unique identification and known nuclear material mass.

19. LESSONS LEARNED. A “good work practice” or innovative approach that is identified and shared, or an adverse work practice or experience that is shared to prevent recurrence.

20. NON-REPORTABLE EVENT. An event that falls within the ORPS reporting groups, does not exceed any of the specific ORPS reporting criteria, and the reporting organization has determined to be included in the required ORPS Performance Analysis activity.

21. NOTIFICATION REPORT. The initial documented report, to DOE, of an event or condition that meets the reporting criteria defined in PRC-PRO-EM-060 (and DOE M 232.2).

22. NUCLEAR FACILITY. A reactor or nonreactor nuclear facility where an activity is conducted for or on behalf of DOE and includes any related area, structure, facility, or activity to the extent necessary to ensure proper implementation of the requirements of 10 CFR Part 830.

23. OCCURRENCE. One or more (i.e., recurring) events or conditions that adversely affect, or may adversely affect, DOE (including NNSA) or contractor personnel, the public, property, the environment, or the DOE mission. Events or conditions meeting the criteria thresholds identified in PRC-PRO-EM-060 (or DOE O 232.2) or determined to be recurring through performance analysis are occurrences.

24. OCCURRENCE INVESTIGATION. An investigation conducted according to site-specific procedures and/or when determined by DOE procedures that an investigation by a Federal Accident Investigation Board is required.

25. OCCURRENCE REPORT. A documented evaluation of an event or condition that is prepared in sufficient detail to enable the reader to assess its significance, consequences, or implications and to evaluate the actions being proposed or employed to correct the condition or to avoid recurrence.

26. OFFSITE. Property or location that is not DOE/NNSA or DOE/NNSA contractor owned, leased, or directly controlled.

27. OFFSITE TRANSPORTATION EVENT. Involves movement of materials that are considered to be in commerce, thus requiring compliance with Department of Transportation Hazardous Materials Regulations. (49 CFR Parts 171 – 180).

    Transportation events with injuries or fatalities may also require reporting in accordance with Group 2 criteria.

28. OIL. Oil of any kind or in any form, including but not limited to petroleum, fuel oil, sludge, oil refuse, and oil mixed with wastes other than dredged spoil.

29. ONSITE. Property or location that is DOE/NNSA or DOE/NNSA contractor owned, leased, or directly controlled.

30. ONSITE TRANSPORTATION EVENT. Involves movement of material not in commerce and subject to regulations in 10 CFR Part 830 or DOE onsite procedures and safety requirements.

    Onsite transfer events with injuries or fatalities may also require reporting in accordance with Group 2 criteria.

31. OPERATIONS. The act, process, or method of operating. This can apply to facilities regardless of mode (shutdown, standby, operational) or state (construction, operational, deactivated, decommissioning).

32. PACKAGING AND TRANSPORTATION. Packaging and Transportation activities/functions include: (1) Packaging – Activities related to the design, manufacture, and qualification of packaging represented as qualified for use in the transportation of hazardous materials; (2) Pre-transportation functions; (3) Transportation functions (movement of hazardous materials and loading, unloading, and storage incidental to the movement); and (4) shipping in accordance with applicable international, Federal, state, local, and tribal laws, rules, and regulations governing materials transportation that are consistent with Federal regulations (e.g., 10 CFR and 49 CFR) and DOE Packaging and Transportation Directives (e.g., CRD O 460.1C, CRD O 460.2A, CRD M460.2-1A, and 10 CFR Part 830, *Nuclear Safety Management.*

33. PERFORMANCE DEGRADATION. Failure or degradation of a facility, process, system, or component that reduces the reliability of critical components of the facility whose loss or degradation prevents the system from performing its intended function. Performance degradation does not include: (1) a burned out power indicator light on a piece of radiation monitoring equipment which does not prevent the equipment from detecting elevated radiation levels and alarming as designed; (2) a piece of equipment that is determined to be out of calibration on the conservative side (such as a low level alarm that alarms at a higher value than it should); or (3) the temporary loss of a component where redundant components are maintained operable or in operation and the authorization basis is not compromised.

34. PERSONNEL EXPOSURE. An incident of contact or encounter with a hazardous chemical, physical, biological, or energetic agent at one of the exchange boundaries of the organism (e.g., skin, respiratory system, eyes, ears, or digestive system). “Exposure” does not refer to a situation where personnel, protected by appropriate personal protective equipment, are subjected to an environment whose ambient conditions present a harmful level of any one, or combination of, the hazards.

35. POLLUTANT. Any material requiring a permit for release into the environment.

36. PRE-TRANSPORTATION FUNCTION. A function specified in the Hazardous Materials Regulations (HMR) that is required to assure the safe transportation of a hazardous material in commerce, including: materials classification, packaging, marking, labeling, shipping paper preparation, loading, blocking, bracing, segregating, securing, and placarding (49 CFR Section 171.8).

37. PRIMARY CONFINEMENT. Provides confinement of hazardous material to the vicinity of its processing. This confinement is typically provided by piping, tanks, glove boxes, encapsulating material, and the like, along with any off gas systems that control effluent from within the primary confinement.

38. PROGRAM MANAGER. The individual designated for this order, by and under the direction of a Secretarial Officer/Deputy Administrator (NNSA), who is directly involved in the operation of facilities under his or her cognizance, and is authorized to provide technical direction through Heads of Field Elements/Operations Offices (including NNSA) to operating personnel for these facilities.

39. PROMPT NOTIFICATION. Timely reporting of the occurrence to the DOE Field Office and the DOE Headquarters Operations Center as required by the Significance Category and the reporting criteria of the occurrence.

40. RELEASE. Any spilling, leaking, pumping, pouring, emitting, emptying, discharging, injecting, escaping, leaching, dumping, or otherwise disposing of substances into the environment. This includes abandoning/discarding any type of receptacle containing substances in an unenclosed containment structure but does not include permitted containment structures.

41. REPORTABLE OCCURRENCE. Occurrence to be reported in accordance with the criteria defined in PRC-PRO-EM-060 (or DOE M 232.2).

42. ROOT CAUSE. The causal factor(s) that, if corrected, would prevent recurrence of the occurrence. It is the most basic cause that explains why the event happened, that can reasonably be identified, that senior management has the control to fix, and for which effective recommendations for corrective actions to remedy the problem, prevent specific recurrence of the problem, and preclude occurrence of similar problems can be generated, if necessary. This is typically one level further in the analysis beyond the Apparent Cause(s) (i.e., one level beyond the Level C node of the Corrective Action Tree.

43. SAFETY CLASS STRUCTURES, SYSTEMS, OR COMPONENTS (SAFETY CLASS SSCs). The structures, systems, or components, including portions of process systems, whose preventive or mitigative function is necessary to limit radioactive hazardous material exposure to the public, as determined from safety analyses. (10 CFR Section 830.3).

44. SAFETY SIGNIFICANT STRUCTURES, SYSTEMS, OR COMPONENTS (SAFETY SIGNIFICANT SSCs). The structures, systems, or components that are not designated as safety class structures, systems, or components, but whose preventive or mitigative function is a major contributor to defense in depth and/or worker safety as determined from safety analyses. (10 CFR Section 830.3)

45. SECRETARIAL OFFICER. Secretarial Officers are: the Secretary, Deputy Secretary, and Under Secretaries; and the Assistant Secretaries and Staff Office Directors reporting to the Secretary either directly or through the Deputy Secretary or Under Secretary. The following designations are also used to identify Secretarial Officers with specific responsibilities in various areas. (1) A Program Secretarial Officer (PSO) is an Assistant Secretary, Office Director, or NNSA Deputy Administrator. In the context of field operations, a PSO funds work at a particular site, facility or laboratory and is a “customer” of the field office. (2) A Lead Program Secretarial Officer (LPSO) is a PSO to whom designated field offices directly report and who has overall landlord responsibilities for the assigned direct reporting elements. (3) A Cognizant Secretarial Officer (CSO) is a term used in the context of field operations to designate a PSO, not the LPSO, who is responsible for a laboratory or bounded set of facilities within a field office’s jurisdiction.

46. SUBCONTRACTOR. A subcontractor is defined as a contractor doing a discrete scope of work under the direction and responsibility of the Prime Contractor. This does ***not*** include personnel filling a position with the CHPRC as augmented staff or from work performed by CHPRC pre-select subcontractors.

47. SUSPECT/COUNTERFEIT ITEMS (S/CIs). An item which is suspect when inspection or testing indicates that it may not conform to established Government or industry-accepted specifications or national consensus standards or whose documentation, appearance, performance, material, or other characteristics may have been misrepresented by the vendor, supplier, distributor, or manufacturer. A counterfeit item is one that has been copied or substituted without legal right or authority or whose material, performance, or characteristics have been misrepresented by the vendor, supplier, distributor, or manufacturer. Items that do not conform to established requirements are not normally considered S/CIs if non-conformity results from one or more of the following conditions (which must be controlled by site procedures as nonconforming items):

    - Defects resulting from inadequate design or production quality control
    - Damage during shipping, handling, or storage
    - Improper installation
    - Deterioration during service
    - Degradation during removal
    - Failure resulting from aging or misapplication; or
    - Other controllable causes (IAEA-TECDOC-1169)

48. TECHNICAL SAFETY REQUIREMENTS (TSRS). The limits, controls, and related actions that establish the specific parameters and requisite actions for the safe operation of a nuclear facility and include, as appropriate for the work and the hazards identified in the documented safety analysis for the facility: safety limits, operating limits, surveillance requirements, administrative and management controls, use and application provisions, and design features, as well as a bases appendix. (10 CFR Section 830.3)

49. UNREVIEWED SAFETY QUESTION (USQ). A situation where (1) the probability of the occurrence or the consequences of an accident or the malfunction of equipment important to safety previously evaluated in the documented safety analysis could be increased, (2) the possibility of an accident or malfunction of a different type than any evaluated previously in the DSA could be created, (3) a margin of safety could be reduced, or (4) the DSA may not be bounding or may be otherwise inadequate. (10 CFR Section 830.3)