

No: Y14-192

Title: Occurrence Notification and Reporting

Rev. Date: 09/01/03

This procedure establishes the occurrence notification and reporting process to be accomplished for compliance with Occurrence Reporting S/RIDs, which are a direct flowdown from Department of Energy (DOE) Order DOE O 231.1A, Environment, Safety, and Health Reporting.

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**BWXT Y-12, L.L.C.
Management Requirements**

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**BWXT Y-12
Procedure**

Subject: Occurrence Notification and Reporting

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10/27/03
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Concurrence:

This document has completed the management requirements process.

M. J. Keyser 10/13/03
Requirements Management

This procedure has been reviewed by an Authorized Derivative Classifier and UCNI Reviewing Official and has been determined to be UNCLASSIFIED and contains no UCNI. This review does not constitute clearance for public release.

Tony M Charles /s/ 10/07/03
Name and Date

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REVISION LOG
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Revision Date	Description of Change	Affected Pages
9/01/03	DMR-03-PA-011 This procedure revision is an intent change as the result of DOE Headquarters announcing that by November 30, 2003, contractors will be identifying and reporting reportable events in accordance with DOE O 231.1A, Environment, Safety, and Health Reporting and its associated Manual DOE M 231.1-2, Occurrence Reporting and Processing of Operations Information.	All
12/30/02	DMR-2002-PSS-006 Intent Change to incorporate SRIDS, training requirements, address records retention, clarify/define 78-hour requirement for submitting an Occurrence Report, incorporate revised RADCON requirements, address changes reflected in Facility (Nuclear) Safety S/RID10 CFR 830 and revised Facility Safety (Y74-series) Management Requirements. Update point of contact; modify format and other issues as included in the scope of the Impact Statement.	All
11/1/00	Procedure adopted for use by BWXT Y-12, L.L.C. Blue Sheet Process	All
05/19/00	DMR-00-OCA-002 Non-intent change to clarify roles of personnel and management in the identification and reporting of occurrences	5-11
09/23/99	On Record	
06/08/99	On Record	
03/01/99	On Record	
09/10/98	On Record	

Subject: Occurrence Notification and Reporting

PURPOSE

This procedure establishes the occurrence notification and reporting process to be accomplished for compliance with Occurrence Reporting S/RIDs, which are a direct flowdown from Department of Energy (DOE) Order DOE O 231.1A, *Environment, Safety, and Health Reporting*. The process includes requirements for timely identification, categorization, notification, evaluation, correction, and reporting occurrences to management and DOE.

APPLIES TO

The requirements of this procedure apply to all BWXT Y-12 employees, activities, programs, installations, and organizations. Occurrences involving subcontractors, vendor service personnel or visitors are the responsibility of the BWXT Y-12 requisitioning or host organization.

For events categorized as an Emergency in accordance with Y40-156, *Event Categorization and Classification*, the notification of the Emergency will be made as required by Y40-155, *Offsite Notification*, and the written Occurrence Reports prepared in accordance with this procedure (Y14-192).

Non-conformances attributable to sources external to BWXT Y-12 are generally excluded from the requirements of this procedure. Those that meet the criteria in Appendix B, Group 4C of this procedure, are reportable occurrences.

Events concerning Safeguards and Security incidents, are controlled and reported by the Safeguards and Security Organization reported in accordance with DOE N 471.3 and Y19-021, *Procedure for the Conduct of Preliminary Inquiries*.

Deviations to this procedure should be requested in writing and approved by the Occurrence Reporting Functional Area Manager in advance of the deviation. Interpretations of this procedure are the sole responsibility of the Functional Area Manager.

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**OTHER
DOCUMENTS
NEEDED**

- 40 CFR Table 302.4, *List of Hazardous Substances and Reportable Quantities*
- 40 CFR Table 117.3, *Reportable Quantities of Hazardous Substances Designed Pursuant to Section 311 of the Clean Water Act*
- 40 CFR 355, *The List of Extremely Hazardous Substances and their Threshold Planning Quantities*
- DOE O 231.1A, *Environment, Safety, and Health Reporting*
- DOE M 231.1-2, *Occurrence Reporting and Processing of Operations Information*
- DOE G 231.1-1, *Occurrence Reporting and Performance Analysis Guide*
- DOE O 225.1, *Accident Investigation*
- EMPO-559, *Y-12 National Security Complex Emergency Action Level (EAL) Process*
- EMPO-500, *Y-12 National Security Complex Emergency Plan*
- Y19-203INS, *Manual for the Protection and Control of Classified Matter and Controlled Information*
- Y19-021, *Procedure for the Conduct of Preliminary Inquiries*
- Y14-001INS, *Conduct of Operations Manual*
- Y40-155, *Offsite Notification*
- Y40-156, *Event Categorization and Classification.*
- Y15-312INS, *Issues Management*
- Y15-331, *Lessons Learned Program*
- Y73-170, *Safety and Health Incident Reporting and Investigations, references DOE Form 5484.3, Individual Accident/Incident Report*

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A. Identification of Adverse Events or Conditions**WHAT TO DO**

NOTE: Any documentation generated (written, oral, or computer input) during the occurrence reporting process must be reviewed by an Authorized Derivative Classifier (ADC)/Unclassified Controlled Nuclear Information Reviewing Official (UCNI-RO) for classification purposes.

Until the classification of UCNI or U-S determination is made, the information must be handled and protected at the highest possible classification level. All requirements contained in Y19-203INS, *Manual for the Protection and Control of Classified Matter and Controlled Information*, must be met. The Corrective Action Planning System (CAPS) and the DOE Occurrence Reporting and Processing System (ORPS) are unclassified, nonsensitive database systems, which prohibit the entry of classified, UCNI, or U-S information.

All Personnel

1. Report any actual or potentially adverse event/condition to the Plant Shift Superintendent's (PSS) Office and/or to facility supervision immediately upon identification.

**Facility Supervision
(including line supervision,
Shift Technical Advisors,
Shift Managers, Operations
Managers or equivalent
personnel)**

2. Perform the duties assigned by this procedure.
3. Initiate, as appropriate, additional actions necessary to mitigate or control the event/condition.
4. Ensure that adverse events/conditions are reported to the PSS as soon as possible.
5. Secure the scene of the adverse event/condition, as appropriate, to protect relevant evidence and information for any subsequent investigation.
6. Provide preliminary information on the event/condition to the responsible Organization Manager and to the PSS.

Subject: Occurrence Notification and Reporting

A. Identification of Adverse Events or Conditions (cont.)

PSS

7. Initiate appropriate response actions to stabilize the event/condition or to return the facility/operation/activity to a safe condition.
8. IF other DOE prime contractors could be involved, THEN notify the appropriate prime contractor management.

B. Categorization Determination

**Organization Manager/
Operations Manager/
Designee**

1. Categorize events/conditions in accordance with Y14-192, Appendix B, *BWXT Y-12 Categorization Matrix*, and within the following time periods:
 - Emergencies in accordance with Y40-156, *Event Categorization and Classification*.
 - All other occurrences within two hours of the time of discovery.

All of the specific reporting criteria that apply must be identified. Many occurrences have multiple criteria that pertain to the occurrence. In these cases, all of the applicable criteria must be recorded.

The list below provides the specific Significance Category (SC) for each occurrence level.

Operational Emergencies. The most serious event or condition, consisting of any unwanted operational, civil, or natural phenomenon which could endanger or adversely affect people, property, or the environment. Level-A Issue in accordance with Y15-312, *Issues Management*.

Significance Category 1. Occurrences in this category are non-emergency occurrences that have a significant impact on safe facility operations, worker or public safety and health, regulatory compliance, or public/business interests. Level-A Issue in accordance with Y15-312, *Issues Management*.

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B. Categorization Determination (cont.)

Organization Manager/ Operations Manager/ Designee

Significance Category R. Occurrences in this category are those determined as recurring, as identified from the periodic performance analysis of occurrences in accordance with Y15-312, *Issues Management*. Level-A Issue based upon Trending performed in accordance with Y15-312, *Issues Management*.

Significance Category 2: Occurrences in this category are non-emergency occurrences that have a moderate impact on safe facility operations, worker or public safety and health, regulatory compliance, or public/business interests. Level-B Issue in accordance with Y15-312, *Issues Management*.

Significance Category 3: Occurrences in this category are non-emergency occurrences that have a minor impact on safe facility operations, worker or public safety and health, regulatory compliance, or public/business interests. Level-B Issue in accordance with Y15-312, *Issues Management*.

Significance Category 4: Occurrences in this category are non-emergency occurrences that have some impact on safe facility operations, worker or public safety and health, public/business interests. Level-C Issue in accordance with Y15-312, *Issues Management*.

2. Determine the need for additional evaluation and follow-up in accordance with Y14-001INS, *Conduct of Operations Manual*, Chapter 6.0 for events that do not meet the criteria for a reportable occurrence.
3. IF the proper category is initially not clear, THEN categorize the occurrence at the highest category that may apply.

The occurrence category may be elevated, maintained, or lowered in an Update Report, as additional information becomes available.

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B. Categorization Determination (cont.)**Occurrence Reporting
(OR) Staff**

4. Assist the Organization Manager in determining categorization.

**Organization Manager/
Operations Manager/
Designee**

5. Initiate the critique process and investigation of the occurrence (see Section E).
6. Compile initial information associated with the occurrence and ensure the information is reviewed by an ADC/UCNI-RO.

This information may be used to assist in conducting initial notifications and compiling the occurrence Notification Report or Prompt Notification form (UCN-21218) as necessary.

C. Initial Notifications**Organization Manager/
Operations Manager/
Designee**

NOTE: The PSS can assist in making initial notifications for the Organization Manager/Operations Manager/Designee. These notifications can best be accomplished by providing the completed Occurrence Prompt Notification form (UCN-21218) to PSS who has all the contact phone numbers. Requests for PSS assistance should be clearly communicated.

1. Ensure information being provided in the following notifications has been reviewed by an ADC/UCNI RO.

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C. Initial Notifications (cont.)

**Organization Manager/
Operations Manager/
Designee**

1. Provide initial notifications to the PSS, BWXT Y-12 Senior Management, and the on-call duty Facility Representative within two hours and to the following agencies within their specified time requirements:
 - Emergencies – DOE HQ OC and other agencies in accordance with Y40-155, *Offsite Notifications*.
 - Significance Category 1 – within two hours of categorization the DOE HQ OC.
 - Specific Significance Category 2, 3, and 4 occurrences [identified with Asterisks (*) in Appendix B] or if directed by the Facility Representative, Prompt Notification is required to the DOE HQ OC within two hours of categorization (using Occurrence Prompt Notification form UCN-21218).
 - Any occurrence where a Reportable Quantity (RQ) is exceeded; LEPC and other agencies must be notified in accordance with Y40-155, *Offsite Notification*.
 - Any occurrence where suspect counterfeit items are identified (Appendix B, Group 4C) – notify the DOE Office of the Inspector General (IG) as soon as practical.
2. Notify the facility-specific Facility Representative when practical if the following occurs:
 - Categorization of any occurrence
 - Change in category of an occurrence (i.e. from Significance Category 3 to Significance Category 2).

Subject: Occurrence Notification and Reporting

C. Initial Notifications (cont.)**Organization Manager/
Operations Manager/
Designee**

3. Provide follow-up notifications to entities previously notified if any of the following occurs:
 - Further degradation of the facility safety level.
 - Worsening of facility conditions (including those that require declaration of an emergency, if an emergency was not previously declared)
 - Any change in either the emergency class or the occurrence category (e.g., upgrading from Significance Category 3 to Significance Category 2)
 - Termination of an emergency

D. Notification Report Preparation**Organization Manager/
Operations Manager/
Designee**

1. Compile the Notification Report using the Occurrence Report Module in CAPS and Appendix C, *Occurrence Report Guidance* of this procedure, or using UCN-21253 if CAPS is unavailable.

NOTE: Names of individuals should not be uniquely identified in the narrative sections of the occurrence report. References to vendors, subcontractors, other companies or contractors, or their products/services should be avoided where possible.

OR Staff

2. Assist the Organization Manager, as needed.

**Organization Manager/
Operations Manager/
Designee**

3. Review and sign the Notification Report, documenting approval.

NOTE: Classified, UCNI or U-S information must not be entered into CAPS or ORPS. Therefore, an unclassified, nonsensitive version must be entered into these systems while an appropriately classified version is provided to the NNSA Facility Representative on Form UCN-21253, in accordance with guidelines established in Y19-203INS, *Manual for the Protection and Control of Classified Matter and Other Protected Information*.

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D. Notification Report Preparation (cont.)**Organization Manager/
Operations Manager/
Designee**

4. Obtain an ADC/UCNI RO review.
5. Ensure transmittal of the Notification Report for Operational Emergencies and Significance Category 1 Occurrences to the OR Staff by 1400 hours the next business day unless a later time has been coordinated (not to exceed 80 hours from the time of categorization).
6. Ensure the transmittal of the Notification Report for Significance Categories R and 2 Occurrences to the OR Staff by 1400 hours the next business day from the time of categorization.

**Organization Manager/
Operations Manager/
Designee**

7. Ensure the transmittal of the Notification Report for Significance Category 3 and 4 (Short Form) Occurrences to the OR Staff by 1400 hours on the second business day from the time of categorization.

No additional Update or Final reports are required for Significance Category 4 occurrences.

OR Staff

8. Review the Notification Report for completeness and adequacy. Confirm that the required elements to describe the occurrence and immediate actions taken have been completed.
 - a. IF the report does not meet the requirements of this procedure, and cannot be immediately corrected, THEN return the report to the responsible Organization Manager for correction and resubmittal.
 - b. IF all review requirements are met, THEN submit the Notification Report to ORPS.
9. Ensure distribution of the Notification Report.

Subject: Occurrence Notification and Reporting

E. Investigation and Analysis

NOTE: All legal issues, including questions pertaining to compliance with regulations, must be directed to the BWXT Y-12 Law Department.

**Organization Manager/
Operations Manager/
Designee**

1. Conduct a critique in accordance with Y14-001INS, *Conduct of Operations* Chapter 6.0.
2. Ensure the analysis and investigation of the occurrence is conducted, utilizing a graded approach.

Should a Type A or Type B Investigation, be required, refer to DOE O 225.1A, *Accident Investigations* for investigation of the occurrence.

3. Compile information associated with the analysis and investigation.
4. IF any changes in categorization are determined or if significant or new information becomes available, THEN
 - Provide follow-up notifications in accordance with Section C.
 - Prepare an Update Report (see Section F).

OR Staff

5. Assist the Organization Manager, as requested.

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F. Update Report Preparation

NOTE: For occurrences reported prior to the effective date of this procedure, Update Reports should be prepared in the format of UCN-20990.

**Organization Manager/
Operations Manager/
Designee**

1. IF one of the following situations exist, THEN prepare an Update Report:
 - Significant or new information about the occurrence is identified
 - The occurrence is re-categorized
 - When the Final Report cannot be completed within 45 calendar days after categorization or within the estimated completion date provided in a previous Update Report
2. Compile additional information using CAPS and Appendix C, *Occurrence Report Guidance* or, UCN-21253 if CAPS is unavailable.

OR Staff

3. Assist Organization Manager as requested.

**Organization Manager/
Operations Manager/
Designee**

4. Provide an explanation in the “Evaluation by Facility Manager” field of the Occurrence Report.
5. Review and sign the Update Report, documenting approval.
6. Ensure the Update Report is reviewed by an ADC/UCNI RO.
7. Ensure transmittal of the Update Report to the OR Staff by 1400 hours the next business day unless a later time has been coordinated (not to exceed 80 hours from the time of categorization change).

Subject: Occurrence Notification and Reporting

F. Update Report Preparation (cont.)

OR Staff

8. Review the Update Report for completeness and adequacy. Confirm that the required elements to describe the reason/conditions for the Update have been completed.
 - a. IF the report does not meet the requirements of this procedure, and cannot be immediately corrected, THEN return the report to the responsible Organization Manager for correction and resubmittal.
 - b. IF all review requirements are met, THEN submit the Update Report to ORPS.
9. Ensure distribution of the Update Report.

G. Final Report Preparation

NOTE: For occurrences reported prior to the effective date of this procedure, Final Reports should be prepared in the format of UCN-20990. Final Reports are not required for Significance Category 4 occurrences.

Organization Manager/ Operations Manager/ Designee

1. Ensure completion of the investigation and analysis of the occurrence.

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G. Final Report Preparation (cont.)

**Organization Manager/
Operations Manager/
Designee**

2. Prepare the Final Report (for other than Significance Category 4 occurrences), ensuring the following conditions are satisfied:
 - Reports associated with Radiological Control (RADCON) issues are reviewed by the RADCON Organization Manager (or designee) for technical adequacy prior to submission to ORPS.
 - The significance, nature, cause(s) and extent of the event or condition are determined and addressed.
 - The lessons learned and generic implications from the occurrence have been identified and addressed.
 - Corrective action(s) that should prevent recurrence are defined, scheduled, approved, and entered into CAPS in accordance with Y15-312INS, *Issues Management*.
3. Compile results of investigation and analysis in investigative files.

OR Staff

4. Assist the Organization Manager as requested.

**Organization Manager/
Operations Manager/
Designee**

5. Enter the Final Report and associated information in CAPS.
6. Ensure a Validation Checklist is completed in accordance with Y15-312INS, *Issues Management*.
7. Review and sign the Final Report, documenting approval.
8. Obtain Division Manager/designee signature on the Final Report, documenting approval.
9. Obtain an ADC/UCNI RO review and Classification Office/TIO review.

Subject: Occurrence Notification and Reporting

G. Final Report Preparation (cont.)

**Organization Manager/
Operations Manager/
Designee**

10. Ensure transmittal of the Final Report (or an Update report in accordance with Section F) to the OR Staff within 45 calendar days from the date of categorization.

OR Staff

11. Review Final Report for completeness and adequacy. Confirm that the required elements (see Appendix C) have been incorporated to document the identified cause(s) and corrective action(s) taken or planned to prevent recurrence:
 - a. IF the report does not meet the requirements of this procedure and Y15-312INS, and cannot be immediately corrected, THEN return the report to the responsible Organization Manager for correction and resubmittal.
 - b. IF all review requirements are met, THEN submit the Final Report to ORPS.
12. Ensure distribution of the Final Report.
13. Monitor ORPS to determine approval status of the Final Report.
14. Notify the Organization Manager and Issues Management of status (rejection/approval).

H. Rejected Final Reports

NOTE: For occurrences reported prior to the effective date of this procedure, Final Reports should be prepared in the format of UCN-20990.

**Organization
Manager/Operations
Manager**

1. IF the Final Report is rejected by either the Facility Representative or Program Manager, THEN determine the reasons for rejection.

Discussions with the appropriate Facility Representative and/or Program Manager may be necessary to determine an acceptable resolution.

Subject: Occurrence Notification and Reporting

H. Rejected Final Reports (cont.)

**Organization
Manager/Operations
Manager**

2. Determine the need for additional investigation and analysis.
3. IF the revised Final Report cannot be submitted within 21 days, THEN submit an Update Report (refer to Section F) explaining the delay, and providing an estimated date for resubmittal of the Final Report in the "Evaluation by Facility Manager" field of the Occurrence Report.
4. Prepare a revised Final Report (refer to Section G) that addresses the reasons for the rejection of the initial Final Report.
5. Review and sign the Final Report, documenting approval.
6. Obtain Division Manager/designee signature on the Final Report, documenting approval.
7. Obtain an ADC/UCNI RO review and Classification Office/TIO review, if necessary.
8. Ensure transmittal of a revised Final Report to the OR Staff within 21 calendar days (or the date provided in a previous Update Report) of the report's rejection.

OR Staff

9. Review the revised Final Report for completeness and adequacy. Confirm that the required elements (see Appendix C) have been incorporated to document the identified cause(s) and corrective action(s) taken that should address the reasons for rejection of the initial Final Report and prevent recurrence.
 - a. IF the report does not meet the requirements of this procedure and Y15-312INS, and cannot be immediately corrected, THEN return the report to the responsible Organization Manager for correction and resubmittal.

IF all review requirements are met, THEN submit the Final Report to ORPS.

Subject: Occurrence Notification and Reporting

H. Rejected Final Reports (cont.)

OR Staff

10. Monitor ORPS to determine approval status of the Final Report.
11. Notify the Organization Manager and Issues Management of status (rejection/approval).

I. Canceling an Occurrence Report

Organization Manager/ Operations Manager/ Designee

1. IF it is determined that an occurrence no longer meets the criteria for a reportable occurrence and no corrective actions are required THEN
 - a. Obtain concurrence from the appropriate Facility Representative to cancel the occurrence.
 - b. Ensure a Final Occurrence Report is developed in CAPS selecting “void” in the “Occurrence Category” field of the Occurrence Report.
 - c. Document the basis for cancellation in the “Evaluation by Facility Manager” field of the report.

OR Staff

Organization Manager/ Operations Manager/ Designee

- d. Assist the Organization Manager as requested
- e. Review and sign the Final Report, documenting approval.
- f. Obtain Division Manager/designee signature on the Final Report, documenting approval.
- g. Obtain an ADC/UCNI RO review and Classification Office/TIO review.
- h. Ensure the Final Report is transmitted to the OR Staff designating the occurrence as canceled within 45 calendar days from the date of categorization.

Subject: Occurrence Notification and Reporting**I. Canceling an Occurrence Report (cont.)****OR Staff**

2. Review the Final Report and confirm that no corrective actions are necessary along with explanation that the event no longer constitutes a reportable occurrence.
3. IF the report does not meet the requirements of this procedure and Y15-312INS, and cannot be immediately corrected, THEN return the report to the responsible Organization Manager for correction and resubmittal.
4. IF all review requirements are met, THEN submit the Final Report to ORPS designating the occurrence as canceled.
5. Monitor ORPS to determine approval status of the Final Report.
6. Notify the Organization Manager and Issues Management of status (rejection/approval).

Issues Management

7. Cancel the occurrence in CAPS upon DOE's approval of the Final Report.

J. Implementing Corrective Actions**Organization
Manager/Operations
Manager/Designee**

1. Manage corrective actions in accordance with Y15-312INS, *Issues Management*.

Issues Management

2. Ensure the status of corrective actions is correctly maintained in CAPS.
3. Ensure the status of corrective actions is correctly maintained in ORPS for occurrences reported prior to the effective date of this procedure.

OR Staff

4. Coordinate approved Change Requests for corrective actions with the ORPS Administrator for occurrences reported prior to the effective date of this procedure and for text changes to significance category 2 occurrences and above.

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K. Utilization of Occurrence Information**Organization
Manager/Operations
Manager/Designee**

1. Coordinate the dissemination of a Lessons Learned, if applicable, in accordance with Y15-331, *Lessons Learned Program*.
2. Review information from other occurrences to identify good practices and lessons learned from other facilities.
3. Perform trend analyses in accordance with Y15-312, *Issues Management* of occurrences reported for their facilities and organization to identify potentially adverse trends and conditions.
4. Based upon trend analysis, report any occurrences identified as recurring as Significance Category R.

L. Training**Occurrence Reporting
Functional Area Manager**

1. Define, develop and conduct training to support implementation of the requirements of the Occurrence Reporting Program.

**Organization Manager/
Operations Manager/
Designee**

2. Ensure employees who are assigned occurrence reporting responsibilities receive training commensurate with the performance of those duties.
3. Ensure this training is included in the employee's base-line training requirements.

RECORDS

The following records must be generated and maintained by the responsible organization until the Final Report is approved by DOE/NNSA. Upon approval of the Final Report, the unclassified records will be transferred to the Issues Management Organization by the responsible organization. These records will be maintained according to established BWXT Y-12 records management practices and approved records inventory and disposition schedules.

Access, storage and protection requirements contained in Y19-203INS, *Manual for the Protection and Control of Classified Matter and Other Protected Information*, must be met for records containing classified, UCNI, or U-S information.

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RECORDS (cont.)

Original, signed Notification, Update, and Final Reports, records pertinent to the occurrence, such as transactions, logs, personal statements, fact sheets, critique notes, root cause analysis results, laboratory analyses, and other documents referenced in the occurrence report.

**SOURCE
DOCUMENTS**

- Standards Requirements Identification Document (S/RID), DOE Manual 231.1-2

APPENDIXES

- A. Definitions
- B. BWXT Y-12 Categorization Matrix
- C. Occurrence Report Guidance

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Appendix A
Acronyms and Definitions
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Acronyms:

ADC/UCNI RO - Authorized Derivative Classifier and Unclassified Controlled Nuclear Information Reviewing Official
CAPS – Corrective Action Planning System
CERCLA - Comprehensive Environmental Response, Compensation and Liability Act
DOE – Department of Energy
DOT – Department of Transportation
EOC - Emergency Operations Center
HQ – Headquarters (i.e. DOE Headquarters)
LEPC – Local Emergency Planning Committee (an associate of TEMA)
NNSA - National Nuclear Security Administration
OREOC – Oak Ridge Emergency Operations Center
OROC – Oak Ridge Operations Center
ORPS – Occurrence Reporting and Processing System
ORR – Oak Ridge Reservation
OR Staff – Occurrence Reporting Staff
OSHA - Occupational Safety and Health Administration
RADCON – Radiological Control Organization
RCRA – Resource Conservation and Recovery Act
RQ – Reportable Quantity
S/RID- Standards/Requirements Identification Document
SSC - Structures, Systems, or Components
TEMA – Tennessee Emergency Management Agency
TIO – Technical Information Office
USQ - Unreviewed Safety Question

Definitions:

Authorized Derivative Classifier (ADC): An individual who is authorized to determine that documents and/or material are (a) unclassified or (b) classified as Restricted Data, Formerly Restricted Data, or National Security Information in accordance with existing guidance or source documents. An ADC may or may not be an authorized Unclassified Controlled Nuclear Information (UCNI) Reviewing Official (RO); these are two separate functions.

Business Day: The normal administrative day (e.g., Monday through Friday, 0700 to 1600) in which normal work activities are conducted. It is not meant to encompass the 24-hour day, even if the facility is operated or maintained on a 24-hour basis.

Condition: Any as-found state, whether or not resulting from an event, that may have adverse safety, health, quality assurance, operational or environmental implications.

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Appendix A
Acronyms and Definitions
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Corrective Action Planning System (CAPS): A central tracking and trending database used by BWXT Y-12 for the tracking of commitments and action items.

Classified Matter: Any combination of documents and material containing classified information.

Condition: Any as-found state, whether or not resulting from an event, which may have adverse safety, health, quality assurance, security, operational or environmental implications. A condition is more programmatic in nature. For example, an error in analysis or calculation; an anomaly associated with design or performance; or an item indicating a weakness in the management process are all conditions.

Defective Item, Material, or Service: Any item, material, or service that does not meet the commercial standard or procurement requirements as defined in catalogs, proposals, procurement specifications, design specifications, testing requirements, contracts, or the like. It includes those items or services found, during acceptance testing, preoperational testing, operations, inspections, or audit, not to meet the quality or reliability requirements appropriate to the use or specificity of the item or service procured. It also includes misrepresentation of the specifications or trademarks associated with the parts/service marking, packaging, or certification/identification stamps. It does not include parts or services which fail or are otherwise found to be inadequate because of random failures or errors within the accepted reliability level.

Discovery (Date and Time): The discovery date and time is when the facility staff discovered or became aware of the event or condition. The facility staff is those personnel assigned to the facility and cognizant of the area in which the event or condition is identified.

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

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, magnetohydrodynamics 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.

Facility Manager: That individual, or designee, usually but not always a contractor, 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 this procedure, a Facility Manager could also be responsible for a program or activity. At BWXT Y-12, the Organization Manager or System Owner fulfills the role of the Facility Manager as it applies to DOE Order 231.1A.

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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 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 DOE/NNSA Secretarial Officer and Head of Field Element/Operations Organization for implementing the requirements of this Manual.

Facility Staff: Personnel employed at the facility who assist the facility manager in carrying out the assigned task(s) of the facility. This includes facility supervision and operators.

Federally Permitted Release: Any release that satisfies the definition of “federally permitted release” in 40 CFR 302.3.

Hazardous Substance or Material:

- a. Office of Safeguards and Security 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 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 302).
- d. Occupational Safety and Health Administration (OSHA) Hazardous Chemical (see 29 CFR 1910.1000 and 29 CFR 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 355). These are not defined but appear on a list in Appendix A and B of 40 CFR 355.

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Item:

- a. 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.
- b. 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.

Investigative Files: Records pertinent to the occurrence, such as transactions, logs, statements, investigator's notes, fact sheets, critique notes, root cause analysis results, laboratory analyses, and other documents referenced in the occurrence report.

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 avoid recurrence.

Lost Workdays: The number of days (consecutive or not) after, but not including, the day of injury or illness during which the employee would have worked but could not do so; that is, could not perform all or any part of their normal assignment during all or any part of the workday or shift because of the occupational injury or illness.

Member of the Public: Persons who are not occupationally associated with the DOE facility or operations, i.e., persons whose assigned occupational duties do not require them to enter the DOE site.

Near Miss: A narrowly avoided condition that has the potential for adversely affecting personal safety, the environment, or safety equipment. A near miss occurs when there are no remaining barriers (e.g., physical, administrative, and procedural controls) or the single last remaining barrier prevents an unwanted condition and ensuing events cannot be foreseen or adequately controlled.

Nonreactor Nuclear Facility: Those activities or operations that involve radioactive and/or fissionable materials in such form and quantity that a significant nuclear hazard potentially exists to the employees or the general public. Included are activities or operations that: (1) produce, process, or store radioactive liquid or solid waste, fissionable materials, or tritium; (2) conduct separations operations; (3) conduct irradiated materials inspection, fuel fabrication, decontamination, or recovery operations; (4) conduct fuel enrichment operations; or (5) perform environmental remediation or waste management activities involving radioactive materials. Incidental use and generation of radioactive materials in a facility operation (e.g., check and calibration sources, use of radioactive sources in research and experimental and analytical laboratory activities, electron microscopes, and X-ray machines) would not ordinarily require the facility to be included in this definition. Accelerators and reactors and their operations are not included. The application of any rule to a nonreactor nuclear facility should be applied using a graded approach.

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Appendix A
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Notification Report: The initial documented report, to the DOE, of an event or condition that meets the reporting criteria defined in the Occurrence Reporting Requirements Documents (see Appendix B). See Appendix D, *Occurrence Report Guidance*.

Nuclear Facility: Reactor and nonreactor nuclear facilities and identified as Category I, II, or III, per DOE-STD-1027-92.

Occurrence: An event or a condition that adversely affects, or may adversely affect, DOE or contractor personnel, the public, property, the environment, or the DOE mission. Events or conditions meeting the criteria threshold identified in Appendix B, *BWXT Y-12 Categorization Matrix*.

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 (refer to Appendix D, *Occurrence Report Guidance*).

Occurrence Reporting and Processing System (ORPS): An unclassified, centralized DOE database containing Occurrence Reports from the DOE Complex.

Offsite Transportation Event: Involves movement of materials that are considered to be in commerce, thus requiring compliance with Department of Transportation (DOT) Hazardous Materials Regulations.

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.

Onsite Transportation Event: Movement of materials not in commerce and subject to DOE onsite procedures and safety requirements.

Operator(s): Personnel performing work or tasks to support facility operations. Operators may not be formally trained in occurrence reporting, and are not required to maintain logs for the purposes of this procedure.

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Operational Emergency: The most serious event or condition, consisting of any unwanted operational, civil, natural-phenomenon, or security occurrence which could endanger or adversely affect people, property, or the environment. An emergency requires an increased alert status for onsite personnel and, in specified cases, for offsite authorities. Emergencies will be categorized/classified in accordance with Y40-156, *Event Categorization and Classification*.

Organization Manager: The individual responsible for the effective management of both the operational and administrative aspects of a Y-12 organization, program or activity. The Organization Manager or System Owner fulfills the role of the Facility Manager as it applies to DOE Order 231.1A.

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 safety basis is not compromised.

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.

Primary Environmental Monitors: Monitoring equipment required to legally monitor ongoing discharges. In general, this term applies to monitors used closest to the point of discharge to determine if discharges are within specified limits. It also includes any equipment that actuates automatically in response to set level signals from such a monitor. It does not include equipment in general area, remediation, or compliance monitoring programs.

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Program Manager: The individual designated by and under the direction of a DOE/NNSA Secretarial Officer, who is directly involved in the operation of facilities under his or her cognizance, and holds signature authority to provide technical direction through Heads of Field Element/Operations Office Organizations to contractors for these facilities.

Prompt Notification: Timely reporting of the occurrence (within two hours of categorization) to the DOE Headquarters Operations Center as required by the Significance Category and the reporting criteria of the occurrence. These occurrences are identified in the Categorization Matrix (Appendix B) with an asterisk (*) next to the Identifier. Prompt Notifications can be accomplished using a completed form UCN-21218.

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.

Reportable Occurrence: Events or conditions to be reported in accordance with the criteria defined in Appendix B, *BWXT Y-12 Categorization Matrix*.

Reportable Quantity (RQ): For any Comprehensive Environmental Response, Compensation and Liability Act (CERCLA) hazardous substance, including radionuclides and Superfund Amendments and Reauthorization Act Title 3 extremely hazardous substances, with quantities established in 40 CFR Part 302 and Part 355 respectively, the release of which requires notification unless federally permitted.

Standards/Requirements Identification Document (S/RID): Standards/Requirements Identification Document to list the environmental, safety and health (ES&H) high level work control requirements with which to guide work activities in the Y-12 National Security Complex.

Safety Basis: The DOE-approved Documented Safety Analysis and hazard controls that provide reasonable assurance that a facility can be operated safely in a manner that adequately protects workers, the public, and the environment. Within the scope of Facility Safety, the safety basis is relied upon to authorize operation of a facility or activity. The safety basis for a Nuclear Facility includes a Safety Analysis Report (SAR) or Basis for Interim Operation (BIO), Technical Safety Requirements (TSR) or Operational Safety Requirement (if applicable), information submitted by the contractor to support DOE approval of any USQ or amendment to the TSRs. DOE Safety Evaluation Reports (SERs), and facility-specific commitments. The safety basis for a non-nuclear facility includes a SAR or Hazard Evaluation Report, DOE SERs, and facility-specific commitments. Hazard controls are documented within non-nuclear SARs and HERs. If a non-nuclear facility has a SAR, then information submitted to support DOE-approval of any USQ would also be a part of the safety basis.

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Safety-Class Structures, Systems, or Components (SC- SSCs): Systems, structures, or whose preventative or mitigative function is a major contributor to public safety. SC-SSCs are designated for the prevention or mitigation of nuclear hazards.

Safety-Significant Structures, Systems, or Components (SS-SSCs): Structures, systems, and components not designated as safety-class SSCs but whose preventive or mitigative function is a major contributor to defense in depth (i.e., prevention of uncontrolled material releases) and/or worker safety as determined from safety and/or hazard analysis. SS-SSCs are designated for the prevention or mitigation of nuclear hazards (see also Safety-Significant Structures, Systems, and Components for non-nuclear safety).

Safety-Significant Structures, Systems, and Components for non-nuclear safety (SS_{nn}-SSCs): Systems, structures, or components whose preventive or mitigative function is a major contributor to public safety, defense in depth (i.e. prevention of uncontrolled, non-nuclear material releases), and/or worker safety as determined from safety and/or hazard analysis. SS_{nn}-SSCs are designated for the prevention or mitigation of accidents that do not cause or exacerbate nuclear hazards (See also Safety-Class and Safety-Significant SSCs).

Service: The performance of work, such as design, construction, fabrication, inspection, nondestructive examination/testing, environmental qualification, equipment qualification, repair, installation, or the like.

Substantial Safety Hazard: A loss of safety function to the extent that there is a major reduction in the degree of protection provided to public or worker health and safety.

Supplier: An organization furnishing items or services. An all-inclusive term used in place of any of the following: vendor, seller, contractor, subcontractor, fabricator, distributor, consultant, or subtier suppliers.

Tennessee Emergency Management Agency (TEMA): The agency in Tennessee designated as the 24-hour contact for emergency and event notifications. Operates from the State Emergency Operation Center (EOC).

Time of Discovery: The time when the facility staff became aware of the event or condition being reported as an occurrence.

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Transportation Event: Any real-time occurrence involving any of the following transportation activities: materials classification, packaging, marking, labeling, placarding, temporary storage incident to transport, shipping paper preparation, loading/unloading, separation/segregation, securing, blocking and bracing, routing, accident reporting, driver and vehicle qualifications, movement of materials, communications and notifications. Transportation events with injuries or fatalities may also require reporting in accordance with Group 2 criteria.

Unclassified Controlled Nuclear Information (UCNI): Certain unclassified government information prohibited from unauthorized disclosure under Section 147 of the *Atomic Energy Act of 1954*, as amended, and DOE 471.1, *Identification and Protection of Unclassified Controlled Nuclear Information*.

Unclassified Controlled Nuclear Information Reviewing Official (UCNI RO): An individual authorized by the Department of Energy (DOE) or the Sites' Classification Office to determine that a document contains UCNI. An authorized UCNI Reviewing Official may or may not be an Authorized Derivative Classifier (ADC); these two are separate functions.

Unclassified National Security Related Information (UNSR): Information that has been determined to be unclassified, but includes specifically defined elements, which require mandatory protective measures. These specifically defined elements include Export Controlled Information (ECI), Naval Nuclear Propulsion Information (NNPI), Safeguards Information (SI), Sensitive Nuclear Technology (SNT), and Unclassified Controlled Nuclear Information (UCNI).

Unclassified Sensitive Information (U-S): Data for which disclosure, loss, misuse, alteration, or destruction could adversely affect national security or government interests. The elements of Unclassified Sensitive Information includes Applied Technology (AT), Cooperative Research and Development Agreement (CRADA) Information, Official Use Only (OUO), Privacy Act (PA) Information, Proprietary Information (PI), and Confidential/Foreign-Government-Modified Handling (C/FGI-MOD).

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APPENDIX B
BWXT Y-12 Categorization Matrix
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Group 1: Operational Emergencies

*Denotes Prompt Notification to DOE-HQ (use UCN-21218)

Group	Identifier	Categorization Criteria	Category	Site-Specific Guidance
Operational Emergencies (1A)	1A-1*	An Operational Emergency not needing further classification, as defined in DOE 151.1A, Chapter 5, Paragraph 2.	OE	See Y40-156, <i>Event Categorization and Classification</i>
	1A-2*	An Alert, as defined in DOE 151.1A, Chapter 5, Paragraph 3a.	OE	See Y40-156, <i>Event Categorization and Classification</i>
	1A-3*	A Site Area Emergency, as defined in DOE 151.1A, Chapter 5, Paragraph 3b.	OE	See Y40-156, <i>Event Categorization and Classification</i>
	1A-4*	A General Emergency, as defined in DOE 151.1A, Chapter 5, Paragraph 3c.	OE	See Y40-156, <i>Event Categorization and Classification</i>

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Group 2: Personnel Safety and Health**

*Denotes Prompt Notification to DOE-HQ (use UCN-21218)

Group	Identifier	Categorization Criteria	Category	Site-Specific Guidance
Occupational Illnesses/Injuries (2A)	2A-1*	Any occurrence due to DOE operations resulting in a fatality or terminal injury/illness. For fatalities caused by overexposures, the intent of this criterion is to report those caused by acute rather than chronic effects.	1	Requires submittal of DOE Form 5484.3, (see Y73-170, <i>Safety and Health Incident Reporting and Investigations</i>) "Individual Accident/Incident Report". Includes any BWXT Y12 employee on business travel, temporary, or extended duty assignment or other person occurring at a facility leased or operated by BWXT Y-12.
	2A-2*	Any single occurrence requiring in-patient hospitalization of three or more personnel.	1	Requires submittal of DOE Form 5484.3, (see Y73-170, <i>Safety and Health Incident Reporting and Investigations</i>) "Individual Accident/Incident Report". Includes any BWXT Y12 employee on business travel, temporary, or extended duty assignment or other person occurring at a facility leased or operated by BWXT Y-12.
	2A-3	Any single occurrence resulting in three or more personnel having Days Away, Restricted or Transferred (DART) cases per 29 CFR Part 1904.7.	2	Requires submittal of DOE Form 5484.3, (see Y73-170, <i>Safety and Health Incident Reporting and Investigations</i>) "Individual Accident/Incident Report". Includes any BWXT Y12 employee on business travel, temporary, or extended duty assignment or other person occurring at a facility leased or operated by BWXT Y-12.
	2A-4*	Personnel exposure to chemical, biological or physical hazards above limits established by the Occupational Safety and Health Administration (refer to 29 CFR Part 1910) or American Conference of Governmental Industrial Hygienists, whichever is lower, and that requires the administration of medical treatment beyond simple first aid on the same day as the exposure. [29 CFR 1904.7(b)(5)(i) and (ii) define "medical treatment" and "first aid."]	2	Requires submittal of DOE Form 5484.3, (see Y73-170, <i>Safety and Health Incident Reporting and Investigations</i>) "Individual Accident/Incident Report".
	2A-5	Personnel exposure to chemical, biological or physical hazards above limits established by the Occupational Safety and Health Administration (refer to 29 CFR Part 1910) or American Conference of Governmental Industrial Hygienists.	3	Requires submittal of DOE Form 5484.3, (see Y73-170, <i>Safety and Health Incident Reporting and Investigations</i>) "Individual Accident/Incident Report".

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**Appendix B - BWXT Y-12 Categorization Matrix
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Group	Identifier	Categorization Criteria	Category	Site-Specific Guidance
	2A-6	Any single occurrence resulting in a serious occupational injury. A serious occupational injury is an occupational injury that: <ul style="list-style-type: none"> (a) Requires hospitalization for more than 48 hours, commencing within 7 days from the date the injury was received; (b) Results in a fracture of any bone (except simple fractures of fingers, toes, or nose, or a minor chipped tooth); (c) Causes severe hemorrhages or severe damage to nerves, muscles, or tendons; (d) Damages any internal organ; or (e) Causes second- or third-degree burns, affecting more than five percent of the body surface. 	3	Requires submittal of DOE Form 5484.3, (see Y73-170, <i>Safety and Health Incident Reporting and Investigations</i>) "Individual Accident/Incident Report".
Fires/Explosions (2B)	2B-1*	Any unplanned fire or explosion within primary confinement/containment boundaries for nuclear or hazardous material within a facility. [Note: Facility specific documents need to define what constitutes the primary confinement/containment boundary.]	1	
	2B-2*	Any unplanned fire or explosion in a nuclear facility that activates a fire suppression system (e.g., halon discharge, sprinkler heads activating), is extinguished by a fire department, or disrupts normal facility operations. [Note: The activation or degradation of Safety Class and Safety Significant fire suppression systems are addressed by Group 4 Criteria.]	2	
	2B-3*	Any unplanned fire or explosion in a non-nuclear facility that <ul style="list-style-type: none"> (a) Activates a fire suppression system, (b) Takes longer than 10 minutes to extinguish following the arrival of fire protection personnel, or (c) Disrupts normal operations in a high hazard facility. 	3	
	2B-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.	4	
Hazardous Energy Control (2C)	2C-1	Failure to follow a prescribed hazardous energy control process (e.g., lockout/tagout) or disturbance of a previously unknown or mislocated hazardous energy source (e.g., live electrical power circuit, steam line, pressurized gas) resulting in a person contacting (burn, shock, etc.) hazardous energy.	2	May require submittal of DOE Form 5484.3, (see Y73-170, <i>Safety and Health Incident Reporting and Investigations</i>) "Individual Accident/Incident Report".

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Group	Identifier	Categorization Criteria	Category	Site-Specific Guidance
	2C-2	Failure to follow a prescribed hazardous energy control process (e.g., lockout/tagout) or a site condition that results in the unexpected discovery of an uncontrolled hazardous energy source (e.g., live electrical power circuit, steam line, pressurized gas). This criterion does not include discoveries made by zero-energy checks and other precautionary investigations made before work is authorized to begin.	3	

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Group 3: Nuclear Safety Basis

*Denotes Prompt Notification to DOE-HQ (use UCN-21218)

Group	Identifier	Categorization Criteria	Category	Site-Specific Guidance
Technical Safety Requirement Violations (3A)	3A-1*	Any violation of a Hazard Category 1, 2, or 3 nuclear facility's Technical Safety Requirement (or Operational Safety Requirement) Safety Limit. [Note: Safety Limits are high-level Technical Safety Requirement controls, used infrequently across the DOE Complex. As defined in 10 CFR 830.3, a Safety Limit is a limit on process variables associated with those safety class physical barriers, generally passive, that are necessary for the intended facility function and that are required to guard against the uncontrolled release of radioactive materials.]	1	See applicable facility Safety Basis documents.
	3A-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, Administrative Control, or Surveillance Requirement. Exception: An event consisting solely of a surveillance test performed after the prescribed surveillance period, and in which the equipment was found to be capable of performing its specified safety function. (See separate criterion for late surveillance tests below.)	2	See applicable facility Safety Basis documents.
	3A-3	Any violation or noncompliance of a hazard control specified in a Hazard Category 1, 2, or 3 nuclear facility's DOE approved Documented Safety Analysis [issued pursuant to 10 CFR 830.204 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). Exceptions: (a) An event consisting solely of a violation of a safety management program (e.g., quality assurance, personnel training) cited in the Documented Safety Analysis. (b) An event consisting solely of a surveillance test performed after the prescribed surveillance period, and in which the equipment was found to be capable of performing its specified safety function. (See separate criterion for late surveillance tests below.)	3	See applicable facility Safety Basis documents.

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Group	Identifier	Categorization Criteria	Category	Site-Specific Guidance
	3A-4	An event consisting solely of a surveillance test performed after the prescribed surveillance period, and in which the equipment was found to be capable of performing its specified safety function.	4	
Documented Safety Analysis Inadequacies (3B)	3B-1	Determination of a positive Unreviewed Safety Question (USQ) that reveals a currently existing inadequacy in the documented safety analysis [e.g., Safety Analysis Report (SAR) or Basis for Interim Operation (BIO)].	2	See Y74-809, <i>Unreviewed Safety Question Determinations</i>
	3B-2	Declaration of a potential inadequacy of the documented safety analysis (a potential positive USQ), per 10 CFR 830.203(g).	3	See Y74-809, <i>Unreviewed Safety Question Determinations</i>
Nuclear Criticality Safety (3C)	3C-1*	A loss of multiple nuclear criticality process-condition controls, where processes include operation, transport, and storage of fissionable materials, such that no valid controls are available to prevent a criticality accident.	1	Nuclear criticality safety violations or infractions which result in no valid criticality control remaining in place.
	3C-2	A loss of one or more nuclear criticality process-condition controls such that an accidental criticality is possible from the loss of an additional process-condition control, where processes include operation, transport, and storage of fissionable materials.	2	Nuclear criticality safety violations or infractions which result in only one valid criticality control remaining in place.

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Group 4: Facility Status**

*Denotes Prompt Notification to DOE-HQ (use UCN-21218)

Note: The criteria below apply to both nuclear and non-nuclear facilities, where applicable.

Group	Identifier	Categorization Criteria	Category	Site-Specific Guidance
Safety Structure/System /Component Degradation (4A)	4A-1	Performance degradation of any Safety Class or Safety Significant Structure, System, or Component (SSC) that prevents satisfactory performance of its design function when it is required to be operable.	3	
	4A-2	Performance degradation of any Safety Class SSC when not required to be operable.	4	
Operations (4B)	4B-1*	A Stop Work Order issued by a DOE office.	2	
	4B-2	Actuation of a Safety Class Structure, System, or Component (SSC), or its alarms, resulting from an actual unsafe condition. Spurious alarms (e.g., due to electronic noise, radon/thoron decay) should not be reported.	2	
	4B-3	Actuation of a Safety Significant Structure, System, or Component (SSC), or its alarms, resulting from an actual unsafe condition. Spurious alarms (e.g., due to electronic noise, radon/thoron decay) should not be reported.	3	
	4B-4	Any facility evacuation, not including a precautionary evacuation, in response to an actual event. If the event fell under another reporting criterion, then evacuation should be reported as well by noting multiple reporting criteria for the single occurrence.	3	
	4B-5	A facility operational event caused by deviating from a written procedure or using an inadequate procedure resulting in an adverse effect on safety, such as: an inadvertent facility or operations shutdown (i.e., a change of operational mode or curtailment of work or processes), facility or operations shutdown due to alarm response procedures, inadvertent process liquid transfer, or inadvertent release of hazardous material from its engineered containment.	4	
	4B-6*	A facility or operations shutdown (i.e., a change of operational mode or curtailment of work or processes) directed by management for safety reasons	4	

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Group	Identifier	Categorization Criteria	Category	Site-Specific Guidance
	4B-7	A facility or site stand-down resulting from safety reasons reportable as an occurrence or occurrences. [Note: This is a secondary reporting criterion and does not require a separate occurrence report.]	4	
	4B-8	Any event or condition that would prevent immediate facility or offsite emergency response capabilities.	4	
Suspect/Counterfeit and Defective Items or Material (4C)	4C-1	Discovery of any suspect/counterfeit item or material found in a Safety Class or Safety Significant Structure, System, or Component (SSC). A suspect item or material is one whose documentation, appearance, performance, material, or other characteristics may have been misrepresented by the vendor, supplier, distributor, or manufacturer. A counterfeit item or material is one for which sufficient evidence exists that deliberate misrepresentation has occurred.	3	Notify the DOE Office of the Inspector General (IG) of any suspect counterfeit fasteners found in load bearing applications.
	4C-2	Discovery of any suspect/counterfeit item or material other than office supplies, office equipment, or household products.	4	Notify the DOE Office of the Inspector General (IG) of any suspect counterfeit fasteners found in load bearing applications.
	4C-3	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. 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.	4	

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Group 5: Environmental**

*Denotes Prompt Notification to DOE-HQ (use UCN-21218)

Group	Identifier	Categorization Criteria	Category	Site-Specific Guidance
Releases (5A)	5A-1*	Any release (onsite or offsite) of a hazardous substance, material, waste, or radionuclide from a DOE facility, that is above permitted levels and exceeds the reportable quantities. (See specifications in 40 CFR 302 or 40 CFR 355.)	2	Releases above a RQ require reporting to regulatory agencies (TEMA, LEPC, and NRC) as soon as possible. This notification is typically done by the PSS.
	5A-2	Any discharge 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 of 100 barrels or more is reportable under this criterion.	2	
	5A-3	Any release (onsite or offsite) of a hazardous substance, material, waste, or radionuclide from a DOE facility that is above permitted levels and exceeds 50 percent of the reportable quantities. (See specifications in 40 CFR 302 or 40 CFR 355.)	4	
	5A-4	Any release (onsite or offsite) of a hazardous substance, material, waste, or radionuclide from a DOE facility that must be reported to outside agencies in a format other than routine periodic reports. (However, oil spills of less than 10 gallons and with negligible environmental impact need not be reported in ORPS.)	4	Any release of oil (regardless of quantity) that results in an oil sheen on waters of the United States (e.g. East Fork Poplar Creek, Bear Creek) require reporting to regulatory agencies (TEMA, LEPC, NRC) as soon as possible. This notification is typically done by the PSS.
Ecological and Cultural Resources (5B)	5B-1	Any occurrence causing significant impact to any ecological resource for which DOE is a trustee (e.g., destruction of a critical habitat, damage to an historic/archeological site, damage to wetlands).	2	For occurrences resulting in fish kills or other environmental impacts, the Environmental Compliance Organization should be consulted to evaluate the significance of the impact and if it is therefore reportable under this criteria.

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Appendix B - BWXT Y-12 Categorization Matrix
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Group 6: Contamination/Radiation Control
 *Denotes Prompt Notification to DOE-HQ (use UCN-21218)

NOTE: "Offsite" refers to areas outside the DOE Oak Ridge Reservation. Offsite includes privately owned rented office areas used by Y-12 or BWXT employees. "Onsite" refers to areas inside the DOE Oak Ridge Reservation.

Group	Identifier	Categorization Criteria	Category	Site-Specific Guidance
A Loss of Control of Radioactive Materials (6A)	6A-1	Identification of radioactive material offsite due to DOE operations/activities that exceeds applicable DOE-approved authorized limits (see DOE O 5400.5). This applies to items/areas consisting of radioactive material. This does not apply to items with surface radioactive contamination. See Criterion 6B(1) below for criteria for identification of items with surface radioactive contamination.	2	
	6A-2	Loss of radioactive material that exceeds 100 times the specified quantities [see specifications in 10 CFR Part 835, Appendix E] (excluding consumer products such as smoke detectors), 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.	2	
	6A-3	Loss of radioactive material which exceeds 1 times and no greater than 100 times the specified quantities [see specifications in 10 CFR Part 835, Appendix E] (excluding consumer products such as smoke detectors) 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.	3	
Spread of Radioactive Contamination (6B)	6B-1	Identification of radioactive contamination offsite due to DOE operations/activities that exceeds applicable DOE-approved authorized limits (pursuant to DOE 5400.5) or, if there are none, the values found in 10 CFR Part 835, Appendix D. [Note: All releases of property containing or potentially containing residual radioactivity are subject to requirements in DOE 5400.5. Compliance with 10 CFR Part 835, Appendix D values does not necessarily satisfy the requirements in DOE 5400.5.]	2	For uranium, other than U-232, these values are: >5,000 dpm/100 cm ² average total (fixed plus removable) contamination, >15,000 dpm/100 cm ² maximum total (fixed plus removable) contamination (averaging over 1 m ² is allowable provided no measurement exceeds this value), >1,000 dpm/100 cm ² removable contamination

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Group	Identifier	Categorization Criteria	Category	Site-Specific Guidance
Spread of Radioactive Contamination (6B)	6B-2	Identification of onsite radioactive contamination greater than 100 times the total contamination values in 10 CFR 835 Appendix D and that is found outside of the following locations: Contamination Areas, High Contamination Areas, Airborne Radioactivity Areas, Radiological Buffer Areas, and certain areas controlled in accordance with 10 CFR 835.1102(c). For tritium, the reporting threshold is 100 times the removable contamination values in 10 CFR Part 835, Appendix D. [Notes: (a) This does not apply to contamination from residual radioactive material meeting applicable DOE-approved authorized limits. (b) This also does not apply to legacy radioactive contamination, which will be reported under a separate criterion below. (c) The exclusion from reporting contamination in a Radiological Buffer Area applies only when the area has been established next to a Contamination Area, High Contamination Area or Airborne Radioactivity Area and its exit requirements have adopted guidance from Article 338.2 of DOE-STD-1098-99.]	2	For uranium, other than U-232, these values are: > 500,000 dpm/100 cm ² average total (fixed plus removable) contamination > 1,500,000 dpm/100 cm ² maximum total (fixed plus removable) contamination (averaging over 1 m ² is allowable provided the maximum surface activity in any area of 100 cm ² is less than this value)
	6B-3	Identification of onsite radioactive contamination greater than 10 times the total contamination values in 10 CFR 835 Appendix D and that is found outside of the following locations: Contamination Areas, High Contamination Areas, Airborne Radioactivity Areas, Radiological Buffer Areas, and areas controlled in accordance with 10 CFR 835.1102(c). For tritium, the reporting threshold is 10 times the removable contamination values in 10 CFR Part 835, Appendix D. [Notes: (a) This does not apply to contamination from residual radioactive material meeting applicable DOE-approved authorized limits. (b) This also does not apply to legacy radioactive contamination, which will be reported under a separate criterion below. (c) The exclusion from reporting contamination in a Radiological Buffer Area applies only when the area has been established next to a Contamination Area, High Contamination Area or Airborne Radioactivity Area and its exit requirements have adopted guidance from Article 338.2 of DOE-STD-1098-99.]	3	For uranium, other than U-232, these values are: > 50, 000 but ≤ 500,000 dpm/100 cm ² average total (fixed plus removable) contamination > 150,000 but ≤ 1,500,000 dpm/100 cm ² maximum total (fixed plus removable) contamination (averaging over 1 m ² is allowable provided the maximum surface activity in any area of 100 cm ² is less than this value)

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Group	Identifier	Categorization Criteria	Category	Site-Specific Guidance
Spread of Radioactive Contamination (6B)	6B-4	Identification of onsite legacy radioactive contamination greater than 10 times the total contamination values in 10 CFR 835 Appendix D and that is found outside of the following locations: Contamination Areas, High Contamination Areas, Airborne Radioactivity Areas, Radiological Buffer Areas, and areas controlled in accordance with 10 CFR 835.1102(c). For tritium, the reporting threshold is 10 times the removable contamination values in 10 CFR Part 835, Appendix D. [Notes: (a) Legacy radioactive contamination is radioactive contamination resulting from historical operations that are unrelated to current activities. (b) This does not apply to contamination from residual radioactive material meeting applicable DOE-approved authorized limits. (c) The exclusion from reporting contamination in a Radiological Buffer Area applies only when the area has been established next to a Contamination Area, High Contamination Area or Airborne Radioactivity Area and its exit requirements have adopted guidance from Article 338.2 of DOE-STD-1098-99.]	4	The Radiological Control Organization must concur with the determination of radioactive contamination as "Legacy". For uranium, other than U-232, these values are: > 50,000 dpm/100 cm ² average total (fixed plus removable) contamination > 150,000 dpm/100 cm ² maximum total (fixed plus removable) contamination (averaging over 1 m ² is allowable provided the maximum surface activity in any area of 100 cm ² is less than this value)
Radiation Exposure (6C)	6C-1*	Determination of a dose that exceeds the limits specified in 10 CFR Part 835, Subpart C, Occupational Radiation Protection or DOE O 5400.5, Chapter II, Item 1 [i.e., 100 mrem Total Effective Dose Equivalent (TEDE) for offsite exposures to a member of the public].	1	May require submittal of DOE Form 5484.3 (see Y73-170, <i>Safety and health Incident Reporting and Investigations</i>). RADCON assesses and reports doses received on site. The Environmental Compliance Organization manages the reporting of off-site exposures.
	6C-2	Any unmonitored exposure that exceeds the values for providing personnel dosimeters and bioassays as stated in 10 CFR 835.402(a) or 10 CFR 835.402(c).	2	
	6C-3	Any single occupational exposure that exceeds an expected exposure or dosimetry result by: (1) 500 mrem Committed Effective Dose Equivalent (CEDE), or (2) the greater of 10 percent or 100-mrem effective dose equivalent due to external exposure.	3	

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Group	Identifier	Categorization Criteria	Category	Site-Specific Guidance
	6C-4	Determination of an estimated annual dose that exceeds 10 mrem Total Effective Dose Equivalent (TEDE) for offsite exposures to a member of the public from air pathways only.	3	The Environmental Compliance Organization manages the reporting of off-site exposures.
Personnel Contamination (6D)	6D-1*	Any occurrence requiring offsite medical assistance for contaminated personnel, including transporting a person to an offsite medical facility or bringing offsite medical personnel onsite to perform treatment or decontamination.	2	May require submittal of DOE Form 5484.3 (see Y73-170, <i>Safety and Health Incident Reporting and Investigations</i>).
	6D-2	Identification of personnel or clothing contamination offsite due to DOE operations that exceeds the values for total contamination found in 10 CFR Part 835, Appendix D. For tritium, use the values for removable contamination found in 10 CFR Part 835, Appendix D.	2	For uranium, other than U-232, this value is > 5,000 dpm/100 cm ² total contamination.
	6D-3	Any onsite contamination of personnel or clothing (excluding site-provided protective clothing) that exceeds 10 times the values for total contamination 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.	4	For uranium, other than U-232, this value is > 50,000 dpm/100 cm ² total contamination. For purposes of occurrence reporting, when responding to a potential security incident or an emergency, clothing worn by emergency responders (i.e., fire protection, security, or medical personnel) is deemed protective clothing and, if contaminated, will not be reported as an occurrence. This is Consistent with exceptions in Y75-124, <i>Selection and Use of Protective Clothing for Radiological Protection</i> .

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Group 7: Nuclear Explosive Safety

*Denotes Prompt Notification to DOE-HQ

Group	Identifier	Categorization Criteria	Category	Site-Specific Guidance
Nuclear Explosive Safety (7)	7-1*	Damage to a nuclear explosive that results in a credible threat to nuclear explosive safety.	1	
	7-2	The unauthorized introduction of electrical energy into a nuclear explosive.	2	
	7-3	The unauthorized compromise of a nuclear explosive safety feature when installed on a nuclear explosive.	2	
	7-4	Inadvertent substitution of a nuclear explosive for a nuclear explosive-like assembly (NELA) or vice versa.	2	
	7-5	A violation of a nuclear explosive safety rule (NESR).	2	
	7-6	Damage to a training unit during training operations indicative of a hazard to a nuclear explosive.	2	
	7-7	The use of uncertified personnel or unauthorized equipment/tooling during a nuclear explosive operation.	3	
	7-8	A violation of the two-person concept of operations.	3	
	7-9	Revocation of the Personnel Assurance Program (PAP) certification of an individual (for cause).	3	PAP is not equivalent to the Y12 PSAP Program.

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Group 8: Transportation

*Denotes Prompt Notification to DOE-HQ

Group	Identifier	Categorization Criteria	Category	Site-Specific Guidance
<p>Transportation (8)</p>	<p>8-1*</p>	<p>Any offsite transportation incident involving hazardous materials that would require immediate notice pursuant to 49 CFR Part 171.15, namely:</p> <p>(a) As a direct result of hazardous materials:</p> <ul style="list-style-type: none"> (i) a person is killed, (ii) a person receives injuries requiring hospitalization, (iii) estimated property damage exceeds \$50,000, (iv) an evacuation of the general public occurs lasting 1 hour or more, (v) one or more transportation arteries or facilities are closed or shut down for 1 hour or more, or <p>(b) Fire, breakage, spillage, or suspected radioactive contamination occurs involving shipment of radioactive materials, or</p> <p>(c) Fire, breakage, spillage, or suspected contamination occurs involving shipment of infectious substances (etiologic agents), or</p> <p>(d) There has been a release of a marine pollutant in a quantity exceeding 450 liters (119 gallons) for liquids or 400 kilograms (882 pounds) for solids, or</p> <p>(e) The operational flight pattern or routine of an aircraft is altered.</p>	<p>1</p>	
	<p>8-2</p>	<p>Any offsite transport of hazardous material, including radioactive material, whose quantity or nature (e.g., physical or chemical composition) is different than intended, such that the receiving organization's operations were impacted/disrupted or the transport resulted in the initiation of corrective actions by the originating organization.</p>	<p>3</p>	
	<p>8-3</p>	<p>Any onsite transport of hazardous material, including radioactive material, whose quantity or nature (e.g., physical or chemical composition) is different than intended, such that the receiving organization's operations were impacted/disrupted or the transport resulted in the initiation of corrective actions by the originating organization.</p>	<p>4</p>	
	<p>8-4</p>	<p>Any packaging or transportation activity involving the onsite release of radioactive materials, etiologic agents, hazardous substances, hazardous waste, or marine pollutants</p>	<p>4</p>	

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Group 9: Noncompliance Notifications

Group	Identifier	Categorization Criteria	Category	Site-Specific Guidance
Noncompliance Notifications (9)	9-1	Any enforcement action (other than associated with the Price Anderson Amendment Act) involving 10 or more cited violations, and/or an assessed fine of \$10,000 or more. Note: This criterion applies to the enforcement action as initially received from the regulator. Thus the enforcement action would still be reportable even if the fine is later reduced below \$10,000 or the number of violations reduced below 10.	3	Applies to enforcement actions related to environmental (EPA or state of Tennessee), DOT, and OSHA mining safety.
	9-2	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 a similar type of notification or enforcement action).	4	

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Group 10: Management Concerns/Issues

*Denotes Prompt Notification to DOE-HQ

Group	Identifier	Categorization Criteria	Category	Site-Specific Guidance
Management Concerns/Issues (10)	10-1	Any event resulting in the initiation of a Type A or B accident investigation as categorized by DOE O 225.1A, <i>Accident Investigation</i> . 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	
	10-2	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 to other facilities or activities in the DOE complex. One of the four significance categories should be assigned to the occurrence, based on an evaluation of the potential risks and the corrective actions taken. [Note: An SC 1 occurrence report requires Prompt Notification.]	1-4	
	10-3	A near miss, where no barrier or only one barrier prevented an event from having a reportable consequence. One of the four significance categories should be assigned to the near miss, based on an evaluation of the potential risks and the corrective actions taken. [Note: An SC 1 occurrence report requires Prompt Notification.]	1-4	
	10-4*	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.	4	
	10-5*	Any occurrence of such significant immediate interest to offsite personnel and organizations that it warrants prompt notification to the DOE Headquarters Operations Center (DOE 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].	4	

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Occurrence Reporting Guidance

For occurrences reported prior to the effective date of this procedure (e.g. Notification Report was submitted prior to the effective date of this procedure), subsequent Update and Final Reports are to be prepared in the format of UCN-20990.

The following guidance should be used when developing occurrence reports in CAPS, or when using UCN-21253. Classified, UCNI or U-S information must not be entered into CAPS or ORPS. Therefore, an unclassified, nonsensitive version must be entered into these systems while an appropriately classified version is provided to the NNSA Facility Representative on Form UCN-21253, in accordance with guidelines established in Y19-203INS, *Manual for the Protection and Control of Classified Matter and Other Protected Information*.

The information following Occurrence Report Headings and Field Names below should be utilized when writing occurrence reports. All of the Occurrence Report Headings are required to have entries for all occurrence reports (e.g. Notification, Update, and Final Reports). Information from the Notification Report may be retained and amended, as information becomes available for developing Update and Final Reports. Entries are required in all of the Fields indicated with a "*" for Notification Reports. Information is required in the remaining fields for Final Reports.

<i>Field Name</i>	<i>Instructions</i>
* Occurrence Report Number	<p>The occurrence report number is automatically generated by the ORPS system. It consists of the following:</p> <ul style="list-style-type: none"> • DOE Field Office • Area Office (if applicable) • DOE contractor • Facility (selected facility names appearing in ORPS) • Calendar Year the occurrence was first reported • Sequential number of the occurrence by facility <p>Items are separated from each other by a dash. This number is assigned when a Notification Report is first entered into ORPS and may not be modified.</p>
* Facility Name	<p>Select the Facility Name from the drop-down menu. Only facility names that apply to your site will show up in this drop-down menu. Examples include: Y12NUCLEAR, Y12SITE, and Y12CM This field is required for all reports.</p>

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<i>Field Name</i>	<i>Instructions</i>
*Facility Function Code	<p>Select the Facility Function code from the drop-down menu that best describes the activity/function performed at the facility selected. Only one selection is allowed.</p> <p>Examples Include:</p> <ul style="list-style-type: none"> 01 - Plutonium Processing and Handling 02 - SNM Storage 04 - Uranium Enrichment 05 - Uranium Conversion/Processing and Handling 06 - Irradiated Fissile Material Storage 07 - Reprocessing 08 - Nuclear Waste Operations/Disposal 11 - Environmental Restoration Operations 17A - Laboratory - Analytical 17B - Laboratory - Research & Development 99A - Balance-of-Plant - Offices 99B - Balance-of-Plant - Machine shops 99C - Balance-of-Plant - Site/outside utilities 99D - Balance-of-Plant - Safeguards/security 99E - Balance-of-Plant - Storage (except SNM) 99F - Balance-of-Plant - Laundries 99G - Balance of Plant - Infrastructure (Other Functions not specifically listed in this Category) <p>This field is required for all reports.</p>
* Site Name	Select the name of the laboratory or site where the occurrence took place (i.e. Y-12). This field is required for all reports.
* Organization Manager/Designee	<p>Enter the name, title, and phone number of the responsible organization manager or designee who approved this report, either by personally transmitting the electronic report or by signing the hard copy report.</p> <p>This field is required for all reports.</p>
* Originator/Transmitter	This field is automatically generated in ORPS and displays the logged in user. You will also need to enter the title and phone number of the Originator.
* Division/Project	<p>Identify the project or the organization responsible for the facility at which the occurrence took place.</p> <p>This field is required for all reports.</p>

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<i>Field Name</i>	<i>Instructions</i>
* Secretarial Office	<p>Select the DOE Secretarial/Power Administration Office to which this facility is operationally responsible from the drop-down menu. Examples include:</p> <p style="padding-left: 40px;">EE - Energy Efficiency and Renewable Energy EH - Environment, Safety & Health EI - Energy Information Administration EM - Environmental Management NA – National Nuclear Security Administration NE - Nuclear Energy, Science and Technology RW - Civilian Radioactive Waste Management SC - Science SO - Security</p> <p>Only one Secretarial Office/Power Administration may be selected. This field is required for all reports.</p>
*System/Building/Equipment	Enter the building number where the occurrence took place. If a specific building number cannot be identified, then enter the most significant building involved or enter the word “other”. Additional information can be provided in the Description of Occurrence.
*Authorized Classifier/ Reviewing Official	Enter the name of the ADC/UCNI-RO who reviewed this report and determined that it was unclassified and that it contains no Unclassified Controlled Nuclear Information (UCNI). Classified, UCNI, and controlled information MUST NOT be entered into CAPS or ORPS. For reports containing classified, UCNI, or controlled information, a sanitized version of the report must be submitted to ORPS. This field is required for all reports. You will also need to enter the date when the reviewing official reviewed this report and determined that it was appropriate for entry into ORPS. This field is required for all reports.
*UCNI	This field is for ORPS only. The CAPS and ORPS systems are unclassified, non-sensitive data systems, which prohibits classified, UCNI, or U-S information from being placed on these systems.
*Plant Area	Indicate the name of the site-specific plant area (i.e. Protected Area, Property Protected Area, etc.) where the occurrence took place. This field is required for all reports.
*Discovered Date/Time	Enter the date and time when the facility staff discovered the event or condition being reported. This field is required for all reports.

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<i>Field Name</i>	<i>Instructions</i>
*Categorized Date/Time	Enter the date and time when the Facility Manager determined that the event or condition constituted a Reportable Occurrence and determined its category (Significance Category OE or 1-4). This field is required for all reports.
*Subject/Title of Occurrence	Enter a brief title or description (140 characters or less) that best details the nature, cause, and result of the occurrence. This field is required for all reports.
*Reporting Criteria	Select one or more Reporting Criterion/Criteria as identified in Appendix B – BWXT Y-12 Categorization Matrix. All of the specific reporting criteria applicable for an occurrence should be identified. NOTE: The Significance Category field will contain the highest significance category associated with the selected criteria. For example, if criteria with significance categories 4, 3, and 1 were selected, then the significance category would be 1. This field is required for all reports.
*Significance Category	This field is dependent on the Reporting Criterion/Criteria selected as described in the field above. Significance Categories include OE (emergency), 1, R (recurring), 2, 3, and 4, with OE being the most significant and 4 the least significant. The Significance Categories are described in Section B of this procedure. This field is required for all reports.
Recurring Event	If this is a recurring event, check this box. Otherwise leave it blank. When this box is checked, the significance category will be set to “R” automatically regardless of what significance category is derived from the selected reportable criteria.
*Subcontractor Involved	If a subcontractor is involved in this occurrence, choose <i>Yes</i> . Otherwise choose <i>No</i> . If <i>Yes</i> is selected, enter the name of the subcontractor(s). This field is required for all reports.

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<i>Field Name</i>	<i>Instructions</i>
*Description of Occurrence	<p>The following instructions should be followed when entering the description of the occurrence:</p> <ol style="list-style-type: none"> a. The first paragraph of the Occurrence Description should relay the essential nature of the event (i.e., a summary of the occurrence in newspaper style). b. All information should be clear and succinct. Avoid redundant and unnecessary text, and lengthy “log book” accounts, unless a discussion of the event in chronological order is considered essential to understanding the event. c. Complex and more significant occurrences should warrant a greater level of detail. Significance Category 4 occurrences would likely need only a short paragraph under Occurrence Description. However, all reports should present enough information so that the general reader understands why the event needs to be reported and what the effect is. d. Avoid jargon and uncommon or site/facility-specific abbreviations and acronyms. If used, acronyms should be initially spelled out. e. Unless necessary to record and explain the event (e.g., suspect/counterfeit items or material), use general descriptions of equipment, procedures, etc., rather than presenting lengthy detailed titles and the numbers and letters assigned to those items. f. Quantify the level of contamination, dose, release, and damage (e.g., estimate the acres of wild land burned) when possible, instead of merely stating a reportable limit was exceeded. g. Use active rather than passive voice whenever possible. For example, write, “<i>the electrician</i> severed the conduit” rather than “the conduit was severed.”

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<i>Field Name</i>	<i>Instructions</i>
*Description of Occurrence (continued)	<p>The type of information to be provided in the description includes, but is not limited to, the following:</p> <ul style="list-style-type: none"> • The method of discovery; • Any component failures and the failure mode; • Any personnel errors involved, including the type and result of the error; • Any procedural problem encountered; • The response of any automatic or manual safety systems and the signals which initiated and terminated their operation; • The duration of any failures; • Operator actions that affected the course of events; and • The loss of any safety equipment. <p>When appropriate for clarification, photos, sketches, and drawings should be maintained with the occurrence report record. For recurring events, include all pertinent information to describe how the event was determined to be recurring.</p> <p>This field is required for all reports.</p>
*DOE HQ OC Notifications	<p>Enter the date and time when the DOE HQ Operations Center was notified and the name of the person notified.</p> <p>This field is required for all reports that are categorized as Operational Emergencies and Significance Category 1 occurrences. The field is also required for Significance Category 2 occurrences as directed by the Field Office. In addition, the field is required for specific Significance Category 2, 3, and 4 occurrences identified with an asterisk next to the reporting criterion.</p>
*Other Notifications	<p>Enter the date(s) and time(s) of notification of state and local officials or other agencies and the name(s) and organization(s) of the individual(s) notified. Additional notifications can be provided in the Immediate Actions Taken field.</p> <p>This field is required for all reports.</p>

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<i>Field Name</i>	<i>Instructions</i>
*Operating Conditions	Describe the operational status of the facility or equipment at the time of the occurrence including, for example, pertinent temperatures, pressures, or other parameters necessary for evaluation of the occurrence and its consequences. This field is required for all reports.
*Activity Category	Select the activity that best describes the ongoing activity at the time of the occurrence. This field is required for all reports. 01 - Construction 02 - Maintenance 03 - Normal Operations (other than Activities specifically listed in this Category) 04 - Start-up 05 - Shutdown 06 - Facility/System/Equipment Testing 07 - Training 08 - Transportation (For search only) 08A - Transportation Onsite 08B - Transportation Offsite 09 - Emergency Response 10 - Inspection/Monitoring 11 - Facility Decontamination/Decommissioning 12 - Research
*Immediate Actions Taken	Describe the immediate or remedial actions taken to return the facility, system, or equipment item to service; to correct or alleviate the anomalous condition; and to record the results of those actions. These may include temporary measures to keep the facility in a safe standby condition or to permit continued operation of the facility without compromising safety until a more thorough investigation or permanent solution can be affected. This field is required for all reports.
Causes	Select all of the codes from the Causal Analysis Tree depicted in DOE G 231.1-2, Occurrence Reporting Causal Analysis Guide that best represent the causes of the occurrence. This field is required for Final reports and optional for Short Form Reports. The Causal Analysis Guide and cause codes can be found at: https://caps.y12.doe.gov/issuesman/capsweb/cause/causalanalysis.htm

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<i>Field Name</i>	<i>Instructions</i>
Description of Cause	Discuss the causes of the occurrence to include all causes and the corrective actions identified, including causal analysis contributing to a recurring event. Do not repeat a description of the occurrence, but discuss the results of the causal analysis. The root cause analysis methodology used should be identified. A detailed description of the corrective actions is required to demonstrate that the identified actions will adequately address the cause(s) of the problem. This field is required for all Final reports, except Short Form Reports.
Evaluation by Facility Manager	With the information available, the Facility Manager should provide his or her evaluation of the occurrence and its effect or possible effect on the plant, system, program, etc. The Facility Manager may later supplement this evaluation with additional entries in Update reports or in the Update/Final report. This field is required for all Notification reports where "Further Evaluation Required" is "Yes" and "Before Further Operation" is "Yes". It is also required for all Update and Final reports, but it is optional for Short Form Reports.
*Further Evaluation Required	<p>If this occurrence will require further evaluation, choose "Yes". Otherwise choose "No". For Cancelled and Update/Final Reports, "Further Evaluation Required" should be "No". This field is required for all reports.</p> <p>If further evaluation is required, specify if this occurrence will require further evaluation before further operation. For Cancelled and Update/Final Reports, "Before Further Operation?" should be "No". This field is required for all reports where "Further Evaluation Required" is "Yes".</p> <p>If further evaluation is required before further operation, enter the name of the person who will perform further evaluation on this occurrence and the date when the further evaluation will be completed. These fields are required for all reports where "Further Evaluation Required" is "Yes" and "Before Further Operation" is "Yes".</p>

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<i>Field Name</i>	<i>Instructions</i>
Integrated Safety Management (ISM)	<p>Enter one or more ISM codes from the following list to identify an observed weakness(es) in the facility's implementation of the ISM program (e.g., failure to properly define the work scope, or failure to perform an adequate activity level hazards analysis).</p> <p>Available ISM codes are:</p> <ol style="list-style-type: none"> 1 – Define Scope of Work - Missions are translated into work, expectations are set, tasks are identified and prioritized, and resources are allocated. 2 – Analyze the Hazards - Hazards are associated with the work identified, analyzed, and categorized. 3 – Develop and Implement Hazard Controls - Applicable standards and requirements are identified and agreed-upon, controls to prevent/mitigate hazards are identified, the safety envelope is established, and controls are implemented. 4 – Perform Work Within Controls - Readiness is confirmed and work is performed safely. 5 – Provide Feedback and Continuous Improvement - Feedback information on the adequacy of controls is gathered, opportunities for improving the definition and planning of work are identified and implemented, line and independent oversight is conducted, and, if necessary, regulatory enforcement actions occur. 6 – N/A (Not applicable to ISM Core Functions as determined by management review) - Items that do not fall into the realm of ISM Core Functions; e.g., Natural Phenomena, Wild Fires, Counterfeit/Suspect Parts, Notifications of non-compliance (Federal, State, Local), Legacy Issues that could not have been anticipated, End of Life equipment failures where maintenance is not an issue, etc. <p>This field is required for all Final reports, including Short Form Reports.</p>
Lessons Learned	<p>Describe what lessons can be learned from this occurrence, in order to help prevent similar events from happening. If a Lessons Learned is warranted, it should be issued in accordance with Y15-331, <i>Lessons Learned</i> and referenced in this section of the occurrence report. This field is required for Final reports and is optional for Short Form Reports.</p>

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Occurrence Reporting Guidance

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<i>Field Name</i>	<i>Instructions</i>
Similar Occurrence Reports	<p>Indicate by their report numbers (ORPS number) any similar occurrence(s) of which you are aware for this facility or other facilities, including similar occurrences contributing to a recurring event. A discussion describing the analysis of similar occurrence reports should be included in the User Defined Fields, as appropriate.</p> <p>The purpose of this field is to identify, if recognized, occurrences that might suggest a generic problem. It also serves to identify generic problems that may result in single or common Lessons Learned.</p> <p>This field is required for Final reports and optional for Short Form Reports.</p>
User Defined Fields (two of them)	<p>One of these fields is automatically populated with the CAPS Issue Number (as a cross-reference). The other can be used to store facility-specific information (i.e. performance indicator data). They cannot exceed 124 characters in length for each field.</p> <p>Entry in the second User Defined Field is optional (not required) for any report.</p>
Corrective Actions	<p>List all actions that address the identified causes and will prevent recurrence when implemented. These actions should be entered into CAPS and managed in accordance with Y15-312INS, <i>Issues Management</i>. The first two lines of each corrective action should be a summary of the corrective action. The documentation for closure of the actions should be listed and target completion dates provided.</p> <p>Corrective Actions are required for Final reports and are optional for Short Form Reports.</p>
HQ Keywords	DOE HQ enters information into this field.
Facility Representative Comments	<p>The Facility Representative or designee can provide his or her evaluation of the occurrence, including an evaluation of the initial and proposed corrective actions and any follow-up by the facility personnel, and can describe any other actions that DOE has taken since the occurrence. If a Final Report is being rejected, the Facility Representative should use this space to indicate why. This field is required only on Final Reports rejected by the Facility Representative.</p>
Program Manager Comments	<p>The Program Manager or designee can provide his or her evaluation of the occurrence, including an evaluation of the initial and proposed corrective actions and any follow-up, and can describe any other actions that DOE has taken since the occurrence. This field is required only on Final Reports rejected by the Program Manager.</p>