

*Overview of the Occurrence Reporting
Program*



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Introduction

Purpose of the Course

This class provides you with an overview of the Occurrence Reporting process, the Occurrence Reporting and Processing System (ORPS), and a description of the hardware and software required to use the ORPS systems. You will also receive a tour through the various pages of the ORPS GUI Data Entry Program, ORPS GUI search and report functions, and ORPS GUI Facility Manager (FM), Facility Representative (FR), and Program Manager (PM) functions.

Objectives

Upon completion of this class, you will be able to perform the following activities:

- ▶ Describe system requirements for ORPS programs and functions and explain how to access the various GUIs
- ▶ Describe the ORPS GUI and explain basic ORPS GUI Data Entry Program, ORPS GUI search and report features, and ORPS GUI FM, FR, and PM functions.
- ▶ List some of the enhanced analytical capabilities and report generation features of the ORPS GUI
- ▶ Describe future enhancements to the ORPS GUI

Document Organization

Figure 1 provides an overview of the steps in the occurrence reporting process, from data base access and notification, to final approval and distribution of occurrence report information. Additional detail is then provided for each occurrence report process phase (ORPS Data Base Access/Authorities, Procedures, Notification Report, Update Report, Final Report, Approval Process, and Occurrence Report Distribution). The document provides a brief description and lists requirement information for the key process steps within these phases. In addition, information is provided for the ORPS GUI Data Entry Program, ORPS GUI search and report functions, and ORPS GUI FM, FR, and PM functions.

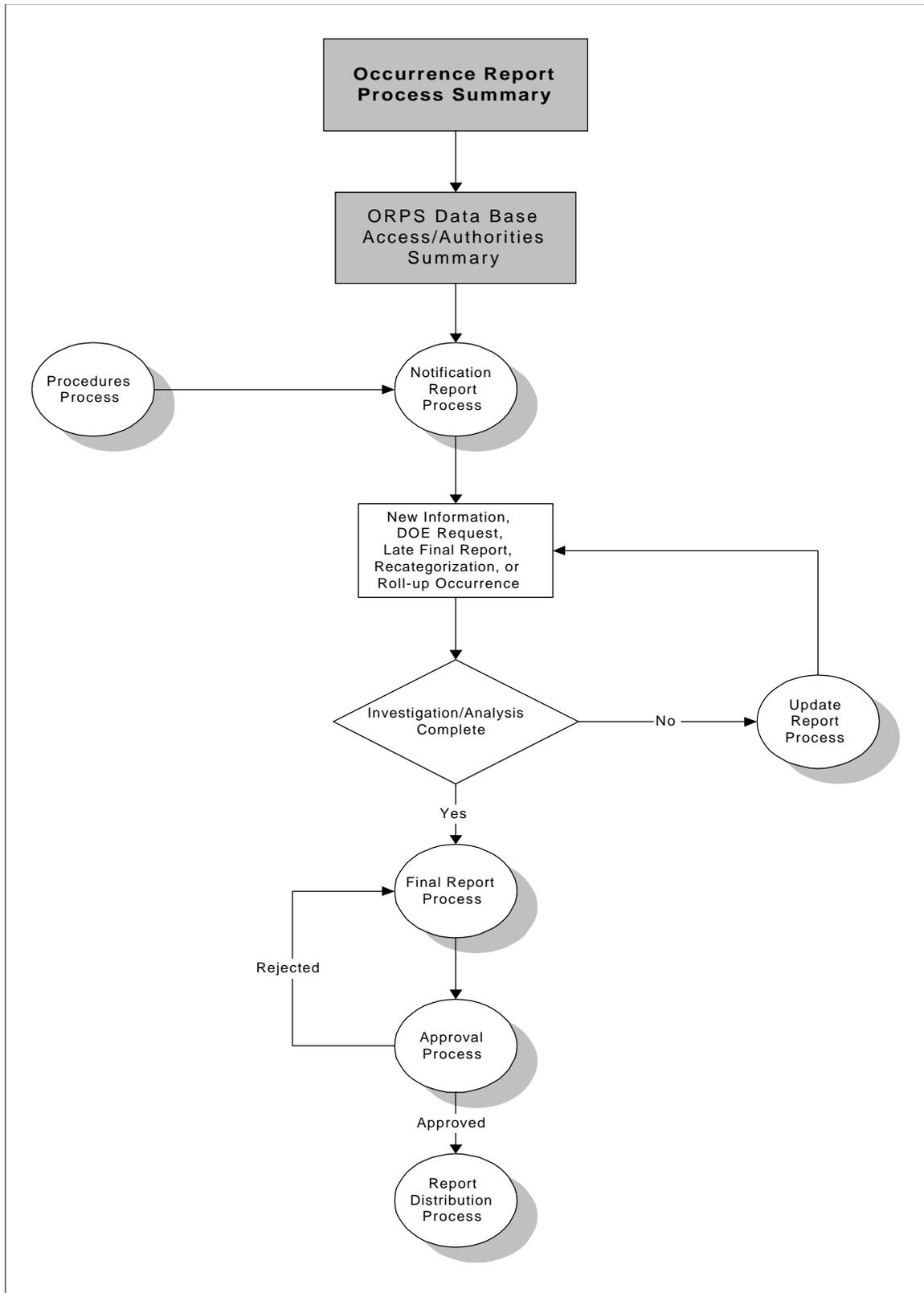


Figure 1 - Occurrence Reporting Process

DOE Order 232.1A

DOE Order 232.1A provides guidance and definitions regarding what to report, when to report, who should report, and how reports are categorized. The Order also defines the responsibilities of those involved in the reporting process. The Order requires timely identification, categorization, response, notification, investigation, and reporting of abnormal conditions and events, in accordance with DOE M 232.1-1A, *Occurrence Reporting and Processing of Operations Information*.

The manual, DOE M 232.1-1A, provides the detailed information regarding categorizing and reporting occurrences at DOE facilities. This manual outlines the reporting process and provides definitions of terminology specific to occurrence reporting. The manual provides guidance on other reporting topics, such as creating reports, roll-ups, and much more and requires the contractor to establish an Occurrence Reporting Program.

Purpose of ORPS

The basic reason for investigating and reporting the causes of occurrences is to identify corrective actions that will prevent recurrence and, thereby, protect the health and safety of the public, the workers, and the environment. Occurrence reporting is managed by the Office of Operating Experience Analysis and Feedback (EH-33), with hardware and software support from the Office of Information Management (EH-72).

ORPS was developed for the reporting and analysis of operations information. The ORPS functions originally resided on a Hewlett Packard HP-3000 and data entry was completed through PC ORPS. Now all of the occurrence reporting functions are available through a Graphical User Interface (GUI). The data entry is done through the ORPS GUI Data Entry Program and the ORPS GUI includes the search and reports function, ad hoc search and reports, and Facility Manager, Facility Representative, and Program Manager functions.

ORPS provides the DOE community with a readily-accessible database of information about occurrences at DOE facilities, the causes of those occurrences, and corrective actions. Access to ORPS is available to the staff of all DOE organizations and DOE contractors. There is no charge (except for telephone charges) to these users for registration or use of the system

Note that entering the occurrence reports into the ORPS data base automatically satisfies the DOE O 232.1A requirement to distribute, as soon as practical, occurrence reports to the Facility Representative, Program Manager, affected program self-assessment group, Heads of all Field organizations, Office of Environment, Safety and Health (EH-1), DOE Management and Operations or Integrating contractors, and the Office of Operating Experience Analysis and Feedback (EH-33).

ORPS Data Base Access/Authorities

Because the Occurrence Reporting and Processing System (ORPS) is a computerized database, it must be protected to ensure that only authorized persons access the system or enter data into it. The security requirements are mandated by DOE Order 1360.2B, “Unclassified Computer Security Program” and the information is restricted to official Government business only. To reduce the chance of access by untrained or unauthorized personnel, each site should ensure that a single organization reviews and approves any requests for access to ORPS. **Figure 2** provides details of the steps involved in the ORPS Data Base Access/Authorities phase.

Registration

ORPS users fall into four categories and each authorized user must have the level of his/her access defined. These categories are associated with the user’s responsibilities for reporting occurrences, as defined in DOE Order 232.1A. The four classes of ORPS users include General Users, Facility Manager/Designee (including Facility Manager Administrator), Facility Representative/Designee, and Program Manager/Designee. For L-0232.5, Operational Event Information Systems Computer Registration Form, must be completed to become a registered ORPS user and Section 3 of the attached ORPS Authority File Information Form should be used to indicate what type of functions you will perform on ORPS.

A single password will provide the user with access to the ORPS GUI, Facility Manager, Facility Representative, and Program Manager Functions, and ORPS GUI Data Entry Program, as appropriate. The type of access provided will be determined by the Authorities included in the Operational Event Information Systems Computer Registration and Authority File Information Forms. Note that every facility is required to have a Facility Manager (usually a contractor), a DOE Facility Representative, and a DOE Program Manager. These individuals, as well as their designees, must identify their assigned facility(s) on an ORPS registration form. This information is then transferred by the ORPS System Administrator to the applicable facility authority file.

If you specify that you are anything other than a General User, such as a Facility Manager, a DOE Facility Representative, or a DOE-HQ Program Manager, then you must also identify the facilities for which you have occurrence report transmittal or signoff authority. When you complete and sign Form L-0232.5, you agree to adhere to the security requirements specified on the form.

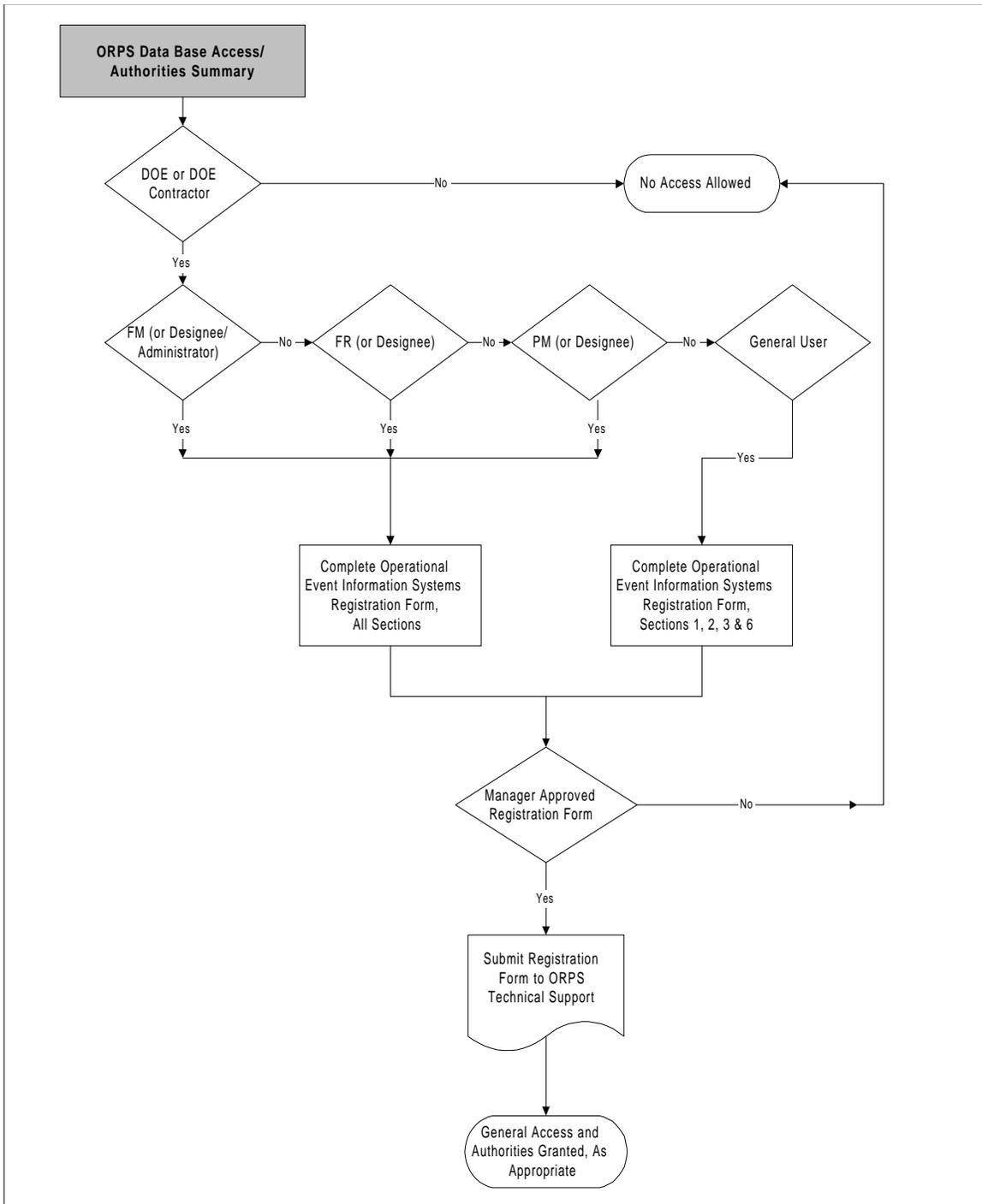


Figure 2 - ORPS Data Base Access/Authorities

Security

Once a user is registered, the system assigns a unique identification code and password to that person. The occurrence reporting program at each site should include controls on the number of authorized users and provide an efficient way to communicate authority file information to the ORPS System Administrator. Sharing the password with anyone else is a security infraction and may result in system access being revoked. You should ensure that your password is kept secret and that you are the only one who uses and has access to the information.

Classified Occurrence Reporting

The ORPS database does not contain classified information. Occurrence reports that are submitted by facilities handling classified information must be processed by:

- ▶ Making oral notification by secure phone lines.
- ▶ Editing classified sections out of the report and transmitting this unclassified version of the occurrence report to ORPS.
- ▶ Preparing all versions of the classified occurrence report in hard copy and distributing it as classified material.

Unclassified Controlled Nuclear Information

Occurrence Reports that contain Unclassified Controlled Nuclear Information (UCNI) are no longer allowed to be transmitted to the ORPS database; however, the ORPS data base still does contain UCNI that was previously transmitted. Occurrence reports that contain UCNI should be handled in accordance with DOE Order 471.1, “Unclassified Controlled Nuclear Information.”

Because the ORPS database does still include UCNI, you must identify a “need-to-know” on the ORPS Authority File Information Form page of L-0232.5 as part of the registration process. Your manager’s signature confirms this “need-to-know.” You could receive civil and criminal penalties as a result of unauthorized disclosure of unclassified sensitive information. An example of unauthorized disclosure is revealing your password to another person.

In a listing, reports that may contain UCNI are surrounded by warnings. A line of text is added before the report that reads “The following report(s) may contain UCNI.” A line of text is added after the report that reads, “The preceding report(s) may contain UCNI.” UCNI reports on the ORPS GUI are also surrounded by warning notices. (See **Figure 3.**)

ORPS OR List	
ORPS GUI data is now updated daily, notification, update, and update/final reports are available approximately 15 minutes after posting on the old system.	
ORPS contains 34614 OR(s) with 36552 occurrence(s) through 4/2/97. Query selected 6 OR(s) with 7 occurrence(s) through 04/01/97 11:44 using criteria "Untitled".	
OR Number	OR Title/Subject
1) OH-MB-EGGM-EGGMAT01-1996-0009	<u>Actuation of Tritium Stack Monitor High Level Alarm - Building 58.</u>
The following report(s) may contain UCNI	
2) XX-XX-XXXX-XXXXXX-0000-0000	*****
The preceding report(s) may contain UCNI.	
3) RFO--KHLL-771OPS-1996-0164	<u>A Steam Regulator on Pressure Relief Valve #4 Failed, and a Steam Regulator on Pressure Relief Valve #1 Failed (Roll-up)</u>
4) SR--WSRC-HBLINE-1996-0014	<u>Activation of Building Low Vacuum Interlock (U)</u>
5) SR--WSRC-HTANK-1996-0019	<u>Shutdown at 242-16H Evaporator due to High Pot Pressure Interlock (U)</u>
6) SR--WSRC-LTA-1996-0006	<u>Loss of Instrument Air to Building 773-A (U)</u>

Figure 3 - UCNI warning on the ORPS GUI.

On the ORPS GUI, you can click the UCNI link in this warning to view the UCNI disclaimer. (See **Figure 4**.)

One or more of the following reports may contain **Unclassified Controlled Nuclear Information (UCNI)** data. Those that do contain UCNI data, as determined by the submitting contractor's security or operations personnel, are identified with appropriate UCNI markings. It is your responsibility to handle this data in accordance with DOE Order 471.1.

Figure 4 - UCNI Disclaimer on the ORPS GUI.

User Classifications

Facility Manager, Designee, or Administrator

The Facility Manager (or designee) is usually a contractor employee who has direct line responsibility for operation of a facility or group of related facilities, including authority to direct physical changes to the facility. In addition to being able to access all reports on the ORPS database, the Facility Manager is responsible for initiating occurrence reports for the facilities for which they are responsible and for transmitting them to the ORPS database.

A Facility Manager Administrator is an administrative or clerical individual who prepares or transmits an occurrence report for a Facility Manager. Reports transmitted by a Facility

Manager Administrator must be signed in hard copy by the appropriate Facility Manager (or designee).

Facility Representative or Designee

A DOE Facility Representative (or designee) is assigned responsibility by the head of the field organization for monitoring the performance and operation of facilities/activities under their cognizance. The DOE Facility Representative is the primary point of contact with the contractor and is responsible to the appropriate Secretarial Officer and the Head of the Field Organization for implementing the requirements of DOE Order 232.1A.

In addition to being able to access all reports on the ORPS database, a DOE Facility Representative can provide comments electronically on reports transmitted from facilities for which they are responsible. A DOE Facility Representative is also responsible for signing the Final Reports from those facilities, indicating review and acceptance of the report and the proposed corrective actions. The DOE Facility Representative responsibilities also include monitoring the Facility Manager's evaluation of the occurrence to ensure acceptability of root cause determinations, generic implications, and corrective actions implementation and closure. This is accomplished by interaction with the Facility Manager and/or his/her designee.

DOE-HQ Program Manager or Designee

A DOE-HQ Program Manager (or designee) is a DOE-HQ individual, under the direction of a Secretarial Officer, who is directly involved in the operation of facilities under his or her cognizance. The DOE-HQ Program Manager has the authority to provide technical direction through DOE field organizations to contractors for these facilities. In addition to being able to access all reports on the ORPS database, a DOE-HQ Program Manager can provide comments electronically on reports transmitted from facilities for which they are responsible.

A DOE-HQ Program Manager is also responsible for signing the Final Reports from those facilities, indicating review and acceptance of the report and the proposed corrective actions. For reports categorized as "Off-Normal," (see page 34) the Secretarial Officer can delegate final approval authority for a particular Program Office and facility to the DOE Facility Representative. If this Off-Normal approval has been delegated, the DOE Facility Representative's approval makes the occurrence report final. If the Off-Normal approval has not been delegated, the DOE-HQ Program Manager has final approval authority for that particular program office and facility.

The DOE-HQ Program Manager also monitors the Facility Manager's and Facility Representative's evaluation of the occurrence to ensure acceptability of root cause

determinations, generic implications, and corrective actions implementation and closure. This is accomplished by interaction with the Facility Manager and/or his/her designee.

General User

Anyone who does not fall into one of the categories listed above is a general user. General users can view, print, and copy to disk all occurrence reports contained in the ORPS database. General users cannot add new information or change existing data.

Procedures

An occurrence reporting program is fully dependent on the adequacy of the implementing procedures. Procedures must be developed that are easy to use and understand, while at the same time ensuring that the requirements of DOE O 232.1A and the associated Manual are satisfied. As occurrence reporting procedures must address a wide range of activities and organizations, the procedures should be reviewed by as many internal organizations as possible. The specific implementing procedures for a site and/or facility must be reviewed and approved by the cognizant DOE Secretarial Officer. **Figure 5** provides details of the steps involved in the Procedures phase.

Order Revision

The facility-specific Occurrence Reporting Program needs to be developed and implemented to provide timely identification, categorization, notification, and reporting of operations information related to DOE-owned and -leased facilities and for the processing of that information to identify the root cause, provide for appropriate corrective actions, and prevent similar occurrences through the identification of good practices and lessons learned.

Update Procedure with Order/Manual Requirements

The contractor is required to develop or revise implementing procedures for the responsible DOE Secretarial Office approval within 4 months of incorporation of the requirements in the Contract Requirements Document (CRD) into a new or existing contract. DOE M 232.1-1A requires that these implementation procedures include:

- ▶ Responsibilities of the facility line management and staff
- ▶ Categorization, notification, reporting, and investigation requirements for each facility
- ▶ A listing (by reference) of the Safety Class Structures, Systems, and Components for nuclear facilities and Safety Significant SSC for both nuclear and non-nuclear facilities.
- ▶ Any other facility-specific reporting requirements based on Section 9 of DOE M 232.1-1A.

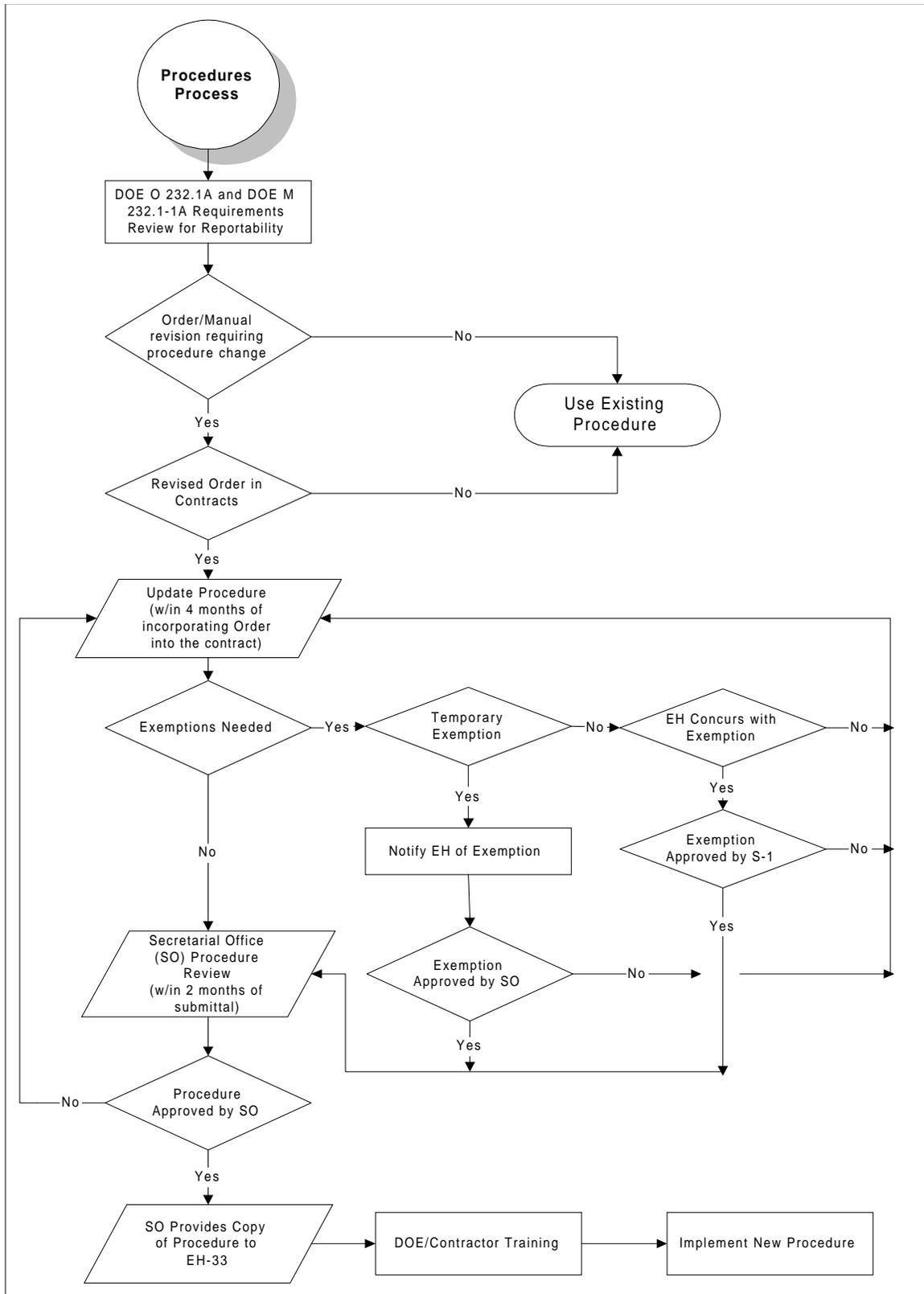


Figure 5 - Procedures Phase

Secretarial Officers Review and Approval

Under DOE O 232.1A, the Secretarial Officer is responsible for ensuring that the requirements in the CRD for DOE O 232.1A are applied to applicable contracts within 3 months after approval of the Order. Also, DOE M 232.1-1A states that Secretarial Officers are responsible for reviewing and approving the Facility/Site Implementation Procedure after coordination with the Office of Environment, Safety and Health. Implementation procedures that are submitted by the contractor or facility operator are considered automatically approved 2 months after submittal, if they are not deliberately approved or rejected by the responsible DOE Secretarial Office.

Exemptions

Not all facilities and/or sites will be able to meet every requirement of DOE Order 232.1A. Where certain requirements cannot be met, an exemption must be requested from DOE-HQ. A temporary exemption to the reporting requirements may be granted, for up to one year, by the Secretarial Officer responsible for the program at a specific facility and/or site. A permanent exemption can only be granted by the Secretary of Energy after obtaining concurrence from the Office of Environment, Safety and Health. An exemption request should be processed through the contractor line management and the DOE Operations or Field Office before being submitted to the responsible Secretarial Officer. Also, prior to approval of a temporary exemption, the Office of Environment, Safety and Health should be notified.

Training

DOE O 232.1A designates that the Secretarial Officer is responsible for ensuring the training programs for the requirements of the associated manual are established for both DOE and contractor personnel. These training programs are required to include:

- ▶ Indoctrination in the objectives and process of occurrence reporting as defined in the occurrence reporting requirements documents.
- ▶ Identification of reportable occurrences; their categorization, notification, and associated reporting requirements; analysis, determination of causal factors and generic implications; and implementation, tracking and close-out of corrective actions.
- ▶ Utilization of ORPS including input of occurrence reports and obtaining information from the data base.

Submittal to EH-33

Once approved, the Secretarial Officer is responsible for providing a copy of the implementing procedure to EH-33.

Notification Report

Figure 6 provides details of the steps involved in the Notification Report phase.

Event or Condition

The first step in any occurrence reporting program is to recognize that an event or condition exists, take immediate actions, and then determine if the event or condition is reportable. DOE O 232.1A and the associated manual require that operations personnel take the appropriate immediate action to stabilize and/or place the facility/operation in a safe condition, stabilize any potential environmental effects, and treat workers for injuries sustained immediately following an occurrence. In addition, actions should be taken to preserve conditions for continued investigation, where these actions do not interfere with establishing a safe condition.

The facility staff and operators, upon identification of an abnormal or suspected abnormal event or condition, should promptly notify the appropriate line management and the Facility Manager of the event status and record and/or archive all pertinent information, including details concerning the discovery of the occurrence and actions taken to stabilize or place the facility/operation in a safe condition. Procedures are used to evaluate if an event is reportable in accordance with the requirements of DOE O 232.1A, the associated manual, and site-specific requirements. See the *Procedures* section for additional information on procedure requirements and development.

Categorize Occurrence

Occurrences at any given facility and/or site often vary in degree of severity and significance. A major purpose of DOE O 232.1A is to consistently categorize occurrences so that DOE operations personnel and facility and/or site contractors understand the degree of significance associated with various occurrences. Section 9 of DOE M 232.1-1A, *Occurrence Reporting and Processing of Operations Information*, is used to develop criteria to categorize reportable occurrences.

Occurrence reporting categories include Emergency, Unusual, and Off-Normal (from highest to lowest significance) and are described below. The types of reportable occurrences involve, but are not limited to: facility conditions; environmental concerns; personnel safety; radiological protection; safeguards and security; transportation; loss or damage to DOE property; defective items, materials, or services (including counterfeit/suspect parts); nuclear explosive events; and cross-category items to include related occurrences, near miss events, and potential concerns.

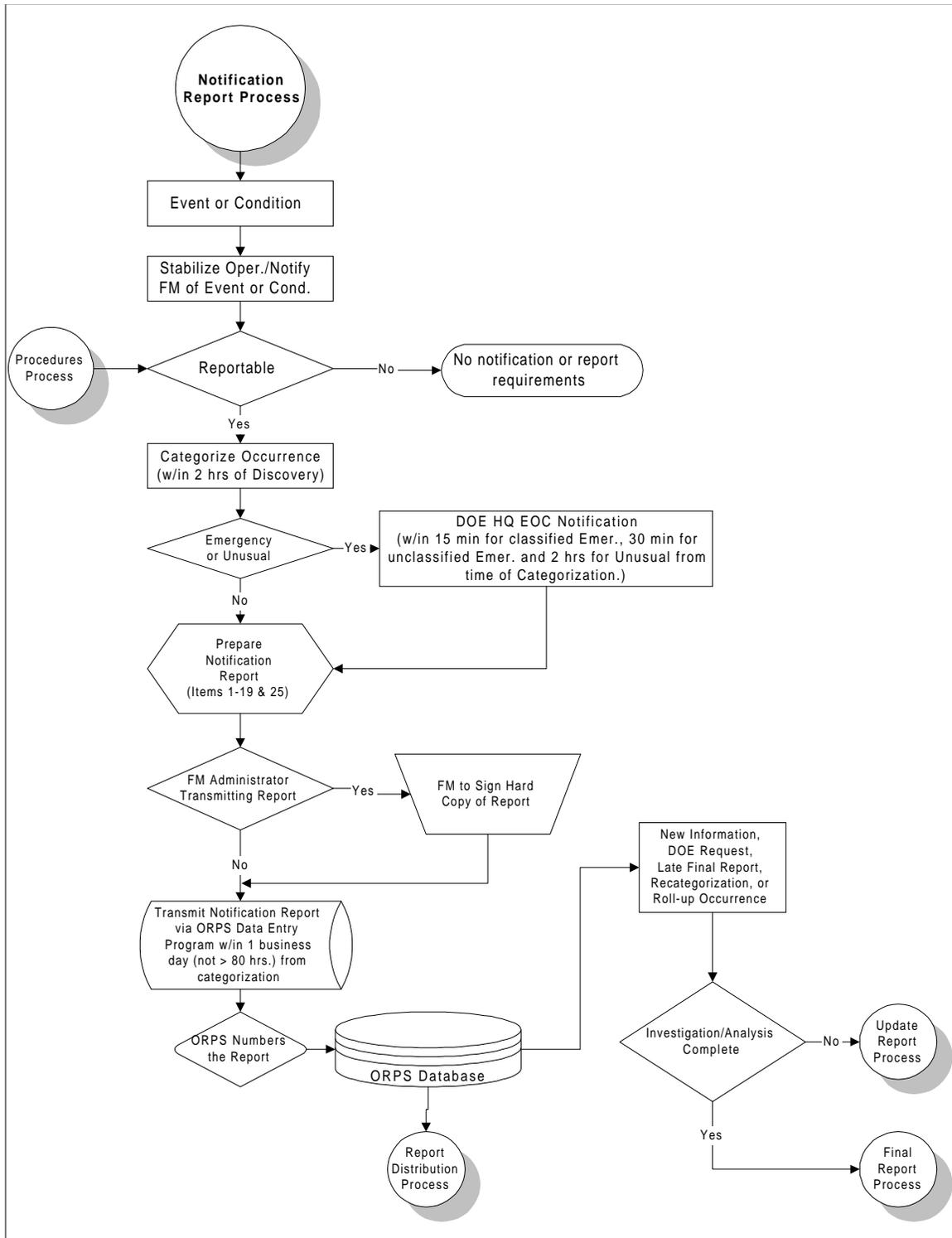


Figure 6 - Notification Report Phase

DOE O 232.1A requires that an event or condition be categorized as soon as possible, but within two hours of the event or condition identification following the facility-specific procedures developed in accordance with Section 8 of the DOE M 232.1-1A. If the categorization is not clear, the occurrence needs to be initially categorized at the higher level. In addition, the occurrence category shall either be elevated, maintained, or lowered as information is made available.

Several questions have been asked concerning the determination of discovery time. Each facility and/or site should be very specific when defining discovery time in implementing procedures to avoid confusion and ensure consistency among those occurrences. DOE O 232.1A describes discovery time as that time when the **facility staff** discover the event or condition being reported. The *Occurrence Reporting Program Guidance Document* prepared by the Occurrence Reporting Special Interest Group (OR SIG) includes some examples designed to clarify this topic.

Emergency

An Emergency is the most serious type of occurrence and requires an increased alert status for onsite personnel and, in specified cases, for offsite authorities, as defined in DOE O 151.1. The detailed initial notification requirements, definitions, criteria, and classifications of emergencies and appropriate responses are provided in DOE O 151.1. Written Occurrence Reports shall be completed in accordance with DOE O 232.1A. Facility- or site-specific emergency response plans and procedures may include additional requirements. Events that have been declared an emergency occurrence require the completion of all occurrence reporting requirements.

Unusual and Off-Normal

If the event is not categorized as an Emergency, then the event needs to be categorized as an Unusual or Off-Normal Occurrence as soon as practical but, in all cases, within 2 hours of identification by the facility staff. An Unusual Occurrence is a non-emergent occurrence that exceeds the Off-Normal Occurrence threshold criteria; is related to safety, safeguards and security, environmental or health protection, performance or operation of a facility; and requires immediate notification to DOE. Off-Normal Occurrences are abnormal or unplanned events or conditions that adversely affect, potentially affect, or are indicative of degradation in the safety, safeguards and security, environmental or health protection, performance or operation of a facility as defined in DOE Order 232.1A.

DOE O 232.1A, and its associated Manual, provides more than 200 criteria for the two categories of Unusual Occurrence and Off-Normal. These criteria are not intended to be all-inclusive. They represent a minimum set of standards necessary to allow each facility and/or site to develop specific reporting criteria that are applicable to that facility and/or site. For an example of how the DOE O 232.1 (previous revision of DOE O 232.1A) has

been incorporated into a site reporting matrix, see Section 2.0, *Categorization Matrix of Reportable Occurrences*, of the *Occurrence Reporting Program Guidance Document*, prepared by the OR SIG.

Nature of Occurrence

Occurrences are arranged into 10 groups related to DOE operations. These groupings are used solely for ease of reference and consistency in data base structures. Site specific items are expected to be added when required. The 10 groups of categorized occurrences are as follows.

1. Facility Condition
2. Environmental
3. Personnel Safety
4. Personnel Radiological Protection
5. Safeguards and Security
6. Transportation
7. Value Basis Reporting
8. Facility Status
9. Nuclear Explosive Safety
10. Cross-Category Item

The categories of occurrences are designed to be generic. For example, the environmental section (Group 2) provides much less detail than would be found in a site-specific matrix of occurrences, which typically lists hazardous materials and limits specific to a particular operation. The objective of this approach is to allow individual sites to fit their site-specific requirements to these categories. Note that some occurrences may fit in more than one group.

DOE Oral Notification

In the case of a report categorized as Unusual or Emergency, the Facility Manager is required to provide an oral notification to the DOE Facility Representative and DOE-HQ Emergency Operations Center (EOC). For occurrences categorized as Emergency, the Facility Manager makes the notification as required in DOE Order 151.1 (normally within 15 minutes) and for occurrences categorized as Unusual, notification should occur as soon as possible but, in all cases, within 2 hours of categorization.

The requirements for the initial and follow-up notifications to DOE and other agencies and the appropriate emergency responses to be taken are provided in DOE O 151.1, *Comprehensive Emergency Management System*. The specific procedures on how these events are categorized and how and when DOE is notified are included in the facility or

site specific emergency response plans or procedures. Notifications for occurrences involving classified operations cannot be made using the internal insecure lines. These calls must be made through a secure line.

Initial notification to DOE Headquarters EOC for Unusual Reports may be made by voice or electronic transmittal. Electronic transmittal, such as a facsimile, is preferred. All notifications shall include a valid contact point including name and telephone number. Electronically transmitted reports must be confirmed by phone to ensure receipt and document the time of official notification. Voice notifications may be recorded by the DOE HQ EOC and played back for further notification. Initial notification shall include as many of the required report fields as possible as discussed in Section 10 of DOE M 232.1-1A. The Facility Manager may use the local Field/Site Emergency Operations Center to expedite establishing the communication link required and to record and archive conversations.

Following the Facility Manager's initial notification, the DOE Headquarters Emergency Operations Center will notify the Program Manager of all Unusual Occurrences and make any further notifications required. The EOC is tasked with connecting callers to the on-call DOE Program Manager and then recording and archiving conversations. If necessary, the DOE Program Manager will contact the Program Secretarial Officer or other HQ programs. For those sites that have a centralized communications center, it may be a good practice to have the call to HQ originate there. This will allow a mechanism for record-keeping through recorded lines.

Whenever an Off-Normal Occurrence is upgraded to an Unusual Occurrence, the Facility Manager is also required to notify the HQ EOC as soon as practical, but no later than 2 hours after recategorization, that an existing occurrence has been upgraded, and provide the HQ EOC with the Occurrence Report number. Once again the HQ EOC will then make any required internal DOE HQ notifications. Also, follow-up notifications shall be made to DOE for any further degradation in the level of safety or impact on the environment, safeguards and security, health, or operations of the facility or other worsening conditions subsequent to the previous notification, including upgrading to an Emergency in accordance with DOE O 151.1, *Comprehensive Emergency Management System*.

It is important to note that the Program Manager or Designee may attempt to contact the Facility Manager/Designee at the telephone number provided in the Facility Manager/Designee Field of the OR. Therefore, the name, title, and telephone number should be accurate during and after normal business hours, particularly for the Notification Report. If the designee is a Shift Manager, then the title should clearly show the "Shift Manager" where the relieving Shift Manager could answer any questions asked by the Program Manager. If the designee is not an on-shift point of contact, then an accurate telephone number should be provided to allow contact of that person during and after business hours.

Prepare Notification Report

DOE O 232.1A requires that a Notification Report be prepared and submitted as soon as practical but, in all cases, before the close of the next business day from the time of categorization (not to exceed 80 hours). The Facility Manager is required to prepare the Notification Report (including all required fields and all other fields for which information is known) and distribute the occurrence report to the Facility Representative and the Program Manager. When an unclassified, nonsensitive Notification Report is entered onto the computerized ORPS data base, this distribution requirement is automatically satisfied. Even though ORPS may be located in a different time zone, this requirement is intended to mean the end of the next business day at the location (time zone) at which the occurrence took place. Site procedures must be very clear on what constitutes a "business day" (i.e., 0700-1600, 0630-1700, etc.) The 80-hour allowance is intended for occurrences discovered during weekends and holidays.

Note that when the Facility Manager designee prepares and submits the occurrence report, the Facility Manager is ultimately responsible for the occurrence report, the corrective actions, lessons learned, and evaluation, etc. To assure the adequacy of the occurrence report information the Facility Manager should review and concur with the report. Additional reviews by senior site or facility management may also be required and should be specified in site-specific procedures if applicable.

Section 10 of DOE M 232.1-1A provides instructions for completing an occurrence report. Additional guidance on writing occurrence reports is provided by the OR SIG Occurrence Reporting Program Guidance Document. In general the following instructions apply to the reporting of occurrences via hard copy or the electronic data base, to ORPS. All reports containing classified information or Unclassified Controlled Nuclear Information (UCNI) need to be submitted in hard copy in accordance with established security requirements. An unclassified, nonsensitive version also needs to be submitted to ORPS for entry into the data base.

Items 1 through 19 and Item 25 of the Occurrence Report are required for the Notification Report. In addition data needs to be entered into all other fields when known. For the Update Report and Final Reports, information on the Notification Report shall be retained and updated as better information becomes available. Reports transmitted by a Facility Manager Administrator must be signed in hard copy by the appropriate Facility Manager (or designee).

Transmit Notification Report

Using the ORPS GUI Data Entry Program (formerly through PC ORPS), the Facility Manager, Designee, or Administrator creates and submits the Notification Report to ORPS. Again this needs to occur before the close of the next business day from the time

of categorization (not to exceed 80 hours). An official occurrence report number is added to the report during the transmittal process and the Notification Report is copied to the ORPS HP database. Within 15 minutes of transmittal, the Notification Report is then copied to the ORPS GUI. Anytime after the report is transmitted to ORPS, the DOE Facility Representative and DOE-HQ Program Manager may input comments using the appropriate ORPS GUI functions hyperlinks. All ORPS users can access the Notification Report on a read-only basis.

Short Form Reporting

When implemented, the Short Form report will be used for only Off-Normal events where there is no perceived value in performing a causal analysis or additional follow-up. In addition, a Short Form report may only be used in place of a Notification Report provided the Nature of Occurrence category is designated as a Short Form candidate.

Short Form Criteria

Even if the Nature of Occurrence category is designated as a Short Form candidate, there are additional criteria that must be passed before the Short Form can be used. If the answer to any of the questions listed below is “Yes”, a full occurrence report must be submitted:

Is the event or condition a near-miss to an occurrence type which requires a full Occurrence Report?

Is there a need to perform additional investigation or causal analysis to determine the causes of the event(s) or condition(s) that exists?

Is there additional analysis needed to determine or implement actions to address the causes

Is the event or condition an unanticipated recurrence of a previous event indicating that previous corrective action(s) which should have prevented recurrence have not been effective

Was there a significant or novel lesson learned from the occurrence that may be of benefit to other sites that warrants dissemination

Is this occurrence related to an adverse trend or performance measure which indicates a potential programmatic breakdown

Does the occurrence, for any reason, warrant additional management analysis or attention?

Short Form Report

The Short Form report is a Notification/Final report (i.e., there is only one report submitted for each occurrence). It is essential that information on the Short Form report be complete and accurate on the initial submittal since it is also a Final report submitted

for Facility Representative approval. Causal analysis is not required for the Short Form and corrective actions are optional. Roll-up reports are not permitted for occurrences reported using the Short Form. Once submitted only the Facility Representative signature is required for approval

The Facility Manager shall prepare the Short Form Report and submit it to the Facility Representative before the close of the third business day from the time of categorization (not to exceed 128 hours).

The Facility Representative shall review, approve, and add any comments within 10 calendar days after receipt of the report. If the ORPS data base is being used, the Facility Representative's comments should be provided through ORPS. Facility Representative comments are not required for their approval of the report.

If the Short Form Report is not approved by the Facility Representative it shall be returned to the Facility Manager with a written explanation for the disapproval. The revised Short Form Report shall be resubmitted within 5 calendar days of the disapproval

The distribution requirements for Short Form Reports are the same as for full Occurrence Reports (update and final). If the Short Form Reports are entered into the ORPS data base, the distribution requirement is automatically satisfied. A copy of the unapproved Short Form Report will be automatically entered as a Notification/Final Report when it is transmitted to the host computer.

Update Report

Using the ORPS GUI Data Entry Program, an update report may be prepared by the Facility Manager. The update report is required to be prepared and transmitted when significant new information is available or upon the request of DOE. An Update Report should be submitted when any of the following situations arise:

- ▶ Any time after the Notification Report when significant new information is available,
- ▶ When requested by DOE,
- ▶ When the Final Report cannot be submitted within 45 days,
- ▶ When changing the occurrence categorization (e.g., Off-Normal changed to Unusual occurrence), or
- ▶ When an occurrence is added to a Roll-Up Report.

The ORPS GUI retains each version of the update report. Anytime after the report is sent using the ORPS GUI Data Entry Program, the DOE Facility Representative and DOE-HQ Program Manager may input comments through ORPS GUI function hyperlinks. All ORPS users can access an update report on a read-only basis. **Figure 7** provides details of the steps involved in the Update Report phase.

Recategorization

Changes in categorization should be documented in an Update Report and must be submitted before close of the next business day from the time of recategorization (not to exceed 80 hours). A justification for the new categorization also needs to be included in the report.

Prepare Update Report

The Facility Manager is required to submit and distribute an Update Report if there is a significant and new information about the occurrence. In addition to updating information in the items required for the Notification Report, the Update Report should include information, as available, for field Items 20 through 24, and Items 26 through 31 of the occurrence report. Items 20, 22 through 24, and Items 26 through 31 are not required for the Update Report, but they are required for the Final Report. Item 21 is not a required field for any report.

The status of the investigation, recurring consequences, or the identification of additional component defects are activities associated with the occurrence and are also required to be included in Update Reports. DOE 5480.19, *Conduct of Operations Requirements for*

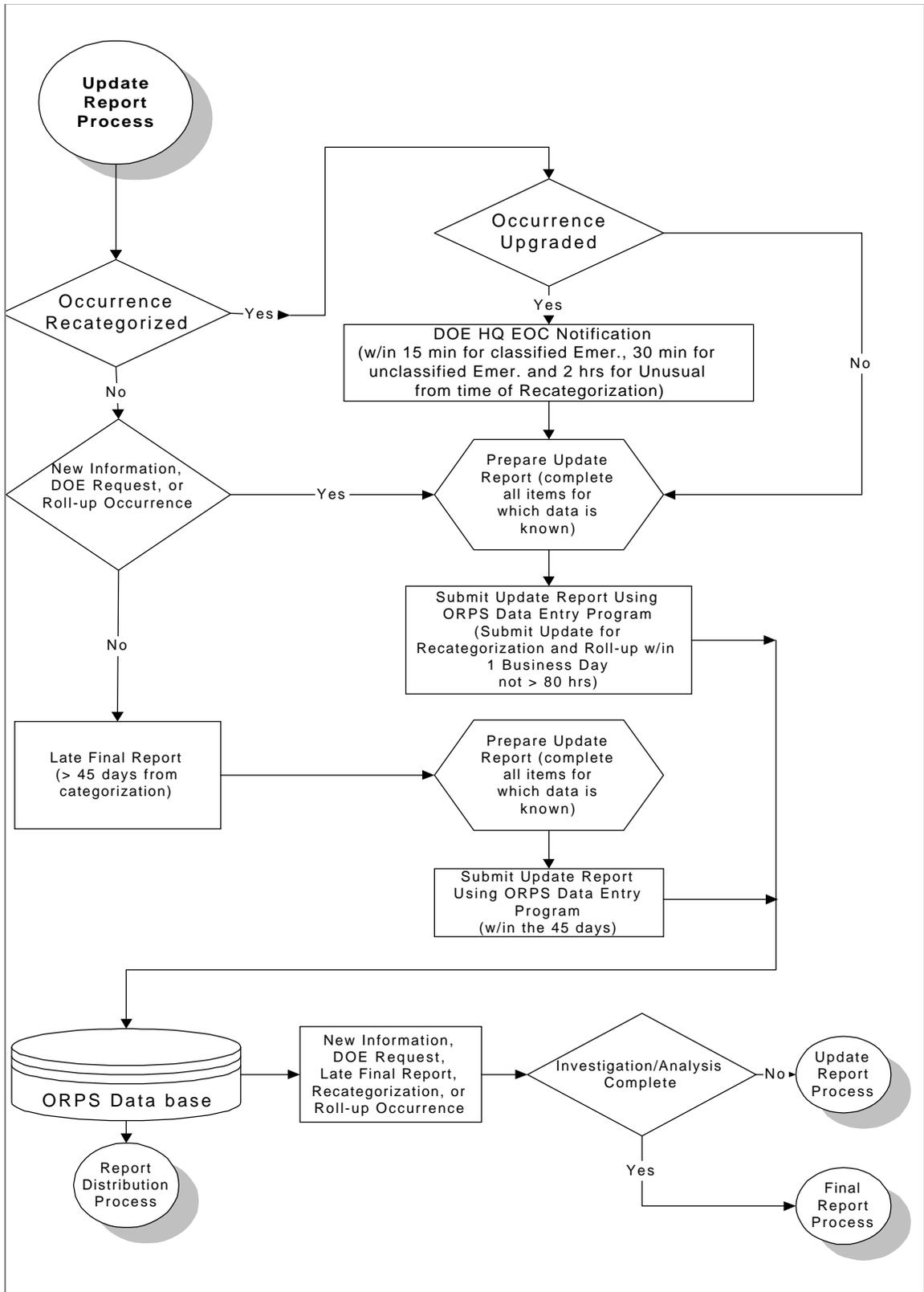


Figure 7 - Update Report Phase

DOE Facilities, and DOE-STD-1045-93, *Guide to Good Practices for Notifications and Investigation of Abnormal Events*, should be considered when establishing a program for investigation of occurrences. The investigative process is used to gain an understanding of the occurrence, its causes, and the corrective actions necessary to prevent recurrence.

The Facility Manager should consider a graded approach when determining the level of effort for the investigation into the cause of the occurrence. The graded approach is based on the severity or risk associated with the event or condition. For example, investigations of a significant Unusual Occurrence might require the assembly of a team of investigators and subject matter experts, whereas the investigation into an Off-Normal might be completed during the critique/fact-finding meeting process. Many occurrences should be investigated using one or more of the formal analytical models discussed in DOE-NE-STD-1004-92, *Root Cause Analysis Guidance Document*.

When additional occurrences are to be included in a Roll-Up Report, an update is required to be submitted, in accordance with Section 5.7 of DOE M 232.1-1A, by the close of the next business day from the time of categorization (not to exceed 80 hours).

Transmit Update Report

Using the ORPS GUI Data Entry Program (formerly performed using PC ORPS), the Facility Manager, Designee, or Administrator edits the information from the original Notification Report or the latest Update Report. The Facility Manager then sends the new Update Report to the ORPS data base (more than one update report may be submitted).

If the Update Report is documenting a recategorization, then it must be transmitted before the close of the next business day from the time of categorization (not to exceed 80 hours).

After transmittal of the Update Report, the DOE Facility Representative and DOE-HQ Program Manager may provide comments on the report using the appropriate ORPS GUI function hyperlinks. In addition, all ORPS users can access the Update Report on a read-only basis.

Final Report

A Final Report (referred to as Pre-Final for occurrence reports awaiting FR/PM approval) is required to be prepared and submitted by the Facility Manager to the Facility Representative within 45 calendar days from the date of the initial occurrence categorization. The Final Report documents (1) the significance, nature, and extent of the event or condition; (2) the cause(s) of the event or condition, including the root cause; (3) the corrective action(s) to be taken (with actual or target completion dates identified) to correct the condition and prevent recurrence; and (4) any identified lessons learned. Note that corrective actions do not need to be complete to submit a Final Report, only identified and scheduled. **Figure 8** provides details of the steps involved in the ORPS Final Report phase.

In addition to updating information in the items required for the Notification Report, the Final Report is required to include information for Items 20, 22 through 24, and Items 26 through 31 of the occurrence report.

Rejected Report

Pre-Final Reports that are rejected by either the DOE Facility Representative or the DOE-HQ Program Manager are returned to the Facility Manager with a written explanation for the disapproval. The Facility Manager must make adjustments to the report and resubmit the Final Report within 21 calendar days of the date of disapproval. If the revised Final Report cannot be submitted within 21 days, the Facility Manager must submit an Update Report and include a justification for the delay and an estimated date when the revised Final Report will be submitted. This information should be included in the "Evaluation by Facility Manager" block of the occurrence report, i.e., Item 24.

Completion in 45 days

If the required analysis cannot be completed within 45 calendar days after initial categorization, the Facility Manager must submit an Update Report. This Update Report must also be submitted within the 45 days and should explain the delay and provide an estimated date for submittal of the final report. This information should be included in the "Evaluation by Facility Manager" block of the occurrence report, i.e., Item 24.

It is expected that most occurrences will be completed and the Final Report submitted within the 45 calendar days. However, for certain occurrences, such as those requiring an

accident investigation, it is understood that the information required for the Final Report may not be available within this time. The status of the occurrence investigation should be included in any Update Reports. In addition, multiple Update Reports may be submitted.

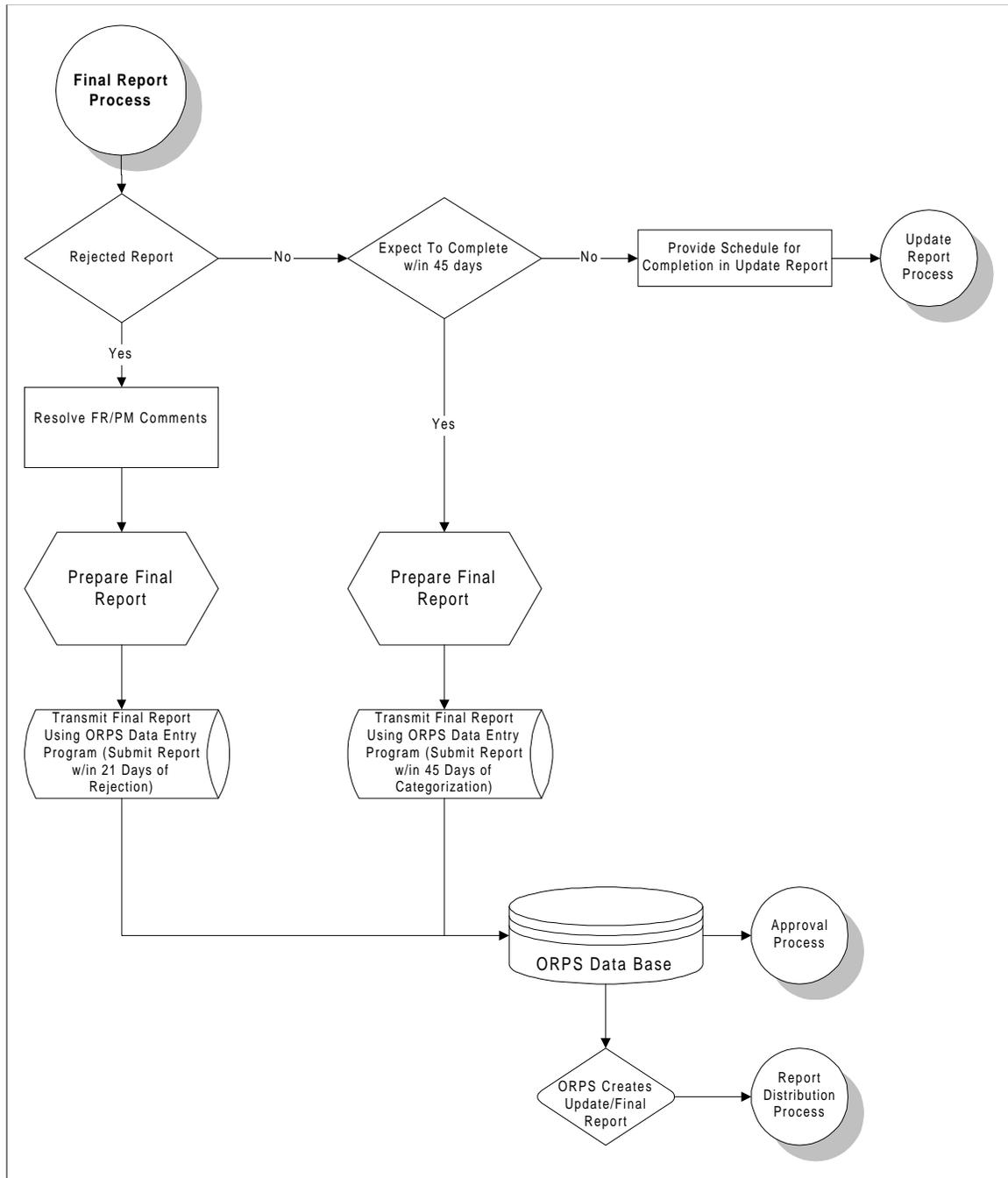


Figure 8 - Final Report Phase

Canceled Report

An occurrence report can be canceled by submitting a Final Report with the occurrence category changed to canceled. Canceled reports must be finalized and go through the same approval process as all other occurrence reports; however, only the items required for a Notification Report are required fields for a canceled report. When the canceled report has been approved by the DOE Facility Representative and the DOE-HQ Program Manager, the report will be removed from the active ORPS database.

Prepare Final Report

The Facility Manager is required to submit and distribute a Final Report. In addition to finalizing the information in the items required for the Notification Report, the Final Report should include information for Items 20, 22 through 24, and Items 26 through 31 of the occurrence report. Item 21 is not a required field.

Transmit Final Report

Using the ORPS GUI Data Entry Program (formerly through PC ORPS), the Facility Manager, Designee, or Administrator edits the information from the original Notification Report or the latest Update Report. The Facility Manager then sends a Final Report to the ORPS data base. This needs to occur as soon as possible, but no later than 45 calendar days after initial categorization. A copy of the unapproved Final Report will be automatically entered as an Update/Final Report when the Final Report is transmitted to the ORPS data base. The DOE Facility Representative and DOE-HQ Program Manager may then provide comments on the Pre-Final Report using the appropriate ORPS GUI functions hyperlinks.

Additional guidance on writing occurrence reports is provided in the OR SIG Occurrence Reporting Program Guidance Document.

General users cannot access and view the official Pre-Final Report until it has received final approval; however, they can view the copy of the Pre-Final Report that is placed in the ORPS data base as an Update/Final Report, giving all users limited access to Pre-Final Report information while the report is awaiting sign off. The Update/Final Report copy includes all information from the Pre-Final Report except the comments and the signatures.

ORPS Occurrence Report Change Policy

The general policy is that ORPS Technical Support personnel will only make changes to reports already on the data base if the Facility Manager (including Designees) or Administrator cannot make the changes themselves. The types of changes that they are

unable to make are small in number, since the Facility Manager or Administrator can, in one way or another, make changes to most of the data fields.

Facility Managers or Administrators can usually submit an Update Report to correct errors in Notification Reports or Update Reports. In addition, Facility Managers or Administrators can get changes made to Pre-Final Reports by requesting the DOE Facility Representative or DOE-HQ Program Manager to reject the report. After rejection, the Facility Manager or Administrator can then make the correction(s) to the report and transmit it again to the ORPS data base.

In cases where the Facility Manager or Administrator cannot access a field or the report is already final, the ORPS Technical Support personnel may be requested to make the change(s). For these cases only, the requests must be sent to ORPS GUI Technical Support at fax number (208) 523-9920 or e-mail support@tis.eh.doe.gov. In addition, copies of the request must be sent to Eugenia Boyle at fax number (301) 903-2329 or e-mail Eugenia.Boyle@eh.doe.gov.

ORPS Technical Support personnel can be requested to make changes to the Notification, Update, Update/Final, and Final Reports to:

- Change report transmittal and signature dates if and only if the delay was due to host computer downtime or problems. It should be noted that a transmittal date will not be backdated because the report was not submitted on time due to lack of training and/or appropriate software/hardware.
- Change existing occurrence report numbers due to changes in facility names or boundaries. This could be required because of contractor or organizational changes.

In addition, the ORPS Technical Support personnel can be requested to change:

- The discovery and categorization date and/or time for Notification/Update Reports, if needed. If the current report is an Update Report, the modification will also be made to the historical Notification Report.
- The DOE Program Office designation to help in the sign-off of a Pre-Final Report. The Program Office code and description will be modified only on the Pre-Final Report.
- Incorrect corrective action completion dates entered on the Final Report. This change requires modifying or deleting the specified corrective action completion date(s) and requires a written request with signatures from the Facility Manager, DOE Facility Representative, and DOE Program Manager.

- Any field on a Final Report, including but not limited to the Number of Occurrence field in a Roll-Up Report. The ORPS Technical Support personnel must receive a written request signed by the Facility Manager, DOE Facility Representative, and DOE Program Manager.

Approval Process

A well-defined occurrence report review and approval process is a must for smooth operation of the occurrence reporting program. Both the DOE Facility Representative and DOE-HQ Program Manager are required to review and approve Final Reports. In some situations, the DOE Program Manager approval requirement for Final Report categorized as Off-Normal may be delegated to the DOE Facility Representative (see the section *Approval Delegated for Off-Normal Reports*). When all signatures have been obtained, the report is placed in the ORPS database as a Final Report.

DOE M 232.1-1A specifies the review requirements, requiring that Facility Representatives review reportable occurrence information to assess acceptability and significance or root cause, generic implications, and corrective actions(s) implementation and closeout. The DOE-HQ Program Manager is also required to assess the Facility Managers' and Facility Representatives' evaluation of this same occurrence report information. Typically the assessment of the review is documented by providing written comments on the occurrence report through ORPS.

Most events that result in an occurrence report involve DOE or contractor oversight organizations to some degree (i.e., Health Physics, Environmental Protection, Safety, Engineering Organizations, etc.). Experience suggests that the review and approval process should provide an opportunity to obtain the affected oversight organizations' concurrence of the analysis of the event, the evaluation, and the planned corrective actions before the report is submitted to DOE for approval.

For additional guidance on reviewing occurrence reports, see Appendix D, *Checklist for Occurrence Report Review*, of the *Occurrence Reporting Program Guidance Document*, prepared by the OR SIG. **Figure 9** provides details of the steps involved in the ORPS Approval Process phase.

DOE M 232.1-1A also requires that the Program Manager interact with the Facility Representative and HQ Oversight organizations as necessary, and inform and advise their respective management of their findings. Likewise, the Facility Representative is required to interact with facility personnel and Field Element oversight organizations as necessary, and inform and advise their respective management of their findings.

FR Approval

When the Facility Manager transmits the occurrence report as a Final Report, the Facility Manager's electronic signature is placed on the report. Next, the DOE Facility Representative places their electronic signatures on the report, indicating acceptance. They may also input comments that will remain with the official Final Report when it

becomes accessible to all users. If the report is rejected, all signatures are removed and the responsibility to correct and resubmit the report is returned to the Facility Manager. In most cases the report must be accepted by the DOE Facility Representative and the DOE-HQ Program Manager to become an official Final Report. However, where approval has been delegated for occurrence reports categorized as Off-Normal, the reports will become final after approval by the DOE Facility Representative.

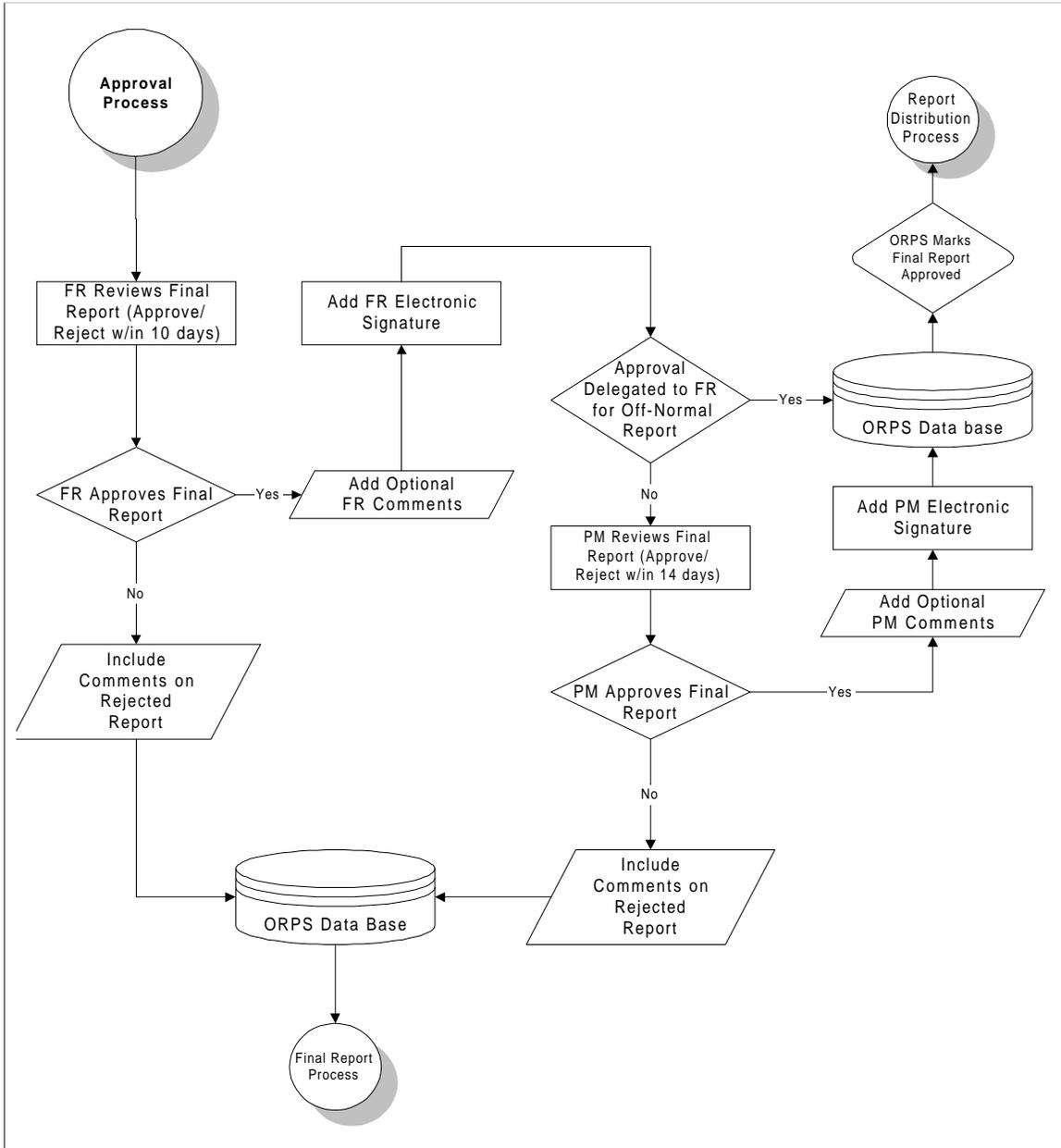


Figure 9 - Approval Process Phase

FR Approved and Rejected Pre-Final Reports

The DOE Facility Representative is responsible for the initial review and approval or disapproval of Pre-Final Reports. The Facility Representative is required to review and approve or reject Final Reports within 10 calendar days of receipt. If approved, then the Pre-Final Report is forwarded to the Program Manager for approval or, if rejected, the Pre-Final Report is returned to the Facility Manager with a written explanation for correction and resubmittal.

FR Comments

The DOE Facility Representative who rejected the report must provide written comments stating the reason for the rejection. If the ORPS database is being used, the Facility Representative's comments should be provided through ORPS. Facility Representative comments are not required when they approve the report.

Approval Delegated for Off-Normal Reports

If Off-Normal approval has been delegated by the Secretarial Officers to the DOE Facility Representative, the DOE-HQ Program Manager does not approve the final report. In this case, the PM Approval steps would not apply and the report becomes final after being approved by the DOE Facility Representative.

PM Approval

When the occurrence report is transmitted as a Final Report, the Facility Manager's electronic signature is placed on the report. After Facility Representative approval of the Pre-Final Report, the DOE-HQ Program Manager places their electronic signature on the report, indicating acceptance. They may also input comments that will remain with the official Final Report when it becomes accessible to all users.

If the Program Manager rejects the report, all signatures are removed and the responsibility to correct and resubmit the report is returned to the Facility Manager. The report must be accepted by the DOE Facility Representative and the DOE-HQ Program Manager to become an official Final Report. Again in the case of reports categorized as Off-Normal, approval may have been delegated to the DOE Facility Representative.

PM Approved and Rejected Pre-Final Reports

The DOE-HQ Program Manager is responsible for the review and approval or disapproval of Pre-Final Reports. If the Pre-Final Report is approved by the DOE Facility Representative, the DOE-HQ Program Manager has 14 days to approve or reject the report. If approved, the report is placed in the ORPS database as a Final Report. If the Program Manager rejects the report, the Facility Representative's electronic signature is removed from the report and it is returned to the Facility Manager for correction and resubmittal.

PM Comments

The DOE-HQ Program Manager who rejected the report must provide comments stating the reason for the rejection.

Approved Final Reports

When all signatures have been obtained, the report is placed in the ORPS database as a Final Report. The approved Final Report then becomes available to all ORPS users. No changes can be made to the body of the report once it has been finalized. However, the Facility Manager may add an actual completion date to a corrective action or change a target completion date of a corrective action (for other exceptions see the ***ORPS Occurrence Report Change Policy*** section). If a target completion date is changed, a justification must be entered. The cognizant DOE Facility Representative and DOE-HQ Program Manager are notified of changes to corrective action dates through the manager functions on ORPS.

Occurrence Report Distribution

For all occurrence reports that are determined to be unclassified, entering occurrence reports into the ORPS data base automatically satisfies the DOE O 232.1A requirement to distribute occurrence reports to the Facility Representative, Program Manager, affected program self-assessment group, Heads of all Field organizations, Office of Environment, Safety and Health (EH-1), DOE Management and Operations or Integrating contractors, and the Office of Operating Experience Analysis and Feedback (EH-33). All unclassified Final Reports, with the exception of Final canceled reports, must be placed in the local reading room within two weeks of report approval, with an additional copy sent to the DOE Headquarters reading room. Once this distribution is made, the Freedom of Information Act mandates are met.

For those occurrence reports that are determined to contain classified or UCNI information, adherence to DOE and site procedures that define protection and control of classified material is essential. An unclassified nonsensitive version of the Final Report shall be entered into ORPS, and shall be placed in the local reading room within four weeks of report approval, with an additional copy sent to the DOE Headquarters reading room.

Site and/or facility procedures should also identify those organizations and/or individuals that should receive copies of occurrence reports. These individuals/organizations may have responsibility for trending, lessons learned, accountability, or records retention. Also, information associated with completion and close-out of corrective actions should be maintained and lessons learned from the facility's respective occurrences and the operations information obtained from other similar DOE facilities shall be collected and disseminated.

In addition, supporting information pertaining to each Occurrence Report (e.g., graphs, analyses) is required to be retained in accordance with Departmental Records Disposition Schedules, as required by 36 CFR Chapter 12, Subchapter B. Types of records that are typically maintained for occurrences include:

- ▶ Photos
- ▶ Critique Records
- ▶ Interview Records
- ▶ Root Cause Worksheets
- ▶ Associated Investigation Reports
- ▶ Fact Sheets
- ▶ Equipment Monitoring Information

Figure 10 provides details of the steps involved in the Occurrence Report Distribution phase.

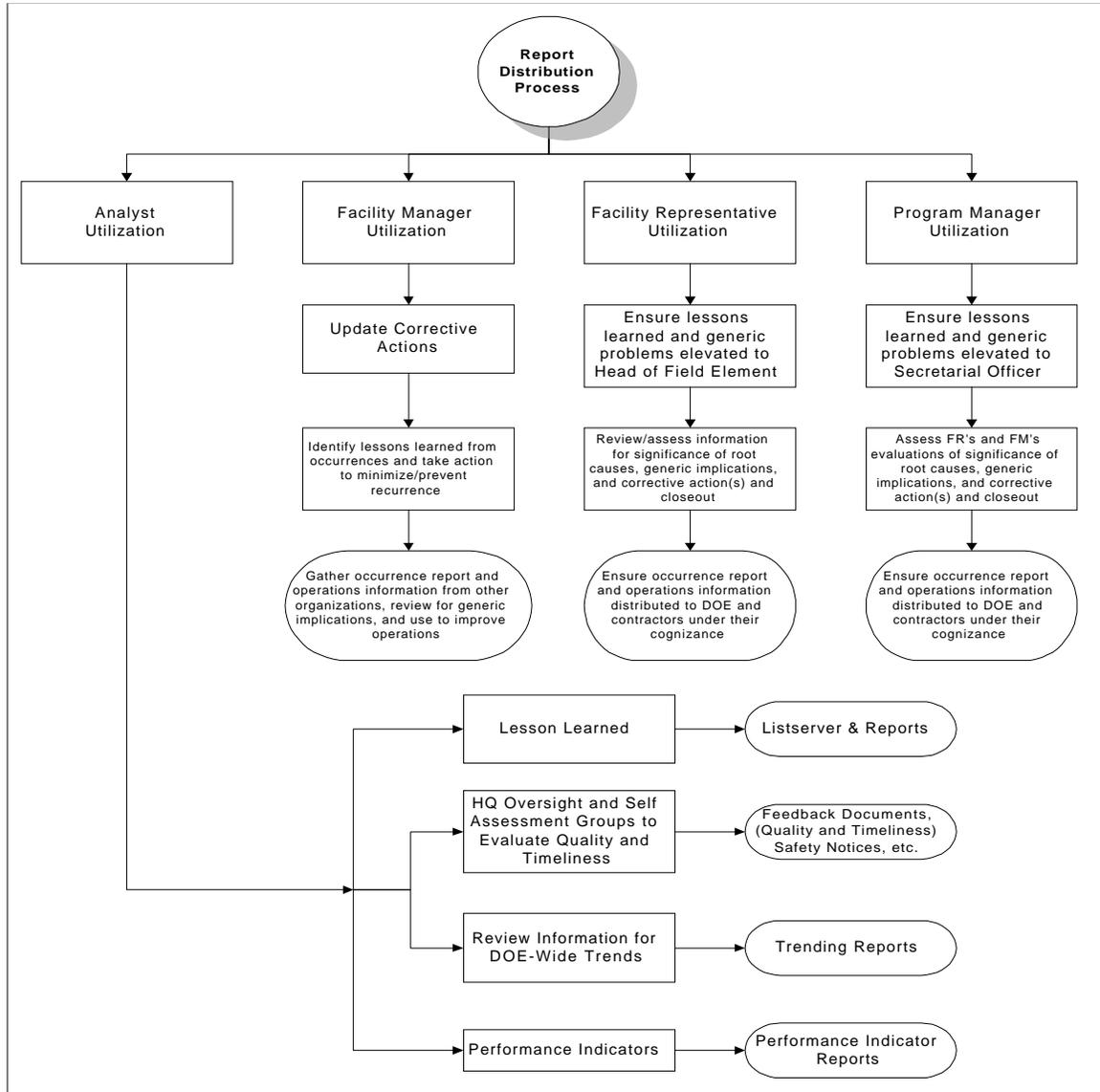


Figure 10 - Report Distribution Phase

Analyst Utilization

One of the major purposes of occurrence reporting is to provide feedback of safety and operational information identified in the occurrence reports to other DOE facilities. In addition, Headquarters oversight and self-assessment organizations use ORPS information to prepare Safety Notices and other feedback documents.

Facility Manager Utilization

For the facilities under their cognizance, the Facility Manager is required to implement a program for the timely identification, categorization, response, notification, investigation, and reporting of abnormal conditions and events. Also Facility Managers are responsible to ensure that occurrences resulting from activities performed by subcontractors in support of facility operation are reported in accordance with the provisions of DOE O 232.1A.

Under DOE O 232.1A, Facility Managers are responsible for identifying lessons learned and generic or programmatic implications from occurrences and take actions to minimize or prevent recurrence. Facility Managers are also responsible for disseminating occurrence reports and operations information from other organizations, reviewing for generic implications, and using to improve operations. Each Facility Manager should use this information for trending and analysis and for early identification and correction of deteriorating conditions.

Updating Corrective Actions

Once a Final Report has been entered onto ORPS, the Facility Manager must ensure that the status of the corrective actions is kept up-to-date (i.e., to reflect changes in the target completion date or add an actual completion date). The Facility Manager will not have access to the Final Report (i.e., for updating corrective actions) until the report is approved or rejected by the DOE-HQ Program Manager. Therefore, each facility should have a system for reviewing the open corrective actions for approved and unapproved Final Reports and update the target or actual completion dates in a timely manner. Since most sites track corrective actions at a local level, the occurrence administrator should ensure that the local tracking system for corrective actions and the ORPS tracking system for corrective actions are maintained consistently.

Facility Representative Utilization

For facilities under their cognizance, Facility Representatives are responsible for monitoring day-to-day operations and performance to ensure that facility personnel implement a program compatible with DOE O 232.1A and that lessons learned and generic or programmatic implications are identified and elevated to the Head of the Field Element for appropriate action. Facility Representatives are also responsible for reviewing and assessing reportable occurrence information from facilities under their cognizance to assess acceptability and significance of root causes, generic implications, and corrective action(s) implementation and closeout, and to ensure that facility personnel involved in these operations perform the related functions.

In addition, Facility Representatives must ensure that Occurrence Reports and operations information from other organizations are disseminated to appropriate facility personnel within their cognizance, are reviewed for generic implications, and are used to improve operations.

Program Manager Utilization

For facilities under their cognizance, Program Managers are responsible for reviewing activities relating to occurrence reporting to ensure that facility personnel implement a program compatible with DOE O 232.1A and that lessons learned and generic or programmatic implications are identified and elevated to the Secretarial Officer for appropriate action. Program Managers are responsible for reviewing and assessing reportable occurrence information from facilities under their cognizance to assess the Facility Manager's and Facility Representative's evaluation of significance, root cause, generic implications, and corrective action(s) implementation and closeout, and to ensure that DOE and contractor staff involved in these operations perform the related functions.

In addition, Program Managers must ensure that Occurrence Reports and operations information from other organizations are disseminated to appropriate DOE and contractor activities within their cognizance, are reviewed for generic implications, and are used to improve operations.

ORPS GUI

What is the ORPS GUI?

The ORPS Graphical User Interfaces (GUI) allows the creation and transmittal of occurrence reports, development of ad hoc search and reports, and access to screens associated with the Facility Manager (FM), Facility Representative (FR), and Program Manager (PM) functions required by the DOE O 232.1A.

The ORPS GUI is a Windows-based tool that takes advantage of the modern browser technology currently being used to navigate the World Wide Web (WWW). This technology allows for a user interface that is consistent with industry standards, easy to use, and easy to modify as changes are necessary.

Benefits of the ORPS GUI are:

- ▶ Platform-independence — The ORPS GUI runs on a PC, Mac, UNIX, or an operating system that supports current browser technology.
- ▶ Any browser, such as Netscape or Internet Explorer, that supports features found in Netscape 2.0 such as tables and Secure Socket Layer (SSL-2) can be used to access the ORPS GUI.
- ▶ Improved connectivity options — You can connect to the ORPS GUI through toll-free modem dial-up and with an Ethernet connection from the DOE Frame Relay Network. In addition you can access these programs and functions with a direct Internet connection or through an Internet Service Provider.
- ▶ The GUI allows for greater system integration with other ES&H information sources within the DOE.
- ▶ Ease of Use — The GUI is easy-to-use. If you are familiar with the Macintosh or Microsoft Windows interface, you will find the new GUI to be both familiar and friendly.
- ▶ The GUI offers extensive context sensitive on-line help that is easily accessible.

In calendar year 1998, many new functions were added to the existing ORPS GUI including an ORPS GUI Data Entry Program, ad hoc search and reports, and the screens associated with the FM, FR, and PM functions. In addition, the ORPS GUI was revised to allow Short Form reporting and additional Nature of Occurrence analysis fields were added.

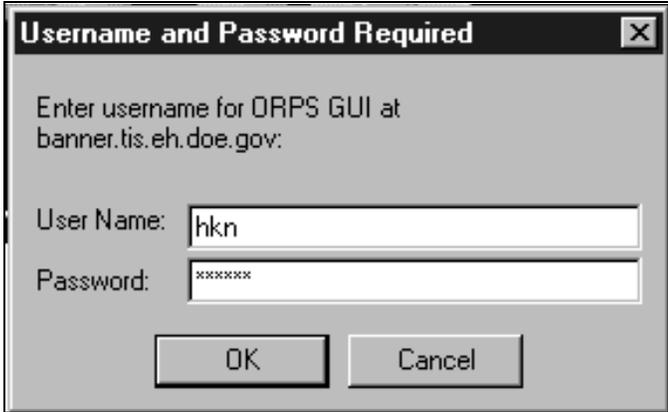
Brief descriptions of the ORPS GUI, the new ORPS GUI Data Entry Program, and the FM, FR, and PM functions are provided later in this document.

Connecting to the ORPS GUI Programs and Functions

You can connect to the ORPS GUI with an Ethernet connection to the DOE Frame Relia Network, with a direct Internet connection, with a modem, or through an Independen Service Provider (ISP).

The URL for DOE Frame access to the ORPS GUI Data Entry Program, search and reports functions, ad hoc search and reports, and the screens associated with the FM, FR, and PM functions i <https://atlas.eh.doe.gov/cgi-bin/orps/orps> and for direct Internet (or ISP) it is <https://banner.tis.eh.doe.gov/cgi-bin/orps/orps>. Two toll-free phone numbers provide dial-up access to the ORPS GUI. If you are east of the Mississippi, dial 1-800-556-5415. If you are west of the Mississippi, dial 1-800-359-7863.

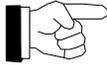
Once you have established a connection you will be prompted with a box indicating a security mismatch. At this box select the continue button. Then you will be presented with the **USERNAME AND PASSWORD REQUIRED** logon box (**Figure 11**). In the **USER NAME** edit box enter your user-id. In the **PASSWORD** edit box enter your password.



The image shows a standard Windows-style dialog box titled "Username and Password Required". The text inside the dialog box reads: "Enter username for ORPS GUI at banner.tis.eh.doe.gov:". Below this text are two input fields. The first is labeled "User Name:" and contains the text "hkn". The second is labeled "Password:" and contains a series of asterisks "*****". At the bottom of the dialog box are two buttons: "OK" and "Cancel".

Figure 11 - The **ORPS GU** logon box.

NOTE



If you access the ORPS GUI through the toll-free phone numbers, you will be required to provide a user-id and password twice. The first user-id and password request is for logging onto the network to connect to the modem pool. At this first request, type **orps** for the user-id and **orps** for the password. At the second request, enter your assigned user-id and its associated password.

ORPS GUI Access from the EH TIS Homepage

To access the ORPS GUI Data Entry Program, search and reports functions, ad hoc search and reports, and the screens associated with the FM, FR, and PM functions from TIS, select the **Data Reporting & Analysis Services** hyperlink on the Environment Safety & Health InfoCenter table (**Figure 12**). (The URL is **http://tis.eh.doe.gov/analysis.**) Then simply click on the **Occurrences** hyperlink to initiate an ORPS GUI session.

The screenshot shows a web page titled "ES&H TIS Data Reporting & Analysis Services". On the left, there is a small image of a computer terminal with the text "Info Database" below it. Below the title, there is a navigation bar with links: [Home Page] [Map] [Search] [Comments] [Text Only] [Stats] [Help]. Below the navigation bar, the heading "Select Data Category" is followed by a list of categories: Occurrences (circled), Accidents/Incidents, Radiation Exposure, Medical, Environmental, Compliance (Coming soon), and Performance.

Figure 12 - The ES&H TIS DATA REPORTING & ANALYSIS SERVICES page.

ORPS GUI Access from the DOE Occurrence Reporting Program Homepage

A hyperlink to the ORPS GUI Data Entry Program, search and reports functions, ad hoc search and reports, and the screens associated with the FM, FR, and PM functions is also located on the *DOE OCCURRENCE REPORTING PROGRAM* homepage (**Figure 13**) from the Office of Operating Experience Analysis and Feedback homepage. (The *DOE OCCURRENCE REPORTING PROGRAM* URL is <http://tis.eh.doe.gov/web/oeaf/orps/orps.html>.) This page also provides a starting point for finding links to other useful occurrence reporting information. To access the ORPS GUI from the *DOE OCCURRENCE REPORTING PROGRAM* page, simply click on the **ORPS Data Base Access** hyperlink.

***SAFETY MANAGEMENT
THROUGH ANALYSIS***

**Department of Energy
Occurrence Reporting Program**

The Department of Energy's Occurrence Reporting Program provides timely notification to the DOE complex of events that could adversely affect: public or DOE worker health and safety, the environment, national security, DOE's safeguards and security interests, functioning of DOE facilities, or the Department's reputation. DOE analyzes aggregate occurrence information for generic implications and operational improvements. The Program and its data system, the Occurrence Reporting and Processing System (ORPS) are described in DOE Order 232.1 and its associated Manual, DOE Manual 232.1-1.

<ul style="list-style-type: none">▶ <u>ORPS Data Base Access</u> Requires prior registration. Contact Eugenia Boyle at eugenia.boyle@eh.doe.gov for further information.▶ <u>ORPS Bulletins/Publications</u> Timely information and back issues▶ <u>Systems and Data for ES&H Analysis</u> Links to other DOE data, products, and systems▶ <u>ORPS Re-engineering Page</u> News and plans. Currently under development.▶ <u>Site Implementation Procedures</u> Links to site-specific reporting procedures. Currently under development.	<ul style="list-style-type: none">▶ <u>Occurrence Reporting Quality</u> Keeping the data clean; Helping write better reports▶ <u>Occurrence Reporting Special Interest Group (OR SIG)</u> Supports improvement of DOE event reporting and use of occurrence report data.▶ <u>ORPS Training Information</u> 1997 ORPS Users' Workshop/TRADE OR SIG and QM SIG Spring Meeting Information and Registration Form URGENT - Registration Material due 4/4/97
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Figure 13 - The DOE OCCURRENCE REPORTING PROGRA page.

Once you have selected the **Occurrences** or the **ORPS Data Base Access** hyperlink, you will be required to logon as described in **Connecting to the ORPS GUI** section of this manual. After the logon is completed, the Netscape browser will display a **SECURITY INFORMATION** message box (**Figure 14**). This alert says you are entering a secure site where information is encrypted for privacy while in transit. To enter the ORPS GUI you must click on the **CONTINUE** command button. Be aware that no equivalent message is given with the Internet Explorer browser.



In Netscape, you will be presented with the **SECURITY INFORMATION** message box every time you enter or exit a secure site. To discontinue this message, simply uncheck the **SHOW THIS ALERT NEXT TIME** check box.

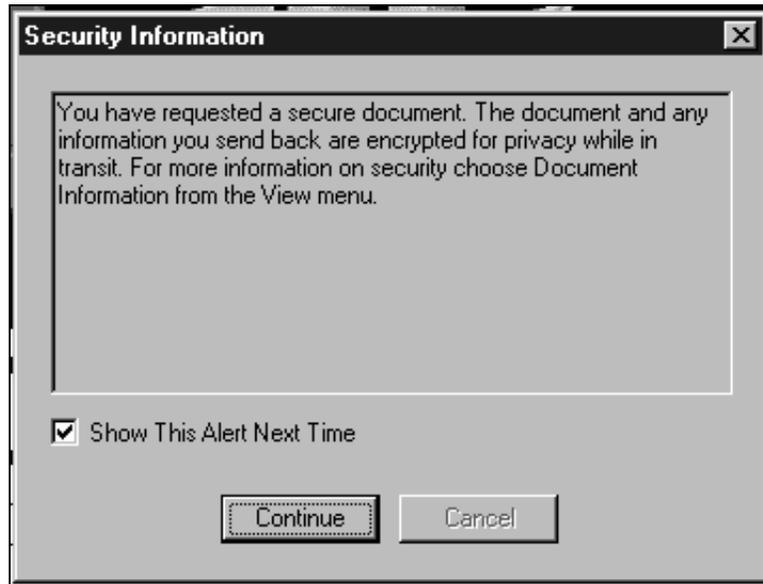


Figure 14 - The **SECURITY INFORMATION** message box.

Both Netscape and Internet Explorer display special icons to signify secure site access.



The Netscape icon is a closed key displayed at the bottom left of the window.



The Internet Explorer icon is a closed lock displayed at the bottom right of the window.

The **ORPS GUI** homepage is displayed in **Figure 15**. From here you can select from the following hyperlinks:

- **ORPS Data Entry** (seen only by Facility Managers, including Designees and Administrators) - This hyperlink takes you to the ORPS DATA ENTRY page. The occurrence reporting data entry functions are initiated from this page.

- **Manager Functions** (seen only by Facility Managers/Designees/Administrators, Facility Representatives/Designees, and Program Managers/Designees) - This hyperlink takes you to the ORPS MANAGER OR SEARCH & REPORTS page. The functions for updating target and actual corrective action completion dates by Facility Managers is initiated from this page. In addition, the functions for reviewing and approving Final Reports, along with the ability to provide comments, by Facility Representatives and Program Managers is also initiated from this page. The availability of these functions are dependent on the user's authorities.
- **Search & Reports** - This hyperlink takes you to the *ORPS OR SEARCH & REPORTS* page. The ORPS GUI search and report functions for the ORPS data base are initiated from this page.
- **Authorities** - This hyperlink takes you to the *ORPS AUTHORITY SEARCH & REPORTS* page. Searches and report functions for occurrence reporting submittal and sign-o authority information are initiated from this page.
- **Announcements** - This hyperlink takes you to the *ORPS ANNOUNCEMENTS* page. From this page you can read the announcements relative to the ORPS GUI and the Occurrence Reporting Program.
- **Bulletins** - This hyperlink takes you to the *ORPS BULLETINS/PUBLICATIONS* page. From this page you can search the ORPS Bulletins or hyperlink to the individual issues.
- **Training** - This hyperlink takes you to the *INSTRUCTIONAL MATERIALS* page. From this page you can access instructional resources including, the *ORPS GUI Reference Guide*, the *ORPS GUI Training Manual*, and the *ORPS GUI Training Manual* lesson plans.
- **Help** - This hyperlink takes you to the *TABLE OF CONTENTS* page for the ORPS GUI help files and resources. From this page you can access reference materials, instructional resources, context sensitive help, and troubleshooting information. The help feature is discussed in detail in the *ORPS GUI Help Features and ORPS Authorities Options* section of this manual.

NOTE



ORPS Home, Search & Reports, Authorities, and Help hyperlinks are found at the bottom of most pages within the ORPS GUI. **Manager Functions** hyperlinks are also available for those users with the appropriate authority.

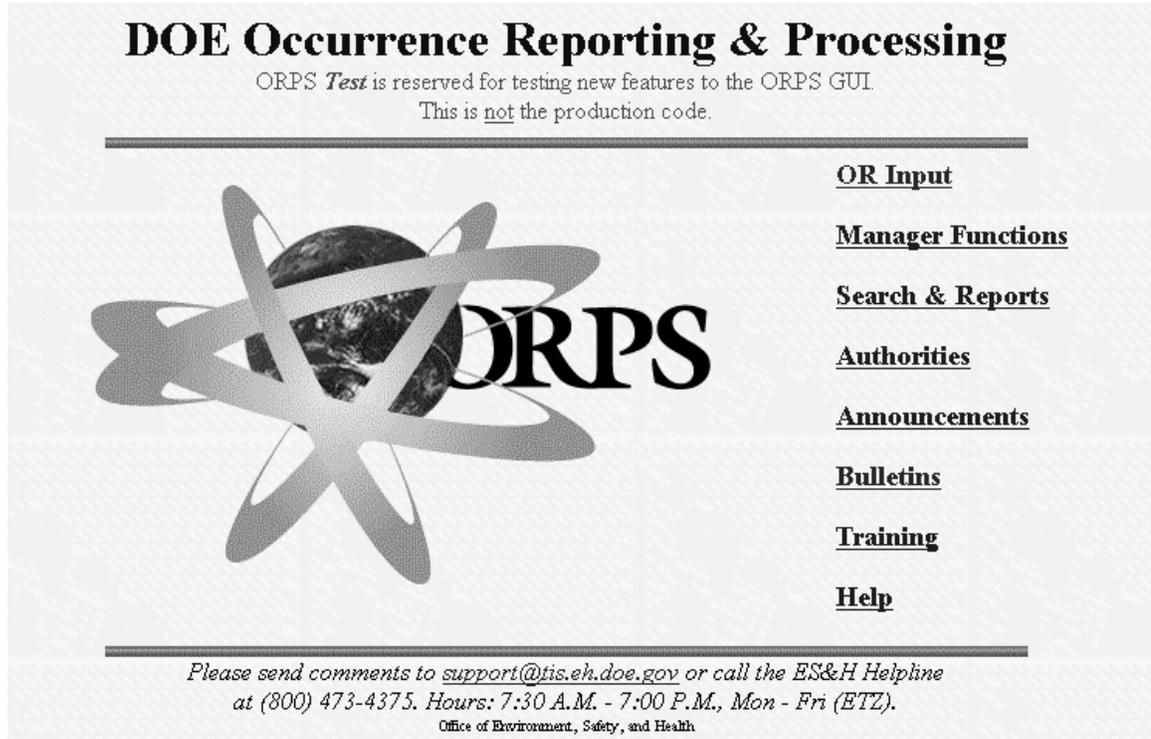


Figure 15 - The ORPS GU homepage.

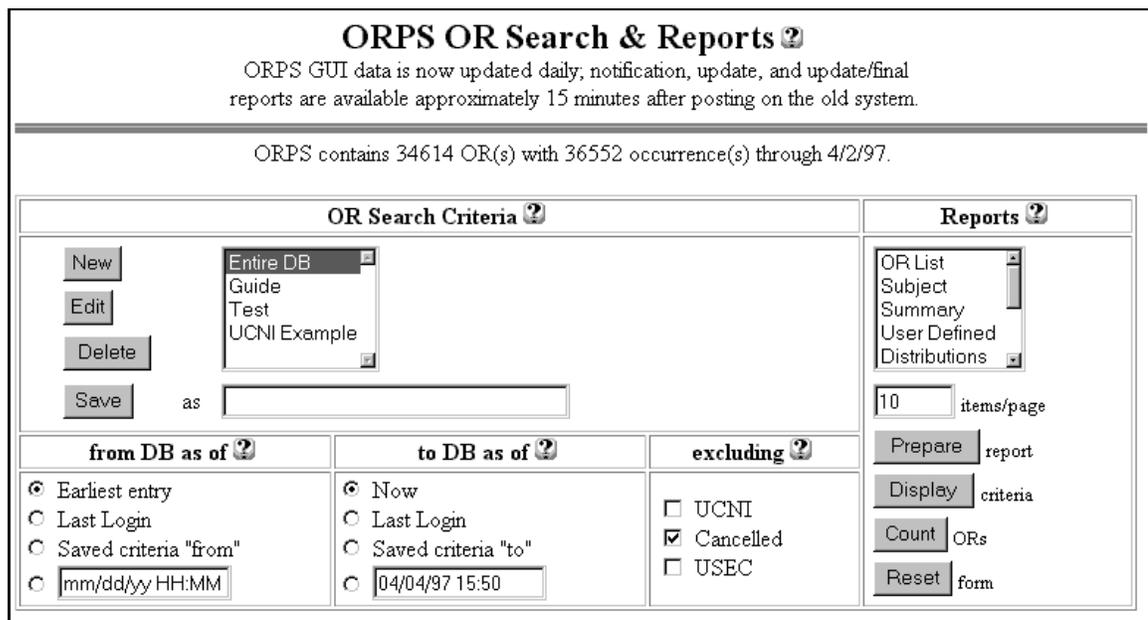
Search & Reports

Some of the enhanced analytical capabilities of the Search and Reports functions of the ORPS GUI are:

- ▶ The interface provides greatly enhanced narrative searching capabilities. The use of phrase searching and numerous special operators provide the ability to more accurately define a data set based on a narrative search.
- ▶ The interface provides the ability to easily screen initial selections to identify and remove non-applicable records from the selection prior to generating a report
- ▶ Searches can be specified with date and time bounds applied to the data. The data can effectively be frozen at a particular date and time, thus enabling search results to be reproduced or further refined without being affected by subsequent revisions to the data.

ORPS OR Search & Reports

Clicking the **Search & Reports** hyperlink on the *ORPS GUI* homepage takes you to the *ORPS OR SEARCH & REPORTS* page. This *ORPS OR SEARCH & REPORTS* page is displayed in **Figure 16**. The page provides you with the capability to select the elements you want to use to for your query of the ORPS report information. In addition, context sensitive help can be accessed from this page by clicking on one of the  icons. (See **Figure 16**.) From this page, you initiate a search of the ORPS database and generate reports based on the search.



ORPS OR Search & Reports 

ORPS GUI data is now updated daily; notification, update, and update/final reports are available approximately 15 minutes after posting on the old system.

ORPS contains 34614 OR(s) with 36552 occurrence(s) through 4/2/97.

OR Search Criteria 		Reports 
<input type="button" value="New"/> <input type="button" value="Edit"/> <input type="button" value="Delete"/> <input type="button" value="Save"/> as <input type="text"/>		<input type="text" value="10"/> items/page
<input type="button" value="Prepare report"/>		
<input type="button" value="Display criteria"/>		
<input type="button" value="Count ORs"/>		
<input type="button" value="Reset form"/>		

Figure 16 - The *ORPS OR SEARCH & REPORTS* page.

The **ORPS OR SEARCH & REPORTS** page functions as a control panel by allowing you to select search criteria, report options, and other selections that allow you to further refine your query. The control panel is divided into five sections: **OR SEARCH CRITERIA**, **REPORTS**, **FROM DB AS OF**, **TO DB AS OF**, and **EXCLUDING**. Each is briefly explained in the following table.

Section	Description
OR Search Criteri	This section allows you to create, edit, save, or delete a search profile.
Reports	This section allows you to generate reports based on the occurrence reports selected with a search profile.
From DB as of	This section allows you to specify a beginning date (based on a system generated time stamp) with which to bound your search.
To DB as of	This section allows you to specify an ending date (based on a system generated time stamp) with which to bound your search.
Excluding	This section allows you to exclude certain types of reports.

Search Criteria

All operations performed in the control panel are based on a set of search specifications called a search profile. Selecting the **NEW** or **EDIT** command buttons on the **ORPS OR SEARCH & REPORTS** page takes you to the **ORPS OR SEARCH CRITERIA** page. To initiate the creation of a new search profile, click on the **NEW** command button and to edit an existing search profile, click on the **EDIT** command buttons. You will be presented with the **ORPS OR SEARCH CRITERIA** page (**Figure 17**) which presents the various fields that can be used as the basis of a search of the ORPS database.

ORPS OR Search Criteria

ORPS GUI data is now updated daily; notification, update, and update/final reports are available approximately 15 minutes after posting on the old system.

ORPS contains 34614 OR(s) with 36552 occurrence(s) through 4/2/97.

Identification	Chronology	Narrative
<div style="background-color: black; color: white; padding: 2px;">None</div> <ul style="list-style-type: none"> 1. OR Number 2. Field Office 3. Area Office 4. Contractor 5. Facility 6. OR Year 	<div style="background-color: black; color: white; padding: 2px;">None</div> <ul style="list-style-type: none"> 25. Current Report 26. Last Modification 27. Discovery 28. Categorization 29. DOE Oral Notification 30. Other Notification 	<div style="background-color: black; color: white; padding: 2px;">None</div> <ul style="list-style-type: none"> 43. All Narrative 44. OR Title/Subject 45. Originator Title 46. FM Title 47. Plant Area 48. Division or Project

 Boolean logic specification:

from DB as of	to DB as of	excluding
<input type="radio"/> Earliest entry <input type="radio"/> Last Login <input checked="" type="radio"/> Saved criteria "from" <input type="radio"/> <input style="width: 80px;" type="text" value="mm/dd/yy HH:MM"/>	<input type="radio"/> Now <input type="radio"/> Last Login <input checked="" type="radio"/> Saved criteria "to" <input type="radio"/> <input style="width: 80px;" type="text" value="04/03/97 13:02"/>	<input type="checkbox"/> UCNI <input checked="" type="checkbox"/> Cancelled <input type="checkbox"/> USEC
<input type="button" value="New"/>	<input type="button" value="Refine"/>	<input type="button" value="Reset"/>

Figure 17 - The *ORPS OR SEARCH CRITERIA* page.

The list of searchable fields are displayed in three selection boxes: *IDENTIFICATION*, *CHRONOLOGY*, and *NARRATIVE*. From this page, you make field selection(s) from the selection box(es) and then make refinements by clicking on the *REFINE* command button. The *ORPS OR SEARCH CRITERIA* page is recreated to reflect the search field selections made on the previous page. From here, you define the values within the specified search fields.

NOTE  **Figure 17** only displays partial lists in the *IDENTIFICATION*, *CHRONOLOGY*, and *NARRATIVE* selection boxes. The entire lists can be accessed using the scroll bars for each box. For reference, all the ORPS GUI search fields are listed in **Figure 18**.

IDENTIFICATION	CHRONOLOGY	NARRATIVE
1. OR Number	25. Current Repor	43. All Narrative
2. Field Office	26. Last Modification	44. OR Title/Subjec
3. Area Office	27. Discovery	45. Originator Title
4. Contractor	28. Categorization	46. FM Title
5. Facility	29. DOE Oral Notification	47. Plant Area
6. OR Year	30. Other Notification	48. Division or Project
7. Sequence Number	31. AC Review	49. System/Bldg/Equip
8. OR Type	32. Notification Report	50. Operating Conditions
9. Program Office	33. Initial Update Report	51. Occurrence Narrative
10. Site/Organization	34. Latest Update Report	52. Immediate Actions
11. Facility Function	35. Final Report	53. Cause Narrative
12. Activity Category	36. Rejected	54. FM Evaluation
13. Occurrence Categor	37. Further Evaluation	55. Corrective Actions
14. Nature of Occurrence	38. FM Sign-off	56. CA Date Justification
15. Direct Cause	39. FR Sign-off	57. Impact on ES&H
16. Contributing Cause	40. PM Sign-off	58. Impact on Program
17. Root Cause	41. CA Target Completion	59. Impact on Codes/Std
18. No. of Occurrences	42. CA Actual Completion	60. Lessons Learned
19. FM Phone		61. Similar ORs
20. Originator Phone		62. User Field #1
21. Further Evaluation		63. User Field #2
22. Before Operation		64. FR Comments
23. CA Revision Count		65. PM Comments
24. Reject Coun		

Figure 18 - ORPS GUI search fields.

Clicking on the **FINISH** command button process the selections and returns you to the **ORPS OR SEARCH & REPORTS** page. You can now save a search profile for future use by typing a name in the **SAVE AS** edit box and clicking on the **SAVE** command button (see the **Search Profiles** section) and generate a report (see the **Reports** section).

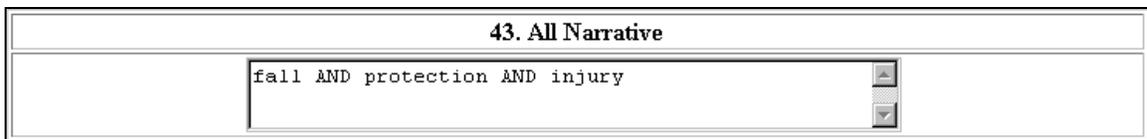
Analytical Capabilities

Improved analytical capabilities include the ability to use phrases and special operators for narrative searches, the ability to screen selections and exclude or include records, the ability to save an unlimited number of search profiles, and the ability to apply system generated time stamp date and time bounds to the search criteria. Additional discussion and an example for each improvement is included below.

Narrative Searches

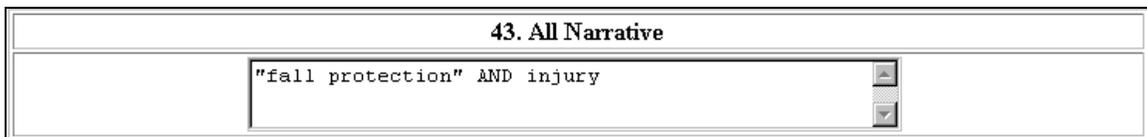
The ORPS GUI provides greatly enhanced narrative searching capabilities over HP ORPS. You can use phrase searches and numerous special operators to define a data set based on a narrative search. Phrases and special operators are used in the same way as the standard Boolean operators (*AND*, *OR*, or *NOT*). They are entered into any narrative edit box that is created on the ***ORPS OR SEARCH CRITERIA*** page.

For example, you may want to search for occurrence reports where “fall protection” and “injury” are found in any narrative. You could search using the *AND* operator (**Figure 19**); however, as expected this search string produces a significant over-recovery. The *AND* search, performed on 04/04/97, located 200 records. In the GUI, you could use phrase searching for a more accurate recovery (**Figure 20**). The phrase search, performed on 04/04/97, located 78 records. Moreover, the special operator *NEAR* would account for cases where the words “fall” and “protection” have additional words between the (**Figure 21**). Searching with the *NEAR* operator and using a parameter of six words locates an additional record, bringing the total to 79.



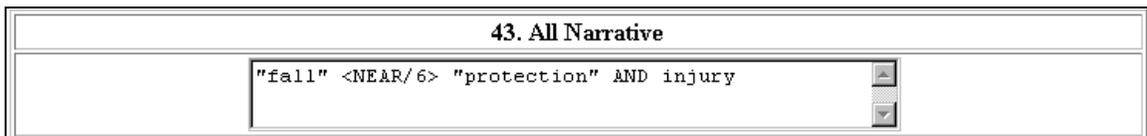
The screenshot shows a window titled "43. All Narrative". Inside the window is a text input field containing the search string "fall AND protection AND injury". To the right of the input field are two small vertical arrows, one pointing up and one pointing down, indicating a scrollable list.

Figure 19 - Example of using the *AND* operator in a narrative search.



The screenshot shows a window titled "43. All Narrative". Inside the window is a text input field containing the search string "\"fall protection\" AND injury". To the right of the input field are two small vertical arrows, one pointing up and one pointing down, indicating a scrollable list.

Figure 20 - Example of using the phrase feature in a narrative search.



The screenshot shows a window titled "43. All Narrative". Inside the window is a text input field containing the search string "\"fall\" <NEAR/6> \"protection\" AND injury". To the right of the input field are two small vertical arrows, one pointing up and one pointing down, indicating a scrollable list.

Figure 21 - Example of using the *NEAR* operator in a narrative search.

Screening Selections

The ORPS GUI provides the ability to screen records returned by a search criteria. This feature allows you to easily identify and either include (i.e., by clicking on the ***INCLUDE*** radio button at the top of the screen) applicable records or exclude (***EXCLUDE*** is the default) non-applicable records from the selection prior to generating a report.

For example, once you have searched for occurrence reports where “fall protection” and “injury” are found in any narrative, you can click on the **SCREEN** command button on the **ORPS OR SEARCH CRITERIA** page and then exclude any records where an injury did not actually occur. You can exclude a record by checking the check box associated with individual records (**Figure 22**). You can screen the records by reading the **OR Title/Subject** that is displayed on the screening page or you can hyperlink to the individual records. Once you have selected the records to exclude, you can finish the search by clicking the **FINISH** command button and return to the **ORPS OR SEARCH & REPORTS** page where you can save the profile or generate reports from the screened search.

ORPS Screen OR Search Criteria

ORPS GUI data is now updated daily; notification, update, and update/final reports are available approximately 15 minutes after posting on the old system.

ORPS contains 34614 OR(s) with 36552 occurrence(s) through 4/2/97.
Query selected 79 OR(s) with 79 occurrence(s) through 04/04/97 10:47 using criteria "Untitled".

Check any item(s) your wish to exclude or include.

OR Title/Subject OR Number	Occurrence Date
<input type="checkbox"/> 1) <u>Personal injury from fall in HH-Building</u> ALO-DA-EGGM-EGGMAT04-1992-0004	02/04/92
<input type="checkbox"/> 2) <u>Construction Contractor Fell From Building 875 Roof</u> ALO-KO-SNL-NMFAC-1996-0008	12/09/96
<input type="checkbox"/> 3) <u>A Four Corners Drilling employee was injured while constructing a drill rig</u> ALO-LA-LANL-FENTONHILL-1996-0003	11/12/96
<input checked="" type="checkbox"/> 4) <u>Fall Protection (OSHA) Noncompliance During Construction Activity</u> ALO-LA-LANL-HRL-1996-0002	08/14/96
<input checked="" type="checkbox"/> 5) <u>Contractor Working on Roof Edge</u> ALO-PI-GEND-PINELLAS-1991-1007	04/18/91
<input type="checkbox"/> 6) <u>Construction worker injury</u> CH-AA-ANLE-ANLEAPS-1995-0002	01/13/95
<input checked="" type="checkbox"/> 7) <u>Repair of Rain Gutter Heater Without Proper Fall Protection</u> CH-AA-ANLW-HFEF-1996-0008	11/21/96

Figure 22 - Example of excluding records from a search set.

Search Profiles

The ORPS GUI allows you to save an unlimited number of search profiles. These profiles can also be edited and deleted. You can display saved profiles from the **OR SEARCH CRITERIA** selection box. Use the scroll bar to view additional search profiles.

We will continue with the previous example to demonstrate how you might use these features. Once you have searched for occurrence reports where “fall protection” and “injury” are found in any narrative and excluded any records where an injury did not actually occur, you can save the search profile to use at a later date. You may decide later

that you would like to remove the exclusions saved with that profile. You simply select the profile and click on the **EDIT** command button in the **OR SEARCH CRITERIA** section of the control panel **Figure 23**). You will be returned to the **ORPS OR SEARCH CRITERIA** page with the saved search specifications listed on the page. You can now select the **SCREEN** command button to view any specific occurrence report exclusions saved with the search profile. Modify the exclusions by clicking on the checked boxes to remove the exclusions and then click on the **FINISH** command button. Now you can save the profile with the same name (to overwrite the original profile) or with a different name (**Figure 24**).

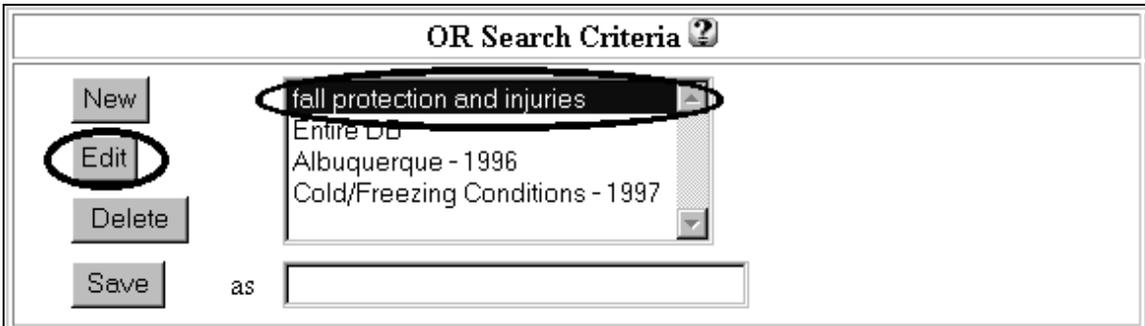


Figure 23 - Example of initiating the edit of a search profile.

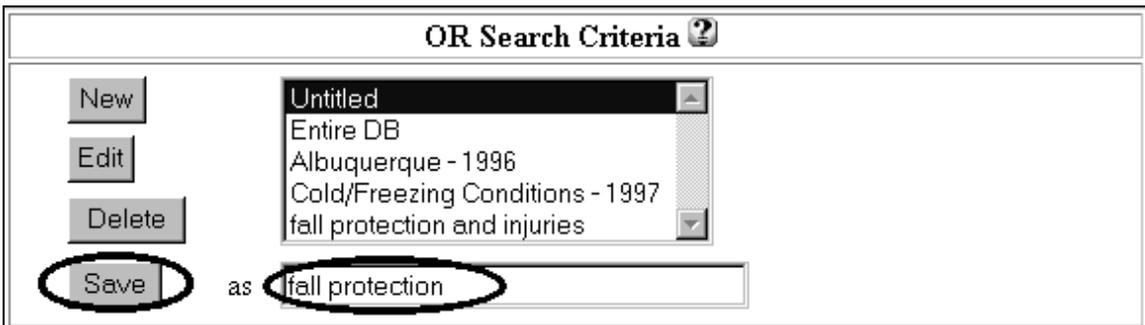


Figure 24 - Example of saving an edited search profile.

Date and Time Bounds

The ORPS GUI allows you to use the time stamp saved with each record to bound your search. In effect, you can freeze the data at a particular date and time, thus allowing you to reproduce search results that are not affected by subsequent revisions to the data.

NOTE



Complete time stamp information is only available from the point in time that data was originally transferred from the data base on the HP-3000 to the ORPS GUI. When the data was transferred, each record was given a time stamp equal to the date and time (where available) that the record was last modified on the HP-3000. Time stamp information for earlier changes is not available.

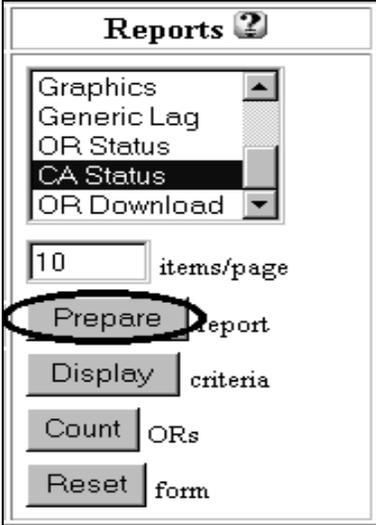
For example, two months after you retrieved occurrence reports where “fall protection” and “injury” are found in any narrative, you may want to run reports against data in the same status as when you saved the search profile. You simply select the saved profile from the **OR SEARCH CRITERIA** selection box and click on the **SAVED CRITERIA “FROM”** radio button in the **FROM DB AS OF** section of the control panel and the **SAVED CRITERIA “TO”** radio button in the **TO DB AS OF** section (Figure 25).

OR Search Criteria ?			Reports ?
<input type="button" value="New"/> <input type="button" value="Edit"/> <input type="button" value="Delete"/> <input type="button" value="Save"/> as	<div style="border: 1px solid black; padding: 2px;"> Entire DB Albuquerque - 1996 Cold/Freezing Conditions - 1997 Electrical Injuries/Procedures fall protection and injuries </div>		<div style="border: 1px solid black; padding: 2px;"> OR List Subject Summary User Defined Distributions </div>
			<input type="text" value="10"/> items/page
from DB as of ? <input type="radio"/> Earliest entry <input type="radio"/> Last Login <input checked="" type="radio"/> Saved criteria "from" <input type="radio"/> <input type="text" value="mm/dd/yy HH:MM"/>	to DB as of ? <input type="radio"/> Now <input type="radio"/> Last Login <input checked="" type="radio"/> Saved criteria "to" <input type="radio"/> <input type="text" value="04/04/97 13:59"/>	excluding ? <input type="checkbox"/> UCNI <input checked="" type="checkbox"/> Cancelled <input type="checkbox"/> USEC	<input type="button" value="Prepare"/> report <input type="button" value="Display"/> criteria <input type="button" value="Count"/> ORs <input type="button" value="Reset"/> form

Figure 25 - Example of using the time stamp saved with individual records to retrieve records for a date and time range.

Reports

Once you have established a search profile, many different types of output reports can be created. The output report you choose will use the occurrence reports selected with your specified search profile. Output report types are displayed in the **REPORTS** selection box (see **Figure 26**) on the **ORPS OR SEARCH & REPORTS** page. To create an output report, simply select a report type and click on the **PREPARE** report command button (**Figure 26** and **27**). Once the search is established, you can generate a variety of reports.

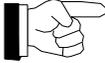


The screenshot shows a window titled "Reports ?" with a list of report types: Graphics, Generic Lag, OR Status, CA Status (highlighted), and OR Download. Below the list is a text input field containing "10" with the label "items/page". There are four buttons: "Prepare report" (circled in red), "Display criteria", "Count ORs", and "Reset form".

Figure 26 - Creating a report

ORPS Corrective Action Status Report			
ORPS GUI data is now updated daily, notification, update, and update/final reports are available approximately 15 minutes after posting on the old system.			
ORPS contains 34614 OR(s) with 36552 occurrence(s) through 4/2/97. Query selected 577 OR(s) with 661 occurrence(s) through 04/03/97 13:02 using criteria "Albuquerque - 1996".			
OR Title/Subject			
# Occur.	OR Number / Facility Name	Category / OR Type	Discovery / Report Date
1) <u>Near Miss from Cutting an Energized 110V Wire</u>			
1	ALO--WSTN-GJPOFOS-1996-0001 Grand Junction Projects Office - FOS	Off-Normal Final	12/06/96 01/07/97
<i>CA #</i>	<i>Description/Revised Date Justification</i>		<i>Target</i>
02	Modify the subcontractor terms and conditions to add additional clauses to reinforce the S&H requirements and provide more effective options if the subcontractor fails to comply with safety requirements.		01/31/97

Figure 27 - Sample report

NOTE  **Figure 26** only displays a partial list of reports available in the **REPORTS** selection box. The entire list can be accessed using the scroll bar. For reference, all the reports are listed in **Figure 28**.

REPORTS
OR List
Subjec
Summary
User Defined
Distributions
Graphics
Generic Lag
OR Status
CA Status
OR Download

Figure 28 - ORPS GUI reports list.

Report Generation Capabilities

Improved report features include hyperlinks to full occurrence reports, graphs, and tab delimited data. Additional discussion and an example of each improvement is included below.

Hyperlinks to Full Occurrence Reports

Except for the **Distributions**, **Graphics** and **OR Download** report types, every report type listed in the **REPORTS** selection box on the control panel contains hyperlinks to the individual reports (**Figure 29**). In addition, hyperlinks to **Similar ORs** are found in a **User-Defined** report if **Similar ORs** is a selected field for the report and if the cited occurrence report number is a valid entry in the database (**Figure 30**).

ORPS OR List	
ORPS GUI data is now updated daily; notification, update, and update/final reports are available approximately 15 minutes after posting on the old system.	
ORPS contains 34614 OR(s) with 36552 occurrence(s) through 4/2/97. Query selected 24 OR(s) with 24 occurrence(s) through 04/04/97 13:45 using criteria "fall protection and injuries".	
OR Number	OR Title/Subject
1) ALO-DA-EGGM-EGGMAT04-1992-0004	Personal injury from fall in HH-Building
2) ALO-KO-SNL-NMFAC-1996-0008	Construction Contractor Fell From Building 875 Roof
3) ALO-LA-LANL-FENTONHILL-1996-0003	A Four Corners Drilling employee was injured while constructing a drill rig
4) CH-AA-ANLE-ANLEAPS-1995-0002	Construction worker injury
5) CH-BH-BNL-PE-1994-0006	Worker falls in cooling tower
6) CH-BH-BNL-PE-1994-0014	Subcontractor employee fell from ladder
7) HQ--SPR-WH-1992-0004	Subcontractor Employee Injury
8) ID--EGG-TANLL-1994-0003	Failure to Wear Fall Protection
9) ID--LITC-ATR-1996-0003	Personnel Injury Resulting From A Fall From A Ladder
10) ID--LITC-CFA-1996-0001	Subcontractor employee injury due to fall from roof
Display 11 through 20?	

Figure 29 - Example of hyperlinks to individual reports from the ORPS GUI reports.

ORPS User Defined Report

ORPS GUI data is now updated daily; notification, update, and update/final reports are available approximately 15 minutes after posting on the old system.

ORPS contains 34614 OR(s) with 36552 occurrence(s) through 4/2/97.
Query selected 24 OR(s) with 24 occurrence(s) through 04/04/97 13:45 using criteria "fall protection and injuries".

(untitled)

1) OR Number: [ALO-DA-EGGM-EGGMAT04-1992-0004](#)
OR Title/Subject: Personal injury from fall in HH-Building.
Similar OR Numbers:

2) OR Number: [ALO-KO-SNL-NMFAC-1996-0008](#)
OR Title/Subject: Construction Contractor Fell From Building 875 Roof
Similar OR Numbers:

3) OR Number: [ALO-LA-LANL-FENTONHILL-1996-0003](#)
OR Title/Subject: A Four Corners Drilling employee was injured while constructing a drill rig
Similar OR Numbers:

4) OR Number: [CH-AA-ANLE-ANLEAPS-1995-0002](#)
OR Title/Subject: Construction worker injury
Similar OR Numbers: [1. ALO-KO-SNL-1000PBFA-1993-0002](#)

Figure 30 - Example of hyperlinks to **Similar ORs** from a user-defined report.

Graphs

Graphs are generated for both the **Graphics** and **Distribution** report types (**Figure 31**). You can save a graph for future use by clicking on the graph with the right mouse button and selecting **Save Image as** from the drop-down window. You will be presented with a **SAVE AS** dialog box (**Figure 32**) from which you can specify the location, file name, and file type for the graphic you are saving.

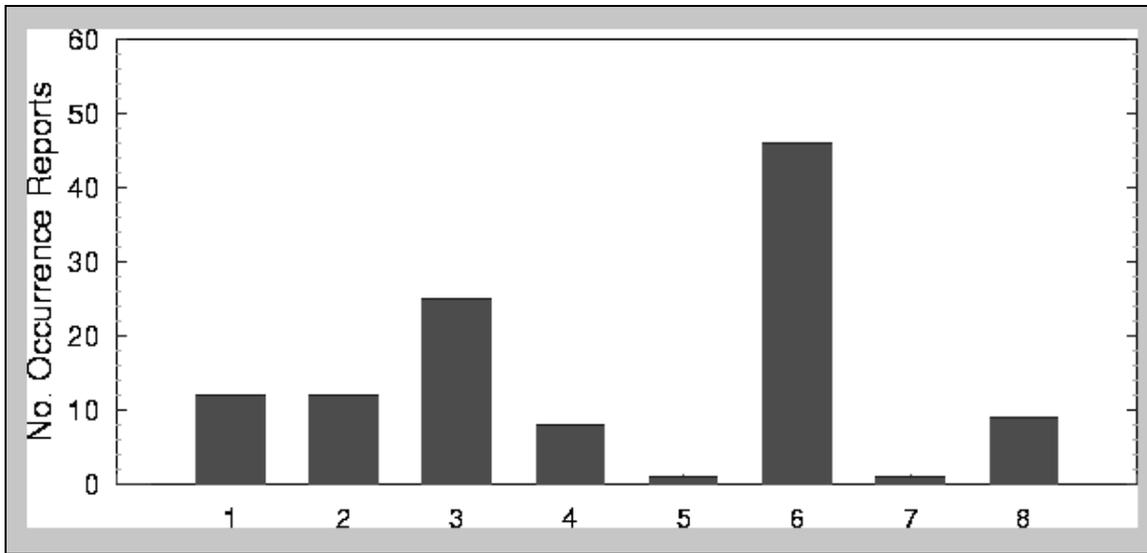


Figure 31 - Example of an ORPS GUI graph.



Figure 32 - The *SAVEAS* dialog box.

Tab-Delimited Data

Tab-delimited data is available from the **Distributions** and **Graphics** report types. You access the delimited data by clicking on the **Data** hyperlink at the bottom of the table or graph pages. When you select a data hyperlink, ASCII tab-delimited data is either viewed (in the browser or another application) or saved to disk, depending on how your browser is configured. If the data is saved to disk, the file can be imported into your favorite spreadsheet application. If the data is viewed from the browser or another application

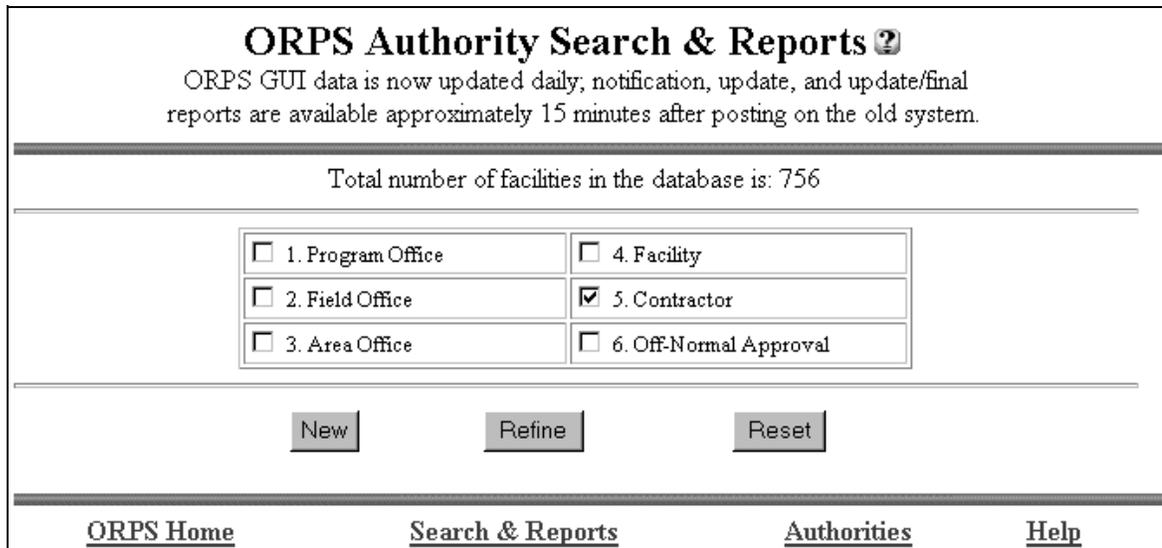
(**Figure 33**) you can "copy" and "paste" it into a spreadsheet software application (e.g., Excel, Lotus, etc.).

1	528	Defense Programs
2	4	Energy Efficiency and Renewable Energy
3	1	Environment, Safety & Health
4	44	Environmental Management
5	4	Energy Research

Figure 33 - Tab-delimited data for a distribution b **DOE Program Office.**

ORPS Authority Search & Reports

The **ORPS AUTHORITY SEARCH & REPORTS** page is displayed in **Figure 34**. This page provides you with the capability to select the elements you want to use to form your query of the ORPS authority information. In addition, you can access context sensitive help from this page by clicking the  icon.



ORPS Authority Search & Reports ?

ORPS GUI data is now updated daily, notification, update, and update/final reports are available approximately 15 minutes after posting on the old system.

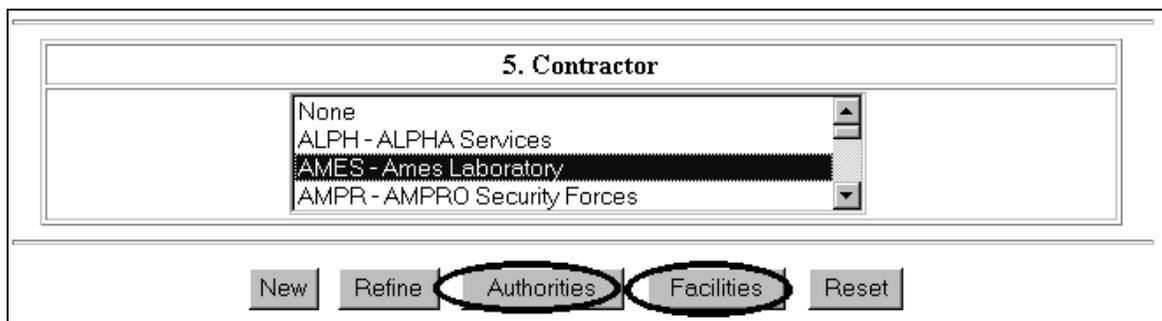
Total number of facilities in the database is: 756

<input type="checkbox"/> 1. Program Office	<input type="checkbox"/> 4. Facility
<input type="checkbox"/> 2. Field Office	<input checked="" type="checkbox"/> 5. Contractor
<input type="checkbox"/> 3. Area Office	<input type="checkbox"/> 6. Off-Normal Approval

[ORPS Home](#) [Search & Reports](#) [Authorities](#) [Help](#)

Figure 34 - The **ORPS AUTHORITY SEARCH & REPORTS** page.

From this page, you make selection(s) by clicking the appropriate check box(es) and then make refinements by clicking the **REFINE** command button. You can then generate reports by selecting either the **AUTHORITIES** or **FACILITIES** command button (See **Figure 35** and **36**).



5. Contractor

None
ALPH - ALPHA Services
AMES - Ames Laboratory
AMPR - AMPRO Security Forces

Figure 35 - An example of a selection box used to make refinements to an authority search and the command buttons used to generate authority reports.

Field Office:	Chicago Operations (CH)		
Area Office:	(none)		
Facility:	Ames Laboratory (BOP) (AMES)		
Secretarial Office(s):	Environmental Management** (EM) Energy Research (ER)		
Contractor(s)	Ames Laboratory (AMES)		
Person	ID	Authority	Phone
MATHISON, LOWELL K	(LKM)	*FM	(515) 294-2153
CHESNEY, STEPHANIE A	(SAY)	*FR	(708) 252-8641
EVANS, ALBERT E	(AEE)	*PMD (ER)	(301) 903-3427
CAMPBELL, ROBERT A	(CA4)	*PMD (EM)	(301) 903-7117
DESAI, JITENDRA M	(DPS)	*PMD (EM)	(301) 903-1434
MARK, DAVID WILLIAM	(DWM)	*PMD (EM)	(301) 903-7132
DONOVAN, KEVIN	(DXK)	*PMD (EM)	(301) 903-7671
SMALL, KENNETH M	(KSZ)	*PMD (EM)	(301) 427-1607
GIBLIN, MICHAEL O	(MOG)	*PM (EM)	(301) 903-7413
STAHR, MARK T	(MTS)	*PM (EM)	(301) 903-8169
LOWE, ANNA E	(NNA)	*PMD (ER)	(301) 903-3600
NELSON, DEVAUGHN R	(VAU)	*PMD (ER)	(301) 903-5608

Figure 36 - A sample Authorities Report.

The authority search and reports features of the GUI are discussed further in the ***ORPS GUI Help Features and ORPS Authorities Options*** section of this manual.

ORPS GUI Data Entry Program

The ORPS GUI Data Entry Program replaces the previous PC ORPS (both DOS and Windows versions). Once data entry personnel have logged onto the Data Entry Program, they can create a new report, modify or print an existing report, view non-final reports, or return to the **OCCURRENCE REPORTING AND PROCESSING SYSTEM** page. Data entry personnel can only create and modify reports (i.e., Notification, Update, and Final) for the facility(s) for which they have designated data entry responsibility, as specified in the ORPS Authority File.

The ORPS GUI Data Entry Program is designed to run as a client/server based application using Netscape 3.0 or later. The ORPS GUI Data Entry Program (**Figure 37**) will be accessible by data entry personnel via the ORPS GUI.

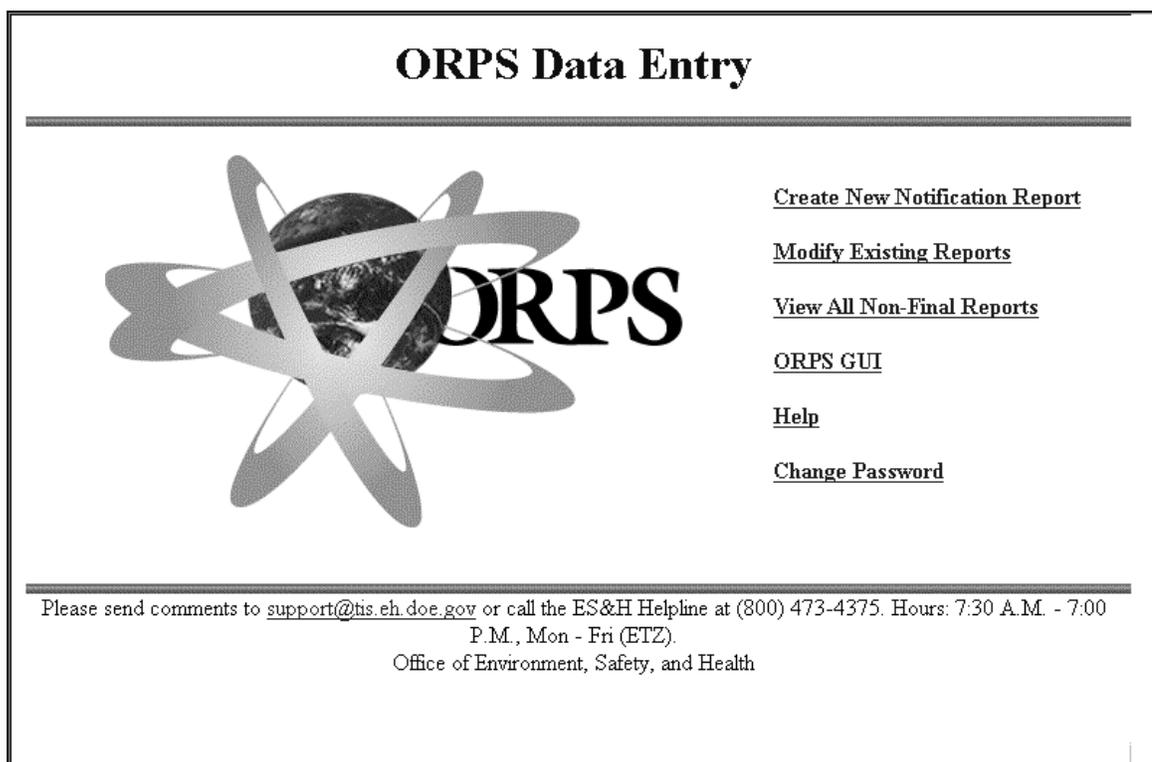


Figure 37 - Homepage for the Data Entry Program

The layout, look, and feel of the Data Entry Program is very similar to the previous PC ORPS for Windows. **Figure 38** shows a portion of a new Notification Report. The full occurrence report is on one continuous page and buttons to Save, Close, Validate, Delete, or request Help always remain visible in the bottom frame. The feather at the top of the window is a spell checker. Automatic spell checking will be done as words are typed into the field. Misspelled words will be identified by an audible signal. A correction will not be

required at that time but a click on the feather will bring up a normal spell check dialog box with suggested alternatives. In addition, each time the report is saved the system will remind the user to run a spell check prior to transmittal.

ORPS INPUT - Microsoft Internet Explorer

Occurrence Report

1. Occurrence Report Number: TEST06 - Temp Report - 000

2. Occurrence Report Type: Notification Update Final Short Form

Facility/Personnel Information

Facility: You Must Select One

Facility Function: You Must Select One

Site Name: Based on Facility Code

Manager/Designee: Phone: () (mm-xxxx)

Job Title:

Originator/Transmitter: Beta Tester06 Phone: (101) 555-1234

Originator Title: ORPS Beta Tester

Authorized Classifier Name: Date: (mm/dd/yyyy)

3. Occurrence Category: Emergency Unusual Off-Normal Cancelled

4. Number of Occurrences: 1 Original OR:

Save Close Validate Delete Help

Done Internet zone

Figure 38 - New Notification Report page

Figure 39 shows a portion of the **MODIFY EXISTING REPORTS** page while **Figure 40** shows the choices offered on the **VIEW ALL NON-FINAL REPORTS** page.

Modify Existing Reports						
<i>accessible by Beta Tester06</i>						
Previous	ORPS Home				Search	
<u>Report Number / Title</u>	<u>Report Type</u>	<u>Disposition</u>	<u>Discovery Date</u>	<u>Report Date</u>	<u>Status</u>	
RFO---PUFAB-1998-0001 Second Test	Update	Completed	04/04/1998	04/10/1998	<i>Pending Update or Final</i>	
RFO---PUFAB-1998-0002 False Alarm	Update	Completed	04/01/1998	04/13/1998	<i>Pending Update or Final</i>	
TEST01 - Temp Report - 004 though I would add a title	Notification	Incomplete	04/04/1998		<i>Pending</i>	
TEST02 - Temp Report - 002 Raising Questions - And Various Other Concerns xxxxxxxxxxxxxxxxxxxxxxx xxxxxxxxxxxx xxxx xxxx xxxxx xxxxx scs433 sss555 xxxxx	Short Form	Incomplete	04/13/1998		<i>Pending</i>	
TEST05 - Temp Report - 004 A test of the Short Form	Short Form	Incomplete	04/12/1998		<i>Pending</i>	
TEST06 - Temp Report - 001 Fire and flooding that caused a nuclear criticality safety concern over stored SNM	Short Form	Incomplete	04/10/1998		<i>Pending</i>	
TEST07 - Temp Report - 006 Spilled Radioactive Waste	Notification	Incomplete	01/01/1998		<i>Pending</i>	
TEST08 - Temp Report - 003 Test report #1 4/14/98 (modified on the mac)	Notification	Incomplete	04/13/1998		<i>Pending</i>	
TEST08 - Temp Report - 004	Notification	Incomplete	04/14/1998		<i>Pending</i>	

Figure 39 - Modify Existing Report page

ORPS Data Entry



[View Reports by Title](#)

[View Reports by Number](#)

[View Reports by Date](#)

[View Reports By Status](#)

[Exported file Format](#)

[Help](#)

Please send comments to support@hs.eh.doe.gov or call the ES&H Helpline at (800) 473-4375. Hours: 7:30 A.M. - 7:00 P.M., Mon - Fri (ETZ).
Office of Environment, Safety, and Health

Figure 40 - View All Non-Final Reports page

FM, FR, and PM Functions

The Facility Manager (FM), Facility Representative (FR), and Program Manager (PM) functions duplicate the FM, FR, and PM functions from the HP-3000. These functions include the FR and PM functions to review, comment on, and approve or reject occurrence reports, and the FM functions to update corrective action completion dates. Users access these functions using the current ORPS GUI links. Similar to the HP-3000, each user that logs in through the ORPS GUI will be provided with the General User, Facility Manager, Facility Representative, or Program Manager functions, depending on their authorization. A General User will only have access to the current ORPS GUI functions, while a Facility Manager, Facility Representative, or Program Manager will have access to their specialized functions as well as the current ORPS GUI functions.

As with the existing ORPS GUI, all of these enhancements are graphical in design and accessible via the Internet. All of the software runs as client/server-based applications and will be accessible via the Internet using a Secure Socket Layer (SSL) encrypted link. Users who are familiar with the current ORPS GUI and the Macintosh or Microsoft Windows interface should find the new programs familiar and friendly.

Facility Manager Functions

The ORPS (Facility) MANAGER SEARCH & REPORTS page (**Figure 41**) is accessed from the OCCURRENCE REPORTING & PROCESSING SYSTEM homepage by clicking on the **Manager Functions** hyperlink.

ORPS Manager OR Search & Reports ?

Joe Manager - Facility Manager

ORPS contains 36616 OR(s) with 38756 occurrences(s) as of 04/07/1998 15:15.

OR Search Criteria ?		Reports ?
<input type="button" value="New"/> <input type="button" value="Edit"/> <input type="button" value="Delete"/> <input type="button" value="Save"/> as <input style="width: 100%;" type="text"/>	<div style="border: 1px solid black; padding: 2px;">My OR Set</div>	<div style="border: 1px solid black; padding: 2px;">Report/Filter</div> <div style="border: 1px solid black; padding: 2px;">OR/CA Status ▼</div> <div style="border: 1px solid black; padding: 2px;">Order by</div> <div style="border: 1px solid black; padding: 2px;"> <input checked="" type="radio"/> OR # <input type="radio"/> Date <input checked="" type="radio"/> Asc <input type="radio"/> Desc </div> <div style="border: 1px solid black; padding: 2px; width: 100%;">Prepare report</div> <div style="border: 1px solid black; padding: 2px; width: 100%;">Display criteria</div> <div style="border: 1px solid black; padding: 2px; width: 100%;">Count ORs</div> <div style="border: 1px solid black; padding: 2px; width: 100%;">Clear form</div> <div style="border: 1px solid black; padding: 2px; width: 100%;">Reset form</div>
<div style="border: 1px solid black; padding: 2px; text-align: center;">from Status date ?</div> <div style="border: 1px solid black; padding: 2px;"> <input checked="" type="radio"/> Earliest entry <input type="radio"/> Last Login <input type="radio"/> Saved criteria "from" <input type="radio"/> <input style="width: 100%;" type="text" value="mm/dd/yyyy hh:mm"/> </div>	<div style="border: 1px solid black; padding: 2px; text-align: center;">to Status date ?</div> <div style="border: 1px solid black; padding: 2px;"> <input checked="" type="radio"/> Now <input type="radio"/> Last Login <input type="radio"/> Saved criteria "to" <input type="radio"/> <input style="width: 100%;" type="text" value="04/07/1998 15:26"/> </div>	

[ORPS Home](#)
 [Manager Functions](#)
 [Search & Reports](#)
 [Authorities](#)
 [Help](#)

Figure 41 - The ORPS MANAGER OR SEARCH & REPORTS control panel

This page is customized for you (the Facility Manager or designee) to allow for search, report, and update capabilities for facilities under your jurisdiction. At the top of the page is your name which is hyperlinked to the **ORPS USER PROFILE** page (**Figure 42**). This page lists general information about you and contains a table listing the facilities for which you have authority.

User ID:	FMTEST
Name:	Joe Manager
Title:	Day Shift Manager
Contractor:	
Phone:	(201) 555-1234
Address:	123 The Way Smallville, ST 01234
has Facility Manager authority for:	
Facility ID	Facility Name
771OPS	771 Operations

Figure 42 - The ORPS USER PROFILE page.

The control panel on the **ORPS MANAGER OR SEARCH & REPORTS** page is divided into four sections: **OR SEARCH CRITERIA**, **REPORTS**, **FROM STATUS DATE**, and **TO STATUS DATE**. The **OR SEARCH CRITERIA** section allows you to create, edit, save, or delete a set of search specifications. The **REPORTS** section allows you to generate reports and perform Facility Manager functions based on the occurrence reports selected with a set of search specifications. The two **STATUS DATE** sections allow you to filter selections based on status date ranges.

Updating Corrective Actions

Once a Final Report has been entered onto ORPS, the Facility Manager must ensure that the status of the corrective actions is kept up-to-date (i.e., to reflect changes in the target completion date or add an actual completion date). The Facility Manager will not have access to the report (i.e., for updating corrective actions) until the report is approved or rejected by the DOE-HQ Program Manager. Therefore, each facility should have a separate system to review the open corrective actions for each unapproved Final Report and update the target or actual completion date as necessary. Since most sites track corrective actions at a local level, the occurrence administrator should ensure that the local tracking system for corrective actions and the ORPS tracking system for corrective actions are maintained consistently.

Note that only two things can be changed once the report is final. The Facility Manager can (1) enter a corrective action completion date or (2) change a corrective action target date. If a target date is changed, the Facility Manager must enter a justification for the change.

Facility Representative Functions

The **ORPS (Facility Representative) MANAGER SEARCH & REPORTS** page is accessed from the **OCCURRENCE REPORTING & PROCESSING SYSTEM** homepage by clicking on the **Manager Functions** hyperlink. This page is the same as the Facility Manager page (see **Figure 41**) and the Program Manager page.

This page is customized for you (the Facility Representative or designee) to allow for search, report, and update capabilities for facilities under your jurisdiction. At the top of the page is your name which is hyperlinked to the **ORPS USER PROFILE** page (**Figure 42**). This page lists general information about you and contains a table listing the facilities for which you have authority.

The Facility Representative functions include identifying, for your facilities, the occurrence reports that are new, that have been rejected or commented upon, that have had changes to corrective action dates, and that are in the approval process. The capabilities exist to approve or reject reports that are waiting for approval and to add comments to occurrence reports for your facilities.

Program Manager Functions

The **ORPS (Program) MANAGER SEARCH & REPORTS** page is accessed from the **OCCURRENCE REPORTING & PROCESSING SYSTEM** homepage by clicking on the **Manager Functions** hyperlink. This page is the same as the Facility Manager page (see **Figure 41**) and the Facility Representative page.

This page is customized for you (the Program Manager or designee) to allow for search, report, and update capabilities for facilities under your jurisdiction. At the top of the page is your name which is hyperlinked to the **ORPS USER PROFILE** page (**Figure 42**). This page lists general information about you and contains a table listing the facilities for which you have authority.

The Program Manager functions include identifying, for your facilities, the occurrence reports that are new, that have been rejected or commented upon, that have had changes to corrective action dates, and that are in the approval process. The capabilities exist to approve or reject reports that are waiting for approval and to add comments to occurrence reports for your facilities.

General User

Anyone who does not fall into one of the categories listed above is a General User. General Users can view, print, and copy to disk all occurrence reports contained in the ORPS database on a read-only basis. General Users cannot add new information or change existing data.

Hardware and Software Requirements

In order to use the ORPS GUI, you must have a computer system that is capable of running a standard Internet browser. Specific requirements are presented below for PC and Macintosh users.

If you are unfamiliar with how your computer is configured, you might want to share the above information with your site systems support personnel for assistance.



Tables in the ORPS GUI will not display correctly unless you are using a browser that supports tables. Most recent browser software releases do provide the capability of viewing tables. If your browser does not support tables, check with your computer support organization to see if they provide licensed upgrades to the browser software.

PC Users

- ▶ You must have an Internet connection, an Ethernet connection to DOE's Frame Relay Network, or a modem capable of communicating at speeds of 14,400 bps or faster.
- ▶ A 386 or faster CPU
- ▶ A Web browser that supports features that are found in Netscape 4.0, such as tables (e.g., Netscape, Internet Explorer, etc.) and Secure Socket Layer (SSL)
- ▶ Microsoft Windows 3.1, Windows for Workgroups 3.11, or Windows 95
- ▶ A protocol stack that supports Transmission Control Protocol/Internet Protocol (TCP/IP) (included with Windows 95)
- ▶ Point-to-Point Protocol (PPP) (required if using dial-in access and included with Windows 95)

Macintosh Users

- ▶ An Ethernet connection or a modem capable of communicating at a speed of 14,400 bps or faster
- ▶ A Motorola 68030 or faster CPU, or a PowerPC CPU
- ▶ A Web browser that supports tables and runs under Apple's System 7.0 or later (now called MacOS)
- ▶ The system extension MacTCP, or TCP/IP for MacOS 7.5 or later
- ▶ Point-to-Point Protocol (PPP) — included in System 7.0 or later (required if using dial-in access)

Future Enhancements

Over the next year you will see a number of enhancements to the ORPS GUI. These enhancements will improve the analytical capabilities and report generation functionality of the GUI. Expected enhancements are briefly described below.

- ▶ Enhancements will include improved graphical capabilities; for example, the ability to display multiple pages of graphs.
- ▶ Additional relational operators will be available. In addition to the currently available = (equal) operator you will be able to use the < (less than) and > (greater than) operators in the **BOOLEAN LOGIC SPECIFICATION** edit box; for example, specifying the **Initial Update Report** date less than the **Latest Update Report** date (**Figure 43**).

The screenshot displays three dropdown menus for field selection:

- Identification:** None, 1. OR Number, 2. Field Office, 3. Area Office, 4. Contractor, 5. Facility, 6. OR Year
- Chronology:** None, 25. Current Report, 26. Last Modification, 27. Discovery, 28. Categorization, 29. DOE Oral Notification, 30. Other Notification
- Narrative:** None, 43. All Narrative, 44. OR Title/Subject, 45. Originator Title, 46. FM Title, 47. Plant Area, 48. Division or Project

Below the menus is a text box labeled "Boolean logic specification:" containing the text "2 AND (33<34)".

Figure 43-Example of using a relational operator in the **BOOLEAN LOGIC SPECIFICATION** edit box that will retrieve records for a field office with at least two updates.

- ▶ A new **ORPS AUTHORITIES SEARCH & REPORTS** control panel (**Figure 44**) will model the control panel in **ORPS SEARCH & REPORTS**. It will allow you to create, save, edit, and delete search profiles of **ORPS Authority** information and specify date and time ranges to apply to your searches.

ORPS Authority Search & Reports ?			
Total number of facilities in the database is: 756			
Authority Search Criteria ?		Reports ?	
<input type="button" value="New"/> <input type="button" value="Edit"/> <input type="button" value="Delete"/> <input type="button" value="Save"/> as <input style="width: 100px;" type="text"/>	<div style="border: 1px solid gray; padding: 2px;"> Entire DB </div>	<div style="border: 1px solid gray; padding: 2px;"> Authority Facility </div>	<input type="button" value="Prepare"/> report <input type="button" value="Display"/> criteria <input type="button" value="Count"/> Facilities <input type="button" value="Reset"/> form
from DB as of ?		to DB as of ?	
<input checked="" type="radio"/> Earliest entry <input type="radio"/> Last Login <input type="radio"/> Saved criteria "from" <input type="radio"/> <input style="width: 50px;" type="text" value="mm/dd/yy HH:MM"/>	<input checked="" type="radio"/> Now <input type="radio"/> Last Login <input type="radio"/> Saved criteria "to" <input type="radio"/> <input style="width: 50px;" type="text" value="04/04/97 12:46"/>		
ORPS Home	Search & Reports	Authorities	Help

Figure 44 - Future *ORPS AUTHORITY SEARCH & REPORTS* control panel

- ▶ The tab-delimited download feature, currently available only for a **Distributions** and **Graphics** report types, will be available for all report types.
- ▶ Shared search profiles will allow you to use search profiles created by other users as well as those you create yourself.
- ▶ The developers will continue to refine code and enhance software to improve ORPS GUI performance.

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