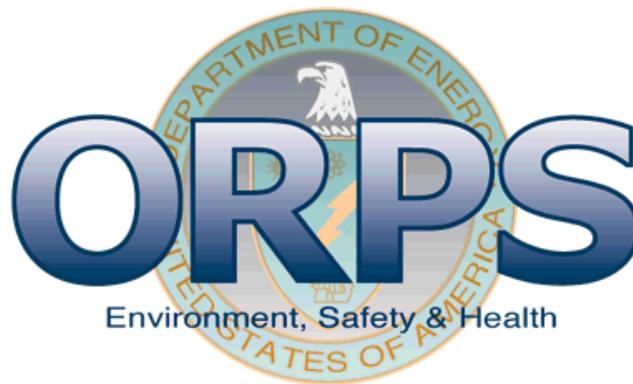


# Using the ORPS GUI Data Entry Program



*April, 1999*

**ORPS GUI Reference Manual**



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# Introduction

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## Purpose of the Course

The new Occurrence Reporting and Processing System (ORPS) Graphical User Interface (GUI) Data Entry program will replace the existing PC ORPS applications (both DOS and Windows versions). This course will prepare data entry personnel to create a new occurrence report, modify or print an existing report, list Non-Final Reports, and navigate back and forth between the Data Entry program and the ORPS database.

NOTE



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 per the ORPS Authority File.

NOTE



A new class of data entry person is the Preparer. A Preparer can create and modify occurrence reports for the facility(s) for which they have designated data entry responsibility as per the ORPS Authority File, but cannot actually submit the reports. Any reports created or modified by a Preparer must be submitted by a Facility Manager, Designee, or Administrator.

## Objectives

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

- ▶ Log on and exit the ORPS GUI Data Entry system
- ▶ Create, modify, delete, save, print, validate, and transmit occurrence reports
- ▶ Add, modify, and delete corrective actions
- ▶ Hyperlink between the ORPS GUI Data Entry system and the ORPS GUI database
- ▶ Utilize the On-line Help contained within the ORPS GUI Data Entry system

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## Advantages and System Requirements

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### Advantages

The enhanced ORPS Data Entry program was developed to take advantage of the modern browser technology currently being used to navigate the World Wide Web. Since this new system is Internet-based, its development makes creating, modifying, and transmitting occurrence reports more convenient. Using the new data entry tool offers the following:

- Better connectivity. You can now access the ORPS GUI Data Entry program with a direct Internet connection or with a modem dial-up through an Internet Service Provider (ISP) or other network server.
- Platform independence. It will run on PC, Mac, UNIX, or any operating system that supports current browser technology.
- No proprietary client software (i.e., Reflection) requirements. You can use various readily-available browsers, such as Netscape or Internet Explorer.
- Ease of use. The ORPS GUI Data Entry program is not only easy to use, but it also offers extensive and convenient context-sensitive on-line help.
- Geographically convenient. ORPS reports are now stored on a remote server, not on your local workstation. Therefore, you can access them from any workstation that has access to the server.

### System Requirements

System requirements for using the enhanced ORPS GUI Data Entry program are listed below:

- You must have a direct Internet connection or a modem capable of communicating at speeds of 28,800 bps or faster.
- For PC users, the recommended configuration is a Pentium processor with 32 megabytes of memory (40 megabytes if running under Windows NT). (As with all Windows applications, a faster PC and/or additional memory will greatly enhance system performance.)
- You must have Internet browser software. The recommended (and supported) browser is Netscape 4.08. Your browser must be able to support features such as tables, Secure Socket Layer (SSL-2) protocol, and Active Server Pages (ASP).

- EH-33 is requiring the use of a spell checker with the data entry system. DOE will make a spell checker available or you may use your own.

NOTE



If you choose to use Internet Explorer (the non-preferred browser), it is recommended that you use at least Internet Explorer 4.01. You should also know that the current version of the DOE-supplied spell checking software, WordScribe, will not work with Internet Explorer.

- With Windows 3.1 or Windows 3.11, you must have a protocol stack that supports Transmission Control Protocol/Internet Protocol (TCP/IP) and, if using dial-in access, Point-to-Point Protocol (PPP).
- Macintosh users should have a Motorola 68030 or faster CPU or a Power PC CPU. Web browsers are generally available that run under Apple's system 7.0 or later, now called MacOS. The system extension MacTCP, or TCP/IP for MacOS 7.5 or later, is also required, as is PPP if using dial-in access.



If your current browser does not support tables or other necessary features, check with your computer support organization to see if they provide upgrades to the browser software. The latest versions of both Netscape and Internet Explorer are available free of charge.

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## Connecting to the ORPS GUI Data Entry Program

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### Ways to Connect to the ORPS GUI Data Entry Program

You can connect to the **OCCURRENCE REPORTING & PROCESSING SYSTEM** home page in a couple of ways: 1) with a direct Internet connection; or 2) with a modem dial-up through an Internet Service Provider (ISP) or other network server.

Whether you are accessing ORPS through a direct Internet connection or via a modem connection, the process is nearly the same. The only difference in the two is when you dial up through a modem to your ISP or other network server, you will be required to enter the user-id and password supplied by the ISP or network server.

Once you have reached your Internet home page, you can access the ORPS GUI by entering the ORPS GUI URL (Internet address), which is:

**<https://orps.tis.eh.doe.gov/>**

#### NOTE



If you need further assistance with connecting and logging on to ORPS, please direct your questions to the ES&H Helpline at (800) 473-4375 or send an e-mail message to **support@tis.eh.doe.gov**.

## Connection is Established

After requesting access to the ORPS GUI by entering the appropriate URL, you will be presented with the **USERNAME AND PASSWORD REQUIRED** log-on box shown in **Figure 1**. You will need to log on to the ORPS system.

A screenshot of a Windows-style dialog box titled "Username and Password Required". The dialog box has a blue title bar with a close button (X) in the top right corner. The main area contains the text "Enter username for ORPS GUI - at orps.tis.eh.doe.gov:". Below this text are two input fields. The first is labeled "User Name:" and contains the text "brs". The second is labeled "Password:" and contains six asterisks "\*\*\*\*\*". At the bottom of the dialog box are two buttons: "OK" and "Cancel".

**Figure 1 - USERNAME AND PASSWORD REQUIRED** log-on box.

In the **USER NAME** edit box, you will enter your ORPS user-id. In the **PASSWORD** edit box, enter your assigned ORPS password. (For security reasons, your password will appear as asterisks as you type it into the box.) Then, click on the **OK** command button.

### NOTE



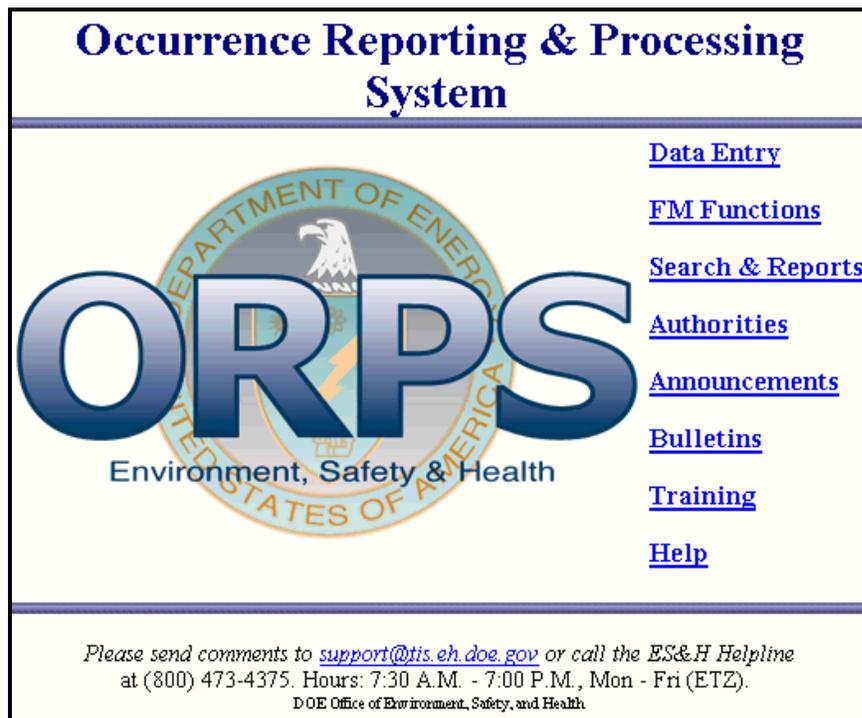
Depending upon your browser configuration, you may see a Security Information box prior to loading the **ORPS GUI** home page. Just click on the **CONTINUE** command button to clear the message box and access your **ORPS GUI** home page.

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## The ORPS GUI Home Page

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Once you have logged on to the ORPS GUI, the home page will be displayed. Your user classification (e.g., Facility Manager, Facility Representative, Program Manager, General User, etc.) will determine what hyperlinks will be included on the home page. **Figure 2** represents the home page which contains the **Data Entry** and the **FM Functions** hyperlinks. A General User will not see these two hyperlinks; they will see only the last six links.



**Figure 2** - The ORPS GUI home page.

- **Data Entry** - (Found only for Facility Managers/Designees/Administrators/Preparers) This hyperlink temporarily exits the ORPS GUI database and directly accesses the ORPS Data Entry system. You will be presented with another “log-on” box and will be required to log on with your ORPS user-id and password. Once you have logged on, the **ORPS DATA ENTRY** page appears, which includes a link back to the **ORPS Home** page.

- **FM(/FR/PM) Functions** - (*Found only for Facility Managers, Facility Representatives, Program Managers and Designees/Administrators*) This link takes you to the **ORPS MANAGER OR SEARCH & REPORTS** page. This page is customized for Manager functions to allow for search, report, and update capabilities for reports from facilities under the user's jurisdiction.
- **Search & Reports** - This hyperlink takes you to the **ORPS OR SEARCH & REPORTS** page. The ORPS GUI search and report functions for the ORPS database are initiated from this page.
- **Authorities** - This hyperlink takes you to the **ORPS AUTHORITY SEARCH & REPORTS** page. Searches and report generation for submittal authority and sign-off authority information are initiated from this page.
- **Announcements** - This hyperlink takes you to the **ORPS ANNOUNCEMENTS** page, from which you can read the announcements relative to the ORPS GUI and the Occurrence Reporting and Processing Program.
- **Bulletins** - This hyperlink takes you to the **ORPS BULLETINS/PUBLICATIONS** page, from which you can search the ORPS Bulletins or hyperlink to the individual issues.
- **Training** - This hyperlink takes you to the **ORPS TRAINING** page where you can choose a user classification with which you would like to experiment. Once you select a user classification from the **AUTHORITY** section of the page, click on the **TRAIN** command button to proceed. This selection will enable you to access a training database with which to practice.
- **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 the ORPS GUI Reference Manual.

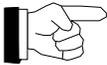
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## Accessing the ORPS Data Entry Module

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The **ORPS DATA ENTRY** page can be accessed from the **ORPS GUI** home page for Facility Managers/Designees/Administrators or Preparers by clicking on the **Data Entry** hyperlink. When you click on the **Data Entry** hyperlink, you will be presented with another **USERNAME AND PASSWORD REQUIRED** log-on box. From here, you will need to log on to the ORPS Data Entry system by entering your assigned ORPS user-id into the **USER NAME** edit box. In the **PASSWORD** edit box, enter your assigned ORPS password. Then click on the **OK** command button.

### NOTE



**FOR THE PURPOSE OF THIS TRAINING:** *From the **ORPS GUI** home page, click on the **Training** hyperlink. This will take you to the **ORPS TRAINING** page where you can select the user classification with which to experiment. From the **AUTHORITY** section of the page, click on the **FACILITY MANAGER** radio button (to make yourself a Facility Manager), and then click on the **TRAIN** command button.*

*You will be presented with another **ORPS GUI** home page that contains the **Data Entry** hyperlink and the **FM Functions** hyperlink (for training). Click on the **Data Entry** hyperlink on the training page. Then, log on to the ORPS Data Entry training system by entering your assigned ORPS user-id and password into the **USERNAME AND PASSWORD REQUIRED** log-on box. The **ORPS DATA ENTRY** training module will appear.*

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## The ORPS Data Entry Selection Page

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The ORPS DATA ENTRY SELECTION page is displayed in **Figure 3**.

**ORPS Data Entry (TRAINING)**

**ORPS Occurrence Input**

[New Report:](#) No Selection

[Edit Report:](#) No Selection

New Edit

[List Non-Final reports:](#) Number Title Date Status

**Welcome to ORPS Data Entry...**

- Create new draft notification reports
- Edit previously saved reports
- Validate data without submitting
- Submit notification, update, and final reports
- View all non-Final reports under your jurisdiction

If you need help with an item, click on the colored text for the item in question.

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

**Figure 3** - The ORPS DATA ENTRY SELECTION page.

This page is essentially divided into four frames. The top frame contains the header with the title of the page while the bottom frame contains the footer with four hyperlinks which temporarily exit the Data Entry program to access other ORPS functions.

The two frames in the middle are for selections and help. The selection frame on the left enables you to create, edit, and list non-final occurrence reports. The help frame on the right presents on-line help descriptions. If you require help on an item, click on the colored, underlined topic (a “hypertext” link). The help frame will be updated to display help for that topic.

In the selection frame on the left, there are six command buttons. Each is briefly explained in the following table.

Command Button	Function
	<p>After selecting a facility from the <b>NEW REPORT</b> drop-down list, this command button opens a blank occurrence report form that you can fill in to create a new Notification Report. Once the report is created, it can be submitted to the ORPS database or saved for future modification and submittal.</p>
	<p>After selecting a report from the <b>EDIT REPORT</b> drop-down list, this command button enables you to edit pending reports that you have started but have not yet submitted, and reports that have been previously submitted and are available for updating or finalizing. You can edit reports and/or submit/resubmit reports to the ORPS database.</p>
	<p>This command button takes you to a page listing any rejected reports or previously submitted reports that were deleted from the edit list. These reports are sorted by report number. From this page, you may select one or more reports for updating.</p>
	<p>This command button takes you to a page listing any rejected reports or previously submitted reports that were deleted from the edit list. These reports are sorted by title in alphabetical order. From this page, you may select one or more reports for updating.</p>
	<p>This command button takes you to a page listing any rejected reports or previously submitted reports that were deleted from the edit list. These reports are sorted by report date. From this page, you may select one or more reports for updating.</p>
	<p>This command button takes you to a page listing any rejected reports or previously submitted reports that were deleted from the edit list. These reports are sorted by report status. From this page, you may select one or more reports for updating.</p>

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## Life Cycle of an Occurrence Report

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The life cycle of an occurrence report is as follows: Notification Report, Update Report (optional), and Final Report. The Notification Report consists of at least the first 19 data-entry fields of the occurrence report plus field 25. Other fields may be required for specific occurrence types or report types or the response to another question. The remaining fields are not required for a Notification Report; however, all data fields are available for entry during all stages of report preparation. (See *Appendix A - Data Entry Field Descriptions* for a list of all data-entry fields and the conditions under which they are required.)

A new Notification Report is assigned a temporary working number (e.g., HQ--TRN-FACBRS-1999-TEMP). This temporary number will remain assigned to the report until it is transmitted to the ORPS database. At that time, the report will receive an official occurrence report number.

If you transmit a Notification or Update occurrence report that requires changes, make the changes in an additional Update occurrence report. Final occurrence reports that you have transmitted cannot be modified (except to update corrective actions) unless they are rejected by the DOE Facility Representative or the DOE-HQ Program Manager.

### NOTE



A Final Report is referred to as "pre-final" until it is signed by both the DOE Facility Representative and the DOE-HQ Program Manager.

An occurrence report can be cancelled by submitting a Final Report with the occurrence category specified as "cancelled." Although the report is marked as a Final Report, only those fields required for a Notification Report are required for a cancelled report. The report(s) should then be transmitted and will go through the same approval process as all other occurrence reports. Once all the signatures have been obtained, the cancelled occurrence report will no longer be displayed when using the default criteria for the ORPS GUI Search and Reports.

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## Creating a New Notification Report

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In order to create a new occurrence report, you must first select a facility from the **NEW REPORT FACILITY** drop-down list. (*If you do not select a facility first, you will receive an error message.*) To do this, click your mouse on the down arrow located at the right of the selection box. A drop-down list of facilities will be displayed (**Figure 4**).

**ORPS Data Entry (TRAINING)**

**ORPS Occurrence Input**

[New Report:](#) No Selection

[Edit Report:](#) No Selection

FACBRS - Training Facility for BRS

New Edit

[List Non-Final reports:](#) Number Title Date Status

**Welcome to ORPS Data Entry...**

- Create new draft notification reports
- Edit previously saved reports
- Validate data without submitting
- Submit notification, update, and final reports

**Figure 4** - The **NEW REPORT FACILITY** drop-down list used to create a new notification report.

Next, with the facility of your choice selected, click on the **NEW** command button to open a page containing a blank occurrence report form that you can fill in to create a new Notification Report (**Figure 5**). Once the report is created, it can be submitted to the ORPS database or saved for future modification and submittal.

## ORPS Data Entry (TRAINING)

DRAFT ORPS Notification Report	
<u>1. Report Number:</u>	HQ--TRN-FACBRS-1999-TEMP
Facility/Personnel Information	
Facility:	<input type="text" value="FACBRS - Training Facility for BRS"/>
<u>Facility Function:</u>	<input type="text" value="No Selection"/>
Site Name:	DOE Training Web Site
<u>Manager/Designee:</u>	<input type="text" value="No Selection"/> <input type="text"/>
<u>Manager Phone:</u>	<input type="text"/>
Job Title:	<input type="text"/>
Originator/Transmitter:	SCOTT, BONNIE R
Originator Phone:	(208) 525-3709
Originator Title:	ES&H ANALYST
<u>Classifier Name:</u>	<input type="text"/>
Classification Date:	<input type="text"/>
<u>3. Occurrence Category:</u>	<input type="text" value="None Selected"/>
<u>4. Number of Occurrences:</u>	<input type="text" value="1"/> <input type="text" value="Original OR:"/>
<u>5. Division/Project:</u>	<input type="text"/>

**Notification Report:**

You are creating a notification report. At any time, you may:

1. Save your input to your workspace by clicking on "Save" at the bottom of this form
2. Validate your input by clicking on "Validate" at the bottom of this form
3. Submit the report to the ORPS system as a notification report by clicking on the "Submit" button at the bottom of this form

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

**Figure 5 - The ORPS DATA ENTRY INPUT form (partial).**

This page is also divided into four frames, three of which are the same as the previous page (i.e., the frames containing the title (header), the four ORPS GUI hyperlinks (footer), and the on-line help). The contents of the selection frame have been replaced with the ORPS Notification Report input form.

This form contains fields into which you can enter the information necessary to prepare the Notification Report. Please refer to *Appendix A - Data Entry Field Descriptions* of this document for a definition of all data fields and the conditions under which they are required.

## Navigating the Notification Report

You will notice that only a portion of the input form can be seen in the frame. The amount that is actually visible at one time will depend on the type and resolution of the monitor that you are using. (A minimum resolution of 800 X 600 is recommended.) In order to access different portions of the screen, simply use the scroll bar found at the right side of the frame to move up and down the form. In the bottom frame of the page, there are several command buttons that allow you to perform various actions with the report. The function of each of these buttons is described in the table below.

Command Button	Function
<input data-bbox="302 646 444 701" type="button" value="Save"/>	Saves the current contents of the form. The display remains at the input form, allowing you to enter additional information. (Note that it is necessary to save a report prior to entering corrective actions.)
<input data-bbox="302 821 451 875" type="button" value="Delete"/>	Deletes the current draft Notification Report from the workspace. You will receive a warning asking you, <i>“Are you sure you want to delete this report?”</i> Select <b>OK</b> to delete it and return to the previous page (the <b>ORPS DATA ENTRY SELECTION</b> page). Select <b>CANCEL</b> to remain in the input form. (The Notification Report must be saved at least once before the <b>DELETE</b> command button will appear.)
<input data-bbox="302 1142 391 1197" type="button" value="Print"/>	Opens a new browser window that displays a formatted occurrence report. You can then view the report and print it or save it to a file using the normal browser print and save features.
<input data-bbox="302 1316 662 1371" type="button" value="DATA ENTRY HOMEPAGE"/>	Closes the current screen and returns to the previous page (the <b>ORPS DATA ENTRY SELECTION</b> page). You will receive a warning asking you, <i>“Are you sure you want to restart?”</i> Select <b>OK</b> to return to the previous page. Select <b>CANCEL</b> to remain in the input form. Any changes made since the last save are not saved.
<input data-bbox="302 1566 662 1621" type="button" value="Validate Notification"/>	Validates the draft report to ensure that all necessary fields are complete so that you can then submit it to the ORPS database. If the report is not complete, a list of missing information will be provided.

Submit Notification	Validates the draft report to ensure that all necessary fields are complete and then transmits the report to the ORPS database. (This button will not appear for a Preparer.)
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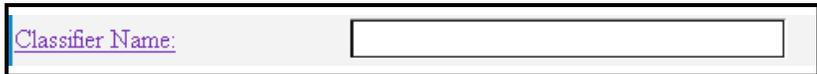
### Entering Information Into Differing Types of Data Fields

Information is entered into the form by typing the data or by making selections from lists of available values. You can move from entry field to entry field with your mouse or by pressing the **TAB** key. (You can jump backward to previous fields with *[SHIFT]+[TAB]*.)

The exact method of entry will vary depending upon the type of information being entered. The various general types of inputs are described below.

#### Edit Boxes

Edit boxes are used to enter free-form narrative information into a report field. Narrative data may consist of fixed-length, free-form fields; fixed-length, fixed-format fields; and extended free-form narrative fields. **Figure 12** shows a sample fixed length edit box.



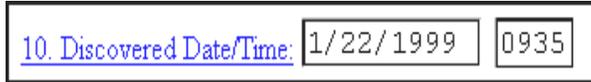
**Figure 12** - A sample “fixed-length” edit box.

To enter information into an edit box, simply click the mouse in the box to position the cursor in the box and then proceed to type the appropriate information. For fields which have relatively small lengths, all of the text will be visible in the edit box. If you try to exceed the allowable field length, the form will refuse to accept additional data.

For fields where the field lengths are longer than what can be displayed in the box, when you reach the end of the box, the form will continue to accept input and the excess data will scroll beyond the left boundary of the edit box. You can use the keyboard arrow keys or the **HOME** and **END** keys to scroll back and forth to view the entire text.

## Special Formatted Fields

Some types of data, e.g., dates and telephone numbers, require specific formatting. An example of a date input box is shown in **Figure 13**.



**Figure 13** - Two sample “special formatting” boxes illustrating date and time formatting.

The special formatting required can be displayed in the on-line help frame by clicking on the hypertext link next to the field (e.g., **Discovered Date/Time**, **Categorized Date/Time**, etc.). Using the same procedure discussed above for the edit box, information should be entered in the format shown. For example, in **Figure 13**, the required format for a date is **MM/DD/YYYY**. When you leave the edit box by tabbing to the next field or moving to another field with the mouse, the system will verify that the information is in the correct format and inform you if it is not.

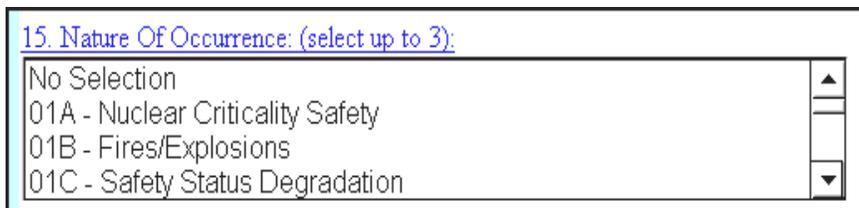
### NOTE



The required date format is **MM/DD/YYYY**. It is not necessary to enter leading zeros for months and days. However, if you do enter leading zeros, the system will strip them out. If you enter a date as 02/02/1999, the system will accept it as 2/2/1999.

## Selection Boxes (with scroll bar)

Where data for a field is to be chosen from a list of specific choices, it is input by means of a selection box as shown in **Figure 14**. Use the scroll bar on the right to move up and down the list to view the selections. From these selection boxes (**Nature of Occurrence** and **Contributing Causes**), you may choose up to three selections.



**Figure 14** - A sample “selection” box with scroll bar.

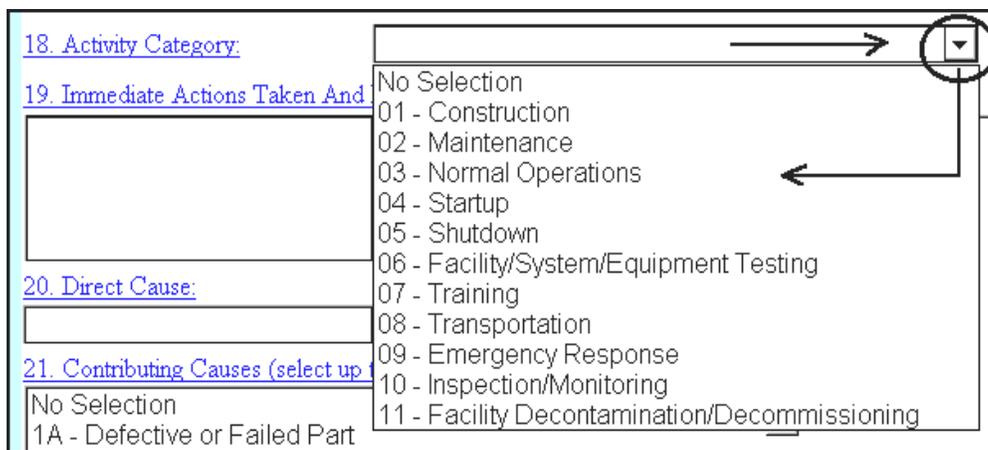
You can select the desired choice by clicking on it with the mouse. If more than one selection is required, you can make multiple sequential or multiple nonsequential selections.

You can select multiple sequential choices by holding down the left mouse button and dragging the mouse pointer over the range of choices, or by clicking on (selecting) your choice at one end of the range, moving to the other end of the range, and holding down the *[SHIFT]* key while clicking again with the left mouse button.

To select nonsequential items (or deselect an item), hold down the *[CTRL]* key while clicking on the desired choice(s) with the left mouse button.

### Selection Boxes (with drop-down lists)

Sometimes data for a field is to be chosen from a drop-down list of choices. In this case, it is input by means of a drop-down selection box as shown in **Figure 15**.



**Figure 15** - A sample “selection” box showing drop-down list of possible choices.

To use the selection box, click with the mouse on the down arrow at the right of the selection box. A drop-down list of possible choices will be displayed. Select the desired choice by clicking on it with the mouse (only one selection is possible). The drop-down list will be closed and the selection will be displayed in the selection box.

#### NOTE



The **MANAGER/DESIGNEE** selection box contains a list of all registered facility managers for the selected facility. Selecting a manager from this list will automatically fill in the phone number and job title information in the edit boxes. However, if the desired Facility Manager is not included in the list, the manager name can be entered into the edit box to the right of the **MANAGER/DESIGNEE** selection box. The phone number and job title can also be entered directly into the appropriate edit boxes.

## Radio Buttons

Another method of entering information into the data fields is the use of radio buttons. Some of the input fields (e.g., UCNI, Further Evaluation Required) require that you select a radio button. Radio buttons are groups of buttons that allow “only one” to be selected at a time. When you select (click) one button, all the others are automatically deselected. The selected option appears with a dot in the middle of the radio button. **Figure 16** shows an example radio button group.

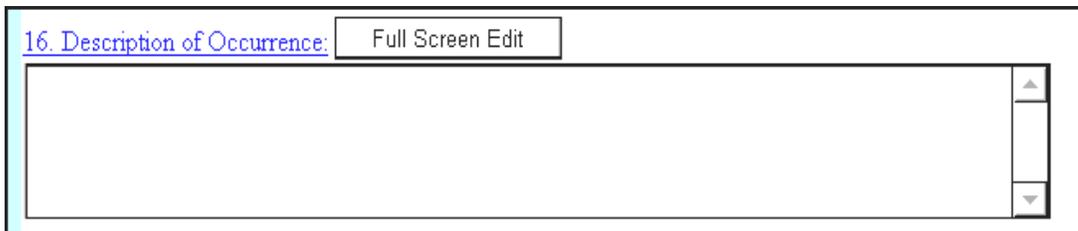


**Figure 16** - A sample “radio button” group with selection.

## Extended Narrative Fields

Several of the fields allow the input of narrative text with no practical limit to the length of the text. These fields are displayed as larger, multiple-line, edit boxes (**Figure 17**).

To enter information in these fields, click anywhere in the edit box with the mouse to position the cursor in the box. Then begin typing your input. When you come to the end of a line, just continue typing and the text will automatically wrap to the next line. When you reach the bottom of the edit box, new lines will continue to be added and the previous text will scroll off of the top of the box.



**Figure 17** - A sample “extended narrative” edit box.

You may review the text anywhere in the box by using the scroll bar on the right side of the edit box. If you would like to view a larger portion of the text that you are typing, you can click on the **FULL SCREEN EDIT** button located on top of the edit box. This button will open a new, larger edit box in which to type. If you previously entered information into the smaller box, it will be visible in the new box. When you are finished entering your text, be sure to click on the **RETURN** button at the bottom of the large edit box to close the box and return to the input form.



Do not close this window with the Windows Exit button  at the top, right corner of the window as this may cause you to lose the text you just entered. Also, always click on the **RETURN** button when finished to close the window before opening up another full screen editing window.



You can copy and paste the information directly into the narrative edit boxes. However, if you do this, be careful not to copy and paste any special characters like the degree symbol, bullets, special character fractions, etc., that were created within your word processing application. These special characters will not be recognized during the validation process and will be stripped out of your text.

## Saving or Closing a Report

At any point during the completion of a Notification Report, you can save your data by clicking on the **SAVE** command button in the bottom frame of the screen. Your report will be saved to the file server and a temporary Occurrence Report Number is automatically generated the first time (e.g., HQ--TRN-FACBRS-1999-TEMP).

You can save your data periodically and continue to work on the report, or you may choose to save it with the **SAVE** command button and then exit it by clicking on the **DATA ENTRY HOMEPAGE** command button at the bottom of the screen. The **DATA ENTRY HOMEPAGE** button exits the report without saving any changes that have been made since the report was last saved. If you click on the **DATA ENTRY HOMEPAGE** button you will see the following window.



**Figure 19** - The **RESTART** confirmation box.

Click on **OK** to abandon any changes made to the document since it was last saved and return to the **DATA ENTRY SELECTION** page or **CANCEL** to remain in the input form.

## Validating the Data and Transmitting the Report

Once you have finished entering the required information into the form, you are now ready to validate and transmit the record to the ORPS database.

### NOTE



Remember that it is not necessary to transmit the report when it is first created. If you need to obtain further information or receive other approvals before you transmit the report, you can save the report and edit and/or transmit it at a later time. (See the *Editing Existing Reports* section of this document.)

When you are ready to check your report, click on the **VALIDATE NOTIFICATION** command button. In order to ensure that all data is validated properly, the system will automatically save your report prior to performing the validation. Then, the report will be validated to ensure that all necessary data has been entered correctly.

If the validation is not successful, you will see a report similar to the following example report at the top of the **ORPS DATA ENTRY INPUT** form indicating that you have “errors” or incomplete data items.

A screenshot of a validation report window. The background is light blue. At the top, there are four lines of error messages: "You must specify an activity category.", "You must specify Secretarial Office.", "Categorization date is required.", and "Categorization time is required.". Below these is a warning: "WARNING: This facility has no registered Facility Rep and/or Program Manager!" followed by "4 errors found.". A black arrow points from the right side of the window towards the error messages. Below the error messages is a red header bar with the text "DRAFT ORPS Notification Report". Underneath is a white bar with "1. Report Number:" followed by "HQ--TRN-FACBRS-1999-TEMP". Below that is another red header bar with "Facility/Personnel Information". Underneath are two dropdown menus: "Facility:" with "FACBRS - Training Facility for BRS" selected, and "Facility Function:" with "07 - Reprocessing" selected.

You must specify an activity category.  
You must specify Secretarial Office.  
Categorization date is required.  
Categorization time is required.  
**WARNING:** This facility has no registered Facility Rep and/or Program Manager!  
4 errors found.

**DRAFT ORPS Notification Report**

1. Report Number: HQ--TRN-FACBRS-1999-TEMP

**Facility/Personnel Information**

Facility: FACBRS - Training Facility for BRS

Facility Function: 07 - Reprocessing

**Figure 20** - An example **ORPS VALIDATION** report indicating that the data is incomplete.

At this point, you will need to scroll down to the specified fields and complete the indicated items. However, if the validation is successful, you will see a report indicating that all input was “successfully validated” (**Figure 20**).

This facility has no registered Facility Rep and/or Program Manager!  
Input successfully validated

**DRAFT ORPS Notification Report**

1. Report Number: HQ--TRN-FACBRS-1999-TEMP

**Facility/Personnel Information**

Facility: FACBRS - Training Facility for BRS

Facility Function: 07 - Reprocessing

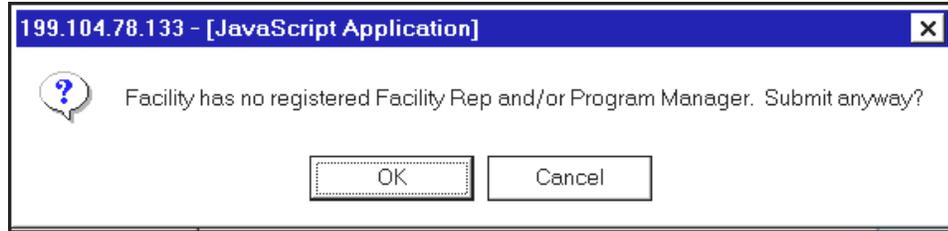
**Figure 21** - An example **ORPS VALIDATION** report indicating that all data items were “successfully” validated.

Once a report has been successfully validated, you can click on the **SUBMIT NOTIFICATION** command button in the bottom frame to transmit the report to the ORPS database. You will be presented with the following window. Click on the **OK** command button to submit the Notification Report, or **CANCEL** to remain in the input form.



**Figure 22** - The **SUBMIT NOTIFICATION** confirmation box.

If the facility chosen upon creating the Notification Report has no registered Facility Representative and/or Program Manager, you will be presented with the following window. Click on the **OK** command button to continue with the submittal, or **CANCEL** to remain in the input form.



**Figure 23** - The confirmation box indicating that the Facility has no registered Facility Representative and/or Program Manager.

One more window may appear before the report is actually submitted to the ORPS database. If the **CLASSIFIER NAME** and/or **CLASSIFICATION DATE** field(s) is blank, you will be presented with the following window to indicate that. Again, click on the **OK** command button to continue with the submittal, or **CANCEL** to remain in the input form.



**Figure 24** - The confirmation box indicating that the **CLASSIFIER NAME** and/or **CLASSIFICATION DATE** field(s) is blank.

**NOTE**



For facilities where classified operations are conducted or classified information is generated, this field is required for all reports. The name of the authorized classifier who reviewed this report and determined that it was unclassified should be entered into the **CLASSIFIER NAME** edit box. The date that the review was performed should be entered into the **CLASSIFICATION DATE** edit box. Classified information **MUST NOT** be transmitted to the Occurrence Reporting and Processing System. For classified reports, an unclassified version of the report shall be submitted to ORPS.

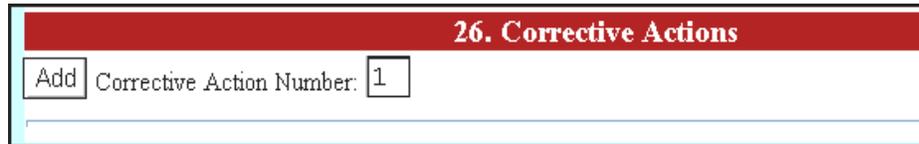
When a Notification Report is submitted, you are returned to the **ORPS DATA ENTRY SELECTION** page where a message is displayed indicating that the report was “submitted to production” (**Figure 24**). The Temp Report number previously assigned to the Notification Report is replaced with the official number.

The screenshot shows a web interface for 'ORPS Occurrence Input'. At the top, a light blue banner contains the message: 'OR number HQ--TRN-FACBRS-1999-0025 submitted to production.' Below this is a dark red header with the title 'ORPS Occurrence Input' in white. The main content area has a light blue background and contains two rows of data entry fields. Each row has a label on the left: 'New Report.' and 'Edit Report.', both in blue text. To the right of each label is a white dropdown menu with 'No Selection' and a downward arrow. At the bottom of the form, there are two buttons: 'New' and 'Edit', both in white boxes with black text.

**Figure 25** - The message displayed after submitting a report indicating the official report number.

## Entering Corrective Actions

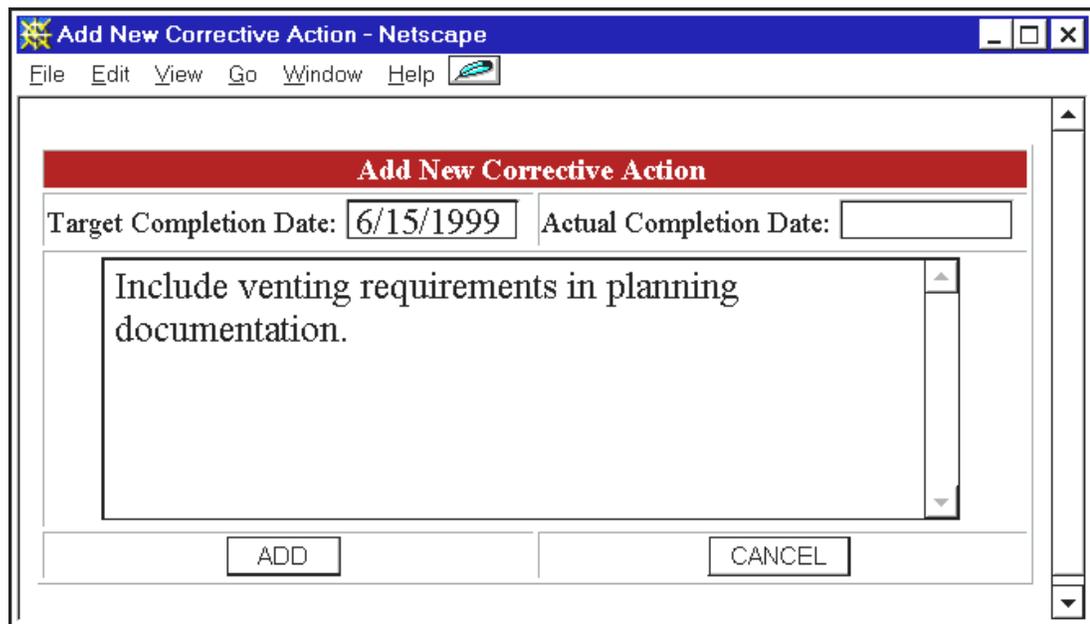
Corrective actions are entered into the report using the **CORRECTIVE ACTION INPUT** window. This window is accessed by clicking your mouse on the **ADD** Corrective Action button located near the bottom of the input form (Field 26).



The image shows a rectangular input form with a red header bar containing the text "26. Corrective Actions". Below the header, there is a button labeled "Add" followed by the text "Corrective Action Number:" and a small input field containing the number "1".

**Figure 26** - The **ADD** Corrective Action button.

This opens the **ADD NEW CORRECTIVE ACTION** input window shown in **Figure 26**.



The image shows a Netscape browser window titled "Add New Corrective Action - Netscape". The window contains a form with a red header bar labeled "Add New Corrective Action". Below the header, there are two date input fields: "Target Completion Date:" with the value "6/15/1999" and "Actual Completion Date:". Below these fields is a large text area containing the text "Include venting requirements in planning documentation." At the bottom of the window, there are two buttons: "ADD" and "CANCEL".

**Figure 27** - The **ADD NEW CORRECTIVE ACTION** input window.

### NOTE



The Notification Report must be saved at least once before you can enter any corrective actions because the **ADD** Corrective Action button is not available. Once you have saved the report, the **ADD** Corrective Action button will appear. Then you may proceed to enter corrective actions.

## Adding a New Corrective Action

With the **ADD NEW CORRECTIVE ACTION** input window opened, you may enter the **Target Completion Date** by typing it into the edit box (note that the required date format is MM/DD/YYYY). You may also enter an **Actual Completion Date**, if one is available. The narrative for the corrective action is entered by typing it into the large edit box. (If you desire a larger input area, the **FULL SCREEN EDIT** button is available.)

Once you have entered the corrective action information, click on the **ADD** command button at the bottom of the input window to accept and save the corrective action and close the input window. The **CANCEL** command button closes the **ADD NEW CORRECTIVE ACTION** input window without accepting the corrective action.

After adding corrective actions, the corrective actions will be displayed at the bottom of the report in the order in which you entered them as shown in **Figure 27**. As you add corrective actions, the box to the right of the **ADD** Corrective Action button increments to indicate the number of the next corrective action that will be added. **Figure 27** demonstrates that there are three corrective actions entered; therefore, the next one to be entered would be number 4.

The screenshot displays a window titled "26. Corrective Actions" with a red header. It contains three entries, each with a "Full Screen Edit" button and a "Delete Item" checkbox. The entries are as follows:

Item	Completion Dates	Target	Actual	Delete Item
Item: 01	Completion Dates:	06/15/1999		<input type="checkbox"/>
Full Screen Edit				
Include venting requirements in planning documentation.				
Item: 02	Completion Dates:	05/10/1999	04/16/1999	<input type="checkbox"/>
Full Screen Edit				
Provide a procedure to address the neutralization activities.				
Item: 03	Completion Dates:	04/30/1999		<input type="checkbox"/>
Full Screen Edit				
Update the chemical inventory list to reflect the current inventory status.				

At the bottom of the window, there is an "Add" button and a "Corrective Action Number: 4" field.

**Figure 28** - A sample listing of corrective actions that have been entered.

NOTE



The targeted completion date for the corrective action must be after the discovery date. The actual completion date for the corrective action must also be after the discovery date and before the current date.

### Editing an Existing Corrective Action

To edit an existing corrective action, simply click your mouse to position it into one of the edit boxes (i.e., Target Completion Date, Actual Completion Date, narrative) for the desired corrective action and modify it. When you save or submit the report, the modifications will be saved.

### Deleting an Existing Corrective Action

To delete an existing corrective action on a report, place a check mark into the **DELETE ITEM** check box for the corrective action to be deleted to mark it for deletion. When you save or submit the report, the marked corrective action(s) will be deleted.

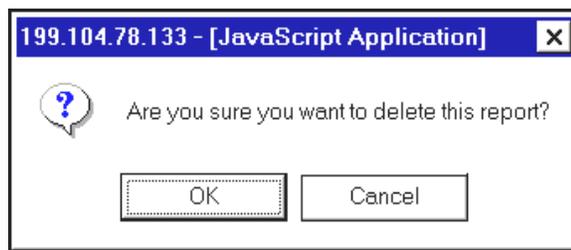
NOTE



Once a report has been submitted as a Final Report, changes to corrective actions are performed using the **FM Functions** from the **ORPS GUI** home page.

## Deleting the Report

Notification Reports may be deleted prior to transmittal to the ORPS database. To delete the report currently displayed in the input form, simply click the **DELETE** command button in the bottom frame of the screen. You will receive a warning message (see **Figure 28**) asking you to confirm the deletion of the record.



**Figure 29** - The confirmation box received to consent to the report deletion.

If you do not want to delete the report, click the **CANCEL** button to stop the deletion and return to the input form. However, to continue with the deletion, click on the **OK** command button. This will delete the record and return to the previous page, displaying a message at the top of the page saying, “*ORPS data deleted.*”

NOTE



The **DELETE** button does not appear on a new report that has never been saved and assigned a temporary Occurrence Report Number. To delete a report in this status, use the **DATA ENTRY HOMEPAGE** command button.

## Viewing, Printing, and Saving the Report to a File

Any of your reports can easily be viewed, printed, or saved to a file. With the report loaded in the **CREATE** or **EDIT** form, simply select the **PRINT** command button from the bottom frame of the page. This opens a new browser window that displays the formatted report. In this manner the report can be easily viewed to review it for completeness and accuracy. If a printed copy is desired, simply select **Print** from the browser's **FILE** menu to print the contents of the window. A formatted occurrence report will be printed out that can be used for hard copy distribution and review. Likewise, if you want to save the report as a file that can be e-mailed to someone for review, select **Save as** from the browser's **FILE** menu. The report can be saved in either an ASCII or HTML format as desired.

## Creating a New Notification Report

### TUTORIAL

1. From the **ORPS DATE ENTRY SELECTION** page, select a facility from the **NEW REPORT FACILITY** drop-down list.
2. Click on the **NEW** command button to display the blank **ORPS DATA ENTRY INPUT** form.
3. Enter data into the appropriate fields by typing the information, or by making selections from lists of available values.

#### NOTE



Use the mouse or **TAB** key to move between fields. Required fields and their definitions are contained in *Appendix A* of this document.

4. After entering the information into the data fields, you have the following choices:
  - a. **SAVE** the report. At any point during the completion of a Notification Report, you can save your data by clicking on the **SAVE** command button. (Your report will be saved and assigned a temporary OR number.)
  - b. **DELETE** the report. Click on the **DELETE** button to delete the currently displayed report. From the warning message box received, click on the **OK** button to proceed with the deletion or click on the **CANCEL** button to abort the deletion.
  - c. **PRINT or VIEW** the report. Click on the **PRINT** command button to open the report into a view mode. Standard browser printing and saving features are then available.
  - d. **ABORT** the report. Click on the **DATA ENTRY HOMEPAGE** command button to close the report without saving it and return to the **ORPS DATE ENTRY SELECTION** page.
  - e. **VALIDATE** the report. Click on the **VALIDATE** command button to ensure that all necessary data is entered. (The report will be saved automatically.) If the report is complete, you can then click on the **SUBMIT NOTIFICATION** command button to transmit the report to the ORPS database. If the report is incomplete, scroll down to the specified fields and complete the indicated items.
  - f. **SUBMIT NOTIFICATION**. Once the required fields have been completed in the report, click on the **SUBMIT NOTIFICATION** command button to transmit the report to the ORPS database.

Step-by-Step

## TUTORIAL

### Entering Corrective Actions

1. After saving the report at least once, click your mouse on the **ADD** Corrective Action button (field 26).
2. In the **ADD NEW CORRECTIVE ACTION** input window, enter a corrective action target date and completion date (if available). Also, enter the narrative for the corrective action into the large edit box.
3. When done, click on the **ADD** command button to save the corrective action and close the **ADD NEW CORRECTIVE ACTION** input window.

#### NOTE



Before you can enter any corrective actions, you must have entered a discovery date, and the Notification Report must be saved at least once.

### Exercise 1

1. Make up a fictitious occurrence, and input a new Notification Report. Save, validate, and transmit the Notification Report.

*Reminder:* Fields 1 through 19, and field 25 must be completed.

## Exercise 2

1. Create a new Notification Report with the following information. Save it, validate the data, and transmit it.

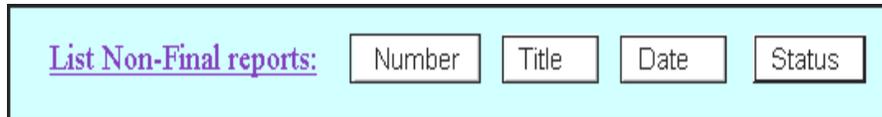
**Name of Facility:** Choose a facility from your selection list  
**Facility Function:** Select a facility function from the drop-down list  
**Manager/Designee:** Robert Taylor                      **Phone:** 505-665-1234  
**Job Title:** Facility Manager  
**Occurrence Category:** Off-Normal  
**Number of Occurrences:** 1  
**Division/Project:** Accelerator Operations  
**Secretarial Office:** Select a Secretarial Office from the drop-down list  
**Sys/Bldg/Equip:** Cooling Tower  
**UCNI:** No  
**Plant Area:** Test Area 22  
**Discovered Date/Time:** Yesterday's Date at 0825  
**Categorized Date/Time:** Yesterday's Date at 0915  
**Other Notifications:** Yesterday's Date at 1245 - William Malone - DOE/HQ  
Yesterday's Date at 1315 - Dorothy Fleming - NMED  
**Subject/Title:** Release of Cooling Tower Water  
**Nature of Occurrence:** 02B - Release of Hazardous Substances/Regulated  
Pollutants/Oil  
**Description:** There was a release of an estimated 500 gallons of cooling tower water to the ground. The release was caused by the manual drain pipe on the cooling tower which had frozen and cracked. Further investigation revealed that the freezing of the drain pipe was caused by failure of heat tape which had been used for freeze protection.  
**Operating Conditions at**  
**Time of Occurrence:** Below freezing temperatures  
**Activity Category:** 03 - Normal Operations  
**Immediate Actions:** The water was drained from the tower in order to repair the pipe. The drain pipe was replaced, heat tape rated for commercial use was installed, and cooling tower was returned to service.  
**Direct Cause:** 1A - Defective or Failed Part  
**Is Further Evaluation Required?:** No

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## Listing Reports

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The **LIST NON-FINAL REPORTS** line contains four command buttons which enable you to view reports under your jurisdiction that have been rejected or reports that have been previously submitted and then deleted from within the **ORPS DATA ENTRY INPUT** form. The command buttons let you choose the order in which you would like the reports sorted (**Figure 29**).



**Figure 30** - The **LIST NON-FINAL REPORTS** line containing sort command buttons.

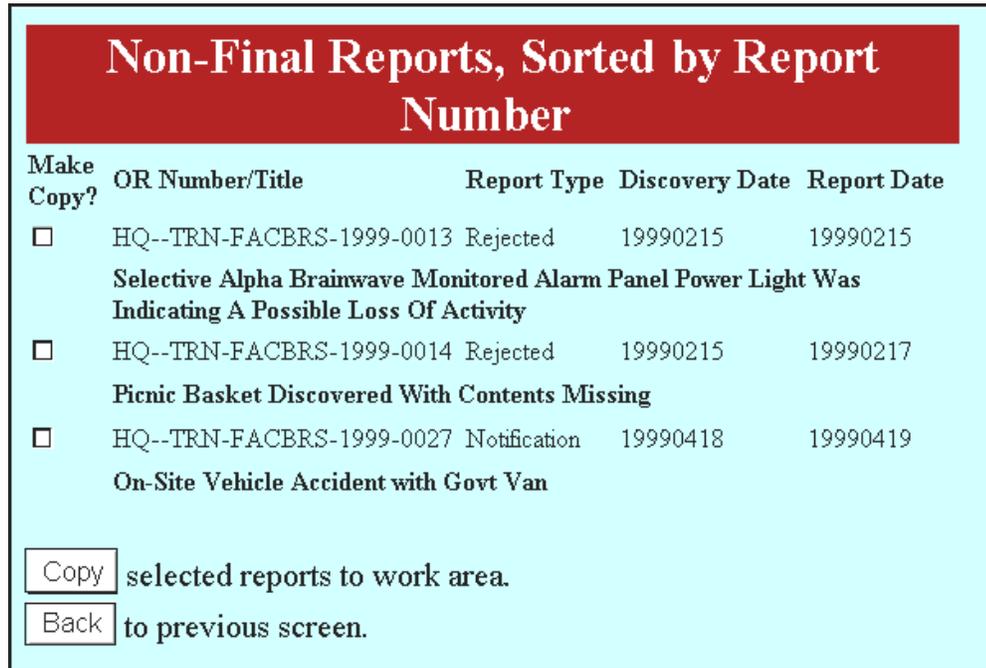
**NOTE**



During initial testing and training, these links will only display newly created reports and selected Non-Final Reports that have been added specifically for training.

## Listing Reports Sorted by Occurrence Report Number

The first command button on the **LIST NON-FINAL REPORTS** line is **NUMBER**. It displays a page with rejected or previously submitted and then deleted reports listed and sorted by occurrence report number.



Make Copy?	OR Number/Title	Report Type	Discovery Date	Report Date
<input type="checkbox"/>	HQ--TRN-FACBRS-1999-0013 Selective Alpha Brainwave Monitored Alarm Panel Power Light Was Indicating A Possible Loss Of Activity	Rejected	19990215	19990215
<input type="checkbox"/>	HQ--TRN-FACBRS-1999-0014 Picnic Basket Discovered With Contents Missing	Rejected	19990215	19990217
<input type="checkbox"/>	HQ--TRN-FACBRS-1999-0027 On-Site Vehicle Accident with Govt Van	Notification	19990418	19990419

selected reports to work area.

to previous screen.

**Figure 31** - The List Non-Final Reports **SORTED BY REPORT NUMBER** page.

As you will see, each of these listing pages will display the same five columns (i.e., **Make Copy?**, **OR Number/Title**, **Report Type**, **Discovery Date**, and **Report Date**). In addition, these pages also contain the **COPY** and the **BACK** command buttons at the bottom.

The **COPY** command button works in conjunction with the **MAKE COPY?** column. You may select one or more reports to move into your personal workspace for editing. To mark a report for copying, place a check mark in the check box next to it by clicking your mouse in the box. After marking the report(s) for copying with the check mark(s), click on the **COPY** command button to return to the **ORPS DATA ENTRY SELECTION** page. The marked, copied reports will now be displayed in the **EDIT REPORT** drop-down list and are available for updating.

The **BACK** command button takes you to the previous page without copying any reports. (You can also use the browser's **BACK** button on the toolbar.)

## Listing Reports Sorted by Title

The **TITLE** command button takes you to a page listing the reports by title, sorted in alphabetical order.

<b>Non-Final Reports, Sorted by Report Title</b>				
Make Copy?	OR Number/Title	Report Type	Discovery Date	Report Date
<input type="checkbox"/>	HQ--TRN-FACBRS-1999-0027	Notification	19990418	19990419
	<b>On-Site Vehicle Accident with Govt Van</b>			
<input type="checkbox"/>	HQ--TRN-FACBRS-1999-0014	Rejected	19990215	19990217
	<b>Picnic Basket Discovered With Contents Missing</b>			
<input type="checkbox"/>	HQ--TRN-FACBRS-1999-0013	Rejected	19990215	19990215
	<b>Selective Alpha Brainwave Monitored Alarm Panel Power Light Was Indicating A Possible Loss Of Activity</b>			

selected reports to work area.

to previous screen.

**Figure 32** - The List Non-Final Reports **SORTED BY REPORT TITLE** page.

## Listing Reports Sorted by Occurrence Report Date

The **DATE** command button displays a page with reports listed and sorted by report date.

<b>Non-Final Reports, Sorted by Report Date</b>				
Make Copy?	OR Number/Title	Report Type	Discovery Date	Report Date
<input type="checkbox"/>	HQ--TRN-FACBRS-1999-0013 <b>Selective Alpha Brainwave Monitored Alarm Panel Power Light Was Indicating A Possible Loss Of Activity</b>	Rejected	19990215	19990215
<input type="checkbox"/>	HQ--TRN-FACBRS-1999-0014 <b>Picnic Basket Discovered With Contents Missing</b>	Rejected	19990215	19990217
<input type="checkbox"/>	HQ--TRN-FACBRS-1999-0027 <b>On-Site Vehicle Accident with Govt Van</b>	Notification	19990418	19990419

selected reports to work area.

to previous screen.

**Figure 33** - The List Non-Final Reports **SORTED BY REPORT DATE** page.

## Listing Reports Sorted by Status

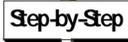
The **STATUS** command button displays reports sorted by report status (i.e., notification, rejected, etc.).

<b>Non-Final Reports, Sorted by Report Status</b>				
<b>Make Copy?</b>	<b>OR Number/Title</b>	<b>Report Type</b>	<b>Discovery Date</b>	<b>Report Date</b>
<input type="checkbox"/>	HQ--TRN-FACBRS-1999-0027 <b>On-Site Vehicle Accident with Govt Van</b>	Notification	19990418	19990419
<input type="checkbox"/>	HQ--TRN-FACBRS-1999-0013 <b>Selective Alpha Brainwave Monitored Alarm Panel Power Light Was Indicating A Possible Loss Of Activity</b>	Rejected	19990215	19990215
<input type="checkbox"/>	HQ--TRN-FACBRS-1999-0014 <b>Picnic Basket Discovered With Contents Missing</b>	Rejected	19990215	19990217

selected reports to work area.

to previous screen.

**Figure 34** - The List Non-Final Reports **SORTED BY REPORT STATUS** page.

A small icon consisting of a white rectangular box with the text "Step-by-Step" inside, mounted on a wooden post with a pointed top.

## TUTORIAL

### Listing All Non-Final Reports

1. From the **ORPS DATA ENTRY SELECTION** page, select the desired viewing mode from the four command buttons located on the **LIST NON-FINAL REPORTS** line. The options include:
  - Listing reports by **NUMBER**
  - Listing reports by **TITLE**
  - Listing reports by **DATE**
  - Listing reports by **STATUS**
2. From the list that appears, you may mark reports for copying into your draft report area for editing by placing check marks in the corresponding check boxes. Click on the **COPY** command button to return to the **ORPS DATA ENTRY SELECTION** page where the marked, copied reports will be displayed in the **EDIT REPORT** drop-down list.
3. Or, click on the **BACK** command button at the bottom of the viewing page (or the browser's **BACK** button) to return to the **ORPS DATA ENTRY SELECTION** page without copying any reports to your workspace.

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## Editing Existing Reports

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To modify or update an occurrence report, you must first select the report from the **EDIT REPORT** drop-down list on the **ORPS DATA ENTRY SELECTION** page (**Figure 34**). This list automatically contains all previously saved and untransmitted Notification Reports (temp reports) in addition to any previously submitted Notification or Update Reports. (As previously mentioned in the *Listing Reports Sorted by Occurrence Number* section on page 32, rejected reports will need to be moved into your work space in order for them to appear on this list and be accessible for updating. Refer to the explanation on the **COPY** command button in that section. There you will find detailed instruction on moving reports from the ORPS database area into your work space.)

The **EDIT REPORT** drop-down list should contain all reports that are available for you to modify and/or transmit. The reports are sorted in this list by user-id, then numerically for each user-id. Untransmitted records are identified by the temporary report number assigned when you saved the report; previously transmitted records are identified by the occurrence report number that was assigned when the report was transmitted to the database. The report title is also provided to help you identify the record you wish to modify.

The screenshot shows the 'ORPS Data Entry (TRAINING)' window. At the top is a red header 'ORPS Occurrence Input'. Below it are two dropdown menus, both currently set to 'No Selection'. The first dropdown is labeled 'New Report:' and the second is labeled 'Edit Report:'. Below the second dropdown is a list of reports, with the first item 'No Selection' highlighted in blue. The list items are as follows:

- (BRS) HQ--TRN-FACBRS-1999-0019 - Boxing Glove Overheat Detection System W
- (BRS) HQ--TRN-FACBRS-1999-0020 - Petroleum Contamination Discovered On Em
- (BRS) HQ--TRN-FACBRS-1999-0021 - Selective Alpha Brainwave Monitored Alar
- (BRS) HQ--TRN-FACBRS-1999-0022 - Picnic Basket Discovered With Contents M
- (BRS) HQ--TRN-FACBRS-1999-0023 - Boxing Glove Overheat Detection System W
- (BRS) HQ--TRN-FACBRS-1999-0024 - Petroleum Contamination Discovered On Em
- (BRS) HQ--TRN-FACBRS-1999-0025 - Electrical Incident Caused by Drilling
- (BRS) HQ--TRN-FACBRS-1999-0026 - Near Miss Electrical Short
- (BRS) HQ--TRN-FACBRS-1999-TEMP - Material Stockpile Collapsed
- (BRS) HQ--TRN-FACBRS-1999-TEMP - Release of Cooling Tower Water

**Figure 35** - The **EDIT REPORT** drop-down list.

NOTE



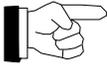
Remember that it is not necessary to edit a report from the same workstation on which it was created. Since the pending report is stored on the server rather than on your local workstation, you can access it from any workstation that has access to the server. For example, you could initiate a report from the field where detailed event information is available, save the report, and then complete it from your corporate headquarters after consultation with your management, staff, etc.

After selecting a report to edit, click on the **EDIT** command button to continue to the **ORPS DATA ENTRY INPUT** form. You can add new information to the report and/or edit information that was previously entered. From this point on, the form functions as described in the section, *Creating a New Notification Report*.

The top of the form will reflect the status of the report (i.e., ORPS Notification Report, ORPS Update Report, etc.). If the report being edited is an Update or Update/Final, four new command buttons are added to the frame at the bottom of the page, replacing the Notification Report's **VALIDATE NOTIFICATION** and **SUBMIT NOTIFICATION** command buttons. Each is briefly explained in the following table.

Command Button	Function
<input type="button" value="Validate Update"/>	Validates the report to ensure that all fields required for an Update Report are complete. If the report is not complete, a list of missing information will be provided.
<input type="button" value="Submit Update"/>	Validates the report to ensure that all necessary fields are complete and then transmits the report to the ORPS database as an Update report. This button will not appear for a Preparer.
<input type="button" value="Validate Final"/>	Validates the report to ensure that all fields required for a Final Report are complete. If the report is not complete, a list of missing information will be provided.
<input type="button" value="Submit Final"/>	Validates the report to ensure that all necessary fields are complete and then transmits the report to the ORPS database. This button will not appear for a Preparer.

NOTE



If you edit a report started by someone else and then save it, your name replaces theirs as the originator/transmitter at the time of the save. There is also an autosave feature whereby if you open a report originated by someone else and go directly to validate and transmit it, it will automatically be saved with your name.

Step-by-Step

TUTORIAL

## Modifying Existing Reports

1. From the **ORPS DATA ENTRY SELECTION** page, select a report from the **EDIT REPORT** drop-down list.
2. Click on the **EDIT** command button to display the **ORPS DATA ENTRY INPUT** form.
3. Edit the report as needed. Then, click on the appropriate command button: **SAVE, DELETE, PRINT, DATA ENTRY HOMEPAGE, VALIDATE UPDATE, SUBMIT UPDATE, VALIDATE FINAL, or SUBMIT FINAL.**

### Exercise 3

1. Modify the report entitled: **Petroleum Contamination Discovered On Employees Hand** (HQ--TRN-FACXXX-1999-0024)
2. Add the following information and corrective actions:

**Direct Cause:** 1A - Defective or Failed Part

**Contributing Cause(s):** 1A - Defective or Failed Part  
7A - Weather or Ambient Conditions

**Root Cause:** 4C - Error in Equipment or Material Selection

**Description** The direct cause was failure of a drain pipe during sub-freezing temperatures. The root cause was the use of heat tape that was rated for residential use rather than commercial.

**Evaluation:** Evaluation of repair options should proceed expeditiously to minimize discharge to the soil.

**Corrective Actions:** #1 Target Completion Date: One week from Today's date  
Completion Date: Blank  
Replace cooling tower drain basin pipe.  
#2 Target Completion Date: One week from Today's date  
Completion Date: Blank  
Replace heating tape with commercial use rated heat tape.

3. Validate and submit the occurrence report as an Update Report.

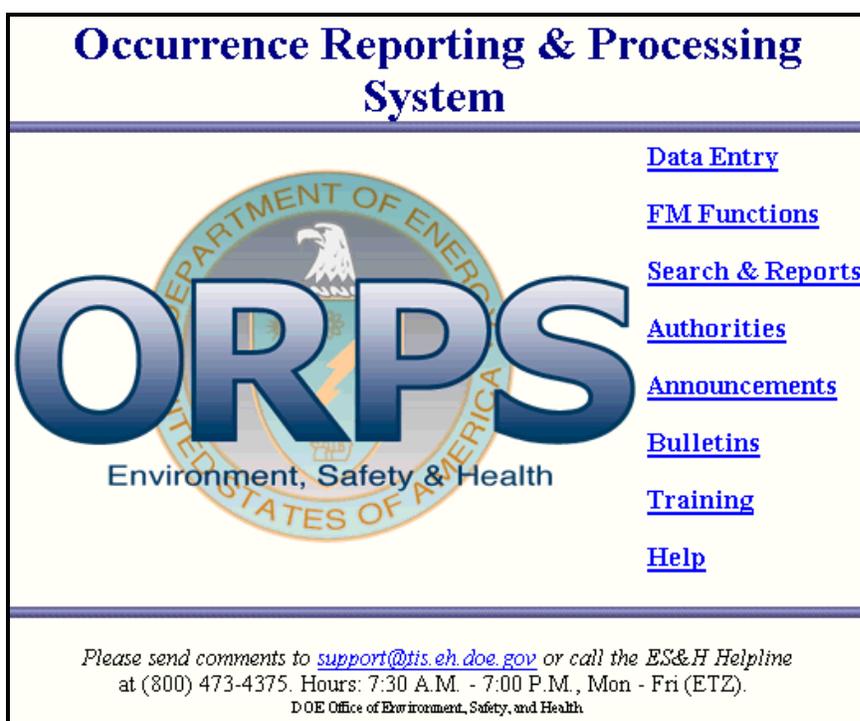
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## Accessing the ORPS GUI Database

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As mentioned earlier, there are four hyperlinks available in the bottom frame of the **ORPS DATA ENTRY** module. They are the **ORPS Home**, **Search & Reports**, **Authorities**, and **Help** links. They all temporarily exit the Data Entry program to directly access other functions within the ORPS GUI database. You will be presented with a “log-on” box and will be required to log on with your ORPS GUI user-id and password, if you have not previously done so.

When you select the **ORPS Home** link from the bottom frame of the **ORPS DATA ENTRY SELECTION** page, the **OCCURRENCE REPORTING & PROCESSING SYSTEM** home page appears (Figure 39).



**Figure 40** - The ORPS GUI home page (with **FM Functions** and **Data Entry** links).

From this page, you can access ORPS data to perform manager functions, searches, data distributions, data analyses, generate reports, access ORPS bulletins, etc. The **Data Entry** link on this page returns you to the ORPS Data Entry program.



If you want to go to the ORPS GUI to obtain information to complete a report that you are currently working on, e.g., Similar ORs, click on the **ORPS Home** hyperlink with the right mouse button. This will open a new browser window, without effecting the input form. Locate the information and close the new window to return to the input form.

When you select the **Search & Reports** link from the bottom frame of the **ORPS DATA ENTRY SELECTION** page, the **ORPS OR SEARCH & REPORTS** page appears (**Figure 40**). The ORPS GUI search and report functions for the ORPS database are initiated from this page. (The ORPS Search & Reports features are discussed in detail in the **ORPS GUI Basic Search Techniques** and/or the **ORPS GUI Basic Report Techniques** sections of the ORPS GUI Reference Manual.)

**ORPS OR Search & Reports**

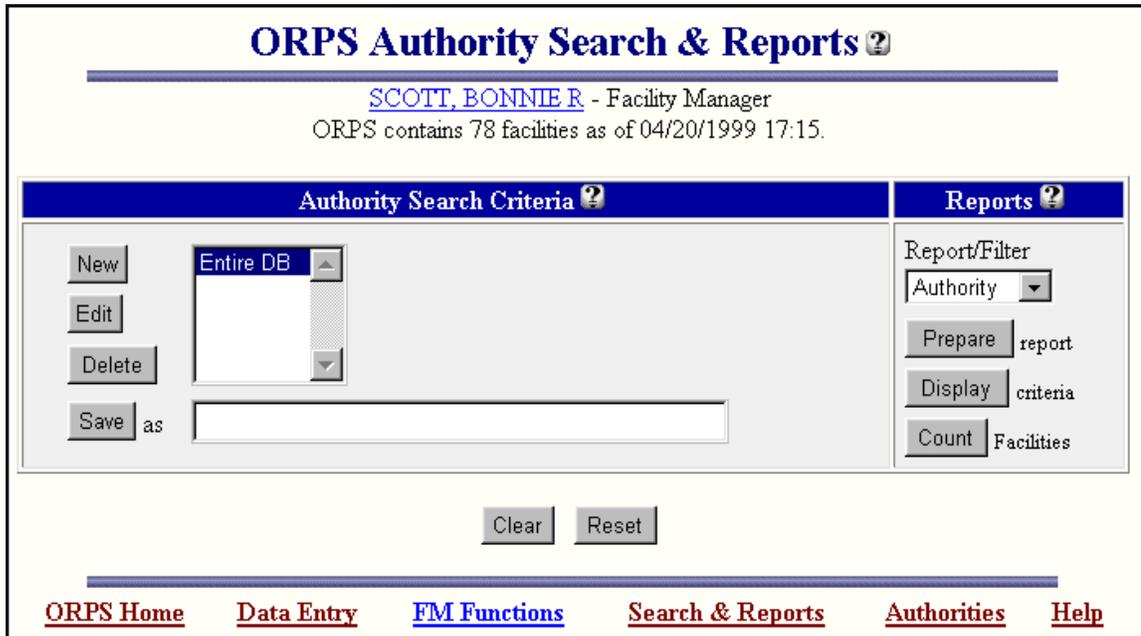
[SCOTT, BONNIE R](#) - Facility Manager  
ORPS contains 1161 OR(s) with 1551 occurrences(s) as of 04/20/1999 17:15.

OR Search Criteria			Reports
<input type="button" value="New"/>	Entire DB		Report/Filter OR List
<input type="button" value="Edit"/>	1999 Transportation-Off Normal		Order by <input checked="" type="radio"/> OR# <input type="radio"/> Date
<input type="button" value="Delete"/>	1999 Unusual Occurrences		<input checked="" type="radio"/> Asc <input type="radio"/> Desc
<input type="button" value="Save as"/>	NF Root Cause Personnel Error		10 items/page
<input type="checkbox"/> Use saved criteria	<input type="checkbox"/> Use saved criteria	<input type="checkbox"/> Use saved criteria	<input type="button" value="Prepare report"/>
<input checked="" type="radio"/> Earliest entry	<input checked="" type="radio"/> Now	<input type="checkbox"/> UCNI	<input type="button" value="Display criteria"/>
<input type="radio"/> Last login	<input type="radio"/> Last login	<input checked="" type="checkbox"/> Cancelled	<input type="button" value="Count ORs"/>
<input type="radio"/> User specified	<input type="radio"/> User specified	<input type="checkbox"/> USEC	
mm/dd/yyyy hh:mm	04/20/1999 17:17		

[ORPS Home](#) [Data Entry](#) [FM Functions](#) [Search & Reports](#) [Authorities](#) [Help](#)

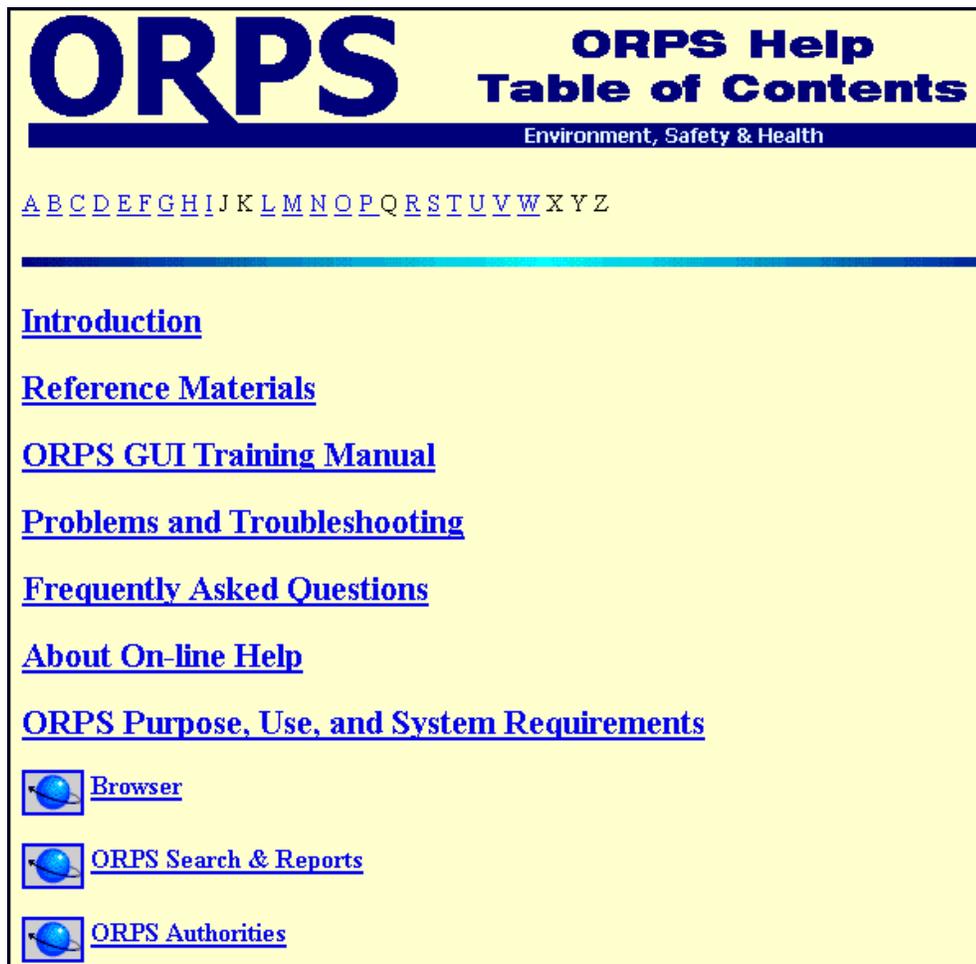
**Figure 41** - The ORPS OR SEARCH & REPORTS page.

When you select the **Authorities** link from the bottom frame of the **ORPS DATA ENTRY SELECTION** page, the **ORPS AUTHORITY SEARCH & REPORTS** page appears (**Figure 41**). Searches and report generation for submittal authority and sign-off authority information are initiated from this page. (The ORPS Authority Search & Reports feature is discussed in detail in the *ORPS GUI Help Features and ORPS Authorities Options* section of the ORPS GUI Reference Manual.)



**Figure 42** - The ORPS AUTHORITY SEARCH & REPORTS page.

When you select the **Help** link from the bottom frame of the **ORPS DATA ENTRY SELECTION** page, the **TABLE OF CONTENTS** page for the help files and resources for the ORPS GUI application (**Figure 42**) appears. 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 the ORPS GUI Reference Manual.



**Figure 43** - The ORPS HELP TABLE OF CONTENTS page (partial).

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## Using On-line Help

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The ORPS Data Entry program contains extensive on-line help information. The on-line help documentation contains a much greater level of detail than can be included in this document; therefore, you are encouraged to refer to the on-line help frame on the Data Entry pages in order to become familiar with the features of the input tool. The on-line help documentation will be continually updated to reflect any new or revised features that are placed into production; this manual will only be updated periodically.

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## Exiting the ORPS GUI Data Entry Program

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Since the ORPS GUI Data Entry program is now an Internet-based application, there is no official “log-off” process. To exit the Data Entry program, you will need to close your browser by selecting **Close** from the browser’s **FILE** menu.



For security reasons, it is important to understand this. Even though you may have hyperlinked or navigated to other Internet sites and your ORPS Data Entry program is no longer visible in your current browser window, you are still connected. The only way to exit is to close your browser.

## Appendix A - Data Entry Field Descriptions

The following instructions apply to the reporting of occurrences into the Occurrence Reporting and Processing System (ORPS). All reports containing classified information or Unclassified Controlled Nuclear Information (UCNI) shall be submitted in hard copy in accordance with established security requirements. An unclassified, nonsensitive version shall be submitted to ORPS for entry into the database.

Fields 1 through 19 and field 25 of the occurrence report are required for the Notification Report. Data shall be entered in 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. The data entry fields for Notification, Update, and Final Reports include the following:

#	Field Title	Field Description
1.	Report Number	The system automatically generates this number once a Notification Report has been transmitted. It is an alphanumeric designation that identifies the DOE Field Office, Area Office (if applicable), DOE contractor or laboratory involved, facility, the calendar year of the occurrence report, and sequential number of the occurrence by facility. Examples are SR--WSRC-MED-1995-0005 and AL-AO-MHSM-PANTEX-1995-0003. Prior to transmitting the Notification Report, a notification temporary occurrence report number occupies this field (e.g., HQ--TRN-FACXXX-1999-TEMP).
2.	Report Type	Required entry for all occurrence reports. The system automatically inserts the Occurrence Report type upon entering the occurrence input form. The system automatically inserts the date and time (Mountain Time Zone) once a Notification Report is transmitted.  (NOTE: An Update or Final Report cannot be created if a Notification Report has not been transmitted.)

#	Field Title	Field Description
	Facility	Required entry for all occurrence reports. From the drop-down list on the <b>ORPS DATA ENTRY SELECTION</b> page, select the name of the facility where the occurrence took place before selecting the <b>NEW</b> command button. Information from this field is used by the system to automatically fill in the facility name.
	Facility Function	<p>Required entry for all reports. From the drop-down list, select the code for the type of facility or the activity/function performed by the facility. Only one function can be selected. Possible entries are listed below:</p> <ul style="list-style-type: none"> <li>01 Plutonium Processing and Handling</li> <li>02 Special Nuclear Materials (SNM) Storage</li> <li>03 Explosive</li> <li>04 Uranium Enrichment</li> <li>05 Uranium Conversion/Processing and Handling</li> <li>06 Irradiated Fissile Material Storage</li> <li>07 Reprocessing</li> <li>08 Nuclear Waste Operations/Disposal</li> <li>09 Tritium Activities</li> <li>10 Fusion Activities</li> <li>11 Environmental Restoration Operations</li> <li>12 Category "A" Reactors</li> <li>13 Category "B" Reactors</li> <li>14 Solar Activities</li> <li>15 Fossil and Petroleum Reserves</li> <li>16 Accelerators</li> <li>99 Balance-of-Plant (e.g., offices, machine shops, site/outside utilities, safeguards/security, and transportation)</li> </ul>
	Site Name	Required entry for all reports. The name of the laboratory, site, or organization is automatically provided by the computer from the Facility name field.

#	Field Title	Field Description
	Manager/Designee, Manager Phone, & Job Title	Required entry for all reports. From the drop-down list, select the name of the responsible Facility Manager or designee who approved the report, either by personally transmitting the electronic report or by signing a hard copy report. By selecting a Facility Manager name from the drop-down list, the title and phone number fields will be filled in automatically, but may be overwritten, if necessary. (NOTE: These fields will be blanked out after transmittal and must be reentered on subsequent reports.)
	Originator/ Transmitter & Originator Title	Required entry for all reports. The name, title, and telephone number of the transmitter (the person who originated the report) will automatically be entered by the computer. This is the person who gathers the information and is most knowledgeable about the event. (NOTE: If there is not a signed, hard copy Final Report on file, the report must be transmitted by the Facility Manager or designee.)
	Authorized Classifier	For facilities where classified operations are conducted and classified information is generated, enter the name of the Authorized Classifier who determined that the report was unclassified and the date of the determination. (NOTE: These fields will be blanked out after transmittal of the report and must be reentered on subsequent reports.)
3.	Occurrence Category	Required entry for all reports. From the drop-down list, select the occurrence category. The choices are as follows:  Off-Normal Unusual Emergency Cancelled
4a.	Number of Occurrences	Required entry for all reports. Enter the number of occurrences included in this report. You can either type in the number or click your mouse on the drop-down list and select a number. The number defaults and will always be one unless the occurrences meet the specific criteria for roll-up reports for Off-Normal Occurrences, as discussed in Section 5.7 of DOE Manual 232.1-1A. If the occurrences meet those criteria, be sure to change this field each time additional occurrences are added.

#	Field Title	Field Description
4b.	Original OR	For roll-up reports with an approved Final Report, enter the occurrence report number for the original occurrence that is in the ORPS host database as an approved Final Report.
5.	Division/Project	Required entry for all reports. Identify the division, project, or contractor organization responsible for the facility at which the occurrence took place.
6.	Secretarial Office	<p>Required entry for all reports. From the drop-down list, select the DOE Secretarial Office to which this facility is operationally responsible. Only one Secretarial Office can be selected. If the facility is operationally responsible to more than one Secretarial Office, enter the Secretarial Office that is most directly involved in the specific work activity during which the occurrence took place. Possible entries are listed below:</p> <p>DP - Defense Programs  EE - Energy Efficiency and Renewable Energy  EH - Environment, Safety and Health  EI - Energy Information Administration  EM - Environmental Management  FE - Fossil Energy  MA - Management and Administration  NE - Nuclear Energy, Science and Technology  NN - Nonproliferation and National Security  NP - New Production Reactor  RW - Civilian Radioactive Waste Management  SC - Science  UE - Uranium Enrichment</p>
7.	System/Building/ Equipment	Required entry for all reports. Identify all systems, equipment, or structural items involved in the occurrence, as applicable. In addition, in the case of component failures or defective parts or materials, provide such information as the manufacturer, model number, and size. The most significant item(s) should be listed here. Additional information can be provided in the Description of Occurrence (field 16).

#	Field Title	Field Description
8.	UCNI?	Required entry for all reports. Click on the <b>YES</b> radio button or the <b>NO</b> radio button to indicate whether the occurrence report contains unclassified controlled nuclear information (UCNI). A reviewing official shall make a final determination that the report contains or does not contain UCNI. Reports containing UCNI shall not be entered into the ORPS database. A nonsensitive version shall be entered into the ORPS database within the required time frames.
9.	Plant Area	Required entry for all reports. Enter the name of the site-specific plant area (e.g., F-Area, M-Area) where the occurrence took place.
10	Discovered Date/Time	Required entry for all reports. Enter the date and time when the facility staff discovered the event or condition being reported. The date format should be: <b>MM/DD/YYYY</b> and the time format should be: <b>HHMM</b> (using a 24-hour clock).
11	Categorized Date/Time	Required entry for all reports. Enter the date and time the Facility Manager determined that the event or condition constituted a reportable occurrence and determined its category (Emergency, Unusual, or Off-Normal). The date format should be: <b>MM/DD/YYYY</b> and the time format should be: <b>HHMM</b> (using a 24-hour clock).
12	DOE HQ EOC Notification	Required entry for all reports with a code <b>E</b> (Emergency) or <b>U</b> (Unusual) entered in the Category field. Enter the name and organization of the DOE HQ EOC Coordinator and the date and time when this person was notified. The date format should be: <b>MM/DD/YYYY</b> and the time format should be: <b>HHMM</b> (using a 24-hour clock).  (NOTE: This field is not required for occurrences that are categorized as Off-Normal.)
13	Other Notifications	Optional entry for all reports. Enter the name(s), organization(s), notification date(s), and notification time(s) of state and local officials or other agencies. The date format should be: <b>MM/DD/YYYY</b> and the time format should be: <b>HHMM</b> (using a 24-hour clock). Space is provided for up to five persons. If additional notifications are required, you can enter the information in the Immediate Actions Taken and Results field (field 19).

#	Field Title	Field Description
14 .	Subject/Title of Occurrence	Required entry for all reports. Enter a brief title or description (140 characters or less) of the nature, cause, and result of the occurrence. If the occurrence involved an Unreviewed Safety Question, the acronym "USQ" shall be placed at the end of the Subject or Title of Occurrence. If the report is a roll-up report, include "roll-up" in the title.

#	Field Title	Field Description
15	Nature of Occurrence	<p>Required entry for all reports. Enter up to three nature of occurrence codes. To do this, make your selection(s) from the list in the selection box. The possible entries are listed below:</p> <p><u>Group 1. Facility Condition</u></p> <p>01A Nuclear Criticality Safety  01B Fires/Explosions  01C Safety Status Degradation  01D Loss of Control of Radioactive Material/Spread Contamination  01E Safety Structure/System/Component Degradation  01F Violation/Inadequate Procedures  01G Oversight Activities  01H Operations</p> <p><u>Group 2. Environmental</u></p> <p>02A Radionuclide Releases  02B Release of Hazardous Substances/Regulated Pollutants/Oil  02C Hazardous Material Contamination  02D Ecological Resources  02E Environmental Agreement/Compliance Activities</p> <p><u>Group 3. Personnel Safety</u></p> <p>03A Occupational Illness/Injuries  03B Vehicular Incidents  03C Safety Concerns</p> <p><u>Group 4. Personnel Radiological Protection</u></p> <p>04A Radiation Exposure  04B Personnel Contamination</p> <p><u>Group 5. Safeguards and Security</u></p> <p>05A Criminal Acts  05B Unaccounted for Classified Matter/Compromised Information  05C Substance Abuse  05D Intelligence Activities  05E Physical Security System Computer  05F Unplanned/Unscheduled Outage of Site Security System  05G Demonstrations/Protests  05H Firearms  05I Other Security Concerns  05J Material Control and Accountability</p> <p><u>Group 6. Transportation</u></p>

#	Field Title	Field Description
		<p><u>Group 7. Value Basis Reporting</u>  07A Cost Based Occurrences  07B Defective Item, Material, or Service</p> <p><u>Group 8. Facility Status</u>  08A Facility/Process/Activity Unscheduled Shutdown  08B Existing Facility/Process/Activity Shutdown Extension  08C New Facility/Process/Activity Start-Up Delay</p> <p><u>Group 9. Nuclear Explosive Safety</u></p> <p><u>Group 10. Cross-Category Items</u>  10A Collectively Significant Related Occurrences  10B Near Miss Occurrences  10C Potential Concerns/Issues</p>
16	Description of Occurrence	<p>Required entry for all reports. Enter a clear, concise, objective description of what happened and what was observed. To the maximum extent possible, a sequence of events should be provided. The type of information to be provided in the description should include at least the following:</p> <ul style="list-style-type: none"> <li>• The method of discovery.</li> <li>• Any component failures and the failure modes.</li> <li>• Any personnel errors involved, including the type and result of the error.</li> <li>• Any procedure problem encountered.</li> <li>• The response of any automatic or manual safety systems and the signals which initiated and terminated their operation.</li> <li>• The duration of any failures.</li> <li>• Operator actions that affected the course of events.</li> <li>• The loss of any safety equipment.</li> <li>• For contamination events, the information described in Sections 10.3.1.a and 10.3.2.a of DOE M 232.1-1A.</li> </ul>
17	Operating Conditions	<p>Required entry for all reports. Enter text describing the operational status of the facility or equipment at the time of the occurrence including, for example, pertinent temperatures, pressures, or other parameters necessary for evaluation of the occurrence and its consequences. If this information is not applicable, enter "<b>Does not apply.</b>"</p>

#	Field Title	Field Description
18	Activity Category	<p>Required entry for all reports. From the drop-down list, select the activity category code that best describes the ongoing activity at the time of the occurrence. The possibilities are as follows:</p> <ul style="list-style-type: none"> <li>01 Construction</li> <li>02 Maintenance</li> <li>03 Normal Operations</li> <li>04 Start-up</li> <li>05 Shutdown</li> <li>06 Facility/System/Equipment Testing</li> <li>07 Training</li> <li>08 Transportation</li> <li>09 Emergency Response</li> <li>10 Inspection/Monitoring</li> <li>11 Facility Decontamination/Decommissioning</li> </ul>
19	Immediate Actions Taken and Results	<p>Required entry for all reports. Describe the immediate or remedial actions taken to return the facility, system, or equipment item to service; to correct or alleviate the anomalous condition; and to record the results of those actions. These may include temporary measures to keep the facility in a safe standby condition or to permit continued operation of the facility without compromising safety until a more thorough investigation or permanent solution can be effected.</p>
20	Direct Cause	<p>Required entry for Final Reports. Enter the cause that directly resulted in the occurrence. To do this, make your selection from the drop-down list. One direct cause is required for Final Reports. (See <i>Appendix C</i> for a complete list of cause codes.)</p>
21	Contributing Causes	<p>Enter the cause(s) that contributed to the occurrence but, by itself, would not have caused the occurrence. To do this, make your selection from the list in the selection box. Up to three contributing causes are allowed, but are optional. (See <i>Appendix C</i> for a complete list of cause codes.)</p>

#	Field Title	Field Description
22	Root Cause	<p>Required entry for Final and roll-up reports. Enter the cause that, if corrected, would prevent recurrence of this and similar occurrences. To do this, make your selection from the drop-down list. One root cause is required for each Final Report. Root cause is also required for any roll-up report, including Notification and Update Reports. (See <i>Appendix C</i> for a complete list of cause codes.)</p> <p>(NOTE: The identified root cause may be applicable to more than the occurrence being reported; it can have generic implications for a broad range of possible occurrences. Corrective actions should address these possible occurrences as well.)</p>
23	Description of Cause	<p>Required entry for Final Reports. Discuss the cause of the occurrence to include root, direct, and contributing cause(s) and the corrective action(s) identified. Do not repeat a description of the occurrence, but discuss the results of the causal analysis. Include sufficient details concerning the corrective action(s) to demonstrate that the identified actions will adequately address the cause(s) of the occurrence.</p>
24	Evaluation by Manager	<p>Required entry for all Update and Final Reports. Required entry for Notification Reports if both responses are “Yes” to Item 25, is “<i>Further Evaluation Required?</i>” and is the evaluation required “<i>Before Further Operation?</i>” Enter the Facility Manager’s evaluation of the occurrence and its effect (or possible effect) on the plant, system, program, or project.</p>

#	Field Title	Field Description
25	Further Evaluation Required?	<p>Required entry for all reports. Check <b>YES</b> or <b>NO</b> to indicate whether further evaluation is required. The <b>FURTHER EVALUATION REQUIRED</b> field must be <b>No</b> on all Final Reports.</p> <p>If further evaluation is required, then <b>Yes</b> or <b>No</b> must be checked in the <b>BEFORE FURTHER OPERATION</b> field.</p> <p>If further evaluation is required before further operation (i.e., both <b>YES</b> radio buttons are checked), then you must also provide who will take the action and the date when the action will be taken in the <b>BY WHOM?</b> and <b>BY WHEN?</b> fields.</p> <p>(NOTE: Evaluation by Manager (field 24) must also be completed if both <b>YES</b> radio buttons are selected.)</p>
26	Corrective Actions	<p>Required entry for Final Reports. Click on the <b>ADD Corrective Action</b> button to display the <b>ADD NEW CORRECTIVE ACTION</b> input window. Enter all actions identified to correct the problem that, when completed, will prevent recurrence. In addition, provide actual or target completion dates for all of the corrective actions listed. (For further instruction on corrective actions, refer to the <i>Entering Corrective Actions</i> section of this document.)</p>
27	Impact on Environment/Safety/Health	<p>Required entry for Final Reports. Provide an assessment of the environment, safety, and health consequences and implications of the occurrence. Describe the impact of the occurrence on the environment, safety, and health of workers, the public, and onsite/offsite environs. This should include amounts and types of hazardous or radioactive materials released, levels and types of contamination, exposure levels of workers and the public, and known or projected environmental, safety, and health impacts.</p>
28	Programmatic Impact	<p>Required entry for Final Reports. Describe the impact of the occurrence on the program or project affected. This could be a loss of data, loss of plant availability for a specified period, additional costs, schedule delays, or other measurable consequences of the occurrence.</p>

#	Field Title	Field Description
29 .	Impact on Codes and Standards	Required entry for Final Reports. If the occurrence affects the requirements of national codes and standards, program standards, or DOE Orders, a statement regarding the adequacy of the codes or standards should be provided, along with any recommended changes.
30 .	Lessons Learned	Required entry for Final Reports. Include any lessons learned from the occurrence that could be of importance to other facility operators or that should be addressed in personnel training or facility procedures.
31 .	Similar Report Numbers	Required entry for Final Reports. List any similar occurrences (by report number) of which you are aware for this or other facilities. The purpose of this item is to identify, if recognized, occurrences that might suggest a generic problem (i.e., cause) that may result in single or common lessons learned.
32 .	User Field #1	This optional field can be used by the Facility Manager to store facility-specific information (e.g., a cross reference to performance indicator data).
33 .	User Field #2	This optional field can be used by the Facility Manager to store facility-specific information (e.g., a cross reference to a site-specific number or name).

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## Appendix B - Validation of Data

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The ORPS Data Entry program has a number of built-in features designed to aid the user in entering complete and valid data. Through the use of logic checks, help and error messages, and limited field access, the potential for invalid input on the part of the user has been minimized. The following is a list of the data validation features built into the ORPS Data Entry program:

- Report type
  - New report can only be a Notification Report
  - Roll-up reports must be final after 90 days from categorization
- Facility
  - Can only be entered on the Notification Report
  - Entries can only be selected from the list for which the user has authority
- Facility Function
  - Allows entries from list of facility functions only
- Facility Manager/Designee Name
  - No validation check on the entry
  - Must be reentered each time
- Facility Manager/Designee Phone
  - Allows numeric entries only
  - Must be reentered each time
- Facility Manager/Designee Title
  - No validation check on the entry
  - Must be reentered each time
- Authorized Classifier Name
  - No validation check on the entry
  - Must be reentered each time
- Authorized Classifier Date
  - Must be  $\leq$  Current Date
  - Must be  $\geq$  Discovered Date
  - Must be reentered each time

- Occurrence Category
  - Allows entries from list of categories only
  - Must be Off-Normal for roll-up reports
  
- Category
  - Allows entries from list of categories only
  - Must be Off-Normal for roll-up reports
  - Cancelled only available for Final Reports
  
- Number of Occurrences
  - Must be between 1 and 30
  
- Original OR Number
  - Must be OR number format
  
- Division or Project
  - No validation check on the entry
  
- Secretarial Office
  - Allows entries from list of program offices only
  
- System, Building, or Equipment
  - No validation check on the entry
  
- Plant Area
  - No validation check on the entry
  
- Unclassified Controlled Nuclear Information
  - Must be No prior to report transmittal
  
- Discovered Date
  - Must be  $\leq$  Current Date
  - Must be  $\leq$  Categorized Date
  - Must be  $\leq$  DOE Notification Date (if it exists)
  - Must be  $\leq$  Other Notification Date (if it exists)
  - Must be  $\leq$  FER Date (if it exists)
  - Must be  $\leq$  AC Date (if it exists)
  - Must be a valid date

- Discovered Time
  - Must be <= Current Time (if Discovered Date = Current Date)
  - Must be <= Categorized Time (if Discovered Date = Categorized Date)
  - Must be <= DOE Notification Time (if Discovered Date = DOE Notification Date)
  - Must be <= Other Notification Time (if Discovered Date = Other Notification Date)
  - Must be a valid time
  
- Categorized Date
  - Must be <= Current Date
  - Must be >= Discovered Date
  - Must be <= Other Notification Date (if it exists)
  - Must be <= FER Date (if it exists)
  - Must be <= AC Date (if it exists)
  - Must be a valid date
  
- Categorized Time
  - Must be <= Current Time (if Categorized Date = Current Date)
  - Must be >= Discovered Time (if Categorized Date = Discovered Date)
  - Must be <= DOE Notification Time (if Categorized Date = DOE Notification Date)
  - Must be a valid time
  
- DOE HQ EOC Notification Date
  - Must be <= Current Date
  - Must be >= Discovered Date
  - Must be a valid date
  
- DOE HQ EOC Notification Time
  - Must be <= Current Time (if DOE Notification Date = Current Date)
  - Must be >= Discovered Time (if DOE Notification Date = Discovered Date)
  - Must be a valid time
  
- DOE HQ Person Notified
  - No validation checks on entry
  
- DOE HQ Organization Notified
  - No validation checks on entry

- Other Notification Date
  - Must be  $\leq$  Current Date
  - Must be  $\geq$  Discovered Date
  - Must be a valid date
  
- Other Notification Time
  - Must be  $\leq$  Current Time (if Other Notification Date = Current Date)
  - Must be  $\geq$  Discovered Date (if Other Notification Date = Discovered Date)
  - Must be a valid time
  
- Other Person Notified
  - No validation checks on entry
  
- Other Organization Notified
  - No validation checks on entry
  
- Subject or Title of Occurrence
  - No validation checks on entry
  
- Nature of Occurrence
  - Allows entries from the Nature of Occurrence List only
  - No duplicate entries allowed
  
- Description of Occurrence
  - No validation checks on entry
  
- Operating Conditions at Time of Occurrence
  - No validation checks on entry
  
- Activity Category
  - Allows entries from the Activity Category List only
  
- Immediate Actions
  - No validation checks on entry
  
- Direct Cause
  - Allows entry from the list of causes only
  
- Contributing Causes
  - Allows entry from the list of causes only
  - No duplicate entries allowed

- Root Cause
  - Allows entry from the list of causes only
- Description of Cause
  - No validation checks on entry
- Evaluation by Facility Manager
  - No validation checks on entry
- Further Evaluation Required
  - Allow only Y or N entry
  - Must be N on final
- Evaluation Required before Further Operation
  - Allow only Y or N entry
  - Must be N or empty on final
- Further Evaluation Required by Whom
  - No validation checks on entry
- Further Evaluation Required by When
  - Must be  $\geq$  Current Date
  - Must be a valid date
- Corrective Action Target Date
  - Must be a valid date
  - Must be  $\geq$  Discovered Date
- Corrective Action Completion Date
  - Must be a valid date
  - Must be  $\leq$  Current Date
  - Must be  $\geq$  Discovered Date
- Impact on Environment, Safety, and Health
  - No validation checks on entry
- Programmatic Impact
  - No validation checks on entry
- Impact Upon Codes and Standards
  - No validation checks on entry

- Lessons Learned
  - No validation checks on entry
- Similar Occurrence Report Numbers
  - No validation checks on entry
- User Field #1
  - No validation checks on entry
- User Field #2
  - No validation checks on entry

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## Appendix C - Cause Codes

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The direct, contributing, and root causes of reportable occurrences are classified into eight broad categories and various subcategories. The eight categories of causes and their associated subcategories are as follows:

**1 - EQUIPMENT/MATERIAL PROBLEM.** An event or condition resulting from the failure, malfunction, or deterioration of equipment or parts, including instruments or material.

**1A - Defective or Failed Part** — A part/instrument that lacks something essential to perform its intended function.

**1B - Defective or Failed Material** — A material defect or failure.

**1C - Defective Weld, Braze, or Soldered Joint** — A specific weld/joint defect or failure.

**1D - Error by Manufacturer in Shipping or Marking** — An error by the manufacturer or supplier in the shipping or marking of equipment.

**1E - Electrical or Instrument Noise** — An unwanted signal or disturbance that interferes with the operation of equipment.

**1F - Contaminant** — Failure or degradation due to radiation damage or foreign material such as dirt, crud, or impurities.

**1G - End of Life Failure** — A failure where the equipment or material is run to failure and has reached its end of design life.

**2 - PROCEDURE PROBLEM.** An event or condition that can be traced to the lack of a procedure, an error in a procedure, or a procedural deficiency or inadequacy.

**2A - Defective or Inadequate Procedure** — A procedure that either contains an error or lacks something essential to the successful performance of the activity.

**2B - Lack of Procedure** — No written procedure was in place to perform the activity.

**3 - PERSONNEL ERROR.** An event or condition due to an error, mistake, or oversight.

**3A - Inattention to Detail** — Inadequate attention to the specific details of the task.

**3B - Procedure Not Used or Used Incorrectly** — The failure to use or the inappropriate use of written instructions, procedures, or other documentation.

**3C - Communication Problem** — Inadequate presentation or exchange of information.

**3D - Other Human Error** — Human error other than those described above.

**4 - DESIGN PROBLEM.** An event or condition that can be traced to a defect in design or other factors related to configuration, engineering, layout, tolerances, calculations, etc.

**4A - Inadequate Work Environment** — Inadequate design of equipment used to communicate information from the facility to a person (e.g., displays, labels) as well as inadequate work environment, such as inadequate lighting, working space, or other human factor considerations.

**4B - Inadequate or Defective Design** — A design in which something essential was lacking (defective) or when a detail was included but was not adequate for the requirement (inadequate).

**4C - Error in Equipment or Material Selection** — A mistake in the equipment or material selection only, not to include a procurement error (see 3D - Personnel Error - Other Human Error) or a specification error (see 4D - Design Problem - Drawing, Specification, or Data Errors).

**4D - Drawing, Specification, or Data Errors** — An error in the calculation, information, or specification of a design.

**5 - TRAINING DEFICIENCY.** An event or condition that can be traced to a lack of training or insufficient training to enable a person to perform a desired task adequately.

**5A - No Training Provided** — A lack of appropriate training.

**5B - Insufficient Practice or Hands-On Experience** — An inadequate amount of preparation before performing the activity.

**5C - Inadequate Content** — The knowledge and skills required to perform the task or job were not identified.

**5D - Insufficient Refresher Training** — The frequency of refresher training was not sufficient to maintain the required knowledge and skills.

**5E - Inadequate Presentation or Materials** — The training presentation or materials were insufficient to provide adequate instruction.

**6 - MANAGEMENT PROBLEM.** An event or condition that can be directly traced to managerial actions or methods.

**6A - Inadequate Administrative Control** — A deficiency in the controls in place to administer and direct activities.

**6B - Work Organization/Planning Deficiency** — A deficiency in the planning, scoping, assignment, or scheduling of work.

**6C - Inadequate Supervision** — Inadequate techniques used to direct workers in the accomplishment of tasks.

**6D - Improper Resource Allocation** — Improper personnel or material allocation resulting in the inability to successfully perform assigned tasks.

**6E - Policy Not Adequately Defined, Disseminated, or Enforced** — Inadequate description, distribution, or enforcement of policies and expectations.

**6F - Other Management Problem** — A management problem other than those defined above.

**7 - EXTERNAL PHENOMENA.** An event or condition caused by factors that are not under the control of the reporting organization or the suppliers of the failed equipment or service.

**7A - Weather or Ambient Condition** — Unusual weather or ambient conditions, including hurricanes, tornadoes, flooding, earthquake, and lightning.

**7B - Power Failure or Transient** — Special cases of power loss that are attributable to outside supplied power.

**7C - External Fire or Explosion** — An external fire, explosion, or implosion.

**7D - Theft, Tampering, Sabotage, or Vandalism** — Theft, tampering, sabotage, or vandalism that could not have been prevented by the reporting organization.

**8 - RADIOLOGICAL/HAZARDOUS MATERIAL PROBLEMS.** An event related to radiological or hazardous material contamination that cannot be attributed to any of the other causes.

**8A - Legacy Contamination** — Radiological or hazardous material contamination attributed to past practices.

**8B - Source Unknown** — Radiological or hazardous material contamination where the source cannot be reasonably determined.

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## Exercise Solutions

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### Exercise 1

1. Make up a fictitious occurrence, and input a new Notification Report. Save, validate, and transmit the Notification Report.
  - a. From the **ORPS DATA ENTRY SELECTION** page, select a facility from your selection list and click the **NEW** command button to go to the input form.
  - b. Complete fields 1 through 19, and field 25, using fictitious data.
  - c. Click on the **VALIDATE NOTIFICATION** button to validate the report.
  - d. If all required fields are “complete,” click on the **SUBMIT NOTIFICATION** button to transmit the report. If there are any “incomplete” fields, add the necessary information to complete the report. **VALIDATE** again and **TRANSMIT**.

## Exercise 2

1. Create a new Notification Report with the following information. Save it, validate the data, and transmit it.

**Name of Facility:** Choose a facility from your selection list  
**Facility Function:** Select a facility function from the drop-down list  
**Manager/Designee:** Robert Taylor                      **Phone:** 505-665-1234  
**Job Title:** Facility Manager  
**Occurrence Category:** Off-Normal  
**Number of Occurrences:** 1  
**Division/Project:** Accelerator Operations  
**Secretarial Office:** Select a Secretarial Office from the drop-down list  
**Sys/Bldg/Equip:** Cooling Tower  
**UCNI:** No  
**Plant Area:** Test Area 22  
**Discovered Date/Time:** Yesterday's Date at 0825  
**Categorized Date/Time:** Yesterday's Date at 0915  
**Other Notifications:** Yesterday's Date at 1245 - William Malone - DOE/HQ  
Yesterday's Date at 1315 - Dorothy Fleming - NMED  
**Subject/Title:** Release of Cooling Tower Water  
**Nature of Occurrence:** 02B - Release of Hazardous Substances/Regulated  
Pollutants/Oil  
**Description:** There was a release of an estimated 500 gallons of cooling tower water to the ground. The release was caused by the manual drain pipe on the cooling tower which had frozen and cracked. Further investigation revealed that the freezing of the drain pipe was caused by failure of heat tape which had been used for freeze protection.

**Operating Conditions at**  
**Time of Occurrence:** Below freezing temperatures  
**Activity Category:** 03 - Normal Operations  
**Immediate Actions:** The water was drained from the tower in order to repair the pipe. The drain pipe was replaced, heat tape rated for commercial use was installed, and cooling tower was returned to service.  
**Direct Cause:** 1A - Defective or Failed Part  
**Is Further Evaluation Required?:** No

## **Exercise 2**

*(Continued)*

- a. From the **ORPS DATA ENTRY SELECTION** page, select a facility from your selection list and click the **NEW** command button to go to the input form.
- b. Complete the fields using the suggested data in the exercise.
- c. Click on the **VALIDATE NOTIFICATION** button to validate the report.
- d. If all required fields are “complete,” click on the **SUBMIT NOTIFICATION** button to transmit the report. If there are any “incomplete” fields, add the necessary information to complete the report. **VALIDATE** again and **TRANSMIT**.

### Exercise 3

1. Modify the report entitled: **Petroleum Contamination Discovered On Employees Hand** (HQ--TRN-FACXXX-1999-0024).
  - a. From the **ORPS DATA ENTRY SELECTION** page, click on the **TITLE** command button to view submitted reports.
  - b. From the list of submitted reports click the check box next to the report named **“Petroleum Contamination Discovered On Employees Hand.”** Click the **COPY** command button to return the report to your workspace.
  - c. Select the report from the **EDIT REPORT** drop down list.
  - d. Click the **EDIT** command button to open the report in the edit mode.
2. Add the information and corrective actions as stated in the exercise.
  - a. Add the information into the **DIRECT CAUSE**, **CONTRIBUTING CAUSES**, and **ROOT CAUSE** fields as suggested in the exercise by making your selections from the selection lists.
  - b. Enter the suggested text into the **DESCRIPTION** and **EVALUATION** edit boxes.
  - c. Add the corrective action information suggested in the exercise using the following procedure for each one:
    - 1) Click your mouse on the **ADD CORRECTIVE ACTION** button.
    - 2) In the **ADD NEW CORRECTIVE ACTION** input window, enter the target date and the narrative as suggested.
    - 3) Click on the **ADD** command button to save each corrective action and return to the input form.
3. Submit the occurrence report.
  - a. Click on the **VALIDATE UPDATE** button to validate the report.
  - b. If all required fields are “complete,” click on the **SUBMIT UPDATE** button to transmit the report.

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