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Appendix B. Definitions B-1

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Organization FSP/Plutonium
Finishing Plant

TITLE:

Approved by

OCCURRENCE REPORTING

R. D. Redekopp,
Director/Manager
Plutonium Finishing Plant

1.0 PURPOSE

To ensure that Department of Energy personnel and PFP management are kept fully informed on a timely basis of events that could adversely affect; national security or the safeguards and security interests of DOE; the health and safety of the public or the workers; the environment; the intended purpose of DOE facilities, or; the credibility of the DOE, as required by DOE O 232.1, *Occurrence Reporting and Processing of Operations Information*, and its associated manual, DOE M 232.1-1.

2.0 SCOPE

This procedure is for use by all PFP organizations. If a facility related event occurs in PFP involving a subcontractor, the PFP management will ensure that a single occurrence report is prepared, in cooperation with the subcontractor.

3.0 DEFINITIONS

Refer to Appendix B.

4.0 PROCEDURE

4.1 Reporting Occurrences

4.1.1 Discovery of occurrence

NOTE: The discovery time is the time when facility personnel identify the event or condition. The BED has 2 hours from the time of discovery to categorize the occurrence.

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Contact Personnel for the Hanford Site." If this list is not available, call the Patrol Operations Center (POC) on **373-3800**

- Have the Spill/Release Point-of-Contact determine if the hazardous substance spill is reportable to offsite regulators.

- IF the hazardous substance spill is reportable to offsite regulators,

THEN direct the Spill/Release Point-of-Contact to notify the appropriate offsite regulator(s).

6. IF the occurrence involved property damage, personnel injury, or motor vehicle damage,

THEN GO TO HNF-PRO-077, "Reporting and Investigating Accidents" for additional reporting requirements.

4.1.2 Categorization of occurrence

- BED 1. As soon as possible, and ALWAYS WITHIN 2 HOURS OF DISCOVERING THE EVENT OR CONDITION, categorize the occurrence.

Use Appendix A, "Occurrence Categories and Criteria" and WHC-SD-CP-TI-108, "PFP Safety Equipment List", for categorizing occurrences. Up to three may be selected.

IF the occurrence category is not clear,

THEN categorize the occurrence at the higher level being considered.

4.1.3 Making initial oral occurrence notifications

NOTE: IF the occurrence involves classified or unclassified controlled nuclear information (UCNI), THEN make oral notifications over secure lines. Do not transmit classified information or UCNI without proper review (orally or in writing).

NOTE: IF the categorization criteria selected is followed by the letters "USQ", immediately notify Engineering to perform a USQ screening.

- BED 1. IF categorized as an *Emergency Occurrence*,
THEN GO TO DOE 0223, *Emergency Plan Implementing Procedures* for information and the emergency action levels (EALs) used for classifying an emergency.

NOTE: In addition to the requirements listed below, the BED should always notify the following personnel (in the order listed) within 2 hours of categorizing the occurrence: PFP Director, Occurrence Investigator, DOE Facility Representative, and ONC.

2. IF categorized as an *Unusual Occurrence*,

THEN complete the following actions:

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- a. Call the DOE Facility Representative and provide details of the occurrence, categorization, and immediate actions taken. If Option 1 below is used ask the DOE Facility Representative whether they want to be included in the phone call to DOE-HQ.
- b. Call the ONC (**376-2900**) and provide details of the

occurrence, categorization, and immediate actions taken. Advise the ONC of which option listed below will be used to complete notification to the DOE-HQ Emergency Operations Center (HQ-EOC). Choose one of the following options:

OPTION 1: Within two hours of occurrence categorization...

Place a phone call through the ONC to the HQ-EOC. The facility manager or designee must provide as much information as possible from fields 1 thru 19 and field 25 of the Notification Report form.

NOTE: Use the Report Writer's Guide on Hanford Info under Occurrence Reporting Information, when communicating the information.

OPTION 2: Within 90 minutes of occurrence categorization...

Fax a draft Notification Report (generated from a computer using MACRO GEF040) containing as much information as possible from fields 1 thru 19 and field 25 to the ONC and HQ-EOC within 90 minutes of occurrence categorization. Contact the on-call Occurrence Investigator for assistance in completing the Notification Report. The draft report must contain the date/time and name of the RL Facility Representative notified.

NOTE: The draft report can be sent by electronic mail or faxed to the ONC.

BED

3. IF categorized as an *Off-Normal Occurrence*,

THEN notify the RL Facility Representative prior to submitting the Notification Report.

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4. Notify responsible oversight organizations (QA, Safety, Rad Con, etc.) and other applicable facility personnel (cognizant engineers, etc.).

5. Record the following information in the Occurrence/Spill Logbook:

- Description of occurrence and immediate actions taken
- Date and time discovered and categorized
- List all applicable reporting criteria categories
- Date, time, name, and organization of personnel notified; and, Sign the Log.

IF the facts of the event changes following notification to the ONC, then make follow-up oral notifications per 4.1.4.

4.1.4 Making occurrence status change notifications

BED

1. IF any of the following occur,

- The facility safety level further degrades
- Facility conditions worsen (including if conditions require an emergency class be declared--if it was not already)
- A change in category is declared
- The reported facts have changed

THEN immediately make follow-up oral notifications to the Plant Manager, Occurrence Investigator, DOE Facility Representative and ONC. For changes in Emergency classifications or if an Off-Normal Occurrence is upgraded to an Unusual Occurrence, notify the DOE-HQ EOC. Add additional information into the Occurrence/Spill Log.

4.1.5 Preparing and filing the Notification Report

Occurrence Investigators will perform the following:

Detailed instructions for completing the occurrence report form are available on Hanford Information. See the *Report Writer's Guide* under "Occurrence Reporting Information."

1. Complete the Notification Report (fields 1 thru 19 and field 25 of the occurrence report). Complete other

fields with as much information known at the time of reporting.

2. Have an ADC review it before it is transmitted to ORPS if the report potentially contains classified information (plutonium quantities and location, security system deficiencies and vulnerabilities, etc.).

3. As soon as possible, transmit the Notification Report into the ORPS.

NOTE: The Notification Report must be transmitted into ORPS before the close of the next business day (0730 to 1600 hours, excluding weekends and holidays), not to exceed 80 hours after the occurrence is categorized.

4. IF you need to request a change to an occurrence report from the ORPS administrators in Idaho,

OR any changes are made to the occurrence report (i.e., criteria, organization, dates/times) prior to transmittal onto ORPS,

THEN inform the ONC about the requested changes by ccm ail.

4.1.6 Preparing Update Reports and the Final Report

Occurrence Investigators will perform the following:

1. Process the condition as required by HNF-CM-1-4, *Corrective Action Management Manual*.
2. IF there is any significant or new information about the initial occurrence, including the status of the investigation, or there are recurring consequences (i.e., identification of additional component defects),

THEN prepare and submit an Update Report instead of generating a new report.

NOTE: The Update Report is used for reporting significant or new information regarding the *initial* reportable event. For rolling up other *similar* events into a report, the requirements of paragraph 4.1.7 or 4.1.8 of this procedure must be met.

3. IF the occurrence should be recategorized,

THEN prepare and submit an Update Report.

- Submit the report to ORPS before the close of the next business day (0730 to 1600 hours, excluding weekends and holidays), not to exceed 80 hours after recategorizing the occurrence.

NOTE: A justification for the recategorization, including an updated date/time of categorization and categorization/criteria changes must be included in the "Evaluation by Facility Manager" field of the Update Report.

- Notify the RL Facility Representative before submitting the Update Report.

4. WHEN the significance, nature, and extent of the event or condition have been analyzed,

AND the causes of the event or condition, including the root cause, have been assigned,

AND corrective actions have been identified to prevent recurrence,

AND lessons learned have been identified,

THEN, prepare, approve, and submit a Final Report.

NOTE: The ORPS database or ORPS information (external and internal bulletins and lessons learned) should be reviewed regularly to identify good practices and lessons learned from other facilities that can be used at PFP. This information should also be used for trending and analysis to identify and correct any deteriorating conditions.

5. IF a Final Report cannot be submitted within 45 calendar days,

THEN, within 45 calendar days, submit an Update Report. Explain the delay and estimate the date you

will submit the final report in the "Evaluation by Facility Manager" field of the report.

6. IF the RL Facility Representative or the DOE Program Manager rejects the Final Report,

AND the reason for rejection is not obvious,

THEN contact the RL Facility Representative to find out why the report was rejected.

THEN Prepare and submit a revised Final Report within 21 calendar days.

IF you cannot submit a revised Final Report within 21 days after the initial one is rejected,

THEN, within 21 calendar days, prepare and submit an Update Report to explain the delay and provide an estimated completion date for the resubmitted report in the "Evaluation by Facility Manager" field.

7. IF the Final Report is issued with incomplete corrective actions,

THEN update the corrective action status in ORPS (i.e., when corrective actions are completed or require extension of a target date).

4.1.7 Roll-Up Reports for Non-Finalized Occurrence Reports

NOTE: Roll-Up Reports are allowed for off-normal occurrences only.

The BED and Occurrence Investigator must ensure the following conditions are met before submitting a non-finalized Roll-Up Report:

1. A Notification or Update Report has been submitted, but not finalized.
2. The preliminary investigation identifies the new occurrence to be similar and to have the same root cause code.

3. The preliminary investigation identifies the new occurrence to have the same or similar direct and contributing causes as the initial occurrence.
4. The preliminary corrective action(s) for the initial occurrence are expected to correct the same root cause type of failure.
5. Appropriate corrective action(s) have been added to address direct and/or contributing causes identified for each new occurrence added to the report.
6. DOE line management (i.e., the RL Facility Representative and Program Manager), and EH-32 for transportation reports, agree to include the occurrence in a Roll-Up Report. Although the DOE-HQ Program Managers approval is also required, the BED's responsibility is to obtain approval from the Facility Representative and they will contact the Program Manager.
7. The RL Facility Representative agrees to the addition of each new occurrence to the Roll-Up Report.

NOTE: The "Evaluation by Facility Manager" field must include the name of the RL Facility Representative who approves each Roll-Up Report.

8. Notification of each new occurrence is made through the issuance of an Update Report within the time period required for a Notification Report (i.e., before the close of the next business day [0730 to 1600 hours, excluding weekends and holidays], not to exceed 80 hours from categorization).

4.1.8 Roll-Up Reports for Finalized Occurrence Reports

NOTE: Roll-Up Reports are allowed for off-normal occurrences only.

The BED and Occurrence Investigator must ensure the following conditions are met before submitting a finalized Roll-Up Report:

1. A Final Report has been approved by the RL Facility Representative and Program Manager to include the

corrective action(s) and associated schedules for implementation.

2. Similar occurrences with the same root cause and corrective actions occur in the time between the approval of the original occurrence report and completion of the original corrective action(s).
3. DOE line management (i.e., the RL Facility Representative and Program Manager), and EH-32 for transportation reports, agree to include the occurrence in a Roll-Up Report. Although the DOE-HQ Program Managers approval is also required, the BED's responsibility is to obtain approval from the Facility Representative and they will contact the Program Manager.
4. The RL Facility Representative agrees to the addition of each new occurrence to the Roll-Up Report.

NOTE: The "Evaluation by Facility Manager" field must include the name of the RL Facility Representative who approves each Roll-Up Report.

5. Notification of each new occurrence is completed through the issuance of an Update Report in accordance with the time period required for a Notification Report (i.e., before the close of the next business day [0730 to 1600 hours, excluding weekends and holidays], not to exceed 80 hours from categorization).
6. Once the original Final Report corrective action(s) are completed, the Roll-Up Report must be submitted as a Final Report. The original Final Report cannot be used as the basis for another Roll-Up Report. Any subsequent occurrences must be reported as a new occurrence report.

4.1.9 Roll-Up Report instructions

1. A Roll-Up Report may remain open for a period not to exceed 90 calendar days from categorization of the first rolled-up occurrence.
2. The number of occurrences reported in a Roll-Up Report can not exceed 30.

3. Once the 90-day or 30-report limit is reached (if not done sooner), a Final Report must be submitted.
4. Any occurrences in a Roll-Up Report that have causes and/or corrective actions that are different from the preliminary investigation (and don't meet the requirements of sections 4.1.7 or 4.1.8 of this procedure), must be deleted by issuance of an Update Report and a new Notification Report submitted.
5. The "Number of Occurrences" field must be updated as each new occurrence is added and must reflect the total number of occurrences reported. The first occurrence in a Roll-Up Report will be identified as "1."
6. The "Description of Occurrence" and "Immediate Actions Taken and Results" fields must clearly identify and discuss each new occurrence. The "Description of Occurrence" field must include information for the following fields any time it differs from the last Roll-Up Report:
 - a. System, building, or equipment
 - b. Date and time occurrence was discovered
 - c. Date and time occurrence was categorized
 - d. Operating conditions of facility at time of occurrence
 - e. Activity category.
7. For non-finalized AND finalized Roll-Up Reports, the "Subject or Title of Occurrence" field must contain the word "Roll-Up" enclosed in parentheses at the end of the subject/title.
8. *Finalized* Roll-Up Reports must contain the report number of the original approved Final Report that the Roll-Up Report is based on in the "Original Occurrence Report" field.

4.1.10 Other reports, distributions, and reviews

- BED
1. Determine if a USQ screening is required and, if so, contact Engineering to initiate the required review. Ensure the screening is completed within 48 hours of categorizing a reportable occurrence.

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Operations 2. After the Program Manager approves the Final
Report, Assurance ensure all documents directly referenced
in the occurrence report (such as
technical data, related correspondence,
statements of witnesses and employees,
other data) are sent to Central Files
for archiving per paragraph 6.0.

3. Distribute copies of occurrence reports as
required.

4.2 Canceling Occurrence Reports

If a Final Report has not been filed and it becomes clear
that the event was not a reportable occurrence, an open
occurrence report may be canceled.

Occurrence 1. Obtain approval from the RL Facility
Representative and Investigator submit a Final Report.
Indicate Canceled in the
"Occurrence Category" field
of the report. Include an
explanation of why the
previous categorization
criteria does not apply to
the event in the
"Description of Occurrence"
field of the report. Do
not change the original
occurrence description.

4.3 Training

The following occurrence reporting training courses are offered, depending on individual need. These courses provide indoctrination into the philosophy of occurrence reporting and its associated requirements.

1. For staff personnel and managers with responsibility for event notification and categorization, "Introduction to Occurrence Reporting" is required.
2. For staff personnel and managers with responsibility for event notification/categorization and generating occurrence reports, "Introduction to Occurrence Reporting" AND "Occurrence Report Writing" is required.
3. For all general users, facility managers, and occurrence report originators, three hands-on computer courses are recommended to gain proficiency in using the PC ORPS software and becoming familiar with the ORPS database.
4. For personnel leading critiques, conducting investigations, and performing root cause analysis, at least one individual involved in any of these processes is required to be trained.

5.0 REFERENCES

DOE 0223, "Emergency Plan Implementing Procedures.

HNF-CM-1-4, *Corrective Action Management Manual*.

HNF-PRO-077 "Reporting and Investigating Accidents."

HSRCM-1, *Hanford Site Radiological Control Manual*,

Occurrence Report Writers Guide (available on Hanford Information)

HNF-CM-1-5, *Standard Operating Practices*.

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6.0 RECORDS

Occurrence Reports Records Retention Guide

Name (Filing Unit Title or Description)	Record Type	Retention Period	Disposal Authority	Cut-Off and Retirement Instructions
Occurrence report files (including a copy of the report, related correspondence, technical data, statements of witnesses and employees, other relevant information and data).	R	15 years	DRS 1, 1.a.(2)	ONC send copy of each ORPS occurrence report filed to Central Files. Operations Assurance send copies of data to Central Files marked with the occurrence report number.
Corrective Action Management System documents and records related to occurrences (PPG worksheets, root cause analyses, lessons learned evaluations, corrective action records etc.).	---	---	---	Refer to WHC-CM-1-4

R - Record Material; DRS - DOE Records Schedule

All external distribution requirements are satisfied when an occurrence or notification report is transmitted onto the ORPS.

The ONC sends a copy of all Final Reports to Central Files for archiving.

Operations Assurance arranges for distribution of occurrence reports within Pfp.

Appendix A. Occurrence Categories and Criteria

NOTE: The text of the criteria listed has been modified from the order to be specific to PFP and is intended to reflect those events and text applicable to PFP (i.e., text associated with Tech Specs has been removed because PFP does not have any; Group 9 on Nuclear Explosive Safety because PFP does not have nuclear explosive devices; etc.)

GROUP 1 - FACILITY CONDITION		UO	ON
NOTE: For items marked (USQ), immediately notify Engineering to initiate a safety review for a potential Unreviewed Safety Question (USQ).			
A. Nuclear Criticality Safety			
2.a	Violation of the double contingency criticality specifications such that no valid controls are available to prevent a criticality accident. (USQ)	X	
3.a	Any nuclear criticality safety nonconformance that results in a loss of contingency, such that only one valid criticality control remains in place. (USQ)		X
B. Fires/Explosions			
2.a	Any fire or explosion within primary confinement/containment boundaries of a nuclear facility. (Note: This does not include small fires that occur in gloveboxes where the activities performed in the glovebox could result in a fire that has been anticipated with procedures and equipment in place to extinguish the fire.)	X	
3.a	Any fire or explosion not required to be reported as an Unusual Occurrence that activates a fire suppression system (e.g. halon discharge, sprinkler heads activating) or disrupts normal facility operations. (Note: Disruption of normal facility operations would be fires or explosions that required a facility evacuation or causes damage which prevents the continuation of normal operations or processes)		X
3.b	An unplanned fire that takes longer than 10 minutes to extinguish following the arrival of fire protection personnel. (Note: This does not include fires that do not disrupt normal facility operations and are in the initial or beginning stage that can be controlled or extinguished by portable fire extinguishers).		X

GROUP 1 - FACILITY CONDITION		
NOTE: For items marked (USQ), immediately notify Engineering to initiate a safety review for a potential Unreviewed Safety Question (USQ).	UO	ON
C. Safety Status Degradation		
2.a Any violation an approved Operational Safety Requirement. (USQ)	X	
2.b Discovery of an incorrectly derived Operational Safety Requirement. (USQ)	X	
2.c Any operation outside the authorization basis of the facility or process. (USQ)	X	
2.d Any occurrence that would prevent immediate facility or offsite emergency response capabilities.	X	
2.e Determination of an actual Unreviewed Safety Question which reveals a currently existing inadequacy in the approved authorization basis. (Note: This criteria applies when the DOE has determined that an actual USQ exists.)	X	
3.a Discovery of a condition that leads the contractor to limit facility operations, either self-imposed or as a result of the identification of a potential degradation of the authorization bases of a facility or process. This includes the discovery of analytical errors, omissions, or inadequacies that present the potential for an Unreviewed Safety Question and that leads the contractor to limit facility operations. (Note: This includes unplanned entries into Limiting Conditions for Operation Action Statements [reference OSR AC 5.5.3]).		X
3.b Discovery of a potential Unreviewed Safety Question that could affect the present or future operation of the facility. Routine USQ determinations as a result of planned system or operational modifications are not reportable under this criteria. (Note: This criteria applies when the USQ screening/evaluation indicates a potential USQ exists.)		X

GROUP 1 - FACILITY CONDITION		UO	ON
NOTE: For items marked (USQ), immediately notify Engineering to initiate a safety review for a potential Unreviewed Safety Question (USQ).			
D. Loss of Control of Radioactive Material/Spread of Radioactive Contamination			
2.a	Identification of radioactive contamination offsite in excess of 100 times the surface contamination levels specified in DOE 5400.5, Figure IV-1, that has not been previously identified and formally documented. Note: Offsite for PFP purposes is anytime the contamination has left a radiologically controlled area external to the PFP protected area (i.e., 200 West Area). (For Alpha the reporting threshold is >2000 dpm/100 c ² [refer to HNF-IP-718]).	X	
2.b	Loss of accountability ¹ of a sealed or unsealed radioactive source that exceeds 100 times the quantities specified in DOE N 441.1, Radiological Protection for DOE Activities, or State standards/regulations. (For Plutonium 239 this value would be >0.3 microcuries).	X	
2.c	Any fissile material found in systems not designed or expected to accommodate such material. Note: This does not include fissile material previously identified and documented (i.e., fissile material in ventilation ducts).	X	
3.a	Any unplanned spill of liquids in excess of 1 gallon contaminated with radioactive material in concentrations greater than 5 times the Derived Concentration Guide values listed in DOE 5400.5, Figure III-1. (The following are reporting thresholds for PFP: Pu-241 = 5.E-04, Pu-238 = 1.5E-05, Pu-239, 240, + 242 = 1.E-05, and Am-241 = 1.5E-07)		X
3.b	Identification of radioactive contamination outside a radiological area (as defined in the <i>Hanford Site Radiological Control Manual</i> established for contamination control, but within a Controlled Area, in excess of 10 times the total contamination levels in Table 2-2 of the <i>Hanford Site Radiological Control Manual</i> . (For Alpha the reporting threshold is 5,000 dpm/100 c ²)		X
3.c	Identification of radioactive contamination onsite that is not located within a Controlled Area, Fixed Contamination Area, or Soil Contamination Area, and is in excess of two (2) times the total contamination levels in Table 2-2 of the <i>Hanford Site Radiological Control Manual</i> . (For Alpha the reporting threshold is 1000 dpm/100 c ²)		X
3.d	Identification of radioactive contamination offsite in excess of the surface contamination levels specified in DOE 5400.5, Figure IV-1, that has not been previously identified and formally documented. Note: Offsite for PFP purposes is anytime the contamination has left a radiologically controlled area external to the PFP protected area (i.e., 200 West Area). (For Alpha the reporting threshold is between >20 and <2000 dpm/100 c ² [refer to HNF-IP-718]).		X

GROUP 1 - FACILITY CONDITION		UO	ON
NOTE: For items marked (USQ), immediately notify Engineering to initiate a safety review for a potential Unreviewed Safety Question (USQ).			
3.e	Loss of accountability ¹ of a sealed or unsealed radioactive source that exceeds 10 times and is less than or equal to 100 times the quantities specified in DOE N 441.1, Radiological Protection for DOE Activities, or State standards/regulations. (for Plutonium 239 this value would be between >0.03 and <0.3 microcuries)		X
3.f	Loss of accountability ¹ of a sealed or unsealed radioactive source that is less than or equal to 10 times the quantities specified in DOE N 441.1, Radiological Protection for DOE Activities, may be recorded and reported in a Roll-Up Report. (for Plutonium 239 this value would be between >0.003 and <.03 microcuries)		X
Note ¹ : HNF-CM-4-14, Part 1, Section 2.3, paragraph 2.2.3[6] states: "A source is NOT "lost" for reporting purposes until a comprehensive search fails to produce the source within 2 working days."			

GROUP 1 - FACILITY CONDITION		UO	ON
NOTE: For items marked (USQ), immediately notify Engineering to initiate a safety review for a potential Unreviewed Safety Question (USQ).		UO	ON
E. Safety or Program Deficiency (A deficiency such that a structure, system, or component [SSC] vital to safety or program performance does not conform to stated criteria and cannot perform its intended function.)			
2.a	Failure or performance degradation of any Safety Class SSC that prevents satisfactory performance of the design function when it is required to be operable or in operation and results in a significant performance degradation.	X	
3.a	Failure or performance degradation of Safety Class systems that does not result in a significant performance degradation of a facility or process or occurs when the equipment is not required to be operable or in operation.		X
3.b	Events or conditions indicative of failure or performance degradation of systems designed, installed, and operated for the protection of facility or co-located facility workers (e.g., fire protection systems, excluding those in office spaces; radiation monitoring systems such as continuous air monitors; criticality alarm systems; shielding), which prevent satisfactory performance of their design function (e.g., to alarm, control spread of contamination) when the system is required to be operable or in operation.		X
3.c	Failure or performance degradation of any Safety Significant SSC that prevents satisfactory performance of the design function of the facility, process, or equipment installed for worker safety when it is required.		X

GROUP 1 - FACILITY CONDITION		UO	ON
NOTE: For items marked (USQ), immediately notify Engineering to initiate a safety review for a potential Unreviewed Safety Question (USQ).		UO	ON
F. Procedural Violation (Violation of procedures [includes maintenance requirements and system lineups] or inadequate procedures, either of which result in adverse effects on performance, safety, or reliability.)			
2.a	Maintenance performed on Safety Class SSC without meeting the required plant conditions for nonavailability resulting in a significant performance degradation.	X	
2.b	Incorrect maintenance (including calibration) on or unauthorized modifications to Safety Class SSC that was required to be operable or in operation and results in a significant performance degradation. (USQ)	X	
3.a	Any violation resulting in actual equipment damage in excess of \$10,000.		X
3.b	Use of inadequate procedures or deviations from written procedures that result in adverse effects on performance, safety, or reliability.		X
3.c	Incorrect maintenance (including calibration) on or unauthorized modifications to Safety Significant SSC required to be operable or in operation. (USQ)		X

GROUP 1 - FACILITY CONDITION		UO	ON
NOTE: For items marked (USQ), immediately notify Engineering to initiate a safety review for a potential Unreviewed Safety Question (USQ).			
<p>G. Unsatisfactory Surveillance/Inspections and Appraisal Findings</p> <p>NOTE: This section is only to be used when personnel/organizations, outside of PFP, identify any of the conditions listed below. In some cases the category is more severe than others referenced in this procedure because it is considered more serious if personnel other than PFP personnel find these problems when facility staff should have the mechanism to identify these conditions.</p>			
2.a	Any surveillance/inspection reporting unsatisfactory operation, testing, maintenance, or modification of any Safety Class SSC that is required to be operable or in operation.	X	
2.b	Inspection or appraisal findings indicating that Safety Class SSC required to be operational by Technical Safety Requirements (Technical Specifications or Operational Safety Requirements) is not operating within approved limitations specified therein.	X	
3.a	Any surveillance/inspection reporting unsatisfactory operation, testing, maintenance, or modification of any Safety Significant SSC required to be operable or in operation.		X
3.b	Inspection or appraisal findings indicating that Safety Significant SSC that is required to be operational is not operating within approved requirements.		X

GROUP 1 - FACILITY CONDITION		UO	ON
NOTE: For items marked (USQ), immediately notify Engineering to initiate a safety review for a potential Unreviewed Safety Question (USQ).			
H. Operations			
2.a	Actuation of Safety Class SSC or their alarms resulting from an actual unsafe condition. Inadvertent alarms are not required to be reported unless an actuation of a Safety Class SSC occurs and the actuation is considered significant as defined by the approved facility procedures. Actuation of continuous air monitoring systems identified as Safety Class Equipment does not have to be reported if their actuation was found to be as a result of radon-thoron effects on the system, or their actuation is expected as a result of maintenance tasks and other planned operations in the facility where the potential for release of radioactivity is anticipated to occur, and the workers are appropriately protected.	X	
2.b	Loss of incoming alternating current (AC) power, and failure of any backup emergency power system supplying power to Safety Class SSC to operate for any reactor or nonreactor nuclear facility.	X	
2.c	Weather conditions/natural phenomenon causing serious disruption of facility activities. NOTE: This is not intended to include site closures (delays/early releases) unless the weather condition causes significant impact to facility operations.	X	
2.d	Loss of process ventilation system serving a confinement function, which results in the loss of confinement (results in the spread of contamination (i.e., results in the spread of contamination outside of areas posted for radiological purposes). (Note: Notify the Spill/Release Point-of-Contact of this event.)	X	
2.e	Any facility evacuation (excluding office space) in response to an actual occurrence, not including a precautionary evacuation for an event that can be controlled and mitigated by employees or maintenance personnel assigned to the affected facility or activity.	X	
3.a	Any unplanned and unexpected change in a process condition or variable adversely affecting safety, security, environment, or health protection performance sufficient to require termination of a procedure in a reactor or nonreactor facility.		X

GROUP 1 - FACILITY CONDITION		UO	ON
NOTE: For items marked (USQ), immediately notify Engineering to initiate a safety review for a potential Unreviewed Safety Question (USQ).			
3.b	Any unplanned electrical outages or unexpected consequences from a planned outage that seriously disrupt normal operations of a facility and/or may prevent the facility from meeting approved operating goals. NOTE: This excludes minor electrical interruptions to office areas and buildings.		X
3.c	Any unplanned outages of service systems (i.e., cooling water, steam, phones, communication systems, etc.) or unexpected consequences from a planned outage that disrupt normal operations for one week or longer and that adversely affect safety, security, environment or health protection performance. NOTE: This does <i>not</i> include minor electrical interruptions to office areas and buildings.		X
3.d	Loss of any process ventilation system serving a confinement function which does not result in the loss of confinement (this is not intended to include loss of ventilation when back-up ventilation equipment [exhaust turbines] maintain building negative pressure for confinement purposes). (Note: Notify the Spill/Release Point-of-Contact of this event.)		X
3.e	Actuation of Safety Significant SSC or their alarms resulting from an actual unsafe condition. Inadvertent alarms are not required to be reported. Actuation of continuous air monitoring systems identified as Safety Significant equipment does not have to be reported if their actuation was found to be due to radon-thoron effects on the system, or their actuation is expected due to maintenance tasks and other planned operations in the facility where the potential for release of radioactivity is anticipated to occur and the workers are appropriately protected.		X

GROUP 2 - ENVIRONMENTAL		UO	ON
A. Radionuclide Releases			
2.a	Release of a radioactive material that violates environmental requirements in Federal permits, Federal regulations, or DOE standards.	X	
2.b	Any release that is not an Emergency as defined in DOE 5500 series orders but requires immediate reporting (less than 4 hours) to Federal regulatory authorities. Release of a radioactive material that exceeds a federally permitted release by the amount of a Comprehensive Environmental Response, Compensation and Liability Act (CERCLA) Reportable Quantity (RQ) or, where no federally permitted release exists, the release exceeds the reportable quantity or triggers specific action levels for an outside Federal agency.	X	
3.a	Any release of radioactive material to controlled or uncontrolled areas that is not part of a normal monitored release and exceeds 50 percent of a CERCLA RQ specified for such material per 40 CFR 302.		X
3.b	Any controlled release of radioactive material that occurs as a monitored part of normal operations that exceeds what historical data and/or analysis show is expected as a result of normal operations.		X
3.c	Any monitored facility or site boundary where exposure or concentration exceed what historical data and/or analysis show is expected as a result of normal operations.		X
3.d	Any detection of a radionuclide in a sanitary or storm sewer, waste or process stream, or any holding points where such a material is not expected.		X
3.e	Any controlled, uncontrolled, or accidental release not classified as an Unusual Occurrence but will be reported in writing to State/local agencies in a format other than routine periodic reports.		X
NOTE: This does not include routine offsite distribution of Notification Reports.			

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GROUP 2 - ENVIRONMENTAL		UO	ON
B. Release of Hazardous Substances/Regulated Pollutants/Oil			
2.a	Release of a hazardous substance or regulated pollutant that exceeds a CERCLA RQ per 40 CFR 302 and 40 CFR 355 for chemicals and extremely hazardous substances or exceeds a federally permitted release by a RQ.	X	
2.b	Any release that is not an Emergency as defined by DOE 5500 series Orders but requires immediate (less than four hours) reporting to Federal regulatory agencies or triggers specification action levels for an outside Federal agency.	X	
2.c	Any release of 378.5 liters (100 gal.) or more of oil of any kind or in any form, including, but not limited to, petroleum, fuel oil, sludge, oil refuse, and oil mixed with wastes other than dredged spoil.	X	
3.a	Release of a hazardous substance or regulated pollutant to controlled or uncontrolled areas that is not part of a normal, monitored release and exceeds 50 percent of a CERCLA RQ specified for such material per 40 CFR 302.		X
3.b	Any release of greater than 159 liters (42 gal.) of oil of any kind or in any form, including, but not limited to, petroleum, fuel oil, sludge, oil refuse, and oil mixed with wastes other than dredged spoil outside of a permitted containment area.		X

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GROUP 2 - ENVIRONMENTAL		UO	ON
3.c	Any detection of a toxic or hazardous substance in a sanitary or storm sewer, waste or process stream, or any holding points where such a material is not expected to be found considering the current detection method and historical detection method used.		X
3.d	Any controlled, uncontrolled or accidental release not classified as an Unusual Occurrence but will be reported in writing to State/local agencies in a format other than routine periodic reports. NOTE: This does not include routine offsite distribution of Notification Reports.		X
3.e	Any controlled release of hazardous/regulated material that occurs as a monitored part of normal operation but exceeds what historical data and/or analysis shows is expected as a result of normal operations.		X
3.f	Any general environmental monitoring where concentration increases to a level which exceeds what historical data and/or analysis shows is expected as a result of normal operations.		X

GROUP 2 - ENVIRONMENTAL		UO	ON
C. Discovery of Hazardous Material Contamination Due to DOE Operations			
2.a	Discovery of onsite or offsite contamination due to DOE operations that does not represent an immediate threat to the public but exceeds a reportable quantity for such material per 40 CFR 302.	X	
2.b	Any discovery of groundwater contamination as a result of DOE operations that is not part of an existing plume previously identified in either an annual report or in any CERCLA/RCRA activity or report.	X	
3.a	Discovery of on-site contamination as a result of DOE operations that exceeds 50% of a reportable quantity for such material per 40 CFR 302.		X
D. Ecological Resources			
2.a	Any occurrence causing significant impact to any ecological resource for which the DOE is a trustee (i.e. destruction of a critical habitat, damage to a historic/archeological site, damage to wetlands, etc.).	X	

GROUP 2 - ENVIRONMENTAL		UO	ON
<p>E. Agreement/Compliance Activities (Upon receipt of an environmental enforcement action/notice directly from the regulatory agency or RL, refer to Occurrence Reporting Information/Report Writer's Guide in Hanford Information for specific guidance in completing the occurrence report.)</p>			
2.a	<p>Any occurrence under any agreement or compliance area that requires notification of an outside regulatory agency within four hours or less, or triggers any outside regulatory agency action level, or otherwise indicates specific interest/concern from such agencies.</p> <p>NOTE: Does not include notifications made for radionuclide/hazardous material releases that are less than 50 percent of the RQ as specified in 40 CFR 302.</p>	X	
3.a	<p>Any agreement, compliance, remediation or permit-mandated activity for which formal notification of enforcement has been received from the relevant regulatory agency that a site/facility is considered to be in noncompliance with a schedule or requirement (e.g., Notice of Violation, Notice of Deficiency, Notice of Intent to Sue, and other types of enforcement actions).</p> <p>NOTE: Formal notification must be received by WHC in writing.</p>		X
3.b	<p>Any occurrence under any agreement or compliance area that will be reported to outside agencies in a format other than routine periodic reports.</p> <p>NOTE: Does not include routine offsite distribution of Notification Reports.</p>		X

GROUP 3 - PERSONNEL SAFETY		UO	ON
A. Occupational Illness/Injuries			
2.a	Any occurrence resulting from DOE operations resulting in a fatality or terminal injury or illness.	X	
2.b	Any one occurrence resulting in 3 or more lost workday cases as defined by 29 CFR 1904.12.	X	
2.c	Any occurrence requiring in-patient hospitalization of 3 or more personnel or has a high probability of resulting in a permanent disability.	X	
2.d	Personnel exposures to sufficient levels of hazardous substances or hazards such as noise or non-ionizing radiation that require the administration of medical treatment on the same work day as the exposure and are above limits established by the Occupational Safety and Health Administration (refer to 29 CFR 1910, subpart Z) or American Conference of Governmental Industrial Hygienists (ACGIH), whichever is lower.	X	
3.a	Any occupational illness or injury that results in inpatient hospitalization.		X
3.b	Series of occupational illnesses from one event involving three or more people where at least one is a lost work day case.		X
3.c	Repeat or willful personnel exposures to hazardous substances or hazards such as noise or non-ionizing radiation in excess of limits as established by the Occupational Safety and Health Administration (refer to 29 CFR 1910, subpart Z) or American Conference of Governmental Industrial Hygienists (ACGIH), whichever is less.		X
3.d	Two (2) times the limits of personnel exposure in a single event to hazardous substances or hazards such as noise or non-ionizing radiation in excess of limits, as established by the Occupational Safety and Health Administration (refer to 29 CFR 1910, subpart Z) or American Conference of Governmental Industrial Hygienists (ACGIH), whichever is lower.		X

GROUP 3 - PERSONNEL SAFETY		UO	ON
<p>B. Vehicular/Transportation Accident (This section covers vehicular transportation incidents, including DOE or DOE contractor operated aircraft. Group 6 should also be considered in categorization for reporting. Transportation incidents without injury, e.g., those involving hazardous or radioactive materials, must be reported per the requirements of Group 6.)</p>			
2.a	Any vehicular incident resulting in fatality(s), injury(s), or illness classified under Group 3, Section A, Unusual Occurrence requirements.	X	
2.b	Any vehicular incident involving DOE property with a fatality(s) to a person(s) other than DOE personnel or DOE contractor personnel.	X	
3.a	Any vehicular incident with injury(s) involving DOE property resulting in a lost workday case.		X
3.b	Any vehicular incident involving DOE property with injury(s) to a person(s) other than DOE personnel or DOE contractor personnel.		X
<p>C. Safety Concerns</p>			
3.a	Unapproved use of flammable, toxic, explosive, corrosive, or other unsafe or dangerous processes, chemicals, materials, or methods not in accordance with standard operating procedures or work plans.		X
3.b	Any shutdown of a work activity taken as a result of an OSHA violation (e.g., trenching without adequate shoring or working at levels without fall protection, when required).		X

GROUP 4 - PERSONNEL RADIATION PROTECTION		UO	ON
A. Radiation Exposure (Unless specified otherwise, all doses specified in the following requirements are calculated as the total effective dose equivalent, which is the sum of the committed dose equivalent resulting from radionuclides taken into the body [internal exposure] and the dose equivalent due to external exposure.)			
2.a	Determination of a dose that exceeds the limits specified in Table 2-1 of the Hanford Site Radiological Control Manual (HSRCM) (for onsite exposure) or DOE 5400.5, Chapter II, Section 1 (for offsite exposures to a member of the public).	X	
3.a	Any single occupational exposure that exceeds an expected exposure by 100 mrem.		X
3.b	A single unplanned exposure onsite to a minor, student, or member of the public that exceeds 50 mrem.		X
3.c	Determination of a dose that exceeds the limits specified in DOE 5400.5, Chapter II, Section 7, for offsite exposures to a member of the public.		X
B. Personnel Contamination			
2.a	Any single occurrence resulting in the contamination of five or more personnel or clothing (excluding protective clothing) measured in accordance with HSRCM-1, Article 338 (prior to washing or decontamination), at a level exceeding HSRCM-1, Table 2-2 values for total contamination limits. The contamination level shall be based on direct measurement and not averaged over 100 c ⁻² . (For Alpha the reporting threshold is 500 dpm)	X	
2.b	Any occurrence requiring off-site medical assistance for contaminated personnel. NOTE: Includes the use of the Emergency Decontamination Facility (EDF) in Richland.	X	
2.c	Any measurement of personnel or clothing contamination offsite, measured according to HSRCM-1, Article 338 (prior to washing or decontamination), at a level exceeding HSRCM-1, Table 2-2 limits for removable contamination. The contamination level shall be based upon direct measurement--not averaged over 100 c ⁻² . (For Alpha the reporting threshold is 500 dpm) NOTE: Does not include laundry known to be contaminated that is sent offsite for cleaning.	X	

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GROUP 4 - PERSONNEL RADIATION PROTECTION		UO	ON
3.a	Any measurement of personnel or clothing contamination (excluding protective clothing) at a level greater than or equal to five (5) times HSRCM-1, Table 2-2 total contamination limits, measured according to HSRCM-1, Article 338 (prior to washing or decontamination). The contamination level shall be based upon direct measurement and not averaged over 100 c ² . (For Alpha the reporting threshold is greater than or equal to 2500 dpm)		X
NOTE: Does not include laundry known to be contaminated that is sent offsite for cleaning.			
3.b	Any measurement of personnel or clothing contamination (excluding protective clothing) at a level exceeding to but less than five (5) times HSRCM-1, Table 2-2 total contamination limits, measured in accordance with HSRCM-1, Article 338 (prior to washing or decontamination). The contamination level shall be based upon direct measurement and not averaged over 100 c ² . (For Alpha the reporting threshold is greater than 500 dpm but less than 2500 dpm)		X
These occurrences may be recorded and reported in a Roll-Up Report.			

NOTE: Occurrences in this section will require consideration of classification, in addition to careful review for privacy considerations. Do not transmit classified information except through approved communications channels. The lack of detail that may be required in such reports is recognized by DOE management.

GROUP 5 - SAFEGUARDS AND SECURITY		UO	ON
A. Criminal Acts (Initial modifications of events in this section shall follow normal occurrence reporting timelines. Full reporting may be delayed until completion of criminal investigation if the reports would jeopardize the investigation.)			
2.a Occurrences at DOE reactor or nonreactor nuclear facilities regarding: (1) Bomb-related incidents; including location of a suspicious device or a noncredible bomb threat; (2) A noncredible terrorist threat; (3) A noncredible sabotage threat or breach/attempted breach of a secure/classified facility.		X	
2.b Violent assault/battery, murder, or unjustified use of deadly force while on DOE property.		X	
2.c Theft/diversion/intentional destruction of government property valued greater than \$1,000,000.		X	
2.d Racketeering or other organized criminal activity onsite.		X	
3.a Occurrences at DOE facilities other than reactors or nonreactor nuclear facilities regarding: (1) Location of a suspicious device or noncredible bomb threat; (2) Noncredible terrorist threat; (3) Noncredible sabotage threat.			X
3.b Theft/diversion/intentional destruction of government property valued between \$10,000 and \$1,000,000.			X
3.c Onsite felony conspiracies (i.e, blackmail, fraud, embezzlement, extortion, forgery) not involving classified information.			X

GROUP 5 - SAFEGUARDS AND SECURITY		UO	ON
B. Unaccounted-for Classified Matter or Compromised Information			
2.a	Matter classified as Top Secret National Security Information, Top Secret Restricted Data, Secret Restricted Data (Sigmas 1, 2, 11, 12, or 15), Sensitive Compartmented Information, or Special Access Program that has been determined to be unaccounted for upon completion of determination that the classified matter is missing.	X	
2.b	Known compromise or unauthorized disclosure of information classified Top Secret, Secret, or Confidential, including Sensitive Compartmented Information and Special Access Program.	X	
3.a	Matter classified as Secret or Confidential that has been determined to be unaccounted for upon completion of determination that the classified matter is missing.		X
C. Substance Abuse			
3.a	Discovery of the prohibited use, possession, or involvement of illegal drugs or alcohol by personnel within a facility that may affect facility operations. This will include random drug testing only when a positive test is proven and/or verified.		X
3.b	Any reportable occurrence under this procedure at least partially attributable to the use of alcohol or illegal drugs.		X
3.c	A detection of personnel not fit for duty attributable to the use of alcohol or illegal drugs.		X

GROUP 5 - SAFEGUARDS AND SECURITY		UO	ON
D. Intelligence Activities			
2.a	Extortion/blackmail directed at DOE or DOE-contractor personnel with intent of obtaining classified information/systems, detailed information concerning plant processes/configurations, or aiding in sabotage or terrorist acts.	X	
2.b	Espionage, intelligence activities, treason, or subversive activities by or directed at DOE or DOE-contractor personnel.	X	
3.a	When illegal or unauthorized access is sought to classified or sensitive information, technology, or special nuclear materials (SNM).		X
3.b	DOE or DOE-contractor personnel believe that they may be the target of an attempted exploitation by an inimical interest, foreign or domestic.		X
E. Security Computer Equipment/Systems			
2.a	Actual/attempted unauthorized access to classified or controlled data.	X	
2.b	Discovery of a security computer incident (virus, hacker, sniffer, abuse, fraud, etc.) that causes an alteration to security features, disruption of service, or loss of the confidentiality, integrity or availability of information, and results in an estimated \$20,000 or more in damages or the cost of restoring services.	X	
3.a	Discovery of a security computer incident (virus, hacker, sniffer, abuse, fraud, etc.) that causes an alteration to security features, disruption of service, or loss of the confidentiality, integrity or availability of information, and results in an estimated \$10,000 or more in damages or the cost of restoring services.		X

GROUP 5 - SAFEGUARDS AND SECURITY		UO	ON
<p>F. Unplanned/Unscheduled Outage of Site Security System</p> <p>NOTE: The momentary loss of security systems, or failures that do not require the presence of patrol personnel to prevent unauthorized access, are not reportable conditions.</p>			
2.a	Unplanned/unscheduled outage of any site security system, or major component of a site security system, that is not redundant and/or results in a potential vulnerability which would allow unauthorized or undetected access to Protected Areas, Exclusion Areas, Material Access Areas, and Sensitive Compartmented Information Facilities (SCIFs).	X	
3.a	Unplanned/unscheduled outage of any site security system, or major component of a site security system, not encompassed by the Unusual Occurrence category, that is not redundant and not authorized by a facility shutdown plan or a special security plan approved by DOE, that requires the physical presence of the protective force as a compensatory measure to prevent unauthorized access.		X
<p>G. Demonstrations/Protests</p>			
2.a	Disruptive activities impeding vehicular or employees access/egress.	X	
2.b	Attempted or actual trespass.	X	
2.c	Malevolent activities causing property damage or bodily harm.	X	
3.a	Lawful activities warranting deployment of additional protective measures.		X

GROUP 5 - SAFEGUARDS AND SECURITY		UO	ON
H. Firearms			
2.a	Unauthorized firearms discharge resulting in personnel injury.	X	
3.a	Unauthorized firearms discharge resulting in no personnel injury. NOTE: This does not include discharges at location where such discharges are expected and planned for accordingly.		X
3.b	Loss or theft of DOE firearms or munitions, as per DOE 5632.7A, "Protective Forces Programs." Facility-specific procedures shall include current amounts identified in DOE-5632.7A.		X
I. Other Security Concerns			
2.b	Unauthorized use, possession, alteration, possession, or theft of security badge, credentials, shield, or other form of official identification (to include blank badge stock/forms) to gain access to a Protected Area or Limited Area.	X	
3.a	Discovery of prohibited items within a Protected Area that are suspected of being positioned for the purpose of aiding and abetting a malevolent act or are, of themselves, illegal. Items discovered outside controlled areas that are legal under Federal, State, and local laws are not reportable, even if the discovery of such items would otherwise be reportable under this paragraph.		X
3.b	Onsite death of cleared DOE or DOE contractor personnel by unnatural causes (e.g., suicide, drug overdose).		X
3.c	Loss of security badges in excess of one percent in a calendar year.		X
3.d	Onsite malicious mischief, disorderly conduct, or vandalism that disrupts plant activity or causes damage between \$10,000 - \$100,000.		X

GROUP 5 - SAFEGUARDS AND SECURITY		UO	ON
J. Material Control and Accountabilit			
2.a	Loss or apparent loss of one or more items for which the items total a Category I, II, or III quantity of Special Nuclear Material (includes item losses due to shipper-receiver differences).	X	
2.b	An inventory difference (loss or gain) that exceeds alarm limits, does not involve the loss of an item, and is a Category I or II quantity of Special Nuclear Material.	X	
2.c	A shipper-receiver difference involving a gain in the number of items for which the items total to a Category I or II quantity of SNM.	X	
2.d	Evidence that Special Nuclear Material balance data has been manipulated or falsified to mask a diversion or theft or to alter loss detection sensitivity.	X	
2.e	Alarms or other indicators, excluding inventory differences or shipper-receiver differences, from loss detection elements for Category I and II materials balance areas (MBAs) that cannot be proven to be false within 24 hours.	X	
2.f	Loss or apparent loss whenever a State, local government or other Federal agency must be notified.	X	
3.a	Alarms or other indicators, excluding inventory differences or shipper-receiver differences from loss detection elements for Category III and IV MBAs that cannot be proven to be false within 24 hours.		X
3.b	A Special Nuclear Material or tritium inventory difference (loss or gain) that exceeds the alarm limits, does not involve the loss of an item, and is less than a Category III or IV quantity of material.		X
3.c	A shipper-receiver difference that exceeds 200 grams of fissile material and the combined limit of error for the shipment.		X
3.d	A Special Nuclear Material or tritium shipper-receiver difference involving a gain in the number of items for which the items total a Category III or IV quantity of material.		X
3.e	Any unexpected accumulation of fissile material within primary confinement boundaries.		X
3.f	A statistically significant trend in total inventory difference for Special Nuclear Material or tritium inventories.		X

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GROUP 5 - SAFEGUARDS AND SECURITY	UO	ON
3.g Loss or apparent loss of one or more items for which the items total a Category IV quantity of Special Nuclear Material (includes item losses due to shipper-receiver differences).		X

NOTE: Transportation occurrences are incidents related to the transportation of DOE materials, including hazardous materials, hazardous substances and hazardous wastes by vehicle, vessel, air, or rail. The requirements for reporting noncompliances and violations associated with such transfers are qualified in this procedure. For onsite (within controlled boundaries of DOE facilities), the transportation regulations for hazardous materials transfers are the same as offsite (DOT's Hazardous Materials Regulations) or as defined in an approved facility transportation safety document. FDH or sub-contractor facilities receiving materials from a DOE shipper that are not in compliance with appropriate regulations, as qualified by this procedure, must report the discrepancies to the DOE shipper who will prepare an occurrence report and implement suitable corrective actions. If such a shipment is received from a non-DOE shipper and meets the reporting criteria of this procedure, the WHC organization will notify the non-DOE shipper of the apparent noncompliance and will prepare an occurrence report stating that the non-DOE shipper has been notified. These reporting criteria are in addition to any required by DOT for facilities subject to the DOT regulations.

GROUP 6 - TRANSPORTATION		UO	ON
A. Transportation of DOE Hazardous Materials			
2.a	Any packaging or transportation activity (including loading, unloading, or temporary storage) involving the offsite release of radioactive material, etiologic agents, a reportable quantity of hazardous substance, or marine pollutants.	X	
2.b	Any shipment of radioactive material that arrives at its destination with radiation or contamination levels greater than DOT limits, or results in personnel radiation exposure higher than permitted in Federal permits, or regulations, or DOE standards.	X	
2.c	Any shipment or onsite transfer of radioactive material or hazardous waste that arrives at its destination with an unaccounted for package or an irreconcilable shipping paper, waste manifest, or onsite transfer authorization.	X	
2.d	A vehicle, vessel, rail or air incident or accident (without personal injury) that presents significant impact on the ability of a facility to conduct transportation operations and: (1) Results in release of radioactive or hazardous materials above Federal permit, Federal regulatory, or DOE Standard limits; (2) Involves significant degradation of safety equipment; or (3) Is the result of failure or significant degradation of administrative controls required to ensure safety.	X	
2.e	Violations of the Federal Motor Carrier Safety Regulations or the Hazardous Materials Regulations if those violations are determined by DOT inspection and result in a fine (monetary penalty).	X	

GROUP 6 - TRANSPORTATION		UO	ON
3.a	Any packaging or transportation activity involving: (1) The offsite release of non-radioactive hazardous material, or any quantity of hazardous waste; or (2) The onsite release of radioactive materials, etiologic agents, hazardous substances, hazardous waste, or marine pollutants.		X
3.b	A vehicle, vessel, rail or air incident or accident (without personal injury) that affects the ability of a facility to conduct transportation operations and: (1) Results in release of radioactive or hazardous materials below limits established by Federal permits, Federal regulations, or DOE Standard limits but must be reported to State or local agencies; or (2) Is the result of operational procedural violations, including maintenance or administrative procedures.		X
3.c	Noncompliances (potential violations) of the DOT Hazardous Materials Regulations or the transportation and packaging requirements of the Nuclear Regulatory Commission involving: (1) Errors made by the shipper in materials description, marking, labeling, or placarding; (2) An unqualified person signing shipping papers; (3) The highway routing selection requirements for highway route controlled shipments or the notification requirements for spent-fuel shipments not being observed; (4) The separation and segregation tables for hazardous materials not strictly adhered to; or (5) The applicable packaging requirements for the assembly, handling, or selection of a package not being in accordance with the applicable regulations.		X
3.d	Noncompliances (potential violations) of the Federal Motor Carrier Safety Regulations involving: (1) A contractor driver operating a DOE-owned motor vehicle after a positive drug test or failure of an alcohol test; (2) An unqualified driver operating a vehicle (medical, driver's license, or training not in compliance); (3) The carrier (contractor management) not having required insurance; (4) A vehicle that failed inspection not being removed from service; (5) A specification cargo tank with expired inspection being in service with hazardous materials; (6) A driver's log book deliberately misrepresented; or (7) The carrier (contractor management) failing to perform random or periodic drug or substance-abuse testing.		X
3.e	Any violation of the Hazardous Material Regulations or Federal Motor Carrier Safety Regulations if that violation is determined by DOT inspection and does not result in a penalty.		X

GROUP 7 - VALUE BASIS REPORTING		UO	ON
A. Cost Based Occurrences (Any occurrence specifying cost as a basis for reporting, unless otherwise stated, will be classified by the listed monetary values necessary to repair, replace, or otherwise restore a facility/system/component to acceptable operation. Costs used for reporting should be reasonable initial estimates.)			
2.a	Estimated loss or damage to DOE or other property amounting to \$1,000,000 or more, or estimated costs of \$1,000,000 or more required for cleaning (including decontamination), renovating, replacing, or rehabilitating structures, equipment, or property.	X	
3.a	Estimated loss or damage to DOE or other property amounting to between \$10,000 and \$1,000,000 (for vehicle/aircraft the lower limit is \$5000 or, for insurance purposes, considered a total loss) or estimated costs within these limits required for cleaning (including decontamination), renovating, replacing, or rehabilitating structures, equipment, or property.		X

NOTE Value basis reporting includes items based on cost or the identification of defective items, materials, or services. A defective item, material, or service shall be identified and reported to allow the initiation of an investigation and make all DOE elements aware of the defect and initiate actions to eliminate common mode failures due to substandard, counterfeit, misrepresentation, or fraudulent practices of suppliers.

GROUP 7 - VALUE BASIS REPORTING		UO	ON
B. Defective Item, Material, or Service			
3.a	<p>Discovery of any actual or potential defective item, material, or service in any application whose failure could result in a substantial safety hazard. Examples include the identification of counterfeit components found in:</p> <ul style="list-style-type: none"> (1) Cranes and elevators--items used in the load-bearing path of the crane or elevator; (2) Aircraft--items used in engines or to attach engines, wings, tails, or landing gear; (3) Vehicles--items used in engines, brakes or steering mechanisms; and (4) Nuclear applications--values or components used to contain radioactive fluids or high pressure steam or fluids; or refurbished molded case circuit breakers supporting Safety Class SSCs. <p>Identical items, materials, or services may be documented in a Roll-Up Report. Guidance in the identification and follow-up actions are contained in Environment, Safety and Health Bulletin, DOE/EH-0266, Issue No. 92-4 or DOE Quality Alert, August 1992.</p>		X
3.b	Identification of a pattern of defective items, materials, or services.		X

GROUP 8 - FACILITY STATUS		UO	ON
<p>A. Operation-Curtailing Occurrence (Any unplanned occurrence in any portion of a program, conducted in accordance with approved requirements and procedures, which results in the facility, process, or activity terminating or significantly curtailing operations that may affect approved performance goals.)</p>			
3.a	Any unscheduled shutdown of a facility, process, or operation that resulted or may result in the failure to meet approved performance goals.		X
<p>B. Shutdown-Extending Occurrence (Any unplanned occurrence in any portion of a program, conducted in accordance with approved requirements and procedures, which results in extension of a current facility, process or activity shutdown that may affect performance goals.)</p>			
3.a	Any increase in an approved shutdown schedule of one month or greater or that resulted or may result in the failure to meet approved performance goals.		X
<p>C. Startup-Delaying Occurrence (Any unplanned occurrence in any portion of a program, conducted in accordance with approved requirements and procedures that results in a new facility, process or activity start-up being delayed, which may affect performance goals.)</p>			
3.a	Any delay in an approved start-up schedule of one month or greater and which resulted or may result in the failure to meet approved performance goals.		X

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GROUP 9 - NUCLEAR EXPLOSIVE SAFETY		UO	ON
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NOTE: This criteria has been deleted because PFP does not have nuclear explosive devices so it is not applicable.

GROUP 10 - CROSS-CATEGORY ITEMS		UO	ON
A. Related Series of Occurrences			
<p>A series of related occurrences which individually do not warrant reporting under preceding criteria, but which collectively are considered significant enough to warrant reporting.</p> <p>NOTE: Events categorized using this criteria must be reviewed for significance. The facility manager must use judgement and categorize the event at the appropriate level based on significance</p>			
B. Near-Miss Occurrences (A near miss to one of the reporting classifications under preceding categories.)			
2.a	An occurrence where the conditions necessary to cause an Unusual Occurrence existed (i.e., all barriers to event initiation were compromised).	X	
3.a	An occurrence where the conditions necessary to cause a reportable occurrence were prevented from existing by one remaining barrier after other barriers had been compromised (i.e., one additional independent failure/degradation was necessary for event initiation to be possible).		X

GROUP 10 - CROSS-CATEGORY ITEMS		UO	ON
C. Potential Concerns/Issues			
Identification of potential concerns or issues, that are deemed to be worthy of reporting.			
NOTE: Events categorized using this criteria must be reviewed for significance. The facility manager must use judgement and categorize the event at the appropriate level based on significance.			
2.a	An occurrence that may result in a significant concern, particularly in the off-site transportation and radiological areas, by the press or general population or could damage the credibility of DOE.	X	
2.b	Other events determined by the Facility Manager (see note above).	X	
3.a	Any event resulting in the initiation of a Type A or B investigation as defined by DOE 5484.1, Environmental Protection, Safety and Health Protection Information Reporting Requirements.		X
3.b	Other events determined by the Facility Manager (see note above).		X

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Appendix B. Definitions

1. CO-LOCATED WORKER. Co-located facility workers are those that do not have "hands-on" activities (i.e, administrative workers.)
2. CONDITION. Any as-found state, whether or not resulting from an event, which may have adverse safety, health, quality assurance, security, operational or environmental implications. A condition is more programmatic in nature. For example, an error in analysis or calculation; an anomaly associated with design or performance; or an item indicating a weakness in the management process are all conditions.
3. DEFECTIVE ITEM, MATERIAL, OR SERVICE. Any item, material, or service which potentially or actually does not meet a national consensus standard for such item, material, or service or is a copy or modification of an item, material, or service that does meet such standard without the authority or right to do so. Definitions of defective fasteners (including the Suspect/Counterfeit Headmark List) and molded case circuit breakers contained in the "Environment, Safety, And Health Bulletin, DOE/EH-0266, Issue No. 92-4, August 1992" or subsequent bulletins on similar topics are incorporated into this definition by reference.
4. DOE ACTIVITY. An activity taken for or by DOE that has the potential to result in the occupational exposure of an individual to radiation or radioactive material and hazardous substances or materials. The activity may be, but is not limited to, design, construction, operation, or decommissioning. To the extent appropriate, the activity may involve a single DOE facility or operation, or a combination of facilities and operations, possibly including an entire site. [G-10 CFR 835/B1 - Rev. 1]
5. DOE FACILITY REPRESENTATIVE. For each major facility or group of lesser facilities, an individual or designee assigned responsibility by the Head of Field Element/Operations Organization for monitoring the performance of the facility and its operations. This individual should be the primary point of contact with the contractor and will be responsible to the appropriate Secretarial Officer and Head of Field Element/Operations Organization for implementing the requirements of this Manual.
6. EVENT. Something significant and real-time that happens (e.g., pipe break, valve failure, loss of power, environmental spill, earthquake, tornado, flood).
7. FACILITY. Any equipment, structure, system, process, or activity that fulfills a specific purpose. Examples include accelerators, storage areas, fusion research devices, nuclear reactors, production or processing plants, coal conversion plants, magnetohydrodynamics experiments, windmills, radioactive waste disposal systems, and burial grounds, environmental restoration activities, testing laboratories, research laboratories, transportation activities, and accommodations for analytical examinations of irradiated and unirradiated components.
8. FACILITY MANAGER. That individual, or designee, usually but not always a contractor with direct line responsibility for operation of a facility or group of related facilities, including authority to direct physical changes to the facility. The Facility Manager designee is a person within the facility

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operations organization who has been delegated responsibility by the Facility Manager. For purposes of this Manual, a Facility Manager could also be responsible for a program or activities.

9. FEDERALLY PERMITTED RELEASE. Any release that satisfies the definition of "federall permitted release" in 40 CFR 302.3.

10. HAZARDOUS SUBSTANCE OR MATERIAL:
 - a. Department of Energy Office of Safeguards and Security Hazardous Material. Any solid, liquid, or gaseous material that is chemical toxic, flammable, radioactive, or unstable upon prolonged storage, and that exists in quantities that could pose a threat to life, property, or the environment.
 - b. Department of Transportation Hazardous Materials (see 49 CFR 171.8 and 172.101). A substance or material, including a hazardous substance, which has been determined by the Secretary of Transportation to be capable of posing an unreasonable risk to health, safety, and property when transported in commerce and which has been so designated.
 - c. Environmental Protection Agency (EPA) Hazardous Substances (see 40 CFR 302 and 40 CFR 117). For purposes of transportation, see 49 CFR 171.8 and 172.101.
 - d. Environmental Protection Agency Hazardous Wastes (see 40 CFR 261 and 40 CFR 262). An material that is subject to the Hazardous Waste Manifest Requirements of EPA. For purposes of transportation, see 49 CFR 171.8.
 - e. Occupational Safety and Health Administration (OSHA) Hazardous Chemical (see 29 CFR 1910.1000 and 29 CFR 1910.1200). Any chemical which is a physical or a health hazard.
 - f. Superfund Amendments and Reauthorization Act Extremely Hazardous Substances (see 40 CFR 355). These are not defined but appear on a list in Appendix A and B of 40 CFR 355.

11. ITEM.
 - a. An all-inclusive term used in place of the following: appurtenance, sample, assembly, component, equipment, material, module, part, structure, subassembly, subsystem, system, unit, or support systems, documented concepts, or data.
 - b. When used in reference to nuclear material, a visible, single piece or container of nuclear material with a unique identification and known nuclear material mass.

12. LESSONS LEARNED. A "good work practice" or innovative approach that is identified and shared, or an adverse work practice or experience that is shared to avoid recurrence.

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

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14. MEMBER OF THE PUBLIC. Persons who are not occupationally associated with the DOE facility or operations, i.e., persons whose assigned occupational duties do not require them to enter the DOE site.
15. NONREACTOR NUCLEAR FACILITY. Those activities or operations that involve radioactive and/or fissionable materials in such form and quantity that a significant nuclear hazard potential exists to the employees or the general public. Included are activities or operations that: (1) produce, process, or store radioactive liquid or solid waste, fissionable materials, or tritium; (2) conduct separations operations; (3) conduct irradiated materials inspection, fuel fabrication, decontamination, or recovery operations; (4) conduct fuel enrichment operations; or (5) perform environmental remediation or waste management activities involving radioactive materials. Incidental use and generating of radioactive materials in a facility operation (e.g., check and calibration sources, use of radioactive sources in research and experimental and analytical laboratory activities, electron microscopes, and X-ray machines) would not ordinarily require the facility to be included in this definition. Accelerators and reactors and their operations are not included. The application of any rule to a nonreactor nuclear facility should be applied using a graded approach.
16. NOTIFICATION REPORT. The initial documented report, to the Department, of an event or condition that meets the reporting criteria defined in the Occurrence Reporting Requirements Documents. The Notification Report should consist of fields 1 through 19 and 25 of the Occurrence Report.
17. NUCLEAR FACILITY. Reactor and nonreactor nuclear facilities.
18. OCCURRENCE. An event or a condition that adversely affects, or may adversely affect, DOE or contractor personnel, the public, property, the environment, or the DOE mission. Events or conditions meeting the criteria threshold identified in DOE M 232.1-1 are occurrences.
19. OCCURRENCE REPORT. A documented evaluation of an event or condition that is prepared in sufficient detail to enable the reader to assess its significance, consequences, or implications and to evaluate the actions being proposed or employed to correct the condition or to avoid recurrence.
20. OCCURRENCE INVESTIGATION. Investigations are to be conducted according to site specific procedures and when determined by DOE that a Type A or B is required by DOE procedures.
21. OFFSITE TRANSPORTATION EVENT. Involves movement of materials which are considered to be in commerce, thus requiring compliance with Department of Transportation Hazardous Materials Regulations.
22. OIL. Oil of any kind or in any form, including but not limited to petroleum, fuel oil, sludge, oil refuse and oil mixed with wastes other than dredged spoil.
23. ONSITE TRANSPORTATION EVENT. Movement of materials not in commerce and subject to DOE onsite procedures and safety requirements.
24. PERFORMANCE DEGRADATION. Degradation of a facility, process, or system that reduces the reliability of critical components of the facility whose loss affects the capability of operation. Performance degradation does not include the temporary loss of a component where identical

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redundant components are maintained in operation and the minimum authorization bases is not compromised.

25. PRIMARY ENVIRONMENTAL MONITORS. Monitoring equipment required to legally monitor ongoing discharges. In general, this term applies to monitors used closest to the point of discharge to determine if discharges are within specified limits. It also includes any equipment that actuates automatically in response to set level signals from such a monitor. It does not include equipment in general area, remediation, or compliance monitoring programs.
26. PROGRAM MANAGER. The Headquarters individual or designee, designated by and under the direction of a Secretarial Officer, who is directly involved in the operation of facilities under his or her cognizance, and holds signature authority to provide technical direction through Heads of Field Element/Operations Office Organizations to contractors for these facilities.
27. PROGRAM SIGNIFICANT COST. Meets the criteria of Group 7.A. Cost Basis Reporting.
28. PROGRAM SIGNIFICANT DELAY. Meets the criteria of Group 8, Facility Status.
29. REACTOR. Unless it is modified by words such as containment, vessel, or core, means the entire reactor facility, including the building/structure, equipment, and associated areas devoted to the operation and maintenance of one or more reactor cores. Any apparatus that is designed or used to sustain nuclear chain reactions in a controlled manner, including critical and pulsed assemblies and research, test, and power reactors, is defined as a reactor. All assemblies designed to perform subcritical experiments which could potentially reach criticality are also to be considered reactors. Critical assemblies are special nuclear devices designed and used to sustain nuclear reactions. Critical assemblies may be subject to frequent core and lattice configuration change and may be used frequently as mockups of reactor configurations. Therefore, requirements for modification do not apply unless the overall assembly room is modified, a new assembly room is proposed, or a new configuration is not covered in previous safety evaluations (i.e., Safety Analysis Reports, Safety Analysis Report Addenda, or Technical Safety Requirements).
30. RELEASE. Any spilling, leaking, pumping, pouring, emitting, emptying, discharging, injecting, escaping, leaching, dumping, or otherwise disposing of substances into the environment. This includes abandoning/discarding any type of receptacle containing substances in an unenclosed containment structure but does not include permitted containment structures.
31. REPORTABLE OCCURRENCE. Events or conditions to be reported in accordance with the criteria defined in the Occurrence Reporting Requirements Documents.
32. REPORTABLE QUANTITY. For any Comprehensive Environmental Response, Compensation and Liability Act hazardous substance and radionuclide, the quantity established in 40 CFR Part 302, the release of which requires notification unless federally permitted.
33. SAFETY CLASS STRUCTURES, SYSTEMS, OR COMPONENTS (SAFETY CLASS SSCs). Nuclear facility systems, structures, or components including primary environmental monitors and portions of process systems, whose failure could adversely affect the environment or safety and health of the public identified by safety analyses. [DOE 5480.30]

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34. SAFETY SIGNIFICANT STRUCTURES, SYSTEMS, OR COMPONENTS (SAFETY SIGNIFICANT SSCs). Nuclear and Non-nuclear facility structures, systems, or components not designated as Safety Class SSCs but whose preventative or mitigative function is a major contributor to defense in depth (i.e., prevention of uncontrolled material release) and/or worker safety as determined from hazard analysis. [DOE-STD-3009-94]

NOTE: Safety Significant SSC, as used in this Manual, distinguishes a specific category of SSCs other than Safety Class SSCs. It should not be confused with the generic modifier "safet significant" used in DOE Orders (e.g., DOE 5480.23).

35. SERVICE. The performance of work, such as design, construction, fabrication, inspection, nondestructive examination/testing, environmental qualification, equipment qualification, repair, installation, or the like.
36. SIGNIFICANT DEGRADATION. A degradation that prevents a system, piece of equipment, administrative control, etc., from performing its intended safety function. (e.g., (1) A burned out power indicator light on a piece of radiation monitoring equipment which does not prevent the equipment from detecting elevated radiation levels and alarming as designed would not be considered significant degradation. (2) A piece of equipment that is determined to be out of calibration on the non-conservative side (such as a low level alarm that alarms at a lower value than it should) would be significant degradation).
37. SIGNIFICANT PERFORMANCE DEGRADATION. Degradation that compromises the facility minimum authorization bases for the operational condition at the time of the occurrence or allows an unmonitored release that is not immediately mitigated.
38. SUBSTANTIAL SAFETY HAZARD. A loss of safety function to the extent that there is a major reduction in the degree of protection provided to public or worker health and safety.
39. SUPPLIER. An organization furnishing items or services. An all-inclusive term used in place of any of the following: vendor, seller, contractor, subcontractor, fabricator, distributor, consultant, or subcontractors.
40. TRANSPORTATION EVENT. Any real-time occurrence involving any of the following transportation activities: material classification, packaging, marking, labeling, placarding, shipping paper preparation, loading/unloading, separation/segregation, blocking and bracing, routing, accident reporting, and movement of materials. Transportation events with injury(s) may also require reporting in accordance with Group 3 criteria.