



**Appendix D - Checklist for Occurrence Report Review**

Report Number: \_\_\_\_\_

ITEMS TO BE REVIEWED	Y	N	COMMENTS
1. Are all of the fields addressed? (#1-19 and 25 for Notification Reports, all fields for other reports.)			
2. Does the Facility Function (in the report header area) identify the function of the facility, not the function being performed at the time of the occurrence, if different? * The facility function for each facility is usually a constant, i.e., the same for all occurrences. * If Balance of Plant (BOP) is used, is it appropriate?			
3. Has the report been reviewed by an Authorized Classifier (AC) to verify that no classified information is in the report? If yes, is the AC's name and date provided on the report (in the report header area)? If no, should the report have been reviewed by an AC?			
4. For Roll-up reports, does the Number of Occurrences (#4) accurately reflect the number of occurrences detailed in the Description of Occurrence (#16)?			
5. Is the Division or Project (#5) in the proper format, e.g. Contractor-Division-Department? If site-specific acronyms are used, are they spelled out in the Description of Occurrence (#16)?			
6. Is the DOE Secretarial Office (#6) correct?			
7. Are the Systems, Equipment, or Buildings (#7) identified? In the case of component failures or defective parts or materials, are the equipment specifics provided, such as manufacturer, model number, and size?			
8. Has the report been reviewed by a Reviewing Official (RO) for UCNI (#8) information? If UCNI information is included, is the report so marked?			
9. Is the Plant Area (#9) actually where the event took place?			
10. Are the Discovery Date and Time (#10), Categorization Date and Time (#11), and Notification Dates and Times (#12 and #13) entered correctly? If there are additional notifications to be provided that do not fit within Other Notification (#13), are they listed in Immediate Actions Taken and Results (#19)?			



ITEMS TO BE REVIEWED	Y	N	COMMENTS
11. Is the Subject or Title (#14) descriptive, accurate, understandable by laymen, and useful for cross-referencing?			
12. Does the Subject or Title (#14) end in (USQ) for occurrences involving Unreviewed Safety Questions or (Roll-up) for roll-up reports?			
13. If the Subject or Title (#14) contains UCNI, can it be reworded to eliminate the UCNI?			
14. Is the Nature of Occurrence (#15) correct and does it accurately identify the event? * Are all of the criteria applicable to this occurrence identified?			
15. Does the Description of Occurrence (#16) contain all of the following? (a) A clear, factual, logical flow of information (b) Explanation of abbreviations, acronyms, and site-specific terms (c) A level of detail commensurate with the relative importance of the incident (d) The method of discovery and, if appropriate, the sequence of events to show the logical progression of the occurrence (e) Any personnel errors involved or procedural problems encountered (f) Response of safety systems and signals and any loss of safety equipment (g) Operation actions that affected the course of the event (h) Any component failure, failure modes and duration of any failures (i) In equipment failure cases, a description of the equipment, properly identified with the manufacturer, model number, size, etc. (j) If appropriate, attachments of photos, sketches, or drawings (k) If appropriate, a brief description of the function/purpose of the facility			
16. Are the Operating Conditions of the Facility at the Time of the Occurrence (#17) descriptive of the operational status of the facility or equipment at the time of the occurrence? * Are pertinent pressures, temperatures, etc, described?			
17. Does the Activity Category (#18) properly reflect what was occurring at the time of the occurrence, not the status of the facility?			
18. Do Immediate Actions Taken and Results (#19) place operations/personnel in a safe and defensible state? * Are the immediate actions appropriate for the occurrence? * If additional notifications are made (more than five), are they entered here?			



ITEMS TO BE REVIEWED	Y	N	COMMENTS
19. Does the Direct Cause (#20) refer to the obvious, immediate source of the occurrence?			
20. Does the Contributing Cause(s) (#21) refer to other things that led to the occurrence?			
21. Does the Root Cause (#22) refer to the basic underlying conditions that led to the occurrence? * When this activity or condition is appropriately addressed (resolved), will there be a reduced chance of recurrence? * Is there a logical relationship between the cause codes and the Description of Cause? * Is the method used for the Root Cause Analysis identified?			
22. Does the Description of Cause (#23) discuss the root, direct, and contributing causes? * Is there a logical relationship to the Description of Occurrence (#16)? * Are the corrective actions detailed? * If the Nature of Occurrence (#15) is Group 7B, is the text "suspect/counterfeit products" included here?			
23. Does the Facility Manager's Evaluation (#24) explain how the occurrence happened in spite of controls, and why corrective action will reduce the chance of recurrence? * If this is an Update Report requesting an extension for the due date of the Final Report, has a justification been provided?			
24. If Further Evaluation Required (#25) was checked as "YES," are the activities and schedules realistic? * If this is an Update Report requesting an extension for the due date of the Final Report, has the future evaluation been checked "YES" and the new due date for the Final Report entered?			
25. Do the Corrective Actions (#26) address the cause(s) identified in the cause code fields(# 20-22)? * Can they be accomplished? Are they scheduled to be done in a reasonable time frame? Are they closeable? * Have they been scheduled? Is there a name or department listed for responsibility?			
26. Does the Impact on Environment, Safety, and Health (#27) address the issue? * What was reviewed to determine if this occurrence had any impact?			
27. Does Programmatic Impact (#28) identify how the occurrence will affect schedule, cost, etc.?			



ITEMS TO BE REVIEWED	Y	N	COMMENTS
28. Does Impact Upon Codes and Standards (#29) address actual codes and standards? What was reviewed?			
29. Does Lessons Learned (#30) include information pertaining to this occurrence that could benefit others? * Should a Lessons Learned (#30) be developed and disseminated to others throughout the DOE complex?			
30. Has a review been made to determine if there were other Similar Occurrences (#31)? Have the similar occurrences been entered properly?			
31. After reading the complete report, do you really understand what happened, including the significance of what happened, the cause, and the corrective actions?			
32. Has this occurrence been reviewed to determine if it is part of a current trend?			
33. Does the author of the report appear to need additional training in occurrence report writing, root cause analysis, etc.?			
34. If any time limits were exceeded (discovery, categorization, report submission), were the reasons addressed in the report?			