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DOE HANDBOOK

GUIDANCE FOR IDENTIFYING, REPORTING AND TRACKING NUCLEAR SAFETY NONCOMPLIANCES

**U.S. Department of Energy
Washington, D.C. 20585**

AREA SAFT

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FOREWORD

This document provides Department of Energy (DOE) contractors, subcontractors and suppliers with guidance in the effective use of DOE's Price-Anderson nuclear safety Noncompliance Tracking System (NTS).

Prompt contractor identification, reporting to DOE, and correction of nuclear safety noncompliances provides DOE with a basis to exercise enforcement discretion to mitigate civil penalties, and suspend the issuance of Notices of Violation for certain violations.

Use of this reporting methodology is elective by contractors; however, this methodology is intended to reflect DOE's philosophy on effective identification and reporting of nuclear safety noncompliances. To the extent that these expectations are met for particular noncompliances, DOE intends to appropriately exercise its enforcement discretion in considering whether, and to what extent, to undertake enforcement action.

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GUIDANCE
FOR IDENTIFYING, REPORTING, AND TRACKING
NUCLEAR SAFETY NONCOMPLIANCES

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1. INTRODUCTION

A. DEPARTMENT OF ENERGY ENFORCEMENT AUTHORITY

The Price-Anderson Act provides indemnification¹ to DOE contractors who manage and operate nuclear facilities in the DOE complex. In 1988, the Price-Anderson Amendments Act (PAAA) was signed into law to continue this indemnification. The PAAA subjects DOE indemnified contractors, subcontractors and suppliers to potential civil and criminal penalties for violations of DOE rules, regulations, and compliance orders relating to nuclear safety requirements. As part of its agreement to continue the indemnification coverage, Congress mandated that DOE enforce nuclear safety requirements to minimize the risk to workers and the public. The Enforcement and Investigation Staff, a DOE organization, has the responsibility to carry out the statutory enforcement authority provided to DOE in the PAAA. On August 17, 1993, DOE published its enforcement procedural rules and its enforcement policy (Appendix A to Part 820, "General Statement of Enforcement Policy). DOE's enforcement policy sets forth DOE's strategy for ensuring contractor compliance with nuclear safety requirements.

B. SUMMARY OF DOE GENERAL ENFORCEMENT POLICY

The goal of the DOE enforcement policy is to enhance and protect the radiological health and safety of the public and worker at DOE facilities through a process that encourages timely identification and open and prompt reporting and comprehensive correction of noncompliance conditions. The cornerstone of the DOE enforcement policy is voluntary compliance through contractor initiatives to effectively understand and implement nuclear safety requirements, critically self assess activities and promptly identify, report and correct noncompliance conditions.

The following is a quote from 10 CFR 820, Appendix A:

"The single most important goal of the DOE enforcement program is to encourage early identification and reporting of nuclear safety deficiencies and violations of DOE Nuclear Safety Requirements by the DOE contractors themselves rather than by DOE, and the prompt correction of any deficiencies and violations so identified. DOE believes that the contractors are in the best position to identify and promptly correct noncompliances with DOE Nuclear Safety Requirements.

"... it should be emphasized that if the DOE contractor is or should have been aware of a violation and has not reported it to DOE and

¹By indemnifying the contractor, the government acts as an insurer against any findings of liability arising from the nuclear activities of the contractor within the scope of its contract.

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taken appropriate corrective action despite an opportunity to do so, each day the condition existed may be considered as a separate violation and, as such, subject to a separate civil penalty."

The enforcement policy sets forth base civil penalties which are determined by the Severity Level of a violation (Severity Level I, II, or III) and the categorization of a facility as described in Table 1A of the enforcement policy. DOE will apply a number of factors in assessing each potential enforcement situation. In determining whether a potential civil penalty will be mitigated, DOE will consider, among other things, the opportunity available to discover the violation, the ease of discovery, and the promptness and completeness of the notification report to DOE and the corrective actions. DOE will also consider other factors such as safety significance, or administrative, management or programmatic weaknesses in considering whether to mitigate a potential civil penalty. No consideration will be given to a reduction in penalty if the contractor does not identify the noncompliance in a timely manner or does not take prompt action to report the problem to DOE upon discovery and initiate appropriate corrective actions.

A report of a potential noncompliance in either the DOE Noncompliance Tracking System (NTS) centralized data base or the contractor's data base will not automatically initiate enforcement action by DOE. Rather, DOE will review and evaluate all available information prior to determining whether the potential noncompliance has the requisite safety significance to warrant commencing the formal enforcement process including initiating a full investigation.

While it is preferable, a specific noncompliance issue does not have to be submitted to DOE by the contractor before an enforcement evaluation is initiated. A noncompliance issue may be brought directly to the attention of the Enforcement and Investigation Staff by external sources. If a formal enforcement investigation is to be initiated as a result of information received from an external source, the contractor will be promptly informed unless the nature of the violation is such that this notification would compromise the ability of DOE to properly complete the investigation. This circumstance is expected to be a rare occurrence and normally based on an egregious issue (such as intentional violation, concealment or misrepresentation of information), or an allegation raised by a confidential source. In any case, a noncompliance will be reported to the contractor immediately by DOE if, left uncorrected, it constitutes an immediate threat to the public or worker health and safety.

DOE fully expects to rely on the accuracy and completeness of information provided by its contractors. 10 CFR, Part 820.11 (Information Requirements) requires that any information pertaining to a potential noncompliance provided to or maintained for DOE by the contractor shall be complete and accurate in all material respects. No person involved in a DOE nuclear activity shall deliberately falsify conceal or destroy any information concerning a noncompliance.

C. POLICY FOR CIVIL PENALTIES

Civil penalties are normally proposed for Severity Level I or II violations, and for Severity Level III violations which are similar to previous violations for which effective corrective actions were not taken. If voluntary compliance activities are not effective and violations of nuclear safety requirements occur, DOE is empowered to initiate enforcement actions consistent with the procedural requirements of 10 CFR, Part 820. The safety significance of the violation, coupled with contractor performance in identification and response, will play a major role in the enforcement process in determining whether a Notice of Violation with or without a civil penalty will be assessed.

Minor noncompliances of nuclear safety requirements will not be subject to formal enforcement action. However, these minor noncompliances should be evaluated by the contractors to assure appropriate corrective action is taken to prevent recurrence, and to determine if an aggregate of related minor noncompliances is indicative of a programmatic breakdown warranting reporting as a potentially significant noncompliance.

D. POLICY FOR POSITIVE INCENTIVES

As part of its enforcement policy, DOE has established positive incentives through the application of adjustment factors to potential civil penalties and through the exercise of discretion in not issuing a Notice of Violation in some instances, for its contractors to do the following:

- Identify nuclear safety noncompliances in a timely manner;
- Report thoroughly those noncompliances to DOE;
- Conduct a root cause analysis of noncompliances; and
- Promptly and comprehensively correct nuclear safety noncompliances in a manner which precludes recurrence.

The application of the adjustment factors may result in substantial reduction up to no civil penalty being assessed to a contractor for a violation that is identified and reported in a timely manner, and promptly and effectively corrected.

(1) Timely Identification and Reporting

Reduction of up to 50% of the base civil penalty may be given when a DOE contractor promptly identifies the violation and reports it to the DOE. In some instances DOE may conclude that issuing even a Notice of Violation is not warranted if the above criteria have been met. In weighing this factor, DOE will give consideration to the opportunity available to the contractor to discover the violation, the ease of discovery and the promptness and completeness of the notification to DOE. Conversely, DOE

will not mitigate the base civil penalty if the contractor does not promptly identify and report the violation.

a. Prompt Identification

DOE has not defined "prompt identification" in terms of hours or days, since the facts of potential noncompliances will be evaluated on a case by case basis. However, the following examples illustrate how DOE will analyze various potential noncompliance situations.

Example 1. An event driven noncompliance, such as that related to an unusual or emergency DOE Order 261 (Occurrence Reporting and Processing of Operations Information), occurrence is reported in the ORPS. Concurrently with this reporting, the contractor initiated an evaluation without delay to determine if a potential noncompliance condition exists and completes an evaluation promptly. Event is determined to be a significant noncompliance. The time from the event to the completion of the evaluation was about 15 days. DOE would consider mitigation for such a case.

Example 2. An internal contractor audit, inspection, or surveillance is completed and the findings suggest the existence of a noncompliance condition. The contractor evaluates the information to determine whether a potential noncompliance condition exists and if so, how long the noncompliance condition existed without being detected. This evaluation is completed within about 15 days, and the condition was found to exist for only a few weeks. DOE would consider mitigation for such a case.

Example 3. The contractor receives notification of a potential noncompliance from an external source such as a state agency, the Defense Nuclear Facilities Safety Board, or onsite DOE personnel. DOE expects that the contractor will complete an evaluation without delay to determine if a potential noncompliance condition exists. However, mitigation will likely not be appropriate because the problem was not identified by the contractor.

Example 4. An internal audit is completed at a facility. The scope of the audit is inadequate, or it was conducted improperly. Six months later a noncompliance, which should have been uncovered during the audit, is identified. Alternatively, a violation of a technical safety requirement is identified. Investigation established that the technical specification violation had existed for 30 days because required surveillances were not performed. In either case DOE would likely

not consider reducing a civil penalty, as the facts do not indicate that identification of the noncompliance was prompt.

b. Prompt Reporting

For enforcement purposes, prompt reporting is generally that done within 20 calendar days after determining that a potential noncompliance condition exists.

Example 1: A Facility Manager completes a walk-down of a facility. During the preparation of the written report, a potential noncompliance was noted. He assigns an area supervisor to review the situation. The supervisor takes five days to determine that a potential noncompliance existed. The noncompliance report was lengthy and required a review by a subject matter expert. As a result, the noncompliance was not reported to DOE until 15 days after the noncompliance was identified. This example is still timely, considering the circumstances. DOE would consider mitigation for such a case.

(2) Prompt and Comprehensive Corrective Actions

The promptness of and extent to which the contractor takes corrective actions may result in a 50% decrease in a base civil penalty. It is believed that most investigations and causal analysis should be completed within 45 days of determining that a potential noncompliance exists. Only those corrective actions that are sufficiently comprehensive to prevent recurrence will warrant mitigation considerations of civil penalties. DOE anticipates that corrective actions and implementation plans will be identified during this time period as well.

E. APPLICABILITY OF DOE ENFORCEMENT POLICY

The enforcement policy applies to all indemnified DOE contractors, subcontractors and other suppliers who are responsible for performing activities or supplying services or products that are subject to DOE nuclear safety requirements. For purposes of assessment of civil penalties or issuance of Notices of Violation, DOE nuclear safety requirements are defined in 10 CFR, Part 820.20 (b), as the following:²

- DOE nuclear safety rules set forth in the CFR;
- Compliance Orders issued pursuant to 10 CFR Part 820 Subpart C; and

²Draft rules are not enforceable.

- Any DOE approved program (including any commitment therein), plan, or other provision required to implement any nuclear safety requirement or Compliance Order identified above.

The substantive nuclear safety rules which have been published in their final form, or are scheduled to be published include the following:

10 CFR, Part 820.11	Information Requirements
10 CFR, Part 830.110	Safety Analysis Reports.
10 CFR, Part 830.112	Unreviewed Safety Questions
10 CFR, Part 830.120	Quality Assurance
10 CFR, Part 830.122	Defect Identification and Reporting
10 CFR, Part 830.310	Conduct of Operations
10 CFR, Part 830.320	Technical Safety Requirements
10 CFR, Part 830.330	Training and Certification
10 CFR, Part 830.340	Maintenance Management
10 CFR, Part 830.350	Categorization, Notification, Reporting, and Processing of Operational Occurrences
10 CFR, Part 834	Radiation Protection for the Public and the Environment
10 CFR, Part 835	Occupational Radiation Protection
10 CFR, Part 708	Contractor Employee Protection

F. DEFINITIONS

(1) Contractor

The term contractor includes the Management and Operations contractor as well as its subcontractors and suppliers.

(2) Radiological Activities

The rules in 10 CFR, Part 835, are applicable to all DOE activities involving occupational exposure to ionizing radiation of DOE employees and/or DOE contractor or subcontractor employees, except for an activity specifically excluded under Part 835.1(b).

(3) Nuclear Facilities

The requirements in 10 CFR, Part 830, are applicable to DOE nuclear facilities only, unless otherwise excluded specifically in a particular rule. Nuclear facilities are defined in 10 CFR 830.3 (Definitions).

(4) Noncompliance

The term noncompliance and violation are essentially interchangeable in that both terms connote a failure to comply with an applicable nuclear safety requirement. Noncompliances (violations) having the requisite safety significance will be subject to Notices of Violation and if appropriate, civil penalties. Isolated minor noncompliances involving minimal or low safety significance will normally not be subject to enforcement action unless they are repetitive or have multiple examples indicative of a larger programmatic breakdown.

(5) Enforcement Action

The issuance of a Notice of Violation with or without a civil penalty.

2. NONCOMPLIANCE IDENTIFICATION

Each contractor should identify potential noncompliances that occur at its respective nuclear facility(s) or nuclear activities. To the extent practical, contractors should use existing programs to promptly identify potential noncompliances with DOE nuclear safety requirements and to implement appropriate corrective actions. DOE expects that a review for potential noncompliances will be an integral part of facility operations via the various methods of assessment or oversight activities. The following are examples of methods for or sources of identifying potential noncompliances by DOE's contractors.

A. REPORTS OCCURRENCES UNDER DOE ORDER 261, OCCURRENCE REPORTING AND PROCESSING OF OPERATIONS INFORMATION

Analysis of occurrence reports prepared in accordance with DOE Order 261 will be a significant opportunity for contractors to identify potential noncompliance conditions. Any occurrence report that involves a nuclear facility or radiological activity should be reviewed to determine if the event resulted from or caused a noncompliance.

B. CONTRACTOR INTERNAL REVIEWS

Another source to identify potential noncompliance conditions will be contractor internal audits, assessments, surveillances, design reviews, walk-downs and inspections. These reviews are conducted by the contractor in accordance with existing DOE orders and requirements, and should include a review of the findings for potential nuclear safety noncompliance issues.

C. EXTERNAL REVIEWS

A third source of potential noncompliance identification is external audits, assessments, surveillances, inspections, and visits conducted by the DOE Headquarters Oversight, Field, Site, or Operations Office, Defense Nuclear Facility Safety Board, or the other agencies from the state or Federal government such as EPA, DOT, or OSHA. The potential noncompliance should be identified to the contractor. If the contractor has an effective self audit/surveillance

program, there should be a minimal number of noncompliances identified through this mechanism.

Depending on safety significance or other factors, these noncompliances may be candidates for enforcement action because they were not identified by the contractor. However, DOE may refrain from issuing a civil penalty for a violation if the contractor requested assistance from DOE or another government agency in resolving problems and the noncompliance was discovered by the outside agency while giving assistance. These noncompliances, once identified to the facility management, should be evaluated for safety significance and reporting in accordance with the criteria set forth in this Handbook.

D. OTHER

The fourth source of potential noncompliance identification will be from management oversight and worker involvement in the facility operation. Sources may be allegations or concerns from the whistleblower program or local or external "Hot Line Operations," media reports, congressional inquiries, and issues that are brought to the attention of management.

3. THRESHOLDS FOR SIGNIFICANT NONCOMPLIANCES

The first threshold to be met is whether the occurrence or condition is a potential noncompliance with a nuclear safety requirement based on a PAAA Rule or a DOE approved Implementation Plan. Once it is established that the occurrence or condition in question is indeed a potential noncompliance with a nuclear safety requirement, then it should be appropriately documented and corrected. Significant safety noncompliances should be reported to DOE through the NTS. Other noncompliances should be reported through contractor self tracking processes. Thus identifying and reporting these noncompliances enable DOE to consider mitigation of any civil penalties that may arise. Criteria for determining whether a noncompliance is "significant" have been developed by DOE to aid the contractor in flagging those noncompliances that should be reported in the NTS. These threshold criteria aid in the identification of those significant noncompliances which, because of their potential or actual adverse impact to the environment or the health and safety of workers or the public, merit additional management evaluation by both the contractor and DOE.

The Enforcement and Investigation Staff, in coordination with appropriate DOE field elements, will review those potential noncompliances reported by the contractor as meeting a safety significant threshold criterion. The contractor will be notified through the onsite DOE PAAA Coordinator of those reported noncompliance issues which have been determined to be more appropriately resolved through the existing processes, rather than through the formal enforcement process.

The three sections in Table 3 may assist the contractor in determining if the noncompliance is significant or minor. All three sets of criteria should be reviewed in order to make this conclusion. The following describes the three sections of the Table:

3-1 Programmatic or Management Deficiencies:

This set of criteria, described in Table 3-1, considers failure of management or programmatic impacts surrounding the noncompliance.

3-2 Minimum Criteria based on DOE Order 261:

A significant noncompliance may fit certain well-defined minimum criteria easily recognizable by the contractor. These types of noncompliances are based on the Nature of Occurrence subgroup, and Occurrence Category as defined in DOE Order 261 Occurrence Reporting and Processing of Operations Information, and are listed in Table 3-2.

3-3 Failure of Administrative Actions:

This set of criteria, based on failure of administrative actions, are described in Table 3-3.

Where there is legitimate disagreement between the contractor and DOE whether a potential noncompliance should be reported in the NTS, it is recommended that the disagreement be addressed at the appropriate level between DOE and contractor management. If agreement cannot be reached, the contractor is encouraged to report the potential noncompliance. The contractor may note its disagreement with DOE in the NTS.

A. PROGRAMMATIC OR MANAGEMENT DEFICIENCIES

Programmatic or management deficiencies require more judgement than the application of the criteria noted in Table 3-2 and are indicative of programmatic, management or conduct of operations deficiencies that aggravate the situation. These deficiencies might be identified while performing trending and analysis of the minor noncompliances data. Other issues might be uncovered during the investigation and causal analysis of minor noncompliances. Identification of any of these can be viewed as a potential "significant" noncompliance to be reported into the NTS. Examples of these programmatic or management deficiencies follow. These noncompliances should be treated as significant, even though they might be otherwise below the significant noncompliance threshold level of Table 3-2.

(1) Repetitive or Recurring

The same noncompliance or a closely similar noncompliance has continued to occur, indicating the corrective action, including root cause determination, has not been effective.

Example 1: A component in a critical safety system required to be operable by TSR requirements was found to be inoperable, but did not fit the Unusual Occurrence for subgroup C of Facility Condition, since a redundant train was functional and the safety function could thus still be performed. The condition was also within the design basis for the facility and did not violate a TSR. Root cause evaluation concluded that normal system wear had led to the

problem and that preventive maintenance (PM) was required to preclude similar recurrence. Corrective actions to restore the system to operable status and changes to PM procedures were performed. Subsequently, a similar failure in the other train occurred, and was attributed to the same causes. Failure to implement remedial actions on the other train, when the deficiency in the PM procedures was previously identified, was determined to have led to the additional critical safety system degradation. Inadequate implementation of the corrective action led to the recurrence. Once it was established that this failure was *repetitive*, indicating the previous corrective action had not been effective, the noncompliance was determined to be significant and reported through NTS.

(2) Programmatic Breakdown

Several minor, related but not identical noncompliances have occurred, indicating a common breakdown in a program or area of a program. A total collapse of the program does not have to occur before the event is categorized as a "Programmatic Breakdown". Rather, it might involve a common cause of related noncompliances indicating a weakness in the program which allowed or contributed to the noncompliances occurring. A programmatic breakdown generally involves some weakness in administrative or management controls (or implementation of these) to such a degree that systematic problems, including noncompliances, occur. This weakness might be identified as part of the root cause determination for a single event. Or it might be identified by the presence of multiple control failures within the boundaries of a single occurrence, failures which indicate a common breakdown in a program or area of a program.

Example 2: While disposing of radiologically contaminated equipment, personnel did not follow work package instructions to notify radiological control technicians for survey of the equipment before beginning work. Therefore, the workers did not know the exact contamination or radiations levels with which they were dealing. In addition, the work was done under a radiation work permit that did not cover the scope of work to be performed. The bag holding the contaminated equipment was inadvertently cut during disposal work, and was repaired by taping over the cut, rather than by overbagging. The repair method was inadequate to prevent contamination of the exterior of the bag, and of the floor beneath the bag. These multiple instances of failure to follow approved procedures during the occurrence led to the determination that there had been a reportable breakdown within the boundaries of the occurrence.

Example 3: A fire occurred in an area that contained critical safety equipment, but did not threaten the equipment before manual suppression systems extinguished the fire. The fire did not activate a fire suppression system. The fire event was determined to be an Off-Normal Occurrence under the Fire/Explosion category. Investigation of the fire established that personnel performing a welding repair activity inappropriately introduced some combustible material into the area without providing adequate protection.

This action was not in accordance with administrative procedures for control of welding activities. Further review found that these personnel had not received their required training in these administrative procedures. Similar occurrences of personnel not receiving required training had been identified in other events, some of which were not noncompliances. Because of these similar programmatic breakdowns in the area of training, this latter determination of lack of adequate training was determined to be a *programmatic breakdown*.

(3) Intentional Violation of Nuclear Safety Requirement

Example 4: An individual intentionally violated a nuclear safety requirement. The contractor later determined that the individual's actions were willful, although this aspect was not known immediately. This finding, however, should flag the contractor to notify DOE, including through the NTS, without delay once the noncompliance was found to involve some willful aspects.

Example 5: A facility supervisor directs a radiological control technician not to perform scheduled contamination surveys to avoid paying overtime. The survey records were then falsified to indicate that the surveys were performed when, in fact, they were not. Even though not meeting any of the criteria of Table 3-2, this potential noncompliance should be considered significant since it involved a willful violation.

(4) Significant Management Failure

This criteria involves a significant breakdown in management processes or actions.

Example 6: A contractor supervisor decides to allow a schedule date in an approved Rule Implementation Plan to be missed, due to pressing demands to complete some repair activities to critical Safety Class equipment. The supervisor had the opportunity to request a schedule change to the Implementation Plan or notify DOE that the schedule date would be missed; he did not do so. The supervisor was aware that his actions would represent a noncompliance, but judged that since it was below the Table 3-2 minimum criteria, the noncompliance was not significant. Once the contractor PAAA Coordinator became aware of the occurrence, he concluded that it was potentially a significant management issue even though it was otherwise below the Minimum Criteria in Table 3.2. Therefore he reported it through the NTS for evaluation.

Example 7: Radioactive contamination was found on an individual who had not been working in a facility controlled area. Since the contamination level was low, the event was classified as an Off-Normal occurrence under the Personnel Contamination category. Management initially determined that the investigation of the occurrence was a low priority. Shortly thereafter, several

additional cases of contamination on personnel occurred, where personnel had also not been working in facility controlled areas. Some of these cases required off-site medical assistance. These cases constitute a significant safety issue, and were determined to be above the Minimum Criteria of Table 3-2 and thus reported. Additionally, since the potential significance of the first issue was not appropriately recognized by management, it was subsequently determined to be significant and reported through the NTS.

(5) Misrepresentation

Misrepresentation includes the following: intentional concealing of facts to avoid identifying the occurrence as a nuclear safety noncompliance; falsification of records or reports; or intentional reporting of inaccurate or incomplete information to the internal self-tracking system.

Example 8: A supervisor found that a surveillance required to be performed on a piece of critical Safety Class equipment had been performed incorrectly by one of his staff, and that if re-performed would be outside the required frequency for the surveillance. The supervisor decided not to raise the issue of the incorrectly performed maintenance. Subsequently, an employee aware of the situation raised the concern to senior management. Once the concern was validated, management decided that the occurrence represented a noncompliance, which was below the Minimum Criteria of Table 3-2 (i.e., it was an Unusual Occurrence for Subgroup 1.F), but should be reported through NTS since it involved *misrepresentation* of information.

If the noncompliance does not meet the Table 3-1 criteria, it should be reviewed against the criteria of Tables 3-2 and 3-3 as described in the following.

B. RELATIONSHIP OF DOE ORDER 261 SIGNIFICANT OCCURRENCES TO THRESHOLD REPORTING

To obtain consideration for mitigation of civil penalties, any noncompliance that meets the criteria in Table 3-2 should be reported to the NTS as a potential safety significant noncompliance. These criteria are based on the Nature of Occurrence and Occurrence Category in DOE Order 261.

C. FAILURE OF ADMINISTRATIVE ACTIONS

Certain failures of administrative actions should be reported as significant noncompliances, even if the criteria of Tables 3-1 and 3-2 are not met. The criteria are listed in Table 3-3, Failure of Administrative Actions.

D. MINOR NONCOMPLIANCES

Noncompliances that do not meet the criteria of Tables 3-1, 3-2 or 3-3 are tracked by a contractor's existing internal tracking process.

E. TABLES LISTING THE MINIMUM SIGNIFICANT NONCOMPLIANCE REPORTING CRITERIA

Table 3-1, PROGRAMMATIC OR MANAGEMENT DEFICIENCIES
Repetitive
Programmatic Breakdown
Intentional Violation
Significant Management Failure
Misrepresentation

Table 3-2, DOE ORDER 261 SIGNIFICANT OCCURRENCES		
NATURE OF OCCURRENCE	SUBGROUP	OCCURRENCE CATEGORY
1. Facility Condition	A. Nuclear Criticality Safety	Unusual
	B. Fires/Explosions	Unusual
	C. Safety Status Degradation	Unusual
	D. Loss of Control of Radioactive Material/Spread of Contamination	Unusual
	E. Vital/System Component Degradation	Unusual
	F. Violation/Inadequate Procedures	Unusual
	G. Unsatisfactory Surveillance/Inspections	Unusual
	H. Operations	Unusual
2. Environmental	A. Radionuclide Releases	Unusual
	C. Hazardous Material Contamination	Unusual
4. Personnel Radiation Exposure	A. Personnel Radiation Exposure	Unusual
	B. Personnel Contamination	Unusual

Table 3-3, FAILURE OF ADMINISTRATIVE ACTIONS
Failure to activate the site emergency plan as required as a result of a noncompliance issue.
Failure to complete a significant action as identified in a DOE-Approved PAAA Implementation Plan.
Failure to meet a DOE PAAA Compliance Order.
Failure to identify and/or report to DOE an Unreviewed Safety Question.

4. NOTIFICATION METHODS

A. METHODS TO NOTIFY DOE

Discussed below is the method by which potential noncompliances of nuclear safety requirements can be reported to DOE.

(1) Report Nuclear Safety Noncompliances to the Noncompliance Tracking System (NTS)

To obtain consideration for mitigation of civil penalties based on prompt identification and reporting, the contractor should report potential noncompliances to the DOE-sponsored centralized data base referred to as the Noncompliance Tracking System (NTS) for those violations meeting the threshold criteria in Tables 3-1, 3-2 or 3-3. The use of the NTS is discussed in detail in Section 5, Noncompliance Tracking System.

(2) Report Minor Noncompliances to Contractor Self-Tracking System

The contractor would use the NTS to report significant potential noncompliances to DOE and would maintain its own systems for reporting and tracking the minor potential noncompliances. (Generally any potential noncompliance that does not fall within the criteria of Table 3.1, 3.2, or 3.3 would be tracked by the contractor in its existing local self-tracking system.) Should one of these noncompliances be reviewed subsequently by DOE and considered for enforcement action, the contractor's recording and self-tracking of the noncompliance, will be considered to be contractor identified and reported for purposes of consideration for mitigation under the enforcement policy.

However, a significant mis-characterization of the facts or safety significance surrounding the circumstances of the noncompliance has the potential to negate any consideration for mitigation.

B. INITIAL REPORTS

DOE understands and accepts that the initial description of the potential noncompliance provided by the contractor may be limited. Full investigation into the noncompliance and a causal analysis by the contractor is not required before the potential noncompliance is reported to DOE. Because full investigation is not required for the initial report, DOE will not pursue an enforcement action based solely upon the initial description of a potential violation provided by the contractor. In other words, a report of a potential noncompliance in either the centralized NTS data base or the contractor's data base will not be taken as a conclusion that a significant noncompliance actually exists. Rather, DOE will review and evaluate all available information prior to determining whether the potential noncompliance has the requisite safety significance to warrant commencing the formal enforcement process.

5. NONCOMPLIANCE TRACKING SYSTEM

A centralized data base allows contractors to promptly report significant potential noncompliances and take advantage of the mitigation provision of the enforcement policy. This data base, called the Noncompliance Tracking System (NTS), will be linked to the PC ORPS and automatically copy pertinent data from certain ORPS fields into the corresponding centralized data base fields, thereby reducing data entry.

DOE prefers that significant potential noncompliances, as defined in Section 3, Thresholds for Significant Noncompliances, be reported in the NTS and that the minor noncompliances be reported in the contractor's tracking system.

Reporting of a potential minor noncompliance in the contractor's tracking system constitutes formal reporting to DOE for PAAA enforcement purposes.

The system requirements for accessing and use of the NTS are included in the appended NTS Users Manual. However, additional guidance for input of information into several of the fields is provided below.

A. DESCRIPTION OF NONCOMPLIANCE

This field should contain a clear, concise, factual, and objective description of the noncompliance to include any impact on the environment, safety, and health.

If the information in this field is not clear or if more information is deemed necessary, a DOE representative might contact the contractor for additional information. As stated earlier, DOE will not take enforcement action based solely upon information in the NTS.

B. CORRECTIVE ACTIONS

The three fields pertaining to corrective actions include the target and actual completion dates for corrective actions as well as a brief summary addressing the root cause and the corrective action. The contractor is expected to take as many corrective actions as needed to prevent the noncompliance from recurring. The contractor need not list every corrective action used to prevent recurrence, but should list the significant corrective actions.

The noncompliance condition should be corrected for the nuclear facility at which the noncompliance occurred as well as any other nuclear facilities under the management of the respective M&O or not-for-profit contractor. These corrective actions are not required to be approved by the DOE, however, the DOE may be involved in the selection of the corrective action if there will be a significant commitment of funds or a request for additional funds to correct the noncompliance.

Once the corrective actions have been completed and entered into the NTS, the contractor has the option of closing the report at that time or leaving it open for an additional 45 days. The

NTS will not allow a noncompliance report to be closed until all reported corrective actions have been completed. The NTS computer system will automatically close the report 45 days after the last corrective action has been entered. This option allows the contractor to add corrective actions, if appropriate, within the 45 day window after completion of the last corrective action.

Corrective actions as described in the NTS are primarily for tracking and closure purposes; it is not a forum to argue the comprehensiveness of corrective actions. If an enforcement action is contemplated, the contractor will have the opportunity to discuss corrective actions during the enforcement review process. As noted earlier, the contractor will have ample opportunity to update, provide more detail or add more corrective actions to a noncompliance report in the event it is being considered for enforcement action by DOE.

C. CONTRACTOR PAAA COORDINATOR

The NTS will enter the name and phone number of the person transmitting this report to the NTS system based on the authorization password.

D. ORIGINATOR

The fields associated with the originator will show the name, phone number, and organizational title of the person most knowledgeable about the noncompliance. The Enforcement and Investigation staff will initially contact this person for additional information, if necessary. The contractor may designate other personnel as points of contact to work with the DOE Investigator.

6. CONTRACTOR TRACKING SYSTEM

The contractor can record minor noncompliances in its existing local tracking system at each facility or site as appropriate. The use of a local tracking system will serve as the official notification to DOE of any minor noncompliance of nuclear safety requirements as well as an audit trail for corrective actions. DOE does not require, nor will it provide, any new funding for developing and maintaining a special tracking system for PAAA purposes.

7. SUMMARY OF DOE'S PHILOSOPHY

The following is a summary of DOE's philosophy for meeting the spirit and intent of the noncompliance reporting program. An implementation plan is not required in support of this Handbook.

- a. Events or conditions are reviewed for potential noncompliance with a DOE Nuclear Safety Requirement,
- b. Each potential noncompliance is categorized as either significant or minor,
- c. The noncompliance report is prepared, reviewed and coordinated internally as required and transmitted to the NTS or contractor tracking system,

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- d. Minor noncompliances reported in the contractor's tracking system are periodically reviewed for trends. Significant trends are reported to the NTS as appropriate.
- e. Noncompliances are appropriately corrected.
- f. Complete files for PAAA purposes are to be maintained for a period of two years. However, files may need to be maintained for an additional time period in accordance with contractual, procedural, or Federal requirements,
- g. Only designated contractor personnel are authorized to transmit reports to the NTS (Term Enforcement Coordinator is used on the NTS),

Note: The number of personnel designated to transmit the initial report and to update corrective actions should be limited to ensure that incorrect information is not put on the system.

- h. Designate a point of contact for each significant potential noncompliance (The term Originator is used in the NTS report.)

Note: This person should be knowledgeable about the noncompliance. He/she should be able to answer any technical questions about the noncompliance or identify individuals with the best knowledge to discuss the issue and be able to assist the DOE during any initial inquiries about the potential noncompliance.

Details on use of the NTS are provided in an appended document, NTS Users Manual.

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Addendum

Noncompliance Tracking System Users Manual

Introduction to NTS

The Price-Anderson Act provided indemnification to DOE contractors who manage and operate nuclear facilities in the DOE complex. In 1988, the Price-Anderson Amendments Act (PAAA) was signed into law to continue this indemnification. The PAAA subjects DOE indemnified contractors, subcontractors and suppliers to potential civil and criminal penalties for violations of DOE rules, regulations, and compliance orders relating to nuclear safety requirements. DOE's Enforcement Policy (Appendix A to 10 CFR, Part 820) allows for mitigation of a civil penalty when a DOE contractor promptly identifies a violation and reports it to DOE. Additionally, the Enforcement Policy gives DOE discretion to not issue a Notice of Violation in certain cases.

The responsibility to carry out the statutory enforcement authority provided to the DOE in the PAAA resides with the Enforcement and Investigation Staff. This office, with support from Lockheed Martin Idaho Technologies Company (LITCO), developed the Noncompliance Tracking System (NTS) to provide the DOE contractor community with a centralized data base for reporting and tracking potential violations of nuclear safety requirements to take advantage of the aforementioned mitigation provisions in the Enforcement Policy.

NTS is operated by Lockheed Martin Idaho Technologies Company, under the direction of DOE's Enforcement and Investigation Staff. Access to NTS through ORPSNET is via workstations located at each user's site and via Ethernet through the DOE Intranet. Communication to the computer also can be made through a phone modem.

Noncompliance Tracking System

It is the preferred path that potential significant noncompliances, as outlined in the tables that follow, be reported in the NTS and that the minor potential noncompliances be reported in the contractor's existing tracking systems.

Reporting of a potential minor noncompliance in the contractor's tracking system constitutes formal reporting to DOE for PAAA enforcement purposes.

Minimum Significant Noncompliance Reporting Criteria

Thresholds for potential significant noncompliances that should be reported in NTS are shown in the following tables.

Table 3-1 PROGRAMMATIC OR MANAGEMENT DEFICIENCIES

Repetitive
Programmatic breakdown
Intentional violation
Significant management failure
Misrepresentation

Table 3-2 DOE ORDER 261 SIGNIFICANT OCCURRENCES

NATURE OF OCCURRENCE	SUBGROUP	OCCURRENCE CATEGORY
1. Facility Condition	A. Nuclear Criticality Safety	Unusual
	B. Fires/Explosions	Unusual
	C. Safety Status Degradation	Unusual
	D. Loss of Control of Radioactive Material/Spread of Contamination	Unusual
	E. Vital/System Component Degradation	Unusual
	F. Violation/Inadequate Procedures	Unusual
	G. Unsatisfactory Surveillance/Inspections	Unusual
	H. Operations	Unusual
2. Environmental	A. Radionuclide Release	Unusual
	C. Hazardous Material Contamination	Unusual
4. Personnel Radiation Protection	A. Personnel Radiation Exposure	Unusual
	B. Personnel Contamination	Unusual

Table 3-3 FAILURE OF ADMINISTRATIVE ACTIONS

Failure to activate the site emergency plan as required as a result of a noncompliance issue
Failure to complete a significant action as defined in a DOE-approved PAAA Implementation Plan
Failure to meet a DOE PAAA compliance order
Failure to identify and/or report to DOE an unreviewed safety question

NTS User Classifications

General Users

Contractor General Users are contractor staff who have access to the PC NTS and limited read capabilities on the host computer. They do not have the authority to create, transmit, or edit NTS data. Contractor General Users have access to only those open and closed noncompliance reports submitted by their contractor.

Host computer options available to Contractor General Users are the NTS Search and Reports, Authority File Report, and PC NTS Software Download. All other registered NTS users have access to these host options as well.

DOE General Users are DOE employees who have read capabilities for all Noncompliance Reports available on the host computer (open and closed). They do not have the authority to create, transmit, or edit NTS data.

Contractor PAAA Coordinators

Contractor PAAA Coordinators, or their designees, are contractor personnel who are responsible to notify DOE of noncompliance conditions. Contractor PAAA Coordinators create NTS records of potential noncompliance conditions using the PC-based NTS Contractor Entry Screen (PC NTS), transmit these records to the host computer, and document completion of corrective actions in the Corrective Action Update Screen (host).

Contractor PAAA Coordinators cannot change a Noncompliance Report once the report has been transmitted to the host NTS data base except to document the completion of corrective actions or to change corrective action target dates. If a Contractor PAAA Coordinator transmits incorrect data to NTS (e.g., Building 102 should be Building 201), he/she will need to send a written request to the Docket Clerk, Enforcement Staff, who will then modify the data.

DOE PAAA Coordinators

The DOE PAAA Coordinator, or his/her designee, is the primary DOE person responsible for interface with Enforcement staff and contractor personnel on Price-Anderson issues. The Enforcement staff will routinely collaborate with the DOE PAAA Coordinator during the evaluation of potential noncompliances.

Enforcement Staff Evaluators

Authorized Enforcement Staff have the responsibilities for evaluating NTS records in coordination with appropriate DOE Field elements including, when appropriate, assigning severity levels. They have the authority to edit NTS fields in all screens on the host, and are responsible for processing significant noncompliances in accordance with the DOE Enforcement Policy.

Enforcement Staff Evaluators can enter data in the Initial Evaluation Screen, the Preliminary Notice of Violation Screen, the Final Notice of Violation Information Screen, and the Resolution Information Screen.

DOE Field Office Representative

Authorized DOE field or operations office staff are able to read all data in all NTS screens and attach comments to noncompliance reports submitted by those contractors managed by his/her field office. They cannot add or edit any other data in NTS. Once a DOE Field/Operations Representative writes comments to a report he/she must send a written request to the Docket Clerk, Enforcement Staff to modify these comments.

DOE-HQ Program Office Representatives

Authorized DOE headquarters staff are able to read all data in all NTS screens and attach comments to noncompliance reports submitted by those contractors managed by his/her program office. They cannot add or edit any other data in NTS. Once a DOE-HQ Program Office Representative writes comments to a report he/she must send a written request to the Docket Clerk, Enforcement Staff to modify these comments.

Hardware and Software Requirements

All NTS users must have the following:

- Hewlett-Packard (HP) block mode terminal: Macintosh computer with Reflection 3 terminal emulation software, or IBM-compatible PC with Reflection 1 terminal emulation software (Reflection 7 is acceptable).
- Modem or connection to the DOE Frame Relay Network. If connecting to NTS via the DOE Frame Relay Network, 3000 Connection or some other TCP/IP communications software that is compatible with Reflection 1 or 7 is needed.

If you experience software difficulties or need registration information, please call the ORPS/NTS Help Desk at (208) 526-8900.

Computer Registration and Security

All NTS users must register with the computer system manager at Lockheed Idaho Technologies Company, a DOE contractor at the Idaho National Engineering Laboratory (INEL). The following form must be completed to become a registered NTS user:

- Form IDF-5000.A, Operational Event Information Systems Computer Registration Form.

To obtain this form, write or call:

Operational Event Information Systems
Lockheed Idaho Technologies Company
P.O. Box 1625
Idaho Falls, ID 83415-3485
Telephone: (208) 526-8900
Fax: (208) 526-0793

Users need to be aware that NTS is a U.S. Government computer system and, as such, has security requirements that must be followed. These security requirements are mandated by DOE Order 1360.2, "Unclassified Computer Security Program." Users must be aware that the information contained in NTS is restricted and that it is only to be accessed by authorized users for official government business.

By completing and signing Form IDF-5000.A, you agree to adhere to the security requirements specified on the form. For example, Number 11(c) of the form, states, "I understand that I am responsible for protecting my assigned password for confidentiality, and ensuring that no one except myself gains access to Lockheed Idaho Technologies Company/DOE computer systems with my assigned user ID and password."

Connecting to NTS

Network

After Reflection has been loaded, type **TELNET** and the appropriate Internet address or name. For example, **198.60.193.28** or **ORPSX.INEL.GOV**. Ethernet access to the host computer is through the DOE Frame Relay Network. For security reasons, access to NTS over the Internet is not available. This is due to the sensitive nature of NTS data that are on the host computer and the widely available access to the Internet outside the DOE community.

Modem

After the Reflection software has been loaded, type **AT** (if your modem uses the Hayes AT command set) and press **ENTER**. If Reflection responds with "OK", you are ready to dial the host computer. Type the letters **ATDT**, the long distance access code, and then **one of the following phone numbers including the commas**:

Normal Operation: 208,526,0550

Backup Phone Number: 208,525,5555

Successful connection to the host computer results in the display of the host computer security message and the **DOE XL:** prompt on your workstation screen.

User-Generated Passwords

NTS users have the ability to generate their own passwords. In creating a password, the following requirements must be met.

- Passwords **must** be **six** characters in length.
- The first character must be a letter; the last character can be either a letter or a number.
- The second through fifth character may be either a letter or a number, as long as there is at least one of each.
- The user's three-character user ID **cannot** be part of the password.
- Repeating consecutive characters are not allowed (e.g., aa or 33).
- An old password cannot be reused for at least one year.

Passwords will expire after six months. You will receive an on-screen warning message one month before your password is due to expire. To change your password prior to its expiration, get to the **XL:** prompt. For example, you are at the **OPERATIONAL EVENT INFORMATION SYSTEMS** selection menu, type **E** and press **ENTER**. Type the word **PASSWORD** and then press **ENTER**. The system steps you through the password change process with on-screen messages.

If you fail to change your password before it expires, you can still access the system to generate a new password. When you attempt to log on using your expired password, the message *****Your USER password has expired***** will appear on-screen, along with the requirements for generating a new password, followed by the system prompt **ENTER USER PASSWORD:**. You must type a new password and then press **ENTER**.

If the password you entered meets the requirements, you will be prompted to enter the new password again. Enter the new password and then press **ENTER**. The message **Welcome You are now signed on. END OF PROGRAM** will then be displayed.

You can change your password at any time by typing the word **PASSWORD** at the **XL:** prompt and then pressing **ENTER**. A password change is highly recommended if you suspect that your password has been compromised.

Log On and Log Off

The following discussion applies to a standard log on/off to NTS. If you are using PC NTS to log on, all you need to do is enter your user ID and password when prompted.

Once a connection is made between the user terminal/PC and the host computer, press **ENTER**. The computer will respond with **DOE XL:**.

If you are using an HP terminal or a PC with an HP terminal emulator, such as Reflection, type the following log-on string after the **DOE XL:** prompt:

HELLO xxx.DOE (where **xxx** is your three-character user ID). Press **ENTER**.

If you are using a non-HP terminal or a non-HP terminal emulator such as Relay, Crosstalk, or SmarTerm, type the following log-on string after the **DOE XL:** prompt:

HELLO xxx.DOE; TERM=18 (where **xxx** is your three-character user ID). Press **ENTER**.

Enter User Password: will appear on the screen when the log-on string has been accepted. Type your password and press **ENTER**. Your password will not be displayed on the screen as a security feature. If your ID and password are correct, system messages will appear on the screen prior to the Operational Event Information Systems Selection Menu.

If the correct password is not entered in three attempts, the computer will terminate the session and you must begin the log-on process again. After nine unsuccessful log on attempts, your user ID will be deactivated. If this occurs, call the ORPS/NTS Help Desk for assistance.

To log off from NTS and exit Reflection, type **E** from the NTS Main Menu. You will be returned to the Operational Event Information Systems Selection Menu. Type **E** and press **ENTER**. You will be returned to the **XL:** prompt, type **BYE**, and press **ENTER** to log off.

Host Computer Operational Event Information Systems Menu

OPERATIONAL EVENT INFORMATION SYSTEMS MENU

OPERATIONAL EVENT INFORMATION SYSTEMS		
NO	--TYPE-----	DESCRIPTION-----
01	(MENU)	ORPS - Occurrence Reporting & Processing System Only those people with proper ORPS access authority will be able to choose this selection. To obtain access, call (208) 526-8900.
02	(MENU)	PIDS - Performance Indicator Data System
03	(MENU)	CAIRS - Computerized Accident/Incident Reporting System
04	(MENU)	NTS - Noncompliance Tracking System
05	(MENU)	DeskManager (E-Mail)
E - END		
ENTER STEP		

This menu provides a quick and easy method to access ORPS, PIDS, CAIRS, NTS, or DeskManager (E-Mail). This menu is presented immediately after the system messages.

Type 1 and press **ENTER** to access ORPS.

Type 2 and press **ENTER** to access PIDS.

Type 3 and press **ENTER** to access CAIRS.

Type **4** and press **ENTER** to access NTS

Type **5** and press **ENTER** to access DeskManager (E-Mail)

Type **E** and press **ENTER** to exit.

Menus/Tasks Common to all NTS Users

Contractor General User Menu

NONCOMPLIANCE TRACKING SYSTEM (NTS) MENU		
NO	TYPE	DESCRIPTION
01	(TASK)	NTS Search and Reports
02	(TASK)	Authority File Report
03	(TASK)	PC NTS Software Download
04	(TASK)	Enter Your Remarks about this Menu/Task
E - End ? - Help		
ENTER STEP		

This menu will appear after log on and selection of NTS by registered Contractor General Users. In addition to the four TASKs listed for the Contractor General Users, other NTS users will have more MENUS/TASKS to perform their specific NTS functions. However, the four TASKS listed here are available to all users. These options will appear as the last four TASKS on their menus.

NTS Search and Reports: To access this option, type 1 and press **ENTER**. A search menu will be displayed that lists the search options that are available. This menu allows you to perform a variety of custom searches on records residing in the NTS data base. Refer to the "Search and Reports Menus" section of this booklet for further details.

Selection of this TASK by Contractor PAAA Coordinators and Contractor General Users will be filtered so that reports for facilities submitted by their contractor can be seen. All DOE users have access to all reports.

Authority File Report: To access this option, type the number to the left of this option and press **ENTER**. A search menu will be displayed that lists the search options that are available. This menu allows you to select facilities by facility code, contractor, DOE Operations Office, and or DOE-HQ Program Office. Following the selection, two different reports are available: Authority File Report and Facility Report. To access these reports, type the number to the left of the Print/View reports option and press **ENTER**. A Report Options menu is displayed.

Type 1 and press **ENTER** to access the Authority File Report. This report contains the names, user IDs, user type, and telephone numbers of all Contractor PAAA Coordinators, Enforcement Staff Evaluators, DOE Operations Office Representatives, and DOE-HQ Program Office Representatives for the selected facilities. The data are sorted by facility, user type, and user ID.

Type 2 and press **ENTER** to access the Facility Report. This report contains the Operations/Field Office, Area Office, facility name, and facility codes.

PC NTS Software Download: To access this option, type 3 and press **ENTER**. After you select this option, the system will prompt you through the download process. All Contractor PAAA Coordinators will need to install this software on their PC/workstations to be able to submit Noncompliance Reports to NTS.

All registered DOE NTS Users have another option associated with this TASK. This TASK is titled: **PC NTS/Visimage Software Download**.

Enter Your Comments About This Menu/Task: To enter your remarks, type 4 and press **ENTER**. Enter up to 80 characters per line. Press **ENTER** at the end of each line. We welcome your comments regarding problems that you may be experiencing using NTS; and we encourage your suggestions for updates on existing materials, including positive feedback regarding things you like about the system. If you leave a comment that requires an answer, an Operational Event Information System staff member will respond to your comments on the following workday.

Search and Reports Menus - All Users

The following search items and functions are found in the NTS search and reports menus. The search items and functions are similar in each of the menus, although the number of menus may vary.

Search items can be entered individually or a number of items can be entered at one time if the items are separated by commas. For example, if a 5 is entered, the system will prompt for a DOE Program Office. After you enter the value for the DOE Program Office, you can then enter additional search items. Alternately, you can enter 5, 6, 7 for the DOE Program Office, Field Office, and Area Office. The system will then prompt you to enter values for each of these items, in sequence. The values you enter are not case sensitive, that is, either upper or lower case is accepted.

The following screen appears after any user selects the NTS Search and Reports task from the NTS Noncompliance main menu.

NTS SEARCH AND REPORTS MENU	
<pre> ***** * NTS Search and Reports * ***** </pre>	
<pre> *** Search Menu *** Total number of noncompliance reports in the data base is: 34 Current number of noncompliance report(s) selected is: 34 </pre>	
<pre> 1. Create Search Profile 2. Execute Search profile 3. Noncompliance Report No. Submenu 4. Narrative Search Submenu 5. DOE Program Office 6. Field Office 7. Area Office 8. Contractor 9. Facility 10. Facility Function 11. Org. that Discovered Noncompl. 12. Potential Review Action 13. Category Type </pre>	<pre> 14. Nature of Occurrence 15. ORPS Number 16. Discovery Date 17. Noncompliance Close Date 18. Last Noncompliance Change 19. Report Date 20. Report year of NTS No. 21. Corr. Act. Target Date 22. Corr. Act. Actual Cmpl't Date 23. Perform a New Search 24. Print/View Reports 25. Quit Search and Reports </pre>
<pre> Type "HELP" for general info. or "HELP" and an item #, ie. "HELP 3". Choose number 25 to end session or pick a number </pre>	
<pre> E - End ? - Help ENTER STEP </pre>	

Search Options

The following text describes the search and report items/functions found on the NTS Search and Reports menu. A discussion of the search operators that can be used for entering criteria for searching can be found in the "Search Logic" section of this booklet. These operators also can be displayed on the host by typing ? at the NTS Search and Reports menu. Additional help may be obtained by typing **HELP** and an item or function number, or by typing **HELP** after an item or function has been selected.

1. Create Search Profile: A search profile is a sequence or pattern of search choices. These choices are stored and "remembered" by the host computer. A search profile should be created if you plan to use the same search pattern repeatedly.

2. Execute Search Profile: Use this option to perform a search sequence based on the search profile previously developed by using the "Create Search Profile" option. A Search Profile will cause the same search choices to be selected each time it is executed.

3. NTS Report Number Submenu: The NTS number is a composite of six other fields that can be searched separately. NTS is preceded by the Operations/Field Office, Area Office, Contractor, Facility, Year of Noncompliance, and sequence number. This format closely follows that of the Occurrence Report numbering format of ORPS.

Remember that you must place two dashes between the Field Office and Contractor codes for those Field Offices having no Area Offices.

Example with no Area Office: NTS-ID--LITC-ATR-1995-0001

Example with Area Office: NTS-CH-AA-ANLW-EBR-1995-0001

4. **Narrative Search Submenu:** This option provides a submenu of individual narrative items that can be searched. Type **HELP 4** at the NTS Search Menu to obtain guidance on searching the narrative sections of NTS Reports. Use of the search operators is very helpful when performing complex word searches. Type **?** at the NTS Search and Reports main menu to obtain help on the use of these search operators.
5. **DOE Program Office:** Every NTS report will have a DOE Program Office associated with it. A two-character code has been created for each of the DOE Program Offices. To obtain a list of these codes, type **HELP 5** at the Search Menu.
6. **Field Office:** Every NTS report will have a DOE Operations/Field Office associated with it. A two-, three-, or four-character code has been assigned for each of these DOE Operations/Field Offices. To obtain a list of these codes, type **HELP 6** at the Search Menu.
7. **Area Office:** Area Office is a two-character acronym for the Area Office within the DOE Operations/Field Office. This item will be blank for Operations/Field Offices that do not have Area Offices. To obtain a list of existing codes, type **HELP 7** at the Search Menu.
8. **Contractor:** This item is a four-character name or acronym for the DOE contractor involved with the Noncompliance Report. An example would be "LITC" for the Lockheed Idaho Technologies Company. To obtain a list of existing codes, type **HELP 8** at the Search Menu. These contractor codes also can be obtained from the Authority File Report.
9. **Facility:** This is a 10-character name or designation that uniquely identifies a facility under the direction of a DOE contractor. An example is "ATR" for the Advanced Test Reactor. These facility codes can be obtained from the Authority File Report.
10. **Facility Function:** This is a two-digit code that describes the type of facility or the activity/function of the facility at the time of the noncompliance. Type **HELP 10** at the NTS Search Menu to obtain a list of these codes.
11. **Organization that Discovered Noncompliance:** Enter the code for the organization that discovered the potential noncompliance condition. Type **HELP 11** at the NTS Search Menu to obtain this list of codes.

12. Potential Enforcement Review: Enter YES or NO. Type **HELP 12** at the NTS Search Menu.

13. Category Type: Only those Noncompliance Reports that have a corresponding Occurrence Report will have a category assigned. The coding scheme and definitions for categorization of occurrences is contained in DOE Order 261. Type **HELP 13** at the NTS Search Menu to obtain a list of these codes.

14. Nature of Occurrence: This code, which is described in attachment one of DOE Order 261, is the concatenation of a number and a letter. As an example, **01C** is the code for Safety Status Degradation. Note that you do not have to type the leading zero. Any NTS Report that has a corresponding Occurrence Report will have at least one Nature of Occurrence Code. Up to three codes can be assigned to each NTS report. Type **HELP 14** at the NTS Search Menu to obtain a list of these codes.

You can retrieve the nature of occurrence from the major headings by using the "@" wildcard. For example, 4@ will return all NTS reports that have Nature of Occurrence codes (all starting with 4) identifying Personnel Radiation Exposure issues.

15. ORPS Number: A submenu will be displayed that allows you to search for one or more ORPS Occurrence Reports by the OR number. Note that all Noncompliance Reports may not have a related Occurrence Report. The format for an OR number follows:

Remember that you must place two dashes between the Field Office and Contractor codes for those Field Offices having no Area Offices.

Example with no Area Office: ID--LITC-ATR-1995-0001

Example with Area Office: CH-AA-ANLW-EBR-1995-0001

16. Discovery Date: This is the date of discovery of the noncompliance condition. If an ORPS report was submitted for this noncompliance condition, this date will be the same as the discovery date for the occurrence. Enter the date in the form MM/DD/YY or a range of dates may be entered. Type **HELP 16** at the NTS Search Menu to obtain additional information about date range searches.

17. Noncompliance Close Date: This is the date when the Noncompliance Report was closed. To be closed, all corrective actions must be complete. Enter the date in the form MM/DD/YY or a range of dates may be entered. Type **HELP 17** at the NTS Search Menu to obtain additional information about date range searches.

18. Last Noncompliance Change: This is the date when a Noncompliance Report was last modified. Some examples of modifications to a report that would change this date are completion of a corrective action and comments made by a Program Office Representative. Enter the date in the form MM/DD/YY or a range of dates may be entered. Type **HELP 18** at the NTS Search Menu to obtain additional information about date range searches.

19. Report Date: This is the date when the Noncompliance Report was transmitted to NTS. Enter the date in the form MM/DD/YY or a range of dates may be entered. Type **HELP 19** at the NTS Search Menu to obtain additional information about date range searches.

20. Report Year of NTS Number: This is the year when the Noncompliance Report was transmitted to the NTS host data base. It is the same year value that is part of the NTS Report Number. Four digits must be entered. Enter the century plus the year. For example 1995. Type **HELP 20** at the NTS Search Menu to obtain additional information.

21. Corrective Action Target Date: You may enter a date or a range of dates that corrective actions are expected to be completed (target dates). Enter the date in the form MM/DD/YY or a range of dates. Type **HELP 21** at the NTS Search Menu to obtain additional information about date range searches.

22. Corrective Action Actual Completion Date: You may search on a date(s) when a corrective action was completed. Enter the date in the form MM/DD/YY or a range of dates may be entered. Type **HELP 22** at the NTS Search Menu to obtain additional information about date range searches.

23. Perform a New Search: Select this option to re-initialize the search process. This allows you to begin a new search using all records in the NTS data base.

24. Print/View Reports: Select this option to print or view reports based on the records selected after a search. When this option is selected, a Report Options menu will be displayed.

25. Quit Search and Reports: Select this option to return to the Noncompliance Tracking System Menu.

Report Menus

After selecting the Print/View option from the NTS Search Menu, one of three Report Options menus will be displayed, depending on the NTS user classification.

To select a report, type the number left of the report option and then press ENTER.

After selecting an option from the Report Option Menu, the following prompt appears on-screen:

Send output to (S)creen, (P)rinter, (D)isk, or (C)ancel

Type **S** and then press **ENTER** to view the report on screen.

Type **P** and then press **ENTER** to send the selected report to your local printer. The report(s) will print 10 characters per inch (10 cpi).

Type **D** to convert the report to an ASCII text (ASCII sequential) file and transfer this file to your PC/workstation. A prompt will appear asking you for the local file name. You must follow the standard DOS syntax to transfer this file.

An example: Enter local file name: **c:\WP51\WPFILES\REPORT.NTS**

The example will send the report in an ASCII text format to a file named REPORT.NTS on drive C, in the subdirectory WPFILES, located in the WordPerfect directory.

Note that all NTS Report Option menus display a download option. Selecting this option will create a file of the selected Noncompliance Reports to transfer from the host to a local PC/workstation. The format of this file is only suitable for use in the PC NTS program (the PAAA Coordinator entry screen).

Report Menu - Contractor PAAA Coordinators and Contractor General Users***** R E P O R T O P T I O N S *****

1. Noncompliance Reports	4. Return to Search Menu
2. Closed Noncompliance Actions	5. Quit Search and
Report	
3. Download	

For general Help type "HELP"

For help on any field, type "HELP" followed by
a number between 1 and 5

Enter 5 to end selection criteria or

Enter report field choice number.

Enforcement Staff Evaluator Report Menu

*** R E P O R T O P T I O N S ***

1. Noncompliance Reports	8. Closed Enforcement Actions
2. Closed Noncompliance Actions	9. Enforcement Staff Open Enforc. Actions
3. Sum. Civil Penalties Imposed	10. Open Enforcement Actions
4. Summary of FNOVs Issued	11. Download
5. Summary of PNOVs Issued	12. Return to Search Menu
6. Violations by Severity Level	13. Quit Search and Reports
7. Enforcement Staff Closed Enforc. Action	

For general Help type "HELP"

For help on any field, type "HELP" followed by
a number between 1 and 13.

Enter 13 to end selection criteria or
Enter report field choice number.

Options seven and eight on this menu provide the same output but sorted differently. The EH-3 Closed Enforcement Action option will display the selected reports in order of the Enforcement Staff Evaluators' names. Selecting the Closed Enforcement Actions option will display the reports sorted by report date. This same sort order applies to the Enforcement Staff Open Enforcement Actions and open Enforcement Actions options.

DOE General, Field Office Rep., and Program Office Rep. Report Menu***** R E P O R T O P T I O N S *****

1. Noncompliance Reports	7. Closed Enforcement Actions
2. Closed Noncompliance Actions	8. Open Enforcement Actions
3. Sum. Civil Penalties Imposed	9. Download
4. Summary of FNOVs Issued	10. Return to Search Menu
5. Summary of PNOVs Issued	11. Quit Search and Reports
6. Violations by Severity Level	

For general Help type "HELP"

For help on any field, type "HELP" followed by
a number between 1 and 11.

Enter 11 to end selection criteria or
Enter report field choice number.

Sample NTS Reports

Sample Noncompliance Report - Available to Contractor PersonnelNTS-ID--LITC-TEST-1995-0001
05/27/1995Noncompliance Report
Page 1

NONCOMPLIANCE REPORT

TESTING REACTOR NUMBER ONE

(Name of Facility)

BALANCE-OF-PLANT

(Facility Function)

INEL

(Laboratory/Site)

Name: Contractor PAAA Coordinator's NAME

Title: PERSON'S TITLE

Telephone No.: (111) 111-1111

(Contractor PAAA Coordinator)

Name: PERSON MOST KNOWLEDGEABLE ABOUT THIS NONCOMPLIANCE

Title: PERSON'S TITLE

Telephone No.: (111) 111-1111

(Originator)

1. Noncompliance Number: NTS-ID--LITC-TEST1-1995-0001

Title: A FIFTY CHARACTER FIELD THAT DESCRIBES THE POTENTIAL
NONCOMPLIANCE
CONDITION2. Occurrence Report Number: ID--LITC-TEST1-1995-0003 WILL BE BLANK
IF AN OCCURRENCE REPORT IS NOT RELATED TO THIS NONCOMPLIANCE

3. Date and Time Occurrence/Condition Discovered:

05/27/1995 0200 (MTZ)

NTS-ID--LITC-TEST1-1995-0001
05/27/1995

Noncompliance Report
Page 2

4. Date Determined to be Potential Noncompliance: 05/27/1995

Organization that Discovered Noncompliance: CONTRACTOR

5. Date Reported: THIS IS THE DATE THAT THIS REPORT WAS
TRANSMITTED TO THE HOST DATA BASE.

6. DOE Program Office:
EM - ENVIRONMENTAL MONITORING

7. System, Building, or Equipment:
BUILDING 727-300

8. Nature of Occurrence: UP TO THREE CAN APPEAR HERE. IF NO
RELATED OR THEN THIS FIELD WILL BE
BLANK.

01) Facility Condition

A. Nuclear Safety

9. Occurrence Category: Off-Normal

10. Description of Potential Noncompliance Condition:
Contractor PAAA Coordinator'S DESCRIPTION OF THE POTENTIAL
NONCOMPLIANCE CONDITION.

11. CFR Requirement:

EXAMPLE: 835.102 INTERNAL AUDITS

12. Section of Implementation:

13. Potential Enforcement Review? YES or NO

14. Corrective Actions:

01) THIS IS THE TEXT FOR THE FIRST CORRECTIVE ACTION

Noncompliance Report
Page 3

02) THIS IS THE TEXT FOR THE SECOND CORRECTIVE ACTION.

03) THIS IS THE THIRD CORRECTIVE ACTION THAT HAS BEEN ADDED.
NOTE THAT THIS CORRECTIVE ACTION IS NOT COMPLETE.

15. Field Office Evaluation: COMMENTS MADE BY DOE
FIELD/OPERATIONS OFFICE
REPRESENTATIVE

16. Program Office Evaluation: COMMENTS MADE BY DOE-HQ PROGRAM
OFFICE
REPRESENTATIVE

17. Date All Corrective Actions Closed: / /

18. Date Noncompliance closed: / /

19. Enforcement Evaluation:

Information in this field is entered by Enforcement Staff personnel.

Sample NTS Report Available to All DOE Users

NTS-ID--LITC-TEST-1995-0001
05/27/1995

Noncompliance Report
Page 1

NONCOMPLIANCE REPORT

TESTING REACTOR NUMBER ONE

(Name of Facility)

BALANCE-OF-PLANT

(Facility Function)

INEL

(Laboratory/Site)

Name: PAAA COORDINATOR'S NAME
Title: PERSON'S TITLE

Telephone No.: (111)111-1111

(PAAA Coordinator)

Name: PERSON MOST KNOWLEDGEABLE ABOUT THIS NONCOMPLIANCE

Title: PERSON'S TITLE

Telephone No.: (111)111-1111

(Originator)

1. Noncompliance Number: NTS-ID--LICT-TEST1-1995-0001

Title: A FIFTY CHARACTER FIELD THAT DESCRIBES THE POTENTIAL
NONCOMPLIANCE
CONDITION

2. Occurrence Report Number: ID--LITC-TEST1-1995-0003 WILL BE BLANK
IF AN OCCURRENCE REPORT IS NOT RELATED TO THIS NONCOMPLIANCE

3. Date and Time Occurrence/Condition Discovered:

05/27/1995 0200 (MTZ)

4. Date Determined to be Potential Noncompliance: 05/27/1995

Organization that Discovered Noncompliance: CONTRACTOR

NTS-ID--LITC-TEST-1995-0001
05/27/1995

Noncompliance Report
Page 2

5. Date Reported: THIS IS THE DATE THAT THIS REPORT WAS
TRANSMITTED TO THE HOST DATA BASE.

6. DOE Program Office:
EM - ENVIRONMENTAL MONITORING

7. System, Building, or Equipment:
BUILDING 727-300

8. Nature of Occurrence: UP TO THREE CAN APPEAR HERE. IF NO
RELATED OR THEN THIS FIELD WILL BE
BLANK.

01) Facility Condition

A. Nuclear Safety

9. Occurrence Category: Off-Normal

10. Description of Potential Noncompliance Condition:
PAAA COORDINATOR'S DESCRIPTION OF THE POTENTIAL NONCOMPLIANCE
CONDITION.

11. CFR Requirement:
EXAMPLE: 835.102 INTERNAL AUDITS

12. Section of Implementation:

13. Potential Enforcement Review? YES or NO

14. Corrective Actions:

01) THIS IS THE TEXT FOR THE FIRST CORRECTIVE ACTION

Target Completion Date: 06/15/1995 Completion Date:
06/15/1995

NTS-ID--LITC-TEST-1995-0001
05/27/1995

Noncompliance Report
Page 3

02) THIS IS THE TEXT FOR THE SECOND CORRECTIVE ACTION.

Target Completion Date: 06/15/1995 Completion Date:
06/12/1995

03) THIS IS THE THIRD CORRECTIVE ACTION THAT HAS BEEN ADDED.
NOTE THAT THIS CORRECTIVE ACTION IS NOT COMPLETE.

Target Completion Date: 06/17/1994 Completion Date: / /

15. Field Office Evaluation: COMMENTS MADE BY DOE
 FIELD/OPERATIONS OFFICE
 REPRESENTATIVE

16. Program Office Evaluation: COMMENTS MADE BY DOE-HQ PROGRAM
 OFFICE REPRESENTATIVE

17. Date All Corrective Actions Closed: / /

18. Date Noncompliance closed: / /

NTS Initial Evaluation

19. Name of Evaluation Staff: NAME HERE
20. Severity level: I, II, or III
21. Enforcement Evaluation: TEXT FIELD
22. Enforcement Action decision date: / /
23. Enforcement Action Open date: / /
24. Enforcement Action Number:
25. Notice of Violation (NOV) Issue Date: / /
26. Contractor Reply Date: / /
27. Potential Enforcement Review: YES or NO
28. Field Office Evaluator of Corrective Actions: NAME HERE
Program Office Evaluator of Corrective Actions: NAME HERE
29. Field Office made Comments on: / /
Program Office made Comments on: / /
30. Date Enforcement Action Closed: / /

NTS-ID--LITC-TEST1-1995-0001
03/27/1995

Noncompliance Report
Page 4

Civil Penalty Process

- 31. Enforcement Conference with Contractor Date: / /
- 32. Preliminary Notice of Violation Filed Date: / /
- 33. Proposed Civil Penalty: \$
- 34. Response Filed Reply to PNOV:
- 35. Actual Penalty Imposed by Evaluation Staff: \$
- 36. Confirmation Date of Actual Penalty Paid: / /
- 37. Date Enforcement Action Closed: / /

Enforcement Adjudication

- 38. Date Final Notice of Violation Filed: / /
- 39. Date of Pre-Hearing Conference: / /
- 40. Date of Actual Hearing: / /
- 41. Date of Filing of Initial Decision: / /
- 42. Date of Start of Adjudication: / /
- 43. Date Final Notice of Violation Withdrawn: / /
- 44. Confirmation Date of Actual Penalty Paid: / /
- 45. Date Enforcement Action Closed: / /

Adjudication Resolution Information

- 46. Date of Consent Agreement/Remedy: / /
- 47. Date of Final order: / /
- 48. Date Civil penalty Imposed: / /
- 49. Amount of Penalty Ordered by Judge: \$
- 50. Confirmation Date of Actual Penalty Paid: / /
- 51. Date Enforcement Action Closed: / /

Summary of Closed Noncompliance Actions- Sample Report

05/26/1995	Summary of Closed Noncompliance Actions		
Page 1			
Noncompliance Number	Date	Enf. Action	Corr.
Action	Reported	Closed Date	Closed
Date			

NTS-ID--CONT-TRA1-1995-0002	03/12/1995		
05/19/1995			
EA Number/Severity: 19950004 / II			
Site: IDAHO NATIONAL ENGINEERING LABORATORY			
Facility: TESTING REACTOR NUMBER 1			
CFR Requirement: 835.601			
Enforcement Staff: SMITH, T.			
Description of Noncompliance:			
TEXT FROM THE NONCOMPLIANCE REPORT APPEARS HERE.			
NTS-ID--CONT-ATR2-1995-0021			
05/24/1995			
EA Number/Severity: 19950005 / III			
Site: IDAHO NATIONAL ENGINEERING LABORATORY			
Facility: ACTUAL TEST REACTOR NUMBER 2			
CFR Requirement: 835.702			
Enforcement Staff: SMITH, T.			
Description of Noncompliance:			
TEXT FROM THE NONCOMPLIANCE REPORT APPEARS HERE.			

Summary of Civil Penalties Imposed - Sample Report

05/23/1995	Summary of Civil Penalties Imposed			Page	1
EA Number	Date Reported	Enf. Action Closed Date	EH Evaluator	Actual Penalty	
-----	-----	-----	-----	-----	
19950014	01/01/1995	03/03/1995	NAME OF Enforcement Staff EVALUATOR		\$10000
NTS Number: NTS-ID--CONT-TRA1-1995-0001					
Site: IDAHO NATIONAL ENGINEERING LABORATORY					
Facility: TESTING REACTOR NUMBER 1					
Severity/CFR Requirement: I/830.120					
19950017	01/11/1995	05/13/1995	SMITH, T.		\$5000
NTS Number: NTS-ID--CONT-TRA1-1995-0012					
Site: IDAHO NATIONAL ENGINEERING LABORATORY					
Facility: TESTING REACTOR NUMBER 1					
Severity/CFR Requirement: I/830.602					

Summary of Final Notice of Violations Issued - Sample Report

05/23/1995 Summary of Final Notice of Violations Issued Page
1

EA Number	Date Reported	Enf. Action Closed Date	Final Nov	EH Evaluator
19940133	11/01/1994	12/12/1995	02/25/1995	SMITH T.

NTS Number: NTS-ID--CONT-TRAA-1994-0001
Site: IDAHO NATIONAL ENGINEERING LABORATORY

Facility: FACILITY NAME 1
Severity/CFR Requirement: III/835.701
Actual/Proposed Penalty: \$12000/ \$12000

19950029 01/01/1995 01/22/1995 04/28/1995 SMITH, T.

NTS Number: NTS-ID--CONT-EPRO-1995-0003
Site: IDAHO NATIONAL ENGINEERING LABORATORY
Facility: EXPERIMENTAL POWER REACTOR OPERATIONS

Severity/CFR Requirement: II/830.4
Actual/Proposed Penalty: \$10000/ \$4000

Summary of Preliminary Notice of Violations Issued - Sample Report

05/23/1995
Page 1

Summary of
Preliminary Notice of Violations Issued

EA Number	Date Reported	Enf. Action Closed Date	Prelim. NOV Date	EH Evaluator
19950089	03/01/1995	06/12/1995	04/11/95	SMITH, T.

NTS Number: NTS-ID--CONT-EPRO-1995-0013
Site: IDAHO NATIONAL ENGINEERING LABORATORY

Facility: EXPERIMENTAL POWER REACTOR OPERATIONS
Severity/CFR Requirement: II/830.603
Actual/Proposed Penalty: \$15000 / \$12000

Contractor Comment:

Comments made by the Contractor are entered here by the
Enforcement Staff Evaluator.

Additional Contractor comments, if any, are entered here by the
Enforcement Staff Evaluator.

Total of Violations by Severity Level - Sample Report

05/23/1995		Total of Violations by Severity Level		
Page 1				
Severity Level	EA Number	Date Reported	EH Evaluator	Actual Penalty
I	19940032	01/01/1994	SMITH, T.	\$1000
NTS Number: NTS-ID--CONT-ATA-1994-0001 Site: IDAHO NATIONAL ENGINEERING LABORATORY Facility: AUXILIARY TEST AREA CFR Requirement: 830.6				
I	19950033	01/12/1995	JONES, G.	\$5000
NTS Number: NTS-ID--ATA-EPRO-1995-0001 Site: IDAHO NATIONAL ENGINEERING LABORATORY Facility: AUXILIARY TEST AREA CFR Requirement: 835.402				
Total Penalty for Severity I: \$6000				
II	19940021	01/04/1995	SMITH, T.	\$7000
NTS Number: NTS-ID--EPRO-1994-0001 Site: IDAHO NATIONAL ENGINEERING LABORATORY Facility: EXPERIMENTAL POWER REACTOR OPERATIONS CFR Requirement: 830.120				
Total Penalty for Severity II: \$7000				
III	19930045	02/01/1995	JONES, G.	\$1000
NTS Number: NTS-ID--EPRO-1995-00012 Site: IDAHO NATIONAL ENGINEERING LABORATORY 1 Facility: EXPERIMENTAL POWER REACTOR OPERATIONS CFR Requirement: 835.603				
Total Penalty for Severity III: \$1000				

Summary of Closed Enforcement Actions - Sample Report

05/23/1995		Summary of Closed Enforcement Actions				Page	1
EA Number	Date	Enf. Action Reported	Enf. Action Closed Date	Enf. Action Open Date	Corr. Action Closed Date	Severity Level	
19940123	01/01/1994	05/12/1995			02/22/1995	II	
NTS Number: NTS-ID--CONT-TRAA-1994-0001 Site: IDAHO NATIONAL ENGINEERING LABORATORY Facility: TRANSIENT REACTOR AUXILIARY AREA CFR Requirement: 835.701 Enforcement Staff: SMITH, T.							
19950031	01/11/1995	05/22/1995	01/20/1995		05/01/1995	I	
NTS Number: NTS-ID--CONT-EPRO-1995-0003 Site: IDAHO NATIONAL ENGINEERING LABORATORY Facility: EXPERIMENTAL POWER REACTOR OPERATIONS CFR Requirement: 830.120 Enforcement Staff: JONES, G.							

Summary of Open Enforcement Actions - Sample Report

05/23/1995		Summary of Open Enforcement Actions			Page 1
EA Number	Date Reported	Occ/Cond Discovered	Noncomp Determined	Enforcement Open Date	Severity Level
19930003	10/01/1994	09/31/1994	10/12/1994	12/11/1994	III
NTS Number: NTS-ID--CONT-EPRO-1994-0012					
Site: IDAHO NATIONAL ENGINEERING LABORATORY					
Facility: EXPERIMENTAL POWER REACTOR OPERATIONS					
CFR Requirement: 835.603					
Enforcement Staff: SMITH, T.					
Estimated Completion Date:					
19950004	01/01/1995	01/01/1995	01/03/1995	02/01/1995	II
NTS Number: NTS-ID--CONT-TRAT-1995-0001					
Site: IDAHO NATIONAL ENGINEERING LABORATORY					
Facility: TRANSIENT RESEARCH AXILE TEST					
CFR Requirement: 830.404					
Enforcement Staff: JONES, G.					
Estimated Completion Date:					
19950012	02/21/1995	02/22/1995	02/28/95	03/01/1995	I
NTS Number: NTS-ID--CONT-EBF-1995-0008					
Site: IDAHO NATIONAL ENGINEERING LABORATORY					
Facility: EXPERIMENTAL BORON FACILITY					
CFR Requirement: 835.502					
Enforcement Staff: JOHNSON, B.					
Estimated Completion Date:					

Contractor PAAA Coordinator NTS Host Computer Tasks/Menus

Contractor PAAA Coordinator HOST COMPUTER NTS MENU

Contractor PAAA Coordinator NTS MENU		
NO	TYPE	DESCRIPTION
01	(TASK)	CA Update Screen
02	(TASK)	NTS Search and Reports
03	(TASK)	Authority File Report
04	(TASK)	PC NTS Software Download
05	(TASK)	Enter Your Remarks about this Menu/Task
E - End ? - Help		
ENTER STEP		

This menu will appear after log on and selection of the NTS option by a registered Contractor PAAA Coordinator or designee. An option to update Noncompliance Report corrective actions is available in addition to the last four options that are available to all users.

To Access the Contractor PAAA Coordinator Options

Type 1 and press **ENTER** to access the Corrective Action update screen. This option allows you to update the status of incomplete corrective actions associated with Noncompliance Reports that you are responsible for. You may enter dates to document completion of corrective actions. An option is also available to change the date(s) that a corrective action is expected to be completed (target date). You will be required to enter a justification for changing the corrective action target date.

Type 2 and press **ENTER** to access the NTS Search and Reports option. A search menu displays the available search options. This menu option allows you to perform a variety of searches on Noncompliance Reports residing in the NTS data base. To print or view the selected data, select Option 24, Print/View Reports. To perform another search, select Option 23, Perform a New Search.

Like NTS contractor General Users, your NTS search options will be filtered so only reports submitted by your contractor will be available for viewing/printing.

Type **3** and press **ENTER** to access the Authority File Report. This option allows you to generate reports on all or part of the Authority File used by NTS. It contains the names, titles, addresses, and telephone numbers of all Contractor PAAA Coordinators, Enforcement Staff Evaluators, DOE Field/Operations Office Representatives, DOE-HQ Program Office Representatives, and designees. The Facility Listing provides facility identifiers, facility names, and contractors.

Type **4** and press **ENTER** to access the PC NTS Software Download option. This download option transfers the necessary files to your PC/workstation to install the PC NTS software. Any NTS user can prepare a Noncompliance Report using the PC NTS software. However, only Contractor PAAA Coordinators can transmit Noncompliance Reports to the NTS host data base.

Type **5** and press **ENTER** to enter your comments. To correct a word or line, use the **BACKSPACE** key. Enter up to 80 characters per line. Press **ENTER** at the end of each line. To exit, press **ENTER** on the next blank line.

We welcome your comments regarding problems you may be experiencing using NTS and suggestions for updates on existing materials, including positive feedback regarding things you liked about the system. An Operational Events Information Systems staff member will respond to your comments on the following workday.

Contractor PAAA Coordinators' Host Data Entry: Updating Corrective Actions

The Update of Corrective Actions option lets you change corrective action dates for open Noncompliance Reports after they have been transmitted to the host computer. You can change targeted corrective action completion dates and provide a justification for the change. You can also enter the actual completion dates for corrective actions that have been completed. If you wish to add a new corrective action, enter the information in PC NTS and retransmit the Noncompliance Report to the NTS.

From the Contractor PAAA Coordinator Noncompliance Tracking System Menu, select the CA Update screen by typing **1** and then press **ENTER**.

The Available Noncompliance Reports with Outstanding Corrective Actions screen lists all of your open Noncompliance reports with incomplete corrective actions. Press **F5 (PREV PAGE)** and **F6 (NEXT PAGE)** to view additional display pages of this list. Press **F1 (HELP)** for additional screen help. Press **F8 (PREV MENU)** to return to the Contractor PAAA Coordinator Noncompliance Tracking System Menu.

Use the **TAB** key to move the cursor to the Noncompliance Reports with corrective action dates you want to change. Press **F2 (MARK)** or type **X** to mark the reports. If you mark the wrong report, press **F3 (UNMARK)**.

Press **F7 (REVIEW)** to display the Noncompliance Report Corrective Actions screen for the Noncompliance Reports you marked.

The Noncompliance Report Corrective Actions screen displays the first incomplete corrective

action for the first selected Noncompliance Report. This screen displays the targeted completion date and the word **(Revised)** if this date has been changed previously. The screen also displays the completion date field, which will be blank, and the first eight lines of the corrective action text. To view all of the corrective action text, press **F5 (VIEW CA)**. You can view, print, or save to disk the complete Noncompliance Report by pressing **F6 (VIEW RPT)** and following the prompts. Press **F1 (HELP)** for on-screen help.

You can change the targeted completion date or add the completion date. Move the cursor to either of these fields by pressing **TAB**, and type in the correct date.

After changing the targeted completion date or adding the actual completion date, press **F7 (UPDATE)** to save the information. If you changed the targeted completion date, the screen prompts you to add a justification.

<p style="text-align: center;">***** * NOTE * *****</p> <p>The targeted completion date has been changed. You will be forced to enter a justification if you continue; otherwise you will be returned to the current corrective action with changes eliminated.</p> <p>Do you want to continue (Y/N)? [Y]</p>

Press the **ENTER** key or press **Y** to activate the host computer word processor. Type your justification for changing the corrective action target date. Refer to Appendix A in this book for information about using this full feature word processor.

After typing the justification, press **F8** to save the text. Another screen prompt will appear directing you to press **F8** again to return. The following prompt will then appear.

Are you sure you want to save these modifications (Y/N)? [Y]

Press the **ENTER** key or type **Y** to save the text and return to the Noncompliance Report Corrective Actions screen. You can then press **F4 (VIEW JUST.)** to review the justification text.

After you have completed viewing, changing, or adding information for the corrective action on the screen, press either **F2** or **F3**:

- **F2 (NEXT CA)** - Pressing **F2** moves to the next corrective action of the current Noncompliance Report. Continuing to press **F2** lets you loop through all of the incomplete corrective actions for the current Noncompliance Report. You will have

processed all of the corrective actions when the corrective action number at the top center of the screen returns to 01.

- **F3 (NEXT RPT)** - Pressing **F3** displays the corrective actions for the next Noncompliance Report that you marked. Continuing to press **F3** lets you loop through all of the marked Noncompliance Reports. You will have processed all of the reports when the selection number in the right-hand corner of the screen returns to 1. You can then loop through the reports again if you want to make additional changes.

Press **F8 (PREV MENU)** again to return to the Available Noncompliance Reports with Outstanding Corrective Actions screen.

Press **F8 (PREV MENU)** again to return to the Contractor PAAA Coordinator Noncompliance Tracking System Menu.

DOE General User Tasks/Menus

DOE GENERAL NTS MENU

DOE GENERAL USER NONCOMPLIANCE TRACKING SYSTEM (NTS) MENU		
NO	TYPE	DESCRIPTION
01	(TASK)	Initial Evaluation/Comment Screen (Read only)
02	(TASK)	Preliminary Notice of Violation Screen (Read only)
03	(TASK)	Final Notice of Violation Screen (Read only)
04	(TASK)	Resolution Information Screen (Read only)
05	(TASK)	NTS Search and Reports
06	(TASK)	Authority File Report
07	(TASK)	PC NTS/Visimage Ad Hoc Reporting Software Download
08	(TASK)	Enter Your Remarks about this Menu/Task
E - End ? - Help		
ENTER STEP		

This menu appears after log on and selection of the NTS option by registered DOE General Users. Tasks on this menu allow view/print access to all information about Noncompliance Reports residing in the NTS. DOE General Users cannot add or edit data.

Type 1 and press **ENTER** to access the NTS Initial Evaluation Screen. You can view Initial Evaluation reports for all Noncompliance Reports. A list of Noncompliance Reports that are still open will appear on screen. At the bottom of the screen eight blocks will also appear. The labels on these blocks correspond to the F1 through F8 function keys. Use these function keys to select reports for viewing or printing.

Type 2 and press **ENTER** to access the NTS Preliminary Notice of Violation Screen. After selecting this option, a list of Noncompliance Report numbers will appear on screen. At the bottom of the screen eight blocks also will appear. The labels on these blocks correspond to the F1 through F8 function keys. Use these function keys to select reports for viewing/printing.

Type 3 and press **ENTER** to access the NTS Final Notice of Violation Screen. After selecting this option, a list of Noncompliance Report numbers will appear on screen. At the bottom of the screen eight blocks will also appear. The labels on these blocks correspond to the F1 through F8 function keys. Use these function keys to select reports for viewing/printing.

Type **4** to access the Resolution Information Screen. After selecting this option, a list of Noncompliance Report numbers will appear on screen. At the bottom of the screen eight blocks will also appear. The labels on these blocks correspond to the F1 through F8 function keys. Use these function keys to select reports for viewing/printing.

Type **5** and press **ENTER** to access the NTS Search and Reports option. A search menu displays the available search options. This menu option allows you to perform a variety of searches on Noncompliance Reports residing in the NTS data base. To print or view the selected data, select Option 24, Print/View Reports. To perform another search, select Option 23, Perform a New Search.

None of the search options will be filtered, that is, all noncompliance records in the NTS data base are available for viewing/printing.

Type **6** and press **ENTER** to access the Authority File Report. This option allows you to generate reports on all or part of the Authority File used by NTS. It contains the names, titles, addresses, and telephone numbers of all PAAA Coordinators, EH-3 Evaluators, DOE Field/Operations Office Representatives, DOE-HQ Program Office Representatives, and designees. The Facility Listing provides facility identifiers, facility names, and contractors.

Type **7** and press **ENTER** to access the PC NTS/Visimage Ad Hoc Reporting Software Download option. This download option transfers the necessary files to your PC/workstation to install these programs.

Type **8** and press **ENTER** to enter your comments about the NTS. To correct a word or line, use the **BACKSPACE** key. Enter up to 80 characters per line. Press **ENTER** at the end of each line. To exit, press **ENTER** on the next blank line.

Enforcement Staff Evaluator - Host Computer TASKS/MENUS

Enforcement Staff Evaluator NTS MENU

ENFORCEMENT STAFF REP. NONCOMPLIANCE TRACKING SYSTEM (NTS)
MENU

DESCRIPTION

NO	TYPE	DESCRIPTION
01	(TASK)	NTS Initial Evaluation/Comment Screen
02	(TASK)	Preliminary Notice of Violation Screen
03	(TASK)	Final Notice of Violation Screen
04	(TASK)	Resolution Information Screen
05	(TASK)	NTS Search and Reports
06	(TASK)	Authority File Report
07	(TASK)	PC NTS/Visimage Ad Hoc Reporting Software Download
08	(TASK)	Enter Your Remarks about this Menu/Task

E - End ? - Help
ENTER STEP

This menu will appear after log on and selection of the NTS option by a registered DOE EH-3.1 Representative. It provides options that are specific to the DOE Enforcement Staff Evaluator in addition to the options that are available to General Users.

Type 1 and press **ENTER** to access the NTS Initial Evaluation Screen. After selecting this option, a list of Noncompliance Report numbers will appear on screen. At the bottom of the screen eight blocks also will appear. The labels on these blocks correspond to the F1 through F8 function keys. Use these function keys to select reports and to enter/edit data. See Appendix A for guidance on using the host computer word processor.

Type 2 and press **ENTER** to access the NTS Preliminary Notice of Violation Screen. After selecting this option, a list of Noncompliance Report numbers will appear on screen. At the bottom of the screen eight blocks will also appear. The labels on these blocks correspond to the F1 through F8 function keys. Use these function keys to select reports for entering/editing data. See Appendix A for guidance on using the host computer word processor.

Type **3** and press **ENTER** to access the NTS Final Notice of Violation Screen. After selecting this option, a list of Noncompliance Report numbers will appear on screen. At the bottom of the screen eight blocks also will appear. The labels on these blocks correspond to the F1 through F8 function keys. Use these function keys to select reports for entering/editing data. See Appendix A for guidance on using the host computer word processor.

Type **4** to access the Resolution Information Screen. After selecting this option, a list of Noncompliance Report numbers will appear on screen. At the bottom of the screen eight blocks will also appear. The labels on these blocks correspond to the F1 through F8 function keys. Use these function keys to select reports for entering/editing data. See Appendix A for guidance on using the host computer word processor.

Type **5** and press **ENTER** to access the NTS Search and Reports option. A search menu displays the available search options. This menu option allows you to perform a variety of searches on Noncompliance Reports residing in the NTS data base. To print or view the selected data, select Option 24, Print/View Reports. To perform another search, select Option 23, Perform a New Search.

None of the search options will be filtered, that is, all Noncompliance records in the NTS data base are available for viewing/printing.

Type **6** and press **ENTER** to access the Authority File Report. This option allows you to generate reports on all or part of the Authority File used by NTS. It contains the names, titles, addresses, and telephone numbers of all Contractor PAAA Coordinators, Enforcement Staff Evaluators, DOE Field/Operations Office Representatives, DOE-HQ Program Office Representatives, and designees. The Facility Listing provides facility identifiers, facility names, and contractors.

Type **7** and press **ENTER** to access the PC NTS/Visimage Ad Hoc Reporting Software Download option. This download option transfers the necessary files to your PC/workstation to install these programs.

Type **8** and press **ENTER** to enter comments about the NTS. To correct a word or line, use the **BACKSPACE** key. Enter up to 80 characters per line. Press **ENTER** at the end of each line. To exit, press **ENTER** on the next blank line.

Enforcement Staff Evaluators-Host Data Entry Functions

Enforcement and Investigation Evaluators (Enforcement Staff) have the authority to evaluate, develop notices of violation, recommend enforcement actions and penalties, and otherwise disposition PAAA noncompliance. Enforcement Staff Evaluators have the capability to document their actions by writing to the NTS data base. These actions are accomplished by means of tasks one through four on the Enforcement Staff NTS menu.

ENFORCEMENT STAFF REP. NON-COMPLIANCE TRACKING SYSTEM MENU

Enforcement Staff.0 REP.		NON-COMPLIANCE TRACKING SYSTEM MENU
NO	TYPE	DESCRIPTION
01	(TASK)	Initial Evaluation/Comment Screen
02	(TASK)	Preliminary Notice of Violation Screen
03	(TASK)	Final Notice of Violation Screen
04	(TASK)	Resolution Information Screen
05	(TASK)	NTS Search and Reports
06	(TASK)	Authority File Report
07	(TASK)	PC NTS/Visimage Ad Hoc Reporting Software Download
08	(TASK)	Enter Your Remarks about this Menu/Task
E - End ? - Help		
ENTER STEP		

Several examples follow in this section on entering information in the "write" screens available to Enforcement Staff Evaluators. Entry fields are highlighted grey in the examples that follow.

Eight blocks are displayed at the bottom of the "write" screens represent the function keys F1 through F8 on a PC keyboard. These on-screen blocks will be labeled according to each function key purpose at any given time. For example, when the last block on the right is labeled Prev Menu, pressing the F8 key will instruct the host program to back up one menu.

Read the messages displayed on the status bar. This bar appears on-screen just above the function key blocks. Usually, the message displayed here provides feedback for an action you just completed. For example, after entering data in an Initial Evaluation Report, and pressing the F6 function key to save your work, the message "NTS has been processed" will appear.

Enforcement Staff Evaluators: Enter Information in the Initial Evaluation Screen

Type **1** and then press **ENTER** at the Enforcement Staff NTS menu to activate the Initial Evaluation selection screen. The following display appears.

```

*****
                                           Page 1
* Enforcement Staff Evaluator Initial Evaluation Reports available for *
* YOUR NAME IS HERE   on TUE, MAY 24, 1995, 7:09 AM MST           *
*****

| 1. NTS-ID--CONT-ATR2-1995-0001
    The title of this first NTS Report appears here.

| 2. NTS-ID--CONT-ATR2-1995-0003
    The title of this second NTS Report appears here.

| 3. NTS-ID--CONT-ATR2-1995-0004
    The title of the third NTS Report appears here.

| 4. NTS-ID--CONT-ATR2-1995-0009
    The title of the fourth NTS Report appears here.

Enter F2 (MARK) or "X" for those reports you wish to work on.
  
```

F1 Help	F2 Mark	F3 Unmark	F4	Prev Page	Next Page	Review	Prev Menu
------------	------------	--------------	----	--------------	--------------	--------	--------------

Four reports are listed in this example. If more than four reports are available, press **F5 (PREV PAGE)** or **F6 (NEXT PAGE)** to view additional display pages of this list. Press **F1 (HELP)** for additional screen help.

Use the **TAB** key to move the cursor to the NTS Report(s) for which you want to enter information. Press **F2 (MARK)** or type **X** to mark the reports.

Note that in this example the second report is marked. If you mark the wrong report, press **F3 (UNMARK)**.

Press **F7 (REVIEW)** to display the NTS Initial Evaluation Screen for the NTS Report(s) you marked.

NTS Initial Evaluation Screen

Noncompliance Number: NTS-ID--CONT-ATR2-1995-0003 Enf. Act
No: 19950007

ORPS Number: ID--CONT-ATR2-1995-0012

Name of EH

Enforcement

Action

Evaluator: SMITH, T.

Decision Date:

05/24/95

Severity

Enforcement Action

Notice of

Violation (NOV) Level: ☐

Open date: 01/01/95

Issue Date: 02/01/95

Contractor

Enforcement Action

Potential

Enforcement

Replay Date: ☐

Closed Date: ☐

Review: ☒

Name of Field Office Evaluator
made

Field Office

of Corrective Actions: JONES, T.
02/15/95

Comments on:

Name of Program Office Evaluator
Office made

Program

of Corrective Actions:

Comments on:

Last change Date: 05/24/95

Perform action on current Noncompliance Report.

F1 Help	Prev NTS	Next NTS	View FO Comnts
------------	-------------	-------------	----------------------

View PO Comnts	F6	View NTS	Prev Menu
----------------------	----	-------------	--------------

The Enforcement Staff Evaluator Initial Notice of Violation report screen displays the first NTS report that was marked. Press **F2 (PREV NTS)** or **F3 (NEXT NTS)** to move to the next or previous NTS reports marked in the last step. You can view, print, or save to disk the complete NTS report by pressing **F7 (VIEW NTS)** and following the on screen prompts.

Press the **TAB** key to move between fields. Type information in each shaded field. Your name will appear as the Enforcement Staff Evaluator after you have saved the entries made on this screen. To save, press **F8 (Prev Menu)**.

In this example, comments have been placed on this report by a field office representative. To view these comments, press **F5 (View FO Comnts)** and the following screen appears.

Field Office Comments for *NTS-ID--CONT-ATR2-1995-0003*

***Comments made a Field Office Rep. will appear here. ***

F1 Help	Prev Comnts	Next Comnts	F4
------------	----------------	----------------	----

F5	F6	Add Comnts	Prev Menu
----	----	---------------	--------------

Press **F8 (PREV MENU)** back up to previous menus until the Enforcement Staff NTS main menu appears on screen.

Enforcement Staff Evaluators: Enter Information in the Preliminary Notice of Violation Screen

Starting at the Enforcement Staff NTS main menu, type **2** and press the **ENTER** key to display the Preliminary Notice of Violation selection screen.

```

*****
Page 1
* Enforcement Staff Evaluator Preliminary Notice of Violation
for
* YOUR NAME IS HERE      on TUE, MAY 24, 1995,  7:09 AM MST      *
*****

  1.  NTS-ID--CONT-ATR2-1995-0001
      The title of this first NTS Report appears here.

  2.  NTS-ID--CONT-ATR2-1995-0003
      The title of this second NTS Report appears here.

  3.  NTS-ID--CONT-ATR2-1995-0004
      The title of the third NTS Report appears here.

  4.  NTS-ID--CONT-ATR2-1995-0009
      The title of the fourth NTS Report appears here.

Enter F2 (MARK) or "X" for those reports you wish to work on.

```

F1 Help	F2 Mark	F3 Unmark	
------------	------------	--------------	--

Prev Page	Next Page	Review w	Prev Menu
--------------	--------------	-------------	--------------

Four reports are listed in this example. If more than four reports are available, press **F5 (PREV PAGE)** or **F6 (NEXT PAGE)** to view additional display pages of this list. Press **F1 (HELP)** for additional screen help.

Use the **TAB** key to move the cursor to the NTS Report(s) for which you want to enter information. Press **F2 (MARK)** or type **X** to mark the report(s).

Press **F7 (REVIEW)** to display the NTS Preliminary Notice of Violation Report screen for the NTS report(s) you marked.

Preliminary Notice of Violation Report

Noncompliance Number: *NTS-ID--CONT-ATR2-1995-0003* Enf. Act
No: *19950007*

ORPS Number: *ID--CONT-ATR2-1995-0012 (or blank)*

Enforcement Conference with
Of Violation
Contractor Date:

Preliminary Notice

Filed Date:

Respondent Filed Reply
to PNOV:

Proposed Civil
Penalty :

Actual Penalty Imposed
of Actual

Confirmation date

By Enforcement Staff.0:
Paid:

Penalty

Enforcement Action
Closed date:

Last Change
Date: 05/24/95

Help	Prev NTS	Next NTS	F4
------	-------------	-------------	----

View Comnts	Proces s NTS	View NTS	Prev Menu
----------------	--------------------	-------------	--------------

Press the TAB key to move between fields. Type information in the shaded fields. Enter dates in the format MM/DD/YYYY (e.g., 05/26/1995). To save, press F7 (Process NTS). Press F8 (Prev menu) to return to the previous menu.

This report requires use of the host word processor to enter contractor response/comments. To activate the word processor, press F5 (View Comnts).

Reply to PNOV Comments for *NTS-ID--CONT-ATR2-1995-0003*

Your text will appear here.

Help	Prev Comnts	Next Comnts	F4
------	----------------	----------------	----

F5	F6	Add Comnts	Prev Menu
----	----	---------------	--------------

Press F7 (Add Comnts) to activate the word processor. See Appendix A for detailed instructions on the use of this word processor.

After completing the Preliminary Notice of Violation report screen, press **F6 (Process NTS)** to save.

Enforcement Staff Evaluators: Enter Information in the Final Notice of Violation Screen

Recording information in the Final Notice of Violation Report screen is performed in the same manner described for the Initial Evaluation and Preliminary Notice of Violation report screens. Quick steps to entering data are outlined in this section, starting at the Enforcement Staff NTS Menu.

Type **3** and press **ENTER**.

Press **F2 (Mark)** to mark the NTS record(s) you wish to work on.

Press the **TAB** key to move between fields. Enter information in the shaded fields.

Press **F4 (V Init. Decision)** to view Enforcement Staff comments. At the comment screen press **F7 (add comments)** to enter Enforcement Staffs text. This action will activate the host word processor. See Appendix A.

Press **F5 (V. Contr. Response)** to view or edit contractor response. At the comment screen press **F7 (add comments)** to enter activate the host word processor. See Appendix A for detailed host word processor information.

Press **F6 (Process NTS)** to save entries made during this session.

Press **F8 (Prev Menu)** until the Enforcement Staff Evaluator main screen is displayed.

Enforcement Staff Evaluators: Enter Information in the Resolution Information Screen

Recording information in the Resolution Information report screen is performed in the same manner described for the Initial Evaluation, Preliminary Notice of Violation, and Final Notice of Violation report screens. Quick steps to entering data are outlined in this section, starting at the Enforcement Staff NTS Menu.

Type **4** and press **ENTER**.

Press **F2 (Mark)** to mark the NTS record(s) you wish to work on.

Press the **TAB** key to move between fields. Enter information in the shaded fields.

Press **F5 (View remarks)** to view Enforcement Staff comments. At the comment screen press **F7 (add comments)** to enter or edit Enforcement Staff text. This action will activate the host word processor. See Appendix A for detailed host word processor information.

Press **F8 (Prev Menu)** after exiting the host word processor.

Press **F6 (Process NTS)** to save entries made during this session.

Press **F8 (Prev Menu)** until the Enforcement Staff Evaluator main screen is displayed.

DOE Field Office Representative Tasks/Menus

DOE FIELD OFFICE NTS MENU

DOE FIELD OFFICE REP. NONCOMPLIANCE TRACKING SYSTEM (NTS)MENU

NO	TYPE	DESCRIPTION
01	(TASK)	Initial Evaluation/Comment Screen
02	(TASK)	Preliminary Notice of Violation Screen (Read Only)
03	(TASK)	Final Notice of Violation Screen (Read only)
04	(TASK)	Resolution Information Screen (Read only)
05	(TASK)	NTS Search and Reports
06	(TASK)	Authority File Report
07	(TASK)	PC NTS/Visimage Ad Hoc Reporting Software Download
08	(TASK)	Enter Your Remarks about this Menu/Task
E - End ? - Help		
ENTER STEP		

This menu will appear after log on and selection of the NTS option by a registered DOE Field/Operations Office Representative. It provides options that are specific to the DOE Field/Office Representative in addition to the options that are available to General Users.

Type 1 and press **ENTER** to access the NTS Initial Evaluation Screen. You may view these screens for all Noncompliance Reports and place comments on any reports that are still open. A list of Noncompliance Reports that are still open will appear on screen. At the bottom of the screen eight blocks will also appear. The labels on these blocks correspond to the F1 through F8 function keys. Use these function keys to select reports and to enter/edit data. See Appendix A for guidance on using the host computer word processor.

Type 2 and press **ENTER** to access the NTS Preliminary Notice of Violation Screen. After selecting this option, a list of Noncompliance Report numbers will appear on screen. At the bottom of the screen eight blocks also will appear. The labels on these blocks correspond to the F1 through F8 function keys. Use these function keys to select reports for viewing/printing.

Type 3 and press **ENTER** to access the NTS Final Notice of Violation Screen. After selecting this option, a list of Noncompliance Report numbers will appear on screen. At the bottom of the screen eight blocks will also appear. The labels on these blocks correspond to the F1 through F8

function keys. Use these function keys to select reports for viewing/printing.

Type **4** to access the Resolution Information Screen. After selecting this option, a list of Noncompliance Report numbers will appear on screen. At the bottom of the screen eight blocks will also appear. The labels on these blocks correspond to the F1 through F8 function keys. Use these function keys to select reports for viewing/printing.

Type **5** and press **ENTER** to access the NTS Search and Reports option. A search menu displays the available search options. This menu option allows you to perform a variety of searches on Noncompliance Reports residing in the NTS data base. To print or view the selected data, select Option 24, Print/View Reports. To perform another search, select Option 23, Perform a New Search.

None of the search options will be filtered, that is, all Noncompliance records in the NTS data base are available for viewing/printing.

Type **6** and press **ENTER** to access the Authority File Report. This option allows you to generate reports on all or part of the Authority File used by NTS. It contains the names, titles, addresses, and telephone numbers of all Contractor PAAA Coordinators, Enforcement Staff Evaluators, DOE Field/Operations Office Representatives, DOE-HQ Program Office Representatives, and designees. The Facility Listing provides facility identifiers, facility names, and contractors.

Type **7** and press **ENTER** to access the PC NTS/Visimage Ad Hoc Reporting Software Download option. This download option transfers the necessary files to your PC/workstation to install these programs.

Type **8** and press **ENTER** to enter your comment. To correct a word or line, use the **BACKSPACE** key. Enter up to 80 characters per line. Press **ENTER** at the end of each line. To exit, press **ENTER** on the next blank line.

DOE-HQ Program Office Representative Menu

DOE-HQ PROGRAM OFFICE REP. NONCOMPLIANCE TRACKING SYSTEM (NTS) MENU

NO	TYPE	DESCRIPTION
01	(TASK)	Initial Evaluation/Comment Screen
02	(TASK)	Preliminary Notice of Violation Screen (Read only)
03	(TASK)	Final Notice of Violation Screen (Read only)
04	(TASK)	Resolution Information Screen (Read only)
05	(TASK)	NTS Search and Reports
06	(TASK)	Authority File Report
07	(TASK)	PC NTS/Visimage Ad Hoc Reporting Software Download
08	(TASK)	Enter Your Remarks about this Menu/Task

E - End ? - Help
ENTER STEP

This menu will appear after log on and selection of the NTS option by a registered DOE-HQ Program Office Representative. It provides options that are specific to DOE-HQ Program Office Representatives in addition to the options that are available to General Users.

Type 1 and press **ENTER** to access the NTS Initial Evaluation Screen. You may view these screens for all Noncompliance Reports and place comments on any reports that are still open. A list of Noncompliance Reports that are still open will appear on screen. At the bottom of the screen eight blocks also will appear. The labels on these blocks correspond to the F1 through F8 function keys. Use these function keys to select reports and to enter/edit data. See Appendix A for guidance on using the host computer word processor.

Type 2 and press **ENTER** to access the NTS Preliminary Notice of Violation Screen. After selecting this option, a list of Noncompliance Report numbers will appear on screen. At the bottom of the screen eight blocks also will appear. The labels on these blocks correspond to the F1 through F8 function keys. Use these function keys to select reports for viewing/printing.

Type **3** and press **ENTER** to access the NTS Final Notice of Violation Screen. After selecting this option, a list of Noncompliance Report numbers will appear on screen. At the bottom of the screen eight blocks also will appear. The labels on these blocks correspond to the F1 through F8 function keys. Use these function keys to select reports for viewing/printing.

Type **4** to access the Resolution Information Screen. After selecting this option, a list of Noncompliance Report numbers will appear on screen. At the bottom of the screen eight blocks also will appear. The labels on these blocks correspond to the F1 through F8 function keys. Use these function keys to select reports for viewing/printing.

Type **5** and press **ENTER** to access the NTS Search and Reports option. A search menu displays the available search options. This menu option allows you to perform a variety of searches on Noncompliance Reports residing in the NTS data base. To print or view the selected data, select Option 24, Print/View Reports. To perform another search, select Option 23, Perform a New Search.

None of the search options will be filtered; that is, all noncompliance records in the NTS data base are available for viewing/printing.

Type **6** and press **ENTER** to access the Authority File Report. This option allows you to generate reports on all or part of the Authority File used by NTS. It contains the names, titles, addresses, and telephone numbers of all Contractor PAAA Coordinators, Enforcement Staff Evaluators, DOE Field/Operations Office Representatives, DOE-HQ Program Office Representatives, and designees. The Facility Listing provides facility identifiers, facility names, and contractors.

Type **7** and press **ENTER** to access the PC NTS/Visimage Ad Hoc Reporting Software Download option. This download option transfers the necessary files to your PC/workstation to install these programs.

Type **8** and press **ENTER** to enter your comments. To correct a word or line, use the **BACKSPACE** key. Enter up to 80 characters per line. Press **ENTER** at the end of each line. To exit, press **ENTER** on the next blank line.

Comment on NTS Reports: DOE Field Office and Program Office Users

All DOE personnel registered for NTS access can review all reports available in the NTS data base. In addition, DOE personnel registered as Field Office Users, and Program Office Users, can place comments on the Initial Evaluation Reports of those facilities managed by his/her field or program office.

Since the NTS options available to both Field Office and Program Office users are identical, the examples that follow will address the Field Office menus/tasks. The only difference for Program Office users is the user title appearing on each screen.

FIELD OFFICE REP.		NON-COMPLIANCE TRACKING SYSTEM MENU
NO	TYPE	DESCRIPTION
01	(TASK)	Initial Evaluation/Comment Screen
02	(TASK)	Preliminary Notice of Violation Screen (Read Only)
03	(TASK)	Final Notice of Violation Screen (Read Only)
04	(TASK)	Resolution Information Screen (Read Only)
05	(TASK)	NTS Search and Reports
06	(TASK)	Authority File Report
07	(TASK)	PC NTS/Visimage Ad Hoc Reporting Software Download
08	(TASK)	Enter Your Remarks about this Menu/Task

E - End ? - Help
ENTER STEP

Input Comments in NTS Initial Evaluation Reports

The Input Comments for Initial Evaluation Reports option lets DOE Field Office Representatives comment on any NTS reports that is not closed. These comments will appear on the Initial Evaluation Reports.

From the DOE Field Office NTS Menu, type 1 and press ENTER. A list of Initial Evaluation Reports Available for you to comments on will appear.

```

*****
                                                                 Page 1
* Field Office Initial Evaluation Reports available for      *
* YOUR NAME IS HERE      on TUE, MAY 24, 1995,    7:09 AM MST  *
*****
  1.  NTS-ID--CONT-ATR2-1995-0001
      The title of this first NTS Report appears here.

  2.  NTS-ID--CONT-ATR2-1995-0003
      The title of this second NTS Report appears here.

  3.  NTS-ID--CONT-ATR2-1995-0004
      The title of the third NTS Report appears here.

  4.  NTS-ID--CONT-ATR2-1995-0009
      The title of the fourth NTS Report appears here.

Enter F2 (MARK) or "X" for those reports you wish to work on.

```

F1 Help	F2 Mark	F3 Unmark	
------------	------------	--------------	--

Prev Page	Next Page	Review w	Prev Menu
--------------	--------------	-------------	--------------

Four reports are listed in this example. If more than four reports are available, press **F5 (PREV PAGE)** or **F6 (NEXT PAGE)** to view additional display pages of this list. Press **F1 (HELP)** for additional screen help.

Use the **TAB** key to move the cursor to the NTS Reports for which you want to make comments. Press **F2 (MARK)** or type **X** to mark the reports. If you mark the wrong report, press **F3 (UNMARK)**.

Press **F7 (REVIEW)** to display the Field Office Input Screen (NTS Initial Evaluation Screen) for the NTS reports you marked.

NTS Initial Evaluation Screen

Noncompliance Number: *NTS-ID--CONT-ATR2-1995-0001* Enf. Act
No: *12345678*

ORPS Number: *ID--CONT-ATR2-1995-0012 (or blank)*

Name of EH

Enforcement Action

Evaluator: *Name here*

Decision Date: *05/24/95*

Severity

Enforcement Action

Notice of Violation (NOV)

Level: *II*

Open date: *01/01/95*

Issue Date: *02/01/95*

Contractor

Enforcement Action

Potential Review

Replay Date:

Closed Date:

Action: *Y*

Name of Field Office Evaluator
of Corrective Actions:

Field Office made
Comments on:

Name of Program Office Evaluator
of Corrective Actions:

Program Office made
Comments on:

Last change Date: *05/24/95*

Perform action on current Noncompliance Report.

F1 Help	Prev NTS	Next NTS	View FO Comnts
------------	-------------	-------------	----------------------

View PO Comnts	F6	View NTS	Prev Menu
----------------------	----	-------------	--------------

The DOE Field Office Input screen displays the first NTS report that was marked. Press **F2 (PREV NTS)** or **F3 (NEXT NTS)** to move to the next or previous NTS reports marked in the last step. You can view, print, or save to disk the complete NTS report by pressing **F7 (VIEW NTS)** and following the on screen prompts.

Press **F4 (View FO Comments)** to input comments in the DOE Field Office comment section on the Initial Evaluation Report of the NTS reports. Program Office personnel press **F5 (View PO Comments)** and the following screen appears.

Field Office Comments for *NTS-ID--CONT-ATR2-1995-0001*
***Previous comments made by you or another Field Office*
*Rep. will appear here. ***

Help	Prev Comnts	Next Comnts	F4
------	----------------	----------------	----

F5	F6	Add Comnts	Prev Menu
----	----	---------------	--------------

To activate the host word processor, press **F7 (Add Comments)**. See Appendix A for detailed information about using this word processor.

Press **F8 (PREV MENU)** to return to the Reports Available for DOE Field Office Representative/DOE-HQ Program Manager Input screen.

Helpful Hints

Stopping a Report Output on Screen

To break out of a program, enter **CTRL-Y**. (Hold down the **CTRL** key and press the **Y** key.) After a few seconds, respond with a **YES [Y]** or a **NO [N]** to terminate the report. If a **>** prompt is returned, type **E** and press **ENTER** to end the report-generating process.

Defaults

In many NTS processes, you will be presented several options. The default option is enclosed in square brackets. For example, **[Y]** is the default value and by just pressing **ENTER** you will select the default.

Online Help

New users should use online help and become acquainted with the displayed information. Online help is available in a number of places in NTS. To view the main functions of Reflection, press the **F10** function key. To obtain general information on Reflection functions and options, press the **F7** function key that is labeled **HELP**. Press the **F8** function key to resume and exit the Help function.

When performing a search, type the word **HELP** for general information about searches. Type the word **HELP** and the search item number (e.g., **HELP 3**) to display the list of codes or information associated with the item number.

Aborting

If processing halts on the host computer, press **CTRL** and **BREAK** simultaneously. (Hold down the **CTRL** key and press the **BREAK** key.) If the **XL:** prompt does not appear, simultaneously press the **ALT** and **R** keys to reset the terminal. Press **ENTER** until the **XL:** prompt appears. Type **ABORT** to terminate execution of the program.

TAB Key

Pressing the **TAB** key at any NTS menu returns you to the previous menu you selected. This feature is useful for returning upward through several menu levels when you want to perform various tasks in a different parts of the system. The **TAB** key also can be used to move the cursor within some of the display modules.

Menu Help

You can receive help information at any menu by typing **?** and pressing **ENTER**. The display will provide more information about the menu and prompt you for responses you should make.

Printing Reports

There are numerous places in NTS where a report or occurrence information can be transmitted to the user's terminal. The following prompt appears:

Send output to (S)creen, (P)rinter, (D)isk, or (C)ancel? [S]

Type an **S**, **P**, **D**, or **C** and press **ENTER** to determine where the output is sent. (**SCREEN** is the default you select by simply pressing **ENTER**.) Follow the screen prompts to send the output to the desired destination.

Search Logic

When Search and Reports is selected from an NTS menu, a search selection screen is displayed with numbered items representing fields from the data base records that can be used as search criteria. Online help is available by typing ? whenever a search selection screen is displayed.

- **Range or THRU Searches.** A colon (:) or the word **THRU** can be used to search for a range of words or numbers. For example, when used with **NTS Report Year** either **1993 THRU 1995** or **1993:1995** will select those NTS reports transmitted to the host during the years 1993, 1994, and 1995.
- **OR Searches.** Use a plus sign (+) or the word **OR** to search for one element or another simultaneously. For example, in a facility search **ATR+WERF+PBF** selects all records submitted by either the facility Advanced Test Reactor, Waste Experimental Reduction Facility, or the Power Burst Facility.
- **AND Searches.** A comma (,) or the word **AND** can be used to search for records having two or more common elements. For example, in a narrative search **continuing,investigation** or **continuing and investigation** selects only records containing both the words "continuing" and "investigation."
- **Wildcard Searches.** A @ symbol is a wildcard and can be used to select all possible endings of a word or field value. For example, in a narrative search if the word **train@** is entered, all records containing the words "train," "trained," "training," etc., will be selected. The use of a dictionary may be a good method of determining precisely where to place the @ symbol. This will often prevent word selections that are not applicable.

The wildcard also can be helpful when searching coded fields. For example, entering the value **4@** in a Nature of Occurrence search will return all NTS records related to Personnel Radiation Protection issues: the codes **4A** through **4C**.

- **One-Item-But-Not-Another Searches.** A comma and a minus sign (,-) or the words **AND NOT** can be used to exclude undesired elements from a search. For example, in a narrative search, **lockout@+lock@,-locks** or **lockout@ OR lock@ AND NOT locks** selects all records beginning with "lockout" or "lock" but will exclude those records containing the word "locks."

The precedence of operators from highest to lowest is **OR**, **AND NOT**, **AND** or the equivalent symbols. However, parentheses can be used to override the precedence of operators. For example, entering **(radioacti@,contaminat@)+(hazard@,contaminat@)** would initiate a search involving either radioactive contamination or hazardous material contamination.

Reflection Commands

Many of Reflection's functions require the use of the **CTRL** key or the **ALT** key in conjunction with some other key on the keyboard.

CTRL-ARROW

CTRL-ARROW UP and **CTRL-ARROW DOWN** keys are used to roll the screen and scroll through screen memory. Often, data can be captured in screen memory and then scanned by scrolling up and down. Remember that Reflection can be configured with a large screen memory capable of holding many pages of data.

PAGE UP and PAGE DOWN

The **PAGE UP** or **PAGE DOWN** keys can be used to scan screen memory displaying 24 lines at a time. The cursor is moved to the upper right corner of the screen whenever a **PAGE UP** or **PAGE DOWN** key is pressed. When these functions are used to scroll through data in screen memory, it is good practice to perform a **CTRL-END** (see below) before entering another command. This action places the cursor at the bottom or end of screen memory, thus preventing any data being transmitted from overwriting data already in the screen memory.

CTRL-HOME and CTRL-END

CTRL-HOME or **CTRL-END** are shortcut ways to move the cursor to the top or the bottom of screen memory.

CTRL-PAGE UP and CTRL-PAGE DOWN

CTRL-PAGE UP or **CTRL-PAGE DOWN** are shortcut ways to move the cursor to the upper left or lower left corner of the screen.

ALT-J erases (clears) screen memory from the current cursor position to the end (bottom) of screen memory. The **J** can be either upper or lower case. This function is often used in conjunction with **CTRL-HOME** to clear the screen memory, thus providing a clean screen to write on. That is, **CTRL-HOME** moves the cursor to the top (beginning) of screen memory and **ALT-J** erases screen memory from the cursor position to the bottom (end) of screen memory.

ALT-PRINT SCREEN

ALT-PRINT SCREEN is normally used to send only the data that appear on the screen to the printer. The information on the printer does not include the function key labels that normally appear at the bottom of a Reflection screen. If you want to include the function key labels in the printout, use **SHIFT-PRINT SCREEN** instead of **ALT-PRINT SCREEN**.

File Transfers

File transfer is the ability to send PC files to other NTS users. This capability is provided by Reflection.

The cursor must be at the operating system **XL:** prompt. This prompt is accessed by typing an **E** (for "end") and pressing **ENTER** at the Operational Event Information Systems main menu. The following labels should then appear at the bottom of the screen. If they do not appear, press the **F10** function key.

device control	margins/ tabs/col	basic config	modes keys
-------------------	----------------------	-----------------	---------------

COMMAND LINE	File Transfer	HELP	EXIT
-----------------	------------------	------	------

Press the **F6** function key (file transfer) to display the file transfer form and the new set of function key labels shown below.

FILE TRANSFER
Protocol = OLD-WRQ

Local file name	C:\WP51\MYFILE
Transfer method	A (ASCII, Binary)
Host file name	MYFILE.SHARE
Host record size	80 (Send only)
If file exists:	C (Cancel, delete, Append)

SEND TO HOST	RECEIVE FROM HOST	error recap	SHOW STATS
--------------------	-------------------------	----------------	---------------

	config transfer	upload xfer pgm	RESUME
--	--------------------	-----------------------	--------

Enter the required information on the File Transfer screen.

1. The "**Local file name**" is the path and file name on your PC. The name of the file must conform to DOS path and file conventions (e.g., C:\WP51\MYFILE) for sending or receiving data.
2. The "**Transfer method**" is either **A** for "ASCII" or **B** for "Binary." If you know the file is ASCII (a text file with no special formatting), use the **A** option. If non-ASCII characters exist within the file (i.e., WordPerfect documents, Lotus spreadsheets, Foxpro files), use the **B** option.
3. The "**Host file name**" is the name of the file on the host computer. The name must begin with a letter and cannot exceed eight characters.
4. The "**Host record size**" is important only when an ASCII file is being uploaded to the host computer. Usually, the 80-character default is satisfactory.
5. The "**If file exists:**" is a prompt that tells the system what to do if it encounters a file with the same name. Type a **C** for "cancel," **D** for "delete," or **A** for "append."
6. After the required information has been typed on the form, press either the **F1** function key for **SEND TO HOST** to upload the file to the host computer or the **F2** function key for **RECEIVE FROM HOST** to download the file from the host computer to your PC.

Note: If you have a version of Reflection 7 earlier than 4.0, the fifth line ("If file exists:") of the file transfer screen will not be shown. However, if a file being sent to the host already exists on the host computer, the system will prompt "**Host file exists - proceed?**" To continue, press the **F1** function key for **YES** or the **F2** function key for **NO**.

The recommended procedure is to press the **F2** function key for **NO** to stop the file transfer and type **;P** for purge behind the **Host file name** (e.g., **MYFILE.SHARE;P**). If the **;P** is not added behind the **Host file name** and the file being sent to the host is larger than the file that currently exists on the host, the new file will be truncated at the previous file's length. After adding the **;P**, press the **F1** function key (**SEND TO HOST**) to begin the transfer of the file to the host computer.

If a file being received from the host computer already exists in the specified PC directory, the system will prompt "Local file exists." Again, a function key will need to be pressed (**F1** for **APPEND TO FILE**, **F2** for **OVERWRITE**, or **F8** for **CANCEL**) before the file can be transferred to your PC.

A message at the bottom of the screen will show the status of the transfer. When the transfer is complete, press the **F8** function key for **RESUME** to exit the file transfer process.

The **SHARE** group on the host computer is designated as a working area for users to store files

for other users to access. Anyone can read, write, purge, copy, execute, and delete files within this group. To determine what files exist in the SHARE group, type **LISTF @.SHARE,2** at the **XL:** prompt. When files are no longer needed on the host computer, they should be deleted. To delete a file in the SHARE group, type **PURGE FILENAME.SHARE** at the **XL:** prompt. "FILENAME" represents the name of the file to be purged and "SHARE" is the group where the file resides.

MPE Commands

Files

Filenames are designated with eight alphanumeric characters. The first character must be a letter. The group name where the file will be stored is specified by adding a period and the name of the group to the end of the file:

FileA FileA resides in the user's current group.

FileA.SHARE FileA resides in the SHARE group.

Copying, renaming, and purging capabilities are dependent upon the user's authority.

Groups

In addition to the home groups, the following group has been established to store files to make them accessible to multiple users:

SHARE A group designated as a working area for users to store files for access by other users. Anyone can read, write, purge, copy, execute, and delete files within this group.

COMMANDS

ALTSEC **FileA.SHARE; (R:ANY)**

This command modifies the file security so users will be limited to reading the file. The **R** designates read only and **any** designates any user.

BYE This command logs the user off of the host computer.

COPY This command copies the specified file to another file.

COPY FILEA to FILEB

This example copies FileA to FileB within the user's current group.

COPY FILEA to FILEA.SHARE

This example copies FileA from the user's current group to FileA located in the SHARE group.

LISTF This command lists all files within the current group.

To acquire additional information, use ,1 or ,3:

LISTF FileA,1 (Information includes record length, file format type, number of records in file, file record limit.)

LISTF FileA,3 (In addition to the above file information, security information, date created, date modified, and date accessed are included.)

These examples list FileA and display pertinent information about the file such as record size, file type, and number of records.

PASSWORD This command runs the change password program. Instructions will be displayed on-screen to guide you through changing your password.

PRINT This command will print the specified file to your local printer.

PRINT FILEA.SHARE

This example will print FILEA from the SHARE group to the standard output device.

PRINT FILEA.SHARE; PAGE=<num>

<num> is greater than or equal to the length (number of records) of the file. This example will print FileA from the SHARE group without a "do you want to continue" prompt.

PURGE This command deletes the specified file.

PURGE FILEA

This example deletes FileA from the user's current group.

PURGE FILEA.SHARE

This example deletes FileA from the SHARE group.

RENAME This command renames a file.

RENAME FILEA, FILEB

This example renames FileA to FileB.

SHOWJOB This command displays the current job and sessions.

SHOWME This command displays the current user and group.

USER: #S5786,CZL.SPMS,ID (session number, user ID, account, group)

SHOWTIME This command displays the current date and time.

Adding Lockwords to Files

A lockword is like adding a password to a file. Only users who know the lockword can access the file. Lockwords follow the same naming conventions as any file name, and along with "/" are placed after the filename and before the period and group name. A lockword may be placed on a file by performing a RENAME or COPY, or by specifying the lockword in the Host File Name during a file transfer to the host. The example below has a lockword of "lock":

RENAME FILEA, FILEA/LOCK.SHARE

or

RENAME FILEA, FILEA/LOCK

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Appendix A

NTS Host Computer Word Processor

Appendix A

NTS Host Computer Word Processor

All NTS users, except General Users, have write access to specific fields in the NTS data base. Once a Noncompliance Report has been transmitted to the host computer, editing or adding text to a report is accomplished by using the host computer word processor.

After selecting an option from an NTS menu/task that requires editing a text field, the host word processor is activated. The on screen function key labels should be at the initial function level. If not, press **F8** to obtain the following display:

main funct'ns	more funct'ns	misc funct'ns	enhance text	unit movement	typing mode	other movement	END
------------------	------------------	------------------	-----------------	------------------	----------------	-------------------	-----

Each of these eight on-screen blocks represent the function keys F1 through F8.

Leaving the Text Processor

To save your entry, press the **F8 (END)** function key twice. A prompt will then appear asking you if you wish to save. Type Yes or No accordingly and then press **ENTER**.

Help

1. Press **F3 (misc funct'ns)**.
2. Press **F7 (Help)** to go to the help screens.
3. Type **2** to retrieve a list of topics.
4. Enter number for help information on desired topic.

Cursor Movement

- Movement by character:
 1. Use the **RIGHT ARROW** key to move to the right one character.
 2. Use the **LEFT ARROW** key to move to the left one character.
- Movement by line:
 1. Use the **UP ARROW** key to move up one line of text.
 2. Use the **DOWN ARROW** key to move down one line of text.

- Movement by line:
 1. Use the **UP ARROW** key to move up one line of text.
 2. Use the **DOWN ARROW** key to move down one line of text.
- Movement by screen:
 1. Press the **PAGE UP** key to move back one screen.
 2. Press the **PAGE DOWN** key to move forward one screen.
- Movement by sentence:
 1. Press the **CTRL** and **A** keys together (**CTRL-A**) to change to ADVANCE mode
or
Press the **CTRL-R** keys to change to BACKUP mode.
 2. Press the **CTRL-K** keys to move to the next (or previous) sentence.

Note: To exit ADVANCE (or BACKUP mode), press the **CTRL-A** keys (or the **CTRL-R** keys).
- Movement by paragraph:
 1. Press the **CTRL-A** keys to change to ADVANCE mode
or
Press the **CTRL-R** keys to change to BACKUP mode.
 2. Press the **CTRL-M** keys to move to the next (or previous) paragraph.

Note: To exit ADVANCE (or BACKUP mode), press the **CTRL-A** keys (or the **CTRL-R** keys).
- Move to beginning of document:
 1. Press **F7 (OTHER MOVEMENT)**.
 2. Press **F7 (GOTO PAGE #)**.
 3. Type **1** and press **ENTER**.

- Move to end of document:
 1. Press **F7 (OTHER MOVEMENT)**.
 2. Press **F7 (GOTO PAGE #)**.
 3. Type page number of last page or greater and press **ENTER**.
- Go to page number:
 1. Press **F7 (OTHER MOVEMENT)**.
 2. Press **F7 (GOTO PAGE #)**.
 3. Type page number and press **ENTER**.

Insert Text

1. Place cursor at location to insert information.
2. Press the **INSERT** key or the **CTRL-F** keys. (Note: Text disappears from the screen after entering the insert mode but returns after exiting the insert mode.)
3. Type in desired text.
4. Press the **INSERT** or the **CTRL-F** keys to end insert.

Delete Text

- Delete a single character:
 1. Move the cursor to the character to delete.
 2. Press **DELETE** or the **CTRL-D** keys twice.

NOTE: Some special characters (e.g., tab, carriage returns) cannot be deleted by the previous method. To delete special characters, see below.

- Delete a carriage return marker (>):
 1. Move the cursor to the first position following the carriage return marker (>).
 2. Press **DELETE** (or the **CTRL-D** keys).
 3. Press **ENTER**.

- Delete a tab (^):
 1. Move the cursor to the first position following the tab marker (^).
 2. Press **DELETE** (or the **CTRL-D** keys).
 3. Press **TAB**.
- Delete phrases, sentences, paragraphs, etc.:
 1. Move the cursor to the beginning of the text you want to delete.
 2. Press **DELETE** or the **CTRL-D** keys.
 3. Move the cursor to end of the text you want to delete. (Selected text should be highlighted as you move your cursor.)
 4. Press **DELETE** or the **CTRL-D** keys.

Moving Text

1. Place cursor at beginning of text you desire to move.
2. Press **F1 (main functions)** and then **F3 (MOVE)**
or
Press the **CTRL-N** keys and then an **M**.
3. Mark text you want to move by using the arrow keys. If you want to mark large amounts of text quickly, use the **PAGE UP**, **PAGE DOWN**, or the appropriate movement function key.
4. Press **F7 (MOVE/COPY)** function key. Text is removed from current location.
5. Move cursor to new location of text.
6. Press **F3 (MOVE)** and selected text moves.

Copying Text

1. Place cursor at beginning of text you want to copy.
2. Press **F1 (MAIN FUNCTIONS)** and then **F4 (COPY)**
or
Press the **CTRL-N** keys and then a **C**.
3. Mark text you want to copy by using the arrow keys. If you want to mark large amounts

of text quickly, use the **PAGE UP**, **PAGE DOWN**, or the appropriate movement function key.

4. Press **F7 (MOVE/COPY)** function key.
5. Move cursor to desired location to copy text.
6. Press **F4 (COPY)** and text is copied to cursor location.

Search and Replace

1. Move to beginning of document.
[The quickest way is to use the **PAGE UP** key
or
Press **F7 (OTHER MOVEMENT)** and then **F7 (GOTO PAGE #)**].
2. Press **F2 (MORE FUNCTIONS)** and **F5 (SEARCH/REPLACE)**
or
Press the **CTRL-V** keys.
3. Type in designated information and press **F1 (ADVANCE)**.

Spell Check

1. Move to beginning of document.
[The quickest way is to use the **PAGE UP** key
or
Press **F7 (OTHER MOVEMENT)** and then **F7 (GOTO PAGE #)**].
2. Press **F2 (MORE FUNCTIONS)**.
3. Press **F3 (SPELL CHECK)**.
4. Any word not present in the Spell library is questioned at the top of the screen. Press **RETURN** to leave a word unchanged and continue to next word or type the word correctly and press **RETURN**.

Formatting Text

- Using tabs:

There are three different types of tabs:

Left Tab (T) — cursor moves to this position when the **TAB** key is pressed.

Wrap Tab (W) — cursor returns to this position when a word wrap occurs.

Decimal Tab (D) — after pressing the **TAB** key, all characters except the decimal, right parenthesis, space, and carriage return moves to the left.

See **HELP** for more information on tabs by using the **HELP** procedure.

- Add or change a format ruler:

1. Move cursor to the desired location for the format change.

The format change occurs only from the current location of the cursor to the bottom of the text (or to where the next format change occurs). Format rulers are marked in the document with a highlighted >.

2. Press **F1 (MAIN FUNCTIONS)** and **F6 (FORMAT)**

or

Press the **CTRL-G** keys.

3. The cursor should now be placed on the format line. You can move between markers on the format line using the **TAB** key. Do not change the left or right margins.
4. To change (or add) a tab, move to the desired location of the tab and then press the correct tab symbol (T, W, or D as described above).
5. Press **F8 (FORMAT)** to exit format line.

- Delete format ruler:

1. Move to line of format ruler (format rulers are marked with a highlighted >). You cannot delete a format ruler on line 1.
 2. Press **DELETE** or the **CTRL-D** keys.
 3. Press **F4 (MARK KEYS)** and **F5 (FORMAT RULER)**
- or
- Press the **CTRL-G** keys.

Centering Text

- Center new text:

1. Press **F1 (MAIN FUNCTIONS)**.
2. Press **F5 (CENTER)**.

3. Type in text to be centered.
 4. Press **ENTER**.
- Center existing text:
 1. Move cursor to line you want to center.
 2. Press **F1 (MAIN FUNCTIONS)**.
 3. Press **F5 (CENTER)**.
 - Delete center mark:
 1. Move to line that contains the center marker (<).
 2. Press **DELETE** or the **CTRL-D** keys.
 3. Press **F4 (MARK KEYS)**.
 4. Press **F4 (CENTER)**.

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Appendix B

PC NTS Version 1.01

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Purpose and Objectives

This appendix provides information on the use of PC NTS Version 1.01, the FoxPro-based software used to create and transmit Noncompliance Reports. This information should enable the user to:

- Maneuver through the PC NTS menus.
- Create new Noncompliance Reports.
- Select and download Noncompliance Reports from the NTS centralized data base to PC NTS.
- Print Noncompliance Reports that reside on PC NTS.
- Delete Noncompliance Reports that reside on PC NTS.
- Unload/copy Noncompliance Reports residing on the PC NTS data base to a disk.
- Load Noncompliance Reports from a disk to the PC NTS data base.
- Edit the Facility Table that provides field help in the data-entry screens.
- Set up the program parameters.
- Identify the system checks that are performed as the PC NTS software is loaded.

Introduction — General Features of PC NTS Version 1.01

This PC-based program is used by Contractor PAAA Coordinators to create and then transmit Noncompliance Reports to the host computer NTS data base. Basically, PC NTS acts as a template to ensure that the data structure and field values being transmitted meet the requirements of the NTS host data base.

Many Contractor PAAA Coordinators are also responsible for submitting Occurrence Reports. For this reason, the "look and feel" of PC NTS is similar to PC ORPS, the PC-based program used to create and transmit Occurrence Reports.

Some Noncompliance Reports are closely tied to Occurrence Reports, that is, some noncompliance conditions also are reportable in accordance with DOE Order 261. In these cases, some field values in an Occurrence Report will become part of the corresponding Noncompliance Report. Therefore, Contractor PAAA Coordinators will need to have both PC NTS and PC ORPS installed on their local computer.

General features of the PC NTS follow:

Multiplatform Support	PC NTS currently runs under DOS, and in the future will be developed to run under Windows, Macintosh, and UNIX.
Network Support	Multiple users can run the same PC NTS program simultaneously.
System Checks	Each time PC NTS is started, a number of system checks are performed. These include checking the computer's system date, checking the memory to ensure there is enough to run the program, checking available disk space, and performing a backup.
Mouse Support	Mouse support is available on all of the screens. Three screens, the Unload/Copy, Load, and Edit Facility Table, have mouse-enhanced versions, which can be selected during program setup. Click the left mouse button once to move the cursor to a particular field or choose a menu option. Click the left mouse button twice to make a selection from a list.
Hot Keys	Most of the menu selections have a highlighted letter. The user may press this letter to choose the selection instead of moving to the selection and pressing ENTER .

**On-screen help and
coded field lists**

General help for using this software is available on most screens by pressing **F1**.

Field help is available by moving the cursor to a specific field and then pressing **F2**. This same action will provide a list of allowable codes for those fields requiring specific coded entries. For example, moving the cursor to the Facility Function field, and then pressing **F2** will result in a display of the 17 codes that will be accepted for this field by the host computer.

Starting the PC NTS Software

Before attempting to start PC NTS, ensure that the PC NTS software is installed on your PC. Contractor PAAA Coordinators also will need to ensure that PC ORPS is loaded on the same PC.

The following text describes starting the PC NTS software from the C drive.

NOTE: If the software was installed on a different drive, replace **C:** with the appropriate driver letter by typing in the drive letter followed by a colon (e.g., B:) and press **ENTER**.

1. Ensure the prompt on the PC is **C:\>**

2. Type **CD\NTS**

Press **ENTER**

3. Ensure the prompt on the PC is **C:\NTS>**

4. Type **NTS**

Press **ENTER**

5. Observe that the following PC NTS Main Menu appears on the screen.

NTS	Version 1.01
Exit PC Program	
Create/Modify Noncompliance Report	
Print Noncompliance Report(s) Delete Noncompliance Report(s)	
Communications with NTS Host Data base (transmit reports, download a single report, terminal hookup)	
Unload/Copy Noncompliance Report(s) to Disk Load Noncompliance Report(s) from Disk Edit Facility Table Setup Program Parameters Exit or Enter PC NTS Training Session	
Help: F1	

Moving Through PC NTS

Tab	Move cursor from field to field, left to right, down the screen.
Shift-Tab	Move cursor right to left up the screen.
→, ←, ↑, ↓	Move in the designated direction.
F6	Move forward a screen.
F5	Move backward a screen.
Ctrl-End	Clear a field.
Esc	Back out of a function or menu.
F2	Access help on current field.
F1	Access general help on report generation process.
F10	Activate Option Menu.
Highlighted character	Select menu option.
Mouse	Can be used on all screens. Three screens have been specially enhanced for mouse use.

Creating/Modifying Noncompliance Reports

To create a new Noncompliance Report, move the cursor to the **Create/Modify Noncompliance Report** option on the main menu and press **ENTER**, or press the letter **C**, or place the mouse pointer on the **Create/Modify Noncompliance Report** option and double-click the left mouse button. The Noncompliance Reports list appears. Move the cursor to **Create New Noncompliance Report** and press **ENTER**, or move the cursor to the number of an existing Noncompliance Report that you want to modify and press **ENTER**. (You also can make these selections by placing the mouse pointer on the desired option and double-clicking the left mouse button.) The Noncompliance Report Screen appears.

The Noncompliance Report is assigned a temporary working number (i.e., TEMP-NR-001). This temporary number will remain assigned to the report until it is transmitted to the NTS data base on the host computer. At that time, the host NTS program will assign an official Noncompliance Report number.

Enter information in the appropriate shaded fields. See section entitled "Data-Entry Fields for the PC NTS Software" for a list of all data-entry fields. Once the required information is entered, the Noncompliance Report can be transmitted to the NTS data base on the host computer. See "Communicating with the NTS Data Base".

Using the Option Menu

While working in the data entry screens, press the **F10** function key or place the mouse pointer on the Option Menu box and click the left mouse button to display the Option Menu. The following menu appears:

OPTION MENU		
Return	--	Return to Current Noncompliance Report
Exit	--	Exit & Return to Main Menu
Save	--	Save Record
WP	--	Edit Text Fields with Spell Checker
Action	--	Document Corrective Actions
Print	--	Print Noncompliance Reports
Delete	--	Delete Noncompliance Reports

Using the items available in the Option Menu, you will be able to:

Return	Return to the current Noncompliance Report.
Exit	Leave Create/Modify screens and return to the main menu.
Save	Save report and remain in the Create/Modify screens.
WP	Edit Text Fields with Spell Checker
Action	Document corrective actions.
Print	Print hard copy of Noncompliance Report.
Delete	Remove Noncompliance Report from PC NTS data base.

Saving Noncompliance Reports/View Incomplete Fields

Perform the following steps to save Noncompliance Reports. Note that storage in the PC NTS directory is only limited to the amount of available disk space.

1. Select the Option Menu from the data entry screens by pressing the **F10** function key or by placing the mouse pointer on the Option Menu box and clicking the left mouse button.
2. At the Option Menu, move the cursor to the **Save Report** option and press **ENTER** or place the mouse pointer on the **Save Record** option and click the left mouse button.

Printing Noncompliance Reports Residing in PC NTS

You may print Noncompliance Reports stored on your PC. Note that this printout represents data stored locally in the PC, not in the NTS data base at the host computer. Therefore, reports printed using this procedure have the words "PC NTS" printed on them and do not represent the official version as contained in the NTS data base.

Two methods exist to print reports:

- At the PC NTS Main Menu, move the cursor to the **Print Noncompliance Report(s)** option and press **ENTER**, or press the letter **P**, or place the mouse pointer on the **Print Noncompliance Report(s)** option and click the left mouse button. A list of Noncompliance Reports in your PC appears. Select the reports to be printed by moving the cursor to each report you want to print and pressing the **F10** function key or by placing the mouse pointer on the column to the left of each report you want to print and clicking the left mouse button twice. (Pressing the **F10** function key again or clicking the left mouse button again deselects a report.) When all reports are selected, press **ENTER** or place the mouse pointer on the **Enter Process Report** box and click the left mouse button to begin printing. (Follow the prompts to print the current report.)

or

- At the Option Menu (selected at the Noncompliance Report screens by pressing the **F10** function key or moving the mouse pointer to the Option Menu box and clicking the left mouse button), move the cursor to the **Print Noncompliance Reports** option and press **ENTER** or place the mouse pointer on the **Print Noncompliance Reports** option and click the left mouse button. (Follow the prompts to print the current report.)

From the PC NTS software, reports can be printed to the screen, to the printer, or to a disk. After pressing **ENTER** to process the reports, you will be prompted for the destination. The choices are: **CON** = Screen, **PRN** = Printer, or **Filename** = Disk. Enter desired choice and press **ENTER** or click the left mouse button once on destination choice.

Deleting Noncompliance Reports Residing on PC

Selecting the Delete Noncompliance Report option can be used to remove unnecessary Noncompliance Reports that may be stored on your PC. This option also may be used to remove Noncompliance Reports from your PC for security purposes.

Two methods exist to delete reports:

- At the PC NTS Main Menu move the cursor to the **Delete Noncompliance Report(s)** option and press **ENTER**, or press the letter **D**, or place the mouse pointer on the **Delete Noncompliance Report(s)** option and click the left mouse button. A list of Noncompliance Reports in your PC appears. Select each report you want to delete by pressing the **F10** function key or by placing the mouse pointer on the column next to the report and clicking the left mouse button twice. (Pressing the **F10** function key again or clicking the left mouse button again deselects a report.) When all reports are selected, press **ENTER** or place the mouse pointer on the **Enter Process Report** box and click the left mouse button. You will be prompted, **Proceed with "DELETION" of the marked report(s)? <DELETE> <Cancel>**. Tab to selection and press **ENTER** or click the left mouse button once on selection desired.

or

- Select the Option Menu from the data entry screens by pressing the **F10** function key or by placing the mouse pointer on the Option Menu box and clicking the left mouse button. Move the cursor to the **Delete Noncompliance Report** option and press **ENTER** or place the mouse pointer on the **Delete Noncompliance Report** option and click the left mouse button. A window appears that says **Confirm — Delete Noncompliance Report?** Tab to desired selection and press **ENTER** or click the left mouse button once on selection desired.

Communicating with the NTS Data Base

This option allows you to transmit a Noncompliance Report to the NTS host computer, download a Noncompliance Report from the host computer, or connect with the host computer to access the Operational Event Information Systems main menu.

Reports can be downloaded from the NTS host computer to allow you to store a Noncompliance Report on a different PC than the one from which it was originally transmitted.

1. At the PC NTS Main Menu, move the cursor to the **Communications with NTS Host Data base** option and press **ENTER** or place the mouse pointer on the **Communications with NTS Host Data base** option and click the left mouse button.
2. Move the cursor to appropriate menu item and press **ENTER** or place the mouse pointer on the appropriate menu item and click the left mouse button twice. You can choose from the following:
 - Transmit Report(s)
 - Download a Single Report
 - Terminal Hookup
 - Exit/Logout of Host Computer.
3. If you are transmitting a Noncompliance Report, a list of Noncompliance Reports on your PC appears. Select the report(s) you want to transmit by pressing the **F10** function key or by placing the mouse pointer on the column to the left of the report and clicking the left mouse button twice. NOTE: Pressing the **F10** function key again or clicking the left mouse button again deselects a report.) After selecting the report(s), press **ENTER** or place the mouse pointer on the **Enter Process Report** box and click the left mouse button to begin transmitting.
4. If you are downloading a Noncompliance Report, type the number of the report at the prompt and press **ENTER**.
5. After selecting Terminal Hookup, you will be prompted for your user ID and password if you are not currently logged on. If you log on to the host successfully, the Operational Event Information Systems selection menu will appear on your screen.

To exit out of terminal hookup, you may perform one of the following options after exiting the menu and receiving an "XL:" prompt.

If you wish to remain connected to the host computer but return to PC NTS, press F8 (EXIT) twice or <Alt>-X.

If the user wants to disconnect the session, type "bye" at the "XL" prompt. You will still return to PC NTS but your connection to the host is disconnected.

6. Exit/Logout of the Host Computer will disconnect all modes of communication to the host.

Unload/Copy Noncompliance Reports to Disk

You may unload or copy Noncompliance Reports to a disk. Unloading is often used to reduce the number of Noncompliance Reports stored in the PC NTS software at your PC. This option also may be used to remove Noncompliance Reports from one PC and transport these reports to another PC.

1. At the PC NTS Main Menu, move the cursor to the **Unload/Copy Noncompliance Report(s) to Disk** option and press **ENTER** or place the mouse pointer on the **Unload/Copy Noncompliance Report(s) to Disk** option and click the left mouse button.

The non-mouse-enhanced screen will be displayed by default after installation. Mouse users should refer to "Setup Program Parameters" for instructions on displaying mouse-enhanced screens.

2. A list of Noncompliance Reports in your PC NTS data base appears. Select the reports to unload or copy by moving the cursor to each report and pressing the **F10** function key or by placing the mouse pointer in the column to the left of each report and clicking the left mouse button twice. (Pressing **F10** or clicking the left mouse button again deselects a report.) When all reports are selected, press **ENTER** or place the mouse pointer on the **Enter Process Report** box and click the left mouse button to begin the process.
3. You will be prompted to enter the name of the file to which the reports will be loaded. Verify that the drive and directory are correct, then type the name of the file. Press **ENTER** or place the mouse pointer on **<< Save >>** (if on mouse-enhanced screen) and click the left mouse button to complete the save. **NOTE:** The file will be saved with an **.NTS** extension if you enter no extension and you are using the mouse-enhanced screen.
4. If you want to unload the reports, answer **Yes** to the prompt **Delete reports after completing copy to disk?** Responding with **No** to this prompt will copy the reports to disk (without deleting from PC NTS).

Load Noncompliance Report from Disk

Use the **Load Noncompliance Report(s) from Disk** function to move Noncompliance Reports from a disk back into the PC NTS software.

1. At the PC NTS Main Menu, move the cursor to the **Load Noncompliance Report(s) from Disk** option and press **ENTER** or place the mouse pointer on the **Load Noncompliance Report(s) from Disk** option and click the left mouse button.

The non-mouse-enhanced screen will be displayed by default after installation. Mouse users should refer to "Setup Program Parameters" for instructions on displaying mouse-enhanced screens.

2. You will be prompted to enter the drive, directory, and file name of the file you want to load.
3. To load the file, enter the filename and press **ENTER**.

If you are loading a report that has the same number as a report that is currently in your PC NTS data base, you will be prompted:

Report number exists in data base: <Replace> <Cancel>

If you choose **<Replace>**, the PC NTS data base will be updated with the report on the disk. If you choose **<Cancel>**, the report will not be loaded.

Edit Facility Table

A facility table contains a list of those facilities for which the Contractor PAAA Coordinator has authority to submit Noncompliance Reports. This facility table provides the field help for the Facility ID code in the PC NTS data-entry screens. Create or modify this table with the exact information (facilities list) you included on the Authority File Information Form (the form you filled out to gain Contractor PAAA Coordinator authority for the NTS).

Do not add facilities to this table that you did not list on the NTS Authority File Information Form. If you attempt to transmit a Noncompliance Report for a facility and you do not have authorization to do so, you will receive an error message from the host.

At the PC NTS Main Menu, move the cursor to the **Edit Facility Table** option and press **ENTER** or place the mouse pointer on the **Edit Facility Table** option and click the left mouse button. The following non-mouse-enhanced screen will be displayed. Mouse users should refer to "Setup Program Parameters" for instructions on displaying mouse-enhanced screens.

FACILITY		TABLE	
F1 Field Help	F2 Create	F3 Delete	F5 List
ESC Exit			F10 Save
Facility ID: <input type="text"/>			
Description: <input type="text"/>			

To add a Facility Code:

1. Press **F2** (Create).
2. This places the cursor on the Facility ID field. Type the facility code.
3. Press **ENTER**, press **TAB**, press **↓**, or place the mouse pointer and click the left mouse button to move to the Facility Code Description field. Type the descriptive name of the facility.

4. When all the facility information has been entered, press **F10** to save.
5. Press **ESC** or click the left mouse button on **ESC Exit** box to exit.

To edit a Facility Code:

1. Press **F5** (List).
2. User arrow keys and press **ENTER** to retrieve facility.
3. Modify record as needed.
4. When all facility information is correct, press **F10** to save or click the left mouse button on the **F10 Save Facility** box.

Setup Program Parameters

This option lets you modify PC NTS program parameters. These parameters probably will not require modification unless there are changes to your PC hardware or communication package.

1. At the PC NTS Main Menu, move the cursor to the **Setup Program Parameters** option and press **ENTER** or place the mouse pointer on the **Setup Program Parameters** option and click the left mouse button.
2. The NTS Parameter Setup screen appears. Move the cursor to the field you want to change and type in the change. When all changes have been made, press the **F10** function key or place the mouse pointer on the **<F10 - Save>** option and click the left mouse button to save the changes. Press **ESC** or click the left mouse button **<ESC - Exit>** to exit.

Field Title

Description

Is your printer a Hewlett
Packard Laser Jet Printer
(Y/N)?

If you answer yes to this question, the PC NTS software will initialize your printer before printing reports. This ensures that reports will have the correct font, character size, and margins.

NOTE: Printing will not be correct if the Form option on printer is greater than 66 lines.

Is your PC connected directly
to a modem (Y/N)?

A direct connection to a modem will have an RS-232 cable connected at one end to your PC COM port and the other end connected to a modem. If you answer yes to this question, PC NTS software can log off the host computer without reentering Reflection, thereby avoiding the delay caused by entering and exiting Reflection.

<u>Field Title</u>	<u>Description</u>
Host modem dial-up phone number?	<p>This specifies the modem command that dials the phone number of the host computer and establishes a connection. A sample command is:</p> <p>ATDT9,208,526,0550</p> <p>ATD is the auto dial command mnemonic. T specifies tone dialing. W means wait for a dialtone before continuing. This command would be suitable when it is necessary to dial 9 to receive an outside line before dialing the number (208) 526-0550. The comma (,) means to pause before dialing the next number. P means to pulse dial the numbers that follow.</p>
Reflection options list?	<p>Specify the options to be set when Reflection is executed. The available options are described in the <i>Reflection Technical Reference Manual</i>. The following sample option list forces Reflection to operate with the minimum amount of memory:</p> <p>/Q /W /GO /T1 /I</p> <p>NOTE: GO is not valid if using Reflection 1.</p>
Reflection executable file path?	<p>This option must be entered correctly in order for the communication option to operate correctly. Specify the path to Reflection program. The Reflection executable file name is probably of the form R7.EXE or R1.EXE. The file extension .EXE is optional. Examples would be:</p> <p>C:\REFLECT\R1.EXE</p> <p>or</p> <p>C:\R7\R7.EXE</p>

<u>Field Title</u>	<u>Description</u>
Reflection configuration file path?	<p>This option affects how well the communications options will operate. The configuration file contains the parameters that govern the operation of Reflection. The file is generated at the user's request from within Reflection. When the PC NTS software executes Reflection, the configuration file path passes to Reflection, which then loads the parameters contained in the file. Examples would be:</p> <p>C:\REFLECT\RT.CFG</p> <p>or</p> <p>C:\R7\R7.CFG</p>
Display Mouse-Enhanced Screens on Facility Table, Load, and Unload	<p>A Y in this field will set up the program to display the mouse-enhanced screens when selecting Edit Facility Table, Load Noncompliance Report(s) from Disk, or Unload/Copy Noncompliance Report(s) to Disk from the main menu. An N will result in the non-mouse-enhanced screens being displayed when any of these options are selected.</p>

PC NTS Training Session

The **PC NTS Training Session** option gives you the opportunity to practice with the menu items available on the PC NTS software without affecting the PC NTS software data base or the NTS data base on the host computer. You will not be able to transmit these practice reports to the host computer.

To activate the training session:

1. At the PC NTS Main Menu, move the cursor to the **PC NTS Training Session** option and press **ENTER**, or press the letter **T**, or place the mouse pointer on the **PC NTS Training Session** option and click the left mouse button.
2. You will be prompted:

PC NTS Training Session is NOT Currently Active
Start Training Session? < Yes > < No >

Choose Yes by pressing "Y".

You will receive a prompt telling you that "**PC NTS is in Training Mode.**" Press **ENTER** (or **ESC**) to go past this screen. While the training session is active, you will have access to all of the PC NTS software options, but all of the data will be regarded as training data only. The setup parameters and data files are separate for training. To create an actual Noncompliance Report, you will need to exit the training session.

To exit the training session:

1. At the PC NTS Main Menu, move the cursor to the **PC NTS Training Session** option and press **ENTER**, or press the letter **T**, or place the mouse pointer on the **PC NTS Training Session** option and click the left mouse button.
2. You will be prompted:

PC NTS Training Session is Currently Active
Exit Training Session? < Yes > < No >

Choose Yes by pressing "Y".

System Checks

Each time you start the PC NTS software, a number of system checks are performed. A message will display as each item is checked. If a check is positive, you will receive a message that displays **Passed**. If a check is negative, a message will be displayed explaining the problem. The following system settings are checked:

- Version of FoxPro being run is checked to ensure that it is compatible with the version that was used to compile PC NTS.
- Number of DOS files specified as open is checked. The PC NTS software requires a minimum of 60. This is usually set in the CONFIG.SYS file.
- RAM memory is checked to ensure there will be enough to run the PC NTS software. A minimum of 520 K is required.
- Available disk space is checked to ensure there is enough available to run the PC NTS software. A minimum of 5 MB is required.
- System date is checked to ensure it is later than the last backup date. This will help ensure valid date checks are used. The user will be allowed to enter the current time and date if invalid dates are found. **Alt F3** may be used to modify the system date.
- Checks for a valid FoxPro Configuration File. If one does not exist (only if config.fp gets deleted), the program will prompt you to recreate the file. After recreating the file, PC NTS must be restarted by typing **NTS**.
- Backup of the data is performed each time the program is exited. An option to restore the data is available. The restore option will allow the user to choose from any of the last 10 backup files. Backup files are created in the \NTS\BACKUP directory; this directory is created, if it doesn't exist. **Alt F10** is used to restore data. A list of backup dates and times is displayed from which the user can select a desired backup file.

Exiting the PC NTS Software

Return to the PC NTS Main Menu. If you are in Create/Modify, press the **F10** function key or place the mouse pointer on the Option Menu box and click the left mouse button to display the Option Menu. Move the cursor to the **Exit** option and press **ENTER** or place the mouse pointer on the **Exit** option and click the left mouse button. The display returns to the PC NTS Main Menu.

At the PC NTS Main Menu, move the cursor to the **Exit PC Program** option and press **ENTER** or place the mouse pointer on the **Exit PC Program** option and click the left mouse button to leave the PC NTS software.

Data-Entry Fields for the PC NTS Software

PC NTS provides a data-entry screen to create a Noncompliance Report. Three on-screen pages must be filled out to complete the report. Once completed, the Contractor PAAA Coordinator transmits the Noncompliance Report to the host NTS computer. (Numbers in parentheses refer to paragraph numbers in the next section.)

Page 1 of 3:

Noncompliance Report			
F1 ScreenHelp	F2 Field Help	F5 Prev F6 Next	F10 OptionMenu
<div style="display: flex; justify-content: space-between;"> <div>Noncompliance Number: (1)</div> <div>ORPS Number: (2)</div> </div>			
Facility Information			
<div style="display: flex; justify-content: space-between;"> <div>Facility Function: (3)</div> <div>Facility ID: (4)</div> </div> <div style="display: flex; justify-content: space-between;"> <div>Lab./Site: (5)</div> <div>System/building/equipment: (6)</div> </div> <div style="display: flex; justify-content: space-between;"> <div>Program Office: (7)</div> </div>			
<div style="display: flex; justify-content: space-between;"> <div>Occurrence Discovered date: (8) / /</div> <div>Discovering Org. (9)</div> </div> <div style="display: flex; justify-content: space-between;"> <div>Date Reportable under PAAA: (10) / /</div> </div> <div style="display: flex; justify-content: space-between;"> <div>Title of Noncompliance: (11)</div> </div> <div style="display: flex; justify-content: space-between;"> <div>Description of Noncompliance: (12)</div> <div style="width: 20px; height: 50px; background-color: black; position: relative;"> <div style="position: absolute; top: 0; left: 0; right: 0; height: 10px; background-color: black;"></div> <div style="position: absolute; bottom: 0; left: 0; right: 0; height: 10px; background-color: black;"></div> <div style="position: absolute; top: 50%; left: 0; right: 0; height: 10px; background-color: black;"></div> </div> </div>			
<p>* Press TAB to access text. Shift TAB for previous Field*</p> <p>Enter the ORPS Number or Press <ENTER> for a list of OR Numbers</p>			

Page 2 of 3:

Noncompliance Report			
F1 ScreenHelp	F2 Field Help	F5 Prev F6 Next	F10 OptionMenu
<p>Noncompliance Number: (1)</p> <p>ORPS Number: (2)</p> <p>CFR Req.: (13)</p> <p>Section of Implementation Plan Violated</p> <p>(14)</p> <p>* Press TAB to access text. Shift TAB for previous Field *</p> <p>1st Nature of Occurrence <u>N/A</u> with no ORPS No. (15)</p> <p>2nd Nature of Occurrence <u>N/A</u> with no ORPS No. (15)</p> <p>3rd Nature of Occurrence <u>N/A</u> with no ORPS No. (15)</p> <p>Occurrence category <u>N/A</u> with no ORPS No. (16)</p> <p style="text-align: center;">Page 2 of 3</p>			

Page 3 of 3:

Noncompliance Report			
F1 ScreenHelp	F2 Field Help	F5 Prev F6 Next	F10 OptionMenu
<p>Noncompliance Number: (1)</p> <p>ORPS Number: (2)</p> <p>Date Contractor Closed NC: (17) / Potential Enforcement Review: (18)</p> <p>Contractor PAAA Coordinator: (19) Title: (19)</p> <p>Phone: (19) -</p> <p>Orig. name: (20) Orig. Title: (20)</p> <p>Phone: (20) -</p> <p style="text-align: center;">Page 3 of 3</p>			

PC NTS Data-Entry Fields for Noncompliance Reports

Field Title**Description**

PC NTS Entry Screen Page 1 of 3:

1. **Noncompliance Number**

The host computer will provide this number once a Noncompliance Report has been transmitted. Prior to transmitting the Noncompliance Report, a temporary Noncompliance Report number occupies this field (e.g., TEMP-NR-001).

2. **ORPS Number**

This number is the Occurrence Report (OR) number from PC ORPS. An entry in this field is only required if the noncompliance is also reportable in accordance with DOE Order 261.

Leave blank if there is no associated OR. Press the **ENTER** key if an associated OR exists and select the number. Note that OR must reside in the ORPS (PC ORPS) directory on the same PC as this NTS entry screen.

A list of occurrence report numbers currently residing in PC ORPS can be obtained by pressing **F3**. After selecting an occurrence report number from this list, all available information applicable to the noncompliance will automatically load into PC NTS.

The ORPS number is an optional field.

3. Facility Function

If an ORPS number was entered in the previous field, PC NTS will take the facility function code for the OR. If an ORPS number was not entered, type a Facility Function code describing the primary function of the facility when the noncompliance took place or press F2 to display the following list on-screen:

- 01 — Plutonium Processing & Handling
- 02 — SNM Storage
- 03 — Explosive
- 04 — Uranium Enrichment
- 05 — Uranium Conversion/Processing & Handling
- 06 — Irradiated Fissile Material Storage
- 07 — Reprocessing
- 08 — Nuclear Waste Operations
- 09 — Tritium Activities
- 10 — Fusion Activities
- 11 — Environmental Restoration Operations
- 12 — Category "A" Reactors
- 13 — Category "B" Reactors
- 14 — Solar Activities
- 15 — Fossil and Petroleum Reserves
- 16 — Accelerators
- 99 — Balance-of-plant (e.g., offices, machine shops, site/outside utilities, safeguards/security, transportation, etc.)

4. Facility ID

Required entries for all Noncompliance Reports. Enter the code or acronym for the facility name. Press F2 to display codes for all facilities that have been entered into the PC NTS software through the Edit Facility Table option. Information from this field is used by the system (once the Noncompliance Report is transmitted) to automatically fill in the site name.

5. Lab./Site

Filled in by the host computer after the report is transmitted, matches the facility ID code entered in the previous step to provide a descriptive name of the laboratory/site.

6. System/
Building/
Equipment

Required entry for all reports. Identify all systems, equipment, or structural items involved in the noncompliance. In addition, in the case of component failures, provide the component manufacturer, model number, size, etc. If more space is needed, provide this additional information in the Description of Noncompliance narrative field.

<u>Field Title</u>	<u>Description</u>
7. Program Office	<p>Required entry for all reports. Only one DOE program office can be selected. If the facility is operationally responsible to more than one program office, enter the program office that is most directly involved in the specific work activity during which the occurrence took place. Enter a code from the following list.</p> <p> DP - Defense Programs EE - Energy Efficiency and Renewable Energy EH - Environmental, Safety, and Health EI - Energy Information Administration EM - Environmental Restoration & Waste Management ER - Energy Research FE - Fossil Energy HR - Human Resources and Administration IS - Intelligence and National Security NE - Nuclear Energy NP - New Production Reactor RG - Economic Regulatory Administration RW - Civilian Radioactive Waste Management UE - Uranium Enrichment </p>
8. Occurrence Discovered Date	<p>Occurrence date of discovery will be put here if a related OR exists. If no OR, then enter the date of discovery of the noncompliance condition in the format MM/DD/YY. Required entry for all reports.</p>
9. Discovering Organization	<p>Enter the organization discovering the potential noncompliance. Valid entries are:</p> <p> C = CONTRACTOR E = EH EVALUATION STAFF F = DOE FIELD/OPERATIONS OFFICE H = DOE HEADQUARTERS O = OTHER ORGANIZATION </p> <p>Required entry for all reports.</p>

<u>Field Title</u>	<u>Description</u>
10. Date Reportable under PAAA	Enter the date the noncompliance was determined to be reportable under the Price-Anderson Amendments Act (PAAA) in the format MM/DD/YY. Required entry for all reports.
11. Title of Potential Noncompliance	Provide a title or description of the (100 characters or less) that best details the nature, cause, and result of the potential noncompliance. Required entry for all reports.
12. Description of Potential Noncompliance	<p>Enter a clear, concise, objective description of what happened and what was observed. You must provide an explanation of how the Code of Federal Regulations (CFR) was potentially violated and the safety significance of the violation. Required entry for all reports.</p> <p>This is a free form narrative field. There is no practical limit on the amount of text you may enter here.</p> <p>To activate the spell-check feature, place the cursor in the field block and then press F10. From the option menu select Spell Check.</p> <p>If the information in this field is not clear or if more information is deemed necessary, a DOE Representative might contact the contractor for more information. DOE will not take enforcement action based solely upon information in the NTS.</p>

<u>Field Title</u>	<u>Description</u>
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PC NTS Entry Screen Page 2 of 3:

13. CFR Requirement

Enter the CFR requirement that was possibly violated.
Required entry for all reports.

Ensure the cursor is in this field. Press **F2** to display the following list. Select the requirement by highlighting it and then press **ENTER**.

- 820.11 Information Requirements
- 830.1 Scope
- 830.3 Definitions
- 830.4 General Rule
- 830.6 Records
- 830.7 Graded Approach
- 830.120 Quality Assurance Requirements
- 835.1 Scope
- 835.2 Definitions
- 835.3 General Rule
- 835.4 Radiological Units
- 835.101 Radiation Protection Programs
- 835.102 Internal Audits
- 35.202 Occupational Exposure Limits
for General Emp.
- 835.203 Combining Intern./Extern. Dose Equi.
from DOE
- 835.204 Planned Special Exposures
- 835.205 Determination of Compliance for
Non-Uniform
- 835.206 Limits for Embryo/Fetus
- 835.207 Limits for Minors
- 835.208 Limits for Members of Public Entering
a Controlled Area
- 835.209 Concentrations
- 835.401 General Requirements
- 835.402 Individual Monitoring
- 835.403 Area Monitoring
- 835.404 Radioactive Contamination Control &
Monitoring
- 835.501 Radiological Areas
- 835.502 High and Very High Radiation Areas
- 835.601 General Requirements
- 835.602 Controlled Areas
- 835.603 Radiological Areas
- 835.701 General Provisions
- 835.702 Individual Monitoring Records

14. Section of
Implementation Plan

Enter the section of the Implementation plan that was potentially violated. This entry should include a complete reference and date of the plan. If no section of the plan was violated, enter "Not Applicable".

This is a free form narrative field. There is no practical limit on the amount of text you may enter here.

To activate the spell-check feature, place the cursor in the field block and then press **F10**. From the option menu select **Spell Check**. Required entry for all reports.

Field Title

Description

PC NTS Entry Screen Page 3 of 3:

15. 1st, 2nd & 3rd
Nature of Occurrence

These fields will be filled in by the PC NTS program if an OR exists. If no OR then PC NTS program will place the value "N/A" in these fields.

An OR will have at least one and up to three of the following Nature of Occurrence codes:

Facility Condition

- 1A - Nuclear Criticality Safety
- 1B - Fires/Explosions
- 1C - Safety Status Degradation
- 1D - Loss of Control of Radioactive
Material/Spread Contamination
- 1E - Vital System/Component Degradation
- 1F - Violation/Inadequate Procedures
- 1G - Unsatisfactory Surveillance/Inspections
- 1H - Costly Vital
Structure/System/Component/Facility
Deficiency
- 1I - Operational Occurrence
- 1J - Inadequate Experiment/Test Performance

Environmental

- 2A - Radionuclide Releases
- 2B - Hazardous Substances/Regulated
Pollutants/Oil Releases
- 2C - Hazardous Material Contamination
- 2D - Ecological Resources
- 2E - Agreement/Compliance Activities

Personnel Safety

- 3A - Occupational Illness/Injury
- 3B - Vehicular Incidents
- 3C - Miscellaneous

Personnel Radiation Protection

- 4A - External Radiation Exposure
- 4B - Personnel Contamination
- 4C - Internal Exposure

Safeguards/Security

- 5A - Criminal Acts
- 5B - Loss of Classified Material
- 5C - Substance Abuse
- 5D - Foreign Intelligence Activities
- 5E - Computer Equipment/Systems
- 5F - Unplanned/Unscheduled Outage of Site Security System
- 5G - Demonstrations/Protests
- 5H - Firearms
- 5I - Other Security Concerns
- 5J - Material Control and Accountability

Transportation

- 6A - Offsite Transportation (DOT Jurisdiction) Occurrences
- 6B - Onsite Transportation (DOE Jurisdiction) Occurrences

Value Basis Reporting

- 7 - Value Basis Reporting

Facility Status

- 8A - Facility/Process Securing/Curtailing Operations
- 8B - Facility/Process Shutdown Extension
- 8C - New Facility/Process Startup Delay

Field Title**Description****PC NTS Entry Screen Page 3 of 3:****Cross-Category Items**

- 9A - Collectively Significant Related Occurrences
- 9B - Near-miss Occurrences
- 9C - Potential Concerns/Issues

16. Occurrence Category
- The value for this field will be filled in by the PC NTS program if an OR exists. If no OR then the PC NTS program will place the value "N/A" in this field.
- If an OR exists, the value in this field represents the categorization of the occurrence and will be one of the following codes:
- E - Emergency
U - Unusual
O - Off-Normal
17. Date Contractor Closed NC
- Enter the date when **all corrective actions** for the noncompliance were completed. Leave this date blank if any corrective actions are incomplete.
18. Potential Review Action
- If an OR exists that is related to this noncompliance condition, the PC NTS will place either "YES" or "NO" in this field based on certain combinations (matrix) of Category and Nature of Occurrence.
- If an OR does not exist for the noncompliance, place either "YES" or "NO" in this field.
19. Contractor PAAA Coordinator Name, Title, and Phone
- Enter the name, title, and phone number of the Contractor PAAA Coordinator for this facility.
20. Originator Name, Title, and Phone
- Enter the name, title, and phone number of the person who is the most knowledgeable about the noncompliance condition.

Documenting Corrective Actions

Each Noncompliance Report should at least one corrective action. List all actions taken to correct the noncompliance condition, the date each action is expected to be completed (target date) and, if already complete, the date of completion.

Once the Noncompliance Report is transmitted to the host computer, changes to corrective actions such as documenting completion or changing target dates must be done using the Update Corrective Action option on the host computer.

Unlike PC ORPS, the PC NTS software does not require a separate word processor to make corrective action entries. The following steps provide guidance for entering corrective actions.

Press **F10** to call up the PC NTS Option Menu.

PC NTS OPTION MENU	
=====OPTION MENU=====	
<u>R</u> eturn	— Return to Current Noncompliance
<u>E</u> xit	— Exit and return to List
<u>S</u> ave	— Save Record
<u>W</u> P	— Edit Text Fields with Spell Checker
<u>A</u> ction	— Document Corrective Actions
<u>P</u> rint	— Print Noncompliance
<u>D</u> elete	— Delete Noncompliance

Select **Document Corrective Actions** by pressing **A**, or highlight **Action** and then press **ENTER**.

PC NTS CORRECTIVE ACTION ENTRY SCREEN

F1 Screen Help	F2 Create CA	F3 Delete CA	F5 Prv F6 Next
ESC Exit	F7 Spell Check		F10 save CA
Noncompliance Number		CA Sequence No.:	
<input type="text"/>		<input type="text"/>	
Estimated Correct Act. Date:		Completion Date:	
<input type="text"/>		<input type="text"/>	
Corrective Action			
<input type="text"/>			
<input type="text"/>			
<input type="text"/>			
Press F7 to activate Spell Checker			

The Noncompliance Report Number, or the temporary report number is displayed. The Corrective Action (CA) Sequence Number value will be one if no corrective actions have been previously entered for this report. After information for CA 1 is entered and saved, press **F2** to create CA 2 and so on.

Estimated Correct. Act. Date:

Enter the date that this corrective action is expected to be completed in the form MM/DD/YY. This value is sometimes called the CA target date.

Completion Date:

If this corrective action has been completed enter the date here in the form MM/DD/YY. Leave this field blank if this corrective action is not complete.

Corrective Action:

Enter a description of this corrective action. This is a free form narrative field; there is no practical limit to the amount of text you can enter.

Spell Check:

Place the cursor in the **Corrective Action** narrative field and then press **F7** to activate the spell checker.

Corrective Action Entry Screen Keys

TAB	Move the cursor to the next field.
F1	Screen help. General help on the PC NTS noncompliance data entry screens.
F2	Provides another Corrective Action entry screen for the next sequential corrective action number.
F3	Deletes the corrective action entry for the Corrective Action sequence number shown on the screen. A prompt will appear to allow you to verify that you want to delete the Corrective Action.
F5	Displays the previous Corrective Action sequence entry if one exists.
F6	Displays the next Corrective Action sequence number if one exists.
F7	Spell check. The cursor must be in the Corrective Action narrative field for this option to function.
F10	Save Corrective Action.

Spell Checking Free Form Narrative Fields

Place the cursor inside the on-screen entry block of the narrative field you want to spell check. Press **F10** to spell check the Description of Noncompliance or Section of Implementation Plan Violated fields. Press **F7** to spell check the Corrective Action text.

[Spell Checking]		
Not in Dictionary thier	<<Suggest>>	
Replace with	< Replace >	thief
	< ignore Word>	thieve
	< Ignore all>	thieves
		their
		tower
		throw
		throe
[X] Detect repeated words	< Add >	
	< Undo add >	
	< Cancel >	
	<Exit & Save>	
Text being checked update thier checklists. Each Nuclear Material Custodian will perform a walkthrough of Material Balance Areas.		

Move between spell-check options with the mouse or press the **TAB** key. To select an option, highlight that option and then click the left mouse button or press the **ENTER** key.

CONCLUDING MATERIAL

Review Activity:

DOE

EH

Preparing Activity:

DOE-EH-3

Project Number:

SAFT-0046

National Laboratories

ANL (West)

LLNL

LANL

Sandia

Contractors

Martin Marietta Speciality Components

Westinghouse - SR

Westinghouse Hanford

West Valley Nuclear Services

Martin Marietta - OR

Westinghouse WIPP

FERMCO

EG&G Mound

EG&G - RF

REEC - NV

INEL

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2. The Technical Standards Program Office (TSPO) will forward this form to the Preparing Activity. The Preparing Activity will reply to the submitter within 30 calendar days of receipt from the TSPO.

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