

OCCURRENCE REPORTING AND PROCESSING SYSTEM (ORPS)



User's Manual Section 4: Approvals (FM, FR, and PM Functions)

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4.0 ORPS Approvals (FM, FR, and PM Functions)

The ORPS Manager OR Search and Reports Screen allows Facility Managers, Facility Representatives, and Program Managers to check the status of Occurrence Reports and Corrective Actions, particularly the ones that are waiting for approval by the individual manager. From this screen, managers may approve or reject occurrence reports as required. The following approvals are required for Occurrence Reports:

Significance Categories OE and 1: FM, FR, and PM approvals.

Significance Categories 2 and R: FM and FR approvals.

Significance Category 3: FM.

Significance Category 4: No approvals required.

The workflow is as follows:

- FM creates and validates a notification report and submits it as a Final.
- FM submits the report as Final. If the report is SC 4, it is now complete.
- For SC 2, R, 1, and OE reports, the FR must review the submitted final report and approve or reject the report.
- For SC 1 and OE reports, the PM must also review and approve/reject the report.
- If the report is rejected at any stage, the FM must submit an Update/Final report for further review, until final approval by all required approving authorities.

4.1 FM, FR, and PM Status Reports

To check Report Status:

1. Select *FM/FR/PM Functions* from the ORPS main menu (see Figure 2).

NOTE: Which option you see on the main menu will depend upon your login ID and role. For example, you can only see the **FM Functions** selection of the Main Menu if you are logged in as a Facilities Manager. If you log in as a Facilities Representative, you will see the **FR Functions** selection.

The ORPS Manager OR Search and Reports screen will be displayed, as shown in **Figure 4-1**.

Figure 4-1: ORPS Manager OR Search and Reports Screen



Note: You can return to other ORPS search screens by clicking any of the links below the report filter buttons.

The FM Functions screen contains two sections - **Report Options** and **Report Type/Filter**. The **Report Options** section is used to define the sort order, date last modified, and number of reports to display per page. The **Report Type/Filter** section contains preset Manager reports. An initial set of data has been predefined for your searches, which includes all occurrence reports for the facilities under your authority. This set of data is used to generate the reports using the report type filter buttons.

To create a manager report:

1. Select the sort order of the report (**OR Number** or **Date**, **Ascending** or **Descending**).
2. Enter a date range into the **Date Last Modified** fields. The default Date Last Modified range is set from the last login to the current date.
3. Enter the number of reports to display per page of search results.
4. Click the display button for the appropriate Manager report.

4.3 OR Summary Report Types

Table 4-2 provides descriptions for each of the FM, FR, and PM Status Report options.

Table 4-2: FM Functions Report Options

Report	Description
OR/CA Status	Reports that were transmitted within the date range, reports with comments added within the date range, rejected reports, reports awaiting signature, and

Report	Description
	final reports with open corrective actions. If applicable, details about any corrective actions associated with each occurrence may be viewed by clicking the CA Detail button.
OR Status	Reports that were transmitted within the date range, reports with comments added within the date range, rejected reports, reports awaiting signature, and final reports with open corrective actions.
New ORs	Reports that were transmitted within the date range (excluding rejected reports).
Rejected ORs	Displays a list of rejected reports.
Comments	Reports that have had comments added within the date range. For each OR, displays the comments.
ForAction	Final reports with open corrective actions and reports awaiting signature.
ForMyAction	Final reports with open corrective actions.
CA Status	Update/Final and Final reports with open corrective actions and Final reports with corrective action date changes within the date range.
Open CA	Update/Final and Final reports with open corrective actions and Final reports with corrective action date changes within the date range.
Changed CA	Final reports with corrective action date changes within the date range..

Figure 4-3 shows a sample of the OR/CA Status report. This report lists comments entered by the FM, FR, or PM for each report within a selected date range. To view Corrective Action details associated with a report, click the CA Detail button (if applicable).

Figure 4-2: OR/CA Status Report

ORPS contains 52130 OR(s) with 55448 occurrences(s) as of 10/4/2005 11:41:43 AM									
A total of 1 OR(s) searched by "OR/CA Status" from 10/04/2005 to 10/04/2005									
Page 1 / 1									
Subject/Title									
#	Report Number /Notes	Highest SC/Category OR Status				Discovery /Status Date	Age (days)		
1) Possibility Of A Hydraulic Fluid Spray Leak Onto Ignition Source Represents A Potential Inadequacy In The Safety Analysis									
1	EM-RP--CHG-TANKFARM-2005-0044 Notification by FM: Stevens, Ronald J	3 Notification				09/29/2005 10/04/2005	5 0		
OR Summary									
Notification	Update	*** Pre-Final Reports ***				Final		Total	
		Pending Action		Rejected		CA Status			
		by FR	by PM	by FR	by PM	Open	Closed		
1	0	0	0	0	0	0	0	1	

4.2 Approving and Rejecting Reports (For My Action)

To approve or reject a report (Facility Representatives and Program Managers Only):

1. Click the *For My Action* report type command button.

The For My Action report will be displayed on the screen.

Figure 4-4 shows a sample of the **For My Action** report. This report allows each individual manager to review reports awaiting approval, to approve reports, and to reject reports.

Figure 4-3: For My Action Report Sample

A total of 24 OR(s) searched by "For My Action"					
Page 1 / 2					
Subject/Title	#	Report Number /Notes	Highest SC/Category OR Status	Discovery /Status Date	Age (days)
1) <u>Radioactive Contamination in Building 332 Radioactive Materials Area</u>					
	1	DP-OAK--LLNL-LLNL-1998-0046	Off-Normal	08/06/1998	2616
		CA revised target by FM: CHANDLER, KAREN L	Final/Open	09/06/2005	28
		FR Input			
		PM Input			
		<input type="button" value="CA Detail"/>			
2) <u>Unallowable Pyrophoric Material Storage in Bldg. 332 (USQ)</u>					
	1	DP-OAK--LLNL-LLNL-2001-0043	Off-Normal	12/11/2001	1393
		CA revised target by FM: ECCHER, BARBARA A	Final/Open	09/06/2005	28
		<input type="button" value="CA Detail"/>			
3) <u>Contamination in the Mobile Visual Examination and Repackaging Unit (Mover)</u>					
	1	EM-OAK--LLNL-LLNL-2004-0039	2	08/19/2004	411
		CA revised target by FM: ECCHER, BARBARA A	Final/Open	10/03/2005	1

The columns of the FM/FR/PM reports are defined in Table 4-3:

Table 4-3: Report Column Definitions for the Manager Function Reports

Column	Description
Subject/Title/ Number	The first line of this column contains title of the Occurrence Report. The second line contains the record number.
Report Number/Notes	The OR Number is listed on the first line of this column. Subsequent lines contain any comments or notes attached to the OR.
CA Detail	Click this button (if applicable) to view any Corrective Action details attached to an OR.

Column	Description
Significance/OR Status	The first line of this column contains the Significance Category of the OR. The second line contains the current status of the OR.
Discovery/Status date	The first line contains the date of discovery of the occurrence. The second line contains the date of the OR status.
Age (days)	The first line of this column contains the number of days since the occurrence. The second line contains the number of days the current status has been in effect.
Reject/Comment	Choose this action to reject a report and leave a comment.
Approve/Comment	Choose this action to approve a report and leave a comment.
Comment Only	Choose this action to leave a comment without approving or rejecting a report.

At the bottom of each *For My Action* report screen is an OR Summary, which lists the number of notification, update, pre-final, and final reports that are pending action or rejected by a manager, and the number of reports still open.

The following buttons are located beneath each report entry as applicable, to allow the FR or PM approve, reject, or comment upon reports. The FM may change the target completion dates on Corrective Actions.

Approve/Comment: This button takes you to a screen that allows you to make comments about the report, and at the same time, approve the report. **Figure 4-4** shows the Approve/Comment screen.

Reject/Comment: This button allows you to make comments about the report and at the same time, reject the report.

Comment Only: This button takes you to a screen with an edit box for entry of comments. Note that for rejected reports, this is a required field.

CA Detail: This button takes you to a screen with details about the corrective action, including description, target date, and actual date (if complete). The FM may change the target completion date.

- To approve a report, click the *Approve/Comment* command button. This displays the Approve/Comment screen. To reject a report, click the *Reject/Comment* command button. This displays the Reject/Comment screen.

The Approve/Comment screen is shown in **Figure 4-5**. Facility Managers, Field Representatives, and Program Managers use this screen to approve ORPS reports. The Reject/Comment screen is similar, except that the button label is *Reject/Comment*. To approve a report and remove it from the *For My Action* list, click the *Approve/Comment* command button on the Approve/Comment screen.

Figure 4-4: Approve/Comment Screen

Approve by [Manager, Facility](#) - Facility Representative

Title: [This is a test](#)

Report Number: EM-RP--CHG-TANKFARM-2005-0045

Highest SC: R

Occur Date: 05/15/2003

Comments:

[Help](#)
[Home](#)
[Security/Privacy Notice](#)

Please send comments or questions to orpssupport@eh.doe.gov

4.3 Modifying or Closing a Corrective Action

Note: Only the FM may modify or close a corrective action. The FR and PM will see this screen as read-only.

On the **For My Action** report listing screen, click the **CA Detail** button beside a report with a CA that requires updating or closeout. The ORPS Manager CA Status Report will be displayed, as shown below.

Figure 4-5: ORPS Manager CA Status Report

ORPS Manager CA Status Report ?				
Production GUI - New ORPS				
Subject/Title				
#	Report Number	Highest SC/Category	Discovery	Age
	/Notes	OR Status	/Status Date	(days)
1) Unallowable Pyrophoric Material Storage in Bldg. 332 (USQ)				
1	DP-OAK--LLNL-LLNL-2001-0043	Off-Normal	12/11/2001	1393
	CA revised target by FM: ECCHER, BARBARA A	Final/Open	09/06/2005	28
#	CA Description/Revised Date	Justification	Target	Age

(Continued on next page)

Date change: None Target date Completion date

Justification (required for target date change; ignored otherwise):

_____ (mm/dd/yyyy)

CA Summary				
Open/Target Date		Completed		Total
Unchanged	Changed	Before PreFinal	After PreFinal	
1	0	2	0	3

To update the CA target completion date:

1. Click the **Target Date** radio button below the CA to be modified.
2. Enter the new target date into the **Date** field in mm/dd/yyyy format.
3. Enter the reason for changing the target completion date into the **Justification** text box.
4. Click the Change button.

At the bottom of the screen is a CA Summary table. The **Changed** column of this table will increment by 1 every time you modify a CA.

To close out a CA:

1. Click the **Completion Date** radio button for the CA you wish to close out.
2. Enter the completion date in mm/dd/yyyy format. If the CA was completed prior to the target date, the **Before Target** column of the CA Summary is incremented by 1. If the CA was completed after the target date, the **After Target** column is incremented by 1.

4.3 Exercises

Exercise 1: Approving ORPS Reports

In this exercise, you will learn how to approve an ORPS report. First, create a Significance Category 2 report as follows:

1. Log in as an FM. Select a new facility and click the *New* command button.
2. Select an NOC in Group2, Subgroup 3C, 5A, Group 7 or Group 8.
3. Then select NOC 10(4b), which will yield significance category 2. This 10(4) code is a *secondary* reporting criterion. Therefore you must first select a primary NOC in the NOC groups specified in the #2 above, or the system will give you an error message when you click the *Validate* or *Submit* command buttons.
3. Click the *Validate* button. When the report is error free, click the *Submit Final* command button.

You have now created a Final Significance Category 2 report that is awaiting FR approval. Approve the report as follows:

4. Log in as a Facility Representative (FR). From the ORPS Home page, click the *Training* link and select *Facility Representative* to enter the training system.
5. From the Main Menu screen, click the *FR Functions* link. The FR Functions screen will be displayed.
6. From the FR Functions page, click the *For My Action* command button.

The SC-2 report you created earlier will now be displayed for your approval/rejection. See Figure 10 for an example of the *For My Action* report.

7. Click the *Approve/Comment* command button. The report will become Final.

Exercise 2: Rejecting ORPS Reports

In this exercise, you will learn how to reject an ORPS report. First, create a Significance Category R (Recurring) report as follows:

1. Log in as an FM. Select a facility and click the *New* command button.

2. Select several Reporting Criteria (NOCs) and click the checkbox that indicates a Recurring event.
3. Complete all the required fields and click the *Submit Notification* command button. Now click the *Submit Final* command button.

You have now created a Significance Category R report that is awaiting FR approval. Approve the report as follows:

4. Log in as a Facility Representative (FR). From the ORPS Home page, click the *Training* link and select *Facility Representative* to enter the training system.
5. From the Main Menu screen, click the *FR Functions* link. The FR Functions screen will be displayed.
6. From the FR Functions page, click the *For My Action* command button.

The SC-R report you created will now be displayed for your approval/rejection.

7. Click the *Reject/Comment* command button. The report will be rejected, and will have to be edited prior to approval. Note that the *Comment* field is required for all rejections.