



# UPF CHANGE NOTICE (PCN) FORM

PCN Number:	PRCN-UPF-CP-108-R23-01	PCN Rev: 0	Effective Date: 3/18/2019
Associated Document Number:	UPF-CP-108		Rev: 23
Associated Document Title: UPF Event Management and Investigation			
Identify the scope of the change, including any new, removed, or changed content. Include any references, such as Condition Reports that are driving the change:  Revise Section 3.8.1, Address Identified Events, title to the following:  3.8.1 Address Identified Occurrence Reportable Events			

Implements Quality Requirements (Choose One)			
<input checked="" type="checkbox"/> None	<input type="checkbox"/> BNI	<input type="checkbox"/> CNS	<input type="checkbox"/> BNI & CNS
Preparer			
Issues Management Coordinator:	Xavier Mitchell /	 <i>Printed Name/Signature</i>	03/11/19 <i>Date</i>
Concurrence			
Project ES&H Manager:	Gary Hagan /	 <i>Printed Name/Signature</i>	03/11/19 <i>Date</i>
BNI ES&H Manager:	Jamie Horning /	 <i>Printed Name/Signature</i>	03/11/19 <i>Date</i>
Approval			
Sr. Vice President and UPF Project Director:	John Howanitz /	 <i>Printed Name/Signature</i>	03/12/19 <i>Date</i>

This document has been reviewed by a Y-12 DC / UCNI-RO and has been determined to be UNCLASSIFIED and contains no UCNI. This review does not constitute clearance for Public Release.

Name: Neal Mowery Date: 03/13/19

UPF Event Management and Investigation



Preparer:

*Jamie M Horning*  
\_\_\_\_\_  
Jamie Horning  
UPF BNI ES&H Manager

11/20/18  
\_\_\_\_\_  
Date

Approval:

*Gary F. Hagan*  
\_\_\_\_\_  
Gary F. Hagan  
UPF ES&H Manager

11/27/18  
\_\_\_\_\_  
Date

*John P. Howanitz*  
\_\_\_\_\_  
John P. Howanitz  
Senior Vice President and UPF Project Director

11/21/18  
\_\_\_\_\_  
Date

11/28/18  
\_\_\_\_\_  
Effective Date

**RC-UPF DMC**  
11/28/18 09:28

This document has been reviewed by a Y-12 DC / UCNi-RO and has been determined to be UNCLASSIFIED and contains no UCNi. This review does not constitute clearance for Public Release.  
Name: *Steven A. Buffalo* Date: 11/27/18

**REVISION LOG**

<b>Revision</b>	<b>Description</b>	<b>Intent</b>	<b>Non Intent</b>
23	Updates follow completion to form SF 91 and SF 94 in accordance with Y30-95-803.  This procedure issuance addresses issues identified in Condition Report 25774-000-GCA-GAM-01015, <i>Finding 1 - UPF Property Administrator was Not Formally Notified of Accidents Involving UPF Vehicles (IMA-PM-801768-FY18-059)</i> .	X	
22	Updated Pages 5, 14, and 15 to correct the acronym "STTR" to "STR." Also amended one sentence in Appendix C, Page 17.	X	
Previous revisions	On record.	N/A	

## CONTENTS

<b>1.0 INTRODUCTION .....</b>	<b>4</b>
1.1 Purpose .....	4
1.2 Scope .....	4
1.3 Applicability.....	4
<b>2.0 RESPONSIBILITIES .....</b>	<b>4</b>
2.1 UPF Project Director .....	4
2.2 Functional Manager .....	4
2.3 Responsible Manager .....	4
2.4 Supervisor .....	5
2.5 Environment, Safety, and Health (ES&H) Manager.....	5
2.6 Event Investigator .....	5
2.7 Subcontractors.....	5
2.8 UPF Personnel .....	5
<b>3.0 PROCESS .....</b>	<b>6</b>
3.1 Event Response and Notification .....	6
3.2 Event Response (Non-Emergency).....	6
3.3 Event Response Requiring Emergency Attention.....	7
3.4 Evidence Collection/Processing.....	8
3.5 Investigation Process.....	9
3.6 Investigation Process (Near-Miss) .....	10
3.7 Investigation Process (Motor Vehicle Incidents).....	10
3.8 Event Analysis .....	11
3.8.1 Address Identified Events .....	11
3.9 Corrective Actions Development.....	12
3.10 Records Submittal .....	12
<b>4.0 RECORDS .....</b>	<b>12</b>
<b>5.0 REFERENCES .....</b>	<b>13</b>
5.1 Source References .....	13
5.2 Interfacing References.....	13
<b>6.0 SUPPLEMENTAL INFORMATION .....</b>	<b>13</b>
<b>APPENDIX A Acronyms and Definitions.....</b>	<b>14</b>
<b>APPENDIX B Instructions for Completing an IEN .....</b>	<b>16</b>
<b>APPENDIX C Bechtel Core Process 108 Information.....</b>	<b>17</b>

## 1.0 INTRODUCTION

### 1.1 Purpose

This document establishes the process by which events, including occupational injury/illness, near-misses, vehicle and/or property damage, and Project-related environmental events, are reported and investigated.

### 1.2 Scope

This procedure is used to assist Uranium Processing Facility (UPF) Project Management in identifying, reporting, and correcting workplace hazards and system deficiencies.

This procedure shall be utilized in conjunction with company-specific (e.g., owner, client, contractor, and subcontractor) policies/plans/procedures specific, but not limited, to off-Project notifications, legal reviews, and input of incident information in respective company-specific databases.

### 1.3 Applicability

This procedure applies to events at the UPF construction site and supporting offices and facilities (e.g., Commerce Park, off-site warehouses). Document E-PROC-0007, *CNS Event Recovery and Notification Process*, is applicable to the UPF Project for Initial Event Notification (IEN); however, Fact Finding and Critiques are not applicable to the UPF Project. Events may also be subject to the requirements of Y14-192, *Occurrence Notification and Reporting*.

## 2.0 RESPONSIBILITIES

### 2.1 UPF Project Director

The UPF Project Director is responsible for ensuring that all injury/illness events occurring on the UPF construction site and at supporting facilities are investigated to the proper extent, and are dispositioned appropriately.

### 2.2 Functional Manager

The Functional Manager (e.g., Construction Manager, Procurement Manager) is responsible for the following:

- allocating resources to support event investigations and event reporting
- ensuring that corrective actions are developed and implemented to address causes of events.

### 2.3 Responsible Manager

The Responsible Manager (e.g., Project/Area Superintendent) is responsible for the following:

- determining whether an incident meets the minimum requirement for event investigation
- completing required event notifications
- participating in the event investigation

- developing immediate, remedial, compensatory, and/or corrective actions, as appropriate (see Y15-95-816, *UPF Issues Management Process*, and DI-PM-801768-A005, *UPF Immediate Actions and Compensatory Measures*).

## 2.4 Supervisor

The Supervisor (e.g., Superintendent, Subcontract Technical Representative [STR]) is responsible for the following:

- reporting events to the appropriate Responsible Manager to initiate event management and investigation processes
- ensuring that affected personnel under his/her direction are provided the appropriate level of medical attention when the event includes an injury/illness
- participating in the event investigation.

## 2.5 Environment, Safety, and Health (ES&H) Manager

The ES&H Manager is responsible for the following:

- obtaining information from Y-12 National Security Complex (Y-12) Occupational Health Services (or other approved medical provider) in order to make medical case determinations
- determining the level of investigation to be completed for events
- pre-screening applicable events for entry into the Issues Management Process.

## 2.6 Event Investigator

The Event Investigator is responsible for the following:

- performing the event investigation
- keeping the Responsible Manager informed throughout the process of the investigation
- assisting the Responsible Manager with the development of corrective actions
- ensuring the collection of all evidence (e.g., human, physical, and objective) related to the investigation.

## 2.7 Subcontractors

Subcontractors are responsible for the following:

- notifying event(s) promptly and properly; securing the event scene; initiating the incident investigation; completing the necessary documentation; and correcting open issues/actions in accordance with this procedure
- completing and submitting required forms UCN-23257, *UPF Event Investigation Report*, and UCN-23256, *UPF Employee/Witness Statement*, when an event occurs in a timely and quality manner
- completing and submitting DOE F 5484.3 in the event of work-related injury or illness.

## 2.8 UPF Personnel

All UPF personnel, including subcontractors, are responsible for immediately notifying their supervisors if an event is observed that has, or could have, an adverse effect on the safety and health of personnel, property, or the environment.

### 3.0 PROCESS

#### 3.1 Event Response and Notification

When an event occurs, the Responsible Manager’s immediate and short-term response activities are to preserve life, property, the environment, and UPF assets. The Responsible Manager’s initial notification is crucial in activating the event management and investigation process. The event notification and investigation are used to provide information to other organizations who perform tasks, such as Department of Energy (DOE) interface, compliance determination, and occurrence reporting. Document OT-SH-801768-A002, *UPF Event Reporting Incident and Notification Matrix*, is a guide to assist users in the field and to provide specific information for incidents requiring notification and UPF notification contacts. Refer to Section 8 of E-PROC-0007 for IEN process.

- Events may also be subject to the Y14-192, *Occurrence Notification and Reporting*, process. In some cases, categorization is required within two (2) hours of discovery and notifications within timeframes as soon as two (2) hours of categorization.
- Submission of recordable injuries through DOE F 5484.3 for entry into the DOE Computerized Accident/Incident Reporting System is preferred within five (5) days of the determination. Recordable injuries are required to be logged within seven (7) days from the time the injury or illness is determined to be recordable.
- Reclassification of injuries or illnesses do not require an IEN; however, an email distribution, including UPF Project Office representatives, shall be made.

#### 3.2 Event Response (Non-Emergency)

Appointee	Step	Action
<b>NOTE:</b> <i>The order of action steps may vary depending on the complexity of the event.</i>		
UPF Personnel	1	Report event to supervisor. IF unable due to injury or illness, THEN a coworker should contact the supervisor.
	2	Immediately notify Responsible Manager.
Supervisor	3	IF an injury/illness is involved, THEN ensure that workers are treated for injuries/illnesses sustained by having them immediately report to Y-12 Occupational Health Services.
	4	Notify the respective Event Investigator of the event.
Responsible Manager (or designee)	5	Identify and implement immediate actions.
	6	Instruct personnel not to disturb, touch, or handle any physical evidence UNLESS there is a danger of the evidence being lost or destroyed before collection/processing can be arranged by the Event Investigator.
	7	As necessary, secure and control the scene from unauthorized personnel. Establish a perimeter around the entire scene that is large enough to include any evidence or items of interest. Use barricades, signs, and tape in accordance with UPF-CP-214, <i>Barricades and Signs</i> .

UPF Event Management and Investigation

Appointee	Step	Action
Responsible Manager (or designee) (cont'd)	8	Identify witnesses as soon as possible and have them meet with the Event Investigator.
	9	Turn over the scene to the Event Investigator for event investigation and assist as necessary.
Event Investigator	10	Complete Evidence Collection/Processing and Investigation in accordance with <b>Sections 3.4, 3.5 and 3.6.</b>
	11	Recommend immediate control measures and follow-up actions to ensure safety of personnel and security of the scene.
Supervisor/Responsible Manager	12	Applicable events shall be reported through E-PROC-0007, <i>CNS Event Recovery and Notification Process</i> . See <b>Appendix B</b> for Instructions on Completing an IEN.
Responsible Manager	13	Determine the need for compensatory measures (see DI-PM-801768-A005, <i>UPF Immediate Actions and Compensatory Measures</i> ).
ES&H Manager (or designee)	14	For events meeting the requirements of Bechtel Core Process (CP)-108 (e.g., recordable injury/illness), complete and submit a 0-60, <i>Initial Notification Form</i> . See <b>Appendix C</b> for <i>Bechtel Core Process 108 Information</i> .

**3.3 Event Response Requiring Emergency Attention**

Appointee	Step	Action
<b>NOTE:</b> <i>The event scene will be under the control of Y-12 Emergency Services: assist as requested, secure the scene and preserve evidence to the extent possible.</i>		
UPF Personnel/Witness	1	IF the event requires emergency attention for a fire or medical condition, THEN STOP WORK IMMEDIATELY.
	2	Implement emergency notification procedures by contacting or having someone contact Y-12 Emergency Services or the Plant Shift Superintendent.
	3	Notify Supervisor, if possible.
	4	IF applicable, THEN move affected personnel to a safe location.
Supervisor/Responsible Manager	5	Establish control of the area and ensure access for Emergency Services.
	6	Ensure that affected personnel are treated as soon as possible.
	7	Take appropriate and immediate action to stabilize the event scene, and place equipment in a safe configuration while preserving scene conditions for further investigation.

<i>UPF Event Management and Investigation</i>
---

<b>Supervisor/Responsible Manager (cont'd)</b>	8	Notify the respective Event Investigator.
	9	Identify witnesses as soon as possible AND have them meet with the Event Investigator.
	10	Turn over the scene to the Event Investigator for event investigation AND assist as necessary.
	11	Applicable events shall be reported through E-PROC-0007, <i>CNS Event Recovery and Notification Process</i> . See <b>Appendix B</b> for Instructions on Completing.
<b>Event Investigator</b>	12	Complete Evidence Collection/Processing and Investigation in accordance with <b>Sections 3.4, 3.5 and 3.6</b> .
<b>ES&amp;H Manager (or designee)</b>	13	For events meeting the requirements of Bechtel Core Process (CP)-108 (i.e., recordable injury/illness), complete AND submit a 0-60 Form. See <b>Appendix C</b> for <i>Bechtel Core Process 108 Information</i> .

### 3.4 Evidence Collection/Processing

The Event Investigator gathers evidence and facts. Factual proof is required to validate causes and their applicability to the event being analyzed. The three (3) key types of evidence are (1) human, (2) physical, and (3) objective.

Appointee	Step	Action
<b>Event Investigator</b>	1	Instruct affected employee(s)/witness(es) to fill out UCN-23256.
	2	Request Y-12 Photography or an approved designee to photograph the event scene in its original state. IF an item is to be removed from the scene, THEN photograph the item prior to removal AND make a note of the removal in UCN-23257.
	3	Ensure collection of all evidence (e.g., human, physical, and objective) related to the investigation. Collect Safety Task Analysis Risk Reduction Talk cards, work packages, permits, and training records as appropriate.
	4	Attach all pertinent evidence to the completed UCN-23257.

### 3.5 Investigation Process

The investigation process focuses on determining the facts and causes of an event. The level of investigation will be based on the associated hazard, potential severity of the event, and a determination of whether ES&H controls would have mitigated the event. Assigning significance to the event is conducted in accordance with Y15-95-816 and Y14-192, as applicable. For the majority of investigations, the Event Investigator will lead the investigation utilizing the following personnel as necessary:

- Responsible Manager or designee
- Supervisor
- Affected employee(s)
- Associated subject matter experts.

Appointee	Step	Action
<b>NOTE:</b> <i>Include completed DOE F 5484.3 with the final UCN-23257.</i>		
<b>Event Investigator / Responsible Manager</b>	1	Using information gathered during the evidence collection/processing phase, complete UCN-23257.
	2	Concurrently, complete a DOE F 5484.3. This form must be completed and submitted to Consolidated Nuclear Security, LLC (CNS) Subcontract Technical Representative (STR) <b>within five (5) working days</b> of the classification of the event.
<b>Event Investigator</b>	3	Include a summary and timeline of the event in the “Description of Events” section of the Event Investigation Report. Remedial actions taken after the event or information discovered during the investigation should be included in the box titled “Additional Information.”
	4	The UCN-23257 and associated materials (package) shall be completed and submitted <b>within five (5) working days</b> of being directed to conduct the track incident investigation and report to ES&H Manager when investigation needs extension and the reasons thereof.
<b>BNI Incident Investigator Coordinator</b>	5	IF necessary, THEN request an extension of the due date from the ES&H Manager. <b>Include a reason for the extension.</b>
<b>ES&amp;H Manager</b>	6	Based on the complexity of the event, the ES&H Manager (or designee) may grant an extension to the event investigation due date. This is accomplished through written concurrence (e.g., documentation by email).

**3.6 Investigation Process (Near-Miss)**

Initial response and notification for a near-miss are managed in the same fashion as an injury/illness. Alternate steps for completion of the investigation follow:

Appointee	Step	Action
<p><b>NOTE 1:</b> <i>Near-miss events meeting the criteria outlined in Y14-192 will require a completed UCN-23257.</i></p> <p><b>NOTE 2:</b> <i>Completion of DOE F 5484.3 is NOT required for near-miss events.</i></p>		
Event Investigator	1	IF an investigation is required, THEN follow the steps identified in <b>Section 3.5</b> .

**3.7 Investigation Process (Motor Vehicle Incidents)**

Motor vehicle incidents (collisions) shall be reported and reviewed to determine follow-up investigation requirements. Heavy construction equipment, forklifts, cranes, and non-passenger-type vehicles will be investigated in accordance with **Section 3.5**.

Appointee	Step	Action
<p><b>NOTE:</b> <i>Affected employees(s) are not required to complete UCN-23256 if completing form SF 91, Motor Vehicle Accident Report, and/or SF 94, Statement of Witness.</i></p>		
Event Investigator	1	Have the driver complete form SF 91 in accordance with Y30-95-803, <i>Use of Motor Vehicles and Utility Vehicles on the UPF Project</i> , and submit to the Property Administrator within two (2) working days of the date of accident.
	2	Have the witness, if any, complete form SF 94 in accordance with Y30-95-803, <i>Use of Motor Vehicles and UTVs on the UPF Project</i> , and submit to UPF Property Administrator within two (2) working days of the date of accident.
Supervisor	3	Complete a UCN-26050, <i>Initial Y-12 Industrial Safety Motor Vehicle Incident (MVI) Investigation</i> .
	4	Have the driver prepare a sketch or provide an equivalent map of the scene.
	5	Have the driver obtain a copy of the police report, for an off-site incident.
	6	Assemble motor vehicle incident forms and associated documentation and forward to the Event Investigator.
	7	Incorporate motor vehicle incident information into the UCN-23257 for all motor vehicle incidents resulting in a recordable injury.

*UPF Event Management and Investigation*

Appointee	Step	Action
<p><b>NOTE:</b> <i>Affected employees(s) are not required to complete UCN-23256 if completing form SF 91, Motor Vehicle Accident Report, and/or SF 94, Statement of Witness.</i></p>		
Event Investigator	8	Submit assembled motor vehicle incident forms to CNS Subcontract Technical Representative as soon as practicable.

**3.8 Event Analysis**

The purpose of event analysis is to determine why an unwanted event occurred so that the appropriate corrective action can be planned and implemented to prevent recurrence. For formal even analysis, refer to DI-QA-801768-A004, *UPF Causal Analysis*.

Appointee	Step	Action
<p><b>NOTE:</b> <i>Consult Appendix 12, Causal Analysis Tree, from DI-QA-801768-A004.</i></p>		
Event Investigator	1	Perform basic event analysis AND document findings in the “Causal Analysis” section of UCN-23257.
	2	Explain the choice of event codes based on the information contained in the report.
	3	Review event codes with Responsible Manager.

**3.8.1 Address Identified Events**

Appointee	Step	Action
Event Investigator	1	Generate a Condition Report (CR) in accordance with Y15-95-816 requesting the development of corrective actions to address the identified events. Include the following information in the CR: <ul style="list-style-type: none"> <li>• a brief description of the event (date, time, location, personnel involved)</li> <li>• event codes identified in UCN-23257</li> <li>• the investigation report number</li> <li>• the corresponding Occurrence Reporting and Processing System (ORPS) report number, if applicable.</li> </ul>
	2	Review Y15-95-816, <i>UPF Issues Management Process</i> .
	3	Record the CR number on UCN-23257.

*UPF Event Management and Investigation*

**3.9 Corrective Actions Development**

Appointee	Step	Action
Responsible Manager	1	Develop immediate actions to address the identified cause(s) of the event(s). Confirm the implemented actions will correct the issue and address the cause(s) and any extent of condition, as required by Y15-95-816.
	2	Review the proposed corrective actions with the Event Investigator.

**3.10 Records Submittal**

Appointee	Step	Action
Event Investigator	1	Obtain a document number for UCN-23257 from UPF Document Management Control (DMC).
	2	Compile all required forms, notifications, and collected evidence into an Event Investigation package.
	3	IF UCN-23257 or any other document contains Official Use Only and/or Personally Identifiable Information (i.e., previous diseases or metric information, such as weight, height, blood pressure) as defined in E-PROC-3123, <i>Identification and Protection of Unclassified Controlled Nuclear Information (UCNI) and Official Use Only (OUO) Information</i> , THEN ensure the form is marked accordingly.
	4	Submit UCN-23257 to DMC for records retention.
	5	WHEN revisions are made to a previously submitted UCN-23257, THEN perform the following: <ul style="list-style-type: none"> <li>• identify the changes in UCN-23257</li> <li>• resubmit the report to DMC, showing the revision number on the top of the first page of the form.</li> </ul>

**4.0 RECORDS**

Records generated by this procedure shall be maintained in accordance with Y15-95-800, *UPF Document Management*. Record types for documents submitted to the UPF DMC are identified in ML-PS-801768-A001, *Uranium Processing Facility Project Master Document Type List*. Quality Type is listed as Quality-Lifetime (QA-L), Quality-Nonpermanent (QA-NP), or Non-Quality (Non-QA).

Records generated during the performance of this procedure include:

Record Number	Record Title	Record Holder	System/ Location	Quality Type
UCN-23257	UPF Event Investigation Report, which may include: <ul style="list-style-type: none"> <li>• UCN-23256, <i>UPF Employee/Witness Statement</i></li> <li>• DOE F 5484.3, <i>Individual Accident/Incident Report</i></li> </ul>	UPF DMC	InfoWorks	Non-QA

<i>UPF Event Management and Investigation</i>
---

<b>Record Number</b>	<b>Record Title</b>	<b>Record Holder</b>	<b>System/ Location</b>	<b>Quality Type</b>
	<ul style="list-style-type: none"> <li>• UCN-26050, <i>Initial Y-12 Industrial Safety Motor Vehicle Incident (MVI) Investigation</i></li> <li>• SF 91, <i>Motor Vehicle Accident Report</i></li> <li>• SF 94, <i>Statement of Witness</i></li> <li>• 0-60, <i>Initial Notification Form</i></li> </ul>			

**5.0 REFERENCES**

**5.1 Source References**

- 10 CFR 851, *Worker Safety and Health Program, Subpart C, Section 851.26*
- Bechtel Environmental, Safety, and Health (BESH) Core Process (CP) 108, *ES&H Incident Notification, Investigation, and Reporting*
- Bechtel Environmental, Safety, and Health (BESH) Core Process (CP) 104, *Injury and Illness Reporting*
- DOE O 225.1B, *Accident Investigation Results*
- DOE O 231.1B, *Environment, Safety, and Health Reporting*

**5.2 Interfacing References**

- DI-PM-801768-A005, *UPF Immediate Actions and Compensatory Measures*
- DI-QA-801768-A004, *UPF Causal Analysis*
- E-PROC-0007, *CNS Event Recovery and Notification Process*
- ML-PS-801768-A001, *Uranium Processing Facility Project Master Document Type List*
- OT-SH-801768-A002, *Event Reporting Incident and Notification Matrix*
- UPF-CP-214, *Barricades and Signs*
- E-PROC-0007, *CNS Event Recovery and Notification Process.*
- Y14-192, *Occurrence Notification and Reporting*
- Y15-95-800, *UPF Document Management*
- Y15-95-816, *UPF Issues Management Process*
- E-PROC-3123, *Identification and Protection of Unclassified Controlled Nuclear Information (UCNI) and Official Use Only (OUO) Information*

**6.0 SUPPLEMENTAL INFORMATION**

- Appendix A, *Acronyms and Definitions*
- Appendix B, *Instructions for Completing an IEN*
- Appendix C, *Bechtel Core Process 108 Information*

## APPENDIX A Acronyms and Definitions

(Page 1 of 2)

### ACRONYMS:

<b>BESH</b>	Bechtel Environmental, Safety, and Health
<b>CNS</b>	Consolidated Nuclear Security, LLC
<b>CP</b>	Core Process
<b>CR</b>	Condition Report
<b>DMC</b>	Document Management Center
<b>DOE</b>	Department of Energy
<b>ES&amp;H</b>	Environment, Safety, and Health
<b>IEN</b>	Initial Event Notification
<b>ORPS</b>	Occurrence Reporting and Processing System
<b>STR</b>	Subcontract Technical Representative
<b>UPF</b>	Uranium Processing Facility
<b>Y-12</b>	Y-12 National Security Complex

### DEFINITIONS:

<b>Affected Employees</b>	An individual directly involved in the sequence of an event or directly affected by the event.
<b>Critique</b>	A formal process involving a facilitated meeting to establish a detailed history and sequence of facts (i.e., history, sequence, and conditions) of significant events. Critique participants include personnel directly associated with an event and others as appropriate (e.g., subject matter experts, responders, managers with direct oversight/responsibility, etc.).
<b>Event</b>	For the purposes of this procedure, event is defined as an unwanted, undesirable change in the state of Project structures, systems, or components, or in the human/organizational conditions (e.g., health, behavior, administrative controls, environment), including any undesirable consequence, any system that does not achieve its goals, or any actions that involve serious degradation or termination of a system's ability to perform its required function.
<b>Event Investigation</b>	A process in which persons directly involved in an event (i.e., affected employees and observers) and any other designated individual(s) participate to document the facts of the event for the purposes of determining causes, error precursors, and corrective actions.

## APPENDIX A Acronyms and Definitions

(Page 2 of 2)

### DEFINITIONS:

<b>Event Investigator</b>	A designated person (or other competent member of personnel) with expertise to conduct the event investigation based on his/her experience and knowledge with respect to an application, scope, interpretation, and/or implementation of certain codes, standards, or regulations that directly relate to the type of event or condition.
<b>Responsible Manager</b>	A member of the management team who has primary accountability over the area where the event occurred. The Responsible Manager could be a Superintendent, Area Superintendent, Discipline STR, Supervisor, or Area/Department Manager.

## APPENDIX B Instructions for Completing an IEN

Appointee	Step	Action
<b>NOTE:</b> <i>The UPF process for completing an IEN is in concurrence with Y15-95-816.</i>		
<b>All Personnel</b>	1	From the UPF webpage, select Applications in the Tools & Reference drop-down menu.
	2	Enter the Issues Management System (IMS).
	3	Click on "Event Management" (EM).
	4	Click "Create an IEN Form."
	5	Ensure information is reviewed for classification purposes prior to entry by having the drafted IEN reviewed by a Derivative Classifier.
	6	Identify personnel by position title, rather than by name (i.e., "operator, subcontractor, etc.>").
	7	Complete the required fields indicated by a red asterisk. <ul style="list-style-type: none"> <li>• Event Title should be concise and identify the event.</li> <li>• Description of Event should be a summary of known information.</li> <li>• Immediate Actions taken should document actions taken following discovery of the event.</li> </ul>
	8	Add additional user IDs that are not already included in distribution.
	9	Save the drafted IEN by selecting "Save" at the bottom of the screen. <ul style="list-style-type: none"> <li>• Responsible Manager reviews the IEN prior to submittal.</li> </ul>
	10	Submit the IEN for distribution prior to the end of the shift (or within one [1] business day of the date of discovery).
	11	Click "Submit" at the bottom of the screen.

## APPENDIX C Bechtel Core Process 108 Information

### General

Any work-related event determined to be a Serious Incident or Other Incident shall be reported to Bechtel Project, Global Business Unit, and Corporate entities. Project notifications shall be made using the 0-60 Form, found in CP-108.

### 0-60 Initial Notification Form

**NOTE 1:** 0-60 to be completed before end of work shift.

**NOTE 2:** Subject to compliance with mandatory requirements of local laws, all notifications shall be limited to a brief description of the facts. Do not speculate as to cause, fault, or error. Do not use assumptions in describing an incident or reach causal conclusions.

The ES&H Manager, or designee, shall prepare and distribute the 0-60. The form and associated distribution lists (Serious or Other) can be found in the Bechtel Incident Reporting and Information System (IRIS). Completion of the form and email or verbal notification of the incident is required.

BESH Core Process 108: ES&H Incident Notification, Investigation, and Reporting

Exhibit C  
0-60 Initial Notification Form  
*(To be completed within 60 minutes of Serious Incident)*  
*This is a BESH approved document and must be used in its current form.*  
*Modifications or alterations for any reason are not permitted.*

<b>Date &amp; Time of Incident:</b>		Project Number: 24585	
Project Name:		<input type="checkbox"/> Bechtel	
Incident Location:		<input type="checkbox"/> Non-Bechtel <small>(Give Company Name)</small>	
<b>Incident Classification (refer to incident Classifications as provide in Section 2.0 of CP-108)</b>			
Type	Incident – Actual or Probable Outcome (check all appropriate boxes)	Required Distribution: Restricted to the Following Individuals Only	
<b>Serious</b>	<input type="checkbox"/> Fatality(ies) <input type="checkbox"/> Occupational Injury/Illness resulting in serious physical harm <input type="checkbox"/> Potential Lost-Time Injury/Illness <input type="checkbox"/> Recordable Injury/Illness <input type="checkbox"/> Hospitalization of THREE (3) OR MORE EMPLOYEES FOR 24 hours or more <input type="checkbox"/> Significant Government Action(s) (e.g., citations, police/government agency investigation, or likelihood of criminal charges against Bechtel) <input type="checkbox"/> Significant Property Damage/Loss (>\$500,000), INCLUDING BUT NOT LIMITED TO FIRES, SPILLS AND EXPLOSIONS <input type="checkbox"/> Impact on Members of the General Public <input type="checkbox"/> Significant Environmental Incident (L1 or L2) <input type="checkbox"/> Significant Near Miss <input type="checkbox"/> Serious Incident – Not Yet Classified	<ul style="list-style-type: none"> <li>• Site Manager</li> <li>• Project Manager</li> <li>• GBU Operations Manager</li> <li>• GBU President</li> <li>• GBU Manager of Construction</li> <li>• GBU ES&amp;H Manager</li> <li>• GBU Counsel</li> <li>• BCOI President</li> <li>• Corporate ES&amp;H Manager</li> <li>• Corporate Manager, ES&amp;H Compliance Assurance</li> <li>• Corporate Environmental Services Manager (if nature of incident is environmental)</li> <li>• Manager of Risk Management</li> <li>• Bechtel General Counsel</li> <li>• Legal/Risk Management Counsel</li> <li>• Manager of Media and Public Affairs</li> </ul>	
<b>Other</b>	<input type="checkbox"/> Lost-Time Injury/Illness <input type="checkbox"/> Recordable Injury/Illness <input type="checkbox"/> Property Loss (<\$500,000) <input type="checkbox"/> Environmental Incident (L3), if appropriate <input type="checkbox"/> Non-significant Near Miss	<ul style="list-style-type: none"> <li>• Site Manager</li> <li>• Site ES&amp;H Supervisor</li> <li>• GBU ES&amp;H Manager</li> <li>• As required by GBU and/or Project</li> </ul>	
<b>Brief Description of Incident Facts: (Use only known facts. Do not speculate as to cause, fault or error. Do not use assumptions in description of incident).</b>			
Prepared By: <small>(Signature &amp; Title)</small>		Date & Time <small>(actual time and date prepared)</small>	

CP-108, Revision 17 (26 October 2013), Exhibit C (0-60 Report Form)

Copyright © 2003-2006, 2009, 2010, 2013. Bechtel Corporation. All Rights Reserved.  
Contains confidential information proprietary to Bechtel not to be disclosed to third parties without prior written permission from Bechtel Corporation.

**Figure 1. 0-60 Initial Notification Form (Example).**