

Worker Safety and Health Noncompliance Reporting Criteria (as of January 1, 2012)

**Worker Safety and Health Noncompliances Associated With Occurrences
(DOE Order 232.2)**

Consult the DOE Order for the full text of each occurrence criterion¹

Reporting Criteria Group	Subgroup	Occurrence Category and Summary Description²
1. Operational Emergencies ³	N/A	(1) Operational Emergency (2) Alert (3) Site Area Emergency (4) General Emergency
2. Personnel Safety and Health	A. Occupational Injuries	(1) Fatality/terminal injury (2) Inpatient hospitalization of ≥ 3 personnel (3) Inpatient hospitalization ≥ 5 days (4) ≥ 3 personnel having Days Away, Restricted, or Transferred (DART) cases (5) Serious occupational injury
	B. Occupational Exposure	(1) Fatality/terminal illness or inpatient hospitalization of ≥ 3 personnel (2) Inpatient hospitalization ≥ 5 days or ≥ 3 personnel having DART cases (3) Personnel exposure > 10X limits or > IDLH (4) Personnel exposure > limits but < IDLH requiring medical treatment (5) Exposure resulting in serious occupational injury (6) Personnel exposure > limits but < IDLH
	C. Fires	(1) Fire within primary confinement/containment (2) Fire in a nuclear facility (3) Fire in a non-nuclear facility
	D. Explosions	(1) Unplanned explosion within primary confinement/containment (2) Unplanned explosion in a nuclear facility (3) Unplanned explosion in a non-nuclear facility
	E. Hazardous Electrical Energy Control	(1) Unexpected/unintended personal contact (2) Unexpected discovery of uncontrolled energy source
	F. Hazardous Energy Control (other than electrical)	(1) Unexpected/unintended personal contact (2) Unexpected discovery of uncontrolled energy source
4. Facility Status	B. Operations	(1) Stop Work Order from DOE
10. Management Concerns/Issues	N/A	(1) Initiation of a Federal Accident Investigation (3) Near miss

Other NTS Worker Safety and Health Reportable Conditions

Reporting Threshold	Notes ⁴
Severity Level I noncompliance(s) with Parts 851 or 850 (Refer to Part 851, Appendix B, Section VI(b)(1)) ⁵	Conditions of noncompliance identified by any method or means (e.g., assessments, inspections, observations, employee concerns, event evaluation) that represent a condition or hazard that has the potential to cause death or serious physical harm (injury or illness). These conditions include imminent danger situations.
Programmatic deficiencies involving noncompliances	A programmatic problem generally involves some weakness in administrative or management controls, or their implementation, to such a degree that a broader management or process control problem exists and requires broad corrective actions.
Repetitive noncompliances	Two or more different events/conditions that involve substantially similar work activities, locations, equipment, or individuals.
Intentional violation or misrepresentation	Also known as willful noncompliance; may involve record falsification.
Substantiated management reprisal(s) against worker(s) for raising safety issues associated with 851.20(a)(6) or (9)	Customarily referred to as worker retaliation.

Notes to Tables

- 1 The simple occurrence of an event or discovery of a condition in any of the listed categories is not by itself sufficient to warrant NTS reporting. NTS reporting requires the identification of a 10 C.F.R. Part 850 or 851 noncompliance in conjunction with the event or discovery. Contractors identifying a significant worker safety and health noncompliance in association with an event/discovery type or category not listed on the table should evaluate the event for NTS reportability, particularly under the “Severity Level I Noncompliances” category.
- 2 These summary descriptions are a brief characterization of the related criteria. Use the full statement of the criteria contained in DOE Order 232.2 to determine NTS reportability of event-related worker safety and health noncompliances.
- 3 Report worker safety and health noncompliances associated with any of the DOE Order 232.2 Operational Emergency categories (Operational Emergency, Alert, Site Area Emergency, General Emergency).
- 4 Refer to Chapter IV of the Enforcement Process Overview for more information about these types of noncompliances.
- 5 Conditions of noncompliance identified by any method or means (e.g., assessments, inspections, observations, employee concerns, event evaluation) that would not otherwise be reported into NTS as either a Management Issue or Occurrence, but that represent a condition or hazard that has the potential to cause death or serious physical harm (injury or illness). These conditions include imminent danger situations.