



DOE Contract No. DE-EM0004062
PMA-QA-20-011
July 30, 2020

Mr. Bryan Davis, Contracting Officer
U.S. Department of Energy
Portsmouth/Paducah Project Office
P.O. Box 700
Piketon, OH 45661

U.S. Department of Energy (DOE) Contract No. DE-EM0004062: Del. 24; C.2.2.7 – CAS Quarterly Trend Report, Third Quarter of Fiscal Year (FY) 2020 – For Approval

Dear Mr. Davis:

Portsmouth Mission Alliance, LLC (PMA), in accordance with the requirements of the PMA Contractor Assurance System (CAS), provides the attached *CAS Quarterly Trend Report, Third Quarter FY 2020*. The report covers the twelve month period encompassing three months in the **third** quarter of Fiscal Year (FY) 2020 (April 1, 2020 to June 30, 2020), and the preceding nine months in FY 2020 first and second quarters and FY 2019 fourth quarter (July 1, 2019 to March 31, 2020).

This report provides performance of key elements of the CAS (i.e., metrics and targets, feedback and improvement, and issues management) and recurring events analysis.

There were 11 events analyzed in the reporting period. Of these events, 10 are closed and one is open; two of the events are new events, and nine of the events were previously reported in the FY 2020 PMA second quarter report.

No apparent adverse trends are identified at this time. The trend previously reported in the FY 2019 fourth quarter report due to three passenger vehicle events occurring over a two month span, was considered closed in the FY 2020 first quarter report. The actions taken to address this trend are considered effective as no passenger vehicle events have occurred in the past ten months, including all of the FY 2020 first, second, and third quarters.

A thorough analysis of the events in the reporting period is provided in Section 3, and Appendices C and D of this report. Corrective actions have been identified, where appropriate, and entered into the PMA Commitment Tracking System (CTS), and have been closed or are being tracked through closure.

PMA believes that CAS performance has been effectively implemented, and the events analyzed have been effectively addressed to promote lessons learned and minimize the potential for recurrence.

Mr. Bryan Davis
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July 30, 2020
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If you have any questions regarding this report, or if we can be of further assistance, please call Dan Longpre, PMA Quality Manager, at (740) 897-5747.

Sincerely,



Damon A. Detillion
Project Manager
Portsmouth Mission Alliance, LLC

DAD:DL:ps

Attachment: CAS Quarterly Trend Report – Third Quarter FY 2020

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File – RMDC



PMA-PORTS-20-6531

**Contractor Assurance System Quarterly Trend Report
Third Quarter FY 2020
for the
Infrastructure Support Services Contract
at the
Portsmouth Gaseous Diffusion Plant
Piketon, Ohio**

Date Issued – July 2020

Prepared for the
U.S. Department of Energy
Portsmouth/Paducah Project Office

Portsmouth Mission Alliance, LLC
Managing Infrastructure Support Services
At the Portsmouth Gaseous Diffusion Plant
Under contract DE-EM0004062
for the
U.S. DEPARTMENT OF ENERGY

APPROVALS

**Contractor Assurance System Quarterly Trend Report
Third Quarter FY 2020
for the
Infrastructure Support Services Contract
at the
Portsmouth Gaseous Diffusion Plant
Piketon, Ohio**

PMA-PORTS-20-6531

July 2020



Damon A. Detillion, Project Manager
Portsmouth Mission Alliance, LLC

7/30/2020

Date



Matthew J. Miller, ESH&Q Manager
Portsmouth Mission Alliance, LLC

7/30/20

Date



Dan Longpre, Quality Manager
Portsmouth Mission Alliance, LLC

7/30/20

Date

REVISION LOG

**Contractor Assurance System Quarterly Trend Report
Third Quarter FY 2020
for the
Infrastructure Support Services Contract
at the
Portsmouth Gaseous Diffusion Plant
Piketon, Ohio**

PMA-PORTS-20-6531

July 2020

Revision Number	Changed/Added
Revision 0	Initial DRAFT Release (7-16-2020)
Revision 0	Final Release (7-30-2020)

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ACRONYMS

AHA	Activity Hazard Analysis
BLS	Bureau of Labor Statistics
CAS	Contractor Assurance System
CS	Cyber Security
CTS	Commitment Tracking System
DART	Days Away Restricted or Transferred
D&D	Decontamination and Decommissioning
DOE	U.S. Department of Energy
EM	Environmental Management
EMS	Environmental Management System
ESH&Q	Environmental, Safety, Health, and Quality
FBP	Fluor-BWXT Portsmouth LLC
FY	Fiscal Year
IR	Incident Report
ISMS	Integrated Safety Management System
ISS	Infrastructure Support Services
LWC	Lost Work Day Case
MTS	Management Tracking System
NCR	Nonconformance Report
NOV	Notice of Violation
OEM	Original Equipment Manufacturer
OELL	Operating Experience/Lessons Learned
OEP	Operating Experience Program
OR	Occurrence Report
OSHA	Occupational Safety and Health Administration
PM	Project Manager
PMA	Portsmouth Mission Alliance, LLC
POC	Point of Contact
POMCs	Performance Objectives, Measures, and Commitments
PORTS	Portsmouth Gaseous Diffusion Plant (formerly operating)
PPPO	Portsmouth/Paducah Project Office
PTO	Power Take Off
QAPP/QIP	Quality Assurance Program Plan/Quality Implementation Plan
QASP	Quality Assurance Surveillance Plan
S/CI	Suspect Counterfeit
SH	Safety and Health
SIR	Supervisors Incident Report
SRB	Senior Review Board
TLD	Thermoluminescent Dosimeter
TRC	Total Recordable Cases
UPS	Uninterruptible Power Supply
USW	United Steelworkers
VPP	DOE Voluntary Protection Program
WIN	Worker Involvement Network
WSH	Worker Safety and Health

1 EXECUTIVE SUMMARY/INTRODUCTION

Portsmouth Mission Alliance, LLC (PMA) contract DE-EM0004062, *Infrastructure Support Services (ISS)*, was initiated on April 25, 2016. This *Contractor Assurance System (CAS) Quarterly Trend Report, First Quarter FY 2020* covers the 12-month period including:

- current three months in the third quarter of fiscal year (FY) 2020 – April 1, 2020 to June 30, 2020, and
- previous nine months in FY 2020, first and second quarters, and FY 2019 fourth quarter – July 1, 2019 to March 31, 2020.

As of the end of this reporting period, the **PMA contract has been in place approximately fifty months (4.2 years, 1528 days)**.

The PMA safety, quality, and assurance programs are described in the following documents and their associated performance documents:

- PMA (EQ SH PLA) PORTS 0055, *Integrated Safety Management System (ISMS) Plan [Including Environmental Management System (EMS) and Worker Safety and Health (WSH) Program]*,
- PMA (EQ QM PLA) PORTS 6077, *Quality Assurance Program Plan/Quality Implementation Plan (QAPP/QIP)*, and
- PMA (EQ QM PLA) PORTS 6106, *Contractor Assurance System (CAS)*.

The following sections of this report provide *performance* of key elements of these programs (i.e., metrics and targets, feedback and improvement, and issues management), and *recurring events analysis*.

PMA has effectively implemented CAS performance and trending.

2 PERFORMANCE ANALYSIS

2.1 SAFETY STATISTICS

The Bureau of Labor Statistics (BLS) 2018 Incident Rate for PMA ISS industry type (Facility Support Services) is 1.5 Occupational Safety and Health Administration (OSHA) Total Recordable Cases (TRC), and 0.8 OSHA Days Away Restricted or Transferred (DART). The U.S. Department of Energy (DOE) Environmental Management (EM) and Portsmouth/Paducah Project Office (PPPO) incident rate goals for FY 2020 are 1.1 TRC and 0.6 DART.

Contractor Assurance System Attribute – <i>Incident Rate Statistics (Goal)</i> – Current 12 Month Period	Performance Period (12 months: 7/1/19 to 6/30/20)
	FY 2019 4 th Qtr., and FY 2020 1 st , 2 nd , and 3 rd Qtrs.
OSHA Total Recordable Cases (TRC) (1.5 BLS, EM 1.1)	0
OSHA Lost Work Day Case Rate (LWC)	0
OSHA Days Away Restricted or Transferred (DART) (0.8 BLS, EM 0.6)	0

Goals: Green (Met), Yellow (Caution), Red (Not Met)

PMA has exceptionally surpassed incident rate statistics for the reporting period.

2.2 INTEGRATED SAFETY MANAGEMENT SYSTEM (ISMS) PERFORMANCE METRICS

The FY 2020 performance objectives, measures, and commitments (POMCs, i.e., ISMS and EMS metrics; see also Appendix A and B of this report) were developed in accordance with DOE EM guidance. PMA Safety committee members from the Worker Involvement Network (WIN) and Voluntary Protection Program (VPP) committees were solicited for suggestions. The metrics were reviewed and approved by the Senior Review Board (SRB), which includes relevant Line Management, the United Steelworkers (USW) Safety Representative, and the Project Manager (PM). The metrics are divided into three categories to more effectively measure environmental, safety, health, and quality (ESH&Q) performance:

- General Health and Safety - *definitive indicators* that are generally required by DOE/PPPO and are relevant to an effective ISMS program.
- Programmatic Goals - typically *leading indicators* used for trending and to evaluate the effectiveness of the ISMS program.
- Environmental Liabilities – typically *definitive and leading indicators* used for trending and to evaluate the effectiveness of the ISMS/EMS program.

Contractor Assurance System Attribute – <i>Integrated Safety Management System (ISMS)</i> <i>Performance Metrics (Goal) – Current 12 Month Period*</i>	Performance Period (12 months: 7/1/19 to 6/30/20)
	FY 2019 4 th Qtr., and FY 2020 1 st , 2 nd , and 3 rd Qtrs. (highest/lowest; Caution status yellow highlight); see Appendix A
A. General Safety and Health	
1. First Aid Cases (<i>Trending Only</i>)	2/0
2. OSHA Total Recordable Cases (TRC) (< 1.1 Rolling Year)	0
3. OSHA Lost Work Day Case Rate (LWC) (0 Rolling Year)	0
4. OSHA Days Away Restricted or Transferred (DART) (< 0.6 Rolling Year)	0
5. DOE Near Miss Events (0)	0
6. Vehicle Incidents (<i>Trending Only</i> , Note: added FY 2020 1st Qtr.)	0
1. Hazard Analysis Review (10% of work packages reviewed per quarter, > 90% without issue)	100%/100%
2. Training Completed (> 90%)	99%/90%
3. Employees Actively Contributing to Safety Program (<i>Trending Only</i>)	86%/NA*
4. Hazards Abated/Resolved (≥ 90%)	98%/97%
5. Management Walkdowns Conducted (15 Per Quarter)	20/16
6. Lessons Learned Feedback (≥ 90%) (Note: Changed FY 2020 1st Qtr. to Preventive Maintenance Completed >90%)	100%/100% (FY 2019 4 th Qtr.) 99%/53%**
7. Number of Oversight Activities Completed (≥ 90%)	100%/100%***
8. Attendance at All-Hands Meetings (≥ 90%)	91%/62%*
1. Environmental Permit Violations (0)	0
2. Environmental Notice of Violations (NOVs) (0)	0
3. Reduction Hazardous Material Inventory (<i>Trending Only</i>) (Note: Changed FY 2020 1st Qtr. to Hazardous Material Storage lbs. per ft² ≤ prior year cumulative average, Trending Only)	-97.1% (FY 2019 4 th Qtr.) -9.1%/NA****
4. Environmental Management Communication, ≥ 10/Qtr.)	100%/100%
Total Metrics Met (Not including Trending Only, With Caution)	14 of 14 (two with Caution; four Reserved due to COVID-19 work restrictions)

Goals: Green (Met), Yellow (Caution), Red (Not Met), White (Reserved)

* *Reserved* - Due to COVID-19 controls in the 2nd and 3rd Qtrs. of FY 2020, activities involving employee participation were postponed to later in FY 2020 or cancelled, and replaced where possible with electronic participation.

** *Reserved* - Due to COVID-19 controls in the 2nd and 3rd Qtrs. of FY 2020, several PMs were unable to be completed. Those "open PMs" are within an acceptable grace period.

*** Due to COVID-19 controls in the 2nd and 3rd Qtrs. of FY 2020, several scheduled assessments were re-scheduled to later in FY 2020, Those re-scheduled were met or to be completed.

**** *Reserved* - Due to COVID-19 controls in the 2nd and 3rd Qtrs. of FY 2020; chemical inventory was unable to be completed and is re-scheduled to later in FY 2020.

The PMA *First Aid Cases (Trending Only)* metric is shown as *Caution (Yellow)* due to the following:

- The FY 2020 goal is 0, and PMA had two first aid cases in the FY 2019 4th Qtr. Although the cases were very minor (tick removed, swollen nose from a wasp sting, and a finger cut from a broken drill bit), PMA strives to prevent all first aid cases through effective planning. PMA will continue to emphasize to employees the importance of hazard identification and control, and applying lessons learned for continuous improvement.

The PMA *Hazardous Material Storage Pounds (Trending Only)* metric is shown as *Caution (Yellow)* due to the following:

The FY 2020 goal is Hazardous Material Storage pounds per square foot \leq to the prior year cumulative average, and PMA saw its storage **above** the average in the FY 2019 4th quarter and in the FY 2020 1st quarter. The increased storage was due to the addition of approximately 15 new facilities in FY 2019 for custodial services and the purchasing of cleaning supplies for those facilities, and the purchase of herbicide for vegetation control. PMA changed this metric in the FY 2020 1st Qtr. to that stated above to provide a better representation of effective hazardous material management. PMA continues to reduce the stock of janitorial supplies, which is evident in the smaller (-9.1%) deficit in the FY 2020 1st Qtr. With these efforts, PMA believes we are on track for a net reduction in hazardous material inventory in FY 2020. Due to COVID-19 controls in the 2nd and 3rd Qtrs. of FY 2020, chemical inventory was unable to be completed, and is re-scheduled to later in FY 2020.

PMA has predominantly met performance metrics goals for the reporting period.

2.3 OPERATING EXPERIENCE/LESSONS LEARNED

Operating Experiences and Lessons Learned (OELL) are an integral part of the PMA assurance system. The PMA Operating Experience Program (OEP), as described in PMA EQ QM PRO 1211, *OELL Program*, encompasses identifying, disseminating, developing, and utilizing positive and negative work experiences to improve work safety and performance. The OEP Coordinator monitors a variety of sources such as the DOE Corporate Lessons Learned database, Safety Alerts, Safety Advisories, Safety Bulletins, recall notices, and Suspect/Counterfeit Item (S/CI) and defective items to identify OELL applicable to PMA operations, which are in turn flowed down to Line Management and subject matter experts for review, feedback, and application, as appropriate. Applicable information is in turn flowed down to workers through pre-job safety meetings, inclusion in work packages, development of activity hazard analysis (AHA), safety bulletins, newsletters, required reading, and All-Hands Safety Meetings.

Contractor Assurance System Attribute – <u>Operating Experience/Lessons Learned</u> – Current 12 Month Period	Performance Period (12 months: 7/1/19 to 6/30/20)
	FY 2019 4 th Qtr., and FY 2020 1 st , 2 nd , and 3 rd Qtrs.
# OELL Searched	697
# OELL Distributed	254
# OELL Feedback Received	149
# OELL Applicable and Applied	126 (85%)

PMA has effectively implemented OELL during the reporting period.

2.4 PERFORMANCE DOCUMENTS

Performance documents include, but are not limited to, policies, procedures, directives, charters, forms, programs, plans, manuals, guides, and work instructions. Standard performance documents generally include: policies, procedures, directives, charters, and forms. Non-standard performance documents generally include: programs, plans, manuals, guides, and work instructions. Performance documents flow down the requirements in major overlying PMA programs and plans [e.g., PMA (EQ SH PLA) PORTS 0055, *ISMS Plan*; PMA (EQ QM PLA) PORTS 6077, *QAPP/QIP*; PMA (EQ QM PLA) PORTS 6106, *CAS*], which in turn flow down requirements from overlying DOE and other directives, laws and orders.

The PMA Quality Function manages the numbering schema, development, revision, configuration control, and periodic review of performance documents, as described in PMA EQ QM PRO 1221, *Performance Document Process*, to preserve their integrity and provide ready access. Performance documents may be handled many times in a 12-month period to provide for continuous improvement, and to ensure personnel have effective performance direction and guidance.

Contractor Assurance System Attribute – Performance Documents – Current 12 Month Period	Performance Period (12 months: 7/1/19 to 6/30/20)
	FY 2019 4th Qtr., and FY 2020 1st, 2nd, and 3rd Qtrs.
# Total Performance Documents (as of 6/30/20)	540
# Performance Documents Maintained (i.e., as is, no changes)	0
# Performance Documents Revised (e.g., intent changes, Phase 2 optimization non-intent changes, or periodic document reviews; some documents processed more than once)	540
# Performance Documents New Developed	13
# Performance Documents Cancelled/Retired	20

PMA has effectively implemented performance documents during the reporting period.

2.5 REPORTING PROCESSES

Internal and external performance reporting processes include, but are not limited to, the following:

Internal

- Safety Concerns [PMA EQ SH PRO 1519, *Safety Concerns/Workers Involvement Network (WIN)*]
- Supervisors Incident Report (PMA EQ SH PRO 1520, *Accident/Incident Reporting and Record Keeping*),
- Incident Report (PMA EQ QM PRO 1209, *Incident Reporting and Issues Management Program*),

- Nonconformance Report (PMA EQ QM PRO 1205, *Control of Nonconforming Items and Services*),
- Occurrence Report (OR) (PMA EQ QM PRO 1206, *Occurrence Notification and Reporting*),
- Enforcement Report (PMA EQ QM PRO 1214, *Nuclear, Worker Safety and Health, and Security Noncompliance Determination and Reporting*),
- Security Incident Report (PMA SS PH PRO 2306, *Reporting Security Incidents and Conducting Inquiries to Incidents of Security Concern*), and
- Cyber Incident Report (PMA IT CS PRO 5100, *Cyber Security Incident Response*).

External

- Decontamination and Decommissioning (D&D) Contractor, Fluor-BWXT Portsmouth LLC (FBP), Problem Reports, and
- DOE/PPPO Management Tracking System (MTS).

These processes ensure that performance issues are identified, reported, and corrected to prevent or minimize recurrence.

Security and Cyber Security (CS) incidents are tracked separately by these organizations, and are not included in this report.

Contractor Assurance System Attribute – Reporting Processes – Current 12 Month Period	Performance Period (12 months: 7/1/19 to 6/30/20)
	FY 2019 4th Qtr., and FY 2020 1st, 2nd, and 3rd Qtrs.
Internal	
# Worker Involvement Network (WIN) Issues (Carry Over From Previous Month/Entered/Closed/Open)	3/9/7/5
# Supervisors Incident Report (SIR) (Entered/Closed/Open)	10/9/1
# Incident Reports (IRs) (Entered/Closed/Open)	1/1/0
# Nonconformance Reports (NCR) (Entered/Closed/Open)	0/0/0
# Occurrence Reports (OR) (Entered/Closed/Open)	0/0/0
# Enforcement Reports (Entered/Closed/Open)	0/0/0
External	
# FBP Problem Reports Issues (Entered/Closed/Open)	47/40/7*
# DOE Management Tracking System (MTS) Reports Issues (Entered/Closed/Open)	0/0/0

* Problem reports are mainly open due to continued discussions and data gathering, and are expected to be closed in July/August.

PMA has effectively implemented reporting processes during the reporting period.

2.6 OVERSIGHT ACTIVITIES

Self-Assessment

PMA implements an integrated oversight program in accordance with the QAPP/QIP, associated performance documents, and the annual oversight plan, to evaluate and verify compliance with contractual and regulatory requirements, and provide performance feedback for the continuous improvement of PMA and subcontracted work activities.

The program is structured in three tiers of oversight activities as follows:

- PMA Departments, Functions, and Projects
- PMA Quality Function
- External Activities (DOE, parent company, other)

The tiers generally depict the broad foundation and responsibility for OA manifested in departments, functions, and projects, overlain by focused levels of OA performed by the Quality function and external organizations.

An annual oversight plan is completed that provides a cross section through PMA operations of planned oversight activities. The FY 2019 oversight plan (Rev 0) was issued in January 2019 (retroactive to October 1, 2018) and includes 63 planned activities plus 3 DOE Quality Assurance Surveillance Plan (QASP) self-assessments in the reporting period for a total of **66** activities.

The FY 2020 oversight plan (Rev 0) was issued in November 26, 2019 (retroactive to October 1, 2019) and includes 83 planned activities plus 9 DOE QASP self-assessments in the reporting period for a total of **92** activities.

In the combined FY 2019 and FY 2020 oversight plans, a total of **158** activities were planned in the reporting period.

In any given 12-month period the number of oversight activities completed will vary based on those scheduled and achieved, but generally reflect about 80 to 90% of planned.

Overall, **158 assessments were planned, and 159 (> 100%) were completed** in the reporting period. Not all assessment subject areas planned were completed, but the overall number of assessments completed is within the percentage expected.

Contractor Assurance System Attribute – Oversight Activities – Completed – Current 12 Month Period	Performance Period (12 months: 7/1/19 to 6/30/20)
	FY 2019 4th Qtr., and FY 2020 1st, 2nd, and 3rd Qtrs.
Internal	
Departments, Functions, and Projects	
Environmental, Safety, Health, and Quality (incl. Training and Records Management and Document Control)	121
Safeguards and Security	7
IT/ Telecommunications (inc. Cyber Security)	5
Performance & Integration	7

Facility Support Services	7
Quality Assurance Surveillance Plan (QASP)	12
Total - Internal	159
External	
DOE – Assessments [ES&H Reporting (2); Continuous Monitoring Accreditation Boundary General Support System and National Security System; U.S. EPA RCRA Inspection; Issues Affecting Safe Operations; Configuration Management, Cyber Effectiveness Review, Labor Standards, Reliability First Critical Infrastructure Protection Compliance; Quality Assurance (<i>currently in progress</i>)]	11
Total - External	11
Total – Oversight Activities	170

PMA has effectively implemented oversight activities during the reporting period.

Technical Editing

The position of Technical Editor/Quality Support is an integral part of the Quality Function. The responsibilities of the position include:

- Editing/document production process (describe the who, what, where, when, why, and how);
- Enhanced style guides (cover types of documents developed);
- Database/schedule with critical path (documents in progress, scheduled completion, overlap, peak times, priorities, resource planning, tracking);
- Document review tracking log [Date Requested/Due Date, Date Completed, Document Owner/Requester, Document Number/Title, Primary Issues/Comments, and running total of Number of Documents, Number of Pages, Editing Needed (Minor, Moderate, Major)]; and
- Training/more in-depth mentoring of document writers (becoming a better writer; style, grammar, punctuation, etc.).

The PM has directed that: “deliverables and other formal DOE correspondence from PMA to DOE to be reviewed by the Technical Editor.” Current document review tracking results are as follows:

Contractor Assurance System Attribute – <u>Technical Editing</u> – Current 12 Month Period			Performance Period (12 months: 7/1/19 to 6/30/20)		
			FY 2019 4th Qtr., and FY 2020 1st, 2nd, and 3rd Qtrs.		
Month	Number of Documents	Number of Pages	Editing Needed		
			Minor	Moderate	Major
July	45	1,281	34	10	1
August	56	1,049	35	15	6
September	41	916	35	3	3

October	46	1,426	30	12	4
November	42	943	35	7	0
December	23	251	13	8	2
January	47	1,411	29	14	4
February	39	696	29	9	1
March	62	804	44	12	6
April	145	2,980	94	40	11
May	107	1,996	70	29	8
June	157	1,489	123	31	3
Total:	810	15,242	571 (71%)	190 (23%)	49 (6%)

Document review tracking results are utilized on an ongoing basis in determining trends and continuously improving personnel writing skills and document quality.

PMA has effectively implemented technical editing during the reporting period.

2.7 ISSUES MANAGEMENT

PMA implements a structured issues management system in accordance with PMA EQ QM PRO 1209, *Incident Reporting and Issues Management Program*. An electronic commitment tracking system (CTS) is used to track PMA issues and actions through closure resulting from sources needed to effectively manage the Contract.

Issues identify what is required or requested, and actions (e.g., compensatory, corrective) identify what is needed to address issues. Issues and actions are separated in CTS into two categories:

- Commitments and Deliverables
 - Contract Deliverables
 - DOE Correspondence (e.g., Data Calls) Requiring Commitments
 - PMA Line Management Operations Commitments (e.g., project activities, management activities)
- Assurance System Activities
 - Reporting Processes
 - Oversight Activities

Commitments and Deliverables primarily identify something needed, and not deficiencies. Commitments and Deliverables are entered into CTS by the CTS Administrator directly from supporting documentation (e.g., Contract, letter) and written or verbal requests from Line Management. Assurance System Activities primarily identify something reported (e.g., incident) or an activity (e.g., assessment) completed that may or may not have deficiencies (i.e., failure to comply or ambiguity). Assurance System Activities are entered into CTS by the CTS Administrator from supporting documentation (e.g., incident report, annual oversight plan, assessment report).

Issues and Actions are not closed by the CTS Administrator until satisfactory closure evidence is provided by the Issue Owner. If the evidence does not clearly support closure, the CTS Administrator works with the Issue Owner until satisfactory evidence is provided. If there is a

question of what deems satisfactory evidence, the CTS Administrator consults with the Quality Manager on direction. If agreement on what constitutes satisfactory evidence is not achieved between the Issue Owner, CTS Administrator, and Quality Manager, the Quality Manager consults with the PM who will provide final determination.

The entered, closed, and open status of issues and actions vary from day to day as more are added and closed each day, but generally about 90% of PMA internal based are closed by their respective due dates and about 10% are closed overdue by 1 to 10 days. DOE based issues and actions (e.g., deliverables, assessment actions) are predominantly closed by their respective due dates or extensions are requested from DOE.

The Average Issues/Actions Aging (from Reporting and Oversight Activities) closed in FY 2020, third quarter, is approximately 14 days.

Contractor Assurance System Attribute – Commitment Tracking System – Current 12 Month Period	Performance Period (12 months: 7/1/19 to 6/30/20)
	FY 2019 4th Qtr., and FY 2020 1st, 2nd, and 3rd Qtrs.
# Issues/Actions Entered CTS	1,068
# Issues/Actions Closed CTS	1,000 (94%)
# Issues/Actions Open CTS (Note: primarily Contract Deliverables and 2020 Oversight Plan Commitments)	68
# Issues/Actions DOE Contract Deliverables	305
# Issues/Actions Site Specific	226
# Issues/Actions From Reporting (e.g., Incident, NCR)	30
# Issues/Actions From Internal Oversight Activities (e.g., assessments) (Note: primarily 2020 Oversight Plan Commitments)	317
# Issues/Actions From External (DOE) Oversight Activities (e.g., surveillances; assessments)	190
# Issues/Actions Priority Descriptor High (Note: primarily Contract Deliverables)	305
# Issues/Actions Priority Descriptor Medium	163
# Issues/Actions Priority Descriptor Low	600

PMA has effectively implemented issues management during the reporting period.

3 RECURRING EVENTS ANALYSIS

3.1 EVENTS ANALYZED

PMA experienced 11 events during the reporting period (see Appendix C and D of this report).

Contractor Assurance System Attribute –	Performance Period (12 months: 7/1/19 to 6/30/20)				Total
	FY 2019 4th Qtr., and FY 2020 1st, 2nd, and 3rd Qtrs.				
	FY 2019	FY 2020			
Internal Reporting Events Analyzed	4th	1st	2nd	3rd	
Supervisors Incident Report (SIR)	7	0	1	2	10

Incident Report (IR)	0	1	0	0	1
Nonconformance Report (NCR)	0	0	0	0	0
Occurrence Report (OR)	0	0	0	0	0
Enforcement Report (ER)	0	0	0	0	0
Total	7	1	1	2	11

* Not including reports (SIR, IR, NCR) that were closed and transferred to other reports (IR, NCR, OR), and are included in their totals.

Two of the events are new events, and 9 events were previously reported in the FY 2020 PMA second quarter report.

All events were entered in the CTS, as appropriate, thoroughly evaluated, and corrective actions identified and tracked or being tracked through closure.

Contractor Assurance System Attribute – Internal Reporting Events CTS Status* - Current 12 Month Period	Performance Period (12 months: 7/1/19 to 6/30/20)		
	FY 2019 4th Qtr., and FY 2020 1st, 2nd, and 3rd Qtrs.		
	Entered	Closed	Open
Supervisors Incident Report	10	9	1
Incident Report	1	1	0
Nonconformance Report	0	0	0
Occurrence Report	0	0	0
Enforcement Report	0	0	0
Total	11	10	1

* Not including reports that were closed and transferred to other reports, and are included in their totals.

One event is currently open in CTS.

PMA has effectively managed reporting events during the reporting period.

3.2 IMPACT CATEGORIES

Based on professional judgment, the events identified during the reporting period were organized into primary impacts categories. These categories were chosen based on their normally significant impact on contract resources to develop and complete corrective actions to prevent or minimize recurrence. The events in each category were further reviewed and analyzed based on professional judgment to identify similarities, and if the similarities were sufficient in type, frequency, significance, and corrective action need and follow-through to constitute an apparent trend.

Contractor Assurance System Attribute – Internal Reporting Events Impact Categories* – Current 12 Month Period	Performance Period (12 months: 7/1/19 to 6/30/20)				Total
	FY 2019 4th Qtr., and FY 2020 1st, 2nd, and 3rd Qtrs.				
	FY 2019	FY 2020			
	4th	1st	2nd	3rd	
1. Passenger Vehicle Impact Events (e.g., pickup)	3	0	0	0	3
2. Non-Passenger Vehicle Impact Events (e.g., mower)	1	0	0	1	2
3. First Aid and Non-First Aid Events (non-occupational)	2 (2 First Aid)	0	1	1	4

illness/other)					
4. Equipment Operational Events (e.g., HVAC)	1	1	0	0	2
5. Procedural and/or Rigor and Discipline Events	0	0	0	0	0
Total	7	1	1	2	11

Note: Numbering same as in Appendix C and summarized from Appendix D —

*1. Three Events (No New): SIR-PMA-19-013, X-700 Vehicle Impacts Stanchion; SIR-PMA-19-016, X-700 Vehicle Impacts Stanchion; SIR-PMA-19-017, C-Lot Vehicle Impacts Handicap Sign

2. Two Events (**One New**): SIR-PMA-19-015, X-611 Forestry Cutter Impacts Pipe Valve; SIR-PMA-20-003, West Access Road Mower Cut Telephone Line (**New**)

3. Four Events (**One New**): SIR-PMA-19-018, H-Lot Mac Portal Worker Stung By Wasp (*First Aid*); SIR-PMA-19-019, X-152J Worker Finger Cut By Broken Drill Bit (*First Aid*); SIR-PMA-20-001, X-700 Worker With Non-occupational Illness; SIR-PMA-20-002, X-700 Worker With Non-occupational Illness (**New**)

4. Two Events (No New): SIR-PMA-19-014, X-700 Worker Loses TLD; IR-PMA-20-001, West Perimeter Road Dump Truck Diesel Spill

5. No Events (No New): Not Applicable

PMA has effectively managed key reporting events types during the reporting period.

3.3 DISCUSSION

Analysis of each category based on professional judgment to identify similarities, and if the similarities were sufficient in type, frequency, significance, and corrective action need and follow-through to constitute an apparent trend, is provided in the following sections.

3.3.1 Passenger Vehicle Impact Events

No new passenger vehicle impact events were reported. The three events did not involve personnel injuries, and resulted in minor to moderate vehicle damage.

The three events have similarities in failure to do 360° inspections around vehicles and surrounding areas before moving to look for obstacles and utilizing and staying focused on the safest travel paths, and were reported as a trend in the FY 2019 fourth quarter.

This trend was considered closed in the FY 2020 first quarter report. The actions taken to address this trend are considered effective as no passenger vehicle events have occurred in the past ten months, including all of the FY 2020 first, second, and third quarters.

Event **SIR-PMA-19-013 (Closed)** involved the driver's side front fender of a pickup truck that glanced off a radiological posting stanchion in the X-700 parking lot causing minor damage to the fender. **The Operator of the truck was not injured.** The Operator attended a meeting in the X-700 and the radiological posting stanchion was in close proximity to the available parking place. The Operator was aware of the stanchion, but it was not easily visible from the driver's seat. When leaving the parking place, the Operator was momentarily distracted by another worker and turned the vehicle too sharp, glancing the stanchion as he drove away. **To prevent recurrence**, install flagging to the radiological posting stanchions to extend the line of sight to make the stanchions more visible from high profile vehicles, and the Operator was counselled to complete a 360° walk around before moving a vehicle to re-refresh their memory of existing

hazards and identify potential new hazards, and to utilize and stay focused on the safest travel path.

Event **SIR-PMA-19-016 (Closed)** involved the passenger side front fender of a pickup truck that struck a radiological posting stanchion in the X-700 parking lot causing minor damage to the fender. **The Operator of the truck was not injured.** The radiological posting stanchion was in close proximity to the available parking place. The Operator was aware of the stanchion, but it was not easily visible from the driver's seat. When leaving the parking place, rather than backing out straight, the Operator incorrectly turned the wheel and struck the stanchion. **To prevent recurrence**, install flagging to the radiological posting stanchions to extend the line of sight to make the stanchions more visible from high profile vehicles, and the Operator was counselled to complete a 360° walk around before moving a vehicle to re-refresh their memory of existing hazards and identify potential new hazards, and to utilize and stay focused on the safest travel path.

Event **SIR-PMA-19-017 (Closed)** involved the driver's side front fender of a pickup truck that struck a Handicap Parking sign in the C-Parking Lot, knocking the sign down, and causing minor damage to the fender. **The Operator of the truck was not injured.** The Operator was driving from the C-Lot and as they turned the corner where the sign was located their vision was impaired by the sun in their eyes and a blind spot caused by the driver's side mirror, and they struck the sign. **To prevent recurrence**, the Operator was counselled to complete a 360° walk around before moving a vehicle to survey the surrounding area to re-refresh their memory of existing hazards and identify potential new hazards, and when their vision is impaired to stop and re-evaluate conditions before proceeding along the safest travel path.

Three events are closed and none are open in CTS.

3.3.2 Non-Passenger Vehicle Impact Events

One new non-passenger vehicle impact event was reported. The two events did not involve personnel injuries, and resulted in minor property damage.

The two events have some similarities, but **do not represent an apparent trend.**

Event **SIR-PMA-19-015 (Closed)** involved the operation of a Forestry Cutter that struck an unidentified abandoned water clean out valve, damaging the valve. The Forestry Cutter was being utilized to remove vegetation from the right of way of the abandoned X-611 Sludge Line. The cutter was being applied to avoid large debris from the sludge line. Review of obstructions in the area before the start of work did not identify the water clean out valve located close to the ground and obscured in the vegetation. Subsequent discussion with FBP Utilities determined the water valve was abandoned, and at FBP request the valve was plugged. **To prevent recurrence**, the valve was marked with a highly visible flag, and FBP Utilities was contacted to identify any other valves in the area. In suspect areas for potentially hidden obstructions the Forestry Cutter was first run with the cutting head off to better identify obstructions and mark them before final cutting.

Event **SIR-PMA-20-003 (New, Open)** involved the operation of a mower that cut an apparent abandoned telephone line laying on the ground surface in tall grass. Due to COVID-19 work restrictions, the grass in the berms along the West Access Road had grown longer than normal. Unbeknownst to the operator of the mower, the telephone company (Frontier) had abandoned a

telephone line on the ground surface, and it was cut by the mower. **To prevent recurrence**, the abandoned line was moved out of the way for mowing and marked with a cone. Frontier was contacted and a trouble ticket was entered to remove the abandoned line, with the date not yet scheduled.

One event is closed and one is open in CTS.

3.3.3 First Aid and Non-First Aid Events

One new non-occupational illness event was reported. The **four** events, of which two were first aids, have different causes, and **do not represent an apparent trend**.

Event **SIR-PMA-19-018 (First Aid - Closed)** involved a worker who opened a phone box and was stung by a wasp. The worker was working on the H-Lot Mac Portal cameras, and needed to access the phone box. The worker was unaware that wasps had built a nest in the phone box. When the box was opened, the wasps became aggravated and before the worker could get away a wasp stung them on the nose, resulting in swelling in the nose and facial area. The PORTS Emergency Squad was called, and the worker refused medical treatment. The worker took a non-prescription pain killer and was taken to PORTS Medical Services for further evaluation (non-prescription antihistamine for swelling), and was released by the doctor. **To prevent recurrence**, the worker was cautioned to stay vigilant for the probable presence of wasps, spiders, and other insects in phone boxes and other small enclosed spaces in outdoor areas, approach these areas with caution, and to keep insect spray closely at hand for protection.

Event **SIR-PMA-19-019 (First Aid - Closed)** involved a worker removing pop rivets on a sign with a drill utilizing a 1/8" drill bit. The worker was holding the drill in their right hand with their left hand near the drill bit. The drill bit broke, resulting in the drill with the stub of the broken bit quickly pressing forward hitting the print side end of the worker's left hand finger, causing a small cut (puncture). The cut was cleaned with soap and water and a band aid was applied. **To prevent recurrence**, the worker was cautioned to keep both hands on the drill or keep their free hand well away from the drill bit, and to wear appropriate gloves as specified in the work package Activity Hazard Analysis for PPE. The incident was discussed for lessons learned in the next morning crew pre-job briefing.

Event **SIR-PMA-20-001 (Non-occupational Illness - Closed)** involved a worker in the X-700 maintenance shops who saw a co-worker outside a shop who said they did not feel well. The ill worker was asked to sit down to see if they felt better. When they did not quickly feel better, the worker called Emergency Services who responded, evaluated the ill worker, and transported them to offsite medical for further evaluation. The worker subsequently returned to work with no restrictions.

Event **SIR-PMA-20-002 (New, Non-occupational Illness - Closed)** involved a worker in the X-700 parking lot loading four printer toner cartridges weighing approximately one pound each into his work van. After loading the cartridges, the worker walked to the driver's side door to enter the van, when he began to have a muscle spasm in his back that immobilized him. The worker had recently been stretching and exercising at home to alleviate this condition that had happened offsite before. Emergency Services was called and responded, evaluated the ill worker, and transported them to offsite medical for further evaluation. The worker subsequently returned to work with no restrictions.

Four events are closed and none are open in CTS.

3.3.4 Equipment Operational Events

No new equipment event was reported. The two events have different causes, and **do not represent an apparent trend.**

Event **SIR-PMA-19-014 (Closed)** involved a worker who lost their thermoluminescent dosimeter (TLD) in the Limited Area, and did not immediately notice it. The worker noticed after lunch that there was no TLD on their lanyard. The worker looked in the immediate area for the TLD for a couple minutes, and then notified their Supervisor. FBP Dosimetry was contacted to report the lost TLD and determine how to get a new TLD issued. A new TLD was subsequently issued. The worker had been working with a variety of materials and around equipment that could have potentially snagged the lanyard and dislodged the TLD. **To prevent recurrence**, the worker was cautioned to stay vigilant of the work they are performing to try to keep their lanyard and TLD away from potential conditions where snagging and dislodgement could occur, and periodically check their lanyard and TLD, so a lost TLD can be reported as quickly as possible.

Event **IR-PMA-20-001 (Closed)** involved the failure of the power take off (PTO) shaft in a 1988 White/Volvo Dump Truck due to wear, causing a puncture in the diesel tank and a spill of diesel fuel on an asphalt paved roadway. **The Operator nor anyone else in the area were injured.** The Operator was driving the truck northbound on the West Perimeter Road empty and without the PTO engaged, when the PTO shaft suddenly broke and punctured the fuel tank. This resulted in approximately 40 gallons of diesel fuel spilled on an approximate 4 foot wide by 700 foot long portion of the asphalt roadway before the Operator was able to stop the truck at the West Access Road Traffic Island. Although the truck stopped near a storm drain, a calculation of the fuel observed on the roadway indicates only minor drops of fuel, if any, entered the storm drain, which was confirmed by no fuel sheen observed in the storm drain or nearby catch ponds. Through quick reporting by the Operator and follow-up by the Plant Shift Superintendent, an Emergency Response was initiated and the spilled fuel was cleaned up in less than two hours. The Dump Truck was towed to an off-site commercial repair facility, which reported the PTO failure was due to normal wear, and the truck is currently undergoing repairs. **To prevent recurrence**, corrective actions include: evaluate carrying spill kits in selected vehicles with higher capacity fuel tanks, potentially vulnerable to puncture due to operating conditions, to provide immediate response by the Operator to minimize spillage should spills occur.

Two events are closed and none are open in CTS.

3.3.5 Procedural and/or Rigor and Discipline of Operations Events

No new procedural and/or rigor and discipline events were reported, and there were no events in the reporting period.

3.4 CONCLUSION AND FOLLOW-UP ON TRENDS FROM PREVIOUS REPORTS

PMA has effectively implemented CAS performance and trending. No apparent adverse trends are identified at this time.

The trend previously reported in the FY 2019 fourth quarter report due to three passenger vehicle events occurring over a two month span was considered closed in the FY 2020 first

quarter report. The actions taken to address this trend are considered effective as no passenger vehicle events have occurred in the past ten months, including all of the FY 2020 first, second, and third quarters.

Appendix A – ISMS Performance Metrics
A-1 PMA FY 2020 First, Second, and Third Quarters (10/1/19 to 6/30/20)

**2020 ISMS
 PERFORMANCE
 METRICS**



Accomplished
 Caution
 Not Accomplished

Performance Indicators	Quarterly Goals for Fiscal Year	First Quarter	Second Quarter	Third Quarter	Fourth Quarter
------------------------	---------------------------------	---------------	----------------	---------------	----------------

General Health & Safety

First Aid Cases	Trending Only	0	0	0	
TRC	<1.1	0	0	0	
LWDCs	0	0	0	0	
DART	<0.6	0	0	0	
DOE Near Miss Events	0	0	0	0	
Vehicle Incidents	Trending Only	0	0	0	

Programmatic Goals

Hazard Analysis Reviewed	>90%	100%	100%	100%	
Training Completed	>90%	98%	93%	90%	
Employee Participation	Trending Only	83%	78%*	NA*	
Hazards Abated	≥90%	97%	97%	97%	
Management Walk Downs Conducted	15 per Quarter	18	16	17	
Preventive Maintenance Completed	>90%	99%	88%**	53%**	
Assessments Completed	>90%	100%	100%***	100%***	
All Hands Attendance	>80%	88%	82%*	62%*	

Goals: Green (Met), Yellow (Caution), Red (Not Met), White (Reserved)

* *Reserved* - Due to COVID-19 controls in the 2nd and 3rd Qtrs. of FY 2020, activities involving employee participation were postponed to later in FY 2020 or cancelled, and replaced where possible with electronic participation.

** *Reserved* - Due to COVID-19 controls in the 2nd and 3rd Qtrs. of FY 2020, several PMs were unable to be completed. Those "open PMs" are within an acceptable grace period.

*** Due to COVID-19 controls in the 2nd and 3rd Qtrs. of FY 2020, several scheduled assessments were re-scheduled to later in FY 2020, Those re-scheduled were met or to be completed.

Appendix A – ISMS Performance Metrics
A-1 PMA FY 2020 First, Second, and Third Quarters (10/1/19 to 6/30/20)

**PMA 2020 ISMS
 PERFORMANCE
 METRICS**



Accomplished
 Caution
 Not Accomplished

Performance Indicators	Quarterly Goals for Fiscal Year	First Quarter	Second Quarter	Third Quarter	Fourth Quarter
------------------------	---------------------------------	---------------	----------------	---------------	----------------

Environmental Liabilities

Environmental Permit Violations	0	0	0	0	
Environmental Notice of Violations (NOVs)	0	0	0	0	
Hazardous Material Storage*	Trending Only	-9.1%*	TBD**	TBD**	
Environmental Management Communications	≥10/Quarter	100%	100%	100%	

Goals: Green (Met), Yellow (Caution), Red (Not Met), White (Reserved)

* Changed FY 2020 1st Qtr. to Hazardous Material Storage lbs. per ft² ≤ prior year cumulative average. Increased storage remains evident due to the FY 2019 addition of approximately 15 new facilities for custodial services and the purchasing of cleaning supplies for those facilities, and the purchase of herbicide for vegetation control.

** Reserved - Due to COVID-19 controls in the 2nd and 3rd Qtrs. of FY 2020, chemical inventory was unable to be completed and is re-scheduled to later in FY 2020.

**Appendix A – ISMS Performance Metrics
A-2 PMA FY 2019 Fourth Quarter (7/1/19 to 9/30/19)**

**2019 ISMS
PERFORMANCE
METRICS**



Accomplished
 Caution
 Not Accomplished

Performance Indicators	Quarterly Goals for Fiscal Year	Fourth Quarter
------------------------	---------------------------------	----------------

General Health & Safety

First Aid Cases	Trending Only	2
TRC	<1.1	0
LWDCs	0	0
DART	<0.6	0
DOE Near Miss Events	0	0

Programmatic Goals

Hazard Analysis Review	> 90%	100%
Training Completed As Required	>90%	99%
Employees Actively Contributing to Safety Program	Trending Only	86%
Hazards Abated/Resolved	>90%	98%
Management Walk downs Conducted	15 per Quarter	20
Lessons Learned Feedback Provided	≥90%	100%
Number of Oversight Activities Completed	≥90%	100%
Attendance at All-Hands Meetings	≥90%	91%

Goals: Green (Met), Yellow (Caution), Red (Not Met), White (Reserved)

**Appendix A – ISMS Performance Metrics
A-2 PMA FY 2019 Fourth Quarter (7/1/19 to 9/30/19)**

**PMA 2019 ISMS
PERFORMANCE
METRICS**



Accomplished
 Caution
 Not Accomplished

Performance Indicators	Quarterly Goals for Fiscal Year	Fourth Quarter
------------------------	---------------------------------	----------------

Environmental Liabilities

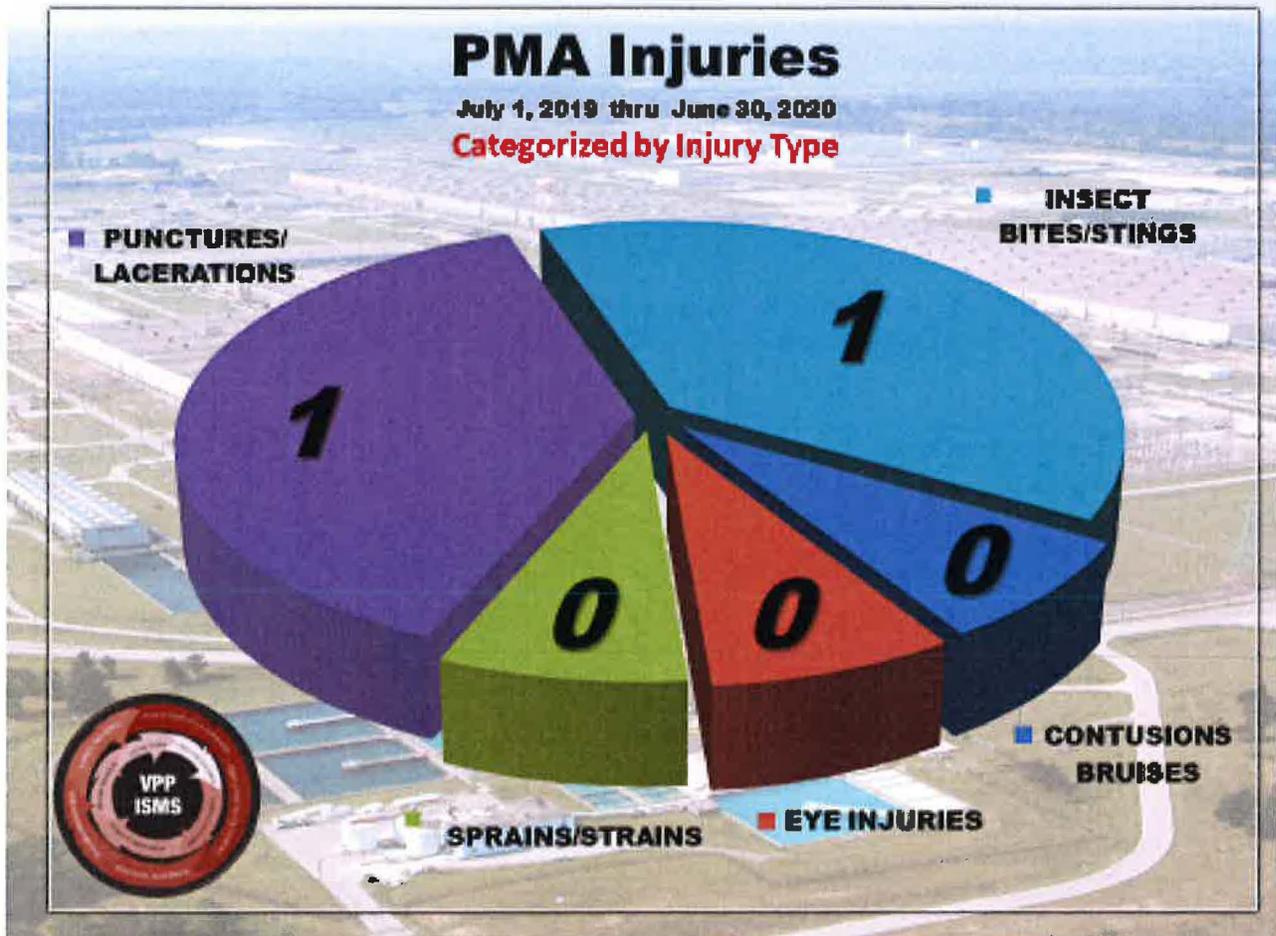
Environmental Permit Violations	0	0
Environmental Notice of Violations (NOVs)	0	0
Hazardous Material Storage	Trending Only	-97.1%*
Environmental Management Communications	≥10/Quarter	100%

Goals: Green (Met), Yellow (Caution), Red (Not Met), White (Reserved)

* Increased storage due to the addition of approximately 15 new facilities for custodial services and the purchasing of cleaning supplies for those facilities, and the purchase of herbicide for vegetation control.

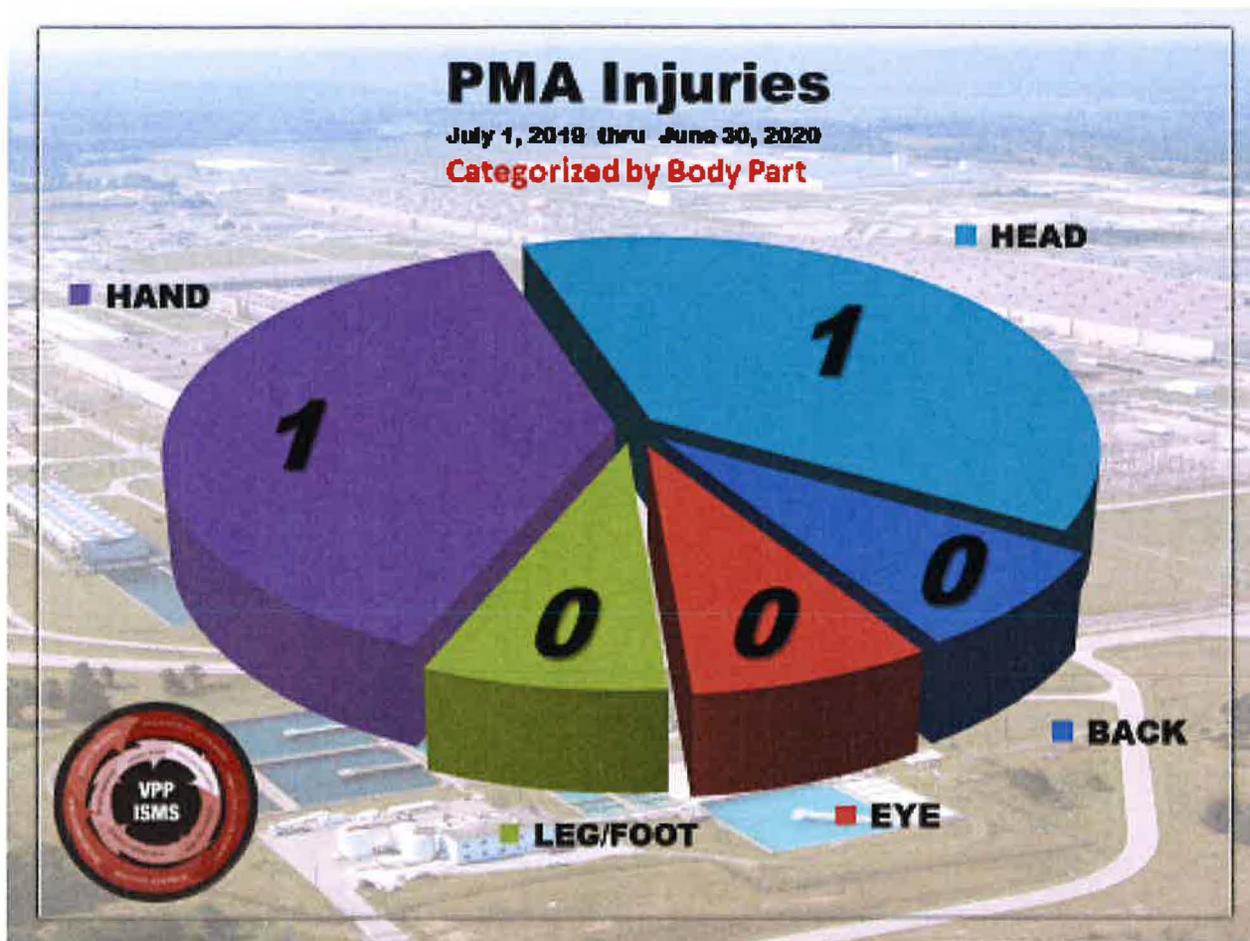
Appendix B – Injuries by Type and Body Part

B-1 PMA - Injuries by Type (7/1/19 to 6/30/20)



Appendix B – Injuries by Type and Body Part

B-2 PMA - Injuries by Body Part Type (7/1/19 to 6/30/20)



**Appendix C – List of Events Analyzed
(7/1/19 to 6/30/20)**

Contractor Assurance System Attribute – <u>Internal Reporting Events</u>	Performance Period (12 months: 7/1/19 to 6/30/20) (Note: Numbering summarized from Appendix D)			
	PMA Events By Quarter (FY 2019 4 th Qtr. and FY 2020 1 st , 2 nd , and 3 rd Qtrs.)			
	FY 2019	FY 2020		
	4 th	1 st	2 nd	3 rd
Supervisors Incident Report (SIR)	SIR-PMA-19-013, (7/2/19), X-700 Vehicle Impacts Stanchion <i>Closed</i>	0	SIR-PMA-20-001, (3/19/20), X-700 Worker With Non-occupational Illness <i>Closed</i>	SIR-PMA-20-002, (5/7/20), X-700 Worker With Non-occupational Illness <i>Closed</i>
	SIR-PMA-19-014, (7/25/19), X-700 Worker Loses TLD <i>Closed</i>			SIR-PMA-20-003, (6/18/20), West Access Road Mower Cut Telephone Line <i>Open</i>
	SIR-PMA-19-015, (8/26/19), X-611 Forestry Cutter Impacts Pipe Valve <i>Closed</i>			
	SIR-PMA-19-016, (8/28/19), X-700 Vehicle Impacts Stanchion <i>Closed</i>			
	SIR-PMA-19-017, (8/28/19), C-Lot Vehicle Impacts Handicap Sign <i>Closed</i>			
	SIR-PMA-19-018, (9/12/19), H-Lot Mac Portal Worker Stung By Wasp (<i>First Aid</i>) <i>Closed</i>			
	SIR-PMA-19-019, (9/17/19), X-152J Worker Finger Cut By Broken Drill Bit (<i>First Aid</i>) <i>Closed</i>			
	Sub-Total	7	0	1
Total	10			
Incident Report (IR)	0	IR-PMA-20-001, West Perimeter Road Dump Truck Diesel Spill (12/11/19) <i>Closed</i>	0	0
Sub-Total	0	1	0	0
Total	1			

Contractor Assurance System Attribute – <u>Internal Reporting Events</u>	Performance Period (12 months: 7/1/19 to 6/30/20) (Note: Numbering summarized from Appendix D)			
	PMA Events By Quarter (FY 2019 4 th Qtr. and FY 2020 1 st , 2 nd , and 3 rd Qtrs.)			
	FY 2019	FY 2020		
	4 th	1 st	2 nd	3 rd
Nonconformance Report (NCR)	0	0	0	0
Sub-Total	0	0	0	0
Total	0			
Occurrence Report (OR)	0	0	0	0
Sub-Total	0	0	0	0
Total	0			
Enforcement Report (ER)	0	0	0	0
Sub-Total	0	0	0	0
Total	0			
Sub-Total All Events	7	1	1	2
Total All Events	11 (10 SIR, 1 IR, 0 NCR, 0 OR, 0 ER; 10 Closed and 1 Open)			

**Appendix D – Reporting Events Logs, D-1 – Supervisors Incident Reports (SIR)
07/01/2019 – 06/30/2020**

FY No.	CY No.	Code	Employee	Date of Event	Subject	Associated Report No.	Facility where Incident Occurred	Supervisor	Comment	Safety/ Other Review Completed	OSHA Accident/ Injury Reportable	Open/ Closed
PMA-19-FSS-FM-013	19-11	Fleet Incident	Phil Frump	7/2/2019	Employee glanced a posting sign as he was departing the X-700 Parking Area. The employee was aware of the lower signage, however was distracted by someone when he was pulling out and struck a 3' stanchion/radiological posting sign with the left front fender of the silver North Wind Chevy Truck.	N/A	X-700 Parking Lot	Phil Moore	It is recommended to add a flag to extend the line of sight associated with these stanchions. Assure vehicle incidents and accident reporting process is followed in a timely manner. Expectations communicated to line management. 7/17/19: Waiting further discussion before closure.	Y (No injuries)	NA	Closed 7/16/2019
PMA-19-FSS-FM-014	19-12	Minor Incident	Lowell "Kevin" Adams	7/25/2019	Noticed after lunch that the TLD had come off the employee's lanyard while working in a limited area. Looked in the immediate area then notified the supervisor (Boyer). Contacted dosimetry for instruction on getting new one and reporting requirements.	N/A	X-700	Sean Boyer	A new TLD was issued	N/A	N/A	Closed 07/25/2019

**Appendix D – Reporting Events Logs, D-1 – Supervisors Incident Reports (SIR)
07/01/2019 – 06/30/2020**

FY No.	CY No.	Code	Employee	Date of Event	Subject	Associated Report No.	Facility where Incident Occurred	Supervisor	Comment	Safety/ Other Review Completed	OSHA Accident/ Injury Reportable	Open/ Closed
PMA-19-FSS-GM-015	19-13	Minor Incident	Jerry Colley	8/26/2019	While cutting tall weeds on old sludge line right away with forester cutter employee struck unseen water line clean out valve assembly.	N/A	X-611 Sludge Line	Mark Anglemeyer	Plug and repair valve clean out assembly. Mark obstruction with tall flag. FBP utilities will confirm if there are any more clean-out valves in the sludge line right of way. Run forester cutter over area with cutting head off before doing a cutting pass.	N/A	N/A	Closed 9/23/2019
PMA-19-FSS-WC-016	19-14	Fleet Incident	Tony Pugh	8/28/2019	Employee was backing from parking space, while turning the wheel struck a boundary stanchion in parking area	N/A	X-700 South Parking	Corey Tieman	1. Employee sent for Drug test. 2. Stanchions are being marked with flagging or painted markers. 3. Coached employee on importance of 360 walk-around and attention to detail. 9/5/19: use attached screenshot of completed work order 19070188 to close out CTS item 4583. Grounds Maintenance extended the	N/A	N/A	Closed 9/5/2019

**Appendix D – Reporting Events Logs, D-1 – Supervisors Incident Reports (SIR)
07/01/2019 – 06/30/2020**

FY No.	CY No.	Code	Employee	Date of Event	Subject	Associated Report No.	Facility where Incident Occurred	Supervisor	Comment	Safety/ Other Review Completed	OSHA Accident/ Injury Reportable	Open/ Closed
									stanchions to a visible height, by using highly visible extension.			
PMA-19-FSS-GM-017	19-15	Fleet Incident	Patty Lester	8/28/2019	Driving (GOLD) Chevy Pickup Truck License #G630840S exiting C Lot after picking up company trash, sun was in eyes and when turning the corner hit a handicap sign knocking it down causing damage to the driver's side fender. Put sign in back of truck and put orange cone over the stub.	N/A	C-Lot	Mark Anglemyer	Conducted brief with all service workers on 360 and focus on surrounding. A potential safety pause to be held after holiday 9/5/19: A safety pause was held with the service workers as of 9/3/19.	N/A	N/A	Closed 1/31/2020
PMA-19-FSS-IT-018	19-16	FIRST AID	Mark Radar	9/12/2019	Employee opened box in the H-lot mac portal while working on the cameras and got stung on the nose by a wasp. FSS Manager noticed the swelling and called for an ambulance at 1520. Employee stated that he had taken non-prescription Aleve for the pain but refused treatment from the ambulance. Supervisor took him to FBP medical to get non-prescription Benadryl for the swelling and to be	N/A	H-Lot Mac Portal	Mark Miller	Keep bee spray with the workers when working outside. Emphasize caution when working in areas where bees, spiders, and other critters could be living.	N/A	N/A	Closed 9/12/2019

**Appendix D – Reporting Events Logs, D-1 – Supervisors Incident Reports (SIR)
07/01/2019 – 06/30/2020**

FY No.	CY No.	Code	Employee	Date of Event	Subject	Associated Report No.	Facility where Incident Occurred	Supervisor	Comment	Safety/ Other Review Completed	OSHA Accident/ Injury Reportable	Open/ Closed
					checked out prior to leaving the plant. The doctor cleared him to drive.							
PMA-19-FSS-FM-019	19-17	FIRST AID	Mike Shope	9/17/2019	Removing a sign from the X-152J with a drill and 1/8" drill bit. The bit broke and the drill jumped and hit the end of his finger on the pad side leaving a small hole. He notified the supervisor and notified safety. The cut was cleaned with soap and water, bandaid was applied.	N/A	X-152J	Mark Miller	Wear appropriate PPE (Gloves) as specified in the AHA. Supervisor will emphasize requirements in morning crew briefing.	N/A	N/A	Closed 9/18/2019
PMA-20-FSS-IT-001	20-01	NON-OCCUPATIONAL ILLNESS	Mark Radar	3/19/2020	Employee not feeling well (non-work related), emergency personnel notified, employee transported to off-site medical facility.	N/A	X-700	Kari Williams	Subsequently returned to work with no restrictions.	N/A	N/A	Closed 3/19/2020
PMA-20-FSS-IT-002	20-02	NON-OCCUPATIONAL ILLNESS	Greg Sowards	5/7/2020	Employee experienced back spasm after placing 4 approximately 1 pound toners in van. Employee was taken to Pike County Hospital. Employee had recently been stretching and exercising at home to alleviate this recurring condition.	N/A	X-700	Kari Williams	Subsequently returned to work with no restrictions.	N/A	N/A	Closed 5/7/2020

**Appendix D – Reporting Events Logs, D-1 – Supervisors Incident Reports (SIR)
07/01/2019 – 06/30/2020**

FY No.	CY No.	Code	Employee	Date of Event	Subject	Associated Report No.	Facility where Incident Occurred	Supervisor	Comment	Safety/ Other Review Completed	OSHA Accident/ Injury Reportable	Open/ Closed
PMA-20-FSS-GM-003	20-03	Minor Incident	Forest Cox	6/18/2020	Phone line on ground surface in tall grass cut while mowing. Marked location with a cone. Created trouble ticket with Frontier. Line appears to be temporary that field technician laid on ground due to trouble in underground copper cable.	N/A	West Access Road	Mark Anglemeyer	Repair to be scheduled by Frontier at date TBD.	N/A	N/A	Open

**Appendix D – Reporting Events Logs, D-2 – Nonconformance Reports (NCR)
(07/01/2019 thru 06/30/2020)**

POC	Nonconformance Number	Date of Event	Date of Report Submittal	Subject	OR No.	Facility Incident Location	PAAA Review	Comment	OSHA Accident/ Injury Reportable	Open - Closed/ Closure Date
N/A	No NCRs reported.	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

**Appendix D – Reporting Events Log, D-3 – Incident Report (IR)
(07/01/2019 to 06/30/2020)**

POC	IR Number	Date of Event	Subject	OR Number (2018-####)	NCR Report Number	OR Screen (Y/N)	Facility Incident Location	IRB/ Critique (Date)	Comment	OSHA Accident/ Injury Reportable	Open/ Closed
Mark Miller	IR-PMA-FSS-GM-0001	12/11/19	Diesel Spill West Perimeter Road	N/A	N/A	N/A	West Perimeter Road	N/A	The diesel fuel was primarily spilled on a 4 foot wide area of pavement of the north bound lane of Perimeter Road within the approximately 700 feet of travel before stopping at the West Access Road Traffic Island. As of 1/7/2020 no holding pond or water stream impacts noted. No current pending actions.	N/A	Closed (2/28/20)