

## ORPS Redesign

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- History
  - Reyes Report - Opportunities for Improvement: A Review of Safety Management at the Department of Energy
  - Executive Safety Conference – December 2001
  - Issues – eliminate nuisance and non-value added reporting, add graded approach including Short Form
- Redesign led by EH-3 along with:
  - Leadership Team composed of PSO and Field managers
  - Working Group composed of ~55 HQ & Field representatives (both DOE and contractor)
- Developed new Model and Criteria for occurrence reporting – Emergency & SC 1-4 w/graded approach for resulting actions

## OCCURRENCE REPORTING MODEL

Classification	Timelines <sup>1</sup>	Verbal Notification	Investigation	Problem Analysis	Corrective Actions	Report Approvals	Corrective Action Closures	Corrective Action Effectiveness	Lessons Learned <sup>3</sup>
<b>Emergencies</b>	Operational Emergencies and Emergencies are defined by DOE O 151.1A. The initial notifications are defined by DOE O 151.1A. The Significance Category in the written reports is coded as E (for Emergency) and the occurrence is processed using the highest Significance Category of the appropriate reporting criteria.								
<b>Significance Category 1 Reportable Occurrence</b>	Cat: NLT 2 hrs VN: NLT 2 hrs WN: COB next business day not to exceed 80 hrs UR: As needed FR: 45 days	DOE Field Office & DOE Headquarters	Team with Trained Investigator Lead	Root Cause Determined	Remedy Problem, Prevent Recurrence, & Preclude Similar Problems	DOE Field Office & DOE Headquarters Approval	Contractor Document & Independently Verify	Contractor Assess Effectiveness to Prevent Recurrence	Enter into DOE LL Database & Coverage in OE Summary. DOE Consider Accident Investigation
<b>Significance Category 2R. Includes Recurring Category 1, 2, 3, and/or 4 Reportable Occurrences</b>	Cat: NLT 2 hrs VN: NLT 2 hrs WN: COB next business day UR: As needed FR: 45 days	DOE Field Office (DOE HQ at Field Office Discretion)	Trained Investigator	Root Cause Determined	Remedy Problem, Prevent Recurrence, & Preclude Similar Problems	DOE Field Office Approval	Contractor Document & Independently Verify	Contractor Assess Effectiveness to Prevent Recurrence	Enter into DOE LL Database & Optional Coverage in OE Summary
<b>Significance Category 2 Single Reportable Occurrence</b>	Cat: NLT 2 hrs VN: NLT 2 hrs WN: COB next business day UR: As needed FR: 45 days	DOE Field Office (DOE HQ at Field Office Discretion) <sup>2</sup>	Trained Investigator	Cause Determined (Level C)	Remedy Problem & Prevent Recurrence	DOE Field Office Approval	Document & Verify by Sampling	Optional	Enter into DOE LL Database & Optional Coverage in OE Summary
<b>Significance Category 3 Reportable Occurrence</b>	Cat: NLT 2 hrs VN: COB next business day WN: NLT 5 business days FR: 45 days	DOE Field Office (DOE HQ) <sup>2</sup>	Conduct of Operations Critique	Cause Determined (Level C)	Remedy Problem	Contractor Approval	Document (Verification Optional)	Optional	Per Site Specific Process
<b>Significance Category 4 Reportable Occurrence</b>	Cat: NLT 2 hrs VN: COB next business day Short Form Report: NLT 5 business days	(DOE HQ) <sup>2</sup>	No reporting of causal analysis or lessons learned in ORPS. Corrective actions are optional.						

<sup>1</sup> Cat: Categorization Time from Discovery Date and Time  
VN: Verbal Notification from Categorization Date and Time  
WN: Written Notification from Categorization Date and Time  
UR: Update Report  
FR: Final Report from Categorization Date and Time

NLT: No Later Than  
COB: Close of Business

<sup>3</sup> LL: Lessons Learned  
OE: Operating Experience

<sup>2</sup> Specific Significance Category 2, 3, and 4 Criteria also require Verbal Notification to the HQ EOC.

## Changes to ORPS Criteria

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- Reduced “nuisance reporting” – e.g., contamination thresholds raised; eliminated value-based, procedure violations with limited safety significance, and safeguards & security
- Updated reporting to current regulations
- Better balanced risk significance between groups to optimize graded approach
- Added some new criteria – serious injuries; hazardous energy control; reporting trends
- Added flag for “Potentially Higher Significance”
- Developed new Causal Analysis Tree, incorporating ISM

## Back-fit Analysis

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- Performed Back-fit Analysis to quantify changes & identify issues.
  - 20 sites responded, representing all PSOs
  - Average response indicated 25% less reporting required
  - Expected Reporting Breakdown under Proposed Criteria –
    - SC 1 - 3%; SC 2 - 16%; SC 3 - 36%;
    - SC 4 - 46% (Short Form)
- Now resolving issues identified in Back-fit Analysis
- Developing Implementation Process

## Path Forward

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- Briefings – Stakeholder, EFCOG, DNFSB
- Documents
  - Revise Order and Manual
  - Create Guidance Documents
- Training – Develop tools, CBT, Training Sessions
- Software – Define Business Rules, Develop Software, Alpha/Beta Test, Document
- Implement across DOE Complex – Spring 2003