Categorizing Recurring Events and Conditions
DOE O 232.2 Admin Chg. 1 - Occurrence Reporting and Processing of Operations Information

The following references to reporting recurring events and conditions are included in DOE O 232.2 Admin Chg. 1, Occurrence Reporting and Processing of Operations Information:

➢ Section 4, Requirements;
h. Identifying Safety Performance Trends and Recurring Occurrences. Periodic trend analysis and reviews to identify potential recurring occurrences must be accomplished in accordance with the Occurrence Reporting Model (Attachment 4).

➢ Section 5, Responsibilities
g. Facility Managers
(3) Review and assess reportable occurrence information for their facilities to assess generic implications and corrective action implementation, closeout, and effectiveness, as required; to identify and report recurring events, and to ensure that facility personnel involved in these operations perform the related functions.

➢ Attachment 1, Contractor Requirements Document
1. General Requirements
f. Identifying Safety Performance Trends and Recurring Occurrences; Periodic trend analysis and reviews to identify potential recurring occurrences must be accomplished in accordance with the Occurrence Reporting Model (Attachment 4).

➢ Attachment 2, Occurrence Reporting Criteria DOE O 232.2
1. Significance Categories
g. Significance Category R: Recurring occurrences are those identified as recurring, either directly or through periodic analysis of occurrences and other non-reportable events.

➢ Attachment 4, Occurrence Reporting Model
10. Identifying Safety Performance Trends and Recurring Occurrences.
a. Ongoing analyses, considering all reportable and non-reportable occurrences and events, must be performed to look for trends and determine if occurrences are recurring. At a minimum, these analyses must be performed quarterly and must consider at least the previous 12-months. The analysis results must be reported to line management. Trending of ORPS data may be conducted as part of integrated analyses within the organization's issue management or contractor assurance systems.

b. Recurring occurrences and events must be categorized and reported collectively as a Significance Category R occurrence no matter what the previous individual categorizations were, even if they were previously non-reportable. Previous individual Occurrence Report Numbers associated with the recurring issue must be provided in the Similar Occurrence Report Number‖ field. Significance Category R reports must include the results of subsequent analyses and corrective actions, as described in paragraph 8 of this attachment.

➢ Attachment 6, Definitions
21. OCCURRENCE. One or more (i.e., recurring) events or conditions that adversely affect, or may adversely affect, DOE (including NNSA) or contractor personnel, the public, property, the environment, or the DOE mission. Events or conditions meeting the criteria thresholds identified in this Order or determined to be recurring through performance analysis are occurrences.

Recurring Event & Conditions Criteria Worksheet

DOE O 232.2 Admin Chg. 1, requires that newly discovered events, conditions, and increasing trends be reviewed for potential categorization as a recurring event. Areas of stable performance should also be reviewed periodically to determine if the current level represents an acceptable risk, as determined by management. The analysis must include both reportable AND non-reportable events and conditions.

The criterion below are useful in determining if an emerging or established trend has met the threshold for reporting as a recurring event. Each question should be followed with discussion supporting the answer. This worksheet can also be used to communicate the logic associated with that decision. See Attachment A: Recurring Event Determination Flow Chart, to aid in following the process flow.

Ultimately the determination of whether a recurring event is warranted is a management decision. The answers in this worksheet can be used to present the logic of that determination to management and to external customers (DOE).

1. The set of events or conditions are similar in nature. This may be based on common characteristics, (e.g., similar causes, reporting criteria, etc.)

   AND

2. a. There is a worsening trend

   OR

   b. The rate of events or conditions or level of performance is stable but has been determined to be at an unacceptable level.

If the answer to any of the above questions is no, then no Recurring Event/Condition report is warranted.
*If the answer to 1. **AND** 2.a **OR** 2.b are true, **then** continue to question 3.*
*If any part of question 3 is true, **then consider submitting** a Recurring (R) report.*

3. a. The events or conditions represent:
       1) An unacceptable near term risk of a serious event/consequence (e.g., employee injury, environmental hazard, equipment damage) **OR**
       2) An increased probability that a more significant event or consequence will occur (e.g., nuclear safety violation, employee injury, environmental hazard, equipment damage).

   OR

b. Collectively the events or conditions may indicate a systemic or programmatic issue that represents:
1) an unacceptable risk of a serious event/consequence, **OR**
2) an increased probability that a more significant event or consequence will occur, OR
3) An unacceptable frequency that has a serious impact on facility operations, budget, or schedule.

OR

c. The events or conditions are indicative of a failure of compensatory, corrective, or preventative actions from previous events that, if left uncorrected, could lead to an additional similar or more significant event.

Trend:	A pattern of events, incidents, items, activities, processes, or causes reflected by applicable performance data.
Worsening Trend:	An unacceptable or undesirable pattern (i.e., events, incidents, items, activities, processes, or causes).