



Department of Energy

Washington, DC 20585

January 16, 2003

MEMORANDUM FOR: Distribution

FROM: S. David Stadler, PhD
Deputy Assistant Secretary
Office of Corporate Safety Assurance

SUBJECT: Department of Energy Corrective Action Management Program
First Quarter Report, Fiscal Year 2003

Attached is the Department of Energy (DOE) report on the status of the Corrective Action Management Program (CAMP) for the first quarter of fiscal year 2003. The report summarizes Corrective Action Plans and their associated corrective actions developed and tracked by line managers to effectively address and resolve Office of Independent Oversight and Performance Assurance environment, safety, and health and emergency management findings; Type A Accident Investigation Judgments of Need; and other special assessment findings directed by the Secretary or Deputy Secretary to be addressed in the CAMP. The corrective action status is documented and tracked in the Department's Corrective Action Tracking System.

We are continuously reviewing and revising the overall format of this report in conjunction with the DOE Corrective Action Management (CAM) Team to ensure that the most accurate portrayal of the Department's CAMP status is provided. If you have any questions or comments pertaining to this report or recommended changes to the report format, please contact me at (202) 586-0307, or your staff may contact Steve Petersen at (301) 903-4022. Recommended changes may also be communicated to your Corrective Action Management (CAM) Team representative.

A handwritten signature in black ink, appearing to read "S. David Stadler".

S. David Stadler, PhD
Deputy Assistant Secretary
Office of Corporate Safety Assurance
Environment, Safety and Health

Attachment



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Department of Energy
Corrective Action Management Program
Quarterly Report, First Quarter FY 2003

Final Distribution

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***Department of Energy
Corrective Action Management Program
Quarterly Report, First Quarter FY 2003***

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Department of Energy
Office of Corporate Safety Assurance

Corrective Action Management Program
First Quarter Report-Fiscal Year 2003

January 2003



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Department of Energy Corrective Action Management Program

First Quarter Report, Fiscal Year 2003

Summary

Department line managers must address, track, report, complete and verify closure of:

- (1) environment, safety, and health (ES&H) and emergency management findings identified by the Office of Independent Oversight and Performance Assurance
- (2) Type A Accident Investigation Judgments of Need
- (3) Findings identified during the conduct of special focused assessment initiatives directed the Secretary or Deputy Secretary to be corrected in accordance with the provisions of the DOE Corrective Action Management Program (CAMP).

For the purpose of this report, the term findings will also apply to Judgments of Need. A finding specifies conditions identified during the conduct of an oversight assessment that could have an adverse impact on the environment, the safety or health of site workers or the public, and/or the DOE mission. These findings will be validated and clearly addressed in the formal assessment report provided to line management.

Line managers must develop and implement a corrective action plan (CAP) that describes all actions to effectively resolve each finding. The final CAP is to be approved by the Cognizant Secretarial Officer (CSO) or delegated designee within 60 days from issuance of the formal assessment report. Department line managers must also complete all corrective actions within the planned dates as outlined in the approved CAP, and report the status of these actions in the Department's Corrective Action Tracking System (CATS) database. The planned CAP completion date is the date that all corrective actions listed in the CAP are to be completed.

This report provides the first quarter, fiscal year 2003 summary status of CAPs and their associated corrective actions as of December 31, 2002. The Department-wide CAMP program status is depicted, followed by the status for the Under Secretaries and their assigned Cognizant Secretarial Officers.

The report outlines the status of CAPs pending approval by the CSO (on schedule and overdue) and status of CAPs approved by the CSO with open corrective actions (on schedule and overdue from the planned CAP completion date). **One CAP has not been approved by the CSO and is explained on page 2.** There was one late CAP reported last quarter. **Three CAPs approved by the CSO have one or more corrective actions that have not been completed within the planned CAP completion date and are OVERDUE.** One CAP was reported overdue the planned completion date last quarter.

This report also outlines the number of corrective actions completed this quarter, total completed since inception of the Corrective Action Management Program, those on schedule to be completed within the CAP completion date, and late corrective actions not completed within the date listed in the CAP. **There are a total of 19 late corrective actions.** There were 43 late corrective actions reported last quarter. There were 139 corrective actions completed this quarter. A total of 57 corrective actions were completed last quarter.

Since inception of the Corrective Action Management Program in response to the DOE Implementation Plan to Defense Nuclear Facilities Safety Board Recommendation 98-1, *DOE Plan to Address and Resolve Safety Issues Identified by Internal Independent Oversight* on March 10, 1999, a total of 103 appraisal reports have been tracked within the CATS identifying 723 findings. Line managers developed and implemented CAPs in response to these appraisal reports, which include a total of 4,031 corrective actions to resolve the identified findings.

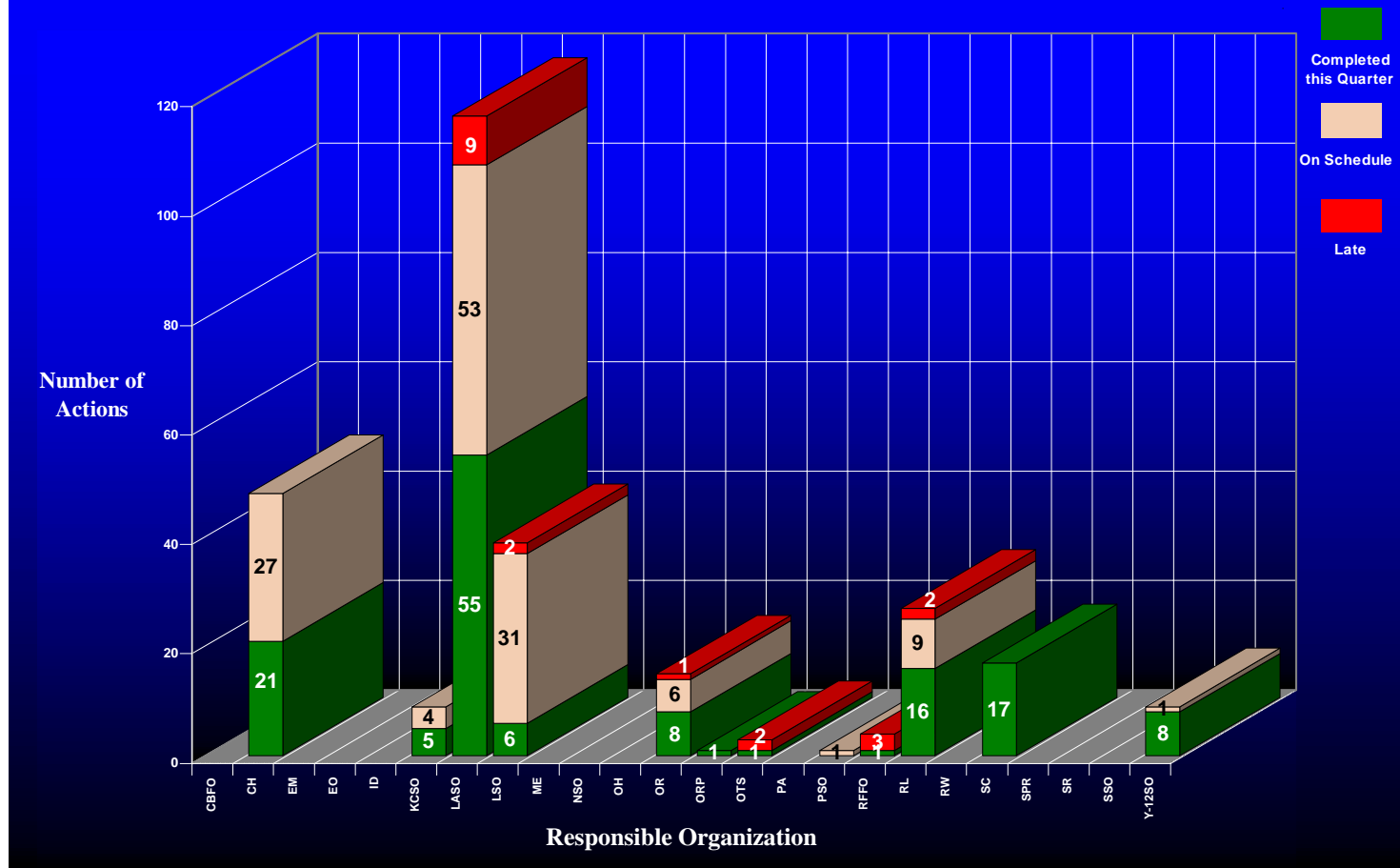
This report is available on the Internet by accessing the Integrated Safety Management Resource Center web site on the Environment, Safety and Health Information Portal at <http://tis.eh.doe.gov/portal/home.htm> or the CATS web site at <http://tis.eh.doe.gov/portal/catsentry.html>. The web sites provide read only access to the CATS database.

Department of Energy Summary

New Assessment Reports this Quarter	2*
Corrective Action Plans (CAPs) Pending Approval	
CAPs pending approval - Approval > 60 days OVERDUE	0
CAPs pending approval - Approval <= 60 days OVERDUE	*
CAPs pending approval - Approval on schedule	1
Total CAPs pending approval	2
Approved Corrective Action Plans (CAPs)	
Approved CAPs - with actions open > 90 days OVERDUE (past planned completion date)	0
Approved CAPs - with actions open <= 90 days OVERDUE (past planned completion date)	3
Approved CAPs - on schedule	15
Total approved CAPs still open	18
Approved CAPs - Completed this Quarter	3

* The OA Inspection of Environment, Safety, and Health and Emergency Management at the Waste Isolation Pilot Plant was submitted to Carlsbad Field Office (CBFO) on 10/15/2002. The CBFO submitted the final CAP to OA on 11/26/2002.

Status of Corrective Actions by Area/Office Department of Energy



Corrective Action Status	CBFO	CH	EM ¹	EO	ID	KCSO	LASO	LSO	ME	NSO	OH	OR	ORP	OTS	PA	PSO	RFFO	RL	RW	SC ²	SPR	SR	SSO	Y-12SO	TOTALS
Completed 1st Qtr, FY03	0	21	0	0	0	5	55	6	0	0	0	8	1	1	0	0	1	16	0	17	0	0	0	8	139
Total Completed	14	116	67	70	491	7	425	128	8	153	229	810	38	84	33	46	116	149	4	335	9	87	156	304	3880
On Schedule	0	27	0	0	0	4	53	31	0	0	0	6	0	0	0	1	0	9	0	0	0	0	0	1	132
Late	0	0	0	0	0	0	9	2	0	0	0	1	0	2	0	0	3	2	0	0	0	0	0	0	19
Totals	14	143	67	70	491	11	488	161	8	153	229	817	38	86	33	47	119	160	4	335	9	87	156	305	4031

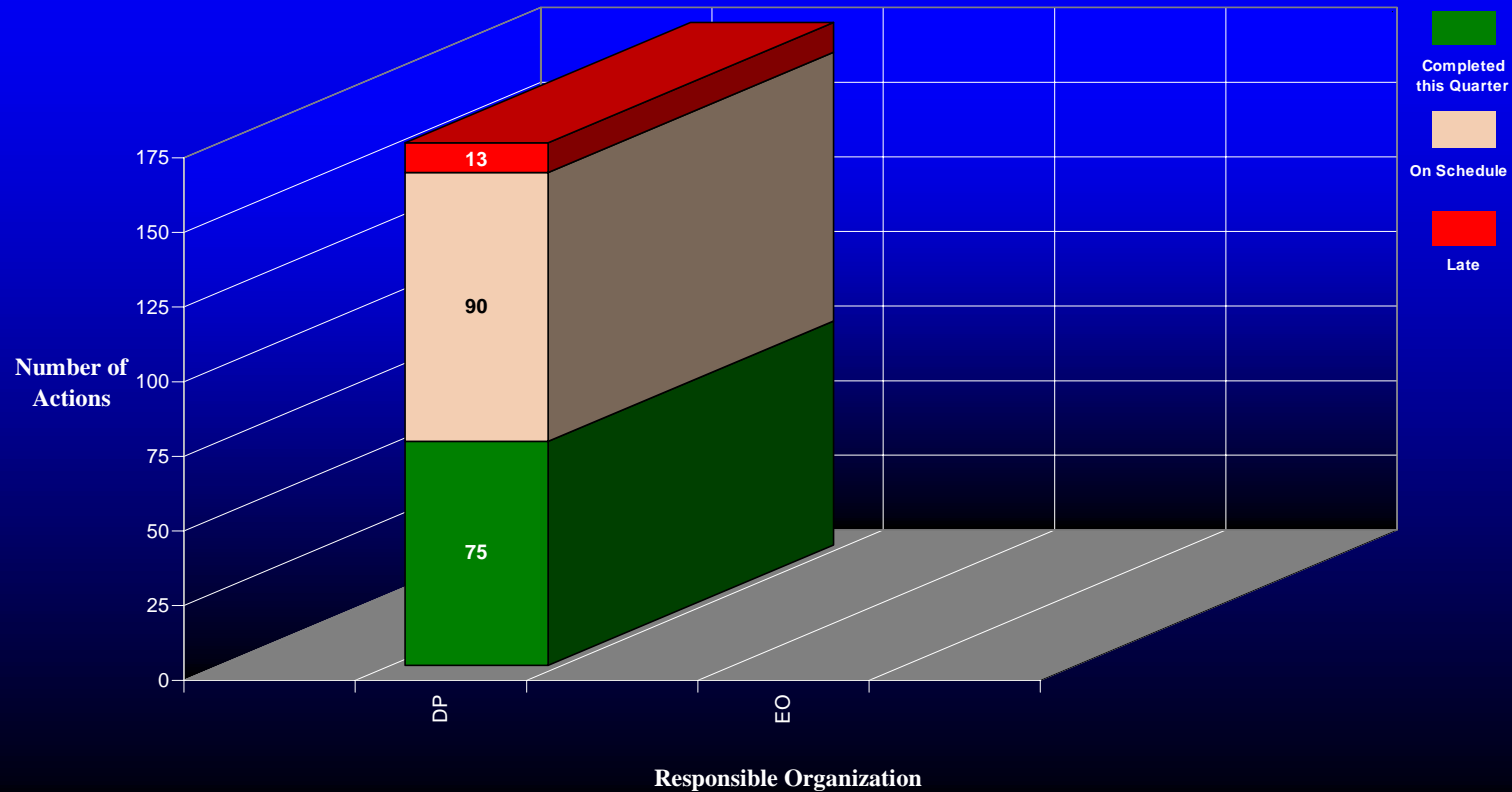
¹ EM includes 3/1/96 Oversight Review of DOE-wide Quality Assurance Program of Suspect/Counterfeit Parts and 8/1/95 Type A Accident Investigation for the Security Rappel Tower Facility at SR.
² SC includes independent oversight appraisals of Brookhaven and Fermi National Accelerator Laboratories

**Acting Administrator,
National Nuclear Security Administration**

Acting Administrator, National Nuclear Security Administration Summary

New Assessment Reports this Quarter	1
Corrective Action Plans (CAPs) Pending Approval	
CAPs pending approval - Approval > 60 days OVERDUE	0
CAPs pending approval - Approval <= 60 days OVERDUE	0
CAPs pending approval - Approval on schedule	1
Total CAPs pending approval	1
Approved Corrective Action Plans (CAPs)	
Approved CAPs - with actions open > 90 days OVERDUE (past planned completion date)	0
Approved CAPs - with actions open <= 90 days OVERDUE (past planned completion date)	2
Approved CAPs - on schedule	5
Total approved CAPs still open	7
Approved CAPs - Completed this Quarter	0

Status of Corrective Actions for the Acting Administrator, National Nuclear Security Administration



Corrective Action Status	DP	EO*	TOTALS
Completed 1 st Qtr. FY03	75	0	75
Total Completed	1304	70	1374
On Schedule	90	0	90
Late	13	0	13
Totals	1407	70	1477

* EO is 08/01/98 Independent Oversight Evaluation of Emergency Management Programs across the DOE Complex.

Deputy Administrator for Defense Programs

Late Corrective Actions

Los Alamos National Laboratory

Report Number: LANL 04/14/2000-001-R-EH2

Report Title: Field Report Nuclear Criticality Safety Review for Los Alamos National Laboratory Technical Area-55

Number of Late Corrective Actions: 6

Report Number: LANL 07/24/2000-0002-R-AIA

Report Title: Type A Accident Investigation of the March 16, 2000 Plutonium-238 Multiple Intake Event at the Plutonium Facility, LANL, New Mexico

Number of Late Corrective Actions: 3

Office of Transportation Safety

Report Number: OTS-06/01/1999-0001-R-AIA

Report Title: Type A Accident Investigation Board Report of the April 19, 1999 Special Agent Fatality at the Southeast Courier Section Oak Ridge, Tennessee

Number of Late Corrective Actions: 2

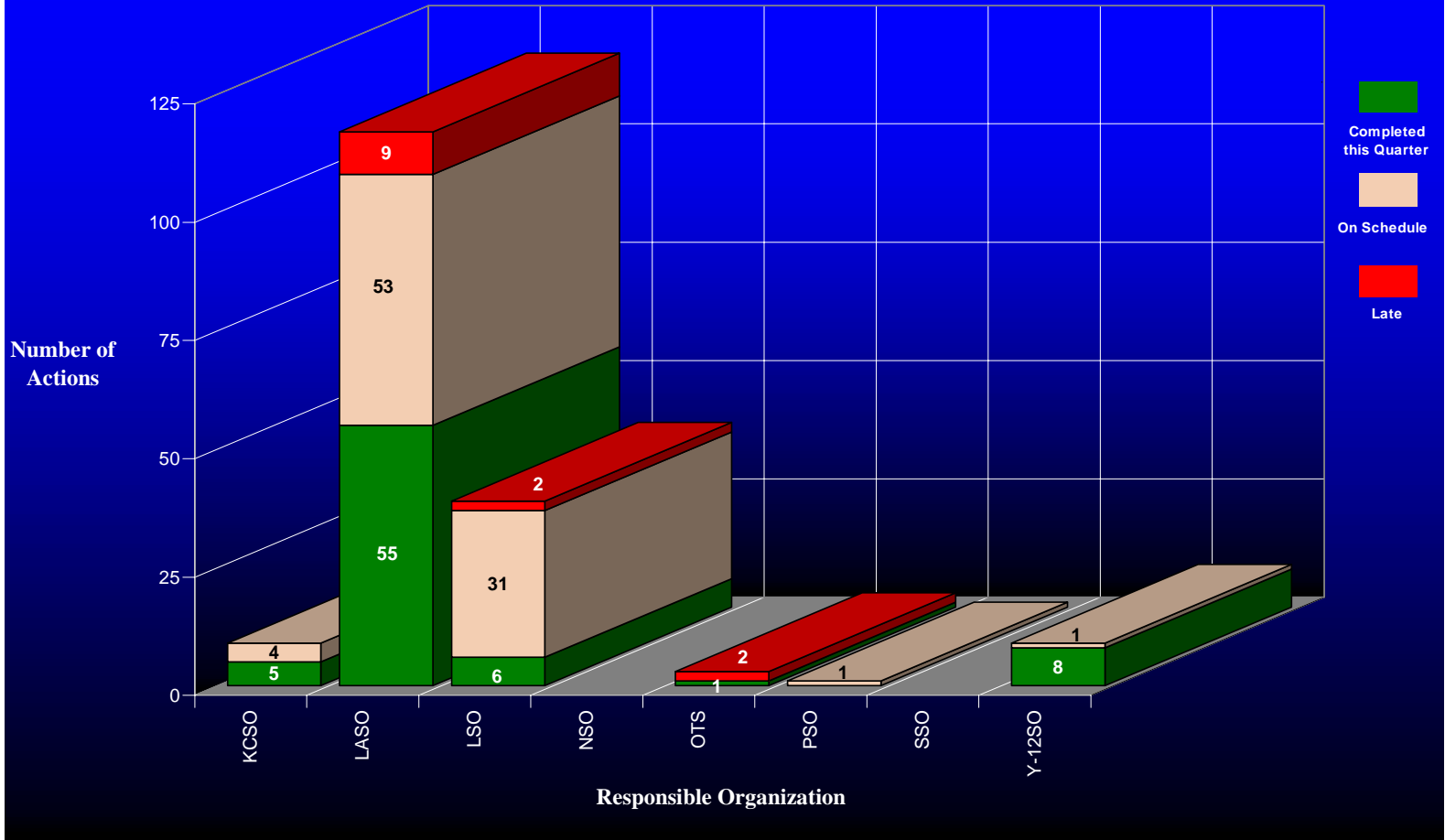
Livermore Site Office

Report Number: LLNL-08/23/2002-I0002-0003-A

Report Title: Comprehensive Inspection of Environment, Safety, and Health Management and Emergency Management at the Lawrence Livermore National Laboratory

Number of Late Corrective Actions: 2

Status of Corrective Actions Deputy Administrator for Defense Programs



DP									
Corrective Action Status	KCSO	LASO	LSO	NSO	OTS	PSO	SSO	Y-12SO	TOTALS
Completed 1 st Qtr, FY03	5	55	6	0	1	0	0	8	75
Total Completed	7	426	128	153	84	46	156	304	1304
On Schedule	4	53	31	0	0	1	0	1	90
Late	0	9	2	0	2	0	0	0	13
Totals	11	488	161	153	86	47	156	305	1407

Status of Corrective Action Plans

Deputy Administrator for Defense Programs

1. New Assessment Reports this Quarter

Report Number	NTS-11/21/2002-0001-R-ES&H-XM
Report Title	Office of Independent Oversight and Performance Assurance Inspection of Environment, Safety and Health and Emergency Management at the Nevada Test Site
Final Report Date	11/21/2002
Office/Facility Reviewed	Nevada Test Site
CAP Approval Due Date	01/20/2003
Approval Status	Pending Approval
CAP Approval Due Date	10/22/2002
Approval Status	Pending Approval

2. Corrective Action Plans Pending Approval - OVERDUE None

3. Corrective Action Plans Pending Approval - On Schedule

Report Number	NTS-11/21/2002-0001-R-ES&H-XM
Report Title	Office of Independent Oversight and Performance Assurance

Final Report Date	Inspection of Environment, Safety and Health and Emergency Management at the Nevada Test Site 11/21/2002
Office/Facility Reviewed	Nevada Test Site
CAP Approval Due Date	01/20/2003

4. Approved Corrective Actions Plans - Completion OVERDUE

Report Number	LANL-04/14/2000-0001-R-EH2
Report Title	Field Report - Nuclear Criticality Safety Review for Los Alamos National Laboratory Technical Area-55
Office/Facility Reviewed	Los Alamos National Laboratory
CAP Completion Due Date	10/15/2002
Line Management Comments	12/31/2002 - NAM - Work has been completed on the AL Criticality Safety Oversight Guidance document [LANL-04/14/2000-I0001-0001-A]. This document is currently being validated prior to closure of this action. With the successful completion of this action, actions 0002-A through 0005-A will also be complete. One action, 0007-A will remain open under this CAP.

Report Number	OTS-06/01/1999-0001-R-AIA
Report Title	Type A Accident Investigation Board Report of the April 19, 1999 Special Agent Fatality at the Southeast Courier Section Oak Ridge, Tennes- see
Office/Facility Reviewed	Office of Transportation Safeguards
CAP Completion Due Date	10/31/2002
Line Management Comments	The remaining 2 actions (OTS-06/01/1999-I0002-0001-A and

OTS-06/01/1999-I0008-0002-A) are
Office of Oversight reviews of
medical standards and programs that
will be completed within 6 months
after AL completes their actions. AL
completed all actions on 09/06/2002.

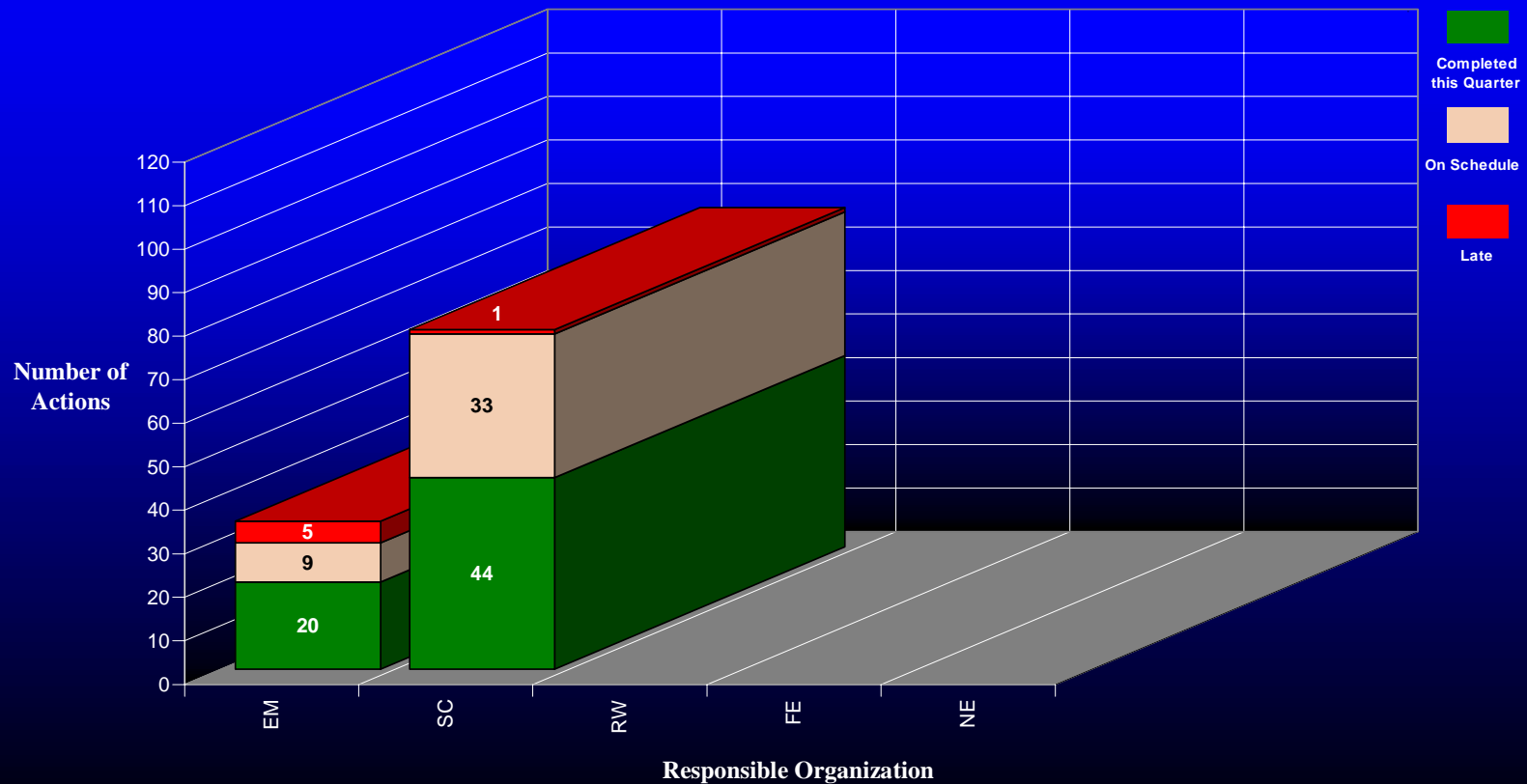
5. **Approved Corrective Action Plans - Completed this Quarter (all
corrective actions in CAP completed this quarter)**
None

Under Secretary for Energy, Science and Environment

Under Secretary for Energy, Science and Environment Summary

New Assessment Reports this Quarter	1
Corrective Action Plans (CAPs) Pending Approval	
CAPs pending approval - Approval > 60 days OVERDUE	0
CAPs pending approval - Approval <= 60 days OVERDUE	See * at Page 2
CAPs pending approval - Approval on schedule	0
Total CAPs pending approval	
	1
Approved Corrective Action Plans (CAPs)	
Approved CAPs - with actions open > 90 days OVERDUE (past planned completion date)	0
Approved CAPs - with actions open <= 90 days OVERDUE (past planned completion date)	1
Approved CAPs - on schedule	10
Total approved CAPs still open	
	11
Approved CAPs - Completed this Quarter	3

Status of Corrective Actions for the Under Secretary for Energy, Science and Environment



Corrective Action Status	EM	SC	RW	FE	NE	TOTALS
Completed 1 st Qtr. FY03	20	44	0	0	0	64
Total Completed	1845	579	4	9	28	2465
On Schedule	9	33	0	0	0	42
Late	5	1	0	0	0	6
Totals	1859	613	4	9	28	2513

Assistant Secretary for Environmental Management

Late Corrective Actions

Richland Operations Office

Report Number: HS-03/27/2002-0002-R-ES&H

Report Title: Inspection of Environment, Safety and Health Management at the Hanford Site

Number of Late Corrective Actions: 2

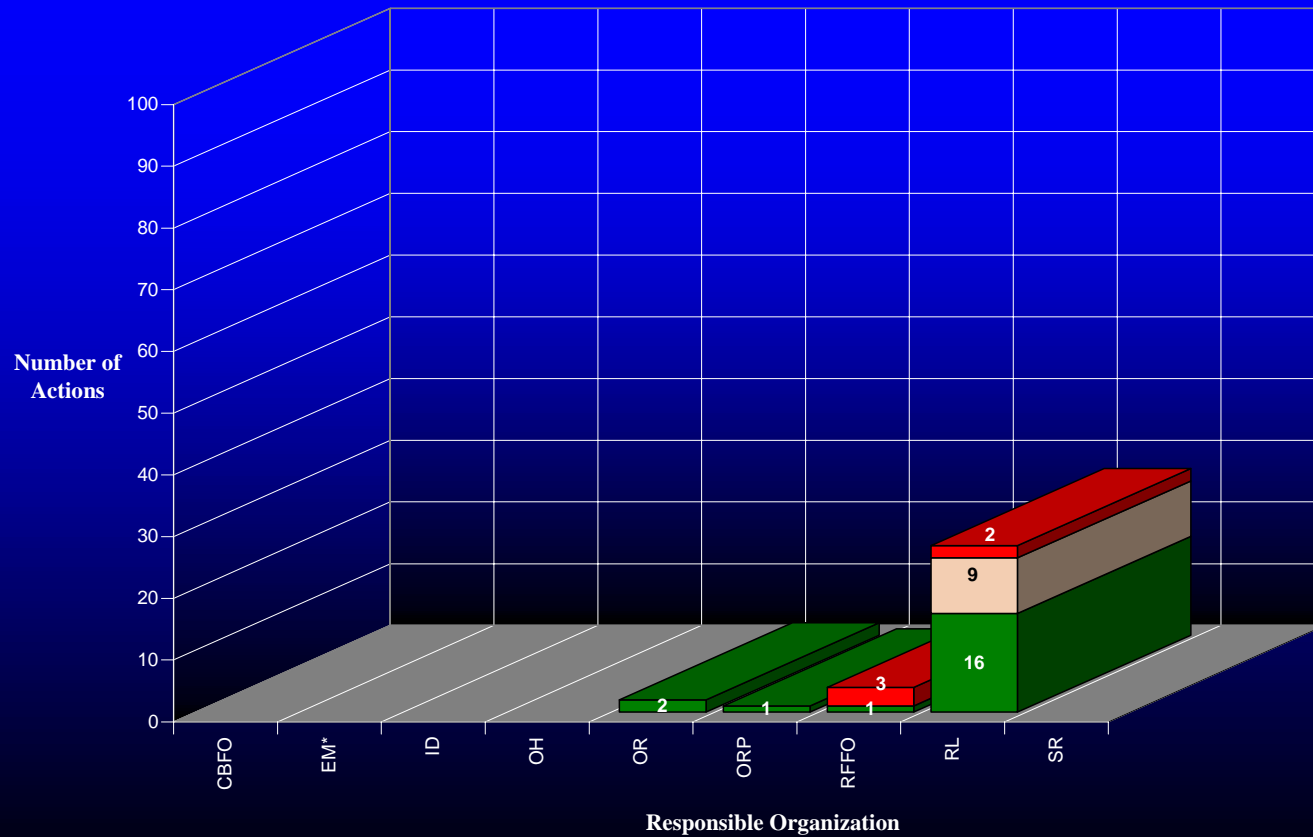
Rocky Flats Environmental Technology Site

Report Number: RFETS-05/29/2001-0001-R-EH2

Report Title: Special Review of the Rocky Flats Closure Project Site

Number of Late Corrective Actions: 3

Status of Corrective Actions Assistant Secretary for Environmental Management



EM										
Corrective Action Status	CBFO	EM*	ID	OH	OR	ORP	RFFO	RL	SR	TOTALS
Completed 1 st Qtr, FY03	0	0	0	0	2	1	1	16	0	20
Total Completed	14	67	491	229	691	38	116	112	87	1845
On Schedule	0	0	0	0	0	0	0	9	0	9
Late	0	0	0	0	0	0	3	2	0	5
Totals	14	67	491	229	691	38	119	123	87	1859

* EM includes 3/1/96 Oversight Review of DOE-wide Quality Assurance Program of Suspect/Counterfeit Parts and 8/1/95 Type A Accident Investigation for the Security Rappel Tower Facility at SR.

Status of Corrective Action Plans

Assistant Secretary for Environmental Management

1. **New Assessment Reports this Quarter**
2. **Corrective Action Plans Pending Approval - OVERDUE More Than 60 Days (not approved within 120 days of report issuance)**
3. **Corrective Action Plans Pending Approval - On Schedule None**
4. **Approved Corrective Actions Plans - Completion OVERDUE**

Report Number	RFETS-05/29/2001-0001-R-EH2
Report Title	Special Review of the Rocky Flats Closure Project Site
Office/Facility Reviewed	Rocky Flats Environmental Technology Site
CAP Completion Due Date	12/31/2002

5. **Approved Corrective Action Plans - Completed this Quarter (all corrective actions in CAP completed this quarter)**

Report Number	ORP-08/13/2001-0001-R-EH2
Report Title	Focused Review of the River Protection Project
Final Report Date	08/13/2001
Office/Facility Reviewed	Office of River Protection
CAP Completion Date	11/04/2002

Report Number	ETTP-10/11/2000-0001-R-EH2
Report Title	Independent Investigation of the East Tennessee Technology Park Volume 2: Current Environment, Safety, and Health Programs and Issues
Final Report Date	10/11/2000
Office/Facility Reviewed	East Tennessee Technology Park
CAP Completion Date	12/19/2002

Director, Office of Science Late Corrective Actions

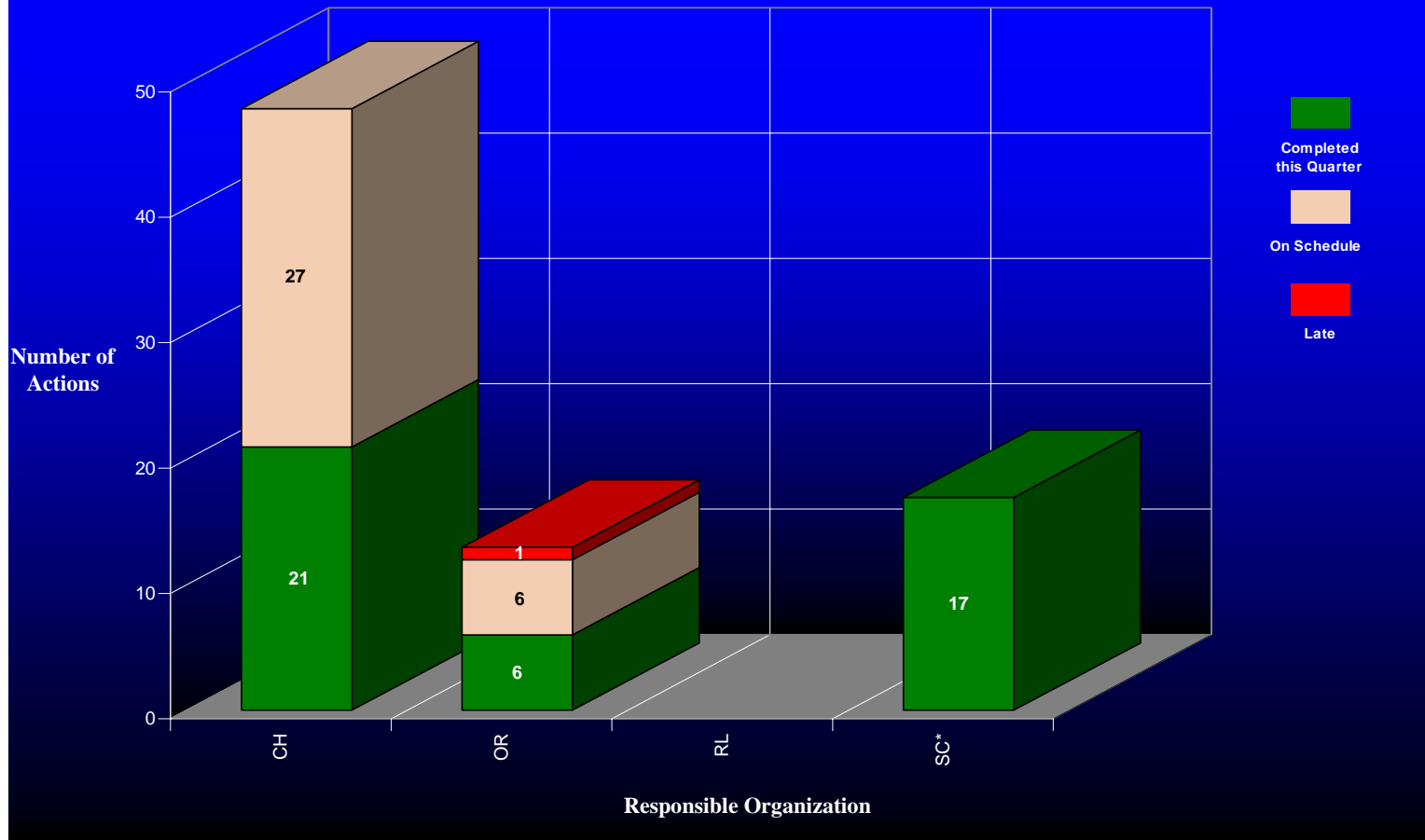
Oak Ridge National Laboratory

Report Number: ORNL-10/01/2001-0002-R-EH2

Report Title: Focused Safety Management Evaluation of the Oak Ridge National Laboratory

Number of Late Corrective Actions: 1

Status of Corrective Actions Director, Office of Science



SC					
Corrective Action Status	CH	OR	RL	SC*	TOTALS
Completed 1 st Qtr. FY03	21	6	0	17	44
Total Completed	88	119	37	335	579
On Schedule	27	6	0	0	33
Late	0	1	0	0	1
Totals	115	126	37	335	613

* SC includes independent oversight appraisals of Brookhaven and Fermi National Accelerator Laboratories

Status of Corrective Action Plans

Director, Office of Science

1. **New Assessment Reports this Quarter**
None
2. **Corrective Action Plans Pending Approval - OVERDUE**
None
3. **Corrective Action Plans Pending Approval - On Schedule**
None
4. **Approved Corrective Action Plans - Completion OVERDUE**
None

5. **Approved Corrective Action Plans – Completed this Quarter**

Report Number	FNAL-08/14/2001-0001-R-AIA
Report Title	Type A Accident Investigation of the June 21, 2001, Drilling Rig Operator Injury at the Fermi National Accelerator Laboratory
Final Report Date	08/14/2001
Office/Facility Reviewed	Fermi National Accelerator Laboratory
CAP Completion Date	12/20/2002

Abbreviations Used in This Report

CAMP	Corrective Action Management Program	NTS	Nevada Test Site
CAP	Corrective Action Plan	OH	Ohio Field Office
CATS	Corrective Action Tracking System	OR	Oak Ridge Operations Office
CBFO	Carlsbad Field Office	ORP	Office of River Protection
CH	Chicago Operations Office	OTS	Office of Transportation Safeguards
CSO	Cognizant Secretarial Officer	PA	Power Administrations
DP	Deputy Administrator for Defense Programs	PP	Pantex Plant
EM	Assistant Secretary for Environmental Management	PSO	Pantex Site Office
EO	Office of Emergency Operations	RFFO	Rocky Flats Field Office
FE	Assistant Secretary for Fossil Energy	RL	Richland Operations Office
ID	Idaho Operations Office	RW	Office of Civilian Radioactive Waste Management
KCP	Kansas City Plant	SC	Office of Science
KCSO	Kansas City Site Office	SNL	Sandia National Laboratory
LANL	Los Alamos National Lab	SO	Office of Security
LASO	Los Alamos Site Office	SPR	Strategic Petroleum Reserve
LLNL	Lawrence Livermore National Laboratory	SR	Savannah River Operations Office
LSO	Livermore Site Office	SRSO	Savannah River Site Office
ME	Office of Management, Budget, and Evaluation	SSO	Sandia Site Office
NE	Office of Nuclear Energy, Science and Technology	XM	Emergency Management
NSO	Nevada Site Office	Y-12	Y-12 National Security Complex
		Y-12S0	Y-12 Site Office