



Department of Energy

Washington, DC 20585

October 10, 2002

MEMORANDUM FOR: Distribution

FROM: S. David Stadler, EH-2

SUBJECT: Department of Energy Corrective Action Management Program
Fourth Quarter Report, Fiscal Year 2002

Attached is the Department of Energy (DOE) report on the status of the Corrective Action Management Program (CAMP) for the fourth quarter of fiscal year 2002. The report summarizes Corrective Action Plans and their associated corrective actions developed and tracked by line managers to effectively address and resolve Independent Oversight 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 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



***Department of Energy
Corrective Action Management Program
Quarterly Report, Fourth Quarter FY 2002***

Final Distribution

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Senior Advisor, National Nuclear Security Administration, Environment, Safety and Health, NA-3.6

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*Department of Energy
Corrective Action Management Program
Quarterly Report, Fourth Quarter FY 2002*

Final Distribution Continued

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Manager, Office of River Protection (RIVPRO)

Manager, Richland Operations Office (RL)

Director, Office of Safety, Health and Security, EM-5

Departmental Representative to DNFSB, Office of the Departmental Representative to the Defense Nuclear Facilities Safety Board, S-3.1

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Department of Energy
Office of Corporate Safety Assurance

Corrective Action Management Program
Fourth Quarter Report-Fiscal Year 2002

October 2002



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Department of Energy Corrective Action Management Program

Fourth Quarter Report, Fiscal Year 2002

Summary

As prescribed in DOE Order 414.1A, *Quality Assurance*, 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) Safety issues or findings identified during the conduct of special assessment initiatives directed to be corrected in accordance with the provisions of the DOE order by the Secretary or Deputy Secretary.

For the purpose of this report, the term findings will also apply to Judgments of Need and safety issues. 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 will 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 fourth quarter, fiscal year 2002 summary status of CAPs and their associated corrective actions as of September 30, 2002. The Department-wide 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 (overdue and on schedule) and status of CAPs approved by the CSO with open

corrective actions (overdue and on schedule with the planned CAP completion date). **One CAP has not been approved by the CSO within the 60-day requirement and is OVERDUE.** There were four late CAPs reported last quarter and a total of 13 late CAPs reported during FY 2002. **One CAP approved by the CSO has corrective actions that have not been completed within the planned CAP completion date and is OVERDUE.** A total of four CAPs were reported overdue from their planned completion dates during FY 2002.

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 43 late corrective actions.** There were 38 late corrective actions reported last quarter and a total of 133 late corrective actions reported during FY 2002. There were 57 corrective actions completed this quarter and a total of 465 corrective actions completed during FY 2002.

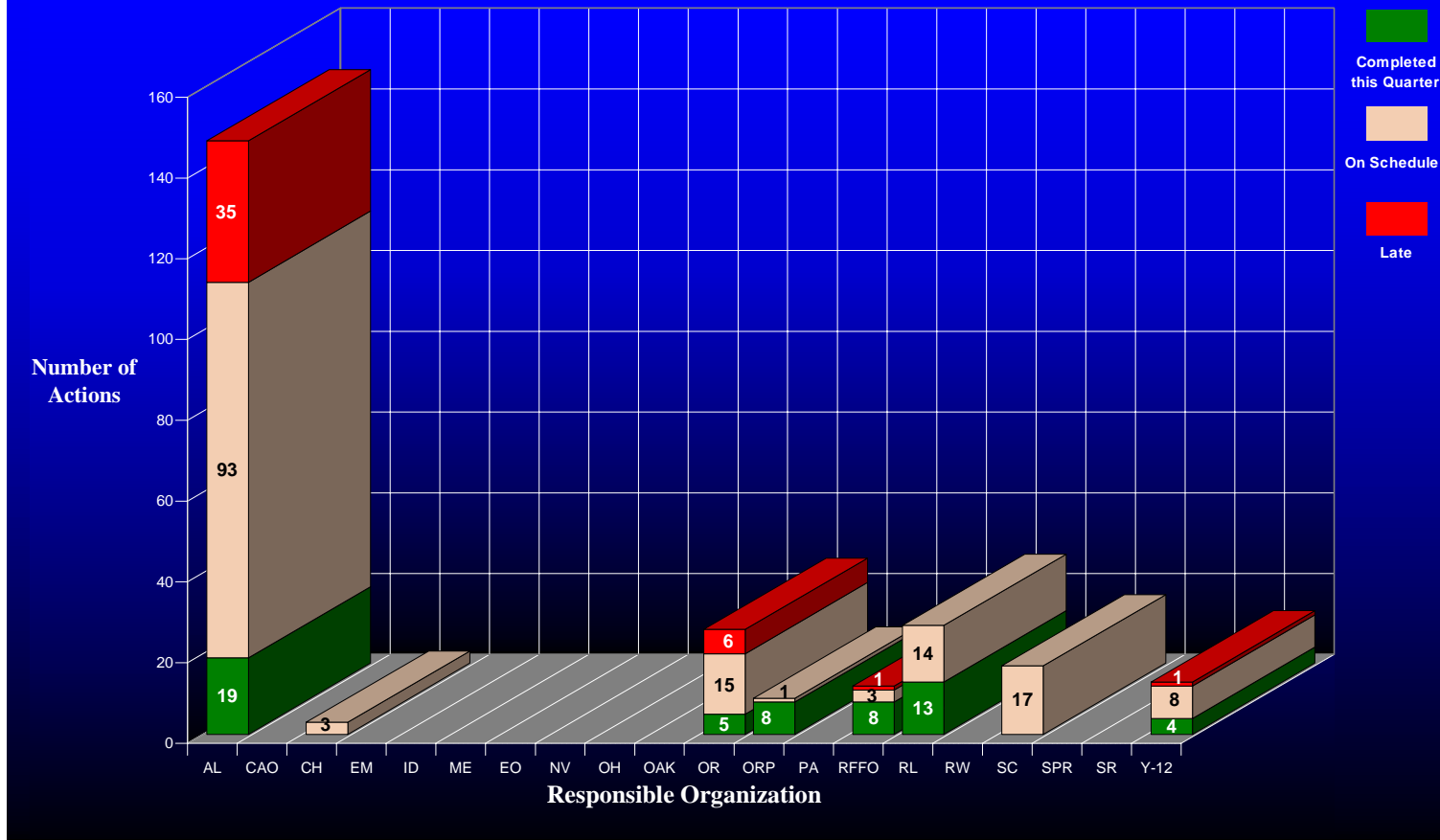
Since inception of the Corrective Action Management Program in response to the DOE Implementation Plan to Defense Nuclear Facilities Safety Board Recommendation 98-1, *DOE Plan to Address and Resolve Safety Issues Identified by Internal Independent Oversight* on March 10, 1999, a total of 103 appraisal reports have been tracked within the CATS identifying 710 findings. Line managers developed and implemented CAPs in response to these appraisal reports, which include a total of 3,865 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	1
Corrective Action Plans (CAPs) Pending Approval	
CAPs pending approval - Approval > 60 days OVERDUE	1
CAPs pending approval - Approval <= 60 days OVERDUE	0
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)	1
Approved CAPs - with actions open <= 90 days OVERDUE (past planned completion date)	0
Approved CAPs - on schedule	20
Total approved CAPs still open	21
Approved CAPs - Completed this Quarter	3

Status of Corrective Actions by Area/Office Department of Energy



Corrective Action Status	AL	CAO	CH	EM ¹	ID	ME	EO	NV	OH	OAK	OR	ORP	PA	RFFO	RL	RW	SC ²	SPR	SR	Y-12	TOTALS
Completed 4th Qtr, FY02	19	0	0	0	0	0	0	0	0	0	5	8	0	8	13	0	0	0	0	4	57
Total Completed	657	14	60	67	491	8	70	153	229	119	795	37	33	115	106	4	318	9	87	296	3668
On Schedule	93	0	3	0	0	0	0	0	0	0	15	1	0	3	14	0	17	0	0	8	154
Late	35	0	0	0	0	0	0	0	0	0	6	0	0	1	0	0	0	0	0	1	43
Totals	785	14	63	67	491	8	70	153	229	119	816	38	33	119	120	4	335	9	87	305	3865

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.

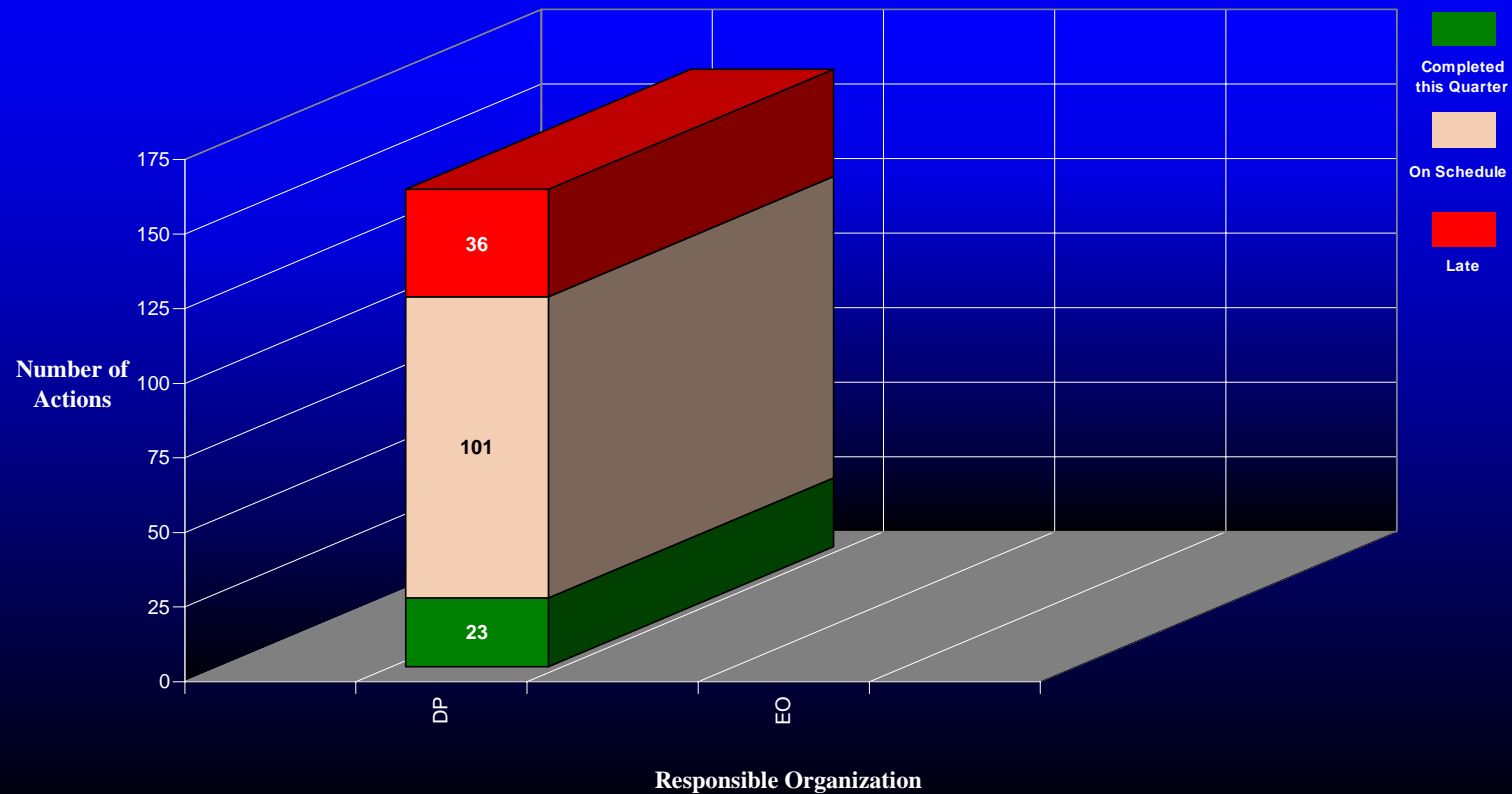
² SC includes independent oversight appraisals of Brookhaven and Fermi National Accelerator Laboratories

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)	0
Approved CAPs - on schedule	7
Total approved CAPs still open	7
Approved CAPs - Completed this Quarter	1

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



Corrective Action Status	DP	EO*	TOTALS
Completed 4th Qtr. FY02	23	0	23
Total Completed	1225	70	1295
On Schedule	101	0	101
Late	36	0	36
Totals	1362	70	1432

* 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: 1

Report Number: LANL-05/23/2002-0001-R-ES&H-XM

Report Title: Office of Independent Oversight and Performance Assurance Inspection of Environmental Safety, and Health Management and Emergency Management at the Los Alamos National Laboratory, April 2002

Number of Late Corrective Actions: 32

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: 2

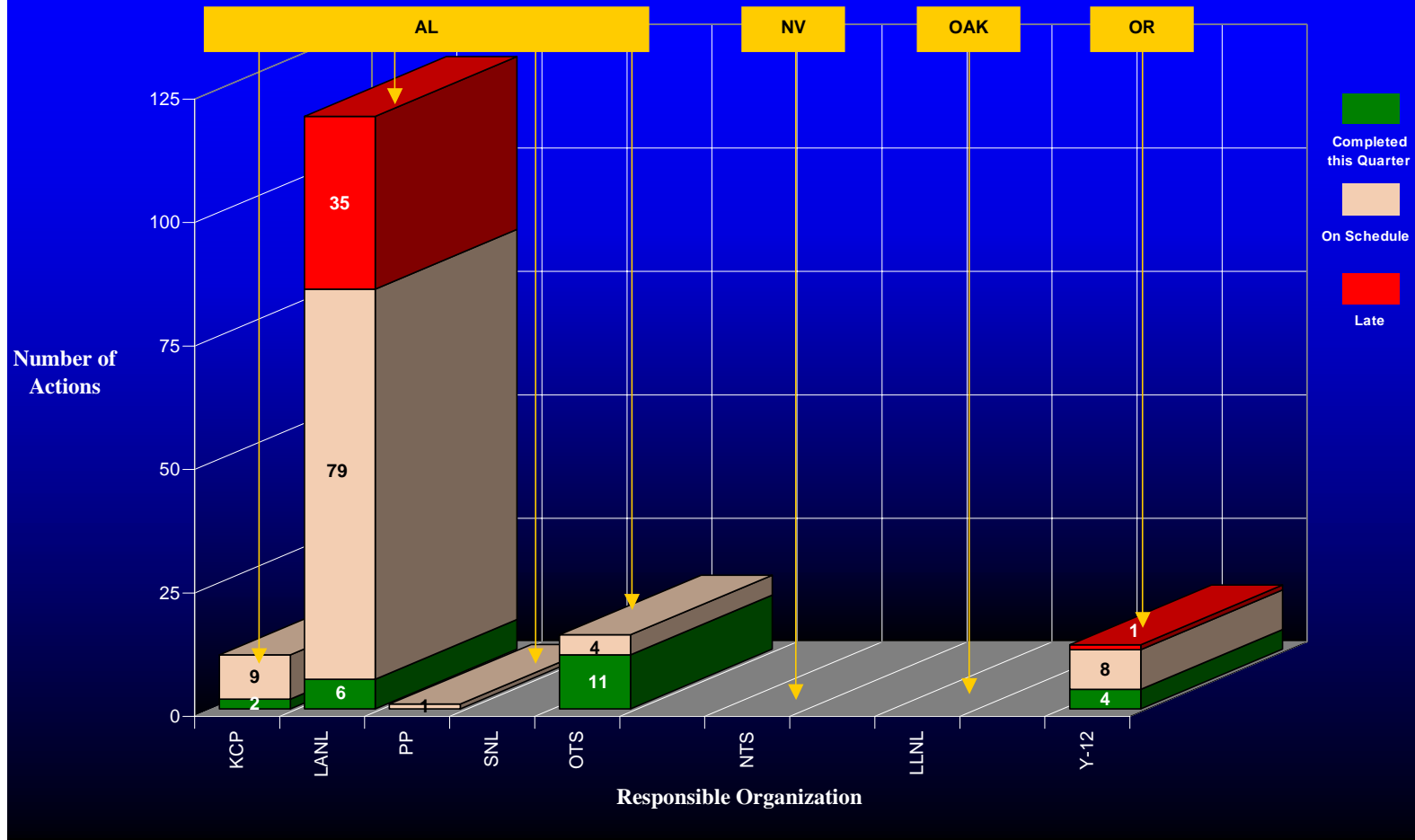
Y-12 National Security Complex

Report Number: Y-12-11/28/2001-0001-R-XM

Report Title: Independent Oversight Inspection of Emergency Management at the Y-12 National Security Complex

Number of Late Corrective Actions: 1

Status of Corrective Actions Deputy Administrator for Defense Programs



	AL					NV	OAK	Y-12	
Corrective Action Status	KCP	LANL	PP	SNL	OTS	NTS	LLNL	Y-12	TOTALS
Completed 4 th Qtr, FY02	2	6	0	0	11	0	0	4	23
Total Completed	2	371	46	156	82	153	119	296	1225
On Schedule	9	79	1	0	4	0	0	8	101
Late	0	35	0	0	0	0	0	1	36
Totals	11	485	47	156	86	153	119	305	1362

Status of Corrective Action Plans

Deputy Administrator for Defense Programs

1. New Assessment Reports this Quarter

Report Number	LLNL-08/23/2002-0001-R-ES&H-XM
Report Title	Comprehensive Inspection of Environment, Safety, and Health Management and Emergency Management at the Lawrence Livermore National Laboratory
Final Report Date	08/23/2002
Office/Facility Reviewed	Lawrence Livermore National Laboratory
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	LLNL-08/23/2002-0001-R-ES&H-XM
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Report Title	Comprehensive Inspection of Environment, Safety, and Health Management and Emergency Management at the Lawrence Livermore National Laboratory
Final Report Date	08/23/2002
Office/Facility Reviewed	Lawrence Livermore National Laboratory
CAP Approval Due Date	10/22/2002

4. Approved Corrective Actions Plans - Completion OVERDUE None

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

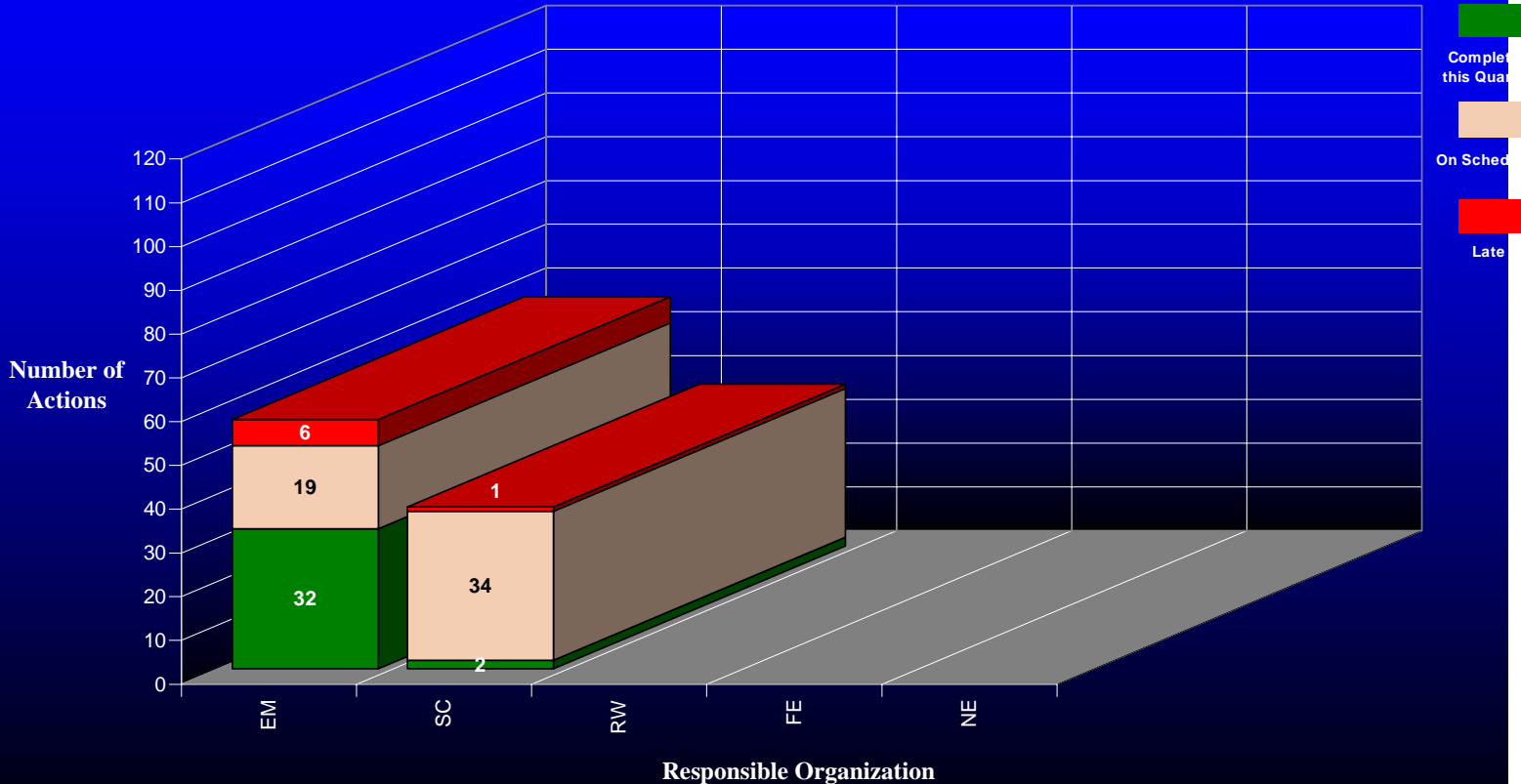
Report Number	TSD-10/01/2001-0001-R-XM
Report Title	Independent Oversight Evaluation of the Office of Transportation Safeguards Emergency Management Program
Final Report Date	10/01/2001
Office/Facility Reviewed	Office of Transportation Safeguards
CAP Completion Date	09/30/2002

Under Secretary for Energy, Science and Environment

Under Secretary for Energy, Science and Environment Summary

New Assessment Reports this Quarter	0
Corrective Action Plans (CAPs) Pending Approval	
CAPs pending approval - Approval > 60 days OVERDUE	1
CAPs pending approval - Approval <= 60 days OVERDUE	0
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)	1
Approved CAPs - with actions open <= 90 days OVERDUE (past planned completion date)	0
Approved CAPs - on schedule	13
Total approved CAPs still open	14
Approved CAPs - Completed this Quarter	2

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



Corrective Action Status	EM	SC	RW	FE	NE	TOTALS
Completed 4th Qtr. FY02	32	2	0	0	0	34
Total Completed	1793	498	4	9	28	2332
On Schedule	19	34	0	0	0	53
Late	6	1	0	0	0	7
Totals	1818	533	4	9	28	2392

Assistant Secretary for Environmental Management

Late Corrective Actions

Oak Ridge Operations Office

Report Number: ETTP-10/11/2000-0001-R-EH2

Report Title: Independent Investigation at the East Tennessee Technology Park Volume 2: Current Environment, Safety and Health Programs and Issues

Number of Late Corrective Actions: 2

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

Report Title: Review of Oak Ridge Operations Office Contractor Nuclear Criticality Safety Self-Assessments

Number of Late Corrective Actions: 3

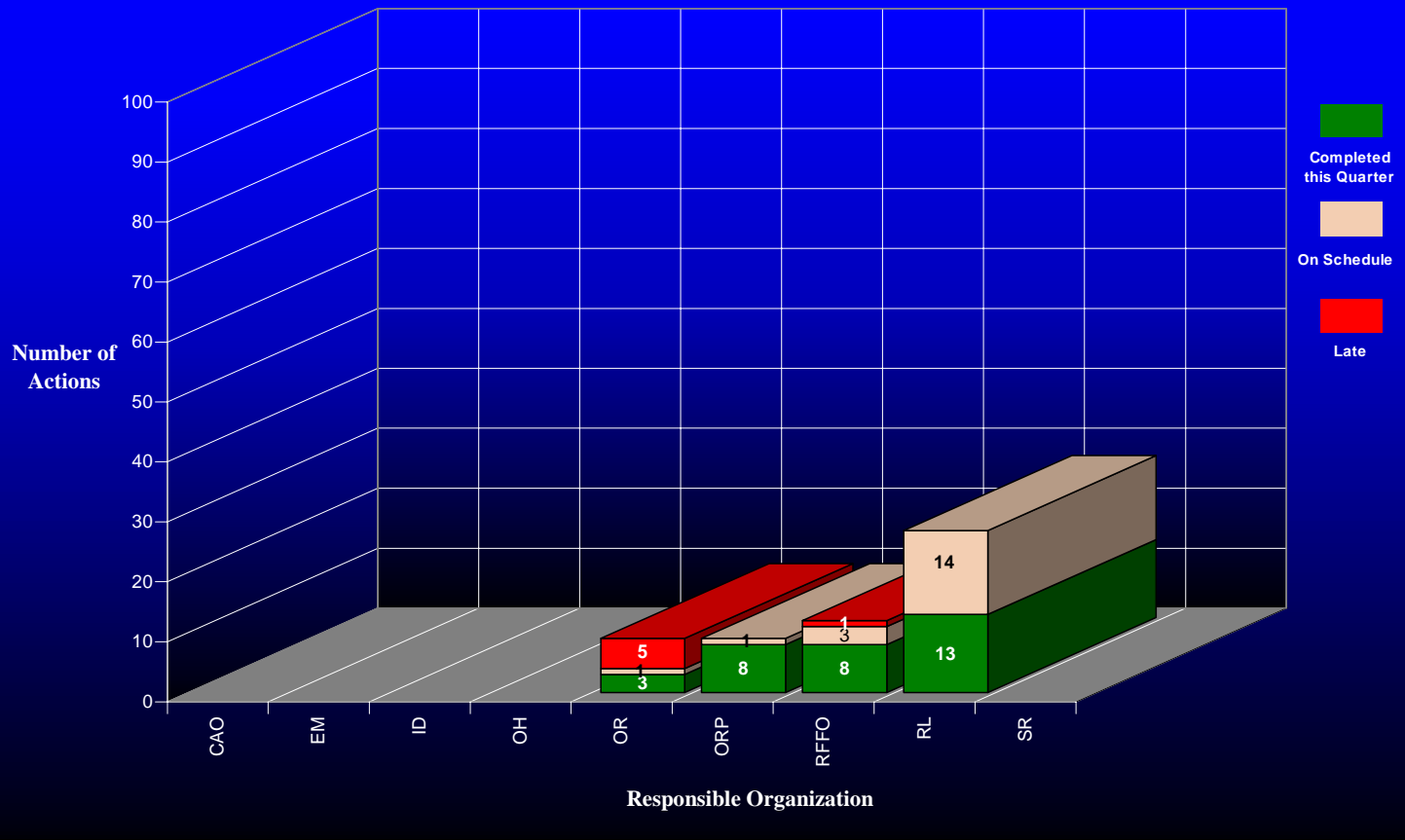
Rocky Flats Environmental Technology Site

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: 1

Status of Corrective Actions Assistant Secretary for Environmental Management



EM										
Corrective Action Status	CAO	EM*	ID	OH	OR	ORP	RFFO	RL	SR	TOTALS
Completed 4th Qtr, FY02	0	0	0	0	3	8	8	13	0	32
Total Completed	14	67	491	229	684	37	115	69	87	1793
On Schedule	0	0	0	0	1	1	3	14	0	19
Late	0	0	0	0	5	0	1	0	0	6
Totals	14	67	491	229	690	38	119	83	87	1818

* 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
None

2. Corrective Action Plans Pending Approval - OVERDUE More Than 60 Days (not approved within 120 days of report issuance)

Report Number	HS-03/27/2002-0002-R-ES&H
Report Title	Inspection of Environment, Safety and Health Management at the Hanford Site
Final Report Date	03/27/2002
Office/Facility Reviewed	Hanford Site
CAP Approval Due Date	05/26/2002
Line Management Comments	Proposed Corrective Action Plan (CAP) submitted by the Richland Operations Office has been disapproved on two occasions by the EM-1 with comments on additional information that needs to be addressed in the proposed CAP. Richland has initiated several actions to improve the timeliness and quality of CAPs directed by the EM-1.

3. Corrective Action Plans Pending Approval - On Schedule
None

4. Approved Corrective Actions Plans - Completion OVERDUE

Report Number	ORO-05/29/2001-0001-R-EH2
Report Title	Review of Oak Ridge Operations Office Contractor Nuclear Criticality Safety Self-Assessments
Office/Facility Reviewed	Oak Ridge Operations Office
CAP Completion Due Date	07/26/2002

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

Report Number	ORP-05/25/2000-0001-R-SSA
Report Title	DOE/ORP-2000-20, Assessment of Potential Vulnerability Due to Degraded High-Efficiency Particulate Air (HEPA) Filters in Nuclear Facilities
Final Report Date	05/25/2000
Office/Facility Reviewed	Office of River Protection
CAP Completion Date	09/23/2002

Director, Office of Science Late Corrective Actions

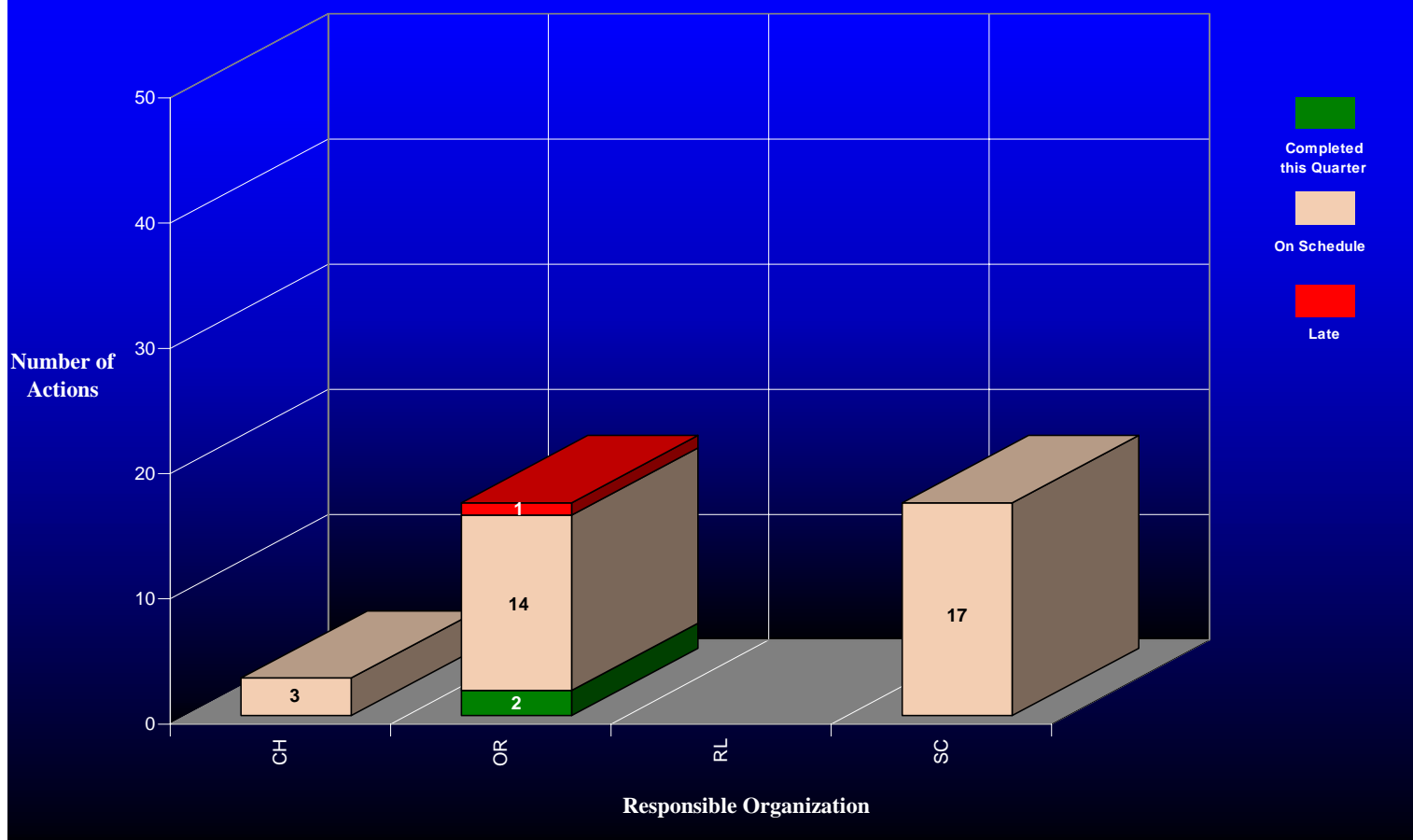
Oak Ridge National Laboratory

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 4 th Qtr. FY02	0	2	0	0	2
Total Completed	32	111	37	318	498
On Schedule	3	14	0	17	34
Late	0	1	0	0	1
Totals	35	126	37	335	533

* 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	ORO-05/08/2000-0001-R-SSA
Report Title	Oak Ridge Operations Nuclear Criticality Safety Self Assessment
Final Report Date	05/08/2000
Office/Facility Reviewed	Oak Ridge Operations Office
CAP Completion Date	09/26/2002

Abbreviations Used in This Report

AL	Albuquerque Operations Office	NV	Nevada Operations Office
CAO	Carlsbad Area Office	OAK	Oakland Operations Office
CAP	Corrective Action Plan	OH	Ohio Field Office
CATS	Corrective Action Tracking System	OR	Oak Ridge Operations Office
CH	Chicago Operations Office	ORP	Office of River Protection
CSO	Cognizant Secretarial Officer	OTS	Office of Transportation Safeguards
DP	Deputy Administrator for Defense Programs	PA	Power Administrations
EM	Assistant Secretary for Environmental Management	PP	Pantex Plant
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
LANL	Los Alamos National Lab	SNL	Sandia National Laboratory
LLNL	Lawrence Livermore National Laboratory	SO	Office of Security
ME	Office of Management, Budget, and Evaluation	SPR	Strategic Petroleum Reserve
NE	Office of Nuclear Energy, Science and Technology	SR	Savannah River Operations Office
NTS	Nevada Test Site	XM	Emergency Management
		Y-12	Y-12 National Security Complex