




Department of Energy
Washington, DC 20585

JAN 09 2004

MEMORANDUM FOR: Distribution

FROM:

Frank B. Russo 
Deputy Assistant Secretary
Office of Corporate Performance Assessment

SUBJECT:

Department of Energy Corrective Action Management
Program First Quarter Report, Fiscal Year 2004

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 2004. 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 (301) 903-8008, 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.

Attachment

***Department of Energy
Corrective Action Management Program
Quarterly Report, First Quarter FY 2004***

Final Distribution List

Deputy Secretary, Office of the Deputy Secretary, S
Under Secretary for Energy, Science & Environment, Office of the Under Secretary, S
Chief of Staff, Office of the Secretary of Energy, S
Senior Policy Advisor, Office of the Secretary of Energy, S

Under Secretary and Administrator, National Nuclear Security Administration, Nuclear Nonproliferation, NA-1
Associate Deputy Administrator, National Nuclear Security Administration, Defense Programs, NA-10
Senior Advisor, National Nuclear Security Administration, Environment, Safety and Health, NA-3.6
Director, NNSA, Service Center

Assistant Secretary, Energy Efficiency and Renewable Energy, EE-1
Assistant Secretary, Environment, Safety and Health, EH-1
Assistant Secretary, Environmental Management, EM-1
Assistant Secretary, Fossil Energy, FE-1
Deputy Director, Office of Management, Budget and Evaluation, ME-1
Director, Office of Nuclear Energy, Science and Technology, NE-1
Director, Office of Independent Oversight and Performance Assurance (OA-1)
Director, Office of Civilian Radioactive Waste Management, RW-1
Director, Office of Science, SC-1

Chief Operating Officer, Office of Environmental Management, EM-3
Supervisory Environmental Engineer, Office of Emergency Management Oversight (OA-30)
Director, Office of Environment, Safety and Health Evaluations, OA-50
Director, Office of Operations and Readiness, NA-124
Deputy Director for Operations, Office of Science, SC-3

Manager, Chicago Operations Office (CH)
Manager, Carlsbad Field Office (CFO)
Manager, Idaho Operations Office (ID)
Manager, Ohio Field Office (OH)
Manager, Oak Ridge Operations Office (OR)
Manager, Rocky Flats Field Office (RFFO)

***Department of Energy
Corrective Action Management Program
Quarterly Report, First Quarter FY 2004***

Final Distribution List Continued

Manager, Office of River Protection (RIVPRO)
Manager, Richland Operations Office (RL)
Manager, Savannah River Operations Office (SR)

Acting Director, Fernald Environmental Management Project (FEMP)
Acting Manager, Kansas City Site Office, KCSO
Manager, Livermore Site Office (LSO)
Manager, Los Alamos Site Office (LASO)
Project Director, Miamisburg Environmental Management Project (MEMP)
Manager, Nevada Site Office (NSO)
Manager, Pantex Site Office, PSO
Manager, Sandia Site Office, SSO
Manager, Savannah River Site Office, SRSO
Deputy Director, West Valley Demonstration Project (WVDP)
Manager, Y-12 Site Office, Y-12SO

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

Technical Information Specialist, ES&H Info Center, Office of Information Management, EH-33



Department of Energy
Office of Corporate Performance Assessment

Corrective Action Management Program
First Quarter Report-Fiscal Year 2004

January 2004



***Department of Energy
Corrective Action Management Program
Quarterly Report, First Quarter FY 2004***

Final Distribution List Continued

Manager, Office of River Protection (RIVPRO)
Manager, Richland Operations Office (RL)
Manager, Savannah River Operations Office (SR)

Acting Director, Fernald Environmental Management Project (FEMP)
Acting Manager, Kansas City Site Office, KCSO
Manager, Livermore Site Office (LSO)
Manager, Los Alamos Site Office (LASO)
Project Director, Miamisburg Environmental Management Project (MEMP)
Manager, Nevada Site Office (NSO)
Manager, Pantex Site Office, PSO
Manager, Sandia Site Office, SSO
Manager, Savannah River Site Office, SRSO
Deputy Director, West Valley Demonstration Project (WVDP)
Manager, Y-12 Site Office, Y-12SO

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

Technical Information Specialist, ES&H Info Center, Office of Information Management, EH-33

Table of Contents

Department of Energy Summary	1
Administrator, National Nuclear Security Administration	4
Deputy Administrator for Defense Programs	6
Under Secretary for Energy, Science and Environment	10
Assistant Secretary for Environmental Management	12
Director, Office of Science	16
Abbreviations Used in this Report	Inside Back Cover

Department of Energy Corrective Action Management Program

First Quarter Report, Fiscal Year 2004

Summary

This report provides the first quarter, fiscal year 2004 summary status of the Department of Energy Corrective Action Management Program (CAMP). The report includes the status of corrective action plans (CAPs) and their associated corrective actions as of December 31, 2003. The Department-wide CAMP program status is depicted, followed by the status for the Under Secretaries and their assigned Cognizant Secretarial Officers.

The Corrective Action Management Program requires Department line managers to 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 by the Secretary or Deputy Secretary to be tracked and reported 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 Type A Accident Investigation Judgments of Need. A finding specifies conditions identified during the conduct of an oversight assessment that could adversely affect the DOE mission; environment, safety or health of workers or the public; or national security. These findings are validated and clearly addressed in the formal assessment report provided to line management.

Department 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. 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 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). **There is one CAP overdue for approval by the CSO.** There was one CAP overdue for approval by the CSO reported last quarter. **There are no approved CAPs with corrective actions overdue from the planned CAP completion date.** There was one CAP with corrective actions not completed within the planned CAP completion date reported last quarter. A total of 8 approved CAPs are on schedule for completion in 2004 and 2005, and 5 approved CAPs were completed this quarter.

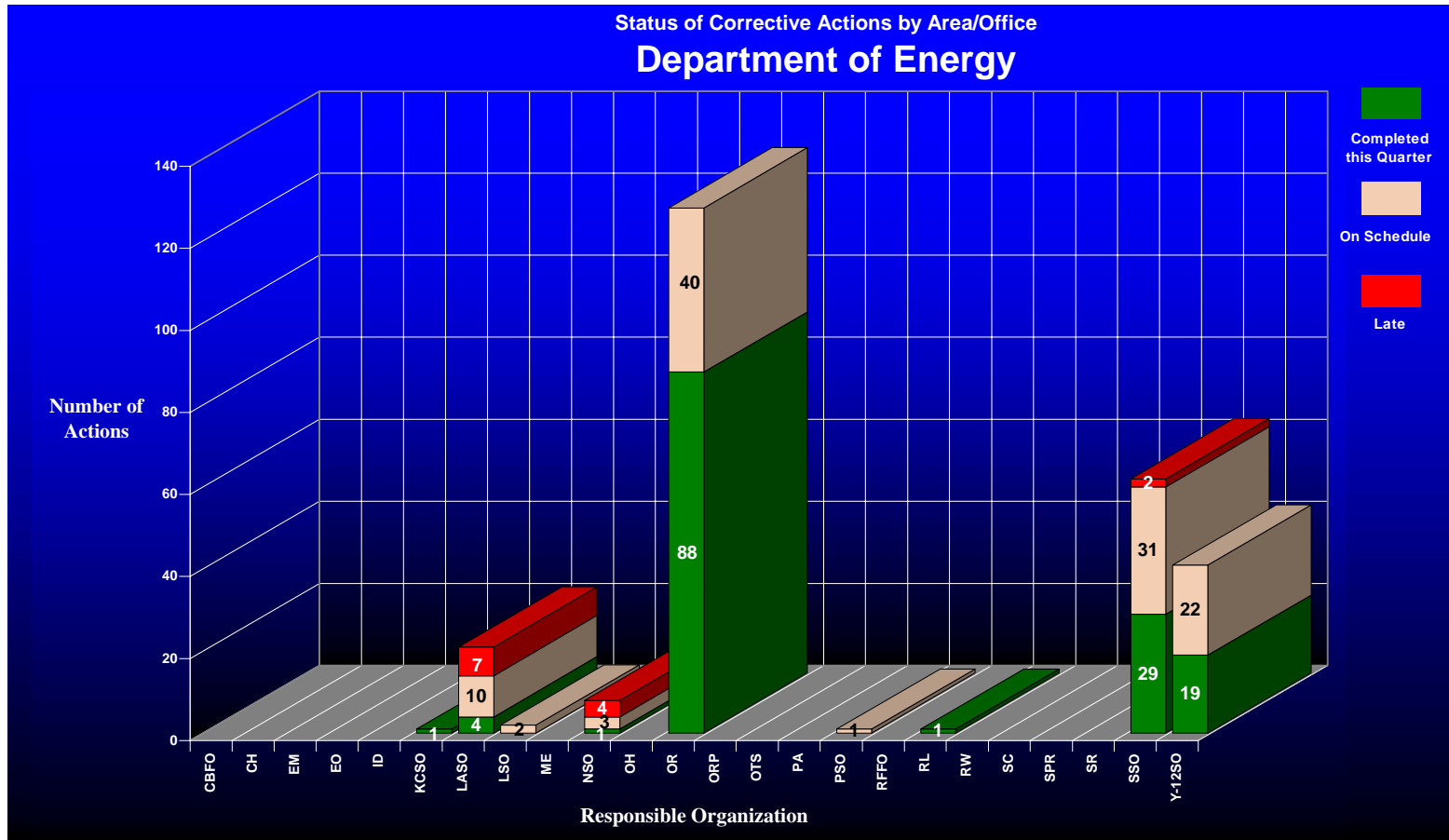
This report also outlines the number of corrective actions completed this quarter, total completed since inception of the Corrective Action Management Program, those on schedule to be completed within the CAP completion date, and late corrective actions not completed within the date listed in the CAP. **There are a total of 13 late corrective actions.** There were 33 late corrective actions reported last quarter and a quarterly average of 25 late corrective actions have been reported over the past year. There were 143 corrective actions completed this quarter. A total of 38 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 108 appraisal reports have been tracked within the CATS identifying 797 findings. Line managers developed and implemented CAPs in response to these appraisal reports, which include a total of 4,342 corrective actions to resolve the identified findings.

This report is available on the Internet by accessing the CAMP Web Site located in the Integrated Safety Management Resource Center section of the Environment, Safety and Health Web Site at <http://www.eh.doe.gov/>.

Department of Energy 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	1
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)	0
Approved CAPs - on schedule	8
Total approved CAPs still open	8
Approved CAPs - Completed this Quarter	5



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 1 st Qtr, FY04	0	0	0	0	0	1	4	0	0	1	0	88	0	0	0	0	0	1	0	0	0	0	29	19	143
Total Completed	47	143	67	70	491	11	468	160	8	156	229	907	38	86	33	56	119	162	4	335	9	87	210	324	4220
On Schedule	0	0	0	0	0	0	10	2	0	3	0	40	0	0	0	1	0	0	0	0	0	0	31	22	109
Late	0	0	0	0	0	0	7	0	0	4	0	0	0	0	0	0	0	0	0	0	0	0	2	0	13
Totals	47	143	67	70	491	11	485	162	8	163	229	947	38	86	33	57	119	162	4	335	9	87	243	346	4342

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.

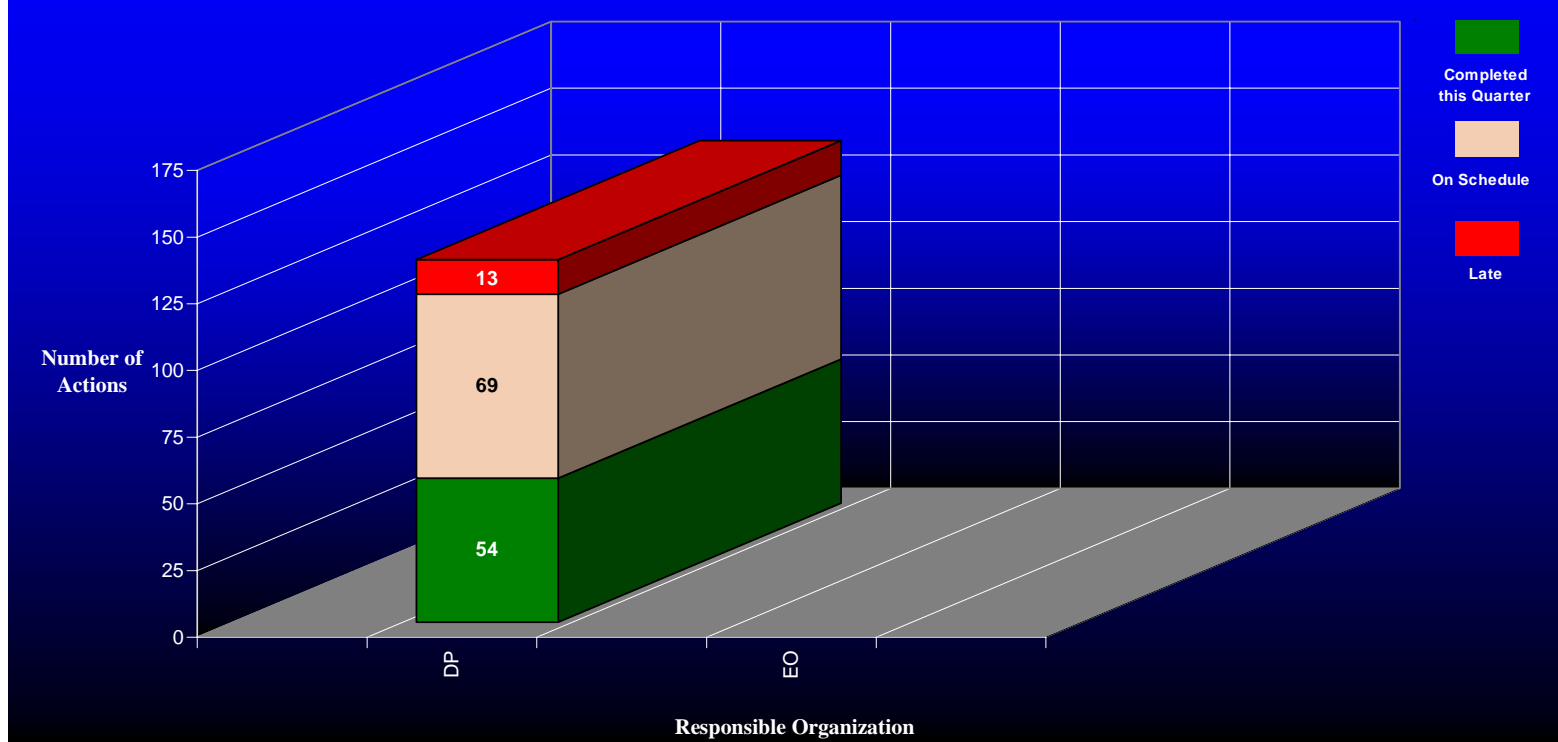
² SC includes independent oversight appraisals of Brookhaven and Fermi National Accelerator Laboratories

Administrator,
National Nuclear Security Administration

Administrator, National Nuclear Security Administration Summary

New Assessment Reports this Quarter	0
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	0
Total CAPs pending approval	0
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	2

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



Corrective Action Status	DP	EO*	TOTALS
Completed 1st Qtr, FY04	54	0	54
Total Completed	1471	70	1541
On Schedule	69	0	69
Late	13	0	13
Totals	1553	70	1623

* 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 Site Office

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

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

Number of Late Corrective Actions: 3

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: 4

Nevada Site Office

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

Number of Late Corrective Actions: 4

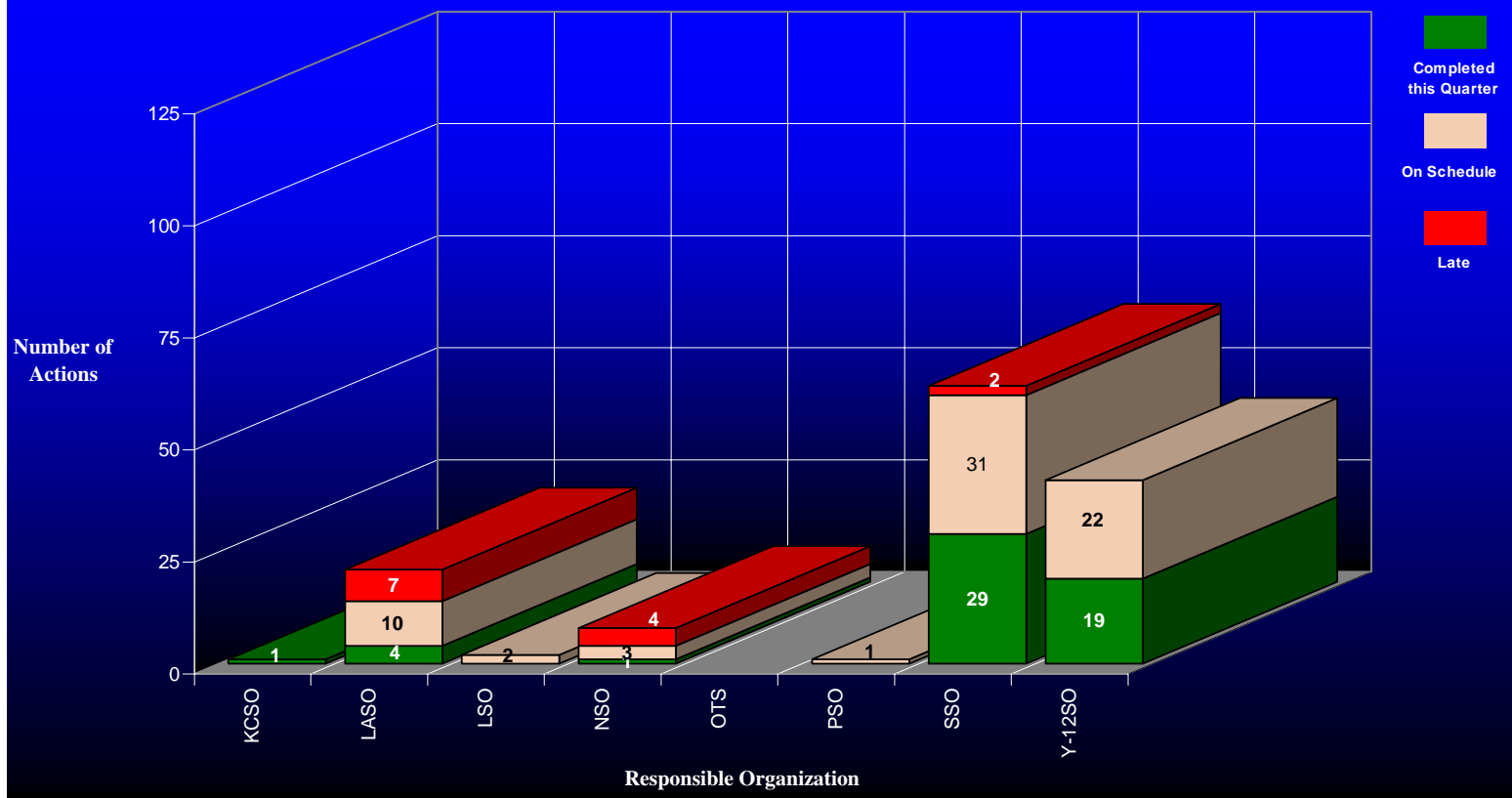
Sandia National Laboratory

Report Number: SNLAL-04/07/2003-0001-R-ES&H-XM

Report Title: Inspection of Environment, Safety, and Health Management and Emergency Management at the Sandia National Laboratories - New Mexico

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, FY04	1	4	0	1	0	0	29	19	54
Total Completed	11	468	160	156	86	56	210	324	1471
On Schedule	0	10	2	3	0	1	31	22	69
Late	0	7	0	4	0	0	2	0	13
Totals	11	485	162	163	86	57	243	346	1553

Status of Corrective Action Plans Deputy Administrator for Defense Programs

1. **New Assessment Reports this Quarter**
None
2. **Corrective Action Plans Pending Approval - OVERDUE**
None
3. **Approved Corrective Actions Plans - Completion OVERDUE more than 90 days past the planned completion date.**
None
4. **Approved Corrective Action Plans - Completed this Quarter (all corrective actions in CAP completed this quarter)**

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

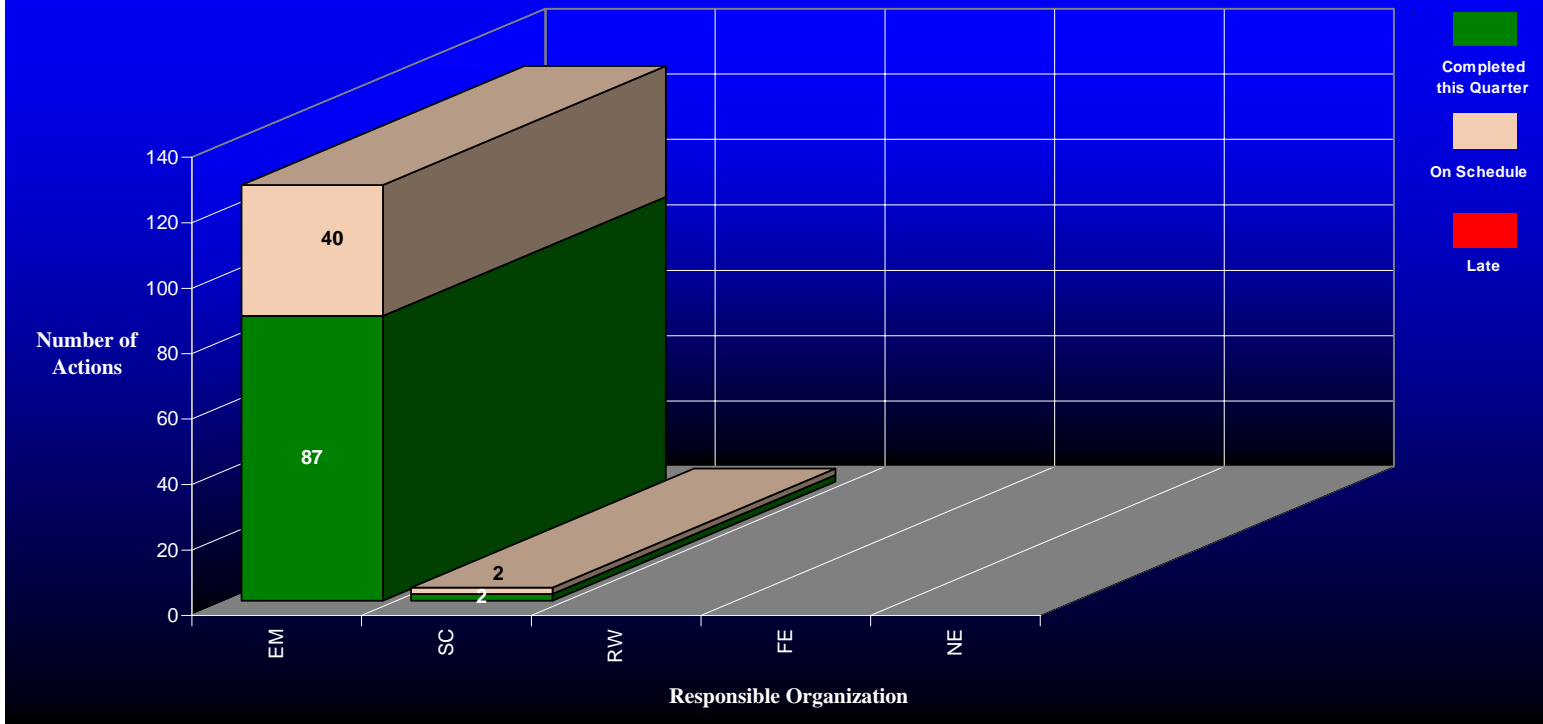
Final Report Date	11/28/2001
Office/Facility Reviewed	Oak Ridge Y-12 Site
CAP Completion Due Date	01/31/2003
CAP Completion Date	10/01/2003
Report Number	KCP-01/10/2002-0002-R-ES&H-XM
Report Title	Comprehensive Inspection of Environment, Safety and Health and Emergency Management at the Kansas City Plant
Office/Facility Reviewed	Kansas City Plant
CAP Completion Due Date	12/31/2003
CAP Completion Date	11/07/2003

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	1
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)	0
Approved CAPs - on schedule	1
Total approved CAPs still open	1
Approved CAPs - Completed this Quarter	3

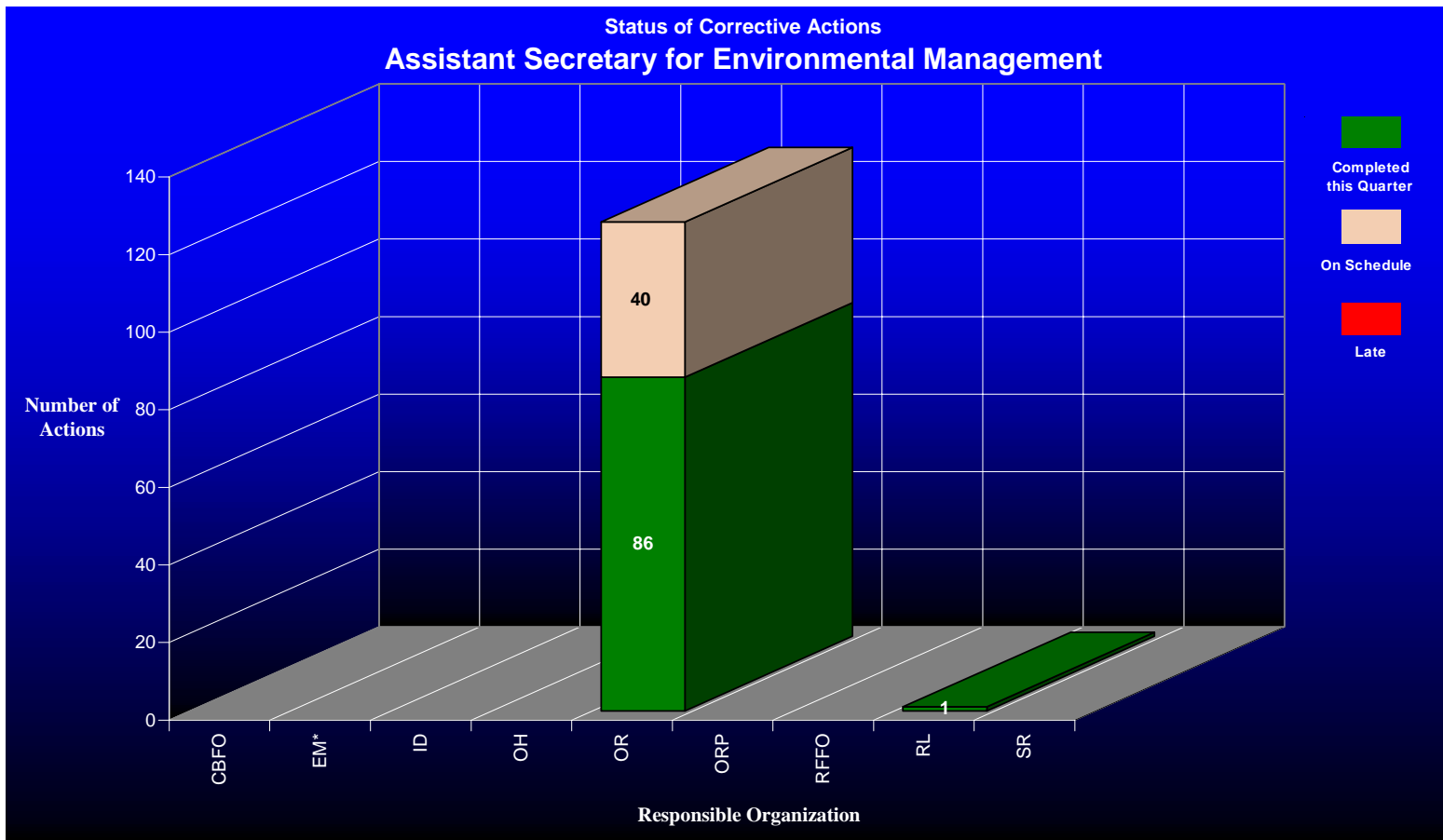
Status of Corrective Actions for the Under Secretary for Energy, Science and Environment



Corrective Action Status	EM	SC	RW	FE	NE	TOTALS
Completed 1st Qtr, FY04	87	2	0	0	0	89
Total Completed	1984	613	4	9	28	2638
On Schedule	40	0	0	0	0	40
Late	0	0	0	0	0	0
Totals	2024	613	4	9	28	2678

Assistant Secretary for Environmental Management Late Corrective Actions

None



EM										
Corrective Action Status	CBFO	EM*	ID	OH	OR	ORP	RFFO	RL	SR	TOTALS
Completed 1 st Qtr, FY04	0	0	0	0	86	0	0	1	0	87
Total Completed	47	67	491	229	781	38	119	125	87	1984
On Schedule	0	0	0	0	40	0	0	0	0	40
Late	0	0	0	0	0	0	0	0	0	0
Totals	47	67	491	229	821	38	119	125	87	2024

* 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

Report Number	INEEL-10/23/2003-0001-R-ES&H-XM
Report Title	Office of Independent Oversight and Performance Assurance “Inspection of Environment, Safety, and Health Management and Emergency Management of the Idaho Operations Office and Idaho National Engineering and Environmental Laboratory”
Final Report Date	10/23/2003
Office/Facility Reviewed	Idaho National Engineering & Environmental Laboratory

2. Corrective Action Plans Pending Approval - OVERDUE

Report Number	INEEL-10/23/2003-0001-R-ES&H-XM
Report Title	Office of Independent Oversight and Performance Assurance “Inspection of Environment, Safety, and Health Management and Emergency

Final Report Date	10/23/2003
Office/Facility Reviewed	Idaho National Engineering & Environmental Laboratory
CAP Approval Due Date	12/22/2003

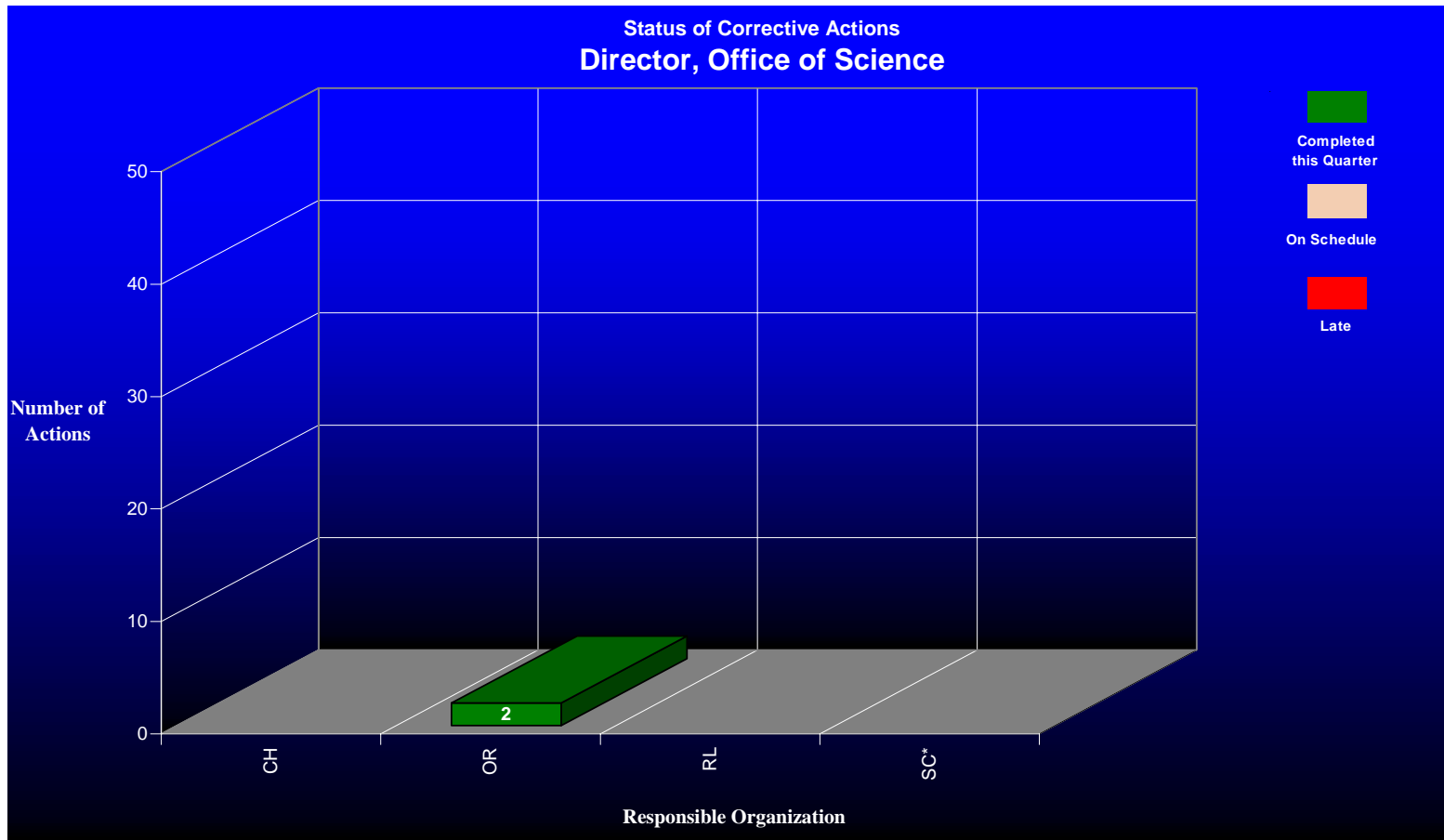
3. Approved Corrective Actions Plans - Completion OVERDUE past the planned completion date. None

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

Report Number	HS-09/07/2001-0001-R-XM
Report Title	Independent Oversight Inspection of Emergency Management at the Hanford Site
Final Report Date	09/07/2001
Office/Facility Reviewed	Hanford Site
CAP Completion Due Date	12/30/2003
CAP Completion Date	10/29/2003

Director, Office of Science Late Corrective Actions

None



SC					
Corrective Action Status	CH	OR	RL	SC*	TOTALS
Completed 1 st Qtr, FY04	0	2	0	0	2
Total Completed	115	126	37	335	613
On Schedule	0	0	0	0	0
Late	0	0	0	0	0
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. **Approved Corrective Action Plans - Completion OVERDUE past the planned completion date.**
None
4. **Approved Corrective Action Plans – Completed this Quarter (all corrective actions in CAP completed this quarter)**

Report Number	ORNL-02/22/2001-0001-R-EH2
Report Title	Independent Review of the High Flux Isotope Reactor Tritium Leak

Final Report Date	02/22/2001
Office/Facility Reviewed	Oak Ridge National Laboratory
CAP Completion Due Date	10/03/2003
CAP Completion Date	10/03/2003
Report Number	ORNL-10/01/2001-0002-R-EH2
Report Title	Focused Safety Management Evaluation of the Oak Ridge National Laboratory
Final Report Date	10/01/2001
Office/Facility Reviewed	Oak Ridge National Laboratory
CAP Completion Due Date	12/12/2003
CAP Completion Date	10/24/2003

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-12SO	Y-12 Site Office