



## Department of Energy

Washington, DC 20585

April 14, 2003

MEMORANDUM FOR: Distribution

FROM: Raymond J. Hardwick, Jr., EH-2

SUBJECT: Department of Energy Corrective Action Management Program  
Second 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 second 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 that reads "RJ Hardwick Jr".

Raymond J. Hardwick, Jr.  
Acting Deputy Assistant Secretary  
Office of Corporate Safety Assurance  
Environment, Safety and Health

Attachment



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

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

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**Department of Energy**  
**Office of Corporate Safety Assurance**

***Corrective Action Management Program***  
***Second Quarter Report-Fiscal Year 2003***

**April 2003**



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# Department of Energy Corrective Action Management Program

## Second Quarter Report, Fiscal Year 2003

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### Summary

This report provides the second quarter, fiscal year 2003 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 March 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 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.

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). **One CAP has not been approved by the CSO within the prescribed 60 days from issuance of the assessment report. Two CAPs approved by the CSO have corrective actions that have not been completed within the planned CAP completion date and are OVERDUE.**

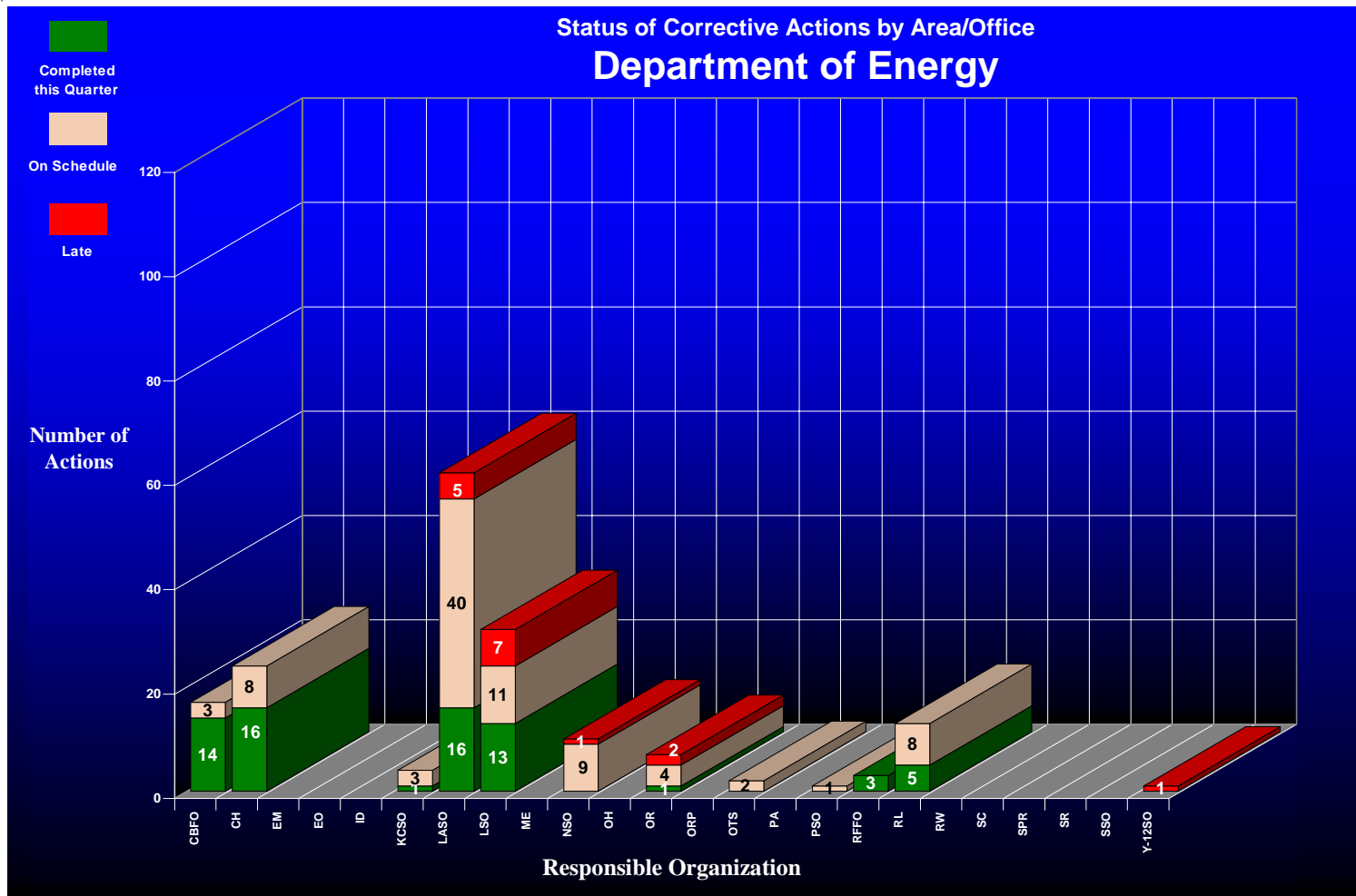
This report also outlines the number of corrective actions completed this quarter, total completed since inception of the Corrective Action Management Program, those on schedule to be completed within the CAP completion date, and late corrective actions not completed within the date listed in the CAP. **There are a total of 16 late corrective actions.** There were 19 late corrective actions reported last quarter. There were 69 corrective actions completed this quarter. A total of 139 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 104 appraisal reports have been tracked within the CATS identifying 733 findings. Line managers developed and implemented CAPs in response to these appraisal reports, which include a total of 4,074 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 Information Portal at <http://tis.eh.doe.gov/portal/home.htm>.

## Department of Energy Summary

New Assessment Reports this Quarter	0
<b>Corrective Action Plans (CAPs) Pending Approval</b>	
CAPs pending approval - Approval > 60 days OVERDUE	0
CAPs pending approval - Approval <= 60 days OVERDUE	1
CAPs pending approval - Approval on schedule	0
<b>Total CAPs pending approval</b>	
	<b>1</b>
<b>Approved Corrective Action Plans (CAPs)</b>	
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)	1
Approved CAPs - on schedule	15
<b>Total approved CAPs still open</b>	
	<b>17</b>
Approved CAPs - Completed this Quarter	3



Corrective Action Status	CBFO	CH	EM <sup>1</sup>	EO	ID	KCSO	LASO	LSO	ME	NSO	OH	OR	ORP	OTS	PA	PSO	RFFO	RL	RW	SC <sup>2</sup>	SPR	SR	SSO	Y-12SO	TOTALS
<b>Completed 2<sup>nd</sup> Qtr, FY03</b>	14	16	0	0	0	1	16	13	0	0	0	1	0	0	0	0	3	5	0	0	0	0	0	0	69
<b>Total Completed</b>	44	135	67	70	491	8	441	143	8	153	229	811	38	84	33	46	119	154	4	335	9	87	156	304	3969
<b>On Schedule</b>	3	8	0	0	0	3	40	11	0	9	0	4	0	2	0	1	0	8	0	0	0	0	0	0	89
<b>Late</b>	0	0	0	0	0	0	5	7	0	1	0	2	0	0	0	0	0	0	0	0	0	0	0	1	16
<b>Totals</b>	47	143	67	70	491	11	486	161	8	163	229	817	38	86	33	47	119	162	4	335	9	87	156	305	4074

<sup>1</sup> 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.

<sup>2</sup> SC includes independent oversight appraisals of Brookhaven and Fermi National Accelerator Laboratories

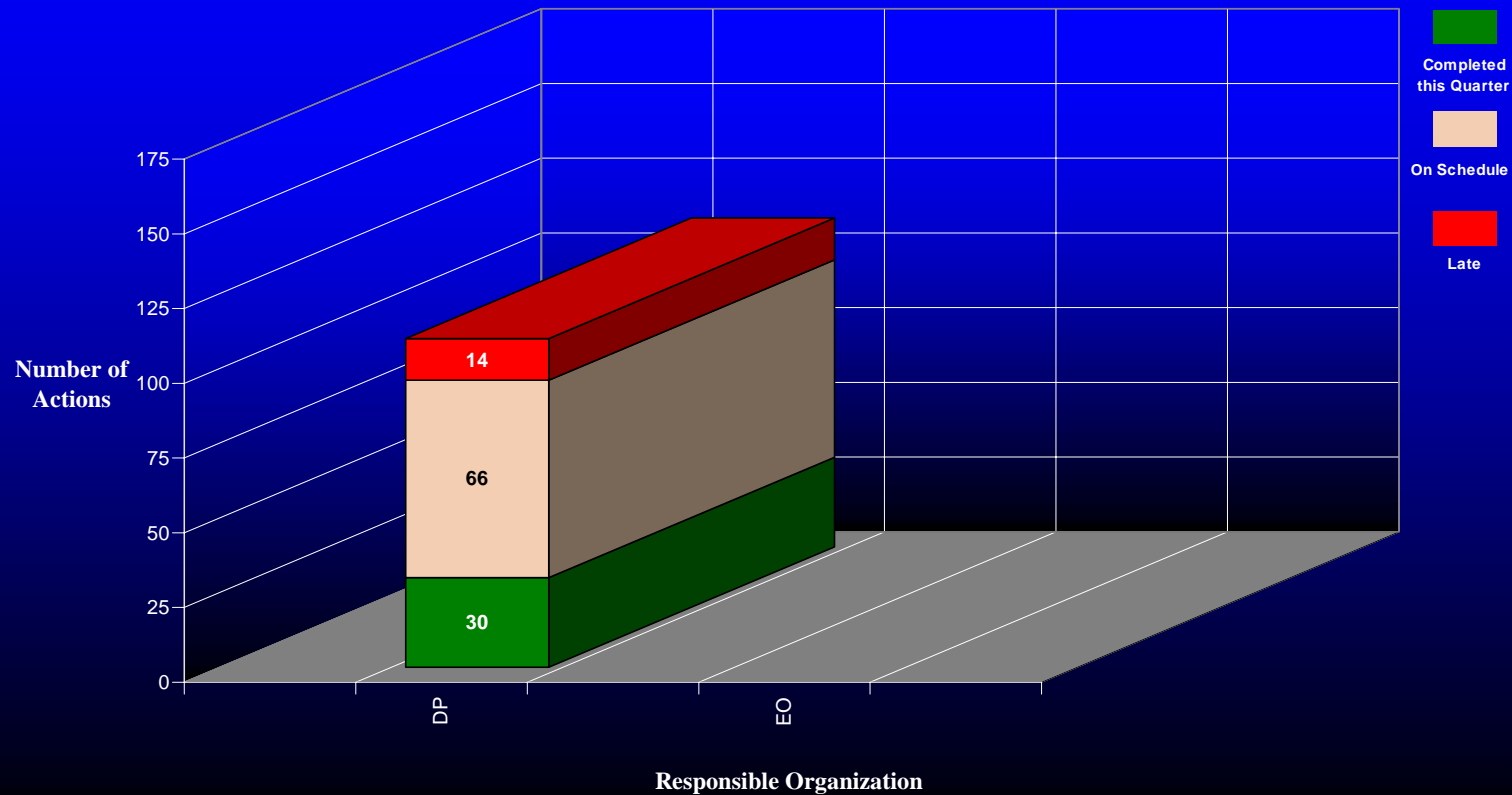


Acting Administrator,  
National Nuclear Security Administration

## Acting Administrator, National Nuclear Security Administration Summary

New Assessment Reports this Quarter	0
<b>Corrective Action Plans (CAPs) Pending Approval</b>	
CAPs pending approval - Approval > 60 days OVERDUE	0
CAPs pending approval - Approval <= 60 days OVERDUE	1
CAPs pending approval - Approval on schedule	0
<b>Total CAPs pending approval</b>	<b>1</b>
<b>Approved Corrective Action Plans (CAPs)</b>	
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	8
<b>Total approved CAPs still open</b>	<b>9</b>
Approved CAPs - Completed this Quarter	0

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



Corrective Action Status	DP	EO*	TOTALS
<b>Completed 2<sup>nd</sup> Qtr, FY03</b>	30	0	30
<b>Total Completed</b>	1335	70	1405
<b>On Schedule</b>	66	0	66
<b>Late</b>	14	0	14
<b>Totals</b>	1415	70	1485

\* 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 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 Environment, Safety, and Health Management and Emergency Management at the Los Alamos National Laboratory, April 2002

Number of Late Corrective Actions: 1

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

### 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: 7

### 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: 1

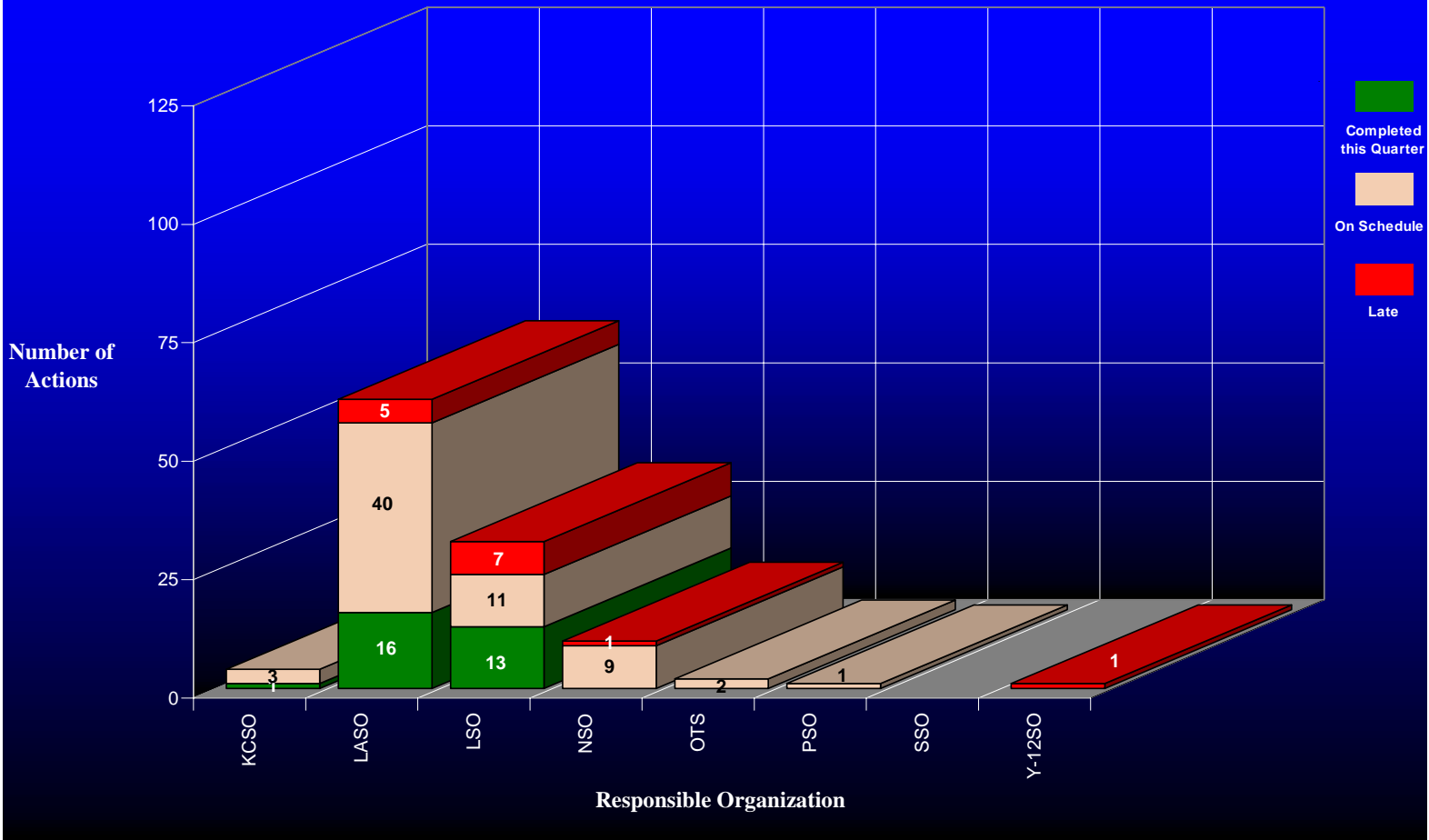
### Y-12 Site Office

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



DP									
Corrective Action Status	KCSO	LASO	LSO	NSO	OTS	PSO	SSO	Y-12SO	TOTALS
Completed 2 <sup>nd</sup> Qtr, FY03	1	16	13	0	0	0	0	0	30
Total Completed	8	441	143	153	84	46	156	304	1335
On Schedule	3	40	11	9	2	1	0	0	66
Late	0	5	7	1	0	0	0	1	14
Totals	11	486	161	163	86	47	156	305	1415

# Status of Corrective Action Plans

## Deputy Administrator for Defense Programs

**1. New Assessment Reports this Quarter**  
None

**2. Corrective Action Plans Pending Approval - OVERDUE**  
(Not approved within 60 days of assessment report issuance).

Report Number	PP-12/27/2002-0001-R-ES&H-XM
Report Title	Inspection of Environment, Safety, and Health Management and Emergency Management at the Pantex Plant
Final Report Date	12/27/2002
Office/Facility Reviewed	Pantex Plant
<b>CAP Approval Due Date</b>	<b>02/25/2003</b>
Line Management Comments	No CAP Data entered in CATS

**3. Corrective Action Plans Pending Approval - On Schedule**  
None

**4. Approved Corrective Actions Plans - Completion OVERDUE**  
more than 90 days past the planned completion date.

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
<b>CAP Completion Due Date</b>	<b>10/15/2002</b>
Line Management Comments	One late corrective action remains to designate a DOE nuclear criticality safety subject matter expert.

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



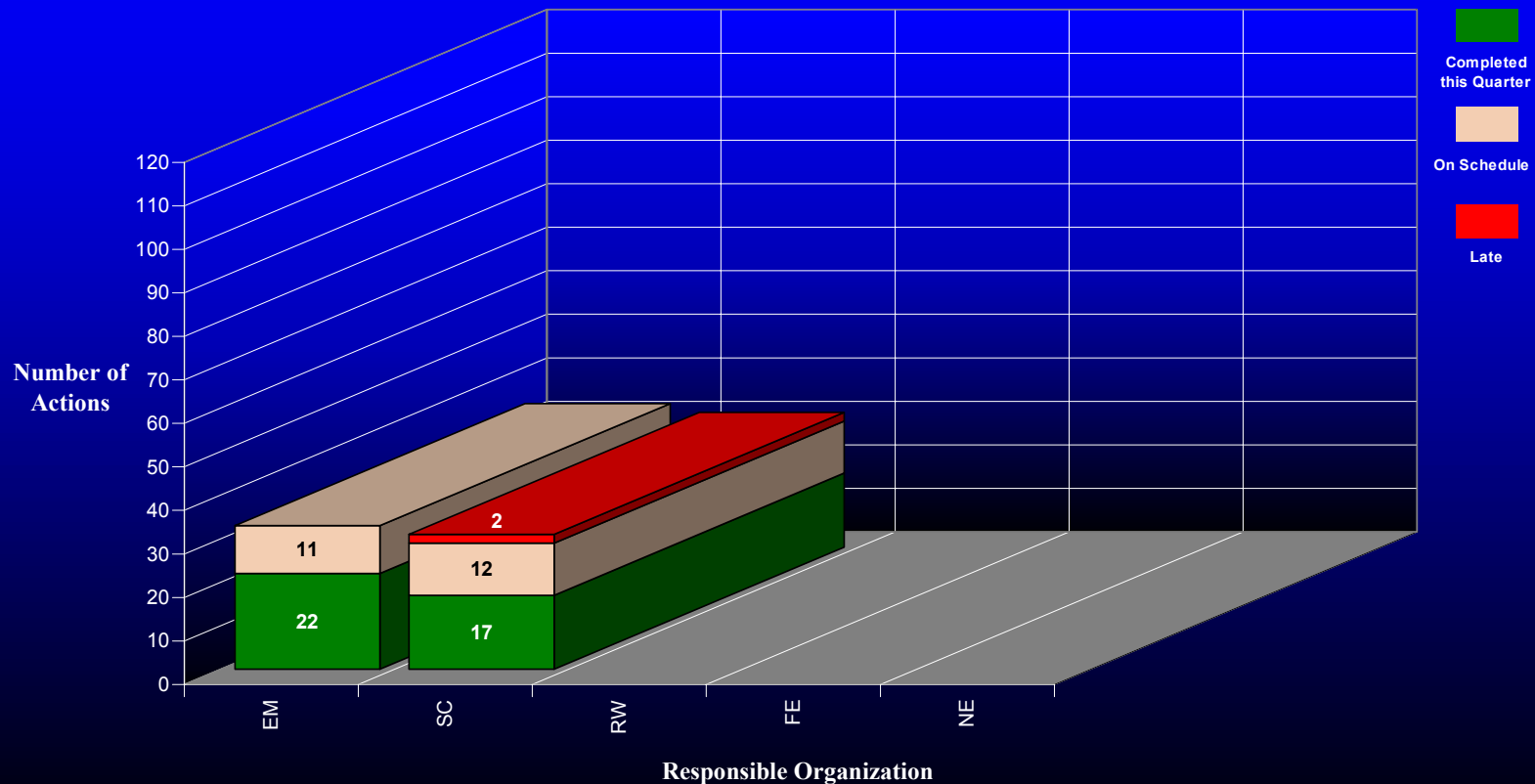
# Under Secretary for Energy, Science and Environment



## Under Secretary for Energy, Science and Environment Summary

New Assessment Reports this Quarter	0
<b>Corrective Action Plans (CAPs) Pending Approval</b>	
CAPs pending approval - Approval > 60 days OVERDUE	0
CAPs pending approval - Approval <= 60 days OVERDUE	0
CAPs pending approval - Approval on schedule	0
<b>Total CAPs pending approval</b>	
<b>0</b>	
<b>Approved Corrective Action Plans (CAPs)</b>	
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	7
<b>Total approved CAPs still open</b>	
<b>8</b>	
Approved CAPs - Completed this Quarter	3

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

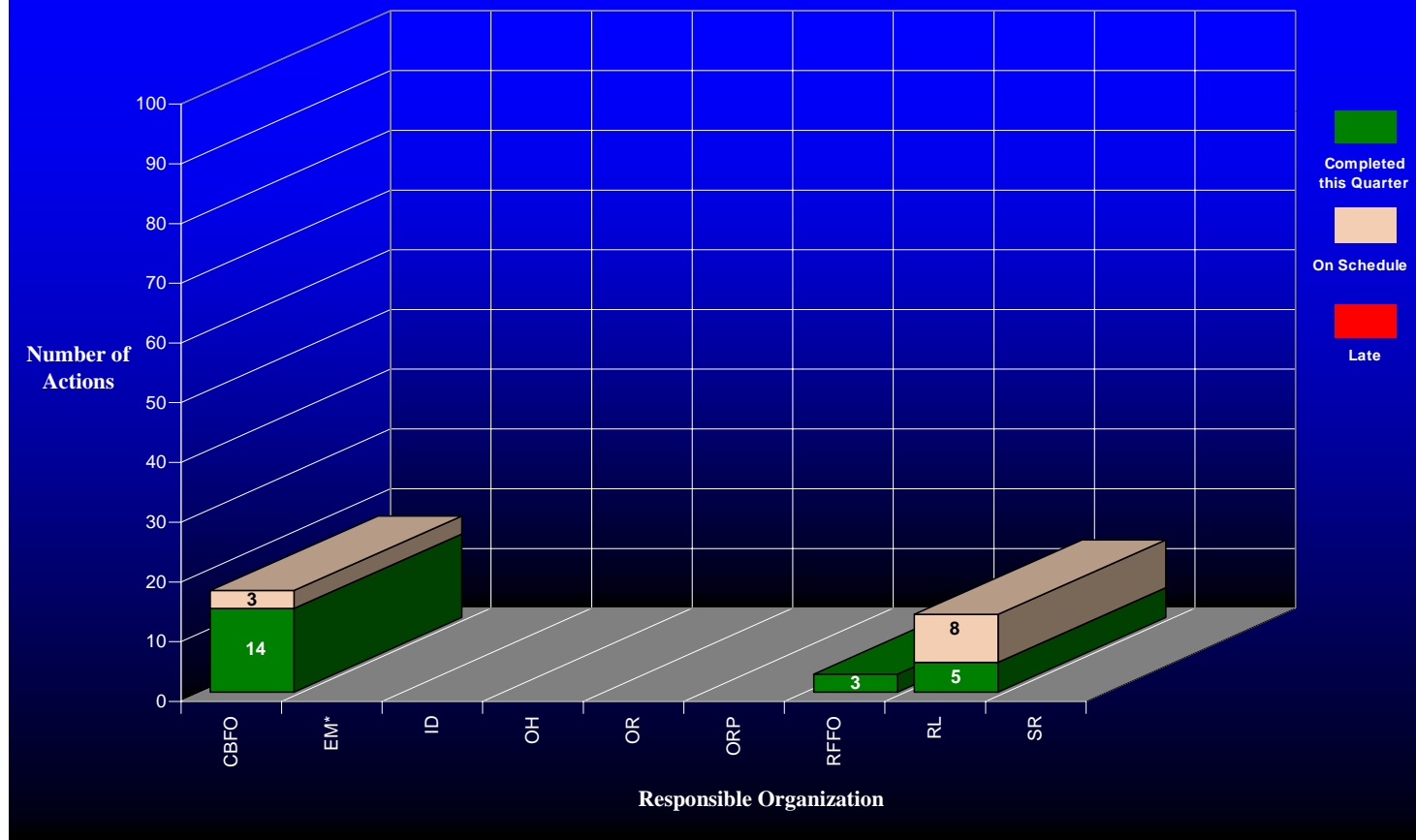


Corrective Action Status	EM	SC	RW	FE	NE	TOTALS
<b>Completed 2<sup>nd</sup> Qtr, FY03</b>	22	17	0	0	0	39
<b>Total Completed</b>	1883	599	4	9	28	2523
<b>On Schedule</b>	11	12	0	0	0	23
<b>Late</b>	0	2	0	0	0	2
<b>Totals</b>	1894	613	4	9	28	2548

## Assistant Secretary for Environmental Management Late Corrective Actions

**None**

## Status of Corrective Actions Assistant Secretary for Environmental Management



EM										
Corrective Action Status	CBFO	EM*	ID	OH	OR	ORP	RFFO	RL	SR	TOTALS
<b>Completed 2<sup>nd</sup> Qtr, FY03</b>	14	0	0	0	0	0	3	5	0	22
<b>Total Completed</b>	44	67	491	229	691	38	119	117	87	1883
<b>On Schedule</b>	3	0	0	0	0	0	0	8	0	11
<b>Late</b>	0	0	0	0	0	0	0	0	0	0
<b>Totals</b>	47	67	491	229	691	38	119	125	87	1894

\* 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**  
None
3. **Corrective Action Plans Pending Approval - On Schedule**  
None
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	RFETS-05/29/2001-0001-R-EH2
Report Title	Special Review of the Rocky Flats Closure Project Site
Final Report Date	05/29/2001
Office/Facility Reviewed	Rocky Flats Environmental Technol- ogy Site
<b>CAP Completion Date</b>	<b>02/24/2003</b>

## 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

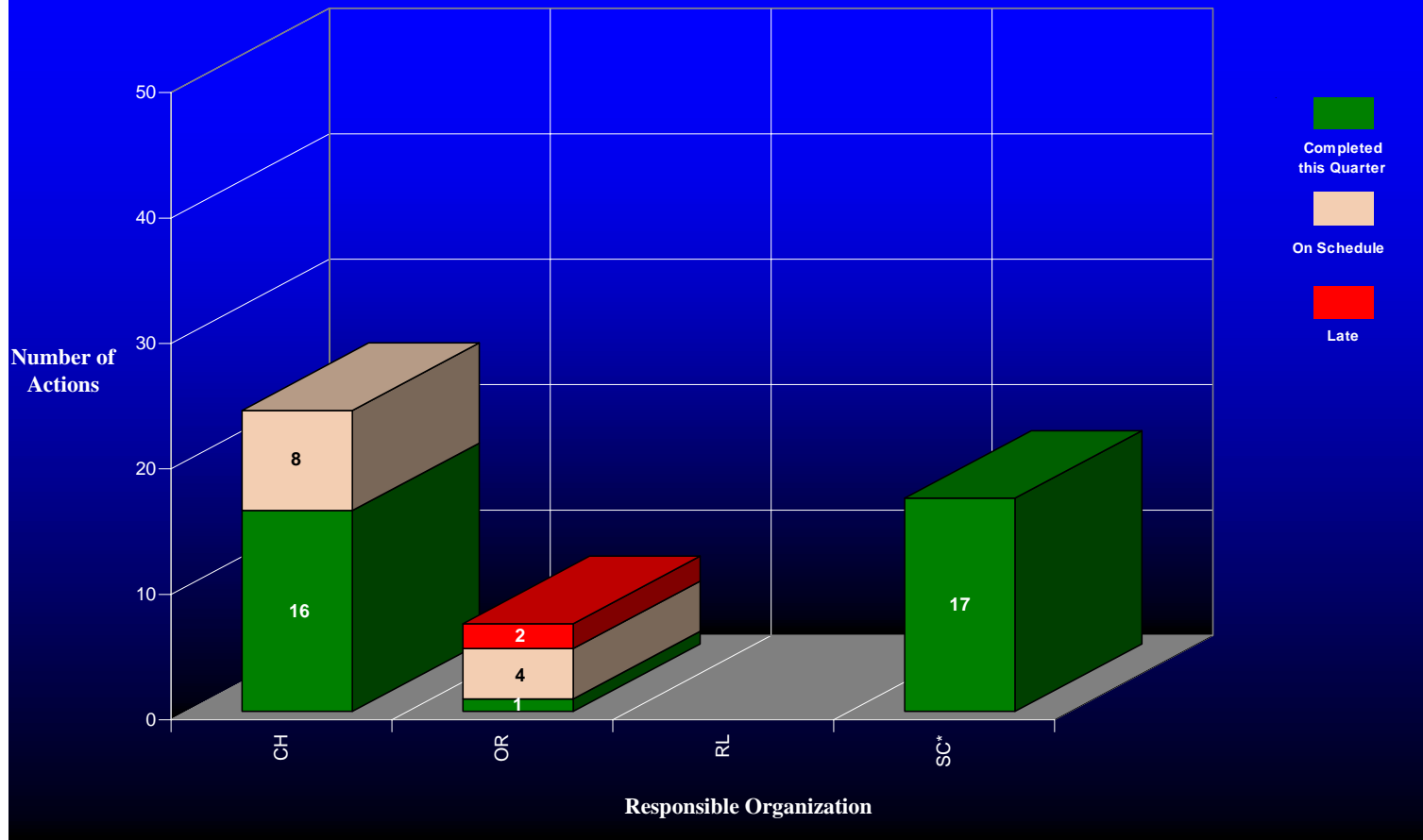
Number of Late Corrective Actions: 1

Report Number: ORO-06/08/2000-0002-R-SSA

Report Title: High-Efficiency Particulate Air (HEPA) Filter in Nuclear Facilities

Number of Late Corrective Actions: 1

### Status of Corrective Actions Director, Office of Science



SC					
Corrective Action Status	CH	OR	RL	SC*	TOTALS
Completed 2 <sup>nd</sup> Qtr, FY03	16	1	0	17	17
Total Completed	107	120	37	335	599
On Schedule	8	4	0	0	12
Late	0	2	0	0	2
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**

Report Number	ORO-06/08/2000-0002-R-SSA
Report Title	High-Efficiency Particulate Air (HEPA) Filter in Nuclear Facilities
Office/Facility Reviewed	Oak Ridge Operations Office
<b>CAP Completion Due Date</b>	<b>03/31/2003</b>
Line Management Comments	One late corrective action remains to update the Safety Analysis Reports addressing accident survivability of credited safety-related HEPA filters.

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

Report Number	ORNL-02/05/2002-0001-R-ES&H
Report Title	Office of Independent Oversight and Performance Assurance Follow-Up Review of the Oak Ridge National Laboratory Health Services Division
Final Report Date	02/05/2002
Office/Facility Reviewed	Oak Ridge National Laboratory
<b>CAP Completion Date</b>	<b>01/14/2003</b>

Report Number	ANLE-06/28/2002-0001-R-ES&H-XM
Report Title	Office of Independent Oversight and Performance Assurance Inspection of ES&H and Emergency Management at the Argonne National Laboratory
Final Report Date	06/28/2002
Office/Facility Reviewed	Argonne National Laboratory - East
<b>CAP Completion Date</b>	<b>03/21/2003</b>



## 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