



Department of Energy

Washington, DC 20585

April 26, 2002

MEMORANDUM FOR: Distribution

FROM: S. David Stadler, EH-2

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

Attached is the Department of Energy (DOE) report on the status of the Corrective Action Management (CAM) Program for the second 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 findings identified by Independent Oversight. 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 CAM Team to ensure that the most accurate portrayal of the Department's CAM Program 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, Second Quarter FY 2002

Final Report Distribution

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

Final Report Distribution Continued

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Department of Energy
Office of Corporate Safety Assurance

Corrective Action Management Program
Second Quarter Report-Fiscal Year 2002

April 2002



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Abbreviations Used in this Report	Inside Back Cover

Department of Energy Corrective Action Management Program

Second 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 second quarter, fiscal year 2002 summary status of CAPs and their associated corrective actions as of March 31, 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). **Three CAPs with approval due dates for this quarter and earlier have**

not been approved by the CSO and are OVERDUE. There were five late CAPS reported last quarter. **One CAP approved by the CSO has one or more corrective actions that have not been completed within the planned CAP completion date and is OVERDUE.** There were two approved CAPS overdue from their planned completion date reported 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 13 late corrective actions. There were 39 late corrective actions reported 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 101 appraisal reports have been tracked within the CATS identifying 660 findings. Line managers developed and implemented CAPs in response to these appraisal reports, which include a total of 3,580 corrective actions to resolve the identified findings.

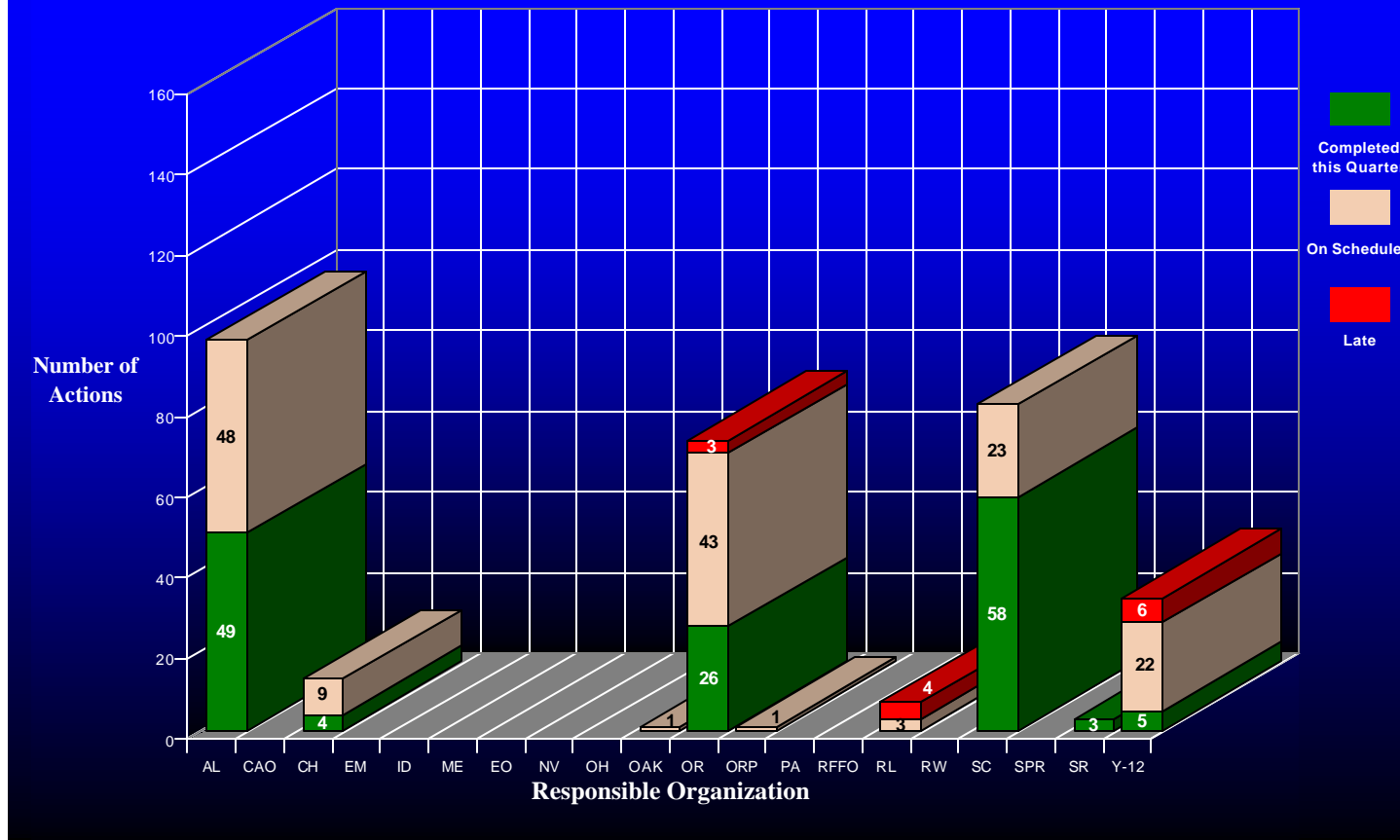
In response to line management feedback received from the recent review of safety management at DOE (Reyes Report) and the December 2001 Executive Safety Conference, "Taking Integrated Safety Management to the Next Level", we are also reviewing development of a system to assist managers in determining the effectiveness of corrective actions implemented to resolve identified findings or issues, and help assure these and similar findings do not recur. We will pursue this follow-up initiative to corrective action programs and coordinate our recommended actions with managers for consideration.

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	3
Corrective Action Plans (CAPs) Pending Approval	
CAPs pending approval - Approval > 60 days OVERDUE	2
CAPs pending approval - Approval <= 60 days OVERDUE	1
CAPs pending approval - Approval on schedule	1
Total CAPs pending approval	
4	
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	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 2nd Qtr, FY02	49	0	4	0	0	0	0	0	0	0	26	0	0	0	0	0	58	0	3	5	145
Total Completed	634	14	54	67	491	8	70	153	229	118	741	4	33	23	89	4	312	9	87	277	3417
On Schedule	48	0	9	0	0	0	0	0	0	1	43	1	0	0	3	0	23	0	0	22	150
Late	0	0	0	0	0	0	0	0	0	0	3	0	0	0	4	0	0	0	0	6	13
Totals	682	14	63	67	491	8	70	153	229	119	787	5	33	23	96	4	335	9	87	305	3580

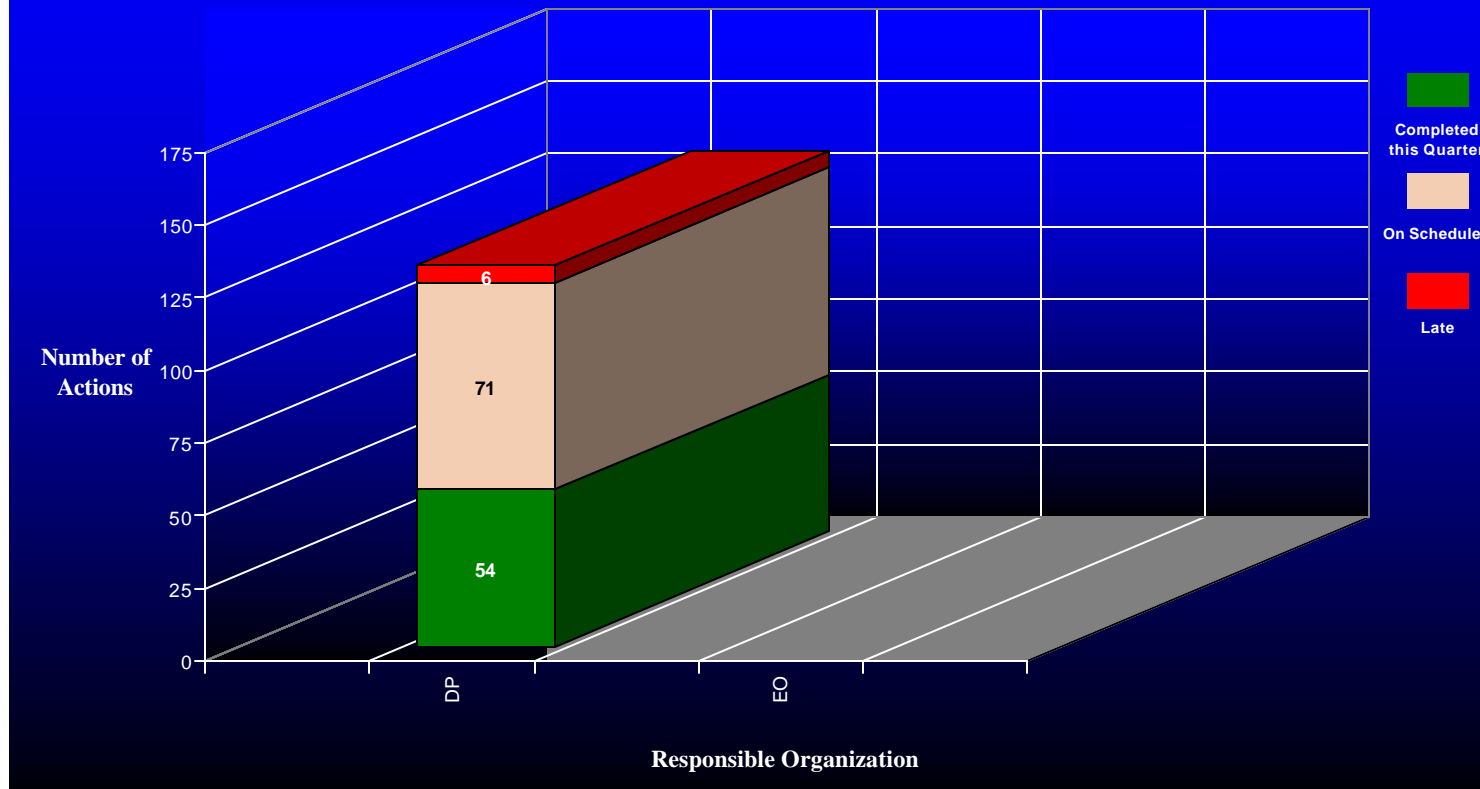
¹ EM includes 3/1/96 Oversight Review of DOE-wide Quality Assurance Program of Suspect/Counterfeit Parts and 8/1/95 Type A Accident Investigation for the Security Rappel Tower Facility at SR.
² SC includes independent oversight appraisals of Brookhaven and Fermi National Accelerator Laboratories

Administrator for Nuclear Security,
National Nuclear Security Administration

Administrator for Nuclear Security, 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	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	9
Total approved CAPs still open	9
Approved CAPs - Completed this Quarter	2

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



Corrective Action Status	DP	EO*	TOTALS
Completed 2nd Qtr. FY02	54	0	54
Total Completed	1182	70	1252
On Schedule	71	0	71
Late	6	0	6
Totals	1259	70	1329

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

Deputy Administrator for Defense Programs

Late Corrective Actions

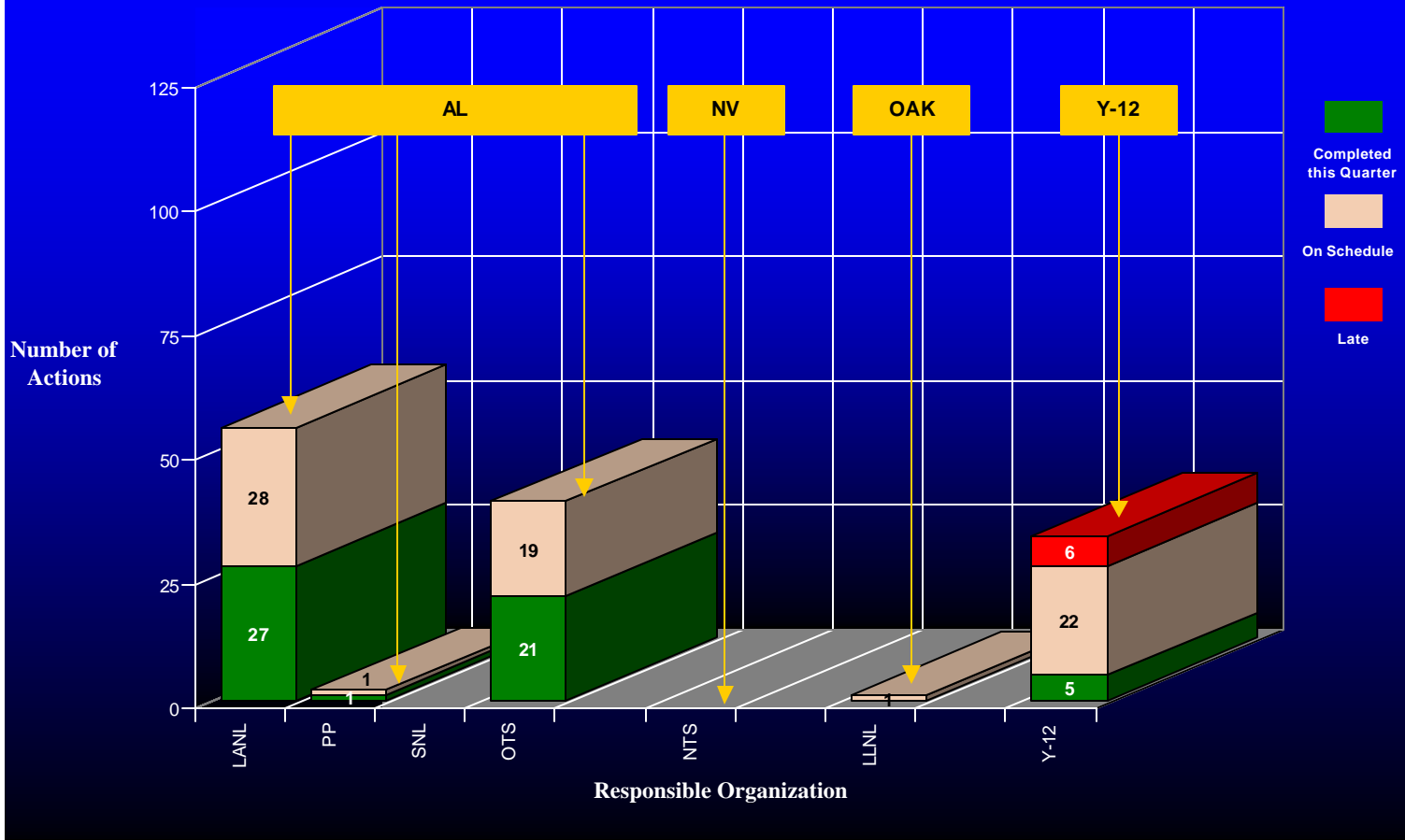
Y-12 National Security Complex

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: 6

Status of Corrective Actions Deputy Administrator for Defense Programs



	AL			OTS	NV	OAK	Y-12	
Corrective Action Status	LANL	PP	SNL	OTS	NTS	LLNL	Y-12	TOTALS
Completed 2 nd Qtr, FY02	27	1	0	21	0	0	5	54
Total Completed	364	46	156	68	153	118	277	1182
On Schedule	28	1	0	19	0	1	22	71
Late	0	0	0	0	0	0	6	6
Totals	392	47	156	87	153	119	305	1259

Status of Corrective Action Plans

Deputy Administrator for Defense Programs

1. New Assessment Reports this Quarter

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
Final Report Date	01/10/2002
Office/Facility Reviewed	Kansas City Plant
CAP Completion Due Date	03/11/2002
Approval Status	Pending Approval

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

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
Final Report Date	01/10/2002
Office/Facility Reviewed	Kansas City Plant

CAP Approval Due Date

03/11/2002

Line Management Comments: A memorandum from the Manager, Albuquerque Operations Office, to the Director, OKCSO, is being drafted which delegates Cognizant Line Manager responsibility and CAP approval authority. It also will extend the CAP Approval Due Date to April 22, 2002.

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	PP-11/06/2000-0002-R-XM
Report Title	Independent Oversight Evaluation of the Pantex Plant Emergency Response Exercise
Final Report Date	11/06/2000
Office/Facility Reviewed	Pantex Plant
CAP Completion Date	02/04/2002

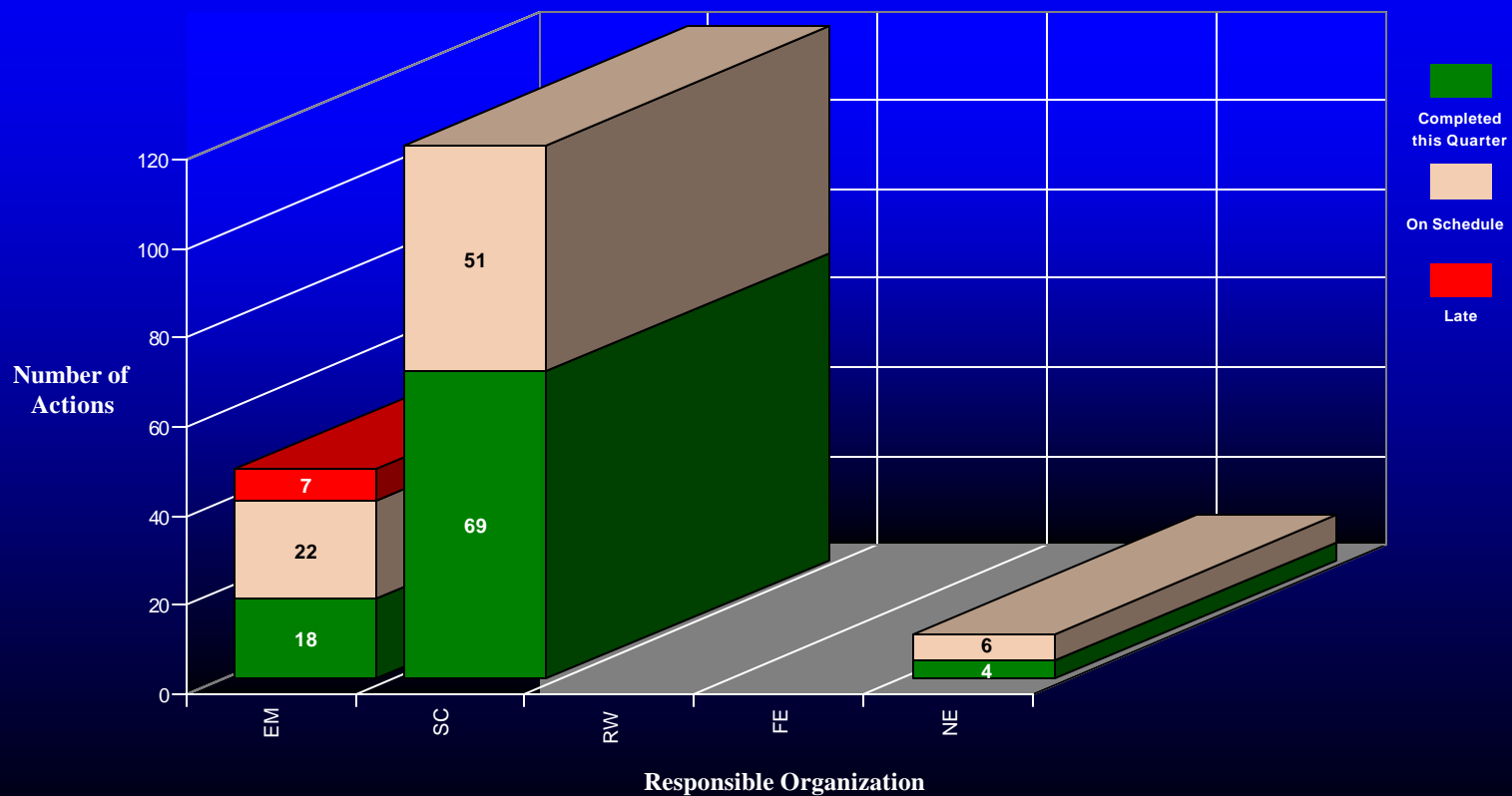
Report Number	Y-12-02/24/2000-0001-R-AIA
Report Title	Type A Accident Investigation of the December 8, 1999, Multiple Injury Accident Resulting from the Sodium- Potassium Explosion in Building 9201-5 at the Y-12 Plant
Final Report Date	02/24/2000
Office/Facility Reviewed	Oak Ridge Y-12 Site
CAP Completion Date	03/22/2002

Under Secretary for Energy, Science
and Environment

Under Secretary for Energy, Science and Environment Summary

New Assessment Reports this Quarter	2
Corrective Action Plans (CAPs) Pending Approval	
CAPs pending approval - Approval > 60 days OVERDUE	2
CAPs pending approval - Approval <= 60 days OVERDUE	0
CAPs pending approval - Approval on schedule	1
Total CAPs pending approval	
	3
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	11
Total approved CAPs still open	
	12
Approved CAPs - Completed this Quarter	1

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



Corrective Action Status	EM	SC	RW	FE	NE	TOTALS
Completed 2nd Qtr. FY02	18	69	0	0	4	91
Total Completed	1610	479	4	9	22	2124
On Schedule	22	51	0	0	6	79
Late	7	0	0	0	0	7
Totals	1639	530	4	9	28	2210

Assistant Secretary for Environmental Management

Late Corrective Actions

Oak Ridge Operations Office

Report Number: PGDP-10/20/1999-0001-R-EH2

Report Title: Phase I Independent Investigation of the Paducah Gaseous Diffusion Plant, October 1999

Number of Late Corrective Actions: 1

Report Number: PORTS-05/25/2000-0001-R-EH2

Report Title: Independent Investigation of the Portsmouth Gaseous Diffusion Plant

Number of Late Corrective Actions: 2

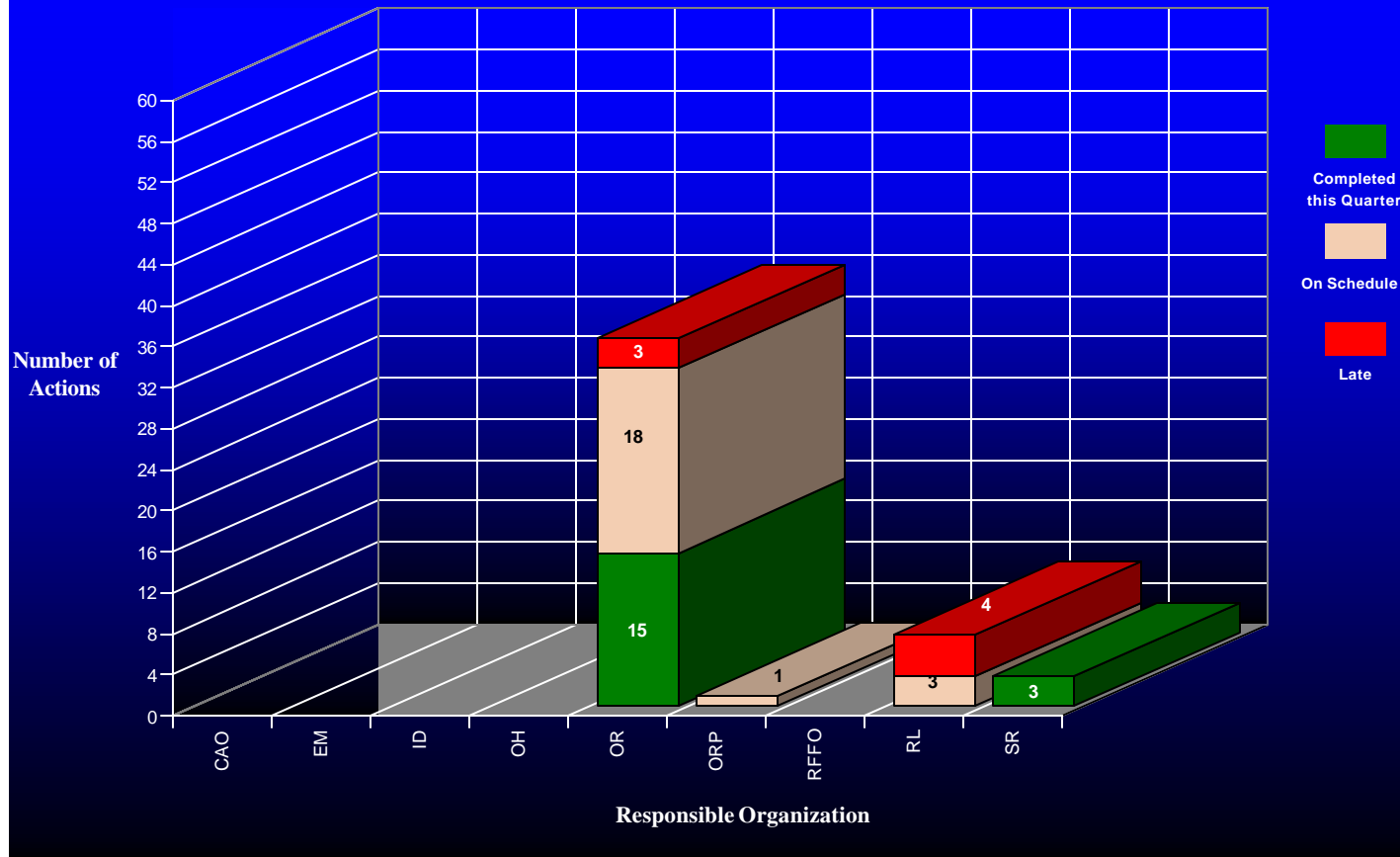
Richland Operations Office

Report Number: HS-09/07/2001-0001-R-XM

Report Title: Independent Oversight Inspection of Emergency Management at the Hanford Site

Number of Late Corrective Actions: 4

Status of Corrective Actions Assistant Secretary for Environmental Management



EM										
Corrective Action Status	CAO	EM*	ID	OH	OR	ORP	RFFO	RL	SR	TOTALS
Completed 2 nd Qtr, FY02	0	0	0	0	15	0	0	0	3	18
Total Completed	14	67	491	229	643	4	23	52	87	1610
On Schedule	0	0	0	0	18	1	0	3	0	22
Late	0	0	0	0	3	0	0	4	0	7
Totals	14	67	491	229	664	5	23	59	87	1639

* 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	HS-01/16/2002-0001-R-EH2
Report Title	Comprehensive Fire Safety Review at the Hanford Site
Final Report Date	01/16/2002
Office/Facility Reviewed	Hanford Site
CAP Completion Due Date	03/17/2002

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

Report Number	ORO-05/29/2001-0001-R-EH2
Report Title	Review of Oak Ridge Operations Office Contractor Nuclear Criticality Safety Self-Assessments
Final Report Date	05/29/2001
Office/Facility Reviewed	Oak Ridge Operations Office
CAP Approval Due Date	07/28/2001
Line Management Comments	Proposed CAP was rejected for approval by EM-1 and returned for resubmission because it did not adequately meet EM policy requirements for addressing causes, preventing recurrence of identified findings, and taking actions to implement and verify closure of corrective actions.

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 Approval Due Date	11/06/2001
Line Management Comments	Proposed CAP was rejected for approval by EM-1 and returned for resubmission because it did not adequately meet EM policy requirements for addressing causes, preventing recurrence of identified findings, and taking actions to implement and verify closure of corrective actions.

3. Corrective Action Plans Pending Approval - On Schedule None

4. Approved Corrective Actions Plans - Completion OVERDUE

Report Number	PGDP-10/20/1999-0001-R-EH2
Report Title	Phase I Independent Investigation of the Paducah Gaseous Diffusion Plant, October 1999
Office/Facility Reviewed	Paducah Gaseous Diffusion Plant
CAP Completion Due Date	02/28/2002

Line Management Comments This CAP has one late corrective action. A request was submitted to EM-1 to close the remaining action since technical and legal issues have caused the technology specified in the CAP to change and full deployment will not occur until 2004.

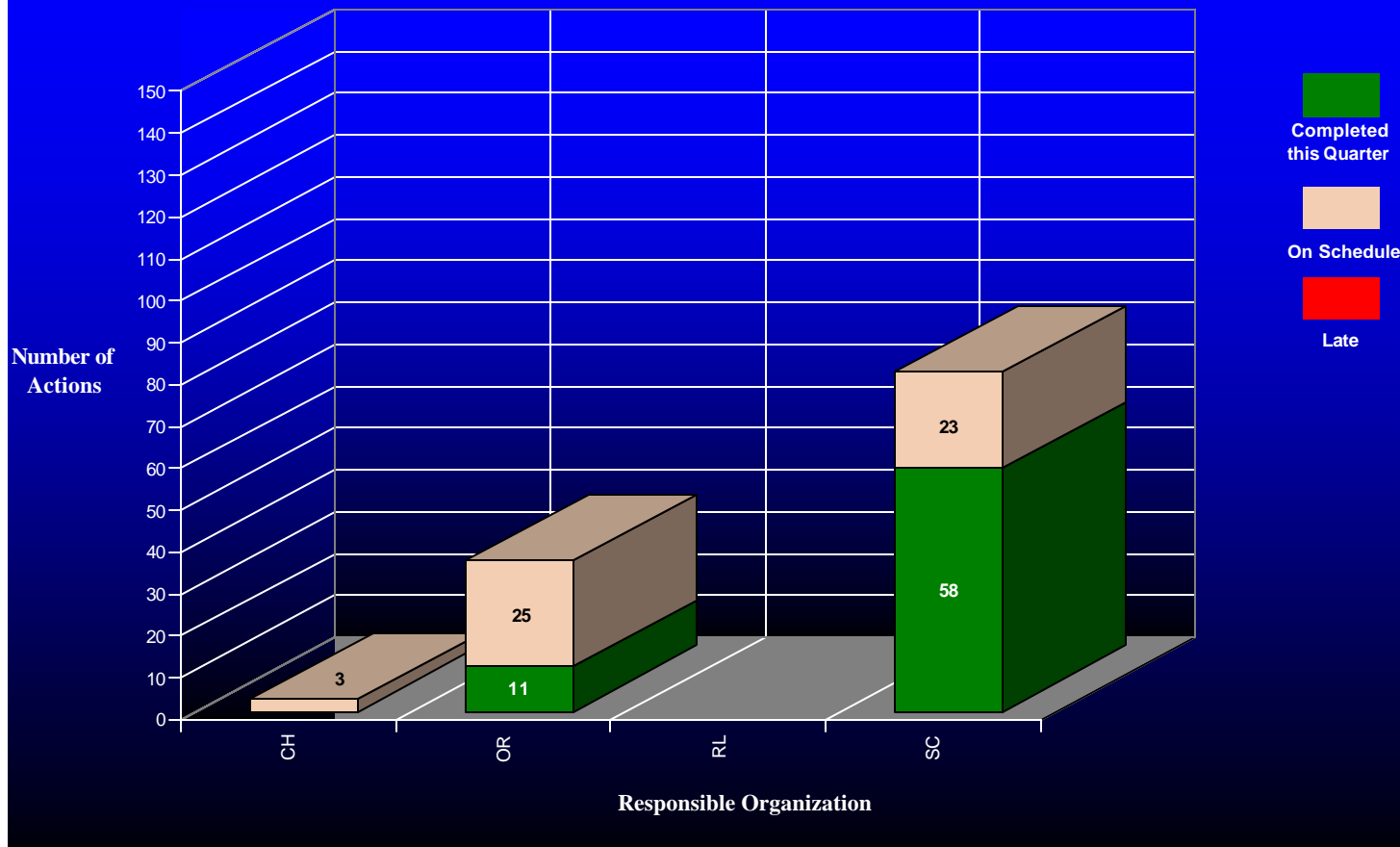
5. Approved Corrective Action Plans - Completed this Quarter (all corrective actions in CAP completed this quarter)

Report Number	SRS-04/24/2001-0001-R-EH2
Report Title	Independent Inspection of the Savannah River Site Environmental Monitoring and Surveillance Programs
Final Report Date	04/24/2001
Office/Facility Reviewed	Savannah River Site
CAP Completion Date	01/31/2002

Director, Office of Science
Late Corrective Actions

None

Status of Corrective Actions Director, Office of Science



SC					
Corrective Action Status	CH	OR	RL	SC*	TOTALS
Completed 2 nd Qtr. FY02	0	11	0	58	69
Total Completed	32	98	37	312	479
On Schedule	3	25	0	23	51
Late	0	0	0	0	0
Totals	35	123	37	335	530

* 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

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
CAP Completion Due Date	04/06/2002

**2. Corrective Action Plans Pending Approval - OVERDUE
None**

3. Corrective Action Plans Pending Approval - On Schedule

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
CAP Approval Due Date	04/06/2002

**4. Approved Corrective Action Plans - Completion OVERDUE
None**

**5. Approved Corrective Actions Plans - Completed this Quarter
None**

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