

Corrective Action Tracking System CATS

User's Guide for Direct Web Access



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**Corrective Action Tracking System (CATS)
User's Guide for Direct Web Access
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The United States Department of Energy
Office of Environment, Safety and Health

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Table of Contents

1.0 Overview	3
1.1 CATS Database Access Control Overview	4
1.2 CATS Architecture	4
1.3 Record Keeping.....	5
1.4 Privacy Act Statement.....	5
1.5 Security.....	5
2.0 Accessing CATS	5
2.1 Accessing the Internet.....	5
2.2 URL Address Locator	6
2.3 Accessing CATS	6
2.3.1 User Login.....	8
2.3.2 Request Read-Only Access Account	10
2.3.3 Request Editor Access – Acquiring a CATS Access Account	10
2.3.4 Changing Your Login Password	11
2.4 CATS Main Menu Overview	13
2.5 Navigating CATS.....	13
3.0 CATS Data Entry.....	16
3.1 Create a Source Report	16
3.2 Create a Finding	17
3.3 Create a Corrective Action Plan (CAP)	19
3.4 Create a Corrective Action.....	22
3.5 Spell Check	25
4.0 Viewing Data	26
4.1 Viewing a Source Report	26
4.2 Viewing a Finding.....	27
4.3 Viewing a CAP	28
4.4 Viewing an Action.....	29
5.0 Linking Data	30
5.1 Link a Finding to a Source Report.....	30
5.2 Link an Action to a Finding	31
5.3 Unlink an Action from a Finding.....	32
6.0 Search Features	33
6.1 Search for Source Report	33
6.2 Search for Finding.....	34
6.3 Search for CAP	35
6.4 Search for Action.....	36
7.0 Edit Data	37
7.1 Edit Source Report Data	38

7.2	Edit Findings	38
7.3	Edit CAP Data.....	38
7.4	Edit Actions	39
7.5	Requesting Edits For Selected CATS Fields.	41
8.0	Reports	42
8.1	Quarterly Report	43
8.2	Action Status by SO.....	43
8.3	Action Status by Site.....	45
	APPENDIX: Data Dictionary	49
	Section 1 – Field/Form Diagram.....	50
	Section 2 – Data Characterization.....	52
2.1	Data Entry by the Office of ES&H	52
2.1.1	Report Data.....	52
2.1.2	Finding Data	53
2.2	Data Entry by Line Management	53
2.2.1	CAP Data.....	53
2.2.2	Corrective Action Data.....	55
2.3	Field Specifications for CATS	57
	Section 3 - Keyword Values	65
	INDEX	70

1.0 OVERVIEW

The Department of Energy (DOE) Corrective Action Management Program (CAMP) prescribes process requirements and responsibilities for DOE line managers to develop and implement corrective actions to effectively resolve safety findings arising from:

- Findings as identified by the Office of Independent Oversight and Performance Assurance Environment, Safety and Health and Emergency Management assessments;
- Judgments of Need as identified by Type A accident investigations;
- Other sources as directed by the Secretary or Deputy Secretary, including crosscutting safety findings.

Requirements and responsibilities for implementing the CAMP are delineated in Attachment 4, DOE Order 414.1B, Quality Assurance. Assessments, investigations, and other reporting sources identified under the purview of the CAMP will be referred to as assessments in this Guide. Safety issues, findings, and Judgments of Need identified under the purview of this program will be referred to as findings in this Guide. In order to effectively track and report the status of the assessment findings and associated corrective actions to resolve the findings, DOE established the Corrective Action Tracking System (CATS) database.

The CATS is a web-based database used to maintain the documentation associated with CAMP related assessments. It is used to create, edit, view, and report assessments, findings identified in the assessments, Corrective Action Plans (CAPs), and individual corrective actions in response to the identified findings. Assessment report data and findings identified in the assessment report are entered into CATS by the Office of the Assistant Secretary for Environment, Safety and Health (EH). The CAP data and corrective actions for each of the findings are entered into CATS and followed-up by the field element manager designated to coordinate and develop the CAP and track and report the CAP data in CATS. The assessment report, CAP data, findings, and associated corrective actions are linked to allow users ready access to all corrective action information relative to each assessment report.

Although there is no classified information in CATS, the description of identified findings and corrective actions outlined in the database are potentially sensitive. As a result, members of the public cannot access the CATS. Access is limited to DOE and other Federal agency employees and contractors, and is strictly controlled through a registration process. To access CATS, see paragraph 2.4 of this Guide. Members of the public may request paper copies of CAMP information in CATS by contacting the DOE Office of Environment, Safety, and Health Information Management Helpline at esh-infocenter@eh.doe.gov (E-mail) or 1-800-473-4375 (phone).

This Guide can be accessed from the Corrective Action Tracking System Web Site at <http://www.oh.doe.gov/camp/trackingsys.html> or through the Corrective Action Management Program Web Site at <http://www.oh.doe.gov/camp/index.html>.

1.1 CATS DATABASE ACCESS CONTROL OVERVIEW

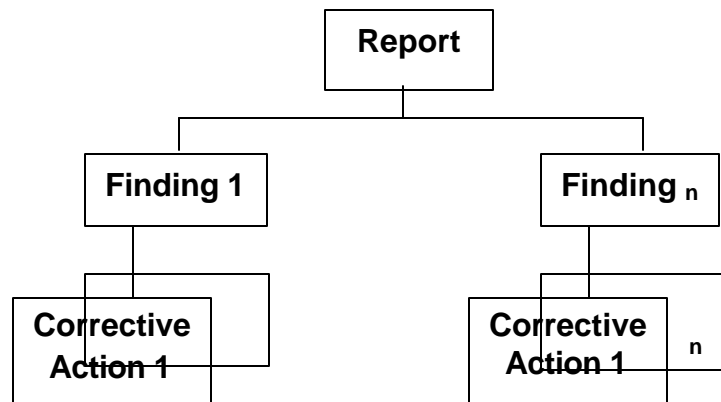
Most persons who register for access to CATS will have view (read only) access. To prevent unauthorized persons from entering or changing data in CATS, only DOE Federal and contractor personnel specifically authorized by DOE Headquarters and field element managers to register as CATS editors will be allowed to enter or change information in the database for their specific sites.

CATS Database user access categories are:

- Read Only - authorized to review all report and CAP information in CATS but cannot create or edit data.
- Editor - authorized to review all report and CAP information in CATS and can create and edit data pertaining to their specific site.
- Assessing Organization Editors - authorized to review all report and CAP information in CATS and can create and edit internal assessment follow-up fields only available to the assessing organization.

1.2 CATS ARCHITECTURE

Records in the CATS are organized to produce a logical flow of information and to define products to allow the Field Element Managers to effectively manage their respective site's Corrective Action Program. There are three (3) record types: Report, Finding and Corrective Action. They are organized to maximize the information relationships between the assessment report, its findings and the corrective actions to resolve those findings. The CATS records are stored in the system in a one-to-many relationship, (i.e., multiple findings to a single report and multiple corrective actions to a single finding).



CATS Record Structure

The planned product (action deliverable) that provides the objective evidence of the corrective action fulfillment is defined in the corrective action record. For every action deliverable there should be a single corrective action record. This one-to-one relationship enhances line management ability to effectively record and track the status of corrective actions to successful completion.

1.3 RECORD KEEPING

The CATS system is not designed to serve as an electronic record keeping system. All pertinent records related to a Finding must be maintained by the organization of origin in accordance with DOE Federal Records regulations and guidance.

1.4 PRIVACY ACT STATEMENT

CATS is available to employees of Federal Agencies and their contractors. All data entered into the system must be carefully reviewed prior to submission to ensure that no Privacy Act information is included.

1.5 SECURITY

The CATS system is an unclassified system. All information entered into the system must be carefully reviewed prior to submission to ensure it is unclassified.

CATS uses the Secure Sockets Layer (SSL) encryption protocol to assure integrity of data as it transits the Internet. Users must have a version of Internet Explorer or Netscape that supports SSL communications. Recent versions do support SSL.

2.0 ACCESSING CATS

CATS is an IBM Lotus Domino web-based application that runs from a domino server. CATS can be accessed through either of two Internet browsers: Internet Explorer or Netscape Navigator. Users are required to register a logon ID and password the first time they access CATS. Once users receive their logon information, they are ready to access the CATS system.

CATS can be accessed from the CATS Web Site at <http://www.eh.doe.gov/catsentry.html> or through the Corrective Action Management Program Web Site at <http://www.eh.doe.gov/camp/index.html>...

2.1 ACCESSING THE INTERNET

The Web browser used is typically one installed by the computer support team for DOE users. CATS is accessed using a standard Web browser.

To access the Internet using the Microsoft's Internet Explorer, double-click the Web browser icon located on the Windows desktop. The designated home page for your organization, or another one you may have chosen, will be displayed.

Note: For the purpose of this documentation, all examples for Web browsers will relate to the Internet Explorer browser, the standard browser of the DOE Common Operating Environment (COE). However, the functionality of Netscape is very similar.

2.2 URL ADDRESS LOCATOR

A URL (Uniform Resource Locator) contains specific address components that identify where a web page is located. Http:// indicates the link is on the Web and is followed by the domain name or address (e.g. <http://www.eh.doe.gov/camp/index.html>) that is a location of a direct web site.



Address

Favorites List

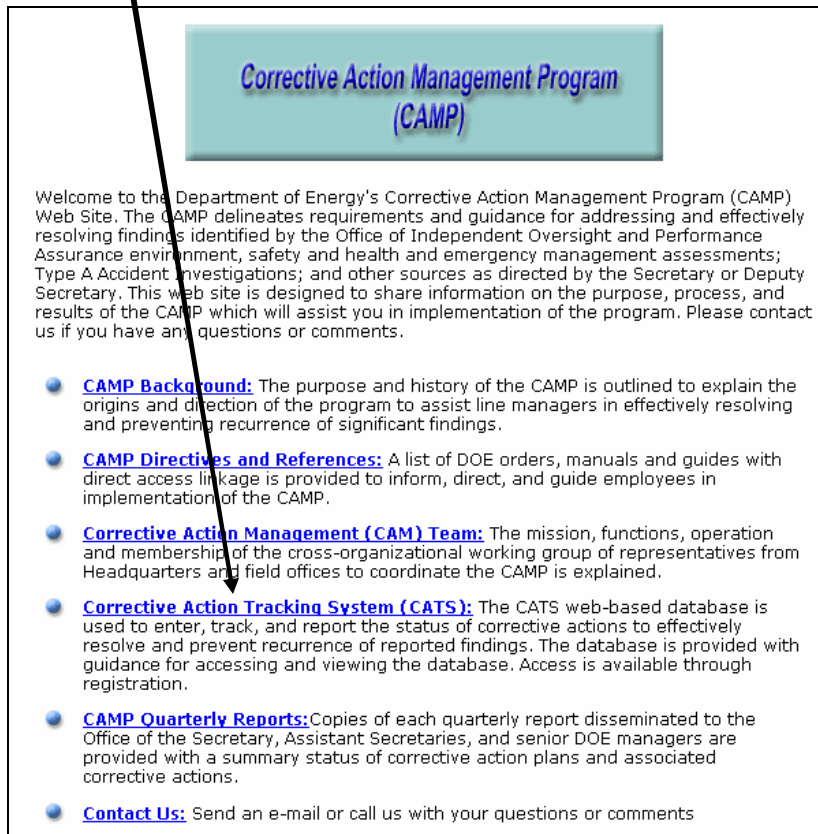
- Enter the web site address in the **Address Bar**.
- Press **Enter** to retrieve the web site.
- Click the **Favorites** menu item. A list of favorite URLs is displayed.
- Click on **Add to Favorites** to save the address for future use.

2.3 ACCESSING CATS

To access CATS complete the following steps:

- Open your Internet browser.
- Enter the ISM Resource Center Corrective Action Management Program page URL:
<http://www.eh.doe.gov/camp/index.html>.

- Click on Corrective Action Tracking System (CATS).

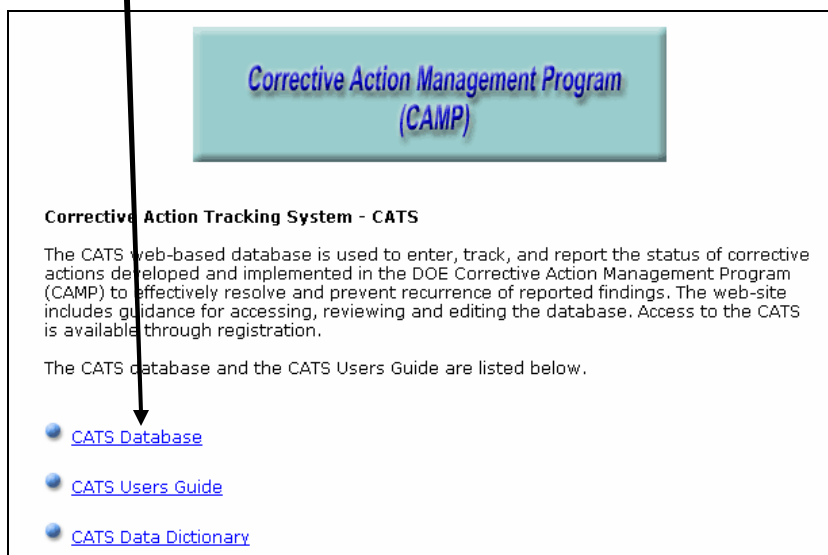


Corrective Action Management Program (CAMP)

Welcome to the Department of Energy's Corrective Action Management Program (CAMP) Web Site. The CAMP delineates requirements and guidance for addressing and effectively resolving findings identified by the Office of Independent Oversight and Performance Assurance environment, safety and health and emergency management assessments; Type A Accident Investigations; and other sources as directed by the Secretary or Deputy Secretary. This web site is designed to share information on the purpose, process, and results of the CAMP which will assist you in implementation of the program. Please contact us if you have any questions or comments.

- **CAMP Background:** The purpose and history of the CAMP is outlined to explain the origins and direction of the program to assist line managers in effectively resolving and preventing recurrence of significant findings.
- **CAMP Directives and References:** A list of DOE orders, manuals and guides with direct access linkage is provided to inform, direct, and guide employees in implementation of the CAMP.
- **Corrective Action Management (CAM) Team:** The mission, functions, operation and membership of the cross-organizational working group of representatives from Headquarters and field offices to coordinate the CAMP is explained.
- **Corrective Action Tracking System (CATS):** The CATS web-based database is used to enter, track, and report the status of corrective actions to effectively resolve and prevent recurrence of reported findings. The database is provided with guidance for accessing and viewing the database. Access is available through registration.
- **CAMP Quarterly Reports:** Copies of each quarterly report disseminated to the Office of the Secretary, Assistant Secretaries, and senior DOE managers are provided with a summary status of corrective action plans and associated corrective actions.
- **Contact Us:** Send an e-mail or call us with your questions or comments

- Click on the **CATS Database** option.



Corrective Action Management Program (CAMP)

Corrective Action Tracking System - CATS

The CATS web-based database is used to enter, track, and report the status of corrective actions developed and implemented in the DOE Corrective Action Management Program (CAMP) to effectively resolve and prevent recurrence of reported findings. The web-site includes guidance for accessing, reviewing and editing the database. Access to the CATS is available through registration.

The CATS database and the CATS Users Guide are listed below.

- [CATS Database](#)
- [CATS Users Guide](#)
- [CATS Data Dictionary](#)

The next screen, the **Corrective Action Tracking System Welcome to CATS** screen provides an introduction for accessing CATS as well as four login options: User Login, Request Read Only Access, Change Password, and Request Editor Access.

Corrective Action Tracking System



Welcome to CATS.



NOTICE: Because of the potential sensitive nature of some information in Corrective Action Plans (CAPs) that is placed in the Department of Energy (DOE) Corrective Action Tracking System (CATS), DOE is limiting access to the CATS web site. Members of the public cannot access the CATS web site at this time. DOE regrets any inconvenience caused by this decision in response to the Deputy Secretary's concern regarding accessibility of DOE operational information.

Access to the CATS web site by DOE employees and contractors presently registered with the web site will not change. Registered users will continue to access the web site as they did prior to this change.

Non-registered employees and contractors from DOE and other Federal agencies may request a read-only account to view corrective actions on the CATS web site by selecting to register for read-only access (below), and completing the electronic registration form presented. Please complete all required fields, indicated by an arrow. The system will confirm your registration by E-Mail, which will contain your Login ID.

DOE will continue to provide paper copies as available of corrective action documents upon request. You may submit your request for a specific document by contacting the DOE Office of Environment, Safety and Health Information Management Helpline at 1-800-473-4375 or email: esh-infocenter@eh.doe.gov. We will direct your request to the responsible DOE office.

There are two types of user access: Editor and Read Only. Both require a login ID. Editor access provides limited editing rights that allow a person to enter data to generate reports. Read Only access allows the user to search and view reports, findings, CAPs, and corrective actions.

2.3.1 User Login

If you have a CATS account (including a Read-Only account), complete these steps.

- Click once on the **User Login** button.



Note: If prompted with a Security dialog box, select the "Yes" button.

The Login screen will be displayed, as shown on the following page.

- Enter your User Name and Password.
Note: Passwords are case sensitive.
- Click on **OK**.

You are entered into the CATS Main Menu system.

*Note: As a **registered** user, you are also able to enter the CATS Main Menu via any Bookmarks or Favorites CATS page. If you choose to access CATS using this method, the system will bypass the logon page, and prompt you for your login ID and password before entering the CATS Main Menu.*

2.3.2 Request Read-Only Access Account

If you are not required to create or edit data in CATS, you may request a Read-Only account which will give you access to view CATS once your registration is processed. You must be a federal employee or contractor located in a federal office with a government domain (e.g., .gov or .mil) to receive a Read-Only account.

Note: Exceptions to this policy must be approved by the CATS administrator before access is authorized.

With a Read-Only account you will not be able to view any attached documents in CATS.

If you wish to receive read-only access to CATS, complete the following steps.

- Click on the **Request Read Only Access** button.



- Complete the short registration form.
- Click the **Submit Request** button to receive a login password to CATS.

2.3.3 Request Editor Access – Acquiring a CATS Access Account

Note: Authorization to enter corrective action data for your organization or site will require completion of an authorization request form and verification with your manager before you can access CATS.

Users who require edit access should request an account via the **Request Editor Access** button. Once a user receives their editor account confirmation via e-mail, the user has the ability to change their password.

To request a CATS account with rights to read and/or edit data, complete the following steps.

- Click once on the **Request Editor Access** button.



*Note: If prompted with a Security dialog box, select the **OK** or **Yes** button.*

- Complete the on-line registration form.

- Click the **Submit Request** button.

In approximately **2-3** business days, you will receive your access information via the e-mail address you provided on the registration form.

2.3.4 Changing Your Login Password

If you already have a CATS account, you have the ability to change your password.

To change your password, complete the following steps.

- Click the **Change Password** button.



- Enter your **User Name** and **Password** in the Login dialog box.

The **Password Change Request** screen opens.

A screenshot of a web form titled "Password Change Request". On the left is an icon of an open door. The form contains the following fields: "Name:" with the value "Ted Kurkowski"; "Old Password:" with an empty text box; and "New Password:" with the value "slybklex30". Below the "New Password:" field, there is a red text message: "This is a suggested new password. Feel free to change it." The entire form is enclosed in a black border.

- Enter your **Old Password**, and then enter a **New Password** (or keep the one provided by the system).
- Click the **Submit Request** button at the bottom of the page.

The following rules apply to the creation of passwords.

DOE Order N 205.3 on Passwords

In accordance with DOE N 205.3, "Password Generation, Protection, and Use", and DOE G 205.3-1, "Password Guide", dated November 23, 1999, your Login Password must conform to the following guidelines.

In regards to your password for CATS access, you agree to the following guidelines when changing your password:

1. Password contains between 8 and 10 non-blank characters.
2. Password contains a combination of letters, numbers, and at least one special character (ex. # or \$).
3. Password contains a nonnumeric in the first and last position.
4. Password does not contain the user ID.
5. Password does not include the user's own or, to the best of his/her knowledge, close friends or relative names, employee serial number, Social Security number, birth date, phone number, or any information about him/her that the user believes could be readily learned or guessed.
6. Password does not, to the best of the user's knowledge, include common words that would be in an English dictionary, or from another language with which the user has familiarity.
7. Password does not, to the best of the user's knowledge, employ commonly used proper names, including the name of any fictional character or place.
8. Password does not contain any simple pattern of letters of numbers, such as "qwertyxx" or "xyz123xx".
9. Password employed by the user on his/her unclassified systems is different than the Passwords employed on his/her classified systems.

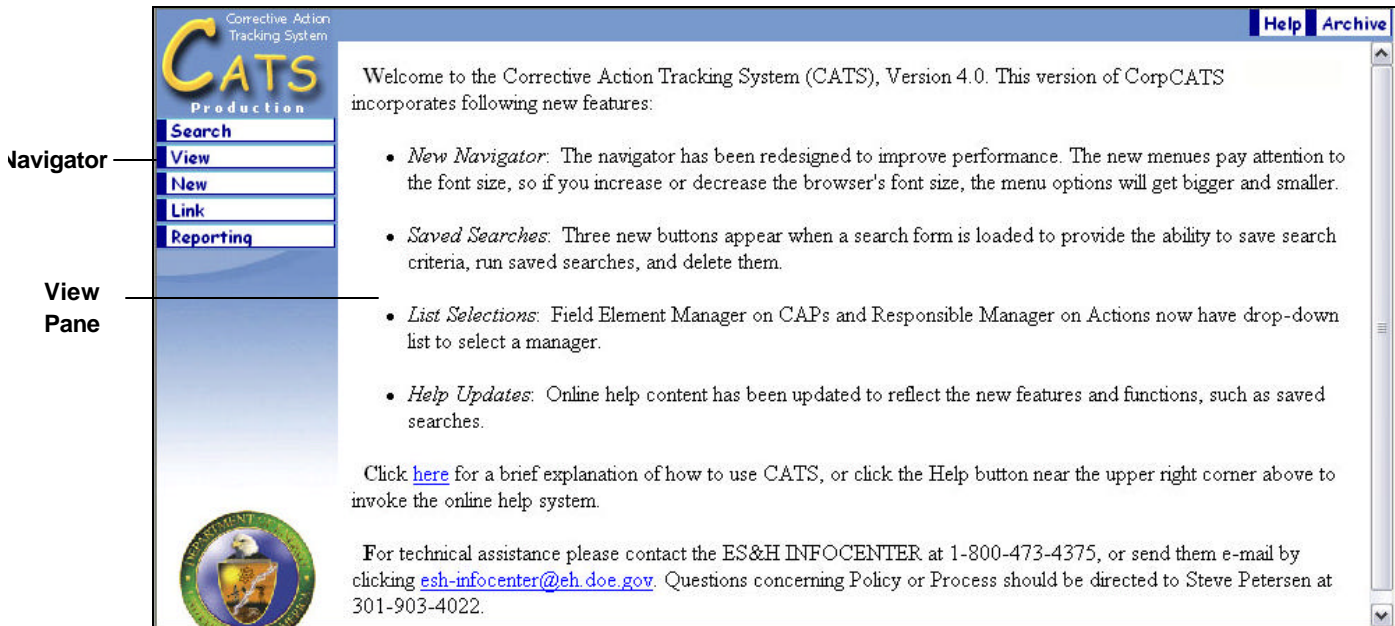
Additionally, you agree to protect your Password in the following manner:

1. Individuals must not share Passwords except in emergency circumstances or when there is an overriding operational necessity.
2. Individuals must not leave clear-text Passwords in a location accessible to others or secured in a location whose protection is less than that required for protecting the information that can be accessed using the Password.
3. Individuals must not enable applications to retain Passwords for subsequent reuse consistent with the organization's CSPP.
4. Passwords must be changed:
 - At least every 6 months
 - Immediately after sharing
 - As soon as possible, but within 1 business day after a Password has been compromised, or after one suspects that a Password has been compromised.
 - On direction from management.

2.4 CATS MAIN MENU OVERVIEW

Once the User has successfully logged onto the CATS system, the following CATS Main Menu is displayed. Please read the information on this screen carefully. Two important issues are pointed out on this screen.

First, allow CATS to load completely. While you are waiting for the **Navigator** to appear, you can begin to read the information on the screen. You can use the vertical scroll bar to move up/down the screen; this will not disrupt the Navigator loading process. Secondly, the “CATS” icon at the upper left corner is a link that reloads the CATS home page from any CATS screen. The CATS link is part of the Navigator bar, which appears throughout the main database.



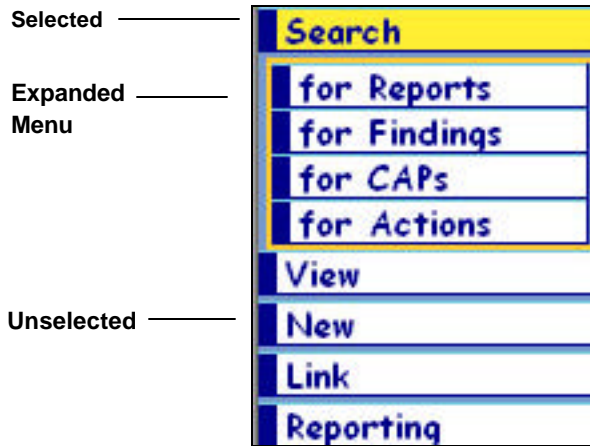
The following table describes the two portions of the CATS screen.

View	Description
Menu	Displays a list of actions and forms available to the user. (There is more on the Navigator in the Navigating CATS section of this document, below.)
View Pane	Displays the form selected in the Navigator, or displays documents selected.

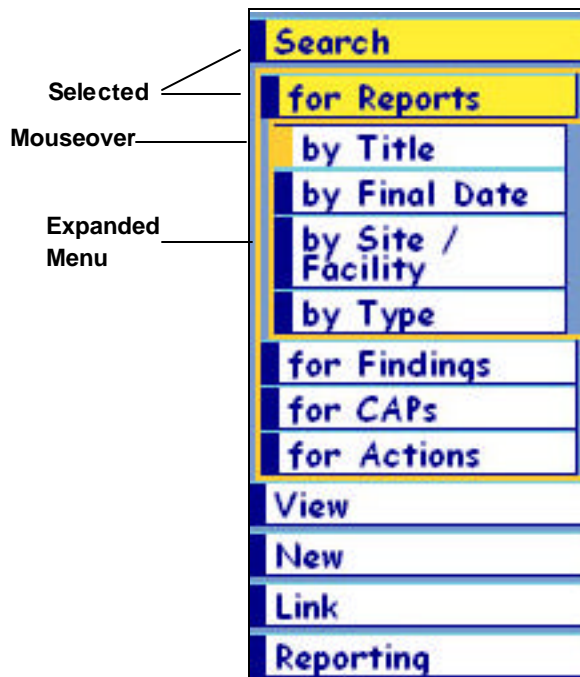
2.5 NAVIGATING CATS

CATS provides a nesting navigation system. The nesting navigation system consists of three levels of options: Function, Form, and View. Each level is not necessarily available for each function selected.

A button in the Navigator represents each possible selection. When a button is selected, the button will be highlighted in yellow, as shown in the figure below. The options available for the highlighted menu option will be listed below it, as shown. The options for Search include **For Reports, For Findings, For CAPS, and For Actions**.



To refine your selection, click one of the options. The selected button will be highlighted in yellow, as shown in the figure below. The menu will be expanded to reveal more selections. For example, if you click the **For Reports** option, the menu expands to reveal the additional selections **by Title, by Final Date, by Site / Facility, and by Type**. When you click a selection, it will be displayed as shown below. If you hover your mouse over a selection, the dark blue edge of the button will change to yellow.



This menu contains the following options: **Search**, **View**, **New**, and **Link**. In the image above, **Search** has been selected. The following is an outline of the available nesting options, organized by level.

Function	Form	View
Side Menu Bar		
Search	For Reports	by Title by Final Date by Site/Facility by Type
	For Findings	by Number by Description by Principles by Func. Area
	For CAPs	by Manager by Organization by Status by Completion
	For Actions	by Manager by Site/Facility by Status by Completion
View	All Reports	by Title by Final Date by Site/Facility by Type
	All Findings	by Title by Description by Principles by Func. Area
	All CAPs	by Manager by Organization by Status by Completion
	All Actions	by Manager by Site/Facility by Status by Completion
New	Report	
	Finding	
	CAP	
	Action	
Link	Add	Finding Action
	Delete	Finding Action
Reporting	Quarterly Report	
	On the Web	Actions by SO Actions by Site

Function	Form	View
	In Excel File	Actions by SO Actions by Site
Top Menu Bar		
Help	View the CATS online help	
Archive	View the CATS archives (may not be edited). This archive contains all reports closed prior to fiscal calendar year 2001, and increments by one year as each year is completed. The CATS archive database is read only, but CATS Editors have the authority to see and download attachments.	

3.0 CATS DATA ENTRY

The CATS database allows authorized Users to create four different types of documents: Source Reports, Findings, Corrective Actions, and CAPs.

3.1 CREATE A SOURCE REPORT

The **Source Report** is the final report from one of the sources listed in paragraph 1 of the guide that list findings to be tracked in CATS. Source Report information is entered into CATS by the Office of Environment, Safety and Health.

- From the Main Menu, select the **New** button.
- Select the **Report** button.

The **Report Data** form is displayed.

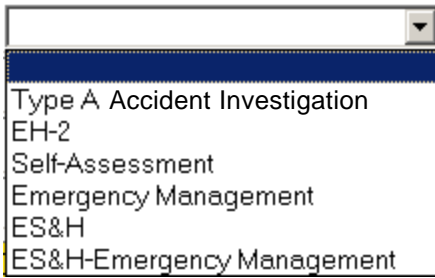
The screenshot shows the CATS Production web application interface. On the left is a navigation menu with buttons for Search, View, New, Report, Finding, CAP, Action, Link, and Reporting. The 'Report' button is highlighted. At the top, there are 'Save' and 'Clear Data' buttons, and 'Help' and 'Archive' buttons on the right. The main content area is titled 'Report Data' and contains the following fields:

- Report Type:** A drop-down menu.
- Report Title:** A text input field.
- Final Report Date:** A date input field.
- Office/Facility Reviewed:** A drop-down menu.

Below the form fields, there is a yellow warning box that reads: "If you do not explicitly save, the data on this form will be lost". Below that is a red warning box that reads: "Warning!! Once you hit the 'Save' button above to save this Report you will not be able to make any changes ANY fields. Please make sure that fields are filled out correctly before saving."

- Click on the drop-down arrow in the **Report Type** field.

The choices for report type are displayed.



- Select a report type, and press the **TAB** key to go to the next field.
- Enter the **Report Title** of the source report. Press the **TAB** key to go to the next field.
- Enter the **Final Report Date** in the field in MM/DD/YYYY format. Press the **TAB** key to go to the next field.
- From the drop-down list, select the **Office/Facility Reviewed**.

Before saving your Source Report, use Spell Check (currently under development) to check the spelling of words in the Report Title.

- Click once on the **Save** button to save the report entry into the database, or click the **Clear Data** button to erase all data and start over.

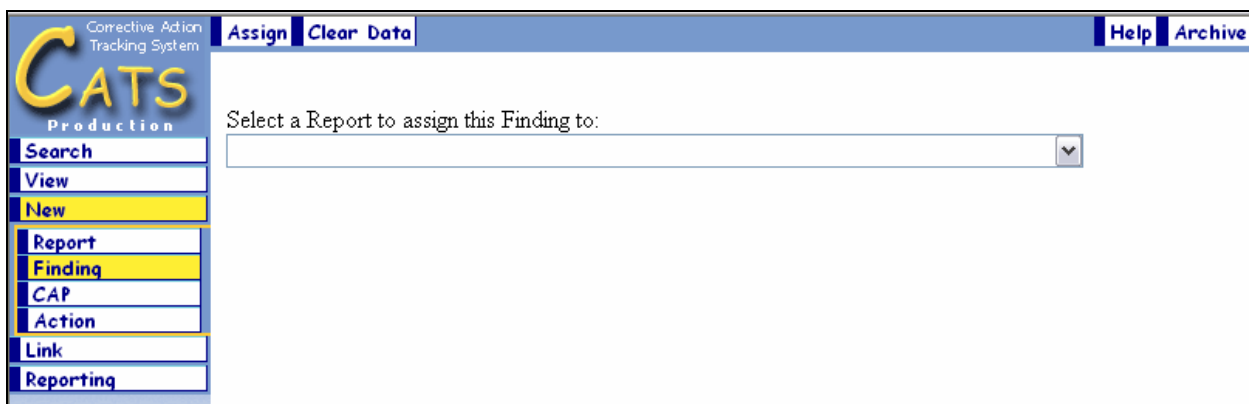
Note: The Report text itself is not entered into the CATS system.

3.2 CREATE A FINDING

Each Finding listed in the Source Report will be entered in CATS. The Office of Environment, Safety and Health enters Findings into CATS.

- From the Main Menu, select the **New** button.
- Select the **Finding** button.

The Assign **New Finding** to Report screen is displayed.



- From the drop-down list, select the Report to which the new Finding should be assigned.

The report number will now appear in the **Select a Report to assign this Finding to** field.

The screenshot shows the CATS Production interface. At the top, there are buttons for 'Assign', 'Clear Data', 'Help', and 'Archive'. On the left, there is a navigation menu with options: Search, View, New, Report, Finding (highlighted), CAP, Action, Link, and Reporting. The main area contains the text 'Select a Report to assign this Finding to:' followed by a dropdown menu that has been populated with the text 'ORO-06/08/2004-0002-R-SSA - High-Efficiency Particulate Air (HEPA) Filter i...'. The 'Assign' button is highlighted in blue.

- Click once on the **Assign** button at the top of the screen.

The **Finding Data for Report** form is displayed. The report to which the finding is linked will be displayed at the top

The screenshot shows the 'Finding Data for Report' form in the CATS Production interface. At the top, there are buttons for 'Save', 'Clear Data', 'Help', and 'Archive'. The left navigation menu is the same as in the previous screenshot, with 'Finding' highlighted. The main area displays the following information:

- Finding Data for Report:** "ORO-06/08/2004-0002-R-SSA - High-Efficiency Particulate Air (HEPA) F..."
- Finding Number:** ORO-06/08/2004-0005-I
- Description:** (Empty text field)
- Guiding Principles:** (Hold down the CTRL key to select multiple values)
 - 1. Line Management Responsibility for Safety
 - 2. Clear Roles and Responsibilities
 - 3. Competence Commensurate with Responsibilities
 - 4. Balanced Priorities
- Core Functions:** (Empty dropdown menu)
- ES&H Functional Area:** (Hold down the CTRL key to select multiple values)
 - Air Quality Protection
 - Authorization Basis
 - Aviation Safety

Below the form fields, there is a yellow warning box: "If you do not explicitly save this Finding the data on the form will be lost. All fields on this form need to be filled out." Below that is a red warning box: "Warning!!: Once you hit the 'Save' button above to save this Finding you will not be able to make any changes to this document. Please make sure that all fields are filled out correctly before saving."

Note: If creating a new Finding immediately after creating a report, proceed to the next step.

- Click once in the **Description** field and enter a description of the new Finding as outlined in the Source Report. If the report word-processing file is available, this can be done

very easily using Windows' Edit-Copy and Edit-Paste features. If using the Copy/Paste method, be sure to use the application's spell check feature first before pasting the text into the Description field.

- Click on the appropriate **Guiding Principles** from the available list. To select more than one Guiding Principle, hold the **CTRL** key and select a Guiding Principle from the list.
- From the drop-down list, select the appropriate **Core Functions**.
- Click once on the appropriate **ES&H Functional Area** from the available list. To select more than one functional area, hold the **CTRL** key and select a functional area from the list.

Before saving your Finding, use Spell Check to check the spelling of words in the Description field.

- Click once on the **Save** button.

The Finding is saved in the database and a new blank Finding form is displayed. The new finding form is associated with the report previously created, or selected in Paragraph 3.1.

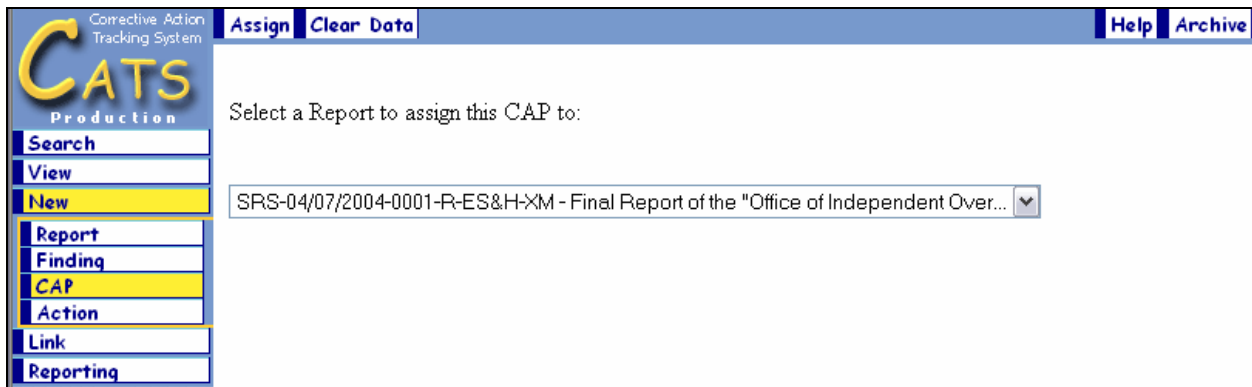
*Note: If you want to clear (reset) the New Report form, click once on the **Clear Data** button to clear all fields.*

3.3 CREATE A CORRECTIVE ACTION PLAN (CAP)

The CAP is prepared by the Field Element Manager (FEM), and approved by the applicable Secretarial Officer (SO). The CAP addresses the Findings stated in the Source Report. For a more detailed description on entering this data into CATS, please review the CATS Data Dictionary, provided in the Appendix at the end of this document.

- From the Main Menu, select the **New** button.
- Select the **CAP** button.

The **CAP Report** selection screen is displayed.

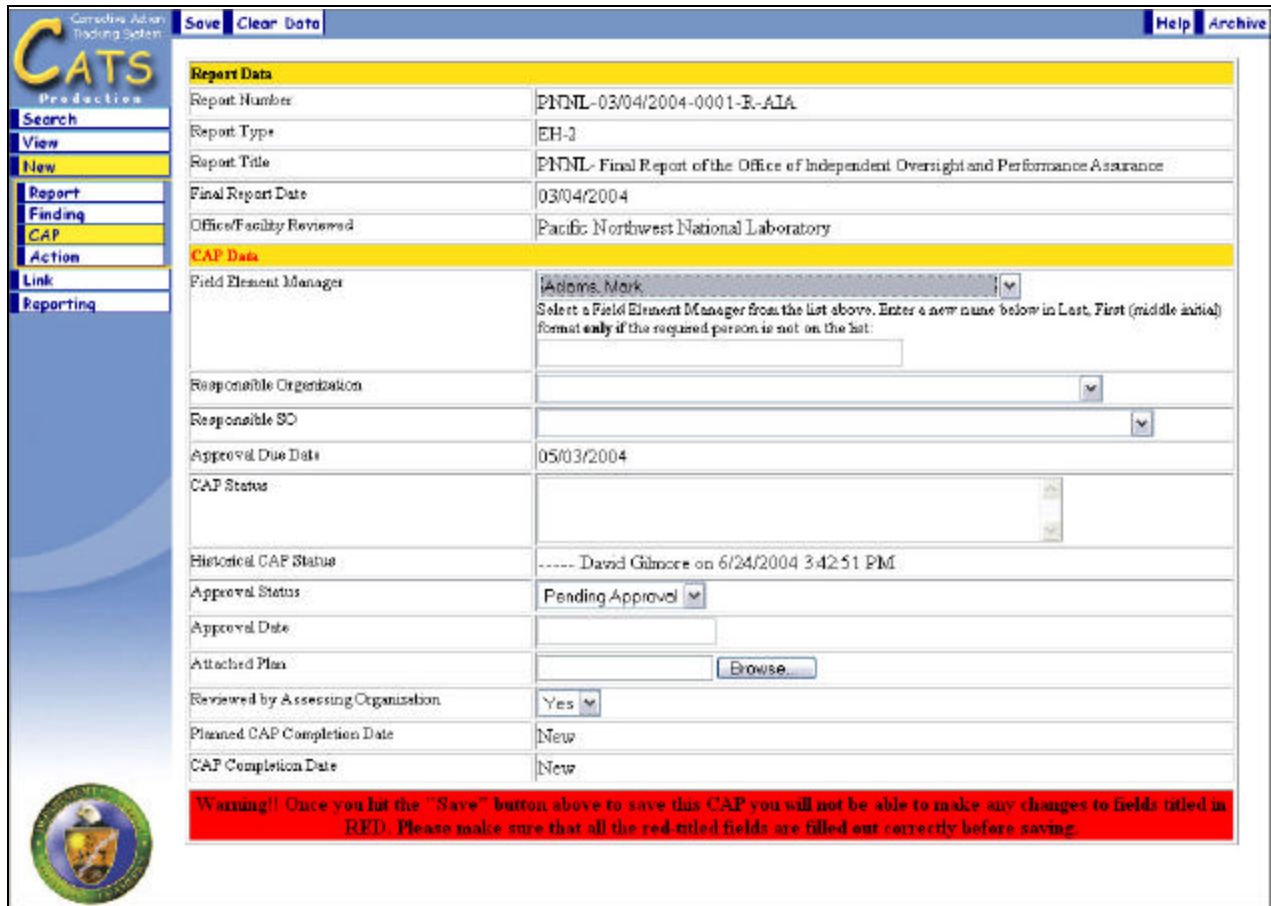


The screenshot shows the CATS Production software interface. The title bar includes 'Assign', 'Clear Data', 'Help', and 'Archive'. The main window contains a sidebar menu with options: Search, View, New, Report, Finding, CAP, Action, Link, and Reporting. The 'CAP' option is highlighted. The main area displays the text 'Select a Report to assign this CAP to:' followed by a drop-down menu showing the selected report: 'SRS-04/07/2004-0001-R-ES&H-XM - Final Report of the "Office of Independent Over...'.

- From the drop-down list, select the report to assign the new CAP.

- Click once on the **Assign** button.

The **New CAP** form is displayed.



Report Data	
Report Number	PNNL-03/04/2004-0001-R-AIA
Report Type	EH-3
Report Title	PNNL- Final Report of the Office of Independent Oversight and Performance Assurance
Final Report Date	03/04/2004
Office/Facility Reviewed	Pacific Northwest National Laboratory
CAP Data	
Field Element Manager	Adams, Mark <small>Select a Field Element Manager from the list above. Enter a new name below in Last, First (middle initial) format only if the required person is not on the list:</small>
Responsible Organization	
Responsible SO	
Approval Due Date	05/03/2004
CAP Status	
Historical CAP Status	----- David Gilmore on 6/24/2004 3:42:51 PM
Approval Status	Pending Approval
Approval Date	
Attached Plan	<input type="button" value="Browse"/>
Reviewed by Assessing Organization	Yes
Planned CAP Completion Date	New
CAP Completion Date	New

Warning!! Once you hit the "Save" button above to save this CAP you will not be able to make any changes to fields titled in RED. Please make sure that all the red-titled fields are filled out correctly before saving.

- Select a **Field Element Manager (FEM)** from the dropdown menu. If the correct FEM does not appear in the dropdown list, type the name of the FEM in the edit box. The name should be typed in the format Last Name, First Name, Middle Initial, and should be the name of FEM responsible for development and implementation of the CAP.
- From the drop-down list, select the appropriate **Responsible Organization**.
- From the drop-down list, select the appropriate **Responsible SO**. Press **TAB** to go to the next field.
- The **Approval Due Date** field is automatically completed by CATS. The date in this field will be 60 days after the Final Report date.
- From the drop down list, select the appropriate **Approval Status**. Press **TAB** to go to the next field.
- If the CAP **Approval Status** is Approved, then enter the appropriate **Approval Date** in MM/DD/YYYY format.

- Attach a copy of the approved CAP in the **Attached Plan** field by clicking once on the **Browse** button. The Windows file management dialog box is displayed. Locate and select the appropriate file to attach to the new CAP. Press **TAB** to go to the next field.
- From the drop down list, select the appropriate choice for the **Reviewed by Assessing Organization** field.
- Enter updates of the CAP progress in the **CAP Status** field on a frequent basis (i.e., monthly). The full name and date are automatically entered and act as a separator between entries.
- The **Historical CAP Status** field will be populated with the contents of the **Status** field each time the record is edited and saved.
- The **Planned CAP Completion Date** field is automatically generated by CATS based upon the latest Corrective Action planned completion date.
- The **CAP Completion Date** field is automatically generated by CATS. When the last Corrective Action for a CAP is completed, the system will examine all of the Corrective Action completion dates and place the most recent of those values into this field.
- The **Effectiveness Review Due Date** is a system-calculated date field in the format of MM/DD/YYYY. The calculation for this field is "CAP Completion Date" + 60 Calendar Days. This field is calculated immediately upon the initial posting of the CAP Completion and recalculated upon the change of the CAP Completion Date by the CATS Corrector, or person with similar authority.
- Enter the **Effectiveness Review Approval Date** of the corrective actions in the completed CAP in MM/DD/YYYY format. If more time is required, enter the exact words "See CAP Status" into this field. If you enter anything other than a date or "See CAP Status", you will receive an error message. Once you have entered a date, this field may no longer be modified by a CATS editor. If "See CAP Status" is entered, an explanation concerning the status of the review and revised planned approval date is entered."
- Enter a brief description of the Effectiveness Review results and followup actions in the **Effectiveness Review Results Field**. This field has the same attributes as the CAP approval date. The field is locked and cannot be changed.

Sample Effectiveness Review Results Field

"Effectiveness reviews were conducted for approximately 75% of the completed corrective actions by selected individuals independent from the identified findings and associated corrective actions commencing January 22, 2003 and completed on July 14, 2004. Review activities included critiques of revised site procedures and guidance, work and training observations, performance tests, formal and informal interviews with managers and workers, and trend analyses of performance and incidents. Two completed corrective actions were determined partially effective and revisions were implemented, reviewed and annotated in CATS. A copy of the approved effectiveness review report is on file at the Office of the Deputy Director of Operations."

Note: An e-mail notification will be provided to the Secretarial Office Representative of past due effectiveness reviews. Past Due is defined the first day past the date stored in the Effectiveness Review Due Date.

Note: If the FEM decides to add new corrective actions and revise the completed CAP based on effectiveness review report recommendations (explained in the **Effectiveness Review Results Field**), the new corrective actions must be approved by the SO and added in CATS. A request to clear the **Planned CAP Completion Date** and **CAP Completion Date** will be submitted as outlined in Paragraph 7.5, Requesting Edits of Selected CATS Fields. A new **Planned CAP Completion Date** will be automatically generated by CATS based upon the latest corrective action planned completion date added. An explanation of the changes to the CAP will be entered in the **CAP Status** field of CATS. If the FEM decides to conduct a formal effectiveness review of the new completed actions, results of the effectiveness review should be explained in the **Effectiveness Review Results** field.

- Select the **Save** button to save the CAP to the Report as identified.

Note: If you want to clear (reset) the New CAP form, click once on the **Clear Data** button.

3.4 CREATEA CORRECTIVE ACTION

Corrective actions describe actions listed in the CAP that will correct the findings identified in the Source Report.

- From the Main Menu, select the **New** button.
- Select the **Action** button.

The **Pick a Report** screen is displayed.

Corrective Action Tracking System

Select Clear Data Help Archive

CATS
Production

Search
View
New
Report
Finding
CAP
Action
Link
Reporting

Pick a Report

Only the findings for the specific Source Report selected will be listed. Select a finding to add an action.

- From the drop down list, select the **Source Report** to search for a Finding.

- Click once on the **Select** button.

The **Pick a Finding** form is displayed.

The screenshot shows the CATS Production interface. The top navigation bar includes 'Assign' and 'Clear Data' buttons. On the left, a vertical menu contains options: Search, View, New, Report, Finding, CAP, Action, Link, and Reporting. The 'Action' option is highlighted in yellow. The main content area is titled 'Pick a Finding' and contains the text 'A new Action will be added to the Finding you select.' Below this text is a large empty text input field with a small dropdown arrow on the right side.

- From the drop down list, select the **Finding** to assign an Action.
Note: If the report contains no findings, it will not be entered into CATS.
- Click once on the **Assign** button.

The **New Corrective Action** form is displayed.

Note: For every corrective action deliverable listed in the CAP for a specific finding, there should be a separate corrective action record in CATS.

- The **Number** field is automatically populated and displayed.
- Click once in the **Description** field and enter a description of the planned corrective action as described in the approved CAP. Press **TAB** to go to the next field.
- Enter the planned product that provides objective evidence that the corrective action is completed as described in the approved CAP in the **Action Deliverable** field. You may click on the **Large Edit Box** button to open a larger box in which to type your Deliverable description. Press **TAB** to go to the next field.

*Note: The **Corrective Action Description** and the **Action Deliverable** fields should be taken verbatim from the Corrective Action Plan. If the CAP word-processing file is available, this can be done very easily using Windows' Edit-Copy and Edit-Paste features.*

- From the **Deliverable Attachments** field, click once on the **Browse** button. The Windows Choose File dialog box is displayed. Locate and select the appropriate file to attach to the Action. Press **TAB** to go to the next field.
- Enter the **Planned Completion Date** field, which is taken verbatim from the Corrective Action Plan.

- Select the **Responsible Manager** from the dropdown menu. If the correct Responsible Manager does not appear in the dropdown list, enter the name of the Responsible Manager into the edit box. The name should be entered in the format Last Name, First Name, Middle Initial. Press **TAB** to go to the next field
- From the drop down list, select the appropriate **Status**. Press **TAB** to go to the next field.
- Enter updates of the corrective action progress in the Descriptive Status field on a frequent basis (i.e., monthly). The full name of the editor inputting the data and the current date are entered automatically into this field.

The **Last Edit Info** field is automatically displayed.

- If this Action has been completed enter the appropriate date in MM/DD/YYYY format, in the **Completion Date** field. Press **TAB** to go to the next field.
- From the drop down list, select the appropriate **Verification Status** of the corrective action closure by DOE line management.
- Click once on the **Save** button to save the form to the database

*Note: If you want to clear (reset) the New Action form, click once on the **Clear Data** button.*

3.5 SPELL CHECK

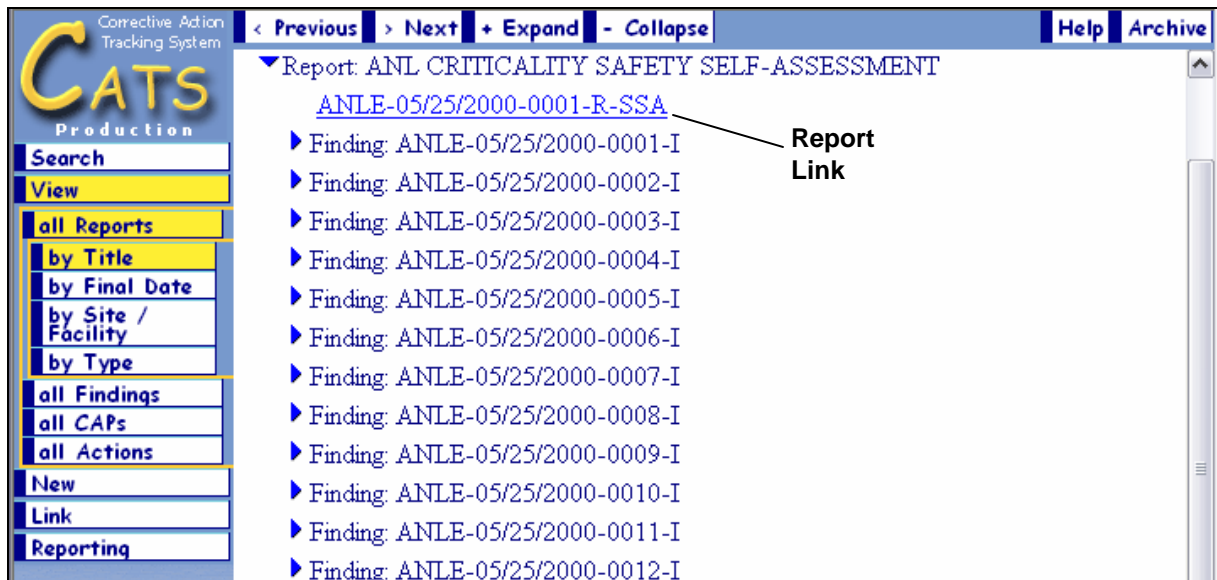
Note: This function is currently under development.

A browser-based spell check feature will be configured to work with the CATS system. Spell check will be available through a top-row dynamic button. This button will be visible when spell check is a valid operation, for example, when a report is being created or edited. Spell check is designed using HTML -- JavaScript was not used in the design, to avoid incompatibility.

To spell check an open document, click the Spell Check button on the navigation bar. The spell check window will display the first word with unrecognized spelling. Spell check will display a list of spelling suggestions for the highlighted word. If the word is misspelled, either choose one of the suggested spellings, or retype the word in the edit box. If the word is not misspelled, you may choose to add the word to a local dictionary, skip the word for one instance, or ignore the word for the entire document.

4.0 VIEWING DATA

4.1 VIEWING A SOURCE REPORT

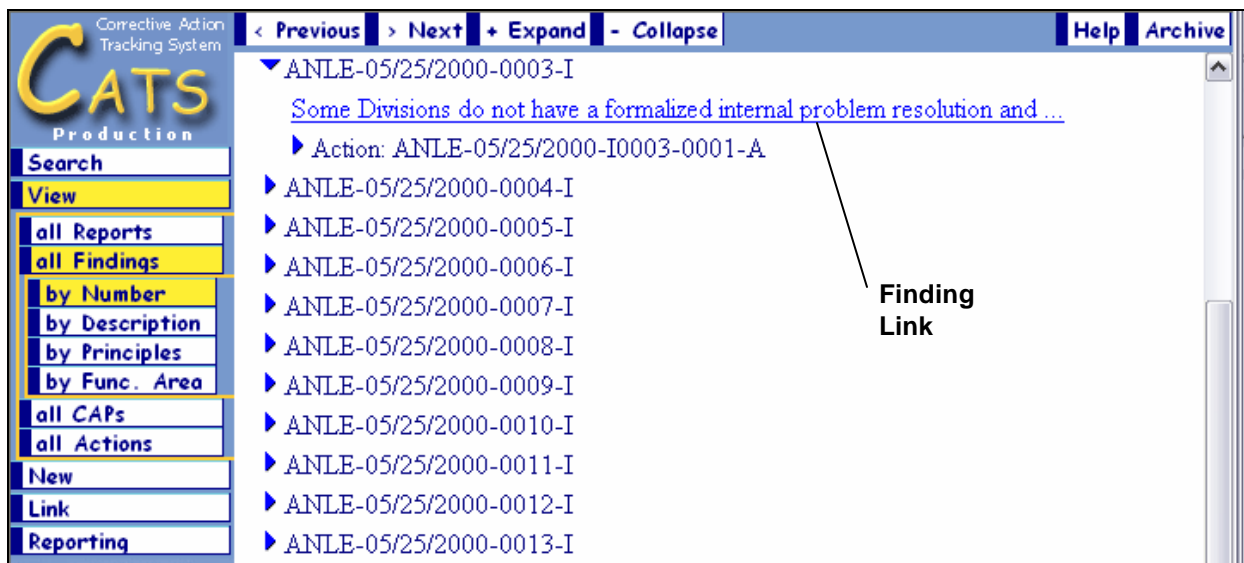


*Note: To expand all Reports and associated Findings displayed on this page, click once on the **Expand Twistie** ▶ button. To collapse all Reports and Findings expanded, click once on the **Collapsed Twistie** ▼ button. Expand and Collapse buttons work on Reports, Findings, Actions, anywhere they appear!.*

- From the Main Menu, select the **View** button.
- Select the **Report** button.
- Select the appropriate sorting button, such as Title, Final Date, Site/Facility, or Type. A list of source reports is displayed by the selected sorting category.
- To view details of the source report, click once on the collapsed twistie to the left of the desired report to expand it. The report and all associated Findings are displayed.
- To open the report, click once on the report link. The report is launched and displayed on the screen.

*Note: To scroll between pages of Reports, click on the **Next** and **Previous** buttons displayed on the CATS Main Menu bar.*

4.2 VIEWING A FINDING

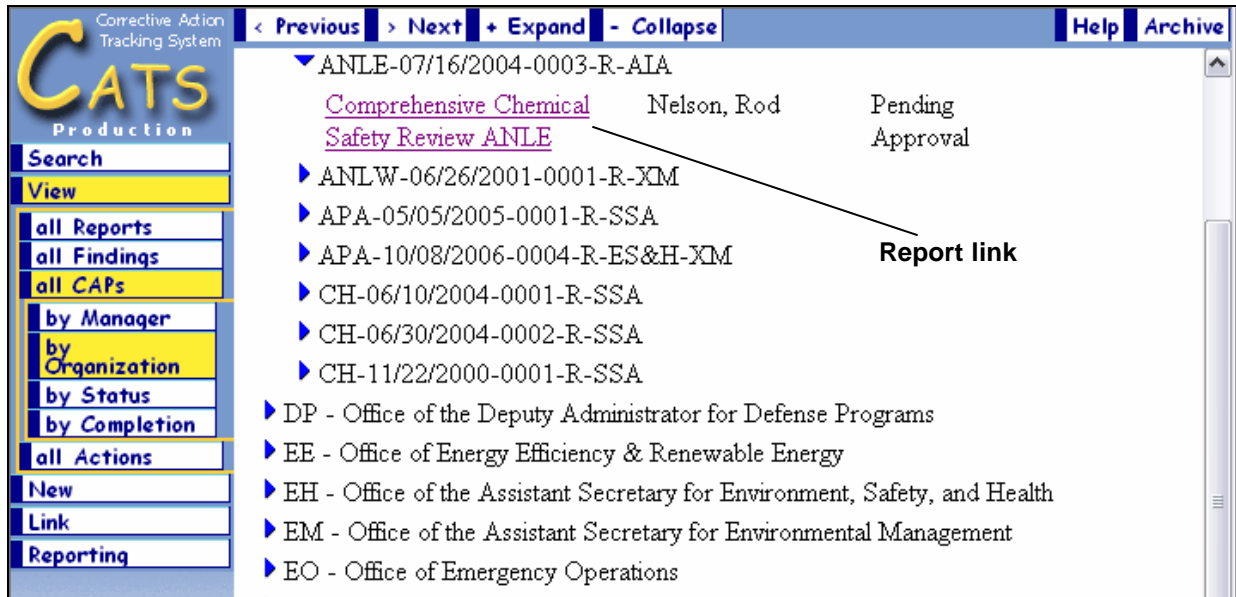


- From the Main Menu, select the **View** button.
- Select the **Finding** button.
- Select the appropriate sorting button. A list of findings is displayed by the selected sorting category.
- To view details of a finding, click once on the collapsed twistie to the left of the desired Finding to expand it.
- To open the finding, click once on the finding link. The Finding is launched and displayed on the screen.

*Note: To expand all Findings displayed, click once on the **Expand** button. To collapse all Findings expanded, click once on the **Collapse** button.*

*Note: To scroll between pages of Findings, click on the **Next** and **Previous** buttons displayed on the Main Menu bar.*

4.3 VIEWING A CAP



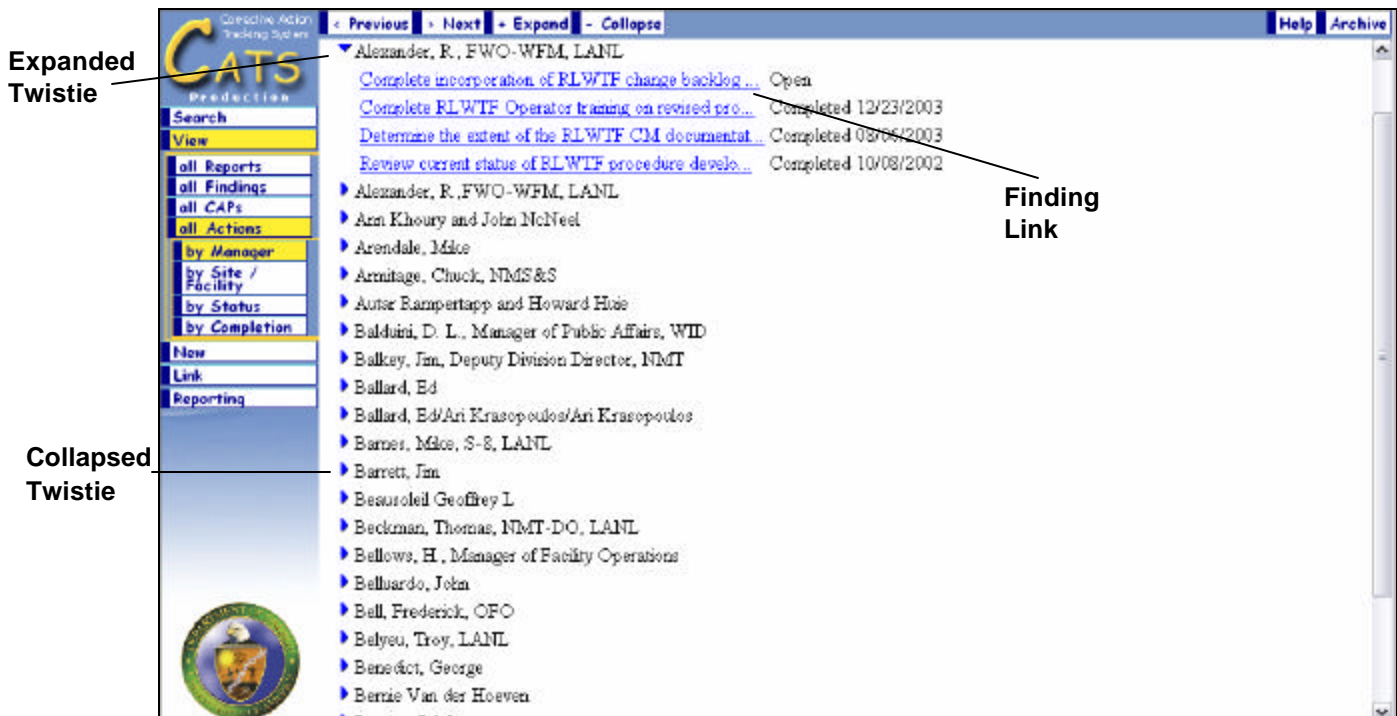
- From the Main Menu, select the **View** button.
- Select the **CAP** button.
- Select the appropriate sorting button. A list of CAPS is displayed by the selected sorting category.
- To view CAP details, click once on the collapsed twistie to the left of the desired CAP to expand it.
- To open the CAP, click once on the CAP link. The CAP is launched and displayed on the screen.

Note: To expand all CAPs displayed, click once on the **Expand** button. To collapse all CAPs expanded, click once on the **Collapse** button.

Note: To scroll between pages of CAPs, click on the **Next** and **Previous** buttons displayed on the Main Menu bar.

4.4 VIEWING AN ACTION

- From the Main Menu, select the View button.
- Select the Action button.
- Select the appropriate sorting button. A list of actions is displayed by the selected sorting category.



- To view details of an Action, click once on the collapsed twistie to the left of the desired Action to expand it.
- To open the Action, click once on the Action link. The Action is launched and displayed on the screen.

*Note: To expand all Actions displayed, click once on the **Expand** button. To collapse all Actions expanded, click once on the **Collapse** button.*

*Note: To scroll between pages of Actions, click on the **Next** and **Previous** buttons displayed on the Main Menu bar.*

5.0 LINKING DATA

CATS is intended to provide a complete documentation trail that starts with a Report, lists the Findings identified in that Report, identifies the Corrective Action Plan that responds to the Report, and then itemizes the Corrective Actions that address each Finding. The CATS database automatically asks users for the Report where Findings are being entered, or for the CAP where Actions are being entered. CATS also gives users the options to link previously created Findings to Source Reports, and previously created Actions to Findings. For example, if a Corrective Action addresses more than one Finding, or a Finding has a number of Actions that address it.

5.1 LINK A FINDING TO A SOURCE REPORT

- From the Main Menu, select the **Link** button.
- Select the **Add** button.
- Select the **Finding** button. A new screen is displayed.

Corrective Action Tracking System

CATS
Production

Assign Clear Data Help Archive

Select a Report to assign this Finding to:
ANLE-05/25/2000-0001-R-SSA - ANL CRITICALITY SAFETY SELF-ASSESSMENT

Select a Finding to link:
ANLE-05/25/2000-0004-I - At some facilities, there are no procedures tha...

Search
View
New
Link
Add
Action
Finding
Delete
Reporting

- From the list provided, select the appropriate report to assign a finding.
- From the list provided, select the Finding to link to the selected report.
- Click on the **Assign** button. The finding is linked to the selected report, and the following screen is displayed:

Corrective Action Tracking System
CATS
Production

Save Clear Data Help Archive

Search
View
New
Link
Add
Action Finding
Delete
Reporting

Finding Data for Report:
"ANLE-05/25/2000-0001-R-SSA - ANL CRITICALITY SAFETY SELF-ASSESSMENT"

Finding Number ANLE-05/25/2000-0018-I

Description At some facilities, there are no procedures that specify the required level of NCS review for new or modified processes or equipment. Generally,

Guiding Principles
(Hold down the CTRL key to select multiple values)

1. Line Management Responsibility for Safety
2. Clear Roles and Responsibilities
3. Competence Commensurate with Responsibilities
4. Balanced Priorities

Core Functions Not Assigned

ES&H Functional Area
(Hold down the CTRL key to select multiple values)

- Air Quality Protection
- Authorization Basis
- Aviation Safety

If you do not explicitly save this Finding the data on the form will be lost.
All fields on this form need to be filled out.

Warning!!!: Once you hit the "Save" button above to save this Finding you will not be able to make any changes to this document. Please make sure that all fields are filled out correctly before saving.

- If necessary, click once in the **Description** field to edit the description provided.
- From the list provided, select the appropriate **Guiding Principles** by clicking once on the desired selection. To select multiple selections, press the Ctrl key then the appropriate selections.
- From the list provided, select the appropriate **Core Functions** by clicking once on the desired selection.
- From the list provided, select the appropriate **ES&H Functional Area** by clicking once on the desired selection.
- Select the **Save** button to save the finding and link it to the selected report.

5.2 LINKAN ACTION TO A FINDING

- From the Main Menu, select the Link button.
- Select the Add button. Select the Action button. The following screen is displayed.



- From the list provided, select the Report then click the **Select** button. The Pick a Finding screen is displayed.
- From the list provided, select the **Finding** to link the Action.
- Click the **Select** button.
- From the list provided, select the **Action** to link to the Finding/Report.
- Select the **Assign** Button.

A message is displayed notifying the User if the action was successful.

5.3 UNLINKAN ACTION FROM A FINDING

- From the Main Menu, select the **Link** button.
- Select the **Delete** button.
- Select the **Action** button. The **Pick a Report** screen is displayed.
- From the list provided, select the **Report** to locate the Finding.
- Select the **Select** button. The **Pick a Finding** screen is displayed.
- From the list provided, select the **Finding** to unlink the Action.
- Select the **Select** button.
- From the list provided, select the **Action** to unlink from the Finding/Report.
- Select the **Assign** Button. A message is displayed notifying the User if the action was successful.

6.0 SEARCH FEATURES

CATS provides users with the ability to search throughout the CATS database for specific Source Reports, Findings, CAPs or Actions. Depending on the type of search and the criteria entered by the user, retrieving information should prove successful.

First select a type of search: **All** or **Any**. **All** creates a search to match information in all the text fields as entered by the user. **Any** creates a search that will retrieve information where some and not necessary all of the criteria entered in any of the text fields are matched.

Search criteria entered into the text fields should be specific for best results. For instance, entering 19 in a date field on a search form will match "2/19/2001" and "12/31/1999" because both have a 19 in the data. Wildcards are also supported. Therefore, you may use wildcard characters such as "*" (i.e., entering "I*L" to create a search for anything that starts with an "I" and ends with an "L"). You may use Boolean operators, such as <= or >= in date fields to return documents respectively before-or-on, or after-or-on a specific date. Finally, you may use Boolean conjunctions such as AND or OR between words, to return documents respectively with both words or either word present. *The CATS on-line Help provides a number of examples for using Boolean operators and conjunctions, together with wildcards, to locate very specific documents.*

The following are definitions of Boolean Operators:

AND - The AND operator delivers results with all requested terms. For example, searching 09/14/1997 AND 09/25/1997 will return reports with both dates.

OR - The OR operator delivers results with either of the terms you requested. For example, 09/14/1997 OR 09/25/1997 will return reports with either date.

NOT - The NOT operator excludes certain words from your search results. For example, 09/14/1997 NOT Contamination will deliver reports that contain the date 09/14/1997, but which do not contain the word "contamination".

>= - This operator means "Greater than or equal to", and is used to narrow a search on a date field.

<= - This operator means "Less than or equal to", and is used to narrow a search on a date field.

6.1 SEARCHFOR SOURCE REPORT

- From the Main Menu, select the **Search** button.
- Select the **Report** button.
- Select the appropriate sort button. In the example, Title is selected.

The **Search** form is displayed.

The screenshot shows the CATS Production interface. At the top, there is a navigation bar with buttons for **Execute**, **Clear Data**, **Search**, **Run**, **Save**, **Delete**, **Help**, and **Archive**. The main content area is titled "Search for a Report" and contains the following elements:

- Instructions:
 - Enter your search criteria into the appropriate fields and click the "Execute" button above.
 - Search type **All** returns items that match *all* of your criteria (reduces result count), where type **Any** returns data that match *any* of the criteria (increases result count). The default is **All**.
 - Blank fields will match all values. Enter "" (null) to match fields with no value.
- Search type: All Any
- Report Search Criteria:
 - Report Number:
 - Report Type:
 - Report Title:
 - Final Report Date:
 - Office/Facility Reviewed:

On the left side, there is a sidebar menu with the following items: **Search**, **for Reports** (with sub-items: **by Title**, **by Final Date**, **by Site / Facility**, **by Type**), **for Findings**, **for CAPs**, **for Actions**, **View**, **New**, **Link**, and **Reporting**.

- Complete the search form according to the instructions displayed on the top of the form.
- Click once on the **Execute** button. Your results are displayed.
- Click once on the **Report Link** to display the Report.
- To save a query, click the Save button. You will be prompted to enter a name for the query. Enter the query name and click **Save Search**.
- To retrieve a saved query and run it, click the **Run** button. You will be prompted to select a query from a dropdown list of saved query names. Click the **Load Search** button. The query will be run and you will see a page of search results.

6.2 SEARCHFOR FINDING

- From the Main Menu, select the **Search** button.
- Select the **Finding** button.
- Select the appropriate sort button.

The **Search** form is displayed.

CATS Production
Corrective Action Tracking System

Execute Clear Data Search: Run Save Delete Help Archive

Search for a Finding

- Enter your search criteria into the appropriate fields and click the "Execute" button above.
- Search type **All** returns items that match *all* of your criteria (reduces result count), where type **Any** returns data that match *any* of the criteria (increases result count). The default is **All**.
- Blank fields will match all values. Enter "" (null) to match fields with no value.

Search type All Any

Finding Search Criteria

Finding Number

Description

Guiding Principles

Core Functions

Functional Area

- Complete the search form according to the instructions displayed on the left side of the form.
- Click once on the **Execute** button. Your results are displayed.
- Click once on the **Finding Link** to display the Finding.
- To save a query, click the Save button. You will be prompted to enter a name for the query. Enter the query name and click **Save Search**.
- To retrieve a saved query and run it, click the **Run** button. You will be prompted to select a query from a dropdown list of saved query names. Click the **Load Search** button. The query will be run and you will see a page of search results.

6.3 SEARCHFOR CAP

- From the Main Menu, select the **Search** button.
- Select the **CAP** button.
- Select the appropriate sort button.

The **Search** form is displayed.

Search for a CAP

- Enter your search criteria into the appropriate fields and click the "Execute" button above.
- Search type **All** returns items that match *all* of your criteria (reduces result count), where type **Any** returns data that match *any* of the criteria (increases result count). The default is **All**.
- Blank fields will match all values. Enter "" (null) to match fields with no value.

Search type All Any

Report Search Criteria

Report Number

Report Type

Report Title

Final Report Date

Office/Facility Reviewed

CAP Search Criteria

Field Element Manager

Responsible Organization

Responsible SO

Approval Due Date

Approval Status

Approval Date

Reviewed by EH-2

Completion Date

- Complete the search form according to the instructions displayed on the left side of the form.
- Click once on the **Execute** button. Your results are displayed.
- Click once on the **CAP Link** to display the CAP.
- To save a query, click the Save button. You will be prompted to enter a name for the query. Enter the query name and click **Save Search**.
- To retrieve a saved query and run it, click the **Run** button. You will be prompted to select a query from a dropdown list of saved query names. Click the **Load Search** button. The query will be run and you will see a page of search results.

6.4 SEARCHFOR ACTION

- From the Main Menu, select the **Search** button.
- Select the **Action** button.
- Select the appropriate sort button.

The **Search** form is displayed.

CATS Corrective Action Tracking System
Production

Execute Clear Data Search Run Save Delete Help Archive

Search for an Action

- Enter your search criteria into the appropriate fields and click the "Execute" button above.
- Search type **All** returns items that match *all* of your criteria (reduces result count), where type **Any** returns data that match *any* of the criteria (increases result count). The default is **All**.
- Blank fields will match all values. Enter "" (null) to match fields with no value.

Search type All Any

Action Search Criteria

Action Number	<input type="text"/>
Description	<input type="text"/>
Planned Completion Date	<input type="text"/>
Responsible Manager	<input type="text"/>
Status	<input type="text" value="v"/>
Descriptive Status	<input type="text"/>
Verification Status	<input type="text"/>
Completion Date	<input type="text"/>
Office/Facility Reviewed	<input type="text" value="v"/>
Responsible SO	<input type="text"/>
Last Edit Date	<input type="text"/>

- Complete the search form according to the suggested instructions displayed on the left side of the form.
- Click once on the **Execute** button. Your results are displayed.
- Click once on the **Action Link** to display the Action.
- To save a query, click the Save button. You will be prompted to enter a name for the query. Enter the query name and click **Save Search**.
- To retrieve a saved query and run it, click the **Run** button. You will be prompted to select a query from a dropdown list of saved query names. Click the **Load Search** button. The query will be run and you will see a page of search results.

7.0 EDIT DATA

Once the CAP has been approved and the remainder of the CAP Data and Corrective Action Data from the CAP is entered into the CATS database, several CATS fields can be updated and changed by the authorized CATS Users. However, the only authority that can approve changes to the CAP approval and planned completion dates, and Corrective Action planned completion dates and completion dates is the authority that approved the CAP (SO or SO designee delegated

authority to approve the CAP). Edits to these selected fields that will change dates and/or actions from the approved CAP must be formally requested to the Office of Environment, Safety and Health as outlined in paragraph 7.5.

The only authority that can approve changes to the CAP (other than typographical errors when copying the information from the CAP) is the authority that approved the CAP (SO or SO designee delegated authority to approve the CAP). The CAP approval authority must sign the Data Change Request Form (see page 49) or any other document approving the specific change, which must be attached to the Data Change Request Form. The FEM may also annotate SO approval on the Data Change Request Form.

Once your completed Data Change Request Form is received, the database administrator will evaluate your request and make the changes as appropriate. *If there are any questions or problems with your request, you will be notified.*

7.1 EDIT SOURCE REPORT DATA

The foundation of the CATS database is composed of Source Reports, upon which all other data depends. Users cannot edit Source Report data once it has been entered into the database.

7.2 EDIT FINDINGS

Likewise, the Findings contained in Source Reports comprise the foundation for the CATS database. Users cannot edit Finding data once it has been entered into the database.

7.3 EDIT CAP DATA

- Locate the CAP to edit through either the **Search** or **View** options.
- Click once on the **CAP** link to edit. The CAP is opened in read only mode.
- Click once on the **Edit** button to edit the document.
- To check the spelling of the document, click the Spell Check button at the top of the page (under development). To clear all data and start over, click **Clear Data**.

- Make the appropriate edits to the document.

Note: *Users may edit the Field Element Manager, Responsible Organization, Responsible SO, CAP Status, Attached Plan, and Reviewed by Assessing Organization fields. **If the CAP is Not Approved**, the Approval Status may also be edited.*

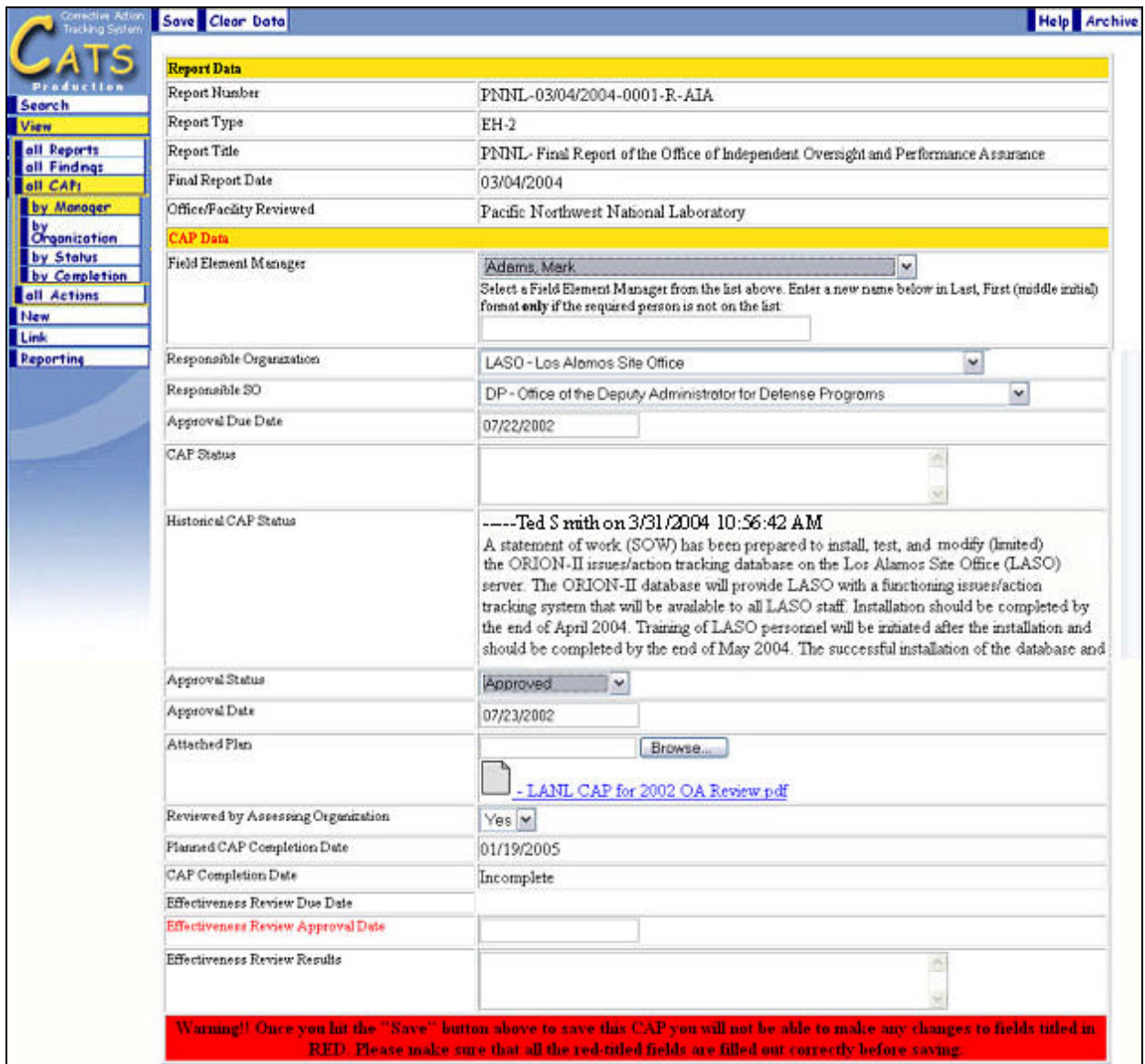
- Click once on the **Save** button to save and close the document.

Information concerning status of the CAP approval and CAP completion should be added in the CAP status field to maintain a document audit trail of the CAP.

Note: Each time the CAP record is placed in Edit mode, the contents of the “CAP Status” field is added to the “Historical CAP Status” field, with the most recent entry on top and time-stamped. The CAP Status field is then cleared.

7.4 EDIT ACTIONS

- Locate the Action to edit through either the **Search** or **View** options.



CATS Corrective Action Tracking System
Production

Save Clear Data Help Archive

Report Data

Report Number	PNNL-03/04/2004-0001-R-AIA
Report Type	EH-2
Report Title	PNNL- Final Report of the Office of Independent Oversight and Performance Assurance
Final Report Date	03/04/2004
Office/Facility Reviewed	Pacific Northwest National Laboratory

CAP Data

Field Element Manager	Adams, Mark <small>Select a Field Element Manager from the list above. Enter a new name below in Last, First (middle initial) format only if the required person is not on the list</small>
Responsible Organization	LASO - Los Alamos Site Office
Responsible SO	DP - Office of the Deputy Administrator for Defense Programs
Approval Due Date	07/22/2002
CAP Status	
Historical CAP Status	<p>----Ted Smith on 3/31/2004 10:56:42 AM</p> <p>A statement of work (SOW) has been prepared to install, test, and modify (limited) the ORION-II issues/action tracking database on the Los Alamos Site Office (LASO) server. The ORION-II database will provide LASO with a functioning issues/action tracking system that will be available to all LASO staff. Installation should be completed by the end of April 2004. Training of LASO personnel will be initiated after the installation and should be completed by the end of May 2004. The successful installation of the database and</p>
Approval Status	Approved
Approval Date	07/23/2002
Attached Plan	Browse... LANL CAP for 2002 OA Review.pdf
Reviewed by Assessing Organization	Yes
Planned CAP Completion Date	01/19/2005
CAP Completion Date	Incomplete
Effectiveness Review Due Date	
Effectiveness Review Approval Date	
Effectiveness Review Results	

Warning!! Once you hit the “Save” button above to save this CAP you will not be able to make any changes to fields titled in RED. Please make sure that all the red-titled fields are filled out correctly before saving.

- Click once on the **Action** to edit. The Action is opened in read-only mode.
- Click once on the **Edit** button. The fields of the Action form will become available for editing.

- Make the appropriate changes to the Action form.

Note: For open actions, editors may edit the Deliverable Attachments, Responsible Manager, and Descriptive Status, change the status, and enter a completion date.

- Click once on the **Save** button to save the changes and the screen will return to View all Actions by Manager window automatically.

Information concerning status of the corrective action should be added in the Descriptive Status field to maintain a documented audit trail of the action.

Note: Each time the Action record is placed in Edit mode, the contents of the “CAP Status” field is added to the “Historical CAP Status” field, with the most recent entry on top and time-stamped. The CAP Status field is then cleared.

Note: The Historical Status field is visible as a read-only field when viewing and editing reports.

When the record is saved, the contents of the CAP Status field are copied into the Historical CAP Status field, with the most recent entry at the top. The CAP Status field is then cleared.

The screenshot shows the CATS Production web interface. The left sidebar contains navigation options: Search, View, all Reports, all Findings, all CAPs, by Manager, by Organization, by Status, by Completion, all Actions, New, Link, and Reporting. The main content area is titled 'Edit' and displays the following data:

Report Data	
Report Number	OST-10/01/2001-0001-R-XM
Report Type	Emergency Management
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 Secure Transportation
CAP Data	
Field Element Manager	Hafner, Steven C.
Responsible Organization	DP - Office of the Deputy Administrator for Defense Programs
Responsible SO	DP - Office of the Deputy Administrator for Defense Programs
Approval Due Date	11/30/2001
Historical CAP Status	<p>----Ted Smith on 10/2/2002 9:22:31 AM The CAP has been identified as complete as of 09/30/2002. ----Ted Smith on 10/1/2002 11:23:22 AM The last of the 36 actions (TSD-10/01/2001-10006-0004-A) was identified as complete in CATS on 10/01/2002 with a completion date of 09/30/2002. The CAP should be listed as complete but is currently listed as incomplete. A call has been placed to EH-72 to discuss this discrepancy.</p>

7.5 REQUESTING EDITS FOR SELECTED CATS FIELDS.

Edits for selected CATS fields stated in paragraph 7.0 should be requested using the CATS Data Change Request Form on page 49 at the end of this manual or retrieved from the web site. Since the only authority that can authorize changes to these selected fields is the individual who approved the CAP, the signature of the CAP approval authority must accompany the request. This approval can be annotated on the CATS Data Change Request Form or any other document (i.e. memorandum) attached to the CATS Data Change Request Form.

The Data Change Request Form should be submitted to the following address:

U.S. DOE
ES&H InfoCenter, EH-33, 270CC
19901 Germantown Rd
Germantown, MD 20874
Phone 1-800-473-4375
FAX:301-903-9823
Email: esh-infocenter@eh.doe.gov

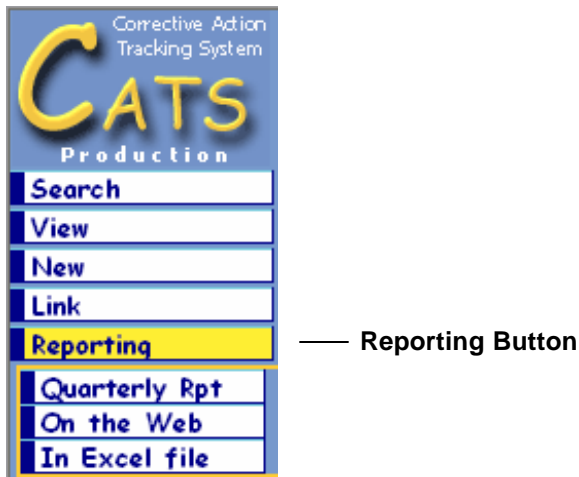
Upon receipt of the completed CATS DATA Change Request Form, the ES&H Info Center and CAMP manager will evaluate the request and change the database information in CATS as requested. If there are any questions or need for follow-up information, the CATS User who submitted the request will be contacted.

8.0 REPORTS

Currently, five report types have been defined by EH and incorporated into CATS. Users may view the latest Quarterly Report to the Secretary (on New Reports and CAP Status), Open (not completed) CAPS sorted by Secretarial Officer or by Site. The Open CAPS may be viewed directly in the browser, or downloaded in an Excel spreadsheet format that summarizes the numbers of actions in each status.

To view Reports in CATS, click on the **Reporting** button in the Navigator.

The **CATS Web Reporting** screen appears.



The selections under Reporting are described in the following sections.

8.1 QUARTERLY REPORT

- Click on the **Quarterly Report** button to receive the CAMP quarterly report in Adobe Acrobat PDF format.

8.2 ACTION STATUS BY SO

To view Open CAPs sorted by SO, click on the **On the Web** button. Then click the **Action Status by SO button**. The Actions by SO menu will appear, as shown.

The screenshot shows the CATS Production interface. On the left is a navigation menu with options: Search, View, New, Link, Reporting, Quarterly Rpt, On the Web, Actions by SO, Actions by Site, and In Excel file. The 'On the Web' and 'Actions by SO' options are highlighted. On the right, there is a section titled 'Action Status by SO' with a 'Select SO:' dropdown menu currently showing 'AB - Office of the Secretary of Energy Advisory Board' and an 'Execute' button.

- Click on the drop-down arrow to see a list of SOs in CATS, and select an appropriate SO.
- Click on the **Execute** button from the CATS menu. The list of **Open CAPs** appears, sorted by SO.

**Open CAPS By SO, Ops Office & Site
Status of Actions**

Click the on the underlined value to drill down to a list of findings/actions

SO / Ops Office / Site	Open Findings	Total Actions	Completed	On Schedule	Late
NE - Office of Nuclear Energy	10	222	176 79%	36 16%	10 5%
CH - Chicago Operations Office	0	28	28 100%	0 0%	0 0%
Argonne National Laboratory - West	0	28	<u>28</u> 100%	0 0%	0 0%
ID - Idaho Operations Office	10	194	148 76%	36 19%	10 5%
Idaho National Engineering & Environmental Laboratory	<u>10</u>	194	<u>148</u> 76%	<u>36</u> 19%	<u>10</u> 5%

Open Findings Link

Note: The report includes links to summaries of Findings and Actions. To view a summary, click on any of the links. For example, if you click on a Finding link, a summary appears.

Open Findings

SO	NE - Office of Nuclear Energy
Ops Office	ID - Idaho Operations Office
Site	Idaho National Engineering & Environmental Laboratory
Open Findings	10

↓ Click the Finding # to drill down to the Finding Document

Finding #	Finding	Planned Finding Closure Date
INEEL-10/23/2003-0001-I	BBWI has not ensured that all hazardous materials are identified and assessed for potential impact on site workers and the public, as required by DOE Order 151.1A, Comprehensive Emergency Management System.	10/5/2005
INEEL-10/23/2003-0002-I	BBWI has not fully analyzed an appropriate spectrum of emergency events and conditions; assessed available indicators of barrier failures for use in Emergency Action Levels (EALs); or appropriately determined the extent of emergency planning zones, as required by DOE Order 151.1A.	11/15/2005
INEEL-10/23/2003-0003-I	Many BBWI EALs do not contain an appropriate set of measurable implementation thresholds that ensure that event classifications are timely and accurate, as required by DOE Order 151.1A.	11/15/2005
INEEL-10/23/2003-0004-I	ID has not ensured that the BBWI event categorization and classification process is consistent with DOE Order 151.1A or sought an exemption in accordance with the process described in DOE Order 151.1A.	6/4/2004

Findings Link

- Click on the **Findings Link** in the summary screen to go to that source Finding document in CATS.

To view Open CAPs sorted by SO in a spreadsheet (numerical summary) format, click on the **Excel Download** button. Then click the **Action Status by SO** button.

The Action Status by SO dialog box appears.

Action Status by SO	
Select SO:	BPA - Bonneville Power Administration

- Choose an SO.

Note: The "All" choice is not available in the Excel format report.

- Click the **Execute** button from the CATS main menu.

The Excel Report Download screen appears.

Excel Report Download

This is generated by the system specifically for you to download the data you exported in Excel format. If you bookmark this URL it will not reload this page. If you should lose this page, simply re-run the export to generate it.

The file represented by the link below is temporary and will be deleted automatically after ten minutes whether it is downloaded or not. If this time limit is not acceptable please contact the CATS Data Administrator to request a greater duration.

[Click here to download SOReport.xls](#)

- Click on the **Click here to download SOReport.xls** link. The Excel spreadsheet report is downloaded to your computer.

8.3 ACTION STATUS BY SITE

To view Open CAPs sorted by Site, click the **On the Web** button. Then click the **Action Status by Site** button. The Action Status by Site Code dialog box appears

Action Status by Site Code	
Select Site Code:	ANLW ▼

- Click on the drop-down arrow for the list of **Sites** in CATS, and select an appropriate **SO**.
- Click on the **Execute** button.

The list of **Open CAPs** appears, sorted by Site.

Findings
Links

**Open CAPS By Site Code & Report
Status of Actions**

Click the on the underlined value to drill down to a list of findings/actions

Site Code / Report	Open Findings	Total Actions	Completed	On Schedule	Late
INEEL	10	637	591 93%	46 7%	0 0%
INEEL-01/18/2001-0001-R-EH2	0	48	<u>48</u> 100%	0 0%	0 0%
INEEL-03/01/1996-0001-R-AIA	0	20	<u>20</u> 100%	0 0%	0 0%
INEEL-08/01/1998-0003-R-XM	0	15	<u>15</u> 100%	0 0%	0 0%
INEEL-09/01/1996-0002-R-AIA	0	54	<u>54</u> 100%	0 0%	0 0%
INEEL-09/01/1998-0001-R-AIA	0	286	<u>286</u> 100%	0 0%	0 0%
INEEL-10/01/1995-0001-R-EH2	0	68	<u>68</u> 100%	0 0%	0 0%
INEEL-10/23/2003-0001-R-ES&H-XM	<u>10</u>	146	<u>100</u> 68%	<u>46</u> 32%	0 0%

Note: The “Open CAPS by Site Code and Report -- Status and Actions” report includes links to summaries of Findings and Actions.

- To view a summary (example shown below), click on any of the links.

Open Findings

Report Number	INEEL-10/23/2003-0001-R-ES&H-XM
Open Findings	10

↓ Click the Finding # to drill down to the Finding Document

Finding #	Finding	Planned Finding Closure Date
INEEL-10/23/2003-0001-I	BBWI has not ensured that all hazardous materials are identified and assessed for potential impact on site workers and the public, as required by DOE Order 151.1A, Comprehensive Emergency Management System.	10/5/2005
INEEL-10/23/2003-0002-I	BBWI has not fully analyzed an appropriate spectrum of emergency events and conditions; assessed available indicators of barrier failures for use in Emergency Action Levels (EALs); or appropriately determined the extent of emergency planning zones, as required by DOE Order 151.1A.	11/15/2005

- To view Open CAPs sorted by Site in a spreadsheet (numerical summary) format, click on the **Action Status by Site (Excel download)** link. A dialog box appears:

Action Status by Site Code	
Select Site Code:	<input type="text" value="ORO"/> ▼

- Choose a site code

Note: The "All" choice is not available in the Excel format report.

- Click the **Execute** button.

The Excel Report Download screen is displayed, as shown.

Excel Report Download

This is generated by the system specifically for you to download the data you exported in Excel format. If you bookmark this URL it will not reload this page. If you should lose this page, simply re-run the export to generate it.

The file represented by the link below is temporary and will be deleted automatically after ten minutes whether it is downloaded or not. If this time limit is not acceptable please contact the CATS Data Administrator to request a greater duration.

[Click here to download SOReport.xls](#)

- Click on the **Click here to download SOReport.xls** link. The Excel spreadsheet report is downloaded to your computer.

DOE CORRECTIVE ACTION TRACKING SYSTEM
Data Change Request Form

SUBMIT TO	U.S. DOE	PHONE: 800-473-4375
	ES&H InfoCenter, EH-72, 270CC	FAX: 301-903-9823
	19901 Germantown Rd.	E-Mail esh-infocenter@eh.doe.gov
	Germantown, MD 20874	

CATS Item Number: _____

Change(s) To Be Made: _____

Reason for Change: _____

Requester's Name:

Organization/Site:

Work Phone:

Work Fax:

Internet E-Mail Address

CAP Approval Authority Name/Position:

CAP Approval Authority Signature:

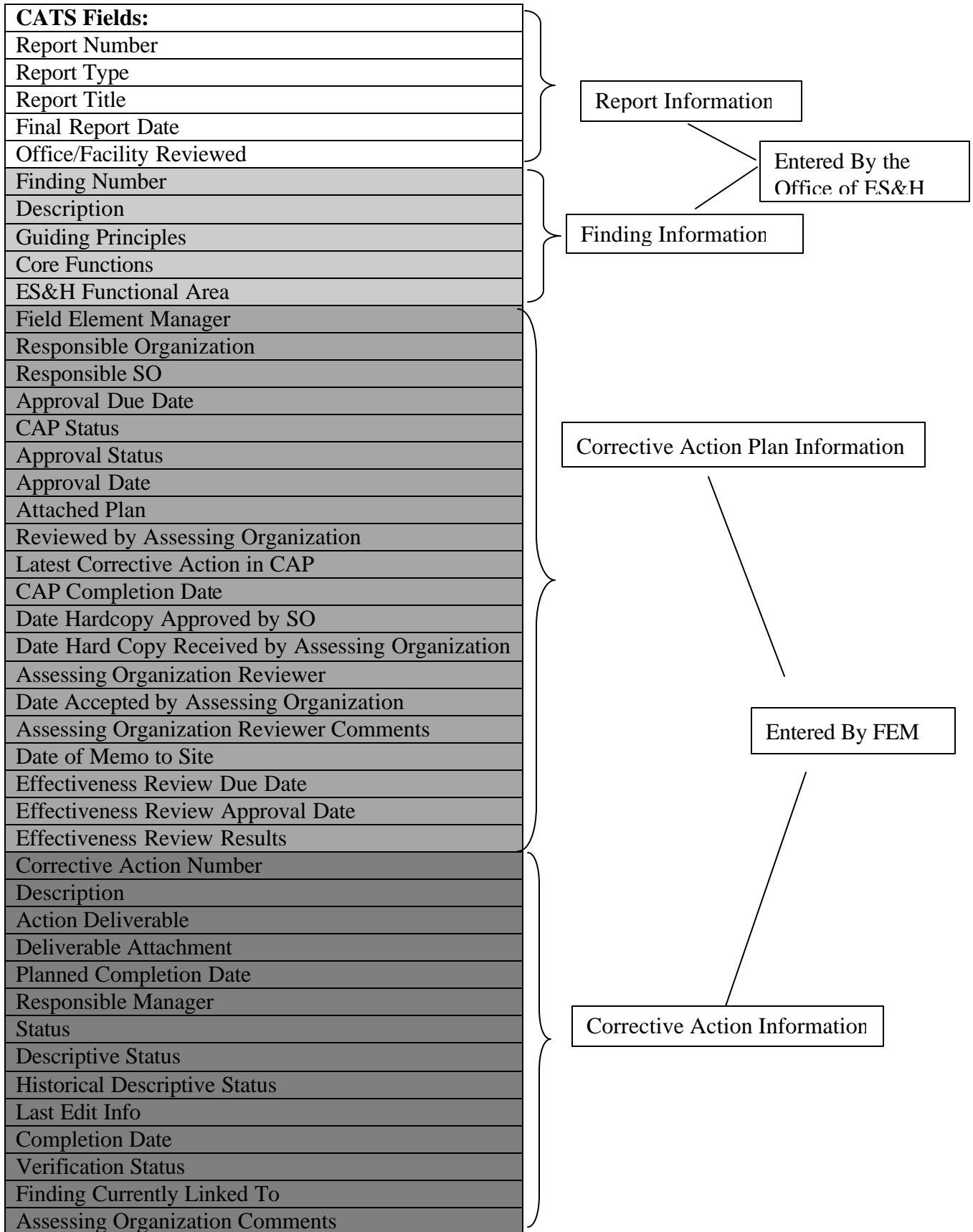
Date:

APPENDIX: DATA DICTIONARY

Section 1 – Field/Form Diagram.....	50
Section 2 – Data Characterization.....	52
2.1 Data Entry by the Office of ES&H	52
2.1.1 Report Data.....	52
2.1.2 Finding Data	53
2.2 Data Entry by Line Management	53
2.2.1 CAP Data	53
2.2.2 Corrective Action Data	55
2.3 Field Specifications for CATS	57
Section 3 - Keyword Values	65
INDEX	70

SECTION 1 – FIELD/FORM DIAGRAM

The diagram on the next page is a representation of the CATS major design elements. CATS contains four forms, represented by shading differentials, and forty fields. Each field name appears within its parent form. The form names and responsible office (EH or Field Element Manager - FEM) appear on the right-hand side of the diagram.



SECTION 2 – DATA CHARACTERIZATION

This section contains a brief description of the type of data that are to be entered into CATS. Some procedural information has been added for clarification of workflow.

*Note: *Indicates that once data is entered by the user and the document is saved, the field can no longer be edited. System-generated fields are not editable by the user. **This does not apply to Legacy Reports.*

2.1 DATA ENTRY BY THE OFFICE OF ES&H

The Office of ES&H enters the following fields, related to Source Reports and Findings. (Process guidelines: the Office of ES&H should enter the following information into the CATS database not later than 3 working days after receipt of an appraisal report that has been disseminated to the appropriate Secretarial Office (SO) or Field Element Manager (FEM))

2.1.1 Report Data

R-1, Report Number

A unique Report identifier.

*Note: This field is system-generated, using a multi-letter site code that corresponds to the **Office/Facility Reviewed**, a time stamp (MM/DD/YYYY) derived from the **Final Report Date**, a four digit sequential number (0001), an alpha character (R) that identifies the item as a report, followed by a code that identifies the type of report. All components are separated by a hyphen (e.g. NTS-11/21/2002-0001-R-ES&H-XM).*

*R-2, Report Type

The type of Report; options are **Type A Accident Investigation, EH-2, ES&H, XM, ES&H-XM** or **Self-assessment**

*R-3, Report Title

The title of the Appraisal report as it appears on the Report Transmittal to the Assessed Organization.

*R-4, Final Report Date

The date of the final approved Appraisal report as it appears on the Report Transmittal to the Assessed Organization. This date is used to calculate the **Corrective Action Plan Approval Due Date** (CAP-4)**

*R-5, Office/Facility Reviewed

The primary field or headquarters element reviewed by the assessing organization as described in the final approved report, study, evaluation, accident investigation, or other applicable feedback mechanism. See Section 3 for a list of offices/facilities reviewed.

2.1.2 Finding Data

*F -1, Finding Number

A unique finding identifier. This number relates to the appropriate report.

*Note: This field is system-generated, using a multi-letter site code that corresponds to the **Office/Facility Reviewed**, a time stamp (MM/DD/YYYY) derived from the **Final Report Date**, a four digit sequential number (0001), followed by a one character Alpha identifier (I) which identifies the item as a Finding. All components are separated by a hyphen (e.g. BNL-04/17/2002-0001-I).*

*I -2, Description

A concise statement of the safety finding, problem, judgment of need, or deficiency, to be addressed and resolved by the line management. Where possible, the finding description should be taken verbatim from the final approved report.

*I -3, Guiding Principles

This is a multi-value field that may have up to three values.

Note: See Section 3 for a list of Guiding Principles.

*I -4, Core Functions

This is a single value field.

Note: See Appendix A for a list of Core Functions.)

*I -5, ES&H Functional Area

This is a multiple value field.

Note: See Section 3 for a list of ES&H Functional Areas.

2.2 DATA ENTRY BY LINE MANAGEMENT

2.2.1 CAP Data

Line Management (Headquarters or Field) enters the following CAP Data information:

CAP-1, Field Element Manager (FEM)

The name of the DOE manager assigned as responsible for preparation and implementation of the overall Corrective Action Plan in response to the subject final approved report, study, evaluation, accident investigation, or other applicable feedback mechanism. Enter the last name, first name, and middle initial of the FEM.

CAP-2, Responsible Organization

The DOE organization that the FEM represents; an operations, area, site field, or headquarters office.

Note: See Section 3 for a list of Responsible Organizations.

CAP-3, Responsible SO

The line management Secretarial Officer who has approval authority for the Corrective Action Plan, regardless of whether this authority has been delegated.

Note: See Section 3 for a list of Responsible SOs.

***CAP-4, Approval Due Date**

The date an approved Corrective Action Plan is due. This date is sixty calendar days from the date the transmittal forwarding the formal assessment / investigation report was issued. This field is system-generated.

CAP-5, CAP Status

A description of the status on ongoing activities including, as relevant, identification as to whether the target date is at risk, estimated completion date if other than the approved target completion date, and any other relevant remarks.

CAP-6, Approval Status

Indicates current status of the Corrective Action Plan. The status is either Approved or Pending Approval. The default is Pending Approval; when an **Approval Date** (CAP-7, below) is entered; the status should be changed to Approved.

***CAP-7, Approval Date**

The date that the approval authority approves the Corrective Action Plan. The main purpose of this date is to provide an appropriate reference for the corrective actions described below.

Note: Corrective Action Plans are to be approved within 60 days of issuance of assessment reports. If Corrective Action Plans are subsequently revised and re-approved for any reason, including disposition of assessing organization comments or revision to the planned approach and target schedule, the approval date must be annotated in CATS.

***CAP-8, Attached Plan**

An electronic (typically a word processing file) version of the approved Corrective Action Plan should be attached in this field.

CAP-9, Reviewed by Assessing Organization

Indicates whether the assessing organization has completed its review of a Corrective Action Plan. The status is either Yes or No. The default is No.

***CAP-10, Planned CAP Completion Date**

This field is automatically generated by CATS based upon the latest Corrective Action planned completion date.

CAP-11, CAP Completion Date

When the last Corrective Action for a CAP is completed, the system will examine all of the Corrective Action completion dates and place the most recent of those values into this field. This field also indicates that all findings identified in the appraisal report are resolved by the completed corrective actions. This is a system generated date.

CAP 12, Effectiveness Review Due Date

Computed date field for the Due date of the Effectiveness Review, equal to “CAP Completion Date” + 60 Calendar Days. This field is to be calculated immediately upon the initial posting of the CAP Completion and Recalculated upon the change of the CAP Completion Date by the CATS Corrector, or person with similar authority.

***CAP-13, Effectiveness Review Approval Date**

This field can either contain a date, in the format of MM/DD/YYYY, or the text “See CAP Status”. The text will be required to indicate that the review requires more time. Once a date is entered it cannot be edited by a CATS Editor.

CAP-14, Effectiveness Review Results

Effectiveness Review Results

A rich text field for the CATS Editor to enter the results of the Effectiveness Review

2.2.2 Corrective Action Data

Line Management enters the following data for each corrective action listed in the approved CAP.

***CA-1, Corrective Action Number**

A unique corrective action identifier. This number relates to associated findings under a specific report.

*Note: This field is system generated, using a multi-letter site code that corresponds to the **Office/Facility Reviewed**, a time stamp (MM/DD/YYYY) derived from the **Final Report Date**, an alpha-numeric Finding identifier, a four digit sequential number (0001), followed by a one character Alpha identifier (A, which denotes Action). All components are separated by a hyphen, e.g., NTS-11/21/2003-I0001-0001-A.*

***CA-2, Description**

A description of the corrective action, as described in the approved Corrective Action Plan.

***CA-3, Action Deliverable**

A planned product that provides objective evidence that the corrective action is fulfilled, as described in the approved Corrective Action Plan.

***CA-4, Deliverable Attachment**

An electronic version of the **Action Deliverable**. (This field is optional)

***CA-5, Planned Completion Date**

The estimated completion date for the corrective action, as stated in the approved Corrective Action Plan.

CA-6, Responsible Manager

The name and position/organization of the manager responsible for the preparation and implementation of the corrective action. The data in this field is provided in the format Last Name, First Name, MI.

CA-7, Status

Open or Complete, as determined by the Field Element Manager (FEM). The default is Open.

CA-8, Descriptive Status

A description of the status on ongoing activities including, as relevant, identification as to whether the target date is at risk, estimated completion date if other than the approved target completion date, and any other relevant remarks.

CA-9, Historical Descriptive Status

A historical compilation of all status entries.

***CA-10, Last Edit Info**

The name of the CATS editor and date and time the information was added to CATS report.

CA-11, Completion Date

The date on which the corrective action was completed.

CA-12, Verification Status

Yes or No. This reflects whether or not line management has verified that the corrective action reported to be complete is indeed complete, consistent with the description in the approved Corrective Action Plan.

CA-13, Findings Currently Linked To A list of Findings associated with this Action.

2.3 FIELD SPECIFICATIONS FOR CATS

The following items identify fields that can be found on the Report, Finding, CAP, and Action forms, their field type, format, function, and characterization. Keyword user interface appears if applicable.

Field: R-1 Report Number

Field type:	Text (Computed)
Format:	A multi-letter site code that corresponds to the Office/Facility Reviewed , a time stamp (MM/DD/YYYY) derived from the FINAL REPORT DATE field, a four digit sequential number (0001), a one character Alpha identifier, followed by two or three character code that identifies the type of report. All components are separated by a hyphen.)
Function:	A unique Finding identifier
Characterization:	System Generated An Alpha/Numeric ID Can be used for sorting and searching

Field: R-2 Report Type

Field type:	Keywords
Format:	Keyword list, (drop-down menu)
Function:	The type of source report issued
Characterization:	Can be used for sorting and searching Cannot include keywords not in list Cannot include multiple keywords Cannot accommodate file attachments
Keyword User Interface:	Drop-down arrow

Field: R-3 Report Title

Field type:	Text
Format:	Text
Function:	Text description of Report Title
Characterization:	Can be used for sorting and searching Cannot accommodate file attachments

Field: R-4 Final Report Date

Field type:	Time/Date
Format:	MM/DD/YYYY
Function:	Date of the final Office of Oversight report
Characterization:	Can be used for sorting and searching Can be used in Time field calculations Cannot accommodate file attachments

Field: R-5 Office/Facility Reviewed

Field type:	Keywords
Format:	Keyword list, (drop-down menu)
Function:	The primary field or headquarters element reviewed by the assessing organization.
Characterization:	Can be used for sorting and searching Cannot include keywords not in list Cannot include multiple keywords Cannot accommodate file attachments.
Keyword User Interface:	Drop-down arrow

Field: I-1 Finding Number

Field type:	Text (Computed)
Format:	A multi-letter site code that corresponds to the Office/Facility Reviewed , a Time/Date stamp (MM/DD/YYYY) derived from the FINAL REPORT DATE field, a four digit sequential number (0001), followed by a one character Alpha identifier. All components are separated by a hyphen.)
Function:	A unique Finding identifier
Characterization:	System Generated An Alpha/Numeric ID Can be used for sorting and searching

Field: I-2 Description

Field type:	Text
Format:	Text
Function:	A concise statement of the Findings.
Characterization:	Can be used for sorting and searching Cannot accommodate file attachments

Field: I-3 Guiding Principles

Field type:	Keywords
Format:	Keyword list, (drop-down menu)
Function:	Identifies the Guiding Principles for each Finding.
Characterization:	Can be used for sorting and searching Cannot include keywords not in list Can include multiple, up to three, keywords
Keyword User Interface:	Drop-down arrow

Field: I-4 Core Functions

Field type:	Keywords
Format:	Keyword list, (drop-down menu)
Function:	Identifies the Core Function for each Finding
Characterization:	Can be used for sorting and searching Cannot include keywords not in list Cannot include multiple keywords
Keyword User Interface:	Drop-down arrow

Field: I-5 ES&H Functional Area

Field type:	Keywords
Format:	Keyword list, (drop-down menu)
Function:	Identifies the Functional Area for each Finding
Characterization:	Can be used for sorting and searching Cannot include keywords not in list Cannot include multiple keywords
Keyword User Interface:	Drop-down arrow

Field: CAP-1 Field Element Manager

Field type:	Text
Format:	Text
Function:	Name of the DOE Manager responsible for CAP preparation/implementation
Characterization:	Can be used for sorting and searching Cannot accommodate file attachments

Field: CAP-2 Responsible Organization

Field type:	Keywords
Format:	Keyword list, (drop-down menu)
Function:	The DOE organization that the responsible manager represents
Characterization:	Can be used for sorting and searching Cannot include keywords not in list Cannot include multiple keywords
Keyword User Interface:	Drop-down arrow

Field: CAP-3 Responsible SO

Field type: Keywords
Format: Keyword list, (drop-down menu)
Function: The headquarters program office that has CAP approval authority
Characterization: Can be used for sorting and searching
Cannot include keywords not in list
Cannot include multiple keywords
Keyword User Interface: Drop-down arrow

Field: CAP-4 Approval Due Date

Field type: Time/Date
Format: MM/DD/YY
Function: The date an approved Corrective Action Plan is due. This date is sixty calendar days from the final report date.(This does not apply to Legacy Reports)
Characterization: Can be used for sorting and searching
Can be used in Time field calculations

Field: CAP-5 CAP Status

Field type: Text
Format: Text
Function: A description of the status of ongoing activities
Characterization: Can be used for sorting and searching
Cannot accommodate file attachments

Field: CAP-6 Historical Descriptive Status

Field Type: Text
Format: Text, read only
Function: A historical compilation of all status entries for a CAP.
Characterization: This field is updated whenever a new status is saved.

Field: CAP-7 Approval Status

Field type: Keyword (Computed)
Format: Keyword list (drop-down menu)
Function: Indicates current status of the Corrective Action Plan. The status is either Pending Approval or Approved. The default is Pending Approval; when a Corrective Action Plan approval date is entered, the status must be changed to Approved
Characterization: Can be used for sorting and searching
Cannot include keywords not in list
Cannot be edited after Status is Approved

Keyword User Interface: Drop-down arrow
Allowable Keywords: Approved; Pending Approval

Field: CAP-8 Approval Date

Field type: Time/Date
Format: MM/DD/YYYY
Function: Date CAP approved by approval authority
Characterization: Can be used for sorting and searching
Can be used in Time field calculations

Field: CAP-9 Attached Plan

Field type: Rich Text
Format: Text, File Attachments
Function: Electronic version of the CAP is placed here
Characterization: Cannot be used for sorting
Can be used for searching, text only
Can accommodate text and file attachments

Field: CAP-10 Reviewed by Assessing Organization

Field type: Keyword
Format: Keyword list, (drop-down menu)
Function: Indicates current status of the assessing organization
Review of the Corrective Action Plan. The status is
either open or complete. The default is Open.
Characterization: Can be used for sorting and searching
Keyword User Interface: Drop-down arrow
Allowable Keywords: Open
Complete

Field: CAP-11 Latest Corrective Action in CAP

Field Type: Date
Format: MM/DD/YYYY
Function: The date of the most recent Corrective Action as
described in the approved Corrective Action Plan.
Characterization: Can be used for sorting and searching
Can be used in Time field calculations

Field: CAP-12 CAP Completion Date

Field type: Time/Date (Computed – taken from Field CA-10)
Format: MM/DD/YYYY
Function: When the last Corrective Action for this CAP is
completed, the system will examine all of the

Characterization: Corrective Action completion dates and place the most recent of those values into this field.
Can be used for sorting and searching
Can be used in Time field calculations

Field: CAP-13 Effectiveness Review Approval Date

Field Type Date
Format Date in MM/DD/YYYY format
Function This field can either contain a date, in the format of MM/DD/YYYY, or the text "See CAP Status". The text will be required to indicate that the review requires more time.
Characterization Once the date of the Effectiveness Review Approval has been entered, it cannot be edited by a CATS Editor. Rich Text field of 256 characters or more. Hide when date field is completed.

Field: CAP-14 Effectiveness Review Results

Field Type Memo
Format Rich text
Function An edit box for the CATS Editor to enter the results of the Effectiveness Review
Characterization Rich Text field of 256 characters or more.

Field: CAP-14 Effectiveness Review Due Date

Field Type: Date
Format Date in MM/YY/DDDD format
Function Computed date field for the Due date of the Effectiveness Review
Characterization: The calculation for this field is "CAP Completion Date" + 60 Calendar Days. This field is to be calculated immediately upon the initial posting of the CAP Completion and Recalculated upon the change of the CAP Completion Date by the CATS Corrector, or person with similar authority. Calculation is in the Process Action, Complete CAP method

Field: CA-1 Corrective Action Number

Field type: Text (Computed)
Format: This field is system generated, using a multi-letter site code that corresponds to the **Office/Facility Reviewed**, a time stamp (MM/DD/YYYY) derived from the **Final Report Date**, an alpha-numeric Finding identifier, a four digit sequential number (0001), followed by a one character Alpha identifier. All components are separated by a hyphen.

Function: A unique corrective action identifier
Characterization: System Generated
An Alpha/Numeric ID
Can be used for sorting and searching

Field: CA-2 Description

Field type: Text
Format: Text
Function: A description of the planned, approved corrective action
Characterization: Can be used for sorting and searching
Cannot accommodate file attachments

Field: CA-3 Deliverable

Field type: Text
Format: Text
Function: A planned product that provides objective evidence of Corrective Action fulfillment
Characterization: Can be used for sorting and searching
Cannot accommodate file attachments

Field: CA-4 Deliverable Attachments

Field type: Rich Text
Format: Text, File Attachments
Function: Electronic version of the Action Deliverable is placed here
Characterization: Cannot be used for sorting
Can be used for searching, text only
Can accommodate text and file attachments

Field: CA-5 Planned Completion Date

Field type: Time/Date
Format: MM/DD/YYYY
Function: Estimated Completion Date of the Corrective Action
Characterization: Can be used for sorting and searching
Can be used in Time field calculations
Cannot be edited

Field: CA-6 Responsible Manager

Field type: Text
Format: Text
Function: Name of the DOE Manager responsible for Corrective Action preparation and implementation
Characterization: Can be used for sorting and searching
Cannot accommodate file attachments

Field: CA-7 Status

Field type:	Keyword
Format:	Keyword list, (drop-down menu)
Function:	Open or Complete, as determined by the Field Element Manager; the default is Open
Characterization:	Can be used for sorting and searching Cannot include keywords not in list Cannot include multiple keywords
Keyword User Interface:	Drop-down arrow
Allowable Keywords:	Open; Complete

Field: CA-8 Descriptive Status

Field type:	Text
Format:	Text
Function:	A description of the status of ongoing activities
Characterization:	Can be used for sorting and searching Cannot accommodate file attachments

Field: CA-9 Historical Descriptive Status

Field Type	Text
Format	Text, read only
Function	A historical compilation of all status entries for a CAP.
Characterization	This field is updated whenever a new status is saved.

Field: CA-10 Completion Date

Field type:	Time/Date
Format:	MM/DD/YYYY
Function:	Date the Corrective Action was completed
Characterization:	Can be used for sorting and searching Can be used in Time field calculations

Field: CA-11 Action Verification Status

Field type:	Keywords
Format:	Keyword List
Function:	Line verification status
Characterization:	Can be used for sorting and searching. Can be used in Time field calculations
Keyword User Interface:	Radio Buttons
Allowable Keywords:	Yes; No

Field: CA-12 Findings Currently Linked to

Field type:	Computed
Format:	Text
Function:	A list of linked Findings associated with an Action
Characterization:	Cannot be used for sorting and searching

SECTION 3 - KEYWORD VALUES

Keyword Name: Office/Facility Reviewed

Keyword Value: SITE	SITE CODE
Alaska Power Administration	APA
Ames Laboratory	AMES
Argonne National Laboratory	ARG
Argonne National Laboratory - East	ANLE
Argonne National Laboratory - West	ANLW
Bonneville Power Administration	BPA
Brookhaven National Laboratory	BNL
Chicago	CH
DOE-Wide	DOEW
East Tennessee Technology Park	ETTP
Environmental Measurements Laboratory	EML
Ernest Orlando Lawrence Berkeley National Laboratory	EOLB
Fermi National Accelerator Laboratory	FNAL
Fernald Environmental Management Project	Fernald
Hanford Site	HS
Idaho National Engineering & Environmental Laboratory	INEEL
Kansas City Plant	KCP
Knolls Atomic Power Laboratory	KAPL
Lawrence Livermore National Laboratory	LLNL
Los Alamos National Laboratory	LANL
Los Alamos Neutron Science Center	LANSCE
Miamisburg Environmental Management Project	MEMP
Mound Facility	Mound
Nevada Operations Office	NSO
Nevada Test Site	NTS
New Brunswick Laboratory	NBL
Oak Ridge K-25 Site	ETTP
Oak Ridge National Laboratory	ORNL
Oak Ridge Operations Office	ORO
Oak Ridge Y-12 Site	Y-12
Oakland	Oakland
Office of River Protection	ORP
Office of Secure Transportation	OST
Pacific Northwest National Laboratory	PNNL
Paducah Gaseous Diffusion Plant	PGDP
Pantex Plant	PP
Portsmouth Gaseous Diffusion Plant	PORTS
Princeton Plasma Physics Laboratory	PPPL
Richland	Richland
Rocky Flats Environmental Technology Site	RFETS
Roswell	Roswell

Sandia National Laboratory - Albuquerque	SNLAL
Sandia National Laboratory - Livermore	SNLCA
Savannah River Site	SRS
Southeastern Power Administration	SEPA
Southwestern Power Administration	SW
Strategic Petroleum Reserve Site	SPR
Waste Isolation Pilot Plant	WIPP
West Valley Demonstration Project	WVDP
Western Area Power Administration	WAPA
Yucca Mountain	YMP

Keyword Name: Report Type

Keyword Values:

Type A/AIA
 EH-2/EH2
 Self-Assessment/SSA
 Emergency Management/XM
 ES&H/ES&H
 ES&H-Emergency Management/ES&H-XM

Keyword Name: Guiding Principles

Keyword Values:

1. Line Management Responsibility for Safety
 2. Clear Roles and Responsibilities
 3. Competence Commensurate with Responsibilities
 4. Balanced Priorities
 5. Identification of Safety Standards and Requirements
 6. Hazard Controls Tailored to Work Being Performed
 7. Operations Authorization
 8. Worker Involvement
- Not Assigned

Keyword Name: Core Function

Keyword Values:

1. Define the Scope of Work
 2. Analyze Hazards
 3. Develop and Implement Hazard Controls
 4. Perform Work within Controls
 5. Provide Feedback and Continuous Improvement
- Not Assigned

Keyword Name: ES&H Functional Areas

Keyword Values:

Air Quality Protection
Authorization Basis
Aviation Safety
Chemical Safety
Conduct of Operations
Construction
Criticality Safety
Decontamination and Decommissioning
DOE Directives/Requirements and Regulations
Electrical Safety
Emergency Management
Emergency Preparedness
Engineering
Environmental Protection
Explosive Safety
Fire Safety
Hazardous Waste Operations
Industrial Hygiene
Industrial Safety
Maintenance
Management Systems
Mine Safety
N/A
Nuclear Safety
Occupational Medicine
Packaging and Transportation
Personnel Security(PS)
Policies and Procedures
Quality Assurance
Radiological Control
Roles Responsibilities and Authorities
Subcontractor Safety
Toxic Substances
Training
Transportation Safety
Vehicle Safety
Waste Management
Waste Minimization and Pollution Prevention
Water Quality Protection
Work Planning and Control

Keyword Name: Responsible Organizations

Keyword Values:

CBFO - Carlsbad Field Office
CH - Chicago Operations Office
DP - Office of the Deputy Administrator for Defense Programs
EE - Office of Energy Efficiency & Renewable Energy
EH - Office of the Assistant Secretary for Environment, Safety, and Health
EM - Office of the Assistant Secretary for Environmental Management
EO - Office of Emergency Operations
ER - Office of Energy Research
FE - Office of the Assistant Secretary for Fossil Energy
FM - Field Management
ID - Idaho Operations Office
KCSO - Kansas City Site Office
LASO - Los Alamos Site Office
LSO - Livermore Site Office
ME - Office of Management and Budget Evaluation
NE - Office of Nuclear Energy
NSO - Nevada Site Office
OA - Office of Independent Oversight & Performance Assurance
OC - Office of Civilian Radioactive Waste Management
OH - Ohio Field Office
OR - Oak Ridge Operations Office
ORP - Office of River Protection
PA - Power Administrations
PNRO - Pittsburgh Naval Reactors Office
PSO - Pantex Site Office
RFFO - Rocky Flats Field Office
RL - Richland Operations Office
SC - Office of Science
SNRO - Schenectady Naval Reactors Office
SPR - Strategic Petroleum Reserve Site
SRO - Savannah River Operations Office
SSO - Sandia Site Office
Y-12SO - Y-12 Site Office

Keyword Name: SO (Responsible Secretarial Officer)

Keyword Values:

S - Office of the Secretary of Energy
DS - Office of the Deputy Secretary
US - Office of the Under Secretary
AB - Office of the Secretary of Energy Advisory Board

BPA - Bonneville Power Administration
CP - Assistant Secretary for Congressional, Public and Intergovernmental Affairs
CR - Chief Financial Officer
DP - Office of the Deputy Administrator for Defense Programs
ED - Office of Economic Impact and Diversity
EE - Assistant Secretary for Energy Efficiency and Renewable Energy
EH - Assistant Secretary for Environment, Safety and Health
EI - Energy Information Administration
EM - Assistant Secretary for Environmental Management
EO - Office of Emergency Operations
FE - Assistant Secretary for Fossil Energy
FM - Office of the Associate Deputy Secretary for Field Management
GC - Office of the General Counsel
HG - Office of Hearing and Appeals
IG - Office of the Inspector General
MD - Office of Fissile Materials Disposition
ME - Office of Management and Budget Evaluation
NE - Office of Nuclear Energy
NN - Office of Nonproliferation and National Security
PO - Assistant Secretary for Policy
QM - Office of Quality Management
RW - Office of Civilian Radioactive Waste Management
SC - Office of Science
WAPA - Western Area Power Administration
WT - Office of Worker and Community Transition

INDEX

<hr/>		
A		
Accessing CATS	6	
Action	22, 29	
<hr/>		
B		
Bookmark	6	
<hr/>		
C		
CAP	28	
Corrective Action Plan (CAP)	19	
Create		
Action	22	
CAP	19	
Finding	17	
Source Report	16	
<hr/>		
D		
Data	30	
Entry	16	
<hr/>		
E		
Edit		
Action	39	
CAP	38	
Finding	38	
Source Report	38	
<hr/>		
F		
Finding	27	
Form	13	
Function	13	
<hr/>		
I		
Internet Browsers	5	
<hr/>		
L		
Link	30	
Action	31	
Finding	30	
Unlink an Action	32	
<hr/>		
M		
Main Menu	13	
<hr/>		
N		
Navigator	13	
Nesting	13	
<hr/>		
P		
Privacy Act	5	
<hr/>		
R		
Recordkeeping	5	
Reports		
CATS Reports	42	
<hr/>		
S		
Search	33	
Action	36	
All	33	
Any	33	
CAP	35	
Finding	34	
Source Report	33	
Security	5	
Secure Sockets Layer (SSL)	5	
Source Report	16, 26	
<hr/>		
U		
URL		
Address for CATS	6	
URL (Uniform Resource Locator)	6	
URL locator bar	6	
<hr/>		
V		
View	13	
Action	29	
CAP	28	
Source Report	26	
View Pane	13	