



Department of Energy

Washington, DC 20585

July 19, 2002

MEMORANDUM FOR: Distribution

FROM: S. David Stadler, EH-2

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

Attached is the Department of Energy (DOE) report on the status of the Corrective Action Management (CAM) Program for the third quarter of fiscal year 2002. The report summarizes Corrective Action Plans and their associated corrective actions developed and tracked by line managers to effectively address and resolve findings identified by Independent Oversight. The corrective action status is documented and tracked in the Department's Corrective Action Tracking System.

We are continuously reviewing and revising the overall format of this report in conjunction with the DOE CAM Team to ensure that the most accurate portrayal of the Department's CAM Program status is provided. If you have any questions or comments pertaining to this report or recommended changes to the report format, please contact me at (202) 586-0307, or your staff may contact Steve Petersen at (301) 903-4022. Recommended changes may also be communicated to your CAM Team representative.

A handwritten signature in black ink, appearing to read "S. David Stadler".

S. David Stadler, PhD
Deputy Assistant Secretary
Office of Corporate Safety Assurance
Environment, Safety and Health

Attachment



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

Final Report Distribution

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

Final Report Distribution Continued

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

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Department of Energy
Office of Corporate Safety Assurance

Corrective Action Management Program
Third Quarter Report-Fiscal Year 2002

July 2002



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Abbreviations Used in this Report	Inside Back Cover

Department of Energy Corrective Action Management Program

Third Quarter Report, Fiscal Year 2002

Summary

As prescribed in DOE Order 414.1A, *Quality Assurance*, Department line managers must address, track, report, complete and verify closure of:

- (1) environment, safety, and health (ES&H) and emergency management findings identified by the Office of Independent Oversight and Performance Assurance
- (2) Type A accident investigation Judgments of Need
- (3) Safety issues or findings identified during the conduct of special assessment initiatives directed to be corrected in accordance with the provisions of the DOE order by the Secretary or Deputy Secretary.

For the purpose of this report, the term findings will also apply to Judgments of Need and safety issues. A finding specifies conditions identified during the conduct of an oversight assessment that could have an adverse impact on the environment, the safety or health of site workers or the public, and/or the DOE mission. These findings will be validated and clearly addressed in the formal assessment report provided to line management.

Line managers will develop and implement a corrective action plan (CAP) that describes all actions to effectively resolve each finding. The final CAP is to be approved by the Cognizant Secretarial Officer (CSO) or delegated designee within 60 days from issuance of the formal assessment report. Department line managers must also complete all corrective actions within the planned dates as outlined in the approved CAP, and report the status of these actions in the Department's Corrective Action Tracking System (CATS) database. The planned CAP completion date is the date that all corrective actions listed in the CAP are to be completed.

This report provides the third quarter, fiscal year 2002 summary status of CAPs and their associated corrective actions as of June 30, 2002. The Department-wide program status is depicted, followed by the status for the Under Secretaries and their assigned Cognizant Secretarial Officers.

The report outlines the status of CAPs pending approval by the CSO (overdue and on schedule) and status of CAPs approved by the CSO with open corrective actions (overdue and on schedule with the planned CAP completion date). **Four CAPs with approval due dates for this quarter and earlier have not been approved by the CSO and are OVERDUE.** Three of these CAPs are more than 60 days past their approval due dates. There were three late CAPS reported last quarter. **There are no approved CAPs overdue from their planned completion date.** There was one approved CAP overdue from the planned completion date last quarter.

This report also outlines the number of corrective actions completed this quarter, total completed since inception of the Corrective Action Management Program, those on schedule to be completed within the CAP completion date, and late corrective actions not completed within the date listed in the CAP. **There are a total of 38 late corrective actions.** There were 13 late corrective actions reported last quarter. There were 122 corrective actions completed this quarter.

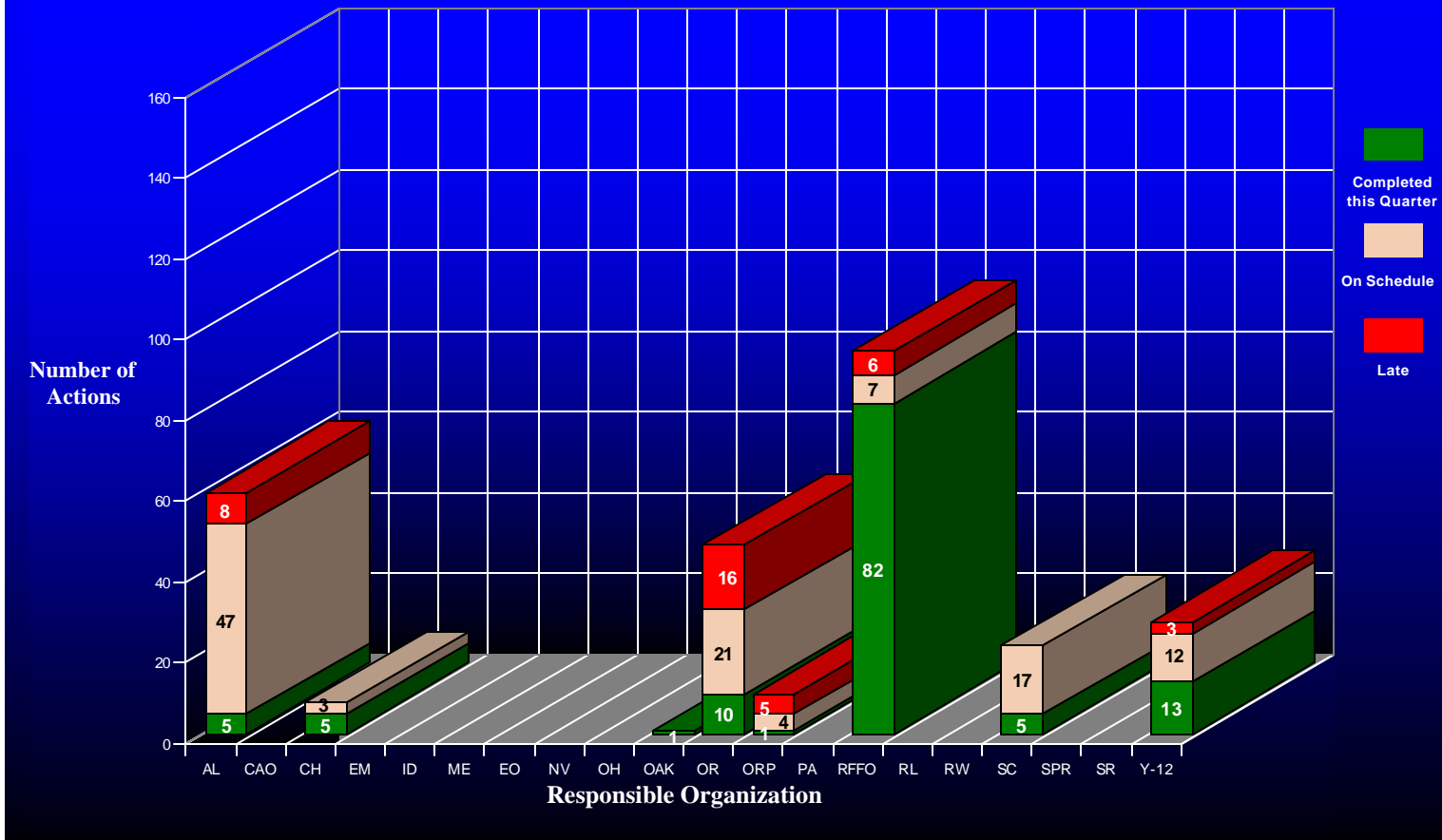
Since inception of the Corrective Action Management Program in response to the DOE Implementation Plan to Defense Nuclear Facilities Safety Board Recommendation 98-1, *DOE Plan to Address and Resolve Safety Issues Identified by Internal Independent Oversight* on March 10, 1999, a total of 101 appraisal reports have been tracked within the CATS identifying 688 findings. Line managers developed and implemented CAPs in response to these appraisal reports, which include a total of 3,715 corrective actions to resolve the identified findings.

This report is available on the Internet by accessing the Integrated Safety Management Resource Center web site on the Environment, Safety and Health Information Portal at <http://tis.eh.doe.gov/portal/home.htm> or the CATS web site at <http://tis.eh.doe.gov/portal/catsentry.html>. The web sites provide read-only access to the CATS database.

Department of Energy Summary

New Assessment Reports this Quarter	2
Corrective Action Plans (CAPs) Pending Approval	
CAPs pending approval - Approval > 60 days OVERDUE	3
CAPs pending approval - Approval <= 60 days OVERDUE	1
CAPs pending approval - Approval on schedule	1
Total CAPs pending approval	5
Approved Corrective Action Plans (CAPs)	
Approved CAPs - with actions open > 90 days OVERDUE (past planned completion date)	0
Approved CAPs - with actions open <= 90 days OVERDUE (past planned completion date)	0
Approved CAPs - on schedule	20
Total approved CAPs still open	20
Approved CAPs - Completed this Quarter	3

Status of Corrective Actions by Area/Office Department of Energy



Corrective Action Status	AL	CAO	CH	EM ¹	ID	ME	EO	NV	OH	OAK	OR	ORP	PA	RFFO	RL	RW	SC ²	SPR	SR	Y-12	TOTALS
Completed 3rd Qtr, FY02	5	0	5	0	0	0	0	0	0	1	10	1	0	82	0	0	5	0	0	13	122
Total Completed	637	14	60	67	491	8	70	153	229	119	753	29	33	106	89	4	318	9	87	290	3566
On Schedule	47	0	3	0	0	0	0	0	0	0	21	4	0	7	0	0	17	0	0	12	111
Late	8	0	0	0	0	0	0	0	0	0	16	5	0	6	0	0	0	0	0	3	38
Totals	692	14	63	67	491	8	70	153	229	119	790	38	33	119	89	4	335	9	87	305	3715

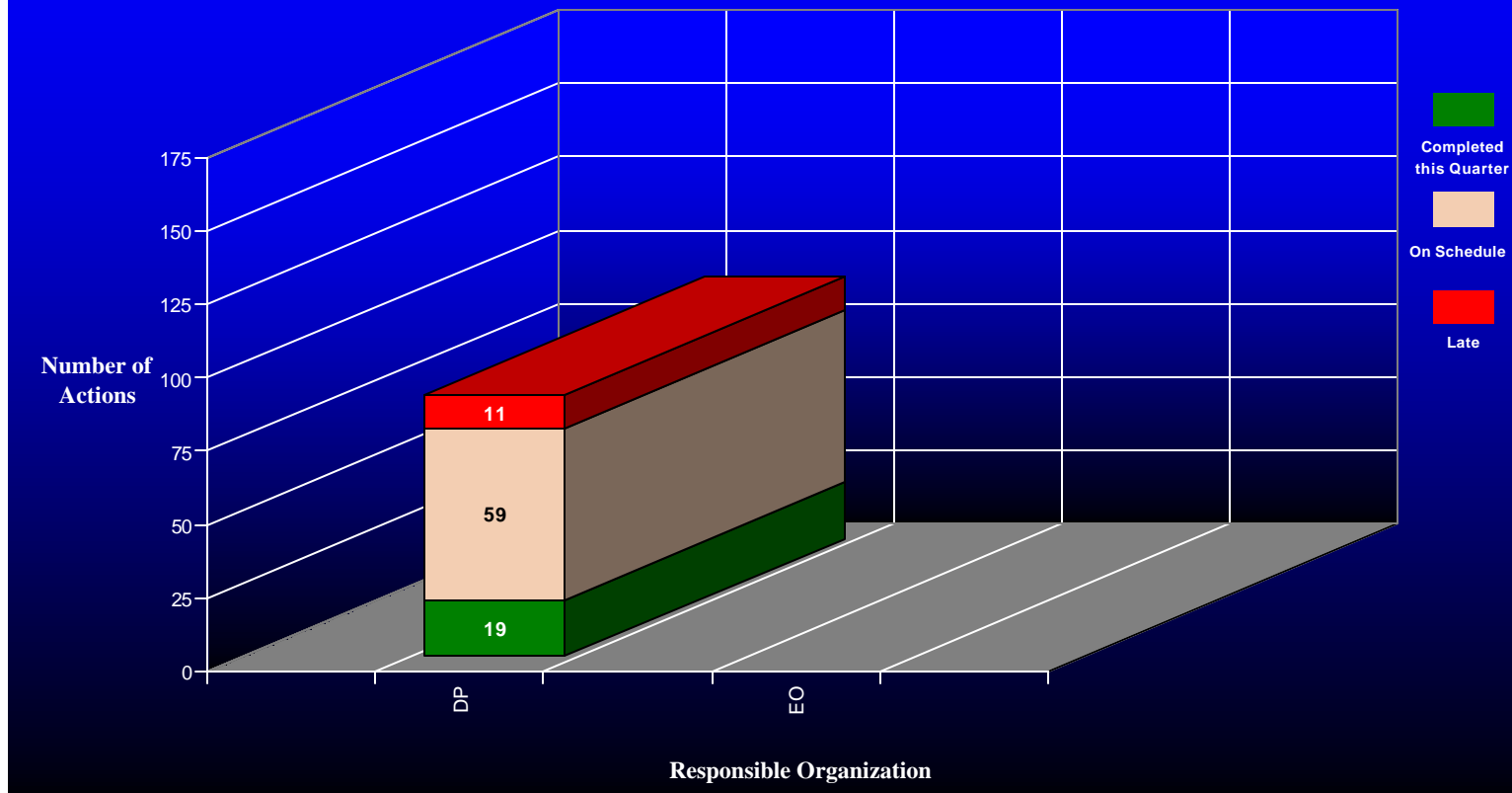
¹ EM includes 3/1/96 Oversight Review of DOE-wide Quality Assurance Program of Suspect/Counterfeit Parts and 8/1/95 Type A Accident Investigation for the Security Rappel Tower Facility at SR.
² SC includes independent oversight appraisals of Brookhaven and Fermi National Accelerator Laboratories

Administrator for Nuclear Security,
National Nuclear Security Administration

Administrator for Nuclear Security, National Nuclear Security Administration Summary

New Assessment Reports this Quarter	1
Corrective Action Plans (CAPs) Pending Approval	
CAPs pending approval - Approval > 60 days OVERDUE	0
CAPs pending approval - Approval <= 60 days OVERDUE	0
CAPs pending approval - Approval on schedule	1
Total CAPs pending approval	1
Approved Corrective Action Plans (CAPs)	
Approved CAPs - with actions open > 90 days OVERDUE (past planned completion date)	0
Approved CAPs - with actions open <= 90 days OVERDUE (past planned completion date)	0
Approved CAPs - on schedule	7
Total approved CAPs still open	7
Approved CAPs - Completed this Quarter	2

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



Corrective Action Status	DP	EO*	TOTALS
Completed 3rd Qtr. FY02	19	0	19
Total Completed	1199	70	1269
On Schedule	59	0	59
Late	11	0	11
Totals	1269	70	1339

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

Deputy Administrator for Defense Programs Late Corrective Actions

Los Alamos National Laboratory

Report Number: LANL 04/14/2000-001-R-EH2

Report Title: Field Report Nuclear Criticality Safety Review for Los Alamos National Laboratory Technical Area-55

Number of Late Corrective Actions: 1

Report Number: LANL 07/24/2000-0002-R-AIA

Report Title: Type A Accident Investigation of the March 16, 2000 Plutonium-238 Multiple Intake Event at the Plutonium Facility, LANL, New Mexico

Number of Late Corrective Actions: 4

Office of Transportation Safeguards

Report Number: TSD 06/01/1999-0001-R-AIA

Report Title: Type A Accident Investigation Board Report of the April 19, 1999 Special Agent Fatality at the Southeast Courier Section, Oak Ridge, Tennessee

Number of Late Corrective Actions: 1

Report Number: TSD 10/01/2001-0001-R-XM

Report Title: Independent Oversight Evaluation of the Office of Transportation Safeguards Emergency Management Program

Number of Late Corrective Actions: 2

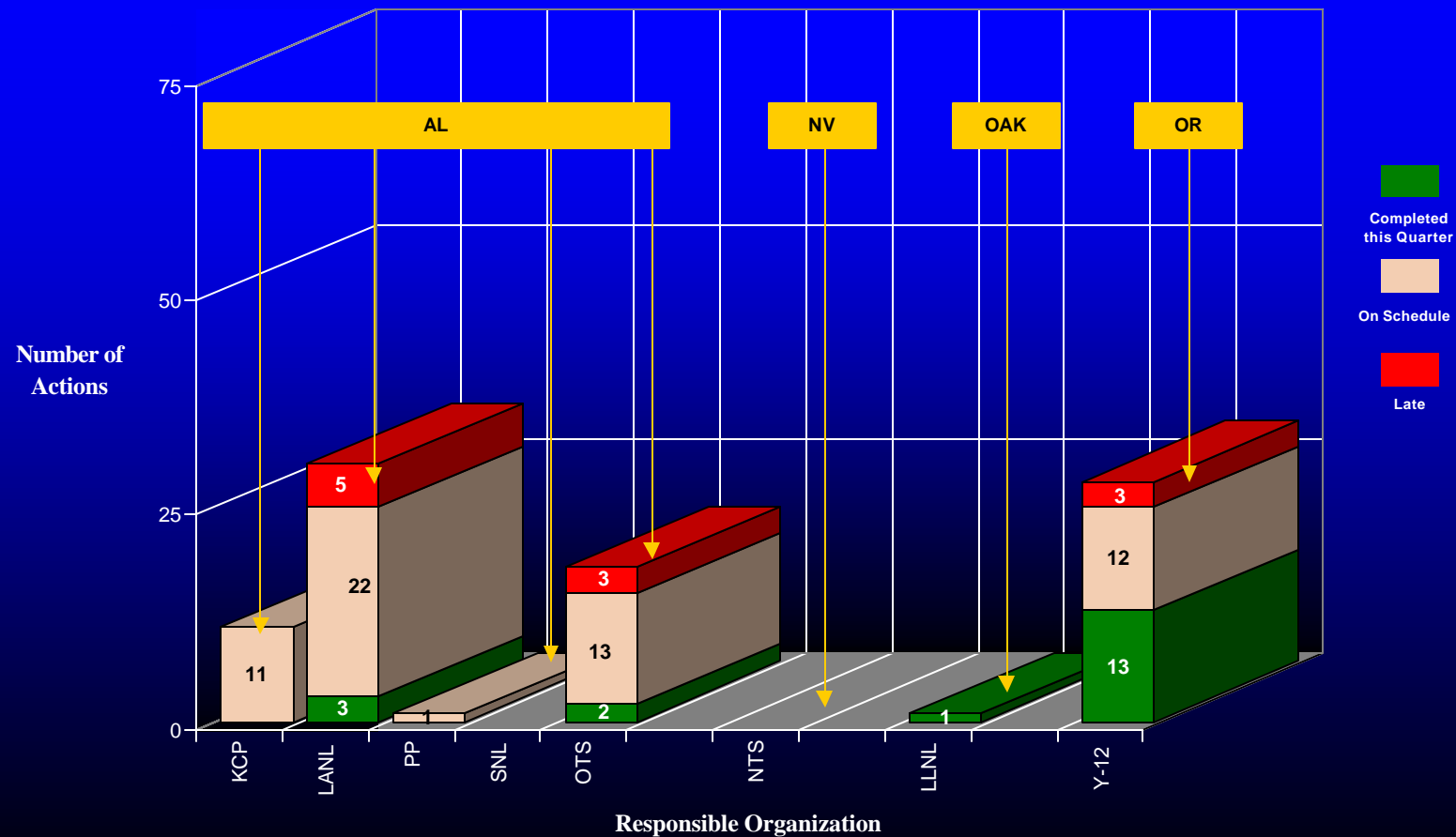
Y-12 National Security Complex

Report Number: Y-12-11/28/2002-0001-R-XM

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

Number of Late Corrective Actions: 3

Status of Corrective Actions Deputy Administrator for Defense Programs



	AL				OTS	NV	OAK	Y-12	
Corrective Action Status	KCP	LANL	PP	SNL	OTS	NTS	LLNL	Y-12	TOTALS
Completed 3 rd Qtr, FY02	0	3	0	0	2	0	1	13	19
Total Completed	0	365	46	156	70	153	119	290	1199
On Schedule	11	22	1	0	13	0	0	12	59
Late	0	5	0	0	3	0	0	3	11
Totals	11	392	47	156	86	153	119	305	1269

Status of Corrective Action Plans

Deputy Administrator for Defense Programs

1. New Assessment Reports this Quarter

Report Number	LANL-05/23/2002-0001-R-ES&H-XM
Report Title	Office of Independent Oversight and Performance Assurance Inspection of Environment, Safety, and Health Management and Emergency Management at the Los Alamos National Laboratory, April 2002
Final Report Date	05/23/2002
Office/Facility Reviewed	Los Alamos National Laboratory
CAP Completion Due Date	07/22/2002
Approval Status	Pending Approval

2. Corrective Action Plans Pending Approval - OVERDUE None

3. Corrective Action Plans Pending Approval - On Schedule

Report Title	Office of Independent Oversight and Performance Assurance Inspection of Environment, Safety, and Health Management and Emergency Management at the Los Alamos National Laboratory, April 2002
Final Report Date	05/23/2002
Office/Facility Reviewed	Los Alamos National Laboratory
CAP Approval Due Date	07/22/2002

4. Approved Corrective Actions Plans - Completion OVERDUE None

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

Report Number	LLNL-02/24/2000-0002-R-SSA
Report Title	LLNL Criticality Safety Program Review
Final Report Date	02/24/2000
Office/Facility Reviewed	Lawrence Livermore National Laboratory
CAP Completion Due Date	04/01/2002
CAP Completion Date	04/05/2002

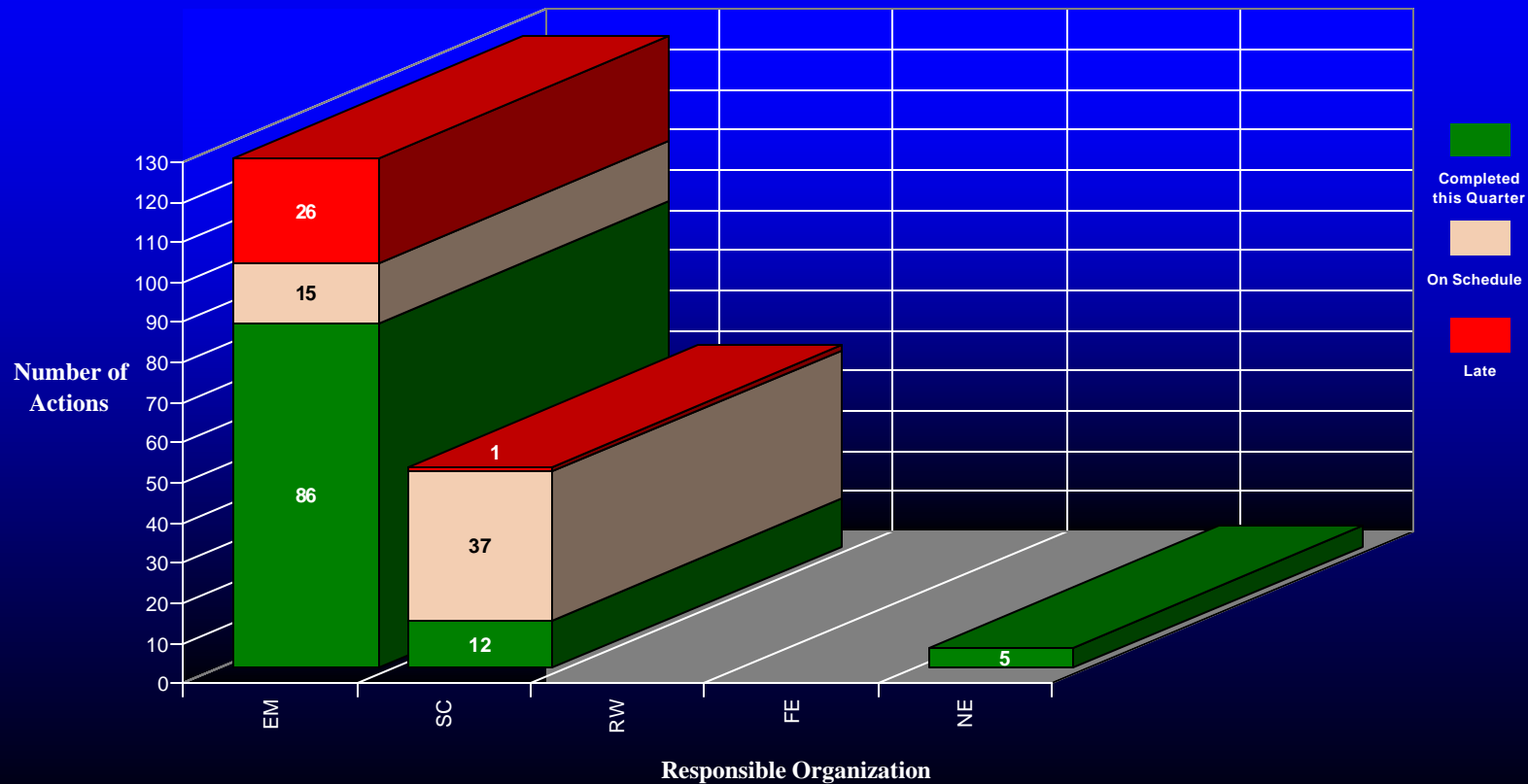
Report Number	LANSCE-12/22/1999-0001-R-EH2
Report Title	Follow-up Review of Integrated Safety Management at the Los Alamos Neutron Science Center
Final Report Date	12/22/1999
Office/Facility Reviewed	Los Alamos Neutron Science Center
CAP Completion Due Date	05/01/2002
CAP Completion Date	04/30/2002

Under Secretary for Energy, Science
and Environment

Under Secretary for Energy, Science and Environment Summary

New Assessment Reports this Quarter	1
Corrective Action Plans (CAPs) Pending Approval	
CAPs pending approval - Approval > 60 days OVERDUE	3
CAPs pending approval - Approval <= 60 days OVERDUE	1
CAPs pending approval - Approval on schedule	0
Total CAPs pending approval	4
Approved Corrective Action Plans (CAPs)	
Approved CAPs - with actions open > 90 days OVERDUE (past planned completion date)	0
Approved CAPs - with actions open <= 90 days OVERDUE (past planned completion date)	0
Approved CAPs - on schedule	13
Total approved CAPs still open	13
Approved CAPs - Completed this Quarter	1

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



Corrective Action Status	EM	SC	RW	FE	NE	TOTALS
Completed 3rd Qtr. FY02	86	12	0	0	5	103
Total Completed	1720	475	4	9	28	2256
On Schedule	15	37	0	0	0	52
Late	26	1	0	0	0	27
Totals	1761	533	4	9	28	2335

Assistant Secretary for Environmental Management

Late Corrective Actions

Oak Ridge Operations Office

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

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

Number of Late Corrective Actions: 14

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

Report Title: Independent Investigation at the Portsmouth Gaseous Diffusion Plant

Number of Late Corrective Actions: 1

Office of River Protection

Report Number: ORP-08/13/2001-0001-R-EH2

Report Title: Focused Review of the River Protection Project

Number of Late Corrective Actions: 5

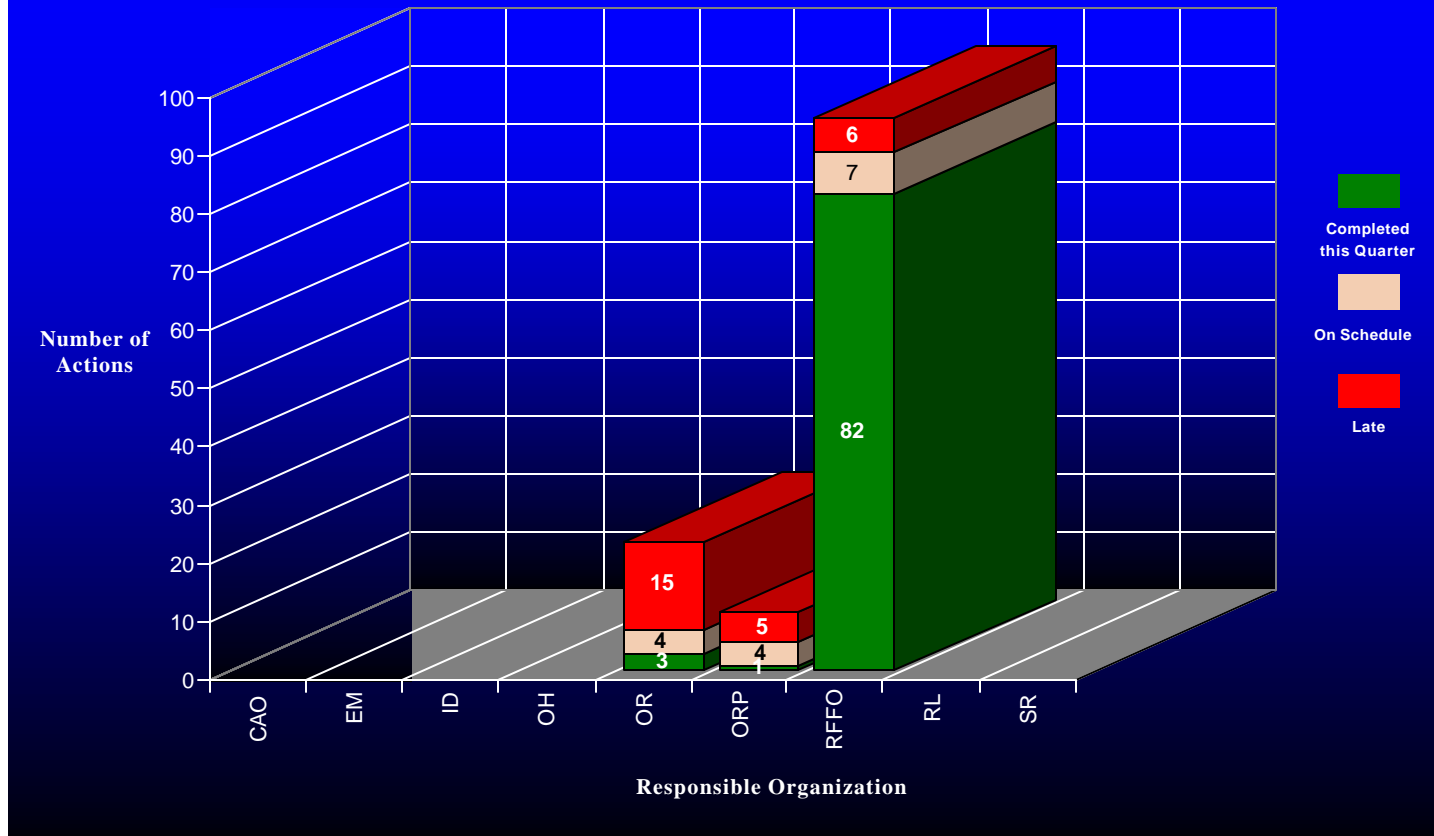
Rocky Flats Environmental Technology Site

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

Report Title: Special Review of the Rocky Flats Closure Project Site

Number of Late Corrective Actions: 6

Status of Corrective Actions Assistant Secretary for Environmental Management



EM										
Corrective Action Status	CAO	EM*	ID	OH	OR	ORP	RFFO	RL	SR	TOTALS
Completed 3 rd Qtr, FY02	0	0	0	0	3	1	82	0	0	86
Total Completed	14	67	491	229	645	29	106	52	87	1720
On Schedule	0	0	0	0	4	4	7	0	0	15
Late	0	0	0	0	15	5	6	0	0	26
Totals	14	67	491	229	664	38	119	52	87	1761

* EM includes 3/1/96 Oversight Review of DOE-wide Quality Assurance Program of Suspect/Counterfeit Parts and 8/1/95 Type A Accident Investigation for the Security Rappel Tower Facility at SR.

Status of Corrective Action Plans

Assistant Secretary for Environmental Management

1. **New Assessment Reports this Quarter**
None
2. **Corrective Action Plans Pending Approval - OVERDUE More Than 60 Days (not approved within 120 days of report issuance)**

Report Number	ORO-05/29/2001-0001-R-EH2
Report Title	Review of Oak Ridge Operations Office Contractor Nuclear Criticality Safety Self-Assessments
Final Report Date	05/29/2001
Office/Facility Reviewed	Oak Ridge Operations Office
CAP Completion Due Date	07/28/2001
Line Management Comments	EM-1 has continuously disapproved the proposed corrective action plans submitted because they do not meet EM corrective action plan (CAP) policy expectations published in October 2001. The last disapproval was 05/22/2002. A revised CAP was requested within 30 days and ORO is developing the revised CAP.

Report Number	HS-09/07/2001-0001-R-XM
Report Title	Independent Oversight Inspection of Emergency Management at the Hanford Site
Final Report Date	09/07/2001
Office/Facility Reviewed	Hanford Site
CAP Approval Due Date	11/06/2001
Line Management Comments	EM-1 has continuously disapproved the proposed corrective action plans submitted because they do not meet EM CAP policy expectations published in October 2001. The last disapproval was 06/13/2002. A revised CAP was requested within 30 days and RL is developing the revised CAP.

Report Number	HS-01/16/2002-0001-R-EH2
Report Title	Comprehensive Fire Safety Review at the Hanford Site
Final Report Date	01/16/2002
Office/Facility Reviewed	Hanford Site
CAP Approval Due Date	03/17/2002
Line Management Comments	Proposed CAP was submitted for approval 04/16/2002. The CAP was disapproved by EM-1 on 06/18/2002 because it did not meet EM CAP policy expectations published in October 2001.

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

Report Number	HS-03/27/2002-0002-R-ES&H
Report Title	Inspection of Environment, Safety and Health Management at the Hanford Site
Final Report Date	03/27/2002
Office/Facility Reviewed	Hanford Site
CAP Approval Due Date	05/26/2002
Line Management Comments	Final Corrective Action Plan (CAP) submitted to EM-1 on 05/13/2002 via letter #A&E:SOB/02-A&E-0065

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

**5. Approved Corrective Actions Plans - Completion OVERDUE
None**

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

Report Number	PGDP-10/20/1999-0001-R-EH2
Report Title	Phase I Independent Investigation of the Paducah Gaseous Diffusion Plant, October 1999
Office/Facility Reviewed	Paducah Gaseous Diffusion Plant
CAP Completion Due Date	02/28/2002
CAP Completion Date	04/03/2002

Director, Office of Science Late Corrective Actions

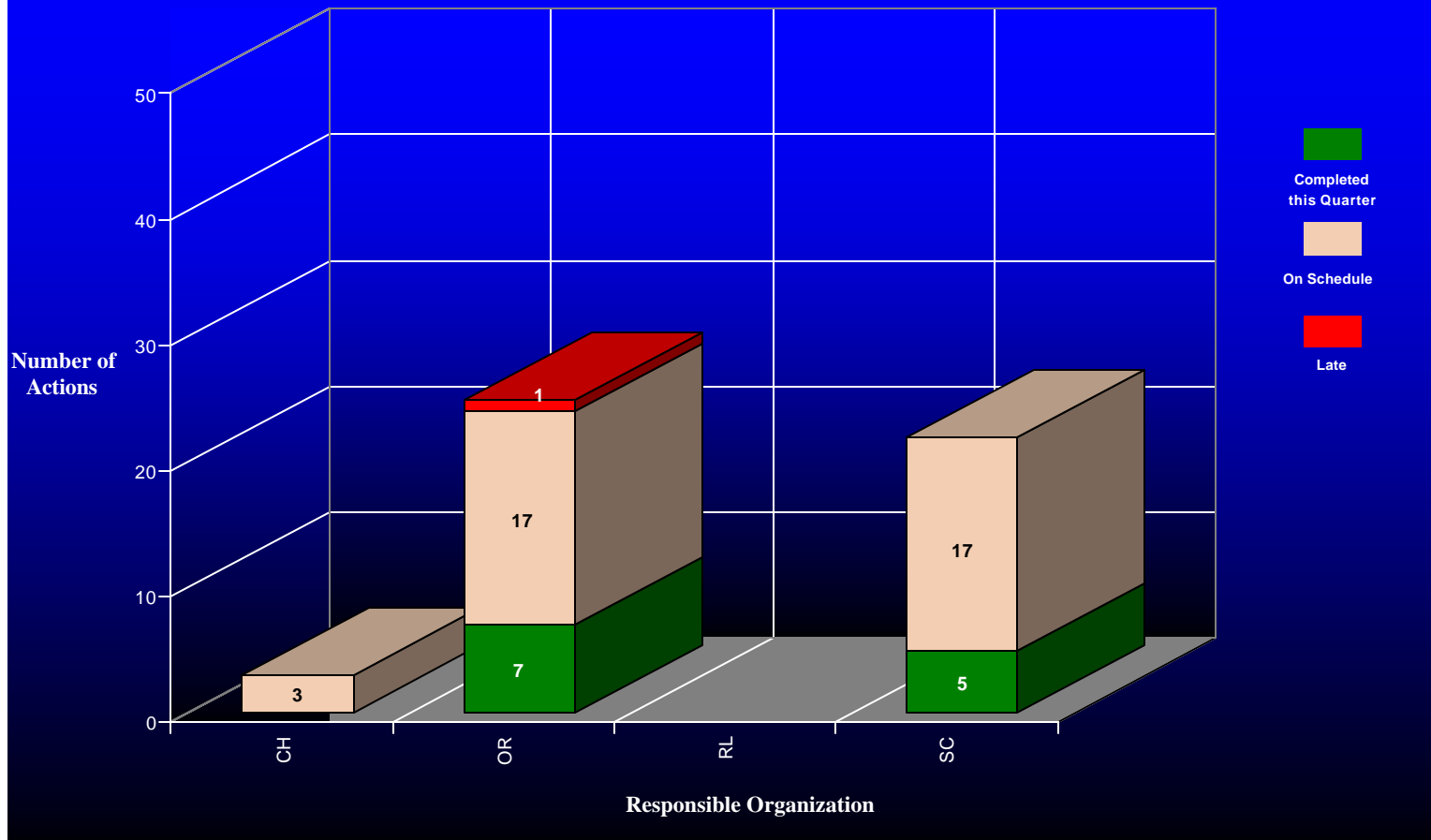
Oak Ridge National Laboratory

Report Number: ORNL-10/01/2001-0002-R-EH2

Report Title: Focused Safety Management Evaluation of the Oak Ridge National Laboratory

Number of Late Corrective Actions: 1

Status of Corrective Actions Director, Office of Science



SC					
Corrective Action Status	CH	OR	RL	SC*	TOTALS
Completed 3 rd Qtr. FY02	0	7	0	5	12
Total Completed	32	108	37	318	495
On Schedule	3	17	0	17	37
Late	0	1	0	0	1
Totals	35	126	37	335	533

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

Status of Corrective Action Plans Director, Office of Science

1. New Assessment Reports this Quarter

Report Number	ANLE-06/28/2002-0001-R-ES&H-XM
Report Title	Office of Independent Oversight and Performance Assurance Inspection of ES&H and Emergency Management at the Argonne National Laboratory
Final Report Date	06/28/2002
Office/Facility Reviewed	Argonne National Laboratory - East
CAP Completion Due Date	08/27/2002
Approved Status	Pending approval

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

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

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

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

Abbreviations Used in This Report

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