



Department of Energy

Washington, DC 20585

July 17, 2001

MEMORANDUM FOR: Distribution

FROM: S. David Stadler, EH-2

SUBJECT: Department of Energy Corrective Action Management Program
Third Quarter Report, Fiscal Year 2001

This memorandum transmits the fiscal year 2001 third quarter report on the status of corrective actions in response to Safety Issues within the Department of Energy (DOE). The purpose of the report is to outline the responsiveness of DOE managers in addressing and resolving identified Safety Issues as documented in the Department's Corrective Action Tracking System (CATS).

As prescribed in DOE Order 414.1A, *Quality Assurance*, Department line managers must develop and implement a corrective action plan (CAP) that includes all actions to correct Safety Issues listed in the formal assessment report. A Safety Issue defines conditions of concern identified during the conduct of an oversight assessment that could have an adverse impact on the environment, safety, or health of the site, its workers, and/or the public. The CAP is to be approved by the Program Secretarial Officer 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 of completion as outlined in the approved CAP, and report the status of these actions in the CATS database. The planned CAP completion date is the date all corrective actions listed in the CAP are to be completed.

Attachment 1 outlines the status of corrective action plans (CAPs) and their associated corrective actions to address: (1) environment, safety, and health Issues and Type A accident investigation Judgments of Need identified by the Office of Environment, Safety and Health (ES&H) Oversight; (2) emergency management Safety Issues identified by the Office of Independent Oversight and Performance Assurance; and (3) Safety Issues generated by line management self-assessments of High-Efficiency Particulate Air (HEPA) filters and criticality safety at nuclear facilities.

Paragraph 1 of Attachment 1 lists new assessment reports published this quarter. Paragraph 2 of Attachment 1 lists the status of corrective action plans (CAPs) pending approval in response to published assessment reports. **All CAPs with approval due dates for this quarter and earlier have been completed and approved.** Paragraph 3 of Attachment 1 lists the status of all CAPs that have been approved and the associated status of corrective actions listed in the CAP. **A total of three approved CAPs have one or more corrective actions that have not been completed within the planned completion date listed in the CAP.** Paragraph 3a lists two approved CAPs with one or more corrective actions open more than 90 days past the planned CAP completion date. Paragraph 3b lists one CAP with one or more corrective actions open less than 90 days past the planned CAP completion date.

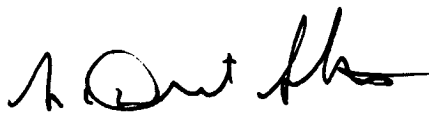


Since inception of the DOE Implementation Plan to Defense Nuclear Facilities Safety Board Recommendation 98-1, *DOE Plan to Address and Resolve Safety Issues Identified by Internal Independent Oversight* on March 10, 1999, a total of 88 appraisal reports have been tracked within the CATS identifying 586 Safety Issues. Line managers developed and implemented CAPs in response to these appraisal reports listing a total of 3,185 corrective actions to resolve the identified Safety Issues.

The graphics at Attachments 2 through 5 depict the status of corrective actions to resolve identified Safety Issues. The DOE-wide status of corrective actions by responsible organizations is delineated at Attachment 2. The status of corrective actions for organizations assigned to the Deputy Administrator for Defense Programs, National Nuclear Security Administration is at Attachment 3, for organizations assigned to the Assistant Secretary for Environmental Management is at Attachment 4, and for organizations assigned to the Office of Science is at Attachment 5.

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 publicly available read-only access to the CATS database. For access, follow the "Guest User" instructions.

We are continuously reviewing and revising the overall format of this report in conjunction with the Safety Management Implementation Team Director and DOE Corrective Action Management (CAM) Team to ensure that the most accurate portrayal of the Department's Corrective Action Management 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 (301) 903-6457, or your staff may contact Steve Petersen at (301) 903-4022. Recommended changes may also be communicated to your CAM Team representative.



S. David Stadler, PhD
Deputy Assistant Secretary
Office of ES&H Oversight
Environment, Safety and Health

Attachments (5)

***Department of Energy
Corrective Action Tracking System
Quarterly Report, Third Quarter FY 2001***

Final Report Distribution

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Manager, Oakland Operations Office (OAK)
Manager, Ohio Field Office (OH)
Manager, Rocky Flats Field Office (RFFO)
Manager, Office of River Protection (RIVPRO)
Manager, Richland Operations Office (RL)
Manager, Savannah River Operations Office (SR)

Area / Site / Project Offices

Deputy Manager, Oak Ridge Operations Office (OR)

***Department of Energy
Corrective Action Tracking System
Quarterly Report, Third Quarter FY 2001***

Final Report Distribution Continued

Defense Nuclear Facilities Safety Board

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

Safety Management Implementation Team

Director, Safety Management Implementation Team (SMIT)

**Corrective Action Management Program
Quarterly Report from CATS
(Corrective Action Tracking System)
Report for period 04/01/01 - 06/30/01**

New Reports	3
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	3
Total pending approval CAPS:	3
Approved Corrective Action Plans (CAPS)	
Approved CAPS - with actions open > 90 days past planned completion date	2
Approved CAPS - with actions open <= 90 days past planned completion date	1
Approved CAPS - on schedule	25
Total approved CAPS still open:	28
Approved CAPS – completed	3

1. New Assessment Reports This Quarter

Assistant Secretary for Environmental Management

Report Number: SRS-04/24/2001-0001-R-EH2
 Report Title: Independent Inspection of the Savannah River Site Environmental Monitoring and Surveillance Programs
 Final Report Date: 04/24/2001
 Office/Facility Reviewed: Savannah River Site
 Corrective Action Plan Approval Due Date: Extension granted to 07/27/2001
 Approval Status: Pending Approval

Report Number: RFETS-05/29/2001-0001-R-EH2
 Report Title: Special Review of the Rocky Flats Closure Project Site
 Final Report Date: 05/29/2001
 Office/Facility Reviewed: Rocky Flats Environmental Technology Site
 Corrective Action Plan Approval Due Date: 07/28/2001
 Approval Status: Pending Approval

Office of Science

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
 Corrective Action Plan Approval Due Date: 07/28/2001
 Approval Status: Pending Approval

2. Corrective Action Plans Pending Approval

2a. Corrective Action Plans Pending Approval – OVERDUE

No overdue Corrective Action Plans as of 06/30/2001

2b. Corrective Action Plans Pending Approval - On Schedule

Assistant Secretary for Environmental Management

Report Number: SRS-04/24/2001-0001-R-EH2
Report Title: Independent Inspection of the Savannah River Site Environmental Monitoring and Surveillance Programs
Final Report Date: 04/24/2001
Office/Facility Reviewed: Savannah River Site
Corrective Action Plan Approval Due Date: 07/27/2001
Comments: 6/25/01: Extension granted to 7/27/01

Report Number: RFETS-05/29/2001-0001-R-EH2
Report Title: Special Review of the Rocky Flats Closure Project Site
Final Report Date: 05/29/2001
Office/Facility Reviewed: Rocky Flats Environmental Technology Site
Corrective Action Plan Approval Due Date: 07/28/2001

Office of Science

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
Corrective Action Plan Approval Due Date: 07/28/2001

3. Approved Corrective Action Plans

3a. Approved Corrective Action Plans - OVERDUE 90+ days (CAPs with corrective actions open more than 90 days past the planned completion date)

Deputy Administrator for Defense Programs

Report Number: PP-09/11/2000-0001-R-EH2

Report Title: Evaluation of Authorization Basis Management Systems and Processes at the Pantex Plant

Office/Facility Reviewed: Pantex Plant

CAP Completion Due Date: 3/31/2001

Comments: 06/26/2001 - NAM - A Corrective Action Data Change Request Form is being prepared for approval by D. Glenn to submit to DOE-AL (Glass) to send to DOE-HQ to change the planned completion date of the single action for this CAP to September 28, 2001.

Assistant Secretary for Environmental Management

Report Number: RFETS-03/24/2000-0001-R-XM

Report Title: Independent Oversight Review of the RFETS Transportation Emergency Management Program

Office/Facility Reviewed: Rocky Flats Environmental Technology Site

CAP Completion Due Date: 12/31/2000

Comments: 6/28/01 - Last two actions concerning implementation of a comprehensive corrective action process will be closed and addressed by the new RFFO corrective action plan for the recent EH Focused Review that is due to be placed in CATS by July 31, 2001.

3b. Approved Corrective Action Plans - OVERDUE < 90 days (CAPS with corrective actions open less than 90 days past the planned completion date)

Deputy Administrator for Defense Programs

Report Number: LANL-10/01/1996-0003-R-EH2

Report Title: Independent Oversight Evaluation of the Environment, Safety and Health Programs at the Los Alamos National Laboratory

Office/Facility Reviewed: Los Alamos National Laboratory

CAP Completion Due Date: 4/23/2001

Comments: There are 10 Laboratory integrated site-wide requirements that have not been converted to the current format. A request has been prepared for the ISM Change Control Board and LAAO management to extend the completion date of this action to October 15, 2001. Upon approval, a CATS data change request will be submitted.

3c. Approved Corrective Action Plans - On Schedule

Deputy Administrator for Defense Programs

Report Number: Y-12-12/01/1998-0001-R-EH2
 Report Title: Integrated Safety Management Evaluation of the Y-12 Plant
 Office/Facility Reviewed: Oak Ridge Y-12 Site
 CAP Completion Due Date: 9/30/2001

Report Number: LANL-04/14/2000-0001-R-EH2
 Report Title: Field Report - Nuclear Criticality Safety Review for Los Alamos National Laboratory
 Technical Area-55
 Office/Facility Reviewed: Los Alamos National Laboratory
 CAP Completion Due Date: 9/30/2001
 Comments: 03/15/2001 - NAM - The completion of the corrective actions in this CAP are being delayed by the technical qualification process needed by the AL Criticality Engineer (JoN 7, Action 7.2), as well as other priority tasks assigned to the Criticality Engineer. The technical qualification process needs to be completed before the remaining actions can be conducted.

Report Number: PP-11/06/2000-0002-R-XM
 Report Title: Independent Oversight Evaluation of the Pantex Plant Emergency Response Exercise
 Office/Facility Reviewed: Pantex Plant
 CAP Completion Due Date: 9/30/2001
 Comments: 06/26/2001 - NAM - The contractor closure packages for 11 late items concerning emergency planning has been submitted and we are finding most of them acceptable. The corresponding updates of these items have all been added to the CATS database. We are currently preparing closure packages for the CLMs (Glenn) approval. If these closure packages are determined to be acceptable and approved by the CLM then the corresponding action items will be updated as closed in the CATs database. At this point, I have no intentions of preparing all of the forms and paperwork for modifying the planned completion dates for any of these since we are so close to closing them out.

Report Number: LLNL-03/07/2000-0001-R-XM
 Report Title: Follow-up Review of the Lawrence Livermore National Laboratory Emergency Management Program
 Office/Facility Reviewed: Lawrence Livermore National Laboratory
 CAP Completion Due Date: 10/1/2001

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
 Office/Facility Reviewed: Transportation Safeguards Division
 CAP Completion Due Date: 10/5/2001
 Comments: 04/03/2001 - NAM - Action TSD-06/01/1999-I0004-0001-A is awaiting approval of two MOUs. One is currently in draft. Action TSD-06/01/1999-I0008-0001-A is the verification mechanism for all OTS (formerly TSD) corrective actions. This action is currently awaiting the completion of the MOUs, as well as the formal completion of the OTS self-assessment policy. The self-assessment policy is necessary so that a frequency of oversight can be established.

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, Los Alamos National Laboratory, New Mexico

Office/Facility Reviewed: Los Alamos National Laboratory

CAP Completion Due Date: 7/31/2003

Comments: 06/05/2001 - NAM - 1) LANL has provided the following status for their corrective actions. 67 of 98 actions have been determined by the responsible managers to have been completed. These actions are currently being reviewed by LANL or LAAO/AL for completion, prior to them being listed as complete in CATS. The scheduled completion date for action JoN 11, Action 12 (LANL-07/24/2000-10011-0012-A) will need to be revised.

Report Number: PP-10/01/1996-0002-R-EH2

Report Title: Independent Oversight Evaluation of the Environment, Safety and Health Programs at the Pantex Plant

Office/Facility Reviewed: Pantex Plant

CAP Completion Due Date: 9/30/2003

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

Office/Facility Reviewed: Los Alamos Neutron Science Center

CAP Completion Due Date: No actions associated with this report.

Comments: The new corrective actions have been submitted for approval by DOE/LAAO and are expected to be approved the week of 2/5 - 2/9 2001.

Report Number: LLNL-02/24/2000-0002-R-SSA

Report Title: LLNL Criticality Safety Program Review

Office/Facility Reviewed: Lawrence Livermore National Laboratory

CAP Completion Due Date: 4/1/2002

Comments: LLNL reports that the Corrective Actions associated with issues in this report are complete. OAK has yet to verify.

Assistant Secretary for Environmental Management

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: 11/1/2001

Report Number: ORP-05/25/2000-0001-R-SSA
 Report Title: DOE/ORP-2000-20, Assessment of Potential Vulnerability Due to Degraded High-Efficiency Particulate Air (HEPA) Filters in Nuclear Facilities
 Office/Facility Reviewed: Office of River Protection
 CAP Completion Due Date: 11/5/2001
 Comments: Issue 5 should be closed according to the provisions of Section 3.b(3) of the Safety Issue Corrective Action Process attached to DOE Memorandum from Ted Wyka, Director, Safety Management Implementation Team, dated March 17, 2000. The attachment to the memorandum includes guidelines for developing corrective action plans for self-assessments of potential vulnerabilities in the HEPA programs. This issue will be addressed in establishing age criteria via a search of archived work control packages/files.

Report Number: INEEL-01/18/2001-0001-R-EH2
 Report Title: Focused Safety Management Evaluation of the Idaho National Engineering and Environmental Laboratory
 Office/Facility Reviewed: Idaho National Engineering & Environmental Laboratory
 CAP Completion Due Date: 11/29/2001
 Comments: CAP is on schedule as of 03/20/2001.

Report Number: SRS-06/02/2000-0002-R-SSA
 Report Title: HEPA Filter Vulnerability Report
 Office/Facility Reviewed: Savannah River Site
 CAP Completion Due Date: 12/31/2001

Report Number: PORTS-05/25/2000-0001-R-EH2
 Report Title: Independent Investigation of the Portsmouth Gaseous Diffusion Plant
 Office/Facility Reviewed: Portsmouth Gaseous Diffusion Plant
 CAP Completion Due Date: 12/31/2002
 Comments: An extension has been requested to better reflect the appropriate due dates. Many of the due dates were listed in the original CAP were for dates due before the CAPS was approved.

Report Number: ETPP-10/11/2000-0001-R-EH2
 Report Title: Independent Investigation of the East Tennessee Technology Park Volume 2: Current Environment, Safety, and Health Programs and Issues
 Office/Facility Reviewed: East Tennessee Technology Park
 CAP Completion Due Date: 2/1/2003

Report Number: Fernald-12/08/1998-0002-R
 Report Title: Office of Oversight Review of the Occupational Medicine Program at the Fernald Environmental Management Project
 Office/Facility Reviewed: Fernald Environmental Management Project
 CAP Completion Due Date: No actions associated with this report.

Office of Defense Nuclear Nonproliferation

Report Number: DOEW-08/01/1998-0001-R-XM
 Report Title: Independent Oversight Evaluation of Emergency Management Programs Across the DOE Complex Volume 1
 Office/Facility Reviewed: DOE - Wide
 CAP Completion Due Date: 9/28/2001

Office of Science

Report Number: CH-11/22/2000-0001-R-SSA
 Report Title: Chicago Criticality Self-Assessment
 Office/Facility Reviewed: Chicago
 CAP Completion Due Date: 12/31/2001

Report Number: ORO-05/08/2000-0001-R-SSA
 Report Title: Oak Ridge Operations Nuclear Criticality Safety Self Assessment
 Office/Facility Reviewed: Oak Ridge Operations Office
 CAP Completion Due Date: 9/30/2002

Report Number: ORNL-02/22/2001-0001-R-EH2
 Report Title: Independent Review of the High Flux Isotope Reactor Tritium Leak
 Office/Facility Reviewed: Oak Ridge National Laboratory
 CAP Completion Due Date: 11/29/2002

Report Number: ORO-06/08/2000-0002-R-SSA
 Report Title: High-Efficiency Particulate Air (HEPA) Filter in Nuclear Facilities
 Office/Facility Reviewed: Oak Ridge Operations Office
 CAP Completion Due Date: 3/31/2003

Report Number: ANLE-05/25/2000-0001-R-SSA
 Report Title: ANL CRITICALITY SAFETY SELF-ASSESSMENT
 Office/Facility Reviewed: Argonne National Laboratory - East
 CAP Completion Due Date: 7/31/2003

Office of Management and Administration

Report Number: DOEW-11/01/1998-0002-R-EH2
 Report Title: Independent Oversight Follow-up Review of Aviation Safety Programs in the Department of Energy
 Office/Facility Reviewed: DOE - Wide
 CAP Completion Due Date: 9/30/2001

3d. Approved CAPS - Completed (All corrective actions in CAP completed this quarter)

Deputy Administrator for Defense Programs

Report Number: LLNL-11/01/1997-0001-R-EH2
Report Title: Integrated Safety Management Evaluation of the Lawrence Livermore National Laboratory
Final Report Date: 11/01/1997
Office/Facility Reviewed: Lawrence Livermore National Laboratory
CAP Completion Date: 4/19/2001

Report Number: LANL-08/08/1998-0001-R-XM
Report Title: Independent Oversight Evaluation of Emergency Management Programs Across the DOE Complex (Volume 2: Summary Assessments of DOE Site Emergency Management Programs)
Final Report Date: 08/08/1998
Office/Facility Reviewed: Los Alamos National Laboratory
CAP Completion Date: 6/26/2001

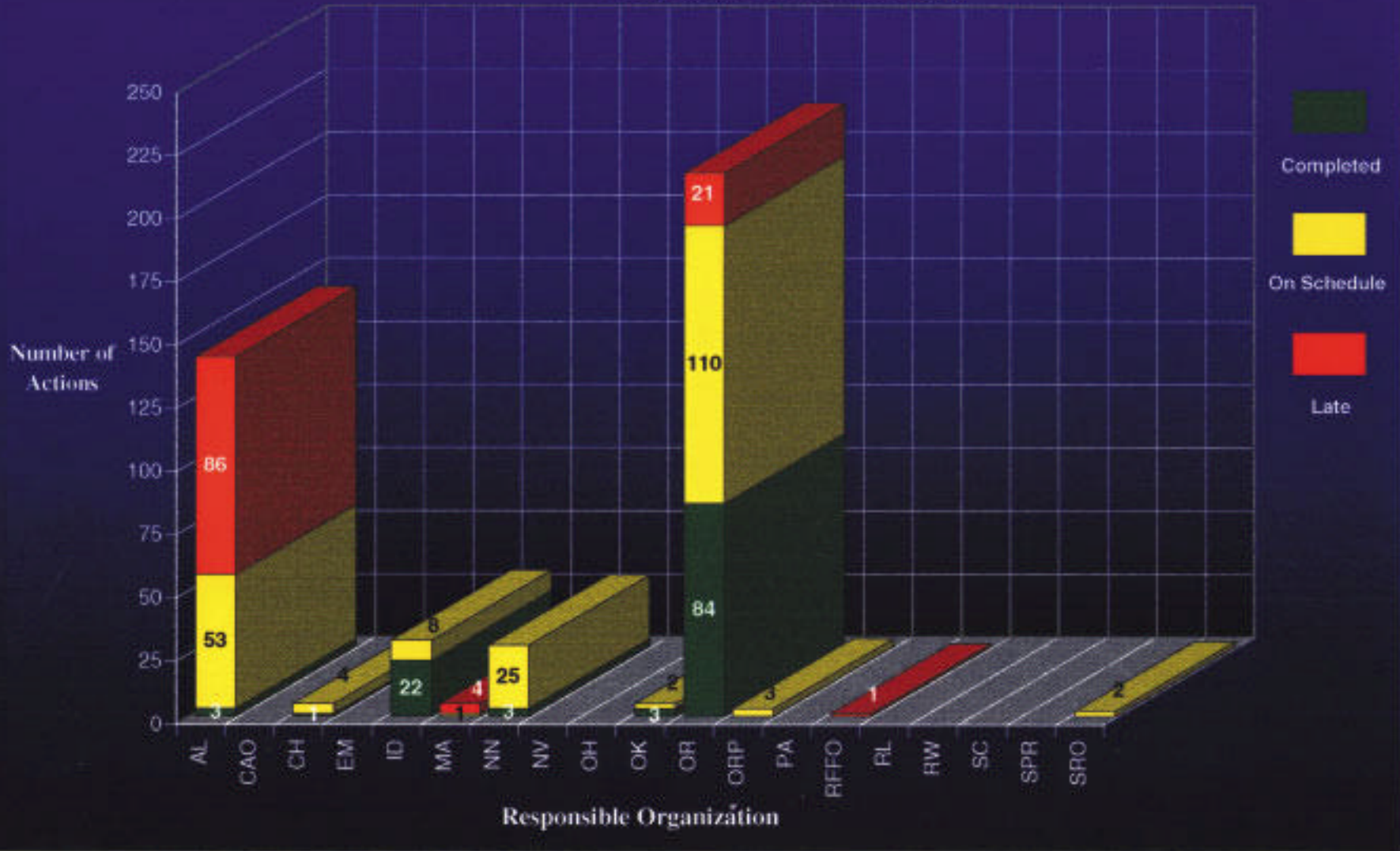
Office of Science

Report Number: ORNL-12/21/1999-0001-R-XM
Report Title: Emergency Management Program Follow-up Review at the Oak Ridge National Laboratory
Final Report Date: 12/21/1999
Office/Facility Reviewed: Oak Ridge National Laboratory
CAP Completion Date: 4/24/2001

Corrective Action Management Program Quarterly Report - 06/30/2001

Status of Corrective Actions

Department of Energy



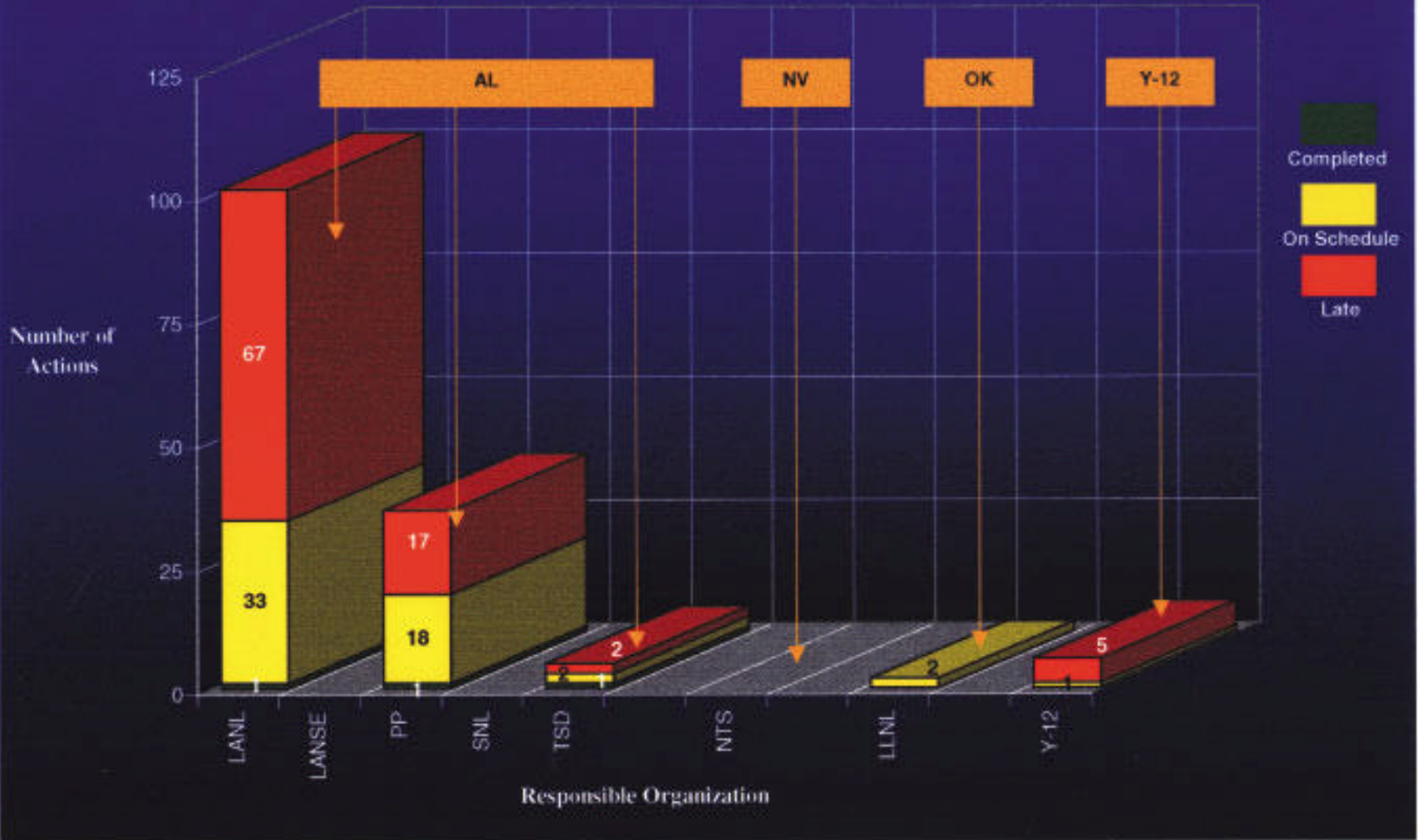
Corrective Action Status	AL	CAO	CH	EM	ID	MA	NN	NV	OH	OK	OR	ORP	PA	RFFO	RL	RW	SC	SPR	SRO	TOTALS
Completed 3rd Qtr, FY01	3	0	1	0	22	0	3	0	0	3	84	0	0	0	0	0	0	0	0	116
Total Completed	484	14	31	67	482	3	45	148	226	117	874	2	33	22	89	4	167	6	71	2865
On Schedule	53	0	4	0	8	1	25	0	0	2	110	3	0	0	0	0	0	0	2	208
Late	86	0	0	0	0	4	0	0	0	0	21	0	0	1	0	0	0	0	0	112
Totals	603	14	35	67	490	8	70	148	226	119	1005	5	33	23	89	4	167	6	73	3185

Corrective Action Management Program Quarterly Report - 06/30/2001

Status of Corrective Actions

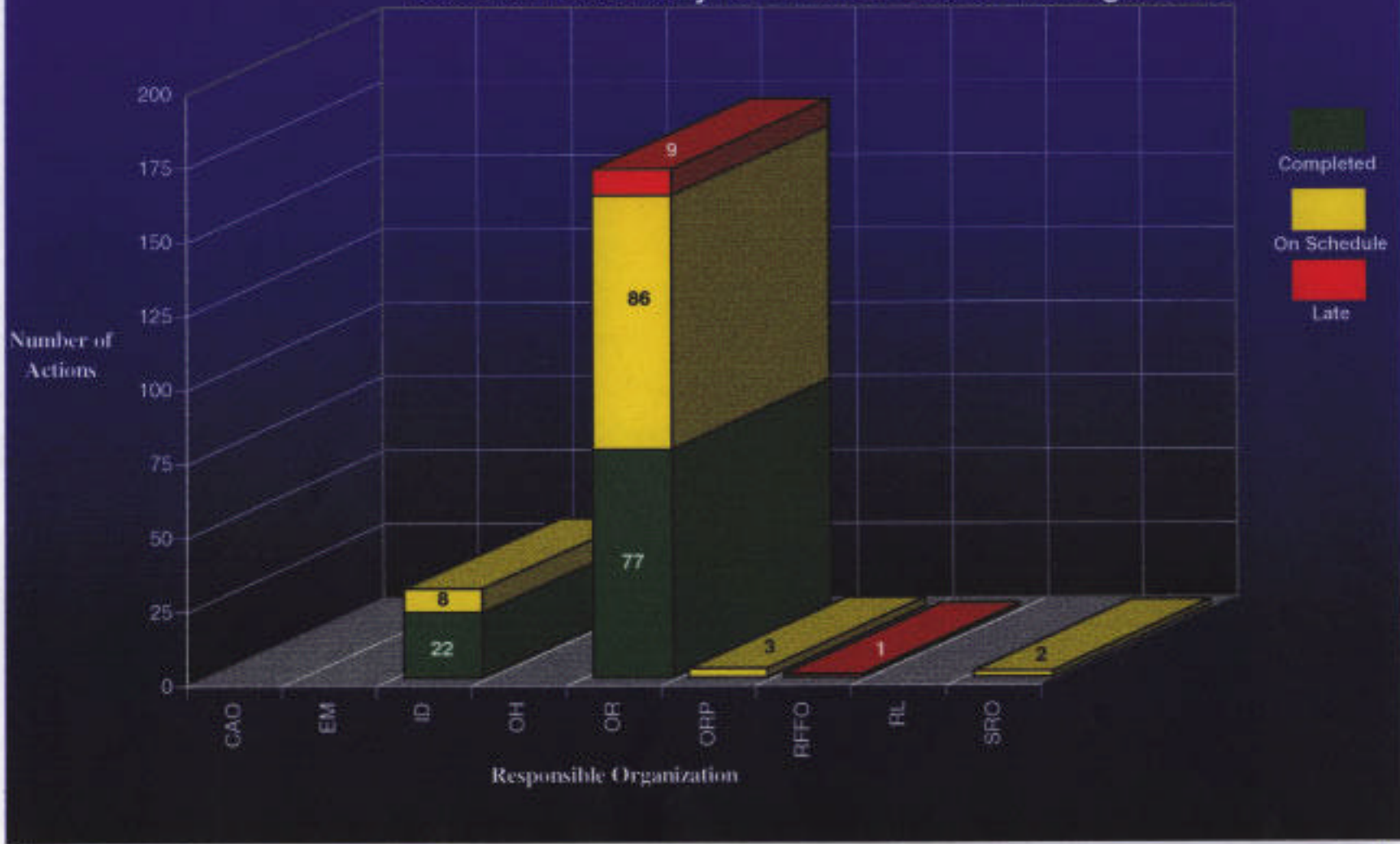
Deputy Administrator for Defense Programs

Attachment 3



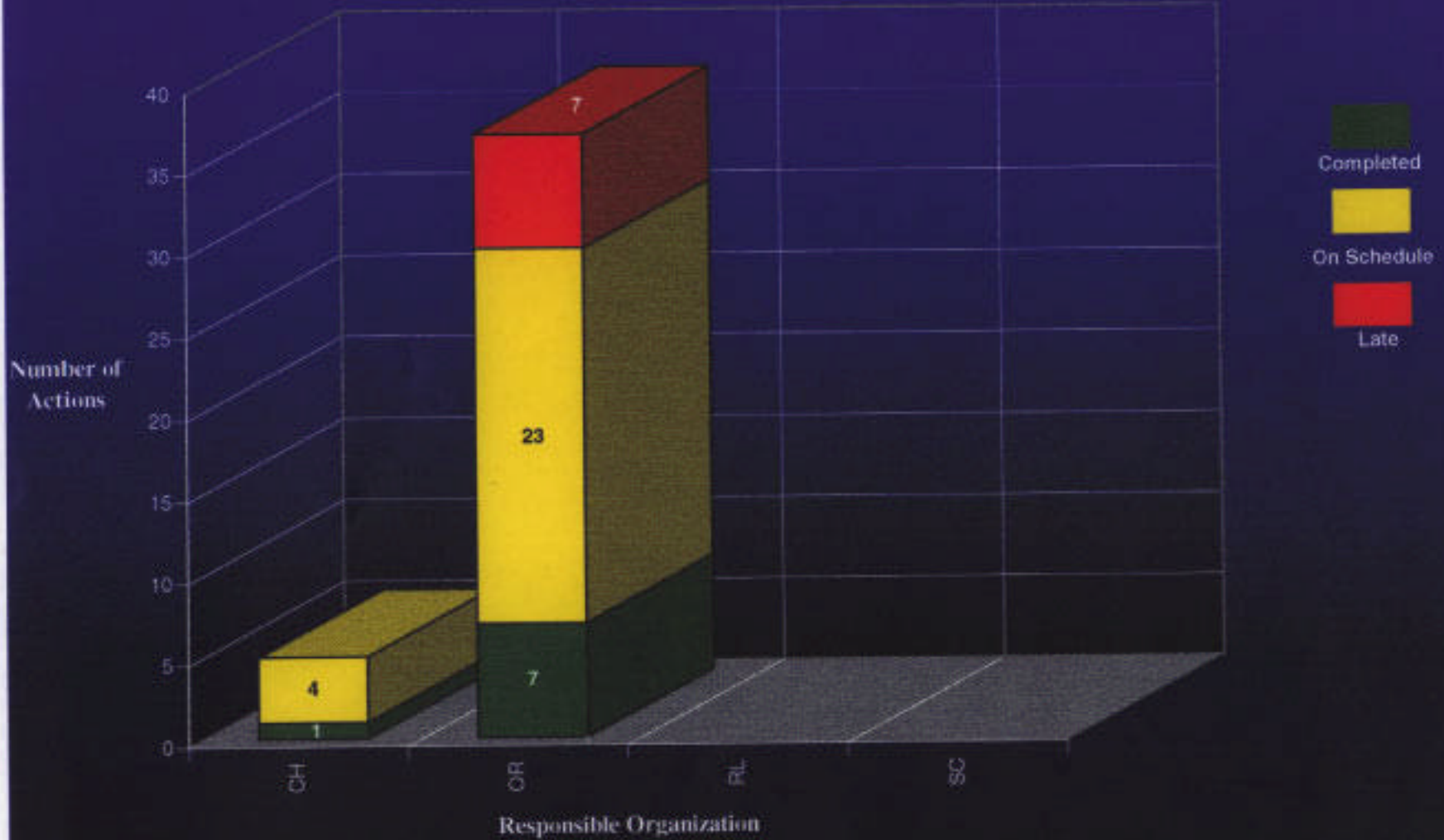
Corrective Action Status	AL					NV	OK	OR	TOTALS
	LANL	LANSE	PP	SNL	TSD	NTS	LLNL	Y-12	
Completed 3 rd Qtr, FY01	1	0	1	0	1	0	0	0	3
Total Completed	251	0	12	155	46	148	117	246	975
On Schedule	33	0	18	0	2	0	2	1	56
Late	67	0	17	0	2	0	0	5	91
Totals	351	0	47	155	50	148	119	252	1122

Corrective Action Management Program Quarterly Report - 06/30/2001
 Status of Corrective Actions
 Assistant Secretary for Environmental Management



EM										
Corrective Action Status	CAO	EM	ID	OH	OR	ORP	RFFO	RL	SRO	TOTALS
Completed 3 rd Qtr, FY01	0	0	22	0	77	0	0	0	0	99
Total Completed	14	67	482	226	568	2	22	52	71	1504
On Schedule	0	0	8	0	86	3	0	0	2	99
Late	0	0	0	0	9	0	1	0	0	10
Totals	14	67	490	226	663	5	23	52	73	1613

Corrective Action Management Program Quarterly Report - 06/30/2001
 Status of Corrective Actions
 Office of Science



	SC				
Corrective Action Status	CH	OR	RL	SC	TOTALS
Completed 3 rd Qtr. FY01	1	7	0	0	8
Total Completed	31	60	37	167	295
On Schedule	4	23	0	0	27
Late	0	7	0	0	7
Totals	35	90	37	167	329