



Department of Energy

Washington, DC 20585

October 18, 2001

MEMORANDUM FOR: Distribution

FROM: S. David Stadler, EH-2

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

Attached is the Department of Energy (DOE) report on the status of the Corrective Action Management Program for the fourth quarter of fiscal year 2001. The report summarizes Corrective Action Plans and their associated corrective actions developed and tracked by line managers to effectively address and resolve Safety Issues identified by Oversight. A Safety Issue specifies conditions that could have an adverse impact on the environment, safety or health of site workers or the public, and/or the DOE mission. The total number of late corrective actions have been significantly reduced from 112 during the third quarter to 36 for the fourth quarter. The corrective action status is documented and tracked in the Department's Corrective Action Tracking System.

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.

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

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

Attachment



***Department of Energy
Corrective Action Management Program
Quarterly Report, Fourth Quarter FY 2001***

Final Report Distribution

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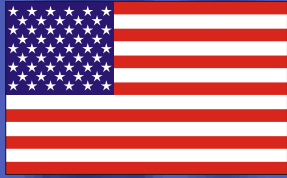
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***Department of Energy
Corrective Action Management Program
Quarterly Report, Fourth Quarter FY 2001***

Final Report Distribution Continued

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

Director, Safety Management Implementation Team (SMIT)



Department of Energy

Corrective Action Management Program
Fourth Quarter Report-Fiscal Year 2001

October 2001



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Department of Energy Corrective Action Management Program

Fourth Quarter Report, Fiscal Year 2001

Summary

As prescribed in DOE Order 414.1A, *Quality Assurance*, Department line managers must develop and implement a corrective action plan (CAP) that describes all actions they will complete to correct: (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. A Safety Issue 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 Safety Issues will be clearly addressed in the formal assessment report provided to line management.

The corrective action plan (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 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 a fourth quarter, fiscal year 2001 summary status of CAPs and their associated corrective actions as of September 30, 2001. 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). **Two CAPs with approval due dates for this quarter and earlier have not been approved by the CSO and are OVERDUE. Five CAPs approved by the CSO have one or more corrective actions that have not been completed within the planned CAP completion date and are OVERDUE.**

This report also outlines the number of corrective actions completed this quarter, total completed since inception of the Corrective Action Management Program, those on schedule to be completed within the CAP completion date, and late corrective actions not completed within the date listed in the CAP. **There are a total of 36 late corrective actions.** Twenty-two of these late corrective actions had planned completion dates in the CAP for the last week of this quarter. There were 112 late corrective actions reported last quarter.

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 94 appraisal reports have been tracked within the CATS identifying 626 Safety Issues. Line managers developed and implemented CAPs in response to these appraisal reports, which include a total of 3,252 corrective actions to resolve the identified Safety Issues.

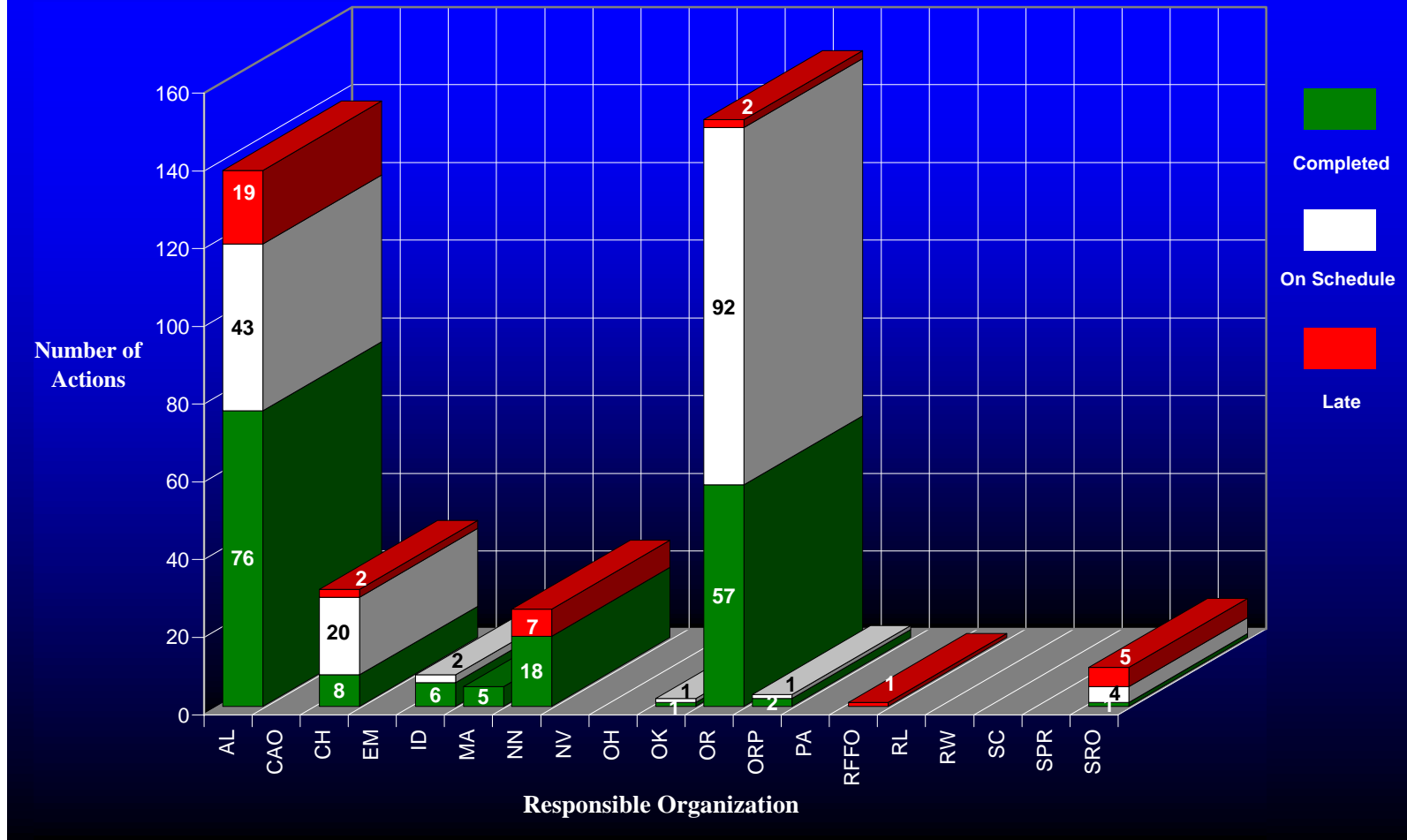
This report is available on the Internet by accessing the Integrated Safety Management Resource Center web site on the Environment, Safety and Health Information Portal at <http://tis.eh.doe.gov/portal/home.htm> or the CATS web site at <http://tis.eh.doe.gov/portal/catsentry.html>. The web sites provide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

Department of Energy Summary

New Assessment Reports This Quarter	3
Corrective Action Plans (CAPS) Pending Approval	
CAPs pending approval - Approval > 60 days OVERDUE	2
CAPs pending approval - Approval <= 60 days OVERDUE	0
CAPs pending approval - Approval on schedule	3
Total CAPS pending approval	5
Approved Corrective Action Plans (CAPS)	
Approved CAPS - with actions open > 90 days OVERDUE (past planned completion date)	2
Approved CAPS - with actions open <= 90 days OVERDUE (past planned completion date)	3
Approved CAPS - on schedule	19
Total approved CAPS still open	24
Approved CAPS - Completed This Quarter	*3

* One approved CAP completed this quarter is the Office of Management and Administration Independent Oversight Follow-up Review of Aviation Safety Programs in DOE, Report Number DOEW-11/01/1998-0002-R-EH2. The other two completed CAPs are listed under the Deputy Administrator for Defense Programs in this report.

Status of Corrective Actions by Area/Office Department of Energy



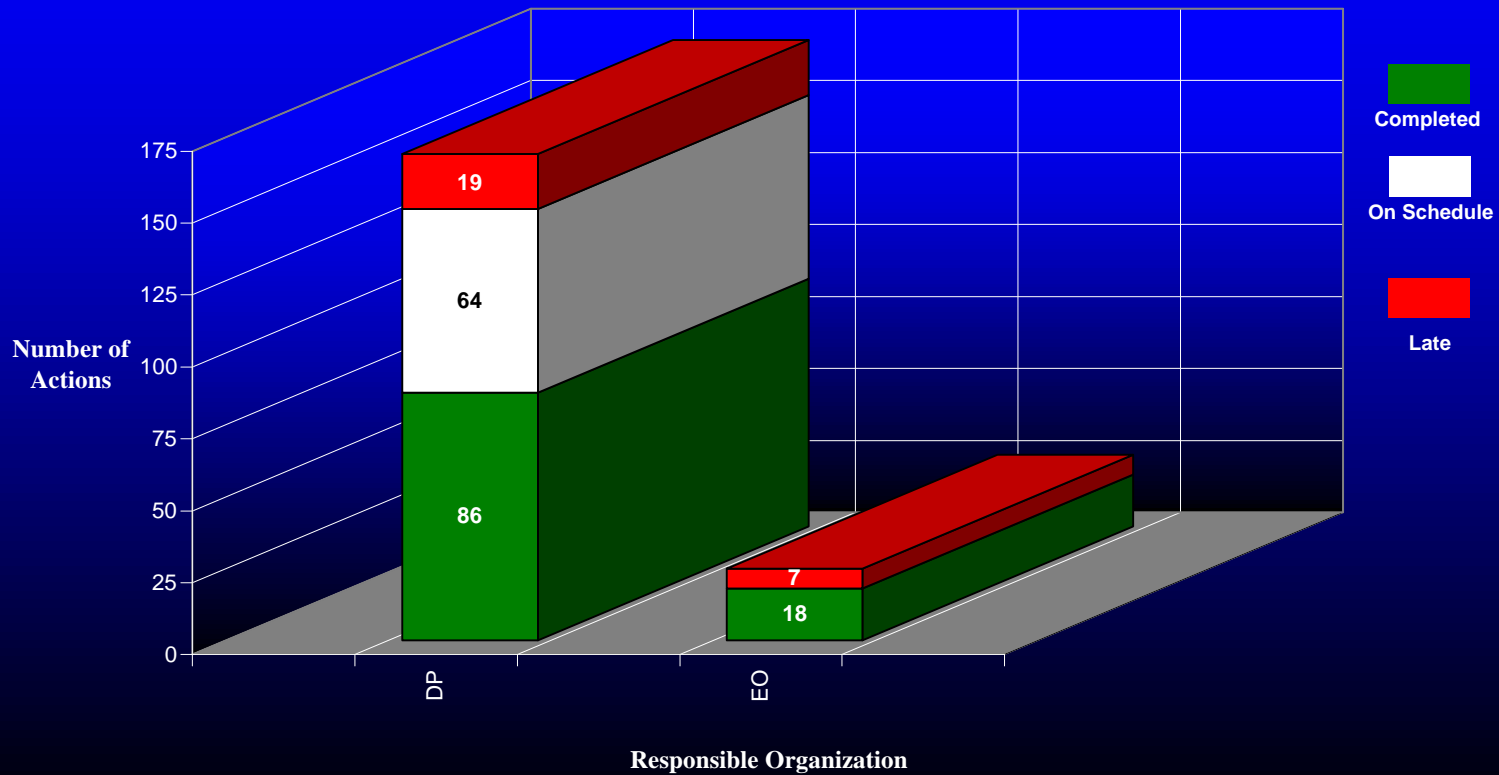
Corrective Action Status	AL	CAO	CH	EM	ID	MA	NN	NV	OH	OK	OR	ORP	PA	RFFO	RL	RW	SC	SPR	SRO	TOTALS
Completed 4 th Qtr, FY01	76	0	8	0	6	5	18	0	0	1	57	2	0	0	0	0	0	0	1	174
Total Completed	541	14	41	67	489	8	63	148	226	118	936	4	33	22	89	4	167	6	77	3053
On Schedule	43	0	20	0	2	0	0	0	0	1	92	1	0	0	0	0	0	0	4	163
Late	19	0	2	0	0	0	7	0	0	0	2	0	0	1	0	0	0	0	5	36
Totals	603	14	63	67	491	8	70	148	226	119	1030	5	33	23	89	4	167	6	86	3252

Administrator for Nuclear Security,
National Nuclear Security Administration

Administrator for Nuclear Security, National Nuclear Security Administration Summary

New Assessment Reports This Quarter	0
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	0
Total CAPS pending approval	0
Approved Corrective Action Plans (CAPS)	
Approved CAPS - with actions open > 90 days OVERDUE (past planned completion date)	1
Approved CAPS - with actions open <= 90 days OVERDUE (past planned completion date)	3
Approved CAPS - on schedule	6
Total approved CAPS still open	10
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 4th Qtr. FY01	86	18	104
Total Completed	1063	63	1126
On Schedule	64	0	64
Late	19	7	26
Totals	1146	70	1216

Deputy Administrator for Defense Programs

Late Corrective Actions

Albuquerque Operations Office

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

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, Los Alamos National Laboratory, New Mexico

Number of Late Corrective Actions: 13

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

Number of Late Corrective Actions: 1

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

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

Number of Late Corrective Actions: 1

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

Number of Late Corrective Actions: 1

Report Number: PP-11/06/2000-0002-R-XM

Report Title: Independent Oversight Evaluation of the Pantex Plant Emergency Response Exercise

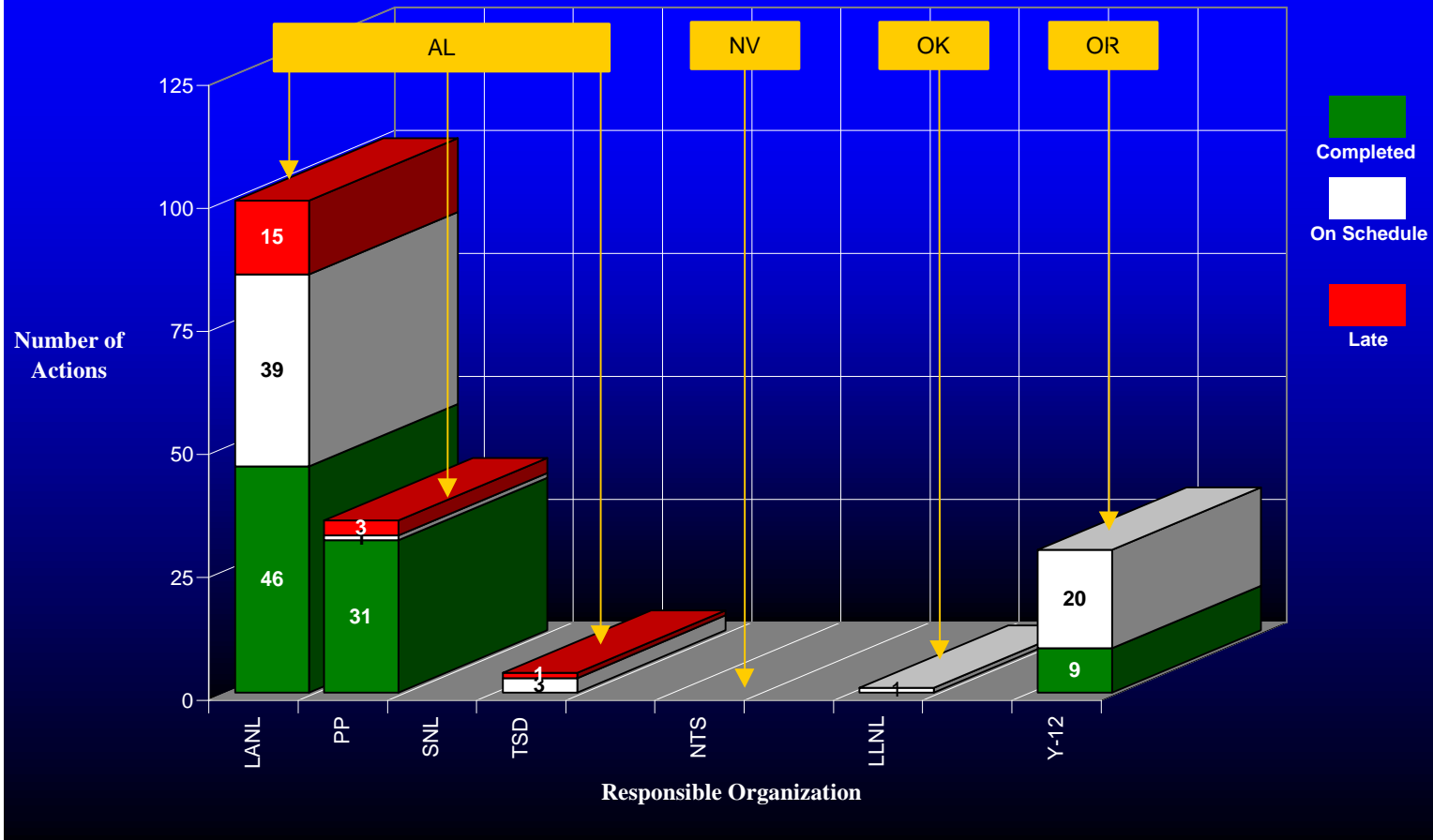
Number of Late Corrective Actions: 1

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

Status of Corrective Actions Deputy Administrator for Defense Programs



Corrective Action Status	AL				NV	OK	OR	TOTALS
	LANL	PP	SNL	TSD	NTS	LLNL	Y-12	
Completed 4th Qtr, FY01	46	31	0	0	0	0	9	86
Total Completed	297	43	155	46	148	118	256	1063
On Schedule	39	1	0	3	0	1	20	64
Late	15	3	0	1	0	0	0	19
Totals	351	47	155	50	148	119	276	1146

Status of Corrective Action Plans Deputy Administrator for Defense Programs

1. **New Assessment Reports This Quarter**
None
2. **Corrective Action Plans Pending Approval - OVERDUE**
None
3. **Corrective Action Plans Pending Approval - On Schedule**
None
4. **Approved Corrective Actions Plans - OVERDUE**

4a. Approved Corrective Actions Plans - OVERDUE 90+ days (CAPs with corrective actions open more than 90 days past the planned completion date):

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	04/23/2001
Line Management Comments	08/27/2001-NAM-The revised completion date to be proposed to the ISM CCB during its September 2001 meeting is expected to be the end of December 2001 to complete the remaining action, LANL-10/01/1996-10003-0001-A.

4b. Approved Corrective Actions Plans - OVERDUE < 90 days (CAPs with corrective actions open less than 90 days past the planned completion date):

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	9/28/2001
Line Management Comments	08/06/2001 - NAM - Gisela Rohrmoser, EH-72, processed the change form extending the completion date of PP-09/11/2000-I0001-0001-A from March 31, 2001 to September 28, 2001.

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
Line Management Comments	07/25/2001 - NAM - With the exception of one action, completion packages have been received by AAO for all action due on or before August 1, 2001.

5. Approved Corrective Actions Plans - Completed This Quarter (All corrective actions in CAP completed this quarter):

Report Number	Y-12-12/01/1998-0001-R-EH2
Report Title	Integrated Safety Management Evaluation of the Y-12 Plant
Final Report Date	12/01/1998
Office/Facility Reviewed	Oak Ridge Y-12 Site

Report Number	LLNL-03/07/2000-0001-R-XM
Report Title	Follow-up Review of the Lawrence Livermore National Laboratory Emergency Management Program
Final Report Date	03/07/2000
Office/Facility Reviewed	Lawrence Livermore National Laboratory

Director, Office of Emergency Operations Late Corrective Actions

Report Number: DOEW-08/01/1998-0001-R-XM

Report Title: Independent Oversight Evaluation of Emergency Management Programs Across the DOE Complex

Number of Late Corrective Actions: 7

Status of Corrective Action Plans Director, Office of Emergency Operations

1. **New Assessment Reports This Quarter**
None
2. **Corrective Action Plans Pending Approval - OVERDUE**
None
3. **Corrective action Plans Pending Approval - On Schedule**
None
4. **Approved Corrective Actions Plans - OVERDUE < 90 days (CAPs with corrective actions open less than 90 days past the planned completion date):**

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	09/28/2001
Line Management Comments	09/27/01 - A request to extend the due date is being processed to collect end of FY reports.

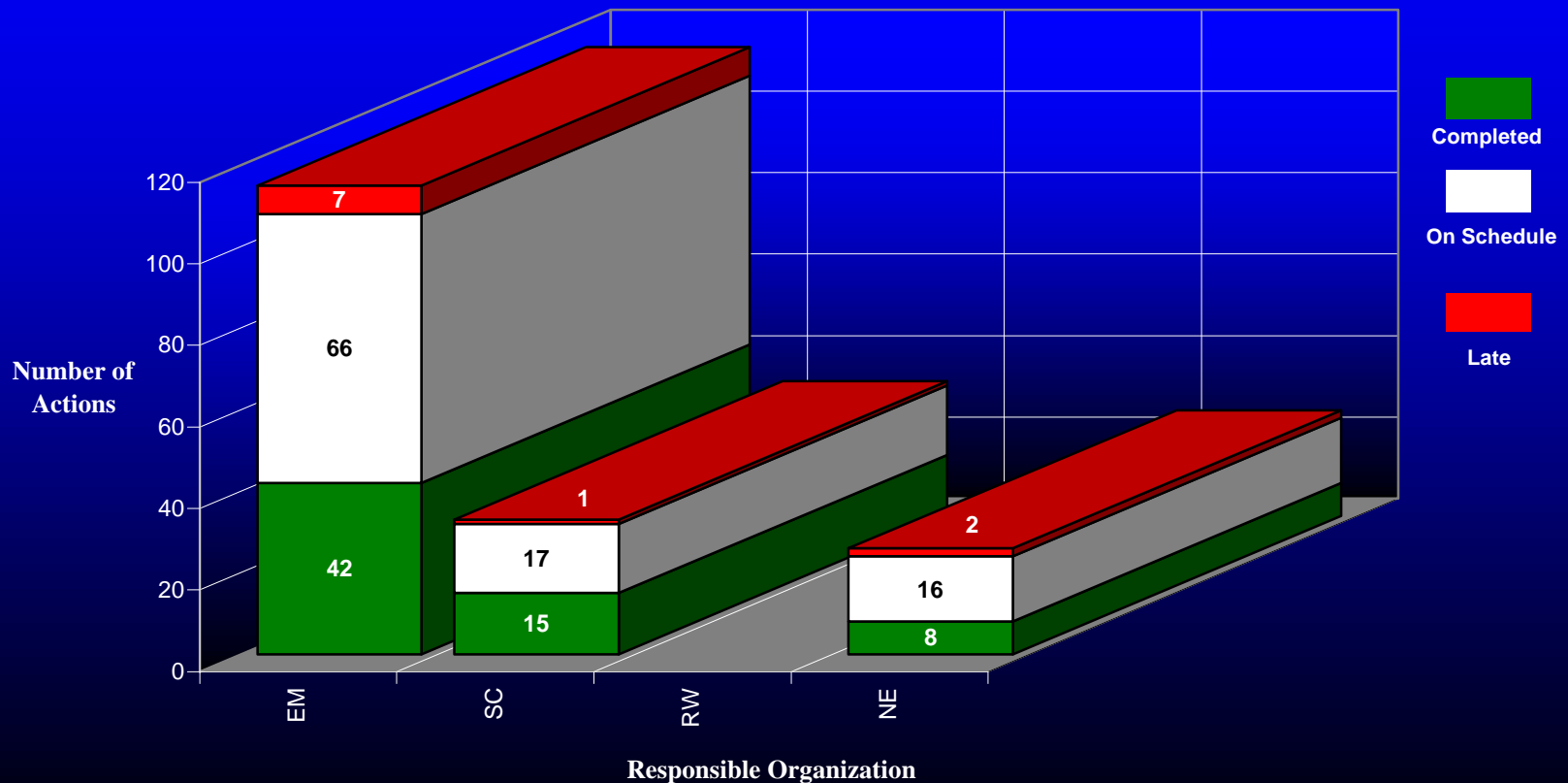
5. **Approved Corrective Actions Plans - Completed This Quarter (All corrective actions in CAP completed this quarter):**
None

Under Secretary for Energy, Science,
and Environment

Under Secretary for Energy, Science and Environment Summary

New Assessment Reports This Quarter	3
Corrective Action Plans (CAPS) Pending Approval	
CAPs pending approval - Approval > 60 days OVERDUE	2
CAPs pending approval - Approval <= 60 days OVERDUE	0
CAPs pending approval - Approval on schedule	3
Total CAPS pending approval	5
Approved Corrective Action Plans (CAPS)	
Approved CAPS - with actions open > 90 days past planned completion date	1
Approved CAPS - with actions open <= 90 days past planned completion date	0
Approved CAPS - on schedule	12
Total approved CAPS still open	13
Approved CAPS - Completed This Quarter	0

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



Corrective Action Status	EM	SC	RW	NE	TOTALS
Completed 4th Qtr. FY01	42	15	0	8	65
Total Completed	1555	311	4	10	1880
On Schedule	66	17	0	16	99
Late	7	1	0	2	10
Totals	1628	329	4	28	1989

Assistant Secretary for Environment Management Late Corrective Actions

Oak Ridge Operations Office

Report Number: ETTP-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

Number of Late Corrective Actions: 1

Rocky Flats Field Office

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

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

Number of Late Corrective Actions: 1

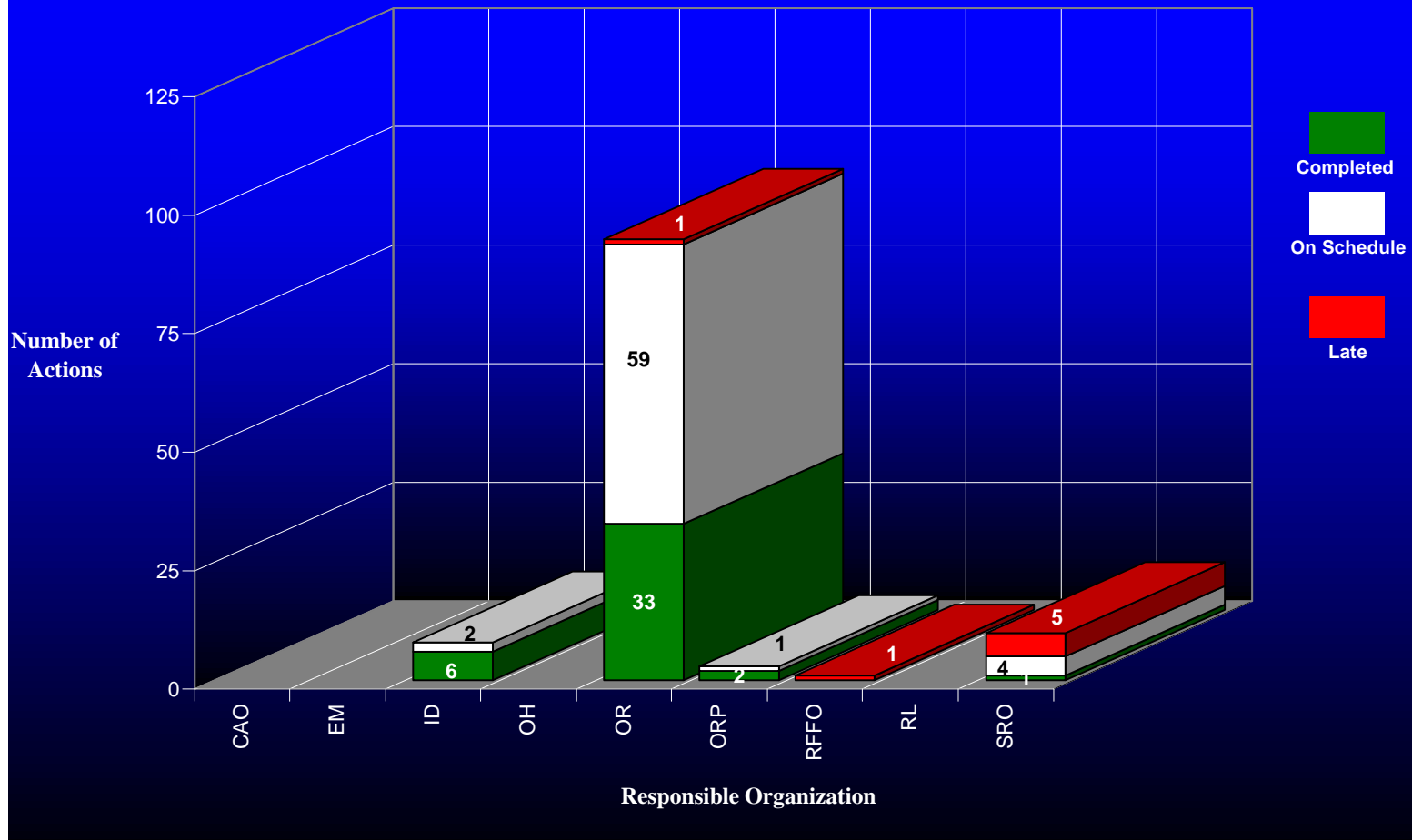
Savannah River Operations Office

Report Number: SRS-04/24/2001-0001-R-EH2

Report Title: Independent Inspection of the Savannah River Site Environmental Monitoring and Surveillance Programs

Number of Late Corrective Actions: 5

Status of Corrective Actions Assistant Secretary for Environmental Management



EM										
Corrective Action Status	CAO	EM	ID	OH	OR	ORP	RFFO	RL	SRO	TOTALS
Completed 4th Qtr, FY01	0	0	6	0	33	2	0	0	1	42
Total Completed	14	67	489	226	604	4	22	52	77	1555
On Schedule	0	0	2	0	59	1	0	0	4	66
Late	0	0	0	0	1	0	1	0	5	7
Totals	14	67	491	226	664	5	23	52	86	1628

Status of Corrective Action Plans

Assistant Secretary for Environmental Management

1. New Assessment Reports This Quarter

Report Number	ORP-08/13/2001-0001-R-EH2
Report Title	Focused Review of the River Protection Project
Final Report Date	08/13/2001
Office/Facility Reviewed	Office of River Protection
CAP Approval Due Date	10/12/2001
Approval Status	Pending Approval

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
Approval Status	Pending Approval

2. Corrective Action Plans Pending Approval - OVERDUE More Than 60 Days

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
CAP Approval Due Date	07/28/2001
Line Management Comments	None

Report Number	ORO-05/29/2001-0001-R-EH2
Report Title	Review of Oak Ridge Operations Office Contractor Nuclear Criticality Safety Self-Assessments
Final Report Date	05/29/2001
Office/Facility Reviewed	Oak Ridge Operations Office
CAP Approval Due Date	07/28/2001
Line Management Comments	CAP has been sent to EM-1 for approval. Approval expected any day.

3. Corrective Action Plans Pending Approval - On Schedule

Report Title	Focused Review of the River Protection Project
Final Report Date	08/13/2001
Office/Facility Reviewed	Office of River Protection
CAP Approval Due Date	10/12/2001

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

4. Approved Corrective Actions Plans - OVERDUE 90+ days (CAPs with corrective actions open more than 90 days past the planned completion date):

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
Line Management Comments	05/28/01 - Action concerning implementation of a comprehensive corrective action process will be closed and addressed by the new RFFO Corrective Action Plan for the recent Focused Review, due to be placed in CATS by 07/31/01.

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

Director, Office of Science Late Corrective Actions

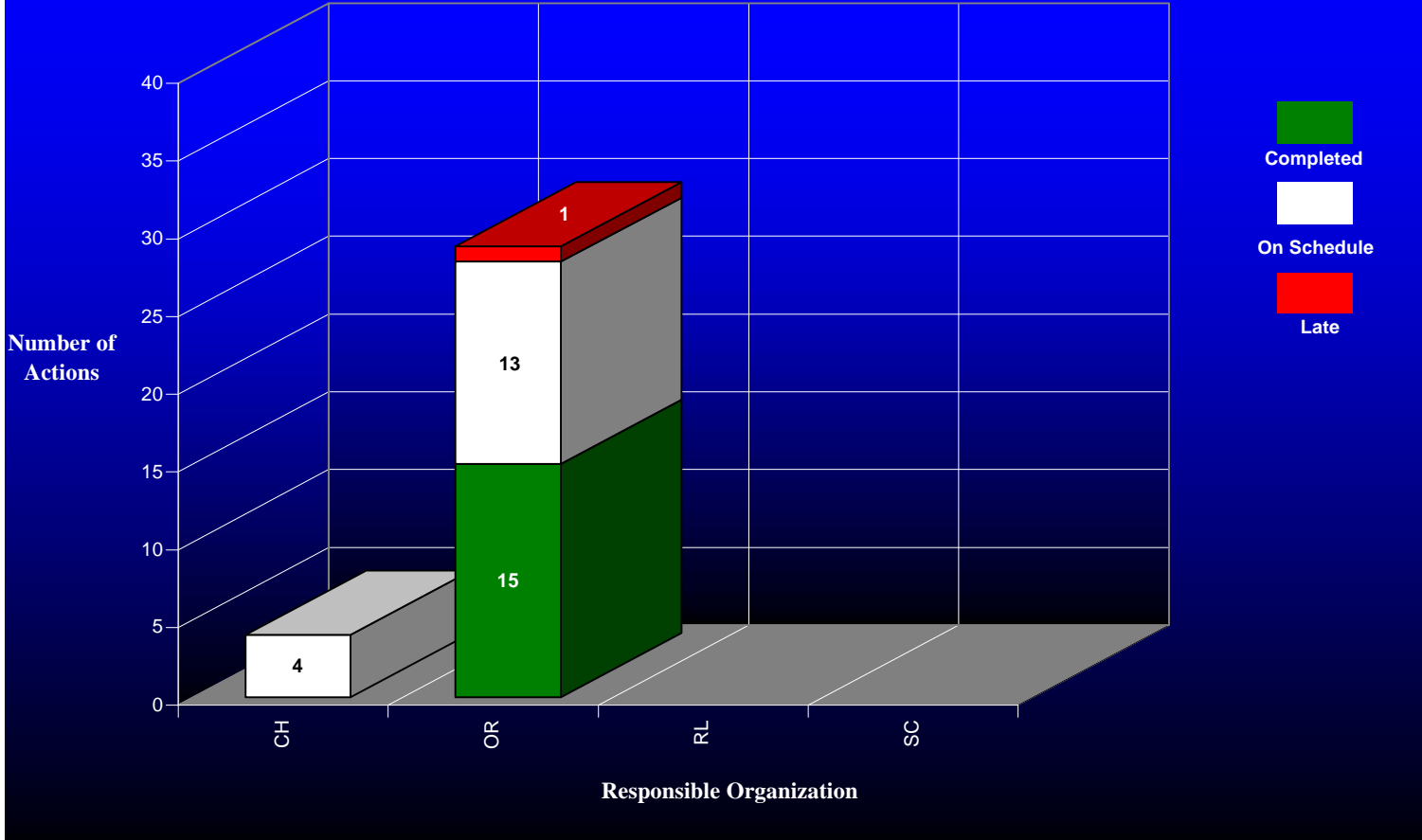
Oak Ridge Operations Office

Report Number: ORNL-022/22/20001-R-EH2

Report Title: Independent Review of the High Flux Isotope Reactor Tritium Leak

Number of Late Corrective Actions: 1

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



SC					
Corrective Action Status	CH	OR	RL	SC	TOTALS
Completed 4th Qtr. FY01	0	15	0	0	15
Total Completed	31	76	37	167	311
On Schedule	4	13	0	0	17
Late	0	1	0	0	1
Totals	35	90	37	167	329

Status of Corrective Action Plans Director, Office of Science

1. New Assessment Reports This Quarter

Report Number FNAL-08/14/2001-0001-R-AIA
Report Title Type A Accident Investigation of the
June 21, 2001, Drilling Rig Operator
Injury at the Fermi National
Accelerator Laboratory
Final Report Date 08/14/2001
Office/Facility Reviewed Fermi National Accelerator Laboratory
CAP Approval Due Date 10/13/2001
Approval Status: Pending Approval

2. Corrective Action Plans Pending Approval - OVERDUE None

3. Corrective Action Plans Pending Approval - On Schedule

Report Number FNAL-08/14/2001-0001-R-AIA
Report Title Type A Accident Investigation of the
June 21, 2001, Drilling Rig Operator
Injury at the Fermi National
Accelerator Laboratory
Final Report Date 08/14/2001
Office/Facility Reviewed Fermi National Accelerator Laboratory
CAP Approval Due Date 10/13/2001

4. Approved Corrective Action Plans - OVERDUE None

5. Approved Corrective Actions Plans - Completed This Quarter (All corrective actions in CAP completed this quarter) None

Director, Office of Nuclear Energy, Science and Technology Late Corrective Actions

Chicago Operations Office

Report Number: ANLW-06/26/2001-0001-R-XM

Report Title: Emergency Management Focused Program Review at Argonne National Laboratory-West

Number of Late Corrective Actions: 2