



## Department of Energy

Washington, DC 20585

January 8, 2001

**MEMORANDUM FOR:** Distribution

**FROM:** S. David Stadler, EH-2

**SUBJECT:** Status of Department's Corrective Action Program Quarterly Report, First Quarter, Fiscal Year 2001

This memorandum forwards the first quarter for fiscal year 2001 report on the status of corrective actions in response to safety issues identified and tracked in the Department's Corrective Action Tracking System (CATS). The report at Attachment 1 outlines the status of corrective action plans (CAP) and their associated corrective actions to address environment, safety, and health (ES&H) issues and Type A accident investigation judgments of need identified by the Office of Independent ES&H Oversight; emergency management safety issues identified by the Office of Independent Oversight and Performance Assurance; and safety issues related to self-assessments of High-Efficiency Particulate Air (HEPA) filters and criticality safety at nuclear facilities. The report lists new appraisal reports published this quarter requiring formal CAPs, status of CAPs pending approval, and status of corrective actions listed in the approved CAPs. The purpose of this report is to outline the responsiveness of Department of Energy (DOE) managers in addressing identified safety issues.

Department line managers must correct identified safety issues by developing and implementing a CAP, completing and verifying all corrective actions outlined in the CAP, and reporting the status of these actions in the CATS database. Paragraph 2a of the report lists three CAPs that are under development but have not been approved by the Program Secretarial Officer (PSO) within 60 days from issuance of the formal assessment report as prescribed in DOE Order 414.1A, "Quality Assurance." Paragraph 3a of the report lists five CAPs that have been approved but all associated corrective actions have not been completed within the scheduled date of CAP completion.

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 80 appraisal reports have been published, identifying 555 safety issues that could have an adverse impact on the environment, safety, or health of a DOE site, its workers, and/or the public. Line managers have developed and implemented CAPs in response to these appraisal reports listing a total of 2,799 corrective actions to resolve the identified safety issues. The bar graph at Attachment 2 depicts the status of these corrective actions.



The table at Attachment 3 outlines the Department-wide status of revisions to Functions, Responsibilities, and Authorities (FRA) and Quality Assurance Plans (QAP) documents that incorporate the corrective action program. The Director, Safety Management Implementation Team, provided this information.

This report is available on the Internet by accessing the CATS web site at <http://tis.eh.doe.gov/portal/catsentry.html>. The web site provides publicly available read-only access to the CATS database. For access, follow the "Guest User" instructions.

If you have any questions regarding the status of CAPs or corrective actions listed in the report, please contact the responsible line organization listed. If you have any questions regarding this report or the Department's corrective action program, please contact me at 301-903-6457 or Steven Petersen at 301-903-4022.



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

Attachments (3)

# Department's Corrective Action Tracking System Quarterly Report, Fourth Quarter FY 2000

## Distribution

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Manager, Richland Operations Office (RL)  
Manager, Savannah River Operations Office (SR)  
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Departmental Representative to DNFSB, Office of the Assistant Secretary for Environment, Safety, and Health, S-3.1

Director, Safety Management Implementation Team (SMIT)

**Secretary's Quarterly Report from CATS**  
(Corrective Action Tracking System)  
**Report for period 10/01/00 - 12/31/00**

New Reports	3	Overdue CAPs	5
CAPs Under Development - Late	3	CAPs On Schedule	19
CAPs Under Development - On Schedule	1	CAPs Completed	2

**1. New Oversight Reports this Quarter**

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

Final Report Date: 10/11/2000

Office/Facility Reviewed: East Tennessee Technology Park

Approved Corrective Action Plan Due Date: 12/10/2000

Approval Status: Pending Approval

Report Title: Independent Oversight Review of the West Valley Demonstration Project Transportation Emergency Management Program

Final Report Date: 10/23/2000

Office/Facility Reviewed: West Valley Demonstration Project

Approved Corrective Action Plan Due Date: 12/22/2000

Approval Status: Pending Approval

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

Final Report Date: 11/06/2000

Office/Facility Reviewed: Pantex Plant

Approved Corrective Action Plan Due Date: 01/05/2001

Approval Status: Pending Approval

**2. Corrective Action Plans (CAPS) pending approval**

**2a. CAPS pending approval - Overdue** (Not approved within 60 days of report issuance)

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

Final Report Date: 09/11/2000

Office/Facility Reviewed: Pantex Plant

Approved Corrective Action Plan Due Date: 11/10/2000

Comments: 12/14/00: Proposed Corrective Action Plan (CAP) was forwarded by Pantex Plant to Albuquerque Operations Office (AL) on 11/13/00 for review and approval. Awaiting AL approval.

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

Final Report Date: 10/11/2000

Office/Facility Reviewed: East Tennessee Technology Park

Approved Corrective Action Plan Due Date: 12/10/2000

Comments: 12/27/00: Proposed CAP was forwarded by East Tennessee Technology Park to Assistant Secretary for Environmental Management (EM) on 12/5/00. EM forwarded the CAP to EH-2 for review

prior to approval. EM received EH-2 comments on 12/20/00. EM and Oak Ridge Operations Office are incorporating EH-2 comments into the CAP and EM anticipates final Program Secretarial Office approval by 1/11/01.

Report Title: Independent Oversight Review of the West Valley Demonstration Project Transportation Emergency Management Program  
 Final Report Date: 10/23/2000  
 Office/Facility Reviewed: West Valley Demonstration Project  
 Approved Corrective Action Plan Due Date: 12/22/2000  
 Comments: 12/28/00: Interim CAP was approved by Assistant Secretary for Environmental Management (EM) on 11/22/00 and the final CAP was submitted to EM on 11/28/00 for approval. EM anticipates final Program Secretarial Office approval by 1/11/01.

### **2b. CAPS pending approval - On Schedule**

Report Title: Independent Oversight Evaluation of the Pantex Plant Emergency Response Exercise  
 Final Report Date: 11/06/2000  
 Office/Facility Reviewed: Pantex Plant  
 Approved Corrective Action Plan Due Date: 01/05/2001  
 Comments:

### **3. Approved Corrective Action Plans (CAPS)**

#### **3a. Approved CAPS - Overdue More Than 90 Days** (CAPS with actions open more than 90 days past the planned completion date)

Report Title: Electrical Accident with Injury in Technical Area 21, Tritium Science and Fabrication Facility  
 Office/Facility Reviewed: Los Alamos National Laboratory (LANL)  
 Planned Completion Date: 12/31/1999  
 Comments: 12/18/00: 112 of the 114 corrective actions are completed. On 12/12/00 LANL submitted a list of standing work orders for the two remaining corrective actions with an ending date of 9/30/01. LANL Area Office and Assistant Secretary for Defense Programs informed they must submit a request for CAP implementation extension through the Program Secretarial Office or designee to EH Office of Information Management.

Report Title: Focused Review of the Savannah River Site  
 Office/Facility Reviewed: Savannah River Site  
 Planned Completion Date: 9/30/2000  
 Comments: 12/28/00: 11 of the 12 corrective actions are completed. The Savannah River Operations Office implementation Procedure revision implementing a comprehensive annual appraisal plan has been put on hold pending staffing concurrence.

#### **3b. Approved Caps - Overdue** (CAPs with actions open past the planned CAP completion date)

Report Title: Type A Accident Investigation of the December 8, 1999, Multiple Injury Accident Resulting from the Sodium-Potassium Explosion in Building 9201-5 at the Y-12 Plant  
 Office/Facility Reviewed: Oak Ridge Y-12 Site  
 Planned Completion Date: 10/31/2000

Comments: 12/24/00: 103 of 105 corrective actions have been completed. The remaining two actions are concerned with the development and conduct of local assessments. Oak Ridge Operations Office and DP informed if planned corrective action completion dates need to be changed, to submit a request for CAP implementation extension through the Program Secretarial Office or designee to the Assistant Secretary for Environment, Safety and Health, Office of Information Management.

Report Title: Emergency Management Program Follow-up Review at the Oak Ridge National Laboratory (ORNL)

Office/Facility Reviewed: Oak Ridge National Laboratory

Planned Completion Date: 12/29/2000

Comments: Two of the three corrective actions have been completed. The remaining action involves conduct of formal training for ORNL personnel, which is anticipated to be completed by 1/31/01.

Report Title: Independent Oversight Review of the Rocky Flats Environmental Technology Site Transportation Emergency Management Program

Office/Facility Reviewed: Rocky Flats Environmental Technology Site

Planned Completion Date: 12/31/2000

Comments: 12/13/00: All actions complete with the exception of publishing the Rocky Flats Field Office Closure Project Oversight Program Manual which will establish the system to track corrective actions with the contractors. It is anticipated that the manual will be published by 2/1/01.

### **3c. Approved CAPS - On Schedule**

Report Title: Evaluation of the Nevada Test Site Full Participation Exercise Sunrise `99

Office/Facility Reviewed: Nevada Test Site

Planned Completion Date: 2/28/2001

Report Title: Independent Oversight Review of the Department of Energy Quality Assurance Program for Suspect/Counterfeit Parts

Office/Facility Reviewed: DOE - Wide

Planned Completion Date: 3/1/2001

Report Title: Integrated Safety Management Evaluation of the Lawrence Livermore National Laboratory

Office/Facility Reviewed: Lawrence Livermore National Laboratory

Planned Completion Date: 3/30/2001

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

Planned Completion Date: 4/23/2001

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

Planned Completion Date: 4/30/2001

Report Title: ANL CRITICALITY SAFETY SELF-ASSESSMENT

Office/Facility Reviewed: Argonne National Laboratory - East

Planned Completion Date: 4/30/2001

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

Office/Facility Reviewed: Paducah Gaseous Diffusion Plant

Planned Completion Date: 6/30/2001

Report Title: Independent Oversight Evaluation of Emergency Management Programs Across the DOE Complex, Volume 1  
Office/Facility Reviewed: DOE - Wide  
Planned Completion Date: 9/28/2001

Report Title: Integrated Safety Management Evaluation of the Y-12 Plant  
Office/Facility Reviewed: Oak Ridge Y-12 Site  
Planned Completion Date: 9/30/2001

Report Title: Independent Oversight Evaluation of the Environment, Safety and Health Programs at the Pantex Plant  
Office/Facility Reviewed: Pantex Plant  
Planned Completion Date: 9/30/2001

Report Title: Field Report - Nuclear Criticality Safety Review for Los Alamos National Laboratory Technical Area-55  
Office/Facility Reviewed: Los Alamos National Laboratory  
Planned Completion Date: 9/30/2001

Report Title: Independent Oversight Follow-up Review of Aviation Safety Programs in the Department of Energy  
Office/Facility Reviewed: DOE - Wide  
Planned Completion Date: 9/30/2001

Report Title: Follow-up Review of the Lawrence Livermore National Laboratory Emergency Management Program  
Office/Facility Reviewed: Lawrence Livermore National Laboratory  
Planned Completion Date: 10/1/2001

Report Title: Follow-up Review of Integrated Safety Management at the Los Alamos Neutron Science Center  
Office/Facility Reviewed: Los Alamos Neutron Science Center  
Planned Completion Date: 10/1/2001

Report Title: HEPA Filter Vulnerability Report  
Office/Facility Reviewed: Savannah River Site  
Planned Completion Date: 12/31/2001

Report Title: Oak Ridge Operations Nuclear Criticality Safety Self Assessment  
Office/Facility Reviewed: Oak Ridge Operations Office  
Planned Completion Date: 3/30/2002

Report Title: Independent Investigation of the Portsmouth Gaseous Diffusion Plant  
Office/Facility Reviewed: Portsmouth Gaseous Diffusion Plant  
Planned Completion Date: 9/30/2002

Report Title: High-Efficiency Particulate Air (HEPA) Filter in Nuclear Facilities  
Office/Facility Reviewed: Oak Ridge Operations Office  
Planned Completion Date: 3/31/2003

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  
Planned Completion Date: 7/31/2003

**3d. Approved CAPS - Completed** (Final action was complete during this quarter)

Report Title: Emergency Management Program Follow-up Review of the Albuquerque Operations Office  
Transportation Safeguards Division

Final Report Date: 02/09/2000

Office/Facility Reviewed: Transportation Safeguards Division

Corrective Action Plan Completion Date: 10/24/2000

Report Title: Focused Safety Management Evaluation of the Brookhaven National Laboratory (Revised)

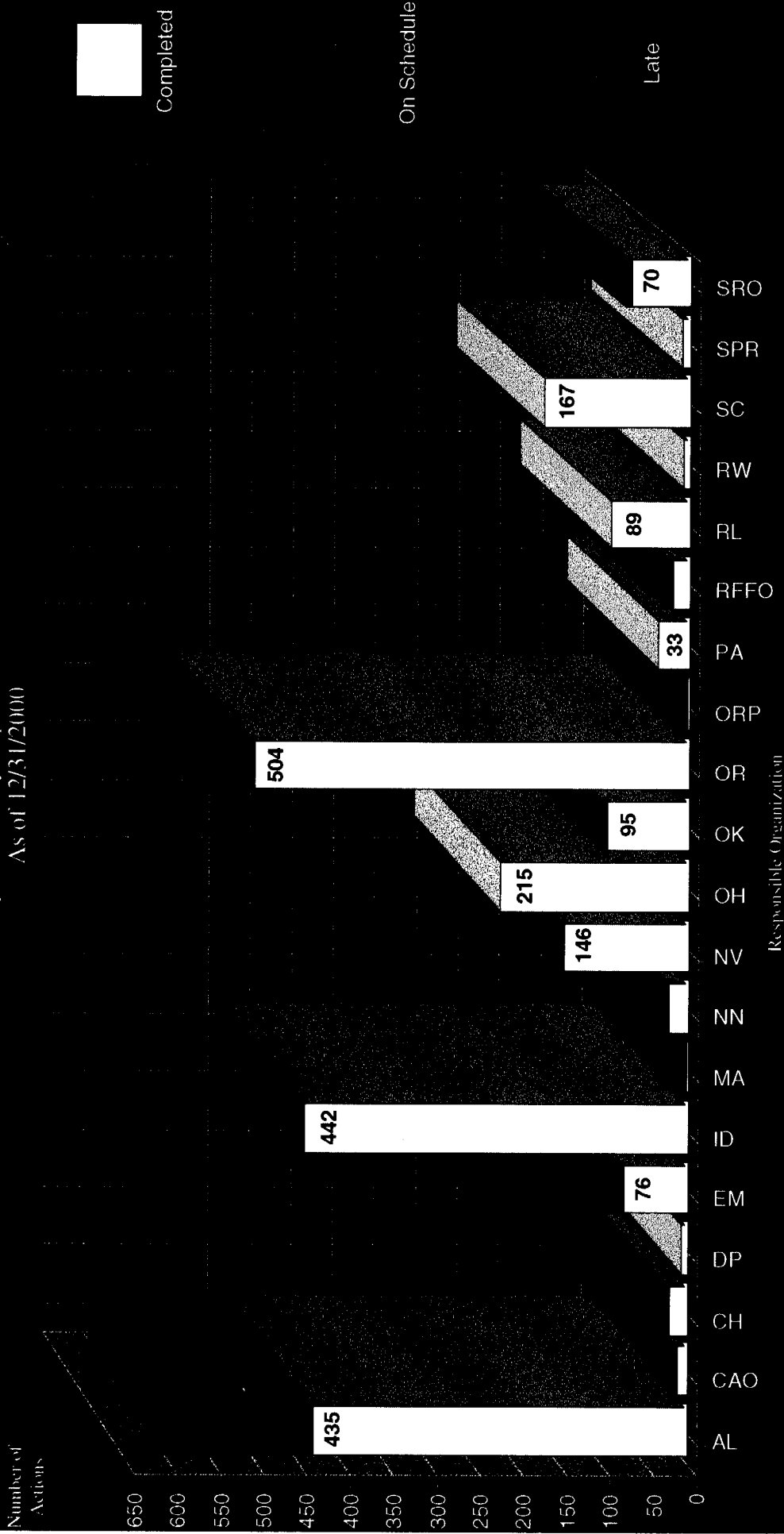
Final Report Date: 09/30/1999

Office/Facility Reviewed: Brookhaven National Laboratory

Corrective Action Plan Completion Date: 11/30/2000



Secretary's Quarterly Report from CATS  
As of 12/31/2000



Status	AL	CAO	CH	DP	EM	ID	MA	NN	NV	OH	OR	ORP	PA	RFFO	RL	RW	SC	SPR	SRO	Totals
Completed	435	13	21	5	76	442	3	23	146	215	504	2	33	20	89	4	167	6	70	2369
On Schedule	97	1	5	0	20	0	1	36	1	0	15	3	0	0	0	0	0	0	2	185
Late	73	0	0	0	111	1	4	11	1	0	40	0	0	3	0	0	0	0	1	245
Totals	605	14	26	5	207	443	8	70	148	215	559	5	33	23	89	4	167	6	73	2799

**Status of Revisions to Functions, Responsibilities, and Authorities (FRA) and  
Quality Assurance Plans (QAP) Documents**

As of 1/04/01

<i>Program / Field Office</i>	<i>Corrective Action Management Process Captured in FRA Document?</i>	<i>Quality Assurance Plan Revised subsequent to DOE O 414.1A of September 29, 1999, [Para. 4.a]</i>
<b>Defense Programs</b>	In the Draft DP FRA Document	QAP revised, approval contingent on FRA Document approval
<b>Energy Efficiency/ Renewable Energy</b>	YES	Portions of QAP are in EERE's FRA Document, which is being updated
<b>Environment, Safety &amp; Health</b>	In the Draft EH FRA Document	
<b>Environmental Management</b>	YES	Revision in progress
<b>Nuclear Energy, Science &amp; Technology</b>	YES	QA responsibilities are included in NES&T's FRA Document; QAP being developed
<b>Fossil Energy</b>	YES	QA responsibilities are included in FE's FRA Document; QAP being developed
<b>Civilian Radioactive Waste Management</b>	YES	YES
<b>Science</b>	YES	QA responsibilities are included in SC's FRA Document; QAP is being developed
<b>Albuquerque</b>	YES	Revision to QAP is in progress
<b>Chicago</b>	YES	QAP incorporated in FRA document
<b>Idaho</b>	YES	YES
<b>Nevada</b>	YES	Revision to QAP is in progress
<b>Oak Ridge</b>	YES	YES
<b>Oakland</b>	YES	Implementing document revision drafted, in review
<b>Ohio</b>	YES	YES
<b>Richland</b>	Not yet in FRA document, but institutionalized in RIMS	YES
<b>River Protection</b>	Changing document to insert	YES; Revision 1 is in progress
<b>Rocky Flats</b>	YES	YES
<b>Savannah River</b>	YES	SR QA Manual SRM 414.1.1B revised