

Encl (3) to  
7/28/95 ltr from  
Beers to Conway

**QUARTERLY REPORT 2**

**DEPARTMENT OF ENERGY**

**IMPLEMENTATION PLAN**

**FOR**

**DEFENSE NUCLEAR FACILITIES SAFETY BOARD**

**RECOMMENDATION 94-4**

**DEFICIENCIES IN CRITICALITY SAFETY  
AT THE OAK RIDGE Y-12 PLANT**

**REPORTING PERIOD  
APRIL 1 THROUGH JUNE 30, 1995**

## TABLE of CONTENTS

<b>EXECUTIVE SUMMARY .....</b>	<b>1</b>
<b>TASK 1, ORGANIZATION .....</b>	<b>6</b>
<b>TASKS 2 &amp; 3, CSA/OSR IMPLEMENTATION AND CRITICALITY SAFETY PROGRAM .....</b>	<b>7</b>
<b>TASK 4, CONDUCT OF OPERATIONS .....</b>	<b>8</b>
<b>TASK 5, TECHNICAL COMPETENCE REVIEW .....</b>	<b>9</b>
<b>TASK 6, CORRECTIVE ACTIONS .....</b>	<b>11</b>
<b>ATTACHMENT A: COMMITMENT STATUS .....</b>	<b>12</b>
<b>ATTACHMENT B: MONTHLY SCHEDULE OF DELIVERABLES ....</b>	<b>15</b>
<b>ATTACHMENT C: CORRECTIVE ACTION TRACKING .....</b>	<b>16</b>

## **EXECUTIVE SUMMARY**

**This Report for the Defense Nuclear Facilities Safety Board (Board) Recommendation 94-4 Implementation Plan (Plan) covers the period from April 1 through June 30, 1995.**

**The Y-12 Plant is proceeding toward resumption of the Receipt, Shipping, and Storage (RSS) mission area. Lockheed Martin Energy Systems (LMES) has completed their management self-assessment (MSA). The MSA has identified a significant number of deficiencies. A total of 122 findings and 84 observations were identified in eight functional areas.**

**The LMES is developing and implementing corrective actions for each identified deficiency. Approximately 60 percent of these deficiencies have been designated "prestart," requiring correction prior to restart. As of July 25, 1995, 54 prestart deficiencies have been closed. The remaining prestart deficiencies are scheduled to be corrected before the LMES readiness assessment begins on August 7, 1995.**

**The Y-12 Plant experienced schedule delay in their preparations for readiness. During May 1995 it became apparent to both the Department of Energy (DOE) and LMES management that the process for establishing evidence files was inadequate. The schedule was revised at that time to allow additional time to ensure evidence files were correct and contained the right information. The schedule was revised again in July 1995 in response to the number of deficiencies identified during the MSA, and to account for required special operations which were not included in the restart schedule. The schedule for restart of the RSS mission area has been revised to September 18, 1995. Depleted Uranium Operations is scheduled to resume on September 25, 1995. Disassembly/Assembly is now scheduled to resume in December 1995.**

**All activities scheduled for completion during the reporting period were completed as planned, with the exception of Commitment N.2.5. For the quarter ending June 30, 1995, the Criticality Safety (Task 2/3) and Training (Task 5) Programs are proceeding on schedule and all commitments have been met. Changes in the Y-12 resumption schedule have resulted in revisions to the dates for the Conduct of Operations (Task 4) Program assessments. A change to the Plan has been promulgated to address the impact of the revised resumption schedule.**

Activities completed during the second quarter calendar year (CY) 1995 are as follows:

Commitment

Description

- N.1.1 Lockheed Martin Energy Systems (LMES) conducted an evaluation of the nuclear criticality safety program and Criticality Safety Approvals (CSAs)/Operational Safety Requirements (OSRs) supporting the first resumption area and Special Operations to date. This evaluation identified specific deficiencies, including their potential application to other areas, root cause(s), training deficiencies, and lessons learned.
- N.1.2 The LMES provided a Corrective Action Plan (CAP) addressing the corrective actions for the deficiencies identified in their evaluation report of N.1.1 above. This CAP included the requirement to continue the implementation of an upgrade program through the resumption process.
- N.2.2 The Department of Energy/Oak Ridge Operations Office (DOE/OR) provided a CAP addressing the deficiencies outlined in their investigation assessment report of October 13, 1994.
- N.2.4 Defense Programs (DP) evaluated the Deputy Assistant Secretary for Military Application and Stockpile Support (DP-20) line management and its role in Y-12 safety issues. This evaluation was conducted by a team of facility operations experts outside the DP-20 line organization. Defense Programs provided a report which identified line management weaknesses and recommended corrective actions. The DP-20 line management then developed a CAP.
- N.3.1 The LMES prepared an assessment of the current Conduct of Operations (COOP) performance posture including proposed near-term corrective and/or compensatory actions. Identified actions included those necessary to insure satisfactory formality of operations in facilities undergoing upgrade for near-term resumption, as well as those

facilities which continue to carry on a limited degree of activity, such as Special Operations. The assessment considered the following:

1. Investigations and action plans prepared as a result of the September 22, 1994, event;
2. Lessons learned from Special Operations;
3. Feedback and observations from mentors; and
4. Implications of occurrences and other events illustrating COOP weaknesses.

5.1 The Training Assistance Team developed a program to implement the evaluation of key Federal personnel involved with safety-related activities at defense nuclear facilities at the Y-12 Plant.

The following Commitment, scheduled for completion during the second calendar quarter, has not been delivered.

N.2.5 The Office of Environment, Safety and Health (EH) shall assess its role in oversight of Y-12 safety issues and provide appropriate recommendations and a CAP.

Activities scheduled for the third quarter CY 1995 are as follows:

Commitment

Description

N.1.3 The LMES will provide a closure report to the Restart Authority validating and summarizing the closure of deficiencies in the CAP associated with the first resumption area. As a minimum, LMES will confirm that all safety significant procedures, CSAs, and OSRs identified to support the first resumption for use within the next 12 months have been reviewed, revised as necessary, and validated. Procedures and CSA/OSRs which fall outside the 12 month window will be controlled such that they are subject to the upgrade program prior to their use.

N.1.5 The LMES shall document, within the LMES Line Management

Certification Letter, the use of compensatory measures related to CSA/OSR implementation. The documentation will discuss the nature of the compensatory measure and the conditions necessary for its removal. Other descriptive requirements for compensatory measures include the identification of roles and responsibilities, training and qualification requirements, a monitoring process for effectiveness, and a long-term needs assessment for all personnel related compensatory measures.

- N.2.3 The DP line organization shall provide a report documenting its continued participation in the resumption process; discuss the line organization review activities onsite; the scope and method of assessment; the results as determined with the Office of the Deputy Assistant Secretary for Facility Transition and Technical Support (DP-30) technical assistance; the use of independent experts; and Readiness Assessment support.
- N.3.2 The use of mentors as compensatory measures for COOP requirements shall be documented in the LMES Line Management Certification Letter. Qualifications, experience, and responsibilities for mentors shall be established. Minimum requirements necessary for mentor removal shall be defined.
- N.4.2 The LMES/OR shall demonstrate the successful planning and execution of Readiness Assessments per DOE Order 5480.31, "Startup and Restart of Nuclear Facilities," and their implementing procedures.
- 2.1 The DOE Assessment Team will prepare an Assessment Program to evaluate CSA/OSR implementation.
- 3.1 The LMES shall develop criticality safety review program criteria based upon industry standards and DOE Order 5480.24, "Nuclear Criticality Safety." This activity should be worked in conjunction with the criteria development for independent review discussed in Commitment 3.4.

- 3.4 The DOE Assessment Team will develop a criticality safety review program to assess the performance objectives discussed in the DOE 94-4 Implementation Plan Task 3 Purpose section. Specific assessment criteria will be generated for each objective.**
- 5.4 The Department will develop a Training Assistance Team Program to implement the evaluation of key contractor personnel involved with safety related activities at defense nuclear facilities at the Y-12 Plant.**

## **TASK 1, ORGANIZATION**

Task 1 established the leadership and management structure for the development and execution of the Plan.

Deliverable 1.1, which provided a strawman Plan , and Deliverable 1.2, which identified the Senior Steering Committee, the Senior Working Group, and Task Leaders, were forwarded to the Board on February 24, 1995.

The following are the changes to the Department's management as depicted in Deliverable 1.2. These changes will occur in the third CY quarter.

<u>Position</u>	<u>Outgoing</u>	<u>Incoming</u>
Secretariat to the Senior Steering Committee	Radm Beers	Maj Gen Joersz
Department Manager and Working Group Coord.	Stan Puchalla	Phil Aiken
Tasks 2 & 3 Lead	Jim Winter	Lcdr Jon MacLaren
Task 4 Lead	Dave Chaney	Cdr John Colville



## **TASKS 2 & 3, CSA/OSR IMPLEMENTATION AND CRITICALITY SAFETY PROGRAM**

During the quarter ending June 30, 1995, the following items were accomplished:

A peer review of the draft assessment plan, utilizing criticality safety and operations experts from Lawrence Livermore National Laboratory, Idaho National Engineering Laboratory, and DOE Headquarters was conducted on May 11, 1995.

The Department's Assessment Team for Tasks 2 and 3 was assembled during the week of June 5, 1995, at Oak Ridge for site training, final review of the Assessment Program Plan, facility familiarization, and to establish site counterparts.

Activities planned for the next quarter include:

The Department's Criticality Safety Assessment Program Plan will be approved and issued. This plan incorporates Commitments 2.1 and 3.4, both scheduled for delivery by July 31, 1995.

The LMES Criticality Safety Review Program criteria will be approved and issued by July 31, 1995, (Commitment 3.1).

Selected team members will be trained in Root Cause Analysis by Yankee Engineering Services subject matter experts.

The Task 2 assessment (Commitment 2.2) is currently scheduled to begin on October 16, 1995, and last two weeks.

## **TASK 4, CONDUCT OF OPERATIONS**

During the quarter ending June 30, 1995, the following items were accomplished:

The Office of Site Operations personnel visited the Y-12 Site Office (YSO) on May 16, 1995. Dave Chaney met with YSO personnel to discuss the scope of the Task 4 assessment of Federal conduct of operations processes, and to get feedback on a set of draft performance objectives and criteria for this assessment that are based on those used at the Pantex Plant.

Additionally, he met with personnel from the LMES Oak Ridge Compliance, Evaluation, and Policy Group to discuss the scope of the Task 4 assessment of LMES conduct of operations processes.

Dan Branch, Division Manager, Compliance and Performance Assurance, Kaiser-Hill (Integrating Contractor), Rocky Flats, was selected and has agreed to lead the COOP assessment team evaluating LMES. Dan Branch successfully lead both Pantex COOP contractor independent assessments in 1994. Dave Chaney will lead the assessment team evaluating the Federal COOP processes. Dave Chaney served as Pantex COOP Program Manager coordinating recent Pantex COOP upgrades, has extensive commercial and naval nuclear experience, and recently assumed the Pantex Team Lead position within DP-24.

As a result of changes in the resumption schedule at the Y-12 Plant, a revision to the Task 4 schedule was presented by the Department and discussed with the Board staff (Mr. James McConnell). The Task 4 assessment plans, Commitment 4.1, will be due 30 days following the second resumption or November 1995, whichever is earlier; and the assessment reports, Commitment 4.2, will be due 60 days following the second resumption or December 1995, whichever is earlier. This rescheduling has been documented as Change 2 to Revision 0 and is attached to this Quarterly Report.

## **TASK 5, TECHNICAL COMPETENCE REVIEW**

**During the quarter ending June 30, 1995, the following items were accomplished:**

**May 8-9, 1995, Mr. Tom Evans, the Technical Personnel Program Coordinator (TPPC) visited Oak Ridge to meet with DOE and LMES management to discuss the upcoming Training Assistance Team Program and subsequent visits. As the TPPC, Tom Evans has overall responsibility for the Training Assistance Team Program including the selection of the Team Leader, approval of Team members, and approval of the Team Program and Final Report. Tom Evans, who also serves on the 94-4 Senior Steering Committee, was accompanied by Stan Puchalla and Richard Wolfe, both members of the Senior Working Group.**

**Roy Schepens was selected and approved as Training Assistance Team Leader for the assistance visit. Roy Schepens is the Deputy Assistant Manager for High Level Waste at the Savannah River Site. He was previously a key member in the K-Reactor restart efforts and possesses commercial nuclear expertise, having served as a Nuclear Regulatory Commission site resident inspector. He is an expert in training and qualification, is familiar with Oak Ridge, and supported the development of many of the functional area qualification standards. He previously visited Oak Ridge to provide support for the Facility Representative Program.**

**June 19-20, 1995, Mr. Ray Hardwick (Deputy TPPC) visited with Roy Schepens and his staff to finalize the draft Training Assistance Team Program, identify prospective Team members, and set a tentative date for the visit. He was accompanied by Stan Puchalla and Richard Wolfe.**

**The "Training Assistance Team Program For Key Federal Personnel at the U.S. Department of Energy Oak Ridge Y-12 Plant," was approved by Roy Schepens and Tom Evans on June 30, 1995.**

**Activities planned for the next quarter include the following:**

**Preliminary visit to Headquarters by Roy Schepens to discuss the upcoming visits with the Board staff and finalize logistics for the visit.**

**Conduct the assistance visit including reviews at Headquarters and the Oak Ridge Site. The visit is currently scheduled for the week of August 14, 1995, (Commitment 5.2).**

**Develop a program to implement the evaluation of key contractor personnel involved with safety-related activities at defense nuclear facilities at the Y-12 Plant (Commitment 5.4).**

## **TASK 6, CORRECTIVE ACTIONS**

**Task 6 provides for the management and tracking of issues and corrective actions and periodic status reports to the Board.**

**In this task, the Senior Working Group integrates findings from previous task areas and oversees development of corrective action plans.**

**Attachment C provides corrective action status for all corrective action plans submitted to date, which include Commitments N.1.2, N.2.2, N.2.4, and N.3.1. This status will be formally reported in each Quarterly Report. Also, working versions will be provided to the Board staff on a monthly basis.**

**ATTACHMENT A: COMMITMENT STATUS**

COMMITMENT	DUE DATE	ACTUAL DATE	COMMENTS
N.1.1	APR 95	26 APR 95	
N.1.2	MAY 95	30 MAY 95	
N.1.3	1st START		Submit with LMES certification (Commitment N.1.5)
N.1.4	MAR 95	27 MAR 95	
N.1.5	1st START		Part of LMES Line Management Certification Letter
N.2.1	NOV 94	18 NOV 94	
N.2.2(a)	OCT 94	13 OCT 94	
N.2.2(b)	APR 95	28 APR 95	
N.2.3	1st START		
N.2.4(a)	APR 95	26 MAY 95	
N.2.4(b)	JUN 95	30 JUN 95	
N.2.5(a)	APR 95		
N.2.5(b)	MAY 95		
N.3.1	MAY 95	30 MAY 95	
N.3.2	1st START		Submit with LMES Certification Letter.
N.4.1	MAR 95	27 MAR 95	

## ATTACHMENT A: COMMITMENT STATUS

COMMITMENT	DUE DATE	ACTUAL DATE	COMMENTS
N.4.2(a)	1st START		
N.4.2(b)	TBD		Follow-on resumptions
1.1	DEC 94	2 DEC 94	
1.2	JAN 95	JAN 95	
2.1	JUL 95		
2.2	DEC 95		Or within 60 days of 2nd resumption, whichever is earlier.
2.3	FEB 96		
3.1	JUL 95		
3.2	DEC 95		Or within 60 days of 2nd resumption, whichever is earlier.
3.3	FEB 96		
3.4	JUL 95		
3.5	MAR 96		Within 30 days of LMES CAP (Commitment 3.3).
3.6	MAY 96		Within 60 days of report from Commitment 3.5.
4.1	NOV 95		30 days following 2nd resumption or Nov 95, whichever is earlier. Two separate program plans.
4.2	DEC 95		60 days following 2nd resumption or Dec 95, whichever is earlier. Teams evaluating DOE and LMES each report.
4.3	FEB 96		60 days following issuance of reports in 4.2. One combined CAP.
5.1	JUN 95	30 JUN 95	

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COMMITMENT	DUE DATE	ACTUAL DATE	COMMENTS
5.2	OCT 95		
5.3	DEC 95		
5.4	SEP 95		
5.5	FEB 96		
5.6	APR 96		
6.1	QTRLY		Submit with Quarterly Reports of Commitment 7.1.
7.1(a)	APR 95	28 APR 95	Interim report.
7.1(b)	QTRLY		Submit quarterly commencing in July 95.
8.1	AS REQ'D		



## ATTACHMENT B: MONTHLY SCHEDULE OF DELIVERABLES

### Schedule of Deliverables

\* = Target Date

Mo/Yr	Near Term Initiatives	Tasks
Mar 95	1.4*, 4.1*	
Apr	1.1*, 2.2, 2.4(a), 2.5(a)	7.1
May	1.2*, 2.5(b), 3.1*	
Jun	2.4(b)	5.1
Jul		2.1, 3.1, 3.4, 7.1
Aug	1.3*, 1.5, 2.3*, 3.2*, 4.2	
Sep		5.4
Oct		5.2, 7.1
Nov		4.1
Dec		2.2, 3.2, 4.2, 5.3
Jan 96		7.1
Feb		2.3, 3.3, 4.3, 5.5
Mar		3.5
Apr		5.6, 7.1
May		3.6
Jun		
Jul		7.1

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## **TASK 1, ORGANIZATION**

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## **TASK 6, CORRECTIVE ACTIONS**

**Task 6 provides for the management and tracking of issues and corrective actions and periodic status reports to the Board.**

**In this task, the Senior Working Group integrates findings from previous task areas and oversees development of corrective action plans.**

**Attachment C provides corrective action status for all corrective action plans submitted to date, which include Commitments N.1.2, N.2.2, N.2.4, and N.3.1. This status will be formally reported in each Quarterly Report. Also, working versions will be provided to the Board staff on a monthly basis.**

**ATTACHMENT A: COMMITMENT STATUS**

COMMITMENT	DUE DATE	ACTUAL DATE	COMMENTS
N.1.1	APR 95	26 APR 95	
N.1.2	MAY 95	30 MAY 95	
N.1.3	1st START		Submit with LMES certification (Commitment N.1.5)
N.1.4	MAR 95	27 MAR 95	
N.1.5	1st START		Part of LMES Line Management Certification Letter
N.2.1	NOV 94	18 NOV 94	
N.2.2(a)	OCT 94	13 OCT 94	
N.2.2(b)	APR 95	28 APR 95	
N.2.3	1st START		
N.2.4(a)	APR 95	26 MAY 95	
N.2.4(b)	JUN 95	30 JUN 95	
N.2.5(a)	APR 95		
N.2.5(b)	MAY 95		
N.3.1	MAY 95	30 MAY 95	
N.3.2	1st START		Submit with LMES Certification Letter.
N.4.1	MAR 95	27 MAR 95	

## ATTACHMENT A: COMMITMENT STATUS

COMMITMENT	DUE DATE	ACTUAL DATE	COMMENTS
N.4.2(a)	1st START		
N.4.2(b)	TBD		Follow-on resumptions
1.1	DEC 94	2 DEC 94	
1.2	JAN 95	JAN 95	
2.1	JUL 95		
2.2	DEC 95		Or within 60 days of 2nd resumption, whichever is earlier.
2.3	FEB 96		
3.1	JUL 95		
3.2	DEC 95		Or within 60 days of 2nd resumption, whichever is earlier.
3.3	FEB 96		
3.4	JUL 95		
3.5	MAR 96		Within 30 days of LMES CAP (Commitment 3.3).
3.6	MAY 96		Within 60 days of report from Commitment 3.5.
4.1	NOV 95		30 days following 2nd resumption or Nov 95, whichever is earlier. Two separate program plans.
4.2	DEC 95		60 days following 2nd resumption or Dec 95, whichever is earlier. Teams evaluating DOE and LMES each report.
4.3	FEB 96		60 days following issuance of reports in 4.2. One combined CAP.
5.1	JUN 95	30 JUN 95	



**ATTACHMENT A: COMMITMENT STATUS**

COMMITMENT	DUE DATE	ACTUAL DATE	COMMENTS
5.2	OCT 95		
5.3	DEC 95		
5.4	SEP 95		
5.5	FEB 96		
5.6	APR 96		
6.1	QTRLY		Submit with Quarterly Reports of Commitment 7.1.
7.1(a)	APR 95	28 APR 95	Interim report.
7.1(b)	QTRLY		Submit quarterly commencing in July 95.
8.1	AS REQ'D		

## ATTACHMENT B: MONTHLY SCHEDULE OF DELIVERABLES

### Schedule of Deliverables

\* = Target Date

Mo/Yr	Near Term Initiatives	Tasks
Mar 95	1.4*, 4.1*	
Apr	1.1*, 2.2, 2.4(a), 2.5(a)	7.1
May	1.2*, 2.5(b), 3.1*	
Jun	2.4(b)	5.1
Jul		2.1, 3.1, 3.4, 7.1
Aug	1.3*, 1.5, 2.3*, 3.2*, 4.2	
Sep		5.4
Oct		5.2, 7.1
Nov		4.1
Dec		2.2, 3.2, 4.2, 5.3
Jan 96		7.1
Feb		2.3, 3.3, 4.3, 5.5
Mar		3.5
Apr		5.6, 7.1
May		3.6
Jun		
Jul		7.1

# ATTACHMENT C: CORRECTIVE ACTION TRACKING

TABLE I

N.1.2: CORRECTIVE ACTION PLAN FOR LMES EVALUATION OF CRITICALITY SAFETY PROGRAM AND CSA/OSRs. (LMES Report Y/NO-00002)

REFERENCE NUMBER	CORRECTIVE ACTION PLAN (CAP) ITEM	PLANNED CLOSURE	ACTUAL DATE
Y/NO-00002 SECTION 2	CORRECTIVE ACTIONS FOR FIRST MISSION AREA RESUMPTION		
LESSON LEARNED 1	CSA/OSR requirement statements must be clear and concise.		
ACTION LL 1-1	Revise Procedure Y70-160, <i>Criticality Safety Approval System, Training Module 8836, Nuclear Criticality Safety Training for Y-12 Supervisors</i> , and Procedure Y50-66-CS-325, <i>Nuclear Criticality Safety Analysis, Approval, and Control System</i> .		22 MAY 95
ACTION LL 1-2	Additional changes in the CSA process have been made to improve clarity and conciseness of CSA requirements. RSS related CSAs have been revised. Revise Procedure Y70-160.	RSS RESTART	
ACTION LL 1-3	Develop new OSRs for RSS facilities and submit to DOE for approval.		8 MAY 95
LESSON LEARNED 2	The compliance methodology must be clearly articulated in CSAs/OSRs.		
ACTION LL 2-1	Develop and implement a CSA verification and validation process and a CSA implementation process to ensure compliance with the newly revised CSA administrative standards. These are procedurally controlled by Y70-01-150 (DSO) and Y70-37-19-071 (EUO).		22 MAY 95
LESSON LEARNED 3	Operating and technical support personnel must understand safety implications which require strict compliance with CSAs/OSRs.		

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REFERENCE NUMBER	CORRECTIVE ACTION PLAN (CAP) ITEM	PLANNED CLOSURE	ACTUAL DATE
LESSON LEARNED 4	There must be an auditable path from CSA/OSR requirements to documentation which demonstrates compliance.		
ACTION LL 4-1	Issue a standing order by the DSO Manager identifying the required compensatory measures when using procedures that do not incorporate CSA requirements. (Action 3-4 addresses the long term corrective actions.)		22 MAY 95
LESSON LEARNED 5	An implementation plan which permits continuous compliance with effective CSAs/OSRs is required for new and revised CSAs/OSRs.		
ACTION LL 5-1	Revise Procedure Y70-160 to provide a period for implementation of new or revised CSAs.	RSS RESTART	
ACTION LL 5-2	Develop and approve surveillance procedures for the five new RSS OSRs. Conduct training and perform these procedures. Ensure operability of all required OSR-related systems and components before the OSRs become effective.		23 MAY 95
LESSON LEARNED 6	CSA/OSR noncompliances must be reported immediately.		
ACTION LL 6-1	Conduct awareness and Lessons Learned training on importance of following procedures and management expectations for nuclear operations personnel.		22 MAY 95

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REFERENCE NUMBER	CORRECTIVE ACTION PLAN (CAP) ITEM	PLANNED CLOSURE	ACTUAL DATE
ACTION LL 6-2	Organizations responsible for OSR compliance develop and approve specific procedures that provide guidance for completing LCO actions when equipment does not meet LCO requirements. (Required by RSS resumption POA)		JUN 95
LESSON LEARNED 7	Facilities and operations involving CSAs/OSRs must be controlled to meet the expectation that activities are performed within the approved safety basis.		
ACTION LL 7-1	Implement a rigorous conduct of operations program through the RSS resumption POA and the 94-4 Implementation Plan. A specific detailed schedule coordinating implementation and assessment is part of the RSS resumption.	RSS RESTART	
Y/NO-00002 SECTION 3	<b>CONTINUED IMPLEMENTATION OF THE UPGRADE PROGRAM</b> (Note: Continued implementation of the upgrade programs will be influenced by the assessments and CAPs resulting from the execution of Tasks 2-5 of the 94-4 Implementation Plan.)		
ACTION 3-1	LMES management apply the programmatic corrections described in Section 2 of Y/NO-00002 throughout the resumption process for Y-12 nuclear operations.	TBD	
ACTION 3-2	Upgrade the OSRs and CSAs for continuing nuclear operations to the new standards.	TBD TASKS 2/3 CAPs	

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TABLE I

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REFERENCE NUMBER	CORRECTIVE ACTION PLAN (CAP) ITEM	PLANNED CLOSURE	ACTUAL DATE
ACTION 3-3	Upgrade the CSAs and OSRs for each subsequent mission area prior to resumption of normal operations.	PRIOR TO EACH MISSION AREA RESTART	
ACTION 3-4	Complete new operating procedures incorporating revised CSA requirements	TBD TASK 4 CAPs	
ACTION 3-5	Develop a configuration management system to supplement or replace the change control and document control processes in place for resumption.	TBD	
ACTION 3-6	Develop a standard describing the process for writing OSRs at Y-12.	JUN 95	
ACTION 3-7	Upgrade individual OSRs as required by Phase II of the Safety Analysis Report Update Program (SARUP) refinement of their technical basis.	PHASE II SARUP SCHEDULE	
ACTION 3-8	Develop and implement the Nuclear Criticality Safety Improvement Program (NCSIP) to support 94-4 Implementation Plan Tasks 2 and 3.	94-4 TASK 2 & 3 ASSESSMENT DATES	

## ATTACHMENT C: CORRECTIVE ACTION TRACKING

TABLE II

N.2.2: CORRECTIVE ACTION PLAN FOR ORO ROLE IN Y-12 INCIDENT.  
(ORO R.J. Spence Memorandum dated 28 April 95)

REFERENCE NUMBER	CORRECTIVE ACTION PLAN (CAP) ITEM	PLANNED CLOSURE	ACTUAL DATE
ACTION 1-1	Performance Indicators and Analyses: Review existing monthly data to determine if new performance indicators should be added or old ones deleted. Review completed and recommended changes forwarded for processing as outlined in attachment 1 to Spence memo.	VARIOUS THRU NOV 95	
ACTION 1-2 / 1-3	Distribution of performance indicators is limited. Update and expand the distribution list. Distribute over LAN.		31 MAR 95
ACTION 2-1	ORO Oversight not Consistently Challenging Laxity: Develop a Conduct of Operations self-study course which would emphasize attention to detail and the standards based approach.	JUN 95	30 JUN 95
ACTION 2-2	Modify ORO appraisal training to include conduct of operations as the responsibility of everyone.	AUG 95	
ACTION 3-1	Inadequate staffing of the Facility Representative (FR) Program at YSO. Hire six more FRs.		3 APR 95
ACTION 4-1	Facility Representatives were unsure as to their shutdown authority. Issue ORO wide policy on shutdown authority.		6 OCT 94
ACTION 4-2	Facility Representatives were unsure as to their shutdown authority. Revise YSO procedure 1.6		13 DEC 94
ACTION 5-1	Incorporating Conduct of Operations into ORO internal value system requires upper management support. Brief Senior Management Board on Conduct of Operations.	JUN 95	
ACTION 6-1	ORO must improve its ability to anticipate problem areas and conduct subsequent mitigation planning. Develop issues management tracking system and program.	JUN 95	
ACTION 7-1	HQ funding and support to implement conduct of operations must be adequate. This will be evaluated as part of Task 4 to the 94-4 Implementation Plan.	94-4 TASK 4 ASSESSMENT DATES	

# ATTACHMENT C: CORRECTIVE ACTION TRACKING

TABLE III

N.2.4 (b): CORRECTIVE ACTION PLAN FOR ADDRESSING DP-24 LINE MANAGEMENT ISSUES ASSOCIATED WITH ITS ROLE AT Y-12.  
(D. Rhoades Memorandum dated 30 June 95)

REFERENCE NUMBER	CORRECTIVE ACTION PLAN (CAP) ITEM	PLANNED CLOSURE	ACTUAL DATE
SECTION A	FUNCTIONS, ASSIGNMENTS, AND RESPONSIBILITIES		
ACTION A.1	FAR compliance. DP-24 continue to monitor progress in addressing noncompliances with the FAR Manual as identified by the ongoing DP-31 assessment.	DEC 95	
ACTION A.2	Revise the Defense Programs Operations Manual (DPOM).	DEC 95	
ACTION A.3	Carry out management and oversight activities specified in Chapter 7 of the DP-24 Process Manual.		30 JUN 95
SECTION B	NUCLEAR SAFETY ISSUES		
ACTION B.1	DP-24 establish a Site Assistance Team to conduct assistance visits to Defense Programs sites including Y-12.		30 JUN 95
ACTION B-2	Develop an issue database for the DP-24 Action Tracking System that includes issues from assist visits, audits and assessments performed at Y-12, SRS Tritium Facility, and Pantex.	OCT 95	



## ATTACHMENT C: CORRECTIVE ACTION TRACKING

TABLE III

N.2.4 (b): CORRECTIVE ACTION PLAN FOR ADDRESSING DP-24 LINE MANAGEMENT ISSUES ASSOCIATED WITH ITS ROLE AT Y-12.  
(D. Rhoades Memorandum dated 30 June 95)

REFERENCE NUMBER	CORRECTIVE ACTION PLAN (CAP) ITEM	PLANNED CLOSURE	ACTUAL DATE
SECTION C	BUDGET PROCESS		
ACTION C-1	Develop office procedures which assure that ES&H measures are incorporated during the planning for activities involving stockpile support facility operations. (DP-24 Process Manual, Section 5.1)		MAR 95
ACTION C-2	Establish an Integrated Multi-Year Program Plan to implement guidance and direction for programmatic execution of the National Security Strategic Plan (NSSP).		30 JUN 95
ACTION C-3	Conduct program reviews on selected issues at each nuclear weapons facility on a quarterly basis.		30 JUN 95
SECTION D	DP-24 PROCESS MANUAL		
ACTION D-1	Complete development of the Process Manual.	NOV 95	
ACTION D-2 (a)	Develop and implement a training program on the Process Manual for DP-24 management and staff.	NOV 95	
ACTION D-2 (b)	Complete training for all DP-24 personnel on the Process Manual.	JAN 96	

# ATTACHMENT C: CORRECTIVE ACTION TRACKING

TABLE IV

N.3.1: LMES ASSESSMENT OF THE CURRENT CONDUCT OF OPERATIONS POSTURE INCLUDING PROPOSED NEAR-TERM CORRECTIVE AND/OR COMPENSATORY ACTIONS. (LMES Report Y/NO-00003)

REFERENCE NUMBER	CORRECTIVE ACTION PLAN (CAP) ITEM	PLANNED CLOSURE	ACTUAL DATE
Y/NO-00003 SECTION 3	NEAR TERM ACTIONS THAT ADDRESS THE ROOT CAUSE		
ACTION 3-1	All OSRs, CSAs, and implementing primary procedures supporting the RSS Mission Area are in the final phase of approval. Complete the approval process. (para. 3.2.2)	RSS RESTART	
ACTION 3-2	Employee training on all revised procedures will be completed shortly after approval. Train employees. (para. 3.2.2)	RSS RESTART	
ACTION 3-3	Issue revised OSRs, CSAs, and implementing primary procedures. (para. 3.2.2)	RSS RESTART	
ACTION 3-4	Upgrade surveillance procedures supporting the initial resumption Mission Area. (para. 3.3.1)		25 MAY 95
ACTION 3-5	Revise the procedure use categorization process. (para. 3.4.1)		25 MAY 95
ACTION 3-6	Properly categorize existing operating and surveillance procedures in resumption mission area and train personnel to the new definitions-of-use. (para. 3.4.2)	PRIOR TO EACH MISSION AREA RESTART	
ACTION 3-7	Upgrade the procedure verification and validation process. (para. 3.4.3)		25 MAY 95

## ATTACHMENT C: CORRECTIVE ACTION TRACKING

TABLE IV

**N.3.1: LMES ASSESSMENT OF THE CURRENT CONDUCT OF OPERATIONS POSTURE INCLUDING PROPOSED NEAR-TERM CORRECTIVE AND/OR COMPENSATORY ACTIONS. (LMES Report Y/NO-00003)**

REFERENCE NUMBER	CORRECTIVE ACTION PLAN (CAP) ITEM	PLANNED CLOSURE	ACTUAL DATE
ACTION 3-8	Develop a Conduct of Operations Manual with sections of the manual to be issued in accordance with an implementation plan schedule to support RSS. (para. 3.5)	RSS RESTART	
ACTION 3-9	Operations Areas will be defined to manage operations and maintain safety envelope integrity. The Operations Area for Bldg 9212 has been established and described in Chapter 1 of the Conduct of Operations Manual. Identify remaining Operations Areas. (para. 3.6.1)	PRIOR TO EACH MISSION AREA RESTART	
ACTION 3-10	Four new positions are being established that will directly impact conduct of operations practices: Operations Manager, Shift Manager, Shift Administrative Assistant, and Shift Technical Advisor. Fill these positions. (para. 3.6.2)	PRIOR TO EACH MISSION AREA RESTART	
ACTION 3-11	Develop and implement a training program for Shift Technical Advisors (STA). (para. 3.6.2)	MAR 96	
ACTION 3-12	Develop a detailed and formalized self-assessment program to promote management identification of weaknesses in conduct of operations performance. (para. 3.7.1)	JAN 96	
ACTION 3-13	Develop and implement conduct of operations performance measures which will provide management with clear trends and a basis for corrective actions. (para. 3.7.1)	PRIOR TO EACH MISSION AREA RESTART	

## ATTACHMENT C: CORRECTIVE ACTION TRACKING

TABLE IV

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REFERENCE NUMBER	CORRECTIVE ACTION PLAN (CAP) ITEM	PLANNED CLOSURE	ACTUAL DATE
ACTION 3-14	For the RSS Mission Area, resumption supporting activities have been incorporated into a detailed logic driven integrated schedule. Remaining Mission Area Managers develop their integrated schedules. (para. 3.7.4)	PRIOR TO EACH MISSION AREA RESTART	
Y/NO-00003 SECTION 4	LONG TERM ACTIONS THAT ADDRESS THE ROOT CAUSE		
ACTION 4-1	Expand the staff to the Manager, Nuclear Operations to provide him direct staff support in matters impacting on conduct of operations practices. (para. 4.1)	DEC 95	
ACTION 4-2	Assign an Assistant Manager to each Operations Manager (Depleted Uranium, Disassembly and Storage, and Enriched Uranium). (para. 4.1.1)	DEC 95	
ACTION 4-3	Hire for a newly approved position titled Qualification and Procedures Manager, who will ensure all department procedures are current and all affected employees are current in their respective qualification. (para. 4.1.2)		JUN 95
ACTION 4-4	Establish and fill a new position called Program Support Manager to coordinate key activities that influence implementation of a conduct of operations program. (para. 4.1.3)		25 MAY 95
ACTION 4-5	Establish a continuing training program that will ensure that proficiency and requalification are performed in accordance with DOE Order 5480.20A. (para. 4.2.2)	TBD 94-4 TASK 5 CAP & 5480.20 TIM	

# ATTACHMENT C: CORRECTIVE ACTION TRACKING

TABLE IV

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REFERENCE NUMBER	CORRECTIVE ACTION PLAN (CAP) ITEM	PLANNED CLOSURE	ACTUAL DATE
ACTION 4-6	Implement and integrate administrative processes for configuration control, work control, document control, and other site-wide processes. (para. 4.3.3)	TBD	
ACTION 4-7	Train line managers to assess conduct of operations performance by observations/evaluations at the working level. (para. 4.4.1)	JAN 96	