

ISMS Training Document
Track 2, Activity 3 – July 2008
Issues Management

Activity

Describe the issues management, corrective action plan, and corrective action tracking processes for Department of Energy (DOE) Headquarters and Oak Ridge Office (ORO).

At the completion of this activity, fill out the Self-Certification Form certifying that you have read this activity sheet.

Note: When regulations, DOE directives, or other industry standards are referenced in this ISMS activity, please use the most recent version. In addition, please note that DOE Guides provide preferred, non-mandatory, supplemental information about acceptable methods for implementing requirements, including lessons learned, suggested practices, instructions, and suggested performance measures. Guides do not impose requirements but may quote requirements if the sources are adequately cited. Alternate methods may be used if it can be demonstrated that they provide an equivalent or better level of performance.

Key Documents

- DOE O 225.1, *Accident Investigations*
 - DOE O 231.1, *Environmental, Safety and Health Reporting*
 - DOE M 231.1-1, *Environmental, Safety and Health Reporting Manual*
 - DOE M 231.1-2, *Occurrence Reporting and Processing of Operations Information*
 - DOE G 231.1-1, *Occurrence Reporting and Performance Analysis Guide*
 - DOE G 231.1-2, *Occurrence Reporting Causal Analysis Guide*
 - DOE O 414.1, *Quality Assurance*
 - DOE O 470.2, *Independent Oversight and Performance Assurance Program*
 - ORO M 220.1, *Oak Ridge Assessment Program Manual*
 - ORO O 230, *Reporting*
 - ORO O 250, *Standards Management Program*
 - ORO M 440, *Employee Concerns Management System Manual*
 - ORO O 450, *Protection of the Public and Environment*, Chapter V, “ORO Integrated Safety Management Program”
 - ORION Usage Guide
 - DOE Corrective Action Tracking System (CATS)
<http://www.hss.energy.gov/CSA/CSP/CAMP/trackingsys.html>
-

What’s In It For Me

The ORO Issues and Corrective Action Management Program and DOE Corrective Action Management Program provide mechanisms to initiate,

ISMS Training Document
Track 2, Activity 3 – July 2008
Issues Management

resolve and track the status of safety issues, concerns, and other significant items (such as assessment results) that need to be followed through closure. This includes safety concerns raised by ORO employees.

The completion of this activity will help you gain an understanding of how the ORO Issues and Corrective Action Management Program and the DOE Corrective Action Management Program apply to ORO.

Issues Management

Issues Management is a key element of implementation of ISM Core Function 5, Feedback and Continuous Improvement. In order for the continuous improvement process to be effective, issues identified by external or internal organization, must be tracked to closure. Two systems are used to track ORO issues. The primary system is ORION; it is described in ORO O 450 Chapter V. The second system is the DOE Corrective Action Tracking System (CATS) that is used to track issues identified in DOE health, safety, and security inspections and Type A investigations. These two systems are discussed later in this module.

Corrective Action Management Program

DOE has provided a comprehensive and systematic corrective action management program to address and resolve identified safety issues. Requirements, responsibilities, and guidance for the DOE Corrective Action Management Program (CAMP) have been institutionalized in specific DOE directives. Reports on the status of CAMP implementation are published and disseminated to DOE managers on a quarterly basis. The DOE Corrective Action Management Team, a cross-organizational working group of representatives from headquarters and field offices, supports and coordinates line management efforts to implement the CAMP. In support of this initiative, ORO has a representative on the Corrective Action Management Team. More information on the CAMP can be accessed at:
<http://www.hss.energy.gov/CSA/CSP/CAMP/index.html>

How ORION Works

ORION is an assessment and issues management tracking system that integrates the ISM process with the formal assessment process. It is designed to model the formal review process from review plan through corrective actions or to address each element independently.

The primary purpose of ORION is to provide tracking, trending, and reporting of assessments, walkthroughs, issues, and corrective actions, and data reliability for DOE-ORO in one consolidated system. ORION also offers an integrated ORO assessment planning calendar and online access to assessment plans, reports, corrective action plans, evidence files and other documents for managing and closure of issues.

ORION is a platform-independent web-based system with an easy-to-use interface providing many visual tools that aid in understanding the process. Users may view the status of corrective actions and issues, create reports, create trending graphs and/or charts, edit the information, add new corrective actions, or update the database or website, depending on their level of security. The system also provides the ability to upload/download attachments as well as

ISMS Training Document
Track 2, Activity 3 – July 2008
Issues Management

online instruction.

Here is the link to ORION:

<https://orion.oro.doe.gov>

How CATS Works

DOE developed CATS to allow the DOE community to track and report corrective actions from Headquarters safety reviews and other limited reviews, and to share safety management information across the complex.

Refer to the DOE CATS Users Guide that can be found at

<http://www.hss.energy.gov/CSA/CSP/CAMP/trackingsys.html>

To Learn More

Click on these documents for more information about how corrective action plan and tracking processes are applied at ORO.

- [DOE M 231.1-1, *Environmental, Safety and Health Reporting Manual*](#)
 - [DOE M 231.1-2, *Occurrence Reporting and Processing of Operations Information*](#)
 - [DOE O 414.1, *Quality Assurance*](#)
 - [ORO M 220, *Oak Ridge Office Assessment Manual*](#)
 - [ORO O 230, *Reporting*](#)
 - [ORO M 440, *Employee Concerns Management System Manual*](#)
 - [ORO O 450, *Protection of the Public and Environment, Chapter V, "ORO Integrated Safety Management Program"*](#)
 - [ORION Usage Guide](#)
 - [DOE Corrective Action Tracking System \(CATS\)](#)
-