




Department of Energy

Washington, DC 20585

JAN 09 2006

MEMORANDUM FOR: Distribution

FROM:

fr Frank Tooper 
Acting Deputy Assistant Secretary
Office of Corporate Performance Assessment
Environment, Safety and Health

SUBJECT:

Department of Energy Corrective Action Management
Program First Quarter Report, Fiscal Year 2006

Attached is the Department of Energy (DOE) report on the status of the Corrective Action Management Program (CAMP) for the first quarter of fiscal year (FY) 2006. The report summarizes Corrective Action Plans (CAPs) and their associated corrective actions developed and tracked by line managers to effectively address and resolve Office of Independent Oversight and Performance Assurance environment, safety, and health and emergency management findings; Type A Accident Investigation Judgments of Need; Office of Aviation Management findings; and other special assessment findings directed by the Secretary or Deputy Secretary to be addressed in the CAMP. The report also summarizes line management follow up corrective action effectiveness reviews of the completed CAPs to assure the findings have been effectively resolved. The CAMP status is documented and tracked in the Department's Corrective Action Tracking System (CATS).

During the first quarter of FY 2006, two new assessment reports have been added to the CAMP. Four approved CAPs were completed this quarter and 14 approved CAPs are on schedule for completion. One CAP is overdue for approval and one approved CAP is overdue from the planned completion date. A total of 191 corrective actions were completed this quarter and 52 corrective actions are past their planned completion dates. There was one corrective action effectiveness review approved this quarter and two are overdue from the required completion date. Nine corrective action effectiveness reviews are on schedule for completion.

If you have any questions or comments pertaining to this report or recommended changes to the report format, please contact me at (301) 903-8008, or your staff may contact Steve Petersen at (301) 903-4022. Recommended changes may also be communicated to your Corrective Action Management (CAM) Team representative. Please review our CAMP Web Site at <http://www.eh.doe.gov/camp/index.html> which outlines the program background, applicable DOE directives and references, CAM Team charter, CATS database and User's Guide, and previous quarterly reports on the status of the CAMP.

Attachment



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Department of Energy
Corrective Action Management Program
Quarterly Report, First Quarter FY 2006

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***Department of Energy
Corrective Action Management Program
Quarterly Report, First Quarter FY 2006***

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Department of Energy
Office of Corporate Performance Assessment

Corrective Action Management Program
First Quarter Report-Fiscal Year 2006

January 2006



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Department of Energy Corrective Action Management Program

First Quarter Report, Fiscal Year 2006

Summary

This report provides the first quarter, fiscal year (FY) 2006 summary status of the Department of Energy Corrective Action Management Program (CAMP). The report includes the status of corrective action plans (CAPs) and their associated corrective actions as of December 31, 2005. The Department-wide CAMP program status is depicted, followed by the status for the Under Secretaries and their assigned Secretarial Officers.

Corrective Action Management Program requirements delineated in DOE Order 414.1C, *Quality Assurance*, directs Department line managers to address, track, report, complete and determine effectiveness of corrective actions to resolve and prevent recurrence of:

- (1) Environment, safety, and health (ES&H) and emergency management findings identified by the Office of Independent Oversight and Performance Assurance
- (2) Type A Accident Investigation Judgments of Need
- (3) Safety management findings of DOE aviation facilities identified by the Office of Aviation Management
- (4) Findings identified during the conduct of special assessment initiatives directed by the Secretary or Deputy Secretary to be tracked and reported in accordance with the provisions of the DOE CAMP.

For the purpose of this report, the term findings will also apply to Type A Accident Investigation Judgments of Need. A finding is defined as a significant deficiency identified during the conduct of an oversight assessment that could adversely affect the DOE mission; ES&H of workers or the public; or national security. These findings are validated and clearly addressed in the formal assessment report provided to line management.

Department line managers must develop and implement a corrective action plan (CAP) that describes all actions to effectively resolve each reported finding. The final CAP is to be approved by the Secretarial Officer (SO) or delegated designee within 60 days from issuance of the formal assessment report. Line managers must also complete all corrective actions within the planned dates as 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 outlines the status of CAPs pending approval by the SO (on schedule and overdue) and status of CAPs approved by the SO with open corrective actions (on schedule and overdue from the planned CAP completion date). **There is one CAP overdue for approval by the SO.** There were no CAPs overdue for approval by the SO reported last quarter. **There is one approved CAP with corrective actions overdue from the planned CAP completion date.** There were two approved CAPs with corrective actions overdue from the planned CAP completion date reported last quarter. Four approved CAPs were completed this quarter and 14 approved CAPs are on schedule for completion in 2006 - 2007.

This report also outlines the number of corrective actions completed this quarter, total completed for open CAPs since the beginning of FY 2004, 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 52 late corrective actions.** There were 14 late corrective actions reported last quarter and quarterly averages of 22 late corrective actions have been reported over the past year. **There were 191 corrective actions completed this quarter.**

All approved CAPs completed before the beginning of FY 2004 have been placed in the CATS database Archives. Since the beginning of FY 2004 a total of 39 appraisal reports have been tracked within CATS identifying 471 significant findings. Line managers have developed, reported, and are implementing 2282 corrective actions to resolve the identified findings.

Within six months after completion of all corrective actions in the CAP, the responsible Field Element Manager (FEM) must complete and approve the corrective action effectiveness review to verify closure and determine the effectiveness of corrective actions in ensuring resolution of each finding and preventing recurrence. **One corrective action effectiveness review was approved this quarter and nine are on schedule for completion. Two corrective action effectiveness reviews are overdue for approval by the FEM.**

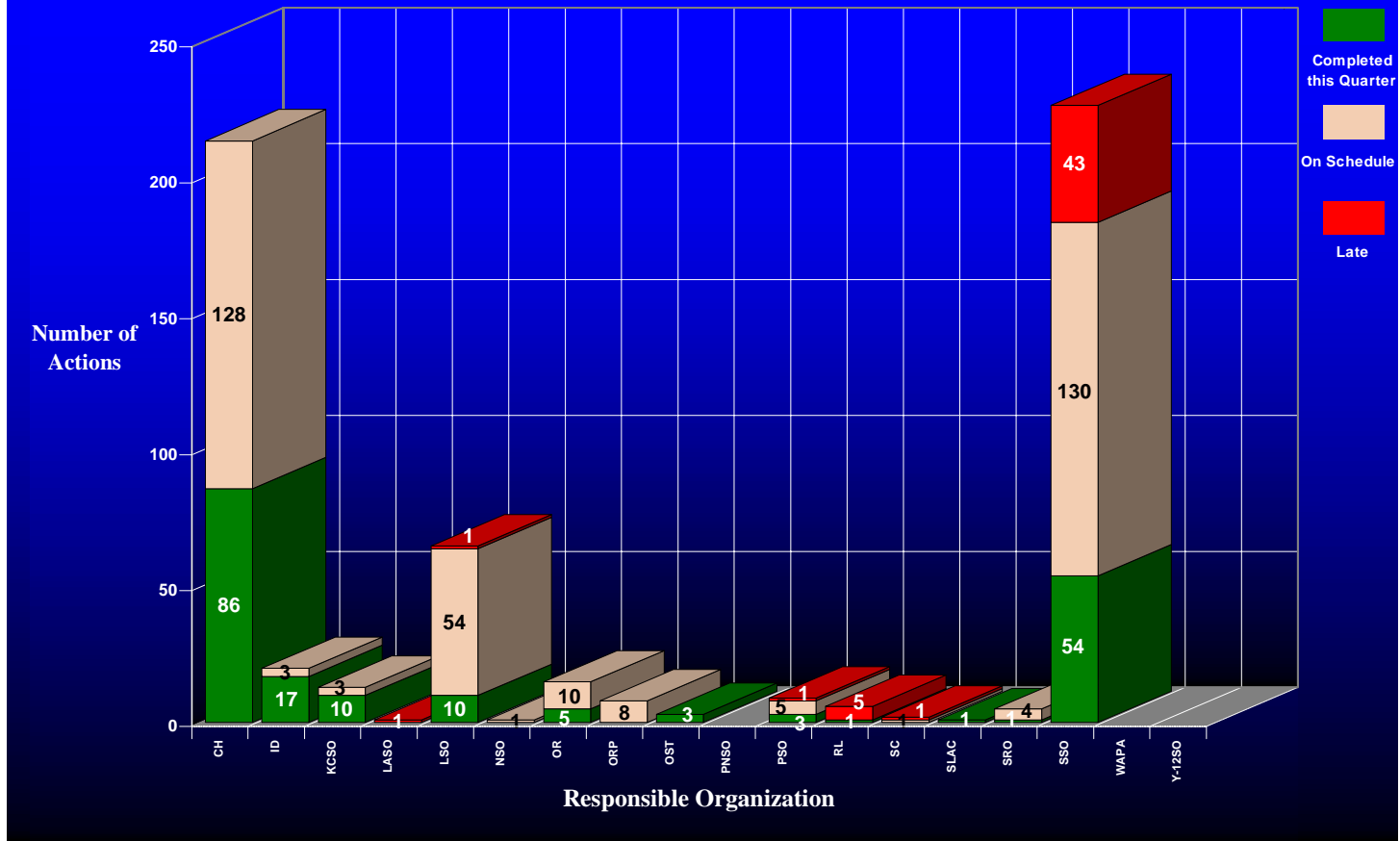
This report is available on the Internet by accessing the CAMP Web Site at <http://www.eh.doe.gov/camp/index.html>.

Department of Energy Summary

New Assessment Reports this Quarter	2
Corrective Action Plans (CAPs) Pending Approval	
CAPs pending approval - Approval > 60 days OVERDUE	0
CAPs pending approval - Approval <= 60 days OVERDUE	1
CAPs pending approval - Approval on schedule	2
Total CAPs pending approval	3
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)	0
Approved CAPs - on schedule	14
Total approved CAPs still open	15
Approved CAPs - Completed this Quarter	4
Approved Corrective Action Effectiveness Reviews	
Corrective Action Effectiveness Reviews - Approval OVERDUE	2
Corrective Action Effectiveness Reviews - on schedule	9 ¹
Corrective Action Effectiveness Reviews approved this Quarter	1

¹ Includes WAPA-09/17/2004-0001-R-AIA, Type A Accident Investigation of the June 7, 2004 Construction Contractor Electrical Accident at Double-Circuit Structure 38/1, Watertown-Granite Falls 230-kV Transmission Line East of Watertown, South Dakota

Status of Corrective Actions by Area/Office Department of Energy



Corrective Action Status	CH	ID	KCSO	LASO	LSO	NSO	OR	ORP	OST	PNSO	PSO	RL	SC ¹	SLAC ³	SRO	SSO	WAPA ²	Y-12SO	TOTALS
Completed 1st Qtr, FY06	86	17	10	0	10	0	5	0	3	0	3	1	0	1	1	54	0	0	191
Total Completed	166	197	92	211	100	31	259	129	31	24	90	41	35	34	130	211	5	70	1856
On Schedule	128	3	3	0	54	1	10	8	0	0	5	0	1	0	4	130	0	0	347
Late	0	0	0	1	1	0	0	0	0	0	1	5	1	0	0	43	0	0	52
Totals	294	200	95	212	155	32	269	137	31	24	96	46	37	34	134	384	5	70	2255

¹ SC includes independent oversight appraisals of Brookhaven and Fermi National Accelerator Laboratories.

² WAPA includes 09/17/2004 Type A Accident Investigation.

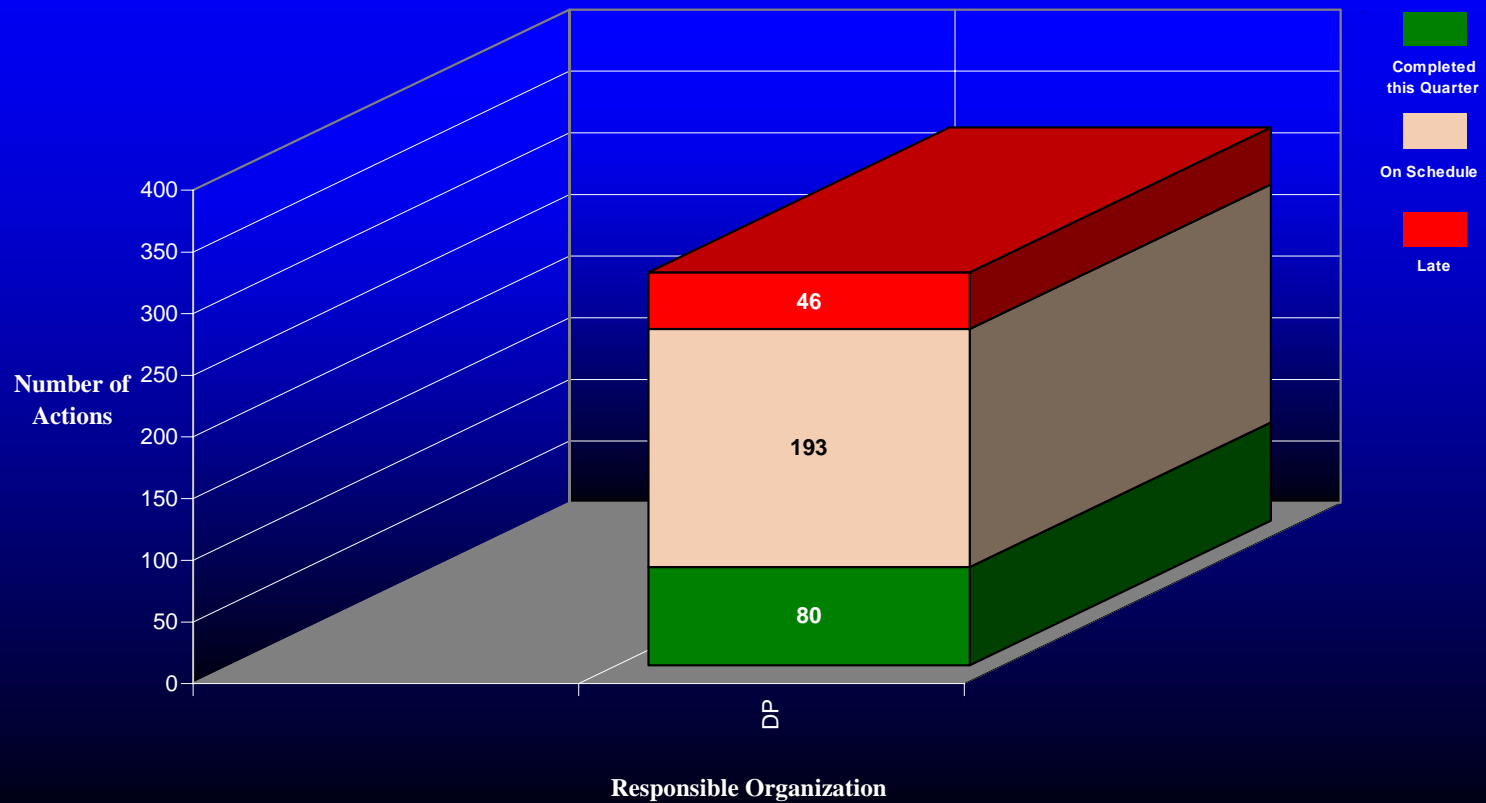
³ SLAC includes 12/13/2004 Type A Accident Investigation.

**Administrator,
National Nuclear Security Administration**

Administrator, National Nuclear Security Administration Summary

New Assessment Reports this Quarter	2
Corrective Action Plans (CAPs) Pending Approval	
CAPs pending approval - Approval > 60 days OVERDUE	0
CAPs pending approval - Approval <= 60 days OVERDUE	1
CAPs pending approval - Approval on schedule	2
Total CAPs pending approval	3
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)	0
Approved CAPs - on schedule	8
Total approved CAPs still open	9
Approved CAPs - Completed this Quarter	1
Approved Corrective Action Effectiveness Reviews	
Corrective Action Effectiveness Reviews - Approval OVERDUE	0
Corrective Action Effectiveness Reviews - on schedule	5
Corrective Action Effectiveness Reviews approved this Quarter	0

Status of Corrective Actions for the Administrator, National Nuclear Security Administration



Corrective Action Status	DP
Completed 1 st Qtr, FY06	80
Total Completed	836
On Schedule	193
Late	46
Totals	1075

Deputy Administrator for Defense Programs

Late Corrective Actions

Los Alamos National Laboratory

Report Number: LANL 05/23/2002-0001-R-ES&H-XM

Report Title: Office of Independent Oversight and Performance Assurance Inspection of Environment, Safety, and Health Management and Emergency Management at the Los Alamos National Laboratory, April 2002

Number of Late Corrective Actions: 1

Lawrence Livermore National Laboratory

Report Number: LLNL 01/06/2005-0001-R-ES&H

Report Title: Final Report of the Office of Independent Oversight and Performance Assurance Inspection of Environment, Safety, and Health Management at the Lawrence Livermore National Laboratory, December 2004

Number of Late Corrective Actions: 1

Pantex Plant

Report Number: PP 03/17/2005-0001-R-ES&H

Report Title: Final Report of the Office of Independent Oversight and Performance Assurance Inspection of Environment, Safety, and Health Programs at the Pantex Plant, February 2005

Number of Late Corrective Actions: 1

Sandia National Laboratory

Report Number: SNLAL-05/27/2005-0001-R-XM

Report Title: Independent Oversight Inspection of Emergency Management at the Sandia Site Office and Sandia National Laboratories - New Mexico

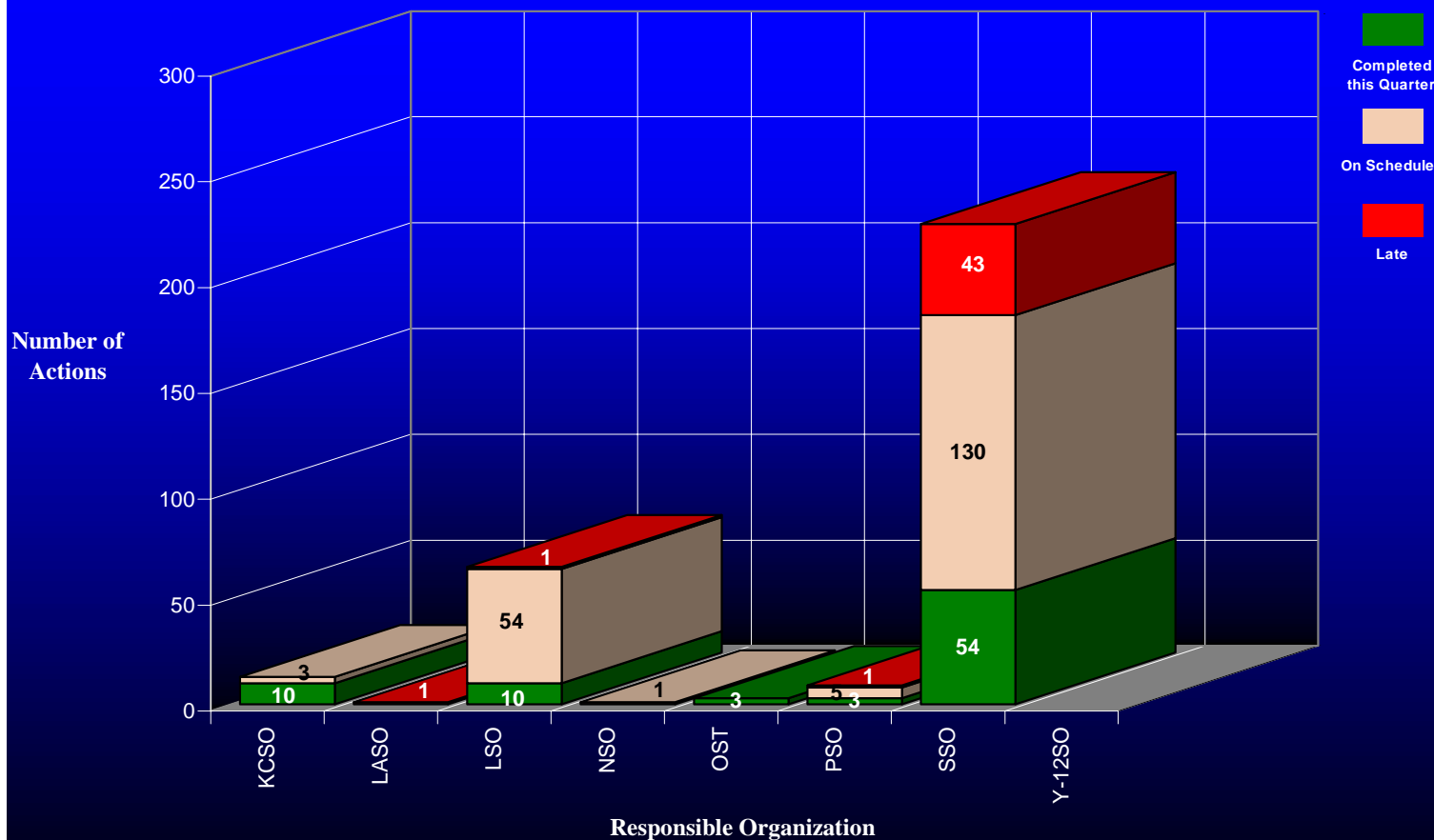
Number of Late Corrective Actions: 26

Report Number: SNLAL-06/28/2005-0002-R-ES&H

Report Title: Final Report of the Office of Independent Oversight and Performance Assurance Inspection of Environment, Safety, and Health Management at the Sandia National Laboratories, June 2005

Number of Late Corrective Actions: 17

Status of Corrective Actions Deputy Administrator for Defense Programs



DP									
Corrective Action Status	KCSO	LASO	LSO	NSO	OST	PSO	SSO	Y-12SO	TOTALS
Completed 1 st Qtr, FY06	10	0	10	0	3	3	54	0	80
Total Completed	92	211	100	31	31	90	211	70	836
On Schedule	3	0	54	1	0	5	130	0	193
Late	0	1	1	0	0	1	43	0	46
Totals	95	212	155	32	31	96	384	70	1075

Status of Corrective Action Plans and Effectiveness Reviews

Deputy Administrator for Defense Programs

1. New Assessment Reports this Quarter

Report Number	Y-12-11/10/2005-0002-R-ES&H
Report Title	Office of Independent Oversight and Performance Assurance Inspection of Environment, Safety and Health Programs at the Y-12 National Security Complex, August 2005
Final Report Date	11/10/2005
Office/Facility Reviewed	Oak Ridge Y-12 Site

Report Number	NTS-12/20/2005-0001-R-ASM
Report Title	Final Report of the Office of Aviation Management Aviation Program Audit of the Nevada Site Office Aerial Measurement System, November 2005
Final Report Date	12/20/2005
Office/Facility Reviewed	Nevada Site Office

2. Corrective Action Plans Pending Approval - OVERDUE

Report Number	PP-09/28/2005-0002-R-XM
Report Title	Independent Oversight Emergency Management Inspection of the Pantex Site Office and the Pantex Plant
Final Report Date	09/28/2005
Office/Facility Reviewed	Pantex Plant
CAP Approval Due Date	11/27/2005

3. Approved Corrective Actions Plans - Completion OVERDUE more than 90 days past the planned completion date.

Report Number	LANL - 05/23/2002-0001-R-ES&H-XM
Report Title	Office of Independent Oversight and Performance Assurance Inspection of Environment, Safety and Health Management and Emergency Management at the Los Alamos National Laboratory, April 2002
CAP Completion Due Date	07/28/2005

4. Approved Corrective Action Plans - Completed this Quarter (all corrective actions in CAP completed this quarter)

Report Number	OST-02/13/2004-0001-R-XM
Report Title	Final Report of the Office of Independent Oversight and Performance Assurance Evaluation of Emergency Management at the Office of Secure Transportation, November 2003
CAP Completion Due Date	12/30/2005
CAP Completion Date	11/15/2005

5. Number of Approved Corrective Action Plans – Completion on schedule Eight

6. Corrective Action Effectiveness Reviews - Approved this Quarter None

7. Corrective Action Effectiveness Reviews – Approval on Schedule Five

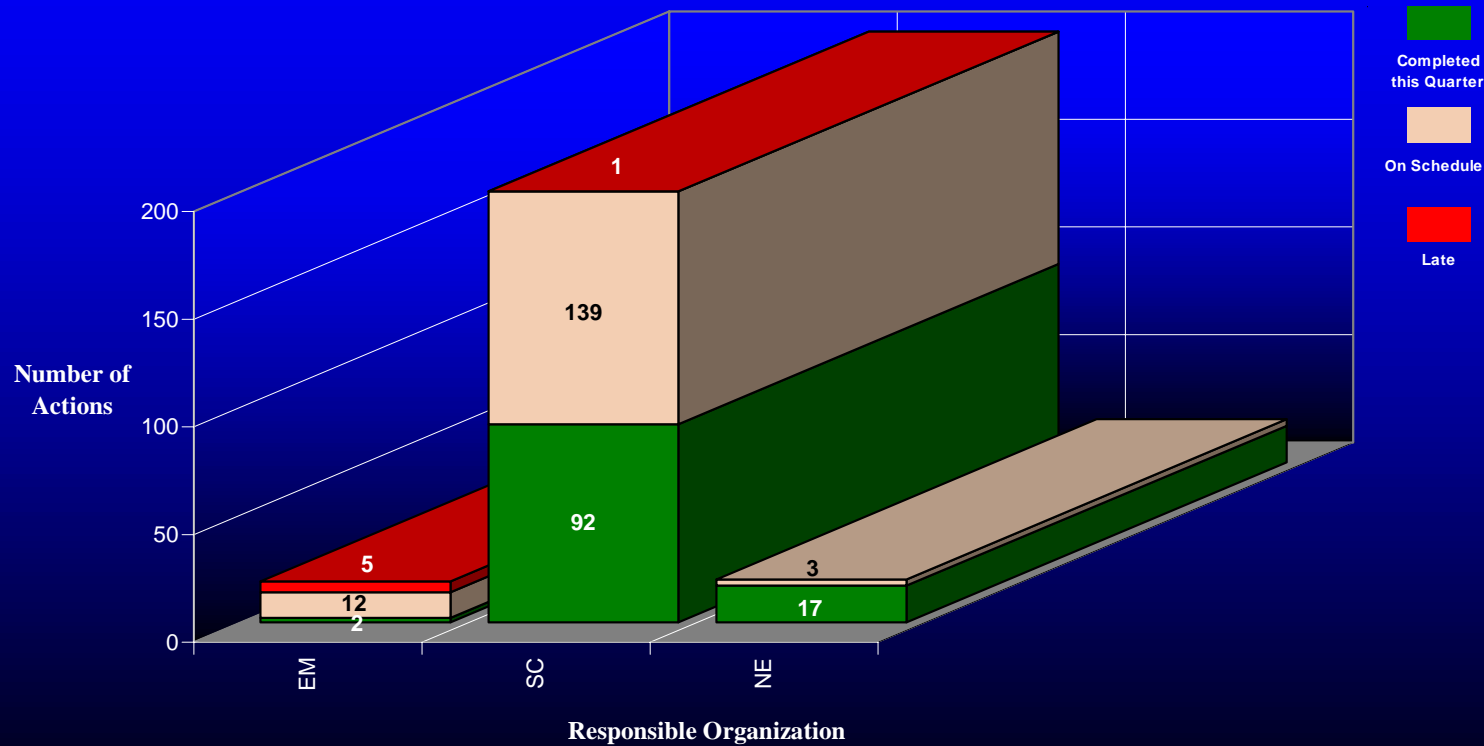
8. Corrective Action Effectiveness Reviews – Approval Overdue None

Under Secretary for Energy, Science and Environment

Under Secretary for Energy, Science and Environment 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)	0
Approved CAPs - with actions open <= 90 days OVERDUE (past planned completion date)	0
Approved CAPs - on schedule	6
Total approved CAPs still open	
	6
Approved CAPs - Completed this Quarter	3
Approved Corrective Action Effectiveness Reviews	
Corrective Action Effectiveness Reviews - Approval OVERDUE	2
Corrective Action Effectiveness Reviews - on schedule	3
Corrective Action Effectiveness Reviews approved this Quarter	1

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



Corrective Action Status	EM	SC	NE	TOTALS
Completed 1 st Qtr, FY06	2	92	17	111
Total Completed	430	388	197	1015
On Schedule	12	139	3	154
Late	5	1	0	6
Totals	447	528	200	1175

Assistant Secretary for Environmental Management

Late Corrective Actions

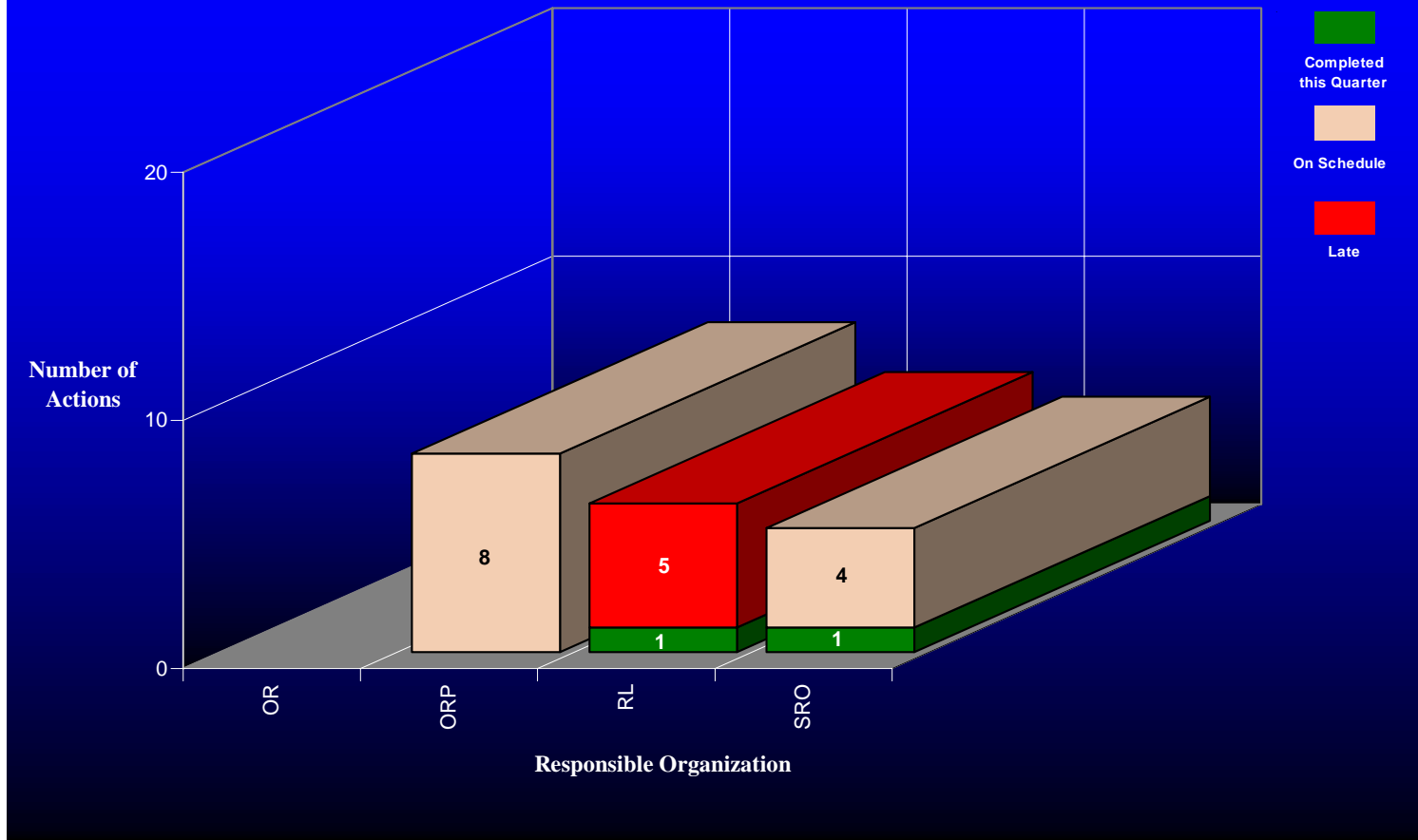
Richland Operations Office

Report Number: HS-08/27/2004-0002-R-AIA

Report Title: Type A Accident Investigation of the July 15, 2004 Hanford 200 East Area Fall Fatality

Number of Late Corrective Actions: 5

Status of Corrective Actions Assistant Secretary for Environmental Management



EM					
Corrective Action Status	OR	ORP	RL	SRO	TOTALS
Completed 1 st Qtr, FY06	0	0	1	1	2
Total Completed	130	129	41	130	430
On Schedule	0	8	0	4	12
Late	0	0	5	0	5
Totals	130	137	46	134	447

Status of Corrective Action Plans and Effectiveness Reviews

Assistant Secretary for Environmental Management

1. **New Assessment Reports this Quarter**
None
2. **Corrective Action Plans Pending Approval - OVERDUE**
None
3. **Approved Corrective Actions Plans - Completion OVERDUE less than 90 days past the planned completion date.**
None
4. **Approved Corrective Action Plans - Completed this Quarter (all corrective actions in CAP completed this quarter)**

Report Number	SRS-09/23/2004-0002-R-AIA
Report Title	Type A Accident Investigation of the Subcontractor Fatality at the Pond B Dam Upgrade Project on July 26, 2004
CAP Completion Due Date	07/01/2005
CAP Completion Date	11/07/2005
5. **Number of Approved Corrective Action Plans – Completion on schedule**
Three
6. **Corrective Action Effectiveness Reviews - Approved this Quarter**
None

7. **Corrective Action Effectiveness Reviews - Approval on Schedule**
One

8. **Corrective Action Effectiveness Reviews - Approval OVERDUE**

Report Number	ETTP- 07/10/2003-0001-R- ES&H - XM
Report Title	Office of Independent Oversight and Performance Assurance Inspection of Environment, Safety, and Health Management and Emergency Management at the Oak Ridge Operations Office and East Tennessee Technology Park
Effectiveness Review Due Date	08/28/2005
Report Number	HS- 06/29/2004-0001-R-XM
Report Title:	Final Report on the Office of Independent Oversight and Performance Assurance Inspection of Emergency Management at the Hanford Site, May 2004
Effectiveness Review Due Date	12/12/2005

Director, Office of Science Late Corrective Actions

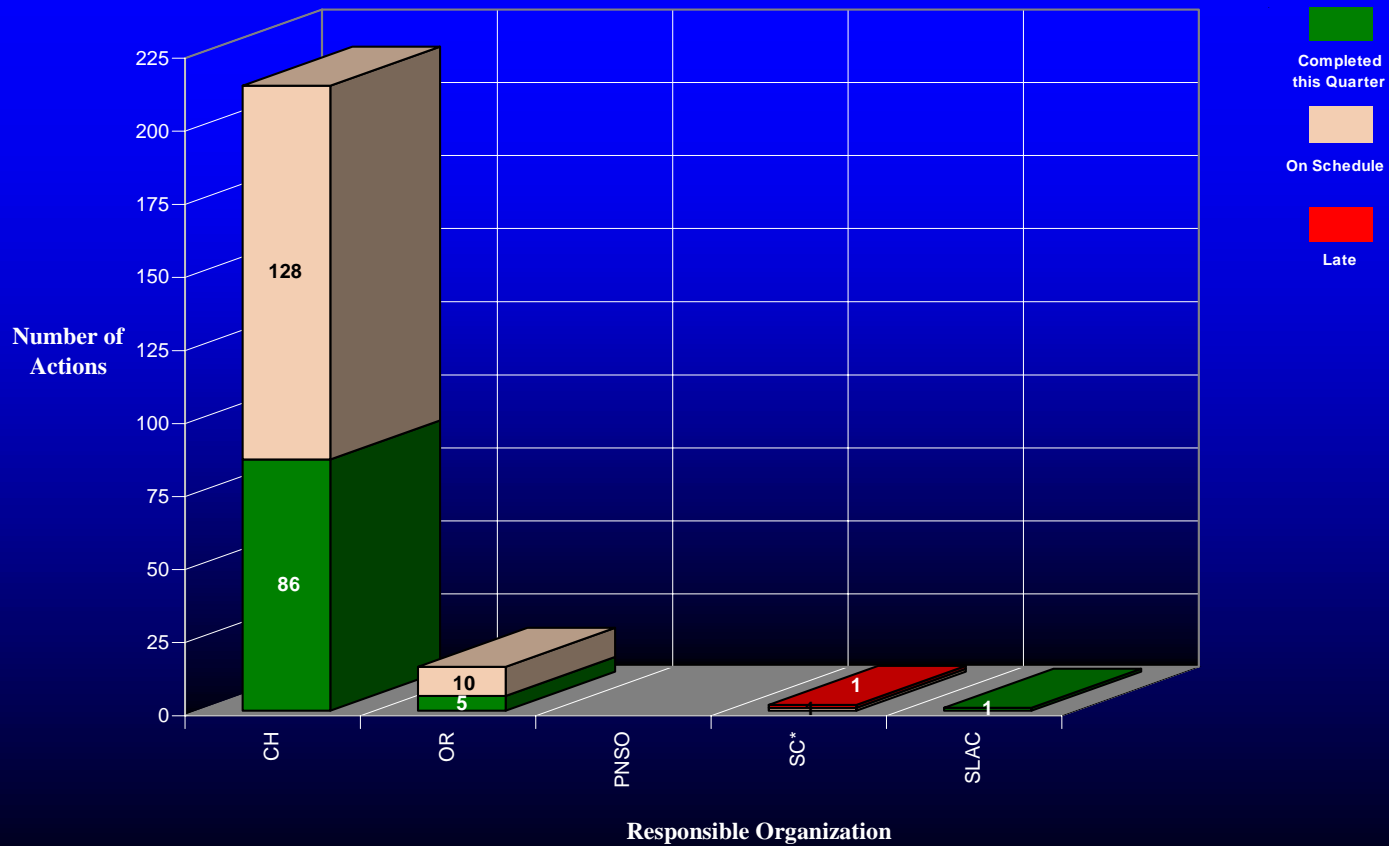
Brookhaven National Laboratory

Report Number: BNL-05/06/2004-0001-R-XM

Report Title: Final Report of the Office of Independent Oversight and Performance Assurance Inspection of Emergency Management at the Brookhaven National Laboratory, March 2004

Number of Late Corrective Actions: 1

Status of Corrective Actions Director, Office of Science



SC						
Corrective Action Status	CH	OR	PNSO	SC*	SLAC	TOTALS
Completed 1 st Qtr, FY06	86	5	0	0	1	92
Total Completed	166	129	24	35	34	388
On Schedule	128	10	0	1	0	139
Late	0	0	0	1	0	1
Totals	294	139	24	37	34	528

* SC includes independent oversight appraisals of Brookhaven and Fermi National Accelerator.

Status of Corrective Action Plans and Effectiveness Reviews

Director, Office of Science

1. **New Assessment Reports this Quarter**
None
2. **Corrective Action Plans Pending Approval - OVERDUE**
None
3. **Approved Corrective Action Plans - Completion OVERDUE past the planned completion date.**
None
4. **Approved Corrective Action Plans – Completed this Quarter (all corrective actions in CAP completed this quarter)**

Report Number	SLAC-12/13/2004-0001-R-AIA
Report Title	Type A Accident Investigation of the Electrical Arc Injury at the Stanford Linear Accelerator Center on October 11, 2004
CAP Completion Due Date	12/30/2005
CAP Completion Date	12/20/2005

5. **Number of Approved Corrective Action Plans – Completion on schedule**
Two
6. **Corrective Action Effectiveness Reviews - Approved this Quarter**

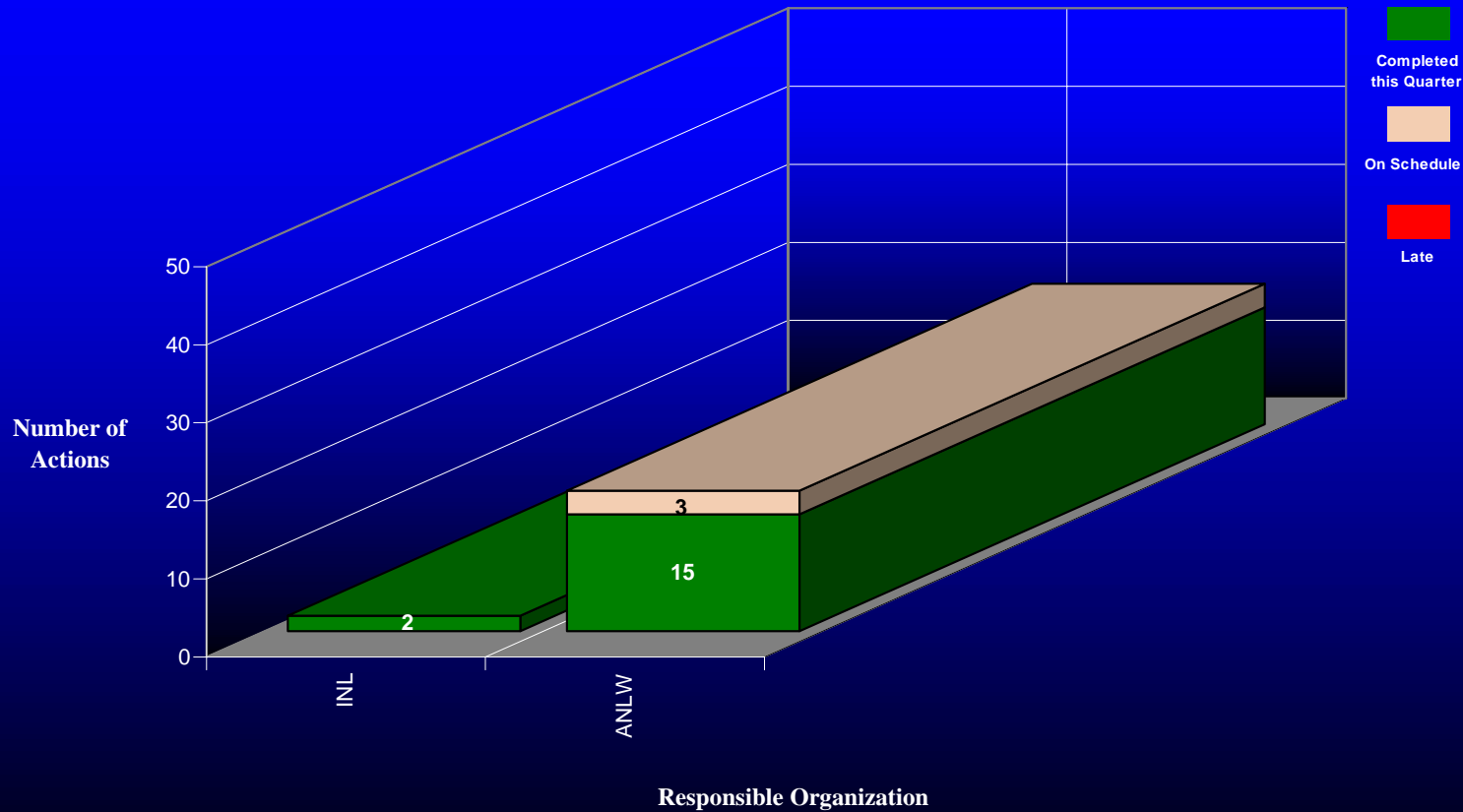
Report Number	PNNL - 02/11/2004-0001-R- ES&H
Report Title	Final Report of the Office of Independent Oversight and Performance Assurance Inspection of Environment, Safety, and Health Management at the Pacific Northwest National Laboratory, December 2003
Effectiveness Review Due Date	06/18/2005
Effectiveness Review Approval Date	12/22/2005

7. **Corrective Action Effectiveness Reviews - Approval on Schedule One**
8. **Corrective Action Effectiveness Reviews – Approval Overdue**
None

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

None

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



Corrective Action Status	INL	ANLW	TOTALS
Completed 1 st Qtr, FY06	2	15	17
Total Completed	146	51	197
On Schedule	0	3	3
Late	0	0	0
Totals	146	54	200

Status of Corrective Action Plans and Effectiveness Reviews

Director, Office of Nuclear Energy, Science and Technology

1. New Assessment Reports this Quarter
None

2. Corrective Action Plans Pending Approval - OVERDUE
None

3. Approved Corrective Actions Plans - Completion OVERDUE
None

4. Approved Corrective Action Plans - Completed this Quarter (all corrective actions in CAP completed this quarter)

Report Number	INEEL-10/23/2003-0001-R-ES&H-XM
Report Title	Office of Independent Oversight and Performance Assurance Inspection of Environment, Safety, and Health Management and Emergency Management of the

Idaho Operations Office and Idaho National Engineering and Environmental Laboratory

CAP Completion Due Date 11/15/2005
CAP Completion Date 11/09/2005

5. Number of Approved Corrective Action Plans – Completion on schedule
One

6. Corrective Action Effectiveness Reviews - Approved this Quarter
None

7. Corrective Action Effectiveness Reviews - Approval on Schedule
One

8. Corrective Action Effectiveness Reviews – Approval Overdue
None

Abbreviations Used in This Report

ANLW	Argonne National Laboratory-West	NTS	Nevada Test Site
CAMP	Corrective Action Management Program	OR	Oak Ridge Operations Office
CAP	Corrective Action Plan	ORP	Office of River Protection
CATS	Corrective Action Tracking System	OST	Office of Secure Transportation
CH	Chicago Operations Office	PNSO	Pacific Northwest Site Office
DP	Deputy Administrator for Defense Programs	PP	Pantex Plant
EM	Assistant Secretary for Environmental Management	PSO	Pantex Site Office
ETTP	East Tennessee Technology Park	RL	Richland Operations Office
ID	Idaho Operations Office	SC	Office of Science
INL	Idaho National Laboratory	SLAC	Stanford Linear Accelerator Center
KCP	Kansas City Plant	SNL	Sandia National Laboratory
KCSO	Kansas City Site Office	SO	Secretarial Officer
LANL	Los Alamos National Lab	SRO	Savannah River Operations Office
LASO	Los Alamos Site Office	SRS	Savannah River Site Office
LLNL	Lawrence Livermore National Laboratory	SSO	Sandia Site Office
LSO	Livermore Site Office	WAPA	Western Area Power Administration
NE	Office of Nuclear Energy, Science and Technology	XM	Emergency Management
NSO	Nevada Site Office	Y-12	Y-12 National Security Complex
		Y-12SO	Y-12 Site Office