



**Department of Energy**  
**Office of Corporate Performance Assessment**

*Corrective Action Management Program*  
*Second Quarter Report-Fiscal Year 2006*

April 2006



# Table of Contents

<b>Department of Energy Summary .....</b>	<b>1</b>
<b>Administrator, National Nuclear Security Administration.....</b>	<b>4</b>
<b>Deputy Administrator for Defense Programs.....</b>	<b>6</b>
<b>Under Secretary for Energy, Science and Environment .....</b>	<b>10</b>
<b>Assistant Secretary for Environmental Management.....</b>	<b>12</b>
<b>Director, Office of Science .....</b>	<b>16</b>
<b>Director, Office of Nuclear Energy, Science and Technology .....</b>	<b>20</b>
<b>Abbreviations Used in this Report.....</b>	<b>Inside Back Cover</b>

# Department of Energy Corrective Action Management Program

## Second Quarter Report, Fiscal Year 2006

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### Summary

This report provides the second quarter, fiscal year 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 March 31, 2006. 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
- (2) Type A Accident Investigation Judgments of Need
- (3) Safety management findings of DOE aviation facilities identified by the Office of Aviation Management, Office of Management, Budget and Evaluation
- (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; environment, safety or health 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 are two CAPs overdue for approval by the SO.** There was one CAP overdue for approval by the SO reported last quarter. **There are no approved CAPs with corrective actions overdue from the planned CAP completion date.** There was one approved CAP with corrective actions overdue from the planned CAP completion date reported last quarter. Two approved CAPs were completed this quarter and 16 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 34 late corrective actions.** There were 52 late corrective actions reported last quarter and quarterly averages of 28 late corrective actions have been reported over the past year. **There were 196 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 42 appraisal reports have been tracked within CATS identifying 512 significant findings. Line managers have developed, reported, and are implementing 2445 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. **Four corrective action effectiveness reviews were approved this quarter and six are on schedule for completion. Three corrective action effectiveness reviews are overdue for approval by the FEM.**

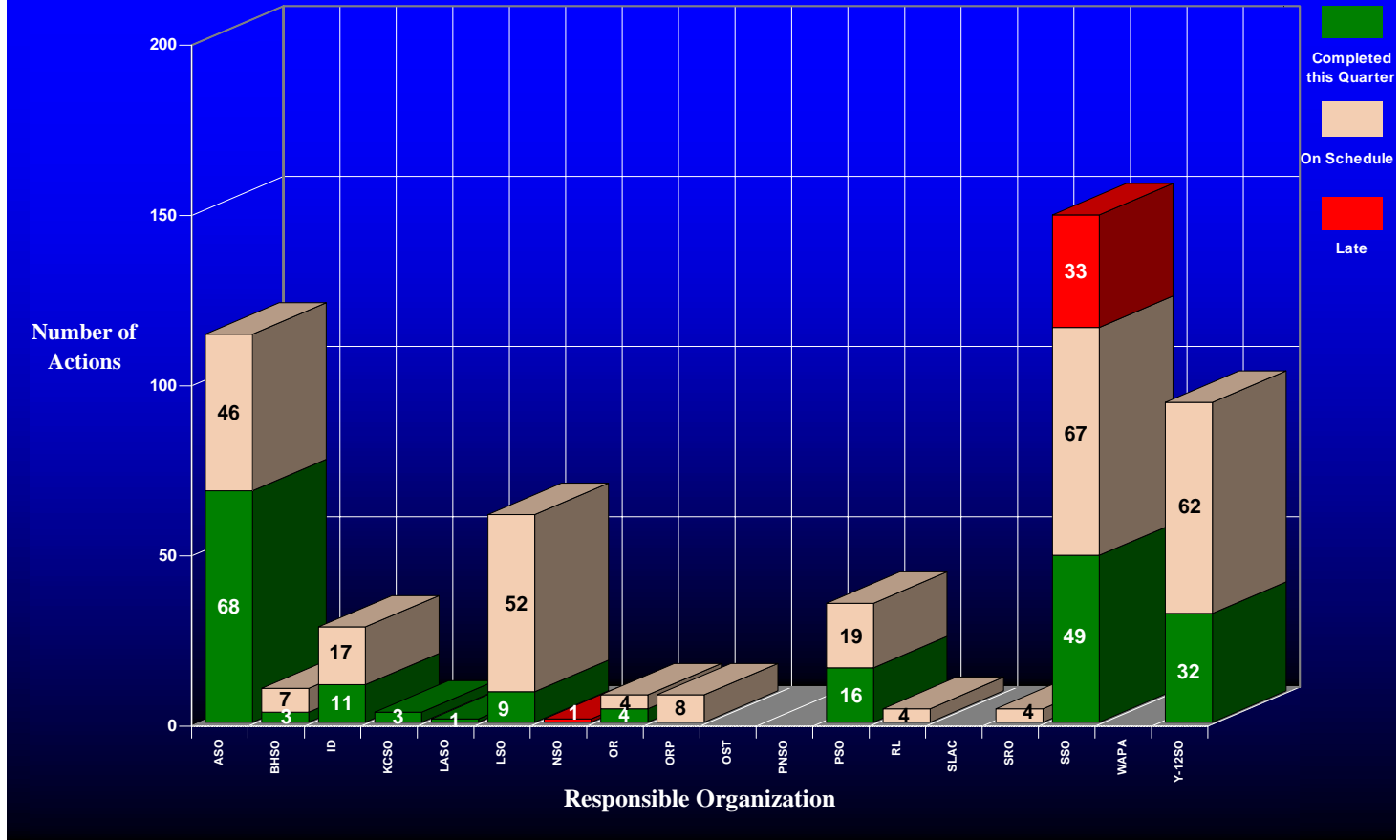
This report is available on the Internet by accessing the CAMP Web Site at <http://www.eh.doe.gov/camp/index.html>.

## Department of Energy Summary

New Assessment Reports this Quarter	2
<b>Corrective Action Plans (CAPs) Pending Approval</b>	
CAPs pending approval - Approval > 60 days OVERDUE	1
CAPs pending approval - Approval <= 60 days OVERDUE	1
CAPs pending approval - Approval on schedule	2
<b>Total CAPs pending approval</b>	<b>4</b>
<b>Approved Corrective Action Plans (CAPs)</b>	
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	16
<b>Total approved CAPs still open</b>	<b>16</b>
Approved CAPs - Completed this Quarter	2
<b>Approved Corrective Action Effectiveness Reviews</b>	
Corrective Action Effectiveness Reviews - Approval OVERDUE	3
Corrective Action Effectiveness Reviews - on schedule	6
Corrective Action Effectiveness Reviews approved this Quarter	4*

\* 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	ASO	BHSO	ID	KCSO	LASO	LSO	NSO	OR	ORP	OST	PNSO	PSO	RL	SLAC <sup>2</sup>	SRO	SSO	WAPA <sup>1</sup>	Y-12SO	TOTALS
<b>Completed 2<sup>nd</sup> Qtr, FY06</b>	68	3	11	3	1	9	0	4	0	0	0	16	0	0	0	49	0	32	196
<b>Total Completed</b>	239	38	234	95	212	112	31	265	129	31	24	109	42	34	130	284	5	107	2121
<b>On Schedule</b>	46	7	17	0	0	52	0	4	8	0	0	19	4	0	4	67	0	62	290
<b>Late</b>	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	33	0	0	34
<b>Totals</b>	285	45	251	95	212	164	32	269	137	31	24	128	46	34	134	384	5	169	2445

<sup>1</sup> WAPA includes 06/07/2004 Type A Accident Investigation.

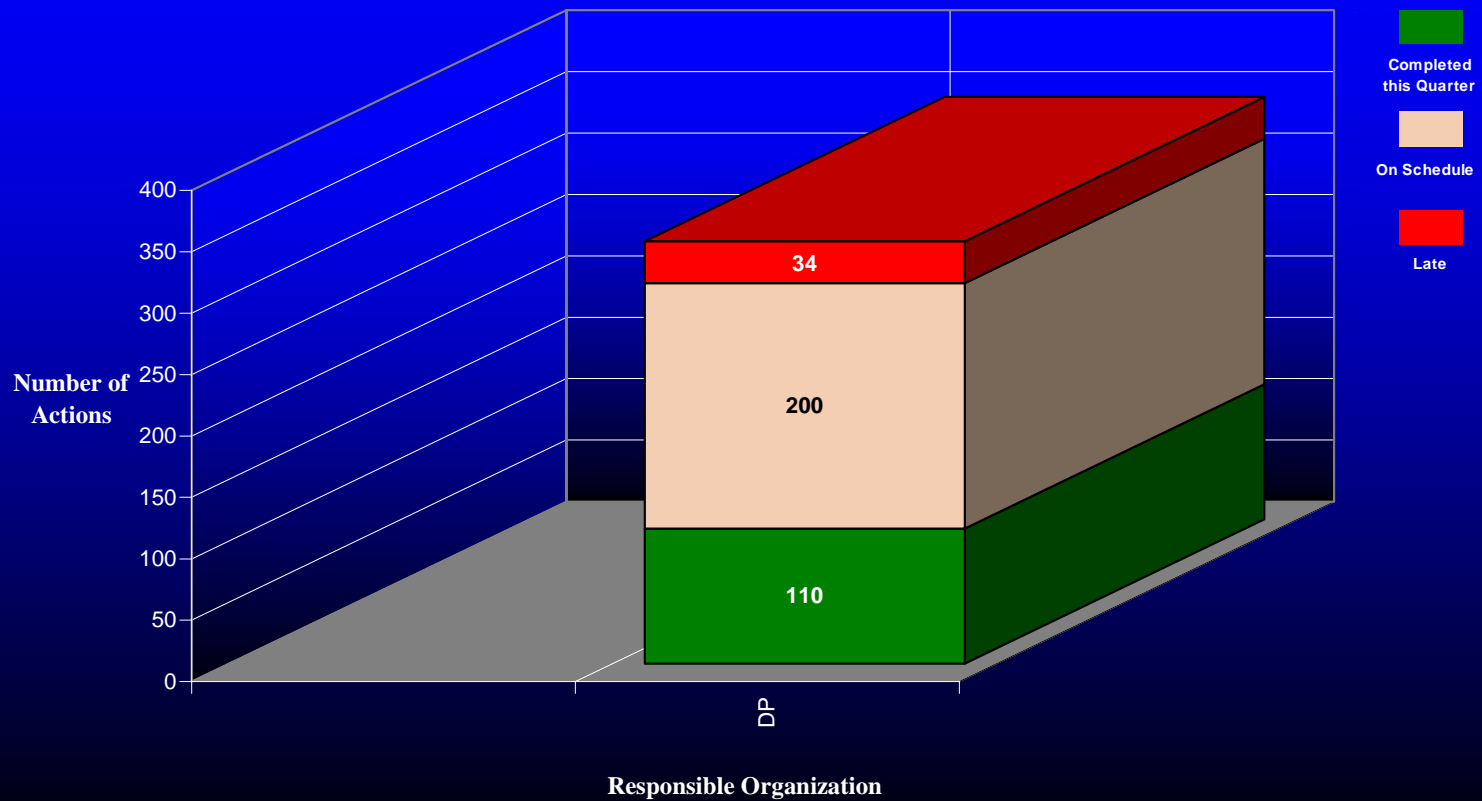
<sup>2</sup> SLAC includes 10/11/2004 Type A Accident Investigation.

**Administrator,  
National Nuclear Security Administration**

## Administrator, National Nuclear Security Administration Summary

New Assessment Reports this Quarter	2
<b>Corrective Action Plans (CAPs) Pending Approval</b>	
CAPs pending approval - Approval > 60 days OVERDUE	1
CAPs pending approval - Approval <= 60 days OVERDUE	1
CAPs pending approval - Approval on schedule	2
<b>Total CAPs pending approval</b>	<b>4</b>
<b>Approved Corrective Action Plans (CAPs)</b>	
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	8
<b>Total approved CAPs still open</b>	<b>8</b>
Approved CAPs - Completed this Quarter	2
<b>Approved Corrective Action Effectiveness Reviews</b>	
Corrective Action Effectiveness Reviews - Approval OVERDUE	1
Corrective Action Effectiveness Reviews - on schedule	3
Corrective Action Effectiveness Reviews approved this Quarter	3

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



Corrective Action Status	DP
Completed 2 <sup>nd</sup> Qtr, FY06	110
Total Completed	981
On Schedule	200
Late	34
Totals	1215



# Deputy Administrator for Defense Programs

## Late Corrective Actions

### **Nevada Site Office**

Report Number: NTS 11/21/2002-0001-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 Nevada Test Site

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

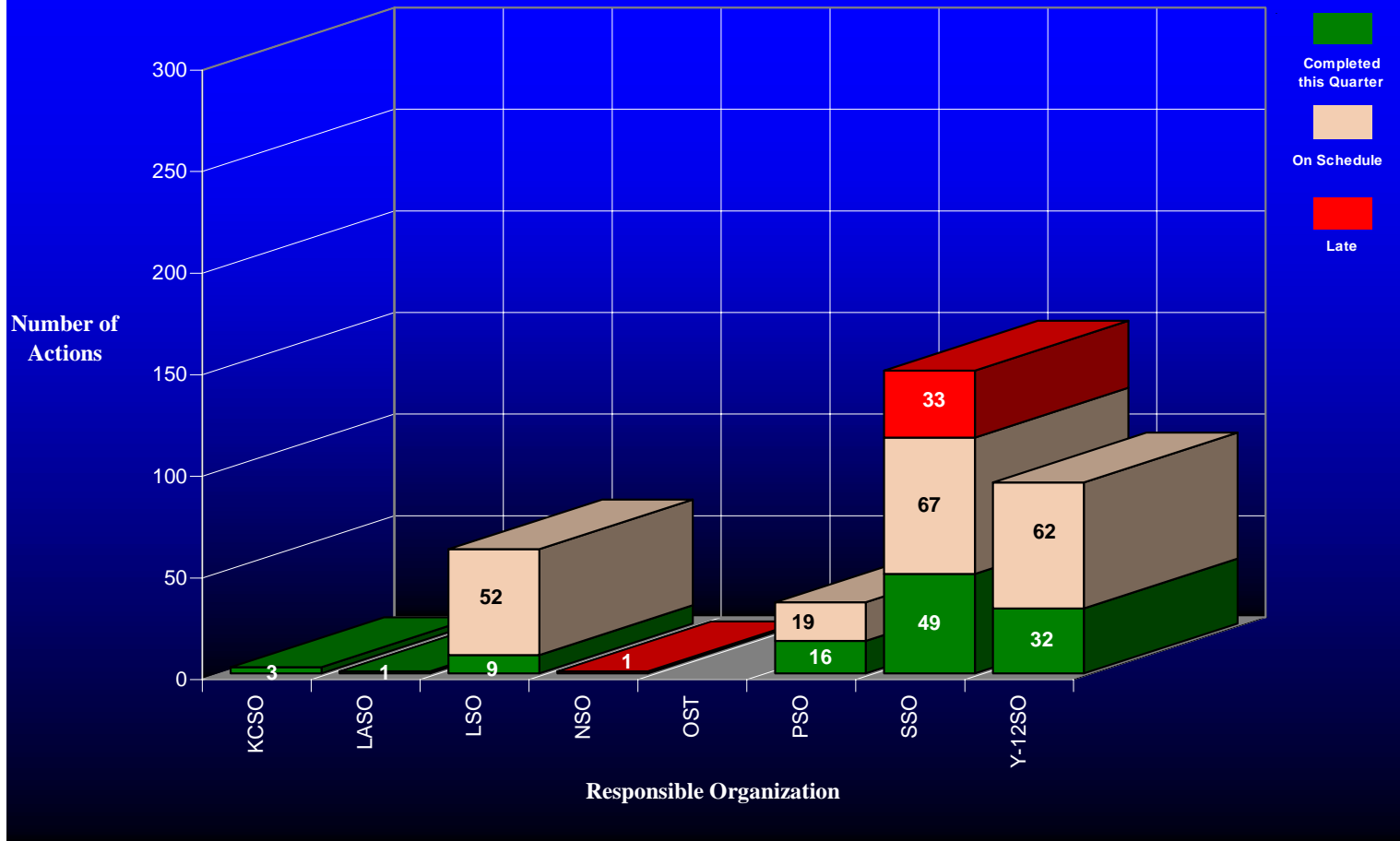
Number of Late Corrective Actions: 14

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: 19

## Status of Corrective Actions Deputy Administrator for Defense Programs



DP									
Corrective Action Status	KCSO	LASO	LSO	NSO	OST	PSO	SSO	Y-12SO	TOTALS
Completed 2 <sup>nd</sup> Qtr, FY06	3	1	9	0	0	16	49	32	110
Total Completed	95	212	112	31	31	109	284	107	981
On Schedule	0	0	52	0	0	19	67	62	200
Late	0	0	0	1	0	0	33	0	34
<b>Totals</b>	95	212	164	32	31	128	384	169	1215

# Status of Corrective Action Plans and Effectiveness Reviews

## Deputy Administrator for Defense Programs

### 1. New Assessment Reports this Quarter

Report Number	LASO-01/03/2006-0001-R-ES&H
Report Title	Independent Oversight Inspection of Los Alamos Site Office Oversight of Environment, Safety and Health Programs at Los Alamos National Laboratory, November 2005
Final Report Date	01/03/2006
Office/Facility Reviewed	Los Alamos Site Office

Report Number	LANL-01/03/2006-0002-R-ES&H
Report Title	Independent Oversight Inspection of Environment, Safety and Health Programs at the Los Alamos National Laboratory, November 2005
Report Date	01/03/2006
Office/Facility Reviewed	Los Alamos National Laboratory

### 2. Corrective Action Plans Pending Approval - OVERDUE

Report Number	OST-08/25/2005-0001-R-ASM
Report Title	Final Report of the Office of Aviation Management Aviation Program Audit of the Office of Secure Transportation, Aviation Operations Branch, June 2005
Final Report Date	08/25/2005
Office/Facility Reviewed	Office of Secure Transportation
<b>CAP Approval Due Date</b>	<b>01/24/2006</b>

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 Test Site
<b>CAP Approval Due Date</b>	<b>02/18/2006</b>

### 3. Approved Corrective Actions Plans - Completion OVERDUE more 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	KCP-07/06/2004-0001-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 Kansas City Plant
Final Report Date	07/06/2004
Office/Facility Reviewed	Kansas City Plant
CAP Completion Date	02/15/2006

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

Final Report Date	05/23/2002
Office/Facility Reviewed	Los Alamos National Laboratory
CAP Completion Date	02/23/2006

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

**6. Corrective Action Effectiveness Reviews - Approved this Quarter**

Report Number	LLNL-08/23/2002-0001-R-ES&H-XM
Report Title	Comprehensive Inspection of Environment, Safety, and Health Management and Emergency Management at the Lawrence Livermore National Laboratory
Final Report Date	08/23/2002
Office/Facility Reviewed	Lawrence Livermore National Laboratory
CAP Completion Date	09/30/2005
Effectiveness Review Approval Date	03/22/2006
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"
Final Report Date	02/13/2004
Office/Facility Reviewed	Office of Secure Transportation
CAP Completion Date	11/15/2005
Effectiveness Review Approval Date	03/29/2006

Report Number	NTS-09/22/2004-0001-R-XM
Report Title	Independent Oversight Safeguards and Security and Emergency Management Inspection of the Nevada Site Office and Nevada Test Site.
Final Report Date	09/22/2004
Office/Facility Reviewed	Nevada Test Site
CAP Completion Date	09/15/2005
Effectiveness Review Approval Date	03/23/2006

**7. Corrective Action Effectiveness Reviews – Approval on Schedule Three**

**8. Corrective Action Effectiveness Reviews – Approval Overdue**

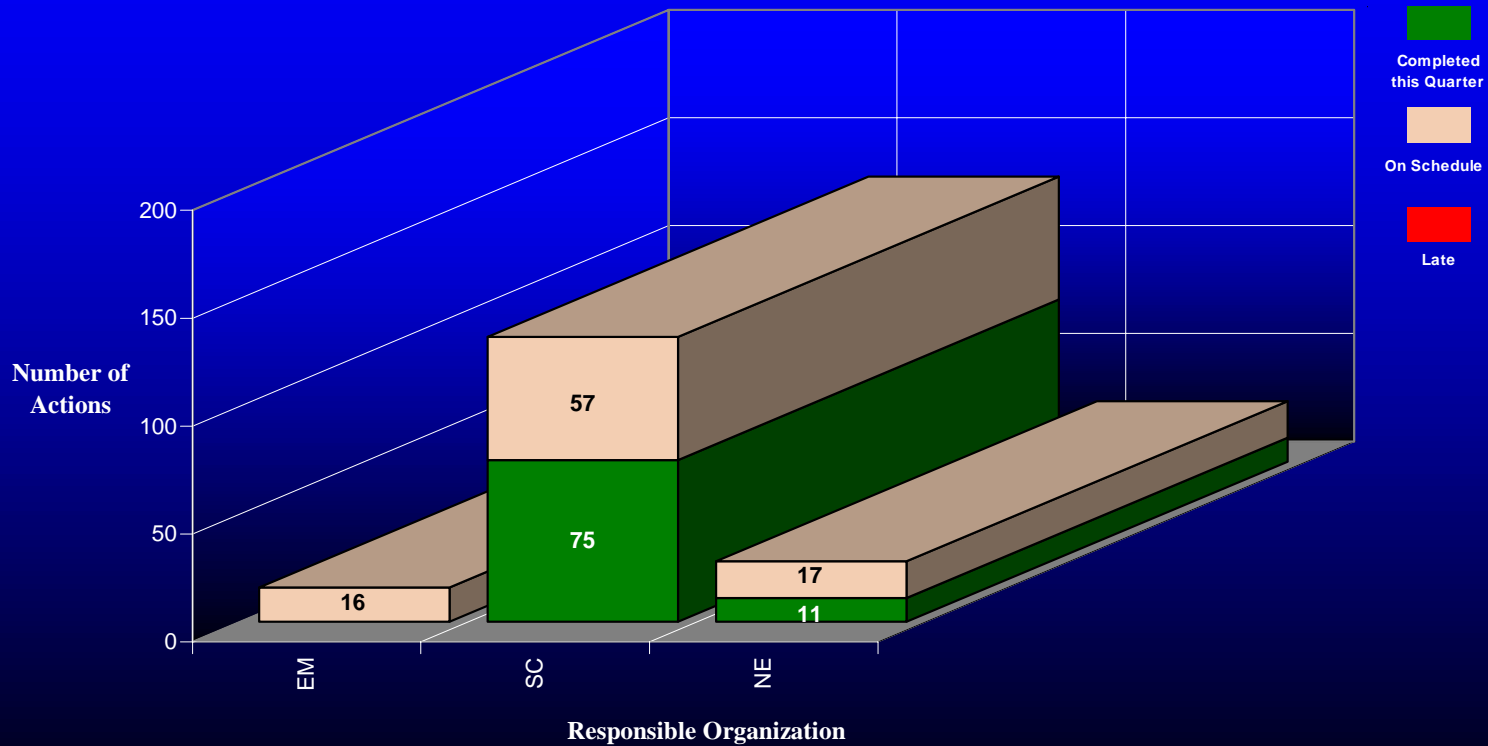
Report Number	SNLAL-04/07/2003-0001-R-ES&H-XM
Report Title	Inspection of Environment, Safety, and Health Management and Emergency Management at the Sandia National Laboratories - New Mexico
Final Report Date	04/07/2003
Office/Facility Reviewed	Sandia National Laboratory - Albuquerque
CAP Completion Date	08/23/2005
<b>Effectiveness Review Due Date</b>	<b>02/19/2006</b>

# **Under Secretary for Energy, Science and Environment**

## Under Secretary for Energy, Science and Environment Summary

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

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

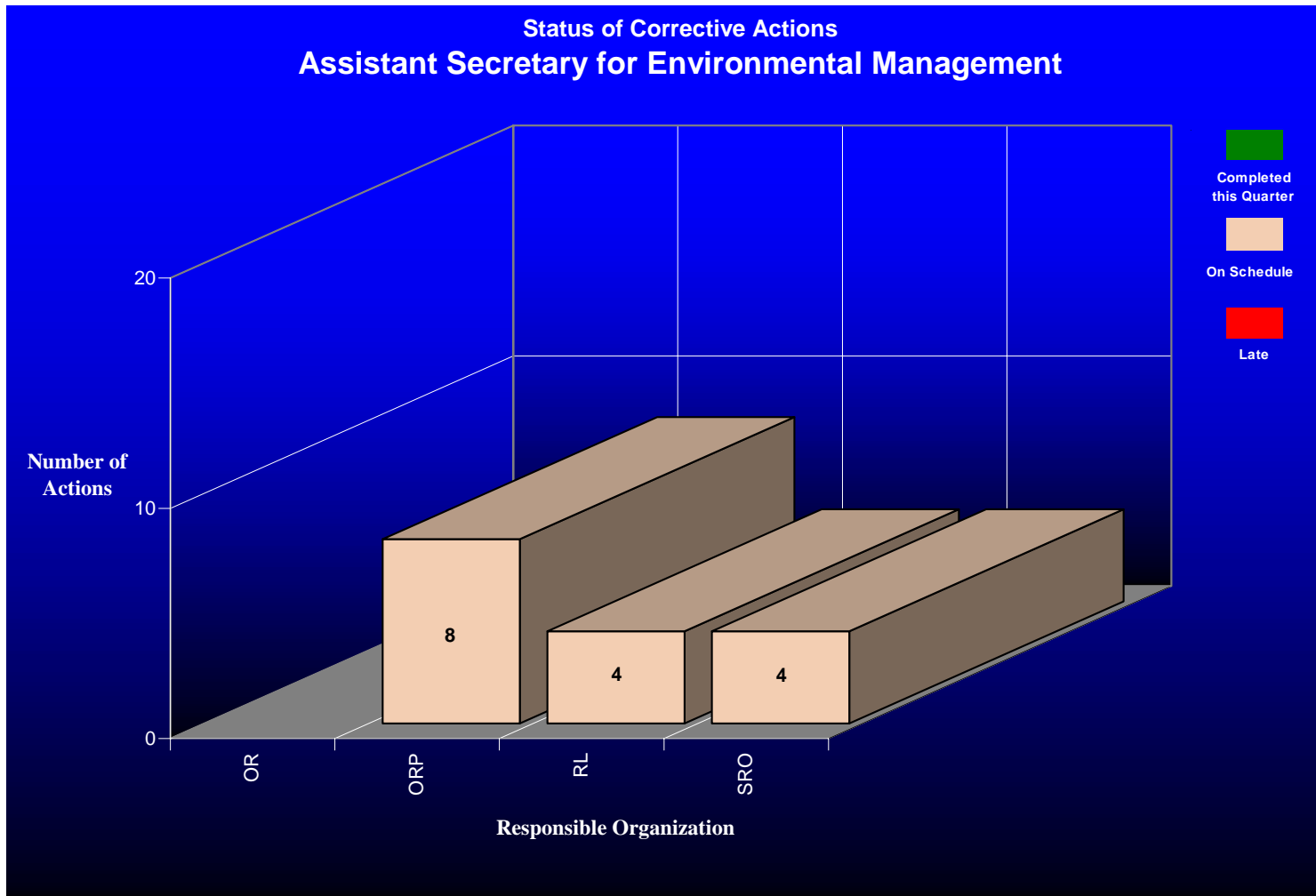


Corrective Action Status	EM	SC	NE	TOTALS
Completed 2 <sup>nd</sup> Qtr, FY06	0	75	11	86
Total Completed	431	470	234	1135
On Schedule	16	57	17	90
Late	0	0	0	0
Totals	447	527	251	1225

## Assistant Secretary for Environmental Management Late Corrective Actions

None





EM					
Corrective Action Status	OR	ORP	RL	SRO	TOTALS
Completed 2 <sup>nd</sup> Qtr, FY06	0	0	0	0	0
Total Completed	130	129	42	130	431
On Schedule	0	8	4	4	16
Late	0	0	0	0	0
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)**  
None
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

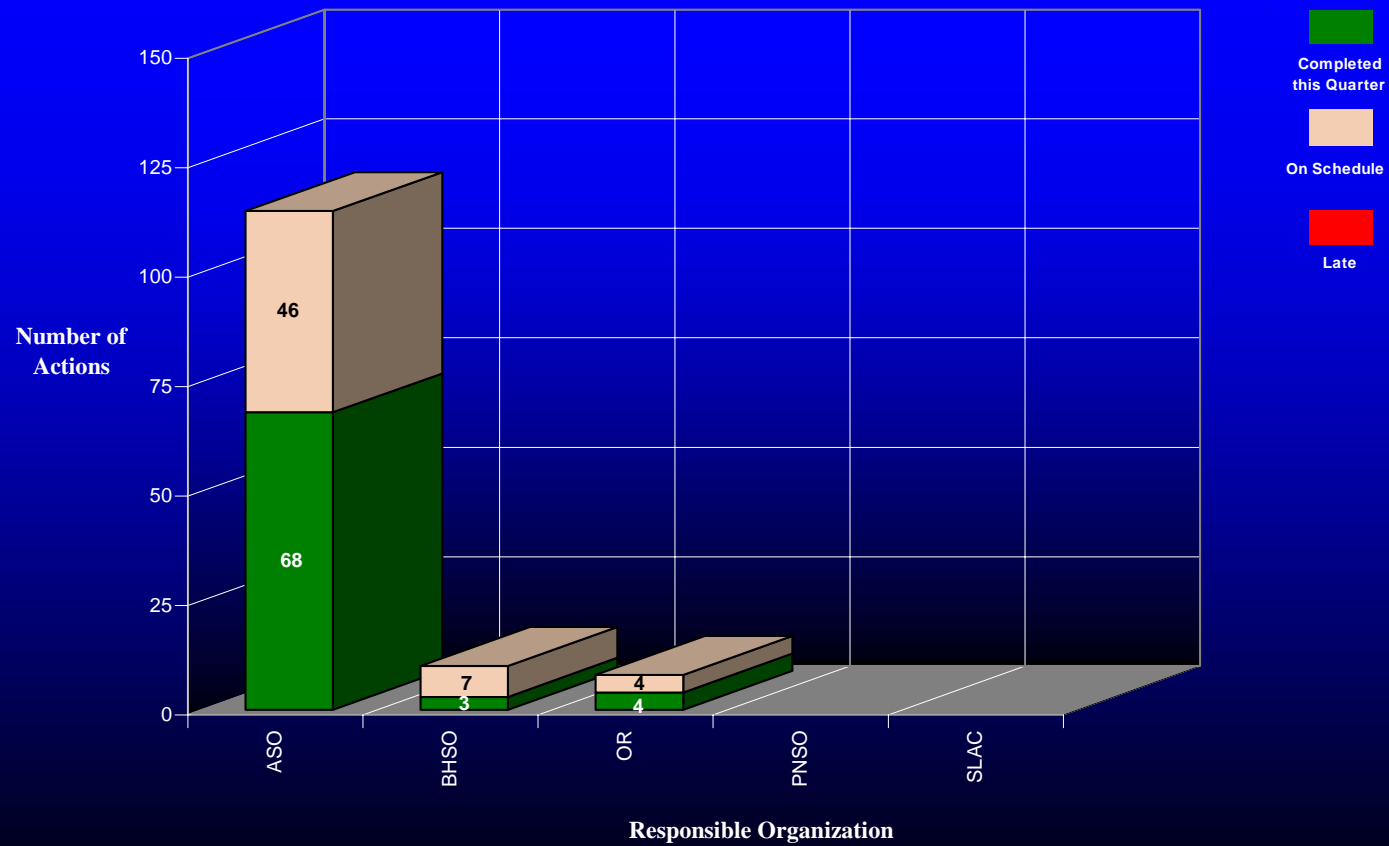
#### 8. **Corrective Action Effectiveness Reviews - Approval OVERDUE**

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
<b>Effectiveness Review Due Date</b>	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
<b>Effectiveness Review Due Date</b>	12/12/2005

## Director, Office of Science Late Corrective Actions

None

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



SC						
Corrective Action Status	ASO	BHSO	OR	PNSO	SLAC	TOTALS
Completed 2 <sup>nd</sup> Qtr, FY06	68	3	4	0	0	75
Total Completed	239	38	135	24	34	470
On Schedule	46	7	4	0	0	57
Late	0	0	0	0	0	0
<b>Totals</b>	<b>285</b>	<b>45</b>	<b>139</b>	<b>24</b>	<b>34</b>	<b>527</b>

# Status of Corrective Action Plans and Effectiveness Reviews

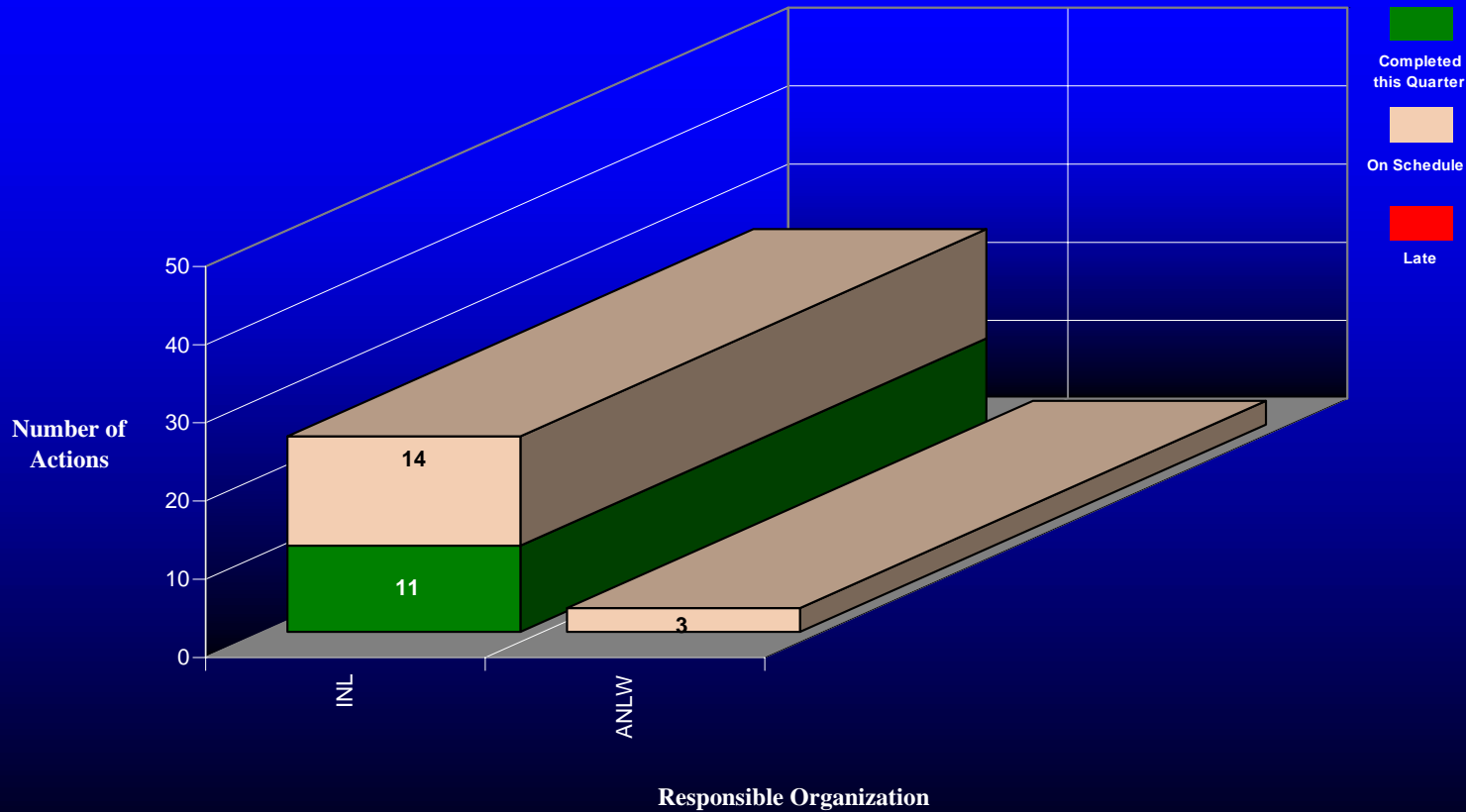
## Director, Office of Science

- |  |  |
|--|--|
| 1. <b>New Assessment Reports this Quarter</b><br>None  | 5. <b>Number of Approved Corrective Action Plans – Completion on schedule</b><br>Three |
| 2. <b>Corrective Action Plans Pending Approval - OVERDUE</b><br>None   | 6. <b>Corrective Action Effectiveness Reviews - Approved this Quarter</b><br>None      |
| 3. <b>Approved Corrective Action Plans - Completion OVERDUE past the planned completion date.</b><br>None                          | 7. <b>Corrective Action Effectiveness Reviews - Approval on Schedule</b><br>One        |
| 4. <b>Approved Corrective Action Plans – Completed this Quarter (all corrective actions in CAP completed this quarter)</b><br>None | 8. <b>Corrective Action Effectiveness Reviews – Approval Overdue</b><br>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 2 <sup>nd</sup> Qtr, FY06	11	0	11
Total Completed	183	51	234
On Schedule	14	3	17
Late	0	0	0
Totals	197	54	251

## **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)**  
None
- 5. Number of Approved Corrective Action Plans – Completion on schedule**  
Two
- 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

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