



Department of Energy

Washington, DC 20585

OCT 25 2005

MEMORANDUM FOR: Distribution

FROM:

for Frank E. Tooper *Robert Linnick*
Acting Deputy Assistant Secretary
Office of Corporate Performance Assessment
Environment, Safety and Health

SUBJECT:

Department of Energy Corrective Action
Management Program Fourth Quarter Report,
Fiscal Year 2005

Attached is the Department of Energy (DOE) report on the status of the Corrective Action Management Program (CAMP) for the fourth quarter of fiscal year (FY) 2005. 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 (OA) environment, safety, and health (ES&H) and emergency management (XM) 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 fourth quarter of FY 2005, four new assessment reports have been added to the CAMP. Three approved CAPs were completed this quarter and 18 approved CAPs are on schedule for completion. No CAPs are overdue for approval and two approved CAPs are overdue from the planned completion date. A total of 147 corrective actions were completed this quarter and 14 corrective actions are past their planned completion dates. There were no corrective action effectiveness reviews approved this quarter and one is overdue from the required completion date. Seven 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, Corrective Action Management Team charter, CATS database and User's Guide, and previous quarterly reports on the status of CAMP.

Attachment



Department of Energy
Corrective Action Management Program
Quarterly Report, Fourth Quarter FY 2005

Distribution List

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*Department of Energy
Corrective Action Management Program
Quarterly Report, Fourth Quarter FY 2005*

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Department of Energy
Office of Corporate Performance Assessment

Corrective Action Management Program
Fourth Quarter Report-Fiscal Year 2005

October 2005



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Department of Energy Corrective Action Management Program

Fourth Quarter Report, Fiscal Year 2005

Summary

This report provides the fourth quarter, fiscal year 2005 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 September 30, 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 are no CAPs overdue for approval by the SO.** There were no CAPs overdue for approval by the SO reported last quarter. **There are two approved CAPs with corrective actions overdue from the planned CAP completion date.** There were no approved CAPs with corrective actions overdue from the planned CAP completion date reported last quarter. Three approved CAPs were completed this quarter and 15 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 2003, 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 14 late corrective actions.** There were 12 late corrective actions reported last quarter and quarterly averages of 16 late corrective actions have been reported over the past year. **There were 147 corrective actions completed this quarter.**

All approved CAPs completed before the beginning of FY 2003 have been placed in the CATS database Archives. Since the beginning of FY 2003 a total of 50 appraisal reports have been tracked within CATS identifying 561 significant findings. Line managers have developed, reported, and are implementing 2724 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. **No corrective action effectiveness reviews were approved this quarter and seven are on schedule for completion. One corrective action effectiveness review is overdue for approval by the FEM.**

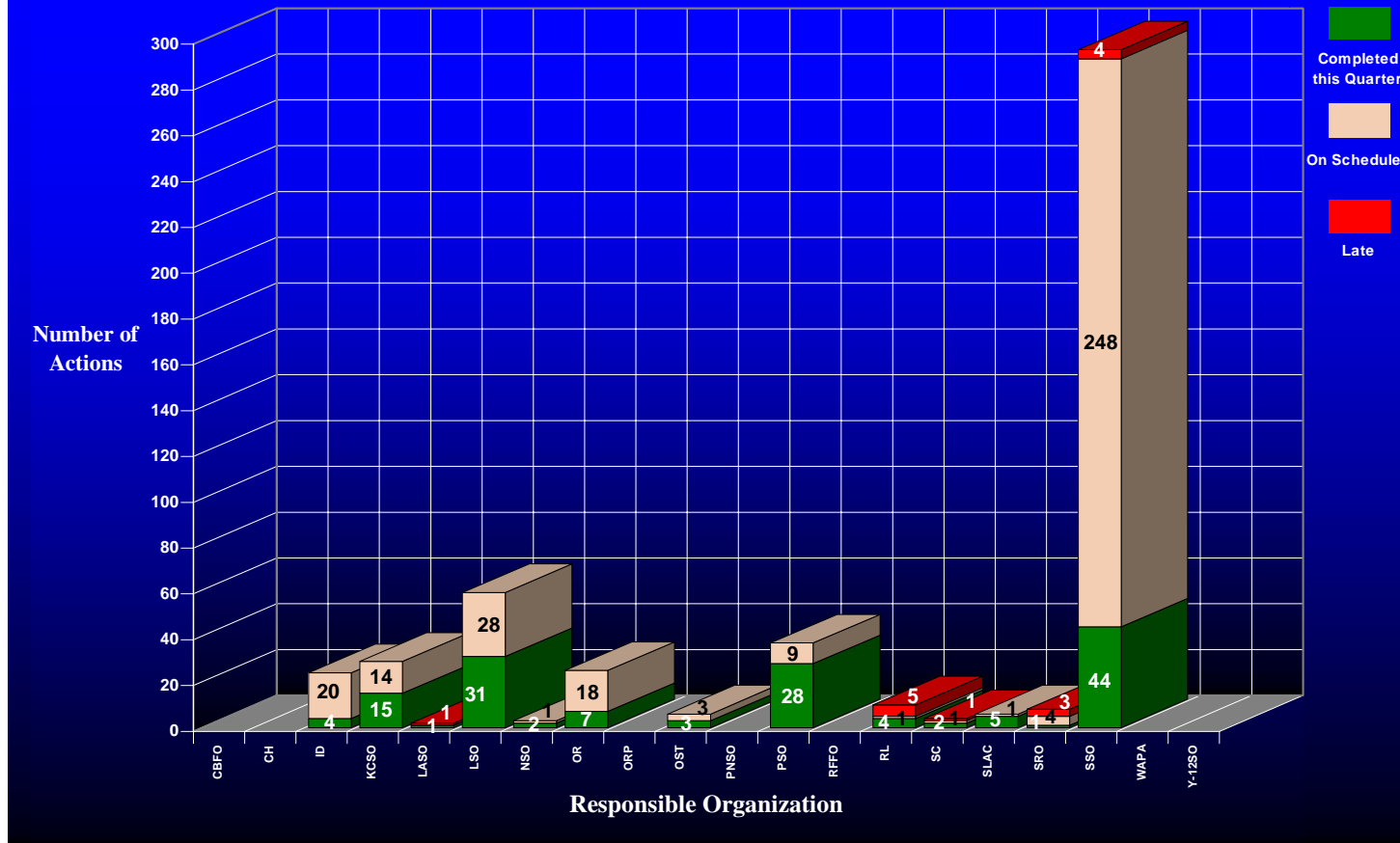
This report is available on the Internet by accessing the CAMP Web Site at <http://www.eh.doe.gov/camp/index.html>.

Department of Energy Summary

New Assessment Reports this Quarter	4
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	3
Total CAPs pending approval	3
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)	2
Approved CAPs - on schedule	15
Total approved CAPs still open	17
Approved CAPs - Completed this Quarter	3
Approved Corrective Action Effectiveness Reviews	
Corrective Action Effectiveness Reviews - Approval OVERDUE	1
Corrective Action Effectiveness Reviews - on schedule	7 ¹
Corrective Action Effectiveness Reviews approved this Quarter	0

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	CBFO	CH	ID	KCSO	LASO	LSO	NSO	OR	ORP	OST	PNSO	PSO	RFFO	RL	SC ¹	SLAC ³	SRO	SSO	WAPA ²	Y-12SO	TOTALS
Completed 4th Qtr, FY05	0	0	4	15	1	31	2	7	0	3	0	28	0	4	2	5	1	44	0	0	147
Total Completed	33	102	180	81	218	89	31	537	162	39	24	96	96	104	203	33	127	132	5	70	2362
On Schedule	0	0	20	14	0	28	1	18	0	3	0	9	0	1	1	1	4	248	0	0	348
Late	0	0	0	0	1	0	0	0	0	0	0	0	0	5	1	0	3	4	0	0	14
Totals	33	102	200	95	219	117	32	555	162	42	24	105	96	110	205	34	134	384	5	70	2724

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

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

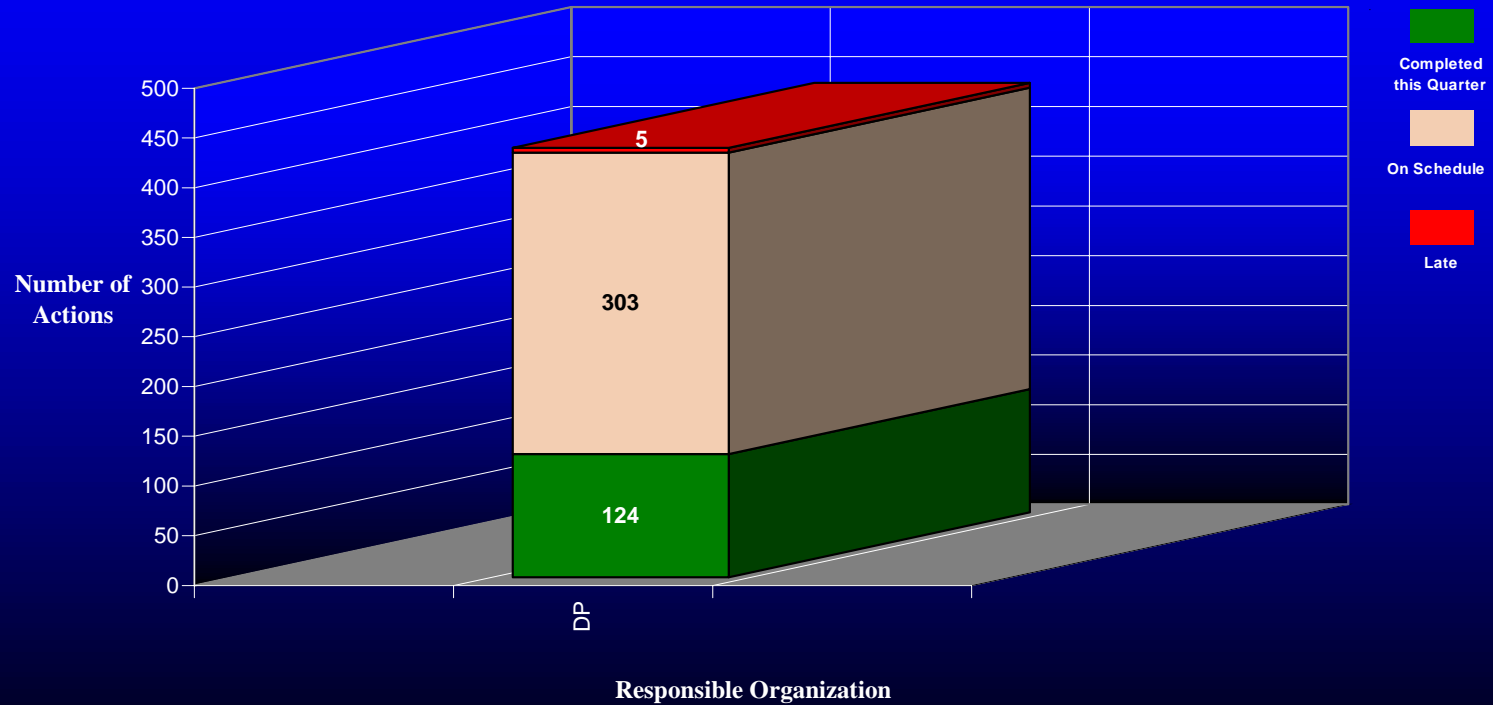
³ SLAC includes 12/13/2004 Type A Accident Investigation.

**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	0
CAPs pending approval - Approval on schedule	2
Total CAPs pending approval	2
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)	1
Approved CAPs - on schedule	7
Total approved CAPs still open	8
Approved CAPs - Completed this Quarter	3
Approved Corrective Action Effectiveness Reviews	
Corrective Action Effectiveness Reviews - Approval OVERDUE	0
Corrective Action Effectiveness Reviews - on schedule	4
Corrective Action Effectiveness Reviews approved this Quarter	0

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



Corrective Action Status	DP
Completed 4 th Qtr, FY05	124
Total Completed	756
On Schedule	303
Late	5
Totals	1064

Deputy Administrator for Defense Programs

Late Corrective Actions

Office of Secure Transportation

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

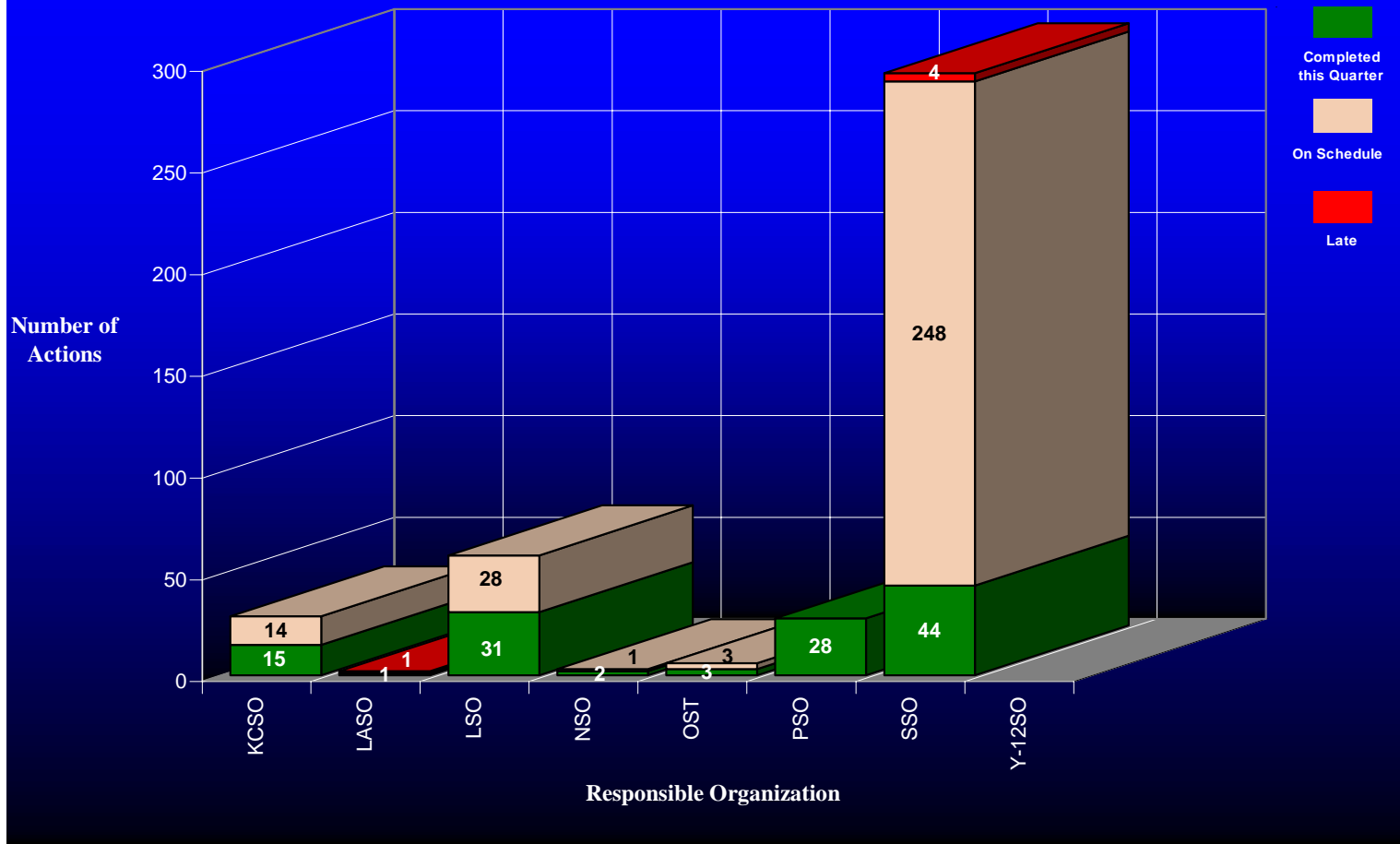
Nevada Test Site

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: 4

Status of Corrective Actions Deputy Administrator for Defense Programs



DP									
Corrective Action Status	KCSO	LASO	LSO	NSO	OST	PSO	SSO	Y-12SO	TOTALS
Completed 4 th Qtr, FY05	15	1	31	2	3	28	44	0	124
Total Completed	81	218	89	31	39	96	132	70	756
On Schedule	14	0	28	1	3	0	248	0	303
Late	0	1	0	0	0	0	4	0	5
Totals	95	219	117	32	42	96	384	70	1064

Status of Corrective Action Plans and Effectiveness Reviews

Deputy Administrator for Defense Programs

1. New Assessment Reports this Quarter

Report Number	LLNL-08/16/2005-0002-R-XM
Report Title	Final Report of the Office of Independent Oversight and Performance Assurance “Inspection of Emergency Management at the Livermore Site Office and Lawrence Livermore National Laboratory, June 2005
Final Report Date	08/16/2005
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

**2. Corrective Action Plans Pending Approval - OVERDUE
None**

3. Approved Corrective Actions Plans - Completion OVERDUE less 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	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
CAP Completion Due Date	08/27/2005
CAP Completion Date	08/23/2005

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

CAP Completion Due Date	09/30/2005
CAP Completion Date	09/15/2005

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

CAP Completion Due Date	09/30/2005
CAP Completion Date	09/30/2005

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

**6. Corrective Action Effectiveness Reviews - Approved this Quarter
None**

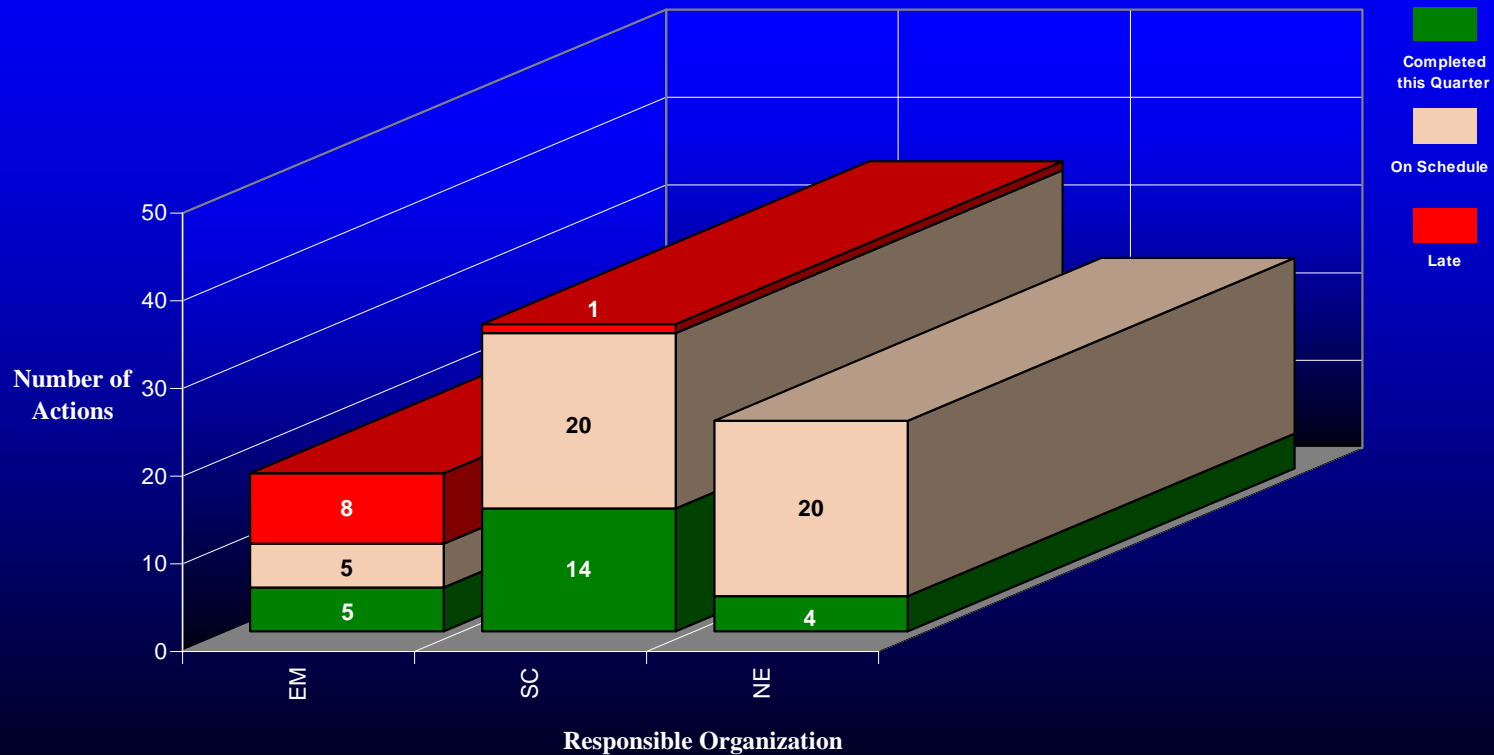
**7. Corrective Action Effectiveness Reviews – Approval on Schedule
Four**

Under Secretary for Energy, Science and Environment

Under Secretary for Energy, Science and Environment 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	0
CAPs pending approval - Approval on schedule	1
Total CAPs pending approval	1
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)	1
Approved CAPs - on schedule	8
Total approved CAPs still open	9
Approved CAPs - Completed this Quarter	0
Approved Corrective Action Effectiveness Reviews	
Corrective Action Effectiveness Reviews - Approval OVERDUE	1
Corrective Action Effectiveness Reviews - on schedule	2
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 4 th Qtr, FY05	5	14	4	23
Total Completed	925	496	180	1601
On Schedule	5	20	20	45
Late	8	1	0	9
Totals	938	517	200	1655

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

Savannah River Operations Office

Report Number: SRS-04/07/2004-0001-R-ES&H-XM

Report Title: Final Report of the “Office of Independent Oversight and Performance Assurance Inspection of Environment, Safety, and Health Management and Emergency Management at the Savannah River Site, February 2004”

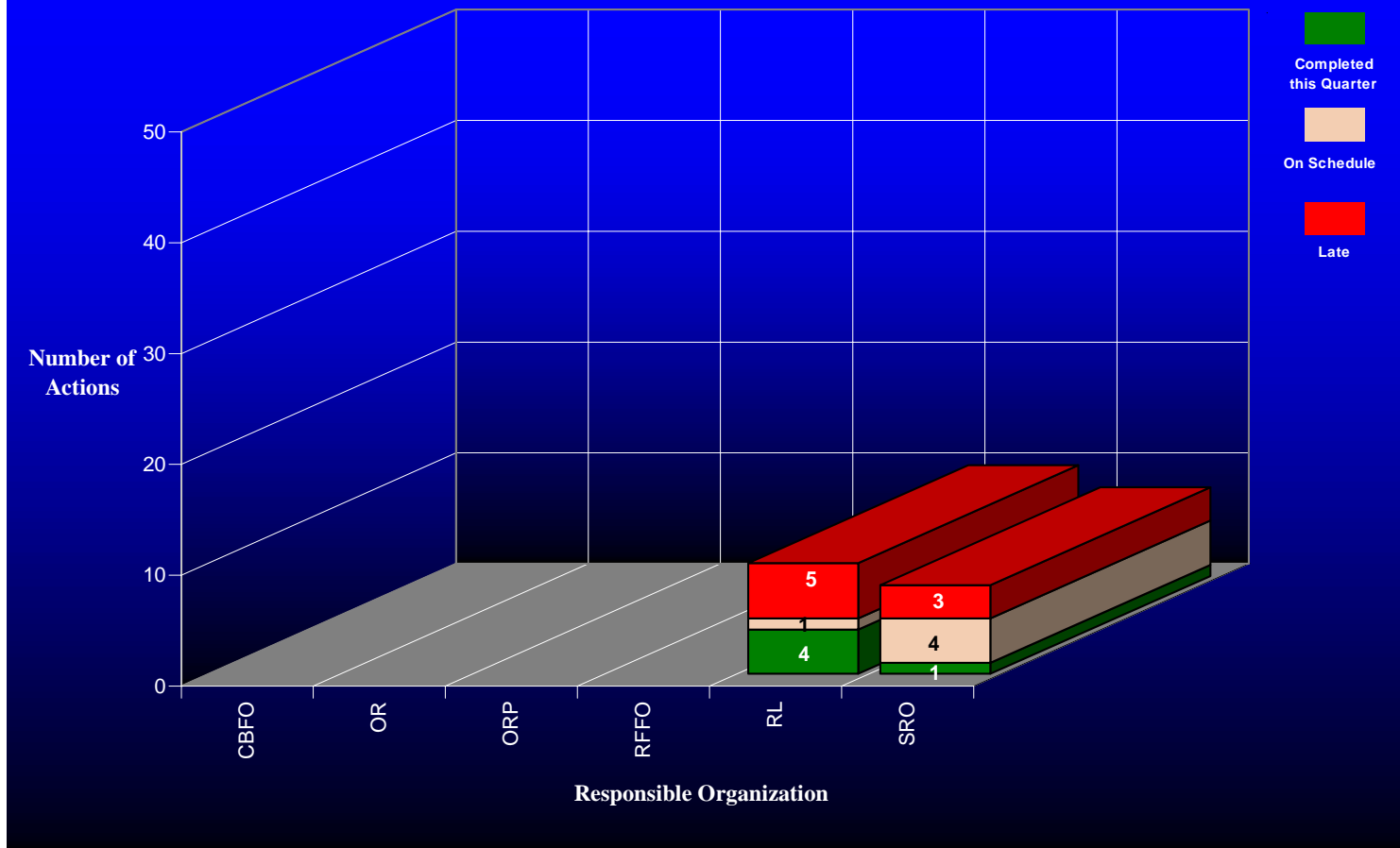
Number of Late Corrective Actions: 2

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

Number of Late Corrective Actions: 1

Status of Corrective Actions Assistant Secretary for Environmental Management



EM							
Corrective Action Status	CBFO	OR	ORP	RFFO	RL	SRO	TOTALS
Completed 4 th Qtr, FY05	0	0	0	0	4	1	5
Total Completed	33	403	162	96	104	127	925
On Schedule	0	0	0	0	1	4	5
Late	0	0	0	0	5	3	8
Totals	33	403	162	96	110	134	938

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.**

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
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**
Two
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

Director, Office of Science Late Corrective Actions

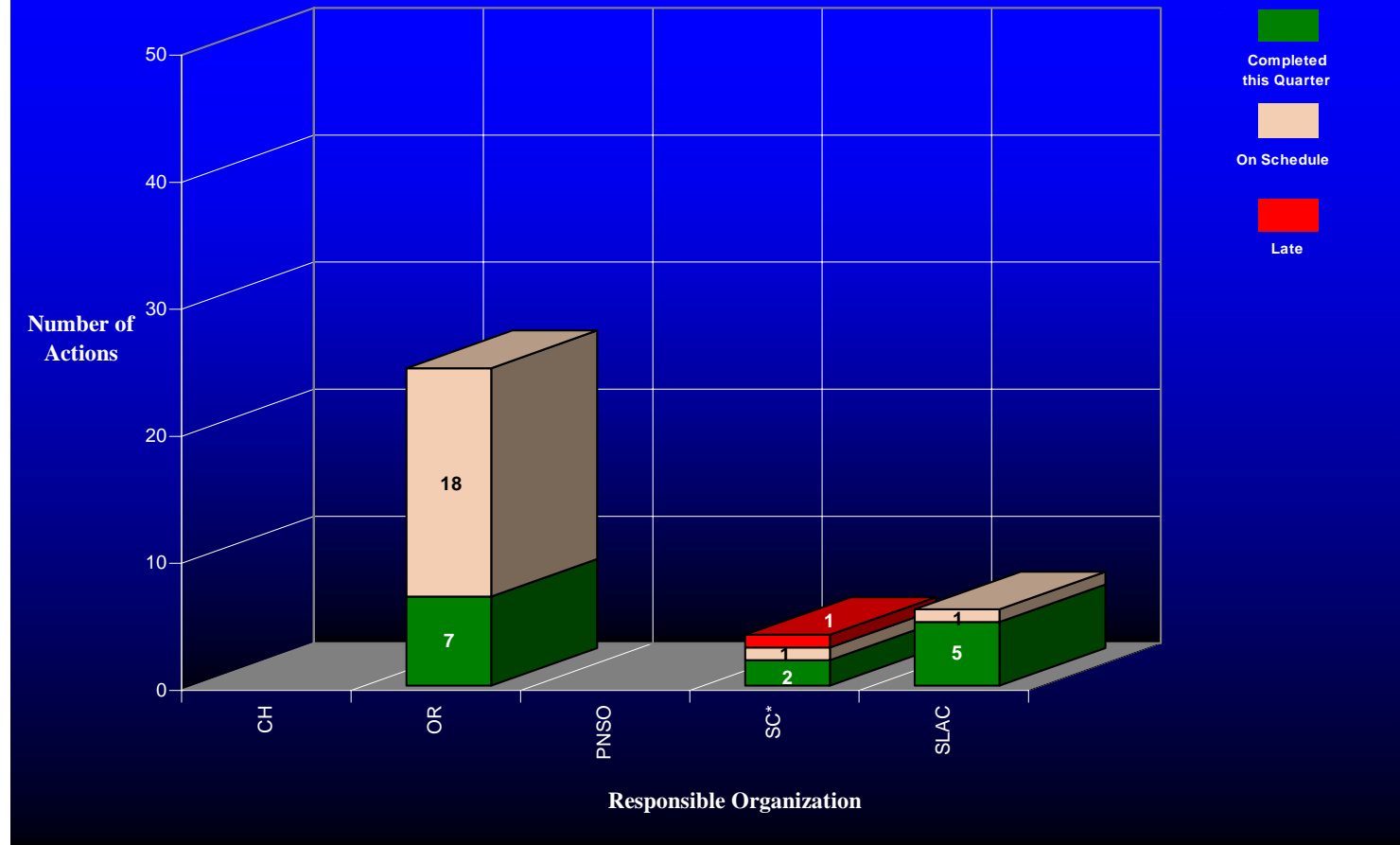
Oak Ridge Operations Office

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 4 th Qtr, FY05	0	7	0	2	5	14
Total Completed	102	134	24	203	33	496
On Schedule	0	18	0	1	1	20
Late	0	0	0	1	0	1
Totals	102	152	24	205	34	517

* 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

Report Number	ANLE-07/07/2005-0001-R-ES&H
Report Title	Final Report of the Office of Independent Oversight and Performance Assurance “Inspection of the Environment, Safety, and Health Management at the Argonne National Laboratory, May 2005”
Final Report Date	07/07/2005
Office/Facility Reviewed	Argonne National Laboratory

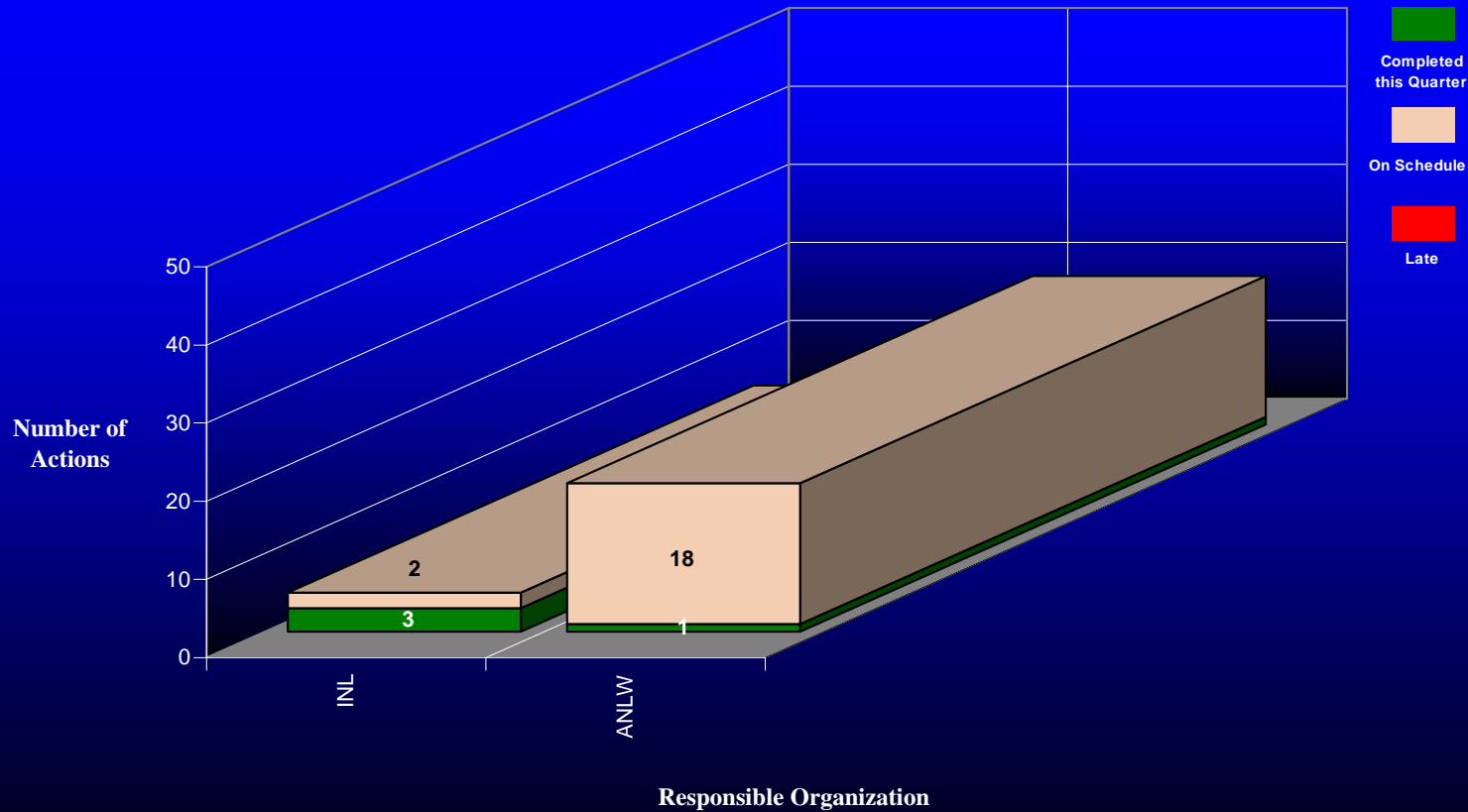
**2. Corrective Action Plans Pending Approval - OVERDUE
None**

- 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)
None**
- 5. Number of Approved Corrective Action Plans – Completion on schedule
Four**
- 6. Corrective Action Effectiveness Reviews - Approved this Quarter
None**
- 7. Corrective Action Effectiveness Reviews - Approval on Schedule
One**

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 4 th Qtr, FY05	3	1	4
Total Completed	144	36	180
On Schedule	2	18	20
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

Report Number	INEEL-08/19/2005-0001-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 Idaho National Laboratory Advanced Test Reactor, August 2005
Final Report Date	08/19/2005
Office/Facility Reviewed	Idaho National Engineering & Environmental Laboratory

**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**

Abbreviations Used in This Report

ANLW	Argonne National Laboratory-West	NSO	Nevada Site Office
CAMP	Corrective Action Management Program	NTS	Nevada Test Site
CAP	Corrective Action Plan	OR	Oak Ridge Operations Office
CATS	Corrective Action Tracking System	ORP	Office of River Protection
CBFO	Carlsbad Field Office	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	RFFO	Rocky Flats Field Office
ID	Idaho Operations Office	RL	Richland Operations Office
INL	Idaho National Laboratory	SC	Office of Science
KCP	Kansas City Plant	SLAC	Stanford Linear Accelerator Center
KCSO	Kansas City Site Office	SNL	Sandia National Laboratory
LANL	Los Alamos National Lab	SO	Secretarial Officer
LASO	Los Alamos Site Office	SRO	Savannah River Operations Office
LLNL	Lawrence Livermore National Laboratory	SRS	Savannah River Site Office
LSO	Livermore Site Office	SSO	Sandia Site Office
NE	Office of Nuclear Energy, Science and Technology	WAPA	Western Area Power Administration
		XM	Emergency Management
		Y-12	Y-12 National Security Complex
		Y-12SO	Y-12 Site Office