

# CORRECTIVE ACTION MANAGEMENT PROGRAM

## *Fourth Quarter Report for Fiscal Year 2007*

October 2007

Department of Energy  
Office of Corporate Safety Analysis

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# DOE Corrective Action Management Program

## *Fourth Quarter Report for Fiscal Year 2007*

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### Summary

This report provides the fourth quarter, fiscal year 2007 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, 2007. The report depicts the Department's CAMP program status, followed by the status for the Under Secretaries and the assigned Secretarial Officer (SO).

Progress has been noted with respect to Office of Environmental Management (EM) facilities in that no corrective actions were overdue during the past four quarters, an improvement from 4QFY2006 when seven late corrective actions were reported. EM also completed 25 corrective actions during the quarter. Additionally, there were no overdue effectiveness reviews during this quarter.

The National Nuclear Security Administration (NNSA) had 35 late corrective actions and two overdue effectiveness reviews for the quarter, representing an increase in late actions from the previous quarter when 8 late corrective actions and no overdue effectiveness reviews were reported. This represents a reversal in the positive trends seen over the past three quarters. NNSA did complete 49 corrective actions and one effectiveness review during this quarter.

The Office of Science and the Office of Nuclear Energy had no late corrective actions or overdue effectiveness reviews during this quarter.

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

- (1) Environment, safety, and health, and emergency management findings identified by the Office of Independent Oversight;
- (2) Judgments of Need identified during Type A Accident Investigations;

- (3) Safety management findings of DOE aviation facilities identified by the Office of Aviation Management, Office of 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.

A *finding* is defined as a significant deficiency identified during the conduct of an oversight assessment that may adversely affect the DOE mission; environment, safety, or health of workers or the public; or national security. For the purpose of this report, the term *findings* will also apply to accident investigation judgments of need. These findings are validated and clearly addressed in a formal assessment report provided to line management.

Department line managers must develop and implement a CAP that describes all actions required to effectively resolve each reported finding. The final CAP is approved by the 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 database. The planned CAP completion date is the date that all corrective actions listed in the CAP are to be completed.

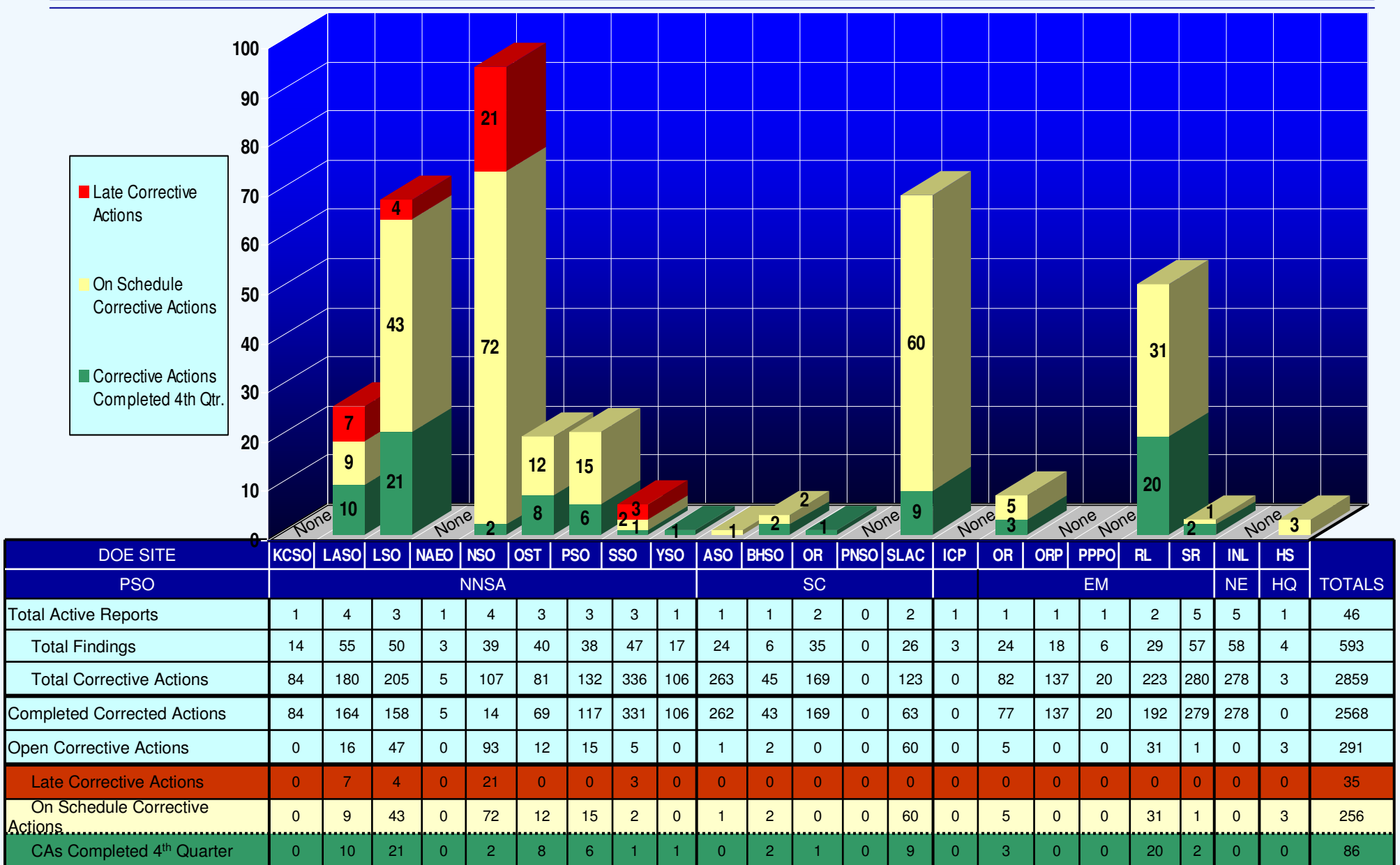
Within 6 months after completion of all corrective actions in the CAP, the responsible Field Element Manager must complete and approve a corrective action effectiveness review to verify closure of corrective actions, and determine their effectiveness in preventing recurrence.

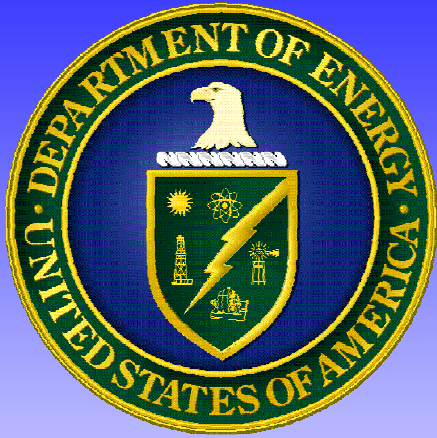
This report is available on the Internet by accessing the CAMP Website at <http://www.hss.energy.gov/CSA/csp/camp/index.html>.

# Department of Energy Summary

New Assessment Reports this Quarter	5
<b>Corrective Action Plans (CAPs) Pending Approval</b>	
CAP's Pending Approval – Approval > 60 Days OVERDUE	1
CAP's Pending Approval – Approval ≤ 60 Days OVERDUE	0
CAP's Pending Approval – Approval On Schedule	5
Total CAPs Pending Approval	6
<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 > 60 Days and ≤ 90 Days OVERDUE (past planned completion date)	0
Approved CAPs – On Schedule	17
Total Approved CAPs Still Open	17
Approved Caps Completed This Quarter	3
<b>Approved Corrective Action Effectiveness Reviews</b>	
Corrective Action Effectiveness Reviews – Approval OVERDUE	2
Corrective Action Effectiveness Reviews – On Schedule	6
Corrective Action Effectiveness Reviews Approved This Quarter	1

# Status of the Corrective Action Management Program Department of Energy



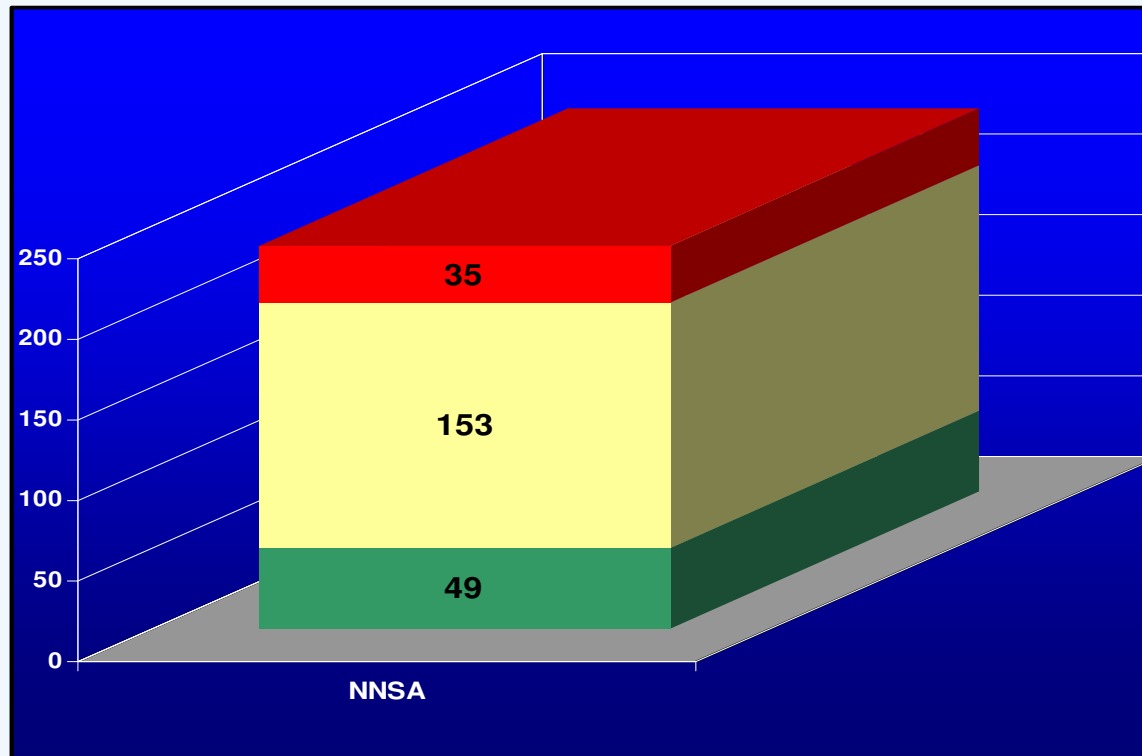


Administrator,  
National Nuclear Security Administration

# National Nuclear Security Administration

New Assessment Reports this Quarter	1
<b>Corrective Action Plans (CAPs) Pending Approval</b>	
CAP's Pending Approval – Approval > 60 Days OVERDUE	1
CAP's Pending Approval – Approval ≤ 60 Days OVERDUE	0
CAP's Pending Approval – Approval On Schedule	1
Total CAPs Pending Approval	2
<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	10
Total Approved CAPs Still Open	10
Approved Caps Completed This Quarter	1
<b>Approved Corrective Action Effectiveness Reviews</b>	
Corrective Action Effectiveness Reviews – Approval OVERDUE	2
Corrective Action Effectiveness Reviews – On Schedule	2
Corrective Action Effectiveness Reviews Approved This Quarter	1

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



NATIONAL NUCLEAR SECURITY ADMINISTRATION	All NNSA
Total Active Reports	23
Total Findings	303
Total Corrective Actions	1236
Completed Corrective Actions	1048
Open Corrective Actions	188
Late Corrective Actions	35
Corrective Actions on Schedule	153
Corrective Actions Completed 4 <sup>th</sup> Qtr.	49

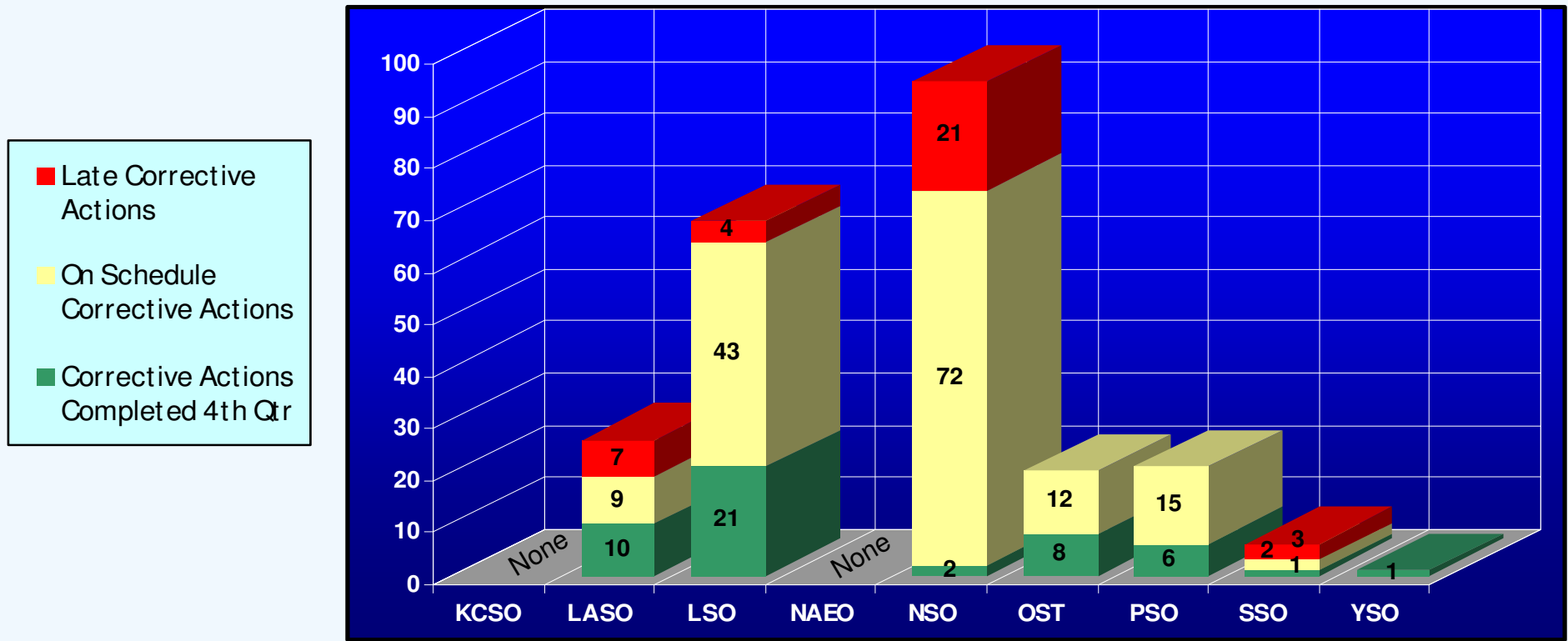


# Deputy Administrator for Defense Programs

## Late Corrective Actions

<p>LOS ALAMOS NATIONAL LABORATORY:            Report Number: LANL-01/03/2006-0002-R-ES&amp;H            Report Title: Office of Independent Oversight Inspection of Los Alamos Site Office Oversight of Environment, Safety, and Health Programs at Los Alamos National Laboratory</p>	
Los Alamos National Laboratory - Total Late Corrective Actions: 7	
<p>NEVADA TEST SITE            Report Number: NTS-06/19/2007-0001-R-ES&amp;H            Report Title: Independent Oversight Inspection of Environment, Safety, and Health and Emergency Management Programs at the Nevada Test Site</p>	
Nevada Test Site – Total Late Corrective Actions: 20	
<p>NEVADA SITE OFFICE            Report Number: NSO-02/02/2007-0001-R-ASM            Report Title: Nevada Site Office (NSO) and Nevada Security Technologies, LLC (NSTec) Annual Aviation Program Audit Report</p>	
Nevada Site Office – Total Late Corrective Actions: 1	
<p>LAWRENCE LIVERMORE NATIONAL LABORATORY            Report Number: LLNL-05/29/2007-0001-R-ES&amp;H            Report Title: Inspection of Environment, Safety, and Health Programs at the Lawrence Livermore National Laboratory</p>	
Lawrence Livermore National Laboratory - Total Late Corrective Actions: 4	
<p>SANDIA NATIONAL LABORATORIES            Report Number: SNLAL-06/28/2005-0002-R-ES&amp;H            Report Title: Final Report of the Office of Independent Oversight and Performance Assurance Inspection of the Environment, Safety, and Health Management at the Sandia National Laboratories</p>	Late Corrective Actions: 2
<p>Report Number: SNLAL-08/02/2006-0001-R-XM            Report Title: Final Report of the Office of Independent Oversight Inspection of Emergency Management at the Sandia National Laboratories</p>	Late Corrective Actions: 1
Sandia National Laboratories – Total Late Corrective Actions: 3	
<b>NNSA TOTAL LATE CORRECTIVE ACTIONS: 35</b>	

# Status of Corrective Actions for the Deputy Administrator for Defense Programs



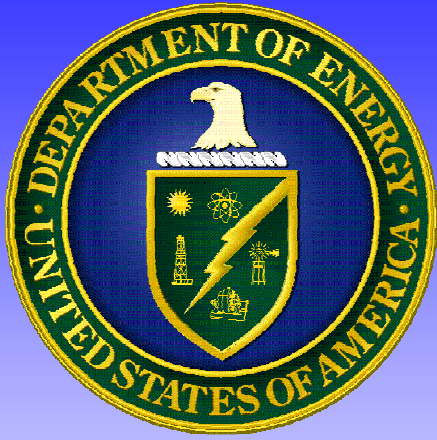
NNSA SITE	KCSO	LASO	LSO	NAEO	NSO	OST	PSO	SSO	YSO	TOTALS
Total Active Reports	1	4	3	1	4	3	3	3	1	23
Total Findings	14	55	50	3	39	40	38	47	17	303
Total Corrective Actions	84	180	205	5	107	81	132	336	106	1236
Completed Corrective Actions	84	164	158	5	14	69	117	331	106	1048
Open Corrective Actions	0	16	47	0	93	12	15	5	0	188
Late Corrective Actions	0	7	4	0	21	0	0	3	0	35
On Schedule Corrective Actions	0	9	43	0	72	12	15	2	0	153
Corrective Actions Completed 4 <sup>th</sup> Qtr	0	10	21	0	2	8	6	1	1	49

# Status of Corrective Action Plans and Effectiveness Reviews

## Deputy Administrator for Defense Programs

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<b>New Assessment Reports this Quarter:</b>	1	<b>Corrective Action Effectiveness Reviews – Approved this Quarter:</b>  Report Number: PP-03/17/2005-0001-R-ES&H Report Title: Final Report of Independent Oversight and Performance Assurance Inspections of Environment, Safety, and Health Programs at the Pantex Plant, February 2005 <b>Effectiveness Review Approval Date: 07/13/2007</b>	1
<b>Corrective Action Plans Pending Approval – OVERDUE:</b>  Report Number: LASNL-02/28/2007-0001-R-XM Report Title: Independent Oversight Inspection of Emergency Management at the Los Alamos Site Office and Los Alamos National Laboratory <b>CAP Approval Due Date: 07/20/2007</b>	1	<b>Corrective Action Effectiveness Reviews – OVERDUE:</b>  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 <b>Effectiveness Review Due Date: 07/07/2007</b>  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 <b>Effectiveness Review Due Date: 08/19/2007</b>	2
<b>Approved Corrective Action Plans – Completed this Quarter:</b> (all corrective actions in CAP completed this quarter)  Report Number: Y-12-11/10/20005-0001-R-ES&H Report Title: Office of Independent Oversight Inspection of Environment, Safety, and Health Programs at the Y-12 National Security Complex, August 2005 <b>CAP Completion Date: 07/24/2007</b>	1		
<b>Number of Approved Corrective Action Plans – On Schedule:</b>	10		

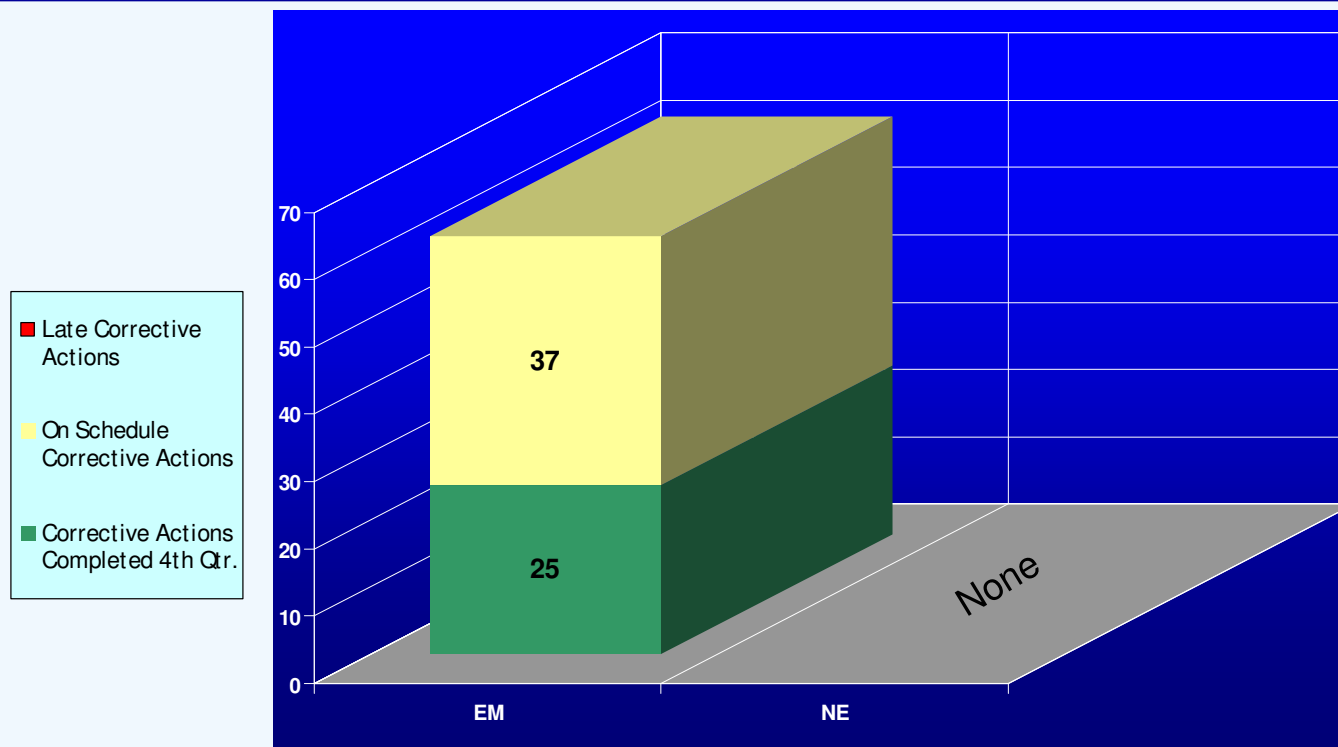


Under Secretary of Energy

# Under Secretary of Energy Summary

New Assessment Reports this Quarter	3
<b>Corrective Action Plans (CAPs) Pending Approval</b>	
CAP's Pending Approval – Approval > 60 Days OVERDUE	0
CAP's Pending Approval – Approval ≤ 60 Days OVERDUE	0
CAP's Pending Approval – Approval On Schedule	3
Total CAPs Pending Approval	3
<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	3
Total Approved CAPs Still Open	3
Approved Caps Completed This Quarter	1
<b>Approved Corrective Action Effectiveness Reviews</b>	
Corrective Action Effectiveness Reviews – Approval OVERDUE	0
Corrective Action Effectiveness Reviews – On Schedule	3
Corrective Action Effectiveness Reviews Approved This Quarter	0

# Summary of Corrective Actions for the Under Secretary of Energy



UNDER SECRETARY OF ENERGY	EM	NE	TOTALS
Total Active Reports	11	5	16
Total Findings	137	58	195
Total Corrective Actions	742	278	1020
Completed Corrective Actions	705	278	983
Open Corrective Actions	37	0	37
Late Corrective Actions	0	0	0
On Schedule Corrective Actions	37	0	37
Corrective Actions Completed 4 <sup>th</sup> Qtr.	25	0	25

# Assistant Secretary for Environmental Management

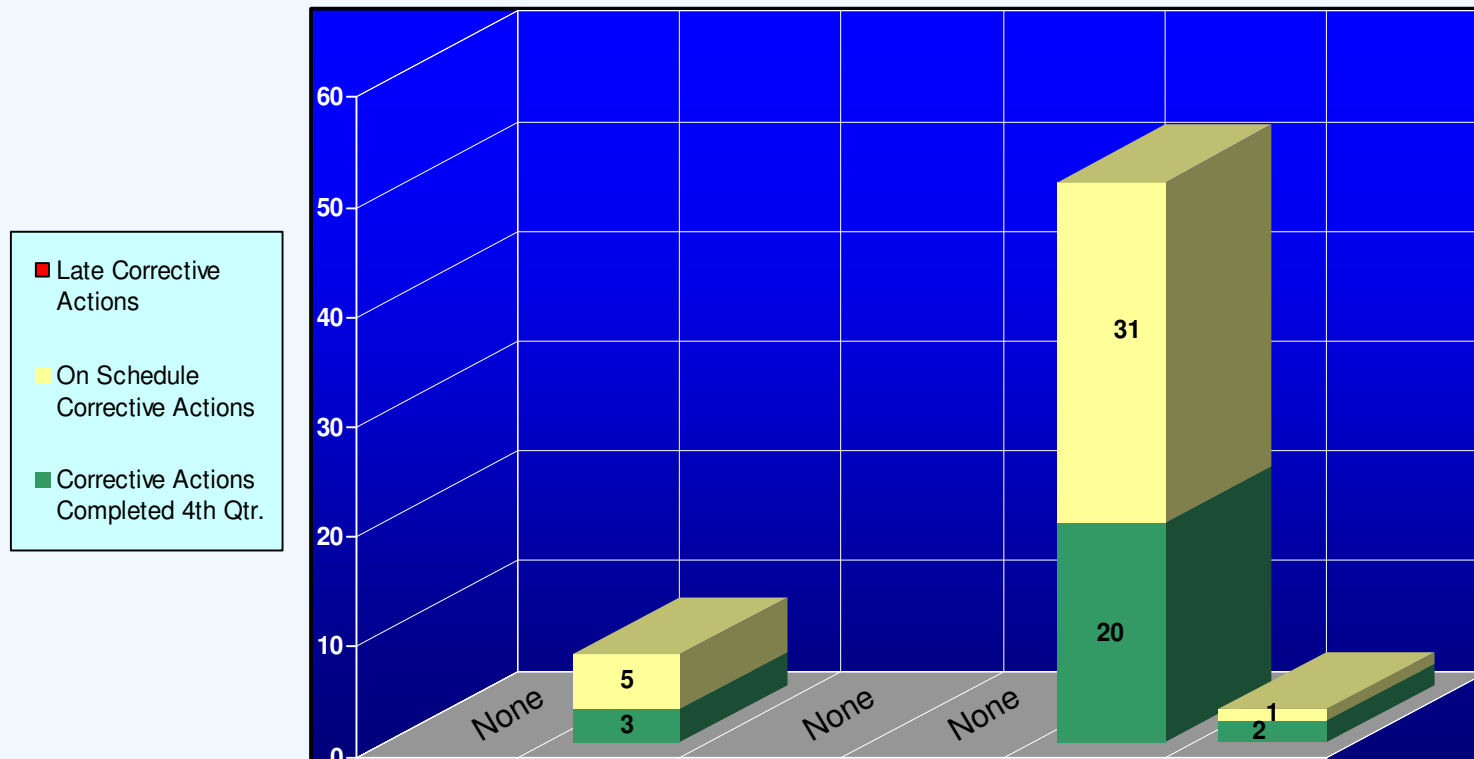
## Late Corrective Actions

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# Status of Corrective Actions for the Assistant Secretary for Environmental Management



EM SITE	ICP	OR	ORP	PPPO	RL	SR	TOTALS
Total Active Reports	1	1	1	1	2	5	11
Total Findings	3	24	18	6	29	57	137
Total Corrective Actions Since	0	82	137	20	223	280	742
Completed Corrective Actions	0	77	137	20	192	279	705
Open Corrective Actions	0	5	0	0	31	1	37
Late Corrective Actions	0	0	0	0	0	0	0
On Schedule Corrective Actions	0	5	0	0	31	1	37
Corrective Actions Completed 4 <sup>th</sup> Qtr.	0	3	0	0	20	2	25



# Status of Corrective Action Plans and Effectiveness Reviews

## Assistant Secretary for Environmental Management

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<b>New Assessment Reports this Quarter:</b>	<b>1</b>	<b>Number of Approved Corrective Action Plans – On Schedule:</b>	<b>3</b>
<b>Corrective Action Plans Pending Approval – OVERDUE:</b>	<b>0</b>	<b>Corrective Action Effectiveness Reviews – Approved this Quarter:</b>	<b>0</b>
<b>Approved Corrective Action Plans – OVERDUE:</b>	<b>0</b>	<b>Corrective Action Effectiveness Reviews – Approval on Schedule:</b>	<b>3</b>
<b>Approved Corrective Action Plans – Completed this Quarter:</b> (all corrective actions in CAP completed this quarter)  Report Number: SRS-04/03/20006-0002-R-ES&H Report Title: Independent Oversight Inspection of Environment, Safety, and Health Management at the Savannah River Site, February 2006 <b>CAP Completion Date: 08/27/2007</b>	<b>1</b>	<b>Corrective Action Effectiveness Reviews – OVERDUE:</b>	<b>0</b>

# Assistant Secretary for Nuclear Energy

## Late Corrective Actions

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# Status of Corrective Actions for the Assistant Secretary for Nuclear Energy

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NUCLEAR ENERGY	INL
Total Active Reports	5
Total Findings	58
Total Corrective Actions	278
Completed Corrective Actions	278
Open Corrective Actions	0
Late Corrective Actions	0
On Schedule Corrective Actions	0
Corrective Actions Completed 4 <sup>th</sup> Qtr.	0

# Status of Corrective Action Plans and Effectiveness Reviews

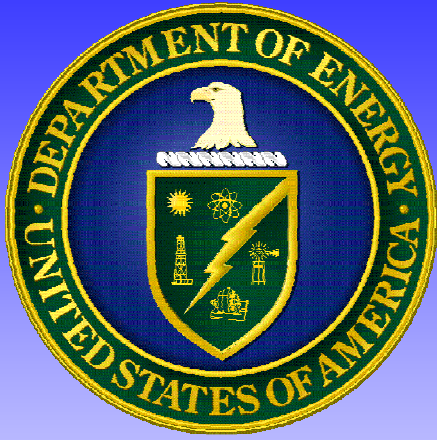
## Assistant Secretary for Nuclear Energy

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<b>New Assessment Reports this Quarter:</b>	2	<b>Number of Approved Corrective Action Plans – On Schedule:</b>	0
<b>Corrective Action Plans Pending Approval – OVERDUE:</b>	0	<b>Corrective Action Effectiveness Reviews – Approved this Quarter:</b>	0
<b>Approved Corrective Action Plans – OVERDUE:</b>	0	<b>Corrective Action Effectiveness Reviews – Approval on Schedule:</b>	0
<b>Approved Corrective Action Plans – Completed this Quarter:</b> (all corrective actions in CAP completed this quarter)	0	<b>Corrective Action Effectiveness Reviews – OVERDUE:</b>	0

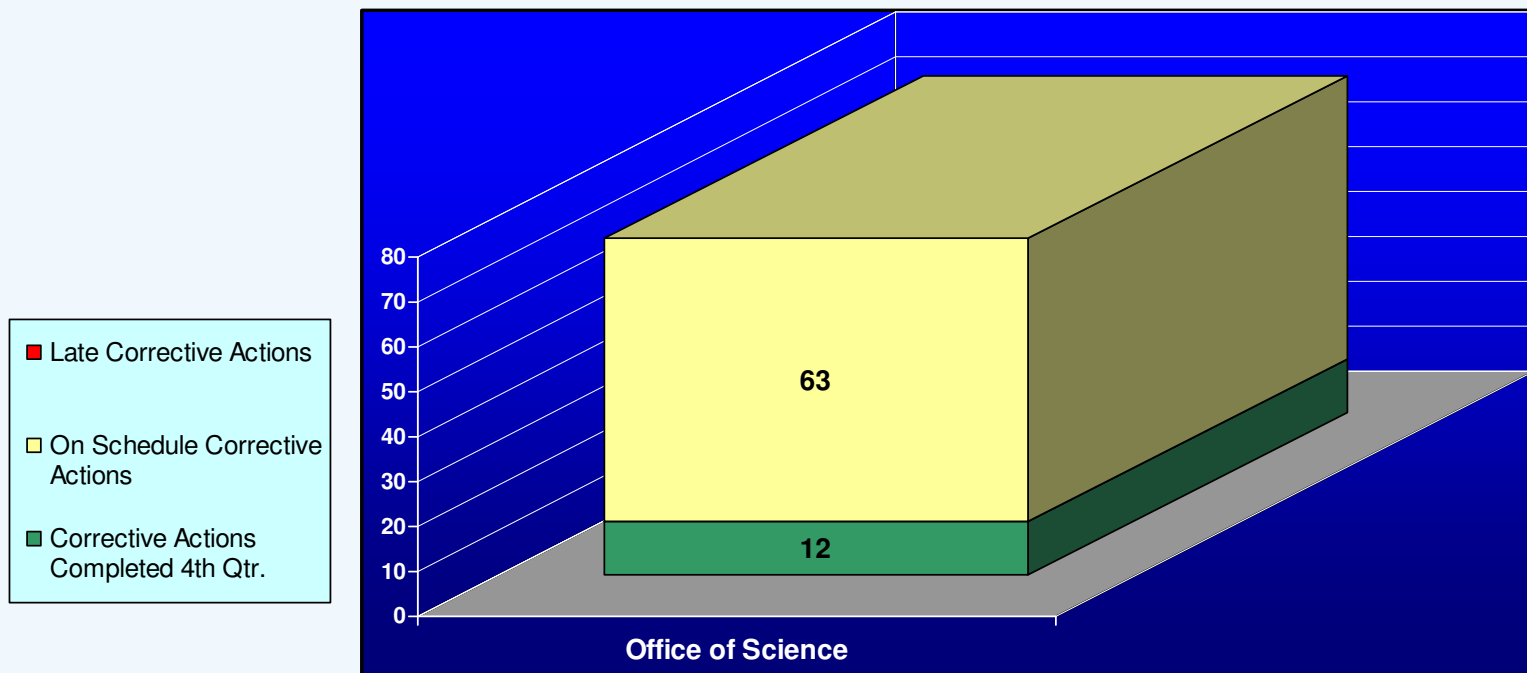


Under Secretary for Science

# Under Secretary for Science Summary

New Assessment Reports this Quarter	0
<b>Corrective Action Plans (CAPs) Pending Approval</b>	
CAP's Pending Approval – Approval > 60 Days OVERDUE	0
CAP's Pending Approval – Approval ≤ 60 Days OVERDUE	0
CAP's Pending Approval – Approval On Schedule	0
Total CAPs Pending Approval	0
<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	3
Total Approved CAPs Still Open	3
Approved Caps Completed This Quarter	1
<b>Approved Corrective Action Effectiveness Reviews</b>	
Corrective Action Effectiveness Reviews – Approval OVERDUE	0
Corrective Action Effectiveness Reviews – On Schedule	1
Corrective Action Effectiveness Reviews Approved This Quarter	0

# Summary of Corrective Actions for the Under Secretary for Science



OFFICE OF SCIENCE	All SC
Total Active Reports	6
Total Findings	91
Total Corrective Actions	600
Completed Corrective Actions	537
Open Corrective Actions	63
Late Corrective Actions	0
On Schedule Corrective Actions	63
Corrective Actions Completed 4 <sup>th</sup> Qtr.	12

# Director, Office of Science

## Late Corrective Actions

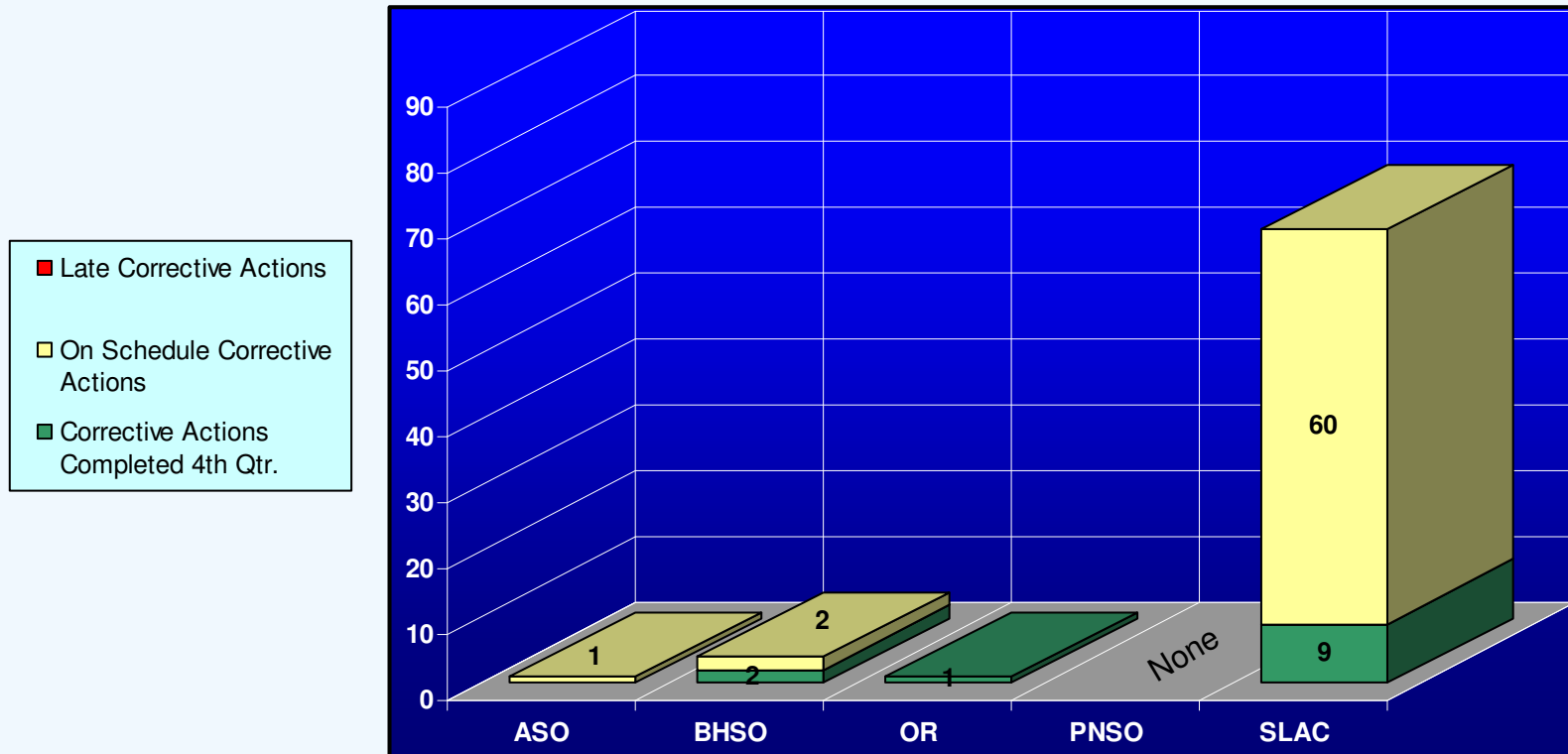
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# Status of Corrective Actions for the Director, Office of Science



SCIENCE SITE	ASO	BHSO	OR	PNSO	SLAC	TOTALS
Total Active Reports	1	1	2	0	2	6
Total Findings	24	6	35	0	26	91
Total Corrective Actions	263	45	169	0	123	600
Completed Corrective Actions	262	43	169	0	63	537
Open Corrective Actions	1	2	0	0	60	63
Late Corrective Actions	0	0	0	0	0	0
On Schedule Corrective Actions	1	2	0	0	60	63
Corrective Actions Completed 4 <sup>th</sup> Qtr.	0	2	1	0	9	12

# Status of Corrective Action Plans and Effectiveness Reviews

## Director, Office of Science

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<b>New Assessment Reports this Quarter:</b>	<b>0</b>	<b>Number of Approved Corrective Action Plans – On Schedule:</b>	<b>3</b>
<b>Corrective Action Plans Pending Approval – OVERDUE:</b>	<b>0</b>	<b>Corrective Action Effectiveness Reviews – Approved this Quarter</b>	<b>0</b>
<b>Approved Corrective Action Plans – Completion OVERDUE:</b>	<b>0</b>	<b>Corrective Action Effectiveness Reviews – Approval on Schedule:</b>  <b>Report Number: ORNL-12/16/2005-0001-R-XM</b> Report Title: Final Report of the Office of Independent Oversight of Emergency Management at the Oak Ridge Office and the Oak Ridge National Laboratory, October 2005 <b>Effectiveness Review Due Date: 01/26/2008</b>	<b>1</b>
<b>Approved Corrective Action Plans – Completed this Quarter:</b> (all corrective actions in CAP completed this quarter)  Report Number: ORNL-12/16/2005-0001-R-XM Report Title: Final Report of the Office of Independent Oversight of Emergency Management at the Oak Ridge Office and the Oak Ridge National Laboratory, October 2005 <b>CAP Completion Date: 07/30/2007</b>	<b>1</b>	<b>Corrective Action Effectiveness Reviews – OVERDUE:</b>	<b>0</b>

# Abbreviations Used In This Report

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ASO	Argonne Site Office	NE	Office of Nuclear Energy
BHSO	Brookhaven Site Office	NNSA	National Nuclear Security Administration
CAMP	Corrective Action Management Program	NSO	Nevada Site Office
CAP	Correction Action Plan	NTS	Nevada Test Site
CATS	Corrective Action Tracking System	OR	Oak Ridge Operations Office
CH	Chicago Operations Office	ORP	Office of River Protection
DP	Deputy Administrator for Defense Programs	OST	Office of Secure Transportation
EM	Assistant Secretary for Environmental Management	PMA	Power Marketing Administration
ETTP	East Tennessee Technology Park	PNSO	Pacific Northwest Site Office
HQ	Headquarters	PP	Pantex Plant
HS	Health, Safety and Security	PPPO	Portsmouth/Paducah Project Office
ICP	Idaho Cleanup Project	PSO	Pantex Site 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 Laboratories
LANL	Los Alamos National Laboratory	SO	Secretarial Officer
LASO	Los Alamos Site Office	SR	Savannah River Operations Office
LASNL	Los Alamos Site Office/Los Alamos Natl. Lab	SRS	Savannah River Site
LLNL	Lawrence Livermore National Laboratory	SSO	Sandia Site Office
LSO	Livermore Site Office	WAPA	Western Area Power Administration
NAEO	National Nuclear Security Administration Emergency Operations	XM	Emergency Management
		Y-12	Y-12 National Security Complex
		YSO	Y-12 Site Office