



## Department of Energy

Washington, DC 20585

July 30, 2010

### MEMORANDUM FOR DISTRIBUTION

FROM: WILLIAM H. ROEGE  
DIRECTOR   
OFFICE OF CORPORATE SAFETY ANALYSIS  
OFFICE OF HEALTH, SAFETY AND SECURITY

SUBJECT: Department of Energy Corrective Action Management  
Program Third Quarter Report for Fiscal Year 2010

The Corrective Action Management Program (CAMP) quarterly report provides corrective action tracking and reporting information related to safety and emergency management findings identified via independent oversight inspections, aviation safety, Type A accident investigations, and special investigations. The report also summarizes timeliness of line management follow-up effectiveness reviews that ensure findings were effectively resolved and are not likely to reoccur. Corrective action status is documented and tracked in the Department's Corrective Action Tracking System (CATS) database.

There were no new Corrective Action Plans (CAPs) entered into the database during the third quarter. A total of 16 CAPs were open at some point during the quarter, 3 were completed, 1 is overdue, from the Argonne National Laboratory (ANL), and the remaining 12 CAPs are on schedule for completion. In addition, five effectiveness reviews were approved and five other effectiveness reviews are on schedule for approval.

There were a total of two late corrective actions identified during the quarter with one belonging to the National Nuclear Security Administration (NNSA) and one belonging to the Office of Science (SC). The late NNSA action originated from the 2009 Lawrence Livermore National Laboratory's Type A vehicle fatality. The late SC action is long-standing and is two years overdue. It originated from the ANL May 2005 report regarding environment, safety and health issues. SC has major ongoing initiatives to address this and other safety issues at ANL.

The detailed CAMP quarterly report for the third quarter can be found at <http://www.hss.energy.gov/CSA/CSP/camp/reports.html>. In addition, the CAMP website, <http://www.hss.energy.gov/CSA/CSP/camp/index.html>, outlines the program background, applicable Department of Energy directives and references, Corrective Action Management (CAM) Team charter, CATS database, and previous quarterly reports.

Recommended changes in report structure or content may be communicated through your CAM Team representative. If you have any questions or comments pertaining to



this report, please contact me at (301) 903-8008, or your staff may contact Larry McCabe, CAMP Program Manager, at (301) 903-6732.

Attachment: Department of Energy Corrective Action Management Program  
Third Quarter Report for Fiscal Year 2010

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# **CORRECTIVE ACTION MANAGEMENT PROGRAM**

***Third Quarter Report for Fiscal Year 2010***

**July 2010**

**Department of Energy  
Office of Corporate Safety Analysis**

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# DOE Corrective Action Management Program

## Third Quarter Report for Fiscal Year 2010

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### Performance Summary

This report provides the third quarter, fiscal year 2010 summary status of the Department of Energy's (DOEs) Corrective Action Management Program (CAMP). The report includes the status of corrective action plans (CAPs) and their associated corrective actions as of June 30, 2010. The report depicts the Department's CAMP program status, followed by the status for the Under Secretaries and the assigned Secretarial Officer (SO).

The Office of Environmental Management (EM) has consistently been on time with all CAMP-related corrective actions for the past 15 quarters; extending its consecutive streak of on-time corrective actions, which is a Departmental SO record. EM completed 6 corrective actions during the quarter. There were no overdue EM effectiveness reviews.

The National Nuclear Security Administration (NNSA) had 1 late corrective action for the quarter, a decline from the previous quarter when NNSA had 4 late corrective actions. The late action was from the Lawrence Livermore National Laboratory regarding last year's Type A accident investigation. NNSA completed 27 corrective actions during the quarter and had no overdue effectiveness reviews.

The Office of Science (SC) had 1 late corrective action during the quarter and it remains a persistent problem for SC. This late corrective action at the Argonne National Laboratory (ANL) has been overdue for 8 consecutive quarters and remains incomplete. It was originally identified in the May 2005 Oversight report at the ANL Alpha-Gamma Hot Cell Facility. SC has major ongoing initiatives to address this and other safety issues at ANL. SC completed 4 corrective actions during the quarter and had 1 overdue effectiveness review.

The Office of Nuclear Energy (NE) had no late corrective actions or overdue effectiveness reviews for the quarter. NE completed 2 corrective actions during the quarter.

### Reporting Guidelines

The 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 their 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 six 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:

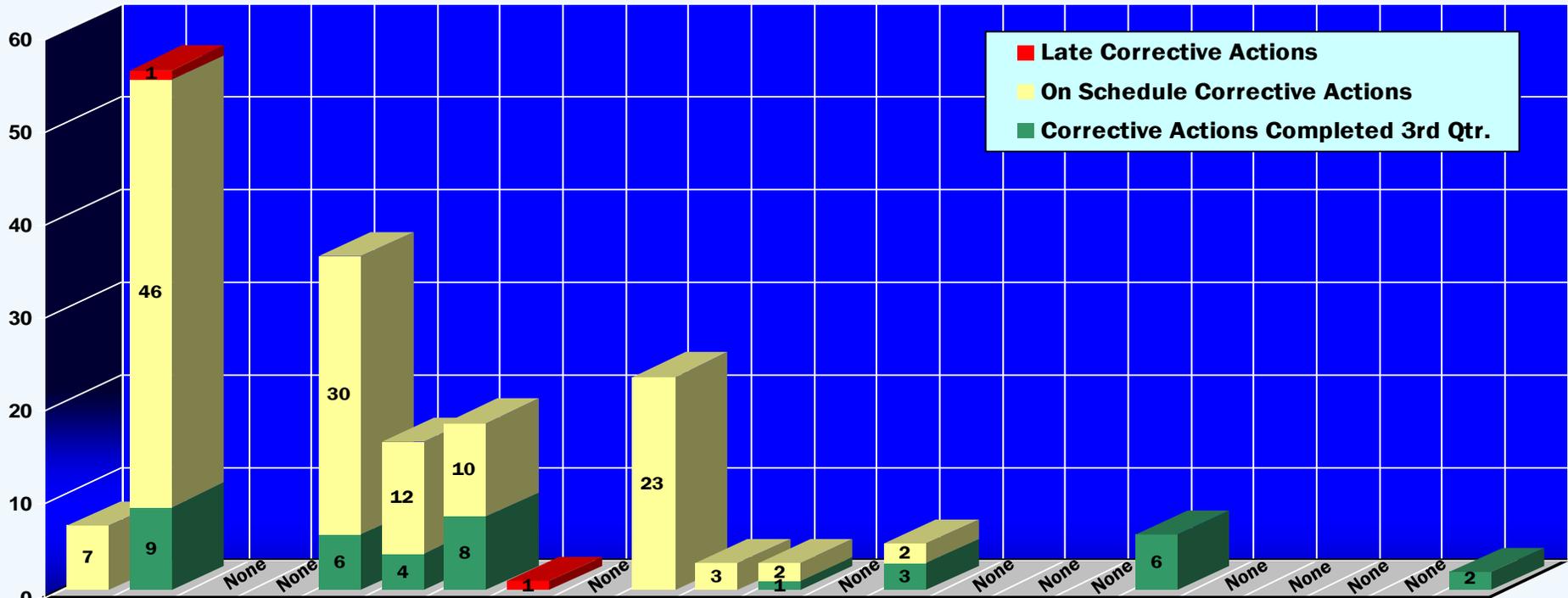
<http://www.hss.energy.gov/CSA/csp/camp/index.html>

# Department of Energy Summary

<b>New Assessment Reports this Quarter</b>	<b>0</b>
CAPs Pending Approval – Approval On Schedule	0
CAPs Pending Approval – Approval ≤ 60 Days OVERDUE	0
CAPs Pending Approval – Approval > 60 Days OVERDUE	0
<b>Total CAPs Pending Approval</b>	<b>0</b>
<b>Approved CAPs Completed This Quarter</b>	<b>3</b>
Approved CAPs – On Schedule	12
Approved CAPs – With Actions Open > 60 Days and ≤ 90 Days OVERDUE	0
Approved CAPs – With Actions Open > 90 Days OVERDUE	1
<b>Total Approved CAPs Still Open</b>	<b>13</b>
<b>Corrective Action Effectiveness Reviews Approved This Quarter</b>	<b>5</b>
Corrective Action Effectiveness Reviews – On Schedule	5
Corrective Action Effectiveness Reviews – Approval OVERDUE	1
<b>Total Pending Effectiveness Reviews</b>	<b>6</b>

# Status of the Corrective Action Management Program

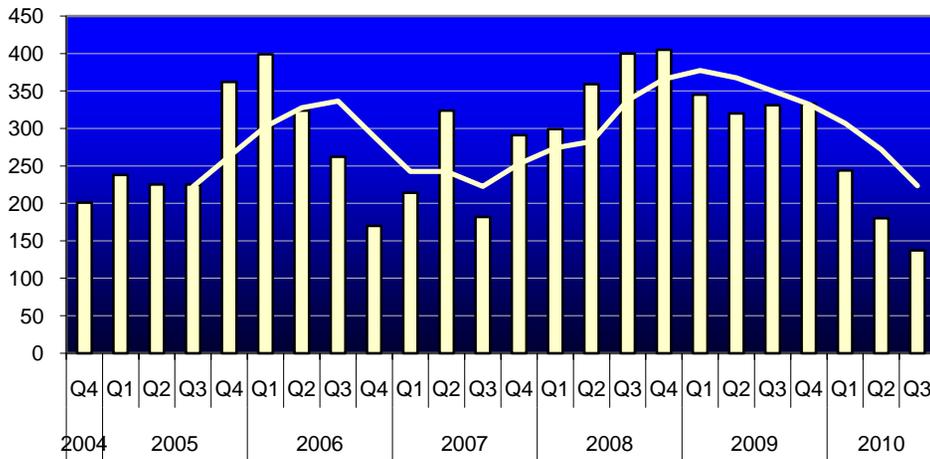
## Department of Energy



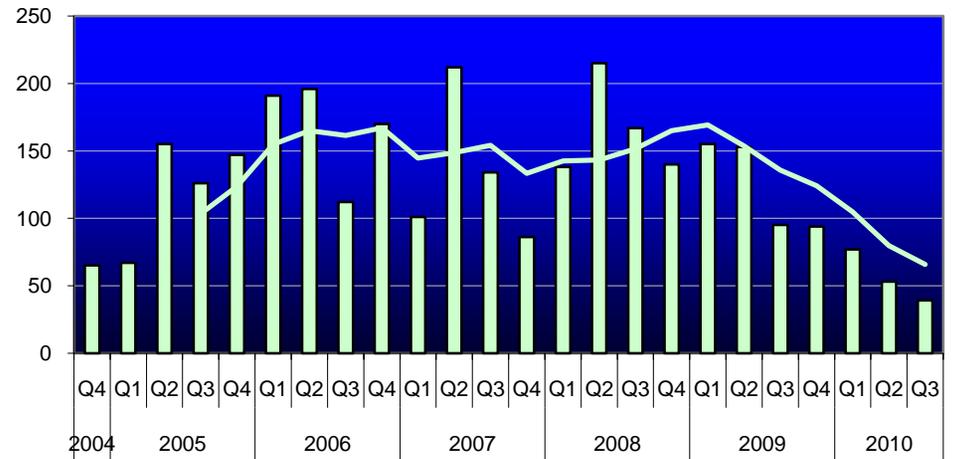
DOE SITE	LASO	LSO	NSO	OST	PSO	SSO	YSO	ASO	BHSO	LBNL	OR	PNNL	SLAC	TJNA	ETPP	ICP	OR	ORP	PPPO	RL	SR	WIPP	INL	TOTALS
PSO	NNSA							SC							EM							NE		
Total Active Reports	3	6	4	2	3	4	2	1	3	1	3	1	1	1	1	1	1	2	1	1	3	1	2	48
Total Findings	67	69	29	10	22	58	15	24	23	10	23	1	14	5	11	3	24	23	6	19	27	13	26	522
Total Corrective Actions	335	339	95	23	128	324	158	263	113	28	136	10	89	36	79	44	92	146	0	192	164	91	233	3118
Completed Corrected Actions	328	292	95	23	98	312	148	262	113	5	133	8	89	34	79	44	92	146	0	192	164	91	233	2981
Open Corrective Actions	7	47	0	0	30	12	10	1	0	23	3	2	0	2	0	0	0	0	0	0	0	0	0	137
Late Corrective Actions	0	1	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2
On Schedule Corrective Actions	7	46	0	0	30	12	10	0	0	23	3	2	0	2	0	0	0	0	0	0	0	0	0	135
CAs Completed 3 <sup>rd</sup> Quarter	0	9	0	0	6	4	8	0	0	0	0	1	0	3	0	0	0	6	0	0	0	0	2	39

# DOE Corrective Action Trends

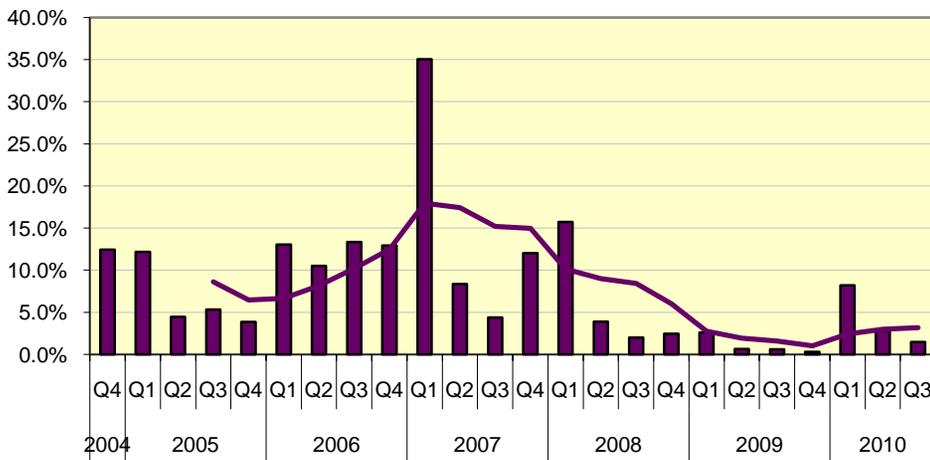
**DOE Open CAs  
with 4-Quarter Moving Average**



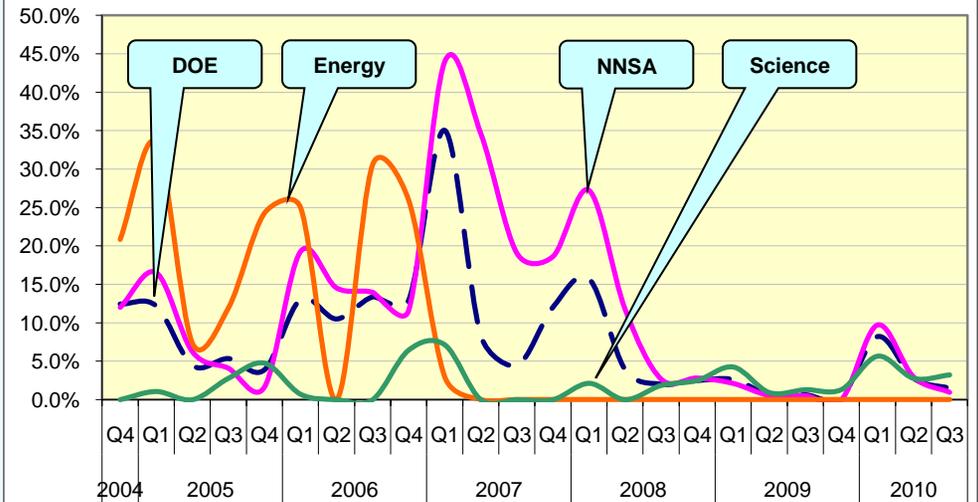
**DOE Completed CAs  
with 4-Quarter Moving Average**



**DOE Percentage of Late CAs  
with 4-Quarter Moving Average**



**Comparison Percentage of Late Corrective Actions**



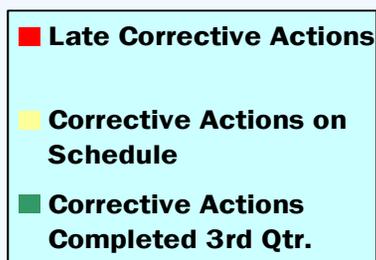
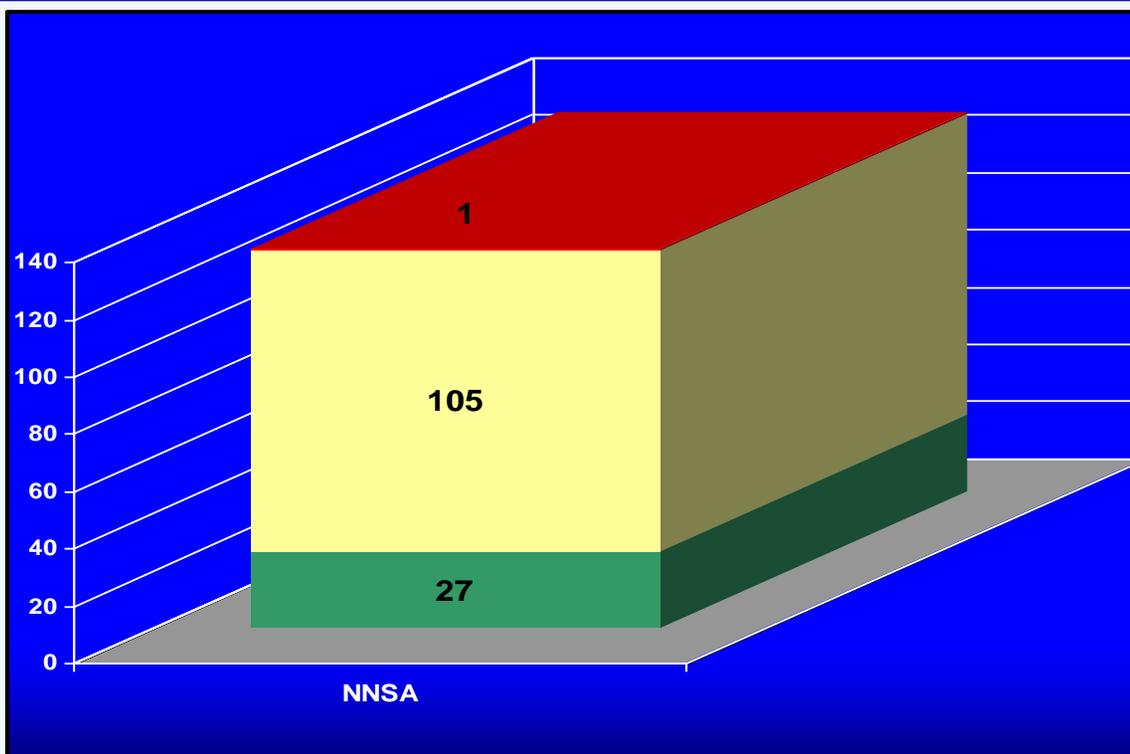


**Administrator,  
National Nuclear Security Administration**

# National Nuclear Security Administration

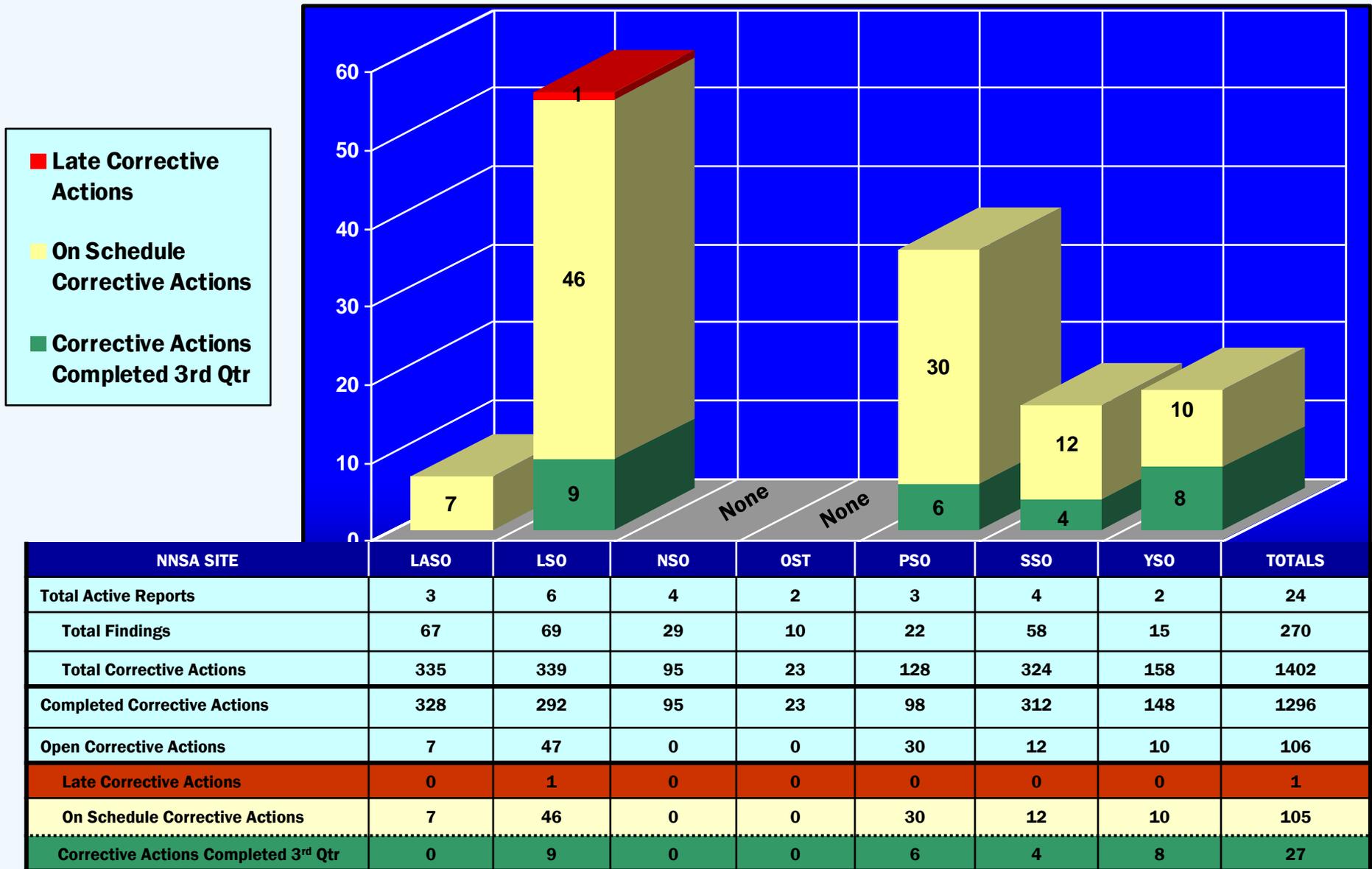
<b>New Assessment Reports this Quarter</b>	<b>0</b>
CAPs Pending Approval – Approval On Schedule	0
CAPs Pending Approval – Approval ≤ 60 Days OVERDUE	0
CAPs Pending Approval – Approval > 60 Days OVERDUE	0
<b>Total CAPs Pending Approval</b>	<b>0</b>
<b>Approved CAPs Completed This Quarter</b>	<b>1</b>
Approved CAPs – On Schedule	7
Approved CAPs – With Actions Open ≤ 90 Days OVERDUE	0
Approved CAPs – With Actions Open > 90 Days OVERDUE	0
<b>Total Approved CAPs Still Open</b>	<b>7</b>
<b>Corrective Action Effectiveness Reviews Approved This Quarter</b>	<b>2</b>
Corrective Action Effectiveness Reviews – On Schedule	3
Corrective Action Effectiveness Reviews – Approval OVERDUE	0
<b>Total Pending Effectiveness Reviews</b>	<b>3</b>

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



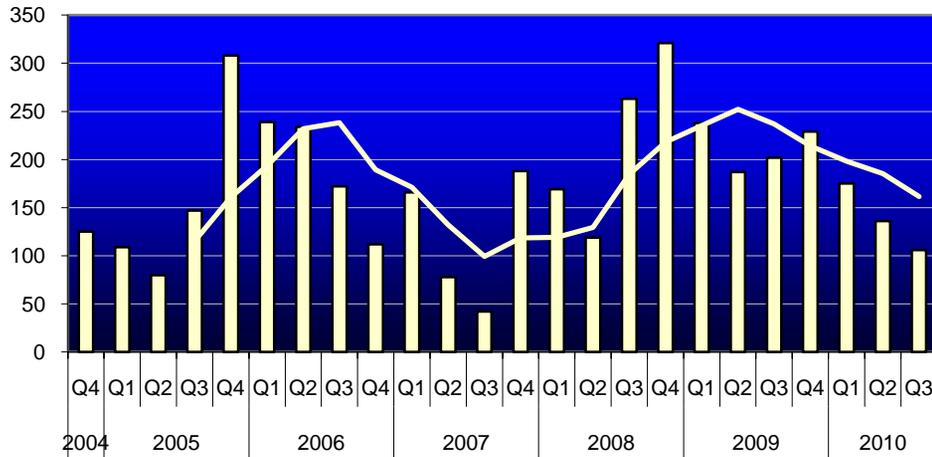
NATIONAL NUCLEAR SECURITY ADMINISTRATION	All NNSA
Total Active Reports	24
Total Findings	270
Total Corrective Actions	1402
Completed Corrective Actions	1296
Open Corrective Actions	106
Late Corrective Actions	1
Corrective Actions on Schedule	105
Corrective Actions Completed 3 <sup>rd</sup> Qtr.	27

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

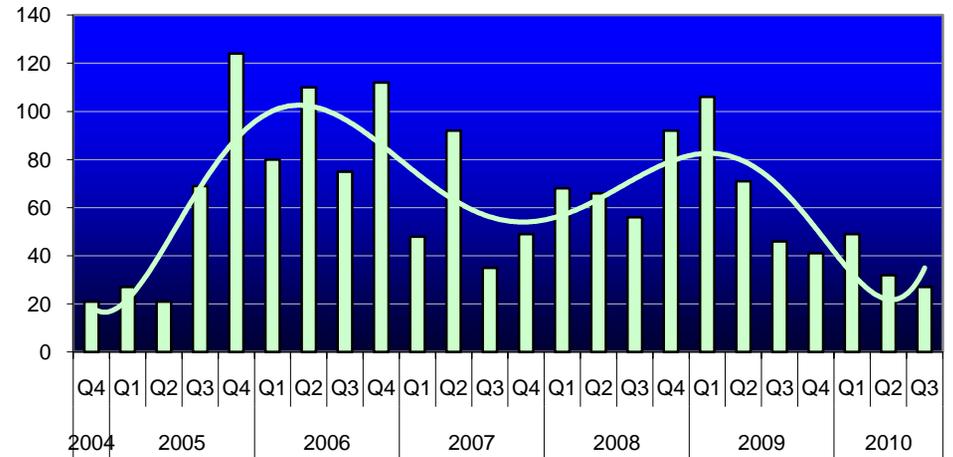


# NNSA Corrective Action Trends

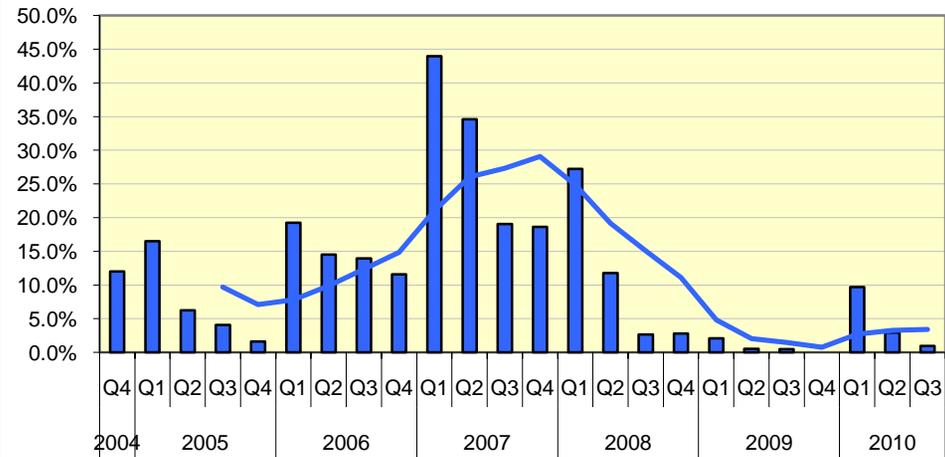
**NNSA Open CAs  
with 4-Quarter Moving Average**



**NNSA Completed CAs  
with 4-Quarter Moving Average**



**NNSA Percentage of Late CAs  
with 4-Quarter Moving Average**



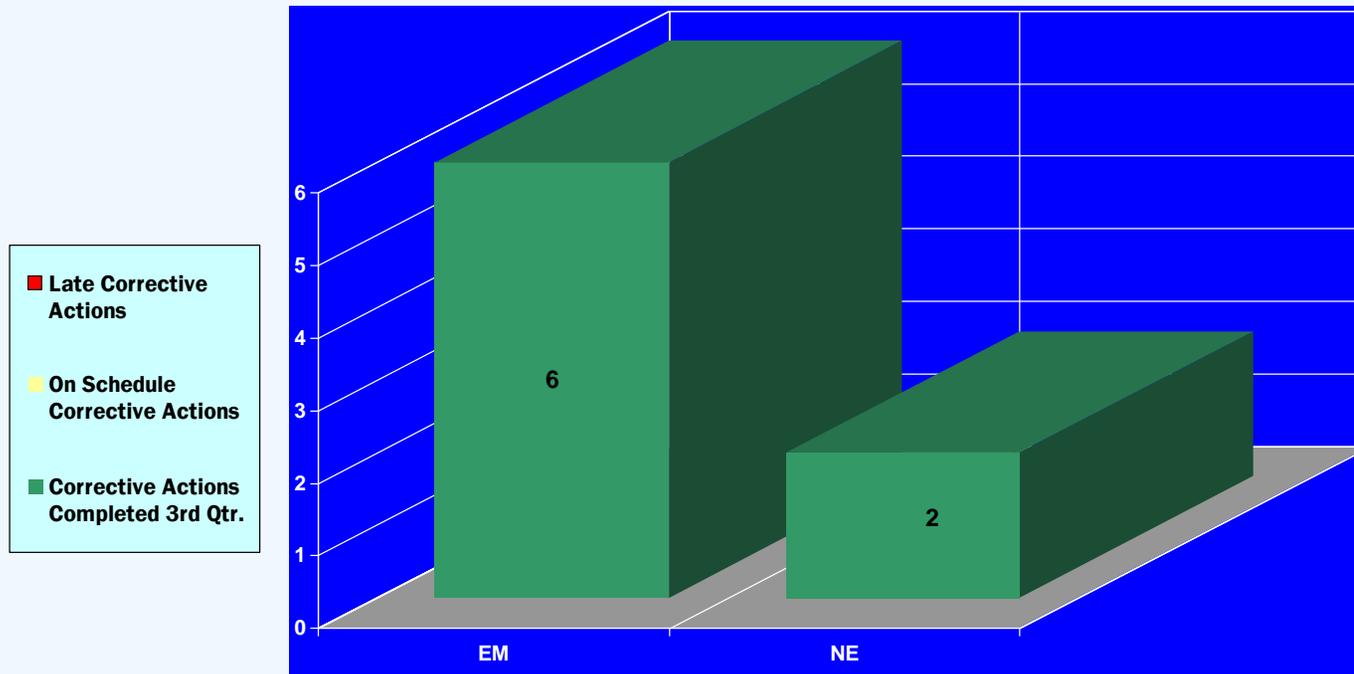


**Under Secretary of Energy**

# Under Secretary of Energy Summary

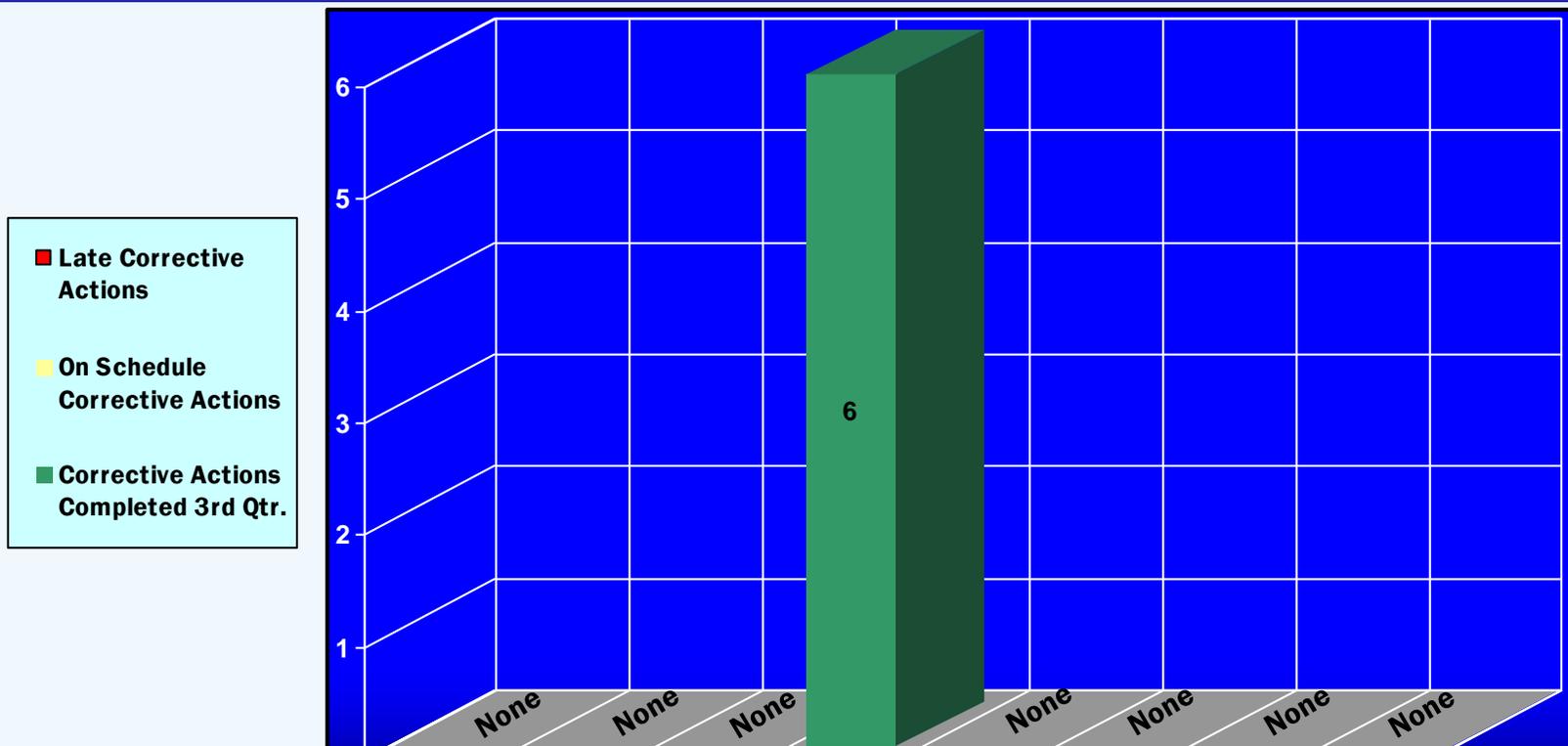
<b>New Assessment Reports this Quarter</b>	<b>0</b>
CAPs Pending Approval – Approval On Schedule	0
CAPs Pending Approval – Approval ≤ 60 Days OVERDUE	0
CAPs Pending Approval – Approval > 60 Days OVERDUE	0
<b>Total CAPs Pending Approval</b>	<b>0</b>
<b>Approved CAPs Completed This Quarter</b>	<b>2</b>
Approved CAPs – On Schedule	0
Approved CAPs – With Actions Open ≤ 90 Days OVERDUE	0
Approved CAPs – With Actions Open > 90 Days OVERDUE	0
<b>Total Approved CAPs Still Open</b>	<b>0</b>
<b>Corrective Action Effectiveness Reviews Approved This Quarter</b>	<b>2</b>
Corrective Action Effectiveness Reviews – On Schedule	1
Corrective Action Effectiveness Reviews – Approval OVERDUE	0
<b>Total Pending Effectiveness Reviews</b>	<b>1</b>

# Summary of Corrective Actions for the Under Secretary of Energy



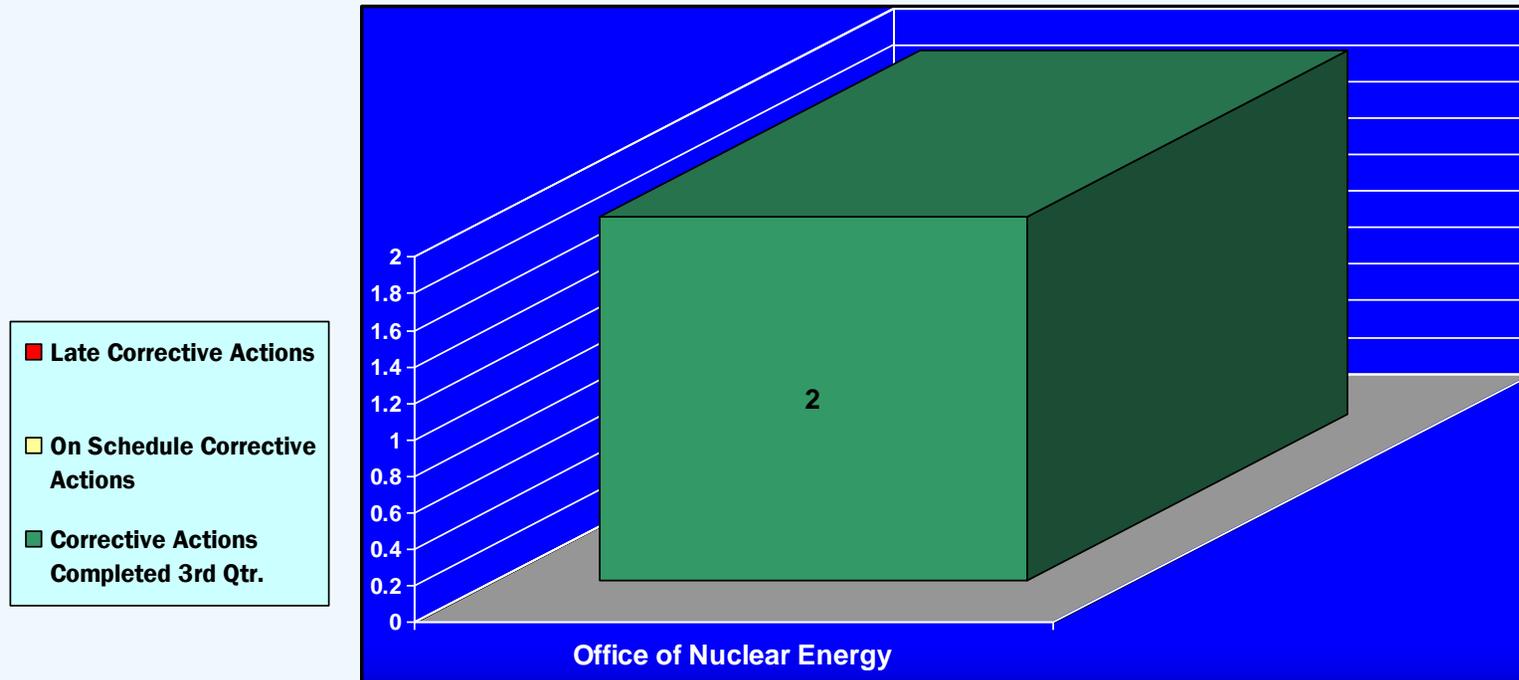
UNDER SECRETARY OF ENERGY	EM	NE	TOTALS
Total Active Reports	11	2	13
Total Findings	126	26	152
Total Corrective Actions	808	233	1041
Completed Corrective Actions	808	233	1041
Open Corrective Actions	0	0	0
Late Corrective Actions	0	0	0
On Schedule Corrective Actions	0	0	0
Corrective Actions Completed 3 <sup>rd</sup> Qtr.	6	2	8

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



EM SITE	ETTP	ICP	OR	ORP	PPPO	RL	SR	WIPP	TOTALS
Total Active Reports	1	1	1	2	1	1	3	1	11
Total Findings	11	3	24	23	6	19	27	13	126
Total Corrective Actions	79	44	92	146	0	192	164	91	808
Completed Corrective Actions	79	44	92	146	0	192	164	91	808
Open Corrective Actions	0	0	0	0	0	0	0	0	0
Late Corrective Actions	0	0	0	0	0	0	0	0	0
On Schedule Corrective Actions	0	0	0	0	0	0	0	0	0
Corrective Actions Completed 3 <sup>rd</sup> Qtr.	0	0	0	6	0	0	0	0	6

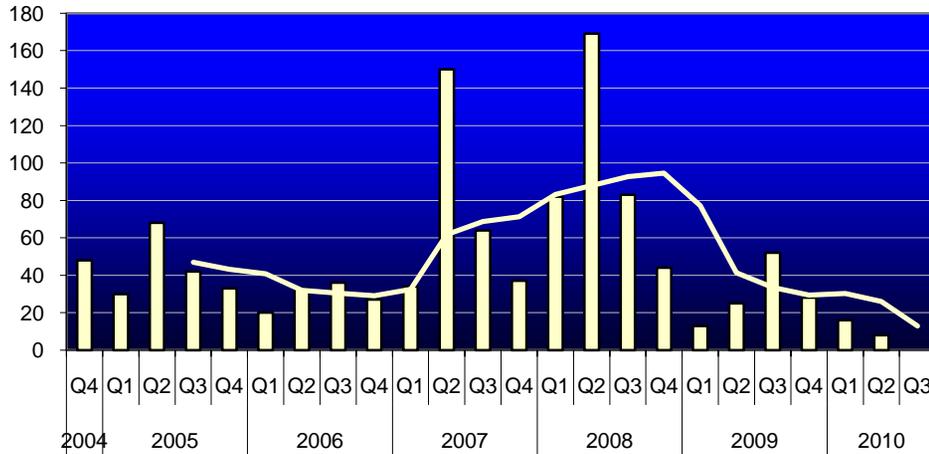
# Status of Corrective Actions for the Assistant Secretary for Nuclear Energy



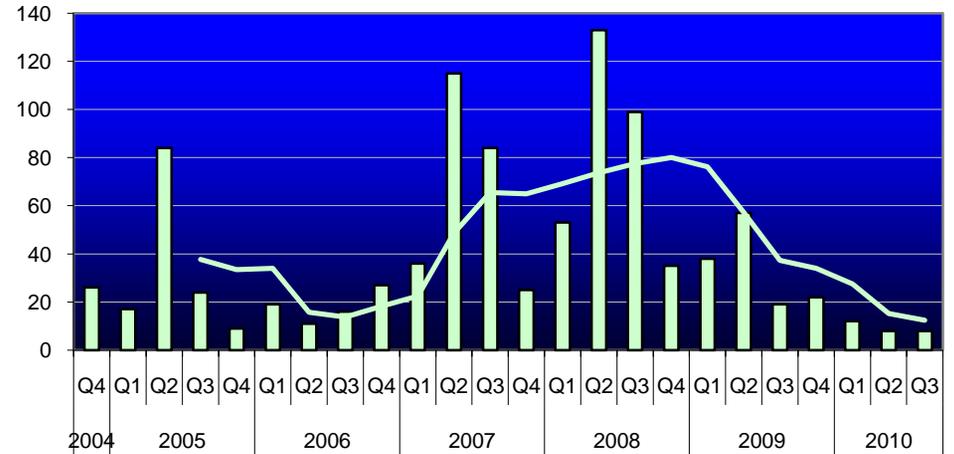
NUCLEAR ENERGY	INL
Total Active Reports	2
Total Findings	26
Total Corrective Actions	233
Completed Corrective Actions	233
Open Corrective Actions	0
Late Corrective Actions	0
On Schedule Corrective Actions	0
Corrective Actions Completed 3 <sup>rd</sup> Qtr.	2

# Energy Corrective Action Trends

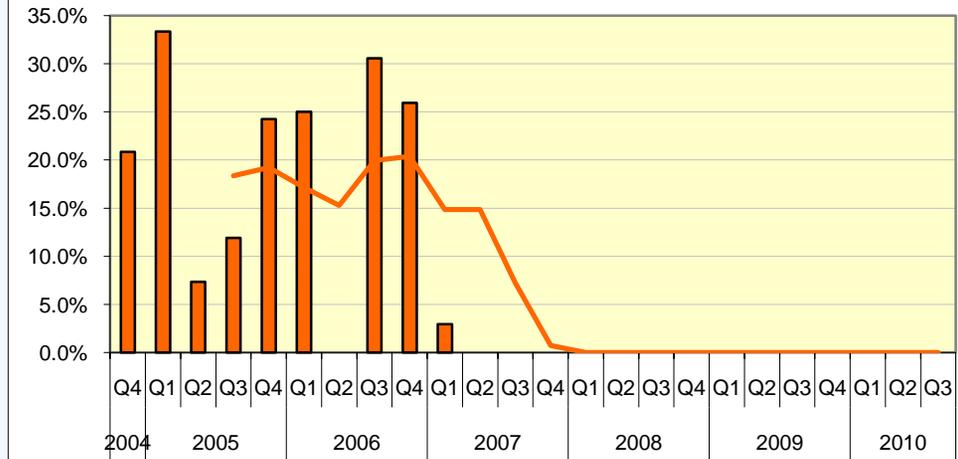
**Energy Open CAs**  
with 4-Quarter Moving Average



**Energy Completed CAs**  
with 4-Quarter Moving Average



**Energy Percentage of Late CAs**  
with 4-Quarter Moving Average



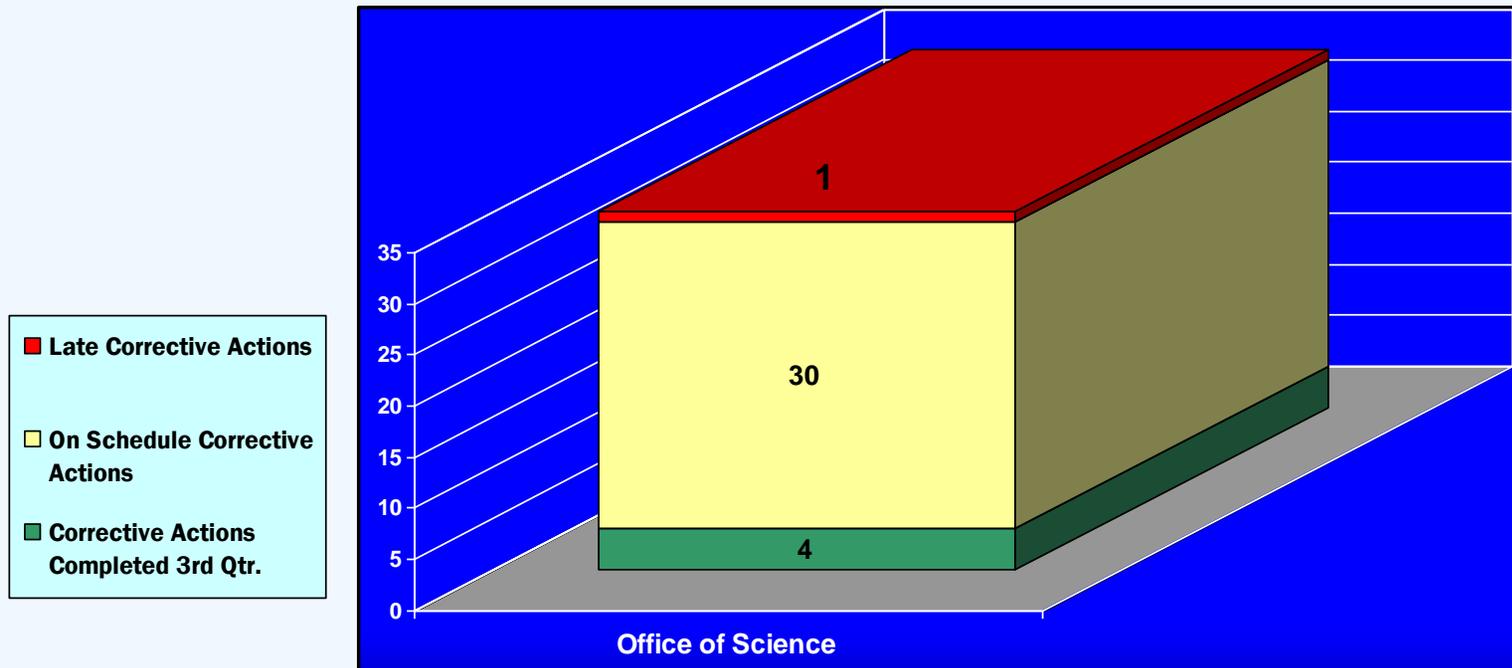


**Under Secretary for Science**

# Under Secretary for Science Summary

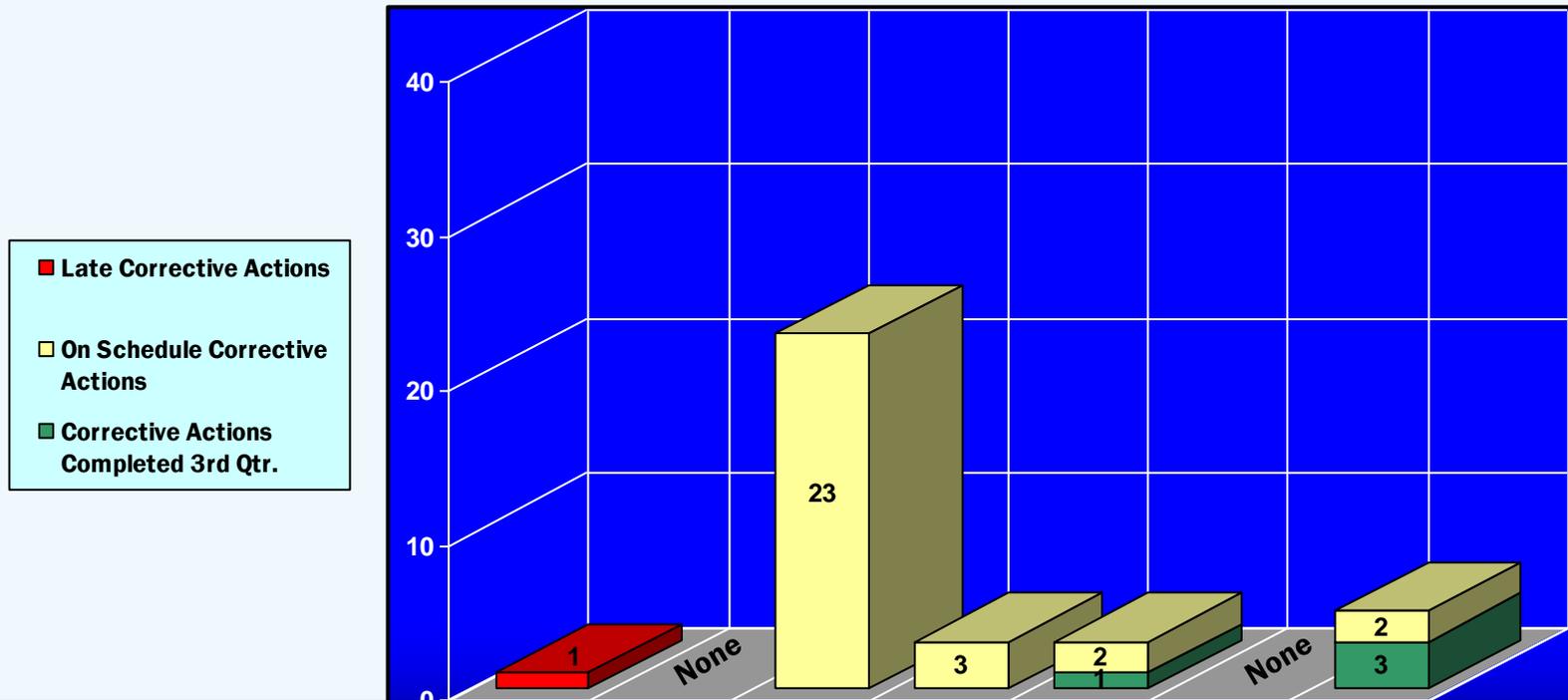
<b>New Assessment Reports this Quarter</b>	<b>0</b>
CAPs Pending Approval – Approval On Schedule	0
CAPs Pending Approval – Approval ≤ 60 Days OVERDUE	0
CAPs Pending Approval – Approval > 60 Days OVERDUE	0
<b>Total CAPs Pending Approval</b>	<b>0</b>
<b>Approved CAPs Completed This Quarter</b>	<b>0</b>
Approved CAPs – On Schedule	5
Approved CAPs – With Actions Open ≤ 90 Days OVERDUE	0
Approved CAPs – With Actions Open > 90 Days OVERDUE	1
<b>Total Approved CAPs Still Open</b>	<b>6</b>
<b>Corrective Action Effectiveness Reviews Approved This Quarter</b>	<b>1</b>
Corrective Action Effectiveness Reviews – On Schedule	1
Corrective Action Effectiveness Reviews – Approval OVERDUE	1
<b>Total Pending Effectiveness Reviews</b>	<b>2</b>

# Summary of Corrective Actions for the Under Secretary for Science



OFFICE OF SCIENCE	All SC
Total Active Reports	11
Total Findings	100
Total Corrective Actions	675
Completed Corrective Actions	644
Open Corrective Actions	31
Late Corrective Actions	1
On Schedule Corrective Actions	30
Corrective Actions Completed 3 <sup>rd</sup> Qtr.	4

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



SCIENCE SITE	ASO	BHSO	LBNL	OR	PNNL	SLAC	TJNA	TOTALS
Total Active Reports	1	3	1	3	1	1	1	11
Total Findings	24	23	10	23	1	14	5	100
Total Corrective Actions	263	113	28	136	10	89	36	675
Completed Corrective Actions	262	113	5	133	8	89	34	644
Open Corrective Actions	1	0	23	3	2	0	2	31
Late Corrective Actions	1	0	0	0	0	0	0	1
On Schedule Corrective Actions	0	0	23	3	2	0	2	30
Corrective Actions Completed 3 <sup>rd</sup> Qtr.	0	0	0	0	1	0	3	4

# Director, Office of Science

## Late Corrective Actions

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**ARGONNE NATIONAL LABORATORY:**

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"

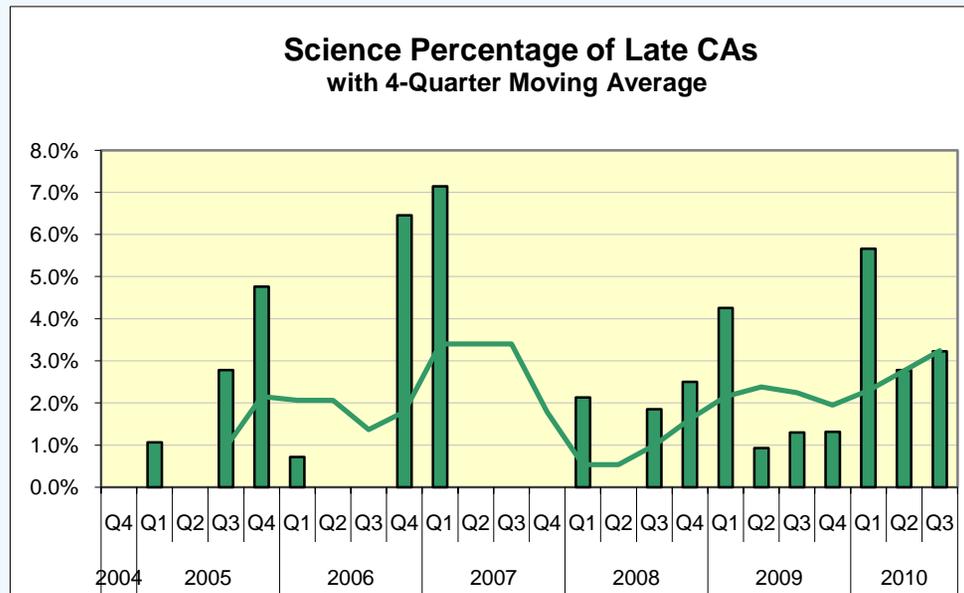
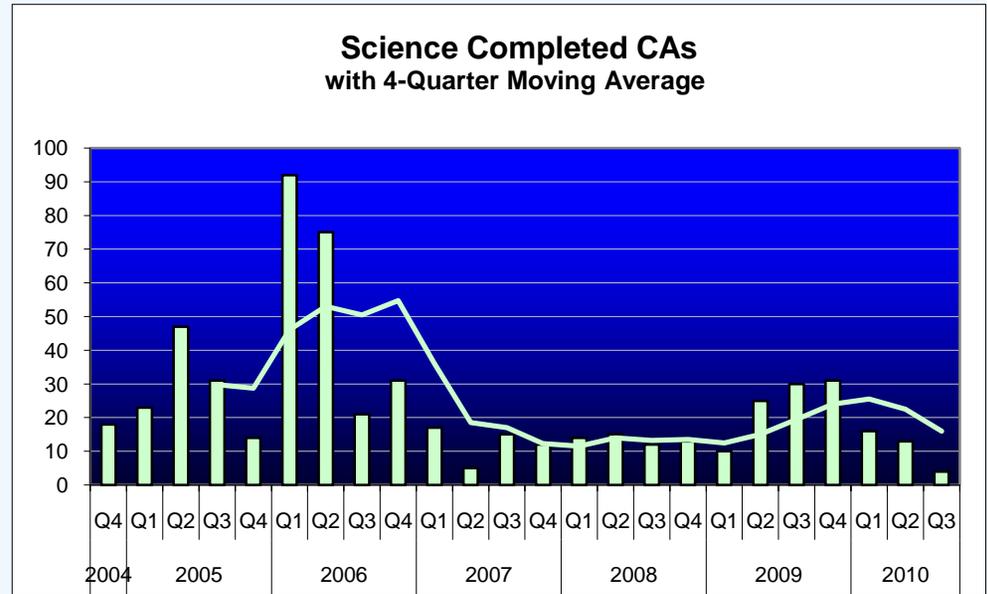
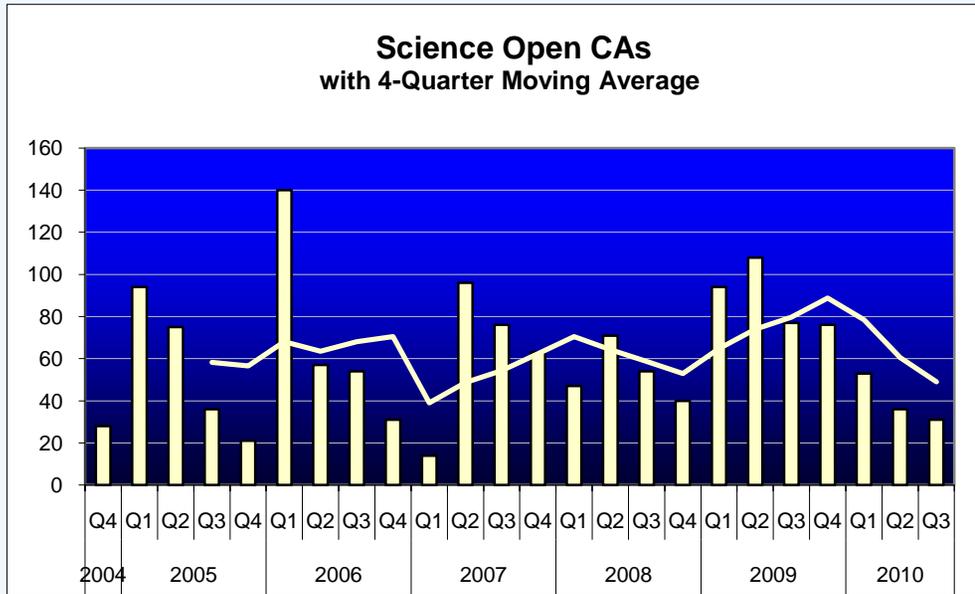
Late Corrective Action 1: ANLE-07/07/2005-I0019-0005-A due 05/30/2008

Argonne National Laboratory - Total Late Corrective Actions: **1**

**OFFICE OF SCIENCE TOTAL LATE CORRECTIVE ACTIONS: 1**

**The Argonne National Laboratory corrective action was due on May 30, 2008 and has been late for over 2 years.**

# Science Corrective Action Trends



# Abbreviations

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<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>PMA</b>	<b>Power Marketing Administration</b>
<b>CH</b>	<b>Chicago Operations Office</b>	<b>PNSO</b>	<b>Pacific Northwest Site Office</b>
<b>EM</b>	<b>Office of Environmental Management</b>	<b>PP</b>	<b>Pantex Plant</b>
<b>ETTP</b>	<b>East Tennessee Technology Park</b>	<b>PPPO</b>	<b>Portsmouth/Paducah Project Office</b>
<b>HQ</b>	<b>Department of Energy Headquarters</b>	<b>PSO</b>	<b>Pantex Site Office</b>
<b>HS</b>	<b>Office of Health, Safety &amp; Security</b>	<b>RL</b>	<b>Richland Operations Office</b>
<b>ICP</b>	<b>Idaho Cleanup Project</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 Laboratories</b>
<b>KCP</b>	<b>Kansas City Plant</b>	<b>SO</b>	<b>Secretarial Office</b>
<b>KCSO</b>	<b>Kansas City Site Office</b>	<b>SR</b>	<b>Savannah River Operations Office</b>
<b>LANL</b>	<b>Los Alamos National Laboratory</b>	<b>SRS</b>	<b>Savannah River Site</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>WIPP</b>	<b>Waste Isolation Pilot Plant</b>
<b>NAEO</b>	<b>NNSA Emergency Operations</b>	<b>XM</b>	<b>Emergency Management</b>
<b>NE</b>	<b>Office of Nuclear Energy</b>	<b>Y-12</b>	<b>Y-12 National Security Complex</b>
<b>NNSA</b>	<b>National Nuclear Security Administration</b>	<b>YSO</b>	<b>Y-12 Site Office</b>
<b>NSO</b>	<b>Nevada Site Office</b>		