
Ames Laboratory
Office: Environment, Safety, Health and Assurance
Title: Corrective Action Development
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Procedure 10200.039
Revision 1
Effective Date 1/15/02
Review Date 1/15/04

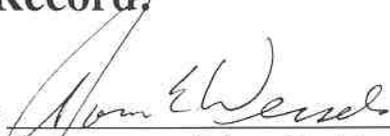
Corrective Action Development

This procedure shall be used to direct the development of safety-related Corrective Actions for the Ames Laboratory.

Comments and questions regarding this procedure should be directed to the contact person listed below:

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Sign-off Record:

Approved by: 
Environment, Safety, Health and Assurance Office

Date: 12-28-01

Reviewed by: 
Deputy Director

Date: 1-02-02

1.0 Revision/Review Log

This document will be reviewed and revised as necessary, once every two years at a minimum.

<u>Revision Number</u>	<u>Effective Date</u>	<u>Contact Person</u>	<u>Pages Affected</u>	<u>Description of Revision</u>
0	01/15/99	T.E. Wessels	All	Initial Document
1	01/15/02	T.E. Wessels	All	Minor editorial changes

2.0 Purpose and Scope

This document describes the process utilized by Ames Laboratory to direct the development of corrective actions related to Safety deficiencies and issues. The previous corrective action development process has occasionally exhibited the following weaknesses.

- Actions do not address the primary causal factors of the identified deficiency.
- Actions are not institutionalized into existing operating practices.
- Actions are not tracked to completion.

This procedure is designed to provide guidance for the development of corrective actions and identify systems for tracking actions. This information is applicable to actions developed in response to deficiencies identified by the following processes.

- Independent Walk-Through Program.
- DOE-CH Surveillance Program and other DOE reviews.
- Inspections by external regulatory organizations.
- ESH&A's Plant Protection Section (PPS) Discrepancy Reports.
- ESH&A Topical Appraisals.
- Employee Safety Concerns Program.
- Incident and Accident Investigations.
- Injury/Illness investigations and discussions.

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3.0 Performance

3.1 Guidance for Development of Safety Corrective Action

The following guidance is provided to direct the development of Safety Corrective Actions.

- Develop an understanding of the basis, scope and cause of the deficiency.
- Examine existing documentation of programs and practices related to the deficiency.
- Review resource needs for proposed actions with appropriate line management.
- Develop or modify documentation for programs and practices related to the deficiency.
- Include the root cause of the deficiency in periodic trend analysis.
- If appropriate, provide a mechanism for periodic review of programs and/or practices impacted by the corrective action.

3.2 Guidance for Tracking of Safety Corrective Actions

The following guidance is provided to direct the tracking of Safety Corrective Actions.

- Computer based systems are effective for managing information related to Safety deficiencies and Corrective Actions. A database, Corrective Action 5, is available through ESH&A for the tracking of Safety deficiencies.
- Deficiencies identified through the following processes are tracked by ESH&A.
 - Independent Walk-Through Program.
 - DOE-CH Surveillance Program and other DOE reviews.
 - Inspections by external regulatory organizations.
 - ESH&A's Plant Protection Section (PPS) Discrepancy Reports.
 - ESH&A Topical Appraisals.
 - Employee Safety Concerns Program.
 - Incident and Accident Investigations.
 - Injury/Illness investigations and discussions.
- Safety issues, such as the following, are tracked by DOE-Ames Area Office.
 - Type A and Type B Investigation Corrective Action Plans.
 - ISM Pre-Verification and Phase I and Phase II Verification.

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4.0 Post Performance Activity

Following the completion of the safety-related Corrective Action, the Environment, Safety, Health and Assurance Office is responsible for the following actions.

- Verify and document completion of the safety-related action.
- File and maintain all documentation related to the identification, closeout and verification of the Safety related Corrective Action.
- Provide closeout notification to appropriate Program/Department and/or DOE.