

# memorandum

DATE: October 18, 2006

Audit Report Number: OAS-L-07-02

REPLY TO

ATTN OF: IG-32 (A06LL041)

SUBJECT: Audit Report on "Emergency Response Training at Lawrence Livermore National Laboratory"

TO: Manager, Livermore Site Office, National Nuclear Security Administration

## INTRODUCTION AND OBJECTIVE

The Secretary of Energy (Secretary) identified the safety of employees and the communities surrounding the Department of Energy's (Department) facilities as one of his highest priorities. Consistent with this priority, the National Nuclear Security Administration (NNSA) tasked Lawrence Livermore National Laboratory (Laboratory) to ensure that its firefighters were properly trained to protect its employees and surrounding communities from exposure to the hazardous materials used at the Laboratory. The Laboratory operates two fire stations to respond to fires and hazardous material incidents. To obtain additional support, the Laboratory entered into mutual aid agreements with firefighting entities from local cities, Alameda County, regional special districts, the State of California, and the U.S. Navy.

Because of the Secretary's emphasis on employee and community safety, we initiated this audit to determine whether the Laboratory had trained its firefighters to respond to fires and hazardous material incidents and afforded the mutual aid firefighting agencies the opportunity to train with its firefighters.

## CONCLUSIONS AND OBSERVATIONS

We determined that the Laboratory's firefighters had been trained to respond to fires and hazardous material incidents. Further, the Laboratory had afforded the mutual aid firefighting agencies the opportunity to train with its firefighters and become familiar with the Laboratory's facilities. However, based on our review of the Laboratory's training records, we determined that not all of the Laboratory's firefighters were completing their certifications, proficiency training courses and field exercises within the required training intervals. Of the 13 certifications, proficiency training courses, and field exercises we tested, some firefighters did not complete the training for four of these requirements within prescribed frequencies. For example:

- The Laboratory's firefighters are required to take Radiological Worker Training on a biennial basis. However, we found that 36 of the 42 firefighters (86 percent) were late in completing this training by one to three months. The Laboratory subsequently scheduled and conducted this training course in September 2006 so these firefighters could meet the biennial requirement.

- Firefighters are also required to take Firefighter Survival Training on an annual basis. However, we found that 5 of the 42 firefighters (12 percent) were late in completing this training by four to seven months. The Laboratory subsequently scheduled and conducted this training course in October 2006 so these firefighters could meet the requirement.

Many of the Laboratory's firefighters completed their training late because management did not monitor and ensure its firefighters were completing required certifications, proficiency training courses, and field exercises on a timely basis. The Laboratory requires the fire captains to monitor and ensure that their assigned firefighters are completing their required training on time. However, the Laboratory's training captain acknowledged that fire captains were not adequately monitoring the status of their firefighters' training.

Laboratory policies also require (1) the fire department to ensure that firefighter training records are updated within 10 working days of course completion; and, (2) that course instructors turn in appropriate documentation to the training captain so the training records can be updated. Firefighter training records are maintained in an electronic database, the Livermore Training Records and Information Network (LTRAIN). Management uses LTRAIN to track and manage firefighter training records to identify when required certifications, proficiency training courses, and field exercises are due. However, our review showed that the fire department did not ensure that the LTRAIN records were always updated within the 10 working days after the firefighters completed their training. For example, two training courses, Meteorological Conditions and Forcible Entry, were conducted in May 2006 but were not posted in LTRAIN until July 2006. This happened because a course instructor, who was a fire captain, did not turn in the appropriate documents to the training captain for over a month after the completion of the training. Further the training captain did not follow through to ensure the documents were submitted. As a result, the database could not be relied upon to accurately alert management when firefighters were required to renew their training requirements.

### SUGGESTED ACTIONS

To better ensure that the Laboratory's firefighters are able to adequately respond to fires and hazardous material incidents, we suggest that the Manager, Livermore Site Office, direct the Laboratory to ensure that firefighters':

- Certifications, required proficiency training, and field exercises are scheduled and completed within established time frequencies; and,
- Training records are promptly updated.

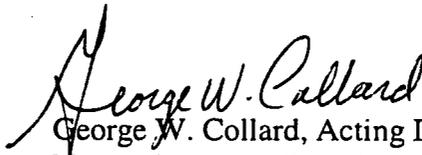
### SCOPE AND METHODOLOGY

The audit was performed from April 2006 to October 2006 at the Lawrence Livermore National Laboratory and the Livermore Site Office in Livermore, CA; the Alameda County Fire Department in San Leandro, CA; the Livermore-Pleasanton Fire Department in Pleasanton, CA; and, the City of Tracy Fire Department in Tracy, CA.

To accomplish the audit objective, we: (1) identified and reviewed appropriate Department and NNSA laws and regulations and Laboratory policies and procedures with respect to firefighter certification, training, and field exercises; (2) interviewed NNSA, Laboratory, and mutual aid officials; and, (3) tested a judgmental sample of 13 out of 152 firefighter training requirements for certifications, training courses and field exercises for completion.

We conducted the audit according to generally accepted Government auditing standards for performance audits and included tests of controls and compliance with laws and regulations to the extent necessary to satisfy the audit objective. Because our review was limited, it would not necessarily have disclosed all internal control deficiencies that may have existed at the time of our audit. We found we could not rely on the computer-processed data; therefore, we conducted a physical review of firefighter training records, such as signed certificates, attendance rosters and class syllabuses, to accomplish our audit objective. Finally, we reviewed the implementation of the Government Performance Results Act of 1993 and determined that no performance measures exist that were directly related to firefighter training.

Since no recommendations are being made in this letter report, a formal response is not required. We appreciate the cooperation of your staff during the audit.

  
George W. Collard, Acting Director  
National Nuclear Security Administration  
Audits Division  
Office of Inspector General

Attachment

cc: Chief of Staff  
Director, Policy and Internal Controls Management, NA-66  
Team Leader, Audit Liaison Team, CF-1.2