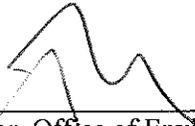
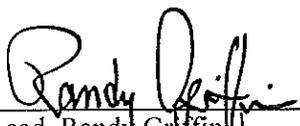


		Number: EA CRAD 33-01 Revision: 0 Effective Date: December 29, 2014
2015 Emergency Management Program Review Criteria Review and Approach Document		
Authorization and Approval	 Director, Office of Environment, Safety and Health Assessments Date: 12/29/14	 Lead, Randy Griffin Emergency Management Date: 29 DEC 2014

1.0 PURPOSE

Within the Office of Enterprise Assessments (EA), the Office of Environment, Safety and Health Assessments (EA-30) mission is to assess the effectiveness of those safety and emergency management systems and practices used by site/facility organizations in implementing Integrated Safety Management; and to provide clear, concise, and independent evaluations of performance in protecting our workers, the public, and the environment from the hazards associated with Department of Energy (DOE) activities and sites.

In addition to the general independent oversight requirements and responsibilities specified in DOE Order 227.1, *Independent Oversight Program*, this criteria review and approach document (CRAD), in part, fulfills the responsibility assigned to EA in DOE Order 151.1C, *Comprehensive Emergency Management System*, to provide independent oversight of the Comprehensive Emergency Management System. Further, the actions described in the Office of Health, Safety and Security Operating Experience Level 1, *Improving DOE Capabilities for Mitigating Beyond Design Basis Events*, will be included in the scope of this CRAD.

A key to success is the rigor and comprehensiveness of our process; and, as with any process, we continually strive to improve and provide additional value and insight to field operations. Integral to this is our commitment to enhance our program. We continue to make CRADs available for use by DOE line and contractor assessment personnel in developing effective DOE oversight, contractor self-assessment, and corrective action processes; the current revision is available at:
<http://energy.gov/node/611001/listings/criteria-review-and-approach-documents>.

2.0 APPLICABILITY

The following CRAD is approved for use by the Office of Emergency Management Assessments (EA-33).

3.0 FEEDBACK

Comments and suggestions for improvements on this CRAD can be directed to the Director, Office of Environment, Safety and Health Assessments, at (301) 903-5392.

4.0 CRITERIA REVIEW AND APPROACH

OBJECTIVE

Technical Planning Basis: The site analyzes plausible scenarios to determine capabilities needed for an effective emergency response and has a means for determining quickly whether an event results in the loss of a significant quantity of hazardous material. (DOE Order 151.1C)

CRITERIA

1. The hazards surveys identify the threats from emergency conditions, such as fires, work place accidents, and natural phenomena events. (DOE Order 151.1C)
2. The hazardous material screening process identifies specific hazardous material and quantities that require further analysis in an emergency planning hazards assessment (EPHA). (DOE Order 151.1C)
3. The EPHAs identify the hazards and consequences from unplanned releases of hazardous materials using accepted assessment techniques. (DOE Order 151.1C)
4. The EPHAs identify emergency response capabilities needed to mitigate analyzed events and the size of the emergency planning zone. (DOE Order 151.1C)
5. The site uses an accurate and timely method for tracking changes in operations, processes, or accident analyses that involve hazardous materials that allows sufficient time for emergency management personnel to review the EPHA and modify plans and procedures, as necessary. (DOE Order 151.1C)
6. Emergency action levels (EALs) exist for the spectrum of potential Operational Emergencies. (DOE Order 151.1C)
7. The site develops protective actions and protective action recommendations for identified Operational Emergencies. (DOE Order 151.1C)

APPROACH

Record Review:

- Documented safety analyses (for facilities of interest)
- EALs (for facilities of interest)
- Emergency plan

- Emergency planning hazards surveys (for facilities of interest)
- Emergency planning zone documentation
- Emergency readiness assurance plan (ERAP)
- EPHAs (for facilities of interest)
- Hazardous material screening process description
- Hazards survey, EPHA, EAL, and protective action development/maintenance procedures

Interviews:

- Contractor emergency management hazards analysts
- Contractor emergency management program lead.

Observations:

- Walkdowns and review for hazardous material identification, form, location, and inventory controls for facilities of interest.

OBJECTIVE

Program Administration: The site establishes and maintains the authorities and resources necessary to plan, develop, implement, and maintain a viable, integrated, and coordinated comprehensive emergency management program. (DOE Order 151.1C)

CRITERIA

1. The site designates an individual (DOE and contractor) to administer the facility/site or activity emergency management program with responsibility and authority to ensure: (DOE Order 151.1C)
 - Development and maintenance of the emergency plan, hazards surveys, EPHAs, and emergency plan implementing procedures (EPIPs)
 - Development of the annual ERAP
 - Development and conduct of the training and exercise programs
 - Coordination of assessment activities and emergency resources.
2. The DOE field office ensures an appropriately trained and technically capable individual is designated to administer the emergency management program.
3. The emergency plan documents the emergency management program and describes the provisions for response to an Operational Emergency. (DOE Order 151.1C)
4. The EPIPs describe how emergency plan is implemented. (DOE Order 151.1C)
5. Formal review and approval processes ensure that the emergency plan, hazards surveys, EPHAs, and EPIPs receive sufficient oversight by staff, management, and DOE to ensure consistency, correctness, and completeness. (DOE Guide 151.1-3)

APPROACH

Record Review:

- DOE emergency management program manager training and qualification requirements
- Emergency plan
- Emergency planning hazards surveys (for facilities of interest)

- EPHAs (for facilities of interest)
- EIPs
- ERAP
- Organization chart(s) (including reporting relationships for the DOE emergency management program manager and contractor emergency management organization)
- Review and approval process descriptions for the emergency plan, hazards surveys, EPHAs, and EIPs (DOE and contractor)

Interviews:

- Contractor emergency management program lead
- DOE field office emergency management program manager

OBJECTIVE

Exercises: The site validates all elements of an emergency management program using an effective, structured approach and realistic scenarios. (DOE Order 151.1C)

CRITERIA

1. The site validates all elements of the emergency management program over a 5-year period and invites offsite response organizations to participate in site-wide exercises at least once every 3 years. (DOE Order 151.1C)
2. The site fully documents each exercise and includes specific objectives, scenario, scope, list of participants, timelines, injects, controller instructions, and evaluation criteria. (DOE Order 151.1C)
3. The site exercises its emergency response capability annually and rotates the basis for the exercise among its facilities with EPHAs. (DOE Order 151.1C)
4. Site-level emergency response organization elements and resources participate in a minimum of one exercise annually. (DOE Order 151.1C)
5. The site evaluates its exercises and uses a critique process that gathers and documents observations of the participants. (DOE Order 151.1C)
6. The site completes exercise after-action reports within 30 working days. (DOE Order 151.1C)

APPROACH

Record Review:

- Emergency plan
- ERAP
- Exercise after-action reports for the last two calendar years
- Exercise packages for the last two calendar years
- Exercise program description/manual
- 5-year exercise schedule.

Interviews:

- Contractor emergency management exercises lead
- Contractor emergency management program lead

- DOE field office emergency management program manager

OBJECTIVE

Readiness Assurance: The site assures that emergency plans, implementing procedures, and resources are adequate through evaluations and exercises and that appropriate and timely improvements are made in response to needs identified by the evaluations and exercises. (DOE Order 151.1C)

CRITERIA

1. The site (DOE and contractor) conducts an annual self-assessment of their emergency management programs, based on specific standards and criteria that are issued by the Director, Office of Emergency Operations. (DOE Order 151.1C)
2. DOE conducts an evaluation of the contractor emergency management program every three years, based on specific standards and criteria that are issued by the Director, Office of Emergency Operations. (DOE Order 151.1C)
3. The site develops corrective action plans within 30 working days of receipt of the final evaluation report, exercise after-action report, or final emergency report. (DOE Order 151.1C)
4. The site completes corrective actions as soon as possible and before the next annual self-assessment for corrective actions involving revision of procedures or training of personnel. (DOE Order 151.1C)
5. A verification and validation process, independent of those who performed the corrective action, verifies that the corrective action has been put in place, and validates that the corrective action has been effective in resolving the original finding. (DOE Order 151.1C)

APPROACH

Record Review:

- Closure records for complete corrective actions (for issues of interest)
- Contractor assurance system program description
- Contractor emergency management program assessments for the past two calendar years
- DOE assessments of the contractor emergency management program for the past three calendar years
- DOE self-assessments of their emergency management program for the past two calendar years
- Emergency management program assessment procedures and schedules (DOE and contractor)
- ERAP
- Final emergency reports for any operational emergencies that occurred during the past two calendar years
- Issues management, corrective actions, and root cause analysis procedures (DOE and contractor)
- Listing of open and closed emergency management issues from DOE and contractor issues management system(s) for the past two calendar years

Interviews:

- Contractor emergency management assessments lead
- Contractor emergency management issues management lead
- Contractor emergency management program lead
- DOE field office emergency management program manager