

Administrative Change

An administrative change to this directive was approved on 10-29-03. In accordance with the Departmental Directives System:

Administrative Changes are simple changes that do not substantively affect the directive. Examples of such changes are nomenclature changes to organization names or titles of officials, changes to legal citations, and minor reductions in requirements and responsibilities.

To see the redline/strikeout of changes for this administrative change, please click on <http://www.directives.doe.gov/reference/rso1511b.pdf>

Approved: 11-01-00
Administrative Change: 10-29-03
Expires: 11-01-04

SUBJECT: COMPREHENSIVE EMERGENCY MANAGEMENT SYSTEM

1. OBJECTIVES.

- a. To establish policy and to assign and describe roles and responsibilities for the Department of Energy (DOE) Emergency Management System. The Emergency Management System provides the framework for development, coordination, control, and direction of all emergency planning, preparedness, readiness assurance, response, and recovery actions. The Emergency Management System applies to DOE and to the National Nuclear Security Administration (NNSA).
- b. To establish requirements for comprehensive planning, preparedness, response, and recovery activities of emergency management programs for or for organizations requiring DOE/NNSA assistance.
- c. To describe an approach to effectively integrate planning, preparedness, response, and recovery activities for a comprehensive, all-emergency management concept.
- d. To integrate public information and emergency planning to provide accurate, candid, and timely information to site workers and the public during all emergencies.
- e. To promote more efficient use of resources through greater flexibility (i.e., the graded approach) in addressing emergency management needs consistent with the changing missions of the Department and its facilities.
- f. To ensure that the DOE Emergency Management System is ready to respond promptly, efficiently, and effectively to any emergency involving DOE/NNSA facilities, activities, or operations; or requiring DOE/NNSA assistance.
- g. To integrate various requirements promulgated by other agencies into the Department's Emergency Management System.
- h. To eliminate duplication of emergency management effort within the Department.

2. CANCELLATIONS. The following Order is canceled: DOE O 151.1A, COMPREHENSIVE EMERGENCY MANAGEMENT SYSTEM, of 11-01-00. Cancellation of an Order does not, by itself, modify or otherwise affect any contractual obligation to comply with such an Order. Canceled Orders incorporated by reference in a contract will remain in effect until the contract is modified to delete the reference to the requirements in the canceled Orders.
3. APPLICABILITY.
 - a. DOE Elements. Except for the exclusions listed in paragraph 3c, this Order applies to all DOE/NNSA elements listed in Attachment 1.
 - b. Site/Facility Management Contracts.
 - (1) The Contractor Requirements Document (CRD), Attachment 2, sets forth requirements of this Order that will apply to site/facility management contracts that include the CRD.
 - (2) Except for the exclusions listed in paragraph 3c, the CRD must be included in all site/facility management contracts associated with the management and operation of DOE/NNSA-owned facilities and associated transportation activities, and in all contracts pertaining to the provision of emergency assistance.
 - (3) The office identified in Chapter I, Responsibilities, is responsible for notifying the contracting officer of which site/facility management contracts are affected. Once notified, the contracting officer is responsible for incorporating the CRD as a List B directive into each affected site/facility management contract via the laws, regulations, and DOE directives clause of the contract.
 - (4) As the laws, regulations, and DOE directives clause of a site/facility management contract states, regardless of the performer of the work, the site/facility management contractor with the CRD incorporated into its contract is responsible for compliance with the requirements of the CRD. An affected site/facility management contractor is responsible for flowing down the requirements of this CRD to subcontracts at any tier to the extent necessary to ensure the site/facility management contractor's compliance with the requirements. In doing so, the contractor must not unnecessarily or imprudently flow down requirements to subcontracts. That is, the contractor must (1) ensure that it and its subcontractors comply with the requirements of this CRD to the extent necessary to ensure the contractor's compliance, and (2) only incur costs that would be incurred by a prudent person in the conduct of competitive business.

c. Exclusions.

- (1) The facilities and activities of the Naval Nuclear Propulsion Program and the Power Marketing Administrations are exempt from the requirements of this Order.
- (2) All DOE/NNSA facilities subject to Nuclear Regulatory Commission (NRC) license requirements are specifically exempted from the requirements of this Order.
- (3) If a DOE/NNSA element or contractor can demonstrate that it is subject to emergency management program requirements under the authority of other Federal regulatory agencies and those requirements are at least as stringent as the requirements of this Order, then an exemption may be requested.
- (4) Requests for exemptions from the requirements of this Order must document the basis for each exemption and must establish and justify alternatives equivalent to, or exceeding, this Order. Requests for exemptions must be submitted for approval by the Deputy Secretary.

4. REQUIREMENTS.

a. General.

- (1) DOE/NNSA sites/facilities, including DOE/NNSA transportation activities, DOE/NNSA offices in the field, and DOE Headquarters offices, must develop and participate in an integrated and comprehensive Emergency Management System to ensure that—
 - (a) the Department can respond effectively and efficiently to Operational Emergencies and Energy Emergencies and can provide Emergency Assistance so that appropriate response measures are taken to protect workers, the public, the environment, and the national security;
 - (b) emergencies are recognized and classified promptly, and parameters associated with the emergency are monitored to detect changed or degraded conditions;
 - (c) emergencies are reported and notifications are made; and
 - (d) reentry activities are properly and safely accomplished, and recovery and post-emergency activities commence properly.

- (2) Emergency **planning** must include identification of hazards and threats, hazard mitigation, development and preparation of emergency plans and procedures, and identification of personnel and resources needed for an effective response.
- (3) Emergency **preparedness** must include acquisition and maintenance of resources, training, drills, and exercises.
- (4) Emergency **response** must include the application of resources to mitigate consequences to workers, the public, the environment, and the national security, and the initiation of recovery from an emergency.
- (5) **Recovery** must include planning for and actions taken following termination of the emergency to return the facility/operations to normal.
- (6) **Readiness assurance** must include assessments and documentation to ensure that stated emergency capabilities are sufficient to implement emergency plans.
- (7) The Headquarters Operations Center must serve as the point of contact for receipt of all emergency notifications and reports. Accordingly, the Headquarters Operations Center receives, coordinates, and disseminates emergency information to Headquarters elements and program office emergency points of contact, the White House Situation Room, and other Federal agencies.
- (8) The Cognizant Field Element, as designated by the Lead Program Secretarial Office, provides first (lowest) level of line management oversight of DOE/NNSA facilities/sites/activities.
- (9) The Office of Independent Oversight and Performance Assurance provides independent oversight of the Comprehensive Emergency Management System.
- (10) Implementation of a comprehensive emergency management program at a DOE/NNSA site/facility/activity must be commensurate with the hazards present at that site/facility/activity (i.e., it must be developed consistent with a graded approach).
- (11) Responsibilities must be established in accordance with Chapter I of this Order.

- (12) A Headquarters Emergency Management Team must be established, as necessary, for Operational Emergencies, Energy Emergencies, and Emergency Assistance. The Headquarters Emergency Response Plan describes formation and functions of the Headquarters Emergency Management Team.
- (13) Each DOE/NNSA site/facility must have an Operational Emergency Base Program that implements the requirements of applicable Federal, State, and local laws/regulations/ordinances for fundamental worker safety programs (e.g., fire, safety, and security). These requirements are not unique to DOE/NNSA operations. See Chapter III.
- (14) In addition to the Operational Emergency Base Program, each DOE/NNSA site/facility with significant quantities of hazardous materials (radiological and non-radiological) must develop and maintain a quantitative hazards assessment and meet more detailed emergency planning requirements. Hazardous materials are any solid, liquid, or gaseous material that is toxic, flammable, radioactive, corrosive, chemically reactive, or unstable upon prolonged storage in quantities that could pose a threat to life, property, or the environment. Oil is not included in this definition of hazardous materials. See Chapter IV for specific requirements pertaining to Operational Emergency Hazardous Materials Programs.
- (15) Each DOE/NNSA site/facility must declare an Operational Emergency when events or conditions require time-urgent response from outside the immediate/affected site/facility or area of the incident. Such events or conditions cause or have the potential to cause serious health and safety impacts to workers or the public, serious detrimental effects on the environment, direct harm to people or the environment as a result of degradation of security or safeguards conditions, or loss of control over hazardous materials. Each DOE/NNSA site/facility must further classify Operational Emergencies involving hazardous materials as an Alert, Site Area Emergency, or General Emergency, in order of increasing severity. See Chapter V.
- (16) The Department's Energy Emergency Program must encompass events or conditions representing, causing, or having the potential to cause, a substantial impact on energy supply or infrastructure in a limited local area, region of the country, or the nation as a whole. See Chapter VI.
- (17) As directed by Executive order or other binding agreements, the Department's Emergency Assistance Program must encompass a DOE response to national security threats or other events or conditions

requiring DOE assistance, expertise, resources, or assets, and including Continuity of Government and Continuity of Operations Programs. Accordingly, the Emergency Assistance Program must include all activities whereby Departmental resources, emergency response assets, personnel, and/or facilities are used to support Federal Plans, Presidential directions, and State, local, or Tribal agreements of mutual aid. See Chapter VII.

- (18) Each DOE/NNSA site/facility must notify DOE/NNSA (as appropriate), and offsite officials when emergencies occur. The notification and reporting requirements within this Order have been coordinated with DOE requirements for non-emergency occurrence reporting. See Chapter VIII.
- (19) Each DOE/NNSA site/facility must provide accurate, candid, and timely information about emergencies to workers and the public. See Chapter IX.
- (20) Each DOE/NNSA site/facility must establish a readiness assurance program to ensure that stated emergency capabilities are sufficient to implement emergency plans. See Chapter X.
- (21) Each DOE/NNSA site/facility, along with other DOE/NNSA offices, must document the emergency management program in an Emergency Plan. See Chapter XI.

b. Planning and Preparedness. Each site/facility and DOE/NNSA element must assess its emergency management needs to plan and implement a comprehensive emergency management program commensurate with the hazards present (i.e., consistent with a graded approach).

- (1) Operational Emergencies.
 - (a) Sites/Facilities/Activities. All Departmental elements and contractors with responsibilities for site/facility operations and activities must participate in development of comprehensive emergency management programs. Such programs must contribute to the Department's Comprehensive Emergency Management System by promoting effective and efficient integration of all applicable requirements, including those promulgated by other agencies.
 - (b) Cognizant Field Elements. Cognizant Field Elements must have trained emergency response staff and must provide sites/facilities/activities under their cognizance with the following:

- 1 direction to implement emergency management policy and requirements;
 - 2 direction in emergency planning and preparedness activities;
 - 3 support and assistance during emergencies; and
 - 4 support and assistance in resolving issues in site/facility/activity emergency management programs, as well as assessments of site/facility/activity emergency management programs.
- (2) Energy Emergencies. The Energy Emergency Program must be planned to ensure that the Department is capable of assisting in the prevention and mitigation of energy supply crises and their associated economic impacts. The program also must provide for DOE assistance for Presidentially declared emergencies invoking the Stafford Act (Public Law 93-288, as amended) and as implemented through the Federal Response Plan. The Energy Emergency Program may be implemented along with Emergency Assistance.
- (3) Emergency Assistance. Emergency Assistance planning and preparedness must include preparation to deploy Departmental resources, emergency response assets, and personnel, and/or use of facilities to support Federal interagency plans and agreements, Presidential direction, and State, local, or Tribal agreements of mutual aid. Emergency Assistance may be implemented along with an Energy Emergency response.
- (4) Headquarters.
 - (a) The Director, Office of Emergency Operations, is the single point of contact and control for all emergency management activities and issues all policy, requirements, and guidance for the Department's Emergency Management System.
 - (b) Program Secretarial Officers ensure implementation of policy and requirements for activities conducted by sites/facilities and/or Cognizant Field Elements under their authority.

- (c) The Administrator, NNSA, provides programmatic direction for the Department's radiological emergency response assets. The Assistant Secretary for Environmental Management provides programmatic direction for the Transportation Emergency Preparedness Program (TEPP). The Director of Nuclear Energy, Science, and Technology provides programmatic direction for space nuclear system applications, including space launch and space flight aborts. Programmatic direction for these programs must be provided in coordination with the Director, Office of Emergency Operations.

c. Response.

(1) Operational Emergency Response.

- (a) Site/Facility. Personnel and resources at the site/facility level comprise the primary response capability for an Operational Emergency.

1 Sites/facilities must direct appropriate emergency response within the area under their control and at the scene of the emergency, including effective coordination between the incident commander at the event scene and the individual in charge of overall management and coordination of site/facility response activities.

2 Sites/facilities must promptly notify local, State, Tribal, DOE/NNSA (as appropriate), and other regional Federal agencies when events categorized as Operational Emergencies occur.

(b) Cognizant Field Element.

1 Cognizant Field Elements must monitor the facility response, provide support, and assist with issue resolution.

2 Cognizant Field Elements must monitor the notification process at the site/facility and make notifications of applicable DOE/NNSA emergency events as necessary or appropriate.

3 Cognizant Field Elements must coordinate interagency and public information activities at the regional level and coordinate directly with Headquarters.

the health and safety of workers and the public, the environment, or national security.

- (b) In accordance with the provisions of the Headquarters Emergency Response Plan, the Emergency Management Team must use a matrix approach to provide technical and support personnel from appropriate Headquarters elements. The Headquarters Emergency Management Team must also coordinate any support needed from other Federal agencies and prepare Departmental briefings on the emergency.

- (5) Response Termination. In general, response activities are terminated when the situation has been stabilized. At this point, potential threats to workers, the public, the environment, and national security have been characterized; conditions no longer meet established emergency categorization criteria; and it appears unlikely that conditions will deteriorate. In coordination with response organizations, the emergency is then declared terminated and activities focus on recovery.

- d. Recovery. Mitigative, cleanup, and restoration activities may begin prior to response termination. However, excluding recovery planning, recovery activities fully begin following response termination. Recovery activities require the coordinated efforts of the affected site/facility; its line management; the Office of Emergency Operations; the Office of Environment, Safety and Health; the Office of Environmental Management; General Counsel; and the Office of Congressional and Intergovernmental Affairs. Specific recovery requirements and procedures are established on a case-by-case basis.

5. RESPONSIBILITIES. See Chapter I.

6. IMPLEMENTATION.

- a. Sites/facilities must develop implementation schedules for full compliance. These schedules must be submitted to the Cognizant Field Element manager for approval with the next annual Emergency Readiness Assurance Plan.
- b. Hazards surveys, changes to hazards assessments, or new hazards assessments must be completed by September 30, 1997.
- c. To fully comply with this Order, site/facility emergency management programs must be completed by September 30, 1999.
- d. Non-mandatory implementation guidance for this Order is published separately in the Emergency Management Guides (or replacements).

7. CONTACT. For assistance regarding this directive, contact the Director, Office of Emergency Operations, at 202-586-9892.

BY ORDER OF THE SECRETARY OF ENERGY:



KYLE E McSLARROW
Deputy Secretary

CONTENTS

Chapter I. RESPONSIBILITIES

1.	DEPUTY SECRETARY	I-1
2.	DIRECTOR, OFFICE OF SECURITY	I-1
3.	DIRECTOR, OFFICE OF EMERGENCY OPERATIONS	I-1
4.	STANDING EMERGENCY MANAGEMENT COORDINATING COMMITTEE	I-2
5.	EMERGENCY MANAGEMENT ADVISORY COMMITTEE	I-2
6.	HEADQUARTERS EMERGENCY MANAGER	I-3
7.	PROGRAM SECRETARIAL OFFICERS	I-3
8.	COGNIZANT FIELD ELEMENT MANAGERS	I-4
9.	SITE/FACILITY MANAGERS	I-6
10.	INITIATORS OF PROCUREMENT REQUESTS	I-7
11.	ADMINISTRATOR, NATIONAL NUCLEAR SECURITY ADMINISTRATION	I-7

Chapter II. Reserved

Chapter III. OPERATIONAL EMERGENCY BASE PROGRAM

1.	GENERAL REQUIREMENTS	III-1
2.	RELATED REGULATIONS AND PLANS	III-1
3.	PLANNING PHASE	III-2
	a. Hazards Survey	III-2
	b. Existing Plans	III-2
	c. Planning Requirements	III-3
4.	PREPAREDNESS PHASE	III-4
	a. Training and Drills	III-4
	b. Exercises	III-4
5.	RESPONSE PHASE	III-4
	a. Response	III-4
	b. Termination and Recovery	III-5

Chapter IV. OPERATIONAL EMERGENCY HAZARDOUS MATERIAL PROGRAM

1.	GENERAL REQUIREMENTS	IV-1
2.	RELATED REGULATIONS AND PLANS	IV-1
3.	PLANNING PHASE	IV-2
	a. Emergency Planning Hazards Assessment	IV-2
	b. Planning Requirements	IV-3
4.	PREPAREDNESS PHASE	IV-5
	a. Training and Drills	IV-5
	b. Exercises	IV-5

CONTENTS (continued)

5. RESPONSE PHASE..... IV-6
 a. Response IV-6
 b. Termination and Recovery..... IV-7

Chapter V. OPERATIONAL EMERGENCY EVENTS AND CONDITIONS

1. GENERAL V-1
2. EVENTS THAT DO NOT REQUIRE CLASSIFICATION V-1
 a. Health and Safety V-1
 b. Environment..... V-2
 c. Security and Safeguards..... V-2
 d. Offsite DOE Transportation Activities V-3
3. EVENTS REQUIRING CLASSIFICATION V-3
 a. Alert V-3
 b. Site Area Emergency V-4
 c. General Emergency..... V-5

Chapter VI. ENERGY EMERGENCY PROGRAM

1. GENERAL REQUIREMENTS VI-1
2. RELATED REGULATIONS AND PLANS VI-1
3. PLANNING PHASE VI-1
 a. Hazards Assessment..... VI-1
 b. Planning Requirements VI-1
4. PREPAREDNESS PHASE..... VI-2
5. RESPONSE PHASE..... VI-2

Chapter VII. EMERGENCY ASSISTANCE PROGRAM

1. GENERAL REQUIREMENTS VII-1
2. RELATED REGULATIONS AND PLANS VII-1
3. PLANNING PHASE VII-2
4. PREPAREDNESS PHASE..... VII-3
5. RESPONSE PHASE..... VII-3

Chapter VIII. COMMUNICATIONS REQUIREMENTS

1. GENERAL VIII-1
2. PLANNING PHASE VIII-1
3. PREPAREDNESS PHASE..... VIII-1
4. RESPONSE PHASE..... VIII-1

CONTENTS (continued)

a.	Initial Emergency Notifications.....	VIII-1
b.	Emergency Status Updates	VIII-2
c.	Responder Communications	VIII-2
d.	Final Emergency Report	VIII-2
e.	Recovery Reporting	VIII-2
f.	Classified Information Reviews.....	VIII-3
g.	Energy Emergencies and Emergency Assistance Response.....	VIII-3

Chapter IX. PUBLIC AFFAIRS POLICY AND PLANNING REQUIREMENTS

1.	GENERAL.....	IX-1
2.	PLANNING PHASE	IX-1
3.	PREPAREDNESS PHASE.....	IX-2
4.	RESPONSE PHASE.....	IX-2

Chapter X - EVALUATIONS AND READINESS ASSURANCE

1.	GENERAL.....	X-1
	a. Evaluations.....	X-1
	b. Emergency Readiness Assurance Plans (ERAPs)	X-1
	c. Appraisal and Assessment Programs	X-1
2.	EVALUATIONS	X-1
3.	EMERGENCY READINESS ASSURANCE PLANS (ERAPs).....	X-2
4.	EMERGENCY READINESS ASSURANCE APPRAISALS AND ASSESSMENTS.....	X-2

Chapter XI. PROGRAM ADMINISTRATION

1.	PERSONNEL REQUIREMENTS.....	XI-1
2.	CLASSIFICATION REVIEW.....	XI-1
3.	EMERGENCY PLANS	XI-1
4.	EMERGENCY PLAN IMPLEMENTING PROCEDURES.....	XI-1
5.	LESSONS LEARNED.....	XI-1
6.	EMERGENCY OPERATING RECORDS PROTECTION PROGRAM	XI-1

ATTACHMENT 1. DOE ORGANIZATIONS TO WHICH DOE O 151.1Y IS APPLICABLE

ATTACHMENT 2. CONTRACTOR REQUIREMENTS DOCUMENT

Chapter I

RESPONSIBILITIES

1. DEPUTY SECRETARY. Serves as senior emergency management policy official.
2. DIRECTOR, OFFICE OF SECURITY. In addition to responsibilities as a Secretarial Officer, manages, maintains, and operates a 24-hour single point of contact for Headquarters emergency operations facilities and attendant support capabilities.
3. DIRECTOR, OFFICE OF EMERGENCY OPERATIONS. Serves as the single point of contact and control for all emergency management activities and has program management responsibilities and authorities for the following.
 - a. Issues all policy, requirements, and guidance for the DOE/NNSA Emergency Management System.
 - b. Coordinates and concurs on all emergency management activities, including intra- and inter-Departmental and international activities, Departmental commitments, and exercise and response activities.
 - c. Ensures the Emergency Management System provides a comprehensive and integrated approach to emergency management, including planning, preparedness, response, and recovery.
 - d. Ensures emergency management program integrity through integration of all programs, systems, assets, capabilities, training, and response.
 - e. Conducts emergency management program reviews and attends line management program reviews.
 - f. Establishes, charters, administers, convenes, and chairs the Standing Emergency Management Coordinating Committee.
 - g. Establishes, charters, administers, convenes, and chairs the Emergency Management Advisory Committee.
 - h. Serves as budget and staffing advocate for emergency management programs.
 - i. Prepares and maintains the Headquarters Emergency Response Plan and corresponding implementing procedures for the Headquarters Emergency Management Team, in coordination with Program Secretarial Officers, and conducts appropriate Headquarters Emergency Management Team training.

- j. In accordance with the provisions of the Headquarters Emergency Response Plan, serves as the Emergency Manager or designates the Emergency Manager for all initial activations of the Headquarters Emergency Management Team.
 - k. Maintains a trained cadre of experts capable of supporting a Headquarters response to an Operational Emergency and/or an emergency requiring Emergency Assistance resources and capabilities.
 - l. With the Office of the Assistant Secretary for Environment, Safety and Health, and in coordination with the Cognizant Secretarial Officer(s), ensures the establishment of performance measures and criteria for development and approval of facility and site emergency plans and Emergency Planning Zones.
 - m. Ensures the coordinated development and maintenance of Departmental portions of Federal interagency and international emergency management plans and agreements.
 - n. Provides an annual status report to the Deputy Secretary on DOE and NNSA readiness assurance.
4. STANDING EMERGENCY MANAGEMENT COORDINATING COMMITTEE.
- a. Members include Deputy Assistant Secretary (DAS) or Associate Deputy Assistant Secretaries (ADAS) or equivalent level from Environmental Management; Science; Nuclear Energy, Science and Technology; Fossil Energy; Energy Efficiency and Renewable Energy; and the Deputy Administrator or Associate Deputy Administrator of Defense Nuclear Nonproliferation and Defense Nuclear Programs. DAS or ADAS or equivalent level from Policy and International Affairs; Independent Oversight and Performance Assurance; and Environment, Safety and Health serve as *ex officio* members.
 - b. Identifies and resolves emergency management issues, or as necessary, refers issues to the Executive Committee for resolution.
5. EMERGENCY MANAGEMENT ADVISORY COMMITTEE.
- a. Members include representatives appointed by Headquarters Program Secretarial Officers and Cognizant Field Element managers.
 - b. Provides support to the Director, Office of Emergency Operations, in identifying and resolving Department-wide emergency management issues.

6. HEADQUARTERS EMERGENCY MANAGER.

- a. Leads the Headquarters Emergency Management Team and, in coordination with Cognizant Secretarial Officer organizations, designates the membership of the Team.
- b. Activates the Headquarters Emergency Management Team at the direction of the Deputy Secretary.
- c. Recommends to the Deputy Secretary when the Headquarters Emergency Management Team should be deactivated and if a recovery team is needed.

7. PROGRAM SECRETARIAL OFFICERS.

- a. Ensure implementation of emergency management policy and requirements; maintain programs and systems consistent with policy and requirements.
- b. Ensure funding and resources are adequate for DOE facilities and activities for the continuing and effective implementation of emergency management programs, and that emergency response assets and capabilities are appropriately maintained.
- c. Develop contractor performance measures and criteria in coordination with the Cognizant Field Element, the Assistant Secretary for Environment, Safety and Health, and the Director, Office of Emergency Operations.
- d. Ensure full coordination with the Director, Office of Emergency Operations, on all emergency management activities.
- e. Within areas of programmatic responsibility, ensure the following.
 - (1) Readiness assurance activities are performed, and emergency preparedness activities, including emergency response exercises, are fully coordinated with the Director, Office of Emergency Operations.
 - (2) A system/program is established and maintained for 24-hour initial receipt and further dissemination of emergency notifications; and a current listing of personnel designated to perform the function is maintained and routinely provided to the Director, Office of Emergency Operations, and to the Headquarters Operations Center.
 - (3) Specialized technical representatives and subject matter experts are provided when a Headquarters Emergency Management Team is convened.

- (4) Training and response is adequate in Cognizant Field Element programs.
 - f. Conduct line management reviews of program-specific emergency management activities in coordination with the Director, Office of Emergency Operations.
 - g. Coordinate with the Director of Public Affairs and the Director, Office of Emergency Operations, to provide for the handling and control of information on emergency situations.
 - h. Assign the following:
 - (1) Deputy Assistant Secretary or Associate Deputy Assistant Secretary or equivalent level to serve on the Standing Emergency Management Coordinating Committee;
 - (2) Deputy Assistant Secretary or Associate Deputy Assistant Secretary or equivalent to serve as the senior Program Office representative on the Headquarters Emergency Management Team; and
 - (3) Senior representatives for the Emergency Management Advisory Committee.
8. COGNIZANT FIELD ELEMENT MANAGERS. Function as the first (lowest) DOE/NNSA line management level.
- a. Implement emergency management policy and requirements and maintain programs and systems consistent with policy and requirements.
 - b. Establish and maintain an effective, integrated emergency management program.
 - c. Partner with the Cognizant Secretarial Officers, the Assistant Secretary for Environment, Safety and Health, and the Director, Office of Emergency Operations to establish and maintain performance measures and criteria to implement this Order for facilities and activities under their cognizance, and to ensure that these performance measures and criteria are incorporated in contractual arrangements.
 - (1) Approve and submit approved site Emergency Plans to the Director, Office of Emergency Operations and the Cognizant Secretarial Officer(s).
 - (2) Approve and submit approved Emergency Planning Zones to the Director, Office of Emergency Operations, and the Program Secretarial Officer(s).

- d. Coordinate with the Program Secretarial Officer(s) to ensure resources are available to implement this Order for facilities and activities under their cognizance.
- e. Ensure development of appropriate emergency plan implementing procedures for timely and accurate emergency classification, notification, and reporting of emergency events for facilities under their cognizance. Establish pre-authorization criteria when possible.
- f. Ensure emergency public information planning is integrated with the development and maintenance of Emergency Plans.
- g. Ensure effective communication systems and protocols are coordinated and maintained with the Headquarters Operations Center regarding emergencies involving or affecting facilities or materials under DOE/NNSA jurisdiction or requiring DOE/NNSA assistance.
- h. Review and approve Emergency Readiness Assurance Plans (ERAPs) that cover facilities under their supervision; prepare the Cognizant Field Element annual ERAP; submit it to the Program Secretarial Officer and the Director, Office of Emergency Operations, for inclusion in the annual report of the Deputy Secretary on the status of the Emergency Management System.
- i. Where applicable, predesignate a DOE/NNSA employee as:
 - (1) the On Scene Coordinator when DOE/NNSA is the lead agency for Federal responses under the National Contingency Plan or its replacement,
 - (2) the On Scene Commander when DOE/NNSA is the Lead Federal Agency under the Federal Radiological Emergency Response Plan or its replacement, and/or
 - (3) the Senior Energy Official to coordinate Departmental activities under appropriate Federal plans.
- j. Participate in the development and implementation of mutual assistance agreements with State, Tribal, and local authorities.
- k. Ensure that hazards assessments and hazards surveys for emergency planning purposes are adequately performed and documented.
- l. Ensure Cognizant Field Element personnel and contractors participate in a continuing emergency preparedness program of training, drills, and exercises.

- m. Conduct periodic assessments of facility emergency management programs and/or periodically review contractor self-assessment programs to ensure compliance with DOE directives and policy; provide the results/conclusions to the Program Secretarial Officer and the Director, Office of Emergency Operations. Ensure a maximum of one assessment per site per year.
- n. During an emergency, conduct appropriate and necessary emergency actions.
- o. Implement corrective actions lessons learned from actual emergency responses and based on findings from evaluations, assessments, and appraisals.
- p. Establish and maintain an Emergency Operations Center to respond to emergency events. Every Emergency Operations Center must be equipped with compatible communication, photo/video, and automatic data processing support specified by the Director, Office of Emergency Operations.
- q. Ensure that emergency plans and procedures are prepared, reviewed annually, and updated, as necessary, for all facilities under their purview and are integrated within the overall Cognizant Field Element emergency preparedness program.
- r. Assign senior representatives to the Emergency Management Advisory Committee.
- s. Comply with the requirements of the DOE 5530-series Orders or their replacements, which establish requirements for the radiological emergency response assets programs.
- t. Notify contracting officers of affected site/facility management contracts to incorporate the CRD of this Order into those contracts.

9. SITE/FACILITY MANAGERS.

- a. Develop, implement, maintain, and update, as necessary, an emergency management program, commensurate with the facility-specific hazards and consistent with Departmental directives and standards of performance.
- b. Prepare and maintain emergency plans, procedures, and technical resource capabilities that address emergency classification, notification, reporting, response actions, training and drills, exercises, emergency public information, outreach and coordination, accident investigation, and applicable Federal statutes, State and local laws, DOE Orders, and implementing regulations and guidance.

- c. Prepare and submit to the Cognizant Field Element manager for approval documentation to establish Emergency Planning Zones, Emergency Plans, and Emergency Readiness Assurance Plans.
 - d. Direct appropriate emergency response actions within the area under their control and at the scene of the emergency.
 - e. Participate in the development of mutual assistance agreements with State, Tribal, and local authorities.
 - f. Ensure the effectiveness of a continuing emergency preparedness program.
 - g. Establish and maintain an internal assessment program to ensure the readiness of emergency response capabilities, including developing and conducting a self-assessment program, as well as establishing systems and measures to monitor and evaluate line performance.
10. INITIATORS OF PROCUREMENT REQUESTS must specify in procurement requests if the requirements in the Contractor Requirements Document for this Order are to be applied to the award or subaward resulting from the procurement request.
11. ADMINISTRATOR, NATIONAL NUCLEAR SECURITY ADMINISTRATION (NNSA) must exercise the following responsibilities or delegate to subordinates:
- a. Serves as senior emergency management policy official for the NNSA.
 - b. Ensure implementation of emergency management policy and requirements at sites/facilities/activities (to include transportation activities) and Cognizant Field Elements under their programmatic control or operational cognizance; maintain programs and systems consistent with this policy and requirements.
 - c. Ensure funding and resources are adequate for NNSA facilities and activities (to include transportation activities) under their control for the continuing and effective implementation of emergency management programs, and that emergency response assets and capabilities are appropriately maintained.
 - d. Develop contractor performance measures and criteria in coordination with the Director of Independent Oversight and Performance Assurance, the Assistant Secretary for Environment, Safety and Health, and the Director, Office of Emergency Operations.
 - e. For sites/facilities/activities under their control, ensure the following:

- (1) Readiness assurance activities are performed, and emergency preparedness activities, including emergency response exercises, are fully coordinated with the Director, Office of Emergency Operations.
 - (2) A system/program is established and maintained for 24-hour initial receipt and further dissemination of emergency notifications; a current listing of personnel designated to receive and disseminate notifications is maintained and routinely provided to the Director, Office of Emergency Operations.
 - (3) Specialized technical representatives and subject matter experts are provided when a Headquarters Emergency Management Team is convened.
 - (4) Training and response proficiency is adequate in emergency management programs.
- f. Assign the following:
- (1) Deputy Administrator or Associate Deputy Administrator or equivalent level to serve on the Standing Emergency Management Coordinating Committee;
 - (2) senior representatives for the Emergency Management Advisory Committee.
- g. Ensure that hazards surveys and hazards assessments for emergency planning purposes are adequately performed and documented. Approve and forward approved hazards surveys and hazards assessments to the Director, Office of Emergency Operations.
- h. Approve and submit approved Emergency Planning Zones to the Assistant Secretary for Environment, Safety and Health; and the Director, Office of Emergency Operations.
- i. Approve and submit approved facility/site/activity Emergency Plans to the Director, Office of Emergency Operations.
- j. Ensure development of appropriate emergency plan implementing procedures for timely and accurate emergency classification, formulation of protective actions, notification, and reporting of emergency events for facilities under their cognizance. Establish pre-authorization criteria when possible.

- k. Ensure effective communication systems and protocols are coordinated and maintained with the Headquarters Watch Office regarding emergencies involving or affecting facilities or materials under NNSA jurisdiction or requiring NNSA assistance.
- l. Review and approve Emergency Readiness Assurance Plans (ERAPs) that cover facilities under their supervision; prepare the NNSA annual Emergency Readiness Assurance Plan and submit it to the Director, Office of Emergency Operations, for inclusion in the annual report to the Secretary on the status of the Emergency Management System.
- m. Where applicable, predesignate an NNSA employee to serve as—
 - (a) the On Scene Coordinator when NNSA is the lead agency for Federal responses under the National Contingency Plan,
 - (b) the On Scene Commander when NNSA is the Lead Federal Agency under the Federal Radiological Emergency Response Plan, and/or
 - (c) the Senior Energy Official in accordance with the Federal Radiological Emergency Response Plan.
- n. Conduct periodic assessments of site/facility emergency management programs and/or periodically review contractor self-assessment programs to ensure compliance with DOE directives and policy; provide the results/conclusions to the Director, Office of Independent Oversight and Performance Assurance, and the Director, Office of Emergency Operations.

DOE O 151.1B
10-29-03

II-1 (and II-2)

Chapter II - [Reserved]

Chapter III

OPERATIONAL EMERGENCY BASE PROGRAM

1. GENERAL REQUIREMENTS. Each DOE/NNSA site/facility must have an Operational Emergency Base Program that provides the framework for response to serious events involving health and safety, the environment, safeguards, and security. These events are not unique to DOE/NNSA operations. Any event involving the release of oil is within the scope of the Operational Emergency Base Program.

2. RELATED REGULATIONS AND PLANS. The Operational Emergency Base Program must provide for compliance with the following regulations and plans developed by other Federal Agencies and DOE/NNSA Offices, and with those State and local planning and preparedness requirements that apply:
 - a. Occupational Safety and Health Administration requirements for employee evacuation plans (29 CFR 1910.38) and notification systems (29 CFR 1910.165);
 - b. Federal property management regulations for occupant emergency programs (41 CFR 101-20.103-4) and accident and fire prevention (41 CFR 101-20.105);
 - c. Federal Emergency Management Agency requirements for emergency operations plans for State and local governments (44 CFR 302) that address similar hazards;
 - d. Federal Energy Regulatory Commission requirements for emergency plans (18 CFR 12.20) to protect the health and safety of members of the public upstream and downstream of water projects (dams);
 - e. Environmental Protection Agency requirements implementing the Clean Water Act through the National Pollution Discharge Elimination System (40 CFR 100 through 129). (Of particular note are requirements for contingency planning for oil spills through the 40 CFR 112 series, which mandates preparation of Spill Prevention Control and Countermeasure Plans);
 - f. Environmental Protection Agency requirements implementing the provisions of the Safe Drinking Water Act (40 CFR 141-142);
 - g. Environmental Protection Agency requirements implementing the Comprehensive Environmental Response, Compensation, and Liability Act, embodied in the 40 CFR 300 series, including Title III, the Emergency Planning and Community Right-to-Know Act, embodied at 40 CFR 355;

- h. Department of Transportation requirements for emergency response information (49 CFR 172.600 series) and hazardous materials training (49 CFR 172.700 series);
- i. DOE O 420.1A, *Facility Safety*, dated 5-20-02, which addresses requirements for fire protection programs that must be incorporated in the facility emergency plan, including response by DOE or local community fire departments;
- j. DOE O 440.1A, *Worker Protection for DOE Federal and Contractor Employees*, dated 3-27-98, which addresses requirements for planning for treatment of the injured during emergency or disaster situations;
- k. DOE O 470.1, *Safeguards and Security Program*, dated 9-28-95, which addresses requirements for appropriate protection levels for DOE interests and documentation in facility-specific Site Safeguards and Security Plans.

3. PLANNING PHASE.

- a. Hazards Survey. A hazards survey (i.e., qualitative examination) must be used to identify the conditions to be addressed by the comprehensive emergency management program. Much of the hazards survey should already have been done in the course of meeting other DOE and Federal agency requirements.
 - (1) Each hazards survey must—
 - (a) identify (e.g., in matrix or tabular form) the emergency conditions (e.g., fires, work place accidents, natural phenomena, etc.);
 - (b) describe the potential health, safety, or environmental impacts; and
 - (c) summarize the planning and preparedness requirements that apply.
 - (2) Each hazards survey must combine as many facilities as possible that are subject to the same types of hazards. For sites having facilities that require development of quantitative hazards assessments as described in Chapter IV, the remaining facilities may be covered by one hazards survey.
 - (3) Hazards surveys must be updated whenever operations warrant a change, but not less than every 3 years.
- b. Existing Plans. Existing plans, such as catastrophic earthquake plans or mass casualty plans detailing compliance with Federal, State, and local standards, may

be incorporated directly into the Operational Emergency Base Program or invoked by reference.

- c. Planning Requirements. The Operational Emergency Base Program must provide for integrated planning to meet the response requirements identified in the hazards survey. At a minimum, the Operational Emergency Base Program must address the following.
- (1) Emergency Response Organization. Assignment of an individual (e.g., building or facility manager or similar position) to manage and control all aspects of the site/facility response.
 - (2) Offsite Response Interfaces. Coordination with State, Tribal, and local agencies and organizations responsible for offsite emergency response (e.g., "911" emergencies) and for protection of the health and safety of the public.
 - (3) Emergency Categorization. Establishment of criteria for determining quickly if an event is an Operational Emergency. See Chapter V.
 - (4) Communications. Prompt initial notification of workers, emergency response personnel, and response organizations, including DOE/NNSA elements and State, Tribal, and local organizations; continuing effective communication among response organizations throughout an emergency. See Chapter VIII.
 - (5) Protective Actions. Evacuation or sheltering of employees, along with provisions to account for employees after emergency evacuation has been completed; protection of workers involved in response and clean-up covered by 29 CFR 1910.120.
 - (6) Medical Support. In accordance with DOE O 440.1A, provision of medical treatment and planning for mass casualty situations.
 - (7) Public Information. See Chapter IX.
 - (8) Emergency Facilities and Equipment. Provision of facilities and equipment adequate to support emergency response, including the capability to notify employees of an emergency to facilitate the safe evacuation of employees from the work place, immediate work area, or both.
 - (9) Program Administration. See Chapter XI.

4. PREPAREDNESS PHASE.a. Training and Drills.

- (1) Initial training and periodic drills must be provided to all workers who may be required to take protective actions (e.g., shelter-in-place; assembly, evacuation). This training is required when they are employed, when their expected actions change, or when the emergency plan changes.
- (2) Refresher training must be provided annually to certified operators and supervisors and those workers who are likely to witness a hazardous material release and who are required to notify proper authorities of the release.
- (3) Emergency-related information and training on site-specific conditions and hazards must be made available to offsite personnel who may be required to participate in response to an emergency at the DOE/NNSA site/facility.

b. Exercises.

- (1) At a minimum, each site/facility must conduct building evacuation exercises consistent with Federal regulations [e.g., 41 CFR 101-20.105-1(c)(1)], local ordinances, or National Fire Protection Association Standards. Exercises must be conducted as often as needed to ensure that employees are able to safely evacuate their work area.
- (2) For each site or facility, as applicable, the organization responsible for communications with DOE Headquarters, the Cognizant Field Element, and offsite agencies must test communications systems at least annually or as often as needed to ensure that communications systems are operational.

5. RESPONSE PHASE.a. Response.

- (1) Reentry planning must include contingency planning to ensure the safety of reentry personnel, such as planning for the rescue of reentry teams. All individuals involved in reentry must receive a hazards/safety briefing prior to emergency response activities consistent with Federal, State, and local laws and regulations.

- (2) Events exceeding the threshold levels for Operational Emergencies as detailed in Chapter V require notification in accordance with Chapter VIII.
- b. Termination and Recovery. Recovery must include notifications associated with termination of an emergency and establishment of criteria for resumption of normal operations.

Chapter IV

OPERATIONAL EMERGENCY HAZARDOUS MATERIAL PROGRAM

1. GENERAL REQUIREMENTS. The Operational Emergency Hazardous Material Program adds to the Operational Emergency Base Program. Depending on the findings of the hazards survey (see Chapter III), DOE/NNSA sites/facilities may be required to establish and maintain a quantitative hazards assessment, which will be used to define the provisions of the Operational Emergency Hazardous Material Program to ensure the program is commensurate with the hazards identified. Such hazards assessments are required if the hazard survey identifies, per Chapter III, hazardous materials in quantities exceeding the lower of the Threshold Quantities listed in 29 CFR 1910.119 or 40 CFR 68.130; Threshold Planning Quantities, listed in 40 CFR 355; or quantities listed in 10 CFR 30.72 for radionuclides. The results of this assessment provide the basis for establishing a graded approach that will meet the program requirements outlined in this chapter.

2. RELATED REGULATIONS AND PLANS. The following regulations and plans have been developed by Congress, other Federal agencies, and DOE/NNSA offices. They establish requirements similar to those required within the Operational Emergency Hazardous Material Program and should be integrated, where applicable, to ensure a standard approach and continuity of effort. Newly issued or revised regulations and plans should be incorporated in accordance with corresponding implementation requirements or as soon as reasonably achievable (e.g., during the performance of the annual hazards assessment review/update).
 - a. Congress has directed that emergency planning and preparedness be improved for hazardous material releases through provisions of the Resource Conservation and Recovery Act of 1976, the Oil Pollution Act of 1990, and the Clean Air Act Amendments of 1990. Implementing regulations have been issued or are forthcoming.
 - b. The Environmental Protection Agency has begun to publish requirements requiring emergency planning for industries using hazardous materials in the 40 CFR 68 series.
 - c. The Environmental Protection Agency has published regulations regarding emergency planning for hazardous material waste sites through the 40 CFR 260 and 265 series. These requirements are generally implemented at DOE/NNSA sites as part of the Resource Conservation and Recovery Act Part B permit process, with an emergency plan being part of the permit submission.

- d. The Environmental Protection Agency has established requirements in 40 CFR 116 and 117 for limiting discharge of hazardous chemicals through the National Pollution Discharge Elimination System permits.
- e. The Occupational Safety and Health Administration has established requirements for preventing or minimizing the consequences of catastrophic release of toxic, reactive, flammable, or explosive chemicals in 29 CFR 1910.119.
- f. The Occupational Safety and Health Administration has established requirements for emergency planning, preparedness, and response in 29 CFR 1910.120.
- g. The Nuclear Regulatory Commission (NRC) has established emergency planning and preparedness requirements as part of its licensing process for reactors, in 10 CFR 50, in particular Appendix E, and for other facilities using special nuclear materials, in 10 CFR 70. This applies only to those facilities licensed by the NRC.
- h. The Federal Radiological Emergency Response Plan has been developed jointly by Federal agencies to guide Federal response to a peacetime radiological emergency.
- i. The National Oil and Hazardous Substances Pollution Contingency Plan, or National Contingency Plan, is published in 40 CFR 300 to provide the organizational structure and procedures for Federal preparation for and response to discharges of oil and releases of hazardous substances.
- j. The Environmental Protection Agency has published Protective Action Guides to which the exposure level resulting from radiological releases is compared for determining whether protective actions should be implemented.
- k. The American Industrial Hygiene Association has published Emergency Response Planning Guidelines to which the exposure level resulting from the release of non-radiological material is compared for determining whether protective actions should be implemented.

3. PLANNING PHASE.

- a. Emergency Planning Hazards Assessment.
 - (1) The release of or loss of control of hazardous materials must be quantitatively analyzed. If the results of the analysis indicate the potential for an Alert, Site Area Emergency, or General Emergency, as defined in Chapter V, the results of the analysis must be used to determine the necessary personnel, resources, and equipment for the Operational

Emergency Hazardous Materials Program. If the Emergency Planning Hazards Assessment (EPHA) indicates that all events would be classified as less than an Alert, the minimum program requirements must encompass the requirements for Hazardous Waste Operations and Emergency Response found in 29 CFR 1910.120 and the requirements specified in Chapter III of this Order.

- (2) The EPHA must be reviewed at least annually and updated prior to significant changes to the site/facility or hazardous material inventories.
- (3) The EPHA must include a determination of the size of the Emergency Planning Zone (EPZ). The EPZ is the geographic area surrounding the site/facility for which special planning and preparedness actions are taken or need to be taken to reduce or minimize the impact to onsite personnel and public health and safety in the event of an Operational Emergency involving hazardous materials. Assumptions, methodology, models, and evaluation techniques used in the hazards assessment must be documented.

b. Planning Requirements.

- (1) Emergency Response Organization. This organization must be established and maintained for each site/facility with overall responsibility for the initial and ongoing response to and mitigation of an emergency. The Emergency Response Organization must—
 - (a) establish effective control at the event/incident scene and
 - (b) integrate local agencies and organizations that provide onsite response services.
- (2) Offsite Response Interfaces. Offsite response interfaces have the same requirements as for the Operational Emergency Base Program although additional offsite organizations may be involved.
- (3) Emergency Classification. Provisions must be established to categorize and classify emergency events.
 - (a) Hazardous material emergencies involving DOE/NNSA facilities must be classified in accordance with Chapter V.
 - (b) Site/facility-specific Emergency Action Levels must be developed for the spectrum of potential Operational Emergencies identified by the hazards assessment.

- (4) Communications. See Chapter VIII.
- (5) Consequence Assessment. Provisions must be established to adequately assess the potential or actual onsite and offsite consequences of an emergency. Consequence assessments must—
 - (a) be timely throughout the emergency;
 - (b) be integrated with the event classification and protective action process;
 - (c) incorporate monitoring of specific indicators and field measurements; and
 - (d) be coordinated with Federal, State, local, and Tribal organizations.
- (6) Protective Actions. Protective actions must be predetermined for onsite personnel and the public and must include—
 - (a) methods for controlling, monitoring, and maintaining records of personnel exposures to hazardous materials;
 - (b) plans for timely sheltering and/or evacuation of workers;
 - (c) methods for controlling access to contaminated areas and for decontaminating personnel or equipment exiting the area;
 - (d) actions that may be taken to increase the effectiveness of protective actions [i.e., heating, ventilation, and air conditioning (HVAC) shutdown during sheltering];
 - (e) methods for providing timely recommendations to appropriate State, Tribal, or local authorities of protective actions, such as sheltering, evacuation, relocation, and food control; and
 - (f) Protective Action Guides (PAGs) and Emergency Response Planning Guidelines (ERPGs), prepared in conformance with DOE-approved guidance applicable to the actual or potential release of hazardous materials to the environment, for use in protective action decision making.
- (7) Medical Support. Medical support must be planned in accordance with DOE O 440.1A for workers contaminated by hazardous material. Medical

support must include documented arrangements with onsite and offsite medical facilities to accept and treat contaminated, injured personnel.

- (8) Public Information. See Chapter IX.
- (9) Emergency Facilities and Equipment. Facilities and equipment adequate to support emergency response must be available and maintained as follows.
 - (a) A facility must be available for use as a command center.
 - (b) Provisions must be established for use of an alternate location if the primary command center is not available.
 - (c) Adequate personal protective equipment and other equipment and supplies must be available and operable to meet the needs determined by the results of the hazards assessment.
- (10) Program Administration. See Chapter XI.

4. PREPAREDNESS PHASE.

- a. Training and Drills. A coordinated program of training and drills for developing and/or maintaining specific emergency response capabilities must be an integral part of the emergency management program. The program must apply to emergency response personnel and organizations that the site/facility expects to respond to onsite emergencies. Emergency-related information must be available to offsite response organizations. The program must consist of self-study/homework, training, and drills.
 - (1) Training. Both initial training and annual refresher training must be provided for the instruction and qualification of all personnel (i.e., primary and alternate) comprising the emergency response organization.
 - (2) Drills. Drills must provide supervised, "hands-on" training for members of emergency response organizations.
- b. Exercises. A formal exercise program must be established to validate all elements of the emergency management program over a five-year period. Each exercise must have specific objectives and must be fully documented (e.g., by scenario packages that include objectives, scope, timelines, injects, controller instructions, and evaluation criteria). Exercises must be evaluated. A critique process, which includes gathering and documenting observations of the participants, must be

established. Corrective action items identified as a result of the critique process must be incorporated into the emergency management program.

(1) Sites/Facilities.

- (a) Each DOE/NNSA facility subject to this chapter must exercise its emergency response capability annually and include at least facility-level evaluation and critique. Evaluations of annual facility exercises by Departmental entities (e.g., Cognizant Field Element, Program Secretarial Officer or Headquarters Office of Independent Oversight and Performance Assurance) must be performed periodically so that each facility has external Departmental evaluation at least every 3 years.
- (b) Site-level emergency response organization elements and resources must participate in a minimum of one exercise annually. This site exercise must be designed to test and demonstrate the site's integrated emergency response capability. For multiple-facility sites, the basis for the exercise must be rotated among facilities.
- (c) Offsite response organizations must be invited to participate in site-wide exercises at least once every 3 years.

(2) Emergency Response Assets. Exercises of each of the Department's radiological emergency response assets must be conducted at least once every 3 years. These assets include the Accident Response Group (ARG), Nuclear Emergency Search Team (NEST), Federal Radiological Monitoring and Assessment Center (FRMAC), Aerial Measuring System (AMS), National Atmospheric Release Advisory Center (NARAC), Radiological Emergency Assistance Center/Training Site (REAC/TS), and Radiological Assistance Program (RAP).

5. RESPONSE PHASE.

- a. Response. Emergencies involving hazardous materials require time-urgent response actions to minimize or prevent unacceptable consequences. Events must be classified on the basis of potential severity of the consequences as detailed in Chapter V. Response actions must be implemented accordingly.
 - (1) Declaration of an Alert does not necessarily require the activation of response centers, but does require availability of personnel and resources to—

- (a) continuously assess pertinent information for DOE/NNSA decision makers, offsite authorities, the public, and other appropriate entities;
 - (b) conduct appropriate assessments, investigations, or preliminary sampling and monitoring;
 - (c) mitigate the severity of the occurrence or its consequences; and
 - (d) prepare for other response actions should the situation become more serious, requiring emergency response organizations to mobilize or activate resources.
- (2) Declaration of a Site Area Emergency requires the same response as for an Alert plus—
- (a) initiation of predetermined protective actions for onsite personnel;
 - (b) notification and assembly of emergency response personnel and equipment to activate response centers and to establish communications, consultation, and liaison with offsite authorities;
 - (c) provision of information to the public and the media;
 - (d) implementation of or assistance in any evacuations and sheltering; and
 - (e) mobilization of appropriate emergency response groups or protective/security forces for immediate dispatch should the situation become more serious.
- (3) Declaration of a General Emergency requires the same response as for a Site Area Emergency plus the notification, mobilization, and dispatch of all appropriate emergency response personnel and equipment, including appropriate DOE emergency response assets, and liaison with offsite authorities for the recommendation of predetermined public protective actions.
- b. Termination and Recovery.
- (1) Predetermined criteria for termination of emergencies must be established/developed.

- (2) The means must exist for estimating exposure to hazardous materials and for protecting workers and the general public from exposure during reentry and recovery activities.
- (3) Recovery procedures must include dissemination of information to Federal, State, Tribal, and local organizations regarding the emergency and possible relaxation of public protective actions; planning for decontamination actions; establishment of a recovery organization; development of reporting requirements; and establishment of criteria for resumption of normal operations.
- (4) Emergencies, once categorized, must not be downgraded to a lower significance category unless the original categorization was incorrect. An event determined to be an emergency will remain so until the emergency response is terminated. In general, the emergency classification (i.e., Alert, Site Area Emergency, General Emergency) should not be downgraded until termination of the event. However, emergency classification must be reviewed periodically to ensure the classification is commensurate with response activities.

Chapter V

OPERATIONAL EMERGENCY EVENTS AND CONDITIONS

1. GENERAL. Operational Emergencies are unplanned, significant events or conditions that require time-urgent response from outside the immediate/affected site/facility or area of the incident. Such emergencies are caused by, involve, or affect DOE/NNSA facilities, sites, or activities. Such emergencies represent, cause, or have the potential to cause the events or conditions described below.

Incidents that can be controlled by employees or maintenance personnel in the immediate/affected facility or area are not Operational Emergencies. Incidents that do not pose a significant hazard to safety, health, and/or the environment and that do not require a time-urgent response are not Operational Emergencies.

Note that the initiating events described below are not all-inclusive. Other initiating events that warrant categorization as Operational Emergencies must be included in site/facility-specific procedures. Less severe events are reported through the process described in DOE O 231.1A, *Environment, Safety, and Health Reporting*, dated 8-19-03.

2. EVENTS THAT DO NOT REQUIRE CLASSIFICATION. An Operational Emergency must be declared when events occur that represent a significant degradation in the level of safety at a site/facility and that require time-urgent response efforts from outside the site/facility. These events do not require further classification (i.e., as Alert, Site Area Emergency, or General Emergency). Such events include the following.
 - a. Health and Safety. The following events or conditions represent, cause, or have the potential to cause serious health and safety impacts to workers or members of the public.
 - (1) The discovery of radioactive or other hazardous material contamination from past DOE/NNSA operations that is causing or may reasonably be expected to cause uncontrolled personnel exposures exceeding protective action criteria.
 - (2) An offsite hazardous material event not associated with DOE/NNSA operations that is observed to have or is predicted to have an impact on a DOE/NNSA site such that protective actions are required for onsite DOE/NNSA workers.
 - (3) An occurrence that causes or can reasonably be expected to cause significant structural damage to DOE/NNSA facilities, with confirmed or suspected personnel injury or death.

- (4) Any facility evacuation in response to an actual occurrence that requires time-urgent response by specialist personnel, such as hazardous material responders or mutual aid groups not normally assigned to the affected facility.
 - (5) An unplanned nuclear criticality resulting in actual or potential facility damage and/or release of radioactive material to the environment.
 - (6) Any non-transportation-related mass casualty event.
- b. Environment. The following events or conditions represent, cause, or have the potential to cause serious detrimental effects on the environment.
- (1) Any actual or potential release of hazardous material or regulated pollutant to the environment, in a quantity greater than five times the Reportable Quantity (RQ) specified for such material in 40 CFR 302, that could result in significant offsite consequences, such as major wildlife kills, wetland degradation, aquifer contamination, or the need to secure downstream water supply intakes.
 - (2) Any release of greater than 1,000 gallons (24 barrels) of oil to inland waters; greater than 10,000 gallons (238 barrels) of oil to coastal waters; or a quantity of oil that could result in significant off-site consequences (e.g., need to relocate people, major wildlife kills, wet-land degradation, aquifer contamination, need to secure downstream water supply intakes, etc.) [Oil as defined by the Clean Water Act (33 U.S.C. 1321) means any kind of oil and includes petroleum.]
- c. Security and Safeguards. The following events or conditions represent, cause, or have the potential to cause degradation of security or safeguards conditions with actual or potential direct harm to people or the environment.
- (1) Actual unplanned detonation of an explosive device or a credible threat of detonation resulting from the location of a confirmed or suspicious explosive device.
 - (2) An actual terrorist attack or sabotage event involving a DOE/NNSA site/facility or operation.
 - (3) Kidnapping or taking hostage(s) involving a DOE/NNSA site/facility or operation.

- (4) Actual theft or loss of a Category I or II quantity of Special Nuclear Materials or other hazardous material that, if released, could endanger workers, the public, or the environment.
 - (5) Damage or destruction of a site or facility by natural or malevolent means sufficient to expose classified information to unauthorized disclosure.
- d. Offsite DOE Transportation Activities. The following events or conditions represent an actual or potential release of hazardous materials from a DOE/NNSA shipment.
- (1) The radiation dose from any release of radioactive material or the concentration in air from any release of other hazardous material is expected to require establishment of a protective action zone. ("Protective action zone" is defined in the 2000 Emergency Response Guidebook.)
 - (2) Failures in safety systems threaten the integrity of a nuclear weapon, component, or test device.
 - (3) A transportation accident results in damage to a nuclear explosive, nuclear explosive-like assembly, or Category I/II quantity of Special Nuclear Materials.
3. EVENTS REQUIRING CLASSIFICATION. Operational Emergencies must be classified as either an Alert, Site Area Emergency, or General Emergency, in order of increasing severity, when events occur that represent a specific threat to workers and the public due to the release or potential release of significant quantities of hazardous materials. Classification aids in the rapid communication of critical information and the initiation of appropriate time-urgent emergency response actions. Events listed in Section 2, this chapter, that serve as initiating events for the release of hazardous materials will be classified under the provisions of this section.
- a. Alert. An Alert must be declared when events are predicted, are in progress, or have occurred that result in one or more of the following.
- (1) An actual or potential substantial degradation in the level of control over hazardous materials.
 - (a) The radiation dose from any release to the environment of radioactive material or a concentration in air of other hazardous material is expected to exceed either:

- 1 the applicable Protective Action Guide or Emergency Response Planning Guideline at or beyond 30 meters from the point of release to the environment or
 - 2 a site-specific criterion corresponding to a small fraction of the applicable Protective Action Guide or Emergency Response Planning Guideline at or beyond the facility boundary or exclusion zone boundary.
- (b) It is not expected that the applicable Protective Action Guide or Emergency Response Planning Guideline will be exceeded at or beyond the facility boundary or exclusion zone boundary.
- (2) An actual or potential substantial degradation in the level of safety or security of a nuclear weapon, component, or test device that would not pose an immediate threat to workers or the public.
 - (3) An actual or potential substantial degradation in the level of safety or security of a facility or process that could, with further degradation, produce a Site Area Emergency or General Emergency.
- b. Site Area Emergency. A Site Area Emergency must be declared when events are predicted, in progress, or have occurred that result in one or more of the following situations.
- (1) An actual or potential major failure of functions necessary for the protection of workers or the public. The radiation dose from any release of radioactive material or concentration in air from any release of other hazardous material is expected to exceed the applicable Protective Action Guide or Emergency Response Planning Guideline beyond the facility boundary or exclusion zone boundary. The Protective Action Guide or Emergency Response Planning Guideline is not expected to be exceeded at or beyond the site boundary.
 - (2) An actual or potential threat to the integrity of a nuclear weapon, component, or test device that may adversely impact the health and safety of workers in the immediate area, but not the public.
 - (3) Actual or potential major degradation in the level of safety or security of a facility or process that could, with further degradation, produce a General Emergency.

- c. General Emergency. A General Emergency must be declared when events are predicted, in progress, or have occurred that result in one or more of the following situations.
- (1) Actual or imminent catastrophic reduction of facility safety or security systems with potential for the release of large quantities of hazardous materials (radiological or non-radiological) to the environment. The radiation dose from any release of radioactive material or a concentration in air from any release of other hazardous material is expected to exceed the applicable Protective Action Guide or Emergency Response Planning Guideline at or beyond the site boundary.
 - (2) Actual or likely catastrophic failures in safety or security systems threatening the integrity of a nuclear weapon, component, or test device that may adversely impact the health and safety of workers and the public.

Chapter VI

ENERGY EMERGENCY PROGRAM

1. GENERAL REQUIREMENTS. The Energy Emergency Program must ensure that the Department is capable of providing analysis and recommendations on mitigating potential energy supply crises, economic impacts, widespread energy distribution interruptions, and/or energy infrastructure recovery advice. The program recognizes that resources and expertise within the Department may be requested to support an energy emergency response. The program also recognizes that DOE assistance may be required in support of a Presidentially-declared emergency invoking the Stafford Act, as amended, and implemented through the Federal Response Plan. The Energy Emergency Program may be implemented coincident with implementation of the Emergency Assistance Program (Chapter VII).
2. RELATED REGULATIONS AND PLANS.
 - a. DOE has established requirements in 10 CFR 205.350 for maintaining current information regarding the status of electrical energy supply systems.
 - b. The Federal Emergency Management Agency has published the Federal Response Plan, which meets requirements established in Public Law 93-288, as amended. The Federal Response Plan provides the framework for coordinated Federal response in support of State and local governments.
3. PLANNING PHASE.
 - a. Hazards Assessment. Hazards assessments for energy emergencies are routinely conducted by the Energy Information Administration and the Assistant Secretary of Policy and International Affairs through short- and long-range forecasts.
 - b. Planning Requirements. The Headquarters Energy Emergency Management Plan and Implementing Procedures must include the following:
 - (1) plan for supply crises due to, but not limited to, international political situations, defense mobilization, natural or technological disasters, energy system sabotage, major accidents involving energy systems, and labor strikes or lockouts;
 - (2) Emergency Management Team procedures for energy emergencies, including activation and staffing;

- (3) the definition of potential emergencies for which the program is responsible and for which procedures will be developed;
 - (4) Energy Emergency Management Plan activation thresholds for plan implementation;
 - (5) the process for developing, maintaining, and activating procedures related to the Federal Response Plan Emergency Support Function #12 (Energy) and other Emergency Support Functions (ESFs) where DOE is a support agency;
 - (6) specific planned roles and resources from Headquarters offices or DOE/NNSA offices in the field required in response to energy emergency scenarios;
 - (7) reporting formats for documenting the situation and the DOE response;
 - (8) processes for monitoring and analyzing the energy situation and for responding to an energy emergency, including recovery.
4. PREPAREDNESS PHASE. The Headquarters Energy Emergency Management Plan must establish a readiness assurance program, including training, drills, exercises, and evaluation of readiness for energy emergencies.
5. RESPONSE PHASE.
- a. An energy emergency must be declared after events of significant magnitude have occurred, activation of ESF #12 (Energy) or other ESFs involving DOE as a support agency for energy-related activities, or as directed by the Deputy Secretary. See Chapter VIII.
 - b. Declaration of an energy emergency requires the availability of appropriate DOE personnel and resources to continuously assess pertinent information for DOE decision makers and to provide recommendations or coordination to other Federal agencies or industries to mitigate the severity of the occurrence or its consequences.
 - c. At the request of the Deputy Secretary or as events warrant, appropriate members of the Emergency Management Team must convene in the Headquarters Operations Center to:
 - (1) provide timely assessments of the dimensions of the energy emergency as required under interagency plans or as requested by the Secretary;

- (2) establish communications, consultation, and liaison with appropriate energy industry entities and other Federal agencies, as appropriate; and
- (3) notify appropriate energy emergency response assets, experts, and resources to respond according to the severity of the situation.

Chapter VII

EMERGENCY ASSISTANCE PROGRAM

1. GENERAL REQUIREMENTS. The Emergency Assistance Program includes all activities whereby Departmental resources, emergency response assets, personnel, and/or facilities are deployed in support of Federal interagency plans; international agreements; Presidential direction; and State, local, or Tribal agreements of mutual aid. The Emergency Assistance Program may be implemented along with the Energy Emergency Program (Chapter VI).
2. RELATED REGULATIONS AND PLANS.
 - a. Homeland Security Presidential Directive 5 (HSPD-5) directs measures to enhance the ability of the United States to manage domestic incidents, including development of a National Response Plan (NRP) that integrates Federal Government domestic prevention, preparedness, response, and recovery plans into one all-discipline, all-hazards plan.
 - b. The Federal Radiological Emergency Response Plan has been developed jointly by Federal agencies to guide Federal response to a peacetime radiological emergency. This plan will be integrated into or replaced by the NRP described above.
 - c. The National Oil and Hazardous Substances Pollution Contingency Plan (also called the National Contingency Plan) is published in 40 CFR 300 to provide the organizational structure and procedures for Federal responses to discharges of oil and releases of hazardous substances. This plan will be integrated into or replaced by the NRP described above.
 - d. The Continuity of Government Operations Plan provides the capability to maintain essential Government services and emergency functions in the most serious of events affecting national security.
 - e. The Continuity of Operations Plan provides a capability to ensure that essential Departmental missions and functions can be performed without disruption during an emergency or other situation.
 - f. The DOE 5530-series Orders describe the programmatic requirements of the Department's radiological emergency response assets.

3. PLANNING PHASE.

- a. Emergency Assistance planning must encompass, but not be limited to, the capability to provide—
 - (1) support and direction as prescribed in the Federal Radiological Emergency Response Plan, the National Contingency Plan, and the Federal Response Plan;
 - (2) the means to support Presidential direction to continue operations of critical Departmental functions in the event that Headquarters facilities are inoperable;
 - (3) direction and support as prescribed in the Presidentially-mandated National Security Emergency Planning requirements and Continuity of Government concept of operations; and
 - (4) technical and response assistance to organizations and agencies with which the Department has entered into mutual aid agreements.
- b. The Headquarters Emergency Assistance Plan and Implementing Procedures must—
 - (1) document Emergency Management Team procedures for Emergency Assistance including activation and staffing;
 - (2) define potential emergencies for which the program is responsible and for which procedures will be developed;
 - (3) identify specific planned roles and resources from Headquarters offices or DOE/NNSA offices in the field required in response to Emergency Assistance scenarios; and
 - (4) establish reporting formats to document the situation and DOE/NNSA response activities.
- c. Plans and procedures developed in accordance with the DOE 5530-series Orders for the Department's radiological emergency response assets must be cross-referenced in the Headquarters Emergency Assistance Plan and implementing procedures.

- 4. PREPAREDNESS PHASE. The Headquarters Emergency Assistance Plan must establish a readiness assurance program, including training and drills, exercises, and evaluation of readiness for emergencies.

5. RESPONSE PHASE. The Administrator, NNSA, has responsibility for the deployment of the radiological emergency response assets. The Headquarters Emergency Manager must coordinate with appropriate response teams (e.g., Defense Nuclear Programs, Energy Information Administration, Cognizant Field Element) and ensure deployment of response personnel. Response teams for Continuity of Government and Continuity of Operations will be directed from the Headquarters Emergency Management Team. Coordination with the Executive Branch, other Federal agencies, or other governments will be accomplished by the Headquarters.

Chapter VIII

COMMUNICATIONS REQUIREMENTS

1. GENERAL. Requirements in this chapter pertaining to notification and reporting apply to Operational Emergencies, Energy Emergencies, and Emergency Assistance. This section emphasizes Operational Emergencies because of the criticality of timely notification and reporting during such emergencies. Communications requirements for emergencies do not supplant other required notifications and reporting delineated under other legislation, implementing regulations, and DOE Orders.
2. PLANNING PHASE.
 - a. For Operational Emergencies, provisions must be established for prompt initial notification of workers and emergency response personnel and organizations, including appropriate DOE/NNSA elements and other Federal, State, Tribal, and local organizations. Provisions must also be established for continuing effective communication among the response organizations throughout an emergency.
 - b. Notification and reporting responsibilities for Energy Emergencies and Emergency Assistance must be established to support appropriate plans and agreements.
3. PREPAREDNESS PHASE. Adherence to Operational Emergency notification and reporting requirements must be demonstrated in all emergency management exercises. Preparedness responsibilities for Energy Emergencies and Emergency Assistance must be established to support appropriate plans and agreements.
4. RESPONSE PHASE.
 - a. Initial Emergency Notifications. For Operational Emergencies, initial emergency notifications must be made to workers, emergency response personnel, and organizations, including DOE/NNSA elements and other local, State, Tribal, and Federal organizations.
 - (1) The Manager/Administrator of each DOE-/NNSA- or contractor-operated site/facility must—
 - (a) notify State and local officials and the Cognizant Field Element Emergency Operation Center and Headquarters Operations Center within 15 minutes and all other organizations within 30 minutes of the declaration of an Alert, Site Area Emergency, or General Emergency;

- (b) notify the Cognizant Field Element Emergency Operation Center and Headquarters Operations Center within 30 minutes of the declaration of an Operational Emergency not requiring classification; and
 - (c) notify local, State, and Tribal organizations within 30 minutes or as established in mutual agreements for declaration of an Operational Emergency not requiring classification.
 - (2) Headquarters Watch Office staff in the Headquarters Operations Center and Headquarters Emergency Management Team personnel must be responsible for the following.
 - (a) Receive notifications of Operational Emergencies and disseminate such information to Program Secretarial Officer representatives and, where appropriate, to Headquarters organizations of other Federal agencies. The Headquarters Operations Center must disseminate notifications involving Energy Emergencies and Emergency Assistance to the appropriate Headquarters Cognizant Secretarial Offices and affected DOE/NNSA offices in the field.
 - (b) Facilitate communications among Headquarters organizations, DOE/NNSA field organizations, and contractor personnel.
- b. Emergency Status Updates. Emergency status reports must be forwarded to the next-higher Emergency Management Team on a continuing basis until the emergency is terminated.
- c. Responder Communications. Effective communications methods must be established between event scene responders, emergency managers, and response facilities.
- d. Final Emergency Report. Following termination of emergency response, and in conjunction with the Final Occurrence Report (see DOE O 231.1A), each activated Emergency Management Team must submit a final report on the emergency response to the Emergency Manager for submission to the Director, Office of Emergency Operations.
- e. Recovery Reporting. Reporting requirements must be specified during recovery planning.
- f. Classified Information Reviews. All reports and releases must be reviewed for classified or Unclassified Controlled Nuclear Information prior to being provided

to uncleared personnel, entered into unclassified data bases, or transmitted using non-secure communications equipment.

- g. Energy Emergencies and Emergency Assistance Response. Responsibilities for Energy Emergencies and Emergency Assistance must be established to support appropriate plans and agreements.

Chapter IX

PUBLIC AFFAIRS POLICY AND PLANNING REQUIREMENTS

1. GENERAL. The Department must provide accurate, candid, and timely information, consistent with requirements of the Freedom of Information Act and the Privacy Act, to site workers and the public during all emergencies, so as to establish facts and avoid speculation.
2. PLANNING PHASE.
 - a. Public affairs policy and planning requirements apply for all emergencies or when the Department is obligated by law, Executive Order, interagency agreement, or other accord to provide technical support and assistance in accidents, defense mobilization, war, or other emergencies, including those involving another government agency, private organization, or nation.
 - b. These policies and planning requirements must apply in conjunction with the United States' international commitments to the International Energy Program, the International Energy Agency, the North Atlantic Treaty Organization, and the International Atomic Energy Agency, or through the Department's commitments under the Defense Production Act.
 - c. The Department must establish an Emergency Public Information Program that includes adequate plans for all emergencies at DOE/NNSA, or contractor facilities, as well as potential offsite emergencies that may involve DOE/NNSA resources or personnel.
 - d. Each Cognizant Field Element and site/facility must prepare an Emergency Public Information Plan, but the same plan can cover multiple facilities if located on a contiguous site. As necessary, facility-specific plans must be prepared. The plans must provide the following:
 - (1) identification of personnel, resources, facilities, and coordination procedures necessary to provide emergency public information;
 - (2) training and exercises for Joint Information Center personnel;
 - (3) a methodology for informing workers and the public of DOE/NNSA emergency plans and protective actions, before and during emergencies;
 - (4) coordination of public information efforts with State, local, and Tribal governments, and Federal emergency response plans, as appropriate.

3. PREPAREDNESS PHASE. Adherence to emergency public information policies and requirements must be demonstrated during exercise evaluations, appraisals, and approved training programs.
4. RESPONSE PHASE.
 - a. This Order must be applied during deployment of the following Departmental emergency response assets: the Aerial Measuring System, the Accident Response Group, the National Atmospheric Release Advisory Center, the Federal Radiation Monitoring and Assessment Center, the Nuclear Emergency Search Team, the Radiological Assistance Program, and the Radiological Emergency Assistance Center and Training Site.
 - b. The DOE/NNSA Cognizant Field Element and contractor personnel must cooperatively ensure that an adequate public information program is established and maintained, commensurate with site hazards, to ensure that information can be provided to the public and the media during an emergency. An adequate emergency public information program includes a Joint Information Center to provide resources to comply with the integrated, comprehensive Emergency Management System, commensurate with hazards, during an emergency. The Joint Information Center will be established, directed, and coordinated by the senior DOE/NNSA Cognizant Field Element public affairs manager or a designee. The emergency public information program must be adequately staffed with personnel trained to serve as spokesperson and newswriter, and to provide support in media services, public inquiry, media inquiry, Joint Information Center management and administrative activities, and media monitoring. Persons with technical expertise about the emergency and with spokesperson training must also be assigned to the emergency public information staff.
 - c. In situations involving classified information, the Department will provide sufficient unclassified information to explain the emergency response and protective actions required for the health and safety of workers and the public.
 - d. Public announcements that contain information that may present a security risk must be reviewed by an Authorized Derivative Classifier or reviewing official before release and released as appropriate.
 - e. A DOE, NNSA, or contractor public information officer must be assigned to the emergency public information response team involved in a significant offsite response deployment.
 - f. A Headquarters official or team must provide support to the affected Program Offices/Emergency Management Team and/or requesting Cognizant Field Element, as appropriate.

- g. The DOE/NNSA (as appropriate) Director of Public Affairs and the Headquarters Emergency Manager must be informed of all DOE/NNSA emergency public information actions. These notifications must be made as soon as practicable.
- h. Initial news releases or public statements must be approved by the DOE/NNSA Cognizant Field Element official responsible for emergency public information review and dissemination. Following initial news releases and public statements, updates must be coordinated with the DOE/NNSA (as appropriate) Director of Public Affairs.
- i. An emergency public information communications system must be established among Headquarters, Cognizant Field Element, and on-scene locations.

Chapter X

EVALUATIONS AND READINESS ASSURANCE

1. GENERAL. Evaluations consist of line/program reviews conducted by the Director, Office of Emergency Operations. Readiness Assurance consists of Emergency Readiness Assurance Plans and Appraisal and Assessment Programs.
 - a. Evaluations validate or identify weaknesses and/or findings in emergency management programs.
 - b. Emergency Readiness Assurance Plans (ERAPs) ensure that emergency plans, implementing procedures, and resources are adequate and sufficiently maintained and exercised.
 - c. Appraisal and Assessment Programs ensure that emergency capabilities are sufficient to implement emergency plans and that appropriate and timely improvements are made in response to needs identified through coordinated emergency planning, resource allocation, training, drills, and exercises.
2. EVALUATIONS. The Director, Office of Emergency Operations must evaluate line/program emergency management activities, to include the NNSA radiological emergency response assets, using published criteria. Evaluation findings must be addressed by the evaluated activity within 90 days of receipt of findings. The Director, Office of Emergency Operations must determine closure of all open or unresolved evaluation findings.
 - a. The Director, Office of Emergency Operations' evaluation of a site/facility must fulfill the requirement for the Cognizant Field Element and Cognizant Secretarial Officer assessment of the facility for the next 3 years if no deficiencies and a limited number of weaknesses are found.
 - b. Upon request, the Office of Emergency Operations will schedule and conduct periodic field assistance of Headquarters Program Offices, Cognizant Field Elements, and sites/facilities, including NNSA radiological emergency response assets, as needed. To ensure a coordinated review, the Office of Emergency Operations must request participation from Cognizant Secretarial Officer(s); the Office of Environment, Safety and Health; and the Cognizant Field Elements.

3. EMERGENCY READINESS ASSURANCE PLANS (ERAPs).

- a. Emergency planning and preparedness activities for each facility, site, and Cognizant Field Element must be documented in ERAPs, which cover a planning cycle of 5 fiscal years beginning the next October 1. For example, an ERAP submitted September 30, 1996, will cover October 1, 1996, through September 30, 2001.
- b. The ERAP must be a planning tool to identify and develop needed resources and improvements. ERAPs must highlight any significant changes in emergency management programs (i.e., planning bases, organizations, exemptions) from previous ERAPS, as well as comparing actual achievements to goals, milestones, and objectives. If applicable, ERAPs must be reviewed for classified or controlled information prior to submittal.
- c. ERAP Submittal and Approval.
 - (1) The Cognizant Field Element manager must review and approve ERAPs that cover facilities under their supervision and submit a consolidated ERAP to the Director, Office of Emergency Operations and the Cognizant Secretarial Officer by November 30.
 - (2) The Director, Office of Emergency Operations must prepare, in coordination with the Cognizant Secretarial Officers, an annual status report that summarizes the Cognizant Field Element ERAPs for submittal to the Deputy Secretary by April 30.

4. EMERGENCY READINESS ASSURANCE APPRAISALS AND ASSESSMENTS.

Program Secretarial Officers and Cognizant Field Elements must periodically review the ability of DOE- /NNSA- and/or DOE/NNSA contractor-operated facilities to meet requirements of the Emergency Management System. Appraisals and assessments must be based on specific standards and criteria, published by the Director, Office of Emergency Operations. Appraisal findings must be acknowledged by the appraised activity within 90 days of receipt of findings with a corresponding plan for correction. The next higher line management organization must determine closure of all open or unresolved appraisal findings. Appraisals must be scheduled, conducted, and reported in accordance with this Order.

- a. DOE-/NNSA- and/or DOE/NNSA contractor-operated facilities must conduct an annual internal readiness assurance assessment of their emergency management programs. Assessment results must be documented in the consolidated Cognizant Field Element ERAP.

- b. Each DOE/NNSA Cognizant Field Element must assess the emergency management program at each site/facility under its supervision. Each site/facility must be assessed at least once every 3 years. The Cognizant Field Element must notify the Program Secretarial Officer of its assessment schedule.
- c. Program Secretarial Officers must schedule and perform periodic readiness assurance appraisals of emergency management activities.
- d. Schedules for all assessments, appraisals, and follow-on activities must be coordinated with the Director, Office of Emergency Operations, to minimize impacts and maximize benefits. No more than one external assessment or appraisal, not including follow-on activities, should be scheduled per site per year.

Chapter XI

PROGRAM ADMINISTRATION

1. PERSONNEL REQUIREMENTS. Each Cognizant Field Element manager, and each manager/administrator of a DOE-, NNSA- and/or DOE/NNSA contractor-operated site/facility subject to this Order must designate an individual to administer emergency management. This individual must develop and maintain the emergency plan, develop the Emergency Readiness Assurance Plan and annual updates, develop and conduct training and exercise programs, coordinate assessment activities, develop related documentation, and coordinate emergency resources.
2. CLASSIFICATION REVIEW. If the relevant site/facility/activity is generating classified or Unclassified Controlled Nuclear Information (UCNI), or is conducting operations that are classified or UCNI, then all emergency preparedness documents, such as plans, procedures, scenarios, and assessments, must be reviewed for classified and UCNI by an Authorized Derivative Classifier or UCNI reviewing official.
3. EMERGENCY PLANS. The emergency plan must document the emergency management program and describe the provisions for response to an Operational Emergency.
4. EMERGENCY PLAN IMPLEMENTING PROCEDURES. Emergency Plan Implementing Procedures must describe how emergency plans must be implemented.
5. LESSONS LEARNED. The emergency management program must include a system to track and verify correction of findings or lessons learned from training, drills, exercises, and actual responses.
6. EMERGENCY OPERATING RECORDS PROTECTION PROGRAM. A program must be established to ensure that vital records, regardless of media, essential to the continued functioning or reconstitution of an organization during and after an emergency, are available, per 36 CFR 1236.

**DOE ORGANIZATIONS TO WHICH
DOE O 151.1B IS APPLICABLE**

Office of the Secretary
Chief Information Officer
Office of Civilian Radioactive Waste Management
Office of Congressional and Intergovernmental Affairs
Office of Counterintelligence
Office of Energy Efficiency and Renewable Energy
Office of Environment, Safety and Health
Office of Environmental Management
Office of Fossil Energy
Office of General Counsel
Office of Independent Oversight and Performance Assurance
Office of Intelligence
Office of Management, Budget and Evaluation and Chief Financial Officer
National Nuclear Security Administration
Office of Nuclear Energy, Science and Technology
Office of Policy and International Affairs
Office of Public Affairs
Office of Science
Office of Security
Office of Energy Assurance
Office of Electric Transmission and Distribution

CONTRACTOR REQUIREMENTS DOCUMENT

DOE O 151.1B, COMPREHENSIVE EMERGENCY MANAGEMENT SYSTEM

Regardless of the performer of the work, the contractor is responsible for compliance with the requirements of this Contractor Requirements Document (CRD). The contractor is responsible for flowing down the requirements of this CRD to subcontracts at any tier to the extent necessary to ensure the contractor's compliance with the requirements. That is, the contractor must (1) ensure that it and its subcontractors comply with the requirements of this CRD to the extent necessary to ensure the contractor's compliance and (2) only incur costs that would be incurred by a prudent person in the conduct of competitive business.

The contractor must implement site/facility/activity-specific comprehensive emergency management program(s) based on a graded approach. The contractor must comply with the following requirements.

1. Implement comprehensive emergency management requirements, as set forth elsewhere in the contract, as they apply to the site/facility/activity, commensurate with the hazards present.
2. Conduct hazards surveys and, if warranted, hazards assessments for each site/facility.
3. Establish an Operational Emergency Base Program that implements the requirements of applicable Federal, State, and local laws/regulations/ordinances for fundamental worker safety programs, and expand upon this Operational Emergency Base Program, if warranted, to implement additional emergency management activities at sites/facilities with significant quantities of hazardous materials (radiological and non-radiological).
4. Prepare and submit the following to the Cognizant Field Element manager for approval: documentation to establish Emergency Planning Zones; Emergency Plans that document comprehensive emergency management programs; and Emergency Readiness Assurance Plans.
5. Conduct an annual assessment of the emergency management program.
6. Establish and maintain a system to track and verify correction of findings or lessons learned from training, drills, exercises, and actual responses.
7. Designate an individual to be responsible for and administer emergency management functions for the organization.

8. Participate in the preparation of mutual assistance agreements with local, State, and Tribal authorities, as requested by the Cognizant Field Element.
9. Ensure immediate mitigative and corrective emergency response actions and appropriate protective actions and protective action recommendations to minimize the consequences of the emergency, protect worker and public health and safety, provide security, and ensure the continuance of such actions until the emergency is terminated.
10. Ensure the proper identification, categorization, notification, and reporting of emergencies to DOE or NNSA facility/site managers, Cognizant Field Element managers, and the Headquarters Operations Center in accordance with applicable DOE policies and requirements.
11. Provide for investigation of emergency root cause(s) and corrective action(s) to prevent recurrence in accordance with Departmental requirements (e.g., see DOE O 225.1A and DOE 5480.19).
12. Integrate emergency public information planning with the development and maintenance of the Emergency Plan.
13. Assist Cognizant Field Element managers; the Director, Office of Emergency Operations; and the Director of Independent Oversight and Performance Assurance in scheduling and conducting evaluations, appraisals, and assessments of the contractor's facilities.
14. Respond to all external evaluation, appraisal, and assessment findings within 90 days of receipt of findings.
15. Resolve all evaluation, appraisal, and assessment findings with the responsible organization or request approval for an exemption to the requirements.