

**DOE O 151.1A  
11-01-00**

**THIS PAGE IS TO REMAIN WITH DOE O 151.1A**

**THE ONLY ADMINISTRATIVE CHANGES THAT OCCURRED IN THIS  
REVISION WERE-**

- 1. TO BRING THIS DIRECTIVE INTO COMPLIANCE WITH THE  
NATIONAL NUCLEAR SECURITY ADMINISTRATION (NNSA),  
AND**
- 2. TO UPDATE ORGANIZATIONS TITLES.**

**U.S. Department of Energy**  
**Washington, D.C.**

**ORDER**

**DOE O 151.1A**

Approved: 11-01-00  
Sunset Review: 11-01-02  
Expires: 11-01-04

**SUBJECT: COMPREHENSIVE EMERGENCY MANAGEMENT SYSTEM**

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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 DOE or for organizations requiring DOE 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 or NNSA facilities, activities, or operations, or requiring DOE 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.

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**DISTRIBUTION:**  
All Departmental Elements

**INITIATED BY:**  
Office of Security and Emergency Operations

2. CANCELLATIONS. The following Order is canceled: DOE O 151.1, COMPREHENSIVE EMERGENCY MANAGEMENT SYSTEM, of 9-25-95, Change 1, of 10-26-95, and Change 2, of 8-21-96. 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 below, this Order applies to all DOE elements, including the NNSA..
  - b. Contractors. Except for the exclusions below, Attachment 1 sets forth requirements to be applied to the universe of contractors awarded DOE or NNSA procurement contracts involving the management and operation of DOE- or NNSA-owned and -leased facilities and activities, contractors awarded performance-based management contracts, or contractors with responsibility for providing Emergency Assistance. Contractor requirements shall be supplemented, as necessary, by the DOE and NNSA field elements to implement the requirements of this Order. Contractors shall be directed to continue to comply with the requirements of Orders canceled by this Order until their contracts are modified to delete the reference to the requirements of the canceled Order.
  - 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 and NNSA facilities subject to Nuclear Regulatory Commission (NRC) license requirements are specifically exempted from the requirements of this Order.
    - (3) If a DOE or 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 shall document the basis for each exemption and shall establish and justify alternatives equivalent to, or exceeding, this Order. Requests for exemptions shall be submitted for approval by the Deputy Secretary.

4. REQUIREMENTS.

a. General.

- (1) DOE and NNSA sites/facilities, including DOE and NNSA transportation activities, operations/field offices, and DOE Headquarters offices, shall 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 promptly recognized and classified, 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** shall 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** shall include acquisition and maintenance of resources, training, drills, and exercises.
- (4) Emergency **response** shall 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** shall include planning for and actions taken following termination of the emergency to return the facility/operations to normal.
- (6) **Readiness assurance** shall include assessments and documentation to ensure that stated emergency capabilities are sufficient to implement emergency plans.
- (7) The Headquarters Emergency Operations Center shall serve as the point of contact for receipt of all emergency notifications and reports. Accordingly, the Headquarters Emergency 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 Office of Independent Oversight and Performance Assurance provides independent oversight of the Comprehensive Emergency Management System.
- (9) Implementation of a comprehensive emergency management program at a DOE or NNSA site/facility/activity shall be commensurate with the hazards present at that site/facility/activity (i.e., it shall be developed consistent with a graded approach).
- (10) Responsibilities shall be established in accordance with Chapter I of this Order.
- (11) A Headquarters Emergency Management Team shall be established, as necessary, for Operational Emergencies, Energy Emergencies, and Emergency Assistance. See Chapter II for team organization and functions.
- (12) Each DOE or NNSA site/facility shall 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 or NNSA operations. See Chapter III.
- (13) In addition to the Operational Emergency Base Program, each DOE or NNSA site/facility with significant quantities of hazardous materials (radiological and non-radiological) shall 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.
- (14) Each DOE or NNSA site/facility shall 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 or NNSA site/facility shall further classify Operational Emergencies involving hazardous materials as an Alert, Site Area Emergency, or General Emergency, in order of increasing severity. See Chapter V.

- (15) The Department's Energy Emergency Program shall 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.
  - (16) Directed by Executive order or other binding agreements, the Department's Emergency Assistance Program shall 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 shall 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.
  - (17) Each DOE or NNSA site/facility shall 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.
  - (18) Each DOE or NNSA site/facility shall provide accurate, candid, and timely information about emergencies to workers and the public. See Chapter IX.
  - (19) Each DOE or NNSA site/facility shall establish a readiness assurance program to ensure that stated emergency capabilities are sufficient to implement emergency plans. See Chapter X.
  - (20) Each DOE or NNSA site/facility, along with operations/field offices, shall document the emergency management program in an Emergency Plan. See Chapter XI.
- b. Planning and Preparedness. Each site/facility and Department element shall 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 Department elements and contractors with responsibilities for site/facility operations and activities shall participate in development of comprehensive emergency management programs. Such programs shall 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) Operations/Field Offices. Operations/field offices shall have a trained emergency response staff and shall 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 shall 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 shall also 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 coincident with Emergency Assistance.
- (3) Emergency Assistance. Emergency Assistance planning and preparedness shall include preparation to deploy Departmental resources, emergency response assets, and personnel, and/or use of facilities to support Federal interagency plans, Presidential direction, and State, local, or Tribal agreements of mutual aid. Emergency Assistance may be implemented coincident with an Energy Emergency response.
- (4) Headquarters.
- (a) The Director 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) Cognizant Secretarial Officers ensure implementation of policy and requirements for activities conducted by sites/facilities and operations/field offices under their cognizance.
  - (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 shall be provided in coordination with the Director 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 shall direct appropriate emergency response actions 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 shall promptly notify local, State, Tribal, DOE, and other regional Federal agencies when events categorized as Operational Emergencies occur.

(b) Operations/Field Offices.

- 1 Operations/field offices shall monitor the facility response, provide support, and assist with issue resolution.
- 2 Operations/field offices shall monitor the notification process at the site/facility and make notifications of applicable DOE emergency events as necessary or appropriate.
- 3 Operations/field offices shall coordinate interagency and public information activities at the regional level and coordinate directly with Headquarters.
- 4 The specific structure of operations/field office Emergency Management Teams depends on the relationship (contractual and geographic) to the site/facility. All operations/field office Emergency Management Teams shall have a senior official who serves as an emergency manager with decision-making responsibilities. Such individuals shall be supported by personnel with communications, technical, and liaison and public affairs expertise.

5 The operations/field office Emergency Management Team may be activated for any emergency declaration.

- (2) Energy Emergency Response. Response activities for Energy Emergencies are normally concentrated at DOE Headquarters. DOE responsibilities for Energy Emergencies are delineated within interagency Federal response and recovery plans, Executive orders, and international agreements. DOE Headquarters shall monitor Energy Emergencies for changing requirements and brief the White House and congressional offices.
- (3) Emergency Assistance Response. Response to events requiring DOE Emergency Assistance shall be directed to appropriate DOE Headquarters elements. DOE responsibilities for Emergency Assistance are delineated within interagency Federal response and recovery plans, Executive orders, and/or international agreements. DOE Headquarters shall monitor such events for changing requirements, brief the White House and congressional offices, and develop options for continuing Departmental operations and missions.
- (4) Headquarters. DOE Headquarters shall receive information on the facility, site, or area response; monitor the operations/field office response; provide appropriate support and assistance; assist with issue resolution; and coordinate interagency, congressional, and public information activities at the national level.
  - (a) The Headquarters Emergency Management Team for Operational Emergencies, Energy Emergencies, and Emergency Assistance shall consist of an Executive Team and a Technical Operations Cadre (see Chapter II for team organization).
  - (b) The Executive Team shall provide strategic direction to the Department and evaluate the emergency's impact on Departmental operations, missions, and functions.
  - (c) The Technical Operations Cadre shall use a matrix approach to provide technical and support personnel from appropriate Headquarters elements. The Cadre shall analyze information regarding the cause of and severity of the emergency and its potential impacts on workers, the public, the environment, and national security. The Cadre shall also coordinate any support needed from other Federal agencies and prepare Departmental briefings on the emergency.
  - (d) The Headquarters Emergency Management Team shall be led by an Emergency Manager. The Director, Office of Security and Emergency Operations, shall serve as the Headquarters Emergency Manager for all activations of the Headquarters Emergency Management Team. The

Director of Emergency Operations is the Chief of Staff (Operations Officer) for all activations of the Headquarters Emergency Management Team.

- (e) Activation of the Headquarters Emergency Management Team is at the direction of the Deputy Secretary, in coordination with the Emergency Manager and the Director of Emergency Operations. The Executive Team convenes at the direction of the Emergency Manager or the Deputy Secretary.
  - (f) The Headquarters team is normally activated only for emergencies that involve serious or potentially serious threats to the health and safety of workers and the public, the environment, or national security.
  - (g) At DOE Headquarters, the Emergency Manager, in coordination with the Director of Emergency Operations, recommends to the Deputy Secretary when the Headquarters Emergency Management Team should be deactivated and if a recovery team is needed.
- (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 shall develop implementation schedules for full compliance. These schedules shall be submitted to the operations/field office manager for approval with the next annual Emergency Readiness Assurance Plan.

- b. Hazards surveys, changes to hazards assessments, or new hazards assessments shall be completed by September 30, 1997.
  - c. To fully comply with this Order, site/facility emergency management programs shall 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 of Emergency Operations at 202-586-9892.

BY ORDER OF THE SECRETARY OF ENERGY:

T. J. GLAUTHIER  
Deputy Secretary

## CONTENTS

### CHAPTER I - RESPONSIBILITIES

1.	DEPUTY SECRETARY .....	I-1
2.	DIRECTOR OF SECURITY AND EMERGENCY OPERATIONS .....	I-1
3.	DIRECTOR OF EMERGENCY OPERATIONS .....	I-1
4.	STANDING EMERGENCY MANAGEMENT COORDINATING COMMITTEE ....	I-2
5.	EMERGENCY MANAGEMENT ADVISORY COMMITTEE .....	I-3
6.	HEADQUARTERS EMERGENCY MANAGER .....	I-3
7.	PROGRAM SECRETARIAL OFFICERS .....	I-3
8.	OPERATIONS/FIELD OFFICES 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 - HEADQUARTERS EMERGENCY MANAGEMENT TEAM

1.	GENERAL .....	II-1
2.	EXECUTIVE TEAM .....	II-1
3.	TECHNICAL OPERATIONS CADRE .....	II-2

### CHAPTER III - OPERATIONAL EMERGENCY BASE PROGRAM

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

### 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.	Hazards Assessment .....	IV-2
b.	Planning Requirements .....	IV-3

**CONTENTS (continued)**

4.	PREPAREDNESS PHASE .....	IV-5
a.	Training and Drills .....	IV-5
b.	Exercises .....	IV-5
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 FURTHER 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 FURTHER CLASSIFICATION .....	V-3
a.	Alert .....	V-3
b.	Site Area Emergency .....	V-4
c.	General Emergency .....	V-4

**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-1
4.	PREPAREDNESS PHASE .....	VII-2
5.	RESPONSE PHASE .....	VII-2

**CONTENTS (continued)**

**CHAPTER VIII - COMMUNICATIONS REQUIREMENTS**

1.	GENERAL .....	VIII-1
2.	PLANNING PHASE .....	VIII-1
3.	PREPAREDNESS PHASE .....	VIII-1
4.	RESPONSE PHASE .....	VIII-1
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-2
g.	Energy Emergencies and Emergency Assistance Response .....	VIII-2

**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-1
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

## **CHAPTER I**

### **RESPONSIBILITIES**

1. DEPUTY SECRETARY. Serves as senior emergency management policy official.
2. DIRECTOR OF SECURITY AND EMERGENCY OPERATIONS (in addition to responsibilities as the Cognizant Secretarial Officer)—
  - a. provides overall direction to the Director of Emergency Operations for the management and allocation of resources and development of capabilities for emergency management activities;
  - b. serves as the Emergency Manager for all activations of the Headquarters Emergency Management Team.
3. DIRECTOR OF EMERGENCY OPERATIONS is 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 Department's 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. Evaluates all line/program emergency management activities. (The Director, Independent Oversight and Performance Assurance, provides independent oversight of emergency management.)
  - e. Ensures emergency management program integrity through integration of all programs, systems, assets, capabilities, training, and response.
  - f. Conducts emergency management program reviews and attends line management program reviews.

- g. Establishes, charters, administers, convenes, and chairs the Standing Emergency Management Coordinating Committee.
  - h. Establishes, charters, administers, convenes, and chairs the Emergency Management Advisory Committee.
  - i. Serves as budget and staffing advocate for emergency management programs.
  - j. Prepares and maintains plans and procedures for DOE Headquarters response to emergencies, in coordination with Cognizant Secretarial Officers, and conducts all Headquarters Emergency Management System training.
  - k. Serves as Chief of Staff (Operations Officer) for the Headquarters Emergency Management Team for all emergency response/exercise activations.
  - l. Manages, maintains, and operates a 24-hour single point of contact for Headquarters emergency operations facilities and attendant management support capabilities; maintains a qualified cadre of Departmental experts capable of supporting an emergency.
  - m. Serves as the point of contact for assessments of hostile threats to Departmental facilities and all nuclear threat assessments, and for DOE's technical, analytical, and research expertise, which may assist the law enforcement community.
  - n. 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.
  - o. Establishes systems and measures to monitor and evaluate operations/field office and Headquarters offices emergency management programs.
  - p. Ensures the coordinated development and maintenance of Departmental portions of Federal interagency and international emergency management plans and agreements.
  - q. Provides an annual status report to the Deputy Secretary on DOE readiness assurance.
4. STANDING EMERGENCY MANAGEMENT COORDINATING COMMITTEE.
- a. Members include Deputy or Associate Deputy Assistant Secretaries or equivalent level from Environmental Management; Science; Nuclear Energy, Science and Technology; Fossil Energy; Energy Efficiency and Renewable Energy; and the Deputy or Associate Deputy Administrator of Defense Nuclear Nonproliferation and Defense Nuclear Programs. Deputy or Associate Deputy Assistant Secretaries or equivalent level from Policy, 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 operations/field offices managers.
- b. Provides support to the Director of Emergency Operations in identifying and resolving Department-wide emergency management issues.

6. HEADQUARTERS EMERGENCY MANAGER.

- a. Leads Headquarters Emergency Management Team and serves as Deputy Chair of the Executive Team.
- b. In coordination with the Director of Emergency Operations, activates the Headquarters Emergency Management Team at the direction of the Deputy Secretary.
- c. In conjunction with the Deputy Secretary, convenes the Headquarters Executive Team.
- d. In coordination with the Director of Emergency Operations, 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 operations/field office, the Assistant Secretary for Environment, Safety and Health, and the Director of Emergency Operations.
- d. Ensure full coordination with the Director 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 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 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 is adequate in operations/field office programs.
- f. Conduct line management reviews of program-specific emergency management activities in coordination with the Director of Emergency Operations.
- g. Coordinate with the Director of Public Affairs and the Director 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 Deputy Chief of Staff for Technical Operations and to co-direct the Headquarters Technical Operations Cadre; and
  - (3) Senior representatives for the Emergency Management Advisory Committee.

#### 8. OPERATIONS/FIELD OFFICE MANAGERS.

- 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 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 of Emergency Operations and the Cognizant Secretarial Officer(s).
  - (2) Approve and submit approved Emergency Planning Zones to the Assistant Secretary for Environment, Safety and Health; the Director of Emergency Operations; and the Cognizant Secretarial Officer(s).
- d. Coordinate with the Cognizant 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 Emergency Operations Center regarding emergencies involving or affecting facilities or materials under DOE jurisdiction or requiring DOE assistance.
  - h. Review and approve Emergency Readiness Assurance Plans (ERAPs) that cover facilities under their supervision; prepare the operations/field office annual Emergency Readiness Assurance Plan; submit it to the Cognizant Secretarial Officer and the Director 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 employee as the On Scene Coordinator for Federal responses under the National Contingency Plan and as the On Scene Commander and/or Senior Energy Official in accordance with the Federal Radiological Emergency Response Plan.
  - 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 operations/field offices 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 Cognizant Secretarial Officer and the Director 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 for 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 DOE Emergency Operations Center shall be equipped with compatible communication, photo/video, and automatic data processing support specified by the Director 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 operations/field office emergency preparedness program.
  - r. Assign senior representatives to the Emergency Management Advisory Committee.
  - s. Comply with the requirements of the DOE 5530-series Orders, which establish requirements for the radiological emergency response assets programs.
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 operations/field office 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 shall 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) shall 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 operations/field offices 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. Designate facility, site, and activity tiers.
- h. 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.
- i. Approve and submit approved Emergency Planning Zones to the Assistant Secretary for Environment, Safety and Health; and the Director, Office of Emergency Operations.
- j. Approve and submit approved facility/site/activity Emergency Plans to the Director, Office of Emergency Operations.
- k. 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.
- l. 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.

- m. 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.
- n. 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.
- o. 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.

## CHAPTER II

### HEADQUARTERS EMERGENCY MANAGEMENT TEAM

1. GENERAL. The Headquarters Emergency Management Team, led by a predesignated Emergency Manager, consists of an Executive Team and a Technical Operations Cadre.
2. EXECUTIVE TEAM.
  - a. The Headquarters Executive Team is chaired by the Deputy Secretary. The Headquarters Emergency Manager serves as the Deputy Chair. The Director of Emergency Operations serves as the Chief of Staff (Operations Officer).
  - b. The following individuals, or their designees, shall serve as core members of the Headquarters Executive Team:
    - (1) Deputy Secretary,
    - (2) Secretary's Representative,
    - (3) Director of Security and Emergency Operations,
    - (4) Assistant Secretary for Congressional and Intergovernmental Affairs,
    - (5) Director of Public Affairs,
    - (6) Assistant Secretary for Environment, Safety and Health.
  - c. The following individuals, or their designees, shall serve as members of the Headquarters Executive Team for emergencies involving sites/facilities/activities under their cognizance or if they are requested by the Deputy Secretary:
    - (1) Administrator, NNSA;
    - (2) Assistant Secretary for Energy Efficiency and Renewable Energy;
    - (3) Administrator, Energy Information Administration;
    - (4) Director of Science;
    - (5) Assistant Secretary for Environmental Management;

- (6) Assistant Secretary for Fossil Energy;
  - (7) Director of Nuclear Energy, Science and Technology.;
  - (8) Director of Policy;
  - (9) Deputy Administrator for Defense Nuclear Nonproliferation;
  - (10) Deputy Administrator for Defense Nuclear Programs;
  - (11) Headquarters liaison to the Power Marketing Administrations.
- d. For Energy Emergencies, the core group shall be augmented, as appropriate, by the Assistant Secretary for Fossil Energy, the Assistant Secretary for Energy Efficiency and Renewable Energy, and the Administrator of the Energy Information Administration.

### 3. TECHNICAL OPERATIONS CADRE.

- a. The Technical Operations Cadre is co-directed by the Deputy Chief of Staff for Technical Operations and the Deputy Chief of Staff for Emergency Operations. The primary Affected Program Office provides the Deputy Chief of Staff for Technical Operations, and the Office of Emergency Operations provides the Deputy Chief of Staff for Emergency Operations.
- b. The following offices shall provide members to serve on the Technical Operations Cadre in various capacities.
  - (1) The Office of Emergency Operations provides Emergency Operations Center Support Coordinators, emergency management specialists, and technical and administrative support.
  - (2) Affected Program Office(s) provide technical/scientific experts.
  - (3) The Assistant Secretary for Congressional and Intergovernmental Affairs and the Director of Public Affairs provide congressional, intergovernmental liaison, and public affairs specialists.
  - (4) Other Program Office(s) provide support as necessary:
    - (a) Office of Nuclear Energy, Science and Technology (e.g., nuclear energy experts);

- (b) Office of Environmental Management (e.g., waste and transportation experts);
- (c) Office of Security and Emergency Operations (e.g., intelligence, security, and safeguards experts);
- (d) Office of Defense Nuclear Programs (e.g., program manager for radiological emergency response assets and nuclear weapons experts).;
- (e) Office of Environment, Safety and Health (e.g., industrial hygiene, fire protection, environmental, safety engineers, epidemiologists);
- (f) Office of Policy;
- (g) Office of Fossil Energy (e.g., experts in fossil energy operations);
- (h) Energy Information Administration (e.g., energy infrastructure experts);
- (i) Office of Defense Nuclear Nonproliferation (arms control and nonproliferation experts).

## CHAPTER III

### OPERATIONAL EMERGENCY BASE PROGRAM

1. GENERAL REQUIREMENTS. Each DOE or NNSA site/facility shall 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 or 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 shall provide for compliance with the following regulations and plans developed by other Federal Agencies and DOE 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 420.1, FACILITY SAFETY, which addresses requirements for fire protection programs that include response by DOE or local community fire departments;
- j. DOE O 440.1A, WORKER PROTECTION FOR DOE FEDERAL AND CONTRACTOR EMPLOYEES, which addresses requirements for planning for treatment of the injured during emergency or disaster situations;
- k. DOE O 470.1, SAFEGUARDS AND SECURITY PROGRAM, which addresses requirements for appropriate protection levels for DOE interests and documentation in facility-specific Site Safeguards and Security Plans.

### 3. PLANNING PHASE.

- a. Integration of Planning. A hazards survey (i.e., qualitative examination) shall 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 shall—
    - (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 shall 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 shall 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 shall provide for integrated planning to meet the response requirements identified in the hazards survey. At a minimum, the Operational Emergency Base Program shall 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 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 shall be provided to all workers who may be required to take protective actions (e.g., assembly, evacuation). This training is required when they are employed, when their expected actions change, or when the emergency plan changes.

- (2) Refresher training shall 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 shall be made available to offsite personnel who may be required to participate in response to an emergency at the DOE or NNSA site/facility.

b. Exercises.

- (1) At a minimum, each site/facility shall 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 shall 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, operations/field offices, and offsite agencies shall test communications systems at least annually or as often as needed to ensure that communications systems are operational.

5. RESPONSE PHASE.

a. Response.

- (1) Re-entry planning shall include contingency planning to ensure the safety of re-entry personnel, such as planning for the rescue of re-entry teams. All individuals involved in re-entry shall 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 shall 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 or 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 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, 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 and 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. Hazards Assessment.

- (1) The release of or loss of control of hazardous materials (radiological and non-radiological) shall 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 shall be used to determine the necessary personnel, resources, and equipment for the Operational Emergency Hazardous Materials Program. If the hazards assessment indicates that all events would be classified as less than an Alert, the minimum program requirements shall 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 hazards assessment shall be reviewed at least annually and updated prior to significant changes to the site/facility or hazardous material inventories.
- (3) The hazards assessment shall 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 shall be documented.

b. Planning Requirements.

- (1) Emergency Response Organization. This organization shall 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 shall—
  - (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 shall be established to categorize and classify emergency events.
  - (a) Hazardous material emergencies involving DOE and NNSA facilities shall be classified in accordance with Chapter V.
  - (b) Site/facility-specific Emergency Action Levels shall be developed for the spectrum of potential Operational Emergencies identified by the hazards assessment.
- (4) Communications. See Chapter VIII.
- (5) Consequence Assessment. Provisions shall be established to adequately assess the potential or actual onsite and offsite consequences of an emergency. Consequence assessments shall—
  - (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 shall be predetermined for onsite personnel and the public and shall include—
- (a) methods for controlling, monitoring, and maintaining records of personnel exposures to hazardous materials (radiological and non-radiological);
  - (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 shall be planned in accordance with DOE O 440.1A for workers contaminated by hazardous material. Medical support shall 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 shall be available and maintained as follows.
- (a) A facility shall be available for use as a command center.
  - (b) Provisions shall 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 shall 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 shall be an integral part of the emergency management program. The program shall apply to emergency response personnel and organizations that the site/facility expects to respond to onsite emergencies. Emergency-related information shall be available to offsite response organizations. The program shall consist of self-study/homework, training, and drills.
  - (1) Training. Both initial training and annual refresher training shall be provided for the instruction and qualification of all personnel (i.e., primary and alternate) comprising the emergency response organization.
  - (2) Drills. Drills shall provide supervised, "hands-on" training for members of emergency response organizations.
- b. Exercises. A formal exercise program shall be established to validate all elements of the emergency management program over a multi-year period. Each exercise shall have specific objectives and shall be fully documented (e.g., by scenario packages that include objectives, scope, timelines, injects, controller instructions, and evaluation criteria). Exercises shall be evaluated. A critique process, which includes gathering and documenting observations of the participants, shall be established. Corrective action items identified as a result of the critique process shall be incorporated into the emergency management program.
  - (1) Sites/Facilities.
    - (a) Each DOE or NNSA facility subject to this chapter shall 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., field/operations office or Headquarters Office of Emergency Operations) shall 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 shall participate in a minimum of one exercise annually. This site exercise shall be designed to test and demonstrate the site's integrated emergency response capability. For multiple-facility sites, the basis for the exercise shall be rotated among facilities.

- (c) Offsite response organizations shall 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 shall 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), Atmospheric Release Advisory Capability (ARAC), Radiological Emergency Assistance Center/Training Site (REAC/TS), and Radiological Assistance Program (RAP).
- (3) Each DOE or NNSA site or activity that achieves overall success with all objectives satisfied during an exercise evaluated by the Office of Emergency Operations may be granted a 1-year respite from the annual exercise requirement if agreed to by the Office of Emergency Operations and the operations/field office manager (i.e., a 2-year period until the next site exercise or a 4-year period until the next exercise of the radiological emergency response asset).

## 5. RESPONSE PHASE.

- a. Response. Emergencies involving hazardous materials require time-urgent response actions to minimize or prevent unacceptable consequences. Events shall be classified on the basis of potential severity of the consequences as detailed in Chapter V. Response actions shall 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 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 shall be established/developed.
  - (2) The means shall exist for estimating exposure to hazardous materials (radiological and non-radiological) and for protecting workers and the general public from exposure during reentry and recovery activities.
  - (3) Recovery procedures shall 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, shall not be downgraded (e.g., to Unusual Occurrence) 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 shall 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 and 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 shall be included in site/facility-specific procedures. Less severe events are reported through the "Unusual Occurrence" and "Off-Normal Occurrence" process described in DOE O 232.1A.

2. EVENTS THAT DO NOT REQUIRE FURTHER CLASSIFICATION. An Operational Emergency shall 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) Discovery of radioactive or other hazardous material contamination from past DOE or 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 or NNSA operations that is observed to have or is predicted to have an impact on a DOE or NNSA site such that protective actions are required for onsite DOE or NNSA workers.
    - (3) An occurrence that causes or can reasonably be expected to cause significant structural damage to DOE or NNSA facilities, with confirmed or suspected personnel injury or death or substantial degradation of health and safety.

- (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 threatened detonation resulting from the location of a confirmed or suspicious explosive device.
  - (2) An actual terrorist attack or sabotage event involving a DOE or NNSA site/facility or operation.
  - (3) Kidnapping or the taking of hostage(s) involving a DOE or 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 radiological or non-radiological hazardous materials from a DOE or 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 FURTHER CLASSIFICATION. Operational Emergencies shall 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 radiological and non-radiological 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 shall 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 (radiological and non-radiological).
      - (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 shall 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 shall 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 shall 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 Director of Policy through short- and long-range forecasts.
  - b. Planning Requirements. The Headquarters Energy Emergency Management Plan and Implementing Procedures shall 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 Headquarters, field, or operations office roles and resources 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 Emergency Management Plan shall establish a readiness assurance program, including training, drills, exercises, and evaluation of readiness for energy emergencies.
5. RESPONSE PHASE.
- a. An energy emergency shall 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 shall convene in the Headquarters Emergency 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 coincident with implementation of the Energy Emergency Program (Chapter VI).
2. RELATED REGULATIONS AND PLANS.
  - a. The Federal Radiological Emergency Response Plan has been developed jointly by Federal agencies to guide Federal response to a peacetime radiological emergency.
  - b. 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.
  - c. 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.
  - d. 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.
  - e. The DOE 5530-series Orders describe the programmatic requirements of the Department's radiological emergency response assets.
3. PLANNING PHASE.
  - a. Emergency Assistance planning shall 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 shall—
    - (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 Headquarters, field, or operations office roles and resources required in response to Emergency Assistance scenarios; and
    - (4) establish reporting formats to document situation and DOE response activities.
  - c. Plans and procedures developed in accordance with the DOE 5530-series Orders for the Department's radiological emergency response assets shall be cross-referenced in the Headquarters Emergency Assistance Plan and implementing procedures.
4. PREPAREDNESS PHASE. The Headquarters Emergency Assistance Plan shall 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 Chief of Staff of the Emergency Management Team, for the Emergency Manager, shall coordinate with appropriate response teams (e.g., Defense Nuclear Programs, Energy Information Administration, field offices) 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 DOE 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 shall be established for prompt initial notification of workers and emergency response personnel and organizations, including appropriate DOE and NNSA elements and other Federal, State, Tribal, and local organizations. Provisions shall 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 shall be established to support appropriate plans and agreements.
3. PREPAREDNESS PHASE. Adherence to Operational Emergency notification and reporting requirements shall be demonstrated in all emergency management exercises. Preparedness responsibilities for Energy Emergencies and Emergency Assistance shall be established to support appropriate plans and agreements.
4. RESPONSE PHASE.
  - a. Initial Emergency Notifications. For Operational Emergencies, initial emergency notifications shall be made to workers, emergency response personnel, and organizations, including DOE and NNSA elements and other local, State, Tribal, and Federal organizations.
    - (1) The Manager/Administrator of each DOE- or contractor-operated site/facility shall—
      - (a) notify State and local officials and the DOE or NNSA Field and Headquarters Emergency Operations Centers 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 DOE or NNSA Field and Headquarters Emergency Operations Centers within 30 minutes of the declaration of an other than hazardous material Operational Emergency; and
    - (c) notify local, State, and Tribal organizations within 30 minutes or as established in mutual agreements for declaration of an other than hazardous material Operational Emergency.
  - (2) Headquarters Watch Office staff in the Headquarters Emergency Operations Center and Headquarters Emergency Management Team personnel shall be responsible for the following.
    - (a) Record incoming verbal notifications, receive emergency event information by other data transmission means or mechanisms, and disseminate such information to Cognizant Secretarial Officer representatives and appropriate Headquarters organizations of other Federal agencies. The Emergency Operations Center shall disseminate notifications involving Energy Emergencies and Emergency Assistance to the appropriate operations/field offices.
    - (b) Facilitate communications among Headquarters organizations, DOE and NNSA field organizations, and contractor personnel.
- b. Emergency Status Updates. Emergency status reports shall be forwarded to the next-higher Emergency Management Team on a continuing basis until the emergency is terminated.
- c. Responder Communications. Effective communications methods shall 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 232.1A), each activated Emergency Management Team shall submit a final report on the emergency response to the Emergency Manager for submission to the Director of Emergency Operations.
- e. Recovery Reporting. Reporting requirements shall be specified during recovery planning.
- f. Classified Information Reviews. All reports and releases shall 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 shall be established to support appropriate plans and agreements.

## CHAPTER IX

### PUBLIC AFFAIRS POLICY AND PLANNING REQUIREMENTS

1. GENERAL. The Department shall 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 shall 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 shall 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 or NNSA resources or personnel.
  - d. Each operations/field office and site/facility shall 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 shall be prepared. The plans shall 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 and 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 shall be demonstrated during exercise evaluations, technical assistance appraisals, and approved training programs.
4. RESPONSE PHASE.
  - a. This Order shall be applied during deployment of the following Departmental emergency response assets: the Aerial Measuring System, the Accident Response Group, the Atmospheric Release Advisory Capability, 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 or NNSA operations/field office and contractor personnel shall 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 or NNSA operations/field office public affairs manager or a designee. The emergency public information program shall 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 shall 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 shall 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 shall be assigned to the emergency public information response team involved in a significant offsite response deployment.
  - f. A Headquarters official or team shall provide support to the affected Program Offices/ Emergency Management Team and/or requesting operations/field office, as appropriate.

- g. The Director of Public Affairs and the Headquarters Emergency Manager shall be informed of all DOE or NNSA emergency public information actions. These notifications shall be made as soon as practicable but are not required prior to issuing news releases or public statements.
- h. Initial news releases or public statements shall be approved by the DOE or NNSA official responsible for emergency public information review and dissemination. Following initial news releases and public statements, updates shall be coordinated with the Director of Public Affairs.
- i. An emergency public information communications system shall be established among Headquarters, operations/field office, and on-scene locations.

## CHAPTER X

### EVALUATIONS AND READINESS ASSURANCE

1. GENERAL. Evaluations consist of line/program reviews conducted by the Director 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 of Emergency Operations shall evaluate line/program emergency management activities, to include the NNSA radiological emergency response assets, using published criteria. Evaluation findings shall be addressed by the evaluated activity within 90 days of receipt of findings. The Director of Emergency Operations shall determine closure of all open or unresolved evaluation findings.
  - a. The Director of Emergency Operations' evaluation of a site/facility shall fulfill the requirement for the operations/field office 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 technical assistance appraisals of Headquarters Program Offices, operations/field offices, and sites/facilities, including NNSA radiological emergency response assets, as needed. To ensure a coordinated review, the Office of Emergency Operations shall request participation from Cognizant Secretarial Officer(s); the Office of Environment, Safety and Health; and the operations/field offices.
3. EMERGENCY READINESS ASSURANCE PLANS (ERAPS).
  - a. Emergency planning and preparedness activities for each facility, site, and operations/field office shall 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 shall be a planning tool to identify and develop needed resources and improvements. ERAPs shall 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 shall be reviewed for classified or controlled information prior to submittal.
  - c. ERAP Submittal and Approval.
    - (1) The operations/field office manager shall review and approve ERAPs that cover facilities under their supervision and submit a consolidated ERAP to the Director of Emergency Operations and the Cognizant Secretarial Officer by November 30.
    - (2) The Director of Emergency Operations shall prepare, in coordination with the Cognizant Secretarial Officers, an annual status report that summarizes the operations/field office ERAPs for submittal to the Deputy Secretary by April 30.
4. EMERGENCY READINESS ASSURANCE APPRAISALS AND ASSESSMENTS.  
Cognizant Secretarial Officers and operations/field offices shall 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 shall be based on specific standards and criteria, published by the Director of Emergency Operations. Appraisal findings shall be acknowledged by the appraised activity within 90 days of receipt of findings with a corresponding plan for correction. The appraising organization shall determine closure of all open or unresolved appraisal findings. Appraisals shall be scheduled, conducted, and reported in accordance with this Order.
- a. DOE-, NNSA- and/or DOE/NNSA contractor-operated facilities shall conduct an annual internal readiness assurance assessment of their emergency management programs. Assessment results shall be documented in the consolidated operations/field office ERAP.
  - b. Each DOE or NNSA operations/field office shall assess the emergency management program at each site/facility under its supervision. Each site/facility shall be assessed at least once every 3 years. The operations/field office shall notify the Cognizant Secretarial Officer of its assessment schedule.
  - c. Cognizant Secretarial Officers shall schedule and perform periodic readiness assurance appraisals of emergency management activities.
  - d. Schedules for all assessments, appraisals, and follow-on activities shall be coordinated with the Director 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 operations/field office manager, and each manager/administrator of a DOE-, NNSA- and/or DOE/NNSA contractor-operated site/facility subject to this Order shall designate an individual to administer emergency management. This individual shall 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, shall be reviewed for classified and UCNI by an Authorized Derivative Classifier or UCNI reviewing official.
3. EMERGENCY PLANS. The emergency plan shall document the emergency management program and describe the provisions for response to an Operational Emergency.
4. EMERGENCY PLAN IMPLEMENTING PROCEDURES. Emergency Plan Implementing Procedures shall describe how emergency plans shall be implemented.
5. LESSONS LEARNED. The emergency management program shall 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 shall 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.

## **CONTRACTOR REQUIREMENTS DOCUMENT**

### **DOE O 151.1A, COMPREHENSIVE EMERGENCY MANAGEMENT SYSTEM**

The contractor shall implement site/facility/activity-specific comprehensive emergency management program(s) based on a graded approach. The contractor shall 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 operations/field office 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 operations/field office.
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, operations/field office managers, and the Headquarters Emergency 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 operations/field office managers; the Director 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.