

# memorandum

DATE: March 23, 2011

REPLY TO

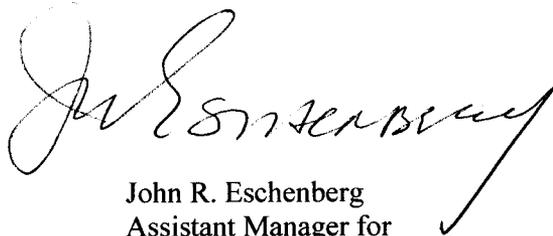
ATTN OF: EM-92:Noe

SUBJECT: **EM PROCEDURE EM-5.1, REVISION 0, "EMERGENCY MANAGEMENT PROGRAM  
ROLES AND RESPONSIBILITIES" - APPROVED**

TO: Environmental Management Staff, EM-90

The subject procedure, see attached, is issued for your use. Please read and familiarize yourself with it. It will be placed onto the Office of Environmental Management's Office Policies and Procedures Webpage, see <http://www.oakridge.doe.gov/External/Default.aspx?tabid=120>, as soon as possible and will be available there for future reference.

If you have any questions or if we can be of any further assistance, please contact me at 576-0742 or Melyssa Noe at 241-3315.



John R. Eschenberg  
Assistant Manager for  
Environmental Management

Attachment

U.S. Department of Energy  
Oak Ridge Office  
Office of Environmental Management  
Procedure

EMERGENCY MANAGEMENT PROGRAM ROLES AND  
RESPONSIBILITIES

EM-5.1  
Revision 0

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## ACRONYMS

AMEM	Assistant Manager for Environmental Management
DOE	U.S. Department of Energy
EM	Environmental Management
EMT	Emergency Management Team
EOC	Emergency Operations Center
EPHA	Emergency Planning Hazard Assessment
EPI	Emergency Public Information
EPP	Emergency Plan Procedure
EPZ	Emergency Planning Zone
ERAP	Emergency Readiness Assurance Plan
ERO	Emergency Response Organization
FPE	Full Participation Exercise
HQ	Headquarters
HS	Hazards Survey
JIC	Joint Information Center
NA-41	Director, Office of Emergency Management and Policy
ORO	Oak Ridge Office
OROC	Oak Ridge Operations Center
OROEOC	Oak Ridge Office Emergency Operations Center
ORR	Oak Ridge Reservation
PSO	Program Secretarial Officer
SCMS	Office of Science Management System
TEMA	Tennessee Emergency Management Agency

## **1.0 PURPOSE**

This procedure correlates to Department of Energy (DOE) Order 151.1C, Comprehensive Emergency Management System, dated November 2, 2005. The requirements in DOE O 151.1C are assigned at the Field Element Manager level. These responsibilities are further assigned to the appropriate Oak Ridge Office (ORO) organizations as described in the ORO Management System Description/Quality Assurance Plan. Environmental Management maintains this procedure to document its responsibilities and coordination with the ORO Emergency Management Team, and contractors, and ensure implementation of the Office of Science (SC) Management System (SCMS) Emergency Operations subject area procedures.

## **2.0 SCOPE**

This procedure applies to Environmental Management staff as a tool to describe and document how the EM emergency management program is managed, maintained, and coordinated with the ORO Emergency Management Team (EMT) and contractors.

## **3.0 REFERENCES**

DOE G 151.1-1A, *Emergency Management Guide*

DOE O 151.1C, *Comprehensive Emergency Management System*

ORO Management System Description/Quality Assurance Program

EMT procedure; Emergency Management Program Roles and Responsibilities

Science Management System (SCMS); Safeguards, Security, and Emergency Management

## **4.0 EMERGENCY MANAGEMENT ROLES AND RESPONSIBILITIES**

The following sections identify the role of each EM organization in implementation of DOE O 151.1C.

### **4.1 Assistant Manager for Environmental Management (AMEM)**

The DOE Headquarters (HQ) Office of Environmental Management (EM) funds grants to be awarded to states where DOE EM activities and operations are being performed. The ORO AMEM administers and manages the agreement with the state of Tennessee, titled the Tennessee Oversight Agreement. The EMT provides technical support to AMEM in the management of the emergency management grant portion of the Tennessee Oversight Agreement.

The ORO AMEM is the line manager for the EM contractors operating on the Oak Ridge Reservation (ORR). The EMT coordinates with and supports the AMEM in performance of the emergency management program functions addressed in this procedure.

- 4.1.1 As Contracting Officer Representative, ensure DOE O 151.1C is incorporated into the appropriate contracts (see DOE O 151.1C, Chapter I, subparagraph 9u) and that measures of effectiveness are incorporated. (DOE O 151.1C, Chapter I, subparagraph 9c).
- 4.1.2 If exemptions are requested for DOE O 151.1C, review and concur, provide to the EMT for review, and submit to the Manager, ORO, for approval [see DOE O 151.1C, subparagraph 3c(5)].
- 4.1.3 Assign a line management representative to serve as the emergency management program coordinator.
- 4.1.4 Ensure inventories reported in Hazard Surveys (HS) and Emergency Planning Hazard Assessments (EPHA) are valid (i.e., reviewed by Facility Representative) before the HS or EPHA is provided to EMT for review (see DOE O 151.1C, Chapter I, subparagraph 9k).
- 4.1.5 After review by EMT, approve HSs and ensure the contractor updates them every 3 years and prior to significant changes to the facility or to hazardous material inventories (see DOE O 151.1C, Chapter I, subparagraph 9k).
- 4.1.6 After review by EMT, approve EPHAs and ensure the contractor reviews them every 3 years and updates them prior to significant changes to the facility or hazardous material inventories. Forward EPHA documents to the EMT, Tennessee Emergency Management Agency (TEMA), Program Secretarial Officer (PSO), and NA-41 (see DOE O 151.1C, Chapter I, subparagraph 9k).
- 4.1.7 Utilizing EMT and Line Management staff, ensure contractor tracks and implements corrective actions from emergency events, evaluations, and assessments (see DOE O 151.1C, Chapter I, subparagraph 9o).
- 4.1.8 Utilizing EMT and Line Management staff, conduct assessments of contractor emergency management programs ensuring all elements are assessed at least once every 3 years to ensure compliance with DOE Directives and ORO policy and provide results to PSO and NA-

41 with a copy to the EMT (see DOE O 151.1C, Chapter I, subparagraph 9m).

- 4.1.9 Utilizing EMT and Line Management staff, review contractor self-assessment programs annually to ensure compliance with DOE Directives and ORO policy and provide results to PSO and NA-41 with a copy to the EMT (see DOE O 151.1C, Chapter I, subparagraph 9m).
- 4.1.10 Utilizing EMT and Line Management staff, assess the Line Manager's emergency management program responsibilities annually and record the results of the self-assessment in the Field Element portion of the ERAP [see DOE O 151.1C, Chapter I, subparagraph 9c(3)].

## **4.2 AMEM Line Responsibility for ORR Lead Contractors**

AMEM utilizes EMT as the subject matter expert for the emergency management program activities to address the following:

- 4.2.1 Ensure appropriate resources are available to implement the site-level emergency management program and in coordination with EMT, ensure that the contractor accomplishes the following: (DOE O 151.1C, Chapter I, subparagraphs 9a, 9b, and 9d)
  - 4.2.1.1 Conducts appropriate emergency actions during an emergency. (DOE O 151.1C, Chapter I, subparagraph 9n)
  - 4.2.1.2 Incorporates leased facilities and event contractors into the site-level emergency management program. (DOE O 151.1C, Chapter I, subparagraph 9v)
  - 4.2.1.3 Establishes and maintains a site-level Emergency Operations Center (EOC) and alternate EOC. (DOE O 151.1C, Chapter I, subparagraph 9p)
  - 4.2.1.4 Reviews and updates as necessary the site-level emergency plan and supporting procedures. (DOE O 151.1C, Chapter I, subparagraph 9e and 9q)
- 4.2.2 Assign line management personnel to serve in the applicable Emergency Response Organization (ERO) positions to include assignment of:
  - 4.2.2.1 Personnel to fill the Emergency Manager position as the senior-level ORO position in the site EOC responsible for

performing or delegating those operational emergency response functions identified in DOE O 151.1C, subparagraph 4c(1)(b) and Chapter I, subparagraph 9n.

- 4.2.2.2 Senior level line management personnel to serve in the EM Operations Advisor positions in the OROEOC. These persons would serve as the On-Scene Coordinator for events occurring at their facilities/ operations when DOE is the lead agency for Federal responses under the National Contingency Plan or its replacement. [DOE O 151.1C, Chapter I, 9i(1)]
- 4.2.2.3 Line Management personnel to serve in the DOE HQ Liaison position in the site EOC to maintain effective communications with HQ Operations Center/ EOC during emergencies. (DOE O 151.1C, Chapter I, subparagraph 9g)
- 4.2.2.4 Other staff to fill site-level ERO positions
- 4.2.2.5 Utilizing training records maintained by EMT, ensure ERO participation in a continuing emergency preparedness program of training, drills, and exercises. (DOE O 151.1C, Chapter I, subparagraph 9l)
- 4.2.3 If there is a change to the site Emergency Planning Zone (EPZ), after review and concurrence by EMT, review and approve, provide to the EMT for incorporation into the ORR EPZ, and then concur with the ORR EPZ before its submittal to the Manager. [DOE O 151.1C, Chapter I, subparagraph 9c(2)]
- 4.2.4 Ensure contractor provides copies of Emergency Action Levels (EALs) to EMT for placement in the OROEOC and alternate OROEOC. [DOE O 151.1C, Chapter IV, 3b(3)(b)]
- 4.2.5 After review by EMT, review and approve the site-level emergency plan, forward it to the EMT for incorporation into ORR Emergency Plan, and concur with ORR Emergency Plan before its submittal to the Manager. (DOE O 151.1C, Chapter I, subparagraph 9q)
- 4.2.6 Provide the contractor direction to notify Oak Ridge Operations Center (OROC) and TEMA of Operational Emergencies in addition to DOE HQ. [DOE O 151.1C, Chapter VIII, subparagraph 4a(1)(a)-(c)]

- 4.2.7 Concur with emergency response agreements with Federal, state, and local organizations. (DOE O 151.1C, Chapter I, subparagraph 9j)
- 4.2.8 After review by EMT, approve the contractor site Emergency Readiness Assurance Plan (ERAP) and forward to the EMT by October 30 each year for inclusion in the ORO ERAP and concur with the ORO ERAP before its submittal to the Manager. (DOE O 151.1C, Chapter I, subparagraph 9h)
- 4.2.9 Refer to Table 13.1 of Volume 1 of the ORR Emergency Plan for the recommended planning schedule for annual site-level exercises and FPEs. Utilizing support from EMT, review and concur with the draft exercise package and submit it to the PSO and NA-41 90 calendar days prior to the exercise. Submit the final exercise package to the PSO and NA-41 30 calendar days prior to the exercise. [DOE O 151.1C, Chapter I, subparagraph 9w and Chapter IV, subparagraph 4b(1)(d)]
- 4.2.10 After review by EMT, review after action reports of annual site-level exercises and Full Participation Exercises (FPE), participate with EMT in briefing the Manager, and submit the report to the PSO and NA-41 within 30 working days of exercise. [DOE O 151.1C, Chapter IV, subparagraph 4b(1)(e)]
- 4.2.11 Ensure contractor prepares After Action Reports addressing the site emergency response to actual events and incorporates the response of other activated response elements, such as OROC, OROEOC, and Joint Information Center (JIC). After review by EMT, participate with Leader, EMT in briefing the Manager and submit the reports to the PSO and NA-41 in conjunction with the final occurrence report. (DOE O 151.1C, Chapter VIII, subparagraph 4d)
- 4.2.12 In coordination with EMT, support and participate in no-notice exercises conducted by NA-41 (see DOE O 151.1C, Chapter X, subparagraph 2d).

### **4.3 AMEM Line Responsibility for ORR Event Contractors**

AMEM utilizes EMT as the subject matter expert for the emergency management program activities to address the following:

- 4.3.1 Ensure the contractor provides information to the Lead Contractor for inclusion in the site emergency plan. [DOE O 151.1C, Chapter I, subparagraphs 9b, 9c(1), and 9v]
- 4.3.2 Ensure contractor provides HSs and EPHAs to the Lead Contractor for incorporation into the site-level emergency management program and provides EPHAs to EMT and TEMA. (DOE O 151.1C, Chapter I, subparagraph 9k)
- 4.3.3 Ensure contractor provides personnel to serve on the site ERO.
- 4.3.4 Ensure contractor provides ERAP information to the Lead Contractor(s) for inclusion into the site ERAP. (DOE O 151.1C, Chapter I, subparagraph 9h)

### **4.4 Management Staff**

- 4.4.1 Assists the AMEM in ensuring the requirements of this procedure are implemented at EM facilities and operations under their purview.
- 4.4.2 Assigns new or revised Emergency Management documents from the contractor (via the AMEM) to appropriate staff for review.
- 4.4.3 Ensures Emergency Management documents review comments and recommendations for approval are properly packaged prior to being presented to the contractor via the AMEM.
- 4.4.4 Concurs with recommendation for approval of Emergency Management documents under their purview.
- 4.4.5 Provides oversight to assure that the contractor operates the facility/activity in accordance with the approved Emergency Management documents.
- 4.4.6 Ensures change control for Emergency Management documents are maintained.
- 4.4.7 Ensures that the Emergency Management documents are periodically reviewed and updated as needed on an annual basis.
- 4.4.8 Ensures that pertinent records from the Emergency Management documents approval process are archived in accordance with Section 6.0.

#### **4.5 Emergency Management Program Coordinator**

- 4.5.1 Assists the AMEM in ensuring the requirements of this procedure are implemented at EM facilities and operations.
- 4.5.2 Assists the AMEM, Portfolio FPDs, Project Managers and the ORO EMT with coordination of the day-to-day implementation of this procedure.
- 4.5.3 Assists the AMEM and the Portfolio FPDs in the coordination/approval of various non-project specific Emergency Management documents including but not limited to: Emergency Management Readiness Assurance Plans, Exercise Plans, After Action Reports, site-level Emergency Plans, site Emergency Planning Zones, Contractor Continuity of Operations Plans and Continuity Readiness Assurance Reports.
- 4.5.4 Ensures that applicable Emergency Management documents are submitted to the Program Secretarial Officer and the Director of Emergency Operations.
- 4.5.5 Ensures a transmittal and review mechanism (tracking system) is maintained for Emergency Management Documents
- 4.5.6 Ensures that the EM Emergency Management procedure is periodically reviewed and updated as needed.

#### **4.6 Project Managers (PMs)**

- 4.6.1 Ensures approved Emergency Management documents are in place for their assigned facilities.
- 4.6.2 Work with the ORO EMT to ensure that new or revised Emergency Management documents are prepared as required by DOE requirements and guidelines on a schedule supportive of project needs.
- 4.6.3 Arranges and coordinates Emergency Management documents reviews with other subject matter experts, PMs and Headquarters as applicable.
- 4.6.4 Resolves DOE issues and comments generated by DOE reviews.
- 4.6.5 Ensures that pertinent records from the Emergency Management documents approval process are archived in accordance with Section 6.0.

#### **4.7 Facility Representatives Team**

Participates in the review of Emergency Management documents, providing input to the responsible Emergency Management document lead

reviewers.

## **5.0 Emergency Management Document Review and Approval**

- 5.1 Upon receipt of a new or revised emergency management document, the AMEM shall:
  - 5.1.1 Ensure that the emergency management document is logged into the EM Action Tracking System.
  - 5.1.2 Ensure that the emergency management document is transmitted to the responsible cognizant Manager for review.
- 5.2 The cognizant Manager shall identify appropriate lead for review of the emergency management document.
- 5.3 The Facility Representative Team Lead shall identify a Facility Representative for the review of the emergency management document.
- 5.4 The Emergency Management Program Coordinator will notify the EMT of the lead reviewer and applicable Facility Representative for each emergency management document in order to facilitate their review.
- 5.5 Reviewers must perform the following when reviewing and commenting on Emergency Management documents.
  - 5.5.1 Review the document to ensure its technical adequacy and compliance with DOE requirements and guidelines.
  - 5.5.2 Coordinate input from all designated reviewers including comments received from EMT into a single document review record.
  - 5.5.3 Promptly communicate comments/issues generated during the review process to the contractor through the AMEM. Elevate any areas where agreement cannot be reached through the chain of command for resolution. If the document is rejected, the AMEM shall transmit that information to the contractor in a formal letter with a description of the basis for rejection.
- 5.6 Following completion of the review and successful resolution of any comments, the lead reviewer shall prepare an approval memorandum to the contractor for signature by the AMEM (Note: The AMEM has been delegated the authority to approve contractor emergency management documents; subsequent delegation may not be re-delegated without approval from the ORO Manager.
- 5.7 A courtesy copy of the approval memorandum shall be forwarded to the AMEM Emergency Management Program Coordinator and EMT for tracking purposes.
- 5.8 The Lead Reviewer shall ensure that pertinent records from the document approval process are archived in accordance with Section 6.0.

## **6.0 RECORDS**

Documentation associated with DOE review and approval of emergency management documents shall be controlled and maintained, include:

- Review comments
- Resolution Documentation
- Transmittal correspondence between the contractor and DOE; and
- Any other pertinent documents