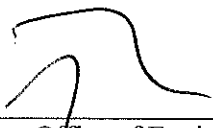
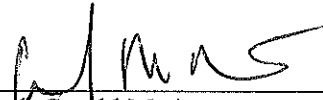
	Number: EA CRAD 33-04 Revision: 0 Effective Date: 11/28/16
<p align="center">Assessment of the Department of Energy</p> <p align="center">Emergency Management Enterprise Unified Coordination Structure</p>		
Authorization and Approval	 Director, Office of Environment, Safety and Health Assessments Date: 11/22/16	 Lead, Gerald McAteer Emergency Management Date: Nov 22, 2016

1.0 PURPOSE

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

In addition to the general independent oversight requirements and responsibilities specified in DOE Order 227.1A, *Independent Oversight Program*, this criteria review and approach document (CRAD), in part, fulfills the responsibility in DOE Order 151.1D, *Comprehensive Emergency Management System*.

The focus of this CRAD is on evaluating the policies, systems, programs, plans, and procedures for the Emergency Management Enterprise Response to All-Hazards Unified Coordinated Structure

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

2.0 APPLICABILITY

The following CRAD is approved for use by the Office of Emergency Management Assessments.

3.0 FEEDBACK

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

4.0 CRITERIA REVIEW AND APPROACH

OBJECTIVE

Program Administration:

The Department, through the Office of Emergency Operations (NA-40), is responsible for the safety and security of its personnel, facilities and the environment throughout the Nation. To ensure preparation for a response to any situation, the Deputy Secretary, through the Emergency and Incident Management Council, charged NA-40 with the creation and implementation of a response organization that would include the capabilities of the entire Department, including its Field Sites and Laboratories. Functioning out of a central location, the response organization will ensure a flexible and scalable response by the Department to any situation.

Criteria

1. Department-wide Emergency Management System. NNSA oversees the maintenance of the policies and practices that ensure an all-hazards Emergency Management System. The capstone policy for this effort is DOE Order 151.1D *Comprehensive Emergency Management System*.
2. Associate Administrator, Office of Emergency Operations and NNSA Administers manages the Emergency Management Enterprise, Headquarters Emergency Operations Center, and Headquarters Emergency Management Team, and serves as the emergency manager for initial activations of the team. (*DOE Order 151.1D RESPONSIBILITIES*)
3. The Headquarters Emergency Operations Center must serve as the point of contact for all incidents, events, emergencies, emergency notifications and reports. Accordingly, the Headquarters Emergency Operations Center will receive, coordinate, validate, and disseminate emergency information to headquarters elements, Program Offices, and Program Office emergency points of contact, Field Elements, the White House Situation Room, other Federal, State, local and Tribal agencies, and, as appropriate, nongovernment organizations. (*DOE Order 151.1D Section 4 (3)*)
4. DOE Unified Coordination Structure. NNSA leads the implementation of the DOE Unified Coordination Structure, which provides an inclusive and flexible structure for all-hazards emergency management that is compliant with *National Incident Management System (NIMS)*. The purpose of this structure is to ensure integration of facilities, equipment, personnel, procedures, and communications, and minimize duplication of effort across the Department. In addition, NNSA has developed and coordinates the Department wide all-hazards exercise program that supports this structure.
5. 24/7/365 Watch Office. NNSA's Office of Emergency Operations manages and provides the infrastructure for the Department's watch office, which ensures that the Department's leadership is quickly informed of any incident or emergency impacting the DOE enterprise. The office issues alerts and notifications to DOE staff and leadership and coordinates with various operations centers throughout the federal government to improve the Department's ability to respond to any emergency or incident.
6. Emergency Management Training. NNSA develops and coordinates training and education events for headquarters personnel that will activate during an emergency event. This training

effort is compliant with the *Homeland Security Exercise and Evaluation Program (HSEEP)*, it includes coordination with DOE/NNSA Site offices in meeting their emergency management training and readiness requirements.

7. The Office of Emergency Operations implements, manages, and coordinates a readiness assurance program to ensure the DOE emergency management program is executed in accordance with directives, regulations, policies, and applicable laws (*DOE Order 151.ID Appendix A, Responsibilities. 6.g.*)

APPROACH

Record Review:

- Department of Energy's (DOE) Emergency & Incident Management Council (EIMC) charter, meeting minutes, tasking and tracking documentation since establishment in 2015.
- Department of Energy Enterprise Exercise Working Group (EEWG) charter, meeting minutes, tasking and tracking documentation since establishment.
- DOE Emergency Management Advisory Committee charter, meeting minutes, tasking and tracking documentation since establishment.
- Plans that define the Unified Coordination Structure (UCS) roles, responsibilities and authorities for program administration and emergency response, including program descriptions, organization charts, and minimum qualifications.
- Plans and schedules for accomplishing the Emergency Management Enterprise transition to the Unified Coordination Structure.
- UCS implementing procedures, reflecting (NIMS), including description of document control processes for use, development, review and approval.
- UCS Training and Drill program and records to meet the Homeland Security Exercise and Evaluation Program (HSEEP).
- UCG or Headquarters Emergency Management Team position specific roster
- Documentation of Exercises completed or planned with specific objectives to evaluate UCS including the Clear Path Exercises and internal exercises to evaluate the Department's new UCS.
- Assurance system program plans and completed activities including: Emergency Management Enterprise Initial Operational Capability activities; other self-assessments, lessons learned, After Action Reports, corrective action plans and documentation of validation of effectiveness with respect to exercises (including the Clear Path exercises), drills or activations for the past 3 years.

Interviews and Walk downs:

- NNSA Office of Emergency Management Operations management and staff
- NNSA and DOE support function management and staff
- NA-42 Emergency management plans and procedure lead coordinator
- NA-43 Readiness Assurance manager
- NA-43 Training manager
- NA-44 HQ EOC and Watch manager
- Member(s) of Energy and Incident Management Council
- Member(s) of Emergency Management Advisory Committee
- Member(s) of Unified Coordination Group
- Walk down of emergency operation centers facilities