



Department of Energy
National Nuclear Security Administration
Washington, DC 20585



October 20, 2015

The Honorable Joyce L. Connery
Chairman
Defense Nuclear Facilities Safety Board
625 Indiana Avenue NW, Suite 700
Washington, DC 20004

Dear Madam Chair:

This letter is to inform you that the Department of Energy has completed the first deliverable related to Section 6.1.3 of the Department's Implementation Plan for Defense Nuclear Facilities Safety Board Recommendation 2014-1, *Emergency Preparedness and Response*.

The deliverable, which is enclosed, is a copy of the memorandum from the Deputy Secretary to the Cognizant Field Element Managers for defense nuclear facilities directing them to determine and report the status of existing deficiencies in emergency management programs.

If you have any questions, please contact me at (202) 586-9892.

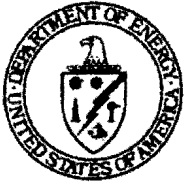
Sincerely,

For David Bruo
Ms. Deborah A. Wilber
Associate Administrator
Office of Emergency Operations

Enclosure

cc: J. Olencz, AU-1.1





The Deputy Secretary of Energy
Washington, DC 20585

October 13, 2015

MEMORANDUM FOR UNDER SECRETARY FOR NUCLEAR SECURITY
UNDER SECRETARY FOR SCIENCE AND ENERGY
UNDER SECRETARY FOR MANAGEMENT AND PERFORMANCE

FROM:

ELIZABETH SHERWOOD-RANDALL

SUBJECT:

Reporting the Status of Open Emergency Management Program Findings and Deficiencies to the Office of Emergency Operations

In response to Defense Nuclear Facilities Board (DNFSB) Recommendation 2014-1, *Emergency Preparedness and Response*, DOE agreed that Cognizant Field Element Managers responsible for DOE defense nuclear facilities would determine the status of existing deficiencies in emergency management programs. The Recommendation 2014-1 Implementation Plan (IP) indicated that this will be accomplished by January 11, 2016. Therefore, in order to meet this deadline, the Field Office reports on the status of open Emergency Management Program findings and deficiencies need to be submitted via a SharePoint site to the Office of the Emergency Operations by November 6, 2015.

BACKGROUND: On September 3, 2014, the Defense Nuclear Facilities Safety Board (DNFSB) issued Recommendation 2014-1. On November 7, 2014, the Secretary of Energy "partially accepted" Recommendation 2014-1 because it constrained the time available to the Department to implement the Recommendation findings.

The Secretary of Energy transmitted the IP for Recommendation 2014-1 to the DNFSB on April 24, 2015. The IP describes and prioritizes the actions to be taken to achieve successful execution of the Recommendation. Among the actions DOE agreed to take in the IP in order to accomplish the purposes of the Recommendation is that:

The Deputy Secretary will direct the Cognizant Field Element Managers for defense nuclear facilities to determine the status of existing deficiencies in emergency management programs. This effort will examine existing Independent Oversight reports, Program Office and Cognizant Field Element assessment reports, reports required in response to the OE-1, and Emergency Readiness Assurance Plans (ERAPs), starting from the Fukushima events (i.e., from March 2011). The report will include the scheduled actions for correcting these deficiencies and identify the office responsible for validating the corrective action was successful in correcting the cause. The report will be submitted to the Deputy Secretary by January 11, 2016.



ACTION: In order to complete this report by the date provided in the IP, please direct your Cognizant Field Element Managers responsible for DOE defense nuclear facilities to electronically report the status of open Emergency Management Program findings and deficiencies to the Office of the Emergency Operations by November 6, 2015.

The Associate Administrator for the Office of Emergency Operations is designated as DOE's Responsible Manager for this Recommendation. The Office of Emergency Operations will coordinate this effort and has outlined a procedure to report findings and deficiency information electronically via a SharePoint site. Please direct the relevant Field Office Managers to follow the instructions in the attachment to this Memorandum in order to submit site or facility information.

If you have any questions, please contact the Office of Emergency Operations at 202-586-9892.

Attachment

cc: Director, Office of Science
Assistant Secretary for Fossil Energy
Assistant Secretary for Energy Efficiency and Renewable Energy
Assistant Secretary for Nuclear Energy
Assistant Secretary for Electricity Delivery and Energy Reliability
Assistant Secretary of Environmental Management
Director, Office of Legacy Management

NA-40 Instructions to Complete Reports on Current Status of Known Findings and Deficiencies for the Implementation Plan for Defense Nuclear Facilities Safety Board Recommendation 2014-1

These instructions contain the required steps for DOE defense nuclear sites to report the current status of known emergency management program findings and deficiencies¹, as defined by the DOE Guide 151.1-3, Chapter 4. The Office of Emergency Operations is responsible for obtaining, on behalf of the Secretary and Deputy Secretary of Energy, reports on the status of known emergency management findings and deficiencies from Cognizant Field Element Managers responsible for DOE defense nuclear facilities, as outlined in the Implementation Plan (IP) for Defense Nuclear Facilities Board Recommendation 2014-1.

Requirement 1: Information Sources:

Report only information on open emergency management program findings and deficiencies from Defense Nuclear Facilities Safety Board, Enterprise Assessment, Independent Oversight and Program Office reports, reports required in response to the Assistant Secretary for Electricity Delivery and Energy Reliability (OE-1), and Emergency Readiness Assurance Plans (ERAPs). Enter only information starting from March 11, 2011 (Fukushima disaster) to the present.

Requirement 2: Correcting Deficiencies:

Report the site's scheduled actions for correcting the findings and deficiencies and identify the office responsible for validating the corrective action was successful in correcting the cause of the finding or deficiency.

Requirement 3: Information Reported via SharePoint Site:

Submit all open emergency management program findings and deficiencies for defense nuclear facilities electronically via the SharePoint site administered by the Office of Emergency Operations. The open emergency management finding and deficiency information must be submitted to the Office of Emergency Operations by November 6, 2015.

Requirement 4: Sites Required to Report

DOE defense nuclear facilities are required to submit emergency management program finding and deficiency information see Table 1 below.

¹ A deficiency is an actual or projected failure to meet an evaluation criterion, thereby directly impacting the associated basic emergency management activity.

NA-40 Instructions to Complete Reports on Current Status of Known Findings and Deficiencies for the Implementation Plan for Defense Nuclear Facilities Safety Board Recommendation 2014-1

Table 1: DOE Defense Nuclear Sites Required to Report	
Hanford	
Idaho National Lab (INL)	
Los Alamos National Lab (LANL)	
Lawrence Livermore National Lab (LLNL)	
Nevada National Security Site (NNSS)	
Y-12 National Security Complex/ Oak Ridge National Lab (Y-12/ORNL)	Provide requested open emergency management program findings and deficiencies. Those highlighted in red have been asked to volunteer for the test run of the findings and deficiency reporting project.
Pantex Plant	
Sandia National Lab (SNL)	
Savannah River Site (SRS)	
West Valley Demonstration Project (WVDP)	
Waste Isolation Pilot Plant (WIPP)	

NA-40 Instructions to Complete Reports on Current Status of Known Findings and Deficiencies for the Implementation Plan for Defense Nuclear Facilities Safety Board Recommendation 2014-1

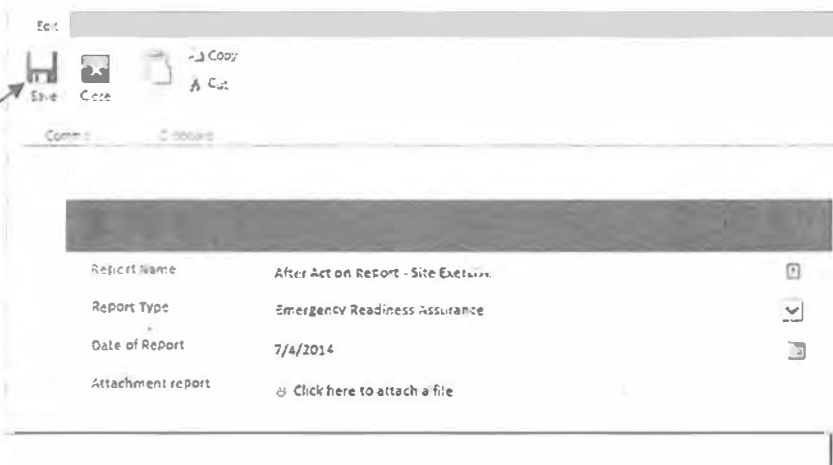
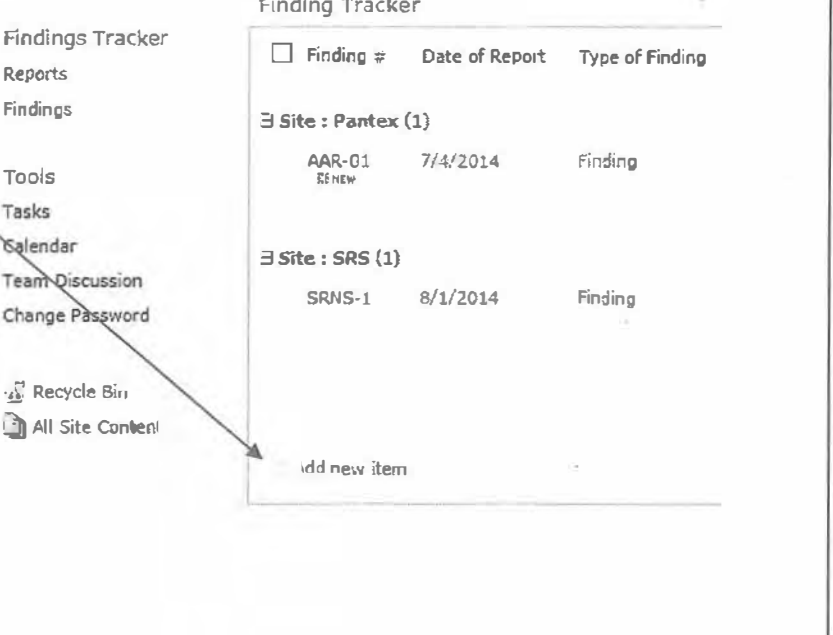
Instructions for Entering Emergency Management Findings and Deficiency Information into the Emergency Operations Training Academy (EOTA) SharePoint site entitled "Issue Tracker" by close of business on November 6, 2015.

<p>If you do not already have an account on the EOTA/NA40 SharePoint complete steps 1 and 2</p>	
<p>1. Go to: https://sp.eota.energy.gov/login/registration/home.aspx</p>	
<p>2. Click on 'Register'</p>	
<p>3. Complete the user self-registration form and submit.</p> <p>During this process you will create a username and password. Your username will be your email.</p> <p>After you submit the form you will receive a confirmation email. You must respond to the email to activate your account!</p>	

NA-40 Instructions to Complete Reports on Current Status of Known Findings and Deficiencies for the Implementation Plan for Defense Nuclear Facilities Safety Board Recommendation 2014-1

<p>4. Navigate to: https://sp.eota.energy.gov/sites/EDMS/assessment/SitePages/Home.aspx and use the username and password you just created to login.</p>	
<p>5. The NA-41 Assessment Site will open. Site is divided into two lists, the "Finding Tracker" and the "Reports" list</p>	
<p>6. Click on "Add new item" in the Reports list. This will create a record that identifies the report that identified the finding</p>	

NA-40 Instructions to Complete Reports on Current Status of Known Findings and Deficiencies for the Implementation Plan for Defense Nuclear Facilities Safety Board Recommendation 2014-1

<p>7. Complete the report record and attach a copy of the report</p> <p>8. Click on "Save". You are now ready to enter all the findings related to this report</p>	 <p>The screenshot shows a web-based report form. At the top, there is a toolbar with icons for 'Save', 'Copy', and 'Cut'. Below the toolbar, the form contains the following fields:</p> <ul style="list-style-type: none"> Report Name: After Act on Report - Site Extern... Report Type: Emergency Readiness Assurance Date of Report: 7/4/2014 Attachment report: Click here to attach a file 																				
<p>9. Click on "Add new item" in the Finding Tracker list</p> <p>This will open a new Findings record</p>	 <p>The screenshot shows the 'Finding Tracker' interface. On the left is a navigation menu with the following items: Reports, Findings, Tools, Tasks, Calendar, Team Discussion, Change Password, Recycle Bin, and All Site Content. The main area displays a table of findings:</p> <table border="1"> <thead> <tr> <th><input type="checkbox"/></th> <th>Finding #</th> <th>Date of Report</th> <th>Type of Finding</th> </tr> </thead> <tbody> <tr> <td colspan="4">Site : Pantex (1)</td> </tr> <tr> <td></td> <td>AAR-01 RENEW</td> <td>7/4/2014</td> <td>Finding</td> </tr> <tr> <td colspan="4">Site : SRS (1)</td> </tr> <tr> <td></td> <td>SRNS-1</td> <td>8/1/2014</td> <td>Finding</td> </tr> </tbody> </table> <p>At the bottom of the table, there is a button labeled 'Add new item', which is highlighted by an arrow from the text on the left.</p>	<input type="checkbox"/>	Finding #	Date of Report	Type of Finding	Site : Pantex (1)					AAR-01 RENEW	7/4/2014	Finding	Site : SRS (1)					SRNS-1	8/1/2014	Finding
<input type="checkbox"/>	Finding #	Date of Report	Type of Finding																		
Site : Pantex (1)																					
	AAR-01 RENEW	7/4/2014	Finding																		
Site : SRS (1)																					
	SRNS-1	8/1/2014	Finding																		

NA-40 Instructions to Complete Reports on Current Status of Known Findings and Deficiencies for the Implementation Plan for Defense Nuclear Facilities Safety Board Recommendation 2014-1

<p>10. Assign the finding a number. Most assessment reports will assign numbers to each finding. If so, use the number from the report</p> <p>11. Pick the appropriate site from the drop down menu</p> <p>12. Pick the "Report" from the drop down menu</p> <p>13. Complete the rest of the report. Include a description of the finding, the planned Corrective Action and the start date. Identify the responsible party and their contact information.</p> <p>14. Click "Save"</p>	
<p>At any time you can open the Finding and update the information</p> <p>15. Click on the Finding you want to edit in the list</p> <p>16. Click on "Edit" in the upper left corner</p> <p>17. Use the Status menu to report current status on resolution of the finding</p> <p>18. Added comments to document actions taken</p> <p>19. Add attachments that support actions taken</p>	

If you have difficulties or questions entering your emergency management finding and deficiency information, please contact:

Paul Stoudenmire
 Director of Training
 Innovative Technology Partnerships, LLC
 505-796-0996 ext. 109
 505-459-3314 cell
pstoudenmire@itpnm.com