



EMERGENCY MANAGEMENT SELF- ASSESSMENTS

21st Century Model to Support
Readiness Assurance



WHY SYSTEMATIC SELF-ASSESSMENT?

- Businesses and organizations are **complex, integrated systems** of activities and processes consisting of:
 - Requirements
 - Planning
 - People
 - Documents and records
 - Resources
 - Functions



WHY SYSTEMATIC SELF-ASSESSMENT?

- ***HOW CAN WELL-MANAGED, SUCCESSFUL ORGANIZATIONS:***
 - ***Assure performance*** is being maintained between audit intervals;
 - ***Reduce*** external audit ***findings***;
 - ***Justify resource*** needs to top management;
 - ***Reduce micro-management***; and
 - Help ***eliminate repeat problems***?



WHY SYSTEMATIC SELF-ASSESSMENT?

- A structured, comprehensive approach that provides assurances that performance of the organization is being maintained is

... **SYSTEMATIC SELF-ASSESSMENT**



WHY SYSTEMATIC SELF-ASSESSMENT?

- **SYSTEMATIC SELF-ASSESSMENT IS:**
 - Identification of a ***comprehensive set of routine functions and activities*** that maintain and contribute to the performance of the organization
 - ***Self-examination*** of these routine activities and processes:
 - Focusing on the ***output*** of ***key aspects***
 - ***Monitoring and measuring*** of ***output***
 - ***Trending*** of performance results
 - ***Document*** self-assessment results



WHY SYSTEMATIC SELF-ASSESSMENT?

- Self-Assessment is common to ***world-class businesses***
 - It is required of formalized ***management*** systems under
 - ISO 9001
 - ISO 14001
 - ISO 18000



WHY SYSTEMATIC SELF-ASSESSMENT?

Provide *assurances* that the organization is performing effectively by ensuring that:

***THE COMPREHENSIVE SET OF ROUTINE
FUNCTIONS AND ACTIVITIES ARE
BEING CONDUCTED AND MANAGED
EFFECTIVELY***



SELF-ASSESSMENT TOOLS AND METHODS

WORLD-CLASS ORGANIZATIONS UTILIZE:

- Internal audits
 - Monitoring of corrective actions
 - Reviewing records of compliance activities
 - Annual procedure verification
 - Management facility walk-downs
 - Training effectiveness reviews
- ISO methods**



DOE/NNSA EMERGENCY MANAGEMENT SELF-ASSESSMENT

- ***Systematic self-assessment*** provides a ***holistic*** assessment of the functions and activities that ***maintain and sustain*** emergency management programs
- Self-assessments are essential to an effective ***continuous*** readiness assurance program . . . and they are ***required***.



DOE/NNSA EMERGENCY MANAGEMENT SELF-ASSESSMENT

GOALS OF EMERGENCY MANGEMENT SELF-ASSESSMENT:

- Assure continued compliance with requirements and a technical planning basis, emergency plan, and procedures that reflect current hazards
- Support the maintenance of Emergency Management Programs
- Ensure functions and activities are conducted as required.



DOE/NNSA EMERGENCY MANAGEMENT SELF-ASSESSMENT

- ***What does an emergency management program need to know?***
 - Do the EPHAs reflect current hazards?
 - Are facilities and equipment operable?
 - Is our ERO qualified?
 - Are corrective actions being addressed?
 - Are effective exercises being conducted?
 - Are response procedures current?
 - Are agreements with offsite resources current?



FOCUS OF DOE/NNSA SELF-ASSESSMENTS

***DOE/NNSA programs* are complex, integrated systems of functions and activities consisting of:**

- Requirements
 - Analyze hazards
- Planning
 - Emergency plans, procedures, and agreements
- People
 - Emergency planners and responders
- Records
 - Participation (e.g., training, exercises) and qualifications
- Scheduled Activities
 - Training, exercises, evaluations



FOCUS OF DOE/NNSA SELF-ASSESSMENTS

Functions and Activities

- *Technical Planning Basis*
- *Programmatic Elements*
- *Response Elements*



FOCUS OF DOE/NNSA SELF-ASSESSMENTS

Functions and Activities

- ***Technical Planning Basis***
 - Hazards Survey
 - Emergency Planning Hazards Assessment (EPHA)



FOCUS OF DOE/NNSA SELF-ASSESSMENTS

Functions and Activities

- ***Programmatic Elements***
 - Program Administration
 - Training and Drills
 - Exercises
 - Readiness Assurance



FOCUS OF DOE/NNSA SELF-ASSESSMENTS

Functions and Activities

- ***Response Elements***

- Emergency Response Organization (ERO)
- Offsite Response Interfaces
- Emergency Facilities and Equipment
- Emergency Categorization and Classification
- Notifications and Communications
- Consequence Assessment
- Protective Actions and Reentry
- Emergency Medical Support
- Emergency Public Information
- Termination and Recovery



FOCUS OF DOE/NNSA SELF-ASSESSMENTS

- ***Programmatic*** functions and activities are the focus of self-assessment programs:
 - Programmatic Elements
 - Programmatic functions associated with Response Elements



FOCUS OF DOE/NNSA SELF-ASSESSMENTS

- **Programmatic Elements**
 - Maintaining the HS and HA
 - Keeping emergency procedures current
 - Conducting training, drills, exercises
 - Ensuring corrective action effectiveness
- **Programmatic Functions of Response Elements**
 - Keeping the ERO current and qualified
 - Maintaining response facilities & equipment
 - Continued interface with offsite response agencies
 - Educating public on emergency plans



DOE/NNSA SELF-ASSESSMENT TOOLS AND METHODS

GENERIC TOOLS AND METHODS

- ***Facility Walk-down***
- ***Document Review***
- ***Records Review***
- ***Schedule Review***
- ***Objectives (Targets) Review***



DOE/NNSA SELF-ASSESSMENT TOOLS AND METHODS

- ***How do we know that . . . ?***

- EPHAs reflect current hazards?
- Facilities and equipment are operable?
- ERO is qualified?
- Corrective actions are being addressed?
- Effective exercises being conducted?
- Response procedures are current?
- Offsite agreements are current?
- Document Review
- Facility Walk-Downs
- Record Review
- Facility Walk-Downs
- Records Review
- Records Review
- Records Review
- Schedule Reviews
- Objectives Review
- Document Review
- Schedule Review
- Document Review
- Schedule Review





DOE/NNSA SELF-ASSESSMENT APPROACH

- Identify functions/activities to monitor and measure
- Identify appropriate self-assessment tools/methods for each function/activity
- Schedule and track self-assessment activities
- Analyze results for problems and trends
- Apply corrective and preventive actions
- Verify effectiveness of corrective actions



DOE/NNSA SELF-ASSESSMENT APPROACH

- Record results
- Document what you do!!
- Use what you are already doing
- Link self-assessment activities



DOE/NNSA SELF-ASSESSMENT APPROACH

- ***HOW DO I KNOW*** what functions and activities to monitor and measure during self-assessments?
 - The ***Evaluation Criteria*** includes descriptions of functions and activities essential for satisfying the goals of the Program Element
 - Contain descriptions of **programmatic functions and activities** that are the focus of self-assessments



DOE/NNSA SELF-ASSESSMENT APPROACH

- Stagger self assessment activities throughout the year for system health
- A holistic approach to managing emergency management program
- Self-assessment results should demonstrate that functions/activities are being conducted and managed effectively



DOE/NNSA SELF-ASSESSMENT APPROACH

Jan.

ER facilities walk-down

MOA annual review

March

ERO training effectiveness review

EOC procedures review

Aug.

HS/HA facility walk-down

Prepare 2003-4 ERAP

Scheduled

Conducted





TRENDING PERFORMANCE FROM SELF-ASSESSMENTS

- **HOW ARE SELF-ASSESSMENT RESULTS TRENDED?**

- Trending relies on output reports of drills, operability tests, walk-downs, etc.
- Output feeds corrective action data base
- Review records and categorize related findings
- Assess data to ascertain trends
- Document assessment and any corrective actions



TRENDING PERFORMANCE FROM SELF-ASSESSMENTS

- **WHY TREND THE RESULTS?**
 - Future program planning
 - Requesting resources from management
 - Prioritizing efforts
 - Input to ERAP



ANNUAL MANAGEMENT REVIEW AND THE ERAP

- **Management review** is a core concept of ISO
- Requires top management attention to program
- Review of program suitability, adequacy and effectiveness
- Top management attention to emergency management has been a **weakness**.



ANNUAL MANAGEMENT REVIEW AND THE ERAP

- **TYPICAL REVIEW:**
 - Results of evaluations, exercise, self assessment activities
 - Status of corrective actions & trends
 - Changes that could affect program
 - Feedback from interested parties
 - Recommendations for improvement



ANNUAL MANAGEMENT REVIEW AND THE ERAP

- **Annual Management Review** provides input to the **Emergency Readiness Assurance Plan (ERAP)**
 - Record of management decisions
 - Improvements to be made
 - Changes in program or processes
 - Resource needs
 - Program status



SELF-ASSESSMENTS COMMENSURATE WITH THE PROGRAM AND RESOURCES

BUT, BUT, BUT . . .

WE DON'T HAVE THE RESOURCES!!

- Consider what's most important
- Consider your strengths and weaknesses
- Potential problem areas
- Changes at your site--and offsite
- Emergency Management lessons learned



SELF-ASSESSMENTS COMMENSURATE WITH THE PROGRAM AND RESOURCES

BUT, BUT, BUT, . . . ?

- Sample to make the task manageable
- Develop procedures for routine processes to ensure consistency across facilities
- Standardizing your self-assessment to reduce time and resources needed to examine records and review documents.

O-O-O-O-Kay!



WHAT'S IT ALL ABOUT . . . ??

“Top management should ensure effective measurement, collection and validation of data to ensure performance and satisfaction of interested parties.”

ISO 2000

That's what systematic self-assessment is all about!