

DOE G 151.1-XY



**Emergency  
Management  
Guide**

**VOLUME XY**

**Emergency  
Management  
Accreditation  
Program**

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**Department of Energy/  
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# **1. EMERGENCY MANAGEMENT ACCREDITATION (EMA) PROGRAM**

## **1.1 INTRODUCTION**

The Department of Energy (DOE) Emergency Management Accreditation (EMA) Program evaluates and accredits site/facility emergency management programs that implement the comprehensive emergency management system required by DOE O 151.1C, *Comprehensive Emergency Management System*. Accreditation reduces risk by assuring the site and its stakeholders that the site emergency management program has been evaluated against recognized standards and requirements by third-party evaluators who apply those standards with uniformity and without bias. Accreditation signifies a solid, defensible program. The accreditation process focuses attention on areas that need improvement as well as recognition of excellence.

The EMA Program goes beyond the minimum DOE O 151.1C requirements for each program to conduct an annual self-assessment of the emergency management program. Although EMA Accreditation is strongly encouraged, the program is optional. Sites/facilities may or may not elect to pursue accreditation. Where EMA Accreditation is pursued, the processes described in this guidance will apply.

## **1.2 APPLICABILITY**

The EMA Program is voluntary; sites/facilities are not obligated to seek accreditation. For those that seek accreditation, this Emergency Management Guide (EMG) applies to DOE field organizations and contractors.

The EMA Program is not directly funded by the Associate Administrator for Emergency Operations. The Associate Administrator for Emergency Operations will fund the costs associated with the responsibilities assigned to the Office of Emergency Operations in Section 4.0, below. However, sites/facilities that seek accreditation and otherwise participate in the program are responsible for paying for the costs of qualifying assessment team members and for the costs associated with the accreditation assessment of their program and the costs of maintaining accreditation once awarded.

## **1.3 PROGRAM COMPONENTS**

The EMA Program consists of the following components –

### **1.3.1. Emergency Management Guide**

This EMG describes the EMA Program, organizational responsibilities, and the accreditation process. It establishes procedures for administering the EMA Program and acquiring accreditation for site/facility emergency management programs.

### **1.3.2. Accreditation Matrix**

The Accreditation Matrix, Chapter 2, is the application that each site completes and submits to start the accreditation process. The matrix is directly linked to the Contractor Requirements Document (Attachment 2) to DOE O 151.1C. The matrix includes columns for the site to record waivers, where in program documentation the requirement is addressed, and a site/facility statement regarding how implementation has been achieved. The final column will be used by the Accreditation Assessment Team to record its validation of site/facility compliance with the requirement.

### **1.3.3. Emergency Management Accreditation Evaluation Guide**

The Accreditation Evaluation Guide, Chapter 3, is designed primarily for use by members of the Accreditation Assessment Team during the onsite Performance Evaluation Test and the Site Assessment. The main criteria in the Accreditation Evaluation Guide are the same as those in the Accreditation Matrix and the DOE O 151.1C Contractor Requirements Document. The subcriteria are mainly drawn from the Evaluation Criteria, Appendix D, to the Readiness Assurance EMG (DOE G 151.1-1A, Part 1, Volume III, Section 4.) The Accreditation Evaluation Guide also lists typical compliance problems drawn from the Office of Security and Safety Performance Assurance, Office of Independent Oversight Inspectors Guide, data from analysis of past DOE Complex exercise reports, and analyses from No-Notice Exercise Program. The Guide further includes recommendations to assessors regarding the types of documents and records to review as part of the accreditation assessment, positions to interview, and performance observations that should typically be made.

The secondary purpose of the Accreditation Evaluation Guide is to assist the facility/site in self-assessing its program, in preparation for completing and submitting the Accreditation Matrix.

### **1.3.4. Accreditation Assessor Training Program**

This document, Chapter 4 [*To Be Published*], outlines the program of instruction used by the Performance Evaluation Program Administrator (PEPA) to train nominated accreditation assessment team members prior to assignment to accreditation assessment teams.

## **1.4 PROGRAM ADMINISTRATION**

The EMA Program is administered by the Associate Administrator for Emergency Operations (NA-40) through the Office of Emergency Management (NA-41). The following organizations and individuals have supportive responsibilities: the EMA Administrator, the Performance Evaluation Program Administrator, the Peer Oversight Board, the Appeals Board, cognizant Secretarial Officers, DOE Cognizant Field Element



managers, and managers of DOE/National Nuclear Security Administration (NNSA) and DOE/NNSA contractor emergency management programs. The organization is shown graphically in Appendix A. The responsibilities of each are described below.

#### **1.4.1. Associate Administrator for Emergency Operations (NA-40)**

The Associate Administrator for Emergency Operations (NA-40):

- Establishes and communicates EMA policy; and
- Appoints the EMA Program Administrator.

#### **1.4.2. EMA Program Administrator**

The EMA Program Administrator:

- Develops policies, procedures, protocols, and standards necessary to maintain and improve the EMA Program;
- Appoints members of the Peer Oversight and Appeals Boards from the nominees provided by the Cognizant Secretarial Officers, Cognizant Field Elements, and DOE/NNSA and contractor emergency management programs. (Note: An individual must not serve on the Peer Oversight and Appeals Boards at the same time);
- Designates the Performance Evaluation Program Administrator(s);
- Assesses and makes the final determination on recommendations from the Peer Oversight and Appeals Boards and forward decisions and accreditation certificates to applicable DOE/NNSA field organizations and DOE/NNSA and DOE/NNSA contractor programs;
- Assesses and acts on requests for exception and technical equivalency;
- Forwards petitions for appeal to the Appeals Board;
- Periodically solicits field organization managers for nominees to participate on the Peer Oversight and Appeals Boards and as members of the accreditation assessment team;
- Issues “EMA Notices” regarding changes in emergency management requirements and/or criteria; and
- Maintains and improves the Performance Evaluation Program.

#### **1.4.3. Performance Evaluation Program Administrator**

The Performance Evaluation Program Administrator (PEPA) is assigned by the EMA Program administrator and is responsible for coordinating the accreditation process for site/facility emergency management programs. The PEPA:

- Establishes site assessment procedures and schedules site assessments;

- Trains accreditation assessment team members from the group of nominees provided by the Cognizant Secretarial Officers, Cognizant Field Elements, and DOE/NNSA and contractor emergency management programs; coordinates site visits by the accreditation assessment teams members; and evaluates the performance of the accreditation assessment team members;
- Reviews and evaluates the results of performance evaluation tests and site assessments in accordance with appropriate emergency management program criteria;
- Reports performance evaluation test and site assessment results to Cognizant Field Elements and managers of DOE/NNSA and DOE/NNSA contractor programs;
- Makes accreditation recommendations to the Peer Oversight Board based on performance testing and site assessment results;
- Reviews and evaluates requests for technical equivalence and amendment and make recommendations regarding such to the Peer Oversight Board; and
- Recommends changes for improving the quality and efficiency of the Performance Evaluation Program to the EMA Program Administrator.

#### **1.4.4. Peer Oversight Board**

The Peer Oversight Board consists of five members appointed by the EMA Program Administrator. Members of the Peer Oversight Board are drawn from DOE/NNSA employees and contractors participating in the program. Members of the Peer Oversight Board each serve a five-year term. The terms of members of the Peer Oversight Board will be staggered in order to provide continuity and ensure that all members of the Board are not replaced at the same time. The EMA Program Administrator may select a current member of the Peer Oversight Board to serve an additional term(s). Members of the Peer Oversight Board select one member to serve, for a three-year period, as chairman. The Peer Oversight Board reviews recommendations made by the PEPA and advises the EMA Program Administrator regarding approval or denial of accreditation. (NOTE: A Peer Oversight Board member cannot evaluate and vote on any issue his or her employer has before the Peer Oversight Board).

The voting criteria and quorum for the Peer Oversight Board functions is by simple majority of at least three voting members.

The charter for the Peer Oversight Board is in Appendix B.

#### **1.4.5. Appeals Board**

The Appeals Board is established on an ad hoc basis and consists of five members who are not affiliated with a site making an appeal. Members of the Appeals Board are drawn from DOE/NNSA Federal staff. Members of the Appeals Board select one member to serve as chairman. The sole responsibility of the Appeals Board is to review appeals and recommend to the EMA Program Administrator the affirmation or reversal of decisions

concerning accreditation issues and the selection of site assessors. The quorum and voting criteria for EMA Appeals Board functions are by simple majority of the five members.

#### **1.4.6. Cognizant Secretarial Officers**

Cognizant Secretarial Officers:

- Ensure DOE/NNSA and DOE/NNSA contractor emergency management programs under their purview that seek accreditation are supported;
- Nominate candidates for membership on the Accreditation Assessment Team and as Lead Assessor; Peer Oversight Board; and Appeals Board; and
- Support upgrades to emergency management programs identified by the EMA as deficient.

#### **1.4.7. DOE/NNSA Field Organization Managers**

DOE/NNSA field organization managers:

- Ensure that DOE/NNSA and DOE/NNSA contractor emergency management programs under their purview that seek accreditation are supported;
- Nominate candidates for membership on the Accreditation Assessment Team and as Lead Assessor; Peer Oversight Board; and Appeals Board;
- Communicate information concerning accreditation to appropriate sites and facilities;
- Review applications for EMA accreditation, technical equivalence, or amendment and, if concurring, forward them to the PEPA;
- Review and, if concurring, submit petitions for an appeal or requests for exception to EMA to the EMA Program Administrator;
- Review remedial action plans and, if concurring, forward to the PEPA within 45 days; and
- Ensure implementation of plans to effect changes needed to mitigate deficiencies in emergency management programs.

#### **1.4.8. Managers of DOE/NNSA and DOE/NNSA Contractor Emergency Management Programs**

Managers of DOE/NNSA and DOE/NNSA contractor emergency management programs or their designated representatives seeking accreditation:

- Nominate candidates for membership on the Accreditation Assessment Team and Peer Oversight Board;
- Complete and submit an application for EMA accreditation and complete a performance evaluation test and a site assessment in accordance with scheduling

established by the Performance Evaluation Program, or submit a request for exception, amendment, technical equivalence, or a petition for an appeal to the appropriate field organization;

- Allow accreditation assessment team members to examine all aspects of the emergency management program including facilities, equipment, plans, procedures, records, reports, position descriptions, personnel qualifications, training documentation; exercise results; and lessons learned programs.
- Work with the PEPA to ensure that accreditation assessment team members have the appropriate clearances and ensure that team members are presumed to have a “need-to-know” and are granted access to classified information.
- Submit a remedial action plan to the appropriate field organization regarding reported deficiencies within 30 days of receipt of an accreditation team assessment report; the response must describe and provide an implementation schedule for appropriate changes to equipment, procedures, and/or personnel to achieve accreditation.
- Notify the PEPA of significant changes to site emergency management program scope (e.g., facility addition or closure), resources, or other major changes that could affect compliance with the accreditation criteria within 30 days of the change.
- Maintain records of complaints and findings from internal and external evaluations of emergency management and response.
- Perform self-assessment of emergency management program at least annually and make records available to EMA assessors.

#### **1.4.9. Accreditation Assessment Teams**

Peer review is a concept that is strongly encouraged in the EMA program and accreditation assessment teams will include emergency management professionals from other DOE/NNSA sites that have committed to support and participate in the EMA Program. Accreditation assessment team members are nominated by the Cognizant Secretarial Officers, Cognizant Field Elements, and DOE/NNSA and contractor emergency management programs.

The PEPA conducts a training program (see Section 3.4, above) to ensure that all accreditation assessment team members have the same understanding of accreditation assessment materials. The costs for qualifying assessors are borne by the parent organization. The costs associated with participation on program assessment teams are borne by the organization seeking accreditation.

The PEPA assigns accreditation assessment team members from the pool of trained nominees who are trained and pre-qualified to conduct site visits, evaluate performance in accordance with assigned program criteria, report on that performance, and support verification of corrective actions. Before assigning accreditation assessment team members, the PEPA reviews accreditation assessment team member past work experience to ensure their impartiality, that the accreditation assessment team member

does not have responsibility for any aspect of the program at the site/facility seeking accreditation.

The number of accreditation assessment team members assigned and the amount of time allotted for site assessment and evaluation of performance will be based on a number of factors. These include:

- Site size and number of workers;
- Complicated logistics;
- Complexity of processes or relatively high number of unique hazards; and
- Degree of self-sufficiency with regard to emergency response capabilities vs. dependence upon external emergency response resources.

EMA Program procedures include a framework for audit planning that includes guidelines on assessment time based on experience and the factors listed above.

#### **1.4.10. Lead Assessor**

Each team will include a Lead Assessor, drawn from DOE/NNSA Federal staff, who is responsible for:

- Preparing assessment plan;
- Representing the team in communications with the site;
- Organizing and direct team members;
- Leading the team to reach conclusions regarding a recommendations for accreditation;
- Preventing and resolving conflicts;
- Confirming sufficiency and appropriateness of evidence to support assessment team findings and conclusions;
- Preparing and complete the audit report; and
- Verifying corrective actions as requested by the PEPA.

#### **1.4.11. Accreditation Assessment Team Members**

Because the expertise and understanding of its assessors will strongly affect the credibility and success of the accreditation program, the EMA Program seeks to develop a pool of highly qualified emergency managers to handle this accreditation function on a rotating basis.

Nominees for accreditation assessment team membership must be knowledgeable concerning the applicable criteria as well as laws, regulations and other requirements relevant to the emergency management discipline and applicable to the site applying for accreditation. They should have knowledge and skills related to emergency management processes, terminology, principles and their application to enable the assessor to examine

emergency management systems and to generate appropriate findings and conclusions. Accreditation assessment team members should have completed an education sufficient to acquire the knowledge and skills related to technical areas assigned for evaluation. Additionally, they should have work experience that contributes to development of the knowledge and skills. This work experience should be in a technical, managerial or professional position involving the exercise of judgment, problem solving and communication with other managerial or professional personnel, peers, and interested parties. Accreditation assessment team members must also have training and experience in the conduct of audits, evaluations or assessments, and have no conflict of interest that may risk impartiality of the assessment process.

In that regard, assessor team members should have the following qualifications, at a minimum:

- Five years of experience in an emergency management position;
- Participated in at least one emergency operation, training or exercise event in the last calendar year;
- Knowledgeable and up-to-date about the DOE comprehensive emergency management system;
- Nominated by the Cognizant Secretarial Officers, Cognizant Field Elements, and DOE/NNSA and contractor emergency management programs; and
- Have no conflict of interest as regards any aspect of EMA Program that might prevent objective review and assessment of a candidate program. Must be able and willing to serve as a neutral observer.

Accreditation assessment team members assigned by the PEPA are responsible for:

- Preparing for audit by reviewing assigned documents and data in advance;
- Being familiar with application of assessment criteria for assigned emergency management program areas;
- Prioritizing and focus on matters of significance during assessment;
- Collecting information through effective interviewing, listening, observing and reviewing documents, records and data;
- Verifying accuracy of collected information;
- Supporting Lead Assessor in preparation of assessment reports;
- Maintaining confidentiality and security of information; and
- Communicating effectively.

## **1.5 ACCREDITATION PROCESS**

The process for accreditation includes the following steps:

1. Application made by Site;
2. Approval of application by Cognizant Field Element;

3. Review of application by NA-40;
4. Scheduling of Assessment and selection of Lead Assessor and accreditation assessment team members (note: a Preliminary Assessment visit may be scheduled at Site request prior to full assessment);
5. Conduct of Preliminary Assessment Visit by Lead Assessor (optional);
6. Conduct of EMA Program Assessment;
7. Conduct of EMA Performance Evaluation Test Observation and Assessment;
8. Development of Assessment report and forwarding to PEPA;
9. Forwarding of assessment report to Site;
10. Completion of corrective actions by site (if applicable);
11. Peer Oversight Board review of report/recommendation and casting of ballots for accreditation decision;
12. Follow-up assessment visit (if applicable); and
13. Accreditation granted.

The accreditation process is shown graphically in Appendix C and detailed information associated with these steps is described below.

### **1.5.1. Application for Accreditation**

Each application for EMA requires the completion of a written compliance matrix that identifies requirements, waivers, implementing documents, controls, performance metrics and compliance validations. This application should include requirements from other source documents in addition to DOE O 151.1C and the Emergency Management Guides. As applicable, the application should include requirements drawn from other DOE Orders, the Code of Federal Regulations, Oversight Agreements, DOE/NNSA supplemental directives, and state and local ordinances.

Applicants submit information in the Accreditation Matrix (Attachment XXX). Applications should be as descriptive as possible and detail the scope of the site's emergency management program to allow for dedication of appropriate resources and time for the assessment team. Applicants may also request a preliminary assessment visit in this application. Preliminary assessments are conducted by a Lead Assessor to help determine site readiness for the full EMA site assessment.

The EMA Program Administrator reviews each EMA application. Upon acceptance, the application is forwarded to the PEPA, who schedules the assessment (or preliminary assessment if requested) with the site. The PEPA also selects an accreditation assessment team, based on emergency management program experience and qualifications detailed in section 4.9 of this guidance. The names and credentials of selected accreditation assessment team members will be provided in advance to the site applicant. Documents concerning the site emergency management program will be provided in advance to the assessment team to support preparation for the site visit. The site program manager and Cognizant Field Element will be notified of the assessment team selection.

### **1.5.2. Site Assessment**

Each site assessment will be a two-part process that includes an EMA program assessment and a performance evaluation test. These may be conducted in conjunction with each other during a single assessment team visit. Site assessments will begin with an opening meeting between the assessment team and management at the applicant site. During conduct of a site assessment visit for accreditation, assessment teams require access to documents, records, facilities and personnel as necessary to collect information, verify accuracy and make determinations concerning program compliance with requirements. At the conclusion of the on-site visit, the assessment team will present their findings during a closeout meeting with appropriate members of the site management team. The site will have the opportunity to ask questions about the team's findings. A written summary of each finding discussed will be left with management's authorized representative.

### **1.5.3. Program Assessment**

The accreditation process requires each site to demonstrate that its emergency management program is established, documented and implemented in accordance with criteria based on requirements set forth in DOE O 151.1C and the Emergency Management Guide, as well as applicable requirements drawn from other DOE Orders, the Code of Federal Regulations, Oversight Agreements, DOE/NNSA supplemental directives, and state and local ordinances. The scope of the assessment will be based on the application for Emergency Management Accreditation submitted by the site and accepted by the EMA Program Administrator. The programmatic portion of the site assessment will be conducted by an approved assessment team and will include review of documents and records, interviews with site personnel involved in emergency management and response, interviews with stakeholders of the site emergency management program, and inspection of facilities and equipment. The purpose will be to ascertain compliance with applicable requirements and management commitment to continuing suitability, adequacy and effectiveness of the emergency management program. Information specific to the programmatic assessment of emergency management programs is detailed in the Accreditation Evaluation Guide

### **1.5.4. Performance Evaluation Test**

Information specific to the performance evaluation testing of the emergency management program is detailed in the Accreditation Evaluation Guide. In general, the performance evaluation testing process uses an emergency management exercise to validate facility and site-level emergency response performance. This may be an exercise that is already scheduled to meet site annual requirements. The exercise must include response to a simulated, realistic emergency event(s)/condition(s) in a manner that replicates an integrated emergency response to an actual event as nearly as possible. The site is responsible for all aspects of planning, conducting, and evaluating the exercise.



The same team that performs program assessment will perform the performance evaluation test. The assessment team will evaluate exercise planning and preparation to ensure use by the site of an effective, structured approach that includes documentation of specific exercise objectives, scope, timeline, injects, controller instructions, and evaluation criteria for realistic scenarios. The exercise conduct, control, evaluation, and critique by the site will also be evaluated.

#### **1.5.5. Reporting Assessment Results**

The assessment team leader will prepare the findings of the assessment team with input from members of the assessment team. Each report will include, but is not limited to:

- Identification of the site applying for Emergency Management Accreditation;
- Statement of confidentiality – that any proprietary information that was obtained during the accreditation assessment will not be disclosed;
- Objectives and scope of the assessment, including program and performance evaluation test portions;
- Criteria against which the assessment was conducted;
- Period covered by the assessment and dates of site assessment;
- Identification of assessment team members;
- Identification of site representatives participating in the assessment;
- Summary of the assessment process including any obstacles encountered; and
- Assessment findings.

Assessment findings may include the following categories:

Nonconformance: This refers to noncompliance with EMA criteria.

*A nonconformance may be classified as Major or Minor.*

*A Major Nonconformance* is a deviation from the program or response accreditation criteria that is significant enough to result in one or more elements of the Site's emergency management program to be seriously degraded from the requirements established in the Order and Guidance, with the potential for a lack of preparedness to respond to emergencies potentially affecting health, safety, and security.

*A Minor Nonconformance* is a deviation from criteria that requires correction to ensure effective preparedness to potential emergencies, but, in and of itself, is unlikely to represent a significant threat to health, safety, and security. Minor Nonconformances, when taken together, may indicate that a more significant threat may exist and may constitute a Major Nonconformance.

**Concern:** This finding is for any aspect of the program that is considered marginal with respect to compliance with EMA criteria. A concern does not require response from the applicant site and the presence of a Concern does not affect a program's initial accreditation, however, the EMA Program Administrator will track concerns reported. Any concern not remediated by a program's next accreditation cycle will automatically be elevated to a nonconformance, thereby delaying renewal of accreditation.

**Observation:** This finding is either a suggested improvement that the emergency management program may incorporate at its own discretion or the highlighting of a noteworthy practice. No written response is required.

The report will be reviewed by the PEPA and issued to the site applicant through the appropriate DOE/NNSA Field Organization Manager. If a site applicant is in disagreement with an assessment finding, it should be discussed with the PEPA for resolution. For each nonconformance reported, the applicant site must submit a corrective action plan through the appropriate Field Organization to the PEPA within 30 days of receipt of the accreditation team report. The applicant site should correct nonconformance within 60 days of receipt of the report. Corrective action will be verified by the PEPA by reviewing evidence submitted by the site. A major nonconformance may require a follow-up visit for verification of corrective action.

#### **1.5.6. Process for Granting Accreditation**

When a program's technical evaluation has been completed and all major and minor nonconformances have been verified as closed, the PEPA prepares a recommendation for the Peer Oversight Board. The Peer Oversight Board reviews the recommendation and will cast ballots for a majority decision to either grant or deny accreditation. A denial will be accompanied by a description of the reasons for denial.

#### **1.5.7. Appeals**

An emergency management program manager may petition the EMA Program Administrator to have denial of accreditation reviewed by the Appeals Board. A petition to appeal must explain the reason(s) for the appeal and must be submitted to the appropriate Field Organization for forwarding to the EMA Program Administrator.

#### **1.5.8. Surveillance Visits**

Each year, the Accredited Site must submit an updated Accreditation Matrix to the PEPA. This annual submission will monitor continued implementation of the accredited emergency management program.

In addition to the annual Accreditation Matrix submission, an accreditation assessment team may be assigned to make a monitoring visit at any time during an accreditation

period. This may occur for cause or on a random basis. It may serve to verify reported changes to a facility or operation or to explore any possible reason for poor performance during performance evaluation testing. The scope of a visit may range from a spot check to a complete programmatic review.

#### **1.5.9. EMA Renewal**

Accreditation will be automatically renewed for an accredited site (unless there is cause for suspension or revocation) for three years. A complete re-accreditation assessment will be conducted at the end of the three-year period on a date specified in the Conditions of Accreditation.

Accreditation is automatically extended for a DOE Site exceeding the effective end date specified in the Conditions of Accreditation under one or more of the following conditions:

- The DOE Site application for re-accreditation was submitted to the PEPA at least 90 days prior to the effective end date;
- The DOE Site is engaged in the timely remediation of identified deficiencies; or
- The DOE Site has exceeded the effective end date through no fault of its own.

#### **1.5.10. Accreditation Suspension**

The EMA Program Administrator may suspend accreditation if the emergency management program is found to be out of compliance with the terms of its accreditation. The program will be notified of the reasons for and conditions of the suspension and actions to be taken by the program to have accreditation reinstated.

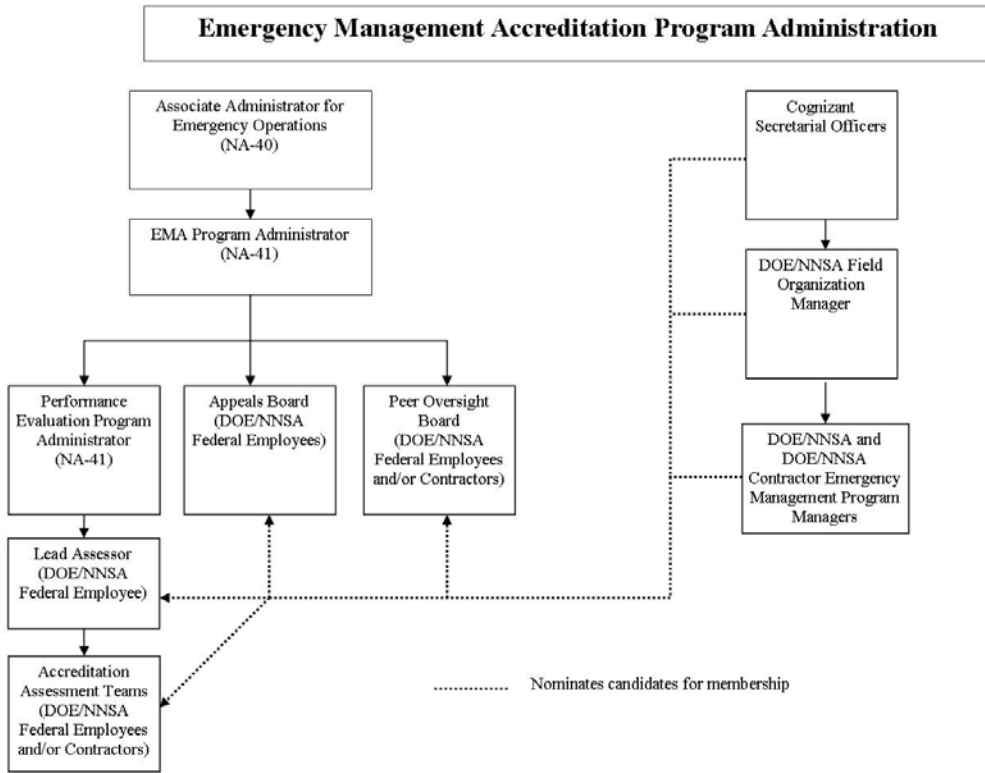
#### **1.5.11. Revocation of Accreditation**

The EMA Program Administrator may revoke a program's accreditation if the program is found to have violated the terms of its accreditation. The program will be notified of the reasons for the revocation. Possible reasons for revocation of accreditation may include:

- Major system deterioration;
- External complaints about system performance; or
- Failure to respond to corrective action issued by the accreditation program.

# APPENDIX A

## EMERGENCY MANAGEMENT ACCREDITATION PROGRAM ADMINISTRATION



## **APPENDIX B**

### **PEER OVERSIGHT BOARD**

#### **B.1. PURPOSE**

The Emergency Management Accreditation (EMA) Peer Oversight Board is established to advise the EMA Program Administrator with respect to technical issues, review of recommendations by the Performance Evaluation Program Administrator (PEPA) with respect to accreditation of site/facility emergency management programs and review of EMA assessment criteria. The primary purpose of the Board is to support the EMA Program Administrator to maintain long-term continuity of site emergency management programs. Another purpose is to ensure quality and consistency of EMA assessment criteria and site assessments.

#### **B.2. ORGANIZATION**

The EMA Program Administrator must appoint members of the Peer Oversight Board. Candidates are selected from nominations by the respective DOE field organizations, drawn from DOE/NNSA employees and contractors participating in the program. The Peer Oversight Board typically consists of five members who each serve a five-year term. The terms of members of the Peer Oversight Board will be staggered in order to provide continuity and ensure that all members of the Board are not replaced at the same time. Members of the Peer Oversight Board select one member to serve, for a three-year period, as chairman. Reappointment of members to subsequent terms may occur. Members are required to have expert knowledge of emergency management practices and requirements.

#### **B.3. MEETINGS**

The Peer Oversight Board normally meets twice a year to review accreditation documentation. The voting criteria and quorum for the Peer Oversight Board functions is by simple majority of at least three voting members.

#### **B.4. RESPONSIBILITIES**

The Peer Oversight Board:

- Reviews recommendations made by the PEPA and advise the EMA Program Administrator regarding approval or denial of site emergency management programs. A Peer Oversight Board member cannot evaluate and vote on any issue where there may be a conflict of interest;
- Reviews remedial action plans for mitigating concerns or deficiencies in emergency management programs identified by EMA site assessors; and
- Recommends appropriate changes to the EMA Program Administrator based on review of EMA documentation, site assessment criteria, and standards.

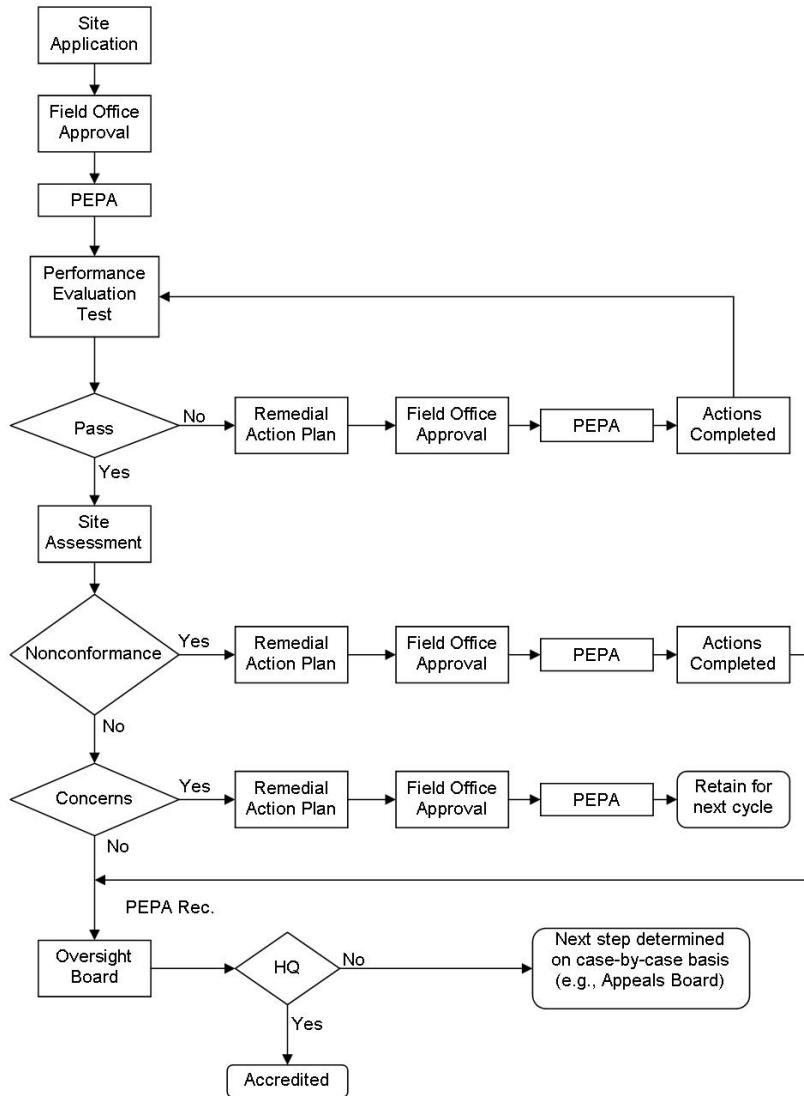
**B.5. RECORDS**

Records of Board meetings and recommendations for accreditation or denial of DOE site emergency management programs are maintained by the PEPA.

**B.6. AUTHORITY**

The Board is established as an advisory body. Therefore, decisions and recommendations made by the Board will not be binding on the EMA Program Administrator but will carry significant weight in the conduct of the EMA.

# APPENDIX C EMERGENCY MANAGEMENT ACCREDITATION PROCESS FLOWCHART



## **2. ACCREDITATION MATRIX**



1.	General Requirements	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
1.1	Overall					
1.1.1		There must be a Comprehensive Emergency Management System designed to— --Minimize the consequences of all emergencies involving or affecting Departmental facilities, and activities (including transportation operations/activities); --Protect the health and safety of all workers and the public from hazards associated with DOE/NNSA operations and those associated with decontamination, decommissioning, and environmental restoration; --Prevent damage to the environment; and --Promote effective and efficient integration of all applicable policies, recommendations, and requirements, including Federal interagency emergency plans.				
1.2	Operational Emergency Base Program					
1.2.1		There must be an integrated Operational Emergency Base Program (see also DOE O 151.1C, Chapter III) for each facility and activity.				
1.2.2		The Operational Emergency Base Program must be based on a Hazards Survey.				
1.2.3		The Operational Emergency Base Program must-- --Provide the framework for response to serious events involving health and safety, the environment, safeguards, and security; and --Ensure all requirements of DOE regulations and directives, regulations developed by other Federal agencies, and, if applicable, State and local requirements addressing emergency issues are seamlessly integrated, without duplication of emergency management effort.				
1.3	Operational Emergency Hazardous Material Program					
1.3.1		The contractor has a general duty to— --Identify the hazards that may result from an unplanned release of hazardous materials; --Strive to prevent unplanned releases of hazardous materials from DOE/NNSA facilities; --Take any steps necessary to prevent releases; and --Use feasible means to eliminate or materially reduce the hazard to workers and the public.				

1.	General Requirements	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
1.3.2		The contractor executes this general duty by developing and documenting an integrated Operational Emergency Hazardous Material Program.				
1.3.3		The results of the Emergency Planning Hazards Assessment (EPHA) must be used to determine the necessary personnel, resources, and equipment for the Operational Emergency Hazardous Material Program.				
1.3.4		If the quantitative analysis indicates that all events would be classified as less than an Alert, the minimum program requirements must encompass the requirements for Hazardous Waste Operations and Emergency Response found in 29 CFR 1910.120 and the Operational Emergency Base Program requirements.				
1.3.5		The site/facility contractor adjusts its Operational Emergency Hazardous Material Program to be commensurate with hazards that remain after a decontamination and decommission action is completed at each DOE closure site/facility.				
1.3.6		The site/facility contractor develops, implements, documents, and maintains an effective, integrated emergency management program that is commensurate with the hazards and that addresses the following program elements: program administration; training and drills; exercises; readiness assurance; emergency response organization; 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; and termination and recovery.				

1.	General Requirements	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
1.3.7		<p>The contractor at a site with multiple facilities may place facility-specific requirements in their emergency program on a site-/contractor-level organization (such as a single, site-wide public information program, rather than separate programs at each facility.) The contractor must gain approval, in writing, from the Cognizant Field Element before replacing the facility-specific requirements with site-/contractor-level requirements. Replacing facility-specific requirements with site- or contractor-specific requirements does not require an exemption.</p> <p>The contractor placing requirements on a site-/contractor-level organization must meet the requirements of the Operational Emergency Hazardous Material Program if the site contains both Operational Emergency Base Program and Operational Emergency Hazardous Material Program facilities.</p> <p>After gaining approval of the Cognizant Field Element Manager, the contractor must note those requirements placed on the site-/contractor-level organization in the emergency plan at both the facility and site/contractor levels, as well as in the program description of the Emergency Readiness Assurance Plan (ERAP).</p>				

2	Technical Planning Bases	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
2.1	Hazard Survey					
2.1.1		Each Hazards Survey must— --Identify (e.g., in matrix or tabular form) the emergency conditions (e.g., fires, work place accidents, natural phenomena, etc.) that affect the facility; --Describe the potential health, safety, or environmental impacts; --Indicate the need for further analyses of hazardous materials in an EPHA; and --Identify the planning and preparedness requirements that apply to each type of hazard.				
2.1.2		Hazards surveys must be updated every 3 years, and prior to significant changes to the site/facility or to hazardous material inventories.				
2.2	Hazardous Material Screening Process					
2.2.1		A Hazardous Material Screening Process must identify specific hazardous materials and quantities that, if released, could produce impacts consistent with the definition of an Operational Emergency. The potential release of these materials to the environment requires further analysis in an EPHA.				
2.2.2		All radioactive materials in a facility/activity must be subjected to a hazardous material screening process.				
2.2.3		All chemicals in a facility/activity with known or suspected toxic properties must be subjected to a hazardous material screening process.				
2.2.4		At a minimum, specific hazardous biological agents and toxins must include Federally regulated agents and toxins identified in lists published in Department of Health and Human Services (HHS) regulations [42 CFR 73] and Department of Agriculture (USDA) regulations [7 CFR 331 and 9 CFR 121], and require an EPHA and a Hazardous Material Program. Toxins listed in 42 CFR 73 and 9 CFR 121, must exceed the minimum quantities specified to be Federally regulated.				
2.2.5		The possibility that excluded materials could initiate, through fires or explosions, the release of other hazardous materials must be considered.				
2.2.6		If the screening process identifies at least one hazardous material requiring further analysis, the Hazards Survey must indicate that an EPHA is needed for that facility or activity.				

2	Technical Planning Bases	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
2.2.7		<p>A description of the screening process and the results of its application to the hazardous materials in the facility/activity must be included in the Hazards Survey or incorporated by reference into supporting documentation.</p> <p>--For facilities/activities requiring an EPHA, this documentation must be referenced or included in the EPHA.</p> <p>--If the quantitative analysis indicates that all events would be classified as less than an Alert, an EPHA is not required. The results of the hazardous material screening process and the quantitative analysis may be incorporated directly into the Hazards Survey or may be incorporated by reference in the Hazards Survey.</p>				
2.3	Emergency Planning Hazards Assessment					
2.3.1		<p>In an EPHA, identify hazards and the potential consequences from unplanned releases of (or loss of control over) hazardous materials, using accepted assessment techniques.</p>				
2.3.2		<p>An accurate and timely method for tracking changes in operations, processes, or accident analyses that involve hazardous materials (e.g., introduction of new materials, new uses, significant changes in inventories, modification of material environments) must be established and maintained for each facility/activity. The method must allow sufficient time for emergency management personnel to review the EPHA and modify plans and procedures, as necessary.</p>				
2.3.3		<p>The EPHA must be reviewed at least every 3 years, and updated prior to significant changes to the site/facility or hazardous material inventories.</p>				
2.3.4		<p>The EPHA must include a determination of the size of the Emergency Planning Zone (EPZ). Assumptions, methodology, models, and evaluation techniques used in the EPHA must be documented.</p>				
2.3.5		<p>The Office of Secure Transportation (OST) must develop an EPHA for OST shipments to provide the technical planning basis for the OST Operational Emergency Hazardous Material Program.</p>				
2.3.6		<p>An EPHA must be developed for shipments that do not satisfy governing DOT regulations and specifications for commercial hazardous materials transport. However, if a shipment satisfies DOT regulations and specifications, then an EPHA is not required.</p>				

3.	Program Administration	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
3.1	Operational Emergency Base and Operational Emergency Hazardous Material Programs					
3.1.1		Effective organizational management and administrative control of the facility emergency management program must be provided by establishing and maintaining authorities and resources necessary to plan, develop, implement, and maintain a viable, integrated, and coordinated comprehensive emergency management program.				
3.1.2		The contractor at all DOE/NNSA facilities must designate an individual to administer emergency management. This individual must develop and maintain the emergency plan, develop the ERAP and annual updates, develop and conduct training and exercise programs, coordinate assessment activities, develop related documentation, and coordinate emergency resources.				
3.1.3		The contractor at all DOE/NNSA facilities that are generating classified information or Unclassified Controlled Nuclear Information (UCNI), or are conducting classified or UCNI operations, must review all emergency preparedness documents, such as plans, procedures, scenarios, and assessments for classified information and UCNI. This review must be conducted by the appropriate official using current guidance. If the EPHAs do not contain classified information or UCNI, they must be reviewed by the emergency management program administrator to determine if they contain potentially exploitable information. EPHAs containing potentially exploitable information must be protected as Official Use Only under exemption 2 of the Freedom of Information Act.				
3.1.4		The contractor at all DOE/NNSA facilities must document the emergency management program in an emergency plan that also describes the provisions for response to an Operational Emergency.				
3.1.5		The contractor at all DOE/NNSA facilities must develop Emergency Plan Implementing Procedures to describe how emergency plans must be implemented.				

3.	Program Administration	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
3.1.6		The contractor at all DOE/NNSA facilities must establish a program 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.				

4.	Training and Drills	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
4.1	Overall					
4.1.1		A comprehensive, coordinated, and documented program of training and drills must be an integral part of the emergency management program to ensure that preparedness activities for developing and maintaining program-specific emergency response capabilities are accomplished.				
4.2	Operational Emergency Base Program					
4.1.2		The contractor at all DOE/NNSA facilities must — --Provide initial training and periodic drills to all workers who may be required to take protective actions (e.g., shelter-in-place; assembly, evacuation). This training is required when they are employed, when their expected actions change, or when the emergency plan changes. --Provide refresher training 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. --Make available emergency-related information and training on site-specific conditions and hazards to offsite personnel who may be required to participate in response to an emergency at the DOE/NNSA site/facility.				
4.3	Operational Emergency Hazardous Material Program					
4.3.1		The contractor at DOE/NNSA Operational Emergency Hazardous Material Program facilities must also establish a coordinated program of training and drills for developing and/or maintaining specific emergency response capabilities as an integral part of the emergency management program. The program must apply to emergency response personnel and organizations that the site/facility expects to respond to onsite emergencies. Emergency-related information must be available to offsite response organizations. The program must consist of self-study/homework, training, and drills.				



4.	Training and Drills	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
4.4	Training					
4.4.1		Both initial training and annual refresher training must be provided for the instruction of and demonstration of proficiency by all personnel (i.e., primary and alternate) comprising the emergency response organization.				
4.5	Drills					
45.1		Drills must provide supervised, "hands-on" training for members of emergency response organizations.				

5.	Exercises	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
5.1	Overall					
5.1.1		A formal exercise program must validate all elements of an emergency management program over a 5-year period.				
5.1.2		The exercise program must validate facility- and site-level emergency management program elements by initiating response to simulated, realistic emergency events/conditions in a manner that, as nearly as possible, replicates an integrated emergency response to an actual event.				
5.1.3		Planning and preparation must use an effective, structured approach that includes documentation of specific objectives, scope, timelines, injects, controller instructions, and evaluation criteria for realistic scenarios.				
5.1.4		Each exercise must be conducted, controlled, evaluated, and critiqued effectively and reliably.				
5.1.5		Lessons-learned must be developed, resulting in corrective actions and improvements.				
5.2	Operational Emergency Base Program					
5.2.1		At a minimum, conduct building evacuation exercises consistent with Federal regulations [e.g., (41 CFR 102-74-360)], local ordinances, and National Fire Protection Association Standards. Exercises must be conducted at least annually to ensure that employees are able to evacuate their work area safely.				
5.2.2		Test communications systems with DOE Headquarters, the Cognizant Field Element, and offsite agencies at least annually, or as often as needed to ensure that communications systems are operational.				
5.3	Operational Emergency Hazardous Material Program					
5.3.1		The contractor at DOE/NNSA Operational Emergency Hazardous Material Program facilities must also establish a formal exercise program to validate all elements of the emergency management program over a 5-year period				
5.3.2		Each exercise must have specific objectives and must be fully documented (e.g., in scenario packages that include objectives, scope, timelines, injects, controller instructions, and evaluation criteria).				

5.	Exercises	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
5.3.3		Exercises must be evaluated. A critique process, which includes gathering and documenting observations of the participants, must be established. Corrective action items identified as a result of the critique process must be incorporated into the emergency management program.				
5.3.4		Each DOE/NNSA facility must 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., Cognizant Field Element, Program Secretarial Officer or Headquarters Office of Security and Safety Performance Assurance) must be performed periodically so that each facility has an external Departmental evaluation at least every 3 years.				
5.3.5		Site-level emergency response organization elements and resources must participate in a minimum of one exercise annually. This site exercise must be designed to test and demonstrate the site's integrated emergency response capability. For multiple-facility sites, the basis for the exercise must be rotated among facilities.				
5.3.6		Offsite response organizations must be invited to participate in site-wide exercises at least once every 3 years.				
5.3.7		Annual emergency response exercises must be supported by documentation that contains, but is not limited to, the exercise scope, its objectives and corresponding evaluation criteria, a narrative description of the scenario, timeline, and a list of participants. Documentation for site exercises must be approved by the Cognizant Field Element.				
5.3.8		Evaluation reports for facility and site exercises must be completed within 30 working days and submitted to the Cognizant Field Element, the Program Secretarial Officer(s), and the Director, Office of Emergency Operations.				
5.3.9		Corrective action plans must be completed within 30 working days of receipt of the final facility and site exercise evaluation report.				
5.3.10		Completion of corrective actions for facility and site exercises must include a verification and validation process, independent of those who performed the corrective action, that verifies that the corrective action has been put in place and that validates the corrective action has been effective in resolving the original finding. Corrective actions involving revision of procedures or training of personnel should be completed before the next exercise.				

5.	Exercises	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
5.3.11		Exercises of each of the Department’s radiological emergency response assets must be conducted at least once every 3 years. These assets include the Accident Response Group (ARG), Nuclear Emergency Support Team (NEST), Federal Radiological Monitoring and Assessment Center (FRMAC), Aerial Measuring System (AMS), National Atmospheric Release Advisory Center (NARAC), Radiation Emergency Assistance Center/Training Site (REAC/TS), and Radiological Assistance Program (RAP).				

6.	Readiness Assurance	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
6.1	Operational Emergency Base and Operational Emergency Hazardous Material Programs					
6.1.1		The emergency management Readiness Assurance Program must establish a framework and associated mechanisms for assuring that emergency plans, implementing procedures, and resources are adequate by ensuring that they are sufficiently maintained, exercised, and evaluated (including assessment and appraisal) and that appropriate and timely improvements are made in response to needs identified through coordinated and comprehensive emergency planning, resource allocation, training and drills, exercises, and evaluations.				
6.1.2		The contractor at all DOE/NNSA facilities must implement a readiness assurance program consisting of evaluations, improvements and ERAPs.				
6.2	Evaluations					
6.2.1		<p><u>Self-assessments.</u> The contractor must conduct an annual self-assessment of their emergency management programs. Program and exercise evaluations (including appraisals and assessments) must be based on specific standards and criteria, issued by the Director, Office of Emergency Operations. Self-assessment results must be documented in the ERAP submitted to the Cognizant Field Element.</p> <p><u>Exercise Evaluations.</u> See Exercise Criteria.</p> <p><u>Performance Indicators.</u> Contractor facilities/sites must participate in a program of performance indicators (including performance measures and metrics) to capture and track objective data regarding the performance of emergency management programs in key functional areas.</p> <p><u>No-Notice Exercises.</u> Contractor facilities/sites must participate in a program of No-Notice Exercises, conducted at the discretion of the Director, Office of Emergency Operations, to determine if the facility/site Emergency Response Organization (ERO) accomplishes selected objectives based on applicable plans, procedures, and/or other established requirements. Facility/site involvement is limited to providing trusted agents and responding when the exercise is conducted.</p>				

6.	Readiness Assurance	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
6.3	Improvements					
6.3.1		<p>Corrective Actions. These requirements supplement those in the CRD to DOE O 414.1A, <i>Quality Assurance</i>. Continuous improvement in the emergency management program results from implementation of corrective actions for findings (e.g., deficiencies, weaknesses) in all types of evaluations, including both internal and external evaluations.</p> <ul style="list-style-type: none"> <li>--Corrective action plans must be developed within 30-working days of receipt of the final evaluation report. Corrective actions must be completed as soon as possible. Corrective actions addressing revision of procedures or training of personnel should be completed before the next annual self-assessment of the program.</li> <li>--Completion of corrective actions must include a verification and validation process, independent of those who performed the corrective action, that verifies that the corrective action has been put in place, and validates that the corrective action has been effective in resolving the original finding.</li> <li>--See Exercise Criteria for corrective actions related to findings from exercise evaluations.</li> </ul> <p>The readiness assurance program must include a system for incorporating and tracking lessons learned from training, drills, actual responses, and a site-wide lessons learned program. DOE/NNSA contractor-operated facilities must participate in the DOE/NNSA Corporate Lessons Learned Program.</p>				
6.4	Emergency Readiness Assurance Plan.					
6.4.1		<p>Facilities and offsite transportation activities must submit an ERAP to the Cognizant Field Element by September 30 of each year. In keeping with 31 U.S.C. 1115 and 1116, this report must identify what the goals were for the fiscal year that ended, coincident with the due date for this report (e.g., September 30), and the degree to which these goals were accomplished. This report must also identify the goals for the next fiscal year (e.g., which starts on October 1).</p>				

7.	Emergency Response Organization	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
7.1	Overall					
7.1.1		An Emergency Response Organization (ERO), a structured organization with overall responsibility for initial and ongoing emergency response and mitigation, must be established and maintained for each facility/site. The ERO must establish effective control at the scene of an event/incident and integrate ERO activities with those of local agencies and organizations that provide onsite response services. An adequate number of experienced and trained personnel, including designated alternates, must be available on demand for timely and effective performance of ERO functions.				
7.2	Operational Emergency Base Program					
7.2.1		The contractor at all DOE/NNSA facilities must assign an individual (e.g., building or facility manager or similar position) to manage and control all aspects of the site/facility response.				
7.3	Operational Emergency Hazardous Material Program					
7.3.1		The contractor at DOE/NNSA Operational Emergency Hazardous Material Program facilities must also establish and maintain an ERO for each site/facility with overall responsibility for the initial and ongoing response to and mitigation of an emergency. Control at the event/incident scene must be consistent with the National Incident Management System's Incident Command System, which integrates local agencies and organizations that provide onsite response services.				

8.	Offsite Response Interfaces	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
8.1	Operational Emergency Base and Operational Emergency Hazardous Material Programs					
8.1.1		Effective interfaces must be established and maintained to ensure that emergency response activities are integrated and coordinated with the Federal, Tribal, State, and local agencies and organizations responsible for emergency response and protection of the workers, public, and environment.				
8.1.2		The contractor at all DOE/NNSA facilities must coordinate 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.				



9.	Emergency Facilities and Equipment	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
9.1	Overall					
9.1.1		Facilities and equipment adequate to support emergency response must be available, operable, and maintained. At a minimum, facilities must include an adequate and viable command center. Equipment must include, but not be limited to, personnel protective equipment, detectors, and decontamination equipment.				
9.2	Operational Emergency Base Program					
9.2.1		The contractor at all DOE/NNSA facilities must provide 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.				
9.3	Operational Emergency Hazardous Material Program					
9.3.1		The contractor at DOE/NNSA Operational Emergency Hazardous Material Program facilities must also establish and maintain facilities and equipment adequate to support emergency response --A facility must be available for use as a command center. --Provisions must be established for use of an alternate location if the primary command center is not available. --Adequate personal protective equipment and other equipment and supplies must be available and operable to meet the needs determined by the results of the EPHA.				

10.	Categorization and Classification	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
10.1	Overall					
10.1.1		<p>Operational Emergencies are major unplanned or abnormal events or conditions that: involve or affect DOE/NNSA facilities and activities by causing or having the potential to cause serious health and safety or environmental impacts; require resources from outside the immediate/affected area or local event scene to supplement the initial response; and, require time-urgent notifications to initiate response activities at locations beyond the event scene. In general, to be considered an Operational Emergency, an event or condition involving the uncontrolled release of a hazardous material must: immediately threaten or endanger personnel who are in close proximity of the event; have the potential for dispersal beyond the immediate vicinity of the release in quantities that threaten the health and safety of onsite personnel or the public in collocated facilities, activities, and/or offsite; and have a potential rate of dispersal sufficient to require a time-urgent response to implement protective actions for workers and the public.</p>				
10.1.2		<p>In addition to being categorized as Operational Emergencies, events involving the actual or potential airborne release of (or loss of control over) hazardous materials from an onsite facility or activity also require prompt and accurate classification as an Alert, Site Area Emergency, or General Emergency, based on health effects parameters measured or estimated at specific receptor locations (e.g., facility and site boundaries) and compared with protective action criteria. Predetermined conservative onsite protective actions and offsite protective action recommendations must be associated with the classification of these Operational Emergencies (as an Alert, Site Area Emergency or General Emergency).</p>				

10.	Categorization and Classification	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
10.2	Operational Emergency Base Program					
10.2.1		<p>The contractor at all DOE/NNSA facilities must —</p> <ul style="list-style-type: none"> <li>--Establish criteria for determining quickly if an event is an Operational Emergency.</li> <li>--Declare an Operational Emergency 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). <i>Such events include the following.</i></li> </ul>				
10.2.2		<p><u>Health and Safety.</u> 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.</p> <ul style="list-style-type: none"> <li>--The discovery of radioactive or other hazardous material contamination from past DOE/NNSA operations that may have caused, is causing, or may reasonably be expected to cause uncontrolled personnel exposures exceeding protective action criteria.</li> <li>--An offsite hazardous material event not associated with DOE/NNSA operations that is observed to have or is predicted to have an impact on a DOE/NNSA site, such that protective actions are required for onsite DOE/NNSA workers.</li> <li>--An occurrence (e.g., earthquake, tornado, aircraft crash, fire, explosion) that causes or can reasonably be expected to cause significant structural damage to DOE/NNSA facilities, with confirmed or suspected personnel injury or death.</li> <li>--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.</li> <li>--An unplanned nuclear criticality.</li> <li>--Any mass casualty event.</li> </ul>				

10.	Categorization and Classification	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
10.2.3		<p><u>Environment.</u> The following events or conditions represent, cause, or have the potential to cause serious detrimental effects on the environment.</p> <ul style="list-style-type: none"> <li>--Any actual or potential release of hazardous material or regulated pollutant to the environment, in a quantity greater than 5 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.</li> <li>--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.]</li> </ul>				
10.2.4		<p><u>Security and Safeguards.</u> (Security incidents are also subject to reporting in accordance with DOE O 471.4, <i>Incidents of Security Concern</i>. Per this Order, foreign involvement in security incidents must be reported to the Office of Counterintelligence.) 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.</p> <ul style="list-style-type: none"> <li>--Actual unplanned detonation of an explosive device or a credible threat of detonation resulting from the location of a confirmed or suspicious explosive device.</li> <li>--An actual terrorist attack or sabotage event involving a DOE/NNSA site/facility or operation.</li> <li>--Kidnapping or taking hostage(s) involving a DOE/NNSA site/facility or operation.</li> </ul>				

10.	Categorization and Classification	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
10.2.5		<p><u>Offsite DOE Transportation Activities.</u> The following events or conditions represent an actual or potential release of hazardous materials from a DOE/NNSA shipment.</p> <ul style="list-style-type: none"> <li>--Any accident/incident involving an offsite DOE/NNSA shipment containing hazardous materials that causes the initial responders to initiate protective actions at locations beyond the immediate/affected area.</li> <li>--Failures in safety systems threaten the integrity of a nuclear weapon, component, or test device.</li> <li>--A transportation accident results in damage to a nuclear explosive, nuclear explosive-like assembly, or Category I/II quantity of Special Nuclear Materials.</li> </ul>				
10.2.6		<p><u>Hazardous Biological Agent or Toxins.</u> The following events or conditions involving the release of a hazardous biological agent or toxin [identified in 42 CFR 73, 7 CFR 331 and 9 CFR 121] represent major failure of safety systems, protocols, and/or practices with the potential to have a serious impact on health and safety of workers, collocated workers, emergency responders, members of the public, or the environment:</p> <ul style="list-style-type: none"> <li>--Any actual or potential release of a hazardous biological agent or toxin outside of the secondary barriers of the biocontainment area.</li> </ul>				
10.2.7		Categorize an event as an Operational Emergency as promptly as possible, but no later than 15 minutes after event recognition/identification/discovery.				
10.3	Operational Emergency Hazardous Material Program					
10.3.1		The contractor at DOE/NNSA Operational Emergency Hazardous Material Program facilities must also establish procedures to classify emergency events (as an Alert, Site Area Emergency, General Emergency).				

10.	Categorization and Classification	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
10.3.2		<p>Hazardous material emergencies involving DOE/NNSA facilities must be classified Operational Emergencies 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 hazardous materials. Classification aids in the rapid communication of critical information and the initiation of appropriate time-urgent emergency response actions. Events, listed in paragraph 11a of the CRD, and in Criteria 10.4 through 10.8 of this matrix, that serve as initiating events for the release of hazardous materials must be classified under the provisions of paragraph 11b of the CRD..</p>				
10.3.3		<p><u>Alert.</u> An Alert must be declared when events are predicted, are in progress, or have occurred that result in one or more of the following.</p> <ul style="list-style-type: none"> <li>--An actual or potential substantial degradation in the level of control over hazardous materials.</li> <li>--<u>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—</u> <ul style="list-style-type: none"> <li>--a site-specific criterion corresponding to 10 percent of the applicable protective action criterion [see Base Order, paragraph 4a(14)] at or beyond the facility boundary; or</li> <li>--the applicable protective action criterion at or beyond 30 meters from the point of release to the environment.</li> </ul> </li> <li>--It is not expected that the applicable protective action criterion will be exceeded at or beyond the facility boundary.</li> <li>--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.</li> <li>--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.</li> </ul>				

10.	Categorization and Classification	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
10.3.4		<p><u>Site Area Emergency.</u> A Site Area Emergency must be declared when events are predicted, in progress, or have occurred that result in one or more of the following situations.</p> <ul style="list-style-type: none"> <li>--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 criterion [see Base Order, paragraph 4a(14)] at or beyond the facility boundary. The protective action criterion is not expected to be exceeded at or beyond the site boundary.</li> <li>--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.</li> <li>--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.</li> </ul>				
10.3.5		<p><u>General Emergency.</u> A General Emergency must be declared when events are predicted, in progress, or have occurred that result in one or more of the following situations.</p> <ul style="list-style-type: none"> <li>--Actual or imminent catastrophic reduction of facility safety or security systems with potential for the release of large quantities of hazardous materials 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 criterion [see Base Order, paragraph 4a(14)] at or beyond the site boundary.</li> <li>--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.</li> </ul>				
10.3.6		<p>Site/facility-specific Emergency Action Levels (EALs) must be developed for the spectrum of potential Operational Emergencies identified by the EPHA and must include protective actions corresponding to each EAL.</p>				

11.	Notification and Communications	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
11.1	Operational Emergency Base and Operational Emergency Hazardous Material Programs					
11.1.1		Initial emergency notifications must be made promptly, accurately and effectively to workers and emergency response personnel/organizations, appropriate DOE/NNSA elements, and other Federal, Tribal, State, and local organizations and authorities. Accurate and timely follow-up notifications must be made when conditions change, when the emergency classification level (as an Alert, Site Area Emergency, General Emergency) is upgraded, or when the emergency is terminated. Continuous, effective, and accurate communication among response components and/or organizations must be reliably maintained throughout an Operational Emergency.				
11.1.2		The contractor at all DOE/NNSA facilities must — --Provide prompt initial notification of workers, emergency response personnel, and response organizations, including DOE/NNSA elements and State, Tribal, and local organizations; --Notify State and local officials and the Cognizant Field Element Emergency Operations Center (EOC) and Headquarters Operations Center within 15 minutes and all other organizations within 30 minutes of the declaration of an Alert, Site Area Emergency, or General Emergency; --Notify the Cognizant Field Element EOC and Headquarters Operations Center within 30 minutes of the declaration of an Operational Emergency not requiring classification; and --Notify local, State, and Tribal organizations within 30 minutes, or as established in mutual agreements, for declaration of an Operational Emergency not requiring classification				



11.	Notification and Communications	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
11.1.3		<p>At a minimum, emergency notification to the Headquarters Operations Center must consist of a phone call providing as much information as is known at the time. The same information must be provided by e-mail or a fax, either immediately prior to or following the phone call. Information for initial notification includes as much as possible of the following:</p> <ul style="list-style-type: none"> <li>--That an Operational Emergency has been declared and, if appropriate, the classification of the emergency;</li> <li>--Description of the emergency;</li> <li>--Date and time the emergency was discovered;</li> <li>--The damage and casualties;</li> <li>--Whether the emergency has stopped other facility/site operations or program activities;</li> <li>--Protective actions taken and/or recommended;</li> <li>--Notifications made;</li> <li>--Weather conditions at the scene of the emergency;</li> <li>--Level of media interest at the scene of the emergency or at the facility/site; and</li> <li>--Contact information of the DOE or NNSA on-scene point-of-contact.</li> </ul>				
11.1.4		<p>Provide for continuing effective communication among response organizations throughout an emergency. Establish effective communications methods between event scene responders, emergency managers, and response facilities.</p> <p>Forward emergency status reports to the next-higher Emergency Management Team on a continuing basis until the emergency is terminated.</p> <p>Each activated Emergency Management Team must submit a final report on the emergency response to the Emergency Manager for submission to the Director, Office of Emergency Operations, following termination of emergency response, and in conjunction with the Final Occurrence Report (see DOE M 231.1-2).</p> <p>Review all reports and releases for classified or unclassified controlled information (e.g., Unclassified Controlled Nuclear Information) prior to being provided to personnel not authorized access to such information, entered into databases not authorized for such information, or transmitted using non-secure communications equipment.</p>				

12.	Consequence Assessment	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
12.1	Overall					
12.1.1		Estimates of onsite and offsite consequences of actual or potential releases of hazardous materials must be computed and assessed correctly and in a timely manner throughout the emergency. Consequence assessments must be integrated with emergency classification and protective action decision-making; incorporated with facility and field indications and measurements; and coordinated with offsite agencies.				
12.2	Operational Emergency Hazardous Material Program					
12.2.1		The contractor at DOE/NNSA Operational Emergency Hazardous Material Program facilities must establish provisions to assess the potential or actual onsite and offsite consequences of an emergency.				
12.2.2		Consequence assessments must— --Be timely throughout the emergency; --Be integrated with the emergency classification and protective action process; --Incorporate monitoring of specific indicators and field measurements; and --Be coordinated with Federal, State, local, and Tribal organizations.				
12.2.3		If the facility has the potential for an Operational Emergency classified as a General Emergency, the facility/site must have connectivity to NARAC capabilities, and procedures to use the NARAC capability effectively as part of near real-time consequence assessment activities for the mode (primary, backup, corroborating) selected by the facility.				
12.2.4		If the facility has the potential for an Operational Emergency classified as a Site Area Emergency, the facility/site must have procedures in place to activate or request NARAC capabilities, and must be able to use those capabilities as part of near real-time consequence assessment activities.				

12.	Consequence Assessment	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
12.2.5		All DOE/NNSA facilities/sites that have access to NARAC or have procedures in place to activate or request NARAC capabilities must ensure that facility/site meteorological data and information on source terms for actual or potential releases of hazardous materials to the atmosphere are available or can be made available to NARAC in a timely manner to facilitate near real-time computations.				

13.	Protective Actions and Re-entry	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
13.1	Overall					
13.1.1		Protective actions must be promptly and effectively implemented or recommended for implementation, as needed, to minimize the consequences of emergencies and to protect the health and safety of workers and the public. Protective actions must be implemented individually or in combination to reduce exposures to a wide range of hazardous materials. Protective actions must be reassessed throughout an emergency and modified as conditions change. Reentry activities must be planned, coordinated, and accomplished properly and safely.				
13.2	Operational Emergency Base Program					
13.2.1		The contractor at all DOE/NNSA facilities must — --Develop procedures to implement the separate protective actions of evacuation and sheltering of employees; --Develop a procedure to account for employees after emergency evacuation has been completed; --Ensure the protection of workers, covered by 29 CFR 1910.120, involved in response and clean-up.				
13.3	Operational Emergency Hazardous Material Program					

13.	Protective Actions and Re-entry	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
13.3.1		<p>The contractor at DOE/NNSA Operational Emergency Hazardous Material Program facilities must also predetermine protective actions for onsite personnel and the public, and must include —</p> <ul style="list-style-type: none"> <li>--Methods for controlling, monitoring, and maintaining records of personnel exposures to hazardous materials;</li> <li>--Procedures to implement the separate protective actions of evacuation and sheltering of employees;</li> <li>--Methods for controlling access to contaminated areas and for decontaminating personnel or equipment exiting the area;</li> <li>--Actions that may be taken to increase the effectiveness of protective actions [i.e., heating, ventilation, and air conditioning (HVAC) shutdown during sheltering];</li> <li>--Methods for providing timely recommendations to appropriate State, Tribal, or local authorities of protective actions, such as sheltering, evacuation, relocation, and food control; and</li> <li>--Specific protective action criteria, based on the Base Order, paragraph 4a(14), for use in protective action decision making.</li> </ul>				

14.	Emergency Medical Support	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
14.1	Overall					
14.1.1		Medical support for contaminated or injured personnel must be planned and promptly and effectively implemented. Arrangements with offsite medical facilities to transport, accept, and treat contaminated, injured personnel must be documented				
14.2	Operational Emergency Base Program					
14.2.1		The contractor at all DOE/NNSA facilities must— --Provide medical treatment and planning for mass casualty situations. -[See also DOE O 440.1A.] --Coordinate in advance the sharing of patient information between onsite and offsite health care providers during emergencies, consistent with the requirements of Health Insurance Portability and Accountability Act of 1996 [42 USC 300].				
14.3	Operational Emergency Hazardous Material Program					
14.3.1		The contractor at DOE/NNSA Operational Emergency Hazardous Material Program facilities must also — --Provide medical support for workers contaminated by hazardous material; [See also DOE O 440.1A.] --Document arrangements with onsite and offsite medical facilities to accept and treat contaminated, injured personnel.				

15.	Emergency Public Information	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
15.1	Overall					
15.1.1		Accurate, candid, and timely information must be provided to workers, the news media, and the public during an emergency to establish facts and avoid speculation. Emergency public information efforts must be coordinated with DOE and NNSA (if appropriate); State, local, and Tribal governments; and Federal emergency response organizations, as appropriate. Workers and the public must be informed of emergency plans and planned protective actions before emergencies.				
15.2	Operational Emergency Base Program					
15.2.1		The contractor at all DOE/NNSA facilities must prepare an Emergency Public Information Plan. The same plan can cover multiple facilities on a site.				
15.2.2		The plans must provide— --Identification of personnel, resources, facilities, and coordination procedures necessary to provide emergency public information; --A program for training and exercises of personnel who will interact with the media; --A methodology for informing workers and the public of DOE/NNSA emergency plans and protective actions, before and during emergencies; --Coordination of public information efforts with State, local, and Tribal governments, and Federal emergency response plans, as appropriate.				
15.2.3		The emergency public information program must have provisions in place to establish a media center. A media center is a designated location where Cognizant Field Element and contractor personnel can conduct the necessary briefings and press conferences regarding an Operational Emergency at the facility.				
15.2.4		In situations involving classified or unclassified controlled information, the contractor must provide sufficient publicly releasable information to explain the emergency response and protective actions required for the health and safety of workers and the public.				

15.	Emergency Public Information	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
15.2.5		Public announcements in areas involving classified or unclassified controlled information must be reviewed by the appropriate official before release to ensure that no classified or unclassified controlled information is contained in the announcement.				
15.2.6		When directed by the Cognizant Field Element, a contractor public information officer must be assigned to the emergency public information response team involved in a significant offsite response deployment.				
15.2.7		The DOE/NNSA (as appropriate) Director of Public Affairs and the Headquarters Emergency Manager must be informed of all DOE/NNSA emergency public information actions. These notifications must be made as soon as practicable.				
15.2.8		Initial news releases or public statements must be approved by the Cognizant Field Element official responsible for emergency public information review and dissemination. Following initial news releases and public statements, updates must be coordinated with the DOE/NNSA (as appropriate) Director of Public Affairs and the Headquarters Emergency Manager.				
15.2.9		An emergency public information communications system must be established among Headquarters, Cognizant Field Element, and on-scene locations.				
15.3	Operational Emergency Hazardous Material Program					
15.3.1		The contractor at DOE/NNSA Operational Emergency Hazardous Material Program facilities must also have provisions in place to establish a Joint Information Center (JIC). A JIC is a working location, where multiple jurisdictions gather, process and disseminate public information during an emergency. The JIC must be adequately staffed with personnel trained to serve as spokesperson and newswriter. Personnel must be assigned to the JIC to provide support in media services, public inquiry, media inquiry, JIC management and administrative activities, and media monitoring. Persons with technical expertise related to the emergency and with spokesperson training must also be assigned to the JIC. The JIC must be established, directed, and coordinated by the senior Cognizant Field Element public affairs manager, or a designee.				



15.	Emergency Public Information	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
15.3.2		The contractor providing personnel for the Departmental emergency response assets [Aerial Measuring System (AMS), Accident Response Group (ARG), National Atmospheric Release Advisory Center (NARAC), Federal Radiological Monitoring and Assessment Center (FRMAC), Nuclear Emergency Support Team (NEST), Radiological Assistance Program (RAP), and Radiation Emergency Assistance Center/Training Site (REAC/TS)] must apply the Emergency Public Information Plan during deployment of the assets.				

16.	Termination and Recovery	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
16.1	Overall					
161.1		An Operational Emergency can be terminated only after a predetermined set of criteria has been met and termination has been coordinated with offsite agencies. Recovery from a terminated Operational Emergency must include: communication and coordination with State, Tribal, and local government and other Federal agencies; planning, management, and organization of the associated recovery activities; and ensuring the health and safety of the workers and public.				
16.2	Operational Emergency Base Program					
16.2.1		The contractor at all DOE/NNSA facilities must— --Coordinate termination with State, Tribal, and local agencies and organizations responsible for offsite emergency response and notification; and --Establish criteria for resumption of normal operations (i.e., recovery). Recovery must also include provisions for investigation of the root cause(s) of the emergency and corrective action(s) to prevent recurrence in accordance with Departmental requirements (e.g., see DOE O 225.1A, <i>Accident Investigations</i> , dated 11-26-97, DOE O 231.1A, <i>Environment, Safety, and Health Reporting</i> , with Change 1 dated 6-3-04, and DOE 5480.19, <i>Conduct of Operations Requirements for DOE Facilities</i> , with Change 2, dated 10-23-01).				
16.3	Operational Emergency Hazardous Material Program					

16.	Termination and Recovery	Criteria	Waivers/Applicability	Implementation	Statement of Implementation by Site/Facility	Validation of Compliance
16.3.1		<p>The contractor at DOE/NNSA Operational Emergency Hazardous Material Program facilities must also—</p> <ul style="list-style-type: none"> <li>--Establish predetermined criteria for termination of emergencies;</li> <li>--Have the means for estimating exposure to hazardous materials and for protecting workers and the general public from exposure during reentry and recovery activities;</li> <li>--Develop recovery procedures that 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;</li> <li>--Not downgrade emergencies, once categorized, to a lower significance category unless the original categorization was incorrect.</li> </ul> <p>Emergency classification must be reviewed periodically to ensure the classification is commensurate with response activities.</p>				

### 3. EMERGENCY MANAGEMENT ACCREDITATION EVALUATION GUIDE

#### 3.1 DOCUMENT DESCRIPTION

Following are the assembled sections of an Evaluation Guide to be used by fully qualified and assigned evaluators to conduct Emergency Management Accreditation (EMA) evaluations of candidate DOE and NNSA sites. This document consists of sixteen (16) sections that have been assembled in the order that they appear in the DOE O 151.1C Contractor Requirements Document (CRD). Each section includes the following:

- **General Description**—a brief description of the element taken from the CRD
- **Key references** used in assembling the criteria associated with the element.
- **Typical compliance problems** assembled from sources such as the OA Inspectors Guide, data from analysis of past DOE Complex exercise reports, and analyses from No-Notice Exercise Program.
- **Instructions to Evaluators**—section is divided into two columns, the left side containing specific evaluation criteria with references and the right is generally left blank to contain evaluator notes. The contents of the left column are divided into two major sections, Document/Records Review and Observations. At the start of each of these sections, there are recommendations to evaluators regarding the types of documents and records to review as part of the evaluation, positions to interview, and performance observations that should typically be made in order to assess the readiness and quality of emergency management programs.

##### 3.1.1. CRITERIA AND NUMBERING

The primary references for criteria stated in this document are from the DOE O 151.1C Contractor Requirements Document. Sub-references are from the EMG Evaluation Criteria, Draft 12/13/05 and other DOE and Federal requirements documents that relate to the emergency management elements and particular topics described in the primary references.

Evaluation Criteria are numbered for each section. The basis for numbering is the CRD-based Matrix, Draft 11/10/05, which is based on the DOE O 151.1C, Contractor Requirements Document. Primary references from that document are bolded and sub-criteria associated with each of the primary references are numbered accordingly to indicate the association with a primary CRD section reference. **Please note:** The system of criteria numbering does not appear entirely sequential because some of the primary CRD references and sub-references naturally fall under the Documents/Records section and others fall under the Observations section. In either case, the numbering of sub-references will follow their primary CRD reference.

### **3.1.2. DOCUMENT/RECORDS VS. OBSERVATIONS**

Evaluators should note that although a particular evaluation criterion may be located primarily in the Documents/Records section there may still be observations and interviews that should be made at specific sites visited for performing EMA evaluations. Similarly, if evaluation criteria are found in the Observations section, there may still be documents and records that should be reviewed to ascertain conformance with the criteria.

### **3.1.3. TRAINING**

How to use this document will be part of training conducted for EMA Evaluators. It is also recommended that sites applying for EM accreditation receive a copy of this document in order to have full understanding of the criteria upon which they will be evaluated.

<b>3.2 Element 1: General Requirements</b>	
<b>3.2.1. Description</b>	
<p>There must be a Comprehensive Emergency Management System designed to:</p> <p><b>Minimize the consequences of all emergencies involving or affecting Departmental facilities, and activities (including transportation operations/activities);</b></p> <p><b>Protect the health and safety of all workers and the public from hazards associated with DOE/NNSA operations and those associated with decontamination and decommissioning (D&amp;D), and environmental restoration;</b></p> <p><b>Prevent damage to the environment; and</b></p> <p><b>Promote effective and efficient integration of all applicable policies, recommendations, and requirements, including Federal interagency emergency plans. (1.1.1)</b></p>	
Reference DOE Order 151.1C, Attachment 2, Contractor Requirements Document Section 1.	
<b>3.2.2. Typical Compliance Problems</b>	
Sites do not take into account how changes inherent in site activities related to special operations, decontamination, decommissioning, and environmental restoration impact the planning basis for emergency response as well as response itself.	
Planners duplicate efforts and fail to integrate planning by developing multiple plans to meet all Federal agency, state, and DOE requirements.	
Contractor does not perform adequate analysis of hazards to support prevention of unplanned releases.	
Contractor does not develop a fully integrated operational emergency hazardous materials emergency response program.	
<b>3.2.3. Instructions to Evaluator:</b>	
<b>DOCUMENT/RECORDS REVIEW</b>	<b>NOTES</b>
<i>Review hazards surveys and hazards assessments.</i>	
<i>Review records of changes to hazards surveys and assessments and emergency plan that are related to D&amp;D activities.</i>	
<i>Review emergency plan and emergency procedures.</i>	
<i>Review records of program exemptions.</i>	
<i>Review internal and external audit reports and evaluations of emergency management program.</i>	
<i>Review records of program approvals.</i>	
<i>Review ERAP and descriptions of site description and scope of activities.</i>	
<i>Review communications and direction from Cognizant Field Element to the contractor regarding emergency management program.</i>	

<p><i>Review how transportation is addressed in the HS/EPHA.</i></p>	
<p><b>1.1.1 Is a Comprehensive Emergency Management System in place designed to:</b></p> <p><b>Minimize the consequences of all emergencies involving or affecting Departmental facilities, and activities (including transportation operations/activities);</b></p> <p><b>Protect the health and safety of all workers and the public from hazards associated with DOE/NNSA operations and those associated with decontamination, decommissioning, and environmental restoration;</b></p> <p><b>Prevent damage to the environment; and</b></p> <p><b>Promote effective and efficient integration of all applicable policies, recommendations, and requirements, including Federal interagency emergency plans?</b></p> <p><b>Ref. DOE O 151.1 C, CRD Section 1</b></p>	
<p><b>1.2.1 Is there an integrated Operational Emergency Base Program (see also DOE O 151.1C, Chapter III) for each facility and activity?</b></p> <p><b>Ref. DOE O 151.1 C, CRD Section 2</b></p>	
<p><b>1.2.2 Is the Operational Emergency Base Program based on a Hazards Survey?</b></p> <p><b>Ref. DOE O 151.1 C, CRD Section 2a</b></p>	
<p><b>1.2.3 Does the Operational Emergency Base Program:</b></p> <p><b>Provide the framework for response to serious events involving health and safety, the environment, safeguards, and security, and,</b></p> <p><b>Does it ensure all requirements of DOE regulations and directives, regulations developed by other Federal agencies, and, if applicable, State and local requirements addressing emergency issues are seamlessly integrated without duplication of emergency management effort?</b></p> <p><b>Ref. DOE O 151.1 C, CRD Section 2c</b></p>	

<p><b>1.3.1 Does the contractor:</b></p> <p><b>Identify the hazards that may result from an unplanned release of hazardous materials;</b></p> <p><b>Strive to prevent unplanned releases of hazardous materials from DOE/NNSA facilities;</b></p> <p><b>Take any steps necessary to prevent releases; and</b></p> <p><b>Use feasible means to eliminate or materially reduce the hazard to workers and the public?</b>  <b>Ref. DOE O 151.1 C, CRD Section 3a</b></p>	
<p><b>1.3.2 Does the contractor execute this general duty by developing and documenting an integrated Operational Emergency Hazardous Material Program?</b>  <b>Ref. DOE O 151.1 C, CRD Section 3b</b></p>	
<p><b>1.3.3 Are the results of the Emergency Planning Hazards Assessment (EPHA) used to determine the necessary personnel, resources, and equipment for the Operational Emergency Hazardous Material Program?</b>  <b>Ref. DOE O 151.1 C, CRD Section 3b(1)(a)</b></p>	
<p><b>1.3.4 If the quantitative analysis indicates that all events would be classified as less than an Alert, do the minimum program requirements encompass the requirements for Hazardous Waste Operations and Emergency Response found in 29 CFR 1910.120 and the Operational Emergency Base Program requirements?</b>  <b>Ref. DOE O 151.1 C, CRD Section 3b(1)(b)</b></p>	
<p><b>1.3.5 Does the organization adjust its Operational Emergency Hazardous Material Program to be commensurate with hazards that remain after decontamination and decommission action is completed at each DOE closure site/facility?</b>  <b>Ref. DOE O 151.1 C, CRD Section 3b(2)</b></p>	



<p><b>1.3.6 Has the organization developed, implemented, documented, and maintained an effective, integrated emergency management program that is commensurate with the hazards and that addresses the following program elements: program administration; training and drills; exercises; readiness assurance; emergency response organization; 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; and termination and recovery?</b>  <b>Ref. DOE O 151.1 C, CRD Section 3b(3)</b></p>	
<p><b>1.3.7 The contractor at a site with multiple facilities may place facility-specific requirements in their emergency program on a site-/contractor-level organization (such as a single, site-wide public information program rather than separate programs at each facility.)</b></p> <p><b>If this is done, does the contractor gain approval, in writing, from the Cognizant Field Element before replacing the facility-specific requirements with site-/contractor-level requirements?</b>  <b>Ref. DOE O 151.1 C, CRD Section 3c</b></p>	
<p>1.3.7.1 Replacing facility-specific requirements with site- or contractor-specific requirements does not require an exemption.</p> <p><b>Does the contractor placing requirements on a site-/contractor-level organization meet the requirements of the Operational Emergency Hazardous Material Program if the site contains both Operational Emergency Base Program and Operational Emergency Hazardous Material Program facilities?</b>  <b>Ref. DOE O 151.1 C, CRD Section 3c(1)</b></p>	

<p>1.3.7.2. After gaining approval of the Cognizant Field Element Manager, did the contractor note those requirements placed on the site- /contractor-level organization in the emergency plan at both the facility and site/contractor levels, as well as in the program description of the Emergency Readiness Assurance Plan (ERAP)? Ref. DOE O 151.1 C, CRD Section 3c(2)</p>	
<p><b>Observations by Evaluators</b></p>	<p><b>Notes</b></p>
<p><i>Interview personnel responsible for: Planning and administration of emergency management programs; Personnel responsible for development of hazards surveys and hazards assessments; Cognizant Field Element management; Site senior management; Health, safety, environment department managers.</i></p>	

<b>3.3 Element 2: Technical Planning Basis</b>
<b>3.3.1. Description</b>
Each Hazards Survey must:
Identify (e.g., in matrix or tabular form) the emergency conditions (e.g., fires, work place accidents, natural phenomena, etc.) that affect the facility;
Describe the potential health, safety, or environmental impacts; and
Indicate the need for further analyses of hazardous materials in an EPHA; and identify the planning and preparedness requirements that apply to each type of hazard. (2.1)
A Hazardous Material Screening Process must identify specific hazardous materials and quantities that, if released, could produce impacts consistent with the definition of an Operational Emergency. The potential release of these materials to the environment requires further analysis in an EPHA. (2.3)
In an EPHA, identify hazards and the potential consequences from unplanned releases of (or loss of control over) hazardous materials, using accepted assessment techniques (2.10)
Reference DOE Order 151.1C, Chapters III and IV, and Attachment 2, Contractor Requirements Document Sections 2 and 3.
Reference Emergency Management Guide, DOE G 151.1-1, Part 1, Volume II, Section 1
Reference Emergency Management Guide DOE G 151.1-1, Part 1, Volume III, Appendix D, Evaluation Criteria
<b>3.3.2. Typical Compliance Problems</b>
All facilities are not included in hazards surveys.
Mechanisms are not established for preparation, review and approval of hazards surveys and assessments.
EPZ is not reviewed and approved by the DOE operations office manager.
Concurrence is not obtained with offsite jurisdictions on the EPZ configuration.
The screening process for hazardous materials is not correctly applied.
The full spectrum of emergency scenarios is not analyzed, including: malevolent act and transportation event scenarios; lower consequence/higher probability events; and ground and waterborne pathways for situations where a time-urgent response is required.
Correct material-at-risk amounts are not used in calculations.
Organization did not evaluate offsite hazardous operations with potential impact to the site, including fixed facilities and transportation activities.
Facility and site boundaries are not determined correctly.
Results of hazards surveys and assessments are not used as the basis for categorization/classification methodology.
Hazards survey is not documented in a format useable by site emergency responders, nor made available in emergency response facilities as a reference for assisting response efforts.
Results of hazards surveys and hazards assessments are not used as the basis for medical response and planning.
Hazards assessment results are not used to determine EPZ configuration.
Tests of reasonableness are not applied to EPZ configuration.
EALs contained in the emergency plan implementing procedures are not consistent with EALs described in the technical planning basis.

Transportation activities are not included in HS/EPHAs..	
Mechanisms are not established or effective for notifying the organization responsible for hazards assessments of changes in material inventories and event initiators.	
Inventory information is not confirmed with methods such as facility walk downs.	
Order requirements and/or site procedures are not followed when developing hazards surveys.	
Organization does not consider engineering modifications that add plant instrumentation for potential unmonitored release pathways.	
<b>3.3.3. Instructions to Evaluator:</b>	
<b>DOCUMENT/RECORDS REVIEW</b>	<b>NOTES</b>
<i>Review hazards surveys. Review hazards assessments to determine if they were prepared in accordance with procedure and possess attributes prescribed by the order and the EMG.</i>	
<i>Review site facility information, including maps, to ensure all facilities are considered in the hazards survey.</i>	
<i>Review records of site reviews of hazards surveys and hazards assessments.</i>	
<i>Compare the facility/site chemical inventory system quantities with the screening process information listed in the hazards survey.</i>	
<i>Review procedures for preparing and conducting hazards surveys and assessments and administrative procedures for reviewing these documents.</i>	
<i>Review mechanisms for notifying the organization responsible for hazards surveys and assessments of changes in material inventories and event initiators.</i>	
<i>Review chemical and radiological and biological inventories, documents or databases.</i>	
<i>Review vulnerability analyses for facilities of interest.</i>	
<p><b>2.1.1 Does each Hazards Survey:</b></p> <p>Identify (e.g., in matrix or tabular form) the emergency conditions (e.g., fires, work place accidents, natural phenomena, etc.) that affect the facility;</p> <p>Describe the potential health, safety, or environmental impacts;</p> <p>Indicate the need for further analyses of hazardous materials in an EPHA; and</p> <p>Identify the planning and preparedness requirements that apply to each type of hazard?</p> <p>Ref. DOE O 151.1 C, CRD Sec. 2a(1)</p>	

<p>2.1.1.1 Does the Hazards Survey identify the generic types of serious emergency events or conditions to which the specific facility or activity may be exposed (e.g., fires; flood; tornadoes; earthquakes; hazardous material releases; regulated pollutant or oil spills; safeguards and security events; work place accidents; malevolent acts; mass casualties; wildland fires; nearby offsite non-DOE hazardous material accidents)?</p> <p>Ref. EC P1.1</p>	
<p>2.1.1.2 A Hazards Survey may cover multiple facilities. Are all the facilities on a site covered by Hazard Surveys?</p> <p>Ref. DOE O 151.1C III Sec. 3</p>	
<p>2.1.1.3 Does the Hazards Survey qualitatively identify the potential impacts of different generic types of emergencies on health and safety, the environment, and national security?</p> <p>Ref. EC P1.2</p>	
<p>2.1.1.4 Are facilities and onsite activities that require a documented, quantitative Emergency Planning Hazards Assessment (EPHA) identified by a hazardous material screening process and so indicated in the Hazards Survey?</p> <p>Ref. EC P1.4</p>	
<p>2.1.1.5 Does the Hazards Survey identify emergency management requirements that constitute the Operational Emergency Base Program?</p> <p>(Including: DOE orders [other than 151.1], other Federal agency, state, and local emergency planning and preparedness requirements associated with different generic types of emergency events or conditions and applicable to the facility or activity; and existing plans, such as earthquake self-help plans or mass casualty plans, detailing compliance with Federal, State, or local standards, incorporated directly into the Operational Emergency Base Program or invoked by reference.)</p> <p>Ref. EC P1.3</p>	
<p><b>2.1.2 Are Hazards Surveys updated every three years and prior to significant changes to the site/facility or to hazardous material inventories?</b></p> <p><b>Ref. DOE O 151.1 C, CRD Section 2a(3)</b></p>	

<p><b>2.2.1 Does a Hazardous Material Screening Process identify specific hazardous materials and quantities that, if released, could produce impacts consistent with the definition of an Operational Emergency (OE)?</b>  <b>The potential release of these materials to the environment requires further analysis in an EPHA.</b>  <b>Ref. DOE O 151.1 C, CRD Section 2b</b></p>	
<p>2.2.1.1 Is a hazardous material screening process developed and applied to facilities and activities involved in producing, processing, handling, storing, or transporting hazardous materials that have the potential to pose a serious threat to workers, the public, or the environment?  Ref. EC P1.6</p>	
<p>2.2.1.2 Does the screening process identify <u>candidate</u> hazardous materials that, if released in an uncontrolled manner, would immediately threaten or endanger those who are in close proximity; have the potential for dispersal beyond the immediate vicinity in quantities that threaten onsite personnel or the public; and have a potential rate of dispersal to require a time-urgent response to implement protective actions for workers or the public?  Ref. EC P1.7</p>	
<p>2.2.1.3 Does the hazardous material screening process identify all hazardous materials in a facility/activity that require further analysis in an EPHA?  Ref. EC P1.8</p>	
<p><b>2.2.2 Are all radioactive materials in a facility/activity subjected to a hazardous material screening process?</b>  <b>Ref. DOE O 151.1C, CRD Section 2b(2)(a)1</b></p>	
<p>2.2.2.1 Do radioactive materials excluded from further analysis in the EPHA only include the following:  a. Sealed radioactive sources that are engineered to pass the special form testing specified by DOT or ANSI;  b. Materials in solid form for which there is no plausible dispersal mechanism; materials stored in DOE type B shipping containers with overpack, if the certificates of compliance are current and the materials are authorized by the certificate; and  c. Materials used in exempt commercially available products?  Ref. EC P1.10</p>	

<p>2.2.2.2 Do radioactive hazardous materials that are analyzed in the EPHA include the radioactive materials listed in DOE STD 1027-92 in quantities greater than the Category 3 values given in Attachment 1, Table A.1 of that Standard? Ref EC P1.11</p>	
<p><b>2.2.3 Are all chemicals in a facility/activity with known or suspected toxic properties subjected to a hazardous material screening process?</b> <b>Ref. DOE O 151.1C, CRD Section 2b(2)(b)1</b></p>	
<p>2.2.3.1 Do chemicals excluded from further analysis in the EPHA include the following: a. Materials used in the same form, quantity and concentration as a product packaged for distribution and use by the public; b. Materials that have health hazard rating of 0, 1, or 2 based on NFPA 740; and c. Solid or liquid materials that because of their physical form or other factors do not present an airborne exposure hazard? Ref. EC P1.13</p>	
<p>2.2.3.2 Are quantities of chemical hazardous materials considered to be “easily and safely manipulated by one person” determined in accordance with provisions of 29 CFR 1910.1450(b)? Ref. EC P1.14</p>	
<p>2.2.3.3 Do chemical hazardous materials in quantities greater than a quantity that can be “easily and safely manipulated by one person” that are analyzed in an EPHA include: a. Chemicals with an assigned health hazard rating of 3 or 4 based on NFPA 704; and b. Chemicals without an assigned health hazard rating. Ref. EC P1.15</p>	

<p><b>2.2.4 At a minimum, specific hazardous biological agents and toxins must include Federally regulated agents and toxins identified in lists published in Department of Health and Human Services (HHS) regulations [42 CFR 73] and Department of Agriculture (USDA) regulations [7 CFR 331 and 9 CFR 121], and require an EPHA and a Hazardous Material Program. Toxins listed in 42 CFR 73 and 9 CFR 121 must exceed the minimum quantities specified to be Federally regulated. Does the site meet this requirement if applicable?</b> Ref. DOE O 151.1C, CRD Section 2b(2)(c)</p>	
<p>2.2.4.1 Are all biological hazardous materials in a facility activity subjected to a hazardous material screening process? Ref. EC P1.16</p>	
<p>2.2.4.2 If biological agents and toxins require further analysis in an EPHA, then is a Hazardous Materials Program established? Ref. EC P1.18</p>	
<p><b>2.2.5 Did the site consider the possibility that excluded materials could initiate, through fires or explosions, the release of other hazardous materials?</b> Ref. Doe O 151.1C, CRD Section 2b(2)(d)</p>	
<p>2.2.5.1 Did the site ensure that emergency events or conditions are NOT excluded from analysis in the EPHA based solely on calculated occurrence probabilities or arbitrarily defined delimiters (e.g., credible or incredible, likely or unlikely)? Ref. EC P1.27</p>	
<p><b>2.2.6 If the screening process identifies at least one hazardous material requiring further analysis, does the Hazards Survey indicate that an EPHA is needed for that facility or activity?</b> Ref. DOE O 151.1C, CRD Section 2b(3)</p>	



<p><b>2.2.7 Is a description of the screening process and the results of its application to the hazardous materials in the facility/activity included in the Hazards Survey or incorporated by reference into supporting documentation?</b></p> <p>For facilities/activities requiring an EPHA, is this documentation referenced or included in the EPHA?</p> <p><b>If the quantitative analysis indicates that all events would be classified as less than an Alert, an EPHA is not required. Are the results of the hazardous material screening process and the quantitative analysis incorporated directly into the Hazards Survey or incorporated by reference in the Hazards Survey?</b></p> <p><b>Ref. Doe O 151.1C, CRD Section 2b(4)</b></p>	
<p><b>2.3.1 In an EPHA, does the facility identify hazards and the potential consequences from unplanned releases of (or loss of control over) hazardous materials, using accepted assessment techniques?</b></p> <p><b>Ref. DOE O 151.1C, CRD Section 3b(1)</b></p>	
<p>2.3.1.1 If applicable, did the site/facility prepare, submit, maintain and update offsite consequence analysis in a Risk Management Plan to include worst-case release scenarios for toxic substances held above threshold quantity and for regulated flammable substances above threshold quantity?</p> <p>Ref. 40 CFR 68, Chemical Accident Prevention, Subpart G, Risk Management Plan</p>	

<p>2.3.1.2 Does the EPHA describe the site and facility or activity, directly or by reference, including:</p> <p>Site location, facility description, operations, mission, processes, tenant activities, and facility locations (including proximity to adjacent facilities, site boundary, utility and transportation networks);</p> <p>Transportation activities, including types and quantities of materials transported, containers, routes, speeds and controls exercised; and</p> <p>Characteristics of the region beyond the site boundary including summaries of demographics (including special populations, administrative boundaries, geographic features, and economic enterprises (e.g., farms, factories)? Ref. EC P 1.23</p>	
<p>2.3.1.3 Does the EPHA contain a current, accurate compilation of hazardous material inventories or maximum quantities associated with a facility or activity based on reliable and comprehensive methods of hazardous material identification (e.g. walk-throughs, shipping records, local chemical inventory systems)? Ref. EC P 1.24</p>	
<p>2.3.1.4 Are analyzed hazardous materials characterized in the EPHA as follows:</p> <p>Storage location, process used, physical properties, and health effect parameters;</p> <p>Engineered controls, administrative controls, storage segregation, safeguards and safety systems for prevention and/or mitigation f releases are identified; and</p> <p>Actual barriers to release are identified, such as containers, buildings, berms, sumps, catch basins, filters, and HVAC systems? Ref. EC P1.25</p>	

<p>2.3.1.5 Are a spectrum of potential emergency event/condition scenarios postulated and realistically analyzed in the EPHA, including:</p> <p>Applicable initiating events (e.g., fire, explosion, natural phenomena, malevolent events, accidents, external events);</p> <p>Contributing events, accident mechanisms, equipment or system failures, engineered safety system and control failures, source terms, material release chemistry and characteristics, environmental transport and diffusion, exposure considerations, and health effects;</p> <p>Range of event probabilities and consequences, from low probability, high consequence to high probability, low consequence, including Beyond-Design-Basis events;</p> <p>Events exclusively affecting onsite personnel, as well as those affecting the offsite public; and</p> <p>Potential malevolent acts applicable to the facility based on Design Basis Threat guidance, if available?</p> <p>Ref. EC P1.26</p>	
<p>2.3.1.6 Are indicators of emergency event or condition scenarios that can be used for recognition purposes in developing OE categorization criteria and Emergency Action Levels (EALs) as appropriate, identified and documented in the EPHA?</p> <p>Ref. EC P1.28</p>	
<p>2.3.1.7 Are biological agent release scenarios analyzed to obtain indicators for recognizing OE events/conditions and for initial protective actions?</p> <p>Is the analysis methodology documented in the EPHA?</p> <p>Ref EC P1.30</p>	
<p>2.3.1.8 Are classified material quantities and storage analyzed and documented in a classified annex to the EPHA?</p> <p>Ref. EC P1.31</p>	

<p><b>2.3.2 Is an accurate and timely method for tracking changes in operations, processes, or accident analyses that involve hazardous materials (e.g., introduction of new materials, new uses, significant changes in inventories, modification of material environments) <u>established and maintained</u> for each facility/activity?</b></p> <p><b>Does the method allow sufficient time for emergency management personnel to review the EPHA and modify plans and procedures, as necessary?</b></p> <p><b>Ref. DOE O 151.1C, CRD Section 3b(1)(c)</b></p>	
<p>2.3.2.1 Are management procedures implemented to ensure that emergency planners are notified of significant changes in facility inventories, processes, or activities that may affect the results of the EPHA [e.g., active involvement of emergency management personnel in the facility Integrated Safety Management System (ISMS)]?</p> <p>Ref. EC P1.34</p>	
<p>2.3.2.2 Is sufficient transition time allowed for emergency management personnel to review the EPHA and modify plans or procedures, as necessary, to account for changes in the hazardous material situation?</p> <p>Ref. EC P1.35</p>	
<p>2.3.2.3 Are changes made in the facility or activity safety analysis reports, probabilistic risk assessments, vulnerability assessments, fire hazard analyses, environmental impact statements, and other documents that address hazards or potential consequences integrated with maintenance of the EPHA?</p> <p>Ref. EC P1.36</p>	
<p>2.3.2.4 If changes result in an increase in hazardous material inventories or release potential, is the EPHA is updated immediately?</p> <p>Ref. EC P1.37</p>	
<p>2.3.2.5 After a D&amp;D action is completed, is the Operational Emergency Hazardous Materials Program adjusted to be commensurate with the hazards that remain?</p> <p>Ref EC P1.38</p>	
<p><b>2.3.3 Is the EPHA reviewed at least every three years and updated prior to significant changes to the site/facility or hazardous material inventories?</b></p> <p><b>Ref: DOE O 151.1C, CRD Section 3b(1)(d)</b></p>	

<p><b>2.3.4 Does the EPHA include a determination of the size of the Emergency Planning Zone (EPZ)? Are assumptions, methodologies, models, and evaluation techniques used in the EPHA documented?</b>  <b>Ref. DOE O 151.1C, CRD Section 3b(1)(e)</b></p>	
<p>2.3.4.1 Is the EPZ identified as the area within which protective actions will most likely be taken to protect workers or the public from the effects of the majority of airborne hazardous material releases from the facility or site?  Ref. EC P1.40)</p>	
<p>2.3.4.2 Are conservative estimates of the consequences of release scenarios (primarily radioactive and chemical) calculated and documented in the EPHA?</p> <p>Do receptor locations include facility and site boundaries, collocated facilities, and offsite locations, including special populations (e.g., schools, hospitals, and prisons)?</p> <p>Are calculations performed for the purposes of protective action determinations, response decision-making, and special planning, (e.g., EPZ determinations)?</p> <p>Are methods and models used for calculating consequences applicable to the releases analyzed; assumptions used are valid and documented?  Ref. EC P 1.29</p>	
<p>2.3.4.3 Does the EPZ define an area within which protective actions will provide for substantial reduction in early lethality for all analyzed airborne hazardous material releases?  Ref. EC P1.41</p>	
<p>2.3.4.4 Is the size and shape of the EPZ determined by the spectrum of scenarios, the consequences of the potential releases, health effect parameters, and geo-political boundaries beyond the site boundary?  Ref. EC P 1.39</p>	
<p>2.3.4.5 Is the EPZ sufficiently large that the planning efforts within the defined EPZ provide a substantial basis for expansion of response activities beyond the EPZ, if warranted by actual conditions?  Ref. EC P 1.42</p>	

2.3.4.6 The maximum EPZ for any DOE or NNSA facility or site does not exceed a nominal radius of 10 miles (16 kilometers). Does the site conform? Ref. EC P1.43	
2.3.4.7 Biological hazardous material release scenarios should not be used in determining the size of the EPZ. Does the site conform? Ref. EC P1.44	
<b>2.3.5 The Office of Secure Transportation (OST) must develop an EPHA for OST shipments to provide the technical planning basis for the OST Operational Emergency Hazardous Material Program. Is there conformity with this requirement? Ref. DOE O 151.1C, CRD Section 3b(1)(f)</b>	
<b>2.3.6 An EPHA must be developed for shipments that do not satisfy governing DOT regulations and specifications for commercial hazardous materials transport. However, if a shipment satisfies DOT regulations and specifications, then an EPHA is not required. Is there conformity? Ref. DOE O 151.1C, CRD Section 3b(1)(g)</b>	
<b>Observations by Evaluators</b>	<b>Notes</b>
<i>Interview personnel who have prepared hazards surveys and assessment for the site.</i>	
<i>Walk down site and facilities in relation to hazards survey and assessment prepared by the organization.</i>	
<i>Observe use of hazards assessment information during emergency exercise response.</i>	

<b>3.4 Element: 3. Program Administration</b>
<b>3.4.1. Description</b>
<b>Effective organizational management and administrative control of the facility emergency management program must be provided by establishing and maintaining authorities and resources necessary to plan, develop, implement, and maintain a viable, integrated, and coordinated comprehensive emergency management program. (3.1.1)</b>
Reference DOE Order 151.1C, Chapter IV and Attachment 2, Contractor Requirements Document, Section 4
Reference Emergency Management Guide, DOE G 151.1-1, Volume III, Section 1, Program Administration
Reference Emergency Management Guide, DOE G 151.1-1, Volume III, Appendix A, Standard Format and Content for Emergency Plans for Hazardous Materials Programs (Draft)
<b>3.4.2. Typical Compliance Problems</b>
The Contractor Requirements Document (CRD) has not been included in all site/facility management contracts associated with the management and operation of the Site/facility and its associated transportation activities. [Note: putting the CRD into the contract is a Federal responsibility.]
Emergency management programs fail to translate DOE requirements, policy, or guidance into specific plans, procedures, readiness assurance activities, and emergency response.
Implementing procedures and supporting documents are found to have factual or editorial errors that would degrade the effectiveness of response.
Plans or procedures that give direction to planning, preparedness, and response activities are not current.
Program documentation such as EPHA, training materials, lesson plans, agreements and understandings, protocols, or other emergency management documents have errors or inconsistencies or are not maintained current.
The emergency management program lacks qualified staff to perform emergency management/response functions (e.g., inadequate numbers, qualifications, or capabilities.)
Emergency preparedness programs, including training and exercises, do not exist, or are not adequate to prepare the emergency response organization for response actions that may be required to respond to operational emergencies.
The site/facility has not planned for and implemented adequate secondary or backup facilities, equipment, and staff needed to respond to operational emergencies.
There is inadequate cooperative/joint planning or a lack of agreement on how to respond to certain circumstances, e.g., incompatible communications systems or terminology, uncoordinated response actions, disputed authorities, or ineffective division of roles and responsibilities
Resource needs for a viable, integrated, and coordinated emergency management program are not adequately identified or fulfilled.
Records, such as logs, event chronologies, and data sheets generated during emergency response or exercises have factual errors, are internally inconsistent, or are not maintained current.
Records, such as equipment and facility test and maintenance records, staff training and qualification records, or documentation of meetings and planning decisions that form part of the planning basis have factual errors, are internally inconsistent, or are not maintained current.
Emergency Readiness Assurance Plan (ERAP) is not complete, has factual errors, is internally inconsistent, or is not maintained current.

<b>3.4.3. Instructions to Evaluator:</b>	
<b>DOCUMENT/RECORDS REVIEW</b>	<b>NOTES</b>
<i>Review the site/facility emergency planning hazards assessment, emergency plan, and emergency plan implementing procedures.</i>	
<i>Review memoranda or agreements with offsite response organizations that may have a role in a response to an operational emergency.</i>	
<i>Review all management contractual vehicles established and maintained by the site/facility with any parties associated with the management and operation of the site/facility and its associated transportation activities.</i>	
<i>Review training program plan and training records.</i>	
<i>Review exercise program planning documents and records.</i>	
<i>Review ERAP and documentation of program reviews (internal and external), corrective actions, and documents that track findings and corrective actions.</i>	
<i>Review procedures in place to protect classified information or Unclassified Controlled Nuclear Information (UCNI).</i>	
<i>Review document control system procedures as well as other documents supporting a program that ensures the availability of vital records.</i>	
<i>Resolve any issues of missing, incomplete, or unclear documentation in the interview/observation phases of the inspection.</i>	
<b>3.1.1 Is effective organizational management and administrative control of the facility emergency management program provided by establishing and maintaining authorities and resources necessary to plan, develop, implement and maintain a viable, integrated, and coordinated comprehensive emergency management program? Ref: DOE O 151.1C, Attachment 2, CRD, Section 4 a</b>	
<b>3.1.2 Has the site/facility designated an individual (the Program Administrator) to administer emergency management? Does this individual develop and maintain the emergency plan, develop ERAP and annual updates, develop and conduct training and exercise programs, coordinate assessment activities, develop related documentation and coordinate emergency resources? Ref: DOE O 151.1C, Attachment 2, CRD, Section 4a</b>	



<p>3.1.2.1 Has the designated Program Administrator ensured the development and maintenance of the Hazards Survey, and, as needed, the Emergency Planning Hazards Assessment? Ref: EC P2.1</p>	
<p><b>3.1.3 Has the contractor (at all facilities that are generating classified information or UCNI, or are conducting classified or UCNI operations) reviewed all emergency preparedness documents such as plans, procedures, scenarios, and assessments for classified information and UCNI?</b></p> <p><b>Was this review conducted by the appropriate official using current guidance?</b></p> <p><b>If EPHAs do not contain classified information or UCNI, are they reviewed by the emergency management program administrator to determine if they contain potentially exploitable information?</b></p> <p><b>Are EPHAs containing potentially exploitable information protected as Official Use Only under exemption 2 of the Freedom of Information Act?</b> <b>Ref. DOE O 151.1C, Attachment 2, CRD Section 4c</b></p>	
<p><b>3.1.4 Has the contractor documented the emergency management program in an emergency plan that also describes the provisions for response to an OE?</b> <b>Ref: DOE O 151.1C, Attachment 2, CRD, Section 4d</b></p>	
<p>3.1.4.1 Has the site/facility prepared and submitted the following to the Cognizant Field Element manager for approval:</p> <p style="padding-left: 40px;">Documentation to establish an EPZ;</p> <p style="padding-left: 40px;">Emergency Plans that document comprehensive emergency management programs; and ERAPs? Ref: DOE Order 151.1C, Chap. 1 Section 10 (c)</p>	

<p>3.1.4.2 Has the site/facility prepared and maintained emergency plans that address emergency classification, notification, reporting, response actions, training and drills, exercises, emergency public information, outreach and coordination, accident investigation, and applicable Federal statues, State and local laws, DOE Orders, and implementing regulations and guidance? Ref: DOE Order 151.1C, Chapter 1 Sec. 10 (b)</p>	
<p>3.1.4.3 Are emergency management plans developed for facilities <u>not requiring a Hazardous Material Program</u> that address the minimum Base Program requirements? Ref. EC P2.14</p>	
<p>3.1.4.4 Are emergency management plans developed for facilities <u>requiring a Hazardous Material Program</u> that are seamlessly integrated with Base Program requirements? Ref. EC P2.15</p>	
<p>3.1.4.5 Are current reviewed and approved Hazards Surveys and EPHAs available?  Do EPHAs provide technical planning basis information for the development of the Operational Base Program and Operational Hazardous Material Program, commensurate with the hazards? Ref. EC P2.24</p>	
<p>3.1.4.6 Do documented arrangements with leased facilities include: a. Description of how each of the lessee's emergency management program elements are integrated into the site-wide program; and b. A requirement that the lessee's hazardous materials inventories be reported to the site emergency management program annually; c. A requirement that the lessee must report significant changes to the facility or hazardous material inventories prior to implementing the changes? Ref. EC P2.27</p>	
<p><b>3.1.5 Has the contractor developed Emergency Plan Implementing Procedures to describe how emergency plans must be implemented?</b> <b>Ref: DOE O 151.1C, Attachment 2, CRD, Section 4d</b></p>	

<p>3.1.5.1 Do Emergency Plan and Implementing Procedures (EPIPs) document the emergency management program, describe how the emergency plan will be implemented; and</p> <p>Clearly state roles, responsibilities, and requirements associated with program administration, Emergency Response Organizations (EROs), individual positions, operations, and interfaces?</p> <p>Describe the integration and coordination of the emergency management program with the DOE Integrated Safety Management System (ISMS)? Ref: EC P 2.25</p>	
<p><b>3.1.6 Has the contractor established a program 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? Ref: DOE O 151.1C, Attachment 2, CRD, Section 4e</b></p>	
<p><b>Observations by Evaluators</b></p>	<p><b>Notes</b></p>
<p><i>Interview individual with overall responsibility (Program Administrator) for managing the emergency management program, as well as those managers delegated individual responsibility for activities within the emergency management program, such as the Training Program Manager and Exercise Program Manager. Verify applicable documentation for each criterion.</i></p>	
<p><i>Interview facility emergency management personnel on sites with multiple facilities to determine effectiveness of site-wide program integration.</i></p>	
<p><i>Verify compliance with other DOE and non-DOE requirements applicable to emergency management programs.</i></p>	
<p><i>Also identify any other Federal, State, Tribal and local requirements or agreements pertaining to Emergency Management with which the site/facility must comply. Provide references regarding implementation in adjacent columns.</i></p>	
<p><i>If possible, observe conduct of a training session, a drill, and an exercise. Support determination of compliance with program administration requirements for these program areas through observations and interviews.</i></p>	

3.1.1.1 Are facility emergency management programs on site consistent and integrated for site-wide consistency? Ref. EC P2.16	
3.1.1.2 Has administration of planning, preparedness, and readiness assurance activities been established and effectively maintained. Ref. EC P2.4	
3.1.1.3 Have reasonable schedules (e.g., documentation submittals, reviews, and approvals; preparedness and readiness assurance activities) been established and enforced to ensure that program planning, preparedness, and readiness assurance activities are initiated, completed, and repeated in a timely and efficient manner? Ref. EC P 2.6	
3.1.1.4 Are sites prepared to respond to SECON directives issued by DOE/NNSA HQ? Ref: DOE M 470.4-1, Attachment 2, Part 1, Section B, paragraph 3a.	
3.1.1.5 Is each facility/site prepared to implement the security measures in Attachment 3, "Protecting Department of Energy Facilities from Terrorist and Malevolent Acts" as applicable? Ref: DOE M 470.4-1, Attachment 2, Part 1, Section B, paragraph 3	
3.1.1.6 Do leased facilities owned by DOE/NNSA effectively integrate activities of the leased facility into the DOE/NNSA site-wide emergency management program? Ref. EC P2.17	
3.1.1.7 Are biosafety facility incident response plans integrated with the site-wide emergency management program? Ref. EC P2.18	
3.1.1.8 Is an emergency management document control system established that meets industry standards for document review, approval, distribution, and change control? Ref. EC P2.7	
3.1.1.9 Is development and approval of supporting documentation (e.g., Memoranda of Understanding (MOU), Memoranda of Agreement (MOA) accomplished; are periodic reviews and maintenance scheduled and conducted? Ref. EC P2.20	
3.1.1.10 Are emergency management documents controlled, available and current? Ref. EC P2.21	

<p>3.1.2.2 Are methods in place and implemented to remain appraised of current events and lessons learned and to utilize this information for continuous improvement?</p> <p>Is a site-wide corrective action program implemented and effective in correcting problems identified in the emergency management program? (Correction of findings and incorporation of lessons-learned are tracked, addressed, and verified)</p> <p>Ref. EC P2.22</p>	
<p>3.1.2.3 Are specific emergency management Order requirements related to administrative responsibilities and emergency management activity (i.e., planning, preparedness, readiness assurance) parameters/constraints monitored for compliance?</p> <p>Ref. EC P2.23</p>	
<p>3.1.2.4 For biosafety facilities, is the designated Responsible Official also the facility emergency management program administrator, who is responsible for implementing and maintaining the emergency management program?</p> <p>Is this designated administrator/official responsible for tasks that involve compliance with the requirements for the Select Agent rule(s) [i.e. Dept. of Health and Human Services regulation 42 CFR 73 and Department of Agriculture (USDA) regulations 7 CFR 331 and 9 CFR 121] and with existing DOE/NNSA emergency management policy as expressed in DOE O 151.1C?</p> <p>Ref. EC P2.3</p>	
<p>3.1.2.5 Have formal review and approval processes been established and documented to ensure that the planning and development of components of the emergency management program (e.g., planning analyses, plans and procedures, supporting documentation) receive sufficient oversight by staff, management and DOE elements to ensure consistency, correctness, and completeness?</p> <p>Ref. EC P 2.5</p>	
<p>3.1.2.6 Does the designated Program Administrator have authority and resources, commensurate with responsibilities assigned, as well as access to top-level management?</p> <p>Ref: EC P 2.2</p>	

3.1.2.7 Are financial resource requirements identified and budgeted? Ref. EC P2.10	
3.1.2.8 Are facilities and equipment requirements identified, monitored, and acquired? Ref. EC P2.11	
3.1.2.9 Are personnel requirements identified and addressed? Ref. EC P2.12	
3.1.2.10 Are training, drills, exercises, and evaluation activities scheduled, conducted, monitored, and documented? Ref. EC P2.19	
3.1.3.1 If classified information or materials are being used or generated, are effective security procedures and controls implemented and are security reviews conducted? Ref. EC P2.9	
3.1.4.7 Are Emergency Action Plans in writing, kept in the workplace, and available to employees for review? Ref: 29 CFR 1910.38 b	
<b><i>Perform a walk-through of workplace areas to determine compliance with this requirement.</i></b>	
3.1.4.8 Does the Emergency Action Plan include: procedures for reporting fire or other emergencies; emergency evacuation, including type of evacuation and exit route assignments; procedures to account for all employees after evacuation; and procedures to be followed by employees performing rescue or medical duties? Ref: 20 CFR 1910.38 (c)	
3.1.5.2 Are emergency plans and procedures developed, verified, validated, reviewed periodically and updated as necessary? Ref. EC P2.13	
3.1.6.1 Is an auditable administrative program established and reliably maintained for ensuring the availability of vital records essential to the continued functioning or reconstitution of an organization during or after an emergency, regardless of media? Ref. EC P2.8	

<b>3.5 Element: 4. Emergency Training and Drills</b>	
<b>3.5.1. Description</b>	
<b>A comprehensive, coordinated, and documented program of training and drills must be an integral part of the emergency management program to ensure that preparedness activities for developing and maintaining program-specific emergency response capabilities are accomplished. (4.1.1)</b>	
Reference DOE Order 151.1C, Chapters III and IV and Attachment 2, Contractor Requirements Document, Section 5	
Reference Emergency Management Guide, DOE G 151.1-1, Part 1, Volume III, Section 2	
Reference Emergency Management Guide DOE G 151.1-1, Part 1, Volume III, Appendix D, Evaluation Criteria	
<b>3.5.2. Typical Compliance Problems</b>	
Line management at some sites (in particular those with multiple contractors [prime and subcontractors]) has not adequately supported the emergency management training function.	
Minimum training and drill requirements have not been defined for all ERO members.	
Minimum training prerequisites for ERO position assignments are not documented.	
Training requirements for offsite emergency support organizations, such as hospitals and mutual aid assets are not documented.	
Training requirements for transportation events have not been documented.	
No annual requalification training is specified.	
Training records are incomplete.	
Lesson plans and training materials are not formally documented and maintained.	
Training requirements are not consistent with the site hazards. Changes in site hazards are frequently not provided to the training organization to evaluate the sufficiency of the training programs.	
New plans and procedures are implemented before the development and implementation of training.	
New plans and procedures are provided with an implementation date that provides insufficient time to develop training.	
Matrices are not developed identifying the training necessary for each position.	
Training is not formally reviewed annually.	
Student feedback is infrequently used to update the courseware.	
Drills are not used as a source of lessons learned or as part of a feedback and improvement program.	
Drill packages are incomplete. Frequently, they are missing the objectives to be demonstrated and an evaluation component.	
Student feedback, actual events, and exercise results are not used to update the drill packages.	
Persons assigned as alternates are less likely to participate in drills to maintain proficiency	
New ERO members are assigned without notification of the emergency management training organization, thus resulting in untrained persons staffing ERO positions.	
Documentation on both onsite and offsite instructors is not maintained to include qualifications, experience, and courses they are authorized to teach.	
<b>3.5.3. Instructions to Evaluator:</b>	
<b>DOCUMENT/RECORDS REVIEW</b>	<b>NOTES</b>
<i>Review the site/facility emergency plan and procedures sections pertaining to training and drills.</i>	

<i>Review ERAP pertaining to training &amp; drills.</i>	
<i>Review training program plan for emergency response.</i>	
<i>Review records of training.</i>	
<i>Review a sample of training courses to verify requirements for training course development, required content and documentation.</i>	
<i>Review a representative sampling of drill packages to determine requirements for drill development, content areas and documentation have been met.</i>	
<i>Review MOA/MOUs with offsite response organizations.</i>	
<b>4.1.1 Is there a comprehensive, coordinated, and documented program of training and drills that is an integral part of the emergency management program to ensure that preparedness activities for developing and maintaining program-specific emergency response capabilities are accomplished? Ref. DOE O 151.1 C, CRD Section 5</b>	
4.1.1.1 Do the Plan/Procedures and Training Program Plan comprehensively and systematically lay out a program for accomplishing emergency management training goals? Ref. EC P3.1	
4.1.1.2 Does the Training Program Plan include training objectives, target audience, an outline and schedule of training, resources and facilities, organizational responsibilities, and training program administration? Ref. EC P3.1	
4.1.1.3 Does the Training Program provide a current and structured view of program-specific training requirements? Ref. EC P3.3	
4.1.1.4 Are training requirements clearly stated for key emergency management positions and response teams, including 1) Initial training and annual refresher training; 2) Refresher training when hazards or plans and implementing procedures change; and 3) Demonstration of proficiency through testing and drills? Ref. EC P3.2	
4.1.1.5 Is there a detailed list of courses and drills provided by the emergency management program? Ref. EC P3.3	



4.1.1.6 Have matrices been developed and maintained for identifying and implementing required training topics and courses versus the ERO positions? Ref. EC P3.3	
4.1.1.7 Do administrative program records provide the source for identifying qualified instructors, training material approval authority, and qualification signature authority? Ref. EC P3.4	
4.1.1.8 Are training records maintained for all personnel assigned ERO positions, primary and alternate, showing in-progress, final and upcoming re-qualification status? Ref. EC P3.20	
4.1.1.9 Are lesson plans, training materials and facilities, instructor and student materials, and training software maintained, formally documented, and included in an index or matrix? Ref. EC P3.19	
4.1.1.10 Does the program plan define minimum program standards for: Training required for each position (i.e., certain courses must be completed); Proficiency (e.g., minimum grades on tests, how prior experience is credited); Performance (i.e., acceptable performance during drills, exercises, or actual events); and retraining, and re-validation? Ref. EC P3.5	
4.4.1.1 Are training courses performance-based, customized to program-specific ERO positions, containing learning objectives, and having testing as a final validation of satisfactory completion? Ref. EC P3.7	
4.5.1.1 Are drill plans, training materials and facilities, instructor and student materials, and training software maintained, formally documented, and included in an index or matrix? Ref. EC P3.19	
4.5.1.2 Is drill and exercise participation and performance documented for each member of the ERO. Ref. EC P3.21	
<b>Observations by Evaluators</b>	<b>Notes</b>
<i>Interview personnel with responsibility for development and conduct of emergency management training. Verify applicable documentation for each criterion.</i>	

<i>Interview personnel in emergency responder positions concerning training received and drill participation.</i>	
<i>If the opportunity exists, observe conduct of a drill session. In any case, interview personnel with responsibility for developing and conducting emergency management training drills.</i>	
4.1.1.11 Is the training program reviewed and updated periodically, or as required, based on changes in related emergency plans/procedures? Ref. EC P3.3	
<p><b>4.2.1 Does the organization provide initial training and periodic drills to all workers who may be required to take protective actions (e.g., shelter-in-place; assembly, evacuation)? (This training is required when they are employed, when their expected actions change, or when the emergency plan changes.)</b></p> <p><b>Does the organization provide refresher training 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?</b></p> <p><b>Does the organization make available emergency-related information and training on site-specific conditions and hazards to offsite personnel who may be required to participate in response to an emergency at the DOE/NNSA site/facility?</b> Ref. DOE O 151.1 C, CRD Section 5a(1) and 5a(2), 5a(3)</p>	
4.2.1.1 Are initial training and periodic drills provide to all workers who may be required to take protective actions? Is this training required and provided when they are employed, when their expected protective actions change, or when the emergency plan changes? Ref. EC P3.10	
4.2.1.2 Is refresher training provided annually to certified operators and supervisors, and those workers who are likely to witness a hazardous materials release and who are required to notify proper authorities of the release? Ref. EC P3.11	

<p>4.2.1.3 Does refresher training include details of program changes and lessons-learned from actual events, exercises, DOE and industry operating experience, and program evaluations? Ref. EC P3.8</p>	
<p>4.2.1.4 Is the emergency management training program effectively integrated and coordinated with related training programs provided by other organizations? Ref. EC P3.6</p>	
<p>4.2.1.5 Are employees designated and trained to assist in a safe and orderly evacuation of other employees? Is the emergency action plan reviewed with each employee covered by the plan: when the plan is developed; when the employee is initially assigned a job; when responsibilities change under the plan; and when the plan changes? Ref: 20 CFR 1910.38 (e) and (f)</p>	
<p><b>4.3.1 Has the contractor at DOE/NNSA Operational Emergency Hazardous Material Program facilities also established a coordinated program of training and drills for developing and/or maintaining specific emergency response capabilities as an integral part of the emergency management program? (The program must apply to emergency response personnel and organizations that the site/facility expects to respond to onsite emergencies. Emergency-related information must be available to offsite response organizations. The program must consist of self-study/homework, training, and drills.)</b> <b>Ref. DOE O 151.1 C, CRD Section 5b</b></p>	
<p>4.3.1.1 Is special team training conducted for functional groups, in particular those with technical and management team assignments? Ref. EC P3.13</p>	
<p>4.3.1.2 Does training emphasize the need for prompt, accurate, and practical judgments involving event categorization and classification, protective actions, and the urgency of notifications of Operational Emergencies (OE)? Ref. EC P3.14</p>	

<p>4.3.1.3 Is EAL training conducted periodically to improve the proficiency of ERO decision-makers in timely and conservative classification of OEs, including decision-making when information is incomplete or uncertain and for events and conditions that are not covered explicitly by the EALs? Ref. EC P3.14</p>	
<p>4.3.1.4 Do ERO personnel authorized for initial classification and protective action decision-making validate their proficiency by participating in performance tests that employ hypothetical scenarios and available facility/site aids, such as EALs? Ref. EC P3.14</p>	
<p>4.3.1.5 Are offsite emergency response personnel and organizations, including state, local, tribal, or private hospitals, public health, medical, or ambulance services, that are expected to support onsite response efforts, offered training on facility- and site-specific emergency-related information, conditions, and hazards? Are they offered the opportunity to participate in training and drills validating procedures for response activities expected to involve integration of onsite and offsite response resources? Ref. EC P3.15</p>	
<p>4.3.1.6 Are training program requirements in accordance with the National Response Plan (NRP) and National Incident Management System (NIMS)? Ref. EC P3.9</p>	
<p><b>4.4.1 Has both initial training and annual refresher training been provided for the instruction of and demonstration of proficiency by all personnel (i.e., primary and alternate) comprising the ERO? Ref. DOE O 151.1 C, CRD Section 5b(1)</b></p>	
<p>4.4.1.2 Do employees who, in the course of their regular job duties, work with hazardous materials receive training on the hazards of specific hazardous substances, and who will be called upon to provide technical advice or assistance at a hazardous substance release incident to the individual in charge, receive training in the area of their specialty annually? Ref. 29 CFR 1910.120(q)</p>	

<p>4.4.1.3 Are employees engaged in response to hazardous emergency situations at hazardous waste cleanup sites that may expose them to hazardous substances trained in how to respond to such expected emergencies? Ref: 29 CFR 1910.120 e</p>	
<p>4.4.1.4 Is training provided for each responder at each awareness level based on functions and duties to objectively demonstrate necessary competencies? Is annual refresher training provided? Ref: 29 CFR 1910.120 (q)</p>	
<p>4.4.1.5 Do trainers for hazardous material emergency response have recognized training and credentials necessary to demonstrate instructional skills and good command of subject matter? Ref: 29 CFR 1910.120 (q) (7)</p>	
<p><b>4.5.1 Do drills provide supervised, "hands-on" training for members of EROs? Ref. DOE O 151.1 C, CRD Section 5b(2)</b></p>	
<p>4.5.1.3 Do scheduled drills include scenario-driven events that provide interface practice between the emergency response organization and site medical and security organizations? Ref. P 3.17</p>	
<p>4.5.1.4 Are drills developed or modified based upon feedback from actual events, exercise evaluations, and self-assessments, or to validate new or revised procedures and equipment modifications? Ref. EC P 3.18</p>	

<b>3.6 Element: 5. Emergency Management Exercises</b>	
<b>3.6.1. Description</b>	
A formal exercise program must validate all elements of an emergency management program over a 5-year period. (5.1.1)	
The exercise program must validate facility- and site-level emergency management program elements by initiating response to simulated, realistic emergency events/conditions in a manner that, as nearly as possible, replicates an integrated emergency response to an actual event. (5.1.2)	
Planning and preparation must use an effective, structured approach that includes documentation of specific objectives, scope, time lines, injects, controller instructions, and evaluation criteria for realistic scenarios. (5.1.3)	
Each exercise must be conducted, controlled, evaluated, and critiqued effectively and reliably. (5.1.4)	
Lessons-learned must be developed, resulting in corrective actions and improvements. (5.1.5)	
Reference DOE Order 151.1C, Chapters III and IV and Attachment 2, Contractor Requirements Document, Section 6	
Reference Emergency Management Guide, DOE G 151.1-1, Part 1, Volume III, Section 3, Exercises	
Reference Emergency Management Guide DOE G 151.1-1, Part 1, Volume III, Appendix D, Evaluation Criteria	
<b>3.6.2. Typical Compliance Problems</b>	
Inadequate training for controllers and evaluators.	
Staging of props and positioning of controllers/evaluators was not complete before exercise initiation.	
Scenario confidentiality was compromised--players had prior knowledge of the scenario.	
Controllers prompting players.	
Observers were not properly controlled and were seen talking to or assisting players.	
Evaluators did not have sufficient knowledge of areas being evaluated.	
Insufficient evaluator staffing of the exercise.	
Approved exercise simulations were not pre-identified.	
Exercise critique was not sufficiently objective and detailed.	
Exercise scenario did not support demonstration of all objectives.	
Evaluation criteria did not enable evaluator to determine if objectives were met.	
Exercise objectives were not clearly stated, measurable, or attainable.	
Objectives were not developed for all participating organizations.	
<b>3.6.3. Instructions to Evaluator:</b>	
<b>DOCUMENT/RECORDS REVIEW</b>	<b>NOTES</b>
<i>Review the site/facility emergency plan and procedures for exercise planning.</i>	
<i>Review exercise records and the ERAP for compliance with requirements to conduct exercises and integrate results with overall planning and preparedness activities., exercise plans (EXPLANS), Exercise Evaluation Reports and any other related records.</i>	

<p><i>Review EXPLAN) and Exercise Evaluation Reports (After-Action Reports) as well as any Corrective Action Plans generated from findings.</i></p>	
<p><i>Resolve any issues of missing, incomplete, or unclear documentation in the interview/observation phases of the inspection.</i></p>	
<p><b>5.1.1 Does the site/facility have in place a formal exercise program to validate all elements of an emergency management program over a five-year period? Ref: DOE O 151.1C, Attachment 2, CRD, Section 6</b></p>	
<p>5.1.1.1 Does the formal exercise program include validation of elements of the emergency management program over a 5-year period?</p> <p>Does this include a plan (e.g. a matrix) for validating all the elements of each program by incorporating specific objectives in exercises over the 5-year period?</p> <p>Does the exercise program also include provisions for incorporating objectives in each exercise that are designed to validate revised plans/procedures, implemented corrective actions, and program improvements?</p> <p>Does the exercise program include provisions for evaluating all exercises and establish a critique process that includes gathering and documenting observations of participants? Ref. EC P4.1</p>	
<p><b>5.1.3 Does exercise planning and preparation use an effective, structured approach that includes documentation of specific objectives, scope, time lines, injects, controller instructions, and evaluation criteria for realistic scenarios? Ref: DOE O 151.1C, Attachment 2, CRD, Section 6</b></p>	
<p>5.1.4.1 Are provisions for safety, security, and public/media interface clearly identified and documented? Ref. EC CE4.12</p>	
<p><b>5.1.5 Are lessons-learned developed, resulting in corrective actions and improvements? Ref: DOE O 151.1C, Attachment 2, CRD, Section 6</b></p>	

<p><b>5.3.2 Does each exercise have specific objectives and is it fully documented (e.g., in scenario packages that include objectives, scope, timelines, injects, controller instructions, and evaluation criteria)?</b>  <b>Ref. DOE O 151.1C Attachment 2 (CRD), Sec. 6b.</b></p>	
<p>5.3.2.1 Is the scenario consistent with the set of exercise objectives, explicitly supporting an evaluation/validation of each objective?                  Ref. EC CE4.6</p>	
<p><b>5.3.7 Are annual emergency response exercises supported by documentation that contains, but is not limited to, the exercise scope, its objectives and corresponding evaluation criteria, a narrative description of the scenario, timeline, and a list of participants? Is such documentation for site exercises approved by the Cognizant Field Element?</b>  <b>Ref. DOE O 151.1 C Attachment 2, CRD Sec. 6b(4)</b></p>	
<p>5.3.7.1 Are exercises fully documented by an EXPLAN that includes: specific exercise objectives, scope, scenario, participants, simulations, time lines, inject messages, technical data, safety and security provisions, controller instructions, and evaluation criteria.                  Ref EC CE4.2</p>	
<p>5.3.7.2 Does the EXPLAN contain sufficient information for effective conduct, control and evaluation of the exercise?                  Are roles, responsibilities, and interfaces among exercise participants (i.e., players/responders, controllers, evaluators, and observers) clearly addressed?                  Are the provisions for exercise conduct and control and evaluation clearly identified?                  Are provisions for exercise evaluation clearly identified?                  Ref. EC CE4.4</p>	
<p><b>Observations by Evaluators</b></p>	<p><b>Notes</b></p>
<p><i>Interview personnel with responsibility for managing the emergency management exercise program. Verify applicable documentation for each criterion.</i></p>	
<p><i>Verify compliance with other DOE and non-DOE requirements applicable to emergency management exercise programs.</i></p>	



<p><i>Also identify any other Federal, state, tribal and local requirements or agreements pertaining to emergency training and drills with which the site/facility must comply. Provide references regarding implementation in adjacent columns.</i></p>	
<p><i>Observe conduct of an exercise. Support determination of compliance with exercise conduct requirements through interviews and review of exercise records.</i></p>	
<p><b>5.1.2 Does the exercise program validate facility- and site-level emergency management program elements by initiating response to simulated, realistic emergency events/conditions in a manner that, as nearly as possible, replicates an integrated emergency response to an actual event?</b>  <b>Ref: DOE O 151.1C, Attachment 2, CRD, Section 6</b></p>	
<p>5.1.2.1 Does the exercise program involve testing emergency response capabilities by initiating response to simulated, realistic emergency events/conditions in exercises of varying scope over the 5-year period? The following terminology should describe the exercises conducted:</p> <p><u>Facility Operations-Based Exercise</u> - A facility or group of facilities (i.e., with common facility-level ERO positions) annually tests the proficiency of personnel in facility-level ERO positions in accomplishing facility-specific emergency response duties and responsibilities.</p> <p><u>Site Operations-Based Exercise</u> – Tests at least annually the integrated emergency response capabilities of personnel in facility- and site-level ERO positions. Includes both facility- and site-level evaluation and critique. For multi-facility sites, the basis for the exercise is rotated among facilities or groups of facilities.</p> <p><u>Full Participation Operations-Based Exercise</u> - A site-level exercise is considered full participation if offsite organizations participate. Offsite response organizations are invited to participate in a site-level exercise at least once every 3 years.                  Ref. EC P4.2</p>	

5.1.2.2 Does the site/facility demonstrate adherence to OE notification and reporting requirements in all emergency management exercises? Ref. DOE O 151.1C, Chapter VIII, Section 3	
5.1.2.3 Does the site/facility demonstrate adherence to OE notification and reporting requirements in the observed emergency management exercise? Ref. DOE O 151.1C, Chapter VIII, Section 3	
<b>5.1.4 Is each exercise conducted, controlled, evaluated, and critiqued effectively and reliably?</b> <b>Ref: DOE O 151.1C, Attachment 2, CRD, Section 6</b>	
5.1.4.2 Are simulations and limitations pertaining to participants and exercise activities clearly identified and documented? Ref. EC CE4.10	
5.1.4.3 Do injects/messages contain accurate, unambiguous, and non-prompting information and technical data for the players/responders and provide proper direction for the exercise? Ref. EC CE4.11	
5.1.4.4 Are provisions for safety, security, and public/media interface clearly identified and documented? Ref. EC CE4.12	
5.1.4.5 Does coordination among participants include provisions for exercise initiation, interruption and termination? Ref. EC CE4.13	
5.1.4.6 Are controllers and evaluators provided generic and exercise-specific training? Ref. EC CE4.14	
5.1.4.7 Are controllers and evaluators provided training on the scenario package and safety and security/safeguards provisions? Ref. EC CE4.15	
5.1.4.8 Are preparations, including participant briefings, safety provisions, staging of simulation props, positioning of controllers/evaluators, and establishing of initial conditions completed prior to exercise initiation? Ref. EC CE 4.16	
5.1.4.9 Is security of the exercise scenario properly managed, and is pre-staging of players and/or prior knowledge of scenario material by players effectively prevented? Ref. EC CE4.17	

5.1.4.10 Are controller organizations adequately staffed and positioned for effective exercise conduct/control? Ref. EC CE4.18	
5.1.4.11 Do controllers conduct/control the exercise in accordance with the exercise plan package? Ref. EC CE 4.19	
5.1.4.12 Do controllers permit free play when free play would not interfere with the scenario? Ref. EC CE4.20	
5.1.4.13 Do controllers prevent interference and/or prompting by non-responders? Ref. EC CE4.21	
5.1.4.14 Is simulation of activities sufficiently realistic to provide confidence that the activity could have been performed during a real emergency? Ref. EC CE4.22	
5.1.4.15 Do players/responders perform their respective functions, initially and throughout the exercise in a professional manner as if the situation were an actual emergency? Ref. EC CE4.23	
<b>5.2.1 Does the contractor, at a minimum, conduct building evacuation exercises consistent with Federal regulations [e.g., (41 CFR 102-74-360)], local ordinances, and National Fire Protection Association Standards? Are such exercises conducted at least annually to ensure that employees are able to evacuate their work area safely? Ref. DOE O 151.1C Attachment 2, CRD, Sec. 6a(1)</b>	
<b>5.2.2 Are communications systems with DOE Headquarters, the Cognizant Field Element, and offsite agencies tested at least annually (or as often as needed) to ensure that communications systems are operational? Ref. DOE O 151.1C Attachment 2, CRD Sec. 6a(2)</b>	
<b>5.3.1 Has the contractor at DOE/NNSA Operational Emergency Hazardous Material Program facilities established a formal exercise program to validate all elements of the emergency management program over a 5-year period? Ref. DOE O 151.1C Attachment 2, CRD Sec. 6b</b>	

5.3.1.1 Do specific exercise objectives provide the basis for evaluating/validating the performance of response capabilities by each participating organization? Ref. EC CE4.5	
<b>5.3.3 Are exercises evaluated? Is there an established critique process, which includes gathering and documenting observations of the participants? Are corrective action items identified as a result of the critique process incorporated into the emergency management program? Ref. DOE O 151.1C Attachment 2, CRD, Sec. 6b</b>	
5.3.3.1 Are exercise evaluation criteria facility-specific, based on existing plans and procedures, and correlated with the exercise objectives? Ref. EC CE4.7	
5.3.3.2 Are notifications and communications evaluated during every exercise? Ref. EC CE4.29	
5.3.3.3 Is the evaluator organization sufficiently staffed to evaluate performance and key decision-making of the responders in satisfying the exercise objectives. Ref. EC CE4.24	
5.3.3.4 Do evaluators display familiarity with responder organizations, functions, procedures, and anticipated responder decisions and response activities? Ref. EC CE4.25	
5.3.3.5 Are responders/players evaluated with respect to demonstrated proficiency of their respective responsibilities and functions, communication and coordination with other responders, familiarity and use of procedures and equipment, and overall professional response? Ref EC CE4.26	
5.3.3.6 Are facilities and equipment evaluated with respect to adequacy of functions and operability? Ref. EC CE4.27	
5.3.3.7 Are procedures evaluated with respect to their use by responders, including adequacy of content? Ref. EC CE4.28	

<p>5.3.3.8 Did controllers conduct a post-exercise critique to gather and document observations and solicit feedback from players/responders? Ref. EC CE4.30</p>	
<p>5.3.3.9 Was a formal critique process conducted by the controller/evaluator organization to determine whether individual exercise objectives were accomplished based on a synthesis of all the observations and information/data gathered during the conduct of the exercise? Ref. EC CE4.31</p>	
<p><b>5.3.4 Does the facility exercise its emergency response capability annually and include at least facility-level evaluation and critique. Are evaluations of annual facility exercises by Departmental entities (e.g., Cognizant Field Element, Program Secretarial Officer or Headquarters Office of Security and Safety Performance Assurance) performed periodically so that each facility has an external Departmental evaluation at least every three years? Ref. DOE O 151.1C Attachment 2, CRD Sec. 6b(1)</b></p>	
<p>5.3.4.1 Does the schedule of exercises include: Security scenario events in order to test the interfaces between site security and the facility/site Emergency Response Organization (ERO)? Ref. EC P4.3</p>	
<p><b>5.3.5 Do site-level ERO elements and resources participate in a minimum of one exercise annually? Is this site exercise designed to test and demonstrate the site's integrated emergency response capability? For multiple-facility sites, is the basis for the exercise rotated among facilities? Ref.: DOE O 151.1C, Attachment 2, CRD section 6b(2)</b></p>	
<p><b>5.3.6 Are offsite response organizations invited to participate in site-wide exercises at least once every three years? Ref: DOE O 151.1C Attach 2, CRD Sec. 6b(3)</b></p>	
<p>5.3.6.1 Is exercise planning effectively coordinated among onsite and offsite organizations or groups regarding their respective participation and exercise objectives? Are any limitations or simulations regarding their participation identified and documented? Ref. EC CE4.1</p>	

<p>5.3.7.3 Does the site/facility complete the exercise package and provide to DOE or NNSA line management and the DOE Director of Emergency Operations in sufficient time before the conduct of the exercise to allow for review and comments by DOE or NNSA line management and the DOE Director of Emergency Operations? Ref. EC CE4.3</p>	
<p>5.3.7.4 Does the scenario reflect current facility-specific hazards, correlate technically with the facility EPHA, and is it technically accurate in terms of operations and radiological, chemical, biological and meteorological data? Ref. EC CE4.8</p>	
<p>5.3.7.5 Is technical data that supports the scenario (e.g., operational, radiological, chemical, biological, medical, meteorological) technically accurate and clearly and unambiguously presented? Ref. EC CE4.9</p>	
<p><b>5.3.8 Are Evaluation Reports (After-Action Reports) for facility and site exercises completed within 30 working days and submitted to the Cognizant Field Element, the Program Secretarial Officer(s), and the Director, Office of Emergency Operations? Ref. DOE O 151.1 C Attach 2, CRD Sec. 6b(5)</b></p>	
<p>5.3.8.1 Does an After-Action Report document the results of the exercise critique and evaluation? Ref. EC CE4.32</p>	
<p><b>5.3.9 Are corrective action plans developed within 30-working days of receipt of the final evaluation report? (Corrective actions must be completed as soon as possible. Corrective actions addressing revision of procedures or training of personnel should be completed before the next annual self-assessment of the program.) Ref. DOE O 151.1C, Attach 2, CRD Sec. 6b(6)</b></p>	

<p><b>5.3.10 Do correction actions include a verification and validation process, independent of those who performed the corrective action?</b>  <b>Does that process validate that the corrective action has been put in place and is effective in resolving the original finding?</b></p> <p><b>Are corrective actions addressing revision of procedures or training of personnel completed before the next annual self-assessment of the program?</b>  <b>Ref. DOE O 151.1C, Attachment 2, CRD, Section 6b(7)</b></p>	
<p>5.3.10.1 Are failed objectives of an exercise, as determined by a DOE or NNSA organization responsible for the exercise, re-evaluated during a drill or through a selected functional test within a fixed time period following the exercise?  Ref. EC P 4.7</p>	
<p><b>5.3.11 Are exercises of each of the Department's radiological emergency response assets conducted at least once every three years. These assets include the Accident Response Group (ARG), Nuclear Emergency Support Team (NEST), Federal Radiological Monitoring and Assessment Center (FRMAC), Aerial Measuring System (AMS), National Atmospheric Release Advisory Center (NARAC), Radiation Emergency Assistance Center/Training Site (REAC/TS), and Radiological Assistance Program (RAP).</b>  <b>Ref. DOE O 151.1C, Attachment 2, CRD, Section 6b(8)</b></p>	
<p><i>(For compliance of assets' emergency management programs; for all other site/facility programs, see 5.18.1)</i></p>	
<p>5.3.11.1 Does the schedule of exercises include: Periodic participation by appropriate DOE or NNSA radiological response assets if the facility plans to use the assets in response to a facility emergency?  Ref. EC P4.3</p>	

<b>3.7 Element: 6. Readiness Assurance</b>	
<b>3.7.1. Description</b>	
<p>The emergency management Readiness Assurance Program must establish a framework and associated mechanisms for assuring that emergency plans, implementing procedures, and resources are adequate by ensuring that they are sufficiently maintained, exercised, and evaluated (including assessment and appraisal) and that appropriate and timely improvements are made in response to needs identified through coordinated and comprehensive emergency planning, resource allocation, training and drills, exercises, and evaluations. (6.1.1)</p>	
Reference DOE Order 151.1C, Chapter IV and Attachment 2, Contractor Requirements Document, Section 7	
Reference Emergency Management Guide, DOE G 151.1-1, Part 1, Volume III, Section 4, Readiness Assurance	
<b>3.7.2. Typical Compliance Problems</b>	
Site/facility does not perform annual self-assessments of their emergency management program based on the specific standards and criteria issued by DOE HQ Office of Emergency Operations.	
Site/facility does not participate in the no-notice exercise program.	
Corrective action plans are not developed within 30 days of receipt of the final evaluation report, are incomplete, or have factual errors.	
Corrective action plans have not been verified and validated to ensure the corrective action has been effective in addressing the original finding.	
Records, such as equipment and facility test and maintenance records, staff training and qualification records, or exercise results and findings that form part of the basis for evaluation and improvement programs have factual errors, are internally inconsistent, or are not maintained current.	
Emergency Readiness Assurance Plan (ERAP) is incomplete or has factual errors.	
Emergency Readiness Assurance Plan (ERAP) is not updated annually or lacks necessary coordination.	
<b>3.7.3. Instructions to Evaluator:</b>	
<b>DOCUMENT/RECORDS REVIEW</b>	<b>NOTES</b>
<i>Review documentation and records relating to the emergency management evaluation program.</i>	
<i>Review documentation and records related to the emergency management improvements program.</i>	
<i>Review training program plan and training records for information applicable to readiness assurance activities.</i>	
<i>Review exercise program planning documents and records, including exercise findings.</i>	
<i>Review ERAP and documentation of program reviews (internal and external), corrective actions, and documents that track findings and corrective actions, including a process to verify and validate results.</i>	



<p><b>6.4.1 ERAP - Has the site/facility submitted an ERAP to the Cognizant Field Element by September 30 of each year?</b></p> <p><b>In keeping with 31 U.S.C. 1115 and 1116, did this report identify what the goals were for the fiscal year that ended, coincident with the due date for this report (e.g., September 30), and the degree to which these goals were accomplished?</b></p> <p><b>Did this report also identify the goals for the next fiscal year (e.g., which starts on October 1)?</b></p> <p><b>Ref: DOE O 151.1C, Attachment 2, CRD, Section 7c</b></p>	
<p>6.4.1.1 Does the ERAP highlight program status, including significant changes in emergency management programs (i.e. planning basis, organization, facility mission, exemptions) and comparison of previous ERAP goals, milestones and objectives to accomplishments?</p> <p>Ref. EC P5.20</p>	
<p>6.4.1.2 Does the ERAP identify what the program goals were for the fiscal year that ended coincident with the due date for the report and the degree to which these goals were accomplished?</p> <p>Does the ERAP also identify the goals for the next fiscal year?</p> <p>Ref. EC P5.21</p>	
<p>6.4.1.3 Does the ERAP document evaluation of results and the status of associated corrective actions, including site/facility self-assessments and performance measures?</p> <p>Ref. EC P5.22</p>	
<p>6.4.1.4 Does the ERAP contain a sufficient level of accurate information and analysis to provide management at all levels with adequate tools for gauging emergency management program readiness?</p> <p>Ref. EC P5.23</p>	
<p>6.4.1.5 Are accurate site (i.e. facilities consolidated into one site document) ERAPs developed and submitted to the responsible DOE Cognizant Field Elements?</p> <p>Ref. EC P5.24</p>	
<p><b>Observations by Evaluators</b></p>	<p><b>Notes</b></p>
<p><b><i>Interview individual with overall responsibility for managing the emergency management program.</i></b></p>	

<p><i>Interview facility emergency management personnel on sites with multiple facilities to determine effectiveness of site-wide emergency readiness assurance program integration.</i></p>	
<p><i>Also identify any other Federal, state, tribal and local requirements or agreements pertaining to readiness assurance with which the site/facility must comply. Provide references regarding implementation in adjacent columns.</i></p>	
<p><i>If possible, observe conduct of a training session, a drill, and an exercise. Support determination of compliance with readiness assurance requirements for these program areas through observations and interviews.</i></p>	
<p><b>6.1.1 Has the site/facility established an emergency management Readiness Assurance Program having a framework and associated mechanisms for assuring that emergency plans, implementing procedures, and resources are adequate by ensuring that they are:</b></p> <p><b>Adequately maintained, exercised, and evaluated (including assessment and appraisal)?</b></p> <p><b>And that appropriate and timely improvements are made in response to needs identified through coordinated and comprehensive emergency planning, resource allocation, training and drills, exercises, and evaluations?</b></p> <p><b>Ref: DOE O 151.1C, Attachment 2, CRD, Section 7</b></p>	
<p><b>6.1.1.1 Is there established a program for the identification and protection of vital records, those records needed by agencies for continuity of operations?</b></p> <p>Ref: 36 CFR 1236, Management of Vital Records, Chapter XII, Subpart A and B</p>	
<p><b>6.1.2 Has the DOE/NNSA contractor implemented a Readiness Assurance Program consisting of evaluations, improvements and ERAPs.</b></p> <p><b>Ref: DOE O 151.1C, Attachment 2, CRD, Section 7</b></p>	

<p>6.1.2.1 Has the contractor implemented an effective formal and structured Readiness Assurance Program consisting of evaluation and improvement programs, and documentation of the readiness of the emergency management program based on emergency planning and preparedness activities and the results of the readiness assurance program (ie. in ERAPs)? Ref. EC P5.1</p>	
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<p><b>6.2.1 Evaluations - Self-assessments. Does the contractor conduct an annual self-assessment of their emergency management programs?</b></p> <p><b>Are program and exercise evaluations (including appraisals and assessments) based on specific standards and criteria, issued by the Director, Office of Emergency Operations?</b></p> <p><b>Are self-assessment results documented in the ERAP submitted to the Cognizant Field Element?</b></p> <p><b>Exercise Evaluations. See Exercise Criteria.</b></p> <p><b>Performance Indicators. Does the contractor site/facility participate in a program of performance indicators (including performance measures and metrics) to capture and track objective data regarding the performance of emergency management programs in key functional areas?</b></p> <p><b>No-Notice Exercises. Does the Contractor site/facility participate in a program of No-Notice Exercises (NNX), conducted at the discretion of the Director, Office of Emergency Operations, to determine if the facility/site Emergency Response Organization (ERO) accomplishes selected objectives based on applicable plans, procedures, and/or other established requirements?</b></p> <p><b>Is site/facility involvement limited to providing trusted agents and responding when the NNX is conducted?</b> <b>Ref: DOE O 151.1C, Attachment 2, CRD, Section 7a</b></p>	
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<p>6.2.1.1 Does the evaluation program assure that emergency plans, implementing procedures, and resources are adequate and sufficiently maintained, exercised, and evaluated. Ref. EC P5.2</p>	
<p>6.2.1.2 Self-evaluations:</p> <p>Is a self-assessment of the emergency management program conducted periodically by the facility or activity?</p> <p>Are findings (i.e. weaknesses or deficiencies) identified in all program and exercise evaluations?</p> <p>Are records maintained of readiness assurance self-evaluations (eg. program or exercise self-assessments) and any related findings? Ref. EC P5.4</p>	
<p>6.2.1.3 Are formal evaluation reports prepared that document evaluation results and specific findings? Ref. EC P5.6</p>	
<p>6.2.1.4 Does the site use performance indicators (including performance measures and metrics) to capture and track objective data regarding the performance of emergency management programs in key functional areas? Are the results shared with the Cognizant field element and Director Office of Emergency Operations? Ref. EC P5.7</p>	
<p>6.2.1.5 Does the site participate in NNX conducted at the discretion of the Director, Office of Emergency Operations, to determine if the ERO accomplishes selected objectives based on applicable plans, procedures, and/or other established requirements, and is site involvement limited to providing trusted agents and responding when the exercise is conducted? Ref. EC P5.8</p>	

<p>6.2.1.6 External evaluations: Are evaluation schedules coordinated with all involved organizations to minimize impacts and maximize benefits?</p> <p>Are evaluations schedules forwarded to the Doe HQ Director of Emergency Operations?</p> <p>Does the facility or activity makes available personnel responsible for developing or maintaining the emergency management program as well as associated program documentation during periodic external evaluations?</p> <p>Are findings (i.e. weaknesses or deficiencies) identified in all external program and exercise evaluations?</p> <p>Are evaluated findings from program and exercise evaluations acknowledged with an established time period of receipt of the findings and do they include a corresponding corrective action plan?</p> <p>Ref. EC P5.5</p>	
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<p><b>6.3.1 Improvements - Corrective Actions.</b>  <b>These requirements supplement those in the CRD to DOE O 414.1A, <i>Quality Assurance</i>.</b>  <b>Continuous improvement in the emergency management program results from implementation of corrective actions for findings (e.g., deficiencies, weaknesses) in all types of evaluations, including both internal and external evaluations.</b></p> <p><b>Are corrective action plans developed within 30-working days of receipt of the final evaluation report?</b></p> <p><b>Are corrective actions completed as soon as possible? Corrective actions addressing revision of procedures or training of personnel should be completed before the next annual self-assessment of the program.</b></p> <p><b>Does completion of corrective actions include a verification and validation process, independent of those who performed the corrective action, that verifies that the corrective action has been put in place, and validates that the corrective action has been effective in resolving the original finding?</b></p> <p><b>See Exercise Criteria for corrective actions related to findings from exercise evaluations.</b></p> <p><b>Does the readiness assurance program include a system for incorporating and tracking lessons learned from training, drills, actual responses as well as a site-wide lessons learned program?</b></p> <p><b>Does the site/facility participate in the DOE/NNSA Corporate Lessons Learned Program?</b>  <b>Ref: DOE O 151.1C, Attachment 2, CRD, Section 7b</b></p>	
<p>6.3.1.1 Has the site/facility established an improvement program that provides assurances that appropriate and timely improvements are made in the emergency management program in response to needs identified through coordinated emergency planning, resource allocation, program assistance activities, evaluations, training, drills, and exercises?                  Ref. EC P5.9</p>	

<p>6.3.1.2 Does continuous improvement in the emergency management program result from implementation of corrective actions for findings in all types of evaluations, including both self-assessments and external evaluations? Ref. P5.10</p>	
<p>6.3.1.3 Are evaluated findings from program and exercise evaluations by organizations external to the facility acknowledged and include corresponding corrective action plans? Ref. EC P5.11</p>	
<p>6.3.1.4 Are corrective action plans developed within 30 working days of receipt of the final evaluation report? Ref. EC P5.12</p>	
<p>6.3.1.5 Are corrective actions completed as soon as possible and are corrective actions addressing revision of procedures or training of personnel completed before the next annual self-assessment of the program? Ref. EC P5.13</p>	
<p>6.3.1.6 Does completion of corrective actions include a verification and validation process, independent of those who performed the corrective action, that verifies that the corrective action has been put in place, and does it validate that the corrective action has been effective in resolving the original finding? Ref. EC P5.14</p>	
<p>6.3.1.7 Is closure of findings from program and exercise evaluations by organizations external to the facility validated by the evaluating organization? Ref. EC P5.15</p>	
<p>6.3.1.8 Do improvement programs prepare corrective action plans and establish and maintain a tracking system to monitor and verify correction of findings from all program and exercise evaluations, or from actual responses? Ref. EC P5.16</p>	
<p>6.3.1.9 Does the improvement program include a system for incorporating and tracking lessons learned from training, drills, actual responses, and a site-wide lessons learned program? Ref. EC P5.17</p>	



<p>6.3.1.10 Does an established improvement program ensure that relevant lessons learned (i.e. complex-wide; other non-DOE sources) are received at the facility, are reviewed for applicability, and incorporated in the emergency management program as appropriate? Ref. EC P5.18</p>	
<p>6.3.1.11 Does the site have an effective and reliable improvement program that is ensured through sustained management commitment to continuous improvement of the emergency management program? Ref. EC P5.19</p>	

<b>3.8 Element: 7. Emergency Response Organization</b>	
<b>3.8.1. Description</b>	
<p><b>An Emergency Response Organization (ERO), a structured organization with overall responsibility for initial and ongoing emergency response and mitigation, must be established and maintained for each facility/site. The ERO must establish effective control at the scene of an event/incident and integrate ERO activities with those of local agencies and organizations that provide onsite response services. An adequate number of experienced and trained personnel, including designated alternates, must be available on demand for timely and effective performance of ERO functions. (7.1.1)</b></p>	
Reference DOE Order 151.1C, Chapter IV and Attachment 2, Contractor Requirements Document, Section 8	
Reference Emergency Management Guide, DOE G 151.1-1, Part 1, Volume IV, Section 1, Emergency Response Organization	
Reference Emergency Management Guide DOE G 151.1-1, Part 1, Volume III, Appendix D, Evaluation Criteria	
<b>3.8.2. Typical Compliance Problems</b>	
The ERO chain of command between the Emergency Director and the Incident Commander is not fully documented. This may cause delay and/or confusion in responding to and mitigating an event.	
ERO staffing and organization are not analyzed and updated when changes occur in the hazards surveys and assessments. This may cause either over- or understaffing of key positions.	
The ERO is not adequately trained and has not been adequately tested in drills in exercises, resulting in a lack of proficiency in conducting emergency response operations.	
Personnel who receive initial notifications of an event in progress are slow in categorizing and classifying the event, resulting in a delay in applying adequate response resources to mitigate the event, and a delay in determining and implementing protective actions/recommendations.	
ERO resources identified in planning are shown to be inadequate for response to actual or simulated emergency events.	
ERO operations are not coordinated fully on and off-site, resulting in a shortfall in resources, duplication of effort, or poorly coordinated response operations.	
NIMS/ICS integration, on- and off-site is inadequate or poorly coordinated.	
<b>3.8.3. Instructions to Evaluator:</b>	
<b>DOCUMENT/RECORDS REVIEW</b>	<b>NOTES</b>
<i>Review the site/facility emergency planning hazards survey and assessment, emergency plan, and emergency plan implementing procedures.</i>	
<i>Review memoranda or agreements with offsite response organizations that may have a role in a response to an operational emergency.</i>	
<i>Review ERO rosters, including both primary and alternates.</i>	
<i>Review training program plan and training records to verify ERO preparedness activities.</i>	

<i>Review exercise program planning documents and records to verify ERO participation and performance.</i>	
<i>Review ERAP and documentation of program reviews (internal and external), corrective actions, and documents that track findings and corrective actions related to ERO performance.</i>	
<b>Observations by Evaluators</b>	<b>Notes</b>
<i>Interview individual with overall responsibility (Program Administrator) for managing the emergency management program, as well as those managers delegated individual responsibility for activities within the emergency management program, such as the Training Program Manager and Exercise Program Manager. Verify applicable documentation for each criterion.</i>	
<i>Interview facility emergency management personnel on sites with multiple facilities to determine effectiveness of site-wide program integration for ERO effectiveness.</i>	
<i>Verify compliance with other DOE and non-DOE requirements applicable to emergency management program ERO.</i>	
<i>Also identify any other Federal, state, tribal and local requirements or agreements pertaining to ERO with which the site/facility must comply. Provide references regarding implementation in adjacent columns.</i>	
<i>Observe conduct of training and drills, and an exercise. Support determination of compliance with program administration requirements for these program areas through observations and interviews.</i>	

<p><b>7.1.1 Has the site/facility established and maintained an ERO, a structured organization with overall responsibility for initial and ongoing emergency response and mitigation, for each facility/site?</b></p> <p><b>Does the ERO establish effective control at the scene of an event/incident and integrate ERO activities with those of local agencies and organizations that provide onsite response services?</b></p> <p><b>Are an adequate number of experienced and trained personnel, including designated alternates, available on demand for timely and effective performance of ERO functions?</b>  <b>Ref: DOE O 151.1C, Attachment 2, CRD, Section 8</b></p>	
<p><b><i>ERO Organization</i></b></p>	
<p>7.1.1.1 Is the organizational configuration of the ERO based on actual or potential emergency conditions.                  Ref. EC P/E6.1</p>	
<p>7.1.1.2 Are ERO requirements organized and implemented in accordance with DOE O 151.1 Attachment 2 Section 8?                  Ref: DOE O 151.1C, Attachment 2, CRD, Section 8</p>	
<p>7.1.1.3 Does the management structure of the response facility provide for collection and dissemination of accurate data, setting priorities, assigning work to functional groups, and keeping key emergency response staff abreast of emergency response status?                  Ref. EC P/E6.2</p>	
<p><b><i>ERO Activation and Staffing</i></b></p>	
<p>7.1.1.4 Is ERO activation is based on actual or potential emergency conditions?                  Ref. EC P/E6.7</p>	

<p>7.1.1.5 Does the site/facility ensure personnel availability on demand, ERO functions, the ongoing, standby staffing of ERO emergency facility positions and response teams is effectively accomplished:</p> <p>Using a technique such as duty-cycle or static roster to ensure that qualified personnel are available on-demand and properly assigned?</p> <p>Ensuring that sufficient trained personnel for initial and ongoing response, including designated alternates, are candidates for call-up in each functional area?</p> <p>Periodically reviewing ERO rosters for accuracy?</p> <p>Periodically reviewing and updating ERO personnel qualifications?</p> <p>Ref. EC P6.42</p>	
<p>7.1.1.6 Are communication systems used to activate both on shift and off shift emergency response personnel periodically tested to ensure their adequacy and reliability?</p> <p>Ref. EC P6.43</p>	
<p>7.1.1.7 Are initial response functions performed by on shift operations staff?</p> <p>Ref. EC P/E 6.8</p>	
<p>7.1.1.8 Is the ERO functionally staffed and activated in a timely manner?</p> <p>Are key emergency response facilities operational within an hour after declaration of an operational emergency?</p> <p>Ref. EC P/E6.9</p>	
<p>7.1.1.9 Is staffing of ERO positions following declaration of an operational emergency orderly, controlled and verifiable:</p> <p>Do personnel gain access to response stations without impediment?</p> <p>Are non-ERO personnel excluded from emergency response work areas?</p> <p>Are individuals in key response positions readily identifiable by other ERO staff?</p> <p>Ref. EC P/E6.10</p>	

7.1.1.10 Are procedures and/or checklists describing major activation and initial response activities of the ERO members used? Ref. EC P/E6.11	
<b><i>ERO Makeup and Proficiency</i></b>	
7.1.1.11 Are all personnel needed to perform duties, beyond those specified by 29 CFR 1910.120 for the first responder awareness level, during a response to any of a broad range of emergencies defined in the Hazards Survey or EPHA considered members of the ERO? Ref. EC P/E6.38.	
7.1.1.12 Are fully trained personnel assigned to facility and site level ERO positions to ensure adequate staffing for emergency response? Ref. EC P6.39	
7.1.1.13 Do all personnel assigned to facility and site level ERO positions demonstrate their proficiency in assigned positions through periodic participation in an exercise, an evaluated drill, or an actual response?  Do all primary and alternate personnel accomplish this participation on a rotating basis? Ref. EC P6.40	
7.1.1.14 Are an adequate number of experienced and trained personnel for initial and ongoing response, including designated alternates, available on demand for timely and effective performance of ERO functions? Ref. EC P6.41	
<b><i>ERO Transitions</i></b>	
7.1.1.15 Is the order of succession of management personnel responsible for managing the emergency in the absence of the primary designated emergency director clearly designated/implemented? Ref. EC P./E6.12	
7.1.1.16 Have extended operations been anticipated and planned for? Ref. EC P/E6.13	
<b>7.2.1 The contractor at all DOE/NNSA facilities must assign an individual (e.g., building or facility manager or similar position) to manage and control all aspects of the site/facility response. Ref: DOE O 151.1C, Attachment 2, CRD, Section 8a</b>	

<p>7.2.1.1 Is an individual trained to recognize, categorize and classify events and to conduct appropriate notifications available 24 hours a day, 7 days a week?</p> <p>Is this individual's authority unambiguous and clearly communicated throughout the ERO? Ref. EC P/E6.32</p>	
<p>7.2.1.2 Is an Emergency Director or equivalently titled individual in charge of the overall response, with authority to use necessary resources to mitigate the emergency? Ref. EC P/E6.3</p>	
<p>7.2.1.3 Does the Emergency Director have authority and responsibility to perform required functions, including initial activation of onsite response assets, notification of offsite authorities, and requests for offsite assistance, in accordance with the National Response Plan (NRP) and the National Incident Management System (NIMS)? Ref. EC P/E6.4</p>	
<p>7.2.1.4 Is the division of authority and responsibility between the incident commander and emergency director positions clearly established and maintained? Ref. EC P/E6.5</p>	
<p>7.2.1.5 Is control of operations, monitoring and repair teams clearly vested in a single ERO position or clearly defined between multiple ERO positions? Ref. EC P/E6.6</p>	
<p><b><i>ERO Operations/Management</i></b></p>	
<p>7.2.1.6 Does the emergency director adequately and effectively perform assigned functions, utilizing sufficient and practical knowledge of the affected facility and its operations, the emergency response team and its mission, and available tools and resources necessary to affect appropriate response and mitigate the emergency? Ref. EC P/E6.14</p>	
<p>7.2.1.7 Is the transfer of a command and control function to another emergency facility, within an emergency facility, or to a command external to the ERO or Incident Command System (ICS) completed in an orderly and formal manner and are ERO personnel are informed of the transfer? Ref. EC P/E6.15</p>	

<p>7.2.1.8 Does the fully staffed ERO establish effective internal and external interfaces with other agencies and organizations? External interfaces may include: local, state, tribal and federal agencies, and non-governmental groups such as concerned citizens and the media. Ref. EC P/E6.16</p>	
<p>7.2.1.9 Is an individual in the ERO assigned liaison responsibilities for coordinating with offsite agencies to ensure that effective communications are initiated and maintained during an emergency? Ref. EC P/E6.17</p>	
<p>7.2.1.10 Do members of the ERO:</p> <p>Perform roles, functions, and interfaces and in their use of emergency equipment, facilities, and resources in a timely, effective and efficient manner?</p> <p>Clearly acknowledge and understand authorities and responsibilities?</p> <p>Identify and access available response resources and as appropriate, take account of resource limitations and specific capabilities? Ref. EC P/E6.18</p>	
<p>7.2.1.11 Based on current knowledge of the situation, do the responsible ERO operations and technical support staff determine and implement a reasonable, well-planned course of action within their sphere of responsibility? Ref. EC P/E6.19</p>	
<p>7.2.1.12 When priority actions are identified, is tasking clearly made to emergency response staff and are actions followed through to completion? Ref. EC P/E6.20</p>	
<p>7.2.1.13 Do specialty groups supporting the response staff provide timely information to decision-making process? Ref EC P/E6.21</p>	
<p>7.2.1.14 Is adequate data obtained and analyzed to support operations staff in assessing and mitigating emergency events? Ref. EC P/E6.22</p>	
<p>7.2.1.15 Is information accurately and efficiently transmitted in an orderly and documented manner throughout the chain of command and between/within emergency facilities? Ref. EC P/E6.23</p>	



7.2.1.16 Is the use of acronyms, code words, convention and technical terminology addressed to ensure no misunderstandings related to response and associated data? Ref. EC P/E6.24	
7.2.1.17 Are periodic briefings provided on status of the emergency and current significant response priorities and activities? Ref. EC P/E6.25	
7.2.1.18 Are communications maintained with and is information provided regularly to DOE HQ emergency management team? Ref. EC P/E6.26	
<i>(For DOE/NNSA Assets (as applicable))</i>	
7.2.1.19 Does ERO management effectively coordinate state and DOE site requests for use of DOE/NNSA assets? Ref. EC P/E6.27	
7.2.1.20 Is an individual assigned liaison responsibilities with personnel representing DOE/NNSA assets involved in response to coordinate logistics, ensure that effective communications are initiated and maintained, and ensure that data exchanged using consistent units of measure? Ref. EC P/E6.28	
7.2.1.21 Are ERO personnel provided with adequate briefings on safety, operations, communications and hazards before being deployed? Ref. EC P/E6.29	
7.2.1.22 Is a Safety Officer designated and provided authority and responsibilities in accordance with this referenced requirement? Ref: 29 CFR 1910.120 (q)	
7.2.1.23 Are ERO teams debriefed upon return from assigned missions and their accomplishments, failures, exposures, and status information are recorded and made available to other teams and emergency facilities? Ref. EC P/E6.30	
7.2.1.24 Does the responsible individual properly authorize emergency response personnel to receive exposures in excess of site administrative limits or other Federal criteria for carrying out lifesaving or other emergency activities, when required? Ref. EC P/E6.31	
<b><i>Hazmat survey, sampling, and sample analysis teams</i></b>	

<p>7.2.1.25 Do teams implement survey and sampling procedures in a timely manner:</p> <p>Are field teams provided with adequate monitoring equipment and personal protective equipment (PPE) to accomplish field monitoring and plume tracking within and beyond the EPZ?</p> <p>Do teams correctly use protective equipment? Ref. EC P/E6.34.1</p>	
<p>7.2.1.26 Is the required equipment adequate, accessible, functional and calibrated? Ref. EC P/E6.34.2</p>	
<p>7.2.1.27 Do teams make effective use of maps or general arrangement drawings showing pre-determined and potential monitoring points? Ref. EC P/E6.34.3</p>	
<p>7.2.1.28 Are teams briefed on facility and meteorological conditions and exposure control procedures before deployment and when changes occur? Ref. EC P/E 6.34.4</p>	
<p>7.2.1.29 Do teams maintain effective communications to transmit accurate and timely readings and results to their team coordinator? Ref. EC P/E6.34.5</p>	
<p>7.2.1.30 Are field teams well-directed and effectively controlled by emergency response management who:</p> <p>Provide directions to survey specific areas?</p> <p>Provide directions to minimize hazardous material exposure by exiting high airborne and whole body dose areas or high concentration areas, when not actively engaged in sample and survey activities?</p> <p>Set exposure limits for survey and tracking teams, and solicit and record survey results? Ref. EC P/E6.34.6</p>	
<p>7.2.1.31 Do teams utilize proper survey equipment and log results accurately? Ref. EC P/E6.34.7</p>	
<p>7.2.1.32 Do teams collect samples, bag and mark them, and log results accurately and efficiently? Ref. EC P/E6.34.8</p>	

7.2.1.33 Are samples received, properly packaged, and labeled with information such as sample time and date, sample location, volumetric data, sample media, and sample or survey collection person's name? Ref. EC P/E6.34.9	
7.2.1.34 Are analysis procedures and equipment used to support processing of samples received, either properly analyzing the samples in the field or transporting them to a laboratory? Ref. EC P/E6.34.10	
7.2.1.35 Are analysis results promptly and accurately communicated to other emergency response organizations? Ref. EC P/E6.34.11	
<b><i>Security Staff</i></b>	
7.2.1.36 Are security procedures of protective forces for carrying out responsibilities during response to OEs promptly, safely, efficiently and effectively implemented? Ref. EC P/E6.35.1	
7.2.1.37 Is an ICS implemented for security emergencies in accordance with NIMS/ICS requirements? Ref. EC P/E6.35.2	
7.2.1.38 Is the response of protective force personnel and equipment characterized by effective command and control? Ref. EC P/E6.35.3	
7.2.1.39 Is access and egress control quickly and properly maintained for site/facility, and impacted areas and emergency response facilities? Ref. EC P/E6.35.4	
7.2.1.40 Do security practices facilitate timely movement and access of site/facility operating and response personnel (including offsite personnel) to required areas during emergency situations? Ref. EC P/E6.35.5	
7.2.1.41 Under emergency conditions, are material accountability and protection for Special Nuclear Material and other critical DOE assets handled in a timely and effective manner? Ref. EC P/E6.35.6	
7.2.1.42 Is common protocol for local law enforcement backup of the onsite security force used? (e.g. Use of deadly force, weapons employment, tactics, code words, radio frequencies, etc.) Ref. EC P/E6.35.7	

7.2.1.43 Does a mutual understanding of authorities and responsibilities, response plans, utilization of command and control facilities, and terminology enable site security to effectively coordinate and correlate response activities with other components of the ERO? Ref. EC P/E6.35.8	
<b><i>Fire/Rescue</i></b>	
7.2.1.44 Are fire/rescue personnel and equipment assembled and deployed to the scene of the emergency in a safe and timely manner? Ref. EC P/E6.36.1	
7.2.1.45 Do fire/rescue personnel take necessary precautions for contamination, exposure, heat and personal safety? Ref. EC P/E6.36.2	
7.2.1.46 Are search and rescue operations carried out in an efficient manner, coordinating their efforts with medical, industrial hygiene (IH), and health physics (HP) personnel? Ref. EC P/E6.36.3	
7.2.1.47 Are injured personnel properly extricated, immobilized and moved during search and rescue operations? Ref. EC P/E6.36.4	
7.2.1.48 When responding onsite, are both onsite and offsite fire personnel outfitted with the appropriate specialized equipment and supplies specific to the onsite hazards? Ref. EC P/E6.36.5	
<b><i>Repair/Maintenance</i></b>	
7.2.1.50 Are facility and field repair and maintenance activities are carried out in a timely and efficient manner? Ref. EC P/E6.37.1	
7.2.1.51 Are proper tools available for repair and maintenance activities and the procurement of replacement parts is expedited? Ref. EC P/E6.37.2	
7.2.1.52 Are emergency work order procedures used and is emergency tagging implemented? Ref. EC P/E6.37.3	
7.2.1.53 Do repair and maintenance activities include personnel protection and monitoring as well as coordination with support groups, such as HP, IH and chemistry personnel? Ref. EC P/E6.37.4	

<p><b>7.3.1 Does the contractor at DOE/NNSA Operational Emergency Hazardous Material Program facilities establish and maintain an ERO for each site/facility with overall responsibility for the initial and ongoing response to and mitigation of an emergency? Is control at the event/incident scene consistent with the NIMS/ICS, which integrates local agencies and organizations that provide onsite response services? Ref: DOE O 151.1C, Attachment 2, CRD, Section 8b</b></p>	
<p>7.3.1.1 Is an Incident Commander in charge at the event scene? Is control and coordination at the event/incident scene consistent with the NRP and the NIMS/ICS, which integrates local agencies and organizations that provide onsite response services? Is the ICS identified in the emergency plan and memoranda of understanding/agreement with local response organizations? Ref. EC P/E6.33.1</p>	
<p>7.3.1.2 Is the ICS organized in the five major functional areas of NIMS/ICS (Command, Operations, Planning, Logistics, and Finances and Administration)? Ref. EC P/E6.33.2</p>	
<p>7.3.1.3 Is the incident assessed and priorities established with life saving, safety, and incident stabilization receiving top priority? Ref. EC P/E6.33.3</p>	
<p>7.3.1.4 Are incident command strategic goals and tactical objectives clear and is a flexible action plan implemented? Ref. EC P/E6.33.4</p>	
<p>7.3.1.5 Does the incident command evolve from providing oral direction to the development of a written Incident Action Plan (IAP)? Ref. EC P/E6.33.5</p>	
<p>7.3.1.6 Does the incident command staff continually assess the situation, develop a mitigation strategy, and request additional assets as needed? Ref. EC P/E6.33.6</p>	
<p>7.3.1.7 Does incident command coordinate internal and external response assets in an effective manner? Ref. EC P/E6.33.7</p>	

<p>7.3.1.8 Is an ICS command post strategically located in a safe area where command control may take place safely and effectively? Ref. EC P/E6.33.8</p>	
<p>7.3.1.9 Is command post and staging area habitability periodically assessed and moved as necessary for safety purposes? Ref. EC P/E6.33.9</p>	
<p>7.3.1.10 Does incident command staff ensure that response personnel take necessary precautions for personal safety and contamination control as follows:</p> <p style="padding-left: 40px;">Incident command staff establishes a staging area where arriving asset personnel are briefed, communication are checked, special equipment is issued and assets are deployed upon request?</p> <p style="padding-left: 40px;">Asset personnel being released are debriefed; personnel are accounted for; personnel and equipment are surveyed for contamination; decontaminated as necessary; and issued equipment is returned?</p> <p>Ref. EC P/E6.33.10</p>	
<p>7.3.1.11 Are responsibilities of Incident Command carried out in accordance with this reference requirement? Ref: 29 CFR 1910.120(q)(3))</p>	

<b>3.9 Element: 8. Offsite Response Interfaces</b>	
<b>3.9.1. Description</b>	
<b>Effective interfaces must be established and maintained to ensure that emergency response activities are integrated and coordinated with the Federal, tribal, state, and local agencies and organizations responsible for emergency response and protection of the workers, public, and environment. (8.1.1)</b>	
Reference DOE Order 151.1C, Chapter IV and Attachment 2, Contractor Requirements Document, Section 9	
Reference Emergency Management Guide, DOE G 151.1-1, Part 1, Volume IV, Section 2, Offsite Response Interfaces	
Reference Emergency Management Guide DOE G 151.1-1, Part 1, Volume III, Appendix D, Evaluation Criteria	
<b>3.9.2. Typical Compliance Problems</b>	
Needed interfaces with offsite response organizations are not established or maintained.	
Coordination for response to certain site/facility hazards is non-existent or ineffective, such as evacuating contaminated injured persons, resulting in the inability for the offsite response organization to provide needed support.	
Communications and emergency notifications systems and protocols are poorly coordinated resulting in degraded emergency communications capabilities.	
Emergency equipment and interoperability issues have not been coordinated, resulting in poor integration of response operations.	
Procedures in place for the communication of protective action recommendations are poorly understood or not practiced, resulting in diminished public safety.	
Offsite responders are not offered opportunities to participate in site/facility emergency preparedness activities, including training, drills, and exercises.	
Emergency public information is not coordinated between the site and offsite response organizations.	
<b>3.9.3. Instructions to Evaluator:</b>	
<b>DOCUMENT/RECORDS REVIEW</b>	<b>NOTES</b>
<i>Review the site/facility emergency planning hazards survey and assessment, emergency plan, and emergency plan implementing procedures.</i>	
<i>Review memoranda or agreements with offsite response organizations that may have a role in a response to an OE.</i>	
<i>Review training program plan and training records to determine offsite responders' participation in preparedness activities.</i>	
<i>Review exercise program planning documents and records to determine offsite response organizations' exercise participation.</i>	
<i>Review ERAP and documentation of program reviews (internal and external), corrective actions, and documents that track findings and corrective actions related to ORI agreements, or other ORI issues.</i>	

<p><i>Resolve any issues of missing, incomplete, or unclear documentation in the interview/observation phases of the inspection.</i></p>	
<p>8.1.1.1 Are agreements to provide mutual assistance to or to receive assistance from offsite organizations documented in formal MOAs or MOUs?</p> <p>Are they accessible in the emergency plan and maintained current through periodic reviews? Ref. EC P7.17</p>	
<p><b>Observations by Evaluators</b></p>	<p><b>Notes</b></p>
<p><i>Interview individual with overall responsibility (Program Administrator) for managing the emergency management program, as well as those managers delegated individual responsibility for ORI activities within the emergency management program. Verify applicable documentation for each criterion.</i></p>	
<p><i>Interview facility emergency management personnel on sites with multiple facilities who have management roles with respect to ORI to determine effectiveness of site-wide program integration for ORI effectiveness.</i></p>	
<p><i>Verify compliance with other DOE and non-DOE requirements applicable to emergency management program ORI.</i></p>	
<p><i>Also identify any other Federal, state, tribal and local requirements or agreements pertaining to ORI with which the site/facility must comply. Provide references regarding implementation in adjacent columns.</i></p>	
<p><i>If possible, observe conduct of training and drills, as well as an exercise. Support determination of compliance with ORI requirements for these program areas through observations and interviews.</i></p>	
<p><i>If possible, have representatives from offsite response organizations having agreements or understandings with the site/facility join the meetings with site/facility representatives to obtain their input and feedback.</i></p>	
<p><b>8.1.1 Have effective interfaces been established and maintained to ensure that emergency response activities are integrated and coordinated with the Federal, tribal, state, and local agencies and organizations responsible for emergency response and protection of the workers, public, and environment?</b> <b>Ref: DOE O 151.1C Attachment 2, Section 9</b></p>	



<p>8.1.1.2 Is an individual(s) with appropriate authority, knowledge and training responsible for establishing and maintaining ongoing and effective interfaces with offsite political, technical, security and emergency services officials? Ref. EC P7.16</p>	
<p>8.1.1.3 Are interfaces with tribal, state and/or local authorities responsible for protection of the public and the environment identified and established? Ref. EC P/E7.1</p>	
<p>8.1.1.4 Is support requested, as required, from Federal, tribal, state and/or local response agencies and organizations <u>responsible for augmenting site resources</u> in response to an onsite emergency event? Ref. EC P/E7.2</p>	
<p>8.1.1.5 Does the site/facility, through formal agreements, support offsite agencies under the “good neighbor” policy in areas of emergency assistance including: fire, medical and Hazmat releases (including field monitoring resources). Ref. EC P7.20</p>	
<p>8.1.1.6 Are offsite authorities informed of the availability of assistance from DOE or NNSA national assets, and,  Do subsequent requests for support result in activation of the applicable assets? Ref. EC P/E7.3</p>	
<p>8.1.1.7 Does a mutual understanding of capabilities, especially command and control systems, support integrated and effective response? Ref. EC P/E7.11</p>	
<p>8.1.1.8 Does an effective working relationship exist between offsite officials and their ERO counterparts? Ref. EC P/E7.12</p>	
<p>8.1.1.9 Is the site/facility emergency response plan compatible and integrated with the disaster, fire and/or emergency response plans of local, state, and federal agencies? Ref: Title 29 CFR 1920.120, Hazardous Waste Operations and Emergency Response, (1)(2)(iii)</p>	

<p>8.1.1.10 Does the site facility provide a representative to a local emergency planning committee (for facilities subject to the requirements of SARA title III)? Ref: U. S. Code, Title 42, The Public Health and Welfare, Chapter 116, Subchapter I, Emergency Planning and Notification, Section 11001, c</p>	
<p>8.1.1.11 Has the facility appointed an emergency response coordinator who will work with the LEPC on developing and implementing the local emergency plan? Ref: 40 CFR 355.30(c)</p>	
<p>8.1.1.12 Have organizations which may be needed in a <u>supporting role</u> and/or needed for <u>long-term support</u> been identified?</p> <p>Have predesignated offsite points of contact, including organization, names, and phone numbers been documented, maintained, and made available to the response organization? Ref: EC P7.24</p>	
<p>8.1.1.13 Are offsite response agencies and organizations provided with specific information and/or offered training on the nature and characteristics of the biological agents and/or toxins present at the DOE/NNSA biosafety facility? Ref. EC P7.18</p>	
<p><b>8.1.2 Does the contractor at the DOE/NNSA facility coordinate 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?</b> <b>Ref: DOE O 151.1C Attachment 2, Section 9</b></p>	
<p>8.1.2.1 Is effective coordination with offsite response agencies and organizations accomplished and maintained through routinely scheduled meetings. Ref. EC P7.19</p>	
<p>8.1.2.2 Does coordination and integration with offsite response agencies and organizations follow established, prearranged and documented plans and protocols, including, responsibilities and authorities, coordination of response, notification, facility activation, communications, EOC interfaces, PIO activities, and logistic protocols? Ref. EC P/E7.13</p>	

8.1.2.3 Does routine coordination and interfaces through training, drills and good neighbor support ensure that offsite services as indicated in documented agreements will be integrated with onsite resources? Ref. EC P21	
8.1.2.4 Are planned response functions to be provided by offsite organizations periodically tested and verified? Ref. EC P/E7.22	
8.1.2.5 Are methods of communication and communication protocols with offsite agencies/organizations in place, identified and operable? Ref. EC P/E7.4	
8.1.2.6 Do communication capabilities allow effective communication with offsite officials, the cognizant DOE Field Element and Headquarters Emergency Management Team? Ref. EC P/E7.5	
8.1.2.7 Are offsite officials briefed upon activation of their respective facilities? Ref. EC P/E7.6	
8.1.2.8 Are offsite agencies/organizations responsible for emergency response and for protection of workers, public environment provided initial and ongoing information sufficient to perform their respective functions? Ref. EC P/E7.7	
8.1.2.9 Does timely, clear, accurate, and effective information exchange occur between the ERO and offsite personnel? Ref. EC P/E7.8	
8.1.2.10 Does mutual understanding of acronyms, code words, conventions and/or technical terminology provide effective information exchange? Ref. EC P/E7.9	
8.1.2.11 Are incoming offsite agency inquiries/concerns directed to the appropriate personnel for resolution? Ref. EC P/E7.10	
8.1.2.12 Are provisions in place and implemented with state, tribal and local agencies and organizations for coordinating release of information about the emergency to the public? Ref. EC P/E7.14	

<p>8.1.2.13 Is there mutual understanding of response measures to be implemented by the facility/site in anticipation of the involvement of local and state public health agencies or agricultural authorities following an actual or potential release of a biological hazardous material? Ref. EC P/E7.15</p>	
<p>8.1.2.14 Are offsite response organizations invited to participate in a site-level exercise at least every 3 years? Ref. EC P7.23</p>	

<b>3.10 Element: 9. Emergency Facilities and Equipment</b>	
<b>3.10.1. Description</b>	
Facilities and equipment adequate to support emergency response must be available, operable, and maintained. At a minimum, facilities must include an adequate and viable command center. Equipment must include, but not be limited to, personnel protective equipment, detectors, and decontamination equipment. (9.1.1)	
Reference DOE Order 151.1C, Chapter III and IV, and Attachment 2, Contractor Requirements Document, Section 10	
Reference Emergency Management Guide, DOE G 151.1-1, Part 1, Volume IV, Section 3	
Reference Emergency Management Guide DOE G 151.1-1, Part 1, Volume III, Appendix D, Evaluation Criteria	
<b>3.10.2. Typical Compliance Problems</b>	
The site/facility does not have adequate equipment and supplies to meet then needs determined by the result of the emergency planning hazards assessment (EPHA).	
The command center (or EOC) design and operation does not support effective emergency response based on analysis of emergency response needs, or does not support extended operations under accident conditions derived from the EPHA.	
Emergency equipment and decision-support tools do not support timely initial assessments of the consequences of potential emergency events and conditions.	
Emergency warning systems are not functional, inadequate, or not regularly tested.	
Primary and/or backup equipment systems are inadequate to ensure that timely and accurate emergency notifications are made.	
Equipment and systems in place to support site/facility personnel accountability procedures are inadequate to ensure timely and accurate determination of personnel accountability during an emergency.	
Periodic inspections, operational checks, calibration, preventive maintenance and testing of equipment and supplies are not carried out as required in accordance with manufacturer's instructions or industry standards, resulting in diminished readiness.	
<b>3.10.3. Instructions to Evaluator:</b>	
<b>DOCUMENT/RECORDS REVIEW</b>	<b>NOTES</b>
<i>Review the site/facility emergency planning hazards survey and assessment, emergency plan, and emergency plan implementing procedures.</i>	
<i>Review ERAP and documentation of program reviews (internal and external), corrective actions, and documents that track findings and corrective actions related to emergency facilities and equipment (EFE) issues.</i>	
<i>Review memoranda of agreement or understanding among the site, local jurisdictions and the state regarding shared use of equipment and facilities, standardization issues, and access control.</i>	

<i>Review results of exercises, internal and external assessments, and corrective action plans that may delineate EFE issues and their status or resolution.</i>	
<i>Review vulnerability analysis (for facilities of interest; note: may be classified)</i>	
<i>Resolve any issues of missing, incomplete, or unclear documentation in the interview/observation phases of the inspection.</i>	
<b>Observations by Evaluators</b>	<b>Notes</b>
<i>Interview individual with overall responsibility (Program Administrator) for managing the emergency management program, as well as those managers delegated individual responsibility for emergency facilities, such as command centers, within the emergency management program. Verify applicable documentation for each criterion.</i>	
<i>Interview facility emergency management personnel on sites with multiple facilities having management roles with respect to emergency facilities or equipment to determine effectiveness of site-wide EFE program integration.</i>	
<i>Verify compliance with other DOE and non-DOE requirements applicable to EFE.</i>	
<i>Also identify any other Federal, state, tribal and local requirements or agreements pertaining to EFE with which the site/facility must comply. Provide references regarding implementation in adjacent columns.</i>	
<i>If possible, observe conduct of training and drills, as well as an exercise. Support determination of adequacy of facilities and equipment used for response through observations and interviews.</i>	
<i>Perform a walk-down of command centers, as well as other emergency facilities and key equipment locations, such as 24-hour watch stations, incident commander's vehicle, fire stations and equipment, monitoring centers, communications centers, and medical clinics.</i>	

<p><b>9.1.1 Are facilities and equipment adequate to support emergency response available, operable, and maintained?</b></p> <p><b>At a minimum, do facilities include an adequate and viable command center?</b></p> <p><b>Does equipment include, (but is not limited to), personnel protective equipment, detectors, and decontamination equipment?</b>  <b>Ref: DOE O 151.1C Attachment 2, CRD Section 10</b></p>	
<p>9.1.1.1 Are the characteristics of the dedicated command center, and other auxiliary facilities, adequate to reliably support the designated functions and assignments?  Ref. EC P/E8.3</p>	
<p>9.1.1.2 Are designated response facilities, especially multi-use facilities, adequately maintained to ensure timely activation and availability to support an emergency response?  Ref. EC P8.14</p>	
<p>9.1.1.3 As necessary, is conversion of facilities to response facilities for the emergency is accomplished in a timely and efficient manner.  Ref. EC P/E8.7</p>	
<p>9.1.1.4 Are facility systems and installed equipment adequate to support facility functions and level of staffing?  Ref. EC P/E8.5</p>	
<p>9.1.1.5 Do the actual function(s) and operating characteristics of specific equipment adequately support the intended function(s) during emergency response?  Ref. EC P8.12</p>	
<p>9.1.1.6 Are adequate personnel protective equipment, and other emergency equipment and supplies, readily available and operable to meet the needs determined by the results of the EPHA?  Ref. EC P/E8.11</p>	
<p>9.1.1.7 Are periodic inspections, operational checks, calibration, preventive maintenance and testing of equipment and supplies carried out as required in accordance with manufacturer's instructions or industry standards?  Ref. EC P8.16</p>	
<p>9.1.1.8 Are inventories of all emergency equipment and supplies maintained with the equipment location identified?  Ref. EC P8.15</p>	

<p>9.1.1.9 Are communication systems with DOE HQ, Operations/Field offices and offsite organizations periodically tested? Ref. EC P8.17</p>	
<p>9.1.1.10 Is Command Center access control adequate and does it result in the efficient and timely identification of assigned staff? Ref. EC P/E8.8</p>	
<p><b>9.2.1 Does the site/facility provide facilities and equipment adequate to support emergency response, <u>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?</u></b> <b>Ref: DOE O 151.1C, Attachment 2, Section 10a</b></p>	
<p>9.2.1.1 Is the capability to notify employees of an emergency to facilitate the safe evacuation of employees from the work lace, immediate work area, or both available? Ref. EC P/E8.9</p>	
<p>9.2.1.2 Is command center access control adequate and does it result in efficient and timely identification of assigned staff? Ref. EC P/E8.8</p>	
<p>9.2.1.3 Do emergency response facilities use backup or alternate power supplies in the event of loss of power? Ref. EC P/E8.6</p>	
<p><b>9.3.1 Does the contractor at a DOE/NNSA Operational Emergency Hazardous Material Program facility also establish and maintain facilities and equipment adequate to support emergency response as follows:</b></p> <p><b>A facility that is available for use as a command center?</b></p> <p><b>Provisions for use of an alternate location if the primary command center is not available?</b></p> <p><b>Adequate personal protective equipment and other equipment and supplies that are available and operable to meet the needs determined by the results of the EPHA?</b> <b>Ref: DOE O 151.1C Attachment 2, CRD Section 10b</b></p>	



<p>9.3.1.1 Is a facility available for use as a command center by the emergency director, the EMT, and other members of the ERO during an emergency response? Ref. EC P/E8.2</p>	
<p>9.3.1.2 Are provisions established for use of an alternative location if the primary command center is not available? Ref. EC P/E8.4</p>	
<p>9.3.1.3 Are communication systems used to activate both on-shift and off-shift emergency response personnel tested and maintained regularly? Ref. EC P8.18</p>	
<p>9.3.1.4 Are provisions established to ensure operational compatibility between facility response capabilities and DOE or NNSA assets? Ref. EC P/E8.10</p>	
<p>9.3.1.5 Did the equipment needed during the emergency response (or exercise) function as expected and intended (or was repaired or obtained in a timely manner)? <u>This includes:</u> Current reference materials and decisional aids; Area and process monitors; Public address system; Personnel protective equipment; Portable monitoring instruments and personnel monitoring devices; Siren and alarm systems; Decontamination equipment; and Communication equipment. Ref. EC P8.13</p>	

<b>3.11 Element 10: Categorization and Classification</b>
<b>3.11.1. Description</b>
<p><b>Operational Emergencies are major unplanned or abnormal events or conditions that: involve or affect DOE/NNSA facilities and activities by causing or having the potential to cause serious health and safety or environmental impacts; require resources from outside the immediate/affected area or local event scene to supplement the initial response; and, require time-urgent notifications to initiate response activities at locations beyond the event scene. In general, to be considered an Operational Emergency, an event or condition involving the uncontrolled release of a hazardous material must: immediately threaten or endanger personnel who are in close proximity of the event; have the potential for dispersal beyond the immediate vicinity of the release in quantities that threaten the health and safety of onsite personnel or the public in collocated facilities, activities, and/or offsite; and have a potential rate of dispersal sufficient to require a time-urgent response to implement protective actions for workers and the public. (10.1.1)</b></p> <p><b>In addition to being categorized as Operational Emergencies, events involving the actual or potential airborne release of (or loss of control over) hazardous materials from an onsite facility or activity also require prompt and accurate classification as an Alert, Site Area Emergency, or General Emergency, based on health effects parameters measured or estimated at specific receptor locations (e.g., facility and site boundaries) and compared with protective action criteria. Predetermined conservative onsite protective actions and offsite protective action recommendations must be associated with the classification of these Operational Emergencies (as an Alert, Site Area Emergency or General Emergency). (10.1.2)</b></p>
Reference DOE Order 151.1C, Chapter IV and Attachment 2, Contractor Requirements Document, Sec 11.
Reference Emergency Management Guide, DOE G 151.1-1, Part 1, Volume IV, Section 4
Reference Emergency Management Guide DOE G 151.1-1, Part 1, Volume III, Appendix D, Evaluation Criteria, 9
<b>3.11.2. Typical Compliance Problems</b>
EALs have not been reviewed and are not understood by offsite emergency response officials.
EALs have not been verified as accurate or validated as useable.
Decision-makers responsible for classification have not been trained or drilled sufficiently.
Implementing procedures for performing categorization/classification are not prepared or available.
EALs are ambiguous; are not prepared for the full spectrum of emergency events; are not prepared for onsite transportation events; thresholds for offsite transportation events are not prepared.
Discretionary EALs based on safety system status are not prepared; symptomatic EALs based on available instrument readings are not prepared.
EALs are not integrated with the formulation of protective actions for all population groups; EALs are not integrated with occurrence reporting procedures.
Classification for multiple events is not considered.
EAL matrix does not support timely classification of emergencies or determination of protective actions.
Thresholds are not prepared for operational emergencies not requiring further classification and non-emergency significant events.
Plant indications or monitoring instruments to support timely classification are not available.

<b>3.11.3. Instructions to Evaluator:</b>	
DOCUMENT/RECORDS REVIEW	NOTES
<i>Review site hazards survey and hazards assessments for facilities of interest, including transportation hazards assessment.</i>	
<i>Review vulnerability analysis for facilities of interest.</i>	
<i>Review event scenarios.</i>	
<i>Review emergency plan and procedures for roles, responsibilities, job aids and checklists for categorization and classification.</i>	
<i>Review memoranda of agreement with local jurisdictions and states regarding methodologies and notifications.</i>	
<i>Review training lesson plans and qualification records.</i>	
<p><b>10.1.1 Do procedures for emergency categorization clearly reflect the following definition of OE?</b></p> <p><b>OEs are major unplanned or abnormal events or conditions that: involve or affect DOE/NNSA facilities and activities by causing or having the potential to cause serious health and safety or environmental impacts; require resources from outside the immediate/affected area or local event scene to supplement the initial response; and, require time-urgent notifications to initiate response activities at locations beyond the event scene.</b></p> <p><b>In general, to be considered an OE, an event or condition involving the uncontrolled release of a hazardous material must: immediately threaten or endanger personnel who are in close proximity of the event; have the potential for dispersal beyond the immediate vicinity of the release in quantities that threaten the health and safety of onsite personnel or the public in collocated facilities, activities, and/or offsite; and have a potential rate of dispersal sufficient to require a time-urgent response to implement protective actions for workers and the public.</b></p> <p>Ref. DOE O 151.1C, CRD Section 11</p>	
<p>10.1.1.1. Are the criteria for categorizing OEs clear, straightforward, usable and unambiguous to the decision-maker and stated in terms of readily available indications or observable conditions?</p> <p>Ref. EC P/E9.7</p>	

<p>10.1.1.2 Is the recognition/categorization/classification process of OEs effectively integrated with existing operations, management, emergency response, reporting activities, and the security classification scheme? Ref. EC P/E9.3</p>	
<p><b>10.1.2 In addition to being categorized as OEs, are events involving the actual or potential airborne release of (or loss of control over) hazardous materials from an onsite facility or activity also promptly and accurately classified as an Alert, Site Area Emergency, or General Emergency, based on health effects parameters measured or estimated at specific receptor locations (e.g., facility and site boundaries) and compared with protective action criteria? Are predetermined conservative onsite protective actions and offsite protective action recommendations associated with the classification of these OEs (as an Alert, Site Area Emergency or General Emergency)?</b> Ref. DOE O 151.1C, CRD Section 11</p>	
<p>10.1.2.1 For emergencies involving hazardous materials, are time-urgent response actions taken to minimize or prevent unacceptable consequences? Ref. DOE O 151.1, Chapter IV, Section 5a</p>	
<p>10.1.2.2 Is the classification of an operational emergency involving the actual or potential airborne release of hazardous material as alert, site area emergency, or general emergency based on the distance at which estimated consequences exceed the applicable health effect threshold (i.e. Protective action criteria for the specific hazardous material released)? Ref. EC P/E9.14</p>	

<p><b>10.2.1 Did the contractor (at all DOE/NNSA facilities):</b></p> <p><b>Establish criteria for determining quickly if an event is an OE?</b></p> <p><b>Do procedures call for the contractor to declare an OE 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?</b></p> <p><i>[Note: events stated under criteria 10.2.2, 10.2.3, 10.2.4, 10.2.5, and 10.2.6 do not require further classification (i.e., as Alert, Site Area Emergency, or General Emergency).]</i></p> <p>Ref. DOE O 151.1C, CRD Section 11a</p>	
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**10.2.2 Do procedures for declaration of OEs reflect the following?**

**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.**

**The discovery of radioactive or other hazardous material contamination from past DOE/NNSA operations that may have caused, is causing, or may reasonably be expected to cause uncontrolled personnel exposures exceeding protective action criteria.**

**An offsite hazardous material event not associated with DOE/NNSA operations that is observed to have or is predicted to have an impact on a DOE/NNSA site, such that protective actions are required for onsite DOE/NNSA workers.**

**An occurrence (e.g., earthquake, tornado, aircraft crash, fire, explosion) that causes or can reasonably be expected to cause significant structural damage to DOE/NNSA facilities, with confirmed or suspected personnel injury or death.**

**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.**

**An unplanned nuclear criticality.**

**Any mass casualty event.**

**Ref. DOE O 151.1C, CRD Section 11a(2)(a)**

<p><b>10.2.3 Do procedures for declaration of OEs reflect the following:</b>  <b><u>Environment.</u></b> The following events or conditions represent, cause, or have the potential to cause serious detrimental effects on the environment.          Any actual or potential release of hazardous material or regulated pollutant to the environment, in a quantity greater than 5 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.          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, wetland 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.]          Ref. DOE O 151.1C, CRD Section 11a(2)(b)</p>	
<p><b>10.2.4 Do procedures for declaration of OEs reflect the following?</b>   <b><u>Security and Safeguards.</u></b> (Security incidents are also subject to reporting in accordance with DOE O 471.4, <i>Incidents of Security Concern</i>. Per this Order, foreign involvement in security incidents must be reported to the Office of Counterintelligence.) 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.          Actual unplanned detonation of an explosive device or a credible threat of detonation resulting from the location of a confirmed or suspicious explosive device.          An actual terrorist attack or sabotage event involving a DOE/NNSA site/facility or operation.          Kidnapping or taking hostage(s) involving a DOE/NNSA site/facility or operation.          Ref. DOE O 151.1C, CRD Section 11a(2)(c)</p>	

<p><b>10.2.5 Do procedures for declaration of OEs reflect the following?</b>  <b><u>Offsite DOE Transportation Activities.</u></b> The following events or conditions represent an actual or potential release of hazardous materials from a DOE/NNSA shipment. Any accident/incident involving an offsite DOE/NNSA shipment containing hazardous materials that causes the initial responders to initiate protective actions at locations beyond the immediate/affected area. Failures in safety systems threaten the integrity of a nuclear weapon, component, or test device. A transportation accident results in damage to a nuclear explosive, nuclear explosive-like assembly, or Category I/II quantity of Special Nuclear Materials.  <b>Ref. DOE O 151.1C, CRD Section 11a(2)(d)</b></p>	
<p><b>10.2.6 Do procedures for declaration of OEs reflect the following?</b>  <b><u>Hazardous Biological Agent or Toxins.</u></b> The following events or conditions involving the release of a hazardous biological agent or toxin [identified in 42 CFR 73, 7 CFR 331 and 9 CFR 121] represent major failure of safety systems, protocols, and/or practices with the potential to have a serious impact on health and safety of workers, collocated workers, emergency responders, members of the public, or the environment: Any actual or potential release of a hazardous biological agent or toxin outside of the secondary barriers of the biocontainment area.  <b>Ref. DOE O 151.1C, CRD Section 11a(2)(e)</b></p>	
<p><b>10.2.7 Are OEs events categorized as promptly as possible, but no later than 15 minutes after event recognition/identification/discovery?</b>  <b>Ref. DOE O 151.1C, CRD Section 11a(3)</b></p>	
<p><b>10.3.1 Has the contractor at DOE/NNSA Operational Emergency Hazardous Material Program facility also established procedures to classify emergency events (as an Alert, Site Area Emergency, General Emergency)?</b>  <b>Ref. DOE O 151.1C, CRD Section 11b</b></p>	



<p><b>10.3.2 Are hazardous material emergencies involving DOE/NNSA facilities classified OE 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 hazardous materials?</b></p> <p><b>Does classification aid in the rapid communication of critical information and the initiation of appropriate time-urgent emergency response actions?</b></p> <p><b>Note: Events, listed in criteria 10.2.2 through 10.2.6 that serve as initiating events for the release of hazardous materials must be classified under the provisions of this section. Is this reflected in procedures and understood by personnel responsible for emergency classification?</b></p> <p><b>Ref. DOE O 151.1C, CRD Section 11b(1)</b></p>	
<p>10.3.1.1 Are events classified on the basis of potential severity of consequences?</p> <p>Ref. DOE O 151.1, Chapter IV, Section 5a</p>	

**10.3.3 Alert.** Is an Alert declared when events are predicted, are in progress, or have occurred that result in one or more of the following?

An actual or potential substantial degradation in the level of control over hazardous materials.

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—

a site-specific criterion corresponding to 10 percent of the applicable protective action criterion [see Base Order, paragraph 4a(14)] at or beyond the facility boundary; or the applicable protective action criterion at or beyond 30 meters from the point of release to the environment.

It is not expected that the applicable protective action criterion will be exceeded at or beyond the facility boundary.

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.

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.

Ref. DOE O 151.1C, CRD Section 11b(1)(a)

<p><b>10.3.4 <u>Site Area Emergency.</u> Is a Site Area Emergency declared when events are predicted, in progress, or have occurred that result in one or more of the following situations?</b></p> <p><b>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 criterion [see Base Order, paragraph 4a(14)] at or beyond the facility boundary. The protective action criterion is not expected to be exceeded at or beyond the site boundary.</b></p> <p><b>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.</b></p> <p><b>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.</b></p> <p><b>Ref. DOE O 151.1C, CRD Section 11b(1)(b)</b></p>	
<p><b>10.3.5 <u>General Emergency.</u> Is a General Emergency declared when events are predicted, in progress, or have occurred that result in one or more of the following situations?</b></p> <p><b>Actual or imminent catastrophic reduction of facility safety or security systems with potential for the release of large quantities of hazardous materials 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 criterion [see Base Order, paragraph 4a(14)] at or beyond the site boundary.</b></p> <p><b>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.</b></p> <p><b>Ref. DOE O 151.1C, CRD Section 11b(1)(c)</b></p>	

<p><b>10.3.6 Are Site/facility-specific Emergency Action Levels (EALs) developed for the spectrum of potential OEs identified by the EPHA and must include protective actions corresponding to each EAL?</b>  <b>Ref. DOE O 151.1C, CRD Section 11b(2)</b></p>	
<p>10.3.6.1 Are EALs for classifying OEs clear, straightforward, usable and unambiguous to the decision-maker.  Ref. EC P/E9.15</p>	
<p>10.3.6.2 Do the EALs for classifying OEs provide for early recognition, are they reliable, redundant, and internally consistent, and are they comprehensive and anticipatory of potential/future consequences?  Ref. EC P/E9.16</p>	
<p>10.3.6.3 Are the EALs stated in terms of readily available indications or observable conditions?  Ref. EC P/E9.16</p>	
<p>10.3.6.4 Are Site-/facility-specific EALs developed and approved for the spectrum of OEs resulting in the actual or potential airborne release of (or loss of control over) hazardous material?  Ref. EC P/E9.16</p>	
<p>10.3.6.5 Do site-/facility EALs provide for classifying events on the basis of measured or predicted hazardous material consequences at specific receptor locations (i.e., facility and site boundaries)?  Ref. EC P/E9.16</p>	
<b>Observations by Evaluators</b>	<b>Notes</b>
<i>Walk down facilities to review indicators referenced in EALs.</i>	
<i>Observe whether EALs are available and current for personnel performing categorization and classification.</i>	
<i>Conduct performance-based tabletops and interviews with initial decision-makers and with the site manager/crisis manager to determine adequacy of tools and understanding of emergency categorization and classification.</i>	
<i>Interview offsite EROs that respond to classified events to determine if they have received current EALs and have received information to support understanding.</i>	
<i>Interview site personnel responsible for developing EALs</i>	

<p><b><i>Observe initial and continuing categorization/classification during an emergency exercise and impact on and interface with performance of other emergency management program elements.</i></b></p>	
<p>10.1.1.3 Is an abnormal event/condition, categorized as an operational emergency only downgraded if the original categorization was incorrect?</p> <p>Does a properly categorized operational emergency remain in effect until the emergency response is terminated?</p> <p>Ref. EC P/E9.10</p>	
<p>10.1.2.3 Is authority and responsibility for categorizing an event/condition, and if necessary, determining the emergency classification, clearly defined, recognized, and understood by ERO personnel.</p> <p>Ref. EC P/E9.1</p>	
<p>10.1.2.4 Did the designated (authorized) individual with responsibility for categorization and classification make the determination?</p> <p>Ref. EC P/E9.2</p>	
<p>10.1.2.5 If the event or condition is categorized as an operational emergency involving an airborne release of (or loss of control over) hazardous materials, did the decision-maker recognize the requirement to promptly classify the event?</p> <p>[Note: this does not apply to biological hazardous materials.]</p> <p>Ref. EC P/E9.8</p>	
<p>10.1.2.6 Is the classification of an operational emergency involving the actual or potential airborne release of or loss of control over hazardous material accomplished promptly and accurately using a current set of a site/facility-specific EALs?</p> <p>[Note: this does not apply to biological hazardous materials.]</p> <p>Ref. EC P/E9.11</p>	
<p>10.2.1.1 Is the categorization of abnormal events/conditions as OEs accomplished promptly and accurately using site/facility-specific EALs?</p> <p>Ref. EC P/E9.4</p>	

<p>10.3.2.1 Is a tool in place and used for recognizing and categorizing biological OEs, based on recognition factors identified in the EPHA, and is it part of the DOE/NNSA emergency management program for Biosafety facilities?</p> <p>Are default initial protective actions associated with each biological OE?</p> <p>Ref. EC P/E9.9</p>	
<p>10.3.2.2 Is the current classification modified (i.e., upgraded) based on continuous monitoring for event degradation or a reassessment that indicates that the event is more severe than originally perceived?</p> <p>Is an OE reclassified at a lower classification only if the original classification decision was in error (e.g. the decision-maker used the wrong EAL or received incorrect information; a properly classified OE remains in effect until the emergency response is terminated.)?</p> <p>Ref. EC P/E9.19</p>	
<p>10.3.3.1 In declaration of an Alert is there availability of personnel and resources to—</p> <ul style="list-style-type: none"> <li>Continuously assess pertinent information for DOE/NNSA decision makers, offsite authorities, the public and other appropriate entities;</li> <li>Conduct appropriate assessments, investigations, or preliminary sampling and monitoring;</li> <li>Mitigate the severity of the occurrence of its consequences; and</li> <li>Prepare for other response actions should the situation become more serious, requiring emergency response organizations to mobilize or activate resources?</li> </ul> <p>Ref. DOE O 151.1 C, Chapter IV, Section 5a(1)</p>	

<p>10.3.4.1 In declaration of a Site Area Emergency is there the same response as for an Alert plus— Initiation of predetermined protective actions for onsite personnel; Notification and assembly of emergency response personnel and equipment to activate response centers and to establish communications, consultation, and liaison with offsite authorities; Provision of information to the public and media; Ref. DOE O 151.1, Chapter IV, Section 5 Implementation of or assistance in any evacuations and sheltering; and Mobilization of appropriate emergency response groups or protective/security forces for immediate dispatch, should the situation become more serious. Ref. DOE O 151.1 C, Chapter IV, Section 5a(2)</p>	
<p>10.3.5.1 In declaration of a General Emergency is there the same response as for a Site Area Emergency plus— 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. Ref. DOE O 151.1 C, Chapter IV, Section 5a(3)</p>	
<p>10.3.6.6 Is the appropriate set of appropriate site/facility-specific EALs readily accessible to the responsible decision-maker? Ref. EC P/E9.13</p>	
<p>10.3.6.7 If a suspected release of (or loss of control over) hazardous material fails to meet or exceed an EAL, then does a common sense, conservative assessment of the indications or observable conditions lead to an initial default estimate of the classification of the emergency event/condition using the discretionary EAL (i.e., a discretionary EAL is included in the EAL set to compensate for possible incompleteness and to ensure that a decision can be made rapidly based on the current understanding of the situation.)? Ref. EC P/E9.17</p>	

<p>10.3.6.8 Associated with a specific event EAL, does the decision-maker obtain default (i.e., pre-determined) conservative Protective Actions (PAs), for immediate implementation onsite, and Protective Action Recommendations (PARs), for immediate recommendation offsite? Ref. EC P/E9.18</p>	
<p>10.3.6.9 Are site-wide non facility-specific EALs used to classify events such as: terrorist threats, major natural phenomena, external events that can affect site operations, etc.? Ref. EC P/E9.20</p>	
<p>10.3.6.10 Are the OE categorization criteria and EALs reviewed and tested regularly against a range of initiating conditions and emergency event/condition scenarios to validate the indicated emergency categorization/classification? Ref. EC P9.21</p>	



<b>3.12 Element 11: Notification &amp; Communications</b>	
<b>3.12.1. Description</b>	
Initial emergency notifications must be made promptly, accurately and effectively to workers and emergency response personnel/organizations, appropriate DOE/NNSA elements, and other Federal, Tribal, State, and local organizations and authorities. Accurate and timely follow-up notifications must be made when conditions change, when the emergency classification level (as an Alert, Site Area Emergency, General Emergency) is upgraded, or when the emergency is terminated. Continuous, effective, and accurate communication among response components and/or organizations must be reliably maintained throughout an Operational Emergency. (11.3.1)	
Reference DOE Order 151.1C, Chapter VIII and Attachment 2, Contractor Requirements Document Section 12.	
Reference Emergency Management Guide, DOE G 151.1-1, Part 1, Volume IV, Section 5.	
Reference Emergency Management Guide DOE G 151.1-1, Part 1, Volume III, Appendix D, Evaluation Criteria.	
<b>3.12.2. Typical Compliance Problems</b>	
Operational emergency notifications are not made within required 30 minutes.	
Insufficient information is included in initial written notification to Headquarters Operations Center.	
Points-of-contact lists are outdated and incomplete.	
Notifications are not correctly filled out.	
Notification forms are not formalized or coordinated with offsite officials.	
Required subsequent notifications were not made within 15 minutes of change in event status.	
Employee alarms not audible in all work areas.	
Insufficient information provided during briefings of skilled emergency support personnel.	
System for rapid notification and recall does not provide for authentication and feedback.	
The established communication chain for reporting and notification within the facility, site-wide, and to offsite organizations is not properly followed.	
Systems to alert and notify onsite workers and the public are not effective.	
There is a breakdown in system for tracking personnel and providing personnel accountability.	
Communications equipment breaks down and backup systems are not reliable or in place.	
A breakdown in communication occurs between the emergency management and on-scene command.	
Emergency information is not effectively or continuously tracked to ensure uniform understanding and provide a record of the sequence of events and actions.	
Logs are not sufficiently maintained to support post-event analysis.	
<b>3.12.3. Instructions to Evaluator:</b>	
<b>DOCUMENT/RECORDS REVIEW</b>	<b>NOTES</b>
<i>Review the site/facility emergency plan and procedures.</i>	
<i>Are instructions in place and clearly designating responsibility and authority for making initial verbal and written notifications required?</i>	
<i>Are points of contact for emergency notifications accurate?</i>	

<b><i>Review procedures and records of maintenance for communications equipment and alarm systems.</i></b>	
<b><i>Review agreements with outside agencies involving emergency response.</i></b>	
<b><i>Review forms and format for emergency notifications.</i></b>	
11.1.1.1 Is a rapid notification and recall system in place to make initial and follow-up notifications to primary and alternate response staff? Does the system provide for authentication and feedback indicating unsuccessful contact? Ref. EC P/E10.6	
11.1.1.2 Do follow-up notifications use a pre-arranged and standardized content and format that supports the inclusion of critical information concerning: the nature of the event, description and status; key times; classification and release status (as required); meteorology; protective actions; affected facility; and, notification authority? Ref. EC P/E10.7	
11.1.1.3 Do emergency procedures formally establish a communication chain for reporting and notification within the facility, site-wide and to offsite organizations? Ref. EC P/E10.11	
11.1.1.4 Do records indicate reliability of equipment for communications with emergency organizations and response personnel? Ref. EC P/E 10.14	
<b>Observations by Evaluators</b>	<b>Notes</b>
<b><i>Observe performance of personnel, operability of communications equipment, use of status boards, preparation of emergency records and system operations during an emergency exercise.</i></b>	
<b><i>Interview personnel with responsibility for making initial and ongoing emergency notifications.</i></b>	
<b><i>Interview offsite organization personnel who receive emergency notifications and communications tests from the site.</i></b>	
<b><i>Interview personnel responsible for preparing final report on emergency response.</i></b>	
<b><i>Verify compliance with non-DOE requirements referenced herein.</i></b>	

<p><b>11.1.1 Are initial emergency notifications made promptly, accurately and effectively to workers and emergency response personnel/organizations, appropriate DOE/NNSA elements, and other Federal, Tribal, State and local organizations and authorities?</b></p> <p><b>Are accurate and timely follow-up notifications made when conditions change, when the emergency classification level (as an Alert, Site Area emergency, General emergency) is upgraded, or when the emergency is terminated?</b></p> <p><b>Is continuous, effective, and accurate communication among response components and/or organizations reliably maintained throughout an OE?</b></p> <p>Ref. DOE Order 151.1C, CRD Section 12</p>	
<p>11.1.1.5 Does the Emergency Director, or designee, personally approve release of notification information?</p> <p>Ref. EC P/E10.9</p>	

<p><b>11.1.2 Does the contractor provide prompt initial notification of workers, emergency response personnel, and response organizations, including DOPE/NNSA elements and state, tribal, and local organizations?</b></p> <p><b>Does the contractor notify state and local officials and the Cognizant Field Element Operations Center (EOC) and Headquarters Operations Center within 15 minutes and all other organizations within 30 minutes of the declaration of Alert, Site Area Emergency, or General Emergency?</b></p> <p><b>Does the contractor notify the Cognizant Field Element EOC and Headquarters Operations Center within 30 minutes of the declaration of an OE not requiring classification?</b></p> <p><b>Does the contractor notify local, state and tribal organizations within 30 minutes or as established in mutual agreements for declaration of an OE not requiring classification?</b></p> <p><b>Ref. DOE Order 151.1C, Attachment 2 CRD Section 12a-d</b></p>	
<p>11.1.2.1 Are points of contact for emergency notifications accurate and readily available to response personnel?</p> <p>Ref. EC P/E10.4</p>	
<p>11.1.2.2 Do installed PA and siren systems adequately accomplish the notifications of workers and onsite or neighboring public?</p> <p>Ref. EC P/E10.12</p>	
<p>11.1.2.3 Are building and area alarms or public address (PA) systems designed, installed and maintained to alert facility personnel to emergency conditions?</p> <p>Ref. EC P/E10.12</p>	

<p><b>11.1.3 At a minimum, does emergency notification to the Headquarters Operations Center consist of a phone call providing as much information as is known at the time?</b></p> <p><b>Is the same information provided by e-mail or a fax, either immediately prior to or following the phone call?</b></p> <p><b>Does information for initial notification include the following?:</b></p> <ul style="list-style-type: none"><li><b>That an OE has been declared and, if appropriate, the classification of the emergency;</b></li><li><b>The description of the emergency;</b></li><li><b>The date and time the emergency was discovered;</b></li><li><b>The damage and casualties;</b></li><li><b>Whether the emergency has stopped other facility/site operations or program activities;</b></li><li><b>The protective actions taken and/or recommended;</b></li><li><b>The notifications made;</b></li><li><b>The weather conditions at the scene of the emergency;</b></li><li><b>The level of any media interest at the scene of the emergency or at the facility/site; and</b></li><li><b>The contact information of the DOE or NNSA on-scene point of contact.</b></li></ul> <p><b>Ref. DOE Order 151.1C, Attachment 2 CRD Section 12e</b></p>	
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<p><b>11.1.4 Does the contractor: Provide for continuing effective communication among response organizations throughout an emergency?</b></p> <p><b>Establish effective communications methods between event scene responders, emergency managers, and response facilities?</b></p> <p><b>Forward emergency status reports to the next-higher Emergency Management Team on a continuing basis until the emergency is terminated?</b></p> <p><b>Does each activated Emergency Management Team submit a final report on the emergency response to the Emergency Manager for submission to the Director, Office of Emergency Operations, following termination of emergency response, and in conjunction with the Final Occurrence Report (see DOE M 231.1-2).</b></p> <p><b>Review all reports and releases for classified or unclassified controlled information (e.g., Unclassified Controlled Nuclear Information) prior to being provided to personnel not authorized access to such information, entered into databases not authorized for such information, or transmitted using non-secure communications equipment.</b></p> <p><b>Ref. DOE Order 151.1C, Attachment 2 CRD Section 12f-j</b></p>	
<p>11.1.4.1 Are employee alarm systems in place and operable per the referenced OSHA requirement? Ref. 29 CFR 1910.165</p>	
<p>11.1.4.2 As applicable, are criteria met for emergency planning and notification—in accordance with the referenced requirement? Ref. 40 CFR 355.40, Emergency Release Notification</p>	
<p>11.1.4.3 Are follow-up notifications are made when conditions change or when the emergency classification is upgraded or terminated? Ref. EC P/E10.8</p>	
<p>11.1.4.4 Does the Emergency Director, or designee, personally approve the release of notification information? Ref. EC P/E10.9</p>	

11.1.4.5 Are emergency status reports (SITREPs) forwarded to the next-higher Emergency Management Team on a continuing basis throughout the OE? Ref. EC P/E10.10	
11.1.4.6 Is a formally established communication chain for reporting and notification within the facility, site-wide, and to offsite organizations properly followed? Ref. EC P/E10.11	
11.1.4.7 Are communications systems effective to support management and tracking of evacuation of facility personnel, personnel accountability and assembly? Ref. EC P/E10.13	
11.1.4.8 Do installed voice communications systems adequately accomplish notification and information exchange processes? Ref. EC P/E10.14	
11.1.4.9 Is equipment reliable for communications with emergency organizations and response personnel? Ref. EC P/E10.14	
11.1.4.10 Are dedicated primary and backup voice communications links provided between key emergency response facilities and sufficient non-dedicated voice communication links are provided to access offsite organizations? Ref. EC P/E10.14	
11.1.4.11 Are mobile and commercial phone lines available? Ref. EC P/E10.14	
11.1.4.12 Are continuous, effective, and accurate communications among response components and/or organizations (e.g., event scene responders, emergency managers, response facilities, and workers who have taken protective actions) reliably established and maintained throughout an OE? Ref. EC P/E10.15	
11.1.4.13 Are notifications and key communications properly documented and displayed in emergency response facilities? Ref. EC P/E10.16	
11.1.4.14 Is a formal system in place to record, sequence, validate, and track the flow and chronology of emergency information? Ref. EC P/E10.17	

<p>11.1.4.15 Are logs maintained and other record-keeping methods utilized to support post-event analysis, report production, and a legally defensible chronology of notification and communications activities? Ref. EC P/E10.18</p>	
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<b>3.13 Element 12: Consequence Assessment</b>	
<b>3.13.1. Description</b>	
Estimates of onsite and offsite consequences of actual or potential releases of hazardous materials must be computed and assessed correctly and in a timely manner throughout the emergency. Consequence assessments must be: integrated with emergency classification and protective action decision-making; incorporated with facility and field indications and measurements; and coordinated with offsite agencies (12.1.1)	
Reference DOE Order 151.1C, Attachment 2, Contractor Requirements Document Section 13	
Reference Emergency Management Guide, DOE G 151.1-1, Part 1, Volume IV, Section 6	
Reference Emergency Management Guide DOE G 151.1-1, Part 1, Volume III, Appendix D, Evaluation Criteria	
<b>3.13.2. Typical Compliance Problems</b>	
Assessments are delayed and/or less than accurate.	
The impact of meteorological factors on potential onsite and offsite consequences is not understood.	
Differences among various consequence projections are not reconciled.	
Default consequence modeling parameters have not been modified to reflect site-specific requirements.	
Differences between field monitoring readings compared to dose projects are not reconciled and information provided by different instruments is not understood.	
The potential for hazardous material release based on available plant indications, such as threat to integrity of material barriers is not determined.	
Incorrect protective action criteria are compared to consequence assessment results.	
Personnel do not refine consequence projections based on updated or confirmed source term information and determine the consequences of "what if" conditions.	
Consequence assessors do not have ready access to information or tools needed to perform timely and accurate assessments. Tools and information include: source term information and conversion factors; field monitoring data from various field teams; tools to overlay consequence projections onto maps showing impacted areas and receptors.	
<b>3.13.3. Instructions to Evaluator:</b>	
<b>DOCUMENT/RECORDS REVIEW</b>	<b>NOTES</b>
<i>Review site hazards survey and hazards assessments for facilities of interest, including transportation hazards assessment.</i>	
<i>Review emergency plan for roles and responsibilities for consequence assessment.</i>	
<i>Review emergency implementing procedures for initial and continuous assessment performance, forms used and field monitoring.</i>	
<i>Review computer manuals for assessment hardware and software and quality assurance.</i>	
<i>Review training lessons and records for consequence assessment and dose modeling.</i>	

<p><b>12.2.1 Has the contractor at DOE/NNSA Operational Emergency Hazardous Material Program facilities established provisions to assess the potential or actual onsite and offsite consequences of an emergency?</b>  <b>Ref. DOE O 151.1C, CRD Section 13</b></p>	
<p>12.2.1.1 Is a formal Quality Assurance Program implemented and maintained for control of the tools used in consequence assessment, such as the meteorological monitoring system hardware and software, and dose modeling hardware and software?  Ref. EC P11.22</p>	
<p>12.2.1.2 Does the facility's consequence assessment process for releases of biological agents, either detected or undetected, involve the confirmation that a release to the environment from a biosafety facility has occurred?  Ref EC P/E11.9</p>	
<p><b>12.2.4 If the facility has the potential for an Operational Emergency classified as a Site Area Emergency, does the facility/site have procedures in place to activate or request National Atmospheric Release Advisory Center (NARAC) capabilities and is it able to use those capabilities as part of near real-time consequence assessment activities?</b>  <b>Ref. DOE O 151.1C, CRD Section 13c</b></p>	
<p><b>12.2.5 All DOE/NNSA facilities/sites that have access to NARAC or have procedures in place to activate or request NARAC capabilities must ensure that facility/site meteorological data and information on source terms for actual or potential releases of hazardous materials to the atmosphere are available or can be made available to NARAC in a timely manner to facilitate near real-time computations. Does the facility/site meet this requirement?</b>  <b>Ref. DOE O 151.1C, CRD Section 13d</b></p>	
<p>12.2.5.1 Are provisions in place for requesting support from the DOE radiological emergency response assets [e.g., Aerial Measuring System (AMS) or the National Atmospheric Release Advisory Center (NARAC)] to assist in accident and consequence assessments as well as to estimate the integrated impact of a hazardous materials release to onsite and offsite populations?  Ref. EC P/E11.4</p>	

<p>12.2.5.2 Each DOE site should establish a meteorological monitoring program that is appropriate to the activities at the site, the topographical characteristics of the site, and the distance to critical receptors in order to characterize releases from DOE activities, assess impacts and estimate the dispersal patterns in the environment. Does the site meet this requirement? Ref. DOE/EH-0173T, "Environmental Regulatory guide for Radiological Effluent Monitoring and Environmental Surveillance, Section 4.0</p>	
<p>12.2.5.3 Does the meteorological monitoring program provide for routine inspection of the data and scheduled maintenance and calibration of the meteorological instrumentation and data-acquisition system at a minimum, based on the calibration frequency recommendations of the manufacturers? Ref. DOE/EH-0173T, "Environmental Regulatory guide for Radiological Effluent Monitoring and Environmental Surveillance, Section 4.0</p>	
<p>12.2.5.4 Are inspections, maintenance and calibrations of the meteorological instruments conducted in accordance with written procedures, and logs of the inspections, maintenance, and calibrations should be kept and maintained as permanent records? Ref. DOE/EH-0173T, "Environmental Regulatory guide for Radiological Effluent Monitoring and Environmental Surveillance, Section 4.0</p>	
<p>12.2.5.5 Does the meteorological instrument system provide data recovery of at least 90% on an annual basis for wind direction, wind speed, those parameters necessary to classify atmospheric stability, and other meteorological elements required for dose assessments? Ref. DOE/EH-0173T, "Environmental Regulatory guide for Radiological Effluent Monitoring and Environmental Surveillance, Section 4.0</p>	
<p><b>Observations by Evaluators</b></p>	<p><b>Notes</b></p>
<p><i>Observe consequence assessment (initial and continuous) performance during exercise or drill.</i></p>	
<p><i>Do a physical inspection of meteorological facilities and equipment.</i></p>	

<i>Inspect equipment used to support consequence assessment.</i>	
<i>Interview personnel in monitoring field teams.</i>	
<p><b>12.1.1 Are estimates of onsite and offsite consequences of actual or potential releases of hazardous materials computed and assessed correctly and in a timely manner throughout the emergency?</b></p> <p><b>Are consequence assessments integrated with emergency classification and protective action decision-making; incorporated with facility and field indications and measurements; and coordinated with offsite agencies?</b></p> <p><b>Ref. DOE O 151.1C, CRD Section 13</b></p>	
<p>12.1.1.1 Is a formal document control system implemented during an emergency to record, sequence, validate and track the flow and chronology of information?</p> <p>Rev. EC P/E11.8</p>	
<p>12.1.1.2 As available, is data from environmental monitoring programs used to support consequence assessment, including data from installed air monitors, area radiation monitors, and in-plant surveys?</p> <p>Ref. EC P/E11.18</p>	
<p><b>12.2.2 Are consequence assessments that are made:</b></p> <p><b>Timely throughout the emergency;</b></p> <p><b>Integrated with the emergency classification and protective action process;</b></p> <p><b>Incorporate monitoring of specific indicators and field measurements; and coordinated with Federal, State, local, and Tribal organizations?</b></p> <p><b>Ref. DOE O 151.1C, CRD Section 13a</b></p>	
<p>12.2.2.1 Is a Timely Initial Assessment of the actual or potential consequences of an emergency performed effectively and efficiently, shortly after initial classification, using any available real-time event and meteorological data to provide an event-specific estimate of consequences?</p> <p>Rev. EC P/E11.1</p>	
<p>12.2.2.2 Are timely in-depth assessments of event consequences made continuously throughout an emergency?</p> <p>Ref. EC P/E11.2</p>	

<p>12.2.2.3 Are consequence estimates, performed by hand and/or computer-based calculations, accomplished in a timely and efficient manner throughout the emergency to adequately assess the actual or potential onsite and offsite consequences? Ref. EC P/E11.2</p>	
<p>12.2.2.4 Are assessments updated when there are actual and projected changes in facility status, release conditions, or meteorology, or when there are data from field monitoring teams? Ref. EC P/E11.2</p>	
<p>12.2.2.5 Are different models, assumptions, and input data used, as available, to add to the understanding of the event and its consequences? Ref. EC P/E11.2</p>	
<p>12.2.2.6 Are the indicators (e.g., system pressures, flow rates, radiation levels, release rates, etc.), necessary to continually assess the consequences of the emergency events/conditions, identified and monitored? Ref. EC P/E11.2</p>	
<p>12.2.2.7 Is the consequence assessment process integrated with processes for categorizing an event as an emergency, determining the appropriate emergency class, protective action decision-making, and locating and recovering materials? Rev. EC P/E11.3</p>	
<p>12.2.2.8 Are natural phenomena (e.g., tornados, floods, severe wind, ice, or snow), which may result in or exacerbate an emergency condition at the facility, operation, and/or activity monitored? Rev. EC P/E11.7</p>	
<p>12.2.2.9 Are the tools used in consequence assessment, such as system hardware and software for meteorological monitoring and dose modeling, etc. available, reliable, calibrated and consistent with DOE and industry standards? Rev. EC P/E11.10</p>	
<p>12.2.2.10 Are the type of hazard and source term for the release of a hazardous material successfully determined either with available and reliable facility system parameters and effluent monitors or with data that is not normally monitored and measured? Ref. EC P/E11.11</p>	

<p>12.2.2.11 Is data for source term estimates available from reliable sources (e.g., stack or process flow rates, concentrations, tank volumes, and containment or process building leak rates)? Ref. EC P/E11.11</p>	
<p>12.2.2.12 Is the methodology for determining the type of hazard and source term compatible with instrumentation/monitor values (e.g., engineering units, range, and conversion factors)? Ref. EC P/E11.11</p>	
<p>12.2.2.13 Are the instruments used for detection of chemical releases to the atmosphere sufficient range to accurately determine the concentration of the released chemical(s) in air versus the Emergency Response Planning Guideilnes (ERPGs)? Ref. EC P/E11.11</p>	
<p>12.2.2.14 Are indicators that are not continually monitored (e.g., chemical analyses of fluids, contamination levels, etc.,) sampled to identify the particular indicators to be continually monitored to assess the consequences of potential events, in addition to occurring events, by identifying trends, relationships, etc., that would indicate degrading conditions? Ref. EC P/E11.11</p>	
<p>12.2.2.15 Are onsite and offsite receptors of interest identified quickly and readily available to emergency managers (e.g., receptor locations at the facility and site boundaries, to or beyond the EPZ boundary, and populations with special needs.)? Rev. EC P/E11.13</p>	
<p>12.2.2.16 Is adequate meteorological information obtained for use in transport and dispersion calculations to project the consequences of the hazardous material release to the environment, onsite and offsite? Ref. EC P/E11.12</p>	

<p>12.2.2.17 Do the consequence estimates for actual or potential releases of hazardous materials meet the following requirements:</p> <p>Are made in a timely manner, efficiently, and accurately (i.e., consistent with the accuracy of the input data);</p> <p>Account for releases from ground level and elevated release points, or monitored and unmonitored pathways; make use of post accident analysis results and field monitoring team data, as appropriate;</p> <p>Include calculations of radioactive dose or toxic chemical exposure for the external, inhalation, and ingestion pathways, as appropriate;</p> <p>Are provided for receptor locations at the facility and site boundaries, to or beyond the EPZ boundary, and for populations with special needs; and</p> <p>Use appropriate facility-specific Protective Action Criteria (PAC) which are identified and readily available to consequence assessment teams for estimating health effects at a specified distance from the event.</p> <p>Ref. EC P/E11.14</p>	
<p>12.2.2.18 Do field teams receive initial, conservative estimates of projected consequences in a timely manner prior to being dispatched for sampling, monitoring, and plume tracking activities?</p> <p>Ref. EC P/E11.15</p>	
<p>12.2.2.19 Are field sampling and monitoring activities used to verify, update, and refine the source term and projected consequences through coordination with those responsible for consequence estimates?</p> <p>Ref. EC P/E11.16</p>	
<p>12.2.2.20 Do field teams (i.e., radiological and non-radiological field teams) successfully accomplish field monitoring and plume tracking within and beyond the EPZ, and, similarly, verify the absence of consequences in specific areas?</p> <p>Ref. EC P/E11.17</p>	

<p>12.2.2.21 As available, is data from environmental monitoring programs used to support consequence assessment, including data from installed air monitors, area radiation monitors, and in-plant surveys? Ref. EC P/E11.18</p>	
<p>12.2.2.22 Is effective coordination established with Federal, tribal, state, and local organizations to estimate the impact of the release on the public and the environment, locate and track hazardous materials released, and locate and recover materials, especially those with national security implications? Ref. EC P/E11.16</p>	
<p>12.2.2.23 Are field monitoring and data collection by facility and site teams, State and local teams and Federal teams coordinated to facilitate exchanges and correlation of information? Ref. EC P/E11.17</p>	
<p>12.2.2.24 Is effective coordination established with Federal, tribal, state and local organizations to estimate the impact of the release on the public and the environment, locate and track hazardous materials released, and locate and recover materials, especially those with national security implications? Ref. EC P/E11.19</p>	
<p>12.2.2.25 Are field monitoring and data collection by facility and site teams, state and local teams and Federal teams coordinated to facilitate exchanges and correlation of information? Ref. EC P/E11.20</p>	
<p>12.2.2.26 Are assessments and analyses clearly communicated to offsite emergency management decision-makers? Are engineering units used in facility/site consequence assessment understood and compatible with the units used by offsite emergency response authorities? Are differences in modeling methods well understood by onsite and offsite emergency response personnel? Ref. EC P/E11.21</p>	



<p><b>12.2.3 If the facility has the potential for an OE classified as a General Emergency, does the facility/site have connectivity to NARAC capabilities and procedures to use the NARAC capability effectively as part of near real-time consequence assessment activities for the mode (primary, backup, corroborating) selected by the facility? Ref. DOE O 151.1C, CRD Section 13b</b></p>	
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<b>3.14 Element 13: Protective Actions and Reentry</b>	
<b>3.14.1. Description</b>	
<b>Protective actions must be promptly and effectively implemented or recommended for implementation, as needed, to minimize the consequences of emergencies and to protect the health and safety of workers and the public. Protective actions must be implemented individually or in combination to reduce exposures to a wide range of hazardous materials. Protective actions must be reassessed throughout an emergency and modified as conditions change. Reentry activities must be planned, coordinated, and accomplished properly and safely. (13.1.1)</b>	
Reference DOE Order 151.1C Attachment 2, Contractor Requirements Document Section 14.	
Reference Emergency Management Guide, DOE G 151.1-1, Part 1, Volume IV, Section 7	
Reference Emergency Management Guide DOE G 151.1-1, Part 1, Volume III, Appendix D, Evaluation Criteria	
<b>3.14.2. Typical Compliance Problems</b>	
Personnel responsible for protective actions (PA) are not proficient in performing the task.	
PA is delayed.	
Initial decision-makers cannot interpret PA formulation tools.	
Emergency response managers are not familiar with criteria for classifying emergencies and issuing PA and cannot use site procedures to identify these criteria.	
Procedures for PA lack sufficient guidance.	
Consequence assessors do not apply the correct PA criteria when formulating PA recommendations for decision-makers.	
Co-located workers are not promptly notified of required PA.	
Security force dispatch and response personnel lack familiarity with emergency management concepts of isolation zones, PA zones and EPZs to ensure their safety.	
Security forces do not possess personal protective equipment or are not trained in its use.	
Emergency response managers rely on memory instead of procedures for performing tasks like categorization/classification and formulation of PA.	
Procedures for updating PA recommendations following analysis of consequence assessment of field monitoring data are not available.	
Tools are not available for overlaying consequence projections onto maps showing impacted areas, receptors and applicable PA.	
Procedures lack guidance on roles and responsibilities for deploying PA forces to an incident scene outside a facility boundary without placing forces in harm's way.	
Procedures do not adequately address PA and personnel could mistakenly be directed to evacuate to an assembly area rather than to shelter in place.	
Protective action guides for emergency workers are not consistent with 10 CFR 835 dose limits and may not contain the 10 CFR 835 requirements for approvals.	
Documents used by incident commanders for recommending PA for the public are uncontrolled and not specifically supported by any emergency procedures.	
Job aids do not contain decision paths with observable criteria.	
<b>3.14.3. Instructions to Evaluator:</b>	
<b>DOCUMENT/RECORDS REVIEW</b>	<b>NOTES</b>
<i>Review emergency procedures for determining and implementing protective actions, notifying offsite agencies that receive public protective recommendations, and conducting reentry.</i>	

<p><i>Review memoranda of agreement regarding consensus among site and offsite jurisdictions about PA to be implemented in demographic sectors surrounding the site.</i></p>	
<p><i>Review curriculum lessons plans for ERO members responsible for formulating protective actions.</i></p>	
<p><i>Review training and qualification records for individuals qualified as decision-makers and responsible for formulating and implementing PA.</i></p>	
<p><b>13.2.1 Did the contractor, at the DOE/NNSA site/facility:</b></p> <p><b>Develop procedures to implement the separate protective actions of evacuation and sheltering of employees?</b></p> <p><b>Develop a procedure to account for employees after emergency evacuation has been completed?</b></p> <p><b>Does the contractor ensure the protection of workers, covered by 29 CFR 1910.120, involved in response and clean up?</b></p> <p><b>Ref. DOE Order 151.1C Attachment 2, CRD Sec 14a(3)</b></p>	

<p><b>13.3.1 Did the contractor (at DOE/NNSA Operational Emergency Hazardous Material Program facilities) predetermine protective actions for onsite personnel and the public, and did this include:</b></p> <p><b>Methods for controlling, monitoring, and maintaining records of personnel exposures to hazardous materials;</b></p> <p><b>Procedures to implement the separate protective actions of evacuation and sheltering of employees;</b></p> <p><b>Methods for controlling access to contaminated areas and for decontaminating personnel or equipment exiting the area;</b></p> <p><b>Actions that may be taken to increase the effectiveness of protective actions [i.e., heating, ventilation, and air conditioning (HVAC) shutdown during sheltering];</b></p> <p><b>Methods for providing timely recommendations to appropriate State, Tribal, or local authorities of protective actions, such as sheltering, evacuation, relocation, and food control; and</b></p> <p><b>Specific protective action criteria, based on the Base Order, paragraph 4a(14), for use in protective action decision-making. Ref. DOE Order 151.1C Attachment 2, CRD Sec 14b</b></p>	
<p>13.3.1.1 Are initial onsite Protective Actions (PAs) and offsite Protective Action Recommendations (PARs) linked to facility-specific OE event classification criteria [i.e., Emergency Action Levels (EALs)]? Ref. EC P/E12.5</p>	
<p>13.3.1.2 Are initial onsite PAs and offsite Protective Action Recommendations (PARs) linked to facility-specific biological OE event recognition and categorization criteria? Ref. EC P/E12.6</p>	
<p><b>Observations by Evaluators</b></p>	<p><b>Notes</b></p>
<p><i>Observe emergency protective action decision making during an emergency exercise (use of procedures, knowledge, timely).</i></p>	

<i>Observe adequacy of protective equipment in the field and within emergency response facilities during response.</i>	
<i>Observe use of equipment by emergency personnel.</i>	
<i>Observe emergency communications and interfaces with offsite emergency management organizations concerning protective action decision-making and communications.</i>	
<i>Observe emergency communication and interfaces between protective action decision makers and internal groups such as security, HP, IH.</i>	
<i>Observe the protection of workers during emergency response.</i>	
<i>Observe the planning, coordination and implementation of reentry activities.</i>	
<p><b>13.1.1 Were protective actions promptly and effectively implemented or recommended for implementation, as needed, to minimize the consequences of emergencies and to protect the health and safety of workers and the public?</b></p> <p><b>Were protective actions implemented individually or in combination to reduce exposures to a wide range of hazardous materials?</b></p> <p><b>Were protective actions reassessed throughout an emergency and modified as conditions change?</b></p> <p><b>Were Reentry activities planned, coordinated, and accomplished properly and safely?</b>  <b>Ref. DOE Order 151.1C Attachment 2, CRD Section 14</b></p>	
<p>13.1.1.1 Are all emergency response activities, including search and rescue, incident mitigation activities, field monitoring, and reentry planned and controlled with a focus on health and safety of emergency responders within pre-planned protective action exposure guidelines?  Ref. EC P/E12.1</p>	
<p>13.1.1.2 Do protective actions reflect a conservative assessment of the level of health effect and extent of potentially affected/impacted area and populations?  Ref. EC P/E12.3</p>	

<p>13.1.1.3 Are the notification and implementation of onsite PAs and notification of offsite PARs made in a timely, efficient, and unambiguous manner confirmed and monitored by the ERO? Ref. EC P/E12.4</p>	
<p>13.1.1.4 Are modifications to initial protective actions developed and implemented based on updated and refined data generated from the continuous consequence assessment process? Ref. EC P/E12.8</p>	
<p>13.1.1.5 Are other possible protective actions for onsite and offsite populations, such as thyroid blocking agent, chemical neutralizing agents, water and food intervention levels, transportation route access controls, and impromptu respiratory protection considered by decision-makers? Ref. EC P/E12.9</p>	
<p>13.1.1.6 Is onsite protective action decision-making coordinated with site organizations such as security and safety? Security and law enforcement measures implemented during a physical attack that impact worker and responder access and egress (e.g., lockdown) are coordinated with emergency management and site security? The identification of necessary PPE is coordinated with emergency management and safety professionals, including industrial safety, industrial hygiene, health physics, and fire protection engineering? Ref. EC P/E12.10</p>	
<p>13.1.1.7 Is reentry and approval of extended dose or exposure limits within the authority and responsibility of the Emergency Director? Ref. EC P/E12.22</p>	
<p>13.1.1.8 Are reentry activities performed safely and efficiently, with specific team composition (e.g., minimum of one medically trained member) and equipment that accomplishes the mission? Ref. EC P/E12.24</p>	

<p>13.1.1.9 Does reentry planning address the following:  Conduct of operations during reentry;  Range of hazardous materials which may be encountered;  Hazard control procedures; type and nature of potential safety failures;  Guidelines for prioritization of reentry activities;  Team selection, personnel safety, job planning, communications during reentry; record keeping;  and  Provisions for backup to every reentry?  Ref. EC P/E12.25</p>	
<p>13.1.1.10 Are exposure criteria established and available for each type of reentry activity, including search and rescue, and repair? Are 10 CFR 835, Subpart N limits observed for radiological events, such as lifesaving, protection of health and property, and recovery of deceased? Volunteers are used for high-risk situations?  Ref. EC P/E12.27</p>	
<p>13.1.1.11 Do facility personnel estimate exposure to hazardous materials to protect workers and the public during reentry and recovery activities?  Ref. EC P/E12.23</p>	
<p>13.1.1.12 Does reentry planning include contingency planning to ensure the safety of reentry personnel, such as planning for the rescue of reentry teams?  Do all individuals involved in reentry receive a hazards/safety briefing consistent with Federal, State, and local laws and regulations?  Ref. EC P/E12.26</p>	
<p>13.1.1.13 Do responders involved in reentry receive pre-reentry hazards/safety briefings prior to emergency response activities and post-reentry briefings consistent with Federal, tribal, state, and local laws and regulations?  Ref. EC P/E12.28</p>	
<p>13.2.1.1 Was PPE selection, use limitations, care, maintenance, useful life and disposal in accordance with the referenced requirements?  Ref. 29 CFR 1910.120 (q) (10) and 29 CFR 1910.120(g)</p>	

<p>13.2.1.2 Did employees engaged in emergency response and exposed to hazardous materials presenting inhalation hazards or potential inhalation hazard wear positive pressure self-contained breathing apparatus while engaged in emergency response, in accordance with the referenced requirement? Ref. 29 CFR 1910.120 (q)(3)(iv)</p>	
<p>13.2.1.3 Did backup personnel stand by with equipment ready to provide assistance or rescue? Did advanced first aid support personnel, as a minimum, stand by with medical equipment and transport capability? Ref. 29 CFR 1910.120 (q)(3)(vi)</p>	
<p>13.2.1.4 Were respiratory protection fit tests, selection, use, maintenance and training conducted in accordance with the referenced OSHA requirements? Ref. 29 CFR 1910.132 (General Requirements for PPE Program) and 29 CFR 1910.134 (Respiratory protection requirements)</p>	
<p>13.2.1.5 Are plans followed for the timely evacuation and/or sheltering of onsite personnel, along with provisions to account for employees after emergency evacuation has been completed? Ref. EC P/E12.11</p>	
<p>13.2.1.6 Emergency evacuations for site personnel: Are evacuation route selection and logistical details implemented promptly and efficiently? Ref. EC P/E12.12</p>	
<p>13.2.1.7 Do multiple evacuation egress routes provide options based upon release type and wind direction; and do evacuation routes avoid hazards, are routes familiar to site personnel, and coordinated with offsite authorities? Ref. EC P/E12.12</p>	
<p>13.2.1.8 Is the reception/relocation center sufficient to accommodate the expected number of personnel; and are adequate personnel assigned to control evacuees and are they kept aware of change in onsite protective action modifications? Ref. EC P/E12.12</p>	



<p>13.2.1.9 Do trained and assigned individuals assume and carry out responsibilities for building or facility accountability in the event of personnel evacuation? Ref. EC P/E12.13</p>	
<p>13.2.1.10 Is initial accounting for all evacuated personnel completed in a timely manner to support initial search and rescue activities? Ref. EC P/E12.13</p>	
<p>13.2.1.11 Is accountability continued to support ongoing search and rescue activities following an emergency evacuation? Ref. EC P/E12.13</p>	
<p>13.2.1.12 Are provisions implemented to protect workers involved in response and cleanup? Does this include measures to ensure that security, fire, medical, and other response personnel are protected from exposure to hazards during the course of their movements while supporting response? Ref. EC P/E12.14</p>	
<p>13.3.1.3 Are applicable Protective Action Criteria (PACs) used in protective action (e.g., sheltering, evacuation) decision-making for the actual or potential release of hazardous materials to the environment?</p> <p>For radioactive materials, are Protective Action Guide (PAGs) promulgated by the EPA used?</p> <p>Does the site use the following PACs for toxic chemicals (listed in order of preference): Acute Exposure Guideline Levels (AEGLs) promulgated by EPA; ERPGs published by the American Industrial Hygiene Association; and Temporary Emergency Exposure Limits (TEELs) developed by DOE?</p> <p>Does the site follow the following for hazardous biological materials: PACs are considered exceeded and immediate protective actions are required for any actual or potential release of agents or toxins outside of secondary containment barriers. Long term PACs are specified by state or local public health officials? Ref. EC P/E12.2</p>	

<p>13.3.1.4 Is habitability of onsite facilities, including emergency facilities, periodically determined using dosimetry and survey instruments, and relocation/evacuation measures are taken, if necessary? Ref. EC P/E12.15</p>	
<p>13.3.1.5 Are actions that may be taken to increase the effectiveness of PAs (i.e., heating, ventilation, and air conditioning (HVAC) shutdown during sheltering) implemented in a timely and efficient manner? Ref. EC P/E12.16</p>	
<p>13.3.1.6 Is access to and egress from actual or potentially contaminated areas, or the site, monitored and controlled? Are people, vehicles, and equipment effectively monitored before leaving contaminated areas and the site, if possible; or, upon arrival at designated decontamination, relocation, or assembly areas? Is sufficient staffing and equipment available to activate designated monitoring locations? Ref. EC P/E12.17</p>	
<p>13.3.1.7 Do emergency facilities, equipment, personnel, and implemented methods and criteria provide effective decontamination of personnel and equipment for various levels and types of contamination (e.g., skin contamination)? Ref. EC P/E12.18</p>	
<p>13.3.1.8 Are candidate PARs coordinated with offsite authorities and well-defined geographic areas for sheltering and evacuation, special needs areas or special populations, and evacuation routes are readily available? Ref. EC P/E12.20</p>	
<p>13.3.1.9 Are ingestion pathway PARs formulated when appropriate and communicated to offsite authorities? Ref. EC P/E12.21</p>	
<p>13.3.1.10 Are records of personnel exposures to hazardous materials (radiological, chemical and biological) effectively controlled, monitored, and maintained? Ref. EC P/E12.29</p>	
<p>13.3.1.11 Are the names of individuals surveyed, the extent of any contamination found, the instruments used and the methods employed, and results of any decontamination efforts recorded? Ref. EC P/E12.30</p>	

<p>13.3.1.12 Are contaminated individuals scheduled for follow-up actions (e.g., subsequent whole body counts and/or bio-assays)? Ref. EC P/E 12.31</p>	
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<b>3.15 Element 14: Emergency Medical Support</b>	
<b>3.15.1. Description</b>	
<b>Medical support for contaminated or injured personnel must be planned and promptly and effectively implemented. Arrangements with offsite medical facilities to transport, accept, and treat contaminated, injured personnel must be documented. (14.1.1)</b>	
Reference DOE Order 151.1C, Attachment 2, Contractor Requirements Document Section 15.	
Reference Emergency Management Guide, DOE G 151.1-1, Part 1, Vol. IV, Section 8	
Reference Emergency Management Guide DOE G 151.1-1, Part 1, Volume III, Appendix D, Evaluation Criteria	
<b>3.15.2. Typical Compliance Problems</b>	
Arrangements with offsite medical responders to accept and treat contaminated injured persons are to clear and effective.	
Patient information is not shared between health care providers.	
Medical response time is not adequate.	
Information and training not provided to offsite medical responders regarding handling contaminated injured from site.	
Coordination problems between medical responders and radiological protection personnel involving contaminated injured personnel.	
Coordination problems between security and medical responders effect response time.	
Employee medical records and treatment history is not available to emergency medical responders.	
<b>3.15.3. Instructions to Evaluator:</b>	
<b>DOCUMENT/RECORDS REVIEW</b>	<b>NOTES</b>
<i>Review site emergency plan and procedures pertaining to emergency medical planning and response.</i>	
<i>Review the Site Medical Plan.</i>	
<i>Review agreements with ambulance, Life flight, and hospitals.</i>	
<i>Review training records of site emergency medical personnel.</i>	
<i>Review records of information and training provided to offsite emergency medical organizations.</i>	
<b>14.1.1 Is medical support for contaminated or injured personnel planned to be promptly and effectively implemented?</b>	
<b>Are arrangements with offsite medical facilities to transport, accept, and treat contaminated, injured personnel documented?</b>	
<b>Ref. DOE O 151.1C, CRD Section 15</b>	
14.1.1.1 Do standing orders/protocols ensure that patients are transported to the receiving facility best equipped to provide appropriate level of care for patient's condition? Ref. EC P 13.5	

<p>14.1.1.2 Are there arrangements for the site to take responsibility for removal of contaminated material in offsite medical facilities or vehicles? Ref. EC P13.14</p>	
<p>14.1.1.3 Are procedures in place in biosafety facilities that allow rapid and effective communications among public health officials, emergency rooms, law enforcement, and emergency management officials about unusual biological events? Ref. EC P/E13.7</p>	
<p>14.1.1.4 Are provisions in place for medical personnel to assume the role of primary responders during an event involving the release of hazardous biological material? Ref. EC P/E13.8</p>	
<p><b>14.2.1 Does the contractor provide medical treatment and planning for mass casualty situations?</b></p> <p><b>Does the contractor coordinate in advance the sharing of patient information between onsite and offsite health care providers during emergencies, consistent with the requirements of Health Insurance Portability and Accountability Act of 1996 [42 USC 300]?</b> Ref. DOE O 151.1C, CRD Section 15a</p>	
<p><b>14.3.1 Does the contractor provide medical support for workers contaminated by hazardous material?</b></p> <p><b>Did the contractor document arrangements with onsite and offsite medical facilities to accept and treat contaminated, injured personnel?</b> <b>Ref: DOE O 151.1C, CRD Section 15b and DOE Order 440.1A</b></p>	
<p>14.3.1.1 Are provisions in place to access, as necessary, additional medical assistance and treatment procedures, and associated points of contacts, including: search and rescue resources, Radiological Emergency Assistance Center/Training Site (REAC/TS) assistance, Public Health Service coordination, long-term longitudinal health testing, chelation, handling contaminated remains, and other sophisticated medical procedures? Ref. EC P/E13.15</p>	

14.3.1.2 Are arrangements with offsite medical facilities to transport, accept, and treat contaminated, injured personnel established, documented, and periodically reviewed? Ref. EC P13.16	
14.3.1.3 Are onsite and offsite medical personnel offered information and training on facility-specific hazardous materials and offered opportunities for participation in drills and exercises in advance of emergencies? Ref. EC P13.18	
14.3.1.4 Are biosafety surveillance plans established for detecting unusual medical events, and are specific responsibilities for surveillance and reporting identified? Ref. EC P13.19	
<b>Observations by Evaluators</b>	<b>Notes</b>
<i>Observe emergency medical response during an emergency exercise (activation, response time, triage, assessment, contamination control, etc.)</i>	
<i>Observe emergency medical facilities and vehicles used during response.</i>	
<i>Observe use of equipment used by emergency medical personnel.</i>	
<i>Observe emergency medical communications and interfaces with emergency management, incident command, IH, RP, security, human resources, offsite medical support services.</i>	
14.1.1.5 Are provisions for response to emergency medical situations and medical treatment of injured personnel implemented? Ref. EC P/E13.1	
14.1.1.6 Is their assurance that security clearance issues do not impede medical treatment or transport of injured personnel? Ref. EC P/E13.10	
14.1.1.7 Is there coordination between onsite and offsite medical response units, including: Treatment protocols are coordinated? Medical support services and capabilities are effectively integrated? Medical communications systems are compatible and effective? Ref. EC P/E13.5	
14.1.1.8 Is appropriate recognition and emphasis focused on medical treatment vs. radioactive or chemical contamination for personnel; proper and effective decisions are made? Ref. EC P13.11	

14.1.1.9 Do ambulance crews initiate communications with receiving medical facilities while en route? Ref. EC P/E13.6	
14.1.1.10 During an event involving the release of hazardous biological material, are there provisions for medical personnel to assist in release detection/confirmation, consequence assessment, and development of protective actions? Ref. EC P/E13.8	
14.1.1.11 Are onsite and offsite medical facilities outfitted and staffed to utilize specialized equipment and supplies specific to onsite hazards? Ref. EC P/E13.12	
<b>14.2.1 Is medical treatment provided for mass casualty situations in accordance with DOE Order 440.1A? Ref. DOE O 151.1C, Attachment 2 CRD, Section 15a</b>	
14.2.1.1 Are employee medical records and treatment history readily available and accessed as needed? Ref. EC P/E13.4	
14.2.1.2 Do onsite personnel who respond to a medical emergency show proficiency in first aid or emergency medical treatment comparable with those of any offsite teams employed and are they equally adequately equipped? Ref. EC P/E13.3	
14.3.1.5 Are personnel, vehicles, facilities and equipment adequate for treating and transporting injured, contaminated or exposed individuals in a safe and effective manner? Ref. EC P/E13.14	
14.3.1.6 Do onsite and offsite medical and emergency medical technician personnel use required equipment for assessing patient conditions, including PPE and medical service protective clothing? Ref. EC P/E13.14	
14.3.1.7 Is exposure and contamination information sent with victims, and expert technical support provided to the receiving hospital(s)? Ref. EC P/E13.14	

<p>14.3.1.8 Are onsite radiation protection and IH personnel and infectious disease specialists properly equipped to assist medical and EMT staff in performing patient survey, decontamination, contamination and exposure control, urine and fecal analysis, and in-vivo counting methods. Ref. EC P/E13.13</p>	
<p>14.3.1.9 Are proper contamination control procedures implemented in handling injured and contaminated personnel; and were decontamination facilities available and adequately equipped? Ref. EC P/E13.13</p>	
<p>14.3.1.10 Is the veterinary profession involved in biosafety surveillance activities, as appropriate? Ref. EC P13.19</p>	
<p>14.3.1.11 Are key indicators and medical surveillance baselines for agent/toxin effectively implemented? Ref. EC P13.19</p>	
<p>14.3.1.12 Is there an information system installed at biosafety facilities for patient monitoring, management, and tracking? Ref. EC P13.20</p>	
<p>14.3.1.13 Are key indicators and medical surveillance baselines for facility-specific agents/toxins provided to offsite medical surveillance programs for detecting unusual medical events that may have resulted from a release at a DOE/NNSA biosafety facility? Ref. EC P13.21</p>	



<b>3.16 Element 15: Emergency Public Information (EPI)</b>	
<b>3.16.1. Description</b>	
Accurate, candid, and timely information must be provided to workers, the news media, and the public during an emergency to establish facts and avoid speculation. Emergency public information efforts must be coordinated with DOE and NNSA (if appropriate); State, local, and Tribal governments; and Federal emergency response organizations, as appropriate. Workers and the public must be informed of emergency plans and planned protective actions before emergencies. (15.1.1)	
Reference DOE Order 151.1C Attachment 2, Contractor Requirements Document Section 16.	
Reference Emergency Management Guide, DOE G 151.1-1, Part 1, Volume IV, Section 9	
Reference Emergency Management Guide, DOE G 151.1-1, Part 1, Volume III, Appendix D, Evaluation Criteria	
<b>3.16.2. Typical Compliance Problems</b>	
EPI cadre does not participate with other members of the ERO in drills and exercises.	
Initial news releases are not issued within an hour following an event.	
News releases contain inaccuracies and are not timely.	
Technical briefers and spokespersons do not use plain English during briefings.	
EPI cadre does not understand or follow information approval processes and rumor control.	
EPI cadre does not understand onsite hazards and their potential effect on public health and safety.	
Reluctance to activate the JIC.	
JIC organization without offsite coordination or input.	
A DOE official does not attend press briefings.	
EPI personnel lack ready access to information and tools needed.	
Inadequate workspace and resources for media at the JIC.	
Memoranda of agreement between organizations do not include adequate detail on roles, responsibilities, authorities and provisions for providing and maintaining equipment in support of the EPI program.	
Plans are not clear and documented for providing information/education to the public and media on emergency planning and protective actions.	
Performance deficiencies identified during drills, exercises, tabletops and assessments are not corrected.	
Adequate 24 hour staffing of JIC functions is not provided consistent with the nature, severity, duration and public/media perception of the event.	
<b>3.16.3. Instructions to Evaluator:</b>	
<b>DOCUMENT/RECORDS REVIEW</b>	<b>NOTES</b>
<i>Review site emergency public information plan and procedures.</i>	
<i>Review agreements with offsite agencies for joint information center use and participation.</i>	
<i>Review agreements with DOE regarding information center management and information release.</i>	
<i>Review roster of personnel assigned to emergency public information positions.</i>	
<i>Review records of news releases prepared for emergencies/exercises.</i>	

<i>Review records of training for emergency public information personnel and spokespersons.</i>	
<i>Review plans, provisions and documents for educating the public, employees and news media about emergency plans, protective actions.</i>	
15.1.1.1 Prior to emergencies, are workers and site personnel informed of emergency response plans, response capabilities and planned protective actions? Ref. EC P14.29	
15.1.1.2 Is continuing education provided to the area news media for the purpose of acquainting the media with the facility, management personnel, facility hazards, emergency plans, and points of contact? Ref. EC P14.30	
15.1.1.3 In coordination with state and local governments, is information disseminated periodically to the public regarding facility hazards, how they will be alerted and notified of an emergency, what their actions should be in the event of an emergency, and points of contact for additional information? Ref. EC P14.31	
15.1.1.4 Are internal and external organizational relationships for emergency public information documented and maintained in the public information program? Ref. EC P/E14.32	
<b>15.2.1 Did the contractor prepare an Emergency Public Information Plan? (The same plan may cover multiple facilities.) Ref. DOE Order 151.1C Attachment 2, CRD Section 16a</b>	
15.2.1.1 Is the EPI program integrated with facility emergency management program plans and procedures? Ref. EC P14.28	

<p><b>15.2.2 Is an EPIP plan in place that provides:</b></p> <p><b>Identification of personnel, resources, facilities, and coordination procedures necessary to provide emergency public information?</b>  <b>A program for training and exercises of personnel who will interact with the media?</b>  <b>A methodology for informing workers and the public of DOE/NNSA emergency plans and protective actions, before and during emergencies?</b></p> <p><b>Coordination of public information efforts with state, local, and tribal governments, and Federal emergency response plans, as appropriate?</b>  <b>Ref. DOE Order 151.1C Attachment 2, CRD Section 16a(1)</b></p>	
<p>15.2.2.1 Is a list of 24-hour media points of contact available and maintained current?                  Ref. EC P14.33</p>	
<p><b>15.2.3 Does the EPI program have provisions in place to establish a media center—a designated location where Cognizant Field Element and contractor personnel can conduct the necessary briefings and press conferences regarding an OE?</b>  <b>Ref. DOE Order 151.1C Attachment 2, CRD Section 16a(2)</b></p>	
<p><b>15.2.9 Is an emergency public information communications system established among Headquarters, Cognizant Field Element, and on-scene locations?</b>  <b>Ref. DOE Order 151.1C Attachment 2, CRD Section 16a(8)</b></p>	

<p><b>15.3.1 The contractor at DOE/NNSA Operational Emergency Hazardous Material Program facilities must also have provisions in place to establish a Joint Information Center (JIC). A JIC is a working location, where multiple jurisdictions gather, process and disseminate public information during an emergency.</b>  <b>Are there provisions for a JIC?</b></p> <p><b>Is the JIC adequately staffed with personnel trained to serve as spokesperson and news writer?</b></p> <p><b>Are personnel assigned to the JIC to provide support in media services, public inquiry, media inquiry, JIC management and administrative activities, and media monitoring?</b></p> <p><b>Are persons with technical expertise related to the emergency and with spokesperson training also assigned to the JIC?</b></p> <p><b>Is the JIC established, directed, and coordinated by the senior Cognizant Field Element public affairs manager or a designee?</b></p> <p><b>Ref. DOE Order 151.1C Attachment 2, CRD Section 16b</b></p>	
<p><b>15.3.2 The contractor providing personnel for the Departmental emergency response assets [the Aerial Measuring system (AMS), the Accident Response Group (ARG), the National Atmospheric Release Advisory Center (NARAC), the Federal Radiological Monitoring and Assessment Center (FRMAC), the Nuclear Emergency support Team (NEST), the Radiological Assistance Program (RAP), and the Radiation Emergency Assistance Center/Training Site (REAC/TS)] must apply the Emergency Public Information Plan during deployment of the assets.</b>  <b>Are provisions in place to do so?</b>  <b>Ref. DOE Order 151.1C Attachment 2, CRD Section 16c</b></p>	

Observations by Evaluators	Notes
<i>Interview persons responsible for EPI program maintenance.</i>	
<i>Interview personnel on the EPI position roster.</i>	
<i>Observe EPI performance during drill/exercise at the media information center, joint information center, EOC, and locations where there may be interaction with news media.</i>	
<i>Observe EPI personnel interaction with emergency managers.</i>	
<p><b>15.1.1 Was accurate, candid, and timely information provided to workers, the news media, and the public during an emergency to establish facts and avoid speculation?</b></p> <p><b>Were emergency public information efforts coordinated with DOE and NNSA (if appropriate); State, local, and Tribal governments; and Federal emergency response organizations, as appropriate?</b></p> <p><b>Were workers and the public informed of emergency plans and planned protective actions before emergencies?</b></p> <p><b>Ref. DOE Order 151.1C Attachment 2, CRD Section 16</b></p>	
<p>15.1.1.5 Is information distributed to workers, site personnel, and the public regarding an operational emergency:</p> <p>Accurate, candid, and understandable?</p> <p>Current and timely?</p> <p>Provided to ensure the health and safety of workers and the public?</p> <p>Provided to establish facts, and avoid rumors and speculation?</p> <p>Responsive to public concern and information needs; and</p> <p>Consistent with the requirements of the Freedom of Information Act and the Privacy Act?</p> <p>Ref. EC P/E14.1</p>	
<p>15.1.1.6 Is information released to the public through the news media regarding the emergency accurate and relevant?</p> <p>Ref. EC P/E14.6</p>	
<p>15.1.1.7 Was an initial press statement released as soon as possible, but within one hour of the event?</p> <p>Ref. EC P/E14.6</p>	

15.1.1.8 Was the frequency and content of news conferences consistent with information needs of the public and media? Ref. EC P/E14.6	
15.1.1.9 Were press briefings held with regular frequency and whenever new or breaking information was available concerning emergency conditions, protective actions or response? Ref. EC P/E14.6	
15.1.1.10 Were technical briefers utilized who are knowledgeable and effective in communicating with the news media? Ref. EC P/E14.6	
15.1.1.11 Is the emergency public information staff proactive in obtaining emergency information from the command center or EOC? Ref EC P/E14.7	
15.1.1.12 Are medical personnel associated with the Biosafety program involved in the development of materials to be used in news releases to ensure that characterization of the hazard is conveyed accurately? Ref. EC P/E14.8	
15.1.1.13 Was information (written and verbal) released to the news media coordinated with DOE and other Federal, state, tribal and local response organizations, as appropriate? Ref. EC P/E14.20	
15.2.2.2 Do functions and staff of the EPI organization include: Information collection, coordination, protection, dissemination, and monitoring and analysis of media coverage, public concerns and information needs? Functions and staffing consistent with the nature, severity, duration and public and media perception of the event or condition? Trained spokespersons that provide support in media interface? A news writer and other trained personnel who provide support in media services, public inquiry, media inquiry, management and administrative services, and media monitoring? Ref. EC P/E14.4	
15.2.2.3 Are rumors and misinformation detected, controlled, and corrected? Is accurate information disclaiming rumors and correcting misinformation incorporated in media briefings and press releases as necessary? Ref. EC P/E14.5	

<p><b>15.2.4 In situations involving classified or unclassified controlled information, does the contractor provide sufficient publicly releasable information to explain the emergency response and protective actions required for the health and safety of workers and the public?</b>  <b>Ref. DOE Order 151.1C Attachment 2, CRD Section 16a(3)</b></p>	
<p><b>15.2.5 Are public announcements in areas involving classified or unclassified controlled information reviewed by the appropriate official before release to ensure that no classified or unclassified controlled information is contained in the announcement?</b>  <b>Ref. DOE Order 151.1C Attachment 2, CRD Section 16a(4)</b></p>	
<p>15.2.5.1 Does an authorized derivative Classifier review news releases or announcements before release to the public to ensure that no information is provided that may present a security risk?  Ref. EC P/E14.9</p>	
<p><b>15.2.6 When directed by the Cognizant Field Element, is a contractor public information officer assigned to the emergency public information response team involved in a significant offsite response deployment?</b>  <b>Ref. DOE Order 151.1C Attachment 2, CRD Section 16a(5)</b></p>	
<p>15.2.6.1 Is a public information officer assigned to a facility/site or activity emergency response team deployed offsite to provide mutual aid to a significant response?  Ref. EC P/E14.24</p>	
<p><b>15.2.7 The DOE/NNSA (as appropriate) Director of Public Affairs and the Headquarters Emergency Manager must be informed of all DOE/NNSA emergency public information actions. Are these notifications made as soon as practicable?</b>  <b>Ref. DOE Order 151.1C Attachment 2, CRD Section 16a(6)</b></p>	

<p><b>15.2.8 Are initial news releases or public statements approved by the Cognizant Field Element official responsible for emergency public information review and dissemination? Following initial news releases and public statements, are updates coordinated with the DOE/NNSA (as appropriate) Director of Public Affairs and the Headquarters Emergency Manager? Ref. DOE Order 151.1C Attachment 2, CRD Section 16a(7)</b></p>	
<p>15.3.1.1 Is the JIC adequately staffed with personnel trained to serve as spokesperson and news writer? Ref. EC P/E14.12</p>	
<p>15.3.1.2 Are persons with technical expertise related to the emergency and with spokesperson training assigned to the JIC? Ref. EC P/E14.12</p>	
<p>15.3.1.3 Are personnel assigned to the JIC to provide support in media services, public inquiry, media inquiry, JIC management and administrative activities, and media monitoring. Ref. EC P/E14.12</p>	
<p>15.3.1.4 Does the JIC support response to public inquiries in a timely manner? Ref. EC P/E14.12</p>	
<p>15.3.1.5 Are provisions in place and implemented to detect, correct and control rumors and misinformation? Ref. EC P/E14.12</p>	



<p>15.3.1.6 Is the designated Joint Information Center (JIC):</p> <p>Available, equipped, maintained and controlled to accommodate members of the news media, DOE, contractor, and offsite agency representatives, and to facilitate the preparation and coordination of emergency information release to the public through the news media?</p> <p>Does the JIC provide adequate space, equipment, communications lines, security provisions, and information resources to accommodate personnel (both media and staff) and to accomplish required functions?</p> <p>Staff includes trained spokespersons with technical expertise related to the emergency?</p> <p>Supports response to public inquiries in a timely manner?</p> <p>Are provisions in place to detect, correct, and control rumors and misinformation? Ref. EC P/E14.11</p>	
<p>15.3.1.7 Is an alternate JIC available in the event that the primary JIC becomes uninhabitable? Ref. EC P/E14.13</p>	
<p>15.3.1.8 Is JIC access control adequate and there is a means to readily identify media representatives and staff? Ref. EC P/E14.14</p>	
<p>15.3.1.9 Does the organization prepare relevant information concerning affected facilities, emergency plans, hazards and logistics and is this provided to news media in the JIC? Ref. EC P/E14.15</p>	
<p>15.3.1.10 Are appropriate visual aids available and used for briefing news media regarding events, impacted areas, consequences and protective actions? Ref. EC P/E14.16</p>	
<p>15.3.1.11 Do the management team and outside agency representatives effectively, openly, and readily share and coordinate information? Ref. EC P/E14.17</p>	

<b>3.17 Element 16: Termination and Recovery</b>	
<b>3.17.1. Description</b>	
An Operational Emergency can be terminated only after a predetermined set of criteria has been met and termination has been coordinated with offsite agencies. Recovery from a terminated Operational Emergency must include: communication and coordination with State, Tribal, and local government and other Federal agencies; planning, management, and organization of the associated recovery activities; and ensuring the health and safety of the workers and public. (16.1.1)	
Reference DOE Order 151.1C Attachment 2, Contractor Requirements Document Section 17	
Reference Emergency Management Guide, DOE G 151.1-1, Part 1, Volume IV, Section 10	
Reference Emergency Management Guide DOE G 151.1-1, Part 1, Volume III, Appendix D, Evaluation Criteria	
<b>3.17.2. Typical Compliance Problems</b>	
Termination and recovery procedures do not include adequate criteria to support decision-making.	
Recovery is not coordinated as required with offsite agencies.	
Procedures do not address coordination between emergency management and organizations responsible for event investigation.	
Personnel are not trained on event investigation.	
Rescue and recovery risks are not adequately assessed.	
Emergency is downgraded after categorization/classification.	
DOE guidelines for emergency exposure situations are not followed.	
<b>3.17.3. Instructions to Evaluator:</b>	
<b>DOCUMENT/RECORDS REVIEW</b>	<b>NOTES</b>
<i>Review plans and procedures for emergency termination and recovery.</i>	
<i>Review training records for personnel involved in recovery decision-making.</i>	
<i>Review relevant incident reports.</i>	
<i>Review plans and training in incident investigation.</i>	
<i>Review memoranda of agreement for reference to recovery coordination.</i>	
<p><b>16.1.1 Do procedures support the requirement that an Operational Emergency can be terminated only after a predetermined set of criteria has been met and termination has been coordinated with offsite agencies?</b></p> <p><b>Do procedures support the requirement that recovery from a terminated Operational Emergency must include: communication and coordination with State, Tribal, and local government and other Federal agencies; planning, management, and organization of the associated recovery activities?</b></p> <p><b>Reference DOE Order 151.1C Attachment 2, CRD Sec 17</b></p>	

<p>16.1.1.1 Is there an approved, predetermined set of criteria for terminating a classified OE [e.g., an airborne release of (or loss of control over) hazardous material]?</p> <p>Selected termination criteria may include the following:</p> <ul style="list-style-type: none"><li>Recovery plan is developed;</li><li>Recovery staff is identified;</li><li>Event scene/facility is in stable condition;</li><li>Event scene/facility is isolated and can be preserved;</li><li>Resources are available to begin recovery activities;</li><li>All releases of hazardous materials are ended or below level of regulator concern;</li><li>Accountability of all personnel is complete;</li><li>Contaminated areas are identified, isolated and secured;</li><li>All injured and contaminated personnel have been treated and transported;</li><li>Notification of next-of-kin of victims;</li><li>Protective actions have been adjusted according to extended conditions;</li><li>Recovery manager and staff have been fully briefed by the Emergency Director; and</li><li>Notifications are made to DOE, other Federal, state, and local response organizations.</li></ul> <p>Ref. EC P/E15.4</p>	
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<p><b>16.2.1 Do contractor plans ensure the following:</b></p> <p><b>Coordination of termination decision with state, tribal, and local agencies and organizations responsible for offsite emergency response and notification?</b></p> <p><b>Establishment of criteria for resumption of normal operations?</b></p> <p><b>Do procedures for recovery also include provisions for investigation of the root cause(s) of the emergency and corrective action(s) to prevent recurrence in accordance with Departmental requirements (e.g., see DOE O 225.1A, <i>Accident Investigations</i>, dated 11-26-97, DOE O 231.1A, <i>Environment, Safety, and Health Reporting</i>, with <i>Change I</i> dated 6-3-04, and DOE 5480.19, <i>Conduct of Operations Requirements for DOE Facilities</i>, with <i>Change 2</i>, dated 10-23-01)?</b></p> <p><b>Reference DOE Order 151.1C Attachment 2, CRD Sec 17a</b></p>	
<p>16.2.1.1 Are provisions in place to perform accident assessment and investigation, consistent with event severity, including: root cause analysis, accident reporting, collection of event documentation, assessment of facility condition, and assessment of contamination effects if relevant? Ref. EC P/E15.13</p>	

<p><b>16.3.1 Did the contractor at DOE/NNSA Operational Emergency Hazardous Material Program facilities also—</b>  <b>Establish predetermined criteria for termination of emergencies?</b></p> <p><b>Have the means for estimating exposure to hazardous materials and for protecting workers and the general public from exposure during reentry and recovery activities?</b></p> <p><b>Do recovery procedures include the following:</b></p> <p><b>Dissemination of information to Federal, State, Tribal, and local organizations regarding the emergency and possible relaxation of public protective actions;</b></p> <p><b>Planning for decontamination actions;</b></p> <p><b>Establishment of a recovery organization;</b></p> <p><b>Development of reporting requirements; and</b></p> <p><b>Establishment of criteria for resumption of normal operations;</b></p> <p><b>Have procedures been developed to not downgrade emergencies, once categorized, to a lower significance category unless the original categorization was incorrect?</b></p> <p><b>Reference DOE Order 151.1C Attachment 2, CRD Sec 17b</b></p>	
<p>16.3.1.1 Is each individual authorized to perform emergency actions likely to result in occupational doses exceeding the values of the limits provided at 10 CFR835.202(a) trained in accordance with 10 CFR835.901(b) and briefed beforehand on the known or anticipated hazards to which the individual will be subjected?          10CFR835.1302(d)</p>	
<p><b>Observations by Evaluators</b></p>	<p><b>Notes</b></p>
<p><i>Interview personnel responsible for emergency classification and termination.</i></p>	
<p><i>Interview personnel who would be responsible for recovery operations.</i></p>	
<p><i>Observe use of termination criteria.</i></p>	

<b><i>Observe communication with offsite agencies concerning termination and recovery.</i></b>	
<b><i>Observe recovery manager command, control, and decision-making.</i></b>	
<b><i>Observe decision-making on resumption of normal operations.</i></b>	
<b><i>Observe decisions and practices for protection of re-entry personnel, recovery workers, general employees and the public.</i></b>	
16.1.1.2 Are recovery activities coordinated with Federal, tribal, state and local and other agencies and are they in compliance with their requirements? Ref. EC P/E15.15	
16.1.1.3 Is the risk of injury to those individuals involved in rescue and recovery operations minimized? Ref. 10CFR835.1302(a)	
16.1.1.4 Does operating management weigh actual and potential risks against the benefits to be gained? Ref. 10CFR835.1302(b)	
16.1.1.5 Is no individual required to perform a rescue action that might involve substantial personal risks? Ref. 10CFR835.1302(c)	
16.1.1.6 Do facility personnel estimate exposure to hazardous materials to protect workers and the public during reentry and recovery activities? Ref. EC P/E15.8	
16.1.1.7 Prior to terminating the emergency response, does the site ERO establish the recovery organization and determine the resources needed to begin recovery operations? Ref. EC P/E15.9	
16.1.1.8 Is the decision to terminate emergency response for an OE made by the site ERO and is it coordinate4d with all principle participating response organizations (i.e., state, local, tribal, DOE Headquarters, other participating Federal agencies)? Are internal and external communications that are associated with termination performed? Ref. EC P/E15.1	

<p>16.1.1.9 Does the decision to terminate an OE not requiring classification formally announce or acknowledge that the situation is stabilized and that the response activity is ending or has been substantially scaled back? Are termination criteria observable associated with the event/condition? Ref. EC P/E15.2</p>	
<p>16.1.1.10 Is the beginning of the recovery phase marked by the termination decision and subsequent notifications that an event no longer constitutes an Operational Emergency? Ref. EC P/E15.10</p>	

<p>16.1.1.11 Does the plan and recovery organization address the following areas, as needed:</p> <p>Dissemination of information to Federal, tribal, state, and local organizations?</p> <p>Regarding the emergency and possible relaxation of protective actions?</p> <p>Notifications associated with termination?</p> <p>Accident assessment and investigation?</p> <p>Recovery planning and scheduling; Repair and restoration?</p> <p>Planning for clean-up and decontamination?</p> <p>Waste management?</p> <p>Regulatory (e.g., environmental) compliance; security; crime scene investigation?</p> <p>Communication and notifications?</p> <p>Development and approval of recovery procedures?</p> <p>Replenish, repair or replace emergency equipment or consumables?</p> <p>Health and safety (e.g., medical follow-up planning)?</p> <p>Reporting requirements; and</p> <p>Criteria for the resumption of normal operations?</p> <p>Ref. EC P/E15.12</p>	
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<p>16.2.1.2 Is an approved, predetermined set of criteria for terminating an OE not requiring classification met?</p> <p>Selected general termination criteria that apply may include the following:</p> <ul style="list-style-type: none"> <li>Recovery plan is developed</li> <li>Recovery staff is identified</li> <li>Event scene/facility is in stable condition</li> <li>Event Scene/facility is isolated and can be preserved</li> <li>Resources are available to begin recovery activities</li> <li>Notification of next of kin of victims</li> <li>Recovery manager and staff have been fully briefed by the ED</li> <li>Notifications are made to DOE/NNSA, other Federal, tribal, state and local response organizations.</li> </ul> <p>Ref. EC P/E15.5</p>	
<p>16.2.1.3 Are additional OE-specific criteria for emergencies not requiring classification met?</p> <p>Ref. EC P/E15.6</p>	
<p>16.2.1.4 Does the recovery plan to return the affected facility/area to normal operations following the termination of the OE developed by the recovery organization and does it depend on (i.e. is commensurate with) the severity and nature of the emergency event or condition?</p> <p>Ref. EC P/E15.11</p>	
<p>16.2.1.5 Is the decision to terminate a classified OE based on the need for the ERO to remain fully active to monitor and manage the situation? Is there a declaration that a decision has been reached that the full ERO is no longer needed and the ERO may now begin to reduce its support? Do termination criteria represent the decision criteria to be satisfied?</p> <p>Ref. EC P/E15.3</p>	
<p>16.2.1.6 Are termination criteria for hazardous biological material release OE similar to an OE that requires classification, such as the release of toxic or radioactive materials? Is the decision to terminate a biological OE based on the perceived need for the ERO to remain fully active to monitor and manage the situation? Is termination a declaration that a decision has been reached that the full ERO is no longer needed and the ERO may not begin to reduce its support?</p> <p>Ref. EC P/E15.7</p>	

<p>16.2.1.7 Is the root cause of emergencies investigated and are corrective actions developed to prevent recurrence according to Departmental Requirements? Ref. EC P/E15.14</p>	
<p>16.3.1.2 Does the organization following DOE guidelines for Emergency Exposure Situations? DOE G 441.1-1A identifies regulatory provisions and recommended guidance documents for achieving compliance with 10CFR835. For emergency exposure situations, DOE G 441.1-1A identifies DOE O 151.1 as the guidance document. •DOE G 151.1-1, Volume IV provides guidance in the form of dose criteria and judgment factors for three emergency exposure situations: saving of human life, recovery of deceased victims; and protection of health and property. Refs.10CFR835.1302; DOE G 441.1-1A; DOE G 151.101, Volume IV</p>	

## **4. ACCREDITATION ASSESSOR TRAINING PROGRAM**

