

U. S. Department of Energy

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**Baseline Emergency Management
Criteria and Review Approach Document**



Washington, DC 20585

April 2016

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FOREWORD

In its Implementation Plan for DNFSB Recommendation 2014-1, DOE proposed to test a draft single Criteria and Review Approach Document (CRAD) for emergency management. While there will still be the need to tailor this Baseline Emergency Management CRAD to the specific hazards that are present or to focus on specific areas during an assessment, this document eliminates the need for individual assessment team members to develop a CRAD for each assessment.

This Baseline Emergency Management CRAD is based on DOE Order 151.1C and is organized according to the Program Elements that are contained in that Order. This Baseline Emergency Management CRAD is also divided into three sections: (1) Facility/Site, (2) Cognizant Field Element, and (3) Program Office. Each of these organizational levels had differing responsibilities and requirements. Each section can be used for self-assessments, as well as by oversight organizations.

For each program element in this Baseline Emergency Management CRAD, there are:

1. An overall program goal
2. Specific objectives based on the requirements in DOE O 151.1C
3. Criteria, specifics by which the performance objectives are measured
4. Lines of inquiry, which provided suggestions on how to evaluate the objective and criteria, and
5. An approach section suggesting document reviews, interviews and observations that can be used to gather the information necessary to assess the objective.

Objectives and Criteria are numbered. When tailoring the Baseline Emergency Management CRAD, this numbering should be retained when objectives/criteria are eliminated, in order to support future data consolidation efforts. Lines of inquiry and review approaches are offered as suggestions.

In keeping with commitments made in the DNFSB Recommendation 2014-1 Implementation Plan, individuals using this document for assessments/self-assessments must complete the associated distance learning course, CRAD200DW, that has been created by the Emergency Operations Training Academy (EOTA).

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Constructive comments, recommendations, lessons learned from use of this document are welcome and critical to developing a report to the Deputy Secretary at the end of the pilot period (throughout 2016). Please send these to:

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FACILITY/SITE

BASELINE EMERGENCY MANAGEMENT CRITERIA AND REVIEW APPROACH DOCUMENT

1. This Baseline Emergency Management Criteria and Review Approach Document (CRAD) can be used by the facility/site operator (whether contractor or government entity – for GOGO facilities) to conduct self-assessments of their program. This Baseline Emergency Management CRAD is also to be used by oversight organizations to evaluate the facility/site program.
2. This Section of the Baseline Emergency Management CRAD is based on DOE O 151.1C. It is organized according to the Program Elements contained in the Order. The numbering of the Program Elements, which follow, match the order that the Program Elements are listed in the CRD (Attachment 2, DOE O 151.1C).
 - a. When tailoring this CRAD to the specific facility/site hazards or to the scope of a particular assessment, the numbering within this CRAD must be retained to allow for tracking across line management levels.
 - b. The numbering only applies to objectives and criteria.
 - c. Lines of Inquiry are not numbered and are suggestions/guidance to aid the assessment team.

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3. TECHNICAL PLANNING BASIS		
<p>Performance Goal: Each site has completed a Hazards Survey that examines the features and characteristics of the facility/site/activity and identifies the generic types of emergency events and conditions and the potential impacts of such emergencies to be addressed by the DOE Comprehensive Emergency Management System. For facilities/sites/activities with inventories of hazardous materials that have the potential to pose a serious threat to workers, the public, or the environment, an Emergency Planning Hazards Assessment [EPHA] has been completed that reflects both the magnitude and the diversity of the hazards and the complexity of the processes and systems associated with the hazards, and provides the technical planning basis for determining the necessary plans/procedures, personnel, resources, equipment, and analyses [e.g., determination of an EPZ] for the Operational Emergency Hazardous Material Program [DOE G 151.1-3, Page 4-20].</p> <ol style="list-style-type: none"> 1. Objective: Hazards Survey. [DOE O 151.1c, Att.2, 2[a] and DOE G 151.1-3, D.2] 2. Objective: Hazardous Material Screening Process (DOE O 151.1c, Chapter III, 3b, DOE O 151.1c, Att. 2, 2b) 3. Objective: Emergency Planning Hazards Assessment (EPHA) (DOE O 151.1C, Chapter IV, DOE O 151.1c, Att. 2, 3b(1)) 4. Objective: Maintenance of EPHA [DOE O 151.1c, Att.2, 3b(1)(d)]. 5. Objective: Emergency Planning Zone (EPZ) [DOE O 151.1c, Att.2, 3b(1)(e)] 		
OBJECTIVE		
3.1	The Hazards Survey identifies key components of the Operational Emergency Base Program that provide a foundation of basic emergency management requirements and an integrated framework for response to serious events involving health and safety, the environment, safeguards, and security.	DOE O 151.1c, Att.2, 2[a] and DOE G 151.1-3, D.2
Criterion		
3.1.1	The Hazards Survey identifies the generic types of serious emergency events or conditions to which the specific facility/site 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]	DOE G 151.1-3, App. D, P1.1
Lines of Inquiry		
	The Hazards Survey qualitatively identifies the potential impacts of different generic types of emergencies on health and safety, the environment, and national security	DOE G 151.1-3, App. D, P1.2
	The Hazards Survey identifies emergency management requirements that constitute the Operational Emergency Base Program: <ul style="list-style-type: none"> ▪ DOE orders [other than DOE O 151.1C], 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/site or activity; and ▪ Existing plans, such as earthquake self-help plans or mass casualty plans, detailing compliance with Federal, State, or local standards, are incorporated directly into the Operational Emergency Base Program or are invoked by reference. 	
	Facilities/sites and activities that require a documented, quantitative EPHA are identified by a hazardous material screening process and are indicated in the Hazards Survey.	
Criterion		

3. TECHNICAL PLANNING BASIS		
3.1.2	Hazards Surveys are reviewed and updated every three years to include changes in the hazards. If changes result in an increase in hazards, the Hazards Survey is updated immediately; otherwise, the Hazards Survey can be updated at the next scheduled review	DOE G 151.1-3, App. D, P1.5
Lines of Inquiry		
	Is there a documented schedule for updating the HS?	
	Is there a process for identifying changes in hazards present to the emergency management department?	
APPROACH		
Document/Record Review		
	Site Emergency Plan	
	Hazards Survey	
	Hazard Survey Development Procedures	
	Facility inventories, safety documents, and other evidentiary documentation used to create the HS.	
	Training documents of Site Contractor Staff Preparers	
	TQP Training Records of DOE Emergency Management Staff	
Interview		
	Contractor emergency management hazard analyst (preparer of HS)	
	Contractor emergency management staff (staff who must understand the document to complete aspects of their duties)	
	Contractor emergency management lead	
	Contractor management (Site/Facility Management as defined by DOE O 151.1C, Chapter 1)	
	DOE Site Emergency Manager	
	Cognizant Field Element Manager	
Observation		
	Not Applicable	
OBJECTIVE		
3.2	Hazardous Material Screening Process: Facilities/sites and activities must identify specific hazardous materials and quantities that, if released, could produce impacts consistent with the definition of an Operational Emergency.	DOE O 151.1c, Chapter III, 3b, DOE O 151.1c, Att. 2, 2b
Criterion		
3.2.1	The hazardous material screening process identifies all hazardous materials in a facility/site or activity that require further analysis in an EPHA].	DOE O 151.1c, Att.2, 2b(2), DOE G 151.1-3, App. D, P1.8
Lines of Inquiry		

3. TECHNICAL PLANNING BASIS		
	The screening process identifies candidate hazardous (chemical, radiological or biological) 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.	DOE G 151.1-3, App. D, P1.7
	Protective Action Criteria (PACs) are used to indicate when the consequences of a release of a radioactive or chemical hazardous material threaten or endanger health and safety.	DOE G 151.1-3, App. D, P1.7
	Chemical hazardous materials in quantities greater than a quantity that can be “easily and safely manipulated by one person” (per the provisions of 29CFR 1910.1450(b)) that are analyzed in an EPHA include: <ul style="list-style-type: none"> • Chemicals with an assigned Health Hazard rating of 3 or 4 based on NFPA 704; and • Chemicals without an assigned Health Hazard rating. 	DOE G 151.1-3, App. D, P1.14, P1.15
	The possibility that excluded materials could initiate, through fires, explosions, or process upsets, the release of other hazardous materials is considered. In addition, excluded asphyxiates are considered if they have the potential to affect collocated workers because of the large quantity, material characteristics, and favorable geography.	DOE G 151.1-3, App. D, P1.19
	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/site or activity.	DOE G 151.1-3, App. D, P.1.20
Criterion		
3.2.2	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.	DOE O 151.1c, Att.2, 2b(3)
Criterion		
3.2.3	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.	DOE O 151.1c, Att.2, 2b(4)
APPROACH		
Document/Record Review		
	Site Emergency Plan	
	Hazards Survey	
	Hazard Survey Development Procedures	
	Facility inventories, safety documents, and other evidentiary documentation (such as walkthrough documentation) used to create the HS.	
	Training documents of Site Contractor Staff Preparers	
	TQP Training Records of DOE Emergency Management Staff	
	Self-Assessments	
Interview		
	Contractor emergency management hazard analyst (preparer of HS)	

3. TECHNICAL PLANNING BASIS		
	Contractor emergency management staff (staff who must understand the document to complete aspects of their duties)	
	Contractor emergency management lead	
	Contractor management (Site/Facility Management as defined by DOE O 151.1C, Chapter 1)	
	DOE Site Emergency Manager	
	Cognizant Field Element Manager	
Observation		
	Walkthroughs to confirm hazardous material inventory is consistent with DOE O 151.1C requirements.	
OBJECTIVE		
13.3	Emergency Planning Hazards Assessment [EPHA] If required based on the findings of the Hazards Survey (DOE O 151.1c, Chapter III), DOE/NNSA sites/facilities and activities must establish and maintain a quantitative EPHA. The EPHA must be used to define the provisions of the Operational Emergency Hazardous Material Program, ensuring that the program is commensurate with the hazards identified. The EPHA provides the basis for establishing a graded approach that will meet the program requirements for an Operational Emergency Hazardous Material Program	DOE O 151.1C, Chapter IV, DOE O 151.1c, Att. 2, 3b(1)
Criterion		
3.3.1	Each EPHA reflects both the magnitude and the diversity of the hazards and the complexity of the processes and systems associated with the hazards, and provides the technical planning basis for determining the necessary plans/procedures, personnel, resources, equipment, and analyses (e.g., determination of an EPZ) for the Operational Emergency Hazardous Material Program	DOE G 151.1-3, Appendix D, Page D-3.
Lines of Inquiry		
	The EPHA describes the site and facility or activity, directly or by reference, including : <ul style="list-style-type: none"> ○ Site location, facility description, operations, mission, processes, tenant activities, and facility locations (including proximity to adjacent facilities, site boundary, utility and transportation networks); ○ Transportation activities, including types and quantities of materials transported, containers, routes, speeds, and controls exercised; and ○ 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). 	DOE G 151.1-3, App. D, P.1.23
	The EPHA contains a current, accurate compilation of hazardous material inventories or maximum quantities associated with a facility/site or activity based on reliable and comprehensive methods of hazardous material identification (e.g., walkthroughs, shipping records, local chemical inventory systems)	DOE G 151.1-3, App. D, P1.24

3. TECHNICAL PLANNING BASIS		
	<p>Analyzed hazardous materials are characterized in the EPHA:</p> <ul style="list-style-type: none"> ○ Storage location, process use, physical properties, and health effect parameters; ○ Engineered controls, administrative controls, storage segregation, safeguards and safety systems for prevention and/or mitigation of releases are identified; and ○ Actual barriers to release are identified, such as, containers, buildings, berms, sumps, catch basins, filters, and heating, ventilation and air conditioning (HVAC) systems 	DOE G 151.1-3, App. D, P.1.25
	<p>A spectrum of potential emergency event/condition scenarios are postulated and realistically analyzed in the EPHA, including:</p> <ul style="list-style-type: none"> ○ Applicable initiating events (e.g., fire, explosion, natural phenomena, malevolent events, accidents, external events); ○ 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; ○ Range of event probabilities and consequences, from low probability, high consequence to high probability, low consequence, including Beyond-Design-Basis events; ○ Events exclusively affecting onsite personnel, as well as those affecting the offsite public; and ○ Potential malevolent acts applicable to the facility/site or activity based on Design Basis Threat (DBT) guidance, if available. 	DOE G 151.1-3, App. D, P1.26
	<p>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).</p>	DOE G 151.1-3, App. D, P1.27
	<p>Indicators of emergency event/condition scenarios that can be used for recognition purposes in developing Operational Emergency (OE) categorization criteria and Emergency Action Levels (EALs), as appropriate, are identified and documented in the EPHA.</p>	DOE G 151.1-3, App. D, P1.28
	<p>Estimates of the consequences of hazardous material release scenarios (primarily radioactive and chemical) are calculated and documented in the EPHA:</p> <ul style="list-style-type: none"> ○ Receptor locations include facility and site boundaries, collocated facilities, and offsite locations, including special populations (e.g., schools, hospitals, and prisons). ○ Calculations are performed for the purposes of protective action determinations, response decision-making, and special planning, [e.g., Emergency Planning Zone (EPZ) determinations]. 	DOE G 151.1-3, App. D, P1.29
	<p>Biological agent release scenarios are analyzed to obtain indicators for recognizing OE events/conditions and for initial protective actions. The analysis methodology is documented in the EPHA.</p>	DOE G 151.1-3, App. D, P1.30
Criterion		
3.3.2	<p>Assumptions, methodology, models, and evaluation techniques used in the EPHA must be documented.</p>	DOE G 151.1-3, Appendix D, P1.29c

3. TECHNICAL PLANNING BASIS		
APPROACH		
Document/Record Review		
	Site Emergency Plan	
	Hazards Survey	
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	Contractor emergency management lead	
	Contractor management (Site/Facility Management as defined by DOE O 151.1C, Chapter 1)	
	DOE Site Emergency Manager	
	Cognizant Field Element Manager	
Observation		
	Walkthroughs/Walk downs to confirm site/facility/activity hazardous material inventory is consistent with DOE O 151.1c requirements	
OBJECTIVE		
3.4	Maintenance of EPHA: All site/facility/activity EPHAs must be reviewed at least every three years and updated prior to significant changes to the site/facility or hazardous material inventories [DOE O 151.1c, Att.2, 3b(1)(d)].	DOE O 151.1c, Att.2, 3b(1)(d)
Criterion		
3.4.1	There must be an accurate and timely method for tracking changes in operations, processes or accident analyses that involved hazardous materials that allows for sufficient time for emergency management personnel to review the EPHA and modify plans and procedures, as necessary.	DOE O 151.1c, Att.2, 3b(1)(c)
Lines of Inquiry		
	The EPHA is reviewed and updated every three years.	DOE G 151.1-3, App. D, P1.32
	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] is established and maintained for the facility/site or activity.	DOE G 151.1-3, App. D, P1.33
	Management procedures are implemented to ensure that emergency planners are notified of significant changes in inventories, processes, or activities that may affect the results of the EPHA [e.g., active involvement of emergency management personnel in the Integrated Safety Management System [ISMS]].	DOE G 151.1-3, App. D, P1.34
	Sufficient transition time is 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.	DOE G 151.1-3, App. D, P1.35

3. TECHNICAL PLANNING BASIS		
	Changes made in the facility/activity 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 are integrated with maintenance of the EPHA.	DOE G 151.1-3, App. D, P1.36
	If changes result in an increase in hazardous material inventories or release potential, the EPHA is updated immediately; otherwise, the EPHA can be updated at the next scheduled review.	DOE G 151.1-3, App. D, P1.37
	After a decontamination and decommission action is completed, the Operational Emergency Hazardous Material Program is adjusted to be commensurate with the hazards that remain.	DOE G 151.1-3, App. D, P1.38
APPROACH		
Document/Record Review		
	Site Emergency Plan	
	Hazards Survey	
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	Contractor emergency management lead	
	Contractor management (Site/Facility Management as defined by DOE O 151.1C, Chapter 1)	
	DOE Site Emergency Manager	
	Cognizant Field Element Manager	
Observation		
	Walkthroughs/Walk downs to confirm site/facility/activity hazardous material inventory is consistent with DOE O 151.1c requirements	
OBJECTIVE		
3.5	Emergency Planning Zone [EPZ]. The EPHA must include a determination of the size of the Emergency Planning Zone (EPZ).	DOE O 151.1c, Att.2, 3b(1)(e)
Criterion		
3.5.1	The EPHA must include a determination of the size of the Emergency Planning Zone (EPZ). The EPZ is the geographic area surrounding the site/facility for which special planning and preparedness actions are taken or need to be taken to reduce or minimize the impact to onsite personnel and public health and safety in the event of an Operational Emergency involving hazardous materials.	
Lines of Inquiry		
	The size and shape of the EPZ is determined by the spectrum of scenarios, the consequences of the potential releases, health effect parameters, and geopolitical boundaries beyond the site boundary.	DOE G 151.1-3, App. D, P1.39

3. TECHNICAL PLANNING BASIS		
	The EPZ is 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.	DOE G 151.1-3, App. D, P1.40
	The EPZ defines an area within which protective actions will provide for substantial reduction in early lethality for all analyzed airborne hazardous material releases.	DOE G 151.1-3, App. D, P1.41
	The EPZ is 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.	DOE G 151.1-3, App. D, P1.42
APPROACH		
Document/Record Review		
	Site Emergency Plan	
	Hazards Survey	
	Hazard Survey Development Procedures	
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	Contractor emergency management lead	
	Contractor management (Site/Facility Management as defined by DOE O 151.1C, Chapter 1)	
	DOE Site Emergency Manager	
	Cognizant Field Element Manager	
Observation		
	Walkthroughs/Walk downs to confirm site/facility/activity hazardous material inventory is consistent with DOE O 151.1c requirements	

4. PROGRAM ADMINISTRATION (SITE)		
<p>Performance Goal: 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. [DOE O 151.1C, Attachment 2 (CRD).4.]</p> <ol style="list-style-type: none"> Objective: DOE/NNSA sites/facilities must develop and participate in an integrated and comprehensive emergency management system. [DOE O 151.1C, 4.a.(1)] Objective: An individual is designated to administer the facility/site emergency management program. [DOE O 151.1C, Attachment 2 (CRD).4.a], (DOE G 151.1-3, P2.1) Objective: The emergency management program is documented in an emergency plan. The emergency plan describes the provisions to respond to an Operational Emergency. [DOE O 151.1C, Attachment 2 (CRD).4.c] Objective: Emergency Plan Implementing Procedures (EPIPs) describe how the emergency plan is implemented. [DOE O 151.1C, Attachment 2 (CRD).4.d] Objective: 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 (Electronic Records Management). [DOE O 151.1C, Attachment 2 (CRD).4.e] Objective: 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? [DOE O 151.1C, Attachment 2 (CRD).4.b.] 		
OBJECTIVE		
4.1.	DOE/NNSA sites/facilities must develop and participate in an integrated and comprehensive emergency management system.	[DOE O 151.1C, 4.a.(1)]
Criterion		
4.1.1.	The Operational Emergency Base Program provides the framework for response to serious events involving health and safety, the environment, safeguards and security.	[DOE O 151.1C, Attachment 2 (CRD), 2.c.(1)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Has an operational emergency base program been developed, implemented and documented? 	[DOE O 151.1C, Attachment 2 (CRD), 2.]
	<ul style="list-style-type: none"> Is the operational emergency base program based on a hazards survey? 	[DOE O 151.1C, Attachment 2 (CRD), 2.a.]
	<ul style="list-style-type: none"> Has a hazardous material screening process been accomplished and documented? 	[DOE O 151.1C, Attachment 2 (CRD), 2.b.]
	<ul style="list-style-type: none"> Does the operational emergency base program ensure all requirements of DOE regulations and directives addressing emergency issues are seamlessly integrated without duplication of emergency management effort? 	[DOE O 151.1C, Attachment 2 (CRD), 2.c.(2)]
	<ul style="list-style-type: none"> Does the operational emergency base program 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? 	[DOE O 151.1C, Attachment 2 (CRD), 2.c.(2)]
Criterion		

4. PROGRAM ADMINISTRATION (SITE)		
4.1.2.	An integrated Operational Emergency Hazardous Material Program has been developed and documented for each facility, operation, and activity involved in producing, processing, handling, storing or transporting hazardous materials that has the potential to pose a serious threat to workers, the public or the environment	[DOE O 151.1C, Attachment 2 (CRD), 3.]
Lines of Inquiry		
	<ul style="list-style-type: none"> Based on results of the Hazards Survey, has an integrated Operational Emergency Hazardous Material Program has been developed? 	
	<ul style="list-style-type: none"> Is the Operational Emergency Hazardous Material Program documented in an emergency plan? 	
	<ul style="list-style-type: none"> Has an Emergency Planning Hazards Assessment been performed to determine the technical planning basis for the Operational Emergency Hazardous Material Program? 	[DOE O 151.1C, Attachment 2 (CRD), 3.b.]
Criterion		
4.1.3.	An effective integrated emergency management program has been achieved.	(DOE G 151.1-3, P2.16, P2.25, P2.27, P2.16, P/E7.13, P2.27) (DOE G 151.1-3, Section 1.2)
Lines of Inquiry		
	<ul style="list-style-type: none"> Are the facility emergency management programs on a site consistent and integrated? 	(DOE G 151.1-3, P2.16) (DOE G 151.1-3, Section 1.4)
	<ul style="list-style-type: none"> Sites with multiple contractors (and/or multiple facilities) – <ul style="list-style-type: none"> Have the emergency plans been integrated? Is there one overall site plan with separate facility plans? How are emergency preparedness responsibilities divided? How are emergency response responsibilities divided? 	
	<ul style="list-style-type: none"> Sites with leased facilities – (DOE G151.1-3, Section 1.4.1.2, Section 1.4.1.4) <ul style="list-style-type: none"> Is the lessee’s emergency management program elements integrated into the site-wide program? (DOE G 151.1-3, P2.17) Where is this described? Have the lessee’s hazardous material inventories been reported to the site emergency management program annually? Have significant changes to the facility or hazardous material inventories been reported prior to implementing the changes? [DOE O 151.1C, 4.a.15], (DOE G 151.1-3, P2.27) 	(DOE G151.1-3, Section 1.4.1.2, Section 1.4.1.4)
	<ul style="list-style-type: none"> Has safety been effectively integrated into the emergency management program? 	

4. PROGRAM ADMINISTRATION (SITE)		
	<ul style="list-style-type: none"> What is the relationship between the Integrated Safety Management Program and the Emergency Management Program? 	(DOE G 151.1-3, P2.25.c) (DOE G 151.1 Section 1.3.1, Section 3.7.2, Section 4.3.2)
	<ul style="list-style-type: none"> How does fire protection get incorporated into the site emergency management program? 	
	<ul style="list-style-type: none"> What is the relationship between the Baseline Needs Analysis (BNA) and the Fire Hazards Survey and the site emergency management program? 	
	<ul style="list-style-type: none"> How does security get incorporated into the site emergency management program? 	
	<ul style="list-style-type: none"> What is the relationship between the Vulnerability Analysis (VA) and the Emergency Management Program? 	
	<ul style="list-style-type: none"> Are there any other programs that are incorporated into the Emergency Management Program (Rad Protection, Occupational Safety and Health)? 	
	<ul style="list-style-type: none"> Have Biosafety facility incident response plans been integrated with the site-wide emergency management program? 	(DOE G 151.1-3, P2.18)
	<ul style="list-style-type: none"> Is the emergency management program at the Field Office and the contractor(s) integrated? 	
	<ul style="list-style-type: none"> Are procedures for the Field Office included in the site/facility (contractor) procedures? 	
	<ul style="list-style-type: none"> Is there one emergency plan for both or is it split? 	
	<ul style="list-style-type: none"> Does the emergency management program include requirements and procedures regarding the notification of HQ of an emergency event? 	
	<ul style="list-style-type: none"> Does the Field Office or the contractor distribute the EPHAs, EALs and Emergency Plan with offsite organizations? 	
	<ul style="list-style-type: none"> Has the contractor identified offsite organizations (State and local) requirements? 	
Criterion		
4.1.4.	Resource requirements are identified and budgeted.	(DOE G 151.1-3, P2.10, P2.11, P2.12) (DOE G 151.1-3, Section 1.2)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the contractor identified the financial resources needed to accomplish the emergency management program at site/facility? 	(DOE G 151.1-3, P2.10)
	<ul style="list-style-type: none"> Where is the financial resource requirements identified? 	
	<ul style="list-style-type: none"> Has the contractor identified the facilities and equipment needed to accomplish the emergency management program at the site? Is it based on a needs analysis? Where is this information located? 	(DOE G 151.1-3, P2.11)

4. PROGRAM ADMINISTRATION (SITE)		
	<ul style="list-style-type: none"> Has the contractor identified the personnel needed to accomplish the emergency management program at the site? 	(DOE G 151.1-3, P2.12)
	<ul style="list-style-type: none"> Through what process has the contractor identified the personnel requirements? 	
	<ul style="list-style-type: none"> Has there been a problem of management support of personnel requirements? 	
	<ul style="list-style-type: none"> Are resources needed identified in the ERAP? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review all site/facility emergency plan(s), hazard survey, EPHAs. 	
	<ul style="list-style-type: none"> Review all management contractual vehicles established and maintained by the site/facility. 	
	<ul style="list-style-type: none"> Review ERAP and documentation of program reviews, corrective actions and documents that track findings and corrective actions. 	
	<ul style="list-style-type: none"> Review memoranda or agreements with offsite response organizations that may have a role in a response to an operational emergency. 	
	<ul style="list-style-type: none"> Review document control systems procedures. 	
	<ul style="list-style-type: none"> Verify compliance with other DOE and non-DOE requirements applicable to emergency management programs. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility (Program Administrator) for managing the emergency management program to verify documentation for each criterion. 	
	<ul style="list-style-type: none"> Interview managers delegated individual responsibility for activities within the emergency management program such as the training program manager and exercise program manager to verify documentation for each criterion 	
	<ul style="list-style-type: none"> Interview facility emergency management personnel on sites with multiple facilities to determine effectiveness of site-wide program integration. 	
Observation		
	Not applicable.	
OBJECTIVE		
4.2.	An individual is designated to administer the facility/site emergency management program.	[DOE O 151.1C, Attachment 2 (CRD).4.a], (DOE G 151.1-3, P2.1)
Criterion		
4.2.1.	An individual is designated to be the emergency management program manager/administrator, who is responsible for day-to-day development, operations and maintenance of the emergency management program.	(DOE G 151.1-3, Section 1.2)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the contractor management designated an individual to be the emergency management program manager/administrator? 	

4. PROGRAM ADMINISTRATION (SITE)		
	<ul style="list-style-type: none"> Are the emergency management responsibilities the sole function of the designated individual? 	
	<ul style="list-style-type: none"> Does more than one individual share the emergency management administrative duties? 	
	<ul style="list-style-type: none"> How has this designation taken place? Letter/Memo? Plan? Position description? 	
	<ul style="list-style-type: none"> Does the emergency management program manager have authority commensurate with assigned responsibilities? 	(DOE G 151.-3, P2.2), (DOE G 151.1-3, Section 1.2)
	<ul style="list-style-type: none"> Where are the assigned responsibilities documented? 	
	<ul style="list-style-type: none"> Does the emergency manager have access to senior contractor management? Describe. 	
Criterion		
4.2.2.	For biosafety facilities, the designated Responsible Official (RO) is responsible for implementing and maintaining the emergency management program.	(DOE G 151.-3, P2.3)
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the facility have biohazards? 	
	<ul style="list-style-type: none"> Has a RO been designated? 	
	<ul style="list-style-type: none"> Do the RO responsibilities include tasks that involve compliance with the requirements for the Select Agent Rule(s) [i.e., HHS regulation 42 CFR 72 and USDA regulations 7 CFR 331 and 9 CFR 131]? 	
	<ul style="list-style-type: none"> Do the RO responsibilities also include the responsibilities for DOE O 151.1C? 	
Criterion		
4.2.3.	An individual is responsible for the development and maintenance of the emergency plan.	[DOE O 151.1C, Attachment 2 (CRD).4.a.]
Lines of Inquiry		
	<ul style="list-style-type: none"> Do the emergency management program manager’s duties include the development and maintenance of the emergency plan? 	
	<ul style="list-style-type: none"> Is this duty documented? Where? 	
	<ul style="list-style-type: none"> If the emergency management program manager’s duties do not include the development and maintenance of the emergency plan, who has this responsibility? 	
Criterion		
4.2.4.	The individual is responsible for the development of the ERAP and annual updates.	[DOE O 151.1C, Attachment 2 (CRD).4.a.]
Lines of Inquiry		
	<ul style="list-style-type: none"> Do the emergency management program manager’s duties include the development the ERAP? 	
	<ul style="list-style-type: none"> Is this duty documented? Where? 	

4. PROGRAM ADMINISTRATION (SITE)		
	<ul style="list-style-type: none"> If the emergency management program manager’s duties do not include the development of the ERAP who has this responsibility? 	
Criterion		
4.2.5.	The individual is responsible for the development and conduct training and exercise programs.	[DOE O 151.1C, Attachment 2 (CRD).4.a.]
Lines of Inquiry		
	<ul style="list-style-type: none"> Do the emergency management program manager’s duties include the development and conduct of training and exercise programs? 	
	<ul style="list-style-type: none"> Is this duty documented? Where? 	
	<ul style="list-style-type: none"> Have these duties been assigned to or coordinated with another individual or office? 	
Criterion		
4.2.6.	The individual is responsible for coordinating assessment activities.	[DOE O 151.1C, Attachment 2 (CRD).4.a.]
Lines of Inquiry		
	<ul style="list-style-type: none"> Do the emergency management program manager’s duties include the coordination of assessment activities? 	
	<ul style="list-style-type: none"> Is this duty documented? Where? 	
	<ul style="list-style-type: none"> Have these duties been assigned to or coordinated with another individual or office? 	
Criterion		
4.2.7.	The individual is responsible for the development of related documentation including Hazard Surveys, EPHAs and EIPs.	[DOE O 151.1C, Attachment 2 (CRD).4.a.]
Lines of Inquiry		
	<ul style="list-style-type: none"> Do the emergency management program manager’s duties include the development of related documentation such as Hazard Surveys, EPHAs and EIPs? 	
	<ul style="list-style-type: none"> Is this duty documented? Where? 	
	<ul style="list-style-type: none"> Have these duties been assigned to or coordinated with another individual or office? 	
	<ul style="list-style-type: none"> Have these duties been assigned to or coordinated with another individual or office? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review the site/facility emergency plan(s) to determine if a position or individual has been designated to the emergency management program manager/administrator. 	

4. PROGRAM ADMINISTRATION (SITE)		
	<ul style="list-style-type: none"> Review 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. 	
	<ul style="list-style-type: none"> Review any other document which would indicate the duties/responsibilities of the emergency management program staff. 	
Interview		
	<ul style="list-style-type: none"> Interview the emergency management program manager to determine if they understand their position and duties. 	
	<ul style="list-style-type: none"> Interview any other contractor staff performing the duties of emergency management program manager to determine if they understand their duties. 	
	<ul style="list-style-type: none"> Resolve any issues of missing, incomplete, or unclear documentation in the interview phase. 	
Observation		
	Not applicable.	
OBJECTIVE		
4.3.	The emergency management program is documented in an emergency plan. The emergency plan describes the provisions to respond to an Operational Emergency.	[DOE O 151.1C, Attachment 2 (CRD).4.c]
Criterion		
4.3.1.	Emergency management programs and emergency plans are developed for facilities not requiring a Hazardous Material Program and address the minimum Base Program requirements.	DOE G 151.1-3, P2.14), (DOE G 151.1-3, Section 1.3.2)
Lines of Inquiry		
	<ul style="list-style-type: none"> Are the following emergency management program elements addressed in the emergency plan? <ul style="list-style-type: none"> Emergency response organization Offsite response interfaces Emergency facilities and equipment Emergency categorization Communications Protective actions Medical support Public information Termination and recovery Program administration Training and drills Exercises Reentry Termination and Recovery 	[DOE O 151.1C,III]
Criterion		

4. PROGRAM ADMINISTRATION (SITE)		
4.3.2.	Emergency management program and emergency plans are developed for facilities requiring a Hazardous Material Program that are seamlessly integrated with Base Program requirements.	(DOE G 151.1-3, P2.15), (DOE G 151.1-3, Section 1.3.2)
Lines of Inquiry		
	<ul style="list-style-type: none"> • Are the following emergency management program elements addressed in the emergency plan? <ul style="list-style-type: none"> ○ 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 ○ Termination and recovery. 	[DOE O 151.1C, Attachment 2 (CRD), 3.b.(3)]
	<ul style="list-style-type: none"> • Does the emergency plan also include a concept of operations and a site description? 	(DOE G 151.1-3, Appendix A)
	<ul style="list-style-type: none"> • Does the emergency plan include a reference to procedures on how the plan will be implemented? 	(DOE G 151.1-3, Section 1.3.2.)
	<ul style="list-style-type: none"> • Is the emergency plan compliant with the requirements of the National Response Framework and the National Incident Management System (NIMS)? 	(DOE G 151.1-3, Section 1.3.2.)
	<ul style="list-style-type: none"> • Does the emergency plan include facility/site mutual aid agreements/memoranda of agreement/memoranda of understanding relevant to a comprehensive and effective emergency management program? 	(DOE G 151.1-3, Section 1.6.1.)
Criterion		
4.3.3.	Emergency plans are developed, verified, validated, reviewed periodically and updated as necessary.	(DOE G 151.-3, P2.13) (DOE G 151.1-3, Section 1.3.3)
Lines of Inquiry		
	<ul style="list-style-type: none"> • Has the site/facility submitted the emergency plan to the Cognizant Field Element for approval? 	
	<ul style="list-style-type: none"> • What is the last date of the site emergency plan? 	
	<ul style="list-style-type: none"> • Has the site/facility emergency plan been reviewed/updated annually? 	

4. PROGRAM ADMINISTRATION (SITE)		
	<ul style="list-style-type: none"> Is there an established schedule for reviewing the emergency plan? 	(DOE G 151.1-3, P2.6) ((DOE G 151.1-3, Section 1.2)
	<ul style="list-style-type: none"> Is there a document control system established that meets industry standards for document review, approval, distribution and change control? 	(DOE G 151.1-3, P2.7) (DOE G 151.1-3, Section 1.2)
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review all site/facility emergency plan(s). 	
	<ul style="list-style-type: none"> Review the Hazards Survey/EPHA(s) to determine if the corrective level of program is being implemented. 	
	<ul style="list-style-type: none"> Review site mutual aid agreements/memoranda of agreement/memoranda of understanding with offsite entities. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility (Program Administrator) for managing the emergency management program to verify documentation for each criterion. 	
	<ul style="list-style-type: none"> Interview managers delegated individual responsibility for developing emergency plans. 	
	<ul style="list-style-type: none"> Interview facility emergency management personnel on sites with multiple facilities to determine effectiveness of site-wide program integration. 	
Observation		
	Not applicable.	
OBJECTIVE		
4.4.	Emergency Plan Implementing Procedures (EPIPs) describe how the emergency plan is implemented.	[DOE O 151.1C, Attachment 2 (CRD).4.d]
Criterion		
4.4.1.	EPIPs describe how the emergency plan will be implemented. ((DOE G 151.1-3, P2.25) (DOE G 151.1-3, Section 1.2)	(DOE G 151.1-3, P2.25) (DOE G 151.1-3, Section 1.2)
Lines of Inquiry		
	<ul style="list-style-type: none"> Have EPIPs been developed for the emergency plan, specifically for: <ul style="list-style-type: none"> timely and accurate classification? emergency notification? reporting of emergency events? 	
	<ul style="list-style-type: none"> What other types of EPIPs have been developed? 	
	<ul style="list-style-type: none"> Have the EPIPs been integrated? Are they consistent? 	
Criterion		

4. PROGRAM ADMINISTRATION (SITE)		
4.4.2.	EIPs are developed, verified, validated, reviewed periodically and updated as necessary.	(DOE G 151.1-3, P2.13) (DOE G 151.1-3, Section 1.3.2)
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there a process for developing, verifying, validating, reviewing and updating EIPs? 	
	<ul style="list-style-type: none"> Is the process described in a procedure? 	
	<ul style="list-style-type: none"> Is there an established schedule for reviewing EIPs? 	(DOE G 151.1-3, P2.6) (DOE G 151.1-3, Section 1.2)
	<ul style="list-style-type: none"> Is there a document control system established that meets industry standards for document review, approval, distribution and change control? 	(DOE G 151.1-3, P2.7) (DOE G 151.1-3, Section 1.2)
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review site/facility EIPs. Based on other program elements – review associated procedures in relation to the criteria for those elements. 	
	<ul style="list-style-type: none"> Compare EIPs to the emergency plan(s). 	
	<ul style="list-style-type: none"> Determine if the document control system in place is up-to-date regarding control and distribution of documents. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility (Program Administrator) for managing the emergency management program to verify documentation for each criterion. 	
	<ul style="list-style-type: none"> Determine if the document control system in place is up-to-date regarding control and distribution of documents. 	
	<ul style="list-style-type: none"> Determine if the document control system in place is up-to-date regarding control and distribution of documents. 	
Observation		
	Not applicable.	
OBJECTIVE		
4.5.	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 (Electronic Records Management).	[DOE O 151.1C, Attachment 2 (CRD).4.e]
Criterion		
4.5.1.	An auditable administrative program 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, is established and reliably maintained.	(DOE G 151.1-3, P2.8) (DOE G 151.1-3, Section 1.7)
Lines of Inquiry		

4. PROGRAM ADMINISTRATION (SITE)		
	<ul style="list-style-type: none"> Has an administrative program been developed for vital (essential) records? 	
	<ul style="list-style-type: none"> Who has responsibility for administrating the program? 	
	<ul style="list-style-type: none"> How is the program tied into the emergency management program? 	
Criterion		
4.5.2.	Records have been identified that specify how DOE/NNSA will operate in an emergency or disaster	[DOE O 243.1B, 4.c.(1)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there a procedure/guidance on how to identify and protect vital (essential) records? 	
	<ul style="list-style-type: none"> Have protected records been selected, maintained and protected based on guidance by the objectives and requirements of the NARA, Vital Records and Records Disaster Mitigation and Recovery Instructional Guide, 36 CFR Subchapter B, Records Management, Part 1223, Managing Vital Records and E.O. 12656, Assignment of Emergency Preparedness Responsibilities? 	
	<ul style="list-style-type: none"> Have records necessary for continued operations been identified? 	
	<ul style="list-style-type: none"> Have emergency operating records been identified and protected? 	
	<ul style="list-style-type: none"> Have legal and financial rights records been identified and protected? 	
	<ul style="list-style-type: none"> Have reconstitution records/systems been identified and protected? 	
	<ul style="list-style-type: none"> How are records protected? 	
Criterion		
4.5.3.	Adequate documentation of all technical data which supports the emergency management program is maintained.	[DOE O 243.1B, 4.c.(2)]
Lines of Inquiry		
	<ul style="list-style-type: none"> How is emergency management program technical data maintained? 	
	<ul style="list-style-type: none"> Is the data backed up? Where? 	
Criterion		
4.5.4.	Emergency management and continuity personnel have appropriate software and hardware needed to access the records in place at all times.	[DOE O 243.1B, 4.c.(2)]
Lines of Inquiry		
	<ul style="list-style-type: none"> How are vital (essential) records accessed? 	
	<ul style="list-style-type: none"> Can the records be accessed from an alternate location? 	
	<ul style="list-style-type: none"> How is access to the records controlled? 	
	<ul style="list-style-type: none"> Is there adequate protection (in relation to the sensitivity of the information) for the records? 	[DOE O 243.1B, 4.c.(3)]
Criterion		
4.5.5.	Vital records are reviewed annually, at a minimum, and updated records are migrated as needed to ensure the current versions are available and to address new security issues, identify problem areas, and update data.	[DOE O 243.1B, 4.c.(4)]
Lines of Inquiry		
	<ul style="list-style-type: none"> How often are vital (essential) records reviewed? 	

4. PROGRAM ADMINISTRATION (SITE)		
	<ul style="list-style-type: none"> Is there a procedure/schedule that describes how/when the records are reviewed? 	[DOE O 243.1B, 4.c.(5)]
	<ul style="list-style-type: none"> Are hard copies of older documents destroyed when obsolete or replaced with updated copies? 	[DOE O 243.1B, 4.c.(5)]
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review plans/procedures related to the protection of vital (essential) records. 	
Interview		
	<ul style="list-style-type: none"> Discuss the site’s vital (essential) record program with the appropriate subject matter expert (at the site). 	
Observation		
	<ul style="list-style-type: none"> Pull up from backup sources vital (essential) records. 	
OBJECTIVE		
4.6.	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? [DOE O 151.1C, Attachment 2 (CRD).4.b.]	[Insert CRD reference]
Criterion		
4.6.1.	The review is conducted by the appropriate official using current guidance.	[DOE O 151.1C, Attachment 2 (CRD).4.b]
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there a procedure for reviewing emergency preparedness documents for classified information or UCNI? 	
	<ul style="list-style-type: none"> Does a procedure indicate the appropriate official (by qualification or title) to perform the classified review? 	(DOE G 151.1-3, Section 1.8)
	<ul style="list-style-type: none"> Have emergency management documents been reviewed by an Authorized Derivative Classifier prior to dissemination? 	[DOE G 151.1-3, P2.9, P2.26] (DOE G 151.1-3, Section 1.8)
	<ul style="list-style-type: none"> Do records indicate that classified reviews have been performed? 	
Criterion		
4.6.2.	For classified information or materials being used or generated, effective security procedures and controls are implemented, and security reviews are conducted.	(DOE G 151.1-3,P.9)
Lines of Inquiry		
	<ul style="list-style-type: none"> Have procedures been established regarding the protection of classified information and materials? 	
Criterion		
4.6.3.	EPHAs not containing classified information or UCNI are reviewed by the emergency management program administrator to determine if they contain potentially exploitable information.	DOE O 151.1C, Attachment 2 (CRD).4.b]
Lines of Inquiry		

4. PROGRAM ADMINISTRATION (SITE)		
	<ul style="list-style-type: none"> Is there a procedure for reviewing emergency management documents that do not contain classified information or UCNI to determine if the documents contain potentially exploitable information? 	
	<ul style="list-style-type: none"> Who performs these reviews? 	
	<ul style="list-style-type: none"> Is there documentation that these reviews have been performed? 	
Criterion		
4.6.4.	EPHAs containing potentially exploitable information are protected as Official Use Only under exemption 2 of the Freedom of Information Act?	[DOE O 151.1C, Attachment 2 (CRD).4.b]
Lines of Inquiry		
	<ul style="list-style-type: none"> Have emergency management documents that have found to contain potentially exploitable information been properly marked as OUO? 	
	<ul style="list-style-type: none"> Are documents marked as OUO been properly protected? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review procedures in place to protect classified information or UCNI. 	
	<ul style="list-style-type: none"> Review any documentation of classified information reviews. 	
	<ul style="list-style-type: none"> Review a sampling of documents to determine if the documents have been properly marked. 	
Interview		
	<ul style="list-style-type: none"> Discuss the process of classified information review with the Emergency Management program administrator. 	
Observation		
	<ul style="list-style-type: none"> Not applicable. 	

5. TRAINING AND DRILLS

Performance Goal: A comprehensive, coordinated, and documented program of training and drills 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. [DOE O 151.1C Att. 2 (CRD) 5.0] (DOE G 151.1-3, D 3.2)

1. Objective: 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 [DOE O 151.1C, Att. 2 (CRD) 5.a.1]
2. Objective: 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. [DOE O 151.1C, Att. 2 (CRD) 5.a.2]
3. Objective: 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. [DOE O 151.1C, Att. 2 (CRD) 5.a.3]
4. Objective: **For HAZMAT programs:** The contractor at DOE/NNSA Hazardous Materials facilities must also establish a coordinated program of training and drills for developing and maintaining specific emergency response capabilities as an integral part of the emergency management program. [DOE O 151.1C, Att. 2 (CRD) 5.b]

OBJECTIVE

5.1	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.	[DOE O 151.1C, Att. 2 (CRD) 5.a.1] (DOE G 151.1-3 P 3.10)
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Criterion

5.1.1	Initial training and periodic drills are provided 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.	(DOE G 151.1-3 D3.2 P 3.10) [DOE O 151.1C Att. 2 (CRD) 5.a.1]
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Lines of Inquiry

	Is training for protective actions that may be required conducted upon initial employment? (E.g, General Employee Training, Awareness Level Training)	(DOE G 151.1-3 Appdx D, P 3.13) DOE O 151.1C Att. 2 (CRD) 5.a.1]
	Is re-training conducted when employee expected actions change, or when the emergency plan changes?	(DOE G 151.1-3 Appdx D, P 3.13) DOE O 151.1C Att. 2 (CRD) 5.a.1]

Criterion

5.1.2	The emergency management training program is managed and maintained to provide a current and structured view of program-specific training requirements.	(DOE G 151.1-3, D3.2, P3.3)
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Lines of Inquiry

5. TRAINING AND DRILLS		
	Is the training program reviewed and updated periodically, or as required, based on changes in related emergency plans/procedures?	(DOE G 151.1-3, D3.2, P3.3)
	Has a detailed list of courses and drills provided by the emergency management program been developed and maintained?	(DOE G 151.1-3, D3.2, P3.3)
	Are the training requirements consistent with current site hazards?	
	Have student and instructor feedback, actual events, and self-assessment and exercise results been used to update courseware or drills?	
	Are training courses performance-based, containing learning objectives, and having a test as final validation of satisfactory completion?	(DOE G 151.1-3, D3.2, P3.7)
	Does refresher training include details of program changes and lessons-learned from actual events, exercises, DOE and industry operating experiences, and program evaluations?	(DOE G 151.1-3, D3.2, P3.8)
Criterion		
5.1.3	(For Base Programs) A training program plan appropriately scaled for accomplishing its emergency management training goals is established and implemented. (Separate criteria for HAZMAT Program Training Program Plans are found under Objective 4)	(DOE G 151.1-3, D.3.2, P3.1, P3.2, P3.4, P3.5, P3.6)
Lines of Inquiry		
	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?	(DOE G 151.1-3, D.3.2, P3.1)
	Does the training program plan describe administrative policies and procedures, including identifying qualified instructors, training materials approval authorities, and qualification signature authorities?	(DOE G 151.1-3, D3.2, P3.4)
	Does the training program plan address maintaining training records in a manner that can be audited?	(DOE G 151.1-3 Appdx D 3.2, P 3.20, 3.21, 3.22)
	Does the training program plan indicate that a system is in place to track the development and implementation of lessons-learned from training and drills?	(DOE G 151.1-3, D3.2, P3.8)
	Is the training program included in self-assessments? (including the evaluating of instruction and reviewing training materials)	
	Are the training program requirements in accordance with the National Response Framework (NRF) and the National Incident Management System (NIMS)?	(DOE G 151.1-3, D3.2, P3.9)
	Does the training program plan indicate the proficiency needed to complete the training, (e.g., minimum grades on tests, credit for prior experience)?	(EM Toolbox)
	Does the training program plan indicate acceptable levels of performance for drills, exercises, or actual events?	(EM Toolbox)
	Does the training program plan indicate how retraining and revalidation are to be performed?	(EM Toolbox)
	Has evaluation of training staff been included as part of the annual assessment of the training program?	(EM Toolbox)
Criterion		
5.1.4	Training documentation and records are effectively maintained and documented. (DOE G 151.1-3 D3.2, P3.20)	(DOE G 151.1-3, D3.2, P3.20)
Lines of Inquiry		

5. TRAINING AND DRILLS		
	Are lesson plans, drill plans, training materials and facilities, instructor and student manuals, and training software maintained, formally documented, and included in an index or matrix?	(DOE G 151.1-3 D3.2, P3.20)
	Are scores on training validation tests and performance during drills recorded and maintained? (EM Toolbox)	(EM Toolbox)
	Have qualification records for instructors been maintained? (EM Toolbox)	(EM Toolbox)
	Are training records used in determining the types of training to be scheduled and the type and quantity of resources needed to conduct training and drills? (EM Toolbox)	(EM Toolbox)
	Do training records include memos related to scheduled and cancelled training or training exemptions? (EM Toolbox)	(EM Toolbox)
	Do training records include certificates or similar documentation for training or drills conducted outside of the site/facility training program? (EM Toolbox)	(EM Toolbox)
APPROACH		
Document/Record Review		
	Review site/facility emergency management training program plan for content, scope, applicability, and overall compliance with criteria.	
	Review any training program planning documents, including job task analyses, training matrix, and any memoranda, letters, notes, or presentations representing input to the facility site program administrator to ensure the training program is well integrated site-wide.	
	Review site/facility emergency management training courses, including instructor manuals, plans of instruction, testing instruments, software, visual aids, and learning tools.	
	Review documentation/records for all training courses, including attendance records, student performance, qualification matrices, instructor evaluations, and all other documents related to coursework.	
	Review all drill program records, including drill plans, attendance records, student performance, qualification matrices, lessons learned, instructor evaluations, and all other records and documents related to the drill program.	
	Review the site/facility emergency plan, emergency readiness assurance plan, memoranda or agreements with offsite response organizations, and any related documentation for training program input and integration.	
Interview		
	Interview individual with overall responsibility (Training Program Manager) for managing the site/facility training and drills program to verify documentation for each criterion.	
	Interview facility emergency management personnel with training responsibilities on sites with multiple facilities to determine effectiveness of site-wide program integration.	
Observation		
	Not applicable	
OBJECTIVE		

5. TRAINING AND DRILLS		
5.2	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.	[DOE O 151.1C, Att. 2 (CRD) 5.a.2]
Criterion		
5.2.1	Annual refresher training is provided to certified operators and supervisors with responsibility for notifying proper authorities of a hazardous materials release	[DOE O 151.1C, Att. 2 (CRD) 5.a.2]
Lines of Inquiry		
	Have certified operators and supervisors with responsibilities for notifying proper authorities of a hazardous materials release been identified for each area of the site/facility where such releases might occur?	[DOE O 151.1C, Att. 2 (CRD) 5.a.2]
	Has effective training, commensurate with the hazards involved and including training on any needed immediate protective actions been administered to identified certified operators and supervisors on an annual basis?	[DOE O 151.1C, Att. 2 (CRD) 5.a.2]
Criterion		
5.2.2	Workers who might be likely to witness a hazardous materials release are provided annual training on recognizing such releases and notifying proper authorities.	[DOE O 151.1C, Att. 2 (CRD) 5.a.2]
Lines of Inquiry		
	Is a process in place to identify workers who might be likely to witness a hazardous materials release in their work areas?	[DOE O 151.1C, Att. 2 (CRD) 5.a.2]
	Have workers identified as likely to witness a hazardous materials release been provided annual training on recognizing hazmat releases and notifying proper authorities, including any immediate protective actions that may be needed.	[DOE O 151.1C, Att. 2 (CRD) 5.a.2]
APPROACH		
Document/Record Review		
	Review site/facility emergency plan, training program plan, and any related memoranda or agreements for documentation of annual training for recognition of hazardous materials events for these personnel.	
	Review drill program records, including drill plans, attendance records, student performance and qualification records for successful completion of drills focusing upon recognition of hazmat events.	
	Review training courses and records of training for successful annual training for these personnel.	
	Verify that training documentation and records are effectively maintained and documented.	
Interview		
	Interview the Training Program Manager to verify documentation for these criteria.	
	Interview facility emergency management personnel with training responsibilities on sites with multiple facilities to determine effectiveness of site-wide program integration.	
Observation		
	Not applicable.	
OBJECTIVE		

5. TRAINING AND DRILLS		
5.3	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.	[DOE O 151.1C, Att. 2 (CRD) 5.a.3]
Criterion		
5.3.1	Emergency-related information on site-specific conditions and hazards is made available to offsite personnel who may be required to participate in response to an emergency at the DOE/NNSA site/facility.	[DOE O 151.1C, Att. 2 (CRD) 5.a.3]
Lines of Inquiry		
	Is emergency-related information available to offsite response organizations. How is it provided?	[DOE O 151.1C, Att. 2 (CRD) 5.a.1]
Criterion		
5.3.2	Emergency-related training on site-specific conditions and hazards is made available to offsite personnel who may be required to participate in response to an emergency at the DOE/NNSA site/facility.	[DOE O 151.1C, Att. 2 (CRD) 5.a.3]
Lines of Inquiry		
	Is emergency-related training made available to offsite response organizations? When is it provided?	[DOE O 151.1C, Att. 2 (CRD) 5.a.1]
APPROACH		
Document/Record Review		
	Review site facility program plan, and any memoranda, letters, notes, training and drill records or other documents that demonstrate the availability of emergency-related training on site-specific conditions and hazards to offsite personnel who may be required to participate in a site/facility emergency response.	
Interview		
	Interview the Training Program Manager to verify documentation reviewed and to ascertain compliance with this objective.	
Observation		
	Not applicable	
OBJECTIVE		
5.4	For HAZMAT programs: The contractor at DOE/NNSA Hazardous Materials facilities must also establish a coordinated program of training and drills for developing and maintaining specific emergency response capabilities as an integral part of the emergency management program. [DOE O 151.1C, Att. 2 (CRD) 5.b]	
Criterion		
5.4.1	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	[DOE O 151.1C Att. 2. 5 CRD, 5, b,1]
Lines of Inquiry		
	Does the program apply to all emergency response personnel and organizations that are expected to respond to onsite emergencies?	[DOE O 151.1C, Att. 2 (CRD) 5.b.1]

5. TRAINING AND DRILLS		
	Is emergency-related information available to offsite response organizations?	[DOE O 151.1C, Att. 2 (CRD) 5.b.1]
	Is the training program effectively designed to include a mix of self study/homework, formal training, and drills?	[DOE O 151.1C, Att. 2 (CRD) 5.b.1]
	Is the training program consistent with the site/facility hazards?	(EM Toolbox)
	Is both initial training and annual refresher training provided for all personnel, including primary and alternate, who comprise the emergency response organization (ERO)?	[DOE O 151.1C Att. 2. 5 CRD, 5, b.1]
	Is special team training conducted for functional groups of the ERO, in particular those with technical and management team assignments (e.g. management team, consequence assessment team)?	(DOE G 151.1-3, D3.2, P3.13)
	Do employees who, in course of their regular job duties, work with hazardous materials receive training on the hazards of specific hazardous substances?	(EA-33 CRD LOIs)
	Do employees who will be called upon to provide technical advice or assistance to the individual in charge at a hazardous substance release incident receive training in the area of their specialty annually?	(EA-33 CRD LOIs)
	Does ERO training emphasize the need for prompt, accurate, and practical judgments involving event categorization and classification, protective action decision-making, and the urgency of notifications of Operational Emergencies (OEs)?	(DOE G 151.1-3, D3.2, P3.14)
	Is EAL training conducted 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?	(DOE G 151.1-3, D3.2, P3.14)
	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, including Emergency Action Levels (EALs)?	(DOE G 151.1-3, D3.2, P3.14)
	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: a. training on facility- and site-specific emergency-related information, conditions, and hazards; and b. the opportunity to participate in training and drills validating procedures for response activities expected to involve integration of onsite and offsite response resources?	(DOE G 151.1-3 D 3.2 P3.15)
	Have matrices for the identification and implementation of required training topics versus ERO positions been developed and maintained?	(DOE G 151.1-3, D3.2, P3.3)
Criterion		
5.4.2	A comprehensive and systematic training program plan for accomplishing emergency management training goals is established and implemented.	(DOE G 151.1-3, D.3.2, P3.1, P3.2, P3.4, P3.5, P3.6)
Lines of Inquiry		

5. TRAINING AND DRILLS		
	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?	(DOE G 151.1-3, D.3.2, P3.1)
	Does the training program plan describe the process for identifying and documenting training needs for emergency responders (e.g., training needs assessment)?	
	Does the training program plan describe administrative policies and procedures, including identifying qualified instructors, training materials approval authorities, and qualification signature authorities?	(DOE G 151.1-3, D3.2, P3.4)
	Does the training program plan address maintaining training records in a manner that can be audited?	(DOE G 151.1-3 Appdx D, P 3.20, 3.21, 3.22)
	Does the training program plan address instructor qualification processes?	
	Does the training program plan indicate that a system is in place to track the development and implementation of lessons-learned from training and drills?	
	Is the training program included in self-assessments? (including the evaluating of instruction and reviewing training materials)	
	Has the training program been integrated and coordinated with related training programs provided by other organizations (e.g., security, rad health, safety)?	
	Are the training program requirements in accordance with the National Response Framework (NRF) and the National Incident Management System (NIMS)?	(DOE G 151.1-3, D3.2, P3.9)
	Does the training program plan include the requirement for all primary and alternate personnel assigned to the facility- and site-level ERO to complete: a. initial training and annual refresher training; b. refresher training when hazards or procedures change; and c. demonstrations of proficiency through testing and drills?	(DOE G 151.1-3, D3.2, P3.2)
	Does the training program plan define minimum program standards for: a. training required for each position; b. proficiency (e.g. minimum grades on tests, how prior experience is credited); c. acceptable performance during drills, exercises, or actual events; and d. retraining, and re-validation?	(DOE G 151.1-3, D3.2, P3.5)
	Does the training program plan indicate the proficiency needed to complete the training, (e.g., minimum grades on tests, credit for prior experience)?	(EM Toolbox)
	Does the training program plan indicate acceptable levels of performance for drills, exercises, or actual events?	(EM Toolbox)
	Does the training program plan indicate how retraining and revalidation are to be performed?	(EM Toolbox)
	Has evaluation of training staff been included as part of the annual assessment of the training program?	(EM Toolbox)
	Has the training program been effectively integrated and coordinated with related training programs provided by other organizations? (e.g., security, medical response, consequence assessment and protective actions?)	(DOE G 151.1-3, D 3.2, P 3.6)
Criterion		
5.4.3	Drills provide supervised “hands-on” training and/or validation of classroom training for members of emergency response organizations	[DOE O 151.1C Att. 2. 5 CRD, 5, b.2]
Lines of Inquiry		

5. TRAINING AND DRILLS		
	Do drills provide effective “hands-on” training to support overall training objectives?	(DOE G 151.1-3 D3.2, P3.16)
	Do drills provide opportunities to demonstrate responder proficiency in infrequently performed emergency management tasks?	(DOE G 151.1-3 D3.2, P3.17)
	Do drills include scenario-driven events that provide interface practice between the ERO and site medical and security organizations?	(DOE G 151.1-3 D3.2, P3.18)
	Are drills developed or modified based upon feedback and lessons learned from actual events, exercise evaluations, and self-assessments?	(DOE G 151.1-3 D3.2, P3.19)
	Are drills developed or modified to validate new or revised procedures or equipment modifications?	(DOE G 151.1-3 D3.2, P3.19)
	Have tabletop training drills or activities been held in conjunction with training?	(EM Toolbox)
	Do drills incorporate the capabilities to respond to a natural phenomena event?	(EA-33 Non-CRD LOIs)
	Are drills an integral part of training and do they have the appropriate level of complexity, focus, and site-specific parameters to identify performance shortfalls and initiate needed improvements?	(EA-33 Non-CRD LOIs)
	Do drills include planning for scenarios that provide interface between the ERO and site organizations/teams with an emergency response role (e.g., security, consequence assessment teams, medical responders, public affairs)?	(EM Toolbox)
Criterion		
5.4.4	Training documentation and records are effectively maintained and documented. (DOE G 151.1-3 D3.2, P3.20)	(DOE G 151.1-3, D3.2, P3.20)
Lines of Inquiry		
	Are lesson plans, drill plans, training materials and facilities, instructor and student manuals, and training software maintained, formally documented, and included in an index or matrix?	(DOE G 151.1-3 D3.2, P3.20)
	Are training records maintained for all ERO personnel, primary and alternate showing in-progress, final, and upcoming requalification status?	(DOE G 151.1-3 D3.2, P3.21)
	Is drill and exercise participation and performance documented for each member of the ERO?	(DOE G 151.1-3 D3.2, P3.22)
	Are scores on training validation tests and performance during drills recorded and maintained?	(EM Toolbox)
	Have qualification records for instructors been maintained?	(EM Toolbox)
	Are training records used in determining the types of training to be scheduled and the type and quantity of resources needed to conduct training and drills?	(EM Toolbox)
	Do training records include memos related to scheduled and cancelled training or training exemptions?	(EM Toolbox)
	Do training records include certificates or similar documentation for training or drills conducted outside of the site/facility training program?	(EM Toolbox)
APPROACH		
Document/Record Review		
	Review site/facility emergency management training program plan for content, scope, applicability, and overall compliance with criteria.	

5. TRAINING AND DRILLS		
	Review any training program planning documents, including job task analyses, training matrix, and any memoranda, letters, notes, or presentations representing input to the facility site program administrator to ensure the training program is well integrated site-wide.	
	Review site/facility emergency management training courses, including instructor manuals, plans of instruction, testing instruments, software, visual aids, and learning tools.	
	Review documentation/records for all training courses, including attendance records, student performance, qualification matrices, instructor evaluations, and all other documents related to coursework.	
	Review all drill program records, including drill plans, attendance records, student performance, qualification matrices, lessons learned, instructor evaluations, and all other records and documents related to the drill program.	
	Review the site/facility emergency plan, emergency readiness assurance plan, memoranda or agreements with offsite response organizations, and any related documentation for training program input and integration.	
Interview		
	Interview individual with overall responsibility (Training Program Manager) for managing the site/facility training and drills program to verify documentation for each criterion.	
	Interview facility emergency management personnel with training responsibilities on sites with multiple facilities to determine effectiveness of site-wide program integration.	
Observation		
	Not applicable	

6. EXERCISES		
<p>Performance Goal: A formal exercise program validates all elements of an emergency management program over a 5-year period. The exercise program validates 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. 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. Each exercise is conducted, controlled, evaluated, and critiqued effectively and reliably. Lessons-learned are developed, resulting in corrective actions and improvements. [DOE O 151.1C, Attachment 2 (CRD). 6 and DOE O 151.1C, Chapter IV, paragraph 4b, Exercises.]</p> <ol style="list-style-type: none"> Objective: Establish a formal exercise program that validates all elements of the emergency management program. [DOE O 151.1C, Attachment 2 (CRD).6.b.] Objective: Plan for exercises using an effective, structured approach designed to test the site’s integrated emergency response capability. [DOE O 151.1C, Attachment 2 (CRD).6 and 6.b.(2) and DOE G 151.1-3, P3.3] Objective: Prepare for exercises using an effective, structured approach designed to simulate realistic emergency events/conditions for facility-specific hazards in a manner that, as nearly as possible, replicates an integrated emergency response to actual event. [DOE O 151.1C, Attachment 2 (CRD).6 and 6.b.(2) and DOE G 151.1-3, P3.3, P3.4, and P3.34] Objective: Conduct and control exercises effectively and reliably. [DOE O 151.1C, Attachment 2 (CRD).6. and DOE G 151.1-3, 3.10, P3-36] Objective: Critique and evaluate exercises effectively and reliably. [DOE O 151.1C, Attachment 2 (CRD).6 and DOE G 151.1-3, 3.11, P3-40] Objective: Document exercise performance and maintain records, including corrective actions, improvements, and lessons learned. [DOE O151.1C, Attachment 2, 6. and DOE G 151.1-3, 3.11.3, P3-46] 		
OBJECTIVE		
6.1	Establish a formal exercise program that validates all elements of the emergency management program.	DOE O 151.1C, Attachment 2 (CRD).6.
Criterion		
6.1.1	A structured exercise program is implemented that validates all elements of the emergency management program over a five-year period, and includes building evacuation exercises consistent with Federal regulations and regular communication system tests with DOE-HQ and offsite agencies.	DOE O 151.1C, Attachment 2 (CRD).6.a.(1) and (2)
Lines of Inquiry		
	Does the exercise program ensure building evacuation exercises or drills are conducted annually, at a minimum, as required by Federal regulations [e.g., (41 CFR 102-74-360)], local ordinances, or NFPA standards], to ensure that employees are able to safely evacuate their work area?	DOE O 151.1C, Chap. III.4.b.(1) & DOE G 151.1-3, P4.5
	Does the exercise program ensure communications with DOE Headquarters (HQ), the Cognizant Field Element, and offsite agencies tested at least annually or as often as needed to ensure that communications systems are operational?	DOE O 151.1C, Chapter III.4.b.(2) & DOE G 151.1-3, P4.6
	Have formal plans and procedures been developed to ensure all elements of the emergency management program are validated over a five-year period?	DOE O 151.1C, Chap. I.10.b, Chap. IV.4.b, Chap X.1 & DOE G 151.1-3, D.3.3 and P4.1a

6. EXERCISES		
	Does the exercise program require that both facility- and site-level emergency management program elements are validated 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?	DOE G 151.1-3, D.3.3
	Does the exercise program include provisions for incorporating objectives in each exercise that are designed to validate revised plans/procedures, corrective actions, and program improvements?	DOE O 151.1C, Chap IV.4.b & DOE G 151.1-3, P4.1b
	Does the exercise program include provisions for evaluating all exercises and establish a critique process, which includes gathering and documenting findings and opportunities for improvement of participants?	DOE O 151.1C, Chap IV.4.b & DOE G 151.1-3, P4.1c
	Does the exercise program ensure Site Operations-Based Exercises are conducted at least annually to test the integrated emergency response capabilities of personnel in facility- and site-level ERO positions, and includes both facility- and site-level evaluation and critique? (Note: For multi-facility sites, the basis for the exercise is rotated among facilities or groups of facilities.)	DOE O 151.1C, Chap.IV.4.b. (1)(b) & DOE G 151.1-3, P4.2
	Does the exercise program ensure Facility Operations-Based Exercises are conducted annually for each EPHA facility or group of facilities with common facility-level ERO positions to test the proficiency of personnel in facility-level ERO positions in accomplishing facility-specific emergency response duties and responsibilities?	DOE O 151.1C, Chap.IV.4.b(1)(a) & DOE G 151.1-3, P4.2
	Does the exercise program ensure Full Participation Exercises that include the participation of offsite organizations are conducted at least once every three years? (Note: The site is required to invite offsite organizations to participate every 3 years, but is not responsible for ensuring they participate.)	DOE O 151.1C, Chap.IV.4.b. (1)(c) & DOE G 151.1-3, P4.2
	Does the exercise program ensure exercises of each of the Department’s radiological emergency response assets that could be used to support the site are 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).	DOE O 151.1C, Chap.IV.4.b.(2) & DOE G 151.1-3, P4.4
	Does the exercise program ensure exercises are conducted for personnel who will interact with the media, and that adherence to emergency public information policies and requirements is demonstrated during exercise evaluations?	DOE O 151.1C, Chap.IX.2.d.(2) and IX.3
	Does the program ensure serious performance problems resulting in findings and/or failed goals/objectives, as determined by a DOE or NNSA organization responsible for evaluating the exercise, are reevaluated during a drill, exercise, or through a selected functional test within a fixed time period following the exercise?	DOE G 151.1-3, P4.7
	Does the exercise program include No-Notice Exercises (NNXs) conducted to determine if the ERO can accomplish selected objectives based on applicable plans, procedures, and/or other established requirements, and is involvement limited to providing trusted agents and responding when the exercise is conducted?	DOE O 151.1C, Chapter X.2.d & DOE G 151.1-3, P5.8
	Does the exercise program ensure a broad spectrum of potential operational and security events are tested over a five-year period, including a variety of event initiators?	
	Does the exercise program ensure scenarios are challenging for Players (i.e., not simplistic scenarios used for the purpose of ensuring responders “Pass” and/or merely “check a box” to meet minimum requirements?	
	Does the exercise program ensure severe event exercises (i.e., beyond-design-basis) are conducted periodically that require the site to plan for events beyond their normal response capabilities and include a timeframe for self-sufficiency?	

6. EXERCISES		
	<p>Are severe event exercises conducted periodically that include damage to multiple hazardous material facilities, command centers, and/or facilities used to implement protective actions, as well as require responders to perform activities such as:</p> <ul style="list-style-type: none"> • confirm the habitability of the primary or alternate emergency operations center • establish alternate command centers as operational • power essential equipment from backup power sources • communicate using backup systems • analyze consequences using sophisticated modeling programs and under real-time meteorological conditions • implement severe planning with state and local governments • validate offsite consequence models • integrate with national radiological response assets? 	
Criterion		
6.1.2	Schedules are in place to manage long- and short-range planning for exercises.	DOE G 151.1-3, P3.3/3.4
Lines of Inquiry		
	Have long-range schedules been developed for validating all the elements of each program (including both site and facility response organizations), including provisions to incorporate specific objectives in exercises over a 5-year period (e.g., matrix)?	DOE G 151.1-3, P4.1a
	Have short-range schedules been developed containing information about specific aspects of emergency response to be tested in the current year?	DOE G 151.1-3, P4.1a
	Do exercise schedules include periodic participation by appropriate DOE or NNSA radiological response assets, if the facility/site plans to use the assets in response to an emergency?	DOE G 151.1-3, P4.3
	Does the schedule of exercises include security scenario events to test the interfaces between the site security organization and the facility/site ERO?	DOE G 151.1-3, P4.3
APPROACH		
Document/Record Review		
	Review the site ERAP and emergency plan	
	Review the EPHAs and EIPs for facilities of interest.	
	Review after-action reports for the last two calendar years.	
	Review exercise plans/records for the last two calendar years.	
	Review exercise program description/manual/procedures.	
	Review exercise corrective action plans and closure files.	
	Review 5-year exercise schedule.	
Interview		
	Interview contractor emergency management exercises lead.	
	Interview exercise program lead.	
	Interview emergency management program lead.	
	Interview DOE field office emergency management program manager.	
Observation		
	None	
OBJECTIVE 2		
6.2	Plan for exercises using an effective, structured approach designed to test the site's integrated emergency response capability.	DOE O 151.1C, Attachment 2 (CRD).6 and 6.b.(2) and DOE G 151.1-3, P3.3

6. EXERCISES		
Criterion		
6.2.1	Exercises are coordinated by a planning team consisting of all participating organizations.	DOE O 151.1C, Attachment 2 (CRD).6 and DOE G 151.1-3, 3.6.1, P3-12
Lines of Inquiry		
	Is exercise planning coordinated with representatives from participating onsite and offsite organizations?	DOE G 151.1-3, CE4.1
	Are limitations or simulations regarding the participation of onsite and offsite organizations or groups fully identified and documented during the planning process?	DOE G 151.1-3, CE4.1
	When planning for No-Notice Exercises, are trusted agents used and did they plan to ensure players had no knowledge of the exercise, to include date, time, and/or scenario, prior to initiation?	DOE G 151.1-3, P5.8
Criterion		
6.2.2	Exercise Plans are developed using a structured approach that includes documentation of specific objectives, scope, time lines, injects, controller instructions, and evaluation criteria for realistic scenarios.	DOE O 151.1C, Attachment 2 (CRD).6.
Lines of Inquiry		
	Are Exercise Plans developed according to planning schedules that include sufficient information for effective conduct, control, and evaluation?	DOE G 151.1-3, CE4.2, 4.3, 4.4, 4.7 and D.3.3
	Do Exercise Plans include clear, measurable objectives that provide the basis for evaluating/validating the performance of response capabilities of each participating organization?	DOE G 151.1-3, CE4.5 and 4.6
	Do Exercise Plans include sufficient information for effective conduct, control, and evaluation? This includes specific exercise objectives, scope, scenario, participants, simulations, time lines, injects/messages, technical data, safety and security provisions, controller instructions, and evaluation criteria.	DOE O 151.1C, Chap IV.4.b & DOE G 151.1-3, CE4.2, 4.3, 4.4, 4.7 and D.3.3
	Are Exercise Plans for the annual site Full-Scale evaluated exercise completed in sufficient time before the conduct of the exercise to allow for review and comments by DOE or NNSA line management and the DOE Associate Administrator of Emergency Operations?	DOE O 151.1C, Chap 1.9.w & Chap.IV.4.b.(1)(d) & DOE G 151.1-3, CE4.3
	Do Exercise Plans clearly identify the roles, responsibilities, and interfaces among exercise participants (i.e., players/responders, controllers, evaluators, and observers)?	DOE G 151.1-3, CE4.4
	Do Exercise Plans clearly identify the provisions for exercise conduct and control?	DOE G 151.1-3, CE4.4
	Do Exercise Plans clearly identify the provisions for exercise evaluation?	DOE G 151.1-3, CE4.4
	Is the scenario in the Exercise Plan consistent with the set of exercise objectives and does it explicitly support an evaluation/validation of each objective?	DOE G 151.1-3, CE4.6
	Are the exercise evaluation criteria used facility/site- or activity-specific, based on existing plans and procedures, and do they correlate with the exercise objectives?	DOE G 151.1-3, CE4.7
	Was the scenario based on an actual or potential emergency or event (or multiple simultaneous events in a disaster) that could occur at the facility/area/site (i.e., was there a proper technical basis for the scenario per the EPHA)?	DOE G 151.1-3, CE4.8
	Is the technical data that supports the scenario (e.g., operational, radiological, chemical, biological, medical, meteorological) accurate and clearly presented?	DOE G 151.1-3, CE4.9
	Are all simulations/limitations clearly identified in the exercise plan, and did all postings (charts, injury/contamination tags, scenario input messages, etc.) state they were for exercise purposes?	DOE G 151.1-3, CE4.10

6. EXERCISES		
	Are injects/messages accurate, unambiguous, non-prompting and sufficient to ensure all objectives were met, to include contingency messages as needed?	DOE G 151.1-3, CE4.11
	Are provisions for safety, security, and public/media interface clearly identified in the exercise plan?	DOE G 151.1-3, CE4.12
	Does the Exercise Plan include provisions for exercise initiation, realistic free-play (e.g., if players were expected to secure power, but it could be done from three different locations, were appropriate data [alarms/consequences] available to support each possibility), as well as exercise interruption and termination?	DOE G 151.1-3, CE4.22
	If actual equipment manipulation was permitted during the exercise, was there a message to reposition the equipment to its original or proper position at exercise termination?	DOE G 151.1-3, CE4.22
APPROACH		
Document/Record Review		
	Review comprehensive exercise files for the last two calendar years, including scenario materials, timelines, MSELs, controller data, hazardous material data, simulation plans, safety plans, security plans, logistics plans.	
	Review exercise planning team participation records, including scenario confidentiality forms.	
Interview		
	Interview contractor emergency management exercises lead.	
	Interview exercise program lead.	
	Interview emergency management program lead.	
	Interview DOE field office emergency management program manager.	
Observation		
	Observe exercise planning activities.	
OBJECTIVE 3		
6.3	Prepare for exercises using an effective, structured approach designed to simulate realistic emergency events/conditions for facility-specific hazards in a manner that, as nearly as possible, replicates an integrated emergency response to actual event.	DOE O 151.1C, Attachment 2 (CRD).6 and 6.b.(2) and DOE G 151.1-3, P3.3, P3.4, and P3.34
Criterion		
6.3.1	Controllers, evaluators, and observers are prepared for the exercise.	DOE G 151.1-3, 3.9.1, P3-34/35
Lines of Inquiry		
	Are all controllers and evaluators provided generic and exercise-specific training?	DOE G 151.1-3, CE4.14
	Are controllers and evaluators provided with training on the scenario package (i.e., EXPLAN)?	DOE G 151.1-3, CE4.12, 15, 16, and 17
	Did controller/evaluator training include details on safety and security/safeguards measures, responsibilities, precautions and limitations in effect for the exercise, and messages/contingency messages?	DOE G 151.1-3, CE4.12, 16
	Are controllers and evaluators readily identifiable (e.g., through colored vests or hats) and separated from all players?	DOE G 151.1-3, CE4.18
	Did controller communication abilities meet controller needs?	DOE G 151.1-3, CE4.18
	Were controllers/evaluators provided and did they use the appropriate safety equipment?	DOE G 151.1-3, CE4.12 and 16

6. EXERCISES		
	Did controllers/evaluators follow or adhere to safety postings and work permits?	DOE G 151.1-3, CE4.12 and 16
	Did controllers/evaluators identify and stop unsafe acts?	DOE G 151.1-3, CE4.12 and 16
	Did controllers/evaluators identify unsafe conditions or equipment?	DOE G 151.1-3, CE4.12 and 16
	Was an independent safety officer position identified and in place with authority to issue a "stop work" order due to unsafe actions compromising individual or equipment safety?	DOE G 151.1-3, CE4.12 and 16
	Were observers briefed on safety/security precautions and other rules of conduct?	DOE G 151.1-3, 3.9.2, P3-35
Criterion		
6.3.2	Players are prepared for the exercise.	DOE G 151.1-3, 3.9.2, P3-35
Lines of Inquiry		
	Is prior knowledge of scenario material by players effectively prevented through the implementation of exercise scenario security management/precautions?	DOE G 151.1-3, CE4.17
	Is pre-staging of players prevented?	DOE G 151.1-3, CE4.17
	Are players briefed separately from controllers, evaluators and observers?	DOE G 151.1-3, CE4.15 and 16
	Are players properly prepared prior to exercise initiation through participant briefings that explain: rules of conduct, expected player performance, safety rules/instructions/precautions, activities approved to be simulated or walked through, initial conditions simulated to be in place prior to exercise commencement, methods for participants' identification, administrative details in effect during the drill/exercise, and other pertinent information?	DOE G 151.1-3, CE4.12 and 16
Criterion		
6.3.3	Preparations are made to enhance realism for exercise participants.	DOE G 151.1-3, 3.9.3, P3-36
Lines of Inquiry		
	Were props/simulations (e.g., photos of actual damage, mock-ups of alarm panels, smoke machines, mannequins, moulage, flash bangs) developed and did they provide sufficient realism to provide confidence that players could have performed activities as expected during a real emergency?	DOE G 151.1-3, CE4.16 and 22
	Were simulated facility conditions and mitigation response actions minimized where possible?	DOE G 151.1-3, CE4.22
	Was the simulation of activities sufficiently realistic to provide confidence that the activity could have been performed during a real emergency?	DOE G 151.1-3, CE4.22
	Did exercise planning include independent safety reviews of "prop-scene" simulations and planned safety measures?	DOE G 151.1-3, CE4.12 and 16
	Were adequate shadow forces in place to respond to actual alarms?	DOE G 151.1-3, CE4.12 and 16
APPROACH		
Document/Record Review		
	Review player briefing materials for last two exercises.	
	Review controller briefing materials for last two exercises.	
	Review controller/evaluator training materials.	
	Review controller evaluator training/participation records.	
	Review exercise controller plans/packages for the last two calendar years.	
Interview		

6. EXERCISES		
	Interview contractor emergency management exercises lead.	
	Interview exercise program lead.	
	Interview emergency management program lead.	
	Interview DOE field office emergency management program manager.	
	Interview several trained controllers/evaluators chosen at random.	
Observation		
	Observe controller briefing activities.	
	Observe player briefing activities.	
	Observe exercises.	
OBJECTIVE 4		
6.4	Conduct and control exercises effectively and reliably.	[DOE O 151.1C, Attachment 2 (CRD).6. and DOE G 151.1-3, 3.10, P3-36]
Criterion		
6.4.1	The controller organization is adequately staffed and properly assigned.	DOE G 151.1-3, 3.10, P3-36
Lines of Inquiry		
	Were an adequate number of controllers assigned to control, monitor, and assess exercise performance?	DOE G 151.1-3, CE4.18
	Were controllers properly assigned for effective control based on their experience and knowledge of the process or event they were assigned to control (e.g., the individual assigned to control the first aid teams is qualified to perform first aid)?	DOE G 151.1-3, CE4.14
Criterion		
6.4.2	The controller organization conducts/controls the exercise effectively.	DOE G 151.1-3, 3.10, P3-36
Lines of Inquiry		
	Did controllers conduct/control the exercise in accordance with the EXPLAN?	DOE G 151.1-3, CE4.19
	Did controllers avoid prompting and/or coaching players (e.g., ask leading questions like "Have you done this yet"?)?	DOE G 151.1-3, CE4.11
	Did controllers permit free play when free play would not interfere with the scenario?	DOE G 151.1-3, CE4.20
	Did controllers prevent interference and/or prompting by non-responders?	DOE G 151.1-3, CE4.21
	Were contingency messages and/or hold messages issued per the scenario?	DOE G 151.1-3, CE4.18, CE4.19, and CE4.20
APPROACH		
Document/Record Review		
	Review exercise controller/evaluator plans/records for the last two calendar years.	
	Review current exercise program evaluation guides.	
Interview		
	Interview contractor emergency management exercises lead.	
	Interview exercise program lead.	
	Interview emergency management program lead.	
	Interview DOE field office emergency management program manager.	

6. EXERCISES		
Observation		
	Observe exercises.	
OBJECTIVE 5		
6.5	Critique and evaluate exercises effectively and reliably.	[DOE O 151.1C, Attachment 2 (CRD).6 and DOE G 151.1-3, 3.11, P3-40]
Criterion		
6.5.1	Critique processes are rigorous, effective, and reliable.	D OE O 151.1C, Attachment 2 (CRD).6 and DOE G 151.1-3, 3.11.3, P3-46
Lines of Inquiry		
	Are meaningful post-exercise critiques (“hot washes”) conducted by the Controller/Evaluator organization, providing all participants an open forum to discuss positive and/or negative aspects of the exercise?	DOE G 151.1-3, CE4.30
	Did key players and controllers attend the critiques?	DOE G 151.1-3, CE4.30 and 31
	Did players self-identify or self-critique major and minor player, equipment, procedures and performance deficiencies at the critique?	DOE G 151.1-3, CE4.30
	Did controllers/evaluators identify controller, scenario, equipment, procedures and performance deficiencies at the critiques?	DOE G 151.1-3, CE4.30 and CE4.31
	Did controllers/evaluators identify unsafe conditions or equipment during the critique?	DOE G 151.1-3, CE4.30 and CE4.31
	Were critique comments properly documented?	DOE G 151.1-3, CE4.30, 31, & 32
Criterion		
6.5.2	Evaluation processes are rigorous, effective, and reliable.	DOE G 151.1-3, 3.11.2, P3-44
Lines of Inquiry		
	Is the Evaluator organization staffed sufficiently to evaluate the performance and key decision-making of responders in satisfying the exercise objectives?	DOE G 151.1-3, CE4.24
	Was the evaluator organization sufficiently trained (i.e. familiar with responder procedures and expected decisions/responses) to evaluate performance of objectives?	DOE G 151.1-3, CE4.25
	Do Evaluators display familiarity with responder organizations, functions, procedures, and anticipated responder decisions and response activities?	DOE G 151.1-3, CE4.25
	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 applicable procedures and equipment, and overall professional response?	DOE G 151.1-3, CE4.26, 29, & 31
	Are the evaluation processes used of sufficient rigor to help determine whether individual exercise objectives were accomplished, based on a synthesis of all the opportunities for improvement and information/data gathered during the conduct of the exercise?	DOE G 151.1-3, CE4.31
	Are facilities and equipment evaluated with respect to adequacy of functions/operability/habitability?	DOE G 151.1-3, CE4.27 & 28
	Are procedures evaluated with respect to their use by responders and, specifically, their adequacy of content for the tasks performed?	DOE G 151.1-3, CE4.28

6. EXERCISES		
	Are notifications and communications evaluated during every exercise?	DOE O 151.1C, Chap.VIII.3 & DOE G 151.1-3, CE4.29
	Was a formal out-brief held for all players and controllers?	DOE G 151.1-3, CE4.30
	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?	DOE O 151.1C, Chap.IV.4.b (1)(a)
APPROACH		
Document/Record Review		
	Review after-action reports for the last two calendar years.	
	Review hot-wash/critique notes for previous two exercises.	
Interview		
	Interview contractor emergency management exercises lead.	
	Interview exercise program lead.	
	Interview emergency management program lead.	
	Interview DOE field office emergency management program manager.	
Observation		
	Observe exercise critiques and controller/evaluator debriefings.	
	Observe exercise out-briefs for players.	
OBJECTIVE 6		
6.6	Document exercise performance and maintain records, including corrective actions, improvements, and lessons learned.	[DOE O151.1C, Attachment 2, 6. and DOE G 151.1-3, 3.11.3, P3-46]
Criterion		
6.6.1	After-Action Reports (AARs) are developed for each exercise.	DOE O151.1C, Attachment 2, 6.b.(5) and DOE G 151.1-3, 3.11.2, P3-46/47
Lines of Inquiry		
	Are AARs developed in 30 working days to document the results of the exercise critique and evaluation?	DOE O 151.1C, Chap.IV.4.b. (1)(e) & DOE G 151.1-3, CE4.32
	Do AARs document program strengths, findings (weaknesses, and deficiencies) and opportunities for improvements?	DOE G 151.1-3, CE4.32
Criterion		
6.6.2	Corrective Action Plans are developed for each exercise.	DOE O151.1C, Attachment 2, 6.b.(6) and DOE G 151.1-3, 3.12.1, P3-47
Lines of Inquiry		

6. EXERCISES		
	Are Corrective Action Plans developed in 30 working days after AAR submittal for identified findings developed following exercises, documenting corrective actions and improvements?	DOE O 151.1C, Chap.IV.4.b.(1)(f) & DOE G 151.1-3, D.3.3
	Does completion of corrective actions for facility and site exercises include a verification and validation process, which verifies that the corrective action has been put in place and validates that the corrective action has been effective in resolving the original finding?	DOE O 151.1C, Chap.IV.4.b.(1)(g) & DOE G 151.1-3, P4.8
	Is the verification and validation process independent of those who performed the corrective action?	DOE G 151.1-3, P4.8
	Are corrective actions involving revision of procedures or training of personnel completed before the next exercise?	DOE O 151.1C, Chap.IV.4.b.(1)(g) & DOE G 151.1-3, P4.8
Criterion		
6.6.3	Auditable long-term records are prepared and maintained for each exercise.	DOE G 151.1-3, 3.12.2, P3-47/48
Lines of Inquiry		
	Are auditable long-term records prepared and maintained for each exercise, such as exercise objectives, controller manual/packages, schedules, After Action Report, training records, participant rosters, participant packages, critique minutes/summaries, completed evaluator modules or checklists, and/or accounting summaries?	DOE G 151.1-3, 3.12.2, P3-47/48
Criterion		
6.6.4	Lessons learned are developed for each exercise.	DOE O151.1C, Attachment 2, 6.
Lines of Inquiry		
	Are lessons-learned developed following exercises and shared with Players?	DOE O151.1C, Attachment 2, 6.
APPROACH		
Document/Record Review		
	Review After Action Reports for the last two years.	
	Review Corrective Action Plans for the last two years.	
	Review hot-wash/critique summaries for last two years.	
	Review completed evaluator modules or checklists for last two years.	
	Review formal lessons-learned documents and other lessons-learned information (e.g., lessons-learned training materials/bulletins) provided to ERO responders for last two years.	
Interview		
	Interview contractor emergency management exercises lead.	
	Interview exercise program lead.	
	Interview emergency management program lead.	
	Interview DOE field office emergency management program manager.	
Observation		
	None	

7. READINESS ASSURANCE

Performance Goal: The emergency management Readiness Assurance Program provides 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 evaluations and assessments) 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.

1. Objective: DOE/NNSA facilities must implement a readiness assurance program consisting of evaluation, improvements and ERAPs. [DOE O 151.1C, Attachment 2 (CRD), 7.]
2. Objective: DOE/NNSA facilities 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. [DOE O 151.1C, Attachment 2 (CRD) 7.a.(1)]
3. Objective: DOE/NNSA facilities 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. [DOE O 151.1C, Attachment 2 (CRD), 7.a.(3)]
4. Objective: DOE/NNSA facilities/sites must participate in a program of No-Notice Exercises, conducted at the direction of the Director, Office of Emergency Operations, to determine if the facility/site 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. [DOE O 151.1C, Attachment 2 (CRD), 7.a.(4)]
5. Objective: 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. [DOE O 151.1C, 7.b.(1)]
6. Objective: 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. DOE-STD-7501-99, The DOE Corporate Lessons Learned Program, provides guidance on use of the system. [DOE O 151.1C, Attachment 2 (CRD), 7.b.(2)]
7. Objective: 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). [DOE O 151.1C, Attachment 2 (CRD), 7.c.]

OBJECTIVE

7.1	DOE/NNSA facilities must implement a readiness assurance program consisting of evaluation, improvements and ERAPs.	DOE O 151.1C, Attachment 2 (CRD), 7.
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Criterion

7. READINESS ASSURANCE		
7.1.1	An effective formal and structured Readiness Assurance Program is implemented 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 (e.g., in ERAPs).	DOE G 151.1-3, P5.1
Lines of Inquiry		
	Is the readiness assurance program formally documented and structured?	
	Does the readiness assurance program include evaluations?	
	Does the readiness assurance program include improvement programs?	
	Does the readiness assurance program include documentation of the readiness of the program in ERAPs?	
Criterion		
7.1.2	Management commitment and support is essential for committing resources necessary to meet requirements, conduct evaluations, correct deficiencies and weaknesses, and institute an effective lessons learned program	DOE G 151.-14, 4.2
Lines of Inquiry		
	Are resources adequate to establish and maintain an emergency readiness assurance program that consists of evaluations, improvements, and documentation in an ERAP?	
	Is an individual(s) assigned responsibility to conduct evaluations?	
	Is an individual(s) assigned responsibility to identify and implement improvements through corrective actions and lessons learned?	
	Is an individual(s) assigned responsibility to document the facility/site's readiness in an ERAP?	
APPROACH		
Document/Record Review		
	Site/facility emergency plan(s)	
	Plans/procedures addressing the overall structure of the readiness assurance program	
	Procedures addressing each criterion	
Interview		
	Individual with overall responsibility for the readiness assurance program	
	Individual(s) with responsibility for each aspect of the readiness assurance program to include evaluation, improvement, and documentation in the ERAP	
Observation		
	Not applicable	
OBJECTIVE		
7.2	DOE/NNSA facilities 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.	DOE O 151.1C, Attachment 2 (CRD), 7.a.(1)
Criterion		
7.2.1	An evaluation program assures that emergency plans, implementing procedures, and resources are adequate and sufficiently maintained, exercises, and evaluated (including evaluations and assessments).	DOE G 151.1-3, P5.2
Lines of Inquiry		

7. READINESS ASSURANCE		
	Are evaluations, including program evaluations and exercise evaluations, based on a consistent set of performance-based evaluation criteria, issued by the Associate Administrator, Office of Emergency Operations?	DOE G 151.1-3, P5.3
	Are findings (i.e., weaknesses or deficiencies) identified in all program and exercise evaluations?	DOE G 151.1-3, P5.4.b.
	Do the self-assessments encompass the emergency plan, implementing procedures, and resources to ensure they are: <ul style="list-style-type: none"> • Reviewed and updated • Evaluated in exercises 	
	Do self-assessments include all the program elements of the emergency management program?	
Criterion		
7.2.2	Is a self-assessment of the emergency management program conducted annually?	DOE G 151.1-3, P5.4.a.
Lines of Inquiry		
	Is a self-assessment of the emergency management program conducted annually?	
	Are findings (i.e., weaknesses or deficiencies) identified in all program and exercise evaluations?	DOE G 151.1-3, P5.4.b.
	Are records maintained of readiness assurance self-evaluations (e.g., program or exercise self-assessments) and any related findings?	DOE G 151.1-3, P5.4.c.
	Are formal evaluation reports prepared that document evaluation results and specific findings?	DOE G 151.1-3, P5.6
	Are the results of self-assessments documented in the ERAP?	
APPROACH		
Document/Record Review		
	Site/facility emergency plan(s)	
	Procedures addressing the review and revision of documents	
	Procedures addressing self-assessments	
	Self-assessment reports	
	ERAP	
Interview		
	Individual with responsibility for the readiness assurance program	
	Individual(s) who conduct self-assessments	
	Individual(s) who prepares ERAP	
Observation		
	Not applicable	
OBJECTIVE		
7.3	DOE/NNSA facilities 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.	DOE O 151.1C, Attachment 2 (CRD), 7.a.(3)
Criterion		
7.3.1	Performance indicators (including performance measures and metrics) capture and track objective data regarding the performance of emergency management programs in key functional areas.	DOE G 151.1-3, P5.7
Lines of Inquiry		

7. READINESS ASSURANCE		
	Are performance indicators (including performance measures and metrics) used to capture and track the health of the emergency management program?	
	Do the performance indicators address the key functional areas of the emergency management program?	
Criterion		
7.3.2	The results of performance indicators are shared with the Cognizant Field Element and Associate Administrator, Office of Emergency Operations.	DOE G 151.1-3, P5.7
Lines of Inquiry		
	Are the results of performance indicators documented?	
	Are the results of performance indicators provided to the Cognizant Field Element Manager and Associate Administrator, Office of Emergency Operations?	
APPROACH		
Document/Record Review		
	Performance indicators (measures and metrics) used by the facility/site	
	Procedures related to performance indicators	
	Documentation showing the results of performance indicators being provided to the Field Element and Associate Administrator, Office of Emergency Operations	
Interview		
	Individual(s) with responsibility for documenting, tracking, and monitoring performance indicators	
	Manager(s) responsible for monitoring results of performance indicators	
Observation		
	Not applicable	
OBJECTIVE		
7.4	DOE/NNSA facilities/sites must participate in a program of No-Notice Exercises, conducted at the direction of the Director, Office of Emergency Operations, to determine if the facility/site 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.	DOE O 151.1C, Attachment 2 (CRD), 7.a.(4)
Criterion		
7.4.1	DOE/NNSA facilities/sites must participate in a program of No-Notice Exercises, conducted at the direction of the Director, Office of Emergency Operations.	DOE G 151.1-3, P5.8
Lines of Inquiry		
	Has the Director, Office of Emergency Operations, contacted the site regarding a no-notice exercise to be conducted at the site?	
	Has the site participated in a No-Notice Exercise?	
	Did management support the site's participation in the no-notice exercise?	
	If a no-notice exercise has not been conducted, what are the circumstances why one has not been conducted?	
Criterion		
7.4.2	Facility/site involvement is limited to providing trusted agents and responding when the exercise is conducted.	DOE G 151.1-3, P5.8
Lines of Inquiry		
	Did the site provide trusted agents to support the planning, conduct, and evaluation of the no-notice exercise?	
	Did the trusted agents maintain confidentiality of the no-notice exercise?	

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7. READINESS ASSURANCE		
	When provided exercise injects, did the site ERO respond and participate in the exercise?	
APPROACH		
Document/Record Review		
	Exercise planning documentation for no-notice exercises	
	Procedures related to no-notice exercises	
	No-notice exercise evaluation reports	
Interview		
	Persons who have served as trusted agents in a no-notice exercise	
	Manager responsible for supporting and appointing trusted agents	
Observation		
	Not applicable	
OBJECTIVE		
7.5	Continuous improvement in the emergency management program results from implementation of corrective actions for findings (e.g., deficiencies, weaknesses) in all types of evaluation, including both internal and external evaluations.	DOE O 151.1C, Attachment 2 (CRD), 7.b.(1)
Criterion		
7.5.1	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.	DOE O 151.1C, Attachment 2 (CRD), 7.b.(1)(a)
Lines of Inquiry		
	Are evaluated findings from program and exercise evaluations by organizations external to the facility/site or activity acknowledged and include corresponding corrective action plan?	DOE G 151.1-3, P5.11
	Are corrective action plans developed within 30-working days of receipt of the final evaluation report?	DOE G 151.1-3, P5.12
	Are corrective actions completed as soon as possible?	DOE G 151.1-3, P5.13
	For those corrective actions involving the revision of procedures, are the procedures revised before the next annual self-assessment?	DOE G 151.1-3, P5.13
	For those corrective actions involving revisions to training, is the training revised and training conducted before the next annual self-assessment?	DOE G 151.1-3, P5.13
Criterion		
7.5.2	Completion of corrective actions includes a verification and validation process, independent of those who performed the corrective action, that verifies that the correction action has been put in place, and validates that the corrective action has been effective in resolving the original finding.	DOE O 151.1C, Attachment 2 (CRD), 7.b.(1)(b) and DOE G 151.1-3, P5.14
Lines of Inquiry		
	Does the improvement program utilize a tracking system to monitor and verify correction of findings from all program and exercise evaluations, or from actual responses?	DOE G 151.1-3, Attachment 2 (CRD), P5.16

7. READINESS ASSURANCE		
	Does the completion of corrective actions include a verification process conducted by individuals independent of those who performed the corrective action to verify that the corrective action has been put in place?	
	Is the closure of findings from program and exercise evaluations by organizations external to the facility/site or activity validated by the evaluating organization?	DOE G 151.1-3, P5.15
APPROACH		
Document/Record Review		
	Procedures associated with improvement programs and corrective actions	
	Corrective action plans developed in response to evaluations	
Interview		
	Individual(s) with responsibility for capturing and documenting improvements	
	Individual(s) with responsibility to develop corrective actions	
Observation		
	Not applicable	
OBJECTIVE		
7.6	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. DOE-STD-7501-99, The DOE Corporate Lessons Learned Program, provides guidance on use of the system.	DOE O 151.1C, Attachment 2 (CRD), 7.b.(2)
Criterion		
7.6.1	The improvement program includes a system for incorporating and tracking lessons learned from training, drills, actual responses, and a site-wide lessons learned program.	DOE G 151.1-3, P5.17
Lines of Inquiry		
	Is a lessons learned program utilized?	
	Does it include lessons learned from training, drills, and actual responses?	
	It is part of a site-wide lessons learned program?	
	Does the lessons learned program follow the guidance in DOE-STD-7501-99, The DOE Corporate Lessons Learned Program?	
Criterion		
7.6.2	The improvement program ensures that relevant lessons learned (e.g., complex-wide; other non-DOE sources) are received at the facility/site or activity, are reviewed for applicability, and incorporated in the emergency management program as appropriate.	DOE G 151.1-3, P5.18
Lines of Inquiry		
	Is an individual assigned to review relevant lessons learned from the site or other non-DOE sources for applicability at the facility/site?	
	Are those lessons learned that apply to the facility/site incorporated into the emergency management program?	
	Are lessons learned that are incorporated into the emergency management program documented?	
APPROACH		
Document/Record Review		
	Site/facility emergency plan(s)	
	Procedures related to lessons learned	

7. READINESS ASSURANCE		
	Documentation for the incorporation of lessons learned	
Interview		
	Individual with responsibility for the lessons learned program as it applies to the emergency management program	
	Individual with responsibility for the site-wide lessons learned program	
Observation		
	Not applicable	
OBJECTIVE		
7.7	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).	DOE O 151.1C, Attachment 2 (CRD), 7.c.
Criterion		
7.7.1	An ERAP is prepared and submitted to the Cognizant Field Element by September 30 each year?	
Lines of Inquiry		
	Is an individual assigned responsibility to prepare the ERAP?	
	Is the site ERAP approved by the appropriate site manager prior to its submission to the Cognizant Field Element?	
	Is the ERAP submitted to the Cognizant Field Element by September 30?	
Criterion		
7.7.2	Does the ERAP contain a sufficient level of accurate information and analysis to provide management at all levels with an adequate tool for gauging emergency management program readiness?	DOE G 151.1-3, P5.23
Lines of Inquiry		
	Does the ERAP highlight program status, including significant changes in emergency management program (i.e., planning basis, organizations, exemptions) and comparison of previous ERAP goals, milestones, and objectives to achievements?	DOE G 151.1-3, P5.20
	Does the ERAP identify what the program goals were for the fiscal year that ended?	DOE G 151.1-3, P5.21
	Does the ERAP identify the goals for the next fiscal year?	DOE G 151.1-3, P5.21
	Does the ERAP document evaluation results and the status (i.e., open/unresolved or closed) of associated corrective actions to include the following? <ul style="list-style-type: none"> • Self-assessments • Performance measures 	DOE G 151.1-3, P5.22
APPROACH		
Document/Record Review		
	Site/facility emergency plan(s)	
	ERAP	
	Procedures related to ERAP	
	Evidence (e.g., transmittal letter) of ERAP submittal to Field Element	
Interview		

7. READINESS ASSURANCE		
	Individual with overall responsibility (Program Administrator) for managing the emergency management program to verify documentation for each criterion	
	Individual(s) responsible for developing input for the ERAP	
	Individual responsible for approving the ERAP	
Observation		
	Not applicable	

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8. EMERGENCY RESPONSE ORGANIZATION (ERO)		
<p><i>Performance Goal: An Emergency Response Organization (ERO), a structured organization with overall responsibility for initial and ongoing emergency response and mitigation, must be established 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. [DOE O 151.1C, Attachment 2, CRD, 8.]</i></p> <p><u>Objectives:</u></p> <ol style="list-style-type: none"> ERO Organizational Structure [DOE O 151.1C, Attachment 2, CRD, 8.a.] ERO for Hazardous Materials Programs [DOE O 151.1C, Attachment 2, CRD, 8.b.] Control at the Event/Incident Scene [DOE O 151.1C, Attachment 2, CRD, 8.b.] 		
OBJECTIVE 8.1. ERO ORGANIZATIONAL STRUCTURE		
8.1	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.	DOE O 151.1C, Attachment 2, CRD, 8.a.
Criterion		
8.1.1	The organizational structure of the ERO is based on the results of the facility/site or activity Hazards Survey(s) and EPHA(s), the relationships between the site and facility response capabilities, and the relationships between the onsite and offsite emergency response organizations.	DOE G 151.1-4, Ch. 1, 1.3
Lines of Inquiry		Reference(s)
	Is the organizational configuration of the ERO based on actual or potential emergency conditions?	DOE G 151.1-3, App. D, D.4.1, P/E6.1
	Does the management structure of the emergency response facility provide for the collection and dissemination of accurate data, the setting of priorities, assignment of work to functional groups, and keeping key emergency response staff abreast of emergency response status?	DOE G 151.1-3, App. D, D.4.1, P/E6.2
	Does an “Emergency Director (ED)” or equivalent titled individual manage and control all aspects of the facility/site or activity overall response?	DOE G 151.1-3, App. D, D.4.1, P/E6.3
	Does an “Emergency Director (ED)” or equivalent titled individual have the authority to use necessary resources to mitigate the emergency?	DOE G 151.1-3, App. D, D.4.1, P/E6.3
	Does the ED have the authority and responsibility to perform the required functions, including initial activation of on-site response assets, notification of off-site authorities, and request for off-site assistance, in accordance with the National Response Plan (NRP) and the National Incident Management System (NIMS)?	DOE G 151.1-3, App. D, D.4.1, P/E6.4
	Is the division of authority and responsibility between the Incident Commander (IC) and the ED position clearly established and maintained?	DOE G 151.1-3, App. D, D.4.1, P/E6.5
	Is control of operations, monitoring, and repair teams clearly vested in a single ERO position or clearly defined between multiple ERO positions?	DOE G 151.1-3, App. D, D.4.1, P/E6.6
Criterion		
8.1.2	An adequate number of experienced and trained personnel, including designated alternates, are available on demand for timely and effective performance of ERO functions.	DOE G 151.1-3, App. D, D.4.1
Lines of Inquiry		Reference(s)
	Are all personnel who may be needed to perform duties, beyond those specified by 29 CFR 1910.120 for the responder awareness level, during a response to any of a broad range of emergencies defined in the Hazards Survey(s) or EPHA(s) members of the ERO?	DOE G 151.1-3, App. D, D.4.1, P/E6.38

8. EMERGENCY RESPONSE ORGANIZATION (ERO)		
	Are fully trained personnel assigned to facility-and site-level ERO positions to ensure adequate staffing for emergency response?	DOE G 151.1-3, App. D, D.4.1, P/E6.39
	Have all personnel assigned to facility-and site-level ERO positions demonstrated their proficiency in their 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?	DOE G 151.1-3, App. D, D.4.1, P/E6.40
	Are an adequate number of experienced and trained personnel for initial and ongoing response, including designated alternates, assigned to each functional area?	DOE G 151.1-3, App. D, D.4.1, P/E6.41
	Is a technique, such as duty-cycle or static roster, being used to ensure that qualified personnel are available on-demand and properly assigned?	DOE G 151.1-3, App. D, D.4.1, P/E6.42a.
	Are candidates for call-up, including designated alternates, sufficiently trained for initial and ongoing response?	DOE G 151.1-3, App. D, D.4.1, P/E6.42b.
	Are ERO rosters periodically reviewed for accuracy (e.g., current qualifications, correct phone number, correct response time, etc.)?	DOE G 151.1-3, App. D, D.4, P/E6.42c.
	Are ERO personnel qualifications periodically reviewed and updated?	DOE G 151.1-3, App. D, D.4.1, P/E6.42d.
	Are communication systems that are used to activate both on-shift and off-shift emergency response personnel periodically tested to ensure their adequacy and reliability?	DOE G 151.1-3, App. D, D.4.1, P/E6.43
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> • <i>Site/facility emergency plan</i> • <i>Emergency plan implementing procedures</i> • <i>ERO rosters</i> • <i>Training program plan and training records</i> • <i>Exercise program planning documents and records to verify ERO participation/performance in exercises</i> • <i>Emergency Readiness Assurance Plan</i> • <i>Documentation of program reviews</i> • <i>Corrective actions (internal and external) related to ERO</i> 	
Interview		
	<ul style="list-style-type: none"> • <i>Emergency management program administrator</i> • <i>Training program manager</i> • <i>Exercise program manager</i> • <i>ERO personnel</i> 	
Observation		
	<ul style="list-style-type: none"> • <i>Observe conduct of training, drills, and/or exercises</i> 	
OBJECTIVE 8.2. ERO FOR HAZARDOUS MATERIALS PROGRAMS		
8.2	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.	DOE O 151.1C, Attachment 2, CRD, 8.b.
Criterion		
8.2.1	The normal operating organization transitions to an ERO immediately after an Operational Emergency (OE) is declared.	DOE G 151.1-4, Ch.1; 1.5.1
Lines of Inquiry		Reference(s)

8. EMERGENCY RESPONSE ORGANIZATION (ERO)		
	Is ERO activation based on actual or potential emergency conditions?	DOE G 151.1-3, App. D, D.4.1, P/E6.7
	Does on-shift operations staff perform initial ERO response functions?	DOE G 151.1-3, App. D, D.4.1, P/E6.8
	Is the ERO functionally staffed and activated in a timely manner; are key emergency response facilities operational within an hour after declaration of an Operational Emergency?	DOE G 151.1-3, App. D, D.4.1, P/E6.9
	Can personnel assigned to ERO positions gain access to their response stations without impediment?	DOE G 151.1-3, App. D, D.4.1, P/E6.10a.
	Are non-ERO personnel excluded from emergency response work areas?	DOE G 151.1-3, App. D, D.4.1, P/E6.10b.
	Are individuals in key response positions/functions readily identifiable by other ERO staff (e.g., through use of status board(s) or badging)?	DOE G 151.1-3, App. D, D.4.1, P/E6.10c.
	Are procedures and/or checklists/ which describe the major activation and initial response activities of key members of the ERO used?	DOE G 151.1-3, App. D, D.4.1, P/E6.11
	Is the order of succession of management personnel responsible for managing the emergency in the absence of the primary designated ED clearly designated/implemented?	DOE G 151.1-3, App. D, D.4.1, P/E6.12
	Are extended operations (i.e., shift arrangements to cover 24-hour operations) anticipated and planned for?	DOE G 151.1-3, App. D, D.4.1, P/E6.13
Criterion		
8.2.2	Responsible ERO operations and technical support staff will determine and implement a reasonable, well-planned course of action based on their current knowledge of the situation.	DOE G 151.1-4, Ch. 1, 1.5.2
Lines of Inquiry		Reference(s)
	Does the Emergency Director (ED), in the lead role responsible for emergency response, adequately and effectively perform assigned functions utilizing sufficient and practical knowledge of the affected facility/site or activity and its operations, the emergency response team and its mission, and the available tools and resources necessary to affect an appropriate response and mitigate the emergency?	DOE G 151.1-3, App. D, D.4.1, P/E6.14
	Is transfer of a command and control function to another emergency facility, within an emergency facility, or to a command external to the ERO or ICS (e.g., another federal agency, such as DOJ/FBI), completed in an orderly and formal manner, and ERO personnel are informed of the transfer?	DOE G 151.1-3, App. D, D.4.1, P/E6.15
	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).	DOE G 151.1-3, App. D, D.4.1, P/E6.16
	Is an individual in the ERO assigned liaison responsibilities for coordinating with off-site agencies to ensure that effective communications are initiated and maintained during an emergency?	DOE G 151.1-3, App. D, D.4.1, P/E6.17
	Do members of the ERO perform in their roles, functions, and interfaces and in their use of emergency equipment, facilities, and resources in a timely, effective and efficient manner?	DOE G 151.1-3, App. D, D.4.1, P/E6.18a
	Do members of the ERO clearly acknowledge and understand authorities and responsibilities in functional areas?	DOE G 151.1-3, App. D, D.4.1, P/E6.18b

8. EMERGENCY RESPONSE ORGANIZATION (ERO)		
	Do members of the ERO identify and access available response resources (e.g., personnel, equipment, consumables, and replacement parts), and, as appropriate, take account of resource limitations and specific capabilities?	DOE G 151.1-3, App. D, D.4.1, P/E6.18c
	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?	DOE G 151.1-3, App. D, D.4.1, P/E6.19
	When priority actions are identified, is tasking clearly made to emergency response staff, and are actions followed through to completion?	DOE G 151.1-3, App. D, D.4.1, P/E6.20
	Do specialty groups (e.g., consequence assessment, maintenance, operations, technical staff) supporting the emergency response staff provide timely information to the decision-making process?	DOE G 151.1-3, App. D, D.4.1, P/E6.21
	Are adequate data obtained and analyzed to support the operations staff in assessing and mitigating the emergency events?	DOE G 151.1-3, App. D, D.4.1, P/E6.22
	Is information accurately and efficiently transmitted in an orderly and documented manner throughout the chain of command and between/within emergency facilities?	DOE G 151.1-3, App. D, D.4.1, P/E6.23
	Does the use of acronyms, code words, convention and/or technical terminology cause misunderstandings related to the response and associated data?	DOE G 151.1-3, App. D, D.4.1, P/E6.24
	Are periodic briefings provided on the status of the emergency and current significant response priorities and activities?	DOE G 151.1-3, App. D, D.4.1, P/E6.25
	Are communications maintained with and information provided regularly to the DOE Headquarters Emergency Management Team (EMT)?	DOE G 151.1-3, App. D, D.4, P/E6.26
	Does ERO management effectively coordinates state and DOE site requests for use of DOE/NNSA assets?	DOE G 151.1-3, App. D, D.4.1, P/E6.27
	Is an individual assigned liaison responsibilities with personnel representing DOE/NNSA assets (e.g., NARAC, FRMAC, AMS, RAP, REACT/TS, ARG, and/or NEST) involved in the response to coordinate logistics, ensure that effective communications are initiated and maintained, and ensure that data is exchanged using consistent units of measure?	DOE G 151.1-3, App. D, D.4.1, P/E6.28
	Are ERO personnel provided with adequate briefings concerning safety, operations, communications, and hazards before being deployed?	DOE G 151.1-3, App. D, D.4.1, P/E6.29
	Are ERO teams debriefed upon return from assigned missions and are their accomplishments, failures, exposures, and status information recorded and made available to other teams and emergency facilities?	DOE G 151.1-3, App. D, D.4.1, P/E6.30
	Does the responsible individual 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?	DOE G 151.1-3, App. D, D.4.1, P/E6.31
	Is an individual trained to recognize, categorize, and classify events and conduct appropriate notifications available 24-hours a day, 7-days a week? Is this individual's authority unambiguous and clearly communicated throughout the ERO?	DOE G 151.1-3, App. D, D.4.1, P/E6.32
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> • ERO checklists/job aids • ERO organization chart • ERO rosters • EPHSs/EPHAs 	

8. EMERGENCY RESPONSE ORGANIZATION (ERO)		
Interview		
	<ul style="list-style-type: none"> • ERO personnel 	
Observation		
	<ul style="list-style-type: none"> • System for recall of ERO personnel • Attend/take training if possible • Observe conduct of training, drills, and/or exercises 	
OBJECTIVE 8.3. CONTROL OF THE EVENT/INCIDENT SCENE		
8.3	Control of 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.	DOE O 151.1C, Attachment 2, CRD, 8.b.
Criterion		
8.3.1	The Incident Commander (IC) maintains operational control of the response at the incident scene and transmits information to the command center or Emergency Operations Center (EOC).	DOE G 151.1-4, Ch. 1, 1.3.3
Lines of Inquiry		Reference(s)
	Is IC control and coordination at the event/incident scene consistent with the National Response Framework (NRF) and the NIMS/ICS, which integrates local agencies and organizations that provide on-site response services?	DOE G 151.1-3, App. D, D.4.1, P/E6.33.1a.
	Is the ICS identified in the emergency plan and memoranda of understanding/agreement with local response organizations?	DOE G 151.1-3, App. D, D.4, P/E6.33.1b.
	Is the ICS organized in the five major functional areas of NIMS/ICS: Command, Operations, Planning, Logistics, and Finances and Administration?	DOE G 151.1-3, App. D, D.4.1, P/E6.33.2
	Is the incident assessed and priorities established, with life-saving, safety, and incident stabilization receiving top priority?	DOE G 151.1-3, App. D, D.4.1, P/E6.33.3
	Are incident command strategic goals and tactical objectives clear and a flexible action plan implemented?	DOE G 151.1-3, App. D, D.4.1, P/E6.33.4
	Does Incident command evolve from providing oral direction to the development of a written Incident Action Plan (IAP)?	DOE G 151.1-3, App. D, D.4.1, P/E6.33.5
	Do incident command staff continually assess the situation, develop a mitigation strategy, and request additional assets (as needed)?	DOE G 151.1-3, App. D, D.4.1, P/E6.33.6
	Does incident command coordinate internal and external response assets in an effective manner?	DOE G 151.1-3, App. D, D.4.1, P/E6.33.7
	Is the ICS command post strategically located in a safe area, where command and control may take place safely and effectively?	DOE G 151.1-3, App. D, D.4.1, P/E6.33.8
	Are the habitability of the command post and staging area(s) periodically assessed and moved, as necessary, for safety purposes?	DOE G 151.1-3, App. D, D.4.1, P/E6.33.9
	Has Incident command staff established a staging area where arriving asset personnel are briefed; communications are checked; special equipment is issued; and the assets are deployed upon request?	DOE G 151.1-3, App. D, D.4.1, P/E6.33.10a.
	Are asset personnel debriefed before being released; are personnel accounted for; and are personnel and equipment surveyed for contamination; decontaminated as necessary; and issued equipment returned?	DOE G 151.1-3, App. D, D.4.1, P/E6.33.10b.
Criterion		

8. EMERGENCY RESPONSE ORGANIZATION (ERO)		
8.3.2	Fire and Rescue support is determined by the baseline needs assessment performed in accordance with DOE O 420.1B, using the Hazards Survey and EPHA.	DOE G 151.1-4, Ch. 1, 1.3.2
Lines of Inquiry		Reference(s)
	Are fire/rescue personnel and equipment assembled and deployed to the scene of the emergency in a safe and timely manner?	DOE G 151.1-3, App. D, D.4.1, P/E6.36.1
	Do fire/rescue personnel take necessary precautions for contamination, exposure, heat, and personal safety?	DOE G 151.1-3, App. D, D.4.1, P/E6.36.2
	Are search and rescue operations carried out in an efficient manner, and are their efforts coordinated with medical, industrial hygiene, and health physics personnel?	DOE G 151.1-3, App. D, D.4.1, P/E6.36.3
	Are injured personnel properly extricated, immobilized, and moved during search and rescue operations?	DOE G 151.1-3, App. D, D.4.1, P/E6.36.4
	When responding on site, are both on-site and off-site fire personnel outfitted with the appropriate specialized equipment and supplies specific to the on-site hazards?	DOE G 151.1-3, App. D, D.4.1, P/E6.36.5
Criterion		
8.3.3	Hazardous Material Survey, Sampling and Sample Analysis Teams should be designated to evaluate the occupational, radiological, and environmental health hazard at or near an accident scene.	DOE G 151.1-4, Ch. 1, 1.3.2
Lines of Inquiry		Reference(s)
	Teams implement survey and sampling procedures in a timely manner: Field teams are provided with adequate monitoring equipment and Personnel Protective Equipment (PPE) to accomplish field monitoring and plume tracking within and beyond the EPZ.	DOE G 151.1-3, App. D, D.4.1, P/E6.34.1a.
	Teams implement survey and sampling procedures in a timely manner: Teams correctly use protective equipment, such as protective clothing and respirators, filter masks, and dosimetry.	DOE G 151.1-3, App. D, D.4.1, P/E6.34.1b.
	Is required equipment for emergency response adequate, accessible, functional, and calibrated?	DOE G 151.1-3, App. D, D.4.1, P/E6.34.2
	Do teams make effective use of maps or general arrangement drawings showing pre-determined and potential monitoring points?	DOE G 151.1-3, App. D, D.4.1, P/E6.34.3
	Are teams briefed on facility and meteorological conditions, and exposure control procedures before deployment and when changes occur?	DOE G 151.1-3, App. D, D.4.1, P/E6.34.4
	Do teams maintain effective communications to transmit accurate and timely readings and results to their team coordinator?	DOE G 151.1-3, App. D, D.4.1, P/E6.34.5
	Field teams are well directed and effectively controlled by emergency response management, who: Provide directions to survey specific areas.	DOE G 151.1-3, App. D, D.4.1, P/E6.34.6a.
	Field teams are well directed and effectively controlled by emergency response management, who: Provide directions to minimize hazardous material exposure by exiting high airborne and whole body dose areas (i.e., for radiological materials), or high concentration areas (i.e., for toxic non-radiological materials), when not actively engaged in sample and survey activities.	DOE G 151.1-3, App. D, D.4.1, P/E6.34.6b.
	Field teams are well directed and effectively controlled by emergency response management, who: Set exposure limits for survey and tracking teams, and collect and record survey results.	DOE G 151.1-3, App. D, D.4.1, P/E6.34.6c.

8. EMERGENCY RESPONSE ORGANIZATION (ERO)		
	Do teams utilize proper survey equipment and log results accurately?	DOE G 151.1-3, App. D, D.4.1, P/E6.34.7
	Do teams collect samples, bag and mark them, and log results accurately and efficiently?	DOE G 151.1-3, App. D, D.4.1, P/E6.34.8
	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?	DOE G 151.1-3, App. D, D.4.1, P/E6.34.9
	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?	DOE G 151.1-3, App. D, D.4.1, P/E6.34.10
	Are analysis results promptly and accurately communicated to other emergency response organizations?	DOE G 151.1-3, App. D, D.4.1, P/E6.34.11
Criterion		
8.3.4	The responsibilities and procedures of the site security forces should be efficiently and effectively implemented during response and be characterized by effective command and control.	DOE G 151.1-4, Ch. 1, 1.7.3
Lines of Inquiry		Reference(s)
	Are protective force security procedures for carrying out their responsibilities during response to OEs promptly, safely, efficiently, and effectively implemented?	DOE G 151.1-3, App. D, D.4.1, P/E6.35.1
	Is an ICS, in accordance with the NIMS/ICS requirements, implemented for security emergencies?	DOE G 151.1-3, App. D, D.4.1, P/E6.35.2
	Is response of protective force personnel and equipment characterized by effective command and control?	DOE G 151.1-3, App. D, D.4.1, P/E6.35.3
	Is access and egress control quickly and properly maintained for the facility/site or activity, facility/site areas, impacted areas (i.e., safe perimeters), and emergency response facilities?	DOE G 151.1-3, App. D, D.4.1, P/E6.35.4
	Do security practices facilitate timely movement and access of facility/site operating and response personnel (including off-site personnel) to required areas during emergency situations?	DOE G 151.1-3, App. D, D.4.1, P/E6.35.5
	Under emergency conditions, are material accountability and protection for Special Nuclear Material (SNM) and other critical DOE assets handled in a timely and effective manner?	DOE G 151.1-3, App. D, D.4.1, P/E6.35.6
	Is common protocol for local law enforcement backup of the on-site security force used (e.g., use of deadly force, weapons employment, tactics, code words, radio frequencies, etc.)?	DOE G 151.1-3, App. D, D.4.1, P/E6.35.7
	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?	DOE G 151.1-3, App. D, D.4.1, P/E6.35.8
Criterion		
8.3.5	Repair and maintenance support should be available for carrying out repair and maintenance activities during an emergency in a timely and efficient manner.	DOE G 151.1-4, 1.3.2 ERO Functions
Lines of Inquiry		Reference(s)
	Are Facility and field repair and maintenance activities carried out in a timely and efficient manner?	DOE G 151.1-3, App. D, D.4.1, P/E6.37.1

8. EMERGENCY RESPONSE ORGANIZATION (ERO)		
	Are the proper tools available and the procurement of replacement parts expedited for repair and maintenance activities?	DOE G 151.1-3, App. D, D.4.1, P/E6.37.2
	Are emergency work order procedures used and emergency tagging (e.g., lockout/tagout or clearance) being implemented?	DOE G 151.1-3, App. D, D.4.1, P/E6.37.3
	Do repair and maintenance activities include personnel protection and monitoring as well as coordination with support groups, such as health physics and chemistry personnel?	DOE G 151.1-3, App. D, D.4.1, P/E6.37.4
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> • <i>ICS procedures</i> • <i>Security procedures</i> • <i>Procurement procedures</i> • <i>MOUs/MOAs</i> 	
Interview		
	<ul style="list-style-type: none"> • <i>Fire department personnel</i> • <i>Security personnel</i> • <i>Maintenance personnel</i> 	
Observation		
	<ul style="list-style-type: none"> • <i>Lockout/tagout</i> • <i>ICP during drill and/or exercise</i> • <i>Security personnel actions during drill and/or exercise</i> 	

9. OFFSITE RESPONSE INTERFACES (SITE)		
<p>Performance Goal: Effective interfaces are 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, in accordance with the National Response Framework (NRF) and NIMS. [DOE O 151.1C, Attachment 2 (CRD). 9.]</p> <ol style="list-style-type: none"> Objective: Coordination is made with State, Tribal and local agencies and organizations responsible for offsite emergency response and for protection of the health and safety of the public. [DOE O 151.1C, Attachment 2 (CRD).9.] Objective: Effective interfaces have 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? [DOE O 151.1C, Attachment 2 (CRD).9.] Objective: Emergency-related information and training on site-specific conditions and hazards must be available to offsite personnel who may be required to participate to an emergency at the DOE/NNSA site/facility. [DOE O 151.1C, III.4.a.(3)] Objective: Offsite response organizations must be invited to participate in site-wide exercises at least once every three years. [DOE O 151.1C, Attachment 2 (CRD), 6.b.(3)] Objective: For Operational Emergencies, provisions must be established for prompt initial notification of workers and emergency response personnel and organizations, including appropriate DOE/NNSA elements and other Federal, State, Tribal and local organizations. Accurate and timely follow-up notifications must be made with conditions change, when the emergency classification level is upgraded, or when the emergency is terminated. [DOE O 151.1C, Attachment 2 (CRD), 12] Objective: 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. [DOE O 151.1C, Attachment 2 (CRD).16] 		
OBJECTIVE		
9.1	Coordination is made with State, Tribal and local agencies and organizations responsible for offsite emergency response and for protection of the health and safety of the public.	[DOE O 151.1C, Attachment 2 (CRD).9.]
Criterion		
9.1.1	An individual with the appropriate authority, knowledge and training is responsible for establishing and maintaining ongoing and effective interfaces with offsite political, technical, security (e.g., local law enforcement), public health, and emergency services officials.	(DOE G 151.1-3, D.4.2, P7.16)
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there a procedure(s)/process which describes the process for interacting with State, Tribal and local authorities? 	
	<ul style="list-style-type: none"> Does the procedure indicate the position/person responsible for establishing and maintaining ongoing interfaces with offsite entities? 	

9. OFFSITE RESPONSE INTERFACES (SITE)		
	<ul style="list-style-type: none"> Is the position/person responsible for establishing and maintaining ongoing interfaces share these duties with a federal (Field Element) employee? 	
	<ul style="list-style-type: none"> Are the duties described found in the position/person’s position description? 	
	<ul style="list-style-type: none"> Does the individual conducting the interfacing have the appropriate authority, knowledge, and training? 	DOE G 151.1-3, 2.5)
	<ul style="list-style-type: none"> Describe all site/facility contractor positions with offsite interfaces (e.g., law enforcement, emergency services, technical, medical...). 	
	<ul style="list-style-type: none"> Have all individuals with offsite interface responsibilities had training? 	
	<ul style="list-style-type: none"> What training have they received? 	
	<ul style="list-style-type: none"> Is the training received documented? 	
Criterion		
9.1.2	Interfaces with Federal, Tribal, State, and/or local authorities responsible for protection of the public and the environment are identified and established.	(DOE G 151.1-4, 2.3) (DOE G 151.1-3, D.4.2, P/E7.1)
Lines of Inquiry		
	<ul style="list-style-type: none"> Have State, local, and Tribal agencies responsible for protecting the public and environment within the vicinity of the facility/site been identified? 	(DOE G 151.1-4, 2.3)
	<ul style="list-style-type: none"> Were the results of the hazards survey and the EPHA(s) used to help identify these agencies and organizations? 	
	<ul style="list-style-type: none"> Who from the site/facility contractor establishes/maintains these contacts? (Is it the same individual as described in Criterion 9.1.1 above?) 	
	<ul style="list-style-type: none"> Does the site/facility supports offsite agencies under the “good neighbor” policy, in areas of emergency assistance including: fire, medical, and hazardous material release (including field monitoring resources)? 	(DOE G 151.1-3, D.4., P/E7.20)
	<ul style="list-style-type: none"> 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? 	[Title 29 CFR, 1920.120, (1)(2)(iii)]
	<ul style="list-style-type: none"> Have offsite authorities been informed of the availability of assistance from DOE/NSA national assets (i.e., RAP, FRMAC, NARAC, AMS, and REAC/TS)? 	(DOE G 151.1-3, D.4.P/E7.3)
Criterion		
9.1.3.	Offsite response agencies and organizations responsible for augmenting site response resources have been identified.	(DOE G 151.1-4, 2.3)
Lines of Inquiry		

9. OFFSITE RESPONSE INTERFACES (SITE)		
	<ul style="list-style-type: none"> Is there a listing of State, local, and Tribal agencies responsible for augmenting site response resources? 	(DOE G 151.1-4, 2.3)
	<ul style="list-style-type: none"> Were the results of the hazards survey and the EPHA(s) used to help identify these agencies and organizations necessary to support a comprehensive and integrated response (medical, fire, hazmat, search and rescue)? 	(DOE G 151.1-4, 2.2 and 2.3)
	<ul style="list-style-type: none"> Is there a documented process in place to assist in identifying new offsite organizations that may have capabilities to address specific emergency response needs? 	
	<ul style="list-style-type: none"> Is there a documented process in place to assist in identifying new capabilities of offsite organizations currently having agreements? 	
	<ul style="list-style-type: none"> Are planned response functions to be provided by offsite organizations periodically tested and verified? 	(DOE G 151.1-3, D.4.P/E7.22)
Criterion		
9.1.4.	Effective coordination with offsite response agencies and organizations is accomplished and maintained through routinely scheduled meetings.	(DOE G 151.1-3, D.4.2, P7.19) (DOE G 151.1-4, Section 2.2)
Lines of Inquiry		
	<ul style="list-style-type: none"> How often does the site/facility contractor meet with offsite organizations? 	
	<ul style="list-style-type: none"> Is there a requirement from the state/local/tribal to meet? 	
	<ul style="list-style-type: none"> Is the meeting schedule described in a document (procedure, plan)? 	
	<ul style="list-style-type: none"> Are there notes documenting the meetings? 	
	<ul style="list-style-type: none"> Does the site/facility attend State Emergency Planning Committee (SEPC) and/or Local Emergency Planning Committee (LEPC) meetings? 	
	<ul style="list-style-type: none"> Does the site/facility work with the LEPC on developing and implementing the local emergency plan? 	[40 CFR 355.30(c)]
Criterion		
9.1.5.	Emergency-related information is made available to offsite response organizations.	[DOE O 151.1C, IV.4.a]
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the site/facility shared Emergency Plans, Hazards Surveys and/or EPHAs? 	
	<ul style="list-style-type: none"> Have EALs been shared with offsite entities (state and locals)? 	
	<ul style="list-style-type: none"> Is there a process to ensure that the offsite organizations are provided the most recent plans/procedures and other pertinent information? 	
	<ul style="list-style-type: none"> Who is responsible for this? 	
Criterion		
9.1.6.	Provisions are in place and implemented with State, Tribal and local agencies and organizations for coordinating the release of information about the emergency to the public.	(DOE G 151.1-3, D.4.2, P/E7.14)
Lines of Inquiry		

9. OFFSITE RESPONSE INTERFACES (SITE)		
	<ul style="list-style-type: none"> Have procedures/process been develop to coordinate the release of information regarding an emergency at the site/facility to the public? 	
	<ul style="list-style-type: none"> Have the procedures/process been agreed to by the state, tribal, and/or local government entity(ies)? 	
	<ul style="list-style-type: none"> Have site/facility contractor/Field Office worked out the procedures to make protective action recommendations to the state/local? 	
	<ul style="list-style-type: none"> Has the state/local agreed to the procedures? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review all the site /facility(s), hazard survey, EPHAs, emergency plan and emergency implementing procedures. 	
	<ul style="list-style-type: none"> Review Memoranda or agreements with offsite response organizations. 	
	<ul style="list-style-type: none"> Verify compliance with other DOE and non-DOE requirements applicable to emergency management program offsite response interface. 	
	<ul style="list-style-type: none"> Also identify any other Federal, state, tribal and local requirements or agreements pertaining to offsite response interface with which the site/facility must comply. Provide references regarding implementation. 	
	<ul style="list-style-type: none"> Resolve any issues of missing, incomplete or unclear documentation in the interview/observation phases of the assessment. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility (Program Administrator) for managing the emergency management program, as well as those managers delegated individual responsibility for offsite response interface activities within the emergency. 	
	<ul style="list-style-type: none"> Interview facility emergency management personnel on sites with multiple facilities who have management roles with respect to offsite response interface to determine effectiveness of site-wide program integration for offsite response interface effectiveness. 	
	<ul style="list-style-type: none"> Interview individual with responsibility for establishing MOUs/MOAs. 	
	<ul style="list-style-type: none"> Interview individual who attends LEPC and SEPC meetings. 	
	<ul style="list-style-type: none"> 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. 	
Observation		
	Not applicable.	
OBJECTIVE		
9.2.	<p>Effective interfaces have 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?</p>	<p>[DOE O 151.1C, Attachment 2 (CRD).9.]</p>
Criterion		

9. OFFSITE RESPONSE INTERFACES (SITE)		
9.2.1.	Agreements to provide mutual assistance to or to receive assistance from offsite organizations (e.g., hospitals, fire departments) are documented in a formal memorandum of agreement (MOA) or memorandum of understanding (MOU), which are accessible in the emergency plan and maintained current through periodic reviews.	(DOE G. 151.1-3, D.4.2, P.7.17)
Lines of Inquiry		
	<ul style="list-style-type: none"> Are arrangements made with offsite organizations documented in agreements (Memoranda of Understanding (MOUs), Memoranda of Agreement (MOAs), Mutual Aid Agreements (MAAs), Agreements in Principle and State Oversight Agreements)? 	(DOE G 151.1-3, 2.4)
	<ul style="list-style-type: none"> Does a documented process exist for the development and implementation of mutual assistance agreements with State, Tribal and local authorities for offsite response? 	
	<ul style="list-style-type: none"> Are the agreements accessible in the site/facility emergency plan? 	(DOE G 151.1-3, 2.4)
	<ul style="list-style-type: none"> Are there provisions for periodic review? Is the periodic review an established documented review cycle? 	(DOE G 151.1-3, 2.4)
	<ul style="list-style-type: none"> Are mutual assistance agreements reviewed for possible revision following notification of a change in the Hazards Survey/EPHAs? 	
	<ul style="list-style-type: none"> Is there an established dissemination and control system for mutual assistance agreements? 	
	<ul style="list-style-type: none"> Does each agreement contain or reference: <ul style="list-style-type: none"> The specific service and/or resource to be provided? The agency, organization, or jurisdiction to which it applies? Onsite individuals authorized to request aid from the offsite agency, organization, or jurisdiction? Offsite individuals authorized to implement the arrangement, point-of-contact, and information required for implementation, such as names and telephone numbers? Specific responsibilities, authorities and command structure? Any constraints/conditions that might preclude the agency, organization, or jurisdiction from meeting its obligation or support its refusal? Public information release protocols? Financial arrangements including commitments by the facility/site to provide training, equipment, and facilities to the entity providing the service and indemnification for injury to persons for loss and damage to property? Specified periodic re-examination of the provisions and a renewal or termination date? Signature of authorized individuals representing the site organizations and the offsite agency, organization, or jurisdiction? 	(DOE G 151.1-3, 2.4)
Criterion		

9. OFFSITE RESPONSE INTERFACES (SITE)		
9.2.2.	Coordination and integration with offsite response agencies and organizations follow established, pre-arranged and documented plan and protocols, including, responsibilities and authorities, coordination of response, notifications, facility activations, communications, EOC interfaces, public information activities and logistic protocols.	(DOE G 151.1-3, D.4.2, P/E7.13)
Lines of Inquiry		
	<ul style="list-style-type: none"> Besides the MOUs/MOAs/MAAs described above are there plans/procedures in place which discuss how the offsite response agencies and organizations are to respond? 	
	<ul style="list-style-type: none"> Are the identification and responsibilities of all parties and participants in accordance with the requirements of the NIMS/Incident Command System (ICS) procedures? 	(DOE G 151.1-4,2.5)
	<ul style="list-style-type: none"> Do the plans/protocols identify emergency points of contact, a description of information in notifications and follow-on activities and a method to validate emergency notification messages? 	(DOE G 151.1-4,2.5)
	<ul style="list-style-type: none"> Is there space for offsite organizations in the Field Office/site/facility EOC? 	
	<ul style="list-style-type: none"> Do offsite organizations staff the Field Office/site/facility EOC? 	
	<ul style="list-style-type: none"> Does the DOE/contractor send a liaison to offsite organizations' EOCs? 	(DOE G 151.1-4,2.5)
	<ul style="list-style-type: none"> Do plans/procedures address special offsite organizations with which coordination of emergency response may be required (such as FAA, Coast Guard, State Fisheries, State Parks and Recreational Agencies, Railroad companies with right-of-way, Gas or electric companies with right-of-way)? 	
	<ul style="list-style-type: none"> Do plans/procedures address special situations for schools, nursing homes or hospitals in the EPZ? 	
	<ul style="list-style-type: none"> What special issues are addressed (if there are any)? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review emergency plan and emergency implementing procedures regarding offsite interfaces. 	
	<ul style="list-style-type: none"> Review all memoranda or agreements with offsite response organizations. 	
	<ul style="list-style-type: none"> Verify compliance with other DOE and non-DOE requirements applicable to emergency management program offsite response interface. 	
	<ul style="list-style-type: none"> Also identify any other Federal, state, tribal and local requirements or agreements pertaining to offsite response interface with which the site/facility must comply. Provide references regarding implementation. 	
	<ul style="list-style-type: none"> Resolve any issues of missing, incomplete or unclear documentation in the interview/observation phases of the assessment. 	
Interview		

9. OFFSITE RESPONSE INTERFACES (SITE)		
	<ul style="list-style-type: none"> Interview individual with overall responsibility (Program Administrator) for managing the emergency management program, as well as those managers delegated individual responsibility for offsite response interface activities within the emergency management program (i.e., fire, medical, hazmat, radiation control, security, field monitoring). Verify applicable documentation for each criterion. 	
	<ul style="list-style-type: none"> Interview facility emergency management personnel on sites with multiple facilities who have management roles with respect to offsite response interface to determine effectiveness of site-wide program integration for offsite response interface effectiveness. 	
	<ul style="list-style-type: none"> Interview individual with responsibility for establishing MOUs/MOAs. 	
Observation		
	<ul style="list-style-type: none"> Inspect space/equipment in the EOC available for offsite liaisons. 	
OBJECTIVE		
9.3.	Emergency-related information and training on site-specific conditions and hazards must be available to offsite personnel who may be required to participate to an emergency at the DOE/NNSA site/facility. [DOE O 151.1C, III.4.a.(3)]	
Criterion		
9.3.1	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 are offered training on facility-and site-specific emergency –related information, conditions, and hazards.	(DOE G 151.1-3, D.3.2, P3.15)
	<ul style="list-style-type: none"> Does the emergency plan or procedures describe the training to be given to offsite organizations? 	
	<ul style="list-style-type: none"> Does the training include beyond-the-basic emergency response training (site-specific layout, conditions, hazards)? 	(DOE G 151.1-3, 2.5)
	<ul style="list-style-type: none"> 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? 	(DOE G 151.1-3, D.3.2, P3.18)
	<ul style="list-style-type: none"> Has this training been updated based on changes in the hazards? 	
	<ul style="list-style-type: none"> Has any additional training been identified and arranged? 	(DOE G 151.1-3, 2.5)
Criterion		
9.3.2.	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 are offered training on facility-and site-specific emergency –related information, conditions, and hazards.	(DOE G 151.1-3, D.3.2, P3.15)
Lines of Inquiry		
	<ul style="list-style-type: none"> Do the emergency plan/procedures indicate that offsite entities (state and local, response organizations) are to be given the opportunity to participate in training and drills? 	

9. OFFSITE RESPONSE INTERFACES (SITE)		
	<ul style="list-style-type: none"> Have the offsite entities been invited? Through formal or informal invitation? 	
	<ul style="list-style-type: none"> Have the offsite entities participated in training/drills? Describe participation. 	
	<ul style="list-style-type: none"> Have offsite entities given feedback on the training/drills as far as usefulness? 	
	<ul style="list-style-type: none"> Has the site/facility contractor been open to suggestions from offsite entities regarding training/drills? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review training program plan and training records to determine offsite responders' participation in preparedness activities. 	
	<ul style="list-style-type: none"> Review training to determine if the concepts of NIMS/ICS are integrated into an emergency response. 	
	<ul style="list-style-type: none"> Review ERAP and documentation of program reviews (internal and external), corrective actions, and documents that track findings and corrective actions related to offsite response interface agreements, or other offsite response interface issues. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility (Program Administrator) for managing the emergency management program to verify documentation for each criterion. 	
	<ul style="list-style-type: none"> Interview managers delegated individual responsibility for activities within the emergency management program such as the training program manager and exercise program manager to verify documentation for each criterion. 	
	<ul style="list-style-type: none"> If possible, interview offsite organizations to determine if training is sufficient. 	
Observation		
	<ul style="list-style-type: none"> Observe conduct of training and drills to determine compliance with offsite response interface requirements. 	
OBJECTIVE		
9.4.	Offsite response organizations must be invited to participate in site-wide exercises at least once every three years.	[DOE O 151.1C, Attachment 2 (CRD), 6.b.(3)]
Criterion		
9.4.1.	Offsite response organizations are invited to participate in a site-level exercise at least every 3 years.	(DOE G 151.1-3, 2.5) (DOE G 151.1-3, D.4.2, P7.23)
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there any documentation (plan, procedure) that indicates that offsite response organizations are to be invited to participate in a site-level exercise at least once every 3 years? 	
	<ul style="list-style-type: none"> Does the Exercise Program plan indicate that offsite entities are to be invited? 	
	<ul style="list-style-type: none"> Have offsite entities been invited? How often? 	

9. OFFSITE RESPONSE INTERFACES (SITE)		
	<ul style="list-style-type: none"> • Have offsite entities participated? How often? 	
	<ul style="list-style-type: none"> • What has been the level of exercise participation? 	
	<ul style="list-style-type: none"> • Are objectives for offsite organizations regularly included in exercise packages? 	
	<ul style="list-style-type: none"> • Have exercise scenarios been formulated to accommodate offsite exercise objectives? 	
	<ul style="list-style-type: none"> • Has the site/facility coordinated their exercise schedule with offsite agencies? 	
	<ul style="list-style-type: none"> • If offsite entities have not participated, determine if there is a reason. 	
	<ul style="list-style-type: none"> • Do offsite entities (when participating) attend the controller/evaluator briefing? 	
	<ul style="list-style-type: none"> • Do offsite entities attend the site controller hot wash? 	
	<ul style="list-style-type: none"> • Are exercise packages assembled for offsite entities (state, local) consistent with HSEEP? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> • Review exercise program planning documents and records to determine offsite response organizations' exercise participation (this includes exercise packages, after action reports). 	
	<ul style="list-style-type: none"> • 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. 	
	<ul style="list-style-type: none"> • Resolve any issues of missing, incomplete, or unclear documentation in the interview/observation phases of the inspection. 	
Interview		
	<ul style="list-style-type: none"> • 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. 	
	<ul style="list-style-type: none"> • Interview facility emergency management personnel on sites with multiple facilities who have management roles with respect to offsite response interface to determine effectiveness of site-wide program integration for offsite response interface effectiveness. 	
	<ul style="list-style-type: none"> • Interview lead exercise planner to determine if offsite organizations have been participating/planning in exercises. 	
Observation		
	<ul style="list-style-type: none"> • Observe conduct of an exercise to determine compliance with offsite response interface. 	
OBJECTIVE		

9. OFFSITE RESPONSE INTERFACES (SITE)		
9.5.	For Operational Emergencies, provisions must be established for prompt initial notification of workers and emergency response personnel and organizations, including appropriate DOE/NNSA elements and other Federal, State, Tribal and local organizations. Accurate and timely follow-up notifications must be made with conditions change, when the emergency classification level is upgraded, or when the emergency is terminated.	[DOE O 151.1C, Attachment 2 (CRD), 12]
Criterion		
9.5.1.	Methods of communication (e.g., telephone circuits and/or radio channels) and communication protocols with offsite agencies/organizations are in place, identified and operable.	(DOE G 151.1-3, D.4.2, P/E7.4)
Lines of Inquiry		
	<ul style="list-style-type: none"> Are methods of communications with offsite agencies/organizations been identified in the Emergency Plan? List the types of communications (phone, fax, email, radio, satellite) and to whom. 	
	<ul style="list-style-type: none"> Does a plan/procedure indicate the testing schedule/requirement for the methods of communications? 	
	<ul style="list-style-type: none"> Have these methods of communications been tested? How often? 	
	<ul style="list-style-type: none"> Who performs the testing? 	
Criterion		
9.5.2.	Communication capabilities allow effective communications with offsite officials, the Program Office, and DOE HQ EMT.	(DOE G 151.1-3, D.4.2, P/E7.5)
Lines of Inquiry		
	<ul style="list-style-type: none"> Are methods of communication with the offsite agencies/organizations identified, in place and operable? 	(DOE G 151.1-4,2.5)
	<ul style="list-style-type: none"> Are the systems compatible? 	(DOE G 151.1-4,2.5)
	<ul style="list-style-type: none"> Are there public warning methods? Describe. 	(DOE G 151.1-4,2.5)
	<ul style="list-style-type: none"> Do the methods of communications <u>allow</u> for effective communications with the State(s)? 	
	<ul style="list-style-type: none"> Do the methods of communications <u>allow</u> for effective communications with the local entities? 	
	<ul style="list-style-type: none"> Do the local responders have/use compatible communication equipment? 	
	<ul style="list-style-type: none"> Do the methods of communications <u>allow</u> for effective communications with DOE HQ EMT and the Program Office? 	
	<ul style="list-style-type: none"> How is information communicated regarding: <ul style="list-style-type: none"> Training/conferences? Emergency plans/procedures? MOUs, MAAs, LOAs? Written correspondence? 	
	<ul style="list-style-type: none"> Could communications be improved with offsite organizations? How? 	
	<ul style="list-style-type: none"> Are communication protocols contained in a plan/procedure? 	

9. OFFSITE RESPONSE INTERFACES (SITE)		
	<ul style="list-style-type: none"> How are communications protocols updated and distributed? 	
	<ul style="list-style-type: none"> Who receives the communication protocols? 	
	<ul style="list-style-type: none"> Is there a process to ensure that the protocols are updated and new versions are distributed? 	
	<ul style="list-style-type: none"> Are pre-designated offsite point-of-contact, including organization, names and telephones numbers documented and available to the response organization? <ul style="list-style-type: none"> Where is the information kept? Who is responsible for keeping it up-to-date? How often is this done? How is this accomplished? 	
	<ul style="list-style-type: none"> Are provisions in place to ensure clear communications and mutual understanding of acronyms, code words, conventions and/or technical terminology? 	
Criterion		
9.5.3.	Offsite officials are briefed upon activation of their respective facilities.	(DOE G 151.1-3, D.4.2, P/E7.6)
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there a plan/procedures describing what should be briefed to offsite (state and local) officials in an operational emergency? 	
	<ul style="list-style-type: none"> How does this briefing usually take place? (via telephone, video, liaison?) 	
	<ul style="list-style-type: none"> Does the site/facility use WebEOC®? 	
	<ul style="list-style-type: none"> Does the state/local have access to WebEOC®? 	
	<ul style="list-style-type: none"> Who is responsible for ensuring information exchange occurs with offsite agencies/organizations (during an emergency)? 	
	<ul style="list-style-type: none"> Are offsite officials provided with initial and ongoing information? 	
Criterion		
9.5.4.	Offsite agencies/organizations, responsible for emergency response and for the protection of workers, the public, and the environment, are provided initial and ongoing information sufficient to perform their respective functions.	(DOE G 151.1-3, D.4.2, P/E7.7)
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there a plan/procedures detailing how the Field Office /site/facility exchange information to offsite agencies/organizations (State, local, Tribal)? 	
	<ul style="list-style-type: none"> Has information exchange been demonstrated through tabletops, drills and/or exercises? 	
	<ul style="list-style-type: none"> Is there a mutual understanding of response measures to be implemented by the site/facility 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? 	(DOE G 151.1-3, D.4.2, P/E7.15)
Criterion		

9. OFFSITE RESPONSE INTERFACES (SITE)		
9.5.5.	Field monitoring and data collection by facility and site teams, State and local teams, and Federal teams is coordinated to facility exchanges and correlation of information.	(DOE G 151.1-4, 6.7.4, DOE G 151.1-3, D.4.6,P/E 11.20)
Lines of Inquiry		
	<ul style="list-style-type: none"> Are there plans/procedures addressing a protocol for sharing and transmitting information among response organizations? 	
	<ul style="list-style-type: none"> Is field monitoring and data collection (federal, state, local, site) coordinated to facilitate exchanges and correlation of information? 	
	<ul style="list-style-type: none"> Are engineering units used in facility/site consequence assessment understood and compatible with the units used by offsite emergency response authorities? 	(DOE G 151.1-3, D.4.6, P/E11.21a)
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review all site/facility emergency plan(s), hazard survey, EPHAs. 	
	<ul style="list-style-type: none"> Review ERAP and documentation of program reviews, corrective actions and documents that track findings and corrective actions. 	
	<ul style="list-style-type: none"> Review memoranda or agreements with offsite response organizations that may have a role in a response to an operational emergency. 	
	<ul style="list-style-type: none"> Review document control systems procedures. 	
	<ul style="list-style-type: none"> Verify compliance with other DOE and non-DOE requirements applicable to emergency management programs. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility (Program Administrator) for managing the emergency management program to verify documentation for each criterion. 	
	<ul style="list-style-type: none"> Interview managers delegated individual responsibility for activities within the emergency management program such as the training program manager and exercise program manager to verify documentation for each criterion. 	
Observation		
	<ul style="list-style-type: none"> Observe offsite interfaces with the site during an exercise and/or drill. 	
OBJECTIVE		
9.6.	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.	[DOE O 151.1C, Attachment 2 (CRD).16]
Criterion		
9.6.1.	An Emergency Public Information Plan provides for coordination of public information efforts with State, local, and Tribal governments.	[DOE O 151.1C, Attachment 2 (CRD).16.a.(d)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Do interfaces (agreements, procedures, plans) describe facility/site press release protocols? 	(DOE G 151.1-3, 2.5)

9. OFFSITE RESPONSE INTERFACES (SITE)		
	<ul style="list-style-type: none"> Do interfaces indicate the name or position of personnel authorized to speak for the organization during an emergency? 	(DOE G 151.1-3, 2.5)
Criterion		
9.6.2.	A Joint Information Center is established during an emergency where multiple jurisdictions gather, process and disseminate public information.	[DOE 151.1C, Attachment 2 (CRD). 16.b.]
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the emergency plan/emergency implementing procedures allow for a JIC to be establish? 	
	<ul style="list-style-type: none"> Have offsite agencies agreed to the location and management of the JIC? 	(DOE G 151.1-3, 2.5)
	<ul style="list-style-type: none"> Is there space/area for offsite agencies to work from? 	
	<ul style="list-style-type: none"> Are incoming inquiries/concerns directed to the appropriate personnel for resolution (in the JIC)? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review all site/facility emergency plan(s), public information plan and procedures related to public information. 	
	<ul style="list-style-type: none"> Review memoranda or agreements with offsite response organizations that may have a role in a response to an operational emergency. 	
	<ul style="list-style-type: none"> Review prior exercises regarding JIC participation. Did it include offsite agency participation? 	
Interview		
	<ul style="list-style-type: none"> Interview the contractor public information specialist. 	
	<ul style="list-style-type: none"> Interview facility emergency management personnel on sites with multiple facilities to determine effectiveness of site-wide program integration. 	
Observation		
	<ul style="list-style-type: none"> Observe the interaction of offsite agencies in the JIC and news conferences. 	
	<ul style="list-style-type: none"> Observe coordination with offsite agencies in developing, coordinating/approving news releases and/or release of information to the public. 	

10. EMERGENCY FACILITIES AND EQUIPMENT		
<p>Performance Goal: 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.</p> <ol style="list-style-type: none"> Objective: <u>DOE/NNSA facilities</u> 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. [DOE O 151.1C, Attachment 2 (CRD), 10.a. and DOE G 151.1-3, P/E8.1] Objective: <u>DOE /NNSA Operational Emergency Hazardous Material Program facilities</u> must maintain a facility to be available for use as a command center. [DOE O 151.1C, Attachment 2 (CRD), 10.b.(1)] Objective: <u>DOE /NNSA Operational Emergency Hazardous Material Program facilities</u> must have provisions for use of an alternate location if the primary command center is not available. [DOE O 151.1C, Attachment 2 (CRD), 10.b.(2)] Objective: <u>DOE /NNSA Operational Emergency Hazardous Material Program facilities</u> must have adequate PPE and other equipment and supplies must be available and operable to meet the needs determined by the results of the EPHA. [DOE O 151.1C, 10.b.(3) and DOE G 151.13, P/E8.12] 		
OBJECTIVE		
10.1	<u>DOE/NNSA facilities</u> 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.	<ul style="list-style-type: none"> DOE O 151.1C, Attachment 2 (CRD), 10.a. DOE G 151.1-3, P/E8.1
Criterion		
10.1.1	Designated response facilities, especially multi-use facilities, are adequately maintained to ensure timely activation and availability to support an emergency response.	DOE G 151.1-3, P8.14
Lines of Inquiry		
	Have facilities been designated to support emergency response?	
	Are the facilities maintained and available for use?	
	As required, are facilities available to accommodate classified discussions at the appropriate clearance levels?	DOE G 151.1-3, P/E8.4
Criterion		
10.1.2	Actual function(s) and operating characteristics of specific equipment adequately support the intended function(s) during emergency response.	DOE G 151.1-3, P/E8.13
Lines of Inquiry		
	Has equipment been designated to support emergency response?	DOE G 151.1-3, P4.1a
	Is the equipment maintained and available for use to support emergency response?	DOE G 151.1-3, P4.3
	As required, is secure communication equipment available to support classified discussions and transmittal of classified documents/reports?	DOE G 151.1-3, P/E8.14
	Are communication systems with DOE HQ, Cognizant Field Elements, and offsite organizations periodically tested?	DOE G 151.1-3, P8.17
	Are communication systems used to activate both on-shift and off-shift emergency response personnel tested and maintained regularly?	DOE G 151.1-3, P8.18
Criterion		

10. EMERGENCY FACILITIES AND EQUIPMENT		
10.1.3	The capability to notify employees of an emergency to facilitate the safe evacuation of employees from the work place, immediate work area, or both is available.	DOE G 151.1-3, P/E8.10
Lines of Inquiry		
	What capabilities exist to notify employees of an emergency to facilitate evacuation?	
	Are the systems and equipment capable of notifying employees in their workplace, immediate work area, or both?	
	Are the systems and equipment used to notify employees tested and maintained regularly?	
APPROACH		
Document/Record Review		
	Site/facility emergency plan(s)	
	Plans/procedures addressing maintenance of facilities designated for use during emergency response	
	Plans/procedures addressing notification and communication to employees and testing of related equipment/systems	
	Plans/procedures addressing the maintenance and testing of equipment	
Interview		
	Individual(s) with responsibility for maintaining facilities and equipment addressed by each criterion	
	Individual who responds to a designated response facility to support emergency response	
	Facility employee who is recipient of emergency notifications	
Observation		
	Facilities used to support emergency response	
	Equipment used to notify and communicate emergency notifications to employees	
	Equipment used for each criterion	
OBJECTIVE		
10.2	DOE /NNSA Operational Emergency Hazardous Material Program facilities must maintain a facility to be available for use as a command center. <i>Note:</i> See 16, Emergency Public Information, for assessment objectives and criteria associated with the establishment and maintenance of a Joint Information Center.	DOE O 151.1C, Attachment 2 (CRD), 10.b.(1)
Criterion		
10.2.1	A facility is available for use as a command center by the ED, the EMT, and other members of the ERO during an emergency response.	DOE G 151.1-3, P/E8.2
Lines of Inquiry		
	Has a facility been designated as a command center for ERO response during an emergency?	
	As necessary, conversion of facilities to response facilities for the emergency is accomplished in a timely and efficient manner.	DOE G 151.1-3, P/E8.8
	Is command center access control adequate and results in the efficient and timely identification of assigned staff?	DOE G 151.1-3, P/E8.9
	Are the characteristics of the dedicated command center, and other auxiliary facilities, adequate to reliably support the designated functions and assignments?	DOE G 151.1-3, P/E8.3
	Do emergency response facilities use backup or alternate power supplies in the event of loss of power?	DOE G 151.1-3, P/E8.7

10. EMERGENCY FACILITIES AND EQUIPMENT		
Criterion		
10.2.2	Facility systems and installed equipment (e.g., HVAC, sanitation, lighting, radiation monitors, computer systems, communications, and visual displays) are adequate to support facility functions and level of staffing.	DOE G 151.1-3, P/E8.6
Lines of Inquiry		
	Are facility systems adequate to support facility functions and level of staffing? <ul style="list-style-type: none"> • HVAC • Sanitation • Lighting • Computer systems • Communications • Visual displays 	
	Is the equipment adequate to support facility functions and level of staffing? <ul style="list-style-type: none"> • Computer systems • Communications • Visual displays • Radiation monitors 	
APPROACH		
Document/Record Review		
	Site/facility emergency plan(s)	
	Procedures addressing the maintenance of designated facilities and equipment used to support emergency response for each criterion	
	Records associated with testing and maintenance of equipment in each criterion	
Interview		
	Individual(s) with responsibility for maintenance and testing of facilities and equipment in each criterion	
	An ERO member who responds to the command center	
Observation		
	Command center	
	Other designated facilities used to support emergency response	
	Systems and equipment used for each criterion	
	Exercise involving activation and operation of the command center and other designated facilities used during emergency response	
OBJECTIVE		
10.3	DOE /NNSA Operational Emergency Hazardous Material Program facilities must have provisions for use of an alternate location if the primary command center is not available.	DOE O 151.1C, Attachment 2 (CRD), 10.b.(2)
Criterion		
10.3.1	Provisions are established for use of an alternative location if the primary command center is not available.	DOE G 151.1-3, P/E8.5
Lines of Inquiry		

10. EMERGENCY FACILITIES AND EQUIPMENT		
	Has an alternate facility been designated for use if the primary command center is not available?	
	As necessary, conversion of facilities to response facilities for the emergency is accomplished in a timely and efficient manner.	DOE G 151.1-3, P/E8.8
	Is alternate command center access control adequate and results in the efficient and timely identification of assigned staff?	DOE G 151.1-3, P/E8.9
	Are the characteristics of the alternate command center adequate to reliably support the designated functions and assignments?	DOE G 151.1-3, P/E8.3
	Is the alternate command center located where the likelihood of both the primary command center and the alternate being rendered uninhabitable by the same event is minimized? Consideration should be given to placing the alternate outside the EPZ or 180 degrees opposite (i.e., upwind from the prevailing wind direction) the primary command center.	DOE G 151.1-4, 3.4.2
	Are there procedures and has training and drills or exercises been conducted for transfer and activation of the alternate command center?	DOE G 151.1-4, 3.4.2
Criterion		
10.3.2	Facility systems and installed equipment (e.g., HVAC, sanitation, lighting, radiation monitors, computer systems, communications, and visual displays) are adequate to support facility functions and level of staffing.	DOE G 151.1-3, P/E8.6
	<p>Are alternate facility systems adequate to support facility functions and level of staffing?</p> <ul style="list-style-type: none"> • HVAC • Sanitation • Lighting • Computer systems • Communications • Visual displays 	
	<p>Is the equipment at the alternate facility adequate to support facility functions and level of staffing?</p> <ul style="list-style-type: none"> • Computer systems • Communications • Visual displays • Radiation monitors 	
APPROACH		
Document/Record Review		
	Procedures addressing the maintenance of the alternate command center and its equipment used to support emergency response	
	Procedures addressing the activation and operation of the alternate command center	
	Records associated with testing and maintenance of alternate command center equipment	
	After action reports for exercises and actual event, if applicable, involving the use of the alternate command center	

10. EMERGENCY FACILITIES AND EQUIPMENT		
Interview		
	Individual(s) with responsibility for maintenance and testing of facilities and equipment at the alternate command center	
	An ERO member who has responded to the alternate command center	
Observation		
	Alternate command center	
	Systems and equipment in the alternate command center	
	Exercise involving the activation and operation of the alternate command center	
OBJECTIVE		
10.4	DOE /NNSA Operational Emergency Hazardous Material Program facilities must have adequate PPE and other equipment and supplies must be available and operable to meet the needs determined by the results of the EPHA.	<ul style="list-style-type: none"> • DOE O 151.1C, 10.b.(3) • DOE G 151.13, P/E8.12
Criterion		
10.4.1	Equipment needed during the emergency response functioned as expected and intended (or was repaired or obtained in a timely manner), including: current reference materials (e.g., maps, facility drawings); decisional aids (including computers); area and process monitors; public address system; PPE; portable monitoring instruments and personnel monitoring devices; siren and alarm systems; decontamination equipment; communication equipment.	DOE G 151.1-3, P/E8.15
Lines of Inquiry		
	Is equipment identified for emergency response based upon the results of the EPHAs? <ul style="list-style-type: none"> • PPE • Portable monitoring instruments • Personnel monitoring devices • Decontamination equipment 	
	Are reference materials maintained? <ul style="list-style-type: none"> • Maps • Facility drawings 	
	Are decisional aids available?	
	Are means for notification to employees available and maintained? <ul style="list-style-type: none"> ○ Public address system ○ Siren and alarm systems ○ Other means of communication? 	
	Is communications equipment adequate for ERO activities?	
	Are provisions established to ensure operational compatibility between facility response capabilities and DOE or NNSA assets?	DOE G 151.1-3, P/E8.11
Criterion		
10.4.2	Periodic inspections, facility walk-downs, operational checks, calibration, preventive maintenance and testing of equipment and supplies should be carried out in accordance with the manufacturer’s instructions or industry standards.	DOE G 151.1-4, 3.6

10. EMERGENCY FACILITIES AND EQUIPMENT		
	Are inventories maintained of all emergency equipment and supplies with the equipment location identified?	DOE G 151.1-3, P8.15
	Are periodic walk-downs and operational checks conducted of equipment?	
	Are periodic walk-downs and checks conducted of supplies?	
	Is calibration, preventative maintenance and testing of equipment conducted as prescribed with the manufacturer’s instructions or industry standards?	
APPROACH		
Document/Record Review		
	Site/facility emergency plan(s)	
	EPHAs (types of hazards analyzed)	
	ERO reference materials	
	Procedures addressing use of equipment addressed in each criterion	
	Records associated with testing and maintenance of equipment in each criterion	
Interview		
	Individuals with responsibility for testing and maintaining equipment in each criterion	
	ERO members with responsibility for using equipment in the criteria during an emergency response	
	Individuals with responsibility for maintaining facilities and reference materials used by ERO members	
Observation		
	Command center and other response facilities where equipment is located for use during an emergency response	
	Systems and equipment used for each criterion	
	Drill or exercise involving response personnel using equipment during an emergency response	

11. CATEGORIZATION AND CLASSIFICATION

Performance Goal: Major unplanned or abnormal events or conditions that: involve or affect DOE/NNSA facilities/site 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, are recognized promptly, categorized, and declared as Operational Emergencies(OEs).

In general, to be considered an OE, an event or condition involving the uncontrolled release of a hazardous material will: 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.

In addition to being categorized as OEs, 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 PACs. Predetermined conservative onsite protective actions and offsite protective action recommendations are associated with the classification of these OEs. [DOE O 151.1C, Attachment 2 (CRD), 11] [DOE G 151.1-3, D4.4]

1. Objective: Establish criteria for quickly determining if an event is an Operational Emergency. [DOE O 151.1C, Attachment 2 (CRD), 11.a.(1)]
2. Objective: Categorize an event as an Operational Emergency as promptly as possible, but no later than 15 minutes after event recognition, identification, or discovery. [DOE O 151.1C, Attachment 2 (CRD), 11.a.(3)]
3. Objective: Declare an Operational Emergency for events 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. [DOE O 151.1C, Attachment 2 (CRD), 11.a.(2)]
4. Objective: Establish procedures to classify emergency events (as an Alert, Site Area Emergency, General Emergency.) (OEs that do not involve the loss of control over hazardous materials do not require classification.) [DOE O 151.1C, Attachment 2 (CRD), 11.b.]
5. Objective: Hazardous material emergencies involving DOE/NNSA facilities are classified OEs 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. [DOE O 151.1C, Attachment 2 (CRD), 11.b.(1)]
6. Objective: Develop site/facility-specific Emergency Action Levels (EALs) for the spectrum of potential Operational Emergencies identified by the Emergency Planning Hazards Assessment (EPHA) and include protective actions corresponding to each EAL. [DOE O 151.1C, Attachment 2 (CRD), 11.b.(2)] and [DOE O 151.1C, Attachment 2 (CRD), 11.b.(2)]

OBJECTIVE

11.1	Establish criteria for quickly determining if an event is an Operational Emergency.	DOE O 151.1C, Attachment 2 CRD, 11.a.(1)
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11. CATEGORIZATION AND CLASSIFICATION		
Criterion		
11.1.1	Categorization of abnormal events/conditions as OEs is accomplished accurately using facility/site- or activity-specific criteria.	DOE G 151.1-3, D.4.4, P/E9.4
Lines of Inquiry		
	Have Emergency Action Levels (EALs) been developed for events identified during the Emergency Planning Hazards Assessment (EPHA) process?	
	Do the EALs include a complete spectrum of events and accurately reflect output of the EPHAs?	
	Are the indicators that can be used for recognition purposes specified in the EALs?	
	Are mechanisms available and thresholds identified that permit prompt categorization and classification of all events that may affect facilities and the site?	
	Have the EALs been reviewed and approved by Subject Matter Experts (SMEs)?	
	Are operators and managers completely familiar and comfortable with criteria and the decision making process in order to make time-critical warning decisions with the greatest possible speed and certainty?	DOE G 151.1-1a, 1.7
	Do procedures describe the decision-making process for determining OEs using EALs?	
Criterion		
11.1.2	Emergency Response Organization (ERO) decision makers are trained to make prompt, accurate, and practical judgements involving event categorization and classification, protective actions, and urgent notifications of OEs.	DOE G 151.1-3, D.3.2, P3.14.a
Lines of Inquiry		
	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?	DOE G 151.1-3, D.3.2, P3.11
	Have ERO decision makers received EAL training to improve their proficiency in making timely and conservative classifications of OEs, including decision-making when information is incomplete or uncertain and for events and conditions that are not covered explicitly by the EALs?	DOE G 151.1-3, D.3.2, P3.14.b
	Have the ERO personnel authorized for initial classification and protective action decision-making validated their proficiency by participating in performance tests that employ hypothetical scenarios and available facility/site aids, such as EALs?	DOE G 151.1-3, D.3.2, P3.14.c
APPROACH		
Document/Record Review		
	Site/facility emergency plan(s) and procedures for roles, responsibilities, job aids, and checklists for making categorization and classification determinations.	
	Technical Basis Planning documents (EPHAs and EALs).	
	Training records for decision makers responsible for categorizing and classifying events based on EALs.	
	Training records for operators and managers responsible for making initial notification to decision makers of actual or potential hazardous material releases.	
	Drill/exercise reports and/or Limited Scope Performance Tests reports for demonstration of proficiency in determining categorization and classification on event(s).	
Interview		
	Personnel responsible for EPHA and EALs development.	

11. CATEGORIZATION AND CLASSIFICATION		
	Decision makers responsible for determining categorization and classification of events.	
	Operators and supervisors responsible for making initial notification of hazardous material releases.	
Observation		
	N/A	
OBJECTIVE		
11.2	Categorize an event as an Operational Emergency as promptly as possible, but no later than 15 minutes after event recognition, identification, or discovery.	DOE O 151.1C, Attachment 2 (CRD), 11.a.(3)
Criterion		
11.2.1	The set of facility/site- or activity-specific criteria is readily accessible to the responsible decision maker.	DOE G 151.1-3, D.4.4, P/E9.6
Lines of Inquiry		
	Is there an on duty, or immediately accessible, decision maker available 24/7 who is knowledgeable of the facility/site or activity hazards and potential emergencies and trained in the use of the facility/site or activity OE recognitions procedures?	DOE G 151.1-1A, 1.7
	Does the designated (authorized) individual with responsibility for categorization and classification make the determination(s)?	DOE G 151.1-3, D.4.4, P/E9.2
	Are EALs readily available to decision makers in both electronic and hard copy form?	
	Are decision makers proficient in executing their assigned functions and duties in a timely manner so as to protect the health and safety of site personnel and the public during an incident or event?	
	Are Limited Scope Performance Tests administered to decision makers responsible for categorization and classification of events to validate their proficiency in performing tasks?	DOE G 151.1-3, 4.4.2
	Do procedures and job aids for event categorization and classification provide consistent, detailed instruction that can be effectively used in a time-urgent response to an event?	
APPROACH		
Document/Record Review		
	Site/facility emergency plan(s) and procedures for roles, responsibilities, job aids, and checklists for making categorization and classification determinations.	
	Location and accessibility of current EALs to decision makers responsible for categorization and classification determinations.	
	Drill/exercise report(s) and/or Limited Scope Performance Tests reports demonstrating prompt categorization of event(s) no later than 15 minutes after event recognition, identification or discovery.	
Interview		
	Decision-makers responsible for categorization and classification of emergency events.	
Observation		
	Drill/Exercise and/or Limited Scope Performance Test involving decision makers responsible for the categorization and classification of emergency events.	
OBJECTIVE		

11. CATEGORIZATION AND CLASSIFICATION		
11.3	Declare an Operational Emergency for events 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.	DOE O 151.1C, Attachment 2 (CRD), 11.a.(2)
Criterion		
11.3.1	Criteria for categorizing OEs are clear, straightforward, usable, and unambiguous to the decision maker, and stated in terms of readily available indications or observable conditions.	DOE G 151.1-3, D.4.4, P/E9.7
Lines of Inquiry		
	Have EALs been reviewed, exercised, and drilled by decision makers responsible for categorizing OEs?	
	Does the decision maker use the correct EAL to categorize the event?	
	Are Limited Scope Performance Tests conducted to assess the capability of decisions makers responsible for categorization and classification of events?	DOE G 151.1-3, 4.3.1
	Is proficiency in effective emergency response demonstrated by decision makers through timely and accurate event recognition, determination and implementation of accurate categorization and classification?	
	Is the recognition/categorization/classification process of OEs effectively integrated with existing operations, management, emergency response, reporting activities, and the security classification scheme?	DOE G 151.1-3, D.4.4, P/E9.3
	Is the authority and responsibility for categorizing an event/condition, and if necessary, determining the emergency classification, clearly defined, recognized, and understood by ERO personnel?	DOE G 151.1-3, D.4.4, P/E9.1
Criterion		
11.3.2	A tool (i.e., an EAL-like tool) for recognizing and categorizing biological OEs, based on recognition factors identified in the EPHA, is part of the DOE/NNSA emergency management program for Biosafety facilities.	DOE G 151.1-3, D.4.4, P/E9.9
Lines of Inquiry		
	Has an EAL-like tool been developed for recognizing and categorizing biological OEs (if applicable to the site)?	
Criterion		
11.3.3	An abnormal event/condition, categorized as an OE, is only downgraded (e.g., to Significance Level 1-4) if the original categorization was incorrect. A properly categorized OE remains in effect until the emergency response is terminated.	DOE G 151.1-3, D.4.4, P/E9.10
Lines of Inquiry		
	Is the requirement to only downgrade an incorrect categorization determination described in the emergency plan/procedures/checklists that are used by decision makers responsible for determining OEs?	
	Have the decision makers responsible for categorization been trained to only downgrade an OE if the original categorization was incorrect?	
Criterion		
11.3.4	OE categorization criteria and EALs are reviewed and tested regularly against a range of initiating conditions and emergency event/condition scenarios to validate the indicated emergency categorization/classification.	DOE G 151.1-3, D.4.4, P9.21
Lines of Inquiry		
	Has the appropriate spectrum of events, including offsite events, been evaluated as initiating events for a hazardous material release?	

11. CATEGORIZATION AND CLASSIFICATION		
	Are exercises/drills conducted regularly for decision makers responsible for categorization and classification of events to practice using OE criteria and EALs?	
	Are enough exercises/drills conducted to provide opportunities for all decision makers to practice determining categorization and classification?	
	Is remedial training provided to decision makers who do not demonstrate proficiency in determining categorization and classification?	
APPROACH		
Document/Record Review		
	Site/facility emergency plan(s) and procedures for roles, responsibilities, job aids, and checklists for making categorization and classification determinations.	
	Drill/exercise reports and/or Limited Scope Performance Test reports demonstrating accurate categorization of events.	
	Process documents and/or procedures for development and approval of EALs.	
Interview		
	Decision-makers responsible for categorization and classification of emergency events.	
	Personnel responsible for development of EALs.	
Observation		
	Drill/exercise (may be limited scope performance test) involving individuals responsible for the categorization and classification of emergency event.	
OBJECTIVE		
11.4	Establish procedures to classify emergency events (as an Alert, Site Area Emergency, General Emergency.) (OEs that do not involve the loss of control over hazardous materials do not require classification.)	DOE O 151.1C, Attachment 2 (CRD), 11.b.
Criterion		
11.4.1	Classification of an OE involving the actual or potential airborne release of (or loss of control over) hazardous material is accomplished promptly and accurately using a current set of a facility/site-specific EALs.	DOE G 151.1-3, D.4.4, P/E9.11
Lines of Inquiry		
	Are facility/site-specific EALs applicable to the spectrum of potential OEs identified by the EPHA?	DOE G 151.1-3, D.4.4, P/E9.12
	Are appropriate facility/site-specific EALs readily accessible to the responsible decision maker?	DOE G 151.1-3, D.4.4, P/E9.13
	Are EALs for classifying OEs clear, straight forward, usable, and unambiguous to the decision maker?	DOE G 151.1-3, D.4.4, P/E9.15
	Do EALs for classifying OEs provide for early recognition, reliable, redundant, and internally consistent, and comprehensive and anticipatory of potential future consequences? a. Are EALs stated in terms of readily available indications or observable conditions? b. Are facility/site-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 OEs, as analyzed in the EPHA? c. Do facility/site 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)?	DOE G 151.1-3, D.4.4, P/E9.16

11. CATEGORIZATION AND CLASSIFICATION		
	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.?	DOE G 151.1-3, D.4.4, P/E9.20
	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? a. Are OE(s) reclassified at a lower classification if the original classification decision was in error (e.g., the decision maker used the wrong EAL or received incorrect information)? b. Does a properly classified OE remain in effect until the emergency response is terminated?	DOE G 151.1-3, D.4.4, P/E9.19
	Is there availability of personnel and resources to continuously assess information and prepare for other response actions should the situation become more serious?	
APPROACH		
Document/Record Review		
	Site/facility emergency plan(s) and procedures for roles, responsibilities, job aids, and checklists for making categorization and classification determinations.	
	Drill/exercise reports demonstrating accurate categorization of events.	
	EALs (current, comprehensive, consistent, accurate, and accessible).	
Interview		
	Decision-makers responsible for categorization and classification of emergency events.	
Observation		
	Drill/exercise (may be limited scope performance test) involving individuals responsible for initial and ongoing categorization and classification of emergency event.	
OBJECTIVE		
11.5	Hazardous material emergencies involving DOE/NNSA facilities are classified OEs 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.	DOE O 151.1C, Attachment 2 (CRD), 11.b.(1)
Criterion		
11.5.1	Classification of an OE involving the actual or potential airborne release of (or loss of control over) hazardous material is accomplished promptly and accurately using a current set of a facility/site-specific EALs.	DOE G 151.1-3, D.4.4, P/E9.11 and P/E9.8
Lines of Inquiry		
	Is a discretionary EAL 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 if a suspected release of (or loss of control over) hazardous material fails to meet or exceed an EAL?	DOE G 151.1-3, D.4.4, P/E9.17
	Is the classification of an OE 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., PAC for the specific hazardous material released]?	DOE G 151.1-3, D.4.4, P/E9.14
APPROACH		
Document/Record Review		

11. CATEGORIZATION AND CLASSIFICATION		
	Site/facility emergency plan(s) and procedures for roles, responsibilities, job aids, and checklists for making categorization and classification determinations.	
	Discretionary EALs.	
	EALs to determine if classification of OE is based on distance at which estimated consequences exceed the applicable health effect threshold.	
Interview		
	Decision makers responsible for event categorization and classification determinations.	
	Personnel responsible for development of EALs.	
Observation		
	Drill/exercise (may be limited scope performance test) involving individuals responsible for initial and ongoing categorization and classification of emergency event.	
OBJECTIVE		
11.6	Develop site/facility-specific Emergency Action Levels (EALs) for the spectrum of potential Operational Emergencies identified by the EPHA and include protective actions corresponding to each EAL.	DOE O 151.1C, Attachment 2 (CRD), 11.b.(2) and DOE O 151.1C, Attachment 2 (CRD), 11.b.(2)
Criterion		
11.6.1	Associated with a specific OE event EAL, the decision maker obtains default (i.e., pre-determined), conservative Protective Actions (PAs), for immediate implementation onsite, and Protective Action Recommendations (PARs), for immediate recommendation offsite.	DOE G 151.1-3, D.4.4, P/E9.18
Lines of Inquiry		
	Is the consequence assessment process integrated with processes for categorizing and classifying an emergency and protective action decision-making?	
	Do the EPHAs support development of EALs and formulation and communication of pre-determined protective actions?	
	Are initial onsite PAs and offsite PARs linked to facility-specific OE event classification criteria [i.e., EALs]?	DOE G 151.1-3, D.4.7, P/E12.5
	Are initial onsite PAs and offsite PARs linked to facility-specific biological OE event recognition and categorization criteria [if applicable to the facility/site]?	DOE G 151.1-3, D.4.7, P/E12.6
	Are modifications to initial protective actions developed and implemented based on updated and refined data generated from the continuous consequence assessment process?	DOE G 151.1-3, D.4.7, P/E12.8
APPROACH		
Document/Record Review		
	Site/facility emergency plan(s) and procedures for roles, responsibilities, job aids, and checklists for making categorization and classification determinations.	
	Technical Planning process documents.	
Interview		
	Technical Planning Basis personnel responsible for developing EPHAs, EALs, Protective Actions, and Protective Action Recommendations.	

11. CATEGORIZATION AND CLASSIFICATION

Observation

N/A

DRAFT

12. Notifications and Communications

Performance Goal: Initial emergency notifications are 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 are made when conditions change, when the emergency classification (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 is reliably maintained throughout an OE. [DOE O 151.1C Att. 2.12 CRD] [DOE O 151.1C 3.b and 4.b, Chapter VIII] (DOE G 151.1-3, D 4.10)

1. Objective: For Operational Emergencies, provisions must be established for prompt initial notification of workers and emergency response personnel and organizations. [DOE O 151.1C CRD], [DOE O 151.1C 3.b and 4.b, Chapter VIII] (DOE G 151.1-3, D 4.12, P/E 10.1)
2. Objective: Continuous, effective, and accurate communication among response components and/or organizations is reliably maintained throughout an Operational Emergency. [DOE O 151.1C Att. 2 CRD, and Chapter VIII], (DOE G 151.1-3, d 4.5, P/E 10.15)
3. Objective: A formal system is in place to effectively record, sequence, validate, and track the flow and chronology of emergency information. [DOE O 151.1C Chapter VIII], (DOE G 151.1-3 D 4.5, P/E 10.17)

OBJECTIVE

12.1	Objective: For Operational Emergencies, provisions must be established for prompt initial notification of workers and emergency response personnel and organizations.	[DOE O 151.1C Att. 2, (CRD) 12 a.], [DOE O 151.1C 3.b and 4.b, Chapter VIII] (DOE G 151.1-3, D 4.12, P/E 10.1)
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Criterion

12.1.1	The contractor at all DOE/NNSA facilities must provide initial notification of workers, emergency response personnel, and response organizations, including appropriate DOE/NNSA elements, and other Federal, State, Tribal and local organizations.	[DOE O 151.1C Att. 2, CRD, 12,a]
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Lines of Inquiry

	Are provisions in place (e.g., plans, procedures, and comprehensive preparedness and readiness assurance programs that includes training, drills, and exercises) to promptly make initial notifications to workers and emergency response personnel and organizations?	[DOE O 151.1C Chapter VIII] [DOE O 151.1C CRD] (DOE G 151.1-3, D.4.5, P/E10.1)
	Are points-of-contact for emergency notifications accurate and readily available to response personnel?	(DOE G 151.1-3, D4.5, P/E 10.4)
	Does the site/facility make notifications of emergency events not requiring classification to the CFE EOC and to DOE HQ Operations Center within 30 minutes?	(DOE G 151.1-3, D 4.5, P/E 10.3)
	Does the site/facility make notifications to all other organizations, including local, State, and Tribal authorities within 30 minutes for Operational Emergencies not requiring classification?	(DOE G 151.1-3, D4.5, P/E 10.3)

12. Notifications and Communications		
	For HAZMAT sites/facilities: Does the site/facility make notifications of emergency events classified as an Alert, Site Area Emergency, or General Emergency to the CFE EOC and to DOE HQ Operations Center within 15 minutes?	(DOE G 151.1-3, D 4.5, P/E 10.2)
	For HAZMAT sites/facilities: Does the site/facility make notifications to local, State, and Tribal authorities within 15 minutes for emergency events requiring classification as Alert, Site Area, or General emergencies?	(DOE G 151.1-3, D4.5, P/E 10.2)
	Does the site/facility make notifications to all other organizations (other than DOE, local, State, and Tribal authorities) within 30 minutes for emergency events requiring classification as Alert, Site Area, or General emergencies?	(DOE G 151.1-3, D4.5, P/E 10.2)
	Is a rapid notification and recall system used to make initial and follow-up notifications to primary and alternate response staff?	(DOE G 151.1-3, D4.5 P/E 10.6)
	Does the notification and recall system provide for authentication and feedback indicating unsuccessful contact?	(DOE G 151.1-3 D4.5 P/E 10.6)
	Do follow-up notifications use pre-arranged and standardized content and format that supports the inclusion of critical information concerning the following categories of information:	(DOE G 151.1-3 D4.5 P/E 10.7)
	- The nature of the event	
	- Description and status	
	- Key times	
	- Classification and release status (as applicable)	
	- Meteorology	
	- Protective actions (taken or recommended)	
	- Affected facility (s)	
	- Notification authority	
	Are follow-up notifications made when conditions change or when the emergency classification is upgraded or the emergency is terminated?	(DOE G 151.1-3, D4.5 P/E 10.8)
	Does the Emergency Director of designee personally approve release of notification information?	(DOE G 151.1-3 D4.5 P/E 10.9)
Criterion		
12.1.2	Emergency notification to the HQ Operations Center consists of a telephone call providing as much information as is known at the time. This information is also provided electronically (by email or fax). Information for initial notification includes the categories of information in the LOIs listed below.	(DOE G 151.1-3, D.4.5, P/E 10.5) [DOE O 151.1C CRD] [DOE O 151.1-3 Chapter VIII)
Lines of Inquiry		
	Does the initial notification include the classification level, if any, of the emergency?	(DOE G 151.1-3, D.4.5, P/E 10.5)
	Does the initial notification include the date and time the emergency was discovered?	(DOE G 151.1-3, D.4.5, P/E 10.5)
	Does the initial notification include impact to other site/facility operations (e.g., whether they are stopped)?	(DOE G 151.1-3, D.4.5, P/E 10.5)
	Does the initial notification include a description of any protective actions taken or recommended?	(DOE G 151.1-3, D.4.5, P/E 10.5)

12. Notifications and Communications		
	Does the initial notification include a description of the emergency?	(DOE G 151.1-3, D.4.5, P/E 10.5)
	Does the initial notification include all notifications that have been made?	(DOE G 151.1-3, D.4.5, P/E 10.5)
	Does the initial notification include weather description at the scene of the emergency?	(DOE G 151.1-3, D.4.5, P/E 10.5)
	Does the initial notification include a description of the level of any media interest associated with the emergency?	(DOE G 151.1-3, D.4.5, P/E 10.5)
	Does the initial notification include contact information for the DOE/NNSA on-scene point of contact?	(DOE G 151.1-3, D.4.5, P/E 10.5)
APPROACH		
Document/Record Review		
	Review site/facility emergency management plan and implementing procedures for content related to emergency notifications and communications, and overall compliance with this CRAD’s performance goal, objectives, and criteria.	
	Review drill and exercise plans and records, including MSEL, timeline, and message injects, for compliant emergency notifications and communications activities, including logs, message traffic, memoranda, notifications, and reporting.	
	Review any records of actual events for notifications and communications activities and records of ERO notifications and communications operations, including logs, message traffic, memoranda, notifications, and reporting for compliance with these objectives and criteria.	
	Review training courses and records for satisfactory content and completion by personnel with responsibilities for notifications and communications coordination and operations, including course feedback, results of course evaluations, and training/procedures validation.	
	Review memoranda with offsite response organizations having a response role in operational emergencies to ensure notifications systems and coordination and communication planning have been addressed.	
Interview		
	Interview individuals assigned to be Emergency Directors during drills, exercises, and actual events. Ensure they understand their responsibilities for each criterion.	
	Interview the training program manager and exercise program manager to verify documentation and validation for each criterion.	
	Interview the emergency management program manager to confirm their understanding of the overall programmatic and response goals associated with emergency notifications and communications.	
	Interview any contractor staff identified as support in the development of drills and exercise plans to ensure their understanding of the objectives and criteria related to emergency termination and recovery.	
Observation		

12. Notifications and Communications		
	If the evaluation of this CRAD is coincident with site/facility drill or exercise activity, consider seeking the opportunity to officially observe its conduct, including seeking any available opportunities to observe exercise organization training/briefings, ERO management operations, hot wash activities, and post-activity briefings and discussions.	
OBJECTIVE		
12.2	Continuous, effective, and accurate communication among response components and/or organizations is reliably maintained throughout an Operational Emergency.	[DOE O 151.1C Att. 2 CRD, and Chapter VIII], (DOE G 151.1-3, d 4.5, P/E 10.15)
Criterion		
12.2.1	Effective communications methods and systems are established between event scene responders, emergency managers, and response facilities and provide for continuing effective communication throughout an emergency event.	[DOE O 151.1C-3 Chapter VIII] [DOE O 151.1C-3 CRD] (DOE G 151.1-3, D 4.5, P/E 10.15)
Lines of Inquiry		
	Is there a formally established communication chain for notification and reporting within the facility, site-wide, and to offsite organizations, and is that chain properly followed?	(DOE G 151.1-3, D 4.5, P/E 10.11)
	Do installed public address and warning alarm (e.g., siren) systems adequately accomplish notifications to workers onsite and the neighboring public?	(DOE G 151.1-3, D 4.5, P/E 10.12)
	Are systems in place for notification of workers or the public present onsite but outside the immediate vicinity of the affected facility?	(DOE G 151.1-3, D 4.5, P/E 10.12)
	Where agreements dictate, do public address/warning systems alert the public outside the site boundary and are such systems tested to ensure functionality?	(DOE G 151.1-3, D 4.5, P/E 10.12)
	Are communications systems in place to support management and tracking of evacuation of facility personnel, including guests, personnel accountability, and conduct of assembly?	(DOE G 151.1-3 D 4.5 P/E 10.13)
	Do installed voice communications systems adequately accomplish notification and information exchange processes?	(DOE G 151.1-3 D 4.5 P/E 10.14)
	Does reliable equipment exist for communications between emergency organizations and response personnel?	(DOE G 151.1-3 D 4.5 P/E 10.14)
	Are dedicated primary and backup voice communications links provided between key emergency response facilities?	(DOE G 151.1-3 D 4.5 P/E 10.14)
	Are sufficient non-dedicated voice communications links provided to access offsite organizations?	(DOE G 151.1-3 D 4.5 P/E 10.14)
	Are mobile and commercial phone lines available where needed?	(DOE G 151.1-3 D 4.5 P/E 10.14)
Criterion		

12. Notifications and Communications		
12.2.2	Emergency status reports, also referred to as situation reports or SITREPs are forwarded to the next higher emergency management team on a continuing basis throughout the emergency.	[DOE O 151.1C-3 Chapter VIII] [DOE O 151.1C-3 CRD] (DOE G 151.1-3, D4.10 P/E 10.10.)
Lines of Inquiry		
	Are SITREPs forwarded from the site/facility to the CFE on a continuing basis throughout a declared OE. Is a standard format available for responders to use?	(DOE G 151.1-3, D4.5, P/E 10.10)
APPROACH		
Document/Record Review		
	Review site/facility emergency management plan and implementing procedures for content related to emergency notifications and communications, and overall compliance with this CRAD’s performance goal, objectives, and criteria.	
	Review drill and exercise plans and records, including MSEL, timeline, and message injects, for compliant emergency notifications and communications activities, including logs, message traffic, memoranda, notifications, and reporting.	
	Review any records of actual events for notifications and communications activities and records of ERO notifications and communications operations, including logs, message traffic, memoranda, notifications, and reporting for compliance with these objectives and criteria.	
	Review training courses and records for satisfactory content and completion by personnel with responsibilities for notifications and communications coordination and operations, including course feedback, results of course evaluations, and training/procedures validation.	
	Review memoranda with offsite response organizations having a response role in operational emergencies to ensure notifications systems and coordination and communication planning have been addressed.	
Interview		
	Interview individuals assigned to be Emergency Directors during drills, exercises, and actual events. Ensure they understand their responsibilities for each criterion.	
	Interview the training program manager and exercise program manager to verify documentation and validation for each criterion.	
	Interview the emergency management program manager to confirm their understanding of the overall programmatic and response goals associated with emergency notifications and communications.	
	Interview any contractor staff identified as support in the development of drills and exercise plans to ensure their understanding of the objectives and criteria related to emergency termination and recovery.	
Observation		

12. Notifications and Communications		
	If the evaluation of this CRAD is coincident with site/facility drill or exercise activity, consider seeking the opportunity to officially observe its conduct, including seeking any available opportunities to observe exercise organization training/briefings, ERO management operations, hot wash activities, and post-activity briefings and discussions as these relate to demonstrations of readiness to recover from emergencies.	
OBJECTIVE		
12.3	A formal system is in place to effectively record, sequence, validate, and track the flow and chronology of emergency information.	[DOE O 151.1C Chapter VIII], (DOE G 151.1-3 D 4.5, P/E 10.17)
Criterion		
12.3.1	The site/facility has a formal system in place to ensure notifications and key emergency communications are properly documented in emergency response facilities.	[DOE O 151.1C-3 Chapter VIII] [DOE O 151.1C-3 CRD] (DOE G 151.1-3, D 4.5, P/E 10.16)
Lines of Inquiry		
	Are notifications and key communications validated and properly documented in emergency response facilities?	(DOE G 151.1-3, D 4.5, P/E 10.17)
	Are logs maintained and other record-keeping methods used to support post-event analysis, report production, and a legally-defensible chronology of notification and communication activities?	(DOE G 151.1-3, D 4.5, P/E 10.18)
	Are all reports and releases reviewed for classified or Unclassified Controlled Nuclear Information (UCNI) prior to being provided to personnel without security clearances, entered into unclassified databases, or transmitted using non-secure communications equipment?	(DOE G 151.1-3, D 4.5, P/E 10.19)
	Following termination of the emergency response, and in conjunction with the Final Occurrence Report, does each activated EMT develop and submit a final report on the emergency response to the emergency director for submission to the Associate Administrator, Office of Emergency Operations?	(DOE G 151.1-3, D 4.5, P/E 10.20)
Criterion		
12.3.2	Notifications and key communications are properly displayed in emergency response facilities.	[DOE O 151.1C-3 Chapter VIII] [DOE O 151.1C-3 CRD] (DOE G 151.1-3, D 4.5, P/E 10.16)
Lines of Inquiry		
	Are notifications and key communications effectively displayed in emergency response facilities?	(DOE G 151.1-3, D 4.5, P/E 10.17)
APPROACH		
Document/Record Review		

12. Notifications and Communications		
	Review site/facility emergency management plan and implementing procedures for content related to emergency notifications and communications, and overall compliance with this CRAD’s performance goal, objectives, and criteria.	
	Review drill and exercise plans and records, including MSEL, timeline, and message injects, for compliant emergency notifications and communications activities, including logs, message traffic, memoranda, notifications, and reporting.	
	Review any records of actual events for notifications and communications activities and records of ERO notifications and communications operations, including logs, message traffic, memoranda, notifications, and reporting for compliance with these objectives and criteria.	
	Review training courses and records for satisfactory content and completion by personnel with responsibilities for notifications and communications coordination and operations, including course feedback, results of course evaluations, and training/procedures validation.	
	Review memoranda with offsite response organizations having a response role in operational emergencies to ensure notifications systems and coordination and communication planning have been addressed.	
Interview		
	Interview individuals assigned to be Emergency Directors during drills, exercises, and actual events. Ensure they understand their responsibilities for each criterion.	
	Interview the training program manager and exercise program manager to verify documentation and validation for each criterion.	
	Interview the emergency management program manager to confirm their understanding of the overall programmatic and response goals associated with emergency notifications and communications.	
	Interview any contractor staff identified as support in the development of drills and exercise plans to ensure their understanding of the objectives and criteria related to emergency termination and recovery.	
Observation		
	If the evaluation of this CRAD is coincident with site/facility drill or exercise activity, consider seeking the opportunity to officially observe its conduct, including seeking any available opportunities to observe exercise organization training/briefings, ERO management operations, hot wash activities, and post-activity briefings and discussions as these relate to demonstrations of readiness to recover from emergencies.	

13. CONSEQUENCE ASSESSMENT (SITE)		
<p>Performance Goal: 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 are: integrated with event classification and protective action decision-making; incorporated with facility and field indications ad measurements; and coordinated with offsite agencies. [DOE O 151.1C, Attachment 2 (CRD),13]</p> <ol style="list-style-type: none"> Objective: Provisions must be established to adequately assess the potential or actual onsite and offsite consequences of an emergency. [DOE O 151.1C, IV.3.b.(5)] Objective: A Timely Initial Assessment (TIA) of the actual or potential consequences of an emergency is 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. (DOE G 151.1-3, D.4.6, P/E11.1) Objective: Continuous Ongoing Assessments (COA) are made throughout an emergency. [DOE O 151.1C, Attachment 2 (CRD), 13.a.(3)], (DOE G 151.1-3, D.4.6, P/E11.2) Objective: Facilities have access to NARAC or have procedures in place to activate or request NARAC capabilities. [DOE O 151.1C, IV.3.b.(5)(b)], [DOE O 151.1C, Attachment 2 (CRD), 13.d] Objective: Tools used in consequence assessment, such as hardware and software for meteorological monitoring and dose modeling, etc., are available, reliable, calibrated and consistent with DOE and industry standards. (DOE G 151.1-3, D.4.6, P/E11.10), [DOE O 414.1D.4.a.(2)] Objective: Consequence assessments must incorporate monitoring of specific indicators and field measurements. [DOE O 151.1C, Attachment 2 (CRD), 13.1.(3)] Objective: Continuous, effective and accurate communication among response components and/or organizations must be reliably maintained throughout an Operational Emergency. [DOE O 151.1C, Attachment 2 (CRD), 12] Objective: Effective coordination is 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. [DOE O 151.1C, IV.3.b.(5)(a)4], (DOE G 151.1-3, D.4.6, P/E11.19) Objective: The contractor has establish a program to ensure 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. [DOE O 151.1C, Attachment 2 (CRD).2.e] 		
OBJECTIVE		
13.1.	Provisions must be established to adequately assess the potential or actual onsite and offsite consequences of an emergency. [DOE O 151.1C, IV.3.b.(5)]	[DOE O 151.1C, IV.3.b.(5)]
Criterion		
13.1.1.	The consequence assessment process is integrated with processes for categorizing an event as an emergency, determining the appropriate emergency class, protective action decision-making, and locating and recovering materials.	[DOE O 151.1C, IV.3.b.(5)(a)2], [DOE O 151.1C, Attachment 2 (CRD).13.a(2)], (DOE G 151.1-3, D.4.6, P/E11.3)
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the consequence assessment capability reflect the type and magnitude of potential hazardous material releases included in the facility/site EPHAs? (DOE G 151.1-4, 6.2) 	(DOE G 151.1-4, 6.2)

13. CONSEQUENCE ASSESSMENT (SITE)		
	<ul style="list-style-type: none"> Does the consequence assessment capability primarily apply to worker locations and the public within the EPZ? 	(DOE G 151.1-4, 6.2)
	<ul style="list-style-type: none"> Is the consequence assessment capability flexible enough to address consequence assessment in a limited extension beyond the EPA to provide assistance to tribal, state and local authorities (as requested), including support for confirmatory field/environmental monitoring? 	(DOE G 151.1-4, 6.2)
	<ul style="list-style-type: none"> 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? 	(DOE G 151.1-3, D.4.6, P/E11.22)
Criterion		
13.1.2.	Consequence analysis support for initial response decisions is provided during the planning process.	(DOE G 151.1-4, 6.3)
Lines of Inquiry		
	<ul style="list-style-type: none"> Are the tools provided to assist with first response decisions and actions based on the consequence calculations performed for and documented in the EPHA? 	(DOE G 151.1-4, 6.3)
	<ul style="list-style-type: none"> Is the modeling used in the EPHA the same as what is used in consequence assessment during an emergency? 	
	<ul style="list-style-type: none"> If not – what are the potential modeling differences? 	
	<ul style="list-style-type: none"> Are EALs tied back to the consequence assessment as appropriate? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review the site hazards survey and EPHAs for facilities of interest (including transportation hazards assessments if applicable). 	
	<ul style="list-style-type: none"> Review EALs. 	
	<ul style="list-style-type: none"> Review emergency plan for roles and responsibilities for consequence assessment. 	
	<ul style="list-style-type: none"> Review emergency implementing procedures regarding initial assessment, timely initial assessment and continuous assessment performance, forms used and field monitoring. 	
	<ul style="list-style-type: none"> Resolve any issues of missing, incomplete or unclear documentation in the interview/observation phases of the assessment. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility for developing procedures regarding consequence assessment. 	
	<ul style="list-style-type: none"> Interview individual with responsibility for development of EPHA to discern the modeling used. 	
Observation		
	<ul style="list-style-type: none"> Observe consequence assessment performance in an exercise and/or drill. 	
	<ul style="list-style-type: none"> Inspect equipment used to support consequence assessment. 	
OBJECTIVE		

13. CONSEQUENCE ASSESSMENT (SITE)		
13.2.	A Timely Initial Assessment (TIA) of the actual or potential consequences of an emergency is 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.	(DOE G 151.1-3, D.4.6, P/E11.1)
Criterion		
13.2.1.	Confirmation of the initial decisions (initial event classification, protective action decisions and pre-planned response) are accurate, appropriate and conservative.	(DOE G 151.1-4, 6.4)
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the consequence assessment procedure indicate that real time event information is incorporated in the TIA? 	
	<ul style="list-style-type: none"> Is a review of the most current event information available conducted to ensure that the most appropriate EAL was chosen and that initial calculations of consequences? 	
	<ul style="list-style-type: none"> Was the review based on current event information and meteorological condition? 	
	<ul style="list-style-type: none"> Does the review confirm that the initial protective action decisions are protective of workers and the public? 	
	<ul style="list-style-type: none"> If the original recommendations are not sufficiently protective, then modifications to the initial protective actions made? 	
Criterion		
13.2.2.	Sufficient information and resources are available soon after the EAL selection (e.g., ~30 minutes to 1 hour) to perform TIA that is specific to the actual or potential event.	(DOE G 151.1-4, 6.6)
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the consequence assessment procedure ask for the source term in the initial assessment? 	
	<ul style="list-style-type: none"> Is source term available? How long until the information was available? (Actual event/exercise) 	
	<ul style="list-style-type: none"> Does the consequence assessment procedure ask for receptor information for the initial assessment? 	
	<ul style="list-style-type: none"> Is receptor information available? How long until the information was available? (Actual event/exercise) 	
	<ul style="list-style-type: none"> Is the source term and receptor information based on the EAL selected and associated calculations from the EPHA? 	
	<ul style="list-style-type: none"> Are event observations and indicators available from the event scene or any other sources? 	
	<ul style="list-style-type: none"> Is meteorological information based on event-scene observations? 	
	<ul style="list-style-type: none"> Is any field monitoring data available? (may be too early to be available) 	
	<ul style="list-style-type: none"> Does the lack of data prohibit TIA from being performed? 	
	<ul style="list-style-type: none"> Is there an efficient TIA process in place (or procedure) that can produce a conservative, useable decision in spite of incomplete or uncertain information? 	
Criterion		

13. CONSEQUENCE ASSESSMENT (SITE)		
13.2.3.	Steps taken to facilitate/perform the TIA are outlined in a procedure.	[DOE O 151.1C, Attachment 2 (CRD),4.d]
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the procedure indicate what assumptions and default inputs have been developed? 	
	<ul style="list-style-type: none"> Have the assumptions and default inputs been organized? 	
	<ul style="list-style-type: none"> Have the assumptions and default inputs been keyed to recognizable event conditions? 	
	<ul style="list-style-type: none"> Have the expected sources of real-time information to replace assumptions and default inputs been identified? Is there an estimate time frame of when they would be available? 	
	<ul style="list-style-type: none"> Have prior arrangements been made/implemented with offsite organizations for real-time information (e.g., National Weather Service)? 	(DOE G 151.1-4, 6.6.2)
	<ul style="list-style-type: none"> Are there provisions for incorporating real-time information into the analysis, once it becomes available? 	(DOE G 151.1-4, 6.6.2)
	<ul style="list-style-type: none"> Have receptor locations of interest based on initial real-time meteorological conditions been identified? (see Criterion 13.2.2) 	
Criterion		
13.2.4.	The TIA information serves as the initial basis for addressing health and safety concerns for on-scene response personnel and for directing the initial efforts of field monitoring teams.	(DOE G 151.1-4, 6.6)
Lines of Inquiry		
	<ul style="list-style-type: none"> Are results of the TIA shared with on-scene response personnel? 	
	<ul style="list-style-type: none"> How are the results shared – through the EOC (Emergency Director, Incident Commander or on-scene support staff)? 	
	<ul style="list-style-type: none"> Do on-scene response personnel use the TIA for directing their initial efforts? 	
	<ul style="list-style-type: none"> Do field monitoring teams use the TIA? 	
Criterion		
13.2.5.	Consequence estimates performed by hand and/or from computer calculations are accomplished in a timely and efficient manner throughout the emergency to adequately assess the actual or potential onsite and offsite consequences.	(DOE G 151.1-4, 6.6.2), (DOE G 151.1-3, D.4.6., P/E11.2.a.)
Lines of Inquiry		

13. CONSEQUENCE ASSESSMENT (SITE)		
	<ul style="list-style-type: none"> When simplified calculation models (e.g., hand calculations, nomograms, overlays, simple PC-based models) are developed, are assumptions and default inputs to the models used to support rapid estimates of consequences? 	(DOE G 151.1-4, 6.6.2)
	<ul style="list-style-type: none"> Does data include inputs for release rate and magnitude for radioactive or chemical source terms and atmospheric transport and dispersion conditions? 	(DOE G 151.1-4, 6.6.2)
	Are default input sets organized and keyed to recognizable conditions to aid users in quickly selecting the most appropriate inputs?	(DOE G 151.1-4, 6.6.2)
	<ul style="list-style-type: none"> What consequence assessment system (manual or computer-based) is used by the consequence assessment team? 	
	<ul style="list-style-type: none"> Does this system accurately characterize transport and dispersion conditions to support emergency response? 	
Criterion		
13.2.6.	All consequence assessment team (CAT) members should be trained to perform TIA activities so that the first personnel to arrive in the EOC can begin the initial assessment.	(DOE G 151.1-4, 6.3)
Lines of Inquiry		
	<ul style="list-style-type: none"> Are the first members of the CAT to arrive at the EOC trained to perform TIA activities? 	
	<ul style="list-style-type: none"> Can TIA activities be performed by consequence assessment trained first response personnel, on-call members of the CAT, who possess the necessary tools and information in their homes or other remote locations? 	
	<ul style="list-style-type: none"> Do personnel responsible for the TIA provided with pre-calculated results and/or simplified calculation methodologies? How is this accomplished outside the EOC? 	
	<ul style="list-style-type: none"> Are source terms (on which the pre-calculated results are based) briefly described and readily available (so that in emergency conditions, the one that is most representative of the event at hand or to apply the best modifying factors can be selected)? 	
	<ul style="list-style-type: none"> Have subject matter experts within the organization who have experience with radioactive or chemical hazardous materials and their associated phenomena been identified? 	
	<ul style="list-style-type: none"> Are they members of the CAT or are they available for consultation at any time during an emergency response? 	
	<ul style="list-style-type: none"> See Training and Drills for more regarding training. 	
Criterion		
13.2.7.	Results of the consequence assessment should be transmitted to decision makers in the ERO using formal, written worksheets and notification forms and briefings, as necessary. (DOE G 151.1-4, 6.6.4)	(DOE G 151.1-4, 6.6.4)
Lines of Inquiry		

13. CONSEQUENCE ASSESSMENT (SITE)		
	<ul style="list-style-type: none"> Are TIA results communicated in a clear, concise, and timely manner to the person with the responsibility to perform subsequent event categorization/classification and notification? 	
	<ul style="list-style-type: none"> Is there a clear and straightforward format developed and used for communicating results? 	
	<ul style="list-style-type: none"> Are the results connected easily and clearly to the specific protective actions to be implemented? 	
	<ul style="list-style-type: none"> Have a map or graphic display been considered to lend clarity? 	
	<ul style="list-style-type: none"> Are uncertainties well documented to assist decision-makers in interpreting the results and making defensible recommendations? 	
	<ul style="list-style-type: none"> Is an estimate of the time that the first complete consequence assessment will be available communicated to decision makers? 	
	<ul style="list-style-type: none"> When information differs from initial or previous notifications, is it clearly indicated, documented and provided to the proper individuals for offsite communications? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review emergency implementing procedures regarding: <ul style="list-style-type: none"> timely initial assessment; correlation of a release of hazardous material for each accident scenario has been correlated to observable indicators. 	
	<ul style="list-style-type: none"> Review training lessons and records for consequence assessment team members for consequence assessment and dose modeling. 	
	<ul style="list-style-type: none"> Resolve any issues of missing, incomplete or unclear documentation in the interview/observation phases of the assessment. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility for developing procedures regarding consequence assessment. 	
	<ul style="list-style-type: none"> Interview consequence assessment team members. 	
	<ul style="list-style-type: none"> Interview field monitoring team members. 	
Observation		
	<ul style="list-style-type: none"> Observe consequence assessment (timely initial assessment) performance in an exercise and/or drill. 	
	<ul style="list-style-type: none"> Do a physical inspection of meteorological facilities and equipment. 	
	<ul style="list-style-type: none"> Inspect equipment used to support consequence assessment. 	
OBJECTIVE		

13. CONSEQUENCE ASSESSMENT (SITE)		
13.3.	Continuous Ongoing Assessments (COA) are made throughout an emergency. [DOE O 151.1C, Attachment 2 (CRD), 13.a.(3)], (DOE G 151.1-3, D.4.6, P/E11.2)	[DOE O 151.1C, Attachment 2 (CRD), 13.a.(3)], (DOE G 151.1-3, D.4.6, P/E11.2)
Criterion		
13.3.1.	Consequence assessment procedures should provide for incorporating event-specific data into analyses as it becomes available.	(DOE G 151.1-4, 6.7.1)
Lines of Inquiry		
	<ul style="list-style-type: none"> Do procedures identify and reference methods or documents that could be used to determine potential source-term (i.e., hazardous material) inventories? 	(DOE G 151.1-4, 6.7.1)
	<ul style="list-style-type: none"> Have methods and instrumentation been identified to determine the status of affected systems, release parameters, and environmental conditions? 	
	<ul style="list-style-type: none"> Has the correlation between monitoring instrument readings and concentrations, cumulative exposure/dose, and/or exposure/dose rate at specific receptors been considered in procedures? 	
	<ul style="list-style-type: none"> Do the procedures consider identifying instrumentation that estimates, but does not directly measure, quantity or concentration of released or stored material (e.g., building air monitors, storage tank pressure indicators); and documents correlations between instrument readings and quantities of interest? 	
	<ul style="list-style-type: none"> Do the procedures, when identifying instrumentation, provide all necessary conversion factors or techniques? 	
	<ul style="list-style-type: none"> Have methods to acquire and use real-time meteorological data and meteorological forecast conditions been developed? 	
	<ul style="list-style-type: none"> Are indicators listed in the consequence assessment procedures? 	
	<ul style="list-style-type: none"> Event indicators (e.g., system pressures, flow rates, radiation levels, release rates, etc.), necessary to continually assess the consequences of the emergency events/conditions, are identified and monitored. 	(DOE G 151.1-4, D.7.1), (DOE G 151.1-3, D.4.6., P/E11.2.d)
	<ul style="list-style-type: none"> Are real-time measurements (e.g., volume of material in tank, stack monitor reading) available? 	(DOE G 151.1-4, D.7.1)
	<ul style="list-style-type: none"> Are theoretical information (e.g., gas density) or limited empirical evidence (e.g., particle size distribution) used to arrive at release estimates? 	(DOE G 151.1-4, D.7.1)
Criterion		
13.3.2.	Onsite and offsite receptors of interest quickly and are 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).	(DOE G 151.1-3, D.4.6, P/E11.13)
Lines of Inquiry		
	<ul style="list-style-type: none"> Have receptors of interest been identified and documented for each facility requiring an EPHA? 	(DOE G 151.1-4, D.7.1)

13. CONSEQUENCE ASSESSMENT (SITE)		
	<ul style="list-style-type: none"> Do onsite receptors include site facilities, facility and site boundaries, facility workers, collocated workers assembly areas, evacuation routes and emergency response facilities? 	(DOE G 151.1-4, D.7.1)
	<ul style="list-style-type: none"> Have consequence estimates for actual or potential releases of hazardous materials provided for receptor locations at the facility and site boundaries, to or beyond the EPA boundary, and for populations with special needs? 	(DOE G 151.1-3, D.4.6, P/E11.14.d)
	<ul style="list-style-type: none"> Do offsite receptors include population centers, special populations (e.g., hospitals, schools, nursing homes, day care centers, and prisons), evacuation routes, relocation centers, environmental monitoring stations, and ingestion Planning zone related locations? (DOE G 151.1-4, D.7.1) 	(DOE G 151.1-4, D.7.1)
	<ul style="list-style-type: none"> Is a map providing a spatial representation of the receptor locations part of the documentation of the CAT staff? 	(DOE G 151.1-4, D.7.1)
	<ul style="list-style-type: none"> Does information regarding each receptor include wind direction that would affect the receptor, the name of the receptor, distance from facility, and plume travel time for a wind speed that is indicative of a 95% meteorological condition (e.g., generally an F-stability class with a light wind speed)? 	(DOE G 151.1-4, D.7.1)
Criterion		
13.3.3.	Consequence estimates for actual or potential releases of hazardous materials are made in a timely manner, efficiently, and accurately (i.e., consistent with the accuracy of the input data).	[DOE O 151.1C, Attachment 2 (CRD), 13.a.(1)], (DOE G 151.1-4, 6.7), (DOE G 151.1-3, D.4.6, P/E11.14.a.)
Lines of Inquiry		
	<ul style="list-style-type: none"> How was information on source term collected? 	(DOE G 151.1-4, 6.7.2)
	<ul style="list-style-type: none"> Was the predetermined source term correlated with observed conditions? 	(DOE G 151.1-4, 6.7.2)
	<ul style="list-style-type: none"> What dispersion pathway was used for calculating consequences? 	(DOE G 151.1-4, 6.7.2)
	<ul style="list-style-type: none"> Was there a release to aquatic, ground and/or groundwater pathways? Were calculation models developed by each case? 	
	<ul style="list-style-type: none"> Which type of calculation method was done to address consequence requirements? <ul style="list-style-type: none"> Elementary – pre-calculated consequences (tabulated EPHA, SAR results)? Intermediate – simple consequence calculations (e.g., straight-line Gaussian model)? Advanced – advanced computerized method capable of more realistically modeling atmospheric transport and dispersion? 	(DOE G 151.1-4, 6.7.2)

13. CONSEQUENCE ASSESSMENT (SITE)		
	<ul style="list-style-type: none"> • Was the calculation method appropriate for the hazard? <ul style="list-style-type: none"> ○ Elementary – low hazard facilities ○ Intermediate – moderate hazard facilities, simple meteorological flows ○ Advanced – high hazards, complex meteorological flows 	(DOE G 151.1-4, 6.7)
Criterion		
13.3.4.	Appropriate facility-specific PAC, which is identified and readily available to consequence assessment teams, is used for estimating health effects at a specified distance from the event.	(DOE G 151.1-3, D.4.6, P/E11.14.e)
Lines of Inquiry		
	<ul style="list-style-type: none"> • Have consequences been calculated for comparing the results with criteria that relate to acute or short-term human health effects? 	(DOE G 151.1-4, 6.7.2)
	<ul style="list-style-type: none"> • What criteria were used for radioactive materials? EPA PAGs in terms of Total Effective Dose Equivalent (TEDE)? 	(DOE G 151.1-4, 6.7.2)
	<ul style="list-style-type: none"> • What criteria were used for non-radiological hazardous materials? (AEGLs, ERPGs, and TEELs) 	• (DOE G 151.1-4, 6.7.2)
	<ul style="list-style-type: none"> • Were the calculation methods and models used in preparing EPHAs and developing scenarios for drill/exercises identical to, or similar to, those used in the consequence assessment process? 	(DOE G 151.1-4, 6.7.2)
Criterion		
13.3.5.	Assessments are updated when there are actual and projected changes in facility status, release conditions, or meteorology, or when there are data from field monitoring teams.	(DOE G 151.1-4, 6.7), (DOE G 151.1-3, D.4.6., P/E11.2.b.)
Lines of Inquiry		
	<ul style="list-style-type: none"> • Have plans and procedures for supporting field monitoring activities and providing the tools/training necessary to incorporate the information into the consequence assessment process been developed? 	
	<ul style="list-style-type: none"> • Are different models, assumptions, and input data used, as available, to add to the understanding of the event and its consequences? 	(DOE G 151.1-3, D.4.6., P/E11.2.c)
	<ul style="list-style-type: none"> • Is field-monitoring results used for bounding transport and dispersion calculations and modifying input parameter selection? 	(DOE G 151.1-4, 6.7.1)
	<ul style="list-style-type: none"> • Do consequence estimates for actual or potential releases 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. 	(DOE G 151.1-3, D.4.6, P/E11.14.b.)
	<ul style="list-style-type: none"> • Do consequence estimates include calculations of radioactive dose or toxic chemical exposure for the external, inhalation, and ingestion pathways, are included as appropriate. 	(DOE G 151.1-3, D.4.6, P/E11.14.c)

13. CONSEQUENCE ASSESSMENT (SITE)		
	<ul style="list-style-type: none"> 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? 	(DOE G 151.1-3, D.4.6, P/E11.7)
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review emergency implementing procedures regarding: <ul style="list-style-type: none"> continuous ongoing assessments; source term information mechanisms for incorporating event-specific data identified and referenced data sources receptors of interest factoring the onsite/offsite field monitoring results protocols for communicating monitoring data and results 	
	<ul style="list-style-type: none"> Review training lessons and records for consequence assessment team members for consequence assessment and dose modeling. 	
	<ul style="list-style-type: none"> Resolve any issues of missing, incomplete or unclear documentation in the interview/observation phases of the assessment. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility for developing procedures regarding consequence assessment. 	
	<ul style="list-style-type: none"> Interview consequence assessment team members. 	
	<ul style="list-style-type: none"> Interview field monitoring team members. 	
Observation		
	<ul style="list-style-type: none"> Observe consequence assessment performance in an exercise and/or drill. 	
	<ul style="list-style-type: none"> Do a physical inspection of meteorological facilities and equipment. 	
	<ul style="list-style-type: none"> Inspect equipment used to support consequence assessment. 	
OBJECTIVE		
13.4.	Facilities have access to NARAC or have procedures in place to activate or request NARAC capabilities.	[DOE O 151.1C, IV,3.b.(5)(b)], [DOE O 151.1C, Attachment 2 (CRD), 13.d]
Criterion		
13.4.1.	If a facility has the potential for an OE classified as a General Emergency, connectivity to NARAC capabilities is established and procedures are in place 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.	[DOE O 151.1C, IV.3.b.(5)(b)(1)], [DOE O 151.1C, Attachment 2 (CRD), 13.b], (DOE G 151.1-3, D.4.6., P/E11.5.a)
Lines of Inquiry		

13. CONSEQUENCE ASSESSMENT (SITE)		
	<ul style="list-style-type: none"> Are there procedures for connectivity to NARAC? 	
	<ul style="list-style-type: none"> Does the site/facility have an automatic connection to NARAC? 	
	<ul style="list-style-type: none"> How does NARAC get meteorological data? 	
	<ul style="list-style-type: none"> Does the site/facility feed the meteorological data or is it pulled off a local weather tower? 	
	<ul style="list-style-type: none"> Is the weather tower onsite or offsite? If offsite approximately how far? 	
	<ul style="list-style-type: none"> How is source term transmitted to NARAC? 	
	<ul style="list-style-type: none"> How are NARAC products utilized at the facility/site in an emergency? 	
Criterion		
13.4.2.	If a facility has the potential for an OE classified as a Site Area Emergency, procedures are in place to activate or request NARAC capabilities and to use those capabilities as part of near real-time consequence assessment activities.	[DOE O 151.1C, IV.3.b.(5)(b)(2)], [DOE O 151.1C, Attachment 2 (CRD), 13.c], (DOE G 151.1-3, D.4.6., P/E11.5.b)
Lines of Inquiry		
	<ul style="list-style-type: none"> Are there procedures for connectivity to NARAC? 	
	<ul style="list-style-type: none"> Does the site/facility have an automatic connection to NARAC? 	
	<ul style="list-style-type: none"> How does NARAC get meteorological data? 	
	<ul style="list-style-type: none"> Does the site/facility feed the meteorological data or is it pulled off a local weather tower? 	
	<ul style="list-style-type: none"> Is the weather tower onsite or offsite? If offsite approximately how far? 	
	<ul style="list-style-type: none"> How is source term transmitted to NARAC? 	
	<ul style="list-style-type: none"> How are NARAC products utilized at the facility/site in an emergency? 	
Criterion		
13.4.3.	For facilities with access to NARAC, or have procedures in place to activate or request NARAC capabilities, 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.	[DOE O 151.1C, IV.3.b.(5)(b)(3)], [DOE O 151.1C, Attachment 2 (CRD), 13.d], (DOE G 151.1-3, D.4.6., P/E11.6)
Lines of Inquiry		
	<ul style="list-style-type: none"> Are there procedures for connectivity to NARAC? 	
	<ul style="list-style-type: none"> Does the site/facility have an automatic connection to NARAC? 	
	<ul style="list-style-type: none"> How does NARAC get meteorological data? 	
	<ul style="list-style-type: none"> Does the site/facility feed the meteorological data or is it pulled off a local weather tower? 	
	<ul style="list-style-type: none"> Is the weather tower onsite or offsite? If offsite approximately how far? 	

13. CONSEQUENCE ASSESSMENT (SITE)		
	<ul style="list-style-type: none"> How is source term transmitted to NARAC? 	
	<ul style="list-style-type: none"> How are NARAC products utilized at the facility/site in an emergency? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review emergency implementing procedures for use of DOE/NNSA emergency response assets (NARAC, AMT, RAP) to support consequence assessment. 	
	<ul style="list-style-type: none"> Resolve any issues of missing, incomplete or unclear documentation in the interview/observation phases of the assessment. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility for developing procedures regarding consequence assessment. 	
	<ul style="list-style-type: none"> Interview consequence assessment team members. 	
Observation		
	<ul style="list-style-type: none"> Observe the ability to utilize NARAC an exercise and/or drill. 	
	<ul style="list-style-type: none"> Do a physical inspection of meteorological facilities and equipment. 	
	<ul style="list-style-type: none"> Inspect equipment used to support consequence assessment. 	
OBJECTIVE		
13.5.	Tools used in consequence assessment, such as hardware and software for meteorological monitoring and dose modeling, etc., are available, reliable, calibrated and consistent with DOE and industry standards.	(DOE G 151.1-3, D.4.6, P/E11.10), [DOE O 414.1D.4.a.(2)]
Criterion		
13.5.1.	The type of hazard and source term for the release of a hazardous material is successfully determined either with available and reliable facility system parameters and effluent monitors or with data that is not normally monitored and measured.	(DOE G 151.1-3, D.4.6, P/E11.11)
Lines of Inquiry		
	<ul style="list-style-type: none"> Is the 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)? 	(DOE G 151.1-3, D.4.6, P/E11.11.a)
	<ul style="list-style-type: none"> Do procedures indicate that predetermined source terms be correlated with observed conditions including personnel observations, instrument readings, current inventory information, monitoring results? 	
	<ul style="list-style-type: none"> Has key information regarding source term been collected for the EPHA? 	
	<ul style="list-style-type: none"> Does the procedure indicate that the most conservative source term listed be used based on the known inventory of hazardous materials in the building? 	
	<ul style="list-style-type: none"> Does the methodology for determining the type of hazard and source term compatible with instrumentation/monitor values (e.g., engineering units, range and conversion factors)? 	(DOE G 151.1-3, D.4.6, P/E11.11.b)
	<ul style="list-style-type: none"> Do instruments used for detection of chemical releases to the atmosphere have sufficient range to accurately determine the concentration of the released chemical(s) in air versus the chemical Protective Action Criterion (PAC)? 	(DOE G 151.1-3, D.4.6, P/E11.11.c)

13. CONSEQUENCE ASSESSMENT (SITE)		
Criterion		
13.5.2.	Adequate meteorological information is obtained for use in transport and dispersion calculations to project the consequences of the hazardous material release to the environment, onsite and offsite.	(DOE G 151.1-3, D.4.6, P/E11.12)
Lines of Inquiry		
	<ul style="list-style-type: none"> Does real-time data replace default values as soon as practical? 	<ul style="list-style-type: none"> (DOE G 151.1-4, 6.7.1)
	<ul style="list-style-type: none"> Is regional meteorological information and forecasts used to determine whether changing meteorological conditions (e.g., frontal passages) may affect protective actions and in-field activities? 	
	<ul style="list-style-type: none"> Is regional meteorological data and forecast information used in parallel with real-time meteorology to semi-quantitatively to determine temporal and spatial changes in meteorological parameters? 	
	<ul style="list-style-type: none"> Where is the regional meteorological data obtained from? 	
	<ul style="list-style-type: none"> Are natural phenomena (e.g., tornadoes, floods, sever rain and winds, ice and snow), which may result in or exacerbate an emergency condition carefully monitored by either online National Weather Service (NWS)? Or is another service used? Indicate. 	
	<ul style="list-style-type: none"> Does the meteorological data indicate wind speed, wind direction, an indicator of atmospheric turbulence or stability class? 	
	<ul style="list-style-type: none"> Are the methods to acquire and use meteorological and other relevant environmental data (e.g., hydrological data for aquatic dilution) in consequence assessment commensurate with quantities of radiological and chemical hazardous materials present in the facility and the need to characterize the transport and dispersion of materials during a release? 	
	<ul style="list-style-type: none"> Is the environmental monitoring program required for based on an extension of the general environmental protection program required by DOE O 450.1, Chg 3 for each facility? 	
	<ul style="list-style-type: none"> If the highest potential emergency and releases of material will be classified as an Alert according to the EPHA then: <ul style="list-style-type: none"> Is real-time meteorological monitoring capability limited to what is required by other programs (e.g., effluent and environmental monitoring, Clear Air Act compliance)? (it is acceptable if this is the case) Is access to representative meteorological information limited to information from non-facility resources, such as the NWS at a local airport? (it is acceptable considering the next question) Does the NWS office provide meteorological data that is spatially representative of the DOE site and techniques are available to convert NWS parameters to establish an indicator of atmospheric turbulence [e.g., Satellite Applications and Research (STAR), Solar Radiation/Delta-T (SRDT)]? 	

13. CONSEQUENCE ASSESSMENT (SITE)		
	<ul style="list-style-type: none"> • If the highest potential emergency and releases of material will be classified as a Site Area Emergency (SAE) then: <ul style="list-style-type: none"> ○ Is there sufficient continuous real-time meteorological information available to characterize atmospheric dispersion with the entire region bounded by the site boundary? ○ Does this capability include the means to determine wind speed, wind direction, and an indicator of atmospheric turbulence (e.g., stability class) via in situ or remote instrumentation or by trained observation? ○ Is the measuring station providing meteorological input located within approximately 2 km of the potential release points? ○ How many meteorological stations are there and where are they located? ○ Are the number and location of meteorological monitoring stations necessary to characterize atmospheric transport and dispersion conditions dependent upon the number and location of the potential release points, the size of the affected area and the complexity of the meteorological conditions in the region on transport? ○ Have local meteorological factors considered including lake-breeze or sea breeze formation, penetration, and movement inland; spatial extent of urban heat island effects; configuration of mountain/valley winds; configuration of up-slope/down-slope winds; and other terrain effects that may impact plume transport trajectory and consequence calculations? 	
	<ul style="list-style-type: none"> • If the highest potential emergency and releases of material will be classified as a General Emergency (GE) in <u>addition to the above</u> then in the region of transport: <ul style="list-style-type: none"> ○ Are there a sufficient number of continuous real-time in situ or remote monitoring meteorological data sources available to characterize atmospheric dispersion for the area encompassed by offsite areas potentially affected by a maximum radiological or chemical release? (The number of monitoring stations and sophistication of monitoring equipment necessary will depend on terrain complexity and dispersion conditions particular to the DOE site.) ○ Are models available that provide a more accurate characterization of atmospheric dispersion to the limits of potentially impacted offsite locations? ○ What are the models? ○ What is the local terrain? (i.e., simple -flat, complex - mountain/valley, land/water) ○ Does the number of monitoring stations adequate for the terrain? (simple will need fewer than complex) 	
Criterion		
13.5.3.	A formal Quality Assurance Program is 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.	(DOE G 151.1-3, D.4.6, P11.22)
Lines of Inquiry		

13. CONSEQUENCE ASSESSMENT (SITE)		
	<ul style="list-style-type: none"> Has a Quality Assurance Program been established that includes tools used in consequence assessment? 	
	<ul style="list-style-type: none"> Has the site established a meteorological monitoring program that is appropriate to the activities of the site? 	
	<ul style="list-style-type: none"> Did the meteorological monitoring program also consider: (DOE/EH-0173T, Section 4) <ul style="list-style-type: none"> The topographical characteristics of the site? The distance to critical receptors in order to characterize releases from DOE activities? Assess impacts and estimate the dispersal patterns in the environment? 	
	<ul style="list-style-type: none"> Does the meteorological monitoring program provide for: (DOE/EH-0173T, Section 4) <ul style="list-style-type: none"> Routine inspection of the data? Scheduled maintenance and calibration of the meteorological instrumentation and data-acquisition system at a minimum? 	
	<ul style="list-style-type: none"> Is the calibration frequency based on the manufacturers' recommendations? 	
	<ul style="list-style-type: none"> Have inspections, maintenance and calibrations of consequence assessment equipment been conducted in accordance with written procedures? 	(DOE/EH-0173T, Section 4)
	<ul style="list-style-type: none"> Are there logs of the inspections, maintenance and calibrations? 	(DOE/EH-0173T, Section 4)
	<ul style="list-style-type: none"> Are they kept as permanent records? 	(DOE/EH-0173T, Section 4)
	<ul style="list-style-type: none"> Does the meteorological instrument system provide for data recovery of at least 90% on an annual basis for wind direction, wind speed, parameters necessary to classify atmospheric stability and other meteorological elements required for dose assessments? 	(DOE/EH-0173T, Section 4)
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review emergency implementing procedures for initial consequence assessment, and continuous assessment performance, forms used and field monitoring. 	
	<ul style="list-style-type: none"> Review modeling capabilities. 	
	<ul style="list-style-type: none"> Review maintenance, calibration, inspection logs for consequence assessment equipment. 	
	<ul style="list-style-type: none"> Review manufacture's recommendations regarding maintenance of equipment. 	
	<ul style="list-style-type: none"> Resolve any issues of missing, incomplete or unclear documentation in the interview/observation phases of the assessment. 	
	<ul style="list-style-type: none"> Check presentation materials, such as maps and data recording sheets. 	
	<ul style="list-style-type: none"> Check for necessary references (conversion factors, PAC, EPHAs, EALSs, material safety data sheets, National Institute for Occupational Safety Health handbooks, DOT Emergency Response Guidebook, and meteorological data). 	

13. CONSEQUENCE ASSESSMENT (SITE)		
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility for developing procedures regarding consequence assessment. 	
	<ul style="list-style-type: none"> Interview individual with responsibility for development of EPHA to discern the modeling used. 	
Observation		
	<ul style="list-style-type: none"> Observe consequence assessment performance in an exercise and/or drill. 	
	<ul style="list-style-type: none"> Check modeling capabilities. 	
	<ul style="list-style-type: none"> Confirm that the outputs of the consequence assessment codes provide results that are consistent with the EPHAs and EALs, using a selected sample. 	
	<ul style="list-style-type: none"> Do a physical inspection of meteorological facilities and equipment. 	
	<ul style="list-style-type: none"> Inspect equipment used to support consequence assessment. 	
OBJECTIVE		
13.6.	Consequence assessments must incorporate monitoring of specific indicators and field measurements.	[DOE O 151.1C, Attachment 2 (CRD), 13.1.(3)]
Criterion		
13.6.1.	Field monitoring data provides event scene and down-wind readings of contamination levels on ground level surfaces or airborne readings of radiation levels or chemical concentrations. (See ERO, FMT objectives and criteria for more criteria specific to field monitoring teams.)	(DOE G 151.1-4, 6.4)
Lines of Inquiry		
	<ul style="list-style-type: none"> Did field monitoring teams receive initial, conservative estimates of projected consequences in a timely manner prior to being dispatched for sampling, monitoring, and plume tracking activities 	(DOE G 151.1-3, D.4.6, P/E11.15)
	<ul style="list-style-type: none"> Were 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? 	DOE G 151.1-3, D.4.6, P/E11.16)
	<ul style="list-style-type: none"> Did 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? 	(DOE G 151.1-3, D.4.6, P/E11.17)
Criterion		
13.6.2.	As available, data from environmental monitoring programs is used to support consequence assessment, including data from installed air monitors, area radiation monitors, and in-plant surveys.	(DOE G 151.1-3, D.4.6, P/E11.18)
Lines of Inquiry		
	<ul style="list-style-type: none"> Are there installed air monitors, area radiation monitors and/or in-plant surveys in place? 	
	<ul style="list-style-type: none"> Were these systems used to support consequence assessment? 	
	<ul style="list-style-type: none"> Does real-time data replace default values as soon as practical? 	(DOE G 151.1-4, 6.7.1)
APPROACH		

13. CONSEQUENCE ASSESSMENT (SITE)		
Document/Record Review		
	<ul style="list-style-type: none"> Review emergency plan for roles and responsibilities for consequence assessment. 	
	<ul style="list-style-type: none"> Review emergency implementing procedures for initial consequence assessment, and continuous assessment performance, forms used and field monitoring. 	
	<ul style="list-style-type: none"> Resolve any issues of missing, incomplete or unclear documentation in the interview/observation phases of the assessment. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility for developing procedures regarding consequence assessment. 	
	<ul style="list-style-type: none"> Interview individual with responsibility for development of EPHA to discern the modeling used. 	
Observation		
	<ul style="list-style-type: none"> Observe consequence assessment performance in an exercise and/or drill. 	
	<ul style="list-style-type: none"> Inspect equipment used to support consequence assessment. 	
OBJECTIVE		
13.7.	Continuous, effective and accurate communication among response components and/or organizations must be reliably maintained throughout an Operational Emergency.	[DOE O 151.1C, Attachment 2 (CRD), 12]
Criterion		
13.7.1.	The results of the consequence assessment are transmitted to decision makers in the ERO in a form that can be quickly and unambiguously used in making emergency response decisions.	(DOE G 151.1-4, 6.7.4)
Lines of Inquiry		
	<ul style="list-style-type: none"> Were the results of the consequence assessment transmitted using formal, written worksheets and notification forms? 	
	<ul style="list-style-type: none"> Is there a process to perform a quality assurance check on assessment results and establish the degree of uncertainty prior to distribution? 	
	<ul style="list-style-type: none"> Do procedures address specific interfaces with members of the ERO (Program element, health and safety, public information)? 	
	<ul style="list-style-type: none"> Are there caveats associated with integrated consequence assessment that have been developed to carefully ensure that information presented is not likely to be misinterpreted? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review the site hazards survey and EPHAs for facilities of interest (including transportation hazards assessments if applicable). 	
	<ul style="list-style-type: none"> Review EALs. 	
	<ul style="list-style-type: none"> Review emergency plan for roles and responsibilities for consequence assessment. 	

13. CONSEQUENCE ASSESSMENT (SITE)		
	<ul style="list-style-type: none"> Review emergency implementing procedures for initial consequence assessment, and continuous assessment performance, forms used and field monitoring. 	
	<ul style="list-style-type: none"> Resolve any issues of missing, incomplete or unclear documentation in the interview/observation phases of the assessment. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility for developing procedures regarding consequence assessment. 	
Observation		
	<ul style="list-style-type: none"> Observe consequence assessment performance in an exercise and/or drill. 	
	<ul style="list-style-type: none"> Observe communication between the CAT and other parts of the ERO. 	
OBJECTIVE		
13.8.	Effective coordination is 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.	[DOE O 151.1C, IV.3.b.(5)(a)4], (DOE G 151.1-3, D.4.6, P/E11.19)
Criterion		
13.8.1.	Field monitoring and data collection by facility and site teams, State and local teams, and Federal teams is coordinated to facilitate exchanges and correlation of information.	(DOE G 151.1-4, 6.7.4) (DOE G 151.1-3, D.4.6, P/E11.20)
Lines of Inquiry		
	<ul style="list-style-type: none"> Are there plans/procedures addressing a protocol for sharing and transmitting information among response organizations? 	
	<ul style="list-style-type: none"> Is field monitoring and data collection coordinated to facilitate exchanges and correlation of information. 	
	<ul style="list-style-type: none"> Assessment and analyses are clearly communicated to offsite emergency management decision makers 	(DOE G 151.1-3, D.4.6, P/E11.21)
Criterion		
13.8.2.	Assessment and analyses are clearly communicated to offsite emergency management decision makers.	(DOE G 151.1-3, D.4.6, P/E11.21.)
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there a standard protocol for communication of data/information and results to minimize the propagation of errors? 	
	<ul style="list-style-type: none"> Does the protocol address the units of measure for quantities or parameters of interest including concentration, cumulative exposure and dose, and exposure and does rate? 	
	<ul style="list-style-type: none"> Are the types and formats of information needed by each response element pre-determined as part of the emergency plan and/or implementing procedures? 	
	<ul style="list-style-type: none"> Is there a method or procedure that allows results to be compared and differences resolved between response organizations (onsite and offsite)? 	
Criterion		

13. CONSEQUENCE ASSESSMENT (SITE)		
13.8.3.	Differences in modeling methods are well understood by onsite and offsite emergency response personnel.	(DOE G 151.1-3, D.4.6, P/E11.21.b)
Lines of Inquiry		
	<ul style="list-style-type: none"> Do offsite emergency response personnel have the same modeling programs as the site? 	
	<ul style="list-style-type: none"> If not how are they different? 	
	<ul style="list-style-type: none"> Does the difference lead to different analysis regarding protective actions? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review emergency plan for roles and responsibilities for consequence assessment. 	
	<ul style="list-style-type: none"> Review emergency implementing procedures for initial consequence assessment, and continuous assessment performance, forms used and field monitoring. 	
	<ul style="list-style-type: none"> Review agreements with offsite interfaces (MOUs, MOAs). 	
	<ul style="list-style-type: none"> Resolve any issues of missing, incomplete or unclear documentation in the interview/observation phases of the assessment. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility for developing procedures regarding consequence assessment. 	
	<ul style="list-style-type: none"> If possible interview local/state interfaces. 	
Observation		
	<ul style="list-style-type: none"> Observe consequence assessment performance in an exercise and/or drill. 	
	<ul style="list-style-type: none"> If possible, observe the local/state EOCs for information exchange. 	
OBJECTIVE		
13.9.	The contractor has establish a program to ensure 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.	[DOE O 151.1C. Attachment 2 (CRD).2.e]
Criterion		
13.9.1.	A formal document control system is implemented during an emergency to record, sequence, validate and track the flow and chronology of information.	(DOE G 151.1-3, D.4.6, P/E11.8)
Lines of Inquiry		
	<ul style="list-style-type: none"> Is a formal document control system in place? 	
	<ul style="list-style-type: none"> Does the document control system allow for recording, sequencing, validating and tracking the flow and chronology of information and decision-making during an emergency? 	(DOE G 151.1-4,6.8)
	<ul style="list-style-type: none"> Does the document control system include consequence assessment documentation (calculation parameters and times, associated calculations, decisions made)? 	(DOE G 151.1-4,6.8)
APPROACH		
Document/Record Review		

13. CONSEQUENCE ASSESSMENT (SITE)		
	<ul style="list-style-type: none"> Review document control system procedure. 	
	<ul style="list-style-type: none"> Review past exercise documentation. 	
	<ul style="list-style-type: none"> Resolve any issues of missing, incomplete or unclear documentation in the interview/observation phases of the assessment. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with responsibility for record management. 	
Observation		
	<ul style="list-style-type: none"> Observe consequence assessment performance in an exercise and/or drill. 	

DRAFT

14. PROTECTIVE ACTIONS AND REENTRY

Performance Goal: 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. [DOE O 151.1C, Attachment 2 (CRD).14.]

1. Objective: DOE/NNSA facilities - Develop procedures to implement the separate protective actions of evacuation and sheltering of employees. [DOE O 151.1C, Attachment 2 (CRD), 14.a.(1)]
2. Objective: DOE/NNSA facilities must develop a procedure to account for employees after an emergency evacuation has been completed. [DOE O 151.1C, Attachment 2 (CRD).14.a(2)]
3. Objective: DOE/NNSA facilities must ensure protection of workers covered by 29 CFR 1910.120, involved in response and clean up. [DOE O 151.1C, Attachment 2 (CRD).14.a(3)]
4. Objective: DOE/NNSA Operational Emergency Hazardous Materials Program facilities must also predetermine protective actions for onsite personnel and the public. [DOE O 151.1C, Attachment 2 (CRD), 14.b.]
5. Objective: DOE/NNSA Operational Emergency Hazardous Material Program facilities must also predetermine protective actions for onsite personnel and the public, and must include methods for controlling, monitoring, and maintaining records of personnel exposure to hazardous materials. [DOE O 151.1C, Attachment 2 (CRD) 14.b.(1).]
6. Objective: DOE/NNSA Operational Emergency Hazardous Material Program facilities must also predetermine protective actions for onsite personnel and the public, and must include procedures to implement the separate protective actions of evacuation and sheltering of employees. [DOE O 151.1C, Attachment 2 (CRD).14.b.(2)]
7. Objective: DOE/NNSA Operational Emergency Hazardous Material Program facilities must also predetermine protective actions for onsite personnel and the public, and must include methods for controlling access to contaminated areas and for decontaminating personnel or equipment exiting the area. [DOE O 151.1C, Attachment 2 (CRD).14.b.(3)]
8. Objective: DOE/NNSA Operational Emergency Hazardous Material Program facilities must also predetermine protective actions for onsite personnel and the public, and must include actions that may be taken to increase the effectiveness of the protective actions (i.e., HVAC shutdown during sheltering). [DOE O 151.1C, Attachment 2 (CRD).14.b.(4)]
9. Objective: DOE/NNSA Operational Emergency Hazardous Material Program facilities must also predetermine protective actions for onsite personnel and the public, and must include methods for providing timely recommendations to appropriate State, Tribal, or local authorities of protections, such as sheltering, evacuation, relocation, and food control. [DOE O 151.1C, Attachment 2 (CRD).14.b.(5)]

OBJECTIVE		
14.1	<u>DOE/NNSA facilities</u> must develop procedures to implement the separate protective actions of evacuation and sheltering of employees.	DOE O 151.1C, Attachment 2 (CRD), 14.a.(1)
Criterion		
14.1.1	Identify the purpose and intended use of protective actions and describe protective actions used at the facility/site or activity and under what circumstances they are implemented.	DOE G 151.1-3, 8.
Lines of Inquiry		

14. PROTECTIVE ACTIONS AND REENTRY		
	Do procedures implement the separate protective actions for evacuation and sheltering and under what circumstances they are implemented?	
	Are ERO positions established for determining, recommending, and implementing protective actions?	DOE G 151.1-4, 7.3.1
	Do protective actions reflect a conservative assessment of the level of health effect and extent of potentially affected/impacted area and population?	DOE G 151.1-3, P/E12.3
	Does emergency evacuation for site personnel address route selection and relocation? <ul style="list-style-type: none"> • Are evacuation routes selected and logistical details identified? • Are there multiple evacuation egress routes that provide options based upon release type and wind direction? • Do evacuation routes avoid hazards, are they familiar to site personnel, and are they coordinated with offsite authorities? • Is the reception/relocation center sufficient to accommodate the expected number of personnel? • Are adequate personnel assigned to control evacuees and are they kept aware of changes in onsite protective action modifications? 	DOE G 151.1-3, P/E12.12
	Is there a process for lifting or modifying protective actions?	
Criterion		
14.1.2	The notification and implementation of onsite PAs and notification of offsite PARs are made in a timely, efficient, and unambiguous manner confirmed and monitored by the ERO.	DOE G 151.1-3, P/E12.4
Lines of Inquiry		
	Do communication systems allow rapid communication of protective actions to all affected workers?	DOE G 151.1-4, 7.3.4
	Are there methods to ensure affected workers have been warned and are implementing protective actions?	DOE G 151.1-4, 7.3.4
Criterion		
14.1.3	Onsite PA decision-making is coordinated with site organizations such as security and safety.	DOE G 151.1-3, P/E12.10
Lines of Inquiry		
	Are security and law enforcement measures implemented during a physical attack that impacts worker and responder access and egress (e.g., lockdown) coordinated with emergency management and site security?	DOE G 151.1-3, P/E12.10, a
	Is the identification of necessary PPE coordinated with emergency management and safety professions, including industrial safety, industrial hygiene, health physics, and fire protection engineering?	DOE G 151.1-3, P/E12.10, b
APPROACH		
Document/Record Review		
	Site/facility emergency plan(s)	
	Site/facility implementing procedures regarding the criteria	
	ERO procedures associated with protective actions actions	
	Procedures/job aids related to systems used to issue protective actions	
Interview		

14. PROTECTIVE ACTIONS AND REENTRY		
	Individual(s) responsible for development of implementing procedures related to protective actions	
	Individual(s) responsible for determining, issuing, reviewing/modifying, and lifting protective actions	
	Individual(s) responsible for using systems to communicate protective actions to affected workers	
	Facility level individual(s) who would be required to take protective actions when issued	
Observation		
	Exercise (may be limited scope performance test) involving individual(s) responsible for the determination of protective actions to be implemented	
	Exercise involving affected workers taking protective actions	
OBJECTIVE		
14.2	DOE/NNSA facilities must develop a procedure to account for employees after an emergency evacuation has been completed.	DOE O 151.1C, Attachment 2 (CRD).14.a(2)
Criterion		
14.2.1	Accountability of site personnel is conducted following emergency evacuations.	DOE G 151.1-3, P/E12.13
Lines of Inquiry		
	Are individuals assigned and trained to assume and carry out responsibilities for building or facility accountability in the event of personnel evacuation?	DOE G 151.1-3, P/E12.13, a.
	Are accountability processes based upon facility hazards	
	Is accountability continued to support ongoing search and rescue activities following an emergency evacuation?	DOE G 151.1-3, P/E12.13, c.
Criterion		
14.2.2	Is initial accounting for all evacuated personnel completed in a timely manner to support initial search and rescue activities?	DOE G 151.1-3, P/E12.13, b.
Lines of Inquiry		
	Has a goal been established for the time required to conduct accountability? A timeframe of 30-45 minutes is an accepted industry practice.	DOE G 151.1-4, 7.3.8
	Has a goal been established for each facility to conduct accountability consistent with the facility hazards? A goal of 30 minutes for full accountability should be met in areas where workers might be subject to risk of death or serious injury and where search and rescue operations might pose a significant risk to emergency personnel.	DOE G 151.1-4, 7.3.8
APPROACH		
Document/Record Review		
	Site/facility emergency plan(s)	
	Site/facility implementing procedures regarding accountability	
	ERO procedures associated with accountability	
Interview		
	Facility-level individual(s) responsible for conducting accountability	
	Facility-level occupant who would be required to participate in the accountability process	
	ERO members with responsibilities associated with accountability	
Observation		

14. PROTECTIVE ACTIONS AND REENTRY		
	Drill or exercise involving affected workers performing accountability following emergency evacuation	
OBJECTIVE		
14.3	DOE/NNSA facilities must ensure protection of workers covered by 29 CFR 1910.120, involved in response and clean up.	DOE O 151.1C, Attachment 2 (CRD).14.a(3)
Criterion		
14.3.1	Reentry activities are performed safely and efficiently, with specific team composition (e.g., minimum of one medically trained member) and equipment that accomplishes the mission.	DOE G 151.1-3, P/E12.24.
Lines of Inquiry		
	Is the reentry and approval of extended dose or exposure limits within the authority and responsibility of the ED.	DOE G 151.1-3, P/E12.22
	Do facility personnel estimate exposure to hazardous materials to protect workers and the public during reentry and recovery activities?	DOE G 151.1-3, P/E12.23
	Does reentry planning addresses the following? <ul style="list-style-type: none"> • 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, and communications during reentry • Record keeping • Provisions for backup to every reentry 	DOE G 151.1-3, P/E12.25
	Does reentry planning include contingency planning to ensure the safety of reentry personnel, such as planning for the rescue of reentry teams?	DOE G 151.1-3, P/E12.26
	Does the reentry plan include a hazards/safety briefing, consistent with Federal, Tribal, State, and local laws and regulations, for all individuals involved in reentry?	DOE G 151.1-3, P/E12.26
	Are exposure criteria established and available for each type of reentry activity, including search and rescue, and repair? 10 CFR 835, Subpart N, limits are observed for radiological events, such as lifesaving, protection of health and property, and recovery of deceased.	DOE G 151.1-3, P/E12.27
	Are volunteers used for high risk situations?	DOE G 151.1-3, P/E12.27
	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?	DOE G 151.1-3, P/E12.28
Criterion		
14.3.2	All emergency response activities, including search and rescue, incident mitigation, field monitoring, and reentry, are planned and controlled with a focus on health and safety of emergency responders within pre-planned protective action exposure guidelines.	DOE G 151.1-3, P/E12.1
Lines of Inquiry		

14. PROTECTIVE ACTIONS AND REENTRY		
	Are there 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?	DOE G 151.1-3, P/E12.14
	Is an individual(s) assigned responsibility for controlling access to and response activities within areas where hazardous material contamination might be encountered?	DOE G 151.1-4, 7.4.4
Criterion		
14.3.3	Habitability of onsite facilities, including emergency facilities, is periodically determined using dosimetry and survey instruments, and relocation/evacuation measures are taken, if necessary.	DOE G 151.1-3, P/E12.15
Lines of Inquiry		
	Is the habitability of the command post periodically assessed, and moved, as necessary, when a hazardous environment challenges the safety of the staff?	DOE G 151.1-4, 1.7.1
	Does incident command staff ensure that the response personnel take necessary precautions for personal safety and contamination control, as follows? <ul style="list-style-type: none"> Incident command staff establishes a staging area where arriving asset personnel are briefed, communications are checked, special equipment is issued, and the assets are deployed upon request. Asset personnel being released are debriefed, personnel are accounted for, personnel and equipment are surveyed for contamination and decontaminated as necessary, and issued equipment is returned. 	DOE G 151.1-3, P/E33.10 DOE G 151.1-3, P/E33.10, a. DOE G 151.1-3, P/E33.10, b.
APPROACH		
Document/Record Review		
	Site/facility emergency plan	
	Incident Command procedures related to each criterion	
	ERO procedures related to each criterion	
	Facility level documents that address reentry planning	
Interview		
	Individual(s), such as those who serve as Incident Commanders, responsible for directing response personnel	
	Individual(s) responsible for providing safety support to responding personnel	
	ERO members who perform monitoring activities for Incident Command Post location and responders	
	Individuals with responsibility for planning, coordinating, and authorizing reentry	
	Individuals who participate on reentry teams	
Observation		
	Drill or exercise involving response to a spill or release of hazardous materials where the activities addressed by the criteria are performed	
OBJECTIVE		
14.4	<u>DOE/NNSA Operational Emergency Hazardous Materials Program facilities must also predetermine protective actions for onsite personnel and the public.</u>	DOE O 151.1C, Attachment 2 (CRD), 14.b.
Criterion		

14. PROTECTIVE ACTIONS AND REENTRY		
14.4.1	Specific protective action criteria, based on the Base Order, paragraph 4a(14), are used to determine protective actions.	DOE O 151.1C, Attachment 2 (CRD), 14.b.(6)
	For radioactive materials, are Protective Action Guides (PAGs), promulgated by the Environmental Protection Agency (EPA), used?	DOE G 151.1-3, P/E12.2, a
	For toxic chemicals, are PACs, in order of preference, used? The preferred order is: Acute Exposure Guideline Levels (AEGLs), promulgated by the EPA; Emergency Response Planning Guidelines (ERPGs), published by the American Industrial Hygiene Association; and Temporary Emergency Exposure Limits (TEELs), developed by DOE.	DOE G 151.1-3, P/E12.2, b
	For hazardous biological materials, are PACs considered exceeded and immediate protective actions implemented for any actual or potential release of agents or toxins outside of secondary containment barriers?	DOE G 151.1-3, P/E12.2, c
	Are initial onsite PAs and offsite PARs linked to facility-specific OE event classification criteria (i.e., EALs).	DOE G 151.1-3, P/E12.5
	Are Initial onsite PAs and offsite PARs linked to facility-specific biological OE event recognition and categorization criteria?	DOE G 151.1-3, P/E12.6
	Are protective actions implemented individually or in combination to reduce exposure to a wide range of hazardous materials?	DOE G 151.1-3, P/E12.7
	Do PARs contain well-defined geographic areas for sheltering and evacuation, special needs areas or special populations, and evacuation routes?	DOE G 151.1-3, P/E12.20
	When appropriate, are ingestion pathway PARs formulated and communicated to offsite authorities?	DOE G 151.1-3, P/E12.21
Criterion		
14.4.2	Modifications to initial protective actions are developed and implemented based on updated and refined data generated from the continuous consequence assessment process.	DOE G 151.1-3, P/E12.8
Lines of Inquiry		
	Once additional information is acquired about the event, including the actual release and status of mitigation activities, are the protective actions and PARs re-evaluated?	DOE G 151.1-4, 7.3.1
	Does this re-evaluation occur throughout the emergency?	
Criterion		
14.4.3	Decision makers consider 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.	DOE G 151.1-3, P/E12.9
Lines of Inquiry		
	Are thyroid blocking agents considered where applicable?	
	Are chemical neutralizing agents considered where applicable?	
	Are water and food intervention levels considered?	
	Are transportation route access controls considered?	
	Is impromptu respiratory protection considered?	

14. PROTECTIVE ACTIONS AND REENTRY		
OBJECTIVE		
14.5	<u>DOE/NNSA Operational Emergency Hazardous Material Program facilities must also predetermine protective actions for onsite personnel and the public, and must include methods for controlling, monitoring, and maintaining records of personnel exposure to hazardous materials.</u>	DOE O 151.1C, Attachment 2 (CRD), 14.b.(1)
Criterion		
14.5.1	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?	DOE G 151.1-3, P/E12.30
Lines of Inquiry		
	Is an individual assigned responsibility to record names of individuals surveyed?	
	Is the extent of any contamination found recorded for each individual?	
	Are the instruments used to monitor for contamination and methods employed documented?	
Criterion		
14.5.2	Records of personnel exposures to hazardous materials (radioactive, chemical, and biological) are effectively controlled, monitored, and maintained.	DOE G 151.1-3, P/E12.29
Lines of Inquiry		
	Are records relating to personnel exposure controlled, monitored, and maintained?	
	Are contaminated individuals scheduled for follow-up actions (e.g., subsequent whole body counts and/or bio-assays)?	DOE G 151.1-3, P/E12.31
APPROACH		
Document/Record Review		
	Incident command procedures related to each criterion	
	Staging area procedures related to each criterion	
	ERO procedures and site medical staff procedures related to each criterion	
Interview		
	Individuals who serve as Incident Commander	
	Individual(s) who serve as Safety Officer	
	Individual(s) who serve at Staging Areas	
	ERO members and medical staff who support activities related to the criteria	
Observation		
	Incident command resources related to each criterion	
	Staging area resources related to each criterion	
	Drill or exercise involving activities associated with the criterion materials	
OBJECTIVE		
14.6	<u>DOE/NNSA Operational Emergency Hazardous Material Program facilities must also predetermine protective actions for onsite personnel and the public, and must include procedures to implement the separate protective actions of evacuation and sheltering of employees.</u> See objective 14.1. This requirement (DOE O 151.1C, Attachment 2 (CRD) 14.b.(1)) is the same as the requirement addressed by objective 14.1, which is based upon DOE O 151.1C, Attachment 2 (CRD) 14.a.(1).	DOE O 151.1C, Attachment 2 (CRD).14.b.(1)
OBJECTIVE		

14. PROTECTIVE ACTIONS AND REENTRY		
14.7	<u>DOE/NNSA Operational Emergency Hazardous Material Program facilities</u> must also predetermine protective actions for onsite personnel and the public, and <u>must include methods for controlling access to contaminated areas and for decontaminating personnel or equipment exiting the area.</u>	DOE O 151.1C, Attachment 2 (CRD).14.b.(3)
Criterion		
14.7.1	Access to and egress from actual or potentially contaminated areas, or the site, is monitored and controlled.	DOE G 151.1-3, P/E12.17
Lines of Inquiry		
	Are people, vehicles, and equipment effectively monitored before leaving contaminated areas and the site, if possible, and also upon arrival at designated decontamination, relocation, or assembly areas?	DOE G 151.1-13, P/E12.17, a.
	Are sufficient staffing and equipment available to activate designated monitoring locations?	DOE G 151.1-3, P/E12.17, b.
	Is monitoring of individuals and equipment conducted at appropriate stages during contamination to ensure that decontamination has been successful?	DOE G 151.1-4, 7.3.9
Criterion		
14.7.2	Do emergency facilities, equipment, and implemented methods and criteria provide effective decontamination of personnel and equipment for various levels and types of contamination (e.g., skin contamination)?	DOE G 151.1-3, P/E12.18
Lines of Inquiry		
	Are the decontamination methods appropriate for the types of contamination and the type of work activities being performed during the response?	DOE G 151.1-4, 7.3.9
	Do procedures provide for disposal of contaminated wash and rinse solutions and contaminated articles in accordance with applicable regulations?	DOE G 151.1-4, 7.3.9
APPROACH		
Document/Record Review		
	Site/facility emergency plan	
	Procedures related to each criterion	
	Incident command procedures related to each criterion	
	Staging area procedures related to the criteria	
	ERO procedures related to the criteria	
Interview		
	ERO members with responsibilities that support the criteria	
	Incident command post staff responsible for performing actions related to each criterion	
	Staging area staff responsible for performing actions related to each criterion	
Observation		
	Command Post resources that support each criterion	
	Staging area resources that support the criteria	
	Drill or exercise involving decontamination	
OBJECTIVE		
14.8	<u>DOE/NNSA Operational Emergency Hazardous Material Program facilities</u> must also predetermine protective actions for onsite personnel and the public, and <u>must include actions that may be taken to increase the effectiveness of the protective actions (i.e., HVAC shutdown during sheltering).</u>	DOE O 151.1C, Attachment 2 (CRD).14.b.(4)
Criterion		

14. PROTECTIVE ACTIONS AND REENTRY		
14.8.1	Actions that may be taken to increase the effectiveness of protective actions (i.e., HVAC shutdown during sheltering) are implemented in a timely and efficient manner.	DOE G 151.1-3, P/E12.16
Lines of Inquiry		
	Do procedures contain actions to take to increase the effectiveness of sheltering, such as the following? <ul style="list-style-type: none"> • Closing windows and doors • Securing ventilation systems • Sealing penetrations with tape or plastic • Sheltering in interior rooms 	DOE G 151.1-4, 7.3.4
	Are sheltered personnel directed to remain in shelter until outside concentrations fall below harmful levels?	DOE G 151.1-4, 7.3.4
Criterion		
14.8.2	The effectiveness and dependability of protective action measures are increased by simple planning/preparedness actions.	DOE G 151.1-4, 7.3.4
Lines of Inquiry		
	Are rooms selected that will provide the most protection during sheltering?	DOE G 151.1-4, 7.3.4
	Are Heating, Ventilation, and Air Conditioning (HVAC) controls identified and labeled?	DOE G 151.1-4, 7.3.4
	Are necessary materials (plastic sheeting, sealants and tape) positioned in the designated shelter rooms?	DOE G 151.1-4, 7.3.4
	Are written instructions provided for use by shelter occupants?	DOE G 151.1-4, 7.3.4
APPROACH		
Document/Record Review		
	Site/facility procedures related to the implementation of protective actions	
	Facility-specific instructions for sheltering-in-place	
Interview		
	Individual responsible for developing and maintaining procedures related to implementation of protective actions	
	Facility individual(s) responsible for taking measures to increase effectiveness of sheltering-in-place	
Observation		
	Resources available to facility individuals responsible for taking measures that increase the effectiveness of sheltering-in-place	
	Exercise involving facility occupants implementing sheltering-in-place protective actions	
OBJECTIVE		
14.9	DOE/NNSA Operational Emergency Hazardous Material Program facilities must also predetermine protective actions for onsite personnel and the public, and <u>must include methods for providing timely recommendations to appropriate State, Tribal, or local authorities of protections, such as sheltering, evacuation, relocation, and food control.</u>	DOE O 151.1C, Attachment 2 (CRD).14.b.(5)
Criterion		
14.9.1	The notification and implementation of onsite PAs and <u>notification of offsite PARs are made in a timely, efficient, and unambiguous manner confirmed and monitored by the ERO.</u>	DOE G 151.1-3, P/E12.4

14. PROTECTIVE ACTIONS AND REENTRY		
Lines of Inquiry		
	Are PARs, such as sheltering, evacuation, relocation, and food control, provided in a timely manner (within 15 minutes of classification) to appropriate Tribal, State, and local authorities?	DOE G 151.1-3, P/E12.19
	Are ERO positions established that are responsible for determining and recommending PARs to offsite authorities?	
	Are 24-hour contacts maintained for the local authorities to whom PARs are provided?	
	Are PARs provided to offsite authorities documented?	
Criterion		
14.9.2	Are candidate PARs coordinated with offsite authorities?	DOE G 151.1-3, P/E12.20
Lines of Inquiry		
	Are candidate PARs based upon results of EPHAs?	
	Are the candidate PARs coordinated with offsite authorities prior to an emergency?	
APPROACH		
Document/Record Review		
	Site/facility emergency plan	
	Procedures and associated job aids related to each criterion	
	Exercise or actual emergency records documenting PARs being provided to offsite authorities	
	Documentation of candidate PARs being coordinated with offsite authorities	
Interview		
	Individual responsible for developing and maintaining procedures and job aids related to each criterion	
	Individual(s) responsible for providing PARs	
Observation		
	Resources (equipment, systems) used to provide PARs to offsite authorities	
	Drill or exercise involving the issuance of PARs to offsite authorities	

15. EMERGENCY MEDICAL SUPPORT		
<p>Performance Goal: Medical support for contaminated and injured personnel must be planned, and promptly and effectively implemented. Arrangements with offsite medical facilities to transport, accept, and treat contaminated and injured personnel must be documented.</p> <ol style="list-style-type: none"> Objective: <u>DOE/NNSA facilities</u> must document and maintain local emergency medical support procedures, capabilities, personnel responsibilities, and equipment and consumables. [DOE O 151.1C, Attachment 2 (CRD), Section 15 and DOE G 151.1-3, D.4.8] Objective: <u>DOE /NNSA facilities</u> must document and maintain site emergency medical support agreements with external facilities and assets. [DOE O 151.1C, Attachment 2 (CRD), Section 15 and DOE G 151.1-3, D.4.8] Objective: <u>DOE /NNSA facilities</u> must demonstrate the ability to perform an effective response to a medical emergency. [DOE O 151.1C, Attachment 2 (CRD), Section 15 and DOE G 151.1-3, D.4.8] Objective: <u>DOE /NNSA facilities</u> must demonstrate the ability to perform effective communications internally and externally in support of medical care for the injured personnel. [DOE O 151.1C, Attachment 2 (CRD), Section 15 and DOE G 151.1-3, D.4.8] 		
OBJECTIVE		
15.1	<u>DOE/NNSA facilities</u> must document and maintain local emergency medical support procedures, capabilities, personnel responsibilities, and equipment and consumables.	DOE O 151.1C, CRD, Section 15; DOE G 151.1-3, Section D.4.8
Criterion		
15.1.1	Emergency medical support procedures are documented, up-to-date and fully implemented.	DOE G 151.1-3, Section D.4.8
Lines of Inquiry		
	Is the procedure approved for use and periodically reviewed?	
	Have the individual positions with responsibilities in the procedure been notified and are they aware of this procedure?	
	Are the procedures sufficient to address the needs of the organization to support emergency medical support of all identified hazards, and realistic scenarios; including cascading casualties, personnel contamination, life-threatening injuries, predictable complications, patient tracking and administration, patient transport, multi-agency response, and mass casualty?	
	Has the organization practiced the procedure sufficient to maintain proficiency?	
	Are appropriate resources dedicated (e.g., personnel, funding, equipment, etc.) to ensure the site can carry out the procedure adequately?	
	Are onsite medical personnel offered information and training on facility-specific hazards? Are they offered opportunities for participation in drills and exercises?	
	Are biosafety surveillance plans for detecting unusual medical events established onsite and are specific responsibilities for surveillance and reporting identified? Are key indicators and medical surveillance baselines for agent & toxin effectively implemented?	
Criterion		
15.1.2	Emergency medical support procedures address personnel responsibilities and authority, as well as medical support capabilities and capacity, lines of communication and equipment and consumable inventory.	DOE G 151.1-3, Section D.4.8

15. EMERGENCY MEDICAL SUPPORT		
Lines of Inquiry		
	Are responsibilities and authorities known by those who hold the positions tasked?	
	Are the personnel tasked with a responsibility trained and proficient in carrying out the responsibility?	
	Do the procedures ensure that in an event involving the release of hazardous biological material, medical personnel assume the role of primary responders? Do medical personnel assist in release detection & confirmation, consequence assessment, and development of protective actions?	
	Is the equipment identified in the procedure on hand, in sufficient quantity, having sufficient capability, in working order, and properly calibrated and maintained?	
	Are the consumables in the procedure on hand, in sufficient quantity, having sufficient capability, stored appropriately, in working order and not expired?	
	Do responders have immediate access to the equipment and consumables identified in the procedure?	
	Are onsite and offsite medical coordination and communications systems compatible and effective?	
	Are procedures in place in facilities that allow rapid and effective communications among public health officials, emergency rooms, law enforcement, and emergency management officials about unusual chemical, explosive, biological, nuclear or radiological events?	
Criterion		
15.1.3	Emergency medical support procedures are readily available to responders.	DOE G 151.1-3, Section D.4.8
Lines of Inquiry		
	Are the emergency procedures immediately available to responders and to those with specific identified responsibilities and authorities?	
	Do responders know where the procedures are stored?	
APPROACH		
While many aspects of planning, preparation, mitigation, response and recovery specific to emergency medical support can be adequately evaluated by emergency management experts, significant value is added by involving a credentialed medical provider on the assessment team to answer questions, provide subject matter expertise and liaise with the local medical professional community.		
Document/Record Review		
	The site/facility emergency management plan and implementing procedures for content related to emergency medical support, which includes personnel decontamination, and overall compliance with these criteria.	
	The drill and exercise plans and records, including MSEL, timeline, and message injects, for compliant emergency medical support activities, including logs, message traffic, memoranda, notifications, and reporting.	
	Any records of actual events that involve emergency medical support including logs, message traffic, memoranda, notifications, and reporting for compliance with these objectives and criteria.	
	Training courses and records for satisfactory content and completion by personnel with responsibilities for emergency medical support coordination and operations, including incident investigation and root cause analysis training.	

15. EMERGENCY MEDICAL SUPPORT		
	Memoranda with offsite response organizations having a response role in operational emergencies to ensure emergency medical support coordination, support and communication planning is addressed.	
Interview		
	Individuals assigned to be Emergency Directors during drills, exercises, and actual events. Ensure they understand their responsibilities for each criterion.	
	The training program manager and exercise program manager to verify documentation for each criterion.	
	The emergency management program manager to confirm their understanding of the overall programmatic and response goals associated with emergency medical support.	
	Any contractor staff identified as support in the development of drills and exercise plans to ensure their understanding of the objectives and criteria related to emergency medical support.	
	If available, cognizant medical authorities at site and offsite medical facilities (e.g., fire department's Chief of Emergency Medical Services, the local medical treatment facility's Director of Emergency Medicine, Emergency Manager, or Director of Healthcare Administration, etc.) that are included in the site emergency plan to ensure the first responder's and medical facility's common understanding of the sites hazards, potential contaminants and emergency medical support planning needs to meet each criterion.	
Observation		
	<p>If the evaluation of this CRAD is coincident with site drill or exercise activity, consider seeking the opportunity to officially observe its conduct, including seeking any available opportunities to observe exercise organization training/briefings, ERO management operations, hot wash activities, and post-activity briefings and discussions.</p> <ul style="list-style-type: none"> • Efforts should be made by exercise coordinators to request a medical treatment evaluator from participating medical support assets. • Additionally, exercise coordinators should seek permission from the medical facility to participate in their debrief meetings if they participated in the exercise. • Evaluator comments and recommendations directed solely at a medical facility should not be included in DOE reports unless the facility is owned or operated by the DOE, another federal agency or DOE contractors. 	
OBJECTIVE		
15.2	DOE /NNSA facilities must document and maintain site emergency medical support agreements with external facilities and assets.	DOE O 151.1C, CRD, Section 15; DOE G 151.1-3, Section D.4.8
Criterion		
15.2.1	Emergency medical support agreements are documented, up-to-date, and fully implemented.	DOE G 151.1-3, Section D.4.8
Lines of Inquiry		

15. EMERGENCY MEDICAL SUPPORT		
	Is the agreement approved for use by all participating parties and periodically reviewed by all parties?	
	Are the agreements sufficient to address the needs of each organization to support emergency medical support of all identified hazards, and realistic scenarios; including cascading casualties, personnel contamination, life-threatening injuries, patient tracking and administration, patient transport, multi-agency response, predictable complications and mass casualty?	
	Have the individual positions with responsibilities in the agreement been notified and are they aware of this agreement?	
	Has the organization practiced with the parties to the agreement sufficient to maintain proficiency and efficient coordination?	
	Are appropriate resources dedicated (e.g., personnel, funding, equipment, etc.) to ensure all parties can carry out their portion of the agreement adequately?	
	Are onsite and offsite medical coordination and communications systems compatible and effective?	
	Are onsite and offsite medical support services and capabilities effectively integrated?	
	Are onsite and offsite medical personnel offered information and training on facility-specific hazards? Are they offered opportunities for participation in drills and exercises?	
	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 biosafety facility?	
Criterion		
15.2.2	Emergency medical support agreements are readily available to responders.	DOE G 151.1-3, Section D.4.8
Lines of Inquiry		
	Are the support agreements immediately available to responders and to those with specific identified responsibilities and authorities?	
	Do responders know where the agreements are stored?	
APPROACH		
While many aspects of planning, preparation, mitigation, response and recovery specific to emergency medical support can be adequately evaluated by emergency management experts, significant value is added by involving a credentialed medical provider on the assessment team to answer questions, provide subject matter expertise and liaise with the local medical professional community.		
Document/Record Review		
	The site/facility emergency management plan and implementing procedures for content related to emergency medical support, which includes personnel decontamination, and overall compliance with these criteria.	
	The drill and exercise plans and records, including MSEL, timeline, and message injects, for compliant emergency medical support activities, including logs, message traffic, memoranda, notifications, and reporting.	
	Any records of actual events that involve emergency medical support including logs, message traffic, memoranda, notifications, and reporting for compliance with these objectives and criteria.	

15. EMERGENCY MEDICAL SUPPORT		
	Training courses and records for satisfactory content and completion by personnel with responsibilities for emergency medical support coordination and operations, including incident investigation and root cause analysis training.	
	Memoranda with offsite response organizations having a response role in operational emergencies to ensure emergency medical support coordination, support and communication planning is addressed.	
Interview		
	Individuals assigned to be Emergency Directors during drills, exercises, and actual events. Ensure they understand their responsibilities for each criterion.	
	The training program manager and exercise program manager to verify documentation for each criterion.	
	The emergency management program manager to confirm their understanding of the overall programmatic and response goals associated with emergency medical support.	
	Any contractor staff identified as support in the development of drills and exercise plans to ensure their understanding of the objectives and criteria related to emergency medical support.	
	If available, cognizant medical authorities at site and offsite medical facilities (e.g., fire department’s Chief of Emergency Medical Services, the local medical treatment facility’s Director of Emergency Medicine, Emergency Manager, or Director of Healthcare Administration, etc.) that are included in the site emergency plan to ensure the first responder’s and medical facility’s common understanding of the sites hazards, potential contaminants and emergency medical support planning needs to meet each criterion.	
Observation		
	<p>If the evaluation of this CRAD is coincident with site drill or exercise activity, consider seeking the opportunity to officially observe its conduct, including seeking any available opportunities to observe exercise organization training/briefings, ERO management operations, hot wash activities, and post-activity briefings and discussions.</p> <ul style="list-style-type: none"> • Efforts should be made by exercise coordinators to request a medical treatment evaluator from participating medical support assets. • Additionally, exercise coordinators should seek permission from the medical facility to participate in their debrief meetings if they participated in the exercise. • Evaluator comments and recommendations directed solely at a medical facility should not be included in DOE reports unless the facility is owned or operated by the DOE, another federal agency or DOE contractors. 	
OBJECTIVE		
15.3	<u>DOE /NNSA facilities</u> must demonstrate the ability to perform an effective response to a medical emergency.	DOE O 151.1C, CRD, Section 15; DOE G 151.1-3, Section D.4.8
Criterion		

15. EMERGENCY MEDICAL SUPPORT		
15.3.1	Demonstrate the ability to identify all injured personnel, the severity of injuries and complicating circumstances at the scene (e.g., hazardous contaminants, blocked primary casualty egress path, life threatening injuries, specific scene hazards, mass casualty, etc.).	DOE G 151.1-3, Section D.4.8
Lines of Inquiry		
	Were all injured personnel at the scene identified and prioritized by injury severity in a timely manner?	
	Were all applicable complicating circumstances identified by the initial responders and were special precautions and necessary actions taken by the responder to inform and protect the safety of others already in the area or responding to the scene?	
	Did the actions of the initial responder, or others in the area of the initial casualty scene, complicate the response and recovery unnecessarily?	
Criterion		
15.3.2	Demonstrate the ability to accurately report the casualty, conditions at the scene, and the complicating circumstances to the appropriate authorities in a timely manner to initiate the appropriate emergency response.	DOE G 151.1-3, Section D.4.8
Lines of Inquiry		
	Was the initial casualty report concise, accurate, and to an authority with the ability to initiate the appropriate organizational response?	
	Were follow-up casualty reports concise, accurate, and effectively contribute to the operational awareness of responders?	
	Were applicable communication devices, relied upon by the emergency medical support procedures, in working order and effective for addressing the medical emergency?	
	Was the language and terminology used during medical emergency communication understood by the responders enough to ensure the appropriate actions were taken with very little confusion and in a timely manner?	
Criterion		
15.3.3	Demonstrate the ability to execute the appropriate level of emergency medical response commensurate with the needs of the emergency.	DOE G 151.1-3, Section D.4.8
Lines of Inquiry		
	Was the medical response at the scene commensurate with the emergency reported (i.e., minor injury, contaminated-injured person, life-threatening injury or mass casualty)?	
	Was the medical response limited to the essential resources to prevent unnecessarily draining resources from external partners (i.e., did three ambulances show up for one injured person, or was a certified physician dispatched to attend to a minor abrasion rather than an EMT or nurse)?	
	Were onsite radiation protection, industrial hygiene, and infectious disease specialist properly equipped to assist first responders and medical professionals in performing patient survey, decontamination, contamination and exposure control, urine and fecal analysis, and in-vivo counting methods?	
	Did the onsite and offsite responders use required supplies and equipment properly for assessing patient conditions, including personal protection equipment?	

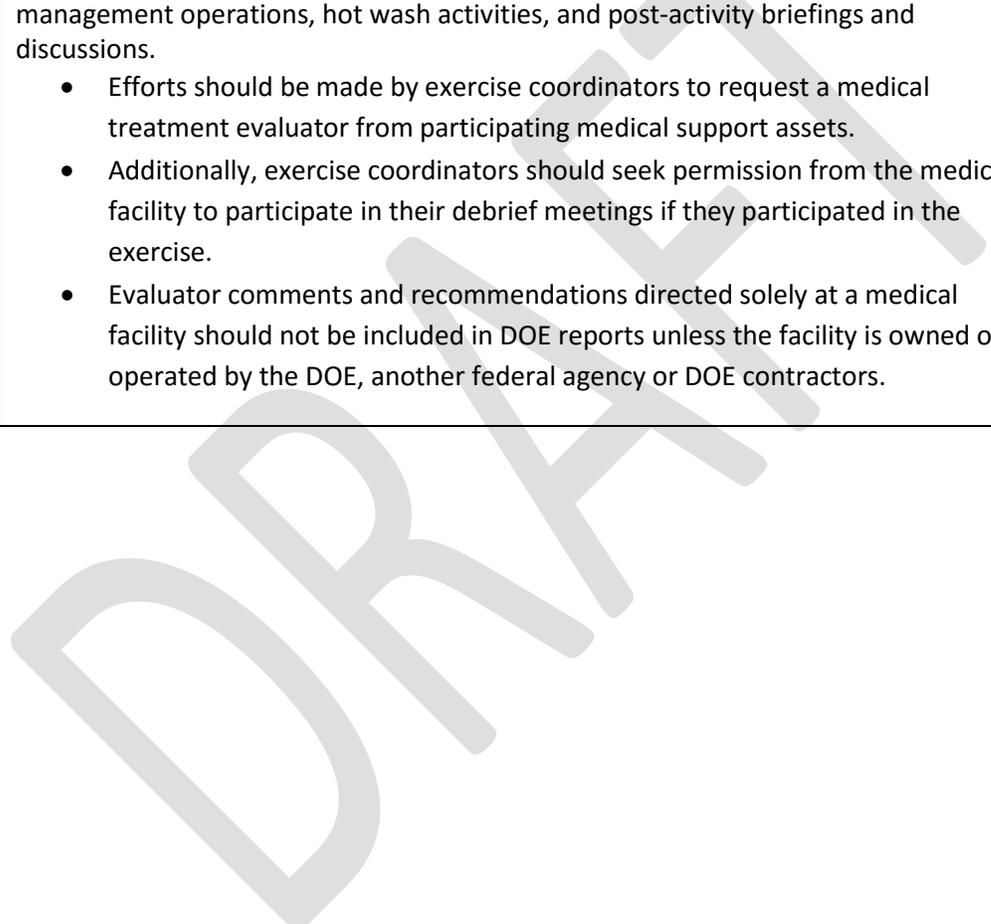
15. EMERGENCY MEDICAL SUPPORT		
	Were the responding assets (e.g., personnel, vehicles, facilities, supplies and equipment) adequate for treating and transporting injured, contaminated, or exposed individuals in a safe and effective manner?	
Criterion		
15.3.4	Demonstrate the ability to perform actions necessary to remove personnel from a hazardous scene, and prepare injured personnel for transportation to medical treatment facilities in a timely manner.	DOE G 151.1-3, Section D.4.8
Lines of Inquiry		
	Was an area established to evacuate personnel with life-threatening injuries separate from an area to control the scene hazards (e.g., contamination, radiation exposure, etc.), if applicable?	
	Were injured persons given egress priority in accordance with the severity of injury and prior to contaminated and uninjured personnel?	
	Were on-scene personnel decontamination efforts, prior to transportation to a medical receiving facility, commensurate with the health hazard of contamination and the risk of spreading contamination?	
	Was the injured person transported in a timely manner, commensurate with the severity of the injury?	
	Was the injured person transported to the receiving facility best equipped to provide the appropriate level of care for the patient's condition?	
	Were subject matter experts available to provide exposure counseling to medical first responders prior to, during, and after transport of a contaminated individual to minimize the risk of a delay in treatment or transport?	
Criterion		
15.3.5	Personnel with life-threatening injuries are immediately attended to and transported to a medical treatment receiving facility as soon as practical regardless of administrative barriers (i.e., security clearance of responders) and nonlife-threatening hazards (i.e., movement through radiation fields or low level hazardous material contamination).	DOE G 151.1-3, Section D.4.8
Lines of Inquiry		
	Did the first responders correctly identify the injury as life-threatening or nonlife-threatening?	
	If the injury was life-threatening, was there an unnecessary delay in treatment or transport due to administrative barriers or nonlife-threatening hazards?	
	If the injury and hazardous contamination were both life-threatening, were appropriate measures taken to protect the lives of responders prior to treatment, decontamination and transport?	
Criterion		
15.3.6	Personnel decontamination, when applicable, is completed in a timely manner commensurate with the health threat of the contaminant, the contamination is appropriately controlled to prevent spread to uncontrolled areas, and appropriate steps are taken to decontaminate wounds prior to closing the wound.	DOE G 151.1-3, Section D.4.8
Lines of Inquiry		
	Did the site take responsibility for control and removal of contaminated material in offsite facilities, vehicles and other areas?	

15. EMERGENCY MEDICAL SUPPORT		
	Were appropriate measures taken to control the spread of contamination? Was there a spread of contamination to an uncontrolled area that was reasonably preventable?	
	Was contamination appropriately removed from skin and wounds prior to closing the wound or releasing the patient from care? Was there a spread of contamination to a wound that was reasonably preventable?	
	Was contamination removed and controlled in a timely manner to reduce exposure of patients and responders to as low as reasonably achievable?	
	Were contaminated or potentially contaminated liquids, supplies and equipment appropriately controlled and disposed of?	
	Were reasonable efforts made to mitigate the contamination of a medical facility to prevent the unnecessary long term loss of the medical facility as an asset for ongoing or future emergencies?	
APPROACH		
While many aspects of planning, preparation, mitigation, response and recovery specific to emergency medical support can be adequately evaluated by emergency management experts, significant value is added by involving a credentialed medical provider on the assessment team to answer questions, provide subject matter expertise and liaise with the local medical professional community.		
Document/Record Review		
	The site/facility emergency management plan and implementing procedures for content related to emergency medical support, which includes personnel decontamination, and overall compliance with these criteria.	
	The drill and exercise plans and records, including MSEL, timeline, and message injects, for compliant emergency medical support activities, including logs, message traffic, memoranda, notifications, and reporting.	
	Any records of actual events that involve emergency medical support including logs, message traffic, memoranda, notifications, and reporting for compliance with these objectives and criteria.	
	Training courses and records for satisfactory content and completion by personnel with responsibilities for emergency medical support coordination and operations, including incident investigation and root cause analysis training.	
	Memoranda with offsite response organizations having a response role in operational emergencies to ensure emergency medical support coordination, support and communication planning is addressed.	
Interview		
	Individuals assigned to be Emergency Directors during drills, exercises, and actual events. Ensure they understand their responsibilities for each criterion.	
	The training program manager and exercise program manager to verify documentation for each criterion.	
	The emergency management program manager to confirm their understanding of the overall programmatic and response goals associated with emergency medical support.	
	Any contractor staff identified as support in the development of drills and exercise plans to ensure their understanding of the objectives and criteria related to emergency medical support.	

15. EMERGENCY MEDICAL SUPPORT		
	If available, cognizant medical authorities at site and offsite medical facilities (e.g., fire department’s Chief of Emergency Medical Services, the local medical treatment facility’s Director of Emergency Medicine, Emergency Manager, or Director of Healthcare Administration, etc.) that are included in the site emergency plan to ensure the first responder’s and medical facility’s common understanding of the sites hazards, potential contaminants and emergency medical support planning needs to meet each criterion.	
Observation		
	<p>If the evaluation of this CRAD is coincident with site drill or exercise activity, consider seeking the opportunity to officially observe its conduct, including seeking any available opportunities to observe exercise organization training/briefings, ERO management operations, hot wash activities, and post-activity briefings and discussions.</p> <ul style="list-style-type: none"> • Efforts should be made by exercise coordinators to request a medical treatment evaluator from participating medical support assets. • Additionally, exercise coordinators should seek permission from the medical facility to participate in their debrief meetings if they participated in the exercise. • Evaluator comments and recommendations directed solely at a medical facility should not be included in DOE reports unless the facility is owned or operated by the DOE, another federal agency or DOE contractors. 	
OBJECTIVE		
15.4	DOE /NNSA facilities must demonstrate the ability to perform effective communications internally and externally in support of medical care for the injured personnel.	DOE O 151.1C, CRD, Section 15; DOE G 151.1-3, Section D.4.8
Criterion		
15.4.1	Demonstrate the ability to readily and securely transmit relevant personally identifiable information (PII) and protected health information during an emergency response scenario to facilitate the prompt medical treatment of injuries and accurate accountability tracking of the injured.	DOE G 151.1-3, Section D.4.8
Lines of Inquiry		
	Were employee medical records and treatment history readily available and accessible as needed by health care providers?	
	Was 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), coordinated in advance?	
	Is there an information system installed at biosafety facilities for patient monitoring, management, and tracking?	
	Was exposure and contamination information sent with victims?	
	Was expert technical assistance available to the medical receiving facility?	
	Did the site demonstrate the ability to communicate and coordinate with medical assets and facilities to accurately track the status and location of injured personnel in the event of a mass casualty?	

15. EMERGENCY MEDICAL SUPPORT		
Criterion		
15.4.2	Demonstrate the ability to control access to documents and communications involving PII and HIPAA protected information during an emergency response scenario.	DOE G 151.1-3, Section D.4.8
Lines of Inquiry		
	Did the site limit access to PII and HIPAA protected information (e.g., documents and communications) to those individuals with a need to know?	
	Was PII and HIPAA protected information transmitted securely and in a timely manner, commensurate with the situation, between onsite and offsite facilities?	
APPROACH		
While many aspects of planning, preparation, mitigation, response and recovery specific to emergency medical support can be adequately evaluated by emergency management experts, significant value is added by involving a credentialed medical provider on the assessment team to answer questions, provide subject matter expertise and liaise with the local medical professional community.		
Document/Record Review		
	The site/facility emergency management plan and implementing procedures for content related to emergency medical support, which includes personnel decontamination, and overall compliance with these criteria.	
	The drill and exercise plans and records, including MSEL, timeline, and message injects, for compliant emergency medical support activities, including logs, message traffic, memoranda, notifications, and reporting.	
	Any records of actual events that involve emergency medical support including logs, message traffic, memoranda, notifications, and reporting for compliance with these objectives and criteria.	
	Training courses and records for satisfactory content and completion by personnel with responsibilities for emergency medical support coordination and operations, including incident investigation and root cause analysis training.	
	Memoranda with offsite response organizations having a response role in operational emergencies to ensure emergency medical support coordination, support and communication planning is addressed.	
Interview		
	Individuals assigned to be Emergency Directors during drills, exercises, and actual events. Ensure they understand their responsibilities for each criterion.	
	The training program manager and exercise program manager to verify documentation for each criterion.	
	The emergency management program manager to confirm their understanding of the overall programmatic and response goals associated with emergency medical support.	
	Any contractor staff identified as support in the development of drills and exercise plans to ensure their understanding of the objectives and criteria related to emergency medical support.	

15. EMERGENCY MEDICAL SUPPORT		
	<p>If available, cognizant medical authorities at site and offsite medical facilities (e.g., fire department’s Chief of Emergency Medical Services, the local medical treatment facility’s Director of Emergency Medicine, Emergency Manager, or Director of Healthcare Administration, etc.) that are included in the site emergency plan to ensure the first responder’s and medical facility’s common understanding of the sites hazards, potential contaminants and emergency medical support planning needs to meet each criterion.</p>	
Observation		
	<p>If the evaluation of this CRAD is coincident with site drill or exercise activity, consider seeking the opportunity to officially observe its conduct, including seeking any available opportunities to observe exercise organization training/briefings, ERO management operations, hot wash activities, and post-activity briefings and discussions.</p> <ul style="list-style-type: none"> • Efforts should be made by exercise coordinators to request a medical treatment evaluator from participating medical support assets. • Additionally, exercise coordinators should seek permission from the medical facility to participate in their debrief meetings if they participated in the exercise. • Evaluator comments and recommendations directed solely at a medical facility should not be included in DOE reports unless the facility is owned or operated by the DOE, another federal agency or DOE contractors. 	



16. EMERGENCY PUBLIC INFORMATION		
<p>Performance Goal: Accurate, candid, and timely information is provided to workers, the news media, and the public during an emergency to establish facts and avoid speculation. Emergency public information efforts are coordinated with DOE and NNSA (if appropriate); State, local, and Tribal governments; and Federal emergency response organizations, as appropriate. Workers and the public are informed of emergency plans and planned protective actions before emergencies. [DOE O 151.1C, Attachment 2 CRD, 16.]</p>		
<ol style="list-style-type: none"> 1. Emergency Public Information (EPI) Plan [DOE O 151.1C, Attachment 2 CRD, 16.a.] 2. Joint Information Center (JIC) [DOE O 151.1C, Attachment 2 CRD, 16.b.] 3. Communications [DOE O 151.1C, Attachment 2 CRD, 16.] 4. News Releases/Public Statements [DOE O 151.1C, Attachment 2 CRD, 16.a.(7)] 5. Federal Asset Support [DOE O 151.1C, Attachment 2 CRD, 16.c.] 		
OBJECTIVE 16.1: Emergency Public Information (EPI) Plan		
16.1	The contractor at all DOE/NNSA facilities must prepare an Emergency Public Information (EPI) plan. The same plan can cover multiple facilities on a site. (1) The plan must provide- (a) Identification of personnel, resources, facilities, and coordination procedures necessary to provide emergency public information.	DOE O 151.1C, Attachment 2 CRD, 16.a(1)(a).; DOE G 151.1-4, Ch. 9, 9.2
Criterion		
16.1.1	The EPI plan must provide coordination of public information efforts with State, Local, and Tribal governments, and Federal emergency response plans, as appropriate.	DOE O 151.1C, Attachment 2 CRD, 16.a(1)(d)
Lines of Inquiry		
	Is the EPI program integrated with facility/site emergency management program plans and procedures?	DOE G 151.1-3, App. D, D.4.9, P14.26
	Are internal and external organizational relationships for EPI documented and maintained in the public information program?	DOE G 151.1-3, App. D, D.4.9, P14.30
	Is a list of 24-hour media points-of-contact available and maintained current?	DOE G 151.1-3, App. D, D.4.9, P14.31
Criterion		
16.1.2	The EPI program must have provisions in place to establish a media center. A media center is a designated location where the DOE/NNSA Cognizant Field Element and contractor personnel can conduct the necessary briefings and press conferences regarding an OE at the facility.	DOE O 151.1C, Attachment 2 CRD, 16.a.(2); DOE G 151.1-3, App. D, D.4.9, P14.24
Lines of Inquiry		
	Do functions of the EPI during an OE response include information collection, coordination, production, dissemination, and monitoring and analysis of media coverage, public concerns, and information needs?	DOE G 151.1-3, App. D, D.4.9, P/E14.4a.
	Are functions and staffing consistent with the nature, severity, duration, and public and media perception of the event or condition?	DOE G 151.1-3, App. D, D.4.9, P/E14.4b.
	Is EPI staff proactive in obtaining emergency information from the facility command center or EOC?	DOE G 151.1-3, App. D, D.4.9, P/E14.7
Criterion		

16. EMERGENCY PUBLIC INFORMATION		
16.1.3	The EPI plan must provide a program for training and exercises of personnel who will interact with the media.	DOE O 151.1C, Attachment 2 CRD, 16.a(1)(b)
Lines of Inquiry		
	Do trained spokespersons provide support in media interface?	DOE G 151.1-3, App. D, D.4.9, P/E14.4c.
	Does a news writer and other trained personnel provide support in media services, public inquiry, media inquiry, management and administrative services, and media monitoring?	DOE G 151.1-3, App. D, D.4.9, P/E14.14.4d.
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> • <i>Site Emergency Public Information Plan and procedures</i> • <i>MOUs/MOAs with offsite agencies</i> • <i>Review agreements with offsite agencies for JIC use</i> • <i>Roster of PI positions</i> • <i>Records of news releases prepared during emergencies/exercises</i> • <i>Training records</i> • <i>Education/information materials shared with employees, public, and media</i> 	
Interview		
	<ul style="list-style-type: none"> • <i>EPI personnel on EPI roster</i> • <i>Person(s) responsible for EPI program/plan</i> 	
Observation		
	<ul style="list-style-type: none"> • <i>EPI performance during drill/exercise at the media information center</i> 	
OBJECTIVE 16.2: Joint Information Center (JIC)		
16.2	The contractor at DOE/NNSA Operational Emergency Hazardous Material Program facilities must also have provisions in place to establish a Joint Information Center (JIC). The JIC must be established, directed, and coordinated by the senior Cognizant Field Element public affairs manager or a designee.	DOE O 151.1C, Attachment 2 CRD, 16.b.
Criterion		
16.2.1	A JIC is a working location, where multiple jurisdictions gather, process and disseminate public information during an emergency. 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.	DOE O 151.1C, Attachment 2 CRD, 16.b.; DOE G 151.1-3, App. D, P/E14.12
Lines of Inquiry		
	For Hazardous Material Program facilities/sites, does the EPI program have provisions to establish a Joint Information Center (JIC), where multiple jurisdictions gather, process, and disseminate public information during an OE?	DOE G 151.1-3, App. D, D.4.9, P14.25
	Is the designated JIC location available, equipped, maintained, and controlled to accommodate members of the news media, DOE, contractor, and offsite agency representatives?	DOE G 151.1-3, App. D, D.4.9, P/E14.11a.
	Is the designated JIC location able to facilitate the preparation and coordination of emergency information release to the public through the news media?	DOE G 151.1-3, App. D, D.4.9, P/E14.11a.
	Does the designated JIC location provide adequate space, equipment, communications lines, security provisions, and information resources to accommodate personnel (both media and staff) and to accomplish required functions?	DOE G 151.1-3, App. D, D.4.9, P/E14.11b.
	Are personnel assigned to the JIC to provide support in media services, public inquiry, media inquiry, JIC management, administrative activities, and media monitoring?	DOE G 151.1-3, App. D, D.4.9, P/E14.12c.

16. EMERGENCY PUBLIC INFORMATION		
	Does the JIC support response to public inquiries in a timely manner?	DOE G 151.1-3, App. D, D.4.9, P/E14.12d.
	Does the JIC have provisions in place to detect, correct, and control rumors and misinformation?	DOE G 151.1-3, App. D, D.4.9, P/E14.12e.
	Is an alternate JIC available in the event that the primary JIC becomes uninhabitable?	DOE G 151.1-3, App. D, D.4.9, P/E14.13
	Is JIC access control adequate and is there a means to readily identify media representatives and staff?	DOE G 151.1-3, App. D, D.4.9, P/E14.14
	Is relevant information prepared concerning affected facilities, emergency plans, hazards, and logistics provide to news media in the JIC?	DOE G 151.1-3, App. D, D.4.9, P/E14.15
	Are appropriate visual aids available and utilized for briefing news media regarding events, impacted areas, consequences and protective actions?	DOE G 151.1-3, App. D, D.4.9, P/E14.16
Criterion		
16.2.2	The JIC must be adequately staffed with personnel trained to serve as spokesperson and news writer. Persons with technical expertise related to the emergency and with spokesperson training must also be assigned to the JIC.	DOE O 151.1C, Attachment 2 CRD, 16.b.; DOE G 151.1-3, App. D, P/E14.12
Lines of Inquiry		
	Is the JIC adequately staffed with personnel trained to serve as spokesperson and news writer?	DOE G 151.1-3, App. D, D.4.9, P/E14.12a.
	Are persons with technical expertise related to the emergency and with spokesperson training assigned to the JIC?	DOE G 151.1-3, App. D, D.4.9, P/E14.12b.
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> • <i>Site Emergency Public Information Plan and procedures</i> • <i>MOUs/MOAs with offsite agencies</i> • <i>Review agreements with offsite agencies for JIC use</i> • <i>Roster of PI positions</i> • <i>Records of news releases prepared during emergencies/exercises</i> • <i>Training records</i> • <i>Education/information materials shared with employees, public, and media</i> 	
Interview		
	<ul style="list-style-type: none"> • <i>EPI personnel on EPI roster</i> • <i>Person(s) responsible for JIC operations</i> • <i>Person(s) who conduct press conferences/media statements</i> 	
Observation		
	<ul style="list-style-type: none"> • <i>EPI performance during drill/exercise at the JIC</i> • <i>EPI press conference</i> 	
OBJECTIVE 16.3: Communications		
16.3	The EPI plan must provide a methodology for informing workers and the public of DOE/NNSA emergency plans and protective actions, before and during emergencies.	DOE O 151.1C, Attachment 2 CRD, 16.a(1)(c)
Criterion		

16. EMERGENCY PUBLIC INFORMATION		
16.3.1	Public and Media Education. Workers and the public are informed of emergency plans and planned protective actions before emergencies.	DOE O 151.1C, Attachment 2 CRD, 16.
Lines of Inquiry		
	Are site personnel informed of emergency response plans, response capabilities, and planned protective actions prior to emergencies?	DOE G 151.1-3, App. D, D.4.9, P14.27
	Is information periodically disseminated to the public, in coordination with Tribal, State, and local governments, 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?	DOE G 151.1-3, App. D, D.4.9, P14.29
	Is continuing education provided to the area news media for the purpose of acquainting media with the facility, management personnel, facility/site hazards, emergency plans and points of contact?	DOE G 151.1-3, App. D, D.4.9, P14.28
Criterion		
16.3.2	Communications with the media and public are timely and responsive to public concerns.	DOE G 151.1-3, App. D, D.4.9, P/E14.6
Lines of Inquiry		
	Is information released to the public through the news media regarding the emergency accurate and relevant?	DOE G 151.1-3, App. D, D.4.9, P/E14.6a.
	Is an initial press statement released as soon as possible, but within one hour of event categorization?	DOE G 151.1-3, App. D, D.4.9, P/E14.6b.
	Are frequency and content of news conferences consistent with information needs of the public and media?	DOE G 151.1-3, App. D, D.4.9, P/E14.6c.
	Are press briefings held with regular frequency and whenever new or breaking information is available concerning emergency conditions, protective actions, or response?	DOE G 151.1-3, App. D, D.4.9, P/E14.6d.
	Are technical briefers utilized and knowledgeable and effective in communicating with the news media?	DOE G 151.1-3, App. D, D.4.9, P/E14.6e.
	Are rumors and misinformation detected, controlled, and corrected; and is accurate information disclaiming rumors and correcting misinformation incorporated in media briefings and press releases, as necessary?	DOE G 151.1-3, App. D, D.4.9, P/E14.5
	Is information distributed by EPI to workers, site personnel, and the public during an OE?	DOE G 151.1-3, D.4.9, P/E14.1; DOE G 151.1-4, Ch. 9, 9.2
	Is information distributed by EPI to workers, site personnel, and the public during an OE accurate, candid, understandable, and consistent?	DOE G 151.1-3, D.4.9, P/E14.1a.; DOE G 151.1-4, Ch. 9, 9.2
	Is information distributed by EPI to workers, site personnel, and the public during an OE current and timely?	DOE G 151.1-3, D.4.9, P/E14.1b.; DOE G 151.1-4, Ch. 9, 9.2
	Is information distributed by EPI to workers, site personnel, and the public during an OE provided to ensure the health and safety of workers and the public?	DOE G 151.1-3, D.4.9, P/E14.1c.; DOE G 151.1-4, Ch. 9, 9.2

16. EMERGENCY PUBLIC INFORMATION		
	Is information distributed by EPI to workers, site personnel, and the public during an OE provided to establish facts, and avoid rumors and speculation?	DOE G 151.1-3, D.4.9, P/E14.1d.; DOE G 151.1-4, Ch. 9, 9.2
	Is information distributed by EPI to workers, site personnel, and the public during an OE responsive to public concern and information needs?	[DOE G 151.1-3, D.4.9, P/E14.1e.; DOE G 151.1-4, Ch. 9, 9.
	Is information distributed by EPI to workers, site personnel, and the public during an OE consistent with the requirements of the Freedom of Information Act and the Privacy Act?	DOE G 151.1-3, D.4.9, P/E14.1f.; DOE G 151.1-4, Ch. 9, 9.2
	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?	DOE G 151.1-3, D.4.9, P/E14.8
Criterion		
16.3.3	An EPI public information communications system must be established among DOE/NNSA Headquarters, the Cognizant Field Element, and on-scene locations.	DOE O 151.1C, Attachment 2 CRD, 16a.(8); DOE G 151.1-3, App. D, D.4.9, P/E14.18
Lines of Inquiry		
	Does the management team and outside agency representatives effectively, openly, and readily share and coordinate information?	DOE G 151.1-3, App. D, D.4.9, P/E14.17
	Are public information functions and efforts during the emergency coordinated with DOE HQ, other Federal agencies, and Tribal, State, and local government organizations?	DOE G 151.1-3, App. D, D.4.9, P/E14.19
	Is information (written and verbal), that is to be released to the news media, coordinated with DOE and other Federal, state, and Tribal and local response organizations, as appropriate?	DOE G 151.1-3, App. D, D.4.9, P/E14.20
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> • <i>Site Emergency Public Information Plan and procedures</i> • <i>MOUs/MOAs with offsite agencies</i> • <i>Review agreements with offsite agencies for JIC use</i> • <i>Roster of PI positions</i> • <i>Records of news releases prepared during emergencies/exercises</i> • <i>Training records</i> • <i>Education/information materials shared with employees, public, and media</i> 	
Interview		
Observation		
OBJECTIVE 16.4: News Releases/Public Statements		
16.4	16.a.(7) 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.	DOE O 151.1D, Attachment 2 CRD; 16.a.(7)
Criterion		

16. EMERGENCY PUBLIC INFORMATION		
16.4.1	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.	DOE O 151.1D, Attachment 2 CRD; 16.a.(6)
Lines of Inquiry		
	Does the Cognizant Field Element public affairs director or his designee, responsible for EPI review and dissemination, approve initial news releases or public statements?	DOE G 151.1-3, D.4.9, P/E14.2
	Are updates coordinated with the DOE/NNSA Cognizant Field Element public affairs director and the HQ ED following initial news releases and public statements?	DOE G 151.1-3, D.4.9, P/E14.3
Criterion		
16.4.2	Information Security. Public announcements in areas involving classified information or unclassified controlled information.	DOE G 151.1-3, D.4.9, P/E14.9
Lines of Inquiry		
	Does the appropriate official (e.g., Derivatives Classifier (DC)) review news releases and/or announcements before release to the public to ensure that no information is provided that may present a security risk?	DOE O 151.1C, Attachment 2 CRD, 16.a.(4); DOE G 151.1-3, D.4.9, P/E14.9a.
	Is sufficient publicly releasable information provided to adequately explain the emergency response and protective actions required for the health and safety of workers and the public?	DOE O 151.1C, Attachment 2 CRD, 16.a.(3); DOE G 151.1-3, D.4.9, P/E14.14.9b.
OBJECTIVE 16.5: Federal Asset Support		
16.5	Federal Asset Support. The contractor providing personnel for the Departmental emergency response assets [the Ariel 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.	DOE O 151.1D, Attachment 2 CRD; 16.c.
Criterion		
16.5.1	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.	DOE O 151.1D, Attachment 2 CRD; 16.a.(5)
	Has the cognizant field element directed the contractor to plan to send a PIO with teams deploying offsite?	
	Does the contractor have provisions for deployment of a POI included in the public information plan?	

17. Termination and Recovery		
<p>Performance Goal: An OE 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 OE includes: communication and coordination with Tribal, State, 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. [DOE O 151.1C Att. 2.17 CRD] [DOE O 151.1C 3.b and 4.b] (DOE G 151.1-3, D 4.10)</p> <ol style="list-style-type: none"> Objective: An operational emergency is terminated only after a predetermined set of criteria has been met and termination has been coordinated with offsite response agencies [DOE O 151.1C, Att. 2 (CRD) 17 a (1), b (1)] Objective: The recovery plan to return the affected facility/area to normal operations following the termination of the Operational Emergency is developed by the recovery organization, and depends on (i.e., is commensurate with) the severity and nature of the emergency event or condition. [DOE O 151.1C, Att. 2 CRD] (DOE G 151.1-3 D4.10, P15.11) 		
OBJECTIVE		
17.1	Objective: An operational emergency is terminated after a predetermined set of criteria has been met and termination has been coordinated with local agencies and organizations responsible for offsite emergency response and notification	[DOE O 151.1C, Att. 2 (CRD) 17, 17 a (1)]
Criterion		
17.1.1	The decision to terminate emergency response for an OE is made by the Site ERO and is coordinated with all principle participating response organizations (i.e., local, State, Tribal, DOE HQ, other participating Federal agencies. Internal and external communications that are associated with termination are performed.	[DOE O 151.1C, Att. 2 [CRD], (DOE G 151.1-3 D 4.10, P/E 15.2
Lines of Inquiry		
	Has the ERO coordinated with all principle response organizations (e.g., State, Tribal, and local agencies responsible for offsite response) prior to making the decision to terminate emergency response? (DOE G 151.1-3, D.4.10, P15.1)	(DOE G 151.1-3 Appdx D, P 3.13) DOE O 151.1C Att. 2 (CRD) 5.a.1]
	Have all needed internal and external communications (e.g., to include updates from all response teams, onsite and offsite, and all response authorities involved in the event/situation) been conducted prior to a decision to terminate? (DOE G 151.1-3, D 4.10, P15.1)	(DOE G 151.1-3 Appdx D, P 3.13) DOE O 151.1C Att. 2 (CRD) 5.a.1]
Criterion		
17.1.2	The decision to terminate emergency response for an OE not requiring classification formally announces or acknowledges that the situation is stabilized and that the response activity is ending or has been substantially scaled back. Termination criteria are observables associated with the event/condition. (DOE G 151.1-3, D4.10, P15.2)	(DOE G 151.1-3, D3.2, P3.3)
Lines of Inquiry		
	Has a recovery plan been developed?	(DOE G 151.1-3, D4.10, P15.5)
	Have recovery staff/team members been identified?	(DOE G 151.1-3, D4.10, P15.5)

17. Termination and Recovery		
	Is the event scene/facility in stable condition?	(DOE G 151.1-3, D4.10, P15.5)
	Is the event scene/facility isolated and can it be preserved?	(DOE G 151.1-3, D4.10, P15.5)
	Are resources available to begin recovery activities?	(DOE G 151.1-3, D4.10, P15.5)
	Are resources available to begin recovery activities?	(DOE G 151.1-3, D4.10, P15.5)
	Have next-of-kin victims been notified?	(DOE G 151.1-3, D4.10, P15.5)
	Have the recovery manager and staff been fully briefed by the Emergency Director?	(DOE G 151.1-3, D4.10, P15.5)
	Have notifications been made to DOE/NNSA, other Federal, Tribal, State, and local response organizations?	(DOE G 151.1-3, D4.10, P15.5)
	Have additional OE-specific criteria for emergencies not requiring classification been met?	(DOE G 151.1-3, D4.10, P15.6)
Criterion		
17.1.3	The decision to terminate an OE requiring classification is based on a decision that has been reached that the full ERO is no longer needed and the ERO may now begin to reduce its support. Termination criteria represent decision criteria to be satisfied. (Termination criteria such as the release of toxic or radioactive materials.)	(DOE G 151.1-3 D4.10, P15.3, P15.7)
Lines of Inquiry		
	Did the site/facility coordinate termination with State, Tribal, and local agencies and organizations responsible for offsite emergency response and notification?	[DOE O 151.1C Att. 2 17 a (1)]
	Did the site/facility establish and use predetermined criteria for terminating the emergency?	[DOE O 151.1C Att. 2, 17, b, (1)]
	Did the site/facility adhere to CRD policy regarding not downgrading emergency categories or classification? (i.e., do not downgrade categorization of an emergency, and, in general, do not downgrade classification of HAZMAT events)	[DOE O 151.1C Att. 2, 17, b, (1)]
	Did the site/facility periodically review emergency classification to ensure the classification is commensurate with response activities?	[DOE O 151.1C Att. 2, 17, b, (1)]
	Have facility personnel estimated (potential) exposure to hazardous materials during recovery and reentry activities to protect workers and the public? (DOE G 151.1-3 D4.10 P15.8)	

17. Termination and Recovery		
	<p>Does the plan and recovery organization address the following areas, as applicable to the emergency event?</p> <ul style="list-style-type: none"> • Has the recovery plan been developed? • Have recovery staff/team members been identified? • Is the event scene/facility in stable condition? • Is the event scene/facility isolated and can it be preserved? • Are resources available to begin recovery activities? • Are all releases of hazardous materials ended or below level of regulatory concern? • Is accountability of all personnel complete? • Have contaminates areas been identified, isolated and secured? • Have all injured and contaminated personnel been treated and transported? • Has notification of next-of-kin of victims been carried out? • Have protective actions been adjusted according to extended conditions? • Has the recovery manager and staff/team members been fully briefed by the Emergency Director? • Have notifications been made to DOE, other Federal, Tribal, State, and local response organizations? • Have emergency classifications, once made, NOT been downgraded, unless the original classification was in error? 	[DOE O 151.1C App 2 17] (DOE G 151 P/E 15.4 - ALL)
APPROACH		
Document/Record Review		
	Review site/facility emergency management plan and implementing procedures for content related to emergency termination, and overall compliance with criteria, including (for Hazardous Materials Programs) an approved, predetermined set of criteria for terminating an OE that is classified due to hazardous material release thresholds being exceeded.	
	Review drill and exercise plans and records, including MSEL, timeline, and message injects, for compliant emergency termination activities, including logs, message traffic, memoranda, notifications, and reporting.	
	Review any records of actual events for termination activities and records of recovery team operations, including logs, message traffic, memoranda, notifications, and reporting for compliance with these objectives and criteria.	
	Review training courses and records for satisfactory content and completion by personnel with responsibilities for termination coordination and operations, including incident investigation and root cause analysis training.	
	Review memoranda with offsite response organizations having a response role in operational emergencies to ensure termination coordination and communication planning have been addressed.	

17. Termination and Recovery		
	Review site/facility emergency management plan and implementing procedures for content related to emergency termination, and overall compliance with criteria, including (for Hazardous Materials Programs) an approved, predetermined set of criteria for terminating an OE that is classified due to hazardous material release thresholds being exceeded.	
Interview		
	Interview individuals assigned to be Emergency Directors during drills, exercises, and actual events. Ensure they understand their responsibilities for each criterion.	
	Interview the training program manager and exercise program manager to verify documentation for each criterion.	
	Interview the emergency management program manager to confirm their understanding of the overall programmatic and response goals associated with emergency termination.	
	Interview any contractor staff identified as support in the development of drills and exercise plans to ensure their understanding of the objectives and criteria related to emergency termination.	
	Interview individuals assigned to be Emergency Directors during drills, exercises, and actual events. Ensure they understand their responsibilities for each criterion.	
Observation		
	If the evaluation of this CRAD is coincident with site/facility drill or exercise activity, consider seeking the opportunity to officially observe its conduct, including seeking any available opportunities to observe exercise organization training/briefings, ERO management operations, hot wash activities, and post-activity briefings and discussions, as they relate to emergency termination.	
OBJECTIVE		
17.2	The recovery plan to return the affected facility/area to normal operations following the termination of the OE is developed by the recovery organization, and depends on (is commensurate with) the severity and nature of the emergency event or condition.	[DOE O 151.1C, Att. 2 (CRD) 17] (DOE G 151.1-3 D4.10, P/E 15.11)
Criterion		
17.2.1	Prior to terminating the emergency response, the site establishes the recovery organization and determines the resources needed to begin recovery operations. The beginning of the recovery phase is marked by the termination decision and subsequent notifications that an event no longer constitutes and Operational Emergency.	[DOE O 151.1C, Att. 2 (CRD) 17] (DOE D 151.1-3, D4.10, P/E 15.3, 15.7)
Lines of Inquiry		
	Did the site/facility notify appropriate agencies and organizations of the decision to terminate emergency response activities and to begin recovery operations?	[DOE O 151.1C, Att. 2 (CRD) 17] (DOE D 151.1-3, D4.10, P/E 15.3, 15.7)
	Has a recovery organization been established?	(DOE G 151.1-3, D3.2, P15.12)

17. Termination and Recovery		
	Have needed resources been identified to begin recovery operations?	(DOE G 151.1-3, D3.2, P15.12)
Criterion		
17.2.2	The recovery plan and recovery organization address the following planning areas, as needed, depending upon the event or condition that has occurred.	(DOE G 151.1-3, D4.10 P15.12.)
Lines of Inquiry		
	Has information regarding the emergency and possible relaxation of protective actions been disseminated to Federal, Tribal, State, and local organizations?	(DOE G 151.1-3, D4.10, P15.12)
	Has an accident assessment and investigation been planned for?	(DOE G 151.1-3, D4.10, P15.12)
	Has recovery planning and scheduling been carried out?	(DOE G 151.1-3, D3.2, P15.12)
	Has necessary repair and restoration been planned for?	(DOE G 151.1-3, D3.2, P15.12)
	Has planning been made for cleanup and decontamination?	(DOE G 151.1-3, D3.2, P15.12)
	Has waste management been planned for?	(DOE G 151.1-3, D3.2, P15.12)
	Have planners considered regulatory (e.g., environmental) compliance? (DOE G 151.1-3, D3.2, P15.12)	(DOE G 151.1-3, D3.2, P15.12)
	Has needed security for recovery operations been planned for? (DOE G 151.1-3, D3.2, P15.12)	(DOE G 151.1-3, D3.2, P15.12)
	Has planning for a crime scene investigation been considered? (DOE G 151.1-3, D3.2, P15.12)	(DOE G 151.1-3, D3.2, P15.12)
	Are communications and notifications for the recovery organization an ongoing priority? (DOE G 151.1-3, D3.2, P15.12)	(DOE G 151.1-3, D3.2, P15.12)
	Is a process for development and approval for recovery procedures in place? (DOE G 151.1-3, D3.2, P15.12)	(DOE G 151.1-3, D3.2, P15.12)
	Has planning occurred to repair or replace emergency equipment and replenish consumables? (DOE G 151.1-3, D3.2, P15.12)	(DOE G 151.1-3, D3.2, P15.12)
	Have health and safety concerns been planned for, including follow-up medical planning? (DOE G 151.1-3, D3.2, P15.12)	(DOE G 151.1-3, D3.2, P15.12)
	Are reporting requirements for the recovery organization in place and clearly communicated? [DOE O 151.1-3 Chapter VIII] (DOE G 151.1-3, D3.2, P15.12)	(DOE G 151.1-3, D3.2, P15.12)
	Have recovery activities been coordinated with Federal, Tribal, State, local, and other agencies, and are in compliance with their requirements?	(DOE G 151.1-3, D3.2, P15.12)
	Have criteria for resumption of normal site/facility operations in the affected area(s) been established?	(DOE G 151.1-3, D3.2, P15.12)
Criterion		
17.2.3	Accident assessment and investigation are performed, consistent with event severity	(DOE G 151.1-3 D4.10, P/E 15.13,)
Lines of Inquiry		

17. Termination and Recovery		
	Has a root cause analysis been conducted?	[(DOE G 151.1-3, D3.2, P15.13) [DOE O 151.1C CRD]
	Have corrective actions to prevent recurrence been developed according to Departmental requirements? (e.g., see DOE O 225.1A, DOE O 231.1A)	(DOE G 151.1-3, D3.2, P15.14) [DOE O 151.1C CRD]
APPROACH		
Document/Record Review		
	Review site/facility emergency management plan and implementing procedures for content related to emergency recovery, and overall compliance with criteria, including (for Hazardous Materials Programs) planning for provisions to ensure safe recovery activities when dealing with potential released or generated hazards associated with recovery activities.	
	Review drill and exercise plans and records, including MSEL, timeline, and message injects, for compliant emergency recovery activities, including logs, message traffic, memoranda, notifications, and reporting.	
	Review any records of actual events for recovery activities and records of recovery team operations, including logs, message traffic, memoranda, notifications, and reporting for compliance with these objectives and criteria.	
	Review training courses and records for satisfactory content and completion by personnel with responsibilities for recovery coordination and operations, including incident investigation and root cause analysis training.	
	Review memoranda with offsite response organizations having a response role in operational emergencies to ensure recovery coordination and recovery communication planning have been addressed.	
Interview		
	Interview individuals assigned to be Emergency Directors during drills, exercises, and actual events. Ensure they understand their responsibilities for each criterion related to recovery activities.	
	Interview the training program manager and exercise program manager to verify documentation for each criterion related to preparedness for recovery activities and planning.	
	Interview the emergency management program manager to confirm their understanding of the overall programmatic and response goals associated with emergency recovery.	
	Interview any contractor staff identified as support in the development of drills and exercise plans to ensure their understanding of the objectives and criteria related to emergency recovery.	
	Interview individuals assigned to be Emergency Directors during drills, exercises, and actual events. Ensure they understand their responsibilities for each criterion related to recovery.	
Observation		

17. Termination and Recovery

	<p>If the evaluation of this CRAD is coincident with site/facility drill or exercise activity, consider seeking the opportunity to officially observe its conduct, including seeking any available opportunities to observe exercise organization training/briefings, ERO management operations, hot wash activities, and post-activity briefings and discussions as these relate to demonstrations of readiness to recover from emergencies.</p>	
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COGNIZANT FIELD ELEMENT

BASELINE EMERGENCY MANAGEMENT CRITERIA AND REVIEW APPROACH DOCUMENT

1. This Baseline Emergency Management Criteria and Review Approach Document (CRAD) can be used by the Cognizant Field Element to conduct self-assessments of their program. This Baseline Emergency Management CRAD is also to be used by oversight organizations to evaluate the Cognizant Field Element program.

2. This Section of the Baseline Emergency Management CRAD is based on DOE O 151.1C. It is organized according to the Program Elements contained in the Order. The numbering of the Program Elements, which follow, match the order that the Program Elements are listed in the CRD (Attachment 2, DOE O 151.1C).
 - a. When tailoring this CRAD to the specific facility/site hazards or to the scope of a particular assessment, the numbering within this CRAD must be retained to allow for tracking across line management levels.
 - b. The numbering only applies to objectives and criteria.
 - c. Lines of Inquiry are not numbered and are suggestions/guidance to aid the assessment team.

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3. TECHNICAL PLANNING BASE (FIELD ELEMENT)		
<p>Performance Goal: A Hazards Survey must be used to identify the conditions to be addressed by the comprehensive emergency management program. [DOE O 151.1C, III.3.a.] The EPHA must be used to define the provisions of the Operational Emergency Hazardous Material Program, ensuring that the program is commensurate with the hazards identified. [DOE O 151.1C.IV.1]</p> <ol style="list-style-type: none"> Objective: A Hazards Survey must be used to identify the conditions to be addressed by the comprehensive emergency management program [DOE O 151.1C, III.3.a.] If required based on the findings of the Hazards Survey, sites/facilities and activities must establish and maintain a quantitative EPHA. [DOE O 151.1C,I.9.q] Objective: Review and approve Hazards Surveys and EPHAs and forward the approved Hazards Surveys/EPHAs to the Program Secretarial Officer and the Director, Office of Emergency Operations. [DOE O 151.1C, 1.9.k] Objective: Ensure Hazards Surveys and EPHAs are updated every three years, and prior to significant changes to the site/facility or to hazardous material inventories. [DOE O 151.1C, I.9.k.] 		
OBJECTIVE		
3.1.	A Hazards Survey must be used to identify the conditions to be addressed by the comprehensive emergency management program. If required, based on the findings of the Hazards Survey, sites/facilities and activities must establish and maintain a quantitative EPHA. The EPHA must be used to define the provisions of the Operational Emergency Hazardous Material Program, ensuring that the program is commensurate with the hazards identified.	[DOE O 151.1C, III.3.a.] [DOE O 151.1C, IV.1.]
Criterion		
3.1.1.	The Field Element must implement emergency management policy and requirements and maintain programs and systems consistent with policy and requirements	[DOE O 151.1C.I.9.a]
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the Hazards Survey been used to identify key components of the emergency management program? 	(DOE G 151.1-3, 1.1)
	<ul style="list-style-type: none"> For facilities 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, does the Hazards Survey provides a hazardous material screening process for determining whether further analysis of the hazardous materials in an Emergency Planning Hazards Assessment (EPHA) is required. 	(DOE G 151.1-3, 1.1)
	<ul style="list-style-type: none"> Does the EPHA provide a basis for a establishing a graded approach meets emergency management program requirements? 	
	<ul style="list-style-type: none"> Does the EPHA provides the technical planning basis for determining the necessary plans/procedures, personnel, resources, equipment, and analyses [e.g., determination of an Emergency Planning Zone (EPZ)] that comprise the Operational Emergency Hazardous Material Program? 	(DOE G 151.1-3, 2.1)
Criterion		
3.1.2.	A process is in place to ensure that Hazards Surveys and EPHAs are adequately performed and formally documented.	(DOE G 151.1-3, D.3, P2.7)
Lines of Inquiry		

3. TECHNICAL PLANNING BASE (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Has the Hazards Survey been used to identify key components of the emergency management program? 	(DOE G 151.1-3, 1.1)
	<ul style="list-style-type: none"> For facilities 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, does the Hazards Survey provides a hazardous material screening process for determining whether further analysis of the hazardous materials in an Emergency Planning Hazards Assessment (EPHA) is required. 	(DOE G 151.1-3, 1.1)
	<ul style="list-style-type: none"> Does the EPHA provide a basis for a establishing a graded approach meets emergency management program requirements? 	
	<ul style="list-style-type: none"> Does the EPHA provides the technical planning basis for determining the necessary plans/procedures, personnel, resources, equipment, and analyses [e.g., determination of an Emergency Planning Zone (EPZ)] that comprise the Operational Emergency Hazardous Material Program? 	(DOE G 151.1-3, 2.1)
	<ul style="list-style-type: none"> Are there a <u>site</u> procedure(s) and/or a document control system for establishing/revising Hazards Surveys and EPHAs? Describe. (The procedure/system should indicate the actual process of conducting the Hazards Survey and EPHAs, the review process and also a review reminder system) 	
	<ul style="list-style-type: none"> Does the Field Element use the same procedure and is the Field Element review part of the site review process described in the procedure? 	
	<ul style="list-style-type: none"> Or does the Field Element have its own procedure and/or document control system? 	
	<ul style="list-style-type: none"> Is there an electronic system for retrieving/storing the Hazards Surveys and EPHAs? Describe. Who controls the system? Who has access to the system? 	
Criterion		
3.1.3.	The Field Element Emergency Management Program Manager has current copies of Hazards Surveys and EPHAs.	(DOE G 151.1-3, D.3, P2.21)
Lines of Inquiry		
	<ul style="list-style-type: none"> How many Hazards Survey(s) are there? 	
	<ul style="list-style-type: none"> How are the Hazards Survey(s) and EPHA(s) organized? 	
	<ul style="list-style-type: none"> When were the Hazards Survey(s) completed and/or updated? 	
	<ul style="list-style-type: none"> Are the copies that the Program Manager has the most current copies? 	
	<ul style="list-style-type: none"> How many EPHAs are there? 	
	<ul style="list-style-type: none"> When were the last EPHAs completed and/or updated? 	
	<ul style="list-style-type: none"> Are there any outstanding issues or questions waiting for resolution in regards to the Hazards Survey and/or EPHAs? Describe if any. 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review field/site/facility technical planning base procedures. 	
	<ul style="list-style-type: none"> Review the document control system for emergency management documents. 	

3. TECHNICAL PLANNING BASE (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Review ERAPs regarding technical planning base status. 	
	<ul style="list-style-type: none"> Review field/site/facility emergency plans and EPIPs. 	
Interview		
	<ul style="list-style-type: none"> Field Element Emergency Management Program Manager . 	
	<ul style="list-style-type: none"> Contractor staff that develops hazards surveys and EPHAs. 	
Observation		
	Not Applicable	
OBJECTIVE		
3.2	Review and approve Hazards Surveys and EPHAs and forward the approved Hazards Surveys/EPHAs to the Program Secretarial Officer and the Director, Office of Emergency Operations	[DOE O 151.1C, 1.9.k]
Criterion		
3.2.1.	The Field Office has an established documented/electronic process for reviewing/approving Hazards Surveys and EPHAs. (DOE G 151.1-3, D.3, P2.7)	(DOE G 151.1-3, D.3, P2.7)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the process described in Criterion 2.1.1 above, been used to review/approve Hazards Surveys and EPHAs by the Field Office? If not, why? 	
	<ul style="list-style-type: none"> When was the latest Hazards Survey reviewed/approved by the Field Element? The latest EPHA(s) reviewed/approved by the Field Element? 	
	<ul style="list-style-type: none"> Has an initial review of each Hazards Survey and EPHA been conducted by the Field Element? 	(DOE G 151.1-3, D.3, P2.5)
	<ul style="list-style-type: none"> Has a documented review cycle been established? 	
	<ul style="list-style-type: none"> How long (average) does it take to get a Hazards Survey reviewed/approved by the Field Office? How long for an EPHA? 	
	<ul style="list-style-type: none"> If the Hazards Surveys/EPHAs have not been reviewed on a regular schedule as required (every three years/when revised), why not? 	
	<ul style="list-style-type: none"> Have there been any recurring issues in getting the Field Office review accomplished and approval? (lack of resources, lack of commitment) 	
Criterion		
3.2.2.	Subject Matter Experts are used to perform Hazards Surveys and EPHA reviews.	(DOE G 151.1-3, D.3, P2.5)
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the Field element use a multidisciplinary team to review Hazards Surveys and EPHAs? 	
	<ul style="list-style-type: none"> Does the Field element use other resources to determine the adequacy of Hazards Surveys/EPHAs? (such as contractors/consultants) 	
	<ul style="list-style-type: none"> What are the qualifications/training of the individuals who have conducted the reviews? 	
	<ul style="list-style-type: none"> Are the review done according to a procedure? Indicate the procedure. 	
	<ul style="list-style-type: none"> Are criteria/checklists used to perform the review? 	

3. TECHNICAL PLANNING BASE (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Are the criteria based on DOE G. 151.1-3? 	
	<ul style="list-style-type: none"> Are the reviews documented? 	
	<ul style="list-style-type: none"> Is the EPZ described in the EPHA? 	
	<ul style="list-style-type: none"> Did EPHA reviewers use specific criteria in conducting their review regarding the size of the Emergency Planning Zone? 	
	<ul style="list-style-type: none"> Are indicators of emergency events/condition scenarios that can be used for recognition purposes in developing Operational Emergency (OE) categorization criteria and Emergency Action levels (EALs), as appropriate, identified and documented in the EPHA? 	
Criterion		
3.2.3.	The Field element has documented dissenting opinions/disputes/concerns which have been sent to site/facility (contractor) management.	
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there a paper (or electronic) trail of comments back to the contractor? 	
	<ul style="list-style-type: none"> Have the comments been addressed by the contractor in writing? 	
	<ul style="list-style-type: none"> Have there been any dissenting comments? 	
	<ul style="list-style-type: none"> How have any dissenting comments been resolved? 	
	<ul style="list-style-type: none"> Is there documentation showing resolution to the comments? 	
Criterion		
3.2.4.	The Field element has documented its approval of the Hazards Surveys and EPHAs back to the site/facility contractor management.	(DOE G 151.1-3, D.3, P2.5)
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there an approval letter from the Field Element Manager with concurrences from the emergency program manager on file for each Hazards Survey and EPHA? 	
	<ul style="list-style-type: none"> Who is the approval letter addressed to? 	
	<ul style="list-style-type: none"> Does the approval letter indicate the distribution of the Hazards Survey(s) and EPHA(s)? 	
	<ul style="list-style-type: none"> Are the approval letters current? 	
Criterion		
3.2.5.	An established process (documented/electronic) exists for submitting approved materials to DOE HQ.	(DOE G 151.1-3, D.3, P2.7)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the process described in Criterion 2.2.1.above, been used to submit Hazards Surveys and EPHAs to EM and NA-40? If not, why? 	
	<ul style="list-style-type: none"> When was the latest Hazards Survey submitted? The latest EPHA submitted? 	
	<ul style="list-style-type: none"> When was the latest Hazards Survey submitted? The latest EPHA submitted? 	
	<ul style="list-style-type: none"> If the Hazards Surveys/EPHAs have not been submitted on a regular schedule as required (every three years/when revised), why not? 	
APPROACH		
Document/Record Review		

3. TECHNICAL PLANNING BASE (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Review field/site/facility technical planning base procedures. 	
	<ul style="list-style-type: none"> Review the document control system for emergency management documents. 	
	<ul style="list-style-type: none"> Review ERAPs regarding technical planning base status. 	
	<ul style="list-style-type: none"> Hazards Surveys and EPHAs 	
	<ul style="list-style-type: none"> Review comments of the Field Element to the contractor regarding the Hazards Survey(s) and EPHA(s). 	
	<ul style="list-style-type: none"> Review comment resolution by the contractor to the Field Element comment . 	
Interview		
	<ul style="list-style-type: none"> Field Element Emergency Management Program Manager . 	
	<ul style="list-style-type: none"> Contractor staff that develops Hazards Surveys and EPHAs. 	
	<ul style="list-style-type: none"> Field Element personnel that review Hazards Surveys and EPHAs. 	
Observation		
	Not Applicable	
OBJECTIVE		
3.3.	Ensure Hazards Surveys and EPHAs are updated every three years, and prior to significant changes to the site/facility or to hazardous material inventories.	[DOE O 151.1C, I.9.k.]
Criterion		
3.3.1.	Hazards Surveys are reviewed and updated every three years to include changes in the hazards. If changes result in an increase in hazards, the Hazards Survey is updated immediately; otherwise the Hazards Survey can be updated at the next scheduled review.	(DOE G 151.1-3, D.4.10, P/E5.13)
Lines of Inquiry		
	<ul style="list-style-type: none"> Are Hazards Surveys reviewed every three years? 	
	<ul style="list-style-type: none"> Are Hazards Surveys updated when there has been a known increase in hazards? 	
	<ul style="list-style-type: none"> Has the contractor emergency management function been informed (and how) of any changes to the site/facilities especially changes that would affect the Hazards Survey? 	
	<ul style="list-style-type: none"> Is the Field Element informed of any changes to the site/facilities especially changes that would affect the Hazards Survey? 	
	<ul style="list-style-type: none"> What process is used to inform emergency management personnel that a review is needed of the planning documents following the introduction of new hazardous material and/or updates to hazardous material inventories? 	(DOE G 151.1-3, D.2, P1.34)
	<ul style="list-style-type: none"> Who receives the notification? What do they do with the notification? 	
	<ul style="list-style-type: none"> Has the Field Element been informed of any changes to site/facilities material inventories? 	
	<ul style="list-style-type: none"> What has the Field Element done once learning of the changes? 	
Criterion		
3.3.2.	The <u>EPHA</u> is maintained.	[DOE O 225.1B,5.c.(3)]

3. TECHNICAL PLANNING BASE (FIELD ELEMENT)		
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there documentation showing that the EPHA has been reviewed in the past three years? 	(DOE G 151.1-3, D.2, P1.32)
	<ul style="list-style-type: none"> Are EPHAs updated when there has been a known increase in hazards? 	
	<ul style="list-style-type: none"> Has the contractor emergency management function been informed (and how) of any changes to the site/facilities especially changes that would affect the EPHAs? 	
	<ul style="list-style-type: none"> Is the Field Element informed of any changes to the site/facilities especially changes that would affect EPHAs? 	
	<ul style="list-style-type: none"> What process is used to inform emergency management personnel that a review is needed of the planning documents following the introduction of new hazardous material and/or updates to hazardous material inventories? 	
	<ul style="list-style-type: none"> Who receives the notification? What do they do with the notification? 	
	<ul style="list-style-type: none"> Does a procedure or system exist to update planning documents (EPZ, EALs) following the introduction of new hazardous material and/or updates to hazardous material inventories? (Updates would be dependent on updates to the EPHAs.) 	
	<ul style="list-style-type: none"> Has the EPZ and/or EALs been updated based on the updates to the EPHA due to updated inventories and/or new hazardous materials? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review field/site/facility technical planning base procedures. 	
	<ul style="list-style-type: none"> Review the document control system for emergency management documents. 	
	<ul style="list-style-type: none"> Review ERAPs regarding technical planning base status. 	
	<ul style="list-style-type: none"> Hazards Surveys and EPHAs 	
	<ul style="list-style-type: none"> Review comments of the Field Element to the contractor regarding the Hazards Survey(s) and EPHA(s). 	
	<ul style="list-style-type: none"> Review comment resolution by the contractor to the Field Element comment . 	
Interview		
	<ul style="list-style-type: none"> Field Element Emergency Management Program Manager . 	
	<ul style="list-style-type: none"> Contractor staff that develops Hazards Surveys and EPHAs. 	
	<ul style="list-style-type: none"> Field Element personnel that review Hazards Surveys and EPHAs. 	
Observation		
	Not Applicable	
OBJECTIVE		

3. TECHNICAL PLANNING BASE (FIELD ELEMENT)		
3.4.	Effectively integrate the activities of a leased facility and/or Nuclear Regulatory Commission licensed facilities into the DOE/NNSA site wide emergency management program, and ensure that lease arrangements include: a description of how each of the lessee’s emergency management program elements is integrated into the site wide program; and a requirement that tenant hazardous material inventories are reported to the site emergency management organization annually or when inventories change.	[DOE O 151.1C, I.9.v]
Criterion		
3.4.1.	The Field element has effectively integrated activities of a leased facility and/or NRC licensed facilities into the DOE site wide emergency management program.	(DOE G 51.1-3, D.3.1, P2.27)
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the site have facilities that are leased? If yes, to whom? 	
	<ul style="list-style-type: none"> Does the site consider the leased facilities and their hazardous material in planning for emergency response? 	
	<ul style="list-style-type: none"> Is there a description of how each of the lessee’s emergency management program elements is integrated into the site-wide program? 	(DOE G 51.1-3, D.3.1, P2.27)
	<ul style="list-style-type: none"> Does the site have NRC licensed facilities? 	
	<ul style="list-style-type: none"> Is there a description of how each of the NRC licensed facilities been integrated into the site-wide program? 	
	<ul style="list-style-type: none"> Do the NRC licensed facilities have hazards other than radiological hazards? 	
	<ul style="list-style-type: none"> Are the non-radiological hazards included in the site’s program? 	
Criterion		
3.4.2.	The Field element has ensured that leased arrangements include a description of how each of the lessee’s emergency management program elements is integrated into the site wide program; and a requirement that tenant hazardous material inventories are reported to the site emergency management organization annually or when inventories change.	[DOE O 151.1C, I.9.v],
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the lease agreement with DOE indicate a description of the lessee’s emergency management program? 	(DOE G 51.1-3, D.3.1, P2.27)
	<ul style="list-style-type: none"> Does the lease agreement require that tenant hazardous material inventories be reported to the site emergency management organization annually or when inventories change? 	(DOE G 51.1-3, D.3.1, P2.27)
	<ul style="list-style-type: none"> Does the site require the lessee to report significant changes to the facility or hazardous material inventories prior to implementing the changes? 	(DOE G 51.1-3, D.3.1, P2.27)
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review field/site/facility technical planning base procedures. 	
	<ul style="list-style-type: none"> Review leasing agreements. 	
	<ul style="list-style-type: none"> Review ERAPs regarding technical planning base status. 	
	<ul style="list-style-type: none"> Hazards Surveys and EPHAs 	

3. TECHNICAL PLANNING BASE (FIELD ELEMENT)		
Interview		
	• Field Element Emergency Management Program Manager .	
	• Contractor staff that develops Hazards Surveys and EPHAs.	
	• Field Element personnel that review Hazards Surveys and EPHAs.	
Observation		
	Not Applicable.	

DRAFT

4. PROGRAM ADMINISTRATION (FIELD ELEMENT)		
Performance Goal: Establish and maintain an effective, integrated emergency management program. [DOE O 151.1C, I.9.b.]		
<ol style="list-style-type: none"> 1. Objective: Establish and maintain an effective, integrated emergency management program. [DOE O 151.1C, I.9.b.] 2. Objective: Each Cognizant Field Element Manager and each manager/administrator of a DOE- NNSA- and/or DOE/NNSA contractor-operated site/facility must designate an individual to administer emergency management. [DOE O 151.1C, XI.1.] 3. Objective: Ensure appropriate measures of the effectiveness of the contractor site/facility emergency management programs are incorporated in the contractual agreement(s). [DOE O 151.1C, I.9.u.] 4. Objective: Coordinate with the Program Office to ensure resources are available to implement DOE O 151.1C for facilities and activities under Field Element cognizance. [DOE O 151.1C, I.9.d] 5. Objective: Field Element ensures that emergency plans and procedures are prepared, reviewed annually and updated as necessary, for all facilities under their purview and are integrated with the Field Element emergency preparedness program. [DOE O 151.1C, I.9.q] 6. Objective: Pre-designate a Field Element employee as the On-Scene Coordinator, and/or Coordinating Agency Representative (Senior Federal Official and Senior Energy official), under the appropriate plan, as appropriate. [DOE O151.1C, I.9.i.] 7. Objective: The Field Element maintains sufficient knowledge of site and contractor activities to make informed decisions about hazards, risks, and resource allocation, provide direction to contractors and evaluate contractor performance. [DOE O 226.1B, 4.a.(2)] 8. Objective: 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 (Electronic Records Management). [DOE O 151.1C, XI, 5.] 9. Objective: Pre-designate a Field Element employee as the On-Scene Coordinator, and/or Coordinating Agency Representative (Senior Federal Official and Senior Energy official), under the appropriate plan, as appropriate. 		
OBJECTIVE		
4.1.	Establish and maintain an effective, integrated emergency management program.	[DOE O 151.1C, I.9.b.]
Criterion		
4.1.1.	The Field Element has documented processes in place to ensure that emergency management policy and procedures are in place and maintained.	(DOE G 151.1-3, D.3, P2.6, P2.7)
Lines of Inquiry		
	<ul style="list-style-type: none"> • Are there procedures or processes that describe how the emergency management program is managed by the Field Element? 	
	<ul style="list-style-type: none"> • Is the Field Element emergency management program is detailed in a plan, procedure, site order or system (process)? Describe the documentation. 	(DOE G 151.1-3, D.3, P2.6)
	<ul style="list-style-type: none"> • Who has approved the procedure/process? <ul style="list-style-type: none"> ○ Does the process include: <ul style="list-style-type: none"> ○ Development and maintenance of Hazards Surveys and EPHAs? ○ Development of the annual ERAP? ○ Written Plans and schedules for planned assessments? ○ Focus areas for operations oversight? ○ Review of the contractor’s self-assessment? 	

4. PROGRAM ADMINISTRATION (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Does the process also include reasonable schedules for documentation submittals, reviews and approvals, preparedness and readiness assurance activities? 	
	<ul style="list-style-type: none"> Do the schedules indicate that activities are initiated and completed in a timely manner? 	
	<ul style="list-style-type: none"> How are changes made to this system? 	
Criterion		
4.1.2.	An established annual, quarterly, and/or monthly schedule exists for emergency management program activities.	(DOE G 151.1-3, D.3, P2.6)
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there a schedule for emergency management program activities? (Is the schedule electronic/hard copy or both?) 	
	<ul style="list-style-type: none"> Does this schedule include both the Field Element activities and site/facility contractor activities? 	
	<ul style="list-style-type: none"> How is the responsible Field Element person kept aware of the schedule? Are there ticklers? 	
Criterion		
4.1.3.	The Field Element maintains emergency management programs and systems consistent with policy and requirements.	(DOE G 151.1-3, D.3, P2.4)
Lines of Inquiry		
	<ul style="list-style-type: none"> Are contractor programs assessed to DOE requirements and external regulatory requirements? 	
	<ul style="list-style-type: none"> Has the Field Element overseen the development and conduct of a training and exercise program? 	
	<ul style="list-style-type: none"> Has the Field Element ensured the coordination of emergency resources? 	
Criterion		
4.1.4.	An effective integrated emergency management program has been achieved between emergency management and related programs (safety, fire protection, security).	(DOE G 151.1-3, D.3, P2.25.c)
Lines of Inquiry		
	<ul style="list-style-type: none"> How does safety get incorporated into the site emergency management program? 	
	<ul style="list-style-type: none"> What is the relationship between the Integrated Safety Management Program and the Emergency Management Program? 	
	<ul style="list-style-type: none"> How does fire protection get incorporated into the site emergency management program? 	
	<ul style="list-style-type: none"> What is the relationship between the Baseline Needs Analysis (BNA) and the Fire Hazards Survey and the site emergency management program? 	
	<ul style="list-style-type: none"> How does security get incorporated into the site emergency management program? 	
	<ul style="list-style-type: none"> What is the relationship between the Vulnerability Analysis (VA) and the Emergency Management Program? 	

4. PROGRAM ADMINISTRATION (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Are there any other programs that are incorporated into the Emergency Management Program (Rad Protection, Occupational Safety and Health)? 	
Criterion		
4.1.5.	An effective integrated emergency management program has been achieved between the Field Element and the Contractor(s) under their purview.	(DOE G 151.1-3, D.3, P2.16)
Lines of Inquiry		
	<ul style="list-style-type: none"> Is the emergency management program at the Field Element and the contractor(s) integrated? 	
	<ul style="list-style-type: none"> Are procedures for the Field Element included in the site/facility (contractor) procedures? 	
	<ul style="list-style-type: none"> Is there one emergency plan for both or is it split? 	
	<ul style="list-style-type: none"> How are response elements integrated? How are planning elements integrated? 	
Criterion		
4.1.6.	An effective integrated emergency management program has been achieved between the Field Element and DOE Headquarters.	(DOE G 151.1-3, D.4.2, P/E7.13)
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the Field Element emergency management program follow the requirements of DOE O 151.1C regarding distribution of approved documents (Emergency Plan, ERPA, Hazards Surveys, EPHAs, EPZ) to DOE Program Element(s)? 	
	<ul style="list-style-type: none"> Does the Field Element emergency management program include requirements and procedures regarding the notification of HQ of an emergency event? 	
	<ul style="list-style-type: none"> Is there an open dialog between the Field Element emergency management program manager and the Program Office emergency management team? 	
Criterion		
4.1.7.	An effective integrated emergency management program has been achieved between the Field Element and offsite organizations.	(DOE G 151.1-3, D.4.2, P/E7.13)
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the Field Element distribute the EPHAs, EALs and Emergency Plan with offsite organizations? 	
	<ul style="list-style-type: none"> Is there a good dialog between Field Element and offsite organizations? 	
	<ul style="list-style-type: none"> Has the Field Element identified offsite organizations (State and local) requirements? 	
	<ul style="list-style-type: none"> See Offsite Interfaces for more CRADs/LOIs on offsite organization relationship 	
Criterion		
4.1.8.	An effective integrated emergency management program has been achieved between the Field Element and other associated DOE/NNSA offices located at the site or which Field Element has specific responsibilities for.	(DOE G 151.1-3, D.3, P2.16)
Lines of Inquiry		

4. PROGRAM ADMINISTRATION (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Are any of the facilities at the site under the responsibility of another Program Office? 	
	<ul style="list-style-type: none"> Does another Program Office have a site or area office collocated at the site? 	
	<ul style="list-style-type: none"> How are emergency preparedness responsibilities divided between the Field Element and any other site or area office? 	
	<ul style="list-style-type: none"> How is emergency preparedness responsibilities divided between multiple contractors at the site? 	
Criterion		
4.1.9.	Activities of leased facilities and NRC licensed facilities, owned by DOE/NNSA, have been effectively integrated into the site-wide emergency management program.	[DOE O 151.1C, 4.a.15], (DOE G 151.1-3, D.3, P2.17, P2.27)
Lines of Inquiry		
	<ul style="list-style-type: none"> Is the lessee’s emergency management program elements integrated into the site-wide program? Where is this described? 	
	<ul style="list-style-type: none"> Have the lessee’s hazardous material inventories been reported to the site emergency management program annually? 	
	<ul style="list-style-type: none"> Have significant changes to the facility or hazardous material inventories been reported prior to implementing the changes? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review field/site/facility emergency plan(s), hazards survey and EPHAs. 	
	<ul style="list-style-type: none"> Review all processes/plans/procedures pertaining to the emergency management program at the Field Element level. 	
	<ul style="list-style-type: none"> Review ERAPs. 	
	<ul style="list-style-type: none"> Review other associated documents that affect the emergency management program (baseline needs analysis, vulnerability assessments) 	
	<ul style="list-style-type: none"> Review memoranda or agreements with offsite response organizations that may have a role in a response to an operational emergency. 	
	<ul style="list-style-type: none"> Review document control systems procedures. 	
	<ul style="list-style-type: none"> Verify compliance with other DOE and non-DOE requirements applicable to emergency management programs. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility (Program Administrator) for managing the emergency management program to verify documentation for each criterion. 	
	<ul style="list-style-type: none"> Interview contractor emergency management program manager. 	
Observation		
	Not applicable.	
OBJECTIVE		

4. PROGRAM ADMINISTRATION (FIELD ELEMENT)		
4.2.	Each Cognizant Field Element Manager and each manager/administrator of a DOE-NNSA- and/or DOE/NNSA contractor-operated site/facility must designate an individual to administer emergency management.	[DOE O 151.1C, XI.1]
Criterion		
4.2.1.	Emergency management functions, responsibilities and authorities are outlined in the Field Element Functions, Responsibilities and Authorities documentation.	[DOE O 450.2, 5.c.(1)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the Field Element Functions, Responsibilities and Authorities (FRA) document indicate who has responsibility for emergency management? 	
	<ul style="list-style-type: none"> When was the last time the Field Element FRA was updated? How current is it? 	
	<ul style="list-style-type: none"> Does the Field Element FRA accurately reflect current organization structure? 	
Criterion		
4.2.2.	The Field Element has designated an individual to be the emergency management program manager/administrator, who is responsible for day-to-day development, operations, and maintenance of the emergency management program.	[DOE O 151.1C, XI,1.], (DOE G 151.1-3, D.3, P2.1)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the Field Element Manager designated an individual to be the emergency management program manager/administrator? 	
	<ul style="list-style-type: none"> Are the emergency management responsibilities the sole function of the designated individual? 	
	<ul style="list-style-type: none"> Does more than one individual share the emergency management oversight duties? 	
	<ul style="list-style-type: none"> How has this designation taken place? Letter/Memo? Plan? 	
	<ul style="list-style-type: none"> Does the emergency manager have authority commensurate with assigned responsibilities? 	
	<ul style="list-style-type: none"> Where are the assigned responsibilities documented? 	
	<ul style="list-style-type: none"> Does the emergency manager have access to Field Element senior management? Describe. 	
	<ul style="list-style-type: none"> Does the designated individual's position description indicate that they are the emergency management program manager/administrator? 	
	<ul style="list-style-type: none"> Does the position description accurately reflect the responsibilities of the individual? 	
Criterion		
4.2.3.	The Field Element has coordinated proposed exclusions from DOE O 151.1C (i.e., alternative standards for emergency management) with the Office of Emergency Operations and the Program Office.	[DOE O 151.1C, 3.c.(1)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the site/facility have any exclusions from DOE O 151.1C? 	
	<ul style="list-style-type: none"> Where are the exclusions listed (ERAP, Emergency Plan)? 	
	<ul style="list-style-type: none"> Is there a paper trail/electronic file on the exclusion? 	

4. PROGRAM ADMINISTRATION (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Is it documented that the Office of Emergency Operations and the Program Office have approved the exclusions? If not why not? 	
Criterion		
4.2.4.	Senior representative from Field Element have been assigned to the Emergency Management Advisory Committee.	[DOE O 151.1C, I.9.r]
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the Field Element Manager designated a Field Element employee as the Field Element senior representative to the Emergency Management Advisory Committee? 	
	<ul style="list-style-type: none"> Is the individual aware of the designation? 	
	<ul style="list-style-type: none"> Did the representative attend the last annual EMAC meeting held usually at the EMI-SIG conference? 	
	<ul style="list-style-type: none"> By which means did the representative attend (teleconference, video conference or in person)? 	
	<ul style="list-style-type: none"> If no one attended is there a reason? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review the field/site/facility emergency plan(s) to determine if a position or individual has been designated to the emergency management program manager/administrator. 	
	<ul style="list-style-type: none"> Review the FRA. 	
	<ul style="list-style-type: none"> Review pertinent job descriptions (to determine if emergency management duties are included). 	
	<ul style="list-style-type: none"> Review 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. 	
	<ul style="list-style-type: none"> Review any other document which would indicate the duties/responsibilities of the emergency management program staff. 	
Interview		
	<ul style="list-style-type: none"> Interview the emergency management program manager to determine if they understand their position and duties. 	
	<ul style="list-style-type: none"> Interview any other federal staff performing the duties of emergency management program manager to determine if they understand their duties. 	
Observation		
	Not applicable	
OBJECTIVE		
4.3.	Ensure appropriate measures of the effectiveness of the contractor site/facility emergency management programs are incorporated in the contractual agreement(s).	[DOE O 151.1C, I.9.u.]
Criterion		

4. PROGRAM ADMINISTRATION (FIELD ELEMENT)		
4.3.1.	Notify contracting officers of affected contracts to incorporate DOE O 151.1C CRD into those contracts.	[DOE O 151.1C, 1.9.u.] [DOE O 151.1C, 3.b]
Lines of Inquiry		
	<ul style="list-style-type: none"> How many contracts does the site have? 	
	<ul style="list-style-type: none"> How many of these contracts need provisions for emergency management? 	
	<ul style="list-style-type: none"> Do contractual arrangements for contracts at the site contain emergency management measures? 	
	<ul style="list-style-type: none"> Has the CRD to DOE O 151.1C been incorporated into the affected contracts? Which contracts are these? 	
	<ul style="list-style-type: none"> Are there any contracts that the CRD has not been incorporated into (and should be)? 	
Criterion		
4.3.2.	Performance expectations are established and communicated to contracts through formal contract mechanisms. [DOE O 226.1B, 4.c and 5.e.(5)]	
Lines of Inquiry		
	<ul style="list-style-type: none"> Are the provisions in the contract written in a way to be measurable through performance expectations? 	
	<ul style="list-style-type: none"> How are performance expectations established? 	
	<ul style="list-style-type: none"> How are the performance expectations communicated to the contractors? 	
Criterion		
4.3.4.	Performance expectations are established on an annual basis or as otherwise required and determined by the Field Element.	[DOE O 226.1B, 4.c.]
Lines of Inquiry		
	<ul style="list-style-type: none"> Are the performance expectations reviewed and renewed on an annual basis by the Field Element? 	
	<ul style="list-style-type: none"> Who performs this review? 	
Criterion		
4.3.5.	Evaluate contractor performance. DOE line management must periodically evaluate contractor performance in accordance with the provisions of their contracts.	[DOE O 151.1C, X.2.]
Lines of Inquiry		
	<ul style="list-style-type: none"> How is contractor performance evaluated? 	
	<ul style="list-style-type: none"> Are assessments/evaluations used in the evaluation of contractor performance? 	
	<ul style="list-style-type: none"> Is there an overall Field Element process in place to evaluate contractor performance? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review all field/site/facility emergency plan(s), hazard survey, EPHAs. 	
	<ul style="list-style-type: none"> Review all processes/plans/procedures pertaining to the emergency management program at the Field Element level. 	

4. PROGRAM ADMINISTRATION (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Review all management contractual vehicles established and maintained by the site/facility. 	
	<ul style="list-style-type: none"> Review document control systems procedures. 	
	<ul style="list-style-type: none"> Verify compliance with other DOE and non-DOE requirements applicable to emergency management programs. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility (Program Administrator) for managing the emergency management program to verify documentation for each criterion. 	
Observation		
	Not applicable.	
OBJECTIVE		
4.4.	Coordinate with the Program Office to ensure resources are available to implement DOE O 151.1C for facilities and activities under Field Element cognizance.	[DOE O 151.1C, I.9.d]
Criterion		
4.4.1.	Financial resource requirements are identified and budgeted.	(DOE G 151.1-3, D.3.1, P2.10)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the contractor has identified the financial resources needed to accomplish the emergency management program at site/facility? 	
	<ul style="list-style-type: none"> Where are the financial resource requirements identified? 	
	<ul style="list-style-type: none"> Has the Field Element/Program Office adequately funded the emergency management program for the site/facility? 	
	<ul style="list-style-type: none"> How does the Field Element ensure that the site/facility contractor has the resources needed to implement DOE O 151.1C? 	
	<ul style="list-style-type: none"> Has the Field Element requested more/less resources in the recent past? 	
	<ul style="list-style-type: none"> The request is documented and has a basis? 	
Criterion		
4.4.2.	Facilities and equipment requirements are identified, acquired and monitored.	(DOE G 151.1-3, D.3.1, P2.11)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the contractor identified the facilities and equipment needed to accomplish the emergency management program at the site? Where is this information located? 	
	<ul style="list-style-type: none"> How as the contractor identified the facilities and equipment needs? Is it based on a needs analysis? 	
	<ul style="list-style-type: none"> Has Field Element budgeted for the facilities and equipment? 	
	<ul style="list-style-type: none"> Is there needed equipment identified that has not been obtained? <ul style="list-style-type: none"> What is the reasoning of not obtaining the equipment? How is Field Element addressing this issue? 	

4. PROGRAM ADMINISTRATION (FIELD ELEMENT)		
Criterion		
4.4.3.	Personnel requirements are identified and addressed.	(DOE G 151.1-3, D.3.1, P2.12)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the contractor identified the personnel needed to accomplish the emergency management program at the site? 	
	<ul style="list-style-type: none"> Through what process as the contractor identified the personnel requirements? 	
	<ul style="list-style-type: none"> Has the Field Element budgeted for the personnel requirements? 	
	<ul style="list-style-type: none"> Has there been a problem of management support of personnel requirements? 	
Criterion		
4.4.4.	Facilities, equipment and staffing requirements have been discussed with the Program Office, especially resources lacking.	(DOE 151.1-3, D.3.1, P.2.11)
Lines of Inquiry		
	<ul style="list-style-type: none"> Have facilities, equipment and staffing requirements been discussed with the Program Office? 	
	<ul style="list-style-type: none"> Have shortages of resources been discussed with Program Office? 	
	<ul style="list-style-type: none"> Have the repercussions of shortages been discussed with Program Office? 	
	<ul style="list-style-type: none"> Does the ERAP indicate resources (facilities, personnel, equipment)? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review field/site/facility emergency plan(s). 	
	<ul style="list-style-type: none"> Review the ERAP. 	
	<ul style="list-style-type: none"> If applicable review budget submissions. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility (Program Administrator) for managing the emergency management program to verify documentation for each criterion. 	
Observation		
	Not applicable.	
OBJECTIVE		
4.5.	Field Element ensures that emergency plans and procedures are prepared, reviewed annually and updated as necessary, for all facilities under their purview and are integrated with the Field Element emergency preparedness program.	[DOE O 151.1C, I.9.q]
Criterion		
4.5.1.	Field Element has the current version of the Site/Facilities Emergency Plan(s) and Emergency Plan Implementing Procedures (EPIPs).	(DOE G 151.1-3, D.3.1, P2.21)
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the Field Element have the current version of the site Emergency Plan? 	
	<ul style="list-style-type: none"> Does the Field Element have a separate emergency plan for the Field Element or are they covered under the site (contractor) Emergency Plan? 	
	<ul style="list-style-type: none"> Does the Field Element have the current version of the site (contractor) EPIPs? 	

4. PROGRAM ADMINISTRATION (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Does the Field Element have separate EIPs or are they included in the site (contractor) EIPs (or a combination)? 	
	<ul style="list-style-type: none"> If plans/procedures are separate are they consistent and integrated? <ul style="list-style-type: none"> If separate, how does the Field Element ensure that the two plans are consistent and integrated? Do site/facility (contractor) contractors review the Field Element emergency plan for consistency? 	(DOE G 151.1-3, D.3.1, P2.16)
Criterion		
4.5.2.	The process that Field Element uses to oversee the preparation and annual update of site (contractor)/facility emergency plan and EIPs is formally documented.	(DOE G 151.1-3, D.3.1, P2.5)
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the Field Element have a procedure/process/checklist utilized to review the site (contractor) emergency plan and emergency preparedness implementing procedures (EIPs)? 	
	<ul style="list-style-type: none"> Does the Field Element have a procedure/process/checklist utilized to prepare and update the Field Element emergency plan? (If Field Element is covered in the site/contractor Emergency Plan then what kind of input does Field Element have into the emergency plan process/update?) 	
	<ul style="list-style-type: none"> Are emergency plans and EIPs reviewed annually? 	
	<ul style="list-style-type: none"> Are emergency plans and EIPs updated as necessary? 	
	<ul style="list-style-type: none"> Is the Field Element is informed that updates to the site/facility Emergency Plan and/or EIPs are being made? 	(DOE G 151.1-3, D.3.1, P2.5)
	<ul style="list-style-type: none"> Is there a formal documented process that Field Element is informed of updates to the site/facility Emergency Plan and EIPs? 	DOE G 151.1-3, D.3.1, P2.13, P2.23)
	<ul style="list-style-type: none"> Does the Field Element Emergency Management Program Manager keep track of updates? 	
Criterion		
4.5.3.	Emergency plans and EIPs are developed for facilities not requiring a Hazardous Material Program and address the minimum Base Program requirements.	(DOE G 151.1-3, D.3.1, P2.14)
Lines of Inquiry		
	<ul style="list-style-type: none"> Do the site/facility (contractor)/Field Element emergency plans and EIPs cover all the facilities at the site/facility (contractor) site including facilities that do not have hazardous material? (i.e., administrative buildings) 	
Criterion		
4.5.4.	Emergency plans and EIPs have been developed for facilities that require a Hazardous Material Program and are seamlessly integrated with Base Program requirements.	(DOE G 151.1-3, D.3.1, P2.15)
Lines of Inquiry		

4. PROGRAM ADMINISTRATION (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Do the site/facility (contractor)/Field Element emergency plans and EIPs covering facilities with a Hazardous Material Program seamlessly integrated with Base Program requirements? 	
Criterion		
4.5.5.	The Field Element ensures development of appropriate emergency plan implementing procedures (EIPs) for timely and accurate emergency classification, notification, and reporting of emergency events for facilities under Field Element cognizant. Establish pre-authorization criteria when possible.	[DOE O 151.1C, I.9.e]
Lines of Inquiry		
	<ul style="list-style-type: none"> Have EIPs been developed for emergency classification of an event? 	(DOE G 151.1-3, D.3.1, P2.25)
	<ul style="list-style-type: none"> Do the EIPs allow for a timely and accurate emergency classification? 	
	<ul style="list-style-type: none"> Have pre-authorization criteria been developed when possible? 	
	<ul style="list-style-type: none"> Have EIPs been developed for emergency notifications? 	(DOE G 151.1-3, D.3.1, P2.25)
	<ul style="list-style-type: none"> Have EIPs been developed for reporting emergency events for facilities under the Field Element cognizance? 	(DOE G 151.1-3, D.3.1, P2.25)
Criterion		
4.5.6.	Emergency public information planning has been integrated with the development and maintenance of Field Element and site/facility (contractor) emergency plans.	[DOE O 151.1C, IX.2.d.]
Lines of Inquiry		
	<ul style="list-style-type: none"> How has Field Element ensured that emergency public information planning has been included in the Field Element / site/facility (contractor) emergency management program? 	
	<ul style="list-style-type: none"> Is public information a Field Element duty or is it shared with site/facility (contractor)? 	
	<ul style="list-style-type: none"> Has the EPI related to emergency management been reviewed and revised as necessary by the Field Element ? 	
	<ul style="list-style-type: none"> See FIELD Public Information CRAD for additional objectives/criteria. 	
Criterion		
4.5.7.	Field Element approves the site Emergency Plan(s), including annual updates, and submits approved site Emergency Plans to the Director, Office of Emergency Operations and EM.	[DOE O 151.1C, I.9.c.(1)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there a documented approval process for Field Element to approve the site/facility (contractor)/Field Element Emergency Plan and EIPs? 	
	<ul style="list-style-type: none"> Has the Emergency Plan been approved by Field Element? 	
	<ul style="list-style-type: none"> Is there a documented process for submitting approved Emergency plans to the Program Office and the Director of Emergency Operations? 	
	<ul style="list-style-type: none"> Has this process been used? 	

4. PROGRAM ADMINISTRATION (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Have Emergency Plans and updates to Emergency Plans been sent to DOE HQ on a timely basis? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review field/site/facility emergency plan(s) and EIPs. 	
	<ul style="list-style-type: none"> Review approval letters from the Field Element to DOE HQ. 	
	<ul style="list-style-type: none"> Review document control systems. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility (Program Administrator) for managing the emergency management program to verify documentation for each criterion. 	
Observation		
	Not applicable.	
OBJECTIVE		
4.6.	Pre-designate a Field Element employee as the On-Scene Coordinator, and/or Coordinating Agency Representative (Senior Federal Official and Senior Energy official), under the appropriate plan, as appropriate.	[DOE O151.1C, I.9.i.]
4.6.1.	The Field Element manager has pre-designated a DOE employee as the On-Scene Coordinator when DOE is the lead agency for Federal responses under the National Contingency Plan (NCP) or its replacement.	[DOE O151.1C, I.9.i.(1)]
	<ul style="list-style-type: none"> Does a list exist of Field Element employees that have been pre-designated as the On-Scene Coordinator if DOE was to respond to the National Contingency Plan? 	
	<ul style="list-style-type: none"> Have the individuals on this list been notified of their pre-designation? 	
	<ul style="list-style-type: none"> Have the individuals on this list received training to be On-Scene Coordinators? 	DOE G 151.1-3, D.3.1, P.2.19)
	<ul style="list-style-type: none"> What training have they received? 	
	<ul style="list-style-type: none"> Is their training current? 	
Criterion		
4.6.2.	A pre-designated Field Element employee has been appointed to be the Coordinating Agency Representative (Senior Federal Official) when DOE is the Coordinating Agency under the Nuclear/Radiological Incident Annex of the NRF.	[DOE O151.1C, I.9.i.(2)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Does a list exist of Field Element employees that have been pre-designated as the Coordinating Agency Representative if DOE was to response to a site incident under the Nuclear/Radiological Incident Annex of the NRF? 	
	<ul style="list-style-type: none"> Have the individuals on this list been notified of their pre-designation? 	
	<ul style="list-style-type: none"> Have these individuals received training? 	
	<ul style="list-style-type: none"> What training have they received? 	

4. PROGRAM ADMINISTRATION (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Is their training current? 	
Criterion		
4.6.3.	A pre-designated Field Element employee has been appointed as the Coordinating Agency Representative (Senior Energy Official) to coordinate DOE activities under other Federal plans and/or State plans.	[DOE O151.1C, I.9.i.(3)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Are there any other Federal or State plans that need to have a Field Element employee pre-designated? 	
	<ul style="list-style-type: none"> Does a list exist of Field Element employees that have been pre-designated as the Coordinating Agency Representative (Senior Energy Official) to coordinate DOE activities under other Federal plans or State plans? 	
	<ul style="list-style-type: none"> Have the individuals on this list been notified of their pre-designation? 	
	<ul style="list-style-type: none"> Have the individuals on this list received training? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review position descriptions of field personnel to determine if a position or individual has been designated. 	
	<ul style="list-style-type: none"> Review field plans/procedures that reference the above positions. 	
Interview		
	<ul style="list-style-type: none"> Interview individuals with the responsibilities listed above to determine if they understand their position and duties. 	
	<ul style="list-style-type: none"> Resolve any issues of missing, incomplete, or unclear documentation in the interview phase. 	
Observation		
	Not applicable.	
OBJECTIVE		
4.7.	The Field Element maintains sufficient knowledge of site and contractor activities to make informed decisions about hazards, risks, and resource allocation, provide direction to contractors and evaluate contractor performance.	[DOE O 226.1B, 4.a.(2)]
Criterion		
4.7.1.	Oversight processes evaluate the contractor’s emergency management program and management systems for effective performance (including compliance with requirements).	[DOE O 226.1B, 4.b.(1)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there an oversight process in place? 	
	<ul style="list-style-type: none"> Is the oversight process described in documentation? 	
	<ul style="list-style-type: none"> Does the oversight process include the Field Element evaluating the contractor’s performance? (Objective/Criteria in 4.3) 	
Criterion		

4. PROGRAM ADMINISTRATION (FIELD ELEMENT)		
4.7.2.	Evaluation of the site/facility program and management systems is based on the results of operational awareness activities; assessments of facilities, operations and programs; and assessments of the contractor’s assurance system.	[DOE O 226.1B, 4.b.(1)]
Lines of Inquiry		
	<ul style="list-style-type: none"> • Is the evaluation of the site/facility emergency management program based on: <ul style="list-style-type: none"> ○ Operational awareness activities? ○ Assessments of facilities, operations and programs? ○ Assessments of the contractor’s assurance systems? 	
	<ul style="list-style-type: none"> • Is the oversight program a balance between reviews of documentation and adequacy of implementation through performance tests, and observation of actual work activities at the facility? 	
	(See FIELD CRAD XX, READINESS ASSURANCE)	
	(See FIELD CRAD XX, EXERCISES)	
Criterion		
4.7.3.	The Field Element has established written plans and schedules for planned assessments, focus areas for operational oversight and reviews of the contractor’s self-assessment of processes and systems	[DOE O 226.1B, 4.b.(2)]
Lines of Inquiry		
	<ul style="list-style-type: none"> • Does the documented Field Element emergency management program plan describe the Field Element oversight activities? 	
	<ul style="list-style-type: none"> • Does the Field Element emergency management program plan include an annual schedule of planned assessments and focus areas for operational awareness? See Readiness Assurance for other criteria related to scheduling of assessments/evaluations. (See FIELD CRAD XX, READINESS ASSURANCE) 	
	<ul style="list-style-type: none"> • Have the Field Element assessments planned and scheduled based on requirements, analysis of hazards and risks, past performance, and effectiveness of contractor assurance systems for organizations, facilities, operations, and programs. 	
	<ul style="list-style-type: none"> • Has the Field Element scheduled/conducted “for cause” assessments? These assessments should be scheduled when circumstances warrant. 	
	<ul style="list-style-type: none"> • Does the Field Element review the contractor’s self-assessments? (See FIELD CRAD XX, READINESS ASSURANCE) 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> • Review field plans/procedures related to oversight processes including ISM, corrective actions, lessons learned. 	
	<ul style="list-style-type: none"> • Review document control procedures. 	
	<ul style="list-style-type: none"> • Review schedules for oversight activities. 	
	<ul style="list-style-type: none"> • Review notes/reports pertaining to oversight activities. 	
	<ul style="list-style-type: none"> • Review outside reports regarding findings related to oversight activities. 	

4. PROGRAM ADMINISTRATION (FIELD ELEMENT)		
Interview		
	<ul style="list-style-type: none"> Interview individuals with oversight responsibilities. 	
	<ul style="list-style-type: none"> Resolve any issues of missing, incomplete, or unclear documentation in the interview phase. 	
Observation		
	Not Applicable	
OBJECTIVE		
4.8.	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 (Electronic Records Management).	[DOE O 151.1C, XI, 5.]
Criterion		
4.8.1.	An auditable administrative program 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, is established and reliably maintained.	(DOE G 151.1-3, P2.8) (DOE G 151.1-3, Section 1.7)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has an administrative program been developed for vital (essential) records? 	
	<ul style="list-style-type: none"> Who has responsibility for administrating the program? 	
	<ul style="list-style-type: none"> How is the program tied into the emergency management program? 	
Criterion		
4.8.2.	Records have been identified that specify how DOE/NNSA will operate in an emergency or disaster.	[DOE O 243.1B, 4.c.(1)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there a procedure/guidance on how to identify and protect vital (essential) records? 	
	<ul style="list-style-type: none"> Have protected records been selected, maintained and protected based on guidance by the objectives and requirements of the NARA, Vital Records and Records Disaster Mitigation and Recovery Instructional Guide, 36 CFR Subchapter B, Records Management, Part 1223, Managing Vital Records and E.O. 12656, Assignment of Emergency Preparedness Responsibilities? 	
	<ul style="list-style-type: none"> Have records necessary for continued operations been identified? 	
	<ul style="list-style-type: none"> Have emergency operating records been identified and protected? 	
	<ul style="list-style-type: none"> Have legal and financial rights records been identified and protected? 	
	<ul style="list-style-type: none"> Have reconstitution records/systems been identified and protected? 	
	<ul style="list-style-type: none"> How are records protected? 	
Criterion		
4.8.3.	Adequate documentation of all technical data which supports the emergency management program is maintained.	
Lines of Inquiry		
	<ul style="list-style-type: none"> How is emergency management program technical data maintained? 	
	<ul style="list-style-type: none"> Is the data backed up? Where? 	

4. PROGRAM ADMINISTRATION (FIELD ELEMENT)		
Criterion		
4.8.4.	Emergency management and continuity personnel have appropriate software and hardware needed to access the records in place at all times.	[DOE O 243.1B, 4.c.(2)]
Lines of Inquiry		
	<ul style="list-style-type: none"> How are vital (essential) records accessed? 	
	<ul style="list-style-type: none"> Can the records be accessed from an alternate location? 	
	<ul style="list-style-type: none"> How is access to the records controlled? 	
	<ul style="list-style-type: none"> Is there adequate protection (in relation to the sensitivity of the information) for the records? 	[DOE O 243.1B, 4.c.(3)]
Criterion		
4.8.5.	Vital records are reviewed annually, at a minimum, and updated records are migrated as needed to ensure the current versions are available and to address new security issues, identify problem areas, and update data.	[DOE O 243.1B, 4.c.(4)]
Lines of Inquiry		
	<ul style="list-style-type: none"> How often are vital (essential) records reviewed? 	
	<ul style="list-style-type: none"> Is there a procedure/schedule that describes how/when the records are reviewed? 	[DOE O 243.1B, 4.c.(5)]
	<ul style="list-style-type: none"> Are hard copies of older documents destroyed when obsolete or replaced with updated copies? 	[DOE O 243.1B, 4.c.(5)]
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review plans/procedures related to the protection of vital (essential) records. 	
Interview		
	<ul style="list-style-type: none"> Discuss the site's vital (essential) record program with the appropriate subject matter expert (at the Field Element). 	
Observation		
	<ul style="list-style-type: none"> Pull up from backup sources vital (essential) records. 	
OBJECTIVE		
4.9.	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?	[DOE O 151.1C, XI.2]
Criterion		
4.9.1.	The review is conducted by the appropriate official using current guidance.	[DOE O 151.1C, XI.2]
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there a procedure for reviewing emergency preparedness documents for classified information or UCNI? 	
	<ul style="list-style-type: none"> Does a procedure indicate the appropriate official (by qualification or title) to perform the classified review? 	(DOE G 151.1-3, Section 1.8)

4. PROGRAM ADMINISTRATION (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Have emergency management documents been reviewed by an Authorized Derivative Classifier prior to dissemination? 	[DOE G 151.1-3, P2.9, P2.26] (DOE G 151.1-3, Section 1.8)
	<ul style="list-style-type: none"> Do records indicate that classified reviews have been performed? 	
Criterion		
4.9.2.	EPHAs not containing classified information or UCNI are reviewed by the emergency management program administrator to determine if they contain potentially exploitable information.	[DOE O 151.1C, XI.2]
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there a procedure for reviewing emergency management documents that do not contain classified information or UCNI to determine if the documents contain potentially exploitable information? 	
	<ul style="list-style-type: none"> Who performs these reviews? 	
	<ul style="list-style-type: none"> Is there documentation that these reviews have been performed? 	
Criterion		
4.9.3.	EPHAs containing potentially exploitable information are protected as Official Use Only under exemption 2 of the Freedom of Information Act?	[DOE O 151.1C, X.2.]
Lines of Inquiry		
	<ul style="list-style-type: none"> Have emergency management documents that have found to contain potentially exploitable information been properly marked as OUO? 	
	<ul style="list-style-type: none"> Are documents marked as OUO been properly protected? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review procedures in place to protect classified information or UCNI. 	
	<ul style="list-style-type: none"> Review any documentation of classified information reviews 	
	<ul style="list-style-type: none"> Review a sampling of documents to determine if the documents have been properly marked. 	
Interview		
	<ul style="list-style-type: none"> Discuss the process of classified information review with the Emergency Management program administrator. 	
Observation		
	Not applicable	

5. TRAINING AND DRILLS (FIELD ELEMENT)		
<p>Performance Goal: Performance Goal: A comprehensive, coordinated, and documented program of training and drills 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. [DOE O 151.1C Att. 2. 5 CRD] (DOE G 151.1-3, D 3.2)</p> <ol style="list-style-type: none"> Objective: Ensure Field Element personnel and contractors participate in a continuing emergency preparedness program of training, drills, and exercises. [DOE O 151.1C, I.9.I] Objective: A coordinated program of training and drills for developing and/or maintaining specific emergency response capabilities must be an integral part of the emergency management program. [DOE O 151.1C, IV.4.a] Objective: DOE offices and organizations must ensure that their Federal employees are appropriately trained and technically capable of carrying out their responsibilities. [DOE O 426.1, 4.] Objective: Training documentation and records should be formally managed and controlled to ensure that training programs support current emergency plans and requirements and that training records are maintained for instructors and for all personnel assigned ERO positions. (DOE G 151.1-3, D.2.1) 		
OBJECTIVE		
5.1.	Ensure Field Element personnel and contractors participate in a continuing emergency preparedness program of training, drills, and exercises.	[DOE O 151.1C, I.9.I]
Criterion		
5.1.1.	A comprehensive and systematic training program plan for accomplishing emergency management training goals is established and implemented.	(DOE G 151.1-3, D.3.2, P3.1, P3.2, P3.4, P3.5, P3.6)
Lines of Inquiry		
	<ul style="list-style-type: none"> Is the Field Element training program (related to emergency response) part of the site (contractor) training program? 	
	<ul style="list-style-type: none"> 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? 	(DOE G 151.1-3, D.3.2, P3.1)
	<ul style="list-style-type: none"> Does the training program plan describe the process for identifying and documenting training needs for emergency responders (e.g., training needs assessment)? 	
	<ul style="list-style-type: none"> Does the training program plan describe the process for identifying and documenting emergency response training needs for Field Element employees? 	
	<ul style="list-style-type: none"> Does the training program plan indicate that a system is in place to track the development and implementation of lessons-learned from training and drills? 	
	<ul style="list-style-type: none"> Has the training program been integrated and coordinated with related training programs provided by other organizations (e.g., security, rad health, safety)? 	(DOE G 151.1-3, D3.2, P3.6)

5. TRAINING AND DRILLS (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Does the training program plan describe administrative policies and procedures, including identifying qualified instructors, training materials approval authorities, and qualification signature authorities? 	(DOE G 151.1-3, D3.2, P3.4)
	<ul style="list-style-type: none"> Does the training program plan address maintaining training records in a manner that can be audited? 	
	<ul style="list-style-type: none"> Does the training program plan address maintaining training records in a manner that can be audited? 	
	<ul style="list-style-type: none"> Does the training program plan define minimum program standards (for Field Element personnel) for: a. training required for each position; b. proficiency (e.g. minimum grades on tests, how prior experience is credited); c. acceptable performance during drills, exercises, or actual events; and d. retraining, and re-validation. 	(DOE G 151.1-3, D3.2, P3.5)
	<ul style="list-style-type: none"> Does the training program plan indicate the proficiency needed to complete the training, (e.g., minimum grades on tests, credit for prior experience)? 	(EM Toolbox)
	<ul style="list-style-type: none"> Does the training program plan indicate acceptable levels of performance for drills, exercises, or actual events? 	(EM Toolbox)
	<ul style="list-style-type: none"> Do self-assessments of the Field Element emergency management program include the training program for Field Element personnel? 	
Criterion		
5.1.2.	The emergency management training program is managed and maintained to provide a current and structured view of program-specific training requirements.	(DOE G 151.1-3, D3.2, P3.3)
Lines of Inquiry		
	<ul style="list-style-type: none"> Is the training program reviewed and updated periodically, or as required, based on changes in related emergency plans/procedures? 	(DOE G 151.1-3, D3.2, P3.3)
	<ul style="list-style-type: none"> Has a detailed list of courses and drills provided by the emergency management program been developed and maintained? 	(DOE G 151.1-3, D3.2, P3.3)
	<ul style="list-style-type: none"> Have matrices for the identification and implementation of required training topics versus ERO positions been developed and maintained? 	(DOE G 151.1-3, D3.2, P3.3)
	<ul style="list-style-type: none"> Are the training requirements consistent with current site hazards? 	
	<ul style="list-style-type: none"> Have student and instructor feedback, actual events, and self-assessment and exercise results been used to update courseware or drills? 	
	<ul style="list-style-type: none"> Are training courses performance-based, containing learning objectives, and having a test as final validation of satisfactory completion? 	(DOE G 151.1-3, D3.2, P3.7)
	<ul style="list-style-type: none"> Does refresher training include details of program changes and lessons-learned from actual events, exercises, DOE and industry operating experiences, and program evaluations? (DOE G 151.1-3, D3.2, P3.8) 	(DOE G 151.1-3, D3.2, P3.8)
Criterion		
5.1.3.	Initial training and periodic drills are provided to all workers who may be required to take protective actions (e.g., shelter-in-place; assembly, evacuation).	[DOE O 151.1C, III.4.a.(1)]

5. TRAINING AND DRILLS (FIELD ELEMENT)		
Lines of Inquiry		
	<ul style="list-style-type: none"> Is training conducted (emergency response) for Field Element employees upon initial employment – possibly as part of the General Employee Training (GET)? 	[DOE O 151.1C, III. 4.a.(1)]
	<ul style="list-style-type: none"> Does GET (or initial training) include <ul style="list-style-type: none"> Emergency awareness? Overview of the organizations’ emergency response plan? Warning systems and alarms? Protective actions (e.g., shelter-in-place, assembly, evacuation) (DOE G 151.1-3, D3.2, P3.10) Accountability for site workers? 	(DOE G 151.1-3, 2.5.2)
	<ul style="list-style-type: none"> Are employees designated and trained to assist in a safe and orderly evacuation of other employees? 	(EA-33 CRD LOIs)
	<ul style="list-style-type: none"> Is re-training conducted when an employee’s expected actions change, or when the emergency plan changes? 	[DOE O 151.1C,III.4.a.(1)]
Criterion		
5.1.4.	Refresher training must be provided annually to certified Field Element 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.	[DOE O 151.1C, III.4.a.(2)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Has refresher training been given to certified operators and supervisors, and those Field Element employees likely to witness a hazardous material release? 	(DOE G 151.1-3, D.3.3, P3.11)
	<ul style="list-style-type: none"> Has refresher been given to Field Element employees who are required to notify proper authorities of a release? 	[DOE O 151.1C, III.4.a.(2)] (DOE G 151.1-3, D.3.3, P3.11)
	<ul style="list-style-type: none"> Has the refresher training been updated to reflect changes in the hazard and emergency plan? 	(DOE G 151.1-3, D.3.3, P3.10)
	<ul style="list-style-type: none"> Has the refresher training included lesson-learned from actual events, exercises, industry operating experiences and program evaluations? 	
Criterion		
5.1.5.	Both initial training and annual refresher training must be provided for the instruction of and demonstration of proficiency of all Field Element personnel (i.e., primary and alternate) comprising the emergency response organization (ERO).	[DOE O 151.1, IV.4.a.(1)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the training program apply to Field Element emergency response personnel that are expected to respond to onsite emergencies? 	[DOE O 151.1C, IV,4.a.]

5. TRAINING AND DRILLS (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Is both initial training and annual refresher training provided for all Field Element personnel, including primary and alternate, who comprise the emergency response organization (ERO)? 	[DOE O 151.1C Chapter IV. 4.a.(1)] (DOE G 151.1-3, D3.2, P3.12)
	<ul style="list-style-type: none"> Is the training program effectively designed to include a mix of self study/homework, formal training, and drills? 	[DOE O 151.1C, IV, 4.]
	<ul style="list-style-type: none"> Is the training program consistent with the site/facility hazards? 	
	<ul style="list-style-type: none"> Is special team training conducted for functional groups of the ERO, in particular those with technical and management team assignments (e.g. management team, consequence assessment team)? 	(DOE G 151.1-3, D3.2, P3.13)
	<ul style="list-style-type: none"> Does ERO training emphasize the need for prompt, accurate, and practical judgments involving event categorization and classification, protective action decision-making, and the urgency of notifications of Operational Emergencies (OEs)? 	(DOE G 151.1-3, D3.2, P3.14)
	<ul style="list-style-type: none"> Is EAL training conducted 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? 	(DOE G 151.1-3, D3.2, P3.14)
	<ul style="list-style-type: none"> 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, including Emergency Action Levels (EALs)? 	(DOE G 151.1-3, D3.2, P3.14)
Criterion		
5.1.6.	The Emergency Public Information Plan must provide for training and exercises for personnel who will interact with the media.	[DOE O 151.1C., IX,2.d.(2)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Do approved training programs adhere to emergency public information policies and requirements? 	[DOE O 151.1C., IX.3.]
	<ul style="list-style-type: none"> Do Field Element personnel with technical expertise related to the emergency and Field Element spokesperson assigned to the JIC receive training on how to interact with the media? 	[DOE O 151.1C., IX.4.b.(2)]
Criterion		
5.1.7.	Emergency-related information and training on site-specific conditions and hazards must be made available to offsite personnel who may be required to participate in response to an emergency at DOE/NNSA site/facility.	[DOE O 151.1C, III.4.a.(3)]
Lines of Inquiry		
	<ul style="list-style-type: none"> What provisions have been made to provide emergency-related information on site-specific conditions and hazards to offsite personnel? 	

5. TRAINING AND DRILLS (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Who provides this information? 	
	<ul style="list-style-type: none"> Which agencies/organizations has it been provided? 	
	<ul style="list-style-type: none"> Which agencies/organizations has it been provided? 	
	<ul style="list-style-type: none"> What has that training entailed? 	
Criterion		
5.1.8.	Controllers and evaluator are provided with generic and exercise-specific training.	(DOE G 151.1-3, D.3.3, CE4.14)
Lines of Inquiry		
	<ul style="list-style-type: none"> Have controllers and evaluator been provided with training on the scenario package and safety and security/safeguards provisions? 	(DOE G 151.1-3, D.3.3, CE4.15)
	<ul style="list-style-type: none"> Does controller/evaluator training include details on safety and security/safeguards measures, responsibilities, precautions and limitations in effect for the exercise, and messages/contingency messages? 	(DOE G 151.1 3, D.3.3. CE4.12, 16)
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review field/site/facility emergency management training program plan for content, scope, applicability, and overall compliance with criteria. 	
	<ul style="list-style-type: none"> Review any training program planning documents that are applicable to Field Element personnel, including job task analyses, training matrix, and any memoranda, letters, notes, or presentations representing input to the facility site program administrator to ensure the training program is well integrated site-wide. 	
	<ul style="list-style-type: none"> Review field/site/facility emergency management training courses, including instructor manuals, plans of instruction, testing instruments, software, visual aids, and learning tools. 	
	<ul style="list-style-type: none"> Review documentation/records for all training courses that pertain to Field Element personnel, including attendance records, student performance, qualification matrices, instructor evaluations, and all other documents related to coursework. 	
	<ul style="list-style-type: none"> Review all drill program records related to Field Element personnel, including drill plans, attendance records, student performance, qualification matrices, lessons learned, instructor evaluations, and all other records and documents related to the drill program. 	
	<ul style="list-style-type: none"> Review the field/site/facility emergency plan, emergency readiness assurance plan, memoranda or agreements with offsite response organizations, and any related documentation for training program input and integration. 	
Interview		

5. TRAINING AND DRILLS (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Interview individual with overall responsibility (Training Program Manager) for managing the field/site/facility training and drills program to verify documentation for each criterion. 	
Observation		
	<ul style="list-style-type: none"> If possible observe training being given. 	
OBJECTIVE		
5.2.	A coordinated program of training and drills for developing and/or maintaining specific emergency response capabilities must be an integral part of the emergency management program.	[DOE O 151.1C, IV.4.a]
Criterion		
5.2.1.	Periodic drills are provided to all workers who may be required to take protective actions (e.g., shelter-in-place; assembly, evacuation).	[DOE O 151.1C, III.4.(1)] (DOE G 151.1-3, D3.2, P3.10)
Lines of Inquiry		
	<ul style="list-style-type: none"> Have drills been held for all Field Element employees that may be required to take protective actions? 	
	<ul style="list-style-type: none"> How often have these types of drills taken place? 	
	<ul style="list-style-type: none"> At a minimum are annual building evacuation exercises consistent with Federal regulations (e.g., 41 CFR 102 74-360), local ordinances, and NFPA standards conducted? 	(EA-33 CRD LOIs)
Criterion		
5.2.2.	Drills provide supervised, “hands-on” training and/or validation of classroom training for members of the ERO.	[DOE O 151.1C, IV.4.a.(1)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the training program plan describe a drill schedule? 	
	<ul style="list-style-type: none"> Does the training program plan indicate the link between training and drills? 	
	<ul style="list-style-type: none"> Are drills used as a validation for classroom training? 	
	<ul style="list-style-type: none"> Are the drills provided to Field Element members of the ERO supervised, hands-on training? 	(DOE G 151.1-3, D.3.2, P3.17)
	<ul style="list-style-type: none"> Do the drills provide opportunities to demonstrate responder proficiency in infrequently performed emergency management tasks? 	(DOE G 151.1-3, D.3.2, P3.17)
	<ul style="list-style-type: none"> Do Field Element employees who, in course of their regular job duties, work with hazardous materials receive training on the hazards of specific hazardous substances? 	(EA-33 CRD LOIs)
	<ul style="list-style-type: none"> Do Field Element employees who will be called upon to provide technical advice or assistance to the individual in charge at a hazardous substance release incident receive training in the area of their specialty annually? 	(EA-33 CRD LOIs)

5. TRAINING AND DRILLS (FIELD ELEMENT)		
	<ul style="list-style-type: none"> 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: a. training on facility- and site-specific emergency-related information, conditions, and hazards; and b. the opportunity to participate in training and drills validating procedures for response activities expected to involve integration of onsite and offsite response resources? 	(DOE G 151.1-3 D 3.2 P3.15)
	<ul style="list-style-type: none"> Are drills developed or modified based upon feedback and lessons learned from actual events, exercise evaluations, and self-assessments? 	(DOE G 151.1-3 D3.2, P3.19)
	<ul style="list-style-type: none"> Are drills developed or modified to validate new or revised procedures or equipment modifications? 	(DOE G 151.1-3 D3.2, P3.19)
	<ul style="list-style-type: none"> Do drills incorporate the capabilities to respond to a natural phenomena event? 	(EA-33 Non-CRD LOIs)
	<ul style="list-style-type: none"> Are drills an integral part of training and do they have the appropriate level of complexity, focus, and site-specific parameters to identify performance shortfalls and initiate needed improvements? 	(EA-33 Non-CRD LOIs)
	<ul style="list-style-type: none"> Do drills include planning for scenarios that provide interface between the ERO and site organizations/teams with an emergency response role (e.g., security, consequence assessment teams, medical responders, public affairs)? 	(EM Toolbox)
	<ul style="list-style-type: none"> Have tabletop training drills or activities been held in conjunction with training? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review field/site/facility emergency management training program plan for content, scope, applicability, and overall compliance with criteria. 	
	<ul style="list-style-type: none"> Review drill packages where Field Element personnel were involved. 	
	<ul style="list-style-type: none"> Review all drill program records, including drill plans, attendance records, student performance, qualification matrices, lessons learned, instructor evaluations, and all other records and documents related to the drill program. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility (Training Program Manager) for managing the field/site/facility training and drills program to verify documentation for each criterion. 	
Observation		
	<ul style="list-style-type: none"> Observe a drill. 	
OBJECTIVE		
5.3.	DOE offices and organizations must ensure that their Federal employees are appropriately trained and technically capable of carrying out their responsibilities.	[DOE O 426.1, 4.]
Criterion		

5. TRAINING AND DRILLS (FIELD ELEMENT)		
5.3.1.	Technical Qualification Programs (TQP) specifically apply to DOE technical employees whose duties and responsibilities require them to provide assistance, guidance, direction, or oversight that could affect the safe operation of a defense nuclear facility, including evaluation of contractor activities at those facilities.	[DOE O 426.1,3.a.]
Lines of Inquiry		
	<ul style="list-style-type: none"> Have the TQP requirements for emergency management been documented in a TQP plan? 	[DOE O 426.1,4.b.(3)]
	<ul style="list-style-type: none"> Has the Field Element identified critical technical capability positions in relation to emergency management that must participate in the TQP? 	[DOE O 426.1, 4.b.(1)]
	<ul style="list-style-type: none"> Has the Field Element designated the positions and/or individual in their respective organizations required to participate in the TQP? [DOE O 426.1, 4.b.(5)(a)] 	[DOE O 426.1, 4.b.(5)(a)]
	<ul style="list-style-type: none"> Has individual competencies in the Functional Area Qualification of emergency management been evaluated and documented by a qualifying official and/or the immediate supervisor? 	[DOE O 426.1, 4.b.(5)(a)]
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review Field Element TQP documentation (TQP Plan, list of who is qualified, how they were qualified). 	
	<ul style="list-style-type: none"> Review public information training (DOE spokesperson training) documentation. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility (Training Program Manager) for managing the field/site/facility training and drills program to verify documentation for each criterion. 	
	<ul style="list-style-type: none"> Interview facility emergency management personnel with training responsibilities on sites with multiple facilities to determine effectiveness of site-wide program integration. 	
Observation		
	Not applicable.	
OBJECTIVE		
5.4	Training documentation and records should be formally managed and controlled to ensure that training programs support current emergency plans and requirements and that training records are maintained for instructors and for all personnel assigned ERO positions.	(DOE G 151.1-3, D.2.1)
Criterion		
5.4.1.	Lesson plans, drill plans, training materials, instructor and student manuals, and training software for Field Element emergency management training are maintained, formally documented, and included in an index or matrix.	(DOE G 151.1-3, D.3.2, P3.20)
Lines of Inquiry		

5. TRAINING AND DRILLS (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Are there a procedures/process used in documenting and maintaining training records? 	
	<ul style="list-style-type: none"> Are lesson plans formally documented and maintained? 	
	<ul style="list-style-type: none"> Are drill plans formally documented and maintained? 	
	<ul style="list-style-type: none"> Are training materials documented and maintained? 	
	<ul style="list-style-type: none"> Is training software documented and maintained? 	
	<ul style="list-style-type: none"> Are the records used in determining the types of training to be scheduled and the type and quantity of resources that are needed to conduct training and drills? 	
	<ul style="list-style-type: none"> Have qualification records for instructors been maintained? 	
	<ul style="list-style-type: none"> Are training records maintained in a manner that can be audited? 	
Criterion		
5.4.2.	Training records are maintained for Field Element personnel assigned ERO positions, primary and alternate, showing in-progress, final and upcoming re-qualification status.	(DOE G 151.1-3, D.3.2, P3.21)
Lines of Inquiry		
	<ul style="list-style-type: none"> Are training records for personnel assigned Field Element ERO positions (primary and alternate) maintained? 	
	<ul style="list-style-type: none"> Do training records indicate the status of individual emergency responder qualifications? 	
	<ul style="list-style-type: none"> Do training records for each course indicate course attendance and completion? 	
	<ul style="list-style-type: none"> Do training records for each course indicated training dates, length and name of the instructor? 	
	<ul style="list-style-type: none"> Do training records include the status of emergency responder qualifications? 	
	<ul style="list-style-type: none"> Do training records include memos related to scheduled and canceled training or training exemptions? 	(EM Toolbox)
	<ul style="list-style-type: none"> Do training records include certificates for training conducted outside of DOE 	(EM Toolbox)
	<ul style="list-style-type: none"> Do training records include course and program evaluations? 	
Criterion		
5.4.3.	Drill and exercise participation and performance is documented for each member of the ERO.	(DOE G 151.1-3, D.3.2, P3.22)
Lines of Inquiry		
	<ul style="list-style-type: none"> Are scores on training validation tests and performance during drills and exercises recorded and maintained? 	
	<ul style="list-style-type: none"> Are records kept of exercise participation by members of the ERO? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review field/site/facility emergency management training program plan regarding record keeping. 	

5. TRAINING AND DRILLS (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Review any training program planning documents pertaining to Field Element employees, including job task analyses, training matrix, and any memoranda, letters, notes, or presentations representing input to the facility site program administrator. 	
	<ul style="list-style-type: none"> Review site/facility emergency management training courses that apply to Field Element personnel, including instructor manuals, plans of instruction, testing instruments, software, visual aids, and learning tools. 	
	<ul style="list-style-type: none"> Review documentation/records for all training courses, including attendance records, student performance, qualification matrices, instructor evaluations, and all other documents related to coursework. 	
	<ul style="list-style-type: none"> Review all drill program records, including drill plans, attendance records, student performance, qualification matrices, lessons learned, instructor evaluations, and all other records and documents related to the drill program. 	
	<ul style="list-style-type: none"> Review the field/site/facility emergency plan, emergency readiness assurance plan, memoranda or agreements with offsite response organizations, and any related documentation for training program input and integration. 	
	<ul style="list-style-type: none"> Review exercise participation records and compare them to ERO personnel. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility (Training Program Manager) for managing the field/site/facility training and drills program to verify documentation for each criterion. 	
	<ul style="list-style-type: none"> Interview the individual responsible for training/drill record keeping. 	
Observation		
	Not applicable.	

6. EXERCISES (FIELD ELEMENT)		
Performance Goal: Exercises are conducted to validate the response program elements of an emergency management program. (DOE G 151.1-3, 1.4.1 and D.3.3)		
<ol style="list-style-type: none"> 1. Objective: Ensure Cognizant Field Element personnel and contractors participate in a continuing emergency preparedness program of training, drills, and exercises. [DOE O 151.1C, I.9.I] 2. Objective: The Field Element approves site exercise packages (EXPLAN) prior to the exercise. [DOE O 151.1C, I.9.w] 3. Objective: Each exercise must have specific objectives and must be fully documented (e.g., by scenario packages that include objectives, scope, timelines, injects, controller instructions, and evaluation criteria). [DOE O 151.1C, IV.4.b], (DOE G 151.1-3, D.3.3, C/E4.6) 		
OBJECTIVE		
6.1.	Ensure Cognizant Field Element personnel and contractors participate in a continuing emergency preparedness program of training, drills, and exercises.	[DOE O 151.1C, I.9.I]
Criterion		
6.1.1.	At a minimum, each facility associated with the Field Element conducts a building evacuation exercise annually to ensure that employees are able to safely evacuate their work area.	[DOE O 151.1C, III-4.b.(1)] (DOE G 151.1-3, D.3.3, P4.5)
Lines of Inquiry		
	<ul style="list-style-type: none"> • Has each facility associated with the Field Element annually conducted a building evacuation exercise? 	
	<ul style="list-style-type: none"> • Is this exercise consistent with Federal regulations, local ordinances or NFPA standards? 	
	<ul style="list-style-type: none"> • Is this exercise part of the Field Element/site exercise plan? 	
Criterion		
6.1.2.	A formal exercise program must be established to validate all elements of the emergency management program over a five-year period. (Hazardous Material Program)	[DOE O 151.1C,IV.4.b.] (DOE G 151.1-3, D.3.3, P4.1.a)
Lines of Inquiry		
	<ul style="list-style-type: none"> • Does a formal exercise program exist? 	
	<ul style="list-style-type: none"> • Where is the formal exercise program described? (Exercise program plan, emergency plan?) 	
	<ul style="list-style-type: none"> • Does the exercise program plan describe how all the emergency response elements will be validated over a five year period? (an objective matrix) 	(DOE G 151.1-3, D.3.3, P4.1.a)
	<ul style="list-style-type: none"> • Are specific objectives incorporated into the exercise program plan? 	

6. EXERCISES (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Does the exercise program include provisions for incorporating objectives in each exercise that are designed to validate: <ul style="list-style-type: none"> Revised plans/procedures? Implemented corrective actions? Program improvements? 	(DOE G 151.1-3, D.3.3, P4.1.b)
	<ul style="list-style-type: none"> Does the exercise program include provisions for evaluating all exercises? 	(DOE G 151.1-3, D.3.3, P4.1.c)
	<ul style="list-style-type: none"> Has the Field Element evaluated a site/facility exercise in the past three years? 	
	<ul style="list-style-type: none"> Does the exercise program have an established critique process? 	(DOE G 151.1-3, D.3.3, P4.1.c)
	<ul style="list-style-type: none"> Have corrective action items identified as a result of the critique process been incorporated into the emergency management program? (see Readiness Assurance section) 	
	<ul style="list-style-type: none"> Does the exercise program plan ensure tests of communications systems are conducted annually or as often as needed to insure information can be efficiently exchanged with response organizations offsite and at the Field Element and DOE HQ levels? 	
	<ul style="list-style-type: none"> Are evaluations of annual facility exercises by Departmental entities (e.g., Field Element, Program Secretarial Officers 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? 	[DOE O 151.1C, IV. 4.b.(1)(a)]
Criterion		
6.1.3.	Each Field Element/site/facility (contractor) must exercise its emergency response capability annual and include at least facility level evaluation and critique.	[DOE O 151.1C, IV.4.b.(1)(a)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Has each of the facilities under the Field Element exercised its emergency response capability annually in a facility operations-based exercise? 	
	<ul style="list-style-type: none"> Has the Field Element evaluated these exercises? 	
	<ul style="list-style-type: none"> Has the Field Element participated in these exercises? 	
	<ul style="list-style-type: none"> Has the emergency response capability included the common-facility-level ERO positions? 	
	<ul style="list-style-type: none"> Has facility exercise programs included scenarios using simulated, realistic emergency event/conditions of varying scopes over a 5-year period? 	
	<ul style="list-style-type: none"> Has a facility level evaluation and critique been conducted as part of these exercises? 	
	<ul style="list-style-type: none"> Has external entities evaluated these exercises? 	
	<ul style="list-style-type: none"> If “drills” are used in place of exercises, are these drills evaluated, corrective actions identified and tracked to completion? 	
Criterion		

6. EXERCISES (FIELD ELEMENT)		
6.1.4.	The site-level emergency response organizations elements and resources must participate in a minimum of one exercise annually.	[DOE O 151.1C, IV.4.b.(1)(b)], (DOE G 151.1-3, D.3.3, P4.2)
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the site/facility contractor annually test the <u>integrated</u> emergency response capabilities of personnel in facility and site-level ERO positions? 	
	<ul style="list-style-type: none"> Has all Field Element ERO members participated in an exercise in the past year? 	
	<ul style="list-style-type: none"> Does the Field Element participate in these exercises? 	
	<ul style="list-style-type: none"> Does the basis of site level exercises rotate among facilities or groups of facilities? 	
	<ul style="list-style-type: none"> Do the evaluations and critiques for these exercises include both facility and site level? 	
Criterion		
6.1.5.	Offsite response organizations have been invited to participate in site-wide exercises at least once every three years.	[DOE O 151.1C, 4.b.(1)(c)], (DOE G 151.1-3, D.3.3, P4.2)
Lines of Inquiry		
	<ul style="list-style-type: none"> Have offsite organizations been invited to participate in a site-wide exercise (full participation exercise) at least once every three years? 	
	<ul style="list-style-type: none"> How often do offsite organizations participate? 	
	<ul style="list-style-type: none"> Which offsite organizations have participated? 	
	<ul style="list-style-type: none"> Has the scenarios for full participation exercises been varied (if possible)? 	
	<ul style="list-style-type: none"> Has the Department's radiological emergency response assets participated or have been requested to participate in any exercises in the past three years? 	
	<ul style="list-style-type: none"> Have the site area exercises included scenarios testing the interface between security and facility/site ERO? 	[DOE O 151.1C, 4.b.(2)], (DOE G 151.1-3, D.3.3, P4.4)
Criterion		
6.1.6.	Program and exercise evaluations must be based on specific standards and criteria, issued by the Director, Office of Emergency Operations.	[DOE O 151.1C, X.2], (DOE G 151.1-3, D.3.3)
Lines of Inquiry		
	<ul style="list-style-type: none"> Have exercises been evaluated using criteria linked to objectives? 	
	<ul style="list-style-type: none"> Is the criteria based on criteria issued by the Director, Office of Emergency Operations? 	
APPROACH		
Document/Record Review		

6. EXERCISES (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Review field/site/facility emergency management exercise program plan for content, scope, applicability, and overall compliance with criteria. 	
	<ul style="list-style-type: none"> Review exercise packages (EXPLAN). 	
	<ul style="list-style-type: none"> Review AAR reports. 	
	<ul style="list-style-type: none"> Review corrective actions from previous exercises to determine if the corrective action are included in the objectives. 	
	<ul style="list-style-type: none"> Review MOUS/MOAs or other documentation related to offsite interface. 	
	<ul style="list-style-type: none"> Review all exercise program records, including exercise plans, attendance records, student performance, qualification matrices, lessons learned, instructor evaluations, and all other records and documents related to the drill program. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility for exercise development. 	
Observation		
	Not applicable	
OBJECTIVE		
6.2.	The Field Element approves site exercise packages (EXPLAN) prior to the exercise.	[DOE O 151.1C, I.9.w]
Criterion		
6.2.1	The Field Element reviews the exercise packages (EXPLAN) prior to the exercise.	(DOE G 151.1-3, D.3.1, P2.5)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the Field Element reviewed the site/facility contractor exercise packages (EXPLAN)? 	
	<ul style="list-style-type: none"> Is there a document trail of the review? 	
	<ul style="list-style-type: none"> Who from the Field Element (positions) review the site/facility contractor exercise package? 	
	<ul style="list-style-type: none"> Is there a procedure, process or system to aid in the review? 	
	<ul style="list-style-type: none"> Has the site/facility contractor completed the EXPLAN in enough time to allow a thorough review by the Field Element? 	
	<ul style="list-style-type: none"> Is there a procedure for planning exercises? 	
	<ul style="list-style-type: none"> Is the exercise fully documented by an EXPLAN? 	(DOE G 151.1-3, D.3.3, P4.2)
	<ul style="list-style-type: none"> Was the EXPLAN completed in sufficient time before the conduct of the exercise to allow for review and comments for the Program Office and the Office of Emergency Operations? 	[DOE O 151.1C, IV.4.b.(1)(d)]
	<ul style="list-style-type: none"> Have the site contractor/Field Element EXPLANs been sent to the Program Office and Office of Emergency Operations? 	
	<ul style="list-style-type: none"> How much time does the Program Office and Office of Emergency Operations have to review the EXPLAN prior to the exercise? Is this less than 30 days? 	

6. EXERCISES (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Has either the Program Office or Office of Emergency Operations submitted comments back to the Field Element on the EXPLAN? 	
Criterion		
6.2.2.	The After Action Report (AAR) documents the results of the exercise critique and evaluation.	[DOE O 151.1C, IV.4.b.1.(e)], (DOE G 151.1-3, D.3.3, CE4.32)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has an AAR been completed within 30 working days of the exercise? 	
	<ul style="list-style-type: none"> Did the Field Element review the AAR? 	
	<ul style="list-style-type: none"> Are evaluation results regarding Field Element participation included in the report? Or is there a separate report? 	
	<ul style="list-style-type: none"> Have evaluation reports (After Action Reports (AAR)) been completed that include findings and recommendations? 	
	<ul style="list-style-type: none"> How long has it taken to complete the AARs? 	
	<ul style="list-style-type: none"> Has the AAR been submitted to the Field Element? 	
	<ul style="list-style-type: none"> Has the Field Element contributed to AAR(s)? How? 	
	<ul style="list-style-type: none"> Have corrective actions, identified in the AAR, been incorporated into the emergency management program? 	
	<ul style="list-style-type: none"> Is there a verification and validation process for corrective actions? 	
	<ul style="list-style-type: none"> Is this verification and validation process independent from those who perform the corrective action? 	
	<ul style="list-style-type: none"> Do corrective actions involving the revision of procedures or training of personnel completed before the next exercise? 	
	<ul style="list-style-type: none"> Is there a system in place to track the development and implementation of lessons-learned from exercises and promote program improvements? (See Readiness Assurance section) 	
	<ul style="list-style-type: none"> Has the AAR been submitted to the Program Office and the Office of Emergency Operations? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review field/site/facility emergency management exercise program plan for content, scope, applicability, and overall compliance with criteria. 	
	<ul style="list-style-type: none"> Review correspondence with DOE HQ related to exercise planning. 	
	<ul style="list-style-type: none"> Review exercise packages (EXPLAN). 	
	<ul style="list-style-type: none"> Review AAR reports. 	

6. EXERCISES (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Review all exercise program records, including exercise plans, attendance records, student performance, qualification matrices, lessons learned, instructor evaluations, and all other records and documents related to the drill program. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility for exercise development. 	
Observation		
	<ul style="list-style-type: none"> Observe an exercise. 	
OBJECTIVE		
6.3.	Each exercise must have specific objectives and must be fully documented (e.g., by scenario packages that include objectives, scope, timelines, injects, controller instructions, and evaluation criteria).	[DOE O 151.1C, IV.4.b], (DOE G 151.1-3, D.3.3, C/E4.6)
Criterion		
6.3.1.	Exercise planning is effectively coordinated among onsite and offsite organizations or groups regarding their respective participation and exercise objectives.	(DOE G 151.1-3, D.3.3, CE4.1)
Lines of Inquiry		
	<ul style="list-style-type: none"> Who is involved in exercise planning (what functional groups)? 	
	<ul style="list-style-type: none"> Does the Field Element participate in exercise planning (as opposed to oversight)? 	
	<ul style="list-style-type: none"> Are there any functional areas that have not participated in exercise planning (when asked to)? If so why not? 	
	<ul style="list-style-type: none"> Have limitations or simulations regarding participants play been identified and documented? 	
	<ul style="list-style-type: none"> Has exercise preparation included coordination among participants including provisions for exercise initiation, interruption, and termination? 	(DOE G 151.1-3, D.3.3, CE4.13)
	<ul style="list-style-type: none"> Have preparations, including participant briefings, safety provisions, staging of simulation props, positioning of controllers/evaluators, and establishing of initial conditions been completed prior to exercise initiation? 	(DOE G 151.1-3, D.3.3, CE4.16)
	<ul style="list-style-type: none"> Has security of the exercise scenario been properly managed; pre-staging of players and/or prior knowledge of scenario material by layers been effectively prevented? 	DOE G 151.1-3, D.3.3, CE4.17)
Criterion		
6.3.2.	The provisions for exercise conduct and control are clearly identified.	(DOE G 151.1-3, D.3.3, P4.4.b)
Lines of Inquiry		
	<ul style="list-style-type: none"> Have controllers and evaluators been provided generic and exercise-specific training? 	(DOE G 151.1-3, D.3.3, CE4.14)
	<ul style="list-style-type: none"> Have controllers and evaluator been provided with training on the scenario package and safety and security/safeguards provisions? 	(DOE G 151.1-3, D.3.3, CE4.15)

6. EXERCISES (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Have controller organization(s) been adequately staffed and positioned for effective exercise conduct/control? 	(DOE G 151.1-3, D.3.3, CE4.18)
	<ul style="list-style-type: none"> Have controllers conducted/controlled the exercise in accordance with the EXPLAN? 	(DOE G 151.1-3, D.3.3, CE4.19)
	<ul style="list-style-type: none"> Have controllers allowed for free play that would not interfere with the scenario? 	(DOE G 151.1-3, D.3.3, CE4.20)
	<ul style="list-style-type: none"> Have controllers prevented interference and/or prompting by non-responders? 	(DOE G 151.1-3, D.3.3, CE4.21)
	<ul style="list-style-type: none"> Have simulations of activities been sufficiently realistic to provide confidence that the activity could have been performed during a real emergency? 	(DOE G 151.1-3, D.3.3, CE4.22)
	<ul style="list-style-type: none"> Have players/responders performed their respective functions, initially and throughout the exercise, in a professional manner as if the situation were an actual emergency? 	(DOE G 151.1-3, D.3.3, CE4.23)
Criterion		
6.3.3.	Exercises must be evaluated.	[DOE O 151.1C, IV.4.b.]
Lines of Inquiry		
	<ul style="list-style-type: none"> Did the Field Element have a separate team for any exercises? 	
	<ul style="list-style-type: none"> Was the evaluator organization sufficiently staffed to evaluate the performance and key decision-making of the responders in satisfying the exercise objectives? 	(DOE G 151.1-3, D.3.3, CE4.24)
	<ul style="list-style-type: none"> Were evaluators familiar with responder organizations, functions, procedures, and anticipated responder decisions and response activities? 	(DOE G 151.1-3, D.3.3, CE4.25)
	<ul style="list-style-type: none"> Have controllers and evaluator been provided with training on the scenario package and safety and security/safeguards provisions? 	(DOE G 151.1-3, D.3.3, CE4.15)
	<ul style="list-style-type: none"> Have controllers and evaluators been provided generic and exercise-specific training? 	(DOE G 151.1-3, D.3.3, CE4.14)
	<ul style="list-style-type: none"> Were responders/players evaluated with respect to demonstrated proficiency of their respective responsibilities and functions, communication and coordination with other responders, familiarity and use of applicable procedures and equipment, and overall professional response? 	(DOE G 151.1-3, D.3.3, CE4.26)
	<ul style="list-style-type: none"> Were facilities and equipment evaluated with respect to adequacy of functions/operability? 	(DOE G 151.1-3, D.3.3, CE4.27)
	<ul style="list-style-type: none"> Were procedures evaluated with respect to their use by the responders, specifically, their adequacy of content for the tasks performed? 	(DOE G 151.1-3, D.3.3, CE4.28)
	<ul style="list-style-type: none"> Were notifications and communications evaluated during every exercise? 	(DOE G 151.1-3, D.3.3, CE4.29)
	<ul style="list-style-type: none"> Did controllers conduct a post-exercise critique to gather and document observations and solicit feedback from the players/responders? 	(DOE G 151.1-3, D.3.3, CE4.30)

6. EXERCISES (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Did Field Element employees attend the critiques? In what capacity? 	
	<ul style="list-style-type: none"> Was a formal critique process conducted by the controller/evaluator organization to determine whether the individual exercise objectives were accomplished based on a synthesis of all the observations and information/data gathered during the conduct of the exercise 	[DOE O 151.1C, IV.4.b.], (DOE G 151.1-3, D.3.3, CE4.31)
	<ul style="list-style-type: none"> Did controllers/evaluators identify controller, scenario, equipment, procedures and performance deficiencies at the critiques? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review field/site/facility emergency management exercise program plan for content, scope, applicability, and overall compliance with criteria. 	
	<ul style="list-style-type: none"> Review exercise packages (EXPLAN). 	
	<ul style="list-style-type: none"> Review AAR reports. 	
	<ul style="list-style-type: none"> Review all exercise program records, including exercise plans, attendance records, student performance, qualification matrices, lessons learned, instructor evaluations, and all other records and documents related to the drill program. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility for exercise development. 	
Observation		
	<ul style="list-style-type: none"> Observe an exercise. 	

7. READINESS ASSURANCE (FIELD ELEMENT)		
<p>Performance Goal: The emergency management Readiness Assurance Program provides assurance that emergency plans, implementing procedures, and resources are adequate by ensuring that they are sufficiently maintained, exercised, and evaluated and that improvements are made in response to identified needs. [DOE 151.1C, X.1]</p> <p>10. Objective: The Field Element, in coordination with the Director, Office of Emergency Operations and the Program Office, support a readiness assurance program consisting of evaluations, improvements and ERAPS. [DOE O 151.1C, I.9.c]</p> <p>11. Objective: Assess the Field Element emergency management program annually and record the results of the self-assessment in the Field Element portion of the ERAP.</p> <p>12. Objective: Conduct assessments of facility emergency management programs at least once every three years and review contractor self-assessment programs annually to ensure compliance with DOE directives and policy; provide the results/conclusions to the Program Office and the Director, Office of Emergency Operations. [DOE O 151.1C, I.9.m.]</p> <p>13. Objective: Review and approve Emergency Readiness Assurance Plans (ERAPs) that cover facilities under their supervision; prepare the Field Element ERAP; submit it to the Program Office and the Director, Office of Emergency Operations (NA-40), for inclusion in the annual report on the status of the Emergency Management System. [DOE O 151.1C, I.9.h.]</p> <p>14. Objective: Implement corrective actions lessons learned from actual emergency responses and based on findings from evaluations, assessments, and appraisals. [DOE O 151.1C, I.9.o.]</p>		
OBJECTIVE		
7.1	The Field Element, in coordination with the Director, Office of Emergency Operations and Program Offices, support a readiness assurance program consisting of evaluations, improvements and ERAPS.	[DOE O 151.1C, I.9.c]
Criterion		
7.1.1	The Field Element emergency management program plan describes a readiness assurance program consisting of evaluations, improvements and ERAPS.	[DOE O 151.1C, X.1]
Lines of Inquiry		
	<ul style="list-style-type: none"> Is a readiness assurance program part of the Field Office emergency management program? 	
	<ul style="list-style-type: none"> Is the readiness assurance program described in a procedure/plan/process? 	
	<ul style="list-style-type: none"> Are evaluations, improvements (lessons learned) and ERAPs all part of the readiness assurance program? 	
Criterion		
7.1.2	The Field Element notifies the Program Office and NA-40 of the site/facility assessment schedule(s) under its purview.	(DOE G 151.1-3, D.3.1, P2.6)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the Field Element developed an assessment schedule for the site/facility contractor site? 	
	<ul style="list-style-type: none"> Has the Field Element developed a self-assessment schedule for its own program? 	
	<ul style="list-style-type: none"> Where is the assessment schedule found? 	

7. READINESS ASSURANCE (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Is the assessment schedule found in the annual ERAP? 	
	<ul style="list-style-type: none"> Has the Field Element sent the assessment schedule of the site/facility contractor site and the Field Element self-assessment schedule to the Program Office and NA-40? 	
Criterion		
7.1.3	The Field Element has participated in a No-Notice exercise in the past three years.	DOE O 151.1C, X.2.d] (DOE G 151.1-3, D.3.4.,P5.8)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the Field Element participated in a No-Notice exercise? 	
	<ul style="list-style-type: none"> Who planned/conducted/evaluated the No-Notice exercise? 	
	<ul style="list-style-type: none"> Did DOE-HQ also participate in the No-Notice? Do what extent? 	
	<ul style="list-style-type: none"> If a No-Notice exercise has not been conducted, why not? 	
	<ul style="list-style-type: none"> Has the Field Element been specifically requested to participate? 	
	<ul style="list-style-type: none"> Has the Field Element management supported a No-Notice exercise? 	
Criterion		
7.1.4	The Field Element has established and tracks performance measures (indicators) for site/facility contractor sites/facilities.	
Lines of Inquiry		
	<ul style="list-style-type: none"> Are there established emergency management performance measures (indicators) for the site/facility contractor? 	
	<ul style="list-style-type: none"> Do contractual arrangements with the site/facility contractors provide for measuring the effectiveness of the emergency management programs? 	[DOE 151.1C, X.2.c]
	<ul style="list-style-type: none"> Are there site/facility contractor performance objectives and criteria and appropriate incentives identified and specified in contract documents? 	
	<ul style="list-style-type: none"> Are these performance expectations established on an annual basis? If not, is there a system for establishing them? 	[DOE O 226.1B, 4.c.]
	<ul style="list-style-type: none"> What are the performance indicators? 	
	<ul style="list-style-type: none"> Do the performance indicators track key functional areas? 	
	<ul style="list-style-type: none"> How is the performance measures (indicators/expectations) communicated to the site/facility contractor? Through formal mechanisms? 	[DOE O 226.1B,5.e.(5)]
	<ul style="list-style-type: none"> How do these performance indicators work? 	
	<ul style="list-style-type: none"> What are the repercussions if the performance is poor? 	
	<ul style="list-style-type: none"> Are the performance measures tracked? 	
	<ul style="list-style-type: none"> Has an analysis been performed on the tracking? 	
Criterion		

7. READINESS ASSURANCE (FIELD ELEMENT)		
7.1.5.	The Field Element has requested emergency management assistance from a Program Office and/or the Director, Office of Emergency Operations.	[DOE O 151.1C, X.3.a]
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the Field Element requested assistance from a Program Element or NA-40? (i.e., document review, evaluators or assessors for exercises and assessments, answers for technical questions, no-notice exercise) 	
	<ul style="list-style-type: none"> Has the Field Element received requested assistance from a Program Element and/or NA-40? 	
	<ul style="list-style-type: none"> Describe the assistance received. 	
	<ul style="list-style-type: none"> Has assistance has been requested and none obtained? 	
	<ul style="list-style-type: none"> Has there been a concern or issue with seeking assistance? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Field Element/site/facility emergency plan(s) and procedures related to readiness assurance. 	
	<ul style="list-style-type: none"> Documentation and records related to emergency management evaluation program. 	
	<ul style="list-style-type: none"> Schedule for readiness assurance activities. 	
	<ul style="list-style-type: none"> Contracts with performance indicator/expectation clauses related to emergency management. 	
	<ul style="list-style-type: none"> ERAPs for the past three years. 	
	<ul style="list-style-type: none"> Procedures related to lessons learned. 	
	<ul style="list-style-type: none"> Documentation for the incorporation of lessons learned. 	
Interview		
	<ul style="list-style-type: none"> Individual with responsibility for the readiness assurance program. 	
	<ul style="list-style-type: none"> Individual with responsibility for the lessons learned program as it applies to the emergency management program. 	
	<ul style="list-style-type: none"> Individual with responsibility for the Field Element lessons learned program. 	
Observation		
	<ul style="list-style-type: none"> Not applicable 	
OBJECTIVE		
7.2.	Assess the Field Element emergency management program annually and record the results of the self-assessment in the Field Element portion of the ERAP.	[DOE O 151.1C, I. 9.c.(3)]
Criterion		
7.2.1.	Field Office has completed a self-assessment of the Field Office emergency management program.	[DOE O 151.1C, X.2.a.(2)(b)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Has a self-assessment of the Field Element emergency management program been conducted this fiscal year (or within the last calendar year)? 	(DOE G 151.1-3, D.3.4, P5.4)

7. READINESS ASSURANCE (FIELD ELEMENT)		
	<ul style="list-style-type: none"> An annual self-assessment of the Field Element emergency management program has been conducted in the past three years? 	
	<ul style="list-style-type: none"> An annual self-assessment of the Field Element emergency management program has been conducted in the past three years? 	
	<ul style="list-style-type: none"> Is there a documented process/procedure used to conduct the self-assessment? 	
	<ul style="list-style-type: none"> Are criteria/LOIs (CRADs) used in conducting this self-assessment? 	
	<ul style="list-style-type: none"> Who conducts the self-assessment? 	
	<ul style="list-style-type: none"> What are the qualifications of the assessors? 	
	<ul style="list-style-type: none"> Does this self- assessment include observations of emergency response? 	
	<ul style="list-style-type: none"> Did the self-assessment address the goals established for the program in the past year? 	
	<ul style="list-style-type: none"> Were the strengths and weaknesses of each program element addressed in the assessment? 	
Criterion		
7.2.2.	The results of the Field Office self-assessment are documented and the results recorded in the Field Office portion of the ERAP.	[DOE O 151.1C, X.2.a.(2)(b)],(DOE G 151.1-3, D.3.4, P5.6 and P5.22)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has a written report been completed on the self-assessment? 	
	<ul style="list-style-type: none"> Are findings identified in the written report? 	
	<ul style="list-style-type: none"> Who reviewed/ signed off on the report? 	
	<ul style="list-style-type: none"> Was the result of the self-assessment included in the Field Element portion of the annual ERAP? 	
Criterion		
7.2.3.	There is a process in place to correct any deficiencies, weaknesses, improvement items found in the Field Element emergency management program self-assessment.	(DOE G 151.1-3, D.3.4, P5.10)
Lines of Inquiry		
	<ul style="list-style-type: none"> Did the report identify deficiencies, weaknesses and/or improvement items? 	
	<ul style="list-style-type: none"> Has a corrective action plan been formulated to address the deficiencies and weaknesses? 	
	<ul style="list-style-type: none"> Is there a process/procedure utilized to address corrective actions? Describe. 	
	<ul style="list-style-type: none"> Are corrective actions placed into a tracking system to ensure closure? 	
	<ul style="list-style-type: none"> Have corrective actions been verified and validated? 	
Criterion		
7.2.4.	The Field Element has participated in the DOE/NNSA Corporate Lessons Learned program by submitting entries.	[DOE O151.1C, X.3.c.]
Lines of Inquiry		

7. READINESS ASSURANCE (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Does the Field Element and/or site/facility contractor participate in the DOE/NNSA Corporate Lessons Learned Program? 	
	<ul style="list-style-type: none"> Is there a system/process for submitting lessons learned from site/facility contractor/ Field Element to the DOE/NNSA Corporate Lessons Learned Program? Describe. 	
	<ul style="list-style-type: none"> Does the Field Element review the submitting entries from the site/facility contractor? 	
	<ul style="list-style-type: none"> How many entries has the site/facility contractor proposed to be entered into DOE/NNSA Corporate Lessons Learned Program? 	
	<ul style="list-style-type: none"> Have "good practices" been considered for lessons-learned? 	
	<ul style="list-style-type: none"> How many entries have been submitted in the past 5 years? 	
	<ul style="list-style-type: none"> How many entries, once submitted, have been accepted in the past 5 years? 	
	<ul style="list-style-type: none"> Are the numbers of submissions/entries indicated in the annual ERAP? 	
	<ul style="list-style-type: none"> Is there a site/facility contractor/Field Element lessons learned data base? 	
	<ul style="list-style-type: none"> If so, is it utilized by the site/facility contractor and/or the Field Element? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Field Element/Site/facility emergency plan(s) and procedures related to performing assessments. 	
	<ul style="list-style-type: none"> Schedule for readiness assurance activities. 	
	<ul style="list-style-type: none"> CRADs used to perform Field Element self-assessment. 	
	<ul style="list-style-type: none"> Field Element self-assessment reports (including exercises) 	
	<ul style="list-style-type: none"> Field Element corrective action process if it not the same system as the contractor. 	
	<ul style="list-style-type: none"> Field Element corrective action plan. 	
	<ul style="list-style-type: none"> ERAPs for the past three years. 	
	<ul style="list-style-type: none"> Procedures related to lessons learned. 	
	<ul style="list-style-type: none"> Documentation for the incorporation of lessons learned. 	
Interview		
	<ul style="list-style-type: none"> Documentation for the incorporation of lessons learned. 	
	<ul style="list-style-type: none"> Individual with responsibility for the lessons learned program as it applies to the emergency management program 	
	<ul style="list-style-type: none"> Individual with responsibility for the site-wide lessons learned program 	
Observation		
	Not applicable	
OBJECTIVE		

7. READINESS ASSURANCE (FIELD ELEMENT)		
7.3	Conduct assessments of facility emergency management programs at least once every three years and review contractor self-assessment programs annually to ensure compliance with DOE directives and policy; provide the results/conclusions to the Program Office and the Director, Office of Emergency Operations.	[DOE O 151.1C, I.9.m.]
Criterion		
7.3.1	Site/facility emergency management program elements under the Field Element purview have been assessed during the fiscal/calendar year. (The Field Element conducts assessment of the contractor program.)	[DOE O 151.1C, X.2.a.(2)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the Field Element have an assessment program? 	
	<ul style="list-style-type: none"> How often is the site/facility emergency management program elements assessed? 	
	<ul style="list-style-type: none"> Is the assessment program part of ISM reviews? 	
	<ul style="list-style-type: none"> Is the assessment done in one assessment or are separate elements done each year? 	
	<ul style="list-style-type: none"> Has response elements been evaluated as part of the assessment? 	
	<ul style="list-style-type: none"> Is there a procedure for how assessments are to be completed? 	
	<ul style="list-style-type: none"> Does Quality Assurance have any input for assessments? 	
	<ul style="list-style-type: none"> Are objectives/criteria/LOIs (CRADs) used in conducting assessments? 	
	<ul style="list-style-type: none"> Do the assessments include good practices and/or recommendations? 	
	<ul style="list-style-type: none"> Are there records of the assessment? 	(DOE G 151.1-3, D.3.4, P5.4)
Criterion		
7.3.2.	Written reports have been completed for assessments conducted.	(DOE G 151.1-3, D.3.4., P5.6)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the Field Element issued a report on the observations of the Field Element assessment of the site/facility contractor? 	
	<ul style="list-style-type: none"> Who in the Field Element reviewed the report prior to issuance? 	
	<ul style="list-style-type: none"> Did the site/facility contractor have the opportunity to comment on the assessment? Who? 	
	<ul style="list-style-type: none"> Is there documentation of how site/facility contractor comments were resolved? 	
	<ul style="list-style-type: none"> Who in the Field Element signed the report? 	
	<ul style="list-style-type: none"> Were findings in the report included in the annual ERAP? 	
Criterion		
7.3.3.	Site/facility, under the Field Element purview, conducts an annual self-assessment of their emergency management programs.	[DOE O 151.1C, X.2.a.(1)], (DOE G 151.1-3, D.3.4., P5.4)

7. READINESS ASSURANCE (FIELD ELEMENT)		
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the site/facility contractor use a process/procedure for conducting the annual self-assessment of the site/facility emergency management program? 	
	<ul style="list-style-type: none"> Are all elements of the emergency management program assessed every year? 	
	<ul style="list-style-type: none"> What is the schedule for conducting assessments? 	
	<ul style="list-style-type: none"> Are objectives/criteria/LOIs used in conducting the self-assessment? 	
	<ul style="list-style-type: none"> What site/facility contractor personnel conduct the assessment (i.e., emergency management, fire, rad, safety)? 	
	<ul style="list-style-type: none"> Do the annual self-assessments include a response activity (tabletop, drill, exercise) which is evaluated for performance? 	
	<ul style="list-style-type: none"> Were findings of the report included in the annual ERAP? 	
Criterion		
7.3.4.	The Field Element has reviewed contractor self-assessment programs to ensure compliance with DOE directives and policy.	[DOE O 151.1C, X.2.a], (DOE G 151.1-3, D.3.4., P5.4)
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the Field Element receive a copy of the self-assessments? 	
	<ul style="list-style-type: none"> Does the Field Element review the self-assessments? 	
	<ul style="list-style-type: none"> Is there a set of criteria or a procedure used to review the self-assessments? 	
	<ul style="list-style-type: none"> Who at the Field Element conducts the review? 	
	<ul style="list-style-type: none"> What does the Field Element do with the information gleaned from these self-assessments? 	
	<ul style="list-style-type: none"> Have these self-assessments been useful to the Field Element in providing oversight of the site? 	
	<ul style="list-style-type: none"> Is there any documentation of the review of these self-assessments? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Field Element/site/facility emergency plan(s) and procedures related to performing assessments and process for reviewing contractor self- assessments. 	
	<ul style="list-style-type: none"> Schedule for readiness assurance activities including contractor schedule. 	
	<ul style="list-style-type: none"> Field Element CRADs used for the contractor assessment. 	
	<ul style="list-style-type: none"> Field Element reports on the contractor’s emergency management program. 	
	<ul style="list-style-type: none"> Exercise planning documents and records, including exercise findings. 	
	<ul style="list-style-type: none"> Program reviews, corrective actions, documents/Field Element reports/notes/correspondence on the contractor’s self-assessment reports. 	

7. READINESS ASSURANCE (FIELD ELEMENT)		
Interview		
	<ul style="list-style-type: none"> Individual with responsibility for the readiness assurance program 	
	<ul style="list-style-type: none"> Individual with responsibility for performing emergency management assessments of the contractor. 	
Observation		
	Not applicable.	
OBJECTIVE		
7.4	Review and approve Emergency Readiness Assurance Plans (ERAPs) that cover facilities under their supervision; prepare the Field Element ERAP; submit it to the Program Office and the Director, Office of Emergency Operations (NA-40), for inclusion in the annual report on the status of the Emergency Management System.	[DOE O 151.1C, I.9.h.]
Criterion		
7.4.1.	Site/facility contractors submit ERAP(s) to the Field Element on time (September 30 th).	[DOE O 151.1C, X.4.a.]
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there a process/procedure exists for writing the ERAP? 	(DOE G 151.1-3, D.3.1, P2.23)
	<ul style="list-style-type: none"> Did the site/facility contractors submit an ERAP to the Field Element utilizing a template? 	
	<ul style="list-style-type: none"> The template is based on guidance from NA-40 and the Program Office? 	
	<ul style="list-style-type: none"> Was the site/facility contractor ERAP submitted to the Field Element on a timely basis (by September 30)? 	
	<ul style="list-style-type: none"> In keeping with 31 U.S.C. 1115 and 1116, does this report identify what the goals were for the fiscal year that ended coincident with the due date for the report (September 30) 	[DOE O 151.1C, X.4.a.] (DOE G 151.1-3, DO.3.1, P5.21)
	<ul style="list-style-type: none"> Does the report identify the goals for next fiscal year (which starts on October 1)? 	[DOE O 151.1C, X.4.a.] (DOE G 151.1-3, DO.3.1, P5.21)
	<ul style="list-style-type: none"> Does the report highlight program status, including significant changes in emergency management programs (i.e., planning basis, organization, facility mission, exemptions)? 	(DOE G 151.1-3, DO.3.1, P5.20)
	<ul style="list-style-type: none"> Does the ERAP document evaluation of results and the status of associated corrective actions, including site/facility self-assessments and performance measures? 	(DOE G 151.1-3, DO.3.1, P5.22)
	<ul style="list-style-type: none"> 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? 	(DOE G 151.1-3, DO.3.1, P5.23)

7. READINESS ASSURANCE (FIELD ELEMENT)		
Criterion		
7.4.2.	The Field Element reviews the ERAP(s) covering facilities under its supervision.	[DOE O 151.1C, X.4.c] (DOE G 151.1-3, D.3.1, P2.5)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the Field Element reviewed the site/facility contractor ERAP? 	
	<ul style="list-style-type: none"> Did the Field Element have any comments/revisions to the site/facility contractor ERAP? 	
	<ul style="list-style-type: none"> Are the comments documented? 	
	<ul style="list-style-type: none"> Is a procedure/checklist used to review the ERAP? 	
	<ul style="list-style-type: none"> Has the site/facility (contractor) ERAP been reviewed in a timely manner? 	
	<ul style="list-style-type: none"> Did the site/facility contractor address the Field Element comments? 	
	<ul style="list-style-type: none"> Did the Field Element approve the site/facility contractor ERAP? 	
	<ul style="list-style-type: none"> Who from the site/facility contractor signed the ERAP? 	
	<ul style="list-style-type: none"> Did the Field Element Manager sign the ERAP or transmitting memo? 	
Criterion		
7.4.3.	The Field Element must submit an ERAP summarizing its programs and its facility and activity submissions, to the Program Secretarial Officer and the Director, Office of Emergency Operations, by November 30 of each year.	[DOE O 151.1C, X.4.b.]
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the Field Element Emergency Management Program Manager prepared an ERAP for Field Office? 	
	<ul style="list-style-type: none"> Does the report identify what the goals were for the fiscal year that just ended (on September 30)? 	[DOE O 151.1C, X.4.b.]
	<ul style="list-style-type: none"> Does the report indicate to what degree these goals were accomplished? 	[DOE O 151.1C, X.4.b.]
	<ul style="list-style-type: none"> Does the Field Element have a process in place to track and collect the Field Element emergency management activities (throughout the year) to be included in the annual consolidated ERAP? 	(DOE G 151.1-3, D3.4, P5.20)
Criterion		
7.4.4.	The Field Element submits the consolidated ERAP to the Director, Office of Emergency Operations and the Program Office (by November 30 th).	[DOE O 151.1C, X.4.b.]
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the ERAP consolidate both site/facility contractor and the Field Element? 	
	<ul style="list-style-type: none"> Does the Field Element Manager sign the consolidated ERAP? 	
	<ul style="list-style-type: none"> Is there a formal process for submitting the Field Element/site/facility (contractor) ERAP to the Program Office and the Director, Office of Emergency Operations? 	

7. READINESS ASSURANCE (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Has the consolidated ERAP been submitted to Director, Office of Emergency Operations and the Program Office by November 30? If not, what is the reason? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Field Element/Site/facility emergency plan(s) and procedures related to developing and approving ERAPs. 	
	<ul style="list-style-type: none"> ERAPs for the past 3 years. 	
	<ul style="list-style-type: none"> Schedule for readiness assurance activities. 	
	<ul style="list-style-type: none"> Contracts with performance indicator/expectation clauses related to emergency management. 	
Interview		
	<ul style="list-style-type: none"> Individual with responsibility for the readiness assurance program. 	
	<ul style="list-style-type: none"> Individual with responsibility for developing/reviewing ERAPs. 	
Observation		
	Not applicable.	
OBJECTIVE		
7.5	Implement corrective actions lessons learned from actual emergency responses and based on findings from evaluations, assessments, and appraisals.	[DOE O 151.1C, I.9.o.]
Criterion		
7.5.1.	Identify the causes of problems, and include prevention of recurrence as a part of corrective action planning.	[DOE O 414.D, Att.2,3.b.]
Lines of Inquiry		
	<ul style="list-style-type: none"> Has a causal analysis been completed of the findings for actual emergency responses, exercise evaluations, and assessments (appraisals)? 	
	<ul style="list-style-type: none"> Have corrective actions for findings from actual emergency responses, exercise evaluations and assessments (appraisals) based on the causal analysis been formulated? 	
	<ul style="list-style-type: none"> Have evaluated findings from program and exercise evaluations by organizations external to site/facility/the Field Element been acknowledged and include a corresponding corrective action plan? 	
	<ul style="list-style-type: none"> Do corrective actions include: <ul style="list-style-type: none"> Measures to correct deficiency? Identification of root cause? (see above) Determination of the existence of similar deficiencies or underlying causes? Actions to preclude recurrence of like or similar deficiencies? Assignment of corrective action responsibility? Completion dates for each corrective action? 	(DOE G 414.1-1C, 4.7.8)
	<ul style="list-style-type: none"> Have corrective action plans been developed within 30 working days of receipt of final evaluation report? 	(DOE G 151.1-3, D.3.4, P5.12)

7. READINESS ASSURANCE (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Do corrective actions use the results of DOE line and independent oversight and contractor assurance systems to make informed decisions about corrective actions? 	[DOE O 226.1B, 5.e.(6)]
Criterion		
7.5.2.	Corrective actions/lessons learned from actual emergency responses, exercise evaluations, and/or assessments have been implemented	(DOE G 151.1-3, D.3.4, P5.10)
Lines of Inquiry		
	<ul style="list-style-type: none"> Have corrective actions been planned/scheduled? 	
	<ul style="list-style-type: none"> Have corrective actions been implemented? 	
	<ul style="list-style-type: none"> Have corrective actions been completed as soon as possible? 	(DOE G 151.1-3, D.3.4, P5.13)
	<ul style="list-style-type: none"> Have corrective actions been completed before the next annual self-assessment? 	(DOE G 151.1-3, D.3.4, P5.13)
Criterion		
7.5.3.	The Field Element has a process in place to monitor corrective actions through completion/closure and to plan and conduct an independent verification of corrective actions. (as required by DOE O 414).	(DOE G 151.1-3, D.3.4, P5.16)
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there a formal process (such as a tracking system) in place to monitor corrective actions through completion/closure? 	
	<ul style="list-style-type: none"> Which types of oversight activities corrective actions are monitored? 	
	<ul style="list-style-type: none"> Does the Field Element have its own corrective action tracking system? 	
	<ul style="list-style-type: none"> Does the Field Element use the site/facility corrective action tracking system? 	
	<ul style="list-style-type: none"> See Criterion 7.5.4 below regarding verification. 	
Criterion		
7.5.4.	Completion of corrective actions for facility and site exercise includes a verification and validation process, which verifies that the corrective action has been put in place and validates that the corrective action has been effective in resolving the original finding.	[DOE O 151.1C, X.3.b.(3)], (DOE G 151.1-3, D.3.4, P5.14)
Lines of Inquiry		
	<ul style="list-style-type: none"> Do the corrective action plans indicate the verification and validation process for each corrective action? 	
	<ul style="list-style-type: none"> Has the site/facility site verified that the corrective action indicated in the corrective action plan been completed for actual events, exercise evaluations and program assessments? 	
	<ul style="list-style-type: none"> Has the Field Element verified that site/facility has completed the corrective action? (pick several findings and track corrective action for verification) 	

7. READINESS ASSURANCE (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Is there documentation that site/facility/the Field Element has verified that corrective actions have been completed? 	
	<ul style="list-style-type: none"> Is there a validation process at site/facility/the Field Element? 	
	<ul style="list-style-type: none"> Have corrective actions that are verified, been also validated for their effectiveness in resolving the original finding? 	
	<ul style="list-style-type: none"> What processes have been utilized for validation (training exams, drills, tabletops, exercises)? 	
	<ul style="list-style-type: none"> Are verification and validation actions in the tracking system? 	
Criterion		
7.5.5.	The verification and validation process is independent of those who performed the corrective action.	(DOE G 151.1-3, D.3.4, P5.15, P5.16)
Lines of Inquiry		
	<ul style="list-style-type: none"> Who has performed verification of corrective actions? 	
	<ul style="list-style-type: none"> Who has performed validation of corrective actions? 	
	<ul style="list-style-type: none"> Are the individuals who have verified the corrective actions, independent of the individuals who have performed these actions? 	
	<ul style="list-style-type: none"> Are the individuals who have validated the corrective actions, independent of the individuals who have performed these actions and verified the actions? 	
	<ul style="list-style-type: none"> Have findings from program and exercise evaluations by external organizations been validated by the evaluating organizations? 	
	<ul style="list-style-type: none"> What are the qualifications of the individuals who verified/validated? 	
	<ul style="list-style-type: none"> Is the Quality Assurance Department of site/facility/the Field Element used to either verify or validate? 	
	<ul style="list-style-type: none"> In looking at the recent events and the corrective actions developed by site/facility/the Field Element. <ul style="list-style-type: none"> Have the corrective actions been completed on schedule? Have the corrective action been verified? Have the corrective actions been validated? How have the corrective actions been validated? Who verified and who validated the corrective actions? 	
Criterion		
7.5.6.	Corrective actions involving revision of procedures or training of personnel are completed before the next exercise.	(DOE G 151.1-3, D.3.4, P5.14)
Lines of Inquiry		
	<ul style="list-style-type: none"> Have corrective actions involving revision of procedures been completed before the next exercise (so they can be validated)? 	
	<ul style="list-style-type: none"> Has corrective actions involving training of personnel been completed before the next exercise (so the actions can be validated)? 	

7. READINESS ASSURANCE (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Did any of the corrective actions associated with the site/facility/the Field Element events (fire and release) entail the revision of procedures and/or training of personnel? 	
	<ul style="list-style-type: none"> Were these actions (revision of procedures/training of personnel) completed before the next exercise? 	
Criterion		
7.5.7.	Lessons learned from actual emergency responses, exercise evaluations, and/or assessments have been implemented.	(DOE G 151.1-3, D.3.4, P5.10)
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there a separate lessons-learned program at the Field Element/site/facility apart from the DOE Corporate System? 	
	<ul style="list-style-type: none"> Is emergency management part of the lessons-learned program? 	
	<ul style="list-style-type: none"> How are lessons-learned entered into the system? 	
	<ul style="list-style-type: none"> Describe the system of submitting lessons learned? 	
	<ul style="list-style-type: none"> Does a specific person at the Field Element approve/submit lessons learned? 	
	<ul style="list-style-type: none"> Does the Field Element use the DOE Corporate Lessons Learned System? 	
Criterion		
7.5.8.	The Field Element submits lessons learned to the DOE/NNSA Corporate Lessons Learned Program.	[DOE O 151.1C, X.3.c]
Lines of Inquiry		
	<ul style="list-style-type: none"> Is the DOE/NNSA Corporate Lessons Learned Program used at the Field Element / site/facility? 	
	<ul style="list-style-type: none"> Does the Field Element submit lessons learned into the system? 	
	<ul style="list-style-type: none"> Is there a procedure for submitting lessons learned? 	
	<ul style="list-style-type: none"> Has the site/facility contractor submitted lessons learned to the Field Element for inclusion into the system? 	
Criterion		
7.5.9.	Lessons Learned from training, drills, actual responses and site-wide lessons learned program are incorporated and tracked in the readiness assurance program.	[DOE O 226.1A, Att.2, 2.c.(2)], (DOE G 151.1-3, D.3.4, P5.8)
Lines of Inquiry		
	<ul style="list-style-type: none"> Have lessons learned from training, drills, assessments and actual responses been incorporated into the Field Element /site/facility contractor emergency management program? How? 	
	<ul style="list-style-type: none"> Do these lessons learned come from the Field Element / site/facility contractor lessons learned program, the DOE Corporate Lessons Learned Program and/or both? 	
	<ul style="list-style-type: none"> Is there a process/procedure for reviewing/incorporating lessons learned? 	

7. READINESS ASSURANCE (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Does the Field Element/site/facility contractor review the DOE Corporate Lessons Learned Program for applicable emergency management lessons learned? 	
	<ul style="list-style-type: none"> How many lessons learned have been incorporated? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Field Element/Site/facility emergency plan(s) and procedures related developing, implementing, tracking and closing corrective actions. 	
	<ul style="list-style-type: none"> Field Element corrective action process if it not the same system as the contractor. 	
	<ul style="list-style-type: none"> ERAP and documentation of program reviews, corrective actions, and documents that track findings and corrective actions, including a process to verify and validate results. 	
	<ul style="list-style-type: none"> Procedures related to lessons learned. 	
	<ul style="list-style-type: none"> Documentation for the incorporation of lessons learned. 	
	<ul style="list-style-type: none"> Review several assessments and exercise evaluations reports to determine findings and compare to corrective action plans to determine if a causal analysis has been done and if the corrective actions address the finding. 	
Interview		
	<ul style="list-style-type: none"> Individual with responsibility for the readiness assurance program. 	
	<ul style="list-style-type: none"> Individual with responsibility for the lessons learned program as it applies to the emergency management program. 	
	<ul style="list-style-type: none"> Individual with responsibility for the site-wide lessons learned program. 	
Observation		
	<ul style="list-style-type: none"> Pick several corrective actions that have been closed. Verify through observation or document check that the issue identified has been resolved. 	

8. EMERGENCY RESPONSE ORGANIZATION		
<p>Performance Goal: An ERO, a structured organization with overall responsibility for initial and ongoing emergency response and mitigation, is established and maintained for each facility/site and activity. The ERO establishes effective control at the scene of an event/incident and integrates 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, are available on demand for timely and effective performance of ERO functions. (DOE G 151.1-3, D.4)</p> <ol style="list-style-type: none"> Objective: The Emergency Response Organization must be established and maintained for each site/facility with overall responsibility for the initial and ongoing response to and mitigation of an emergency. [DOE O 151.1C, IV.3.b.(10)] Objective: Control of 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. [DOE O 151.1C, IV.3.b.(10)] 		
OBJECTIVE		
8.1	The Emergency Response Organization must be established and maintained for each site/facility with overall responsibility for the initial and ongoing response to and mitigation of an emergency.	• DOE O 151.1C, IV.3.b.(10)
Criterion		
8.1.1	The organizational configuration of the ERO is based on actual or potential emergency conditions.	DOE G 151.1-3, P/E6.1
Lines of Inquiry		
	Is the ERO configuration and activation based on actual or potential emergency conditions? If yes or no, what is the basis for the ERO configuration? When was the ERO last activated?	
	Does the management of the emergency response facility provide for the collection and dissemination of accurate data? If yes or no, please explain.	

8. EMERGENCY RESPONSE ORGANIZATION		
	<p>Is the ERO organization outlined in the emergency plan/procedures?</p> <p>Are all personnel who may be needed to perform duties, beyond those specified by 29 CFR 1910.120 for the first responder awareness level, during a response to any of the broad range of emergencies as defined in the Hazards Survey/EPHA members of the ERO?</p> <p>Are individuals assigned to the ERO fully trained?</p> <p>Has a roster of individuals who are trained and available been developed and kept current?</p> <p>Do all personnel in ERO positions demonstrate their proficiency in their assigned positions through periodic participation in an exercise, an evaluated drill or an actual response?</p> <p>Has an adequate number of experienced and trained personnel for initial and ongoing response, including designated alternates assigned to each functional area?</p>	<p>(DOE G 151.1-3, D.4.1,P/E6.38)</p> <p>(DOE G 151.1-3, D.4.1, P/E6.39)</p> <p>(DOE G 151.1-3, D.4.1., P/E6.40)</p> <p>(DOE G 151.1-3, D.4.1., P/E6.41)</p>
Criterion		
8.1.2	Each site/facility must conduct activities to resolve the emergency situation.	DOE O 151.1C, III.5.a.(1)
Lines of Inquiry		

8. EMERGENCY RESPONSE ORGANIZATION

	<p>Does the on-shift operations staff perform initial ERO response functions?</p> <p>Who performs the function of “Emergency Manager”?</p> <p>Who performs the function of Incident Commander?</p> <p>If command and control is transferred to another emergency facility, within an emergency facility or to a command external to the ERO or ISC, is it completed in an orderly and formal manner with ERO personnel informed of the transfer?</p> <ul style="list-style-type: none"> o Is there a procedure? <p>Does the fully staffed ERO establish effective internal and external interfaces with other agencies and organizations?</p> <ul style="list-style-type: none"> o Who within the ERO establishes these interfaces o Include information for local, state, tribal, other federal agencies, and non-government groups <p>Do the responsible ERO operations and technical support staff determine and implement a reasonable, well-planned course of action within their sphere of responsibility?</p> <p>When priority actions are identified, are taskings clearly made to emergency response staff, and actions followed through to completion?</p> <p>Do specialty groups (e.g., operations, consequence assessment, maintenance) supporting the emergency response staff providing timely information to the decision making process?</p> <p>Is adequate data obtained and analyzed to support the operations staff in assessing and mitigating the emergency events?</p> <p>Is information accurately and efficiently transmitted in an orderly and documented manner throughout the chain of command and between/within emergency facilities?</p> <p>Does the use of acronyms, code words, convention and/or technical terminology cause misunderstandings related to the response and associated data?</p> <p>Are periodic briefings provided on the status of the emergency and current significant response priorities and activities?</p> <p>Is communications maintained and information provided regularly to the DOE HQ EMT?</p> <p>Do ERO management effectively coordinate with the state/local entities and the Field Office for use of DOE/NNSA assets.</p>	<p>DOE G 151.1-3, D.4.1, P/E6.8</p> <p>DOE G 151.1-3, D.4.1, P/E6.15</p> <p>DOE G 151.1-3, D.4.1, P/E6.16</p> <p>DOE G 151.1-3, D.4.1, P/E6.19</p> <p>DOE G 151.1-3, D.4.1, P/E6.20</p> <p>DOE G 151.1-3, D.4.1, P/E6.21</p> <p>DOE G 151.1-3, D.4.1, P/E6.22</p> <p>DOE G 151.1-3, D.4.1, P/E6.23</p> <p>DOE G 151.1-3, D.4.1, P/E6.24</p> <p>DOE G 151.1-3, D.4.1, P/E6.25</p> <p>DOE G 151.1-3, D.4.1, P/E6.26</p> <p>DOE G 151.1-3, D.4.1, P/E6.27</p>
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8. EMERGENCY RESPONSE ORGANIZATION		
Criterion		
8.1.3	An "Emergency Manager (EM)" or equivalent titled individual manages and controls all aspects of the facility/site or activity overall response, and has the authority to use necessary resources to mitigate the emergency.	DOE G 151.1-3, D.4.1, P/E6.3
Lines of Inquiry		
	Is an "Emergency Manager" or equivalently titled individual available to manage and control all aspects of the facility/site or activity overall response? If yes, does this individual possess the authority to request onsite and offsite assistance? If no, who is authorized to request onsite and offsite assistance?	
	Does the plan/procedures discuss an "Emergency Manager" or equivalent (on the contractor side)?	
	Does the EM have the authority to use necessary resources to mitigate the emergency?	
	How many individuals have been trained to be an EM?	
	Have all the EM's participated in an exercise?	
Criterion		
8.1.4	The EM has the authority and responsibility to perform the 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).	DOE G 151.1-3, D.4.1, P/E6.4
Lines of Inquiry		
	Does the EM have the authority and responsibility to perform the 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)? If yes, how is the authority and responsibility for the EM communicated to others? If no, please explain.	
	Does the plan/procedures discuss the EM's roles and responsibilities?	
	Is the initial activation of onsite response assets included in the roles and responsibilities?	
	Is the notification of offsite authorities included?	
	Is the request for offsite assistance included?	
	Have the EMs exercised these functions in an exercise?	
Criterion		

8. EMERGENCY RESPONSE ORGANIZATION		
8.1.5	The division of authority and responsibility between the Incident Commander (IC) and the ED position is clearly established and maintained.	DOE G 151.1-3, D.4.1, P/E6.5
Lines of Inquiry		
	Is the division of authority and responsibility between the Incident Commander (IC) and the EM position clearly and effectively established and maintained? If yes, how is the division of authority and responsibility for the IC and the EM communicated to others? If no, why is the division of authority and responsibility between these two positions not clearly and effectively maintained?	
	Does the plan/procedures clearly indicate that the IC and the EM are not the same individual?	
	Does the plan/procedures indicate how the IC and EM are to interact?	
	Has the interaction of the IC with the EM been evaluated in an exercise?	
Criterion		
8.1.6	The ERO activation is based on actual or potential emergency conditions.	P/E6.7
Lines of Inquiry		
	Is the ERO activation based on actual or potential emergency conditions? If yes or no, what is the basis for ERO activation?	
	What is ERO activation based on?	
	Is there a procedure that indicates what ERO activation is based on?	
Criterion		
8.1.7	The ERO is functionally staffed and activated in a timely manner; key emergency response facilities are operational within an hour after declaration of an OE.	P/E6.9
Lines of Inquiry		
	Is the ERO functionally staffed and activated in a timely manner? If yes, how is this ensured? If no, what steps are being taken to correct staffing and/or timelines?	
	Are key emergency response facilities operational within an hour after declaration of an Operational Emergency? If yes, what evidence does the site have that key emergency response facilities are operational within an hour after declaration of an OE? If no, please explain.	

8. EMERGENCY RESPONSE ORGANIZATION		
	<p>Does the Emergency Plan/procedures indicate the time requirement for staffing the ERO?</p> <p>What are the key emergency response facilities?</p> <p>Is there a plan to have the key emergency response facilities staffed within one hour after declaration of an Operational Emergency?</p> <p>Is the staffing in one hour realistic?</p> <p>Has the staffing been demonstrated in an exercise?</p> <p>Is the staffing of the ERO positions orderly, controlled and verifiable?</p> <p>How do personnel assigned to ERO positions gain access to their response stations?</p> <ul style="list-style-type: none"> o Could they counter impediments? <p>Are non-ERO personnel excluded from emergency response work areas?</p> <p>Are key response positions/functions readily identifiable by other ERO staff (through use of status boards or badging)?</p> <p>Are procedures and/or checklists describing the major activation and initial response activities of key members of the ERO used?</p> <p>Have arrangements for extended operations (over 24 hours) anticipated and planned (through plan/procedures)?</p> <p>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?</p>	<p>DOE G 151.1-3, D.4.1, P/E6.10</p> <p>DOE G 151.1-3, D.4.1, P/E6.10</p> <p>DOE G 151.1-3, D.4.1, P/E6.11</p> <p>DOE G 151.1-3, D.4.1, P/E6.13</p> <p>DOE G 151.1-3, D.4.1, P/E6.17</p>
APPROACH		
Document/Record Review		
	Field emergency plan(s).	
	Review functional staffing and duties in ERO.	
	Procedures addressing each criterion.	
	Review organizational basis for actual or potential emergency conditions.	
	Review implementation of authority and responsibilities between IC and EM.	
Interview		

8. EMERGENCY RESPONSE ORGANIZATION		
	Individual(s) with ERO responsibilities addressed by each criterion	
Observation		
	Plans/procedures addressing evaluation criterion during emergency response.	
OBJECTIVE		
8.2	Control of 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.	DOE O 151.1C, IV.3.b.(10)
Criterion		
8.2.1	An Incident Commander (IC) is in charge at the event scene: <ul style="list-style-type: none"> a. Control and coordination at the event/incident scene is consistent with the NRP and the NIMS/Incident Command System (ICS), which integrates local agencies and organizations that provide onsite response services. b. The ICS is identified in the emergency plan and memoranda of understanding/agreement with local response organizations. 	P/E6.33.1
Lines of Inquiry		
	Is an Incident Command System established for response to an Operational Emergency? If yes, how is this accomplished? If no, please explain.	
	Who at the Field Office/site or facility contractor been assigned and trained to be an IC? (give positions such as fire commander, security) What type of training has the IC received? (See Training, Drills, and Exercises) Have the Incident Commanders participated in drills as part of training? Have the Incident Commander participated in exercises? Are the IC’s responsibilities documented in plan/procedures? Does the IC understand how to fill out the required forms	
	Is control and coordination at the event/incident scene consistent with the NRP and the NIMS/Incident Command System (ICS), which integrates local agencies and organizations that provide onsite response services? If yes, how is this ensured? If no, how is control and coordination accomplished?	
	Do the emergency plan and memoranda of understanding/agreement with local response organizations identify the ICS? If yes, provide documentation. If no, please explain why ICS is not identified in documentation.	
	Does the Emergency plan describe the ICS at site/facility? Do MOU/MOAs reference the ICS at the site/facility? Does the site use a Unified Command structure? o If so, how does the ICS fit into it?	
Criterion		
8.2.2	The ICS is organized in the five major functional areas of NIMS/ICS: Command, Operations, Planning, Logistics, and Finances and Administration.	P/E6.33.2

8. EMERGENCY RESPONSE ORGANIZATION		
Lines of Inquiry		
	Is the ICS organized in the five major functional areas of NIMS/ICS: Command, Operations, Planning, Logistics, and Finances and Administration? If yes or no, please explain.	
	Does the emergency plan or procedures indicate how the ICS is organized? Does the emergency plan or procedures indicate the 5 major functional areas? If not how is it different? If it is different, have those differences been communicated to local response organizations? And are they on board on the differences? Has the organization of ICS been trained to and exercised?	
Criterion		
8.2.3	The incident is assessed and priorities are established with lifesaving, safety, and incident stabilization receiving top priority.	P/E6.33.3
Lines of Inquiry		
	Is the incident assessed and are priorities established with life-saving, safety, and incident stabilization receiving top priority? If yes, how is this accomplished? If no, please explain.	
	Do procedures reflect the importance of life saving, safety and incident stabilization? Has the objectives of life saving, safety and incident stabilization been included and demonstrated in exercises?	
Criterion		
8.2.4	Incident command strategic goals and tactical objectives are clear and a flexible action plan is implemented.	P/E6.33.4
Lines of Inquiry		
	Are incident command strategic goals and tactical objectives clear and a flexible action plan implemented? If yes or no, please explain.	
	Have strategic goals and tactical objectives been formulated in recent events (or exercises) by the ICS? Have the strategic goals and tactical objectives been clear? Was a flexible action plan developed and implemented?	
Criterion		
8.2.5	Incident command evolves from providing oral direction to the development of a written Incident Action Plan (IAP).	P/E6.33.5
Lines of Inquiry		

8. EMERGENCY RESPONSE ORGANIZATION		
	Does incident command evolve from providing oral direction to the development of a written Incident Action Plan (IAP)? If yes, how is this accomplished? If no, please explain.	
	Does procedures/training indicated that a written Incident Action Plan should be developed? Has an Incident Action Plan been formulated for the past actual events and/or demonstrated in an exercise?	
Criterion		
8.2.6	The incident command staff continually assesses the situation, develops a mitigation strategy, and requests additional assets as needed.	P/E6.33.6
Lines of Inquiry		
	Does incident command staff continually assess the situation, develop a mitigation strategy, and request additional assets as needed? If yes, how is this accomplished? If no, please explain how this can be accomplished and any issues that may impede continuous assessment, development of a mitigation strategy, and requesting additional assets.	
	How is the need for additional assets determined?	
	Does procedures/training address the need for IC staff to continually assess the situation and develop a mitigation strategy? Does procedures/training address the possibility that additional assets may need to be requested? Have IC staff been trained to know how to request additional assets? Have IC staff demonstrated the ability to continually assess the situation, develop a mitigation strategy and request additional assets as needed?	
Criterion		
8.2.7	Incident command coordinates internal and external response assets in an effective manner.	P/E6.33.7
Lines of Inquiry		
	Does incident command coordinate internal and external response assets in an effective manner? If yes, how is this accomplished? If no, please explain any coordination issues.	

8. EMERGENCY RESPONSE ORGANIZATION		
	<p>Do plans/procedures indicate who on the IC staff will coordinate internal and external response assets?</p> <p>Has the coordination of internal and external response assets been included in as an exercise objective?</p> <p>Has the objective been successfully demonstrated?</p>	
	<p>Is the local version of the Incident Command System (ICS) or the Unified Incident Command System effectively integrated with the facility/site ERO to control response activity at event scenes? If yes, how is this accomplished? If no, please explain.</p>	
Criterion		
8.2.8	<p>An ICS command post is strategically located in a safe area, where command and control may take place safely and effectively.</p>	P/E6.33.8
Lines of Inquiry		
	<p>Is an ICS command post established in a safe area away from the event scene, where command and control may take place safely and effectively? If yes, describe examples where this occurred. If no, please explain where this did not occur.</p>	
	<p>Do plans/procedures address where the ICS command post should be located?</p> <p>Do plans/procedures indicate that the habitability of the command post and staging areas should be periodically assessed and moved as necessary for safety purposes?</p> <p>Has habitability of the command post and staging area been an exercise objective?</p> <p>Has the objective been successfully demonstrated?</p>	
Criterion		
8.2.9	<p>Incident command staff ensures that response personnel take necessary precautions for personal safety and contamination control, as follows:</p> <ul style="list-style-type: none"> a. Incident command staff establishes a staging area where arriving asset personnel are briefed; communications are checked; special equipment is issued; and the assets are deployed upon request. b. 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/E6.33.10
Lines of Inquiry		
	<p>Does incident command staff ensure that response personnel take necessary precautions for personal safety and contamination control? If yes, explain how this is accomplished. If no, please explain who ensures response personnel take necessary precautions?</p>	

8. EMERGENCY RESPONSE ORGANIZATION		
	<p>Do procedures/plans indicate that the IC staff establish a staging area where arriving asset personnel are briefed; communications are checked; special equipment is issued and assets are deployed upon request?</p> <p>Has the procedure/plan been included as an exercise objective?</p> <p>Has the exercise objective been successfully demonstrated?</p> <p>Are asset personnel being released debriefed?</p> <p>Are personnel accounted for?</p> <p>Are personnel and equipment surveyed for contamination?</p> <p>Are personnel who are contamination, decontaminated as necessary?</p> <p>Is issued equipment returned?</p> <p>Are the above functions included as objectives in exercises?</p> <p>Have the above function been demonstrated in exercises?</p>	
	<p>Does incident command staff establish a staging area where arriving asset personnel are briefed and communications checked? If yes, are there pre-designated staging areas? If no, please explain how special equipment and deployment of assets are accomplished? If no, how are staging area location(s) determined?</p>	
	<p>Is special equipment issued and assets deployed upon request from this area? If yes, what special equipment may be needed? If no, please explain how special equipment and deployment of assets are accomplished.</p>	
	<p>Are asset personnel debriefed when being released? If yes, how is this accomplished? If no, please explain.</p>	
	<p>Are personnel accounted for? If yes, how is this accomplished? If no, please explain.</p>	
	<p>Are personnel and equipment surveyed for contamination? If yes, how is this accomplished? If no, please explain.</p>	
	<p>Is issued equipment tracked as it is returned? If yes, how is this accomplished? If no, please explain.</p>	
APPROACH		
Document/Record Review		
	<p>Site/facility emergency plan(s)</p>	

8. EMERGENCY RESPONSE ORGANIZATION		
	Review the methodology for assigning top priority to life-saving, safety, and incident stabilization.	
	Review control and coordination responsibility to see if they are consistent with the NRP and the NIMS/ICS.	
Interview		
	Individual(s) with ERO with associated responsibilities for each criterion	
Observation		
	Observe this evaluation criterion during an exercise.	
	Review integration of ICS with facility/site ERO.	
	<p>Is the equipment at the alternate facility adequate to support facility functions and level of staffing?</p> <ul style="list-style-type: none"> • Computer systems • Communications • Visual displays • Radiation monitors 	

9. OFFSITE RESPONSE INTERFACES (FIELD ELEMENT)		
<p>Performance Goal: Effective interfaces are 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, in accordance with the National Response Framework (NRF) and NIMS. [DOE O 151.1C, Attachment 2 (CRD)]. 9.] (DOE G 151.1-3, D.4.2)</p> <ol style="list-style-type: none"> Objective: Coordination is made with State, Tribal and local agencies and organizations responsible for offsite emergency response and for protection of the health and safety of the public. [DOE O 151.1C, III.3.d.(2)] Objective: Effective interfaces have 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? [DOE O 151.1C, III.3.d.(2)], [DOE O 151.1C, Attachment 2 (CRD).9.] Objective: Emergency-related information and training on site-specific conditions and hazards must be available to offsite personnel who may be required to participate to an emergency at the DOE/NNSA site/facility. [DOE O 151.1C, III.4.a.(3)] Objective: Offsite response organizations must be invited to participate in site-wide exercises at least once every three years. DOE O 151.1C, IV.4.b.(1)(c)] Objective: For Operational Emergencies, provisions must be established for prompt initial notification of workers and emergency response personnel and organizations, including appropriate DOE/NNSA elements and other Federal, State, Tribal and local organizations. Accurate and timely follow-up notifications must be made with conditions change, when the emergency classification level is upgraded, or when the emergency is terminated. [DOE O 151.1C, VIII.4.a.] Objective: 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. [DOE O 151.1C, IX.2.d.(4)] 		
OBJECTIVE		
9.1.	Coordination is made with State, Tribal and local agencies and organizations responsible for offsite emergency response and for protection of the health and safety of the public.	[DOE O 151.1C, III.3.d.(2)]
Criterion		
9.1.1.	An individual with the appropriate authority, knowledge and training is responsible for establishing and maintaining ongoing and effective interfaces with offsite political, technical, security (e.g., local law enforcement), public health, and emergency services officials.	(DOE G 151.1-3, D.4.2, P7.16)
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there a procedure(s)/process which describes the process for interacting with State, Tribal and local authorities? 	
	<ul style="list-style-type: none"> Does the procedure indicate the position/person responsible for establishing and maintaining ongoing interfaces with offsite entities? 	
	<ul style="list-style-type: none"> Is the position/person responsible for establishing and maintaining ongoing interfaces share these duties with a site (contractor) employee? 	
	<ul style="list-style-type: none"> Are the duties described found in the position/person’s position description? 	

9. OFFSITE RESPONSE INTERFACES (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Does the individual conducting the interfacing have the appropriate authority, knowledge, and training? 	(DOE G 151.1-3, 2.5)
	<ul style="list-style-type: none"> Describe all site/facility contractor positions with offsite interfaces (e.g., law enforcement, emergency services, technical, medical...). 	
	<ul style="list-style-type: none"> Have all individuals with offsite interface responsibilities had training? 	
	<ul style="list-style-type: none"> What training have they received? Is the training received documented? 	
Criterion		
9.1.2.	Interfaces with Federal, Tribal, State, and/or local authorities responsible for protection of the public and the environment are identified and established.	(DOE G 151.1-4, 2.3) (DOE G 151.1-3, D.4.2, P/E7.1)
Lines of Inquiry		
	<ul style="list-style-type: none"> Have State, local, and Tribal agencies responsible for protecting the public and environment within the vicinity of the facility/site been identified? 	(DOE G 151.1-4, 2.3)
	<ul style="list-style-type: none"> Were the results of the hazards survey and the EPHA(s) used to help identify these agencies and organizations? 	
	<ul style="list-style-type: none"> Have Federal, Tribal, State and local authorities contacts been identified and established? 	
	<ul style="list-style-type: none"> Who from the Field Element establishes/maintains these contacts? (Is it the same individual as described in Criterion 1.1 above?) 	
	<ul style="list-style-type: none"> Does the Field Element supports offsite agencies under the “good neighbor” policy, in areas of emergency assistance including: fire, medical, and hazardous material release (including field monitoring resources)? 	(DOE G 151.1-3, D.4., P/E7.20)
	<ul style="list-style-type: none"> 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? 	[Title 29 CFR, 1920.120, (1)(2)(iii)]
	<ul style="list-style-type: none"> Have offsite authorities been informed of the availability of assistance from DOE/NNSA national assets (i.e., RAP, FRMAC, NARAC, AMS, and REAC/TS)? 	(DOE G 151.1-3, D.4.P/E7.3)
Criterion		
9.1.3.	Offsite response agencies and organizations responsible for augmenting site response resources have been identified.	(DOE G 151.1-4, 2.3)
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there a listing of State, local, and Tribal agencies responsible for augmenting site response resources? 	(DOE G 151.1-4, 2.3)
	<ul style="list-style-type: none"> Were the results of the hazards survey and the EPHA(s) used to help identify these agencies and organizations necessary to support a comprehensive and integrated response (medical, fire, hazmat, search and rescue)? 	(DOE G 151.1-4, 2.2 and 2.3)

9. OFFSITE RESPONSE INTERFACES (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Is there a documented process in place to assist in identifying new offsite organizations that may have capabilities to address specific emergency response needs? 	
	<ul style="list-style-type: none"> Is there a documented process in place to assist in identifying new capabilities of offsite organizations currently having agreements? 	
	<ul style="list-style-type: none"> Are planned response functions to be provided by offsite organizations periodically tested and verified? 	(DOE G 151.1-3, D.4.P/E7.22)
Criterion		
9.1.4.	Effective coordination with offsite response agencies and organizations is accomplished and maintained through routinely scheduled meetings.	(DOE G 151.1-3, D.4.2, P7.19) (DOE G 151.1-4, Section 2.2)
Lines of Inquiry		
	<ul style="list-style-type: none"> How often does the Field Element meet with offsite organizations? 	
	<ul style="list-style-type: none"> Is there a requirement from the state/local/tribal to meet? 	
	<ul style="list-style-type: none"> Is the meeting schedule described in a document (procedure, plan)? 	
	<ul style="list-style-type: none"> Are there notes documenting the meetings? 	
	<ul style="list-style-type: none"> Does the Field Element attend State Emergency Planning Committee (SEPC) and/or Local Emergency Planning Committee (LEPC) meetings? 	
	<ul style="list-style-type: none"> Does the Field Element work with the LEPC on developing and implementing the local emergency plan? 	[40 CFR 355.30(c)]
Criterion		
9.1.5.	Emergency-related information is made available to offsite response organizations.	[DOE O 151.1C, IV.4.a]
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the Field Element shared Emergency Plans, Hazards Surveys and/or EPHAs? 	
	<ul style="list-style-type: none"> Have EALs been shared with offsite entities (state and locals)? 	
	<ul style="list-style-type: none"> Is there a process to ensure that the offsite organizations are provided the most recent plans/procedures and other pertinent information? 	
	<ul style="list-style-type: none"> Who is responsible for this? 	
Criterion		
9.1.6.	Provisions are in place and implemented with State, Tribal and local agencies and organizations for coordinating the release of information about the emergency to the public.	(DOE G 151.1-3, D.4.2, P/E7.14)
Lines of Inquiry		
	<ul style="list-style-type: none"> Have procedures/process been develop to coordinate the release of information regarding an emergency at the site/facility to the public? 	
	<ul style="list-style-type: none"> Have the procedures/process been agreed to by the state, tribal, and/or local government entity(ies)? 	

9. OFFSITE RESPONSE INTERFACES (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Have site/facility contractor/Field Element worked out the procedures to make protective action recommendations to the state/local? 	
	<ul style="list-style-type: none"> Has the state/local agreed to the procedures? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review all the field/site /facility(s) hazard survey, EPHAs, emergency plan and emergency implementing procedures. 	
	<ul style="list-style-type: none"> Review Memoranda or agreements with offsite response organizations. 	
	<ul style="list-style-type: none"> Verify compliance with other DOE and non-DOE requirements applicable to emergency management program offsite response interface. 	
	<ul style="list-style-type: none"> Also identify any other Federal, state, tribal and local requirements or agreements pertaining to offsite response interface with which the site/facility must comply. Provide references regarding implementation. 	
	<ul style="list-style-type: none"> Resolve any issues of missing, incomplete or unclear documentation in the interview/observation phases of the assessment. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility (Program Administrator) for managing the emergency management program, as well as those managers delegated individual responsibility for offsite response interface activities within the emergency management program (i.e., fire, medical, hazmat, radiation control, security, field monitoring). Verify applicable documentation for each criterion. 	
	<ul style="list-style-type: none"> Interview facility emergency management personnel on sites with multiple facilities who have management roles with respect to offsite response interface to determine effectiveness of site-wide program integration for offsite response interface effectiveness. 	
	<ul style="list-style-type: none"> Interview individual with responsibility for establishing MOUs/MOAs. 	
	<ul style="list-style-type: none"> Interview individual who attends LEPC and SEPC meetings. 	
	<ul style="list-style-type: none"> 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. 	
Observation		
	Not applicable.	
OBJECTIVE		
9.2.	Effective interfaces have 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?	[DOE O 151.1C, III.3.d.(2)], [DOE O 151.1C, Attachment 2 (CRD).9.]

9. OFFSITE RESPONSE INTERFACES (FIELD ELEMENT)		
Criterion		
9.2.1.	Agreements to provide mutual assistance to or to receive assistance from offsite organizations (e.g., hospitals, fire departments) are documented in a formal memorandum of agreement (MOA) or memorandum of understanding (MOU), which are accessible in the emergency plan and maintained current through periodic reviews	(DOE G. 151.1-3, D.4.2, P.7.17)
Lines of Inquiry		
	<ul style="list-style-type: none"> Are arrangements made with offsite organizations documented in agreements (Memoranda of Understanding (MOUs), Memoranda of Agreement (MOAs), Mutual Aid Agreements (MAAs), Agreements in Principle and State Oversight Agreements)? 	[DOE O 151.1C, 9.J],(DOE G 151.1-3, 2.4)
	<ul style="list-style-type: none"> Does a documented process exist for the development and implementation of mutual assistance agreements with State, Tribal and local authorities for offsite response? 	
	<ul style="list-style-type: none"> Are the agreements accessible in the site/facility emergency plan? 	(DOE G 151.1-3, 2.4)
	<ul style="list-style-type: none"> Are there provisions for periodic review? Is the periodic review an established documented review cycle? 	(DOE G 151.1-3, 2.4)
	<ul style="list-style-type: none"> Are mutual assistance agreements reviewed for possible revision following notification of a change in the Hazards Survey/EPHAs? 	
	<ul style="list-style-type: none"> Is there an established dissemination and control system for mutual assistance agreements? 	

9. OFFSITE RESPONSE INTERFACES (FIELD ELEMENT)		
	<ul style="list-style-type: none"> • Does each agreement contain or reference: <ul style="list-style-type: none"> ○ The specific service and/or resource to be provided? ○ The agency, organization, or jurisdiction to which it applies? ○ Onsite individuals authorized to request aid from the offsite agency, organization, or jurisdiction? ○ Offsite individuals authorized to implement the arrangement, point-of-contact, and information required for implementation, such as names and telephone numbers? ○ Specific responsibilities, authorities and command structure? ○ Any constraints/conditions that might preclude the agency, organization, or jurisdiction from meeting its obligation or support its refusal? ○ Public information release protocols? Financial arrangements including commitments by the facility/site to provide training, equipment, and facilities to the entity providing the service and indemnification for injury to persons for loss and damage to property? ○ Specified periodic re-examination of the provisions and a renewal or termination date? ○ Signature of authorized individuals representing the site organizations and the offsite agency, organization, or jurisdiction? 	(DOE G 151.1-3, 2.4)
Criterion		
9.2.2.	Coordination and integration with offsite response agencies and organizations follow established, pre-arranged and documented plan and protocols, including, responsibilities and authorities, coordination of response, notifications, facility activations, communications, EOC interfaces, public information activities and logistic protocols.	(DOE G 151.1-3, D.4.2, P/E7.13)
Lines of Inquiry		
	• Besides the MOUs/MOAs/MAAs described above are there plans/procedures in place which discuss how the offsite response agencies and organizations are to respond?	
	• Are the identification and responsibilities of all parties and participants in accordance with the requirements of the NIMS/Incident Command System (ICS) procedures?	(DOE G 151.1-4,2.5)
	• Do the plans/protocols identify emergency points of contact, a description of information in notifications and follow-on activities and a method to validate emergency notification messages?	(DOE G 151.1-4,2.5)
	• Is there space for offsite organizations in the Field Element/site/facility EOC?	
	• Do offsite organizations staff the Field Element/site/facility EOC?	
	• Does the Field Element/contractor send a liaison to offsite organizations' EOCs?	(DOE G 151.1-4,2.5)

9. OFFSITE RESPONSE INTERFACES (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Do plans/procedures address special offsite organizations with which coordination of emergency response may be required (such as FAA, Coast Guard, State Fisheries, State Parks and Recreational Agencies, Railroad companies with right-of-way, Gas or electric companies with right-of-way)? 	
	<ul style="list-style-type: none"> Do plans/procedures address special situations for schools, nursing homes or hospitals in the EPZ? 	
	<ul style="list-style-type: none"> What special issues are addressed (if there are any)? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review emergency plan and emergency implementing procedures regarding offsite interfaces. 	
	<ul style="list-style-type: none"> Review all memoranda or agreements with offsite response organizations. 	
	<ul style="list-style-type: none"> Verify compliance with other DOE and non-DOE requirements applicable to emergency management program offsite response interface. 	
	<ul style="list-style-type: none"> Also identify any other Federal, state, tribal and local requirements or agreements pertaining to offsite response interface with which the site/facility must comply. Provide references regarding implementation. 	
	<ul style="list-style-type: none"> Resolve any issues of missing, incomplete or unclear documentation in the interview/observation phases of the assessment. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility (Program Administrator) for managing the emergency management program, as well as those managers delegated individual responsibility for offsite response interface activities within the emergency management program (i.e., fire, medical, hazmat, radiation control, security, field monitoring). Verify applicable documentation for each criterion. 	
	<ul style="list-style-type: none"> Interview facility emergency management personnel on sites with multiple facilities who have management roles with respect to offsite response interface to determine effectiveness of site-wide program integration for offsite response interface effectiveness. 	
	<ul style="list-style-type: none"> Interview individual with responsibility for establishing MOUs/MOAs. 	
Observation		
	<ul style="list-style-type: none"> Inspect space/equipment in the EOC available for offsite liaisons. 	
OBJECTIVE		
9.3.	Emergency-related information and training on site-specific conditions and hazards must be available to offsite personnel who may be required to participate to an emergency at the DOE/NNSA site/facility.	[DOE O 151.1C, III.4.a.(3)]
Criterion		

9. OFFSITE RESPONSE INTERFACES (FIELD ELEMENT)		
9.3.1.	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 are offered training on facility- and site-specific emergency –related information, conditions, and hazards.	(DOE G 151.1-3, D.3.2, P3.15)
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the emergency plan or procedures describe the training to be given to offsite organizations? 	
	<ul style="list-style-type: none"> Does the training include beyond-the-basic emergency response training (site-specific layout, conditions, hazards)? 	(DOE G 151.1-3, 2.5)
	<ul style="list-style-type: none"> 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? 	(DOE G 151.1-3, D.3.2, P3.18)
	<ul style="list-style-type: none"> Has this training been updated based on changes in the hazards? 	
	<ul style="list-style-type: none"> Has any additional training been identified and arranged? 	(DOE G 151.1-3, 2.5)
Criterion		
9.3.2.	Offsite emergency response personnel and organizations are offered the opportunity to participate in training and drills validating procedures for response activities expected to involve integration of onsite and offsite response resources.	(DOE G 151.1-3, D.3.2, P3.15)
Lines of Inquiry		
	<ul style="list-style-type: none"> Do the emergency plan/procedures indicate that offsite entities (state and local, response organizations) are to be given the opportunity to participate in training and drills? 	
	<ul style="list-style-type: none"> Have the offsite entities been invited? Through formal or informal invitation? 	
	<ul style="list-style-type: none"> Have the offsite entities participated in training/drills? Describe participation. 	
	<ul style="list-style-type: none"> Have offsite entities given feedback on the training/drills as far as usefulness? 	
	<ul style="list-style-type: none"> Has the site/facility contractor been open to suggestions from offsite entities regarding training/drills? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review training program plan and training records to determine offsite responders’ participation in preparedness activities. 	
	<ul style="list-style-type: none"> Review training to determine if the concepts of NIMS/ICS are integrated into an emergency response. 	
	<ul style="list-style-type: none"> Review ERAP and documentation of program reviews (internal and external), corrective actions, and documents that track findings and corrective actions related to offsite response interface agreements, or other offsite response interface issues. 	
Interview		

9. OFFSITE RESPONSE INTERFACES (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Interview individual with overall responsibility (Program Administrator) for managing the emergency management program to verify documentation for each criterion. 	
	<ul style="list-style-type: none"> Interview managers delegated individual responsibility for activities within the emergency management program such as the training program manager and exercise program manager to verify documentation for each criterion. 	
	<ul style="list-style-type: none"> Interview facility emergency management personnel on sites with multiple facilities to determine effectiveness of site-wide program integration. 	
	<ul style="list-style-type: none"> If possible, interview offsite organizations to determine if training is sufficient. 	
Observation		
	<ul style="list-style-type: none"> Observe conduct of training and drills to determine compliance with offsite response interface requirements. 	
OBJECTIVE		
9.4.	Offsite response organizations must be invited to participate in site-wide exercises at least once every three years.	DOE O 151.1C, IV.4.b.(1)(c)]
Criterion		
9.4.1.	Offsite response organizations are invited to participate in a site-level exercise at least every 3 years.	(DOE G 151.1-3, 2.5) (DOE G 151.1-3, D.4.2, P7.23)
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there any documentation (plan, procedure) that indicates that offsite response organizations are to be invited to participate in a site-level exercise at least once every 3 years? 	
	<ul style="list-style-type: none"> Does the Exercise Program plan indicate that offsite entities are to be invited? Have offsite entities been invited and how often? 	
	<ul style="list-style-type: none"> Have offsite entities participated? Which? 	
	<ul style="list-style-type: none"> What has been the level of exercise participation? 	
	<ul style="list-style-type: none"> Are objectives for offsite organizations regularly included in exercise packages? 	
	<ul style="list-style-type: none"> Have exercise scenarios been formulated to accommodate offsite exercise objectives? 	
	<ul style="list-style-type: none"> Has the site/facility coordinated their exercise schedule with offsite agencies? 	
	<ul style="list-style-type: none"> If offsite entities have not participated, determine if there is a reason. 	
	<ul style="list-style-type: none"> Do offsite entities (when participating) attend the controller/evaluator briefing? 	
	<ul style="list-style-type: none"> Do offsite entities (when participating) attend the controller/evaluator briefing? 	
	<ul style="list-style-type: none"> Are exercise packages assembled for offsite entities (state, local) consistent with HSEEP? 	
APPROACH		
Document/Record Review		

9. OFFSITE RESPONSE INTERFACES (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Review exercise program planning documents and records to determine offsite response organizations' exercise participation (this includes exercise packages, after action reports). 	
	<ul style="list-style-type: none"> 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. 	
	<ul style="list-style-type: none"> Resolve any issues of missing, incomplete, or unclear documentation in the interview/observation phases of the inspection. 	
Interview		
	<ul style="list-style-type: none"> 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. 	
	<ul style="list-style-type: none"> Interview facility emergency management personnel on sites with multiple facilities who have management roles with respect to offsite response interface to determine effectiveness of site-wide program integration for offsite response interface effectiveness. 	
	<ul style="list-style-type: none"> Interview facility emergency management personnel on sites with multiple facilities to determine effectiveness of site-wide program integration. 	
Observation		
	<ul style="list-style-type: none"> Observe conduct of an exercise to determine compliance with offsite response interface. 	
OBJECTIVE		
9.5.	For Operational Emergencies, provisions must be established for prompt initial notification of workers and emergency response personnel and organizations, including appropriate DOE/NNSA elements and other Federal, State, Tribal and local organizations. Accurate and timely follow-up notifications must be made with conditions change, when the emergency classification level is upgraded, or when the emergency is terminated.	[DOE O 151.1C, VIII.4.a.]
Criterion		
9.5.1.	Methods of communication (e.g., telephone circuits and/or radio channels) and communication protocols with offsite agencies/organizations are in place, identified and operable.	(DOE G 151.1-3, D.4.2, P/E7.4)
Lines of Inquiry		
	<ul style="list-style-type: none"> Are methods of communications with offsite agencies/organizations identified in the Emergency Plan? List the types of communications (phone, fax, email, radio, satellite) and to whom. 	
	<ul style="list-style-type: none"> Does a plan/procedure indicate the testing schedule/requirement for the methods of communications? 	

9. OFFSITE RESPONSE INTERFACES (FIELD ELEMENT)		
	<ul style="list-style-type: none"> • Have these methods of communications been tested? How often? 	
	<ul style="list-style-type: none"> • Who performs the testing? 	
Criterion		
9.5.2.	Communication capabilities allow effective communications with offsite officials, EM-HQ, and DOE HQ EMT.	(DOE G 151.1-3, D.4.2, P/E7.5)
Lines of Inquiry		
	<ul style="list-style-type: none"> • Are methods of communication with the offsite agencies/organizations identified, in place and operable? 	(DOE G 151.1-4,2.5)
	<ul style="list-style-type: none"> • Are the systems compatible? 	(DOE G 151.1-4,2.5)
	<ul style="list-style-type: none"> • Are there public warning methods? Describe. 	(DOE G 151.1-4,2.5)
	<ul style="list-style-type: none"> • Do the methods of communications <u>allow</u> for effective communications with the State(s), and local entities? 	
	<ul style="list-style-type: none"> • Do the local responders have/use compatible communication equipment? 	
	<ul style="list-style-type: none"> • Do the methods of communications <u>allow</u> for effective communications with DOE HQ EMT and the Program Office? 	
	<ul style="list-style-type: none"> • How is information communicated regarding: <ul style="list-style-type: none"> ○ Training/conferences? ○ Emergency plans/procedures? ○ MOUs, MAAs, LOAs? ○ Written correspondence? 	
	<ul style="list-style-type: none"> • Are communication protocols contained in a plan/procedure? 	
	<ul style="list-style-type: none"> • How are communications protocols updated and distributed? 	
	<ul style="list-style-type: none"> • Who receives the communication protocols? 	
	<ul style="list-style-type: none"> • Is there a process to ensure that the protocols are updated and new versions are distributed? 	
	<ul style="list-style-type: none"> • Are pre-designated offsite point-of-contact, including organization, names and telephones numbers documented and available to the response organization? <ul style="list-style-type: none"> ○ Where is the information kept? ○ Who is responsible for keeping it up-to-date? ○ How often is this done? ○ How is this accomplished? 	
	<ul style="list-style-type: none"> • Are provisions in place to ensure clear communications and mutual understanding of acronyms, code words, conventions and/or technical terminology? 	
Criterion		
9.5.3.	Offsite officials are briefed upon activation of their respective facilities.	(DOE G 151.1-3, D.4.2, P/E7.6)

9. OFFSITE RESPONSE INTERFACES (FIELD ELEMENT)		
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there a plan/procedures describing what should be briefed to offsite (state and local) officials in an operational emergency? 	
	<ul style="list-style-type: none"> How does this briefing usually take place? (via telephone, video, liaison?) 	
	<ul style="list-style-type: none"> Does the state/local have access to WebEOC®? Do they use it? 	
	<ul style="list-style-type: none"> Who is responsible for ensuring information exchange occurs with offsite agencies/organizations (during an emergency)? 	
	<ul style="list-style-type: none"> Are offsite officials provided with initial and ongoing information? 	
Criterion		
9.5.4.	Offsite agencies/organizations, responsible for emergency response and for the protection of workers, the public, and the environment, are provided initial and ongoing information sufficient to perform their respective functions	(DOE G 151.1-3, D.4.2, P/E7.7)
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there a plan/procedures detailing how the Field Element /site/facility exchange information to offsite agencies/organizations (State, local, Tribal)? 	
	<ul style="list-style-type: none"> Has information exchange been demonstrated through tabletops, drills and/or exercises? 	
	<ul style="list-style-type: none"> Is there a mutual understanding of response measures to be implemented by the site/facility 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? (DOE G 151.1-3, D.4.2, P/E7.15) 	(DOE G 151.1-3, D.4.2, P/E7.15)
Criterion		
9.5.5.	Field monitoring and data collection by facility and site teams, State and local teams, and Federal teams is coordinated to facility exchanges and correlation of information.	(DOE G 151.1-4, 6.7.4, DOE G 151.1-3, D.4.6,P/E 11.20)
Lines of Inquiry		
	<ul style="list-style-type: none"> Are there plans/procedures addressing a protocol for sharing and transmitting information among response organizations? 	
	<ul style="list-style-type: none"> Is field monitoring and data collection (federal, state, local, site) coordinated to facilitate exchanges and correlation of information? 	
	<ul style="list-style-type: none"> Are engineering units used in facility/site consequence assessment understood and compatible with the units used by offsite emergency response authorities? 	(DOE G 151.1-3, D.4.6, P/E11.21a)
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review all site/facility emergency plan(s), EIPs in regard to offsite interfaces. 	
	<ul style="list-style-type: none"> Review communication protocols. 	

9. OFFSITE RESPONSE INTERFACES (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Review ERAP and documentation of program reviews (internal and external), corrective actions, and documents that track findings and corrective actions related to offsite response interface agreements, or other offsite response interface issues. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility for establishing offsite interfaces. 	
	<ul style="list-style-type: none"> Interview managers delegated individual responsibility for activities within the emergency management program such as the training program manager and exercise program manager to verify documentation for each criterion. 	
	<ul style="list-style-type: none"> Interview communications personnel. 	
	<ul style="list-style-type: none"> If possible, interview offsite organizations. 	
Observation		
	<ul style="list-style-type: none"> Observe conduct of training and drills to determine compliance with offsite response interface requirements. 	
	<ul style="list-style-type: none"> Examine equipment used for communicating with offsite entities. 	
OBJECTIVE		
9.6.	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.	[DOE O 151.1C, IX.2.d.(4)]
Criterion		
9.6.1.	An Emergency Public Information Plan provides for coordination of public information efforts with State, local, and Tribal governments	[DOE O 151.1C, IX.2.d.(4)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Do interfaces (agreements, procedures, plans) describe facility/site press release protocols? 	(DOE G 151.1-3, 2.5)
	<ul style="list-style-type: none"> Do interfaces indicate the name or position of personnel authorized to speak for the organization during an emergency? 	(DOE G 151.1-3, 2.5)
Criterion		
9.6.2.	A Joint Information Center is established during an emergency where multiple jurisdictions gather, process and disseminate public information.	[DOE 151.1C, IX.4.b(2)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the emergency plan/emergency implementing procedures allow for a JIC to be established? 	
	<ul style="list-style-type: none"> Have offsite agencies agreed to the location and management of the JIC? 	(DOE G 151.1-3, 2.5)
	<ul style="list-style-type: none"> Is there space/area for offsite agencies to work from? 	
	<ul style="list-style-type: none"> Are incoming inquiries/concerns directed to the appropriate personnel for resolution (in the JIC)? 	

9. OFFSITE RESPONSE INTERFACES (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Has the site/facility contractor been open to suggestions from offsite entities regarding training/drills? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review field/site/facility emergency plan(s), public information plan and procedures related to public information. 	
	<ul style="list-style-type: none"> Review memoranda or agreements with offsite response organizations that may have a role in a response to an operational emergency. 	
	<ul style="list-style-type: none"> Review prior exercises regarding JIC participation. Did it include offsite agency participation? 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility (Program Administrator) for managing the emergency management program to verify documentation for each criterion. 	
	<ul style="list-style-type: none"> Interview the Field Element public Information specialist 	
	<ul style="list-style-type: none"> Interview the contractor public information specialist. 	
Observation		
	<ul style="list-style-type: none"> Observe the interaction of offsite agencies in the JIC and news conferences. 	
	<ul style="list-style-type: none"> Observe coordination with offsite agencies in developing, coordinating/approving news releases and/or release of information to the public. 	

10. EMERGENCY FACILITIES AND EQUIPMENT FOR FIELD		
<p>Performance Goal: 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.</p> <p>1. Objective: Facilities adequate to support emergency response must be available and maintained. [DOE O 151.1C, IV.3.(b)((9))]</p> <p>2. Objective: Equipment adequate to support emergency response must be available and maintained. [DOE O 151.1C, IV.3.(b)((9))]</p>		
OBJECTIVE		
10.1	Facilities adequate to support emergency response must be available and maintained. [DOE O 151.1C, IV.3.(b)((9))]	• DOE G 151.1-3, P/E8.1
Criterion		
10.1.1	A facility is available for use as a command center by the EM, the EMT, and other members of the ERO during an emergency response.	DOE G 151.1-3, P8.2
Lines of Inquiry		
	Is a facility available for use as a command center by the EM, the EMT, and other members of the ERO during an emergency response? If yes, provide procedures. If no, please explain why a facility is not available as a command center.	
	What facility is used as the command center by the Emergency Manager?	
	What facility is used by the site/facility contractor Emergency Management Team?	
	Is there a separate facility used for technical support?	
	Describe where the Incident Commander may set up the Incident Command Post?	
	Is a vehicle used as the Incident Command Post?	
Criterion		
10.1.2	Characteristics of the dedicated command center, and other auxiliary facilities, are adequate to reliably support the designated functions and assignments.	DOE G 151.1-3, P/E8.3
Lines of Inquiry		
	Are characteristics of the dedicated command center, and other auxiliary facilities, adequate to reliably support the designated functions and assignments? If yes, what are the characteristics that support the designated functions and assignments? If no, please explain unreliability.	
	Provide plans procedures that describe functions and assignments for the command center and other auxiliary facilities.	
	Describe the characteristics of the dedicated command center.	
	Describe the characteristics of other auxiliary facilities used to support emergency response functions.	
	Are these facilities adequate to support emergency response?	

10. EMERGENCY FACILITIES AND EQUIPMENT FOR FIELD		
Criterion		
10.1.3	As required, facilities are available to accommodate classified discussions at the appropriate clearance levels.	DOE G 151.1-3, P/E8.4
Lines of Inquiry		
	Are facilities, as required, available to accommodate classified discussions at the appropriate clearance levels? If yes, where are these facilities located? If no, please explain.	
	Are there procedures for preparing for a classified discussion? If yes, who maintains the procedures? If no, please explain how the facilities prepare for a classified discussion.	
Criterion		
10.1.4	Facility systems and installed equipment (e.g., HVAC, sanitation, lighting, radiation monitors, computers systems, communications, and visual displays) are adequate to support facility functions and level of staffing.	DOE G 151.1-3, P/E8.6
Lines of Inquiry		
	<p>Are the following facility systems and installed equipment adequate to support facility functions and level of staffing? If yes, are equipment and supplies inspected, tested, and maintained in accordance with manufacturer’s instructions or industry standards? If no, please explain inadequacies.</p> <ul style="list-style-type: none"> <input type="checkbox"/> HVAC <input type="checkbox"/> Sanitation <input type="checkbox"/> Lighting <input type="checkbox"/> Radiation monitors <input type="checkbox"/> Computers systems <input type="checkbox"/> Communications <input type="checkbox"/> Visual displays <p>Are the systems and equipment at emergency facilities adequate to support the facility functions and the level of staffing? (This question should be asked for each emergency facility identified above)</p>	
Criterion		

10. EMERGENCY FACILITIES AND EQUIPMENT FOR FIELD		
10.1.5	Emergency response facilities use backup or alternate power supplies in the event of loss of power.	DOE G 151.1-3, P/E8.7
Lines of Inquiry		
	Do emergency response facilities use backup or alternate power supplies in the event of loss of power? If yes, describe what backup or alternate power supplies are available and who makes the decision to use them. If no, please explain what would happen in the event of a loss of power.	
	Are backup or alternate power supplies marked (i.e., labeled?) If yes or no, please explain. Who maintains backup or alternate power supplies?	
	How long will backup or alternate power supplies last?	
	Do emergency response facilities (command centers, CAS, technical support centers) have a backup power supply? Which?	
	Is the switch to backup uninterrupted (batteries used)?	
	If interrupted, how soon will the backup power come up?	
Criterion		
10.1.6	As necessary, conversion of facilities to response facilities for the emergency is accomplished in a timely and efficient manner.	DOE G 151.1-3, P/E8.8
Lines of Inquiry		
	As necessary, is conversion of facilities to response facilities for the emergency accomplished in a timely and efficient manner? If yes, provide plans, procedures, MOUs or LOAs and/or explain how this conversion takes place. If no, please explain problems associated with conversion of facilities to response facilities.	
	Are there any response facilities that have to be converted for use of an emergency (i.e., Joint Information Center)? Describe.	
	If yes, is there a documented procedure used to convert these facilities?	
	Has the conversion been an exercise objective?	
	Has the conversion been successfully demonstrated in an exercise?	
Criterion		
10.1.7	Command center access control is adequate and results in the efficient and timely identification of assigned staff.	DOE G 151.1-3, P/E8.9
Lines of Inquiry		

10. EMERGENCY FACILITIES AND EQUIPMENT FOR FIELD		
	<p>Is command center access control adequate and does it result in the efficient and timely identification of assigned staff? If yes, how is access control maintained? If no, please explain problems with access control.</p> <p>Is access controlled into the command center/EOC?</p> <p>How is access controlled?</p> <p>Do EMT members wear any kind of identification?</p> <p>Is a guard/security posted at the door of the command center/EOC?</p>	
	<p>Is there a security plan for the facility? If yes, who maintains it and where is it located? If no, go to next question.</p>	
	<p>Does the facility have restricted access? If yes, what is the level of clearance? If no, how is access determined?</p> <p><input type="checkbox"/> Uncleared</p> <p><input type="checkbox"/> L Clearance</p> <p><input type="checkbox"/> Q clearance</p>	
	<p>Are there controlled access points (entrances/exits)? If yes, how is access control maintained and where are access points located? If no, please explain.</p> <p><input type="checkbox"/> Keypad</p> <p><input type="checkbox"/> Swipe card</p> <p><input type="checkbox"/> Security personnel</p> <p><input type="checkbox"/> Other personnel</p>	
	<p>Are there designated registration areas? If yes, where are they located? If no, please explain.</p> <p><input type="checkbox"/> Desk with Sign-in/Sign-out notebook</p> <p><input type="checkbox"/> Sign-in/Sign-out board</p> <p><input type="checkbox"/> Other</p>	

10. EMERGENCY FACILITIES AND EQUIPMENT FOR FIELD		
	<p>Are staff members badged? If yes, what kind of badge? If no, what process is used to identify staff?</p> <p><input type="checkbox"/> Site badge</p> <p><input type="checkbox"/> ERO position badge</p> <p><input type="checkbox"/> Other</p> <p>Are badges or other identification available for visitors (e.g., observers, visiting agencies)? If yes or no, please explain.</p>	
APPROACH		
Document/Record Review		
	Site/facility emergency plan(s)	
	Plans/procedures addressing maintenance of facilities designated for use during emergency response	
	Plans/procedures addressing notification and communication to employees and testing of related equipment/systems	
	Procedures addressing each criterion	
Interview		
	Individual(s) with responsibility for maintaining facilities and equipment addressed by each criterion	
	Individual who responds to a designated response facility to support emergency response	
	Facility employee who is recipient of emergency notifications	
Observation		
	Facilities used to support emergency response	
	Equipment used to notify and communicate emergency notifications to employees	
	Equipment used for each criterion	
OBJECTIVE		
10.2	<u>Equipment adequate to support emergency response must be available and maintained. [DOE O 151.1C, IV.3.(b)((9)]</u>	<ul style="list-style-type: none"> DOE G 151.1-3, P/E8.1
Criterion		
10.2.1	The capability to notify employees of an emergency to facilitate the safe evacuation of employees from the work place, immediate work area, or both is available.	DOE G 151.1-3, P/E8.10

10. EMERGENCY FACILITIES AND EQUIPMENT FOR FIELD		
Lines of Inquiry		
	Is the capability available to notify employees of an emergency to facilitate the safe evacuation of employees from the work place, immediate work area, or both? If yes or no, how are employees notified to evacuate?	
	Are there alarm systems in place to notify employees to evacuate? Describe.	
	Are the alarms regularly tested?	
	Can all workers hear the alarms?	
	Is maintenance regularly performed on the alarms?	
Criterion		
10.2.2	Provisions are established to ensure operational compatibility between facility response capabilities and DOE or NNSA assets.	DOE G 151.1-3, P/E8.11
Lines of Inquiry		
	Are provisions established to ensure operational compatibility between facility response capabilities and DOE or NNSA assets? If yes, describe these provisions. If no, please explain how provisions could be established.	
	Does the site/facility contractor have operational compatibility with NNSA assets?	
	Are there any special requirements needed for NNSA assets?	
	Are these provisions tested at least annually? If yes, how often? If no, why not?	
Criterion		
10.2.3	Adequate PPE, and other emergency equipment and supplies are readily available and operable to meet the needs determined by the results of the EPHA.	DOE G 151.1-3, P/E8.12
Lines of Inquiry		

10. EMERGENCY FACILITIES AND EQUIPMENT FOR FIELD		
	<p>Are PPE and other emergency equipment and supplies determined by the results of the EPHA? If yes or no, who decides what personal protective equipment is needed for an emergency?</p> <p>Who maintains the PPE?</p> <p>How often is the PPE checked/tested for operability?</p> <p>Who has PPE been assigned to?</p> <p>Do employees carry PPE?</p> <p>Have employees been trained/qualified for PPE?</p> <p>Have the employees been tested as to the ability to don PPE?</p> <p>What other emergency equipment and supplies are needed?</p> <p>Is there a link to fire and medical supplies?</p>	
	<p>Are other emergency equipment and supplies included in inventories? If yes, what? If no, how do you maintain other emergency equipment and supplies?</p>	
Criterion		
10.2.4	Actual function(s) and operating characteristics of specific equipment adequately support the intended function(s) during emergency response.	DOE G 151.1-3, P/E8.13
Lines of Inquiry		
	<p>Do actual function(s) and operating characteristics of specific equipment adequately support the intended function(s) during emergency response? If yes or no, please explain.</p>	
	<p>During an actual event or an exercise has equipment been tested?</p>	
	<p>Has the equipment, once tested, adequate to support the emergency response?</p>	
	<p>Indicate when specific equipment has been tested (i.e., PPE, alarms, notification systems...).</p>	
Criterion		
10.2.5	Secure communication equipment is available to support classified discussions and transmittal of classified documents/reports.	DOE G 151.1-3, P/E8.14
Lines of Inquiry		

10. EMERGENCY FACILITIES AND EQUIPMENT FOR FIELD		
	Is secure communication equipment available to support classified discussions and transmittal of classified documents/reports? If yes, how often is this equipment checked and what procedures are in place to ensure equipment is functioning properly and efficiently? If no, explain.	
	Does the site/facility need secure communications?	
Criterion		
10.2.6	Equipment needed during the emergency response functioned as expected and intended (or was repaired or obtained in a timely manner), including: current reference materials (e.g., maps, facility drawings); decisional aids (including computers); area and process monitors; public address system; PPE, portable monitoring instruments and personnel monitoring devices; siren and alarm systems; decontamination equipment; communication equipment.	DOE G 151.1-3, P/E8.15
Lines of Inquiry		
	<p>Did equipment function as expected and intended (or was repaired or obtained in a timely manner), during the emergency response. If yes or no, Please explain. Provide maintenance records or explain maintenance procedures.</p> <ul style="list-style-type: none"> <input type="checkbox"/> Current reference materials (e.g., maps, facility drawings) <input type="checkbox"/> Decisional aids (including computers) <input type="checkbox"/> Area and process monitors <input type="checkbox"/> Public address system <input type="checkbox"/> Personnel protective equipment (PPE) <input type="checkbox"/> Portable monitoring instruments and personnel monitoring devices <input type="checkbox"/> Siren and alarm systems <input type="checkbox"/> Decontamination equipment <input type="checkbox"/> Communication equipment <input type="checkbox"/> Other 	

10. EMERGENCY FACILITIES AND EQUIPMENT FOR FIELD		
	<p>Has emergency response equipment functioned as expected during an actual event or an exercise?</p> <ul style="list-style-type: none"> <input type="radio"/> Reference materials were appropriate and available? <input type="radio"/> Decisional aids were operational? <input type="radio"/> Area and process monitors were operational? <input type="radio"/> Public address system could be heard and understood? <input type="radio"/> PPE was available? <input type="radio"/> Portable monitoring instruments and personnel monitoring devices were operational? <input type="radio"/> Siren and alarm systems were operational and could be heard and distinguished? <input type="radio"/> Decontamination equipment was operable? <input type="radio"/> Communication equipment was operational? <p>Did appropriate employees know how to use the above equipment? Be specific if did not.</p>	
Criterion		
10.2.7	Designated response facilities, especially multi-use facilities, are adequately maintained to ensure timely activation and availability to support an emergency response.	DOE G 151.1-3, P8.14
Lines of Inquiry		
	<p>Which of the following best describes your response facility?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Dedicated facility inside EPZ <input type="checkbox"/> Dedicated facility outside EPZ <input type="checkbox"/> Multi-use facility inside EPZ <input type="checkbox"/> Multi-use facility outside EPZ <input type="checkbox"/> Mobile facility inside EPZ <input type="checkbox"/> Mobile facility outside EPZ 	

10. EMERGENCY FACILITIES AND EQUIPMENT FOR FIELD		
	Is the facility maintained by a single individual or department? If yes or no, who maintains the facility?	
	Are there agreements or contracts in place? If yes or no, how is the facility maintained? Provide agreements or contracts. Are designated response facilities (command centers, EOCs, technical support areas) maintained to ensure timely activation? Are designated response facilities normally available to support an emergency response? What would prevent the facilities from being available?	
	If a multi-use facility, have there ever been any problems accessing the facility? If yes or no, how is it ensured that the facility is available upon activation of emergency response staff? Have you ever had any problems with the facility setup during activation? If yes, what type of problems? If no, how is setup conducted?	
Criterion		
10.2.8	Inventories of all emergency equipment and supplies are maintained with the equipment location identified.	DOE G 151.1-3, P8.15
Lines of Inquiry		
	Are inventories of all emergency equipment and supplies maintained with the equipment location identified? If yes, provide documentation. If no, please explain.	
	Is there an inventory of emergency equipment and supplies found at the site/facility?	
	How often is emergency equipment and supplies inventoried?	
	How are discrepancies resolved?	
Criterion		
10.2.9	Periodic inspections, operational checks, calibration, preventive maintenance and testing of equipment and supplies are carried out as required in accordance with manufacturer’s instructions or industry standards.	DOE G 151.1-3, P8.16
Lines of Inquiry		
	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? If yes, what standards are used? If no, please explain.	

10. EMERGENCY FACILITIES AND EQUIPMENT FOR FIELD		
	Is there an organization at the site/facility (contractor) responsible for maintenance of equipment?	
	Does this organization also perform maintenance of emergency management equipment?	
	How often is equipment serviced? Is there a schedule? Are there procedures indicating how equipment is be serviced?	
Criterion		
10.2.10	Communication systems with DOE HQ, Cognizant Field Elements, and offsite organizations are periodically tested.	DOE G 151.1-3, P8.17
Lines of Inquiry		
	Are communication systems with DOE HQ, Cognizant Field Elements, and offsite organizations periodically tested? If yes or no, please explain.	
	What communications systems exist for the site to communicate with DOE –HQ? What communications systems exist for the site to communicate with EM-HQ? What communications systems exist for the site to communicate with other offsite organizations?	
	Is there a procedure to test these communication systems?	
	How often are these communication systems tested?	
Criterion		
10.2.11	Communication systems used to activate both on-shift and off-shift emergency response personnel are tested and maintained regularly.	DOE G 151.1-3, P8.18
Lines of Inquiry		
	Are communication systems for emergency personnel activation tested at least annually? If yes or no, please explain.	
	Document experience when activating on-shift and off-shift emergency response personnel.	
	What communication system(s) is used to activate emergency response personnel? Describe both on-shift and off-shift.	
	How often are the communication system(s) tested?	
APPROACH		
Document/Record Review		
	Site/facility emergency plan(s)	

10. EMERGENCY FACILITIES AND EQUIPMENT FOR FIELD		
	Procedures addressing the maintenance of designated facilities and equipment used to support emergency response for each criterion	
	Records associated with testing and maintenance of equipment in each criterion	
Interview		
	Individual(s) with responsibility for maintenance and testing of facilities and equipment in each criterion	
	An ERO member who responds to the command center	
Observation		
	Command center	
	Other designated facilities used to support emergency response	
	Systems and equipment used for each criterion	

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11. CATEGORIZATION/CLASSIFICATION (FIELD ELEMENT)		
<p>Performance Goal: Each DOE/NNSA site/facility must declare an Operational Emergency when a major unplanned or abnormal event or condition occurs that: involves or affects 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, are recognized promptly, categorized, and declared as Operational Emergencies (OEs).</p> <p>Each DOE/NNSA site/facility must classify Operational Emergencies involving the uncontrolled airborne release of hazardous material as an Alert, Site, or General Emergency in order of increasing severity. [DOE O 151.1C.4.a.(17)]</p> <ol style="list-style-type: none"> Objective: Field element ensures development of EIPs regarding categorization/classification. [DOE O 151.1C, I.9.e] Objective: Events must be classified on the basis of potential severity of the consequences. Response actions must be implemented accordingly. [DOE O 151.1C, IV.5.a] 		
OBJECTIVE		
11.1.	Field Elements ensure development of appropriate emergency plan implementing procedures for timely and accurate emergency classification, notification, and reporting of emergency events for facilities under their cognizance.	[DOE O 151.1C, I.9.e]
Criterion		
11.1.1.	The Operational Emergency Base Program must establish criteria for determining quickly if an event is an Operational Emergency.	[DOE O 151.1C III.3.d.(3)(a)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there a procedure (EPIP) which describe the process of making a categorization/classification? 	
	<ul style="list-style-type: none"> Is the procedure reviewed by the Field Element? 	
	<ul style="list-style-type: none"> Does the procedure include criteria indicating the events that are to be categorized as Operational Emergencies? 	
	<ul style="list-style-type: none"> Are the criteria clear, straightforward, usable and unambiguous to the decision maker? 	(DOE G 151.1-3, D.4.4, P/E9.8, P/E9.15)
	<ul style="list-style-type: none"> Are the criteria stated in terms of readily available indications or observable conditions? 	(DOE G 151.1-3, D.4.4, P/E9.8)
	<ul style="list-style-type: none"> Who is the decision maker? 	
	<ul style="list-style-type: none"> Are Operational Emergencies categorization criteria reviewed and tested regularly against a range of initiating conditions and emergency event/condition scenarios to validate the indicated emergency categorization/classification. 	(DOE G 151.1-3, D.4.4, P/E9.21)
Criterion		
11.1.2.	Provisions must be established to categorize and classify emergency events.	
Lines of Inquiry		

11. CATEGORIZATION/CLASSIFICATION (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Do provisions provide for be categorizing and classifying an event, as promptly as possible, but no later than 15 minutes after event recognition/identification/discovery? 	(DOE G 151.1-4, 4.2)
	<ul style="list-style-type: none"> Do the plans/procedures clearly indicate who is responsible for categorizing and classifying an event? 	
	<ul style="list-style-type: none"> Is the recognition/categorization/classification process of Operational Emergencies is effectively integrated with existing operations, management, emergency response, reporting activities and the security classification scheme? 	(DOE G 151.1-3, D.4.4, P/E9.3)
	<ul style="list-style-type: none"> Do the procedures indicate that the recognition/categorization/classification process has been integrated with occurrence reporting? 	
Criterion		
11.1.3.	Site/facility-specific Emergency Action Levels must be developed for the spectrum of potential Operational Emergencies identified by the EPHA and must include protective actions corresponding to each EAL.	[DOE O 151.1C IV.3.b.(3)(b)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Are the EALs applicable to a spectrum of potential Operational Emergencies identified by the EPHA? 	(DOE G 151.1-3, D.4.4, P/E9.12)
	<ul style="list-style-type: none"> Do they range from high probability/low risk to low probability/high risk? 	
	<ul style="list-style-type: none"> Are the EALs clear, straight forward, usable and unambiguous to the decision maker? 	
	<ul style="list-style-type: none"> Are there protective actions/protective action recommendations associated with EALs? 	(DOE G 151.1-3, D.4.4, P/E9.18)
	<ul style="list-style-type: none"> Are the default protective actions/protective action recommendations conservative? 	(DOE G 151.1-3, D.4.4, P/E9.18)
	<ul style="list-style-type: none"> Have the protective actions/protective action recommendations been demonstrated in exercises? 	
Criterion		
11.1.4.	Emergency Response Organization (ERO) decision makers are trained to make prompt, accurate, and practical judgements involving event categorization and classification, protective actions, and urgent notifications of OEs.	(DOE G 151.1-3, D.3.2, P3.14.a)
Lines of Inquiry		
	<ul style="list-style-type: none"> 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? 	(DOE G 151.1-3, D.3.2, P3.11)
	<ul style="list-style-type: none"> Have Field element ERO members received categorization/classification training? 	
	<ul style="list-style-type: none"> Have ERO decision makers received EAL training to improve their proficiency in making timely and conservative classifications of OEs, including decision-making when information is incomplete or uncertain and for events and conditions that are not covered explicitly by the EALs? 	(DOE G 151.1-3, D.3.2, P3.14.b)

11. CATEGORIZATION/CLASSIFICATION (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Have the ERO personnel authorized for initial classification and protective action decision-making validated their proficiency by participating in performance tests that employ hypothetical scenarios and available facility/site aids, such as EALs? 	(DOE G 151.1-3, D.3.2, P3.14.c)
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Field/Site/facility emergency plan(s) and procedures for roles, responsibilities, job aids, and checklists for making categorization and classification determinations. 	
	<ul style="list-style-type: none"> Field procedures on how to review site procedures. 	
	<ul style="list-style-type: none"> Technical Basis Planning documents (EPHAs and EALs). 	
	<ul style="list-style-type: none"> Training records for decision makers responsible for categorizing and classifying events based on EALs. 	
	<ul style="list-style-type: none"> Drill/exercise reports and/or Limited Scope Performance Tests reports for demonstration of proficiency in determining categorization and classification on event(s). 	
Interview		
	<ul style="list-style-type: none"> Field element personnel responsible for reviewing site emergency plans/procedures. 	
	<ul style="list-style-type: none"> Field decision makers who have any responsibility in the categorization/classification process. 	
Observation		
	N/A	
OBJECTIVE		
11.2.	Events must be classified on the basis of potential severity of the consequences. Response actions must be implemented accordingly.	[DOE O 151.1C, IV.5.a]
Criterion		
11.2.1.	Authority and responsibility for categorizing an event/condition, and if necessary, determining the emergency classification, is clearly defined, recognized and understood by ERO personnel.	(DOE G 151.1-3, D.4.4, P/E9.1)
Lines of Inquiry		
	<ul style="list-style-type: none"> What role does the Field Element have in the categorization/classification process? 	
	<ul style="list-style-type: none"> Does a plan/procedure describe what position has the authority and responsibility for categorizing an event/condition? 	
	<ul style="list-style-type: none"> Is the Field Element role in categorization/classification indicated in plans/procedures? 	
	<ul style="list-style-type: none"> How many individuals have been trained for the position? 	
	<ul style="list-style-type: none"> Do the individuals understand their responsibilities in determining categorization? 	
	<ul style="list-style-type: none"> Is there a procedure (EPIP) which describes the process of making a categorization? 	

11. CATEGORIZATION/CLASSIFICATION (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Is there a checklist that the position uses to assist in making a categorization? 	
	<ul style="list-style-type: none"> Is the set of facility/site or activity specific criteria readily accessible to the responsible decision maker? 	(DOE G 151.1-3, D.4.4, P/E9.6)
	<ul style="list-style-type: none"> Do the procedures indicate that the decision maker is to promptly classify the event as an Operational Emergency, if it involves an airborne release of (or loss of control over) hazardous materials? 	(DOE G 151.1-3, D.4.4, P/E9.8)
	<ul style="list-style-type: none"> Do the procedures indicate that an abnormal event/condition, categorized as an Operational Emergency is only downgraded (e.g., Significance Level 1-4) if the original categorization was incorrect? (A properly categorized OE remains in effect until the emergency response is terminated.) 	(DOE G 151.1-3, D.4.4, P/E9.10)
	<ul style="list-style-type: none"> Have all the individuals received training in categorization? 	
	<ul style="list-style-type: none"> Was the knowledge of the ERO personnel responsible for categorization/classification demonstrated? 	
Criterion		
11.2.2	The designated (authorized) individual with the responsibility for categorization and classification makes the determination(s).	(DOE G 151.1-3, D.4.4, P/E9.2)
Lines of Inquiry		
	<ul style="list-style-type: none"> What role does the Field element have in the categorization/classification determination? 	
	<ul style="list-style-type: none"> Have all the designated individuals received training in categorization and classification? 	
	<ul style="list-style-type: none"> Have all the designated individuals participated in a drill encompassing categorization of an event? 	
	<ul style="list-style-type: none"> Has categorization/classification been included as objectives in an exercise? 	
	<ul style="list-style-type: none"> Has categorization/classification been successfully demonstrated in an exercise? 	
	<ul style="list-style-type: none"> Did the designated individual responsible for categorizing/classifying an event made the determination (in an actual event, exercise or drill)? 	
Criterion		
11.2.3	An event must be categorized as an Operational Emergency as promptly as possible, but no later than 15 minutes after event recognition/identification/discovery.	[DOE O 151.1C III.3.d.3)(b)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Do the procedures indicated that an event must be categorized as an Operational Emergencies as promptly as possible, but no later than 15 minutes after event recognition/identification/discovery? 	(DOE G 151.1-3, D.4.4, P/E9.5)
	<ul style="list-style-type: none"> In an event, exercise, drill, was the event classified correctly and with the 15 minutes of event recognition/identification/discovery? 	
APPROACH		
Document/Record Review		

11. CATEGORIZATION/CLASSIFICATION (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Field/Site/facility emergency plan(s) and procedures for roles, responsibilities, job aids, and checklists for making categorization and classification determinations. 	
	<ul style="list-style-type: none"> Drill/exercise reports and/or Limited Scope Performance Test reports demonstrating accurate categorization of events. 	
	<ul style="list-style-type: none"> Process documents and/or procedures for development and approval of EALs. 	
Interview		
	<ul style="list-style-type: none"> Field element ERO members who play a role in categorizing/classifying emergency events. 	
	<ul style="list-style-type: none"> Personnel responsible for development of EALs. 	
Observation		
	<ul style="list-style-type: none"> Drill/exercise (may be limited scope performance test) involving individuals responsible for the categorization and classification of emergency event. 	

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12. NOTIFICATION AND COMMUNICATIONS (FIELD ELEMENT)		
<p>Performance Goal: Prompt initial notification of workers, emergency response personnel, and response organizations, including DOE/NNSA elements and State, Tribal and local organizations, and continuing effective communication among response organizations must be address throughout an emergency. [DOE O 151.1C, III,3.d.(4)]</p> <ol style="list-style-type: none"> 1. Objective: Ensure development of appropriate emergency plan implementing procedures for notification. [DOE O 151.1C, I.9.e.] 2. Objective: Provisions for Operational Emergencies must be established for prompt initial notification of workers and emergency response personnel and organizations, including appropriate DOE/NNSA element and other Federal, State, Tribal and local organizations. [DOE O 151.1C, III,3.d.(4)] 3. Objective: Cognizant Field Elements must monitor the notification process at the site/facility and make notifications of applicable DOE/NNSA emergency events as necessary or appropriate. [DOE O 151.1C, 4.c.(1)(b)2] 4. Objective: A program must be established to ensure that vital records, regardless of media, essential to be continued functioning or reconstitution of an organization during and after an emergency are available, per 36 CFR 1236. 		
OBJECTIVE		
12.1.	Ensure development of appropriate emergency plan implementing procedures for timely and accurate emergency classification, notification, and reporting of emergency events for facilities under their cognizance. Establish pre-authorization criteria when possible.	[DOE O 151.1C, I.9.e.]
Criterion		
12.1.1.	The Field element has documented processes in place to ensure that emergency management policy and procedures are in place and maintained.	(DOE G 151.1-3, D.3, P2.6, P2.7)
Lines of Inquiry		
	<ul style="list-style-type: none"> • Have EPIPS been developed for emergency notification? 	
	<ul style="list-style-type: none"> • Has the Field Element review the field/site/facility emergency plan(s) and EPIPs in regard to emergency notification? 	
	<ul style="list-style-type: none"> • Do the EPIPs contain a notification form for reporting Operational Emergencies? 	

12. NOTIFICATION AND COMMUNICATIONS (FIELD ELEMENT)		
	<ul style="list-style-type: none"> • Does the notification form contain: <ul style="list-style-type: none"> ○ That an Operational Emergency has been declared and, if appropriate, the classification of the emergency? ○ Description of the emergency? ○ Date and time the emergency was discovered? ○ Damage and casualties? ○ Whether the emergency has stopped other facility/site operations or program activities? ○ Protective actions taken and/or recommended? ○ Notifications made? ○ Weather conditions at the scene of the emergency? ○ Level of any media interest at the scene of the emergency or at the facility/site? ○ Contact information for the DOE on-scene point of contact? 	[DOE O 151.1C, VIII.4.a.(3)]
	<ul style="list-style-type: none"> • Who approves the release of the notification information? 	
	<ul style="list-style-type: none"> • Does the EPIP allow for notifications to be made with conditions change or when the emergency classification is upgraded/terminated? 	(DOE G 151.1-3, D.4.5.,P/E10.8)
Criterion		
12.1.2.	Adherence to Operational Emergency notification and reporting requirements must be demonstrated in all emergency management exercises.	[DOE O 151.1C, VIII, 3.]
Lines of Inquiry		
	<ul style="list-style-type: none"> • Has Operational Emergency notification been listed as an objective in emergency management exercises? 	
	<ul style="list-style-type: none"> • Has continuous, effective and accurate communications been listed as an objective in exercises? 	
	<ul style="list-style-type: none"> • Have other reporting requirements (i.e., reportable quantities) been included as objectives in exercises? 	
Criterion		
12.1.3.	The Field Element must ensure effective communication systems and protocols are coordinated and maintained with the HQ EOC regarding emergencies involving or affecting facilities or materials under DOE/NNSA jurisdiction or requirement DOE/NNSA assistance.	[DOE O 151.1C, i.9.g]
Lines of Inquiry		
	<ul style="list-style-type: none"> • Is there an established protocol for communication with DOE HQ? 	
	<ul style="list-style-type: none"> • Do Field Element ERO members communicate directly with DOE HQs in an emergency? 	
	<ul style="list-style-type: none"> • If the DOE HQ is activated, is the communication with the DOE HQ EMT? 	
	<ul style="list-style-type: none"> • Who from the Field Office communicates with DOE regarding public information? 	
	<ul style="list-style-type: none"> • Does a senior Field Office employee communicate directly with a senior DOE HQ employee? 	

12. NOTIFICATION AND COMMUNICATIONS (FIELD ELEMENT)		
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review field/site/facility emergency plans and emergency planning implementing procedures related to notification and communication. Review forms associated with notification. 	
	<ul style="list-style-type: none"> Review the field emergency program plan or other documentation which indicates the type of review the field has performed on the site/facility plan/EIPs. 	
	<ul style="list-style-type: none"> Review objectives in exercise packages. 	
	<ul style="list-style-type: none"> Review past corrective actions regarding notification. 	
	<ul style="list-style-type: none"> Review after-action reports. 	
Interview		
	<ul style="list-style-type: none"> Field element emergency management personnel in charge of reviewing notification procedures. 	
	<ul style="list-style-type: none"> Field element emergency management personnel responsible for developing exercises, training and/or drills. 	
Observation		
	N/A	
OBJECTIVE		
12.2.	Provisions for Operational Emergencies must be established for prompt initial notification of workers and emergency response personnel and organizations, including appropriate DOE/NNSA element and other Federal, State, Tribal and local organizations.	[DOE O 151.1C, VIII, 2.a](DOE G151.1-3, D.4.5.,P/E10.1)
Criterion		
12.2.1.	A rapid notification and recall system is used to make initial and follow-up notifications to primary and alternate response staff.	(DOE G 151.1-3, D.4.5., P/E10.6)
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there a system in place at the Field element office/site/ facility to make notifications to response staff? 	
	<ul style="list-style-type: none"> Is there a system in place at the Field element office/ site /facility/the Field Office to make notification to offsite organizations? 	
	<ul style="list-style-type: none"> How do these systems operate? (one call to many individuals/organizations, have to call each individual/organization separately?) 	
	<ul style="list-style-type: none"> Are points of contact for emergency notification accurate and readily available to response personnel? 	(DOE G 151.1-3, D.4.5., P/E10.4)
	<ul style="list-style-type: none"> Are the points of contact already pre-programmed? 	
	<ul style="list-style-type: none"> Are there back-up points of contact? At what point are they used? 	
	<ul style="list-style-type: none"> Are Field element ERO members included on the points of contact list? 	
Criterion		

12. NOTIFICATION AND COMMUNICATIONS (FIELD ELEMENT)		
12.2.2.	A formally established communication chain for reporting and notification within the facility, site-wide, and to offsite organizations is properly followed.	(DOE G 151.1-3, D.4.5., P/E10.6)
Lines of Inquiry		
	<ul style="list-style-type: none"> Do EIPs address the communication chain for reporting and notification within the field element, site and facility? 	
	<ul style="list-style-type: none"> Does emergency management training (or GET), including Field Element employees, address the reporting and notification procedures? 	
	<ul style="list-style-type: none"> Do public address and siren systems adequately accomplish the notifications of workers and onsite personnel (including Field element personnel)? 	(DOE G 151.1-3, 4.5., P/E10.12)
	<ul style="list-style-type: none"> Are there are types of communication systems (pager, cell phone, email, messaging) in place to notify employees? 	
	<ul style="list-style-type: none"> Are communications systems in place to support management and tracking of evacuation of facility personnel, personnel accountability and assembly? 	(DOE G 151.1-3, 4.5.P/E10.13)
	<ul style="list-style-type: none"> Have the communication systems been demonstrated? 	
	<ul style="list-style-type: none"> Do installed voice communications systems adequately accomplish notification and information exchange processes? 	(DOE G 151.1-3, 4.5., P/E10.14)
Criterion		
12.2.3.	Provisions must also be established for continuing effective communication among the response organizations throughout an emergency.	[DOE O 151.1C, VIII, 2.a.]
Lines of Inquiry		
	<ul style="list-style-type: none"> Are the communication requirements listed in plans/procedures? 	
	<ul style="list-style-type: none"> Do the EIPs indicate the points of contact for emergency notifications? 	
	<ul style="list-style-type: none"> Has continuous effective and accurate communications been successfully demonstrated in exercises? 	
	<ul style="list-style-type: none"> Does the approval or procedure change for notifications once the field/site EOC is activated (for follow-up notifications)? 	
	<ul style="list-style-type: none"> Are emergency status reports (Situation Reports or SITREPs) forwarded to the next-higher EMT on a continuing basis throughout the OE? 	(DOE G 151.1-3, 4.5., P/E10.10)
Criterion		
12.2.4.	Effective communications methods must be established between event scene responders, emergency managers, and response facilities.	[DOE O 151.1C, VIII, 4.c]
Lines of Inquiry		
	<ul style="list-style-type: none"> Have continuous, effective and accurate communications among response components and/or organizations been reliably established and maintained throughout an Operational Emergency? 	
	<ul style="list-style-type: none"> Has the Field Element EOC effectively communicated with other response organizations (at the site)? 	
APPROACH		
Document/Record Review		

12. NOTIFICATION AND COMMUNICATIONS (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Review field/site/facility emergency plans and emergency planning implementing procedures related to notification and communication. Review forms associated with notification. 	
	<ul style="list-style-type: none"> Review the field emergency program plan or other documentation which indicates the type of review the field has performed on the site/facility plan/EIPs. 	
	<ul style="list-style-type: none"> Review objectives in exercise packages. 	
	<ul style="list-style-type: none"> Review after-action reports. 	
	<ul style="list-style-type: none"> Review records of actual events for notifications/communications activities 	
	<ul style="list-style-type: none"> Review MOUs/MOA with offsite response organizations. 	
Interview		
	<ul style="list-style-type: none"> Interview the emergency management program manager to confirm their understanding of the overall programmatic and response goals associated with emergency notifications and communications. 	
	<ul style="list-style-type: none"> Interview Field element staff with ERO responsibilities to determine if they understand their roles. 	
Observation		
	<ul style="list-style-type: none"> Observe notifications during an exercise. 	
	<ul style="list-style-type: none"> Check out notification equipment 	
	<ul style="list-style-type: none"> Observe Field Element communications with offsite entities during an exercise. 	
OBJECTIVE		
12.3.	Cognizant Field Elements must monitor the notification process at the site/facility and make notifications of applicable DOE/NNSA emergency events as necessary or appropriate.	[DOE O 151.1C, 4.c.(1)(b)2]
Criterion		
12.3.1.	Tribal, state and local officials, and DOE HQ EOC are notified within 15 minutes of classification of an Operational Emergency as an Alert, Site Area Emergency or General Emergency.	[DOE O 151.1C, VIII, 4.a.(1)(a)], (DOE G 151.1-3, D.4.5., P/E10.2)
Lines of Inquiry		
	<ul style="list-style-type: none"> Do the EIPs reflect the requirement for 15 minutes from classification to notification for classifiable Operational Emergencies? 	
	<ul style="list-style-type: none"> Will these calls be made in a progression (what is the progression – who gets call first)? 	
	<ul style="list-style-type: none"> Is emergency notification to be provided by email or fax (as well as the phone call)? 	
	<ul style="list-style-type: none"> Have these notifications been successfully demonstrated in an exercise? 	
Criterion		

12. NOTIFICATION AND COMMUNICATIONS (FIELD ELEMENT)		
12.3.2	Local State and Tribal organizations are notified within 30 minutes or as established in mutual agreements for declaration of an Operational Emergency <u>not requiring</u> classification.	[DOE O 151.1C, VIII.4.a.(1)(c)] (DOE G 151.1-3, D.4.5., P/E10.3)
Lines of Inquiry		
	<ul style="list-style-type: none"> Do the EIPs reflect the requirement? 	
	<ul style="list-style-type: none"> Are these calls made together or are in progression? What is the priority? 	
	<ul style="list-style-type: none"> Who makes these calls? 	
Criterion		
12.3.3	DOE HQ EOC is notified within 30 minutes of the declaration of an Operational Emergency that does not require classification. [DOE O 151.1C, VIII.4(1)(b)]	[DOE O 151.1C, VIII.4.a.(1)(b)], (DOE G 151.1-3, D.4.5., P/E10.3)
Lines of Inquiry		
	<ul style="list-style-type: none"> Do EIPs reflect the requirement? 	
	<ul style="list-style-type: none"> Who makes the notification? A 24 hour center, contractor or federal? 	
Criterion		
12.3.4	The Facility Representative is the primary point of contact for the contractor to notify DOE of reportable occurrences as prescribed in DOE M 231.1-2	(DOE-STD-1063-2001, 4.1.10.b)
Lines of Inquiry		
	<ul style="list-style-type: none"> Is the Facility representative a member of the ERO? 	
	<ul style="list-style-type: none"> Did the Facility representative receive notification from the contractor regarding a reportable occurrence? 	
	<ul style="list-style-type: none"> Did the Facility representative make any further notification of DOE Field Element or DOE HQs? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Field/site/facility emergency plans and EIPs related to notification and communication. 	
	<ul style="list-style-type: none"> Any forms used in the notification process. 	
	<ul style="list-style-type: none"> Review MOUs/MOAs with offsite entities. 	
Interview		
	<ul style="list-style-type: none"> Interview the emergency management program manager to confirm their understanding of the overall programmatic and response goals associated with emergency notifications and communications. 	
	<ul style="list-style-type: none"> Interview DOE HQ personnel following an exercise. 	
	<ul style="list-style-type: none"> If possible, interview State, and local personnel. 	
Observations		
	Observe notifications during an exercise.	

12. NOTIFICATION AND COMMUNICATIONS (FIELD ELEMENT)		
12.4.	A program must be established to ensure that vital records, regardless of media, essential to be continued functioning or reconstitution of an organization during and after an emergency are available, per 36 CFR 1236.	[DOE O 151.1C, XI.5]
Criterion		
12.4.1.	A formal system is in place to record, sequence, validate and track the flow and chronology of emergency information.	(DOE G 151.1-3, D.4.5., P/E 10.17)
Lines of Inquiry		
	<ul style="list-style-type: none"> Do plans/procedures (EIPs) describe a system to record, sequence, validate and track the flow and chronology of emergency information? 	
	<ul style="list-style-type: none"> Is there an electronic system that is utilized to track information (i.e., WebEOC®)? 	
	<ul style="list-style-type: none"> Do plans/procedures (EIPs) indicate that logs are to be maintained at each position in the EMT? 	(DOE G 151.1-3, D 4.5, P/E 10.18)
	<ul style="list-style-type: none"> What other record-keeping methods are used? 	
Criterion		
12.4.2.	Following termination of the emergency response, and in conjunction with the Final Occurrence Report, each activated EMT develops and submits a final report on the emergency response to the Emergency Director for submission to NA-40.	(DOE G 151.1-3, D.4.5., P/E 10.20)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has a final report been formulated for actual emergency events? 	
	<ul style="list-style-type: none"> Has the report been worked with the Final Occurrence Report? 	
	<ul style="list-style-type: none"> Has the Field Element reviewed the final report? 	
	<ul style="list-style-type: none"> Has the final report(s) been submitted by the Emergency Director to NA-40? 	
	<ul style="list-style-type: none"> Are all reports and releases reviewed for classified or Unclassified Controlled Nuclear Information (UCNI) prior to being provided to personnel without security clearances, entered into unclassified databases, or transmitted using non-secure communications equipment? 	(DOE G 151.1-3, D 4.5, P/E 10.19)
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review Field/site/facility emergency plans and EIPs with regard to record keeping. 	
	<ul style="list-style-type: none"> Review AAR reports and occurrence reports from actual events, exercise, LPSTs. 	
	<ul style="list-style-type: none"> Review prior exercise records. 	
Interview		
	<ul style="list-style-type: none"> Interview the emergency management program manager to confirm their understanding of the overall programmatic and response goals associated with emergency notifications and communications. 	
	<ul style="list-style-type: none"> Interview Field element personnel in charge of vital records 	
Observation		

12. NOTIFICATION AND COMMUNICATIONS (FIELD ELEMENT)		
	<ul style="list-style-type: none">• Observe if documents are collected after an exercise.	
	<ul style="list-style-type: none">• WebEOC or any other system used for moving information.	

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13. CONSEQUENCE ASSESSMENT (FIELD ELEMENT)		
Performance Goal: Provisions must be established to adequately assess the potential or actual onsite and offsite consequences of an emergency. [DOE O 151.1C,IV.3.b.(5)]		
<ol style="list-style-type: none"> Objective: Ensure that emergency plans and procedures are prepared, reviewed annually, and updated, as necessary, for all facilities under their purview and are integrated within the overall Cognizant Field Element emergency preparedness program. [DOE O 151.1C,I.9.q] Objective: Consequence assessments must be coordinated with Federal, State, local and Tribal organizations. [DOE O 151.1C,IV.3.b.(5)] 		
OBJECTIVE		
13.1.	Ensure that emergency plans and procedures are prepared, reviewed annually, and updated, as necessary, for all facilities under their purview and are integrated within the overall Cognizant Field Element emergency preparedness program.	[DOE O 151.1C,I.9.q]
Criterion		
13.1.1.	The Field Element has documented processes in place to ensure that emergency management policy and procedures are in place and maintained.	(DOE G 151.1-3, D.3, P2.6, P2.7)
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the Field/site/facility emergency plan address consequence assessment? 	
	<ul style="list-style-type: none"> Have consequence assessment procedures been developed? 	
	<ul style="list-style-type: none"> Has the Field Element reviewed Field/site/facility consequence assessment EIPs? 	
	<ul style="list-style-type: none"> What assessment system is utilized for plume projections? 	
	<ul style="list-style-type: none"> Is the same system in planning (EPHA) that is used in an actual emergency? 	
Criterion		
13.1.2.	Specific exercise objectives provide the basis for evaluating/validating the performance of response capabilities by each participating organization.	(DOE G 151.1-3, D.3.3, CE4.5)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the site/facility included consequence assessment as an objective for the ERO in an exercise? 	
	<ul style="list-style-type: none"> Has the Field Element evaluated consequence assessment in an exercise (or drill)? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review emergency plan and EPIP for consequence assessment. 	
	<ul style="list-style-type: none"> Review worksheets, criteria regarding consequence assessment. 	
	<ul style="list-style-type: none"> Review exercise packages, drill packages and AAR. 	
Interview		
	<ul style="list-style-type: none"> Field Element emergency management program manager regarding consequence assessment. 	
Observation		
	Not applicable	

13. CONSEQUENCE ASSESSMENT (FIELD ELEMENT)		
OBJECTIVE		
17b.2.	Consequence assessments must be coordinated with Federal, State, local and Tribal organizations.	[DOE O 151.1C,IV.3.b.(5)]
Criterion		
13.2.1.	Provisions are made for requesting support from the DOE radiological emergency response assets (e.g., AMS or 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.	(DOE G 151.1-3, D.4.6,P/E11.4)
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the Field Element play a role in requesting support for the DOE radiological emergency response assets? If so what is the role? 	
	<ul style="list-style-type: none"> Has the Field Element assisted the contractor in obtaining access to NARAC? 	
	<ul style="list-style-type: none"> Has this role been demonstrated in an actual event or an exercise? 	
	<ul style="list-style-type: none"> Do the procedures address the coordination with DOE HQ (both the Office of Emergency Operations and the Cognizant Program Office)? 	
	<ul style="list-style-type: none"> Does the Field Element take a role in this coordination? 	
	<ul style="list-style-type: none"> What are the responsibilities of the Field Element? 	
Criterion		
13.2.2.	Effective coordination is 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.	(DOE G 151.1-3, D.4.6, P/E11.19)
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the Field Element have a role in coordinating information with other Federal, Tribal, State and local organizations? 	
	<ul style="list-style-type: none"> If so, what information does the Field Element coordinate? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review emergency plan and EPIP for consequence assessment. 	
	<ul style="list-style-type: none"> Review worksheets, criteria regarding consequence assessment. 	
	<ul style="list-style-type: none"> Review exercise packages, drill packages and AAR. 	
Interview		
	<ul style="list-style-type: none"> Field Element emergency management program manager regarding recovery. 	
	<ul style="list-style-type: none"> Facility Representatives or other Field Element personnel who are part of the ERO. 	
Observation		
	<ul style="list-style-type: none"> If applicable, observe Field Element ERO members who may have responsibilities in coordinating consequence assessment activities in an exercise or LPST or drill. 	

14. PROTECTIVE ACTIONS (FIELD ELEMENT)		
<p>Performance Goal: During an emergency, conduct appropriate and necessary emergency actions. [DOE O 151.1C, I.9.n] 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. (DOE G 151.1-3, D.4.7) Reentry planning must include contingency planning to ensure the safety of reentry personnel. [DOE O 151.1C.III,5.a.(2)]</p> <ol style="list-style-type: none"> Objective: Ensure that emergency plans and procedures are prepared, reviewed annually, and updated, as necessary, for all facilities under their purview and are integrated within the overall Cognizant Field Element emergency preparedness program. [DOE O 151.1C,I.9.q] Objective: Field Element must provide for evacuation or sheltering of Field Element employees, along with provisions to account for employees after emergency evacuation has been completed; protection of workers involved in response and clean-up covered by 29 CFR 1910.120. [DOE O 151.1C.III.3.d.(5)] Objective: Cognizant Field Elements must monitor the facility response, provide support, and assist with issue resolution. [DOE O 151.1C, 4.c.(1)(b)1] 		
OBJECTIVE		
14.1.	Ensure that emergency plans and procedures are prepared, reviewed annually, and updated, as necessary, for all facilities under their purview and are integrated within the overall Cognizant Field Element emergency preparedness program.	[DOE O 151.1C,I.9.q]
Criterion		
14.1.1.	The Field element has documented processes in place to ensure that emergency management policy and procedures are in place and maintained.	(DOE G 151.1-3, D.3, P2.6, P2.7)
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the Field/site/facility emergency plan address protective actions? 	
	<ul style="list-style-type: none"> Have protective actions procedures been developed? 	
	<ul style="list-style-type: none"> Has the Field Element reviewed Field/site/facility protective actions EIPs? 	
	<ul style="list-style-type: none"> Does the Field Element have separate protective actions for their facilities (not related to the site plans)? 	
	<ul style="list-style-type: none"> Does the Field/site/facility emergency plan address reentry? 	
	<ul style="list-style-type: none"> Have reentry procedures been developed? 	
	<ul style="list-style-type: none"> Has the Field Element reviewed Field/site/facility reentry EIPs? 	
Criterion		
14.1.2.	Specific exercise objectives provide the basis for evaluating/validating the performance of response capabilities by each participating organization.	(DOE G 151.1-3, D.3.3, CE4.5)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the site/facility included protective actions of an emergency as an objective for the ERO in an exercise? 	
	<ul style="list-style-type: none"> Has the site successfully demonstrated the ability to plan protective actions? (exercise or actual event) 	
	<ul style="list-style-type: none"> Has the Field element evaluated protective actions in an exercise (or drill)? 	

14. PROTECTIVE ACTIONS (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Has the site/facility included reentry as an objective for the ERO in an exercise? 	
	<ul style="list-style-type: none"> Has the Field element evaluated reentry in an exercise (or drill)? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review emergency plan and EPIP for protective actions. 	
	<ul style="list-style-type: none"> Review worksheets, criteria regarding protective actions. 	
	<ul style="list-style-type: none"> Review emergency plan and EPIP for reentry. 	
	<ul style="list-style-type: none"> Review worksheets, criteria regarding reentry. 	
	<ul style="list-style-type: none"> Review exercise packages, drill packages and AAR. 	
Interview		
	<ul style="list-style-type: none"> Field Element emergency management program manager regarding protective actions. 	
	<ul style="list-style-type: none"> Field Element emergency management program manager regarding reentry. 	
Observation		
	Not applicable	
OBJECTIVE		
14.2.	Field Element must provide for evacuation or sheltering of Field Element employees, along with provisions to account for employees after emergency evacuation has been completed; protection of workers involved in response and clean-up covered by 29 CFR 1910.120. (Federal Buildings)	[DOE O 151.1C.III.3.d.(5)]
Criterion		
14.2.1.	DOE/NNSA facilities must develop procedures to implement the separate protective actions of evacuation and sheltering of employees.	
Lines of Inquiry		
	<ul style="list-style-type: none"> Are there protective action procedures for Field Element employees (in a Federal Building)? 	
	<ul style="list-style-type: none"> Are these procedures tied into a risk assessment (or a hazards assessment) for the building? 	
	<ul style="list-style-type: none"> Who determines the protective actions for Field Element employees? (located in a federal building) 	
	<ul style="list-style-type: none"> Are provisions in place for the notification and implementation of onsite protective actions for the Field Element to be made in a timely, efficient, and unambiguous manner? 	(DOE G 151.1-3, D.4.7, P/E12.4)
	<ul style="list-style-type: none"> How would notifications be made? 	
	<ul style="list-style-type: none"> Has protective action decision making been coordinated with site organizations such as security and safety? 	(DOE G 151.1-3, D.4.7, P/E12.10)

14. PROTECTIVE ACTIONS (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Are provisions in place that security and law enforcement measures implemented during a physical attack that impact worker and responder access and egress (e.g., lockdown) would be coordinated with emergency management and site security? 	
Criterion		
14.2.2.	Plans are followed for the timely evacuation and/or sheltering of Field Element personnel, along with provisions to account for employees after emergency evacuation has been completed.	(DOE G 151.1-3, D.4.7, P/E12.11)
Lines of Inquiry		
	<ul style="list-style-type: none"> Have evacuation route selection and logistical details been implemented promptly and efficiently? 	(DOE G 151.1-3, D.4.7, P/E12.12)
	<ul style="list-style-type: none"> Is the reception/relocation center sufficient to accommodate the expected number of personnel? 	(DOE G 151.1-3, D.4.7, P/E12.12)
	<ul style="list-style-type: none"> Are adequate personnel assigned to control evacuees and are kept aware of changes in onsite protective action modifications? 	(DOE G 151.1-3, D.4.7, P/E12.12)
	<ul style="list-style-type: none"> Are trained and assigned individuals assume and carry out responsibilities for building or facility accountability in the event of personnel evacuation? 	(DOE G 151.1-3, D.4.7, P/E12.13)
	<ul style="list-style-type: none"> Is initial accounting for all evacuated personnel completed in a timely manner to support initial search and rescue activities? 	(DOE G 151.1-3, D.4.7, P/E12.13)
	<ul style="list-style-type: none"> Is accountability continued to support ongoing search and rescue activities following an emergency evacuation? 	(DOE G 151.1-3, D.4.7, P/E12.13)
	<ul style="list-style-type: none"> If applicable, during an emergency is habitability of onsite facilities, including emergency facilities, periodically determined using dosimetry and survey instruments, and relocation/evacuation measures taken, if necessary? 	(DOE G 151.1-3, D.4.7, P/E12.15)
	<ul style="list-style-type: none"> Are actions that may be taken to increase the effectiveness of protective actions (i.e., HVAC shutdown during sheltering) implemented in a timely and efficient manner? 	(DOE G 151.1-3, D.4.7, P/E12.16)
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review Building Occupancy Plans for Federal buildings. 	
	<ul style="list-style-type: none"> Review emergency plans and procedures regarding protective actions. 	
	<ul style="list-style-type: none"> Review exercise packages, drill packages and AAR. 	
Interview		
	<ul style="list-style-type: none"> Field Element emergency management program manager regarding protective actions. 	
	<ul style="list-style-type: none"> Federal property manager if the Federal Building is owned by other organization. 	
Observation		
	<ul style="list-style-type: none"> Observe a drill, exercise or LPST at the Federal Building. 	
OBJECTIVE		

14. PROTECTIVE ACTIONS (FIELD ELEMENT)		
14.3.	Cognizant Field Elements must monitor the facility response, provide support, and assist with issue resolution.	[DOE O 151.1C, 4.c.(1)(b)1]
14.3.1.	Timely PARs, such as sheltering, evacuation, relocation, and food control, are made to appropriate Tribal, State, or local authorities.	(DOE G 151.1-3, D.4.7, P/E12.19)
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the Field Element have a role in the site making protective action recommendations to offsite entities? 	
	<ul style="list-style-type: none"> If so, what is the role? 	
Criterion		
14.3.2.	Facility representatives represent DOE to the contractor and ensure that the contractor carries out DOE operational safety policies in a manner consistent with DOE Program Office and Field Element expectations, relevant contract requirements, and the contractor’s Integrated Safety Management System description.	(DOE-STD-1062-2011,4.1.10)
Lines of Inquiry		
	<ul style="list-style-type: none"> Is the facility representative (FR) part of the ERO? 	
	<ul style="list-style-type: none"> Do they have a role in the issuance of protective actions? 	
	<ul style="list-style-type: none"> Do they have a role in reentry planning? 	
	<ul style="list-style-type: none"> In an exercise or actual event, did the FR exercise authority consistent with specific program and management guidance established by the Field Element? 	
	<ul style="list-style-type: none"> Has the FR participated in site exercises/drills/LPSTs? 	
Criterion		
14.3.3	Reentry planning must include contingency planning to ensure the safety of reentry personnel, such as planning of the rescue of reentry teams.	[DOE O 151.1C,III,5.a.(2)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Did the Field Element ensure that reentry planning includes contingency planning? 	
	<ul style="list-style-type: none"> Did the Field Element ensure that all individuals involved in reentry receive a hazards/safety briefing prior to emergency response activities? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review plans and procedures related to protective actions. 	
	<ul style="list-style-type: none"> Review exercise reports if protective actions was included as an objective. 	
	<ul style="list-style-type: none"> Review emergency plan and EPIP for reentry. 	
	<ul style="list-style-type: none"> Review worksheets, criteria regarding reentry. 	
	<ul style="list-style-type: none"> Review exercise packages, drill packages and AAR. 	
Interview		

14. PROTECTIVE ACTIONS (FIELD ELEMENT)		
	<ul style="list-style-type: none"> • Interview Field Element emergency management program manager regarding protective actions. 	
	<ul style="list-style-type: none"> • Field Element emergency management program manager regarding reentry 	
	<ul style="list-style-type: none"> • Interview FR to determine if they understand their role in the ERO. 	
Observation		
	If applicable, observe Field Element ERO members who may have responsibilities in coordinating reentry activities in an exercise or LPST or drill.	

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15. MEDICAL SUPPORT (FIELD ELEMENT)		
<p>Performance Goal: In accordance with DOE O 440.1B, chg. 2, dated 8-14-13, provide for medical treatment and planning for mass casualty situations. [DOE O 151.1C. 3.d.(6)]</p> <p>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 are documented. [DOE O 151.1C, 4.d.]</p> <ol style="list-style-type: none"> Objective: Ensure that emergency plans and procedures are prepared, reviewed annually, and updated, as necessary, for all facilities under their purview and are integrated within the overall Cognizant Field Element emergency preparedness program. [DOE O 151.1C,I.9.q] Objective: Provide medical treatment and planning for mass casualty situations. (In relation to Federal Buildings/Field Element personnel) [DOE O 151.1C, III.3.d.(6)] 		
OBJECTIVE		
15.1.	Ensure that emergency plans and procedures are prepared, reviewed annually, and updated, as necessary, for all facilities under their purview and are integrated within the overall Cognizant Field Element emergency preparedness program.	[DOE O 151.1C,I.9.q]
Criterion		
15.1.1.	The Field Element has documented processes in place to ensure that emergency management policy and procedures are in place and maintained.	(DOE G 151.1-3, D.3, P2.6, P2.7)
Lines of Inquiry		
	• Does the Field/site/facility emergency plan address medical support?	
	• Have medical support procedures been developed?	
	• Has the Field Element reviewed Field/site/facility medical support EIPs?	
	• Have MOUs/MOAs been developed with offsite medical facilities?	
	• What role did the Field Element take in the development of these agreements?	
Criterion		
15.1.2.	Specific exercise objectives provide the basis for evaluating/validating the performance of response capabilities by each participating organization.	(DOE G 151.1-3, D.3.3, CE4.5)
Lines of Inquiry		
	• Has the site/facility included medical support as an objective for in an exercise?	
	• Has the site successfully demonstrated the ability provide medical support? (exercise or actual event)	
	• Has the Field Element evaluated medical support in an exercise (or drill)?	
APPROACH		
Document/Record Review		
	• Review emergency plan and EPIP for medical support.	
	• Review worksheets, criteria regarding medical support.	
	• Review exercise packages, drill packages and AAR.	
Interview		

15. MEDICAL SUPPORT (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Field Element emergency management program manager regarding medical support. 	
Observation		
	Not applicable.	
OBJECTIVE		
15.2.	Provide medical treatment and planning for mass casualty situations. (In relation to Federal Buildings/Field Element personnel)	[DOE O 151.1C, III.3.d.(6)]
Criterion		
15.2.1.	Demonstrate the ability to categorize personnel injuries as either: those that can be treated with on-site medical assets and within the asset’s capacity, if available, or those beyond site asset medical capabilities and capacity.	
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the Field Element have a plan for non-contractor buildings (Field Element buildings) that address medical emergencies? 	
	<ul style="list-style-type: none"> Does the Field Element have their own medical station (nurse’s station) or does the building rely on offsite capabilities? 	
	<ul style="list-style-type: none"> Have these plans/capabilities been exercised? 	
Criterion		
15.2.2.	Sharing patient information between onsite and offsite health care providers during emergencies must be coordinated in advance and consistent with the requirements of HIPAA.	[DOE O 151.1C. 3.d.(6)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the Field Element made provision to readily and securely transmit relevant personally identifiable information (PII) and protected health information during an emergency response scenario to facilitate the prompt medical treatment of injuries and accurate accountability tracking of the injured? 	[DOE O 151.1C. 3.d.(6)]
	<ul style="list-style-type: none"> Are Field Element employee medical records and treatment history readily available and accessible as needed by health care providers? 	
	<ul style="list-style-type: none"> Are the provisions for sharing of Field Element employee 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), is coordinated in advance? 	
	<ul style="list-style-type: none"> Has the Field Element limited access to PII and HIPAA protected information (e.g., documents and communications) to those individuals with a need to know? 	[DOE O 151.1C. 3.d.(6)]
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review Field Element procedures for medical emergencies. 	
Interview		
	<ul style="list-style-type: none"> Field Element emergency management program manager regarding Medical support for the Field Element employees. 	
Observation		

15. MEDICAL SUPPORT (FIELD ELEMENT)		
	<ul style="list-style-type: none">• Not applicable.	

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16. EMERGENCY PUBLIC INFORMATION		
<p>Performance Goal: Emergency Public Information (EPI) provides accurate, candid, and timely information to workers, news media, and the public during an emergency to establish facts and avoid speculation. EPI efforts are coordinated with DOE and NNSA (if appropriate); Tribal, State, and local governments; and Federal emergency response organizations, as appropriate. Workers and the public are informed of emergency plans and planned protective actions before emergencies.</p> <ol style="list-style-type: none"> 1. Objective: Each Cognizant Field Element and site/facility must prepare an Emergency Public Information Plan. [DOE O 151.1C, Chapter IX, 2.d.] 2. Objective: For Operational Emergency Hazardous Material Program facilities, the emergency public information program must have provisions in place to establish a Joint Information Center (JIC). [DOE O 151.1C, Chapter IX, 4.b.(2)] 3. Objective: 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. [DOE O 151.1C, Chapter IX, 4.d.] 		
OBJECTIVE		
16.1	Each Cognizant Field Element and site/facility must prepare an Emergency Public Information Plan.	DOE O 151.1C, Chapter IX, 2.d.
Criterion		
16.1.1	<p>Information distributed by EPI workers, site personnel, and the public during an OE is:</p> <ol style="list-style-type: none"> a. Accurate, candid, and understandable; b. Current and timely; c. Provided to ensure the health and safety of workers and the public; d. Provided to establish facts, and avoid rumors and speculation; e. Responsive to public concern and information needs; and <p>Consistent with the requirements of the Freedom of Information Act and the Privacy Act.</p>	DOE O 151.1C, IX.2.c.
Lines of Inquiry		

16. EMERGENCY PUBLIC INFORMATION		
	<p>Is information distributed by EPI workers and site personnel during an OE as follows: If yes or no, please explain what inhibits accurate and timely information or any other concerns about information distributed by EPI workers and site personnel.</p> <ul style="list-style-type: none"> <input type="checkbox"/> Accurate, candid, and understandable <input type="checkbox"/> Current and timely <input type="checkbox"/> Provided to ensure the health and safety of workers and the public <input type="checkbox"/> Provided to establish facts, and avoid rumors and speculation <input type="checkbox"/> Responsive to public concern and information needs <input type="checkbox"/> Consistent with the requirements of the Freedom of Information Act and the Privacy Act 	
	<p>Is information distributed by the public during an OE as follows? If yes or no, please explain any concerns about information distributed by the public.</p> <ul style="list-style-type: none"> <input type="checkbox"/> Accurate, candid, and understandable <input type="checkbox"/> Current and timely <input type="checkbox"/> Provided to ensure the health and safety of workers and the public <input type="checkbox"/> Provided to establish facts, and avoid rumors and speculation <input type="checkbox"/> Responsive to public concern and information needs <input type="checkbox"/> Consistent with the requirements of the Freedom of Information Act and the Privacy Act 	
Criterion		
16.1.2	Following initial news releases and public statements, updates are coordinated with the DOE/NNSA Cognizant Field Element public affairs director and the HQ EM.	P/E14.3
Lines of Inquiry		
	Following initial news releases and public statements, are updates coordinated with the DOE/NNSA Cognizant Field Element public affairs director and the HQ EM? If yes or no, please describe the process used to ensure coordination of information.	
	How are news release updates processed through the Field Element?	
Criterion		
16.1.3	<p>Functions and staff of the EPI organization:</p> <p>a. Trained spokespersons provide support in media interface.</p>	P/E14.4

16. EMERGENCY PUBLIC INFORMATION		
Lines of Inquiry		
	Do trained spokespersons provide support in media interface? If yes, provide training documentation. If no, please explain.	
Criterion		
16.1.4	<p>Communications with the media and public are timely and responsive to public concerns.</p> <ul style="list-style-type: none"> a. Information released to the public through the news media regarding the emergency is accurate and relevant. b. An initial press statement is released as soon as possible, but within one hour of event categorization. c. Technical briefers are utilized and are knowledgeable and effective in communicating with the news media. 	P/E14.6
Lines of Inquiry		
	<p>Is information released to the public through the news media regarding the emergency accurate, timely, and relevant? If yes, please describe how this is done. If no please explain.</p> <p>How is accuracy ensured?</p>	
	Is an initial press statement released as soon as possible, but within one hour of event categorization? If yes or no, please explain this process.	
	Are technical briefers utilized, knowledgeable, and effective in communicating with the news media? If yes, what training have they received for communicating with the news media? If no, please explain how technical information is handled.	
Criterion		
16.1.5	An EPI communications system is established among DOE/NNSA HQ, the Cognizant Field Element, and on scene locations.	P/E14.18
Lines of Inquiry		
	Is an EPI communications system established among DOE/NNSA HQ, the Cognizant Field Element, and on scene locations? If yes, please describe the communications system. If no, please explain.	
Criterion		
16.1.6	Public information functions and efforts during the emergency are coordinated with DOE HQ, other Federal agencies, and Tribal, State, and local government organizations and are a part of Federal emergency response plans, as appropriate.	P/E14.19
Lines of Inquiry		
	Are public information functions and efforts during the emergency coordinated with DOE HQ, other Federal agencies, and Tribal, State, and local government organizations? If yes or no, please explain.	

16. EMERGENCY PUBLIC INFORMATION		
	Are public information functions and efforts a part of Federal emergency response plans, as appropriate? If yes or no, please explain.	
Criterion		
16.1.7	Information (written and verbal) that is to be released to the news media is coordinated with DOE, and other Federal, State, Tribal and local response organizations, as appropriate.	P/E14.20
Lines of Inquiry		
	<p>Is information (written and verbal) that is to be released to the news media coordinated with the following response organizations, as appropriate? If yes or no, please explain coordination process or lack of a coordination process.</p> <p><input type="checkbox"/> DOE</p> <p><input type="checkbox"/> Other Federal</p> <p><input type="checkbox"/> State</p> <p><input type="checkbox"/> Tribal</p> <p><input type="checkbox"/> Local</p>	
	Who is responsible for coordination of information (written and verbal) prior to release to the news media?	
Criterion		
16.1.8	The DOE/NNSA Cognizant Field Office public affairs director and HQ ED are notified of all DOE/NNSA emergency public information actions. These notifications are made as soon as practicable.	P/E14.21
Lines of Inquiry		
	Are the DOE/NNSA Cognizant Field Office public affairs director and HQ ED notified of all DOE/NNSA emergency public information actions? If yes or no, please explain.	
	Are these notifications made as soon as practicable? If yes or no, please explain the process or lack of process for notifying the DOE/NNSA Cognizant Field Office public affairs director and HQ ED of emergency public information actions.	
Criterion		

16. EMERGENCY PUBLIC INFORMATION		
16.1.9	An EPI Plan, which can cover more than one facility on a site, provides the following: <ul style="list-style-type: none"> a. Identification of personnel, resources, facilities, and coordination procedures necessary to provide emergency public information; b. Training and exercises for personnel who will interact with the media; c. A methodology for informing workers and the public of DOE/NNSA emergency plans and protective actions, before and during emergencies; d. Coordination of public information efforts with local, State, and Tribal governments, and Federal emergency response plans, as appropriate. 	P14.23
Lines of Inquiry		
	<p>Does the EPI Plan provide identification of the following to support EPI? If yes, provide documentation. If no, please explain deficiencies.</p> <ul style="list-style-type: none"> <input type="checkbox"/> Personnel <input type="checkbox"/> Resources <input type="checkbox"/> Facilities <input type="checkbox"/> Coordination procedures 	
	<p>Does the EPI Plan provide training and exercises for personnel who will interact with the media? If yes, please provide documentation of training and exercises for these personnel. If no, please explain.</p>	
	<p>Does the EPI Plan provide a methodology for informing workers and the public of DOE/NNSA emergency plans and protective actions, before and during emergencies? If yes, provide documentation. If no, please explain.</p>	
	<p>Does the EPI Plan provide coordination of public information efforts with local, State, and Tribal governments, and Federal emergency response plans, as appropriate? If yes, provide documentation. If no, please explain.</p>	
APPROACH		
Document/Record Review		
	Review any information distributed by EPI workers and site personnel such as media releases, talking points, media kits, etc.	
	Review goals and purpose of emergency public information plans and procedures.	

16. EMERGENCY PUBLIC INFORMATION		
	Review process for EPI coordination with DOE/NNSA Cognizant Field Element public affairs director and the HQ EM.	
	Review training documentation to ascertain if technical briefers have received spokesperson training.	
	Review Emergency Public Information Plans, Procedures, and Training Plan.	
	Review EPI layout and position checklists.	
	Review plans and procedures for offsite coordination with DOE HQ, other Federal agencies, and Tribal, State, and local government organizations.	
	Review ERO checklists for notification to DOE/NNSA Cognizant Field Office and HQ EM in regard to DOE/NNSA emergency public information actions.	
	Review EPI plan to see if evaluation criterion is included.	
	Review any continuing education provided to area news media.	
Interview		
	Interview Field Public Affairs Officer, if available.	
Observation		
	Observe these evaluation criterion during as exercise.	
OBJECTIVE		
16.2	For Operational Emergency Hazardous Material Program facilities, the emergency public information program must have provisions in place to establish a Joint Information Center (JIC).	DOE O 151.1C, Chapter IX, 4.b.(2)
Criterion		
16.2.1	The JIC is established, directed, and coordinated by a senior DOE or NNSA Cognizant Field Office public affairs manager or alternate.	P/E14.10
Lines of Inquiry		
	Is the JIC established, directed, and coordinated by a senior DOE or NNSA Cognizant Field Office public affairs manager or alternate? If yes or no, please explain.	
APPROACH		
Document/Record Review		
	Review emergency plans and procedures for establishing, directing, and coordinating the JIC.	
Interview		
	Interview the Field Public Affairs Officer, if available.	
Observation		

16. EMERGENCY PUBLIC INFORMATION		
	Observe this evaluation criterion during an exercise.	
OBJECTIVE		
16.3	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.	DOE O 151.1C, Chapter IX, 4.d.
16.3.1	Public announcements in areas involving classified information or unclassified controlled information: <ul style="list-style-type: none"> a. The appropriate official (e.g., DC) reviews news releases or announcements before release to the public to ensure that no information is provided that may present a security risk. b. Sufficient publicly releasable information is provided to adequately explain the emergency response and protective actions required for the health and safety of workers and the public. 	P/E14.9
Lines of Inquiry		
	Does the appropriate official review news releases or announcements before release to the public to ensure that no information is provided that may present a security risk? If yes, describe the process. If no, please explain how a possible security risk is handled.	
	Is sufficient publicly releasable information provided to adequately explain the emergency response and protective actions required for the health and safety of workers and the public? If yes, are pre-approved statements released? If no, please explain.	
	Provide evidence or describe the process to adequately explain emergency response and protective actions required.	
APPROACH		
Document/Record Review		
	Review sample of actual news releases.	
Interview		
	Interview Field Public Affairs Officer, if available.	
Observation		
	Observe this evaluation criterion during an exercise.	

17. TERMINATION & RECOVERY (FIELD ELEMENT)		
<p>Performance Goal: Response activities are terminated when the situation has been stabilized. Potential threats to workers, the public, the environment and national security have been characterized; conditions no longer meet established emergency categorization criteria; and it appears unlikely that conditions will deteriorate. In coordination with response organizations, the emergency is then declared terminated and activities focus on recovery. [DOE O 151.1C, 4.c.(5)]</p> <p>Mitigative, cleanup, and restoration activities may begin prior to response termination. However, excluding recovery planning, recovery activities fully begin following response termination. Recovery activities require the coordinated efforts of the affected site/facility; its line management; the Office of Emergency Operations; the Office of Environment, Safety and Health; the Office of Environmental Management; General Counsel; and the Office of Congressional and Intergovernmental Affairs. [DOE O 151.1C, 4.d.]</p> <p>15. Objective: Ensure that emergency plans and procedures are prepared, reviewed annually, and updated, as necessary, for all facilities under their purview and are integrated within the overall Cognizant Field Element emergency preparedness program. [DOE O 151.1C,I.9.q]</p> <p>16. Objective: Termination must be coordinated with State, Tribal and local agencies and organizations responsible for offsite emergency response and notification. [DOE O 151.1C, III,5.b.]</p> <p>17. Objective: An event determined to be an emergency will remain so until the emergency response is terminated. [DOE G 151.1C, IV.5.b.(4)]</p> <p>18. Objective: Recovery procedures for Hazardous Material Programs must 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. [DOE O 151.1C.III.5.b.]</p> <p>19. Objective: Recovery must also include investigation of the root cause(s) of the emergency and corrective actions(s) to prevent recurrence in accordance with Departmental requirements. (e.g., See DOE O 225.1B, Accident Investigations, dated 03-04-2011, DOE O 231.1B Admin Chg. 1, Environment, Safety, and Health Reporting, dated 06-27-2011; DOE O 422.1 Admin Chg. 2, Conduct of Operations, dated 12-03-2014. [DOE O 151.1C.III.5.b.]</p>		
OBJECTIVE		
17.1.	Ensure that emergency plans and procedures are prepared, reviewed annually, and updated, as necessary, for all facilities under their purview and are integrated within the overall Cognizant Field Element emergency preparedness program.	[DOE O 151.1C,I.9.q]
Criterion		
17.1.1.	The Field element has documented processes in place to ensure that emergency management policy and procedures are in place and maintained.	(DOE G 151.1-3, D.3, P2.6, P2.7)
Lines of Inquiry		
	• Does the Field/site/facility emergency plan address termination?	
	• Have emergency termination procedures been developed?	[
	• Has the Field Element reviewed Field/site/facility termination EIPs?	
	• Do the termination procedures include criteria for terminating an Operational Emergency?	DOE G-151.1-3, D.4.10, P/E15.5
	• Have recovery procedures been developed?	
	• Has the Field Element reviewed Field/site/facility recovery EIPs?	

17. TERMINATION & RECOVERY (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Does the recovery EIPs include guidance on how to develop a recovery plan outline? 	
	<ul style="list-style-type: none"> Does the recovery EIPs discuss the selection and development of a recovery team? 	
	<ul style="list-style-type: none"> Does the recovery EIPs allow for the provision that criteria must be established for resumption of normal operations? 	[DOE O 151.1C.III.5.b.]
	<ul style="list-style-type: none"> Is a recovery plan outline included in the criteria? 	
Criterion		
17.1.2.	Specific exercise objectives provide the basis for evaluating/validating the performance of response capabilities by each participating organization.	(DOE G 151.1-3, D.3.3, CE4.5)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the site/facility included termination of an emergency as an objective for the ERO in an exercise? 	
	<ul style="list-style-type: none"> Has the site/facility included recovery of an emergency as an objective for the ERO in an exercise? 	
	<ul style="list-style-type: none"> Has the site successfully demonstrated the ability to terminate an operational emergency? 	
	<ul style="list-style-type: none"> Has the site successfully demonstrated the ability to plan recovery? (exercise or actual event) 	
	<ul style="list-style-type: none"> Has the Field element evaluated termination in an exercise (or drill)? 	
	<ul style="list-style-type: none"> Has the Field element evaluated recovery in an exercise (or drill)? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review emergency plan and EPIP for termination. 	
	<ul style="list-style-type: none"> Review emergency plan and EPIP for recovery. 	
	<ul style="list-style-type: none"> Review criteria needed to terminate an emergency. 	
	<ul style="list-style-type: none"> Review worksheets, criteria regarding recovery. 	
	<ul style="list-style-type: none"> Review exercise packages, drill packages and AAR. 	
Interview		
	<ul style="list-style-type: none"> Field Element emergency management program manager regarding termination. 	
	<ul style="list-style-type: none"> Field Element emergency management program manager regarding recovery 	
Observation		
	Not applicable.	
OBJECTIVE		
17.2.	Termination must be coordinated with State, Tribal and local agencies and organizations responsible for offsite emergency response and notification.	[DOE O 151.1C, III.5.b.]
Criterion		
17.2.1.	The decision to terminate an emergency response for an OE is coordinated with all principle participating response organizations (i.e., local, State, Tribal, DOE HQ, other participating Federal agencies)	DOE G 151.1-3,D.4.10,P/E15.1)
Lines of Inquiry		

17. TERMINATION & RECOVERY (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Has the decision to terminate an operational emergency been coordinated with the Field Office? 	
	<ul style="list-style-type: none"> Has the decision to terminate an operational emergency been coordinated with participating response organizations? 	
	<ul style="list-style-type: none"> How was the coordination accomplished? (through the IC, EOC?) 	
	<ul style="list-style-type: none"> Who notified DOE HQ of the termination? 	
OBJECTIVE		
17.3	An event determined to be an emergency will remain so until the emergency response is terminated.	[DOE G 151.1C, IV.5.b.(4)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Has an Operational emergency ever been downgraded to a lower significance category (but not due to an incorrect categorization)? 	[DOE G 151.1C, IV.5.b.(4)]
	<ul style="list-style-type: none"> Has an emergencies been downgraded before the termination of an event (but not due to an incorrect classification)? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review emergency plan and EPIP for termination. 	
	<ul style="list-style-type: none"> Review criteria needed to terminate an emergency. 	
	<ul style="list-style-type: none"> Review exercise plans and AAR. 	
	<ul style="list-style-type: none"> Review MOUs/MOAs. 	
Interview		
	<ul style="list-style-type: none"> Field Element emergency management program manager regarding termination. 	
Observation		
	<ul style="list-style-type: none"> Observe termination in an exercise or LPST or drill. 	
OBJECTIVE		
17.4.	Recovery procedures for Hazardous Material Programs must 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.	[DOE O 151.1C.III.5.b.]
Criterion		
17.4.1.	Recovery activities are coordinated with Federal, State, local and other agencies, and are in compliance with their requirements.	(DOE G 151.1-3, D.4.10,P/E15.15)
Lines of Inquiry		
	<ul style="list-style-type: none"> Do the procedures address coordination with Federal, State, local and other agencies? 	
	<ul style="list-style-type: none"> Does the Field Element take a role in this coordination? 	
	<ul style="list-style-type: none"> If so, what responsibilities does the Field Element have? 	
	<ul style="list-style-type: none"> Has this role been demonstrated in an actual event or an exercise? 	

17. TERMINATION & RECOVERY (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Do the procedures address the coordination with DOE HQ (both the Office of Emergency Operations and the Cognizant Program Office)? 	
	<ul style="list-style-type: none"> Does the Field Element take a role in this coordination? 	
	<ul style="list-style-type: none"> What are the responsibilities of the Field Element? 	
Criterion		
17.4.2.	The recovery plan to return the affected facility/area to normal operations following the termination of the OE is developed by the recovery organization and depends on (i.e., is commensurate with) the severity and nature of the emergency event or condition.	(DOE G 151.1-3, D.4.10, P/E5.11)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the Field Element reviewed the recovery procedures to ensure that procedures/checklists indicate when a recovery plan should be developed? 	
	<ul style="list-style-type: none"> Has the Field Element reviewed the recovery procedures to ensure that procedures/checklists indicate that the recovery plan is developed by the recovery organization? 	
	<ul style="list-style-type: none"> Has the Field Element reviewed the recovery procedures to ensure that procedures/checklists address planning for decontamination actions? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review emergency plan and EPIP for recovery. 	
	<ul style="list-style-type: none"> Review worksheets, criteria regarding recovery. 	
	<ul style="list-style-type: none"> Review exercise packages, drill packages and AAR. 	
Interview		
	<ul style="list-style-type: none"> Field Element emergency management program manager regarding recovery. 	
	<ul style="list-style-type: none"> Facility Representatives or other Field Element personnel who are part of the ERO. 	
Observation		
	<ul style="list-style-type: none"> If applicable, observe Field Element ERO members who have recovery responsibilities in an exercise or LPST or drill. 	
OBJECTIVE		
17.5.	Recovery must also include investigation of the root cause(s) of the emergency and corrective actions(s) to prevent recurrence in accordance with Departmental requirements. (e.g., See DOE O 225.1B, Accident Investigations, dated 03-04-2011, DOE O 231.1B Admin Chg. 1, Environment, Safety, and Health Reporting, dated 06-27-2011; DOE O 422.1 Admin Chg. 2, Conduct of Operations, dated 12-03-2014.	[DOE O 151.1C.III.5.b.]
Criterion		
17.5.1.	Accident assessment and investigation are performed, consistent with event severity, including root cause analysis, accident reporting, event documentation collection, assessment of facility conditions, and assessment of contamination effects, if relevant.	(DOE G 151.1-3, D.4.10, P/E5.13)
Lines of Inquiry		

17. TERMINATION & RECOVERY (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Is there a Field Element procedure that addresses accident assessment and investigation? 	
	<ul style="list-style-type: none"> Are accident assessment and investigation performed consistent with event severity? 	(DOE G 151.1-3, D.4.10, P/E5.13)
	<ul style="list-style-type: none"> After having an actual event, has a root cause analysis completed by the contractor, been reviewed by the Field Element? 	(DOE G 151.1-3, D.4.10, P/E5.13)
	<ul style="list-style-type: none"> After having an actual event, has the Field Element reviewed accident reporting? 	(DOE G 151.1-3, D.4.10, P/E5.13)
	<ul style="list-style-type: none"> After having an actual event, has the Field Element reviewed event documentation collection, assessment of facility conditions and assessment of contamination effects (if relevant)? 	(DOE G 151.1-3, D.4.10, P/E5.13)
Criterion		
17.5.2.	The Field Element provides for the necessary on-site support to the Accident Investigation Board, as requested by the Chairperson, to facilitate the timely and effective completion of the accident investigation.	[DOE O 225.1B,5.c.(3)]
Lines of Inquiry		
	<ul style="list-style-type: none"> After having an actual event, has the root cause of the emergency been investigated? 	(DOE G 151.1-3, D.4.10, P/E5.14)
	<ul style="list-style-type: none"> After having an actual event, have corrective actions to prevent recurrence been developed according to Departmental requirements? 	(DOE G 151.1-3, D.4.10, P/E5.14)
	<ul style="list-style-type: none"> Has the Field Element reviewed draft accident investigation reports for factual accuracy within the time frame allowed for the investigation? 	[DOE O 225.1B,5.c.(4)]
	<ul style="list-style-type: none"> Has the Field Element, as appropriate, develops or provide assistance in developing lessons learned for accident investigations? 	[DOE O 225.1B,5.c.(5)]
	<ul style="list-style-type: none"> The Field Element, as appropriate, requires the submittal of contractor corrective action plans to address the Judgments of Need, approve the implementation of those plans, and track the effective implementation of those plans to closure. 	[DOE O 225.1B,5.c.(6)]
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review plans and procedures related to recovery, accident assessments and investigation. Some of the procedures may be outside the realm of emergency management (i.e., concept of operations, accident investigations). 	
	<ul style="list-style-type: none"> Review actual accident investigation reports, if needed. 	
	<ul style="list-style-type: none"> Review accident assessments and data, if needed. 	
	<ul style="list-style-type: none"> Review root-cause analysis if separate from accident reports. 	
	<ul style="list-style-type: none"> Review exercise reports if recovery was included as an objective 	
Interview		
	<ul style="list-style-type: none"> Interview Field Element emergency management program manager regarding recovery. 	

17. TERMINATION & RECOVERY (FIELD ELEMENT)		
	<ul style="list-style-type: none"> Interview Field Element contact point for accident investigations. 	
Observation		
	Not applicable.	

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PROGRAM OFFICE

BASELINE EMERGENCY MANAGEMENT CRITERIA AND REVIEW APPROACH DOCUMENT

1. This Baseline Emergency Management Criteria and Review Approach Document (CRAD) can be used by the Program Office to conduct self-assessments of their program. This Baseline Emergency Management CRAD is also to be used by Independent Oversight to evaluate the PSO program.
2. This Section of the Baseline Emergency Management CRAD is based on DOE O 151.1C. It consists of two Program Elements contained in the Order. The numbering of the Program Elements match the order that the Program Elements are listed in the CRD (Attachment 2, DOE O 151.1C).
 - a. When tailoring this CRAD to the specific facility/site hazards or to the scope of a particular assessment, the numbering within this CRAD must be retained to allow for tracking across line management levels.
 - b. The numbering only applies to objectives and criteria.
 - c. Lines of Inquiry are not numbered and are suggestions/guidance to aid the assessment team.

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4. PROGRAM ADMINISTRATION (PROGRAM OFFICE)		
Performance Goal: Ensure implementation of emergency management policy and requirements; maintain programs and systems consistent with policy and requirements. [DOE O 151.1C, I.8.a.]		
<ol style="list-style-type: none"> 1. Objective: Ensure implementation of emergency management policy and requirements; maintain programs and systems consistent with policy and requirements. [DOE O 151.1C, I.8.a.] 2. Objective: The Program Office has designated an individual(s) to administer the emergency management program for the Program Office. [DOE O 151.1C, XI.1]. 3. Objective: Coordinate with the Field Element to ensure resources are available to implement DOE O 151.1C for facilities and activities under Program Office cognizance. [DOE O 151.1C, I.8.d.] 4. Objective: Oversight processes evaluate the contractor's emergency management program and management systems for effective performance (including compliance with requirements). [DOE O 226.1B, 4.b.(1)] 5. Objective: 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 (Electronic Records Management). [DOE O 151.1C, XI, 5.] 6. Objective: The Program Office (at all facilities that are generating classified information or UCNI, or are conducting classified or UCNI operations) reviewed all Program Office originated emergency preparedness documents such as plans, procedures, scenarios and assessments for classified information and UCNI? [DOE O 151.1C, XI.2] 		
OBJECTIVE		
4.1.	Ensure implementation of emergency management policy and requirements; maintain programs and systems consistent with policy and requirements	[DOE O 151.1C, I.8.a.]
Criterion		
4.1.1.	The Program Office has documented processes in place to ensure that emergency management policy and procedures are in place and maintained.	(DOE G 151.1-3, D.3, P2.6, P2.7)
Lines of Inquiry		
	<ul style="list-style-type: none"> • Are there procedures or processes that describe how the emergency management program is managed by the Program Office? 	
	<ul style="list-style-type: none"> • Is the Program Office emergency management program detailed in a plan, procedure, or system (process)? Describe the documentation. 	(DOE G 151.1-3, D.3, P2.6)
	<ul style="list-style-type: none"> • Who has approved the procedure/process? 	
	<ul style="list-style-type: none"> • Does the process also include reasonable schedules for documentation submittals, reviews and approvals, preparedness and readiness assurance activities? 	
	<ul style="list-style-type: none"> • Is there a schedule for emergency management program activities? (Is the schedule electronic/hard copy or both?) 	
	<ul style="list-style-type: none"> • Do the schedules indicate that activities are initiated and completed in a timely manner? 	
Criterion		
4.1.2.	An effective integrated emergency management program has been achieved between emergency management and related programs (safety, fire protection, security).	(DOE G 151.1-3, D.3, P2.25.c)
Lines of Inquiry		

4. PROGRAM ADMINISTRATION (PROGRAM OFFICE)		
	<ul style="list-style-type: none"> How does safety get incorporated into the site emergency management program? 	
	<ul style="list-style-type: none"> What is the relationship between the Integrated Safety Management Program and the Emergency Management Program? 	
	<ul style="list-style-type: none"> How does fire protection get incorporated into the site emergency management program? 	
	<ul style="list-style-type: none"> Are there any other programs that are incorporated into the Emergency Management Program (Rad Protection, Occupational Safety and Health)? 	
Criterion		
4.1.3.	Ensure full coordination with the Director, Office of Emergency Operations, and, when necessary, the Lead Program Secretarial Officer and the Cognizant Secretarial Officer, on all emergency management activities.	[DOE O 151.1C, l.8.d.]
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the Program Office emergency management program follow the requirements of DOE O 151.1C regarding distribution of approved documents (Emergency Plan, ERAPs, Hazards Surveys, EPHAs, EPZ) to DOE Program Element(s)? 	
	<ul style="list-style-type: none"> Is there an open dialog between the Program Office and other HQ Program Offices especially concerning site/facilities are under another office’s cognizant (where another Program Office may share planning/response responsibilities)? 	
	<ul style="list-style-type: none"> Does the Program Office keep NA-40 aware of emergency management activities? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review all processes/plans/procedures pertaining to the emergency management program at the Program Office level. 	
	<ul style="list-style-type: none"> Review ERAPs. 	
	<ul style="list-style-type: none"> Review document control systems procedures. 	
	<ul style="list-style-type: none"> Verify compliance with other DOE and non-DOE requirements applicable to emergency management programs. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility (Program Administrator) for managing the emergency management program to verify documentation for each criterion. 	
Observation		
	Not applicable.	
OBJECTIVE		
4.2.	The Program Office has designated an individual(s) to administer the emergency management program for the Program Office	[DOE O 151.1C, XI.1]
Criterion		

4. PROGRAM ADMINISTRATION (PROGRAM OFFICE)		
4.2.1.	Emergency management functions, responsibilities and authorities are outlined in the Program Office Functions, Responsibilities and Authorities documentation (or other documentation).	[DOE O 450.2, 5.c.(1)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the Program Office Functions, Responsibilities and Authorities (FRA) document indicate who has responsibility for emergency management? 	
	<ul style="list-style-type: none"> When was the last time the Program Office FRA was updated? How current is it? 	
	<ul style="list-style-type: none"> Does the Program Office FRA accurately reflect current organization structure? 	
Criterion		
4.2.2.	The Program Office has designated an individual(s) to be the emergency management program manager/administrator, who is responsible for day-to-day development, operations, and maintenance of the emergency management program.	[DOE O 151.1C, XI,1.], (DOE G 151.1-3, D.3, P2.1)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the Program Office identified an individual to be the emergency management program manager/administrator? 	
	<ul style="list-style-type: none"> Are the emergency management responsibilities the sole function of the designated individual? 	
	<ul style="list-style-type: none"> Does more than one individual share the emergency management oversight duties? 	
	<ul style="list-style-type: none"> How has this designation taken place? Letter/Memo? Plan? PD? 	
	<ul style="list-style-type: none"> Does the emergency manager have authority commensurate with assigned responsibilities? 	
	<ul style="list-style-type: none"> Where are the assigned responsibilities documented? 	
	<ul style="list-style-type: none"> Does the designated individual's position description indicate that they are the emergency management program manager/administrator? 	
	<ul style="list-style-type: none"> Does the position description accurately reflect the responsibilities of the individual? 	
Criterion		
4.2.3.	The Program Office, having received an exclusion request from a Field Element, has coordinated proposed exclusions from DOE O 151.1C (i.e., alternative standards for emergency management) with the Office of Emergency Operations.	[DOE O 151.1C, 3.c.(1)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Do any of the Field Elements under the Program Office have an exclusions from DOE O 151.1C? 	
	<ul style="list-style-type: none"> Where are the exclusions listed (ERAP, Emergency Plan)? 	
	<ul style="list-style-type: none"> Is there a paper trail/electronic file on the exclusion? 	
	<ul style="list-style-type: none"> Is it documented that the Office of Emergency Operations and the Program Office have approved the exclusions? If not why not? 	
	<ul style="list-style-type: none"> Who approved the exclusion from the Program Office? 	

4. PROGRAM ADMINISTRATION (PROGRAM OFFICE)		
Criterion		
4.2.4.	The Program Office, having received an exemption request from a Field Element, has coordinated proposed exemption from DOE O 151.1C with the Office of Emergency Operations.	[DOE O 151.1C, 3.c.(5)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Do any of the Field Elements under the Program Office have an exemption(s) from DOE O 151.1C? 	
	<ul style="list-style-type: none"> Where are exemptions listed (ERAP, Emergency Plan)? 	
	<ul style="list-style-type: none"> Is there a paper trail/electronic file on the exemption? 	
	<ul style="list-style-type: none"> Is it documented that the Office of Emergency Operations and the Program Office have approved the exemption? If not why not? 	
	<ul style="list-style-type: none"> Who approved the exemption from the Program Office? 	
Criterion		
4.2.5.	A senior representative from the Program Office has been assigned to the Emergency Management Advisory Committee.	[DOE O 151.1C, 1.8.h.]
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the Program Office designated a Program Office employee as the Program Office senior representative to the Emergency Management Advisory Committee? 	
	<ul style="list-style-type: none"> Is the individual aware of the designation? 	
	<ul style="list-style-type: none"> Did the representative attend the last annual EMAC meeting held usually at the EMI-SIG conference? 	
	<ul style="list-style-type: none"> By which means did the representative attend (teleconference, video conference or in person)? 	
	<ul style="list-style-type: none"> If no one attended is there a reason? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review Program Office plans/procedures. 	
	<ul style="list-style-type: none"> Review the FRA. 	
	<ul style="list-style-type: none"> Review pertinent job descriptions (to determine if emergency management duties are included). 	
	<ul style="list-style-type: none"> Review any other document which would indicate the duties/responsibilities of the emergency management program staff. 	
Interview		
	<ul style="list-style-type: none"> Interview the emergency management program manager to determine if they understand their position and duties. 	
	<ul style="list-style-type: none"> Interview any other federal staff performing the duties of emergency management program manager to determine if they understand their duties. 	
Observation		
	Not applicable.	
APPROACH		

4. PROGRAM ADMINISTRATION (PROGRAM OFFICE)		
Document/Record Review		
	<ul style="list-style-type: none"> Review all field/site/facility emergency plan(s), hazard survey, EPHAs. 	
	<ul style="list-style-type: none"> Review all processes/plans/procedures pertaining to the emergency management program at the Field Element level. 	
	<ul style="list-style-type: none"> Review all management contractual vehicles established and maintained by the site/facility. 	
	<ul style="list-style-type: none"> Review document control systems procedures. 	
	<ul style="list-style-type: none"> Verify compliance with other DOE and non-DOE requirements applicable to emergency management programs. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility (Program Administrator) for managing the emergency management program to verify documentation for each criterion. 	
Observation		
	Not applicable.	
OBJECTIVE		
4.3.	Coordinate with the Field Element to ensure resources are available to implement DOE O 151.1C for facilities and activities under Program Office cognizance.	[DOE O 151.1C, I.9.d]
Criterion		
4.3.1.	Financial resource requirements are identified and budgeted.	(DOE O 151.1C, I.8.b.)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the Field Element identified the financial resources needed to accomplish the emergency management program at site/facility? 	
	<ul style="list-style-type: none"> Where are the financial resource requirements identified? 	
	<ul style="list-style-type: none"> Has the Field Element/Program Office adequately funded the emergency management program for the site/facility? 	
	<ul style="list-style-type: none"> How does the Field Element/Program Office ensure that the site/facility contractor has the resources needed to implement DOE O 151.1C? 	
	<ul style="list-style-type: none"> Has the Field Element/Program Office requested more/less resources in the recent past? 	
	<ul style="list-style-type: none"> The request is documented and has a basis? 	
Criterion		
4.3.2.	Facilities and equipment requirements are identified, acquired and monitored.	(DOE G 151.1-3, D.3.1, P2.11)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the contractor identified the facilities and equipment needed to accomplish the emergency management program at the site? Where is this information located? 	

4. PROGRAM ADMINISTRATION (PROGRAM OFFICE)		
	<ul style="list-style-type: none"> How as the contractor identified the facilities and equipment needs? Is it based on a needs analysis? 	
	<ul style="list-style-type: none"> Has Field Element budgeted for the facilities and equipment? 	
	<ul style="list-style-type: none"> Is there needed equipment identified that has not been obtained? <ul style="list-style-type: none"> What is the reasoning of not obtaining the equipment? How is Field Element addressing this issue? 	
Criterion		
4.3.3.	Personnel requirements are identified and addressed.	(DOE G 151.1-3, D.3.1, P2.12)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the contractor identified the personnel needed to accomplish the emergency management program at the site? 	
	<ul style="list-style-type: none"> Through what process as the contractor identified the personnel requirements? 	
	<ul style="list-style-type: none"> Has the Field Element budgeted for the personnel requirements? 	
	<ul style="list-style-type: none"> Has there been a problem of management support of personnel requirements? 	
Criterion		
4.3.4.	Facilities, equipment and staffing requirements have been discussed with DOE HQ EM, especially resources lacking.	(DOE 151.1-3, D.3.1, P.2.11)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the Field Element discussed facilities, equipment and staffing requirements? 	
	<ul style="list-style-type: none"> Has the Field Element discussed shortages of resources? 	
	<ul style="list-style-type: none"> Has the Field Element discussed repercussions of shortages? 	
	<ul style="list-style-type: none"> Does the ERAP indicate resources (facilities, personnel, equipment)? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review the ERAP. 	
	<ul style="list-style-type: none"> If applicable review budget submissions. 	
Interview		
	<ul style="list-style-type: none"> Interview individual with overall responsibility (Program Administrator) for managing the emergency management program to verify documentation for each criterion. 	
Observation		
	Not applicable.	
OBJECTIVE		
4.4.	Oversight processes evaluate the contractor’s emergency management program and management systems for effective performance (including compliance with requirements).	[DOE O 226.1B, 4.b.(1)]
Criterion		
4.4.1.	Ensure implementation of a comprehensive, thorough and documented oversight program of Field Element sites.	[DOE O 226.1B, 4.b.(1)]
Lines of Inquiry		

4. PROGRAM ADMINISTRATION (PROGRAM OFFICE)		
	<ul style="list-style-type: none"> Is there an oversight process in place? 	
	<ul style="list-style-type: none"> Is the oversight process described in documentation? 	
	<ul style="list-style-type: none"> Does the oversight process include the Program Office evaluating the Field Element oversight performance? (Objective/Criteria in 4.3) 	
	<ul style="list-style-type: none"> Does the oversight process include the Program Office evaluating the site/facility contractor for cause? 	
	(see Program Office Readiness Assurance CRAD)	
Criterion		
4.4.2.	Evaluation of the site/facility program and management systems is based on the results of operational awareness activities; assessments of facilities, operations and programs; and assessments of the contractor’s assurance system.	[DOE O 226.1B, 4.b.(1)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Is the evaluation of the Field Element emergency management program based on: <ul style="list-style-type: none"> Operational awareness activities? Assessments of facilities, operations and programs? Assessments of the contractor’s assurance systems? 	
	<ul style="list-style-type: none"> Is the oversight program a balance between reviews of documentation and adequacy of implementation through performance tests, and observation of actual work activities at the facility? 	
Criterion		
4.4.3.	Conduct operational awareness activities of Field Element Emergency Management Programs.	[DOE O 226.1B, 4.b.(1)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the Program Office review Field/site emergency plans, hazards surveys, EPHAs? 	
	<ul style="list-style-type: none"> Does the Program Office routinely review Occurrence Reports for the Field Elements/sites/facilities under their cognizance? 	
	<ul style="list-style-type: none"> Does the Program Office review independent reports regarding emergency management concerning their sites? (EA reports, IG reports) 	
	<ul style="list-style-type: none"> Does the Program Office communicate on a regular (scheduled) basis with Field Element Emergency Management Program Managers? 	
Criterion		
4.4.4.	The Program Office has established written plans and schedules for planned assessments, focus areas for operational oversight and reviews of the contractor’s self-assessment of processes and systems.	[DOE O 226.1B, 4.b.(2)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Does a documented Program Office emergency management program plan describe oversight activities? 	

4. PROGRAM ADMINISTRATION (PROGRAM OFFICE)		
	<ul style="list-style-type: none"> Does the Program Office emergency management program plan include an annual schedule of planned assessments and focus areas for operational awareness? See Readiness Assurance for other criteria related to scheduling of assessments/evaluations. (See PROGRAM OFFICE CRAD READINESS ASSURANCE) 	
	<ul style="list-style-type: none"> Have the Field Element assessments planned and scheduled based on requirements, analysis of hazards and risks, past performance, and effectiveness of contractor assurance systems for organizations, facilities, operations, and programs. 	
	<ul style="list-style-type: none"> Has the Field Element scheduled/conducted “for cause” assessments? These assessments should be scheduled when circumstances warrant. 	
	<ul style="list-style-type: none"> Does the Field Element review the contractor’s self-assessments? (See FIELD CRAD 7, READINESS ASSURANCE) 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review field plans/procedures related to oversight processes including ISM, corrective actions, lessons learned. 	
	<ul style="list-style-type: none"> Review document control procedures. 	
	<ul style="list-style-type: none"> Review schedules for oversight activities. 	
	<ul style="list-style-type: none"> Review notes/reports pertaining to oversight activities. 	
	<ul style="list-style-type: none"> Review outside reports regarding findings related to oversight activities. 	
Interview		
	<ul style="list-style-type: none"> Interview individuals with oversight responsibilities. 	
	<ul style="list-style-type: none"> Resolve any issues of missing, incomplete, or unclear documentation in the interview phase. 	
Observation		
	Not Applicable	
OBJECTIVE		
4.5.	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 (Electronic Records Management).	[DOE O 151.1C, XI, 5.]
Criterion		
4.5.1.	An auditable administrative program 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, is established and reliably maintained.	(DOE G 151.1-3, P2.8) (DOE G 151.1-3, Section 1.7)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has an administrative program been developed for vital (essential) records? 	
	<ul style="list-style-type: none"> Who has responsibility for administrating the program? 	
	<ul style="list-style-type: none"> How is the program tied into the emergency management program? 	
Criterion		

4. PROGRAM ADMINISTRATION (PROGRAM OFFICE)		
4.5.2.	Records have been identified that specify how DOE/NNSA will operate in an emergency or disaster.	[DOE O 243.1B, 4.c.(1)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there a procedure/guidance on how to identify and protect vital (essential) records? 	
	<ul style="list-style-type: none"> Have protected records been selected, maintained and protected based on guidance by the objectives and requirements of the NARA, Vital Records and Records Disaster Mitigation and Recovery Instructional Guide, 36 CFR Subchapter B, Records Management, Part 1223, Managing Vital Records and E.O. 12656, Assignment of Emergency Preparedness Responsibilities? 	
	<ul style="list-style-type: none"> Have records necessary for continued operations been identified? 	
	<ul style="list-style-type: none"> Have emergency operating records been identified and protected? 	
	<ul style="list-style-type: none"> Have legal and financial rights records been identified and protected? 	
	<ul style="list-style-type: none"> Have reconstitution records/systems been identified and protected? 	
	<ul style="list-style-type: none"> How are records protected? 	
Criterion		
4.5.3.	Adequate documentation of all technical data which supports the emergency management program is maintained.	
Lines of Inquiry		
	<ul style="list-style-type: none"> How is emergency management program technical data maintained? 	
	<ul style="list-style-type: none"> Is the data backed up? Where? 	
Criterion		
4.5.4.	Emergency management and continuity personnel have appropriate software and hardware needed to access the records in place at all times.	[DOE O 243.1B, 4.c.(2)]
Lines of Inquiry		
	<ul style="list-style-type: none"> How are vital (essential) records accessed? 	
	<ul style="list-style-type: none"> Can the records be accessed from an alternate location? 	
	<ul style="list-style-type: none"> How is access to the records controlled? 	
	<ul style="list-style-type: none"> Is there adequate protection (in relation to the sensitivity of the information) for the records? 	[DOE O 243.1B, 4.c.(3)]
Criterion		
4.5.5.	Vital records are reviewed annually, at a minimum, and updated records are migrated as needed to ensure the current versions are available and to address new security issues, identify problem areas, and update data.	[DOE O 243.1B, 4.c.(4)]
Lines of Inquiry		
	<ul style="list-style-type: none"> How often are vital (essential) records reviewed? 	
	<ul style="list-style-type: none"> Is there a procedure/schedule that describes how/when the records are reviewed? 	[DOE O 243.1B, 4.c.(5)]
	<ul style="list-style-type: none"> Are hard copies of older documents destroyed when obsolete or replaced with updated copies? 	[DOE O 243.1B, 4.c.(5)]

4. PROGRAM ADMINISTRATION (PROGRAM OFFICE)		
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review plans/procedures related to the protection of vital (essential) records. 	
Interview		
	<ul style="list-style-type: none"> Discuss the site’s vital (essential) record program with the appropriate subject matter expert (at the Field Element). 	
Observation		
	<ul style="list-style-type: none"> Pull up from backup sources vital (essential) records. 	
OBJECTIVE		
4.6.	The Program Office (at all facilities that are generating classified information or UCNI, or are conducting classified or UCNI operations) reviewed all Program Office originated emergency preparedness documents such as plans, procedures, scenarios and assessments for classified information and UCNI?	[DOE O 151.1C, XI.2]
Criterion		
4.6.1.	The review is conducted by the appropriate official using current guidance.	[DOE O 151.1C, XI.2]
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there a procedure for reviewing emergency preparedness documents for classified information or UCNI? 	
	<ul style="list-style-type: none"> Does a procedure indicate the appropriate official (by qualification or title) to perform the classified review? 	(DOE G 151.1-3, Section 1.8)
	<ul style="list-style-type: none"> Have emergency management documents been reviewed by an Authorized Derivative Classifier prior to dissemination? 	[DOE G 151.1-3, P2.9, P2.26] (DOE G 151.1-3, Section 1.8)
	<ul style="list-style-type: none"> Do records indicate that classified reviews have been performed? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Review procedures in place to protect classified information or UCNI. 	
	<ul style="list-style-type: none"> Review any documentation of classified information reviews. 	
	<ul style="list-style-type: none"> Review a sampling of documents to determine if the documents have been properly marked. 	
Interview		
	<ul style="list-style-type: none"> Discuss the process of classified information review with the Emergency Management program administrator. 	
Observation		
	Not applicable	

DRAFT

7. READINESS ASSURANCE (PROGRAM OFFICE)		
<p>Performance Goal: In coordination with the Director, Office of Emergency Operations, and the Cognizant Program Offices, supports a readiness assurance program, consisting of evaluations, improvements, and ERAPs. [DOE O 151.1C, I.8.c.]</p> <ol style="list-style-type: none"> Objective: The Program Office within their area of programmatic responsibility ensure that readiness assurance activities are performed and emergency preparedness activities, including emergency response exercises, are fully coordinated with the Director, Office of Emergency Operations. [DOE O 151.1C.I.8.e.] Objective: The Program Office must periodically review and evaluate the ability of DOE/NNSA facilities and/or DOE/NNSA contractor-operator facilities to meet requirements of the Emergency Management System. [DOE O 151.1C, X.2.] Objective: Ensure that appropriate and timely improvements are made in response to needs identified through coordinated emergency planning, resource allocation, program assistance activities, evaluations, training, drills, and exercises. [DOE O 151.1C, X.2.] Objective: Review Emergency Readiness Assurance Plans (ERAPs) submitted to the Program Office and the Director, Office of Emergency Operations (NA-40), for inclusion in the annual report on the status of the Emergency Management System. [DOE O 151.1C, I.9.h.] 		
OBJECTIVE		
7.1.	The Program Office within their area of programmatic responsibility ensure that readiness assurance activities are performed and emergency preparedness activities, including emergency response exercises, are fully coordinated with the Director, Office of Emergency Operations.	[DOE O 151.1C.I.8.e.]
Criterion		
7.1.1.	The Program Office emergency management program must implement a readiness assurance program consisting of evaluations, improvements and ERAPs.	[DOE O 151.1C, X.1]
Lines of Inquiry		
	<ul style="list-style-type: none"> Is a readiness assurance program part of the Program Office’s emergency management program? 	
	<ul style="list-style-type: none"> Is the Program Office readiness assurance program described in a procedure/plan/process? 	
	<ul style="list-style-type: none"> Are evaluations, improvements (lessons learned) and ERAPs all part of the readiness assurance program? 	
Criterion		
7.1.2.	The Program Office notifies NA-40 of the Field Element assessment schedule(s) under its purview.	(DOE G 151.1-3, D.3.1, P2.6)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the Program Office developed an assessment schedule (including exercise evaluations) for the Field Elements and/or site/facilities? 	

7. READINESS ASSURANCE (PROGRAM OFFICE)		
	<ul style="list-style-type: none"> Is the assessment schedule found in the annual ERAP? 	
	<ul style="list-style-type: none"> Has the Program Office sent the assessment schedule of the Field Element/site/facility contractor sites to the Program Office and NA-40? 	
Criterion		
7.1.3.	The Program Office tracks performance measures (indicators) for the Field Element/site/facility to provide useful information about program readiness.	[DOE O 151.1C,X.2]
Lines of Inquiry		
	<ul style="list-style-type: none"> Are there established emergency management performance measures (indicators) for the Field Element/site/facility contractor? 	
	<ul style="list-style-type: none"> What are the performance indicators? 	
	<ul style="list-style-type: none"> Do the performance indicators track key functional areas? 	
	<ul style="list-style-type: none"> How do these performance indicators work? 	
	<ul style="list-style-type: none"> What are the repercussions if the performance is poor? 	
	<ul style="list-style-type: none"> Are the performance measures tracked? 	
	<ul style="list-style-type: none"> Has an analysis been performed on the tracking? 	
Criterion		
7.1.5.	The Program Office has provided, when requested, emergency management assistance to the Field Element.	[DOE O 151.1C, X.3.a]
Lines of Inquiry		
	<ul style="list-style-type: none"> Has a Field Element requested assistance from HQ Program Office or NA-40? (i.e., document review, evaluators or assessors for exercises and assessments, answers for technical questions, no-notice exercise) 	
	<ul style="list-style-type: none"> Describe the assistance requested. 	
	<ul style="list-style-type: none"> Was assistance given? What type of assistance? 	
	<ul style="list-style-type: none"> Has there been a concern or issue with seeking assistance? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Program Office plan and procedures related to readiness assurance. 	
	<ul style="list-style-type: none"> Documentation and records related to emergency management evaluation program. 	
	<ul style="list-style-type: none"> Schedule for readiness assurance activities. 	
	<ul style="list-style-type: none"> ERAPs for the past three years. 	
Interview		
	<ul style="list-style-type: none"> Individual with responsibility for the readiness assurance program. 	
	<ul style="list-style-type: none"> Individual with responsibility for the lessons learned program as it applies to the emergency management program. 	
	<ul style="list-style-type: none"> Individual with responsibility for the Program Office lessons learned program. 	

7. READINESS ASSURANCE (PROGRAM OFFICE)		
Observation		
	<ul style="list-style-type: none"> Not applicable. 	
OBJECTIVE		
7.2.	The Program Office must periodically review and evaluate the ability of DOE/NNSA facilities and/or DOE/NNSA contractor-operator facilities to meet requirements of the Emergency Management System.	[DOE O 151.1C, X.2.]
Criterion		
7.2.1.	Readiness assurance evaluation activities include exercise evaluations.	{DOE O 151.1C, X.1.a.]
Lines of Inquiry		
	Does the Program Office review/comment on Field Element/site/facility exercise packages?	
	Does the Program Office evaluate the Field Element/site/facilities exercises?	
	Are exercise evaluations independent of the Field Element?	
	Does the Program Office assist the Field Element in exercise evaluation when requested?	
	If independent, does the Program Office issue an exercise evaluation report to the Field Element?	
	Does the Program Office require corrective actions to be developed for findings (deficiencies and weaknesses), implemented and tracked to completion?	
	Does the Program Office verify that prior findings have been corrected?	
Criterion		
7.2.2.	The Program Office must schedule and perform periodic evaluations of emergency management programs under their cognizance every three years.	[DOE O 151.1C, X.2.a.(4)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the Program Office have an assessment program for the Field Elements under their cognizance? 	
	<ul style="list-style-type: none"> Are objectives/criteria/LOIs (CRADs) used in conducting assessments? 	
	<ul style="list-style-type: none"> Are the objectives/criteria/LOIs (CRADs) based on the standards and criteria issued by the Director, Office of Emergency Operations? 	[DOE O 151.1C, X.2.]
	<ul style="list-style-type: none"> Is an assessment plan established before and forwarded to the Field Element prior to the assessment? 	
	<ul style="list-style-type: none"> How often are the site/facility emergency management program elements assessed? 	
	<ul style="list-style-type: none"> Is the assessment program part of ISM reviews? 	
	<ul style="list-style-type: none"> Have response elements been evaluated as part of the assessment? 	
	<ul style="list-style-type: none"> Does the assessment also include observation/evaluation of a drill/exercise? 	

7. READINESS ASSURANCE (PROGRAM OFFICE)		
	<ul style="list-style-type: none"> Is there a procedure for how assessments are to be completed? 	
	<ul style="list-style-type: none"> Does Quality Assurance have any input for assessments? 	
	<ul style="list-style-type: none"> Do the assessments include good practices and/or recommendations? 	
	<ul style="list-style-type: none"> Are there records of the assessment? 	(DOE G 151.1-3, D.3.4, P5.4)
	<ul style="list-style-type: none"> Are assessment done for just the Field Element program? 	
	<ul style="list-style-type: none"> Are assessment done "for cause" of the site/facility emergency management program? 	
Criterion		
7.2.2.	Written reports have been completed for assessments/exercise evaluations conducted.	(DOE G 151.1-3, D.3.4., P5.6)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the Program Office issued a report on the observations of the Program Office assessment of the Field Element? 	
	<ul style="list-style-type: none"> Who in the Program Office reviewed the report prior to issuance? 	
	<ul style="list-style-type: none"> Did the Field Element have the opportunity to comment on the assessment? Who? 	
	<ul style="list-style-type: none"> Is there documentation of how Field Element comments were resolved? 	
	<ul style="list-style-type: none"> Who in the Program Office signed the report? 	
	<ul style="list-style-type: none"> Were findings in the report included in the annual ERAP? 	
Criterion		
7.2.3.	The Program Office has reviewed Field Element self-assessment programs to ensure compliance with DOE directives and policy.	[DOE O 151.1C, X.2.a], (DOE G 151.1-3, D.3.4., P5.4)
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the Program Office receive a copy of the Field Element self-assessments? 	
	<ul style="list-style-type: none"> Does the Program Office review the Field Element self-assessments? 	
	<ul style="list-style-type: none"> Is there a set of criteria or a procedure used to review the self-assessments? 	
	<ul style="list-style-type: none"> Who at the Program Office conducts the review? 	
	<ul style="list-style-type: none"> What does the Program Office do with the information gleaned from these self-assessments? 	
	<ul style="list-style-type: none"> Have these self-assessments been useful to the Program Office in providing oversight of the Field Element? 	
	<ul style="list-style-type: none"> Is there any documentation of the review of these self-assessments? 	
APPROACH		
Document/Record Review		

7. READINESS ASSURANCE (PROGRAM OFFICE)		
	<ul style="list-style-type: none"> Program Office plan(s) and procedures related to performing assessments and process for reviewing contractor self- assessments. 	
	<ul style="list-style-type: none"> Schedule for readiness assurance activities including contractor schedule. 	
	<ul style="list-style-type: none"> Program Office CRADs used for the contractor assessment. 	
	<ul style="list-style-type: none"> Program Office reports on the contractor’s emergency management program. 	
	<ul style="list-style-type: none"> Exercise planning documents and records, including exercise findings. 	
	<ul style="list-style-type: none"> Program reviews, corrective actions, documents/Program Office reports/notes/correspondence on the contractor’s self-assessment reports. 	
Interview		
	<ul style="list-style-type: none"> Individual with responsibility for the readiness assurance program 	
	<ul style="list-style-type: none"> Individual with responsibility for performing emergency management assessments of the contractor. 	
Observation		
	Not applicable.	
OBJECTIVE		
7.3.	Ensure that appropriate and timely improvements are made in response to needs identified through coordinated emergency planning, resource allocation, program assistance activities, evaluations, training, drills, and exercises.	[DOE O 151.1C, X.1.b]
Criterion		
7.3.1.	The Program Office has a process in place to monitor corrective actions through completion/closure. (As required by DOE O 414).	(DOE G 151.1-3, D.3.4, P5.16)
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there a formal process (such as a tracking system) in place to monitor corrective actions of the Field Element/sites/facilities under their purview through completion/closure? 	
	<ul style="list-style-type: none"> Which types of oversight activities corrective actions are monitored? 	
	<ul style="list-style-type: none"> Does the Program Office have its own corrective action tracking system? 	
	<ul style="list-style-type: none"> Does the Program Office use the Field Element/site/facility corrective action tracking system? 	
Criterion		
7.3.2.	The Program Office monitors the Field Element to ensure that lessons learned are submitted to the DOE/NNSA Corporate Lessons Learned Program.	[DOE O 151.1C, X.3.c]
Lines of Inquiry		
	<ul style="list-style-type: none"> Is the DOE/NNSA Corporate Lessons Learned Program used at the Field Elements/site/facilities under their Program Office’s purview? 	
	<ul style="list-style-type: none"> How does the Program Office ensure that the lessons learned system is used? 	

7. READINESS ASSURANCE (PROGRAM OFFICE)		
	<ul style="list-style-type: none"> How does the Program Office ensure that lessons learned from training, drills, assessments and actual responses being incorporated into the Field Element site/facility contractor emergency management program? 	
Criterion		
7.3.3.	The Program Office participates in the DOE/NNSA Corporate Lessons Learned Program.	[DOE O 151.1C, X.3.c]
Lines of Inquiry		
	<ul style="list-style-type: none"> Does the Program Office participate in the DOE/NNSA Corporate Lessons Learned Program? 	
	<ul style="list-style-type: none"> How does the Program Office participate? 	
Criterion		
7.3.4.	The Program Office has ensured that resources (e.g., Federal, contractor, consultants) are available to implement DOE O 151.1C for contractor facilities and activities under its cognizance.	[DOE O 151.1C, X.1.b.]
Lines of Inquiry		
	<ul style="list-style-type: none"> How does Program Office ensure that the Field Element has the resources needed to implement DOE O 151.1C? 	
	<ul style="list-style-type: none"> Does the Program Office promote improvements in the emergency management program? How? 	(DOE G 151.1-3, D.3.4, P5.19)
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Program Office/Site/facility emergency plan(s) and procedures related developing, implementing, tracking and closing corrective actions. 	
	<ul style="list-style-type: none"> Program Office corrective action process if it not the same system as the Field Element/contractor. 	
	<ul style="list-style-type: none"> ERAP and documentation of program reviews, corrective actions, and documents that track findings and corrective actions, including a process to verify and validate results. 	
	<ul style="list-style-type: none"> Procedures related to lessons learned. 	
	<ul style="list-style-type: none"> Documentation for the incorporation of lessons learned. 	
	<ul style="list-style-type: none"> Review several assessments and exercise evaluations reports to determine findings and compare to corrective action plans to determine if a causal analysis has been done and if the corrective actions address the finding. 	
Interview		
	<ul style="list-style-type: none"> Individual with responsibility for the readiness assurance program. 	
	<ul style="list-style-type: none"> Individual with responsibility for the lessons learned program as it applies to the emergency management program. 	
	<ul style="list-style-type: none"> Individual with responsibility for the site-wide lessons learned program. 	
Observation		

7. READINESS ASSURANCE (PROGRAM OFFICE)		
	Not applicable.	
OBJECTIVE		
7.4.	Review Emergency Readiness Assurance Plans (ERAPs) submitted to the Program Office and the Director, Office of Emergency Operations (NA-40), for inclusion in the annual report on the status of the Emergency Management System.	[DOE O 151.1C, I.9.h.]
Criterion		
7.4.1.	Field Elements submit ERAP(s) to the Program Office on time (November 30 th).	[DOE O 151.1C, X.4.c.]
Lines of Inquiry		
	<ul style="list-style-type: none"> Is there a process/procedure exists for writing the ERAP? 	(DOE G 151.1-3, D.3.1, P2.23)
	<ul style="list-style-type: none"> Has the Program Office issued guidance (template) to the Field Elements regarding the ERAP? 	
	<ul style="list-style-type: none"> Did the Field Elements submit an ERAP to the Program Office utilizing a template. 	
	<ul style="list-style-type: none"> The template is based on guidance from NA-40 and the Program Office? 	
	<ul style="list-style-type: none"> Was the site/facility contractor ERAP submitted to the Field Element on a timely basis (by September 30)? 	
	<ul style="list-style-type: none"> Was the Field Element contractor ERAP submitted to the Program Office on a timely basis (by November 30)? 	
	<ul style="list-style-type: none"> In keeping with 31 U.S.C. 1115 and 1116, does this report identify what the goals were for the fiscal year that ended coincident with the due date for the report (September 30)? 	[DOE O 151.1C, X.4.a.] (DOE G 151.1-3, DO.3.1, P5.21)
	<ul style="list-style-type: none"> Does the report identify the goals for next fiscal year (which starts on October 1)? 	[DOE O 151.1C, X.4.a.] (DOE G 151.1-3, DO.3.1, P5.21)
	<ul style="list-style-type: none"> Does the report highlight program status, including significant changes in emergency management programs (i.e., planning basis, organization, facility mission, exemptions)? 	(DOE G 151.1-3, DO.3.1, P5.20)
	<ul style="list-style-type: none"> Does the ERAP document evaluation of results and the status of associated corrective actions, including site/facility self-assessments and performance measures? 	(DOE G 151.1-3, DO.3.1, P5.22)
	<ul style="list-style-type: none"> 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? 	(DOE G 151.1-3, DO.3.1, P5.23)
Criterion		

7. READINESS ASSURANCE (PROGRAM OFFICE)		
7.4.2.	The Program Office reviews the ERAP(s) covering facilities under its supervision.	[DOE O 151.1C, X.4.c] (DOE G 151.1-3, D.3.1, P2.5)
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the Program Office reviewed the Field Element/site/facility ERAPs under their purview? 	
	<ul style="list-style-type: none"> Did the Program Office have any comments/revisions to the Field Element/site/facility ERAPs? 	
	<ul style="list-style-type: none"> Are the comments documented? 	
	<ul style="list-style-type: none"> Is a procedure/checklist used to review the ERAP? 	
	<ul style="list-style-type: none"> Have the Field Element/site/facility ERAPs been reviewed in a timely manner? 	
	<ul style="list-style-type: none"> Did the Field Element address the Program Office comments? 	
	<ul style="list-style-type: none"> Were from the Field Element signed the ERAP? By whom? 	
Criterion		
7.4.3.	The Program Office submits an ERAP/input summarizing its programs and its facility and activity submissions, to the Director, Office of Emergency Operations each year for inclusion in the annual status report.	[DOE O 151.1C, X.4.c.(2)]
Lines of Inquiry		
	<ul style="list-style-type: none"> Has the Program Office prepared an ERAP (or input for the annual status report) for the Program Office? 	
	<ul style="list-style-type: none"> Does the report identify what the goals were for the fiscal year that just ended (on September 30)? 	[DOE O 151.1C, X.4.b.]
	<ul style="list-style-type: none"> Does the report indicate to what degree these goals were accomplished? 	[DOE O 151.1C, X.4.b.]
	<ul style="list-style-type: none"> Does the Program Office have a process in place to track and collect the Program Office emergency management activities (throughout the year) to be included in the annual consolidated ERAP? 	(DOE G 151.1-3, D3.4, P5.20)
	<ul style="list-style-type: none"> Does the ERAP/input include information from the Field Elements/site/facility contractors under their purview? 	
	<ul style="list-style-type: none"> Who signs the Program Office's ERAP/input? 	
	<ul style="list-style-type: none"> Has the Program Offices ERAP/input been timely? 	
APPROACH		
Document/Record Review		
	<ul style="list-style-type: none"> Program Office program plan and/or procedures related to developing and approving ERAPs. 	
	<ul style="list-style-type: none"> ERAPs/Program Office input to NA-40 for the past 3 years. 	
	<ul style="list-style-type: none"> Schedule for readiness assurance activities. 	
Interview		
	<ul style="list-style-type: none"> Individual with responsibility for the readiness assurance program. 	

7. READINESS ASSURANCE (PROGRAM OFFICE)		
	<ul style="list-style-type: none">Individual with responsibility for developing/reviewing ERAPs.	
Observation		
	Not applicable.	

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