

Center (NARAC), Radiation Emergency Assistance Center/Training Site (REAC/TS), and Radiological Assistance Program (RAP).

- P4.5 At a minimum, building evacuation exercises are conducted annually consistent with 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.
- P4.6 Communications with DOE Headquarters (HQ), the Cognizant Field Element, and offsite agencies are tested at least annually or as often as needed to ensure that communications systems are operational.
- P4.7 Failed objectives of an exercise (i.e., “Deficiencies”), as determined by a DOE or NNSA organization responsible for evaluating the exercise, are re-evaluated during a drill or through a selected functional test within a fixed time period following the exercise.
- P4.8 Corrective actions and lessons-learned identified as a result of facility- and site-level exercise evaluation findings are addressed by the emergency management program.
- a. Completion of corrective actions for facility and site exercises 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;
  - b. The verification and validation process is independent of those who performed the corrective action; and
  - c. Corrective actions involving revision of procedures or training of personnel are completed before the next exercise.

### **Exercise Planning**

- CE4.1 Exercise planning is effectively coordinated among onsite and offsite organizations or groups regarding their respective participation and exercise objectives. Any limitations or simulations regarding their participation are identified and documented.
- CE4.2 An exercise is fully documented by an Exercise Plan (EXPLAN) that includes: specific exercise objectives, scope, scenario, participants, simulations, time lines, injects (i.e., messages), technical data, safety and security provisions, controller instructions, and evaluation criteria.
- CE4.3 The EXPLAN is 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.

- CE4.4 The EXPLAN contains sufficient information for effective conduct, control and evaluation of the exercise.
- a. The roles, responsibilities, and interfaces among exercise participants (i.e., players/responders, controllers, evaluators, and observers) are clearly addressed;
  - b. The provisions for exercise conduct and control are clearly identified; and
  - c. The provisions for exercise evaluation are clearly identified.
- CE4.5 Specific exercise objectives provide the basis for evaluating/validating the performance of response capabilities by each participating organization.
- CE4.6 The scenario is consistent with the set of exercise objectives and explicitly supports an evaluation/validation of each objective.
- CE4.7 The exercise evaluation criteria used are facility/site- or activity-specific, based on existing plans and procedures, and correlate with the exercise objectives.
- CE4.8 The scenario reflects current facility/site- or activity-specific hazards, correlates technically with the EPHA, and is technically accurate in terms of operations and radiological, chemical, biological, and meteorological data.
- CE4.9 The technical data that supports the scenario (e.g., operational, radiological, chemical, biological, medical, meteorological) is technically accurate and clearly and unambiguously presented.
- CE4.10 Simulations and limitations pertaining to participants and exercise activities are clearly identified and documented.
- CE4.11 Injects/messages contain accurate, unambiguous, and non-prompting information and technical data for the players/responders and provide proper direction for the exercise.
- CE4.12 Provisions for safety, security, and public/media interface are clearly identified and documented.

#### **Exercise Preparation**

- CE4.13 Coordination among participants includes provisions for exercise initiation, interruption, and termination.
- CE4.14 Controllers and Evaluators are provided generic and exercise-specific training.
- CE4.15 Controllers and Evaluators are provided with training on the scenario package, and safety and security/safeguards provisions.

CE4.16 Preparations, including participant briefings, safety provisions, staging of simulation props, positioning of controllers/evaluators, and establishing of initial conditions, are completed prior to exercise initiation.

CE4.17 Security of the exercise scenario is properly managed; pre-staging of players and/or prior knowledge of scenario material by players are effectively prevented.

#### **Exercise Conduct/Control**

CE4.18 Controller organization(s) are adequately staffed and positioned for effective exercise conduct/control.

CE4.19 Controllers conduct/control the exercise in accordance with the EXPLAN.

CE4.20 Controllers permit free play when free play would not interfere with the scenario.

CE4.21 Controllers prevent interference and/or prompting by non-responders.

CE4.22 The simulation of activities is sufficiently realistic to provide confidence that the activity could have been performed during a real emergency.

CE4.23 Players/responders perform their respective functions, initially and throughout the exercise, in a professional manner as if the situation were an actual emergency.

#### **Exercise Evaluation**

CE4.24 The evaluator organization is sufficiently staffed to evaluate the performance and key decision-making of the responders in satisfying the exercise objectives.

CE4.25 Evaluators display familiarity with responder organizations, functions, procedures, and anticipated responder decisions and response activities.

CE4.26 Responders/players are 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.

CE4.27 Facilities and equipment are evaluated with respect to adequacy of functions/operability.

CE4.28 Procedures are evaluated with respect to their use by the responders, specifically, their adequacy of content for the tasks performed.

CE4.29 Notifications and communications are evaluated during every exercise.

### **Exercise Critique**

CE4.30 Controllers conduct a post-exercise critique(s) to gather and document observations and solicit feedback from the players/responders.

CE4.31 A formal critique process is 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.

### **Documentation**

CE4.32 An After Action Report (AAR) documents the results of the exercise critique and evaluation.

## **D.3.4 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.

### ***Evaluation Criteria:***

#### **General**

P5.1 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]

#### **Evaluation Program**

P5.2 An evaluation program assures that emergency plans, implementing procedures, and resources are adequate and sufficiently maintained, exercised, and evaluated (including evaluations and assessments).

P5.3 Evaluations, including program evaluations and exercise evaluations, are based on a consistent set of performance-based evaluation criteria, issued by the Associate Administrator, Office of Emergency Operations [see DOE G 151.1-3, Chapter 4, Appendix D].