M-32

RECORDS MANAGEMENT DEPARTMENT

TO: J. PARROTT --- NRC HEADQUARTERS

FROM: D.L. HORTON AOC-21 TEL: 716 942-4300

DATE: 05/28/99

PAGE: 1

TRANSMITTAL NUM: 000013642

CONTROLLED COPY TRANSMITTAL / RECEIPT ACKNOWLEDGEMENT

Attached is a CONTROLLED COPY of the following document(s) and its applicable index. Add or replace your existing copy with the attached.

CONTROLLED COPY#	PROC ID	REV#	FC#	ISSUE DATE	PROCEDURE TITLE
136	EMAP-206	0		05/28/99	EMAP-EMERGENCY MANAGEMENT DEPARTMENT INTERNAL SELF-ASSESSMENT PROGRAM

0/1

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1100.8

Copies made from a controlled document MUST be marked UNCONTROLLED before distribution. Signature below signifies all previous revisions, if applicable, have been destroyed or marked superseded.

I have complied with the above instructions:

Original signed by:

Jack D. Parrott 6/7/99

Signature (BLACK INDELIBLE INK ONLY) Date

RETURN BY: 06/11/99

FOR YOUR CONVENIENCE, A SELF-ADDRESSED, STAMPED ENVELOPE HAS BEEN INCLUDED.

WVDP EMERGENCY MANAGEMENT ADMINISTRATIVE PROCEDURES

WVDP-139 VOL II

INDEX

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EMAP-201	0		ADMINISTRATION OF THE EMERGENCY MANAGEMENT PROGRAM	ACTIVE	09/29/95	LOFTON,M,.
EMAP-201	0	1	ADMINISTRATION OF THE EMERGENCY MANAGEMENT PROGRAM	ACTIVE	05/21/97	LOFTON,M,.
EMAP-201	0	2	ADMINISTRATION OF THE EMERGENCY MANAGEMENT PROGRAM	ACTIVE	10/07/98	LOFTON,M,.
EMAP-202	2		TRAINING OF THE EMERGENCY RESPONSE ORGANIZATION (ERO)	ACTIVE	06/10/98	LOFTON,M,.
EMAP-203	2		EMERGENCY PREPAREDNESS DRILLS AND EXERCISES	ACTIVE	11/30/98	LOFTON,M,.
EMAP-203	2	1	EMERGENCY PREPAREDNESS DRILLS AND EXERCISES	ACTIVE	12/10/98	LOFTON,M,.
EMAP-204	2		FACILITIES AND EQUIPMENT	ACTIVE	05/21/97	LOFTON,M,.
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EMAP-206	0		EMAP-EMERGENCY MANAGEMENT DEPARTMENT INTERNAL SELF-ASSESSMENT PROGRAM	ACTIVE	05/28/99	LOFTON,M,.

EMAP-Emergency Management Department Internal Self-Assessment Program

1.0 PURPOSE

The purpose of this procedure is to establish an internal Self-Assessment program for those functional area elements under the responsibility of the Emergency Management(EM) Department at the West Valley Demonstration Project (WVDP).

2.0 SCOPE

This procedure outlines the methods and frequencies for self-assessment for complying with regulatory and Department of Energy (DOE) contractual obligations by the EM Department at WVDP. The self-assessment program includes: functional area element compliance, inspections, review of documents, policies, and procedures, observed evolutions, and EM training program assessment. The following are the functional areas of inquiry:

2.1 Emergency Response Organization

2.2 Offsite Response Interfaces

2.3 Emergency Categorization and Classification

2.4 Notifications and Communications

2.5 Consequence Assessment

2.6 Protective Actions and Re-entry

2.7 Medical Support

2.8 Public Information

2.9 Emergency Facilities and Equipment

2.10 Training and Drills

2.11 Exercises

2.12 Program Administration

2.13 Termination and Recovery

3.0 REQUIREMENTS AND REFERENCES

3.1 Requirements

3.1.1 DOE Order 151.1 Chg.2, "Comprehensive Emergency Management System," August 21, 1996.

3.1.2 DOE Order 231.1, "Environment, Safety and Health Reporting"

3.1.3 DOE Order 5480.19, "Conduct of Operations Requirements for DOE Facilities"

3.1.4 DOE Order 5480.20A, "Personnel Selection, Qualification, and Training Requirements for DOE Nuclear Facilities"

3.1.5 DOE Order 5700.6C, "Quality Assurance"

3.2 References

3.2.1 WV-101, "Open Items Control System"

3.2.2 WV-101, "External and Internal Open Items"

3.2.3 WV-121, "Self-Assessment Program"

3.2.4 WV-139, "WVDP Emergency Management Administrative Procedures"

3.2.5 WVDP-257, "Manual for the Preparation, Review, Approval, Distribution, and Revision of Controlled Documents"

3.2.6 WVDP-262, "WVNS Manual for Records Management and Storage"

3.2.7 WVDP-022, "WVDP Emergency Plan"

3.2.8 DOE G 151.1-1, Emergency Management System Guide

4.0 DEFINITIONS

4.1 **Assessment** - Any planned and formally documented evaluation (verification) of West Valley Nuclear Services (WVNS) activities performed to demonstrate compliance with applicable DOE Orders, Laws, Regulations, Standards, and best management practices. Assessments include, but are not limited to, audits, appraisals, observed evolutions, review and inspections.

4.2 **Assessor** - a person who conducts assessments and who is technically qualified and knowledgeable in the areas assessed.

4.3 **Compliance Evaluation** (CE) - a process, activity, or program review to determine if requirements imposed by DOE Orders, Manuals, Standards, WVNS Policies, and/or WVNS Procedures are adequately implemented.

4.4 **Condition** - any as-found state, whether or not resulting from an event, which may have adverse safety, health, quality assurance, security, operational or environmental implications. A condition is more programmatic in nature, for example, an error in analysis or calculation; an anomaly associated with design or performance; or, an item indicating a weakness in the management process are all conditions.

4.5 **Corrective Action** - action taken to prevent recurrence of an identified adverse condition or trend.

4.6 **EM Assessment Coordinator** - person assigned responsibility for coordination of the EM self-assessment program.

4.7 **Evaluation Package** - The performance objectives, criteria, lines of inquiry, and any other non-readily retrievable objective evidence gathered during the performance of the assessment.

4.8 **Functional Area** - A topical area essential to the life cycle phase(s) of design, construction, operation, and decommissioning of a facility.

4.9 **Functional Area Element** - a sub-category of functional area. The EM organization has identified 13 functional area elements.

4.10 **Independent Internal Assessment** - an internal evaluation conducted and/or coordinated by WVNS Quality Assurance Department and/or other qualified personnel having no direct responsibility for performance of the activity being assessed.

4.11 **Line Organization** - a WVNS department that performs operations or support functions and that reports directly to Staff Management or to managers who report directly to Staff Management.

4.12 **Line-Organization Self-Assessment** - a form of review conducted by or for management which evaluates line organizational performance. This assessment focuses on items and service quality, procedure compliance, day-to-day activities, promotes continuous improvement, and reports results to management having the authority to effect corrective action.

4.13 **Assessment Lines of Inquiry (LOI)** - a series of questions; the answers to which establish compliance to, or performance with, a requirement and its performance objectives and criteria.

4.14 **Management Assessment** - a form of review, evaluation, inspection, investigation etc., where WVNS managers assess their management processes to determine how well their management system meets customer requirements and expectations.

4.15 **Management Observation** - informally documented observation of an operation or activity reflecting operational performance at a specific location during a specific time conducted by management.

4.16 **Noncompliance** - failure to perform, or perform as delineated, qualitative activities prescribed within policies, procedures, or instructions.

4.17 **Observed Evolution** - an operation, activity review, etc., that is observed by one or more assessors.

4.18 **Performance Objectives and Criteria** - statements of performance, purpose, or conditions identified in documents derived from DOE directives, standards and procedures for performing work along with more specific actions or requirements that must or should be met to achieve those objectives.

4.19 **Safety Analysis and Integration (SA&I)** - the WVNS Department responsible for the WVDP Self-Assessment Program.

5.0 RESPONSIBILITIES

5.1 **EM (EM) Manager or designee**, - is responsible for:

5.1.1 Identifying necessary assessments and frequencies to ensure compliance with regulatory and DOE contractual requirements by having all functional area elements assessed over a three-year period per DOE O 151.1, and implementing the required corrective action process.

5.1.2 Developing an annual assessment schedule.

5.1.3 Providing strategic direction and evaluate progress of the assessment program by identifying participating personnel, reviewing/approving assessment program documentation, ensuring corrective actions are appropriately managed, and identifying any areas to be monitored.

5.1.4 Ensuring qualified assessors are assigned for assessments.

5.1.5 Reviewing all assessment results and assigning corrective actions, if necessary.

5.1.6 Ensuring required corrective actions are tracked in accordance with WV-101, "External and Internal Open Items".

5.2 **Functional Area Element Experts** - EM personnel/staff responsible for one (or more) of the functional area elements and who:

5.2.1 Ensure evaluation packages support the performance objectives and criteria and LOIs.

5.2.2 Assess their functional area element and evaluate and document observations.

5.2.3 Summarize results and submit the assessment report to the EM Manager.

5.3 **Assessment Coordinator** - is the EM individual responsible for:

5.3.1 Development, implementation, maintenance, and coordination of the EM Self-Assessment Program.

5.3.2 Establishing the self-assessments schedule for functional area element compliance, inspections, observed evolutions, and review schedule for procedures and documents, and obtaining the EM Manager's approval/concurrence.

5.3.3 Communicating the results of self-assessments to department management and to the SA&I department for trending per WV-121.

5.3.4 Providing an annual internal readiness assurance assessment report for use in development of the WVNS Emergency Readiness Assurance Plan (ERAP).

5.3.5 Maintaining the completed evaluation packages in accordance with WV-121, "Self-Assessment Program" requirements.

6.0 GENERAL

6.1 All controlled EM policies, procedures, and documents shall be reviewed annually. (WVDP controlled documents are reviewed on a three year review cycle per WVDP-257, "Manual for the Preparation, Review, Approval, Distribution, and Revision of Controlled Documents"). Evaluations of work practices for compliance to the documents under the responsibility of EM shall be performed by EM personnel concurrently with the procedure/document review process.

6.2 The EM Training program shall be reviewed annually. Evaluations of work practices shall be performed by EM Department personnel.

6.3 EM functional area elements are to be assessed in accordance with DOE Order 151.1 on a revolving basis over a three year period. Functional area elements of compliance, internal reviews, inspections, observed evolutions, and self-assessment results shall be submitted to the SA&I Department as required by WV-121 and corrective actions tracked through the Open Items Tracking System (OITS)per WV-101.

7.0 PROCEDURE

7.1 Planning and Scheduling of Self-Assessments

7.1.1 An internal review of EM procedures and documents that are under the responsibility of EM will be completed annually. At the beginning of each calendar year, the EM Assessment Coordinator shall establish a review schedule based upon review requirements, obtain the EM Manager's approval of the schedule, and forward the list of those procedures which are to be reviewed to each assessor.

7.1.2 A review schedule for the EM training program shall be established by the EM Manager, and forwarded to each responsible person (assessor) annually.

7.1.3 An EM Department Functional Area Element review for ensuring compliance with DOE requirements and documents pertaining to responsibilities of the EM Department will be performed on a revolving three year basis. Assessments of Functional Area Elements as listed in Section 2.0 will be performed using Performance Objectives and Criteria, and LOIs.

A. A schedule of the EM Department Functional Area Element review will be established by the EM Assessment Coordinator, approved by the EM Manager, and forwarded to EM assessment personnel on an annual basis.

B. The compliance self-assessment results and corrective actions will be tracked utilizing OTIS through WV-101 and trending analysis conducted in accordance with WV-121.

7.2 Review of Procedures and Documents (Manuals)

7.2.1 The schedule for controlled EM policy and procedures, documents, and manuals under the responsibility of EM will be reviewed and issued per steps 7.1.1 and 7.1.2.

7.2.2 When indicated on the annual schedule, assigned individuals with a team of subject matter experts, shall conduct a review of the procedures, documents, and manuals.

7.2.3 An EM Document Review Form (Attachment A) shall be used in reviewing each document or manual.

7.2.4 An EM Procedure Review Form (Attachment B) shall be used to document each procedure review.

7.2.5 The reviewer shall complete the appropriate forms for the documents and procedures reviewed.

7.2.6 Reviewers shall submit completed forms to the EM Manager for review and assignment of any corrective actions.

7.3 **EM Functional Area Element Reviews and Compliance Self-Assessment**

7.3.1 The EM Assessment Coordinator shall establish a schedule for assessment of functional area elements, and with approval by the EM Manager, issue the schedule to the EM Department. A copy shall be transmitted to the SA&I Department.

7.3.2 The schedule for functional area element reviews will be issued per step 7.1.3. The person assigned to assess a functional area element shall obtain appropriate guidance in assessment techniques before starting the assessment.

7.3.3 The EM Assessment Coordinator shall prepare and issue the evaluation package, including Functional Area Element Review Forms (Attachments D-1, through D-13, as needed) to the assessor in accordance with WV-121.

7.3.4 The designated assessor shall complete a Functional Area Element Review Form for each functional element reviewed, noting any discussion items in the comments section.

7.3.5 The assessor shall submit the form to the EM Manager for review and assignment of any corrective actions.

7.3.6 The Emergency Manager, along with assessors from each functional area will evaluate overall compliance based on the Functional Area Review(s) and will complete the Functional Element Compliance Form (Attachment C).

7.4 **EM Observation (Observed Evolutions)**

7.4.1 Observed evolutions for EM will consist of direct observation and evaluation of drills and exercises by EM personnel, and exercise evaluation reports developed by independent evaluators.

7.4.2 The Assessment Coordinator shall establish a schedule for observed evolutions based on the EM schedule of drills and exercises, obtain approval by the EM Manager, and issue the schedule to the EM Department. A copy shall be transmitted to the SA&I Department.

7.4.3 EM personnel shall perform observed evolutions in accordance with the approved schedule and per Observed Evolutions LOI Forms developed for specific drills and exercises. (These will be developed in advance of specific drills and exercises for which they will be used).

7.4.4 Personnel shall submit the Observed Evolution LOI forms to the EM Manager for review and assignment of any corrective actions.

7.5 EM Training Program Assessment

7.5.1 Annually, the EM Manager shall designate an evaluator or evaluators to perform an assessment of the EM Training Program. The annual assessment shall include:

A. Review of required training for ERO members and status of individual compliance with required training, using the Training Records Management System (TRMS) database.

B. Verification of ERO members participation in drills and exercises using attendance records for TRMS (Form WV-1303).

C. Observation and evaluation of training using the EM Training Program Review Form (Attachment E).

7.5.2 The evaluator(s)shall submit completed observations and evaluations to the EM Manager for review and assignment of any corrective actions.

7.6 Management Assessment of Findings and Observations

7.6.1 All forms generated by this assessment shall be submitted to the EM Manager for review of findings and assignment of any corrective actions.

7.6.2 All assessment forms shall be reviewed and approved by signature of the EM Manager.

7.6.3 The EM Manager (or designee) shall ensure that the corrective actions are responded to as required by WV-121 and the action items are tracked in accordance with WV-101, "External and Internal Open Items".

7.6.4 Copies of the completed assessment form(s) shall be placed in the EM Department Review file, a copy issued to SA&I, and the original transferred to Records Management per WVDP-262.

7.6.5 The Emergency Manager shall analyze findings for indications of programmatic/performance deficiencies or noncompliance as follows:

A. If the trend indicates a deficiency or noncompliance, a decision shall be made if a root cause determination is necessary.

1. If a root cause determination is necessary, a root cause analysis shall be performed to determine if a formal management assessment needs to be performed to evaluate for programmatic and/or performance deficiencies or noncompliance. If a formal management assessment is required, a self-assessment shall be performed in the functional area element where the noncompliance or deficiency was found, in accordance with this procedure.

2. If a root cause determination is not required, management will evaluate the trend to determine if corrective actions(s) is necessary and if so, assigns any applicable corrective actions.

B. If the trend does not indicate a deficiency or noncompliance, management shall evaluate the need for further observations and take appropriate actions.

8.0 RECORDS MAINTENANCE

8.1 Records generated as a result of implementing this procedure are identified as follows:

8.1.1 WVDP EM Document Review Form (Form number to be assigned when draft is approved.)

8.1.2 WVDP EM Procedural Review Form (Form number to be assigned when draft is approved.)

8.1.3 WVDP EM Functional Area Elements Compliance Form (Form number to be assigned when draft is approved.)

8.1.4 WVDP EM Program Functional Area Element Review Forms (Form numbers to be assigned when draft is approved):

A. Emergency Response Organization

B. Offsite Response Interfaces

C. Emergency Categorization and Classification

D. Notifications and Communications

E. Consequence Assessment

F. Protective Actions and Re-entry

G. Medical Support

H. Public Information

I. Emergency Facilities and Equipment

J. Training and Drills

K. Exercises

L. Program Administration

M. Termination and Recovery

8.1.5 WVDP Emergency Management Training Program Review Form (Form number to be assigned when draft is approved.)

8.1.6 WVDP Emergency Management Assessment Corrective Actions Open Items Transmittal Form (Form number to be assigned when draft is approved.)

8.2 Records are identified on the Emergency Management Records Inventory and Disposition Schedule (RIDS).

8.3 Records shall be prepared, maintained, and transferred to Records Management for storage in accordance with WVDP-262, "WVNS Manual for Records management and Storage."

9.0 ATTACHMENTS

All Attachments are the latest revision unless otherwise stated.

Attachment A - WVDP Emergency Management Document Review Form, (Draft Attachment A)(Form number to be assigned when draft is approved.)

Attachment B - WVDP Emergency Management Procedure Review Form (Draft Attachment B)(Form number to be assigned when draft is approved.)

Attachment C - WVDP Emergency Management Functional Area Element Compliance - Facility Assessment Form, (Draft Attachment C)(Form number to be assigned when draft is approved.)

Attachment D - WVDP EM Program Functional Area Element Review Forms (Draft Attachment D, 1-13)(Form numbers to be assigned when draft is approved.)

Attachment E - WVDP Emergency Management Training Program Observation and Evaluation Form (Draft Attachment E)(Form number to be assigned when draft is approved.)

Attachment F - WVDP Emergency Management Assessment Corrective Actions Open Items Transmittal Form (To be developed; form number to be assigned when draft is approved.)

WVDP Emergency Management Self-Assessment
Document Review Form

Procedure Number:_____ Revision Number_____
Title:_____ Sections:_____
Reviewers:_____Date:_____ Report No._____

Original:
Copies:

DIRECTIONS:
1. Check the box that best represents the rating of your review.
2. Provide additional comments for any items that need explanation on the back of this form.
3. If corrective actions are identified, complete the Action Items Identified section on the back of this form.

TECHNICAL CONTENT	Yes	No	N/A	Comments
1. The document meets applicable DOE Orders and other regulatory standards listed in Attachment N.				
2. The document complies with applicable industry standards listed in Attachment N.				
3. The prerequisites (general requirements, references, approvals, etc.) are adequate.				
4. Attachments are adequate and appropriate.				
5. The document addresses the responsibilities of functional area departments that interface with Emergency Management.				
6. Source requirements are correctly referenced in the body of the document (e.g., requirement A=reference for A).				
EDITORIAL				
1. The document is formatted to WV-100 and WVDP-257 requirements.				
2. Proper abbreviations and acronyms are used.				
3. The references are accurately noted and complete (e.g., reference A= Title, date, revision number, etc.).				
4. Document approval signatures are legible.				

Additional Comments/Summary of the Review

Action Items Identified

ITEM IDENTIFIED	ACTION TO BE TAKEN	PERSON RESPONSIBLE	COMPLETION DATE

Prepared by: _____ Date: _____
Reviewer's Name & Signature

Approved by: _____ Date: _____
Cognizant Manager's Name & Signature

WVDP
Emergency Management Self-Assessment
Procedure Review Form

Procedure Number:_____ Revision Number_____
Title:_____ Sections:_____
Reviewers:_____Date:_____ Report No._____

Original:
Copies:

DIRECTIONS:
1. Check the box that best represents the rating of your review.
2. Provide additional comments for any items that need explanation on the back of this form.
3. If corrective actions are identified, complete the Action Items Identified section on the back of this form.

TECHNICAL CONTENT	Yes	No	N/A	Comment No.
1. The procedure be performed as written.				
a. All necessary steps are present.				
b. Step sequence is correct.				
2. Prerequisites (training, equipment and supplies, general requirements, reference documents, approvals, notifications, etc.) are adequate and practical				
3. Cautions and warnings are adequate, placed appropriately, and free of actions.				
4. Notes are adequate, appropriate, and free from actions.				
5. "Go to" steps are accurate and easily understood.				
a. When directed to refer to another section or procedure, the direction was appropriate				
b. The correct section was referenced.				
6. Communications and coordination are adequate.				
a. the performance of steps by multiple personnel in different locations can be controlled and coordinated.				
b. The procedure provides for adequate communication and notifications.				
c. Procedural steps are structured to avoid duplication of effort.				
7. Where calculations are required, the procedure provides for collecting all necessary data.				

TECHNICAL CONTENT	Yes	No	N/A	Comment No.
8. Attachments are adequate and appropriate.				
9. The procedure addresses the responsibilities of all personnel involved.				
10. Instruments and equipment specified are adequate for the tasks.				
11. Authority documents are correctly referenced in the procedure (DOE Orders, 49 CFR 1910.120, etc.).				
EDITORIAL				
1. The document is formatted to WV-100 and WVDP-257 requirements.				
2. Proper abbreviations and acronyms are used.				
3. References are accurate and complete.				
4. Document approval signatures are legible.				

Additional Comments/Summary of the Review

_____
_____
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_____

Action Items Identified

ITEM IDENTIFIED	ACTION TO BE TAKEN	PERSON RESPONSIBLE	COMPLETION DATE

Prepared by: _____ **Date:** _____
Reviewer's Name & Signature

Approved by: _____ **Date:** _____
Cognizant Manager's Name and Signature

WVPD
Emergency Management Self Assessment
Functional Area Element Compliance Form

ASSESSOR: DATE:
FUNCTIONAL AREA: EMERGENCY MANAGEMENT

REPORT #:
PERSONNEL CONTACTED:

Subject/Activity Requirements/References	Evidence Examined/ Personnel Contacted	Observations/Comments	Comply Yes/No
A hazards survey (i.e., qualitative examination) shall be used to identify the conditions to be addressed by the comprehensive emergency management program. DOE O 151.1. Chapter III. 3. a.			
Hazards surveys shall be updated whenever operations warrant a change, but not less than every three years. DOE O 151.1. Chapter III. 3. a. (3).			
OPERATIONAL EMERGENCY BASE PROGRAM			
Emergency Response Organization. Assignment of an individual to manage and control all aspects of the site/facility response. DOE O 151.1. Chapter III. 3. c. (1).			
Offsite Response Interfaces. Coordination with State, Tribal, and local agencies and organizations responsible for offsite emergency response (e.g., "911" emergencies) and for protection of the health and safety of the public. DOE O 151.1. Chapter III. 3. c. (2).			
Emergency Categorization. Establishment of criteria for determining quickly if an event is an Operational Emergency. DOE O 151.1. Chapter III. 3. c. (3).			

Subject/Activity Requirements/References	Evidence Examined/ Personnel Contacted	Observations/Comments	Comply Yes/No
Communications. Prompt initial notification of workers, emergency response personnel, and response organizations, including DOE elements and State, Tribal, and local organizations; continuing effective communication among response organizations throughout an emergency. DOE O 151.1. Chapter III. 3. c. (4).			
Protective Actions. Evacuation or sheltering of 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 151.1. Chapter III. 3. c. (5).			
Medical Support. In accordance with DOE 5480.8A (or replacement directive), provision of medical treatment and planning for mass casualty situations. DOE O 151.1. Chapter III. 3. c. (6).			
Public Information. The Department shall provide accurate, candid, and timely information, consistent with the requirements of the Freedom of Information Act and the Privacy Act, to site workers and the public during all emergencies, so as to establish facts and avoid speculation. DOE O 151.1. Chapter IX. 1.			
Emergency Facilities and Equipment. Provision of 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 151.1. Chapter III. 3. c. (8).			

Subject/Activity Requirements/References	Evidence Examined/ Personnel Contacted	Observations/Comments	Comply Yes/No
Training and Drills. Initial training and periodic drills shall be provided to all workers who may be required to take protective actions (e.g., assembly, evacuation) when they are employed, when their expected actions change, or when the emergency plan changes. DOE O 151.1. Chapter III. 4. a. (1).			
Refresher training shall be provided 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 151.1. Chapter III. 4. a. (2).			
Emergency-related information and training on site-specific conditions and hazards shall be made available to off-site personnel who may be required to participate in response to an emergency a the DOE site/facility. DOE O 151.1. Chapter III. 4. a. (3).			
Exercises. At a minimum, each site/facility shall conduct building evacuation exercises consistent with Federal regulations [e.g., 41 CFR 101-20.105.1 (c)(1)], local ordinances, or National Fire Protection Association Standards. Exercises shall be conducted a soften as needed to ensure that employees are able to safely evacuate their work area. DOE O 151.1. Chapter III. 4. b. (1).			
For each site or facility, as applicable, the organization responsible for communications with DOE Headquarters, Operations/Field Offices, and offsite agencies, shall test communications systems at least annually or as often as needed to ensure that communications systems are operational. DOE O 151.1. Chapter III. 4. b. (2).			

Subject/Activity Requirements/References	Evidence Examined/ Personnel Contacted	Observations/Comments	Comply Yes/No
Response. Re-entry planning shall include contingency planning to ensure the safety of re-entry personnel, such as planning for the rescue of re-entry teams. All individuals involved in re-entry shall receive a hazards/safety briefing prior to emergency response activities consistent with Federal, State, and local laws and regulations. DOE O 151.1. Chapter III. 5. a. (1).			
Termination and Recovery. Recovery shall include notifications associated with termination of any emergency and establishment of criteria for resumption of normal operations. DOE O 151.1. Chapter III. 5. a. (2).			

Subject/Activity Requirements/References	Evidence Examined/ Personnel Contacted	Observations/Comments	Comply Yes/No
OPERATIONAL EMERGENCY HAZARDOUS MATERIAL PROGRAM			
Hazards Assessment. Depending on the findings of the Hazards survey, DOE sites/facilities may be required to establish and maintain a quantitative hazards assessment which will be used to define the provisions of the Operational Emergency Hazardous Material Program to ensure the program is commensurate with the hazards identified. Such hazards assessments are required if the hazards survey identifies hazardous materials in quantities exceeding the lower of the Threshold Quantities listed in 29 CFR 1910.119 or 40 CFR 68.130; Threshold Planning Quantities, listed in 40 CFR 355; or quantities listed in 10 CFR 30.72 for radionuclides.			
The hazards assessment shall be reviewed at least annually and updated prior to significant changes to the site/facility or hazardous material inventories. DOE 151.1 Chapter IV. 3. a.(2.).			
The hazards assessment shall include a determination of the size of the Emergency Planning Zone (EPZ). DOE 151.1 Chapter IV. 3. a.(3.)			
Emergency Response Organization. An Emergency Response Organization shall be established and maintained for each site/facility with overall responsibility for the initial and ongoing response to and mitigation of an emergency. DOE 151.1 Chapter IV. 3. b. (1).			
Offsite Response Interfaces. Coordination 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 151.1 Chapter IV. 3. b. (2).			
Emergency Classification. Provisions shall be established to categorize and classify emergency events. DOE 151.1 Chapter IV. 3. b. (3).			

Subject/Activity Requirements/References	Evidence Examined/ Personnel Contacted	Observations/Comments	Comply Yes/No
Hazardous materials emergencies involving DOE facilities shall be classified in accordance with Chapter V. DOE 151.1 Chapter IV. 3. b. (3) (a).			
Site/facility-specific Emergency Action Levels shall be developed for the spectrum of potential Operational Emergencies identified by the hazards assessment. DOE 151.1 Chapter IV .3. b. (3) (b).			
Communications. For Operational Emergencies, provisions shall be established for prompt initial notification of workers and emergency response personnel and organizations, including appropriate DOE elements and other Federal, State, Tribal, and local organizations. DOE 151.1. Chapter VIII. 2. a.			
Consequence Assessment. Provisions shall be established to adequately assess the potential or actual onsite and offsite consequences of an emergency. 151.1. Chapter IV. 3. (b.) (5.)			
Consequence assessments shall be: timely throughout the emergency; and be integrated with the event classification and protective action process; incorporate monitoring of specific indicators and field measurements; and be coordinated with Federal, State, local, and Tribal organizations. 151.1 Chapter IV. 3. B. (5) (a-d).			
Protective Actions. Protective actions shall be predetermined for onsite personnel and the public . DOE 151.1. Chapter IV. 3. b. (6).			

Subject/Activity Requirements/References	Evidence Examined/ Personnel Contacted	Observations/Comments	Comply Yes/No
Medical Support. Medical support shall be planned in accordance with DOE 5480.8A (or replacement directive) for workers contaminated by hazardous material. Medical support shall include documented arrangements with onsite and offsite medical facilities to accept and treat contaminated, injured personnel. DOE 151.1 Chapter IV. 3. B. (7).			
Public Information. The Department shall provide accurate, candid, and timely information, consistent with the requirements of the Freedom of Information Act and the Privacy Act, to site workers and the public during all emergencies, so as to establish facts and avoid speculation. DOE O 151.1. Chapter IX. 1.			
Each Operation/Field Office and site/facility shall prepare an Emergency Public Information Plan..... The plan shall provide the following: 1) Identification of personnel, resources, facilities, and coordination procedures necessary to provide emergency public information. 2) Training and exercises for Joint Information Center Personnel. 3) A methodology for informing workers and the public of DOE emergency plans and protective actions, before and during emergencies. 4) Coordination of public information efforts with State, local, and Tribal governments, and Federal emergency response plans, as appropriate. DOE O 151.1. Chapter IX. 2. d.			
Program Administration. Each manager/administrator of a DOE-or contractor-operated site/facility shall designate an individual to administer emergency management. DOE 151. Chapter XI.			

Subject/Activity Requirements/References	Evidence Examined/ Personnel Contacted	Observations/Comments	Comply Yes/No
Training and Drills. A coordinated program of training and drills for developing and/or maintaining specific emergency response capabilities shall be an integral part of the emergency management program. The program shall apply to emergency response personnel and organizations that the site/facility expects to respond to onsite emergencies. Emergency-related information shall be available to offsite response organizations. DOE O 151.1 Chapter IV. 4. a.			
Training. Both initial training and annual refresher training shall be provided for the instruction and qualification of all personnel (i.e., primary and alternate) comprising the emergency response organization. DOE O 151.1 Chapter IV. 4. a. (1).			
Drills. Drills shall provide "hands-on" training for members of emergency response organizations. DOE O 151.1 Chapter IV. 4. a. (2).			
Exercises. A formal exercise program shall be established to validate all elements of the emergency management program over a multi-year period. Each exercise shall have specific objectives and be fully documented (e.g., by scenario packages that include objectives, scope, timelines, injects, controller instructions, and evaluation criteria). DOE O 151.1 Chapter IV. 4. b.			
Exercises shall be evaluated. A critique process, which includes gathering and documenting observations of the participants, shall be established. DOE O 151.1 Chapter IV. 4. b.			
Corrective action items identified as a result of the critique process shall be incorporated into the emergency management program. DOE O 151.1 Chapter IV. 4. b.			

Subject/Activity Requirements/References	Evidence Examined/ Personnel Contacted	Observations/Comments	Comply Yes/No
Each DOE facility subject to this chapter shall exercise its emergency response capability annually and include at least facility-level evaluation and critique. Evaluations of annual facility exercises by Departmental entities (e.g., Field/Operations Office or Headquarters Office of Emergency Management) shall be performed periodically so that each facility has external Departmental evaluation at least every 3 years. DOE O 151.1 Chapter IV. 4. b. (1) (a).			
Site level emergency response organization elements and resources shall participate in a minimum of one exercise annually. This site exercise shall be designed to test and demonstrate the site's integrated emergency response capability. DOE O 151.1 Chapter IV. 4. b. (1) (b).			
Offsite response organizations shall be invited to participate in site-wide exercises at least once every three years. DOE O 151.1 Chapter IV. 4. b. (1) (c).			
Termination and Recovery. Pre-determined criteria for termination of emergencies shall be established/developed. DOE O 151.1 Chapter IV. 5. b. (1).			
The means shall exist for estimating exposure to hazardous materials (radiological and non-radiological) and for protecting workers and the general public from exposure during re-entry and recovery activities. DOE O 151.1 Chapter IV. 5. b. (2).			
Recovery procedures shall 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 151.1 Chapter IV. 5. b. (3).			

Additional Comments/Summary:

Action Items Identified

ITEM IDENTIFIED	ACTION TO BE TAKEN	PERSON RESPONSIBLE	COMPLETION DATE

Prepared by: _____ Date: _____
Reviewer

Approved by: _____ Date: _____
Emergency Management Manager (or designee)

FUNCTIONAL AREA ELEMENT REVIEW FORM

ELEMENT: EMERGENCY RESPONSE ORGANIZATION

ASSESSOR: _____ **DATE:** _____

PERSONNEL CONTACTED:

Directions:
1. Check the box that best represents the rating of your observation.
2. Provide additional comments for any items that need explanation on the back of this form.
3. If corrective actions are identified, complete the action Items Identified section on the back of this form.

An Emergency Response Organization shall be established and maintained for each site/facility with overall responsibility for the initial and ongoing response to and mitigation of an emergency. The ERO shall:
(a) establish effective control at the event/incident scene and
(b) integrate local agencies and organizations that provide onsite response services.

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Are WVDP ERO responsibilities clearly defined for the following functional areas: Emergency Classification Emergency Categorization Notifications Consequence Assessment radiological and environmental monitoring Protective Actions offsite recommendations personnel monitoring Response Fire suppression Search & Rescue Spill Response HazMat Decontamination Additional Resources Emergency Public Information Site security and access control				
Is responsibility for designating individuals to the ERO assigned and documented in the Emergency Plan?				
Have sufficient experienced and trained personnel for initial and ongoing response, including alternates, been assigned to each functional area?				
Are there requirements for selection of personnel who are assigned to the emergency response organization?				
Do requirements for individuals selected for assignment to the various functional areas of the ERO include qualification?				

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Are ERO assignments based on the response functions that may be required and on the spectrum of potential emergencies?				
Are persons who may be assigned to the above functional areas of emergency activity specified at all levels (primary responders and backup responders)?				
Are command and control functions clearly defined and other key management positions prescribed?				
Has a line of succession for the Emergency Director and the management structure for the various functional areas been specified?				
Are provisions made to ensure that an emergency director and an incident commander are available on-site at all times, having the authority and responsibility to initiate any emergency actions within the provisions of the emergency plan?				
Has an individual been given the responsibility and authority to make agreements with off-site organizations that may be needed to support the response organization under accident conditions?				
ERO Training				
Is ERO required training documented?				
Explain:				
Is this training reviewed annually? Date of last review:				
Are matrices for the identification and implementation of required training topics for ERO positions developed, maintained, and utilized?				
Has a position-specific training matrix been developed (to identify what training is needed for each type of responder)?				
Has a training implementation matrix been developed (to ensure that all personnel are trained)?				
Are standards for successful completion of each training activity clearly communicated?				
Do ERO members receive initial and periodic update training specific to their ERO functions?				
How is required training (initial, refresher, etc.) for personnel tracked (e.g., how do you know who needs training and who is currently up-to-date)?				
How often are training records for ERO personnel reviewed? Date of last review?				

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Do personnel responsible for emergency preparedness receive professional development training to maintain awareness of industrial development?				
Are standards and expectations of performance (of assigned duties) understood throughout the ERO?				
Has a roster of qualified individuals been developed and updated quarterly for each Emergency Operations Center and Technical Support Center position or title?				
Are personnel provided with opportunities to practice their ERO duties, with immediate correction of erroneous performance corrected on the spot?				
Are ERO members provided training on changes to procedures and equipment that occur in the period between scheduled training sessions?				
Have all ERO members participated in one training session and at least one drill, exercise, or actual response in the past calendar year?				
How is ERO participation in drills and exercises tracked?				
Are the knowledge and capabilities of all ERO personnel evaluated during initial training and during annual continuing training?				
Are the knowledge and capabilities of all ERO personnel evaluated during exercises?				
Is there a structure and process to organize and implement an ERO at any time, under potentially chaotic conditions?				
Are procedures in place to provide notification and activation of ERO personnel on a 24 hr. basis?				
How often are these procedures tested?				
a. Do procedures provide clear notification instructions to ERO members?				
b. Are ERO members' phone numbers kept confidential and current?				
c. Are the pre-designated rally points or assembly areas for ERO personnel and teams identified, and are those areas understood by personnel?				
Are procedural provisions included to enable a transition from initial classification through event termination (or recovery)?				
Are ERO personnel proficient in the use of the above mentioned procedure?				

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Do ERO personnel understand where emergency information is available?				
Are administrative procedures in place to ensure that the emergency director has the authority to support assigned responsibilities and carry out duties?				
Do specific ERO individuals effectively communicate plant status and conditions to site personnel, and ensure that needs of site personnel are met?				
a. Are communications concise, and according to procedures?				
b. Are communications made on a regular basis throughout an emergency?				
c. Are efforts made to confirm information and clarify when necessary?				
Are working relationships and reporting chains within the ERO documented and are they followed during all emergencies, drills, and exercises?				
Is there a communications system between on-site and off-site responders that is sufficient, regularly tested, and operable?				
How often is this tested? Date of last test?				
Are there administrative provisions for ensuring adequate coordination between the ERO and the following organizations:				
a. Corporate Headquarters				
b. DOE - HQ				
c. DOE - Ohio				
d. New York State				
e. Local government				
f. County and local support services				
g. Public Information Groups				
h. News media				
Are actions taken by the ERO recorded and notes examined following drills, exercises or actual emergencies for potential corrective actions?				
How are corrective actions incorporated into future training for ERO members?				

itional Comments/Summary:

Action Items Identified

ITEM IDENTIFIED	ACTION TO BE TAKEN	PERSON RESPONSIBLE	COMPLETION

Prepared by: _____ Date: _____
Reviewer

Approved by: _____ Date: _____
Emergency Management Manager (or designee)

FUNCTIONAL AREA ELEMENT REVIEW

ELEMENT: OFFSITE RESPONSE INTERFACES

ASSESSOR: _____ **DATE:** _____

PERSONNEL CONTACTED:

Directions:
a) Check the box that best represents the rating of your observation.
b) Provide additional comments for any items that need explanation on the back of this form.
c) If corrective actions are identified, complete the action Items Identified section on the back of this form

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 the protection of workers, the public, and the environment.
DOE 151.1 Chapter IV. 3. b. (2).

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Are offsite response organizations responsible for augmenting site resources in response to an onsite emergency event identified and documented?				
Are pre-designated offsite points of contact, including organization, names, and telephone numbers documented and made available to the response organization?				
Are methods of communication with offsite agencies in place, identified, and operable?				
How often are these lines of communication tested?			Date of last test?	
Are provisions in place (i.e., training, procedures, guides) to ensure clear communications and mutual understanding of acronyms, code words, conventions, and/or technical terminology?				
Do coordination and integration with offsite response agencies and organizations follow established, pre-arranged and documented plans and protocols (e.g., responsibilities and authorities, coordination of response, notifications, facility activations, communications, EOC interfaces, and public information activities, and logistical protocols, including space and site access)?				
Do WVDP representatives participate in SERC/LEPC meetings?				
Does WVNS EM hold regular facility/site meetings with offsite officials?				

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Are ongoing offsite interfaces with political, law enforcement, and emergency services officials accomplished and maintained by an individual with the appropriate responsibility, authority, knowledge, and training?				
Are federal, state, and local procedures understood and differences minimized in the following areas: a) Notification forms and off-site maps maintained by the state b) Responsibilities for maintenance of equipment c) Training to be offered to offsite responding agencies d) Dose assessment methodology				
Has the hazards survey/hazards assessment been used to generate a list of all services which may be needed to respond to an emergency?				
Have the services mentioned above been checked against interface capabilities?				
Are procedures in place to coordinate with offsite officials on availability and capabilities of DOE radiological emergency response assets?				
Have offsite responders been trained on WVDP procedures concerning emergency response (site access, alarms, etc.)?				
If yes, date of last training:				
Are there any other offsite response organizations outside the facility that might respond under the FRERP, NCP, and FRP?				
Are all agreements between WVDP and offsite organizations documented in the emergency plan?				
Do offsite agreements contain the following:				
a) Identification of specific services?				
b) Points of contact and initiation information (to access the service)?				
c) Any constraints?				
d) Public information release protocols?				
e) Financial arrangements, including any commitments by the Facility/site to provide training; equipment, and facilities?				
f) Schedule for periodic re-examination and renewal or termination date?				
Identification and responsibilities of all parties and participants?				

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
h) A method for coordination and control in an emergency in accordance with Incident Command procedures?				
i) Specific Points of Contact, identified by name?				
j) A description of information for notifications and follow-on actions?				
k) Agreement for liaison and corresponding allocation of space in the EOC?				
l) Communications interfaces/protocols for notification points, EOC responders, monitoring teams, and other entities (should also describe public warning systems)?				
n) Public information activities descriptions, including site/facility press release protocols and the name or position of personnel authorized to speak for each organization during an emergency?				
o) Description of operational interfaces between EOCs, including organizational charts and points of interface?				
p) Descriptions of training activities on site specific hazards?				
Are commitments of support discussed and exercised periodically?				
How often?				
Are site, state, and local emergency plans and procedures routinely compared to ensure consistency (notification time frames, dose assessment methodology, etc.)?				
Do you offer the offsite response organization the opportunity to participate in exercises?				
Date of last offsite participation:				
Are objectives of the offsite agencies participating in a site exercise coordinated and included in the scenario?				
Are the assumptions made by the facility as a basis for public protection planning clearly identified? (The actions anticipated by each interface agency should be stated and information required to effectively respond should be identified.)				

itional Comments/Summary:

Action Items Identified

ITEM IDENTIFIED	ACTION TO BE TAKEN	PERSON RESPONSIBLE	COMPLETION

Prepared by: _____ Date: _____
Reviewer

Approved by: _____ Date: _____
Emergency Management Manager (or designee)

FUNCTIONAL AREA ELEMENT REVIEW

AREA ELEMENT: CATEGORIZATION AND CLASSIFICATION

ASSESSOR: _____ **DATE:** _____

PERSONNEL CONTACTED:

Directions:
1. Check the box that best represents the rating of your observation.
2. Provide additional comments for any items that need explanation on the back of this form.
3. If corrective actions are identified, complete the action Items Identified section on the back of this form.

Abnormal events/conditions are promptly recognized, categorized, and declared as Operational Emergencies if an unplanned, non-routine, significant event or condition caused by, involving, or affecting DOE facilities, sites, or activities, requires: (1) local (on-scene) response by resources beyond those immediately available at or those normally responding to the affected site/facility or area of the incident; and/or, (2) time-urgent notifications to initiate response activities beyond the local event scene. Operational Emergency events involving the actual or potential airborne release of hazardous materials from a site/facility also require prompt and accurate classification based on health effect thresholds (for initiating protective actions) measured or estimated at specific receptor locations (i.e., facility and site boundaries). Associated with the classification of these Operational Emergencies are default conservative onsite Protective Actions (PAs) and offsite Protective Action Recommendations (PARs).

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Authority and responsibility for categorizing an event/condition, and if necessary, determining the emergency classification, is clearly defined and documented and understood by emergency response personnel.				
A single individual has responsibility for categorization and classification.				
Site- /facility specific criteria are available to define the threshold between the Unusual Occurrence category and an Operational Emergency.				
The set of specific criteria is readily accessible to the Emergency Director.				
The criteria for categorizing Operational Emergencies are clear, straight-forward, and unambiguous to the decision-maker, and dependent on readily available and observable events or responses.				
Site-/facility-specific Emergency Action Levels (EALs) are available to appropriately classify the actual or potential emergency conditions as Alert, or Site Area Emergency.				

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Site/facility specific EALs are developed and approved for the spectrum of potential airborne hazardous material release Operational Emergencies analyzed in the Hazards Assessment				
Protective Action Guides (PAGs) and Emergency Response Planning Guidelines (ERPGs), applicable to the actual or potential release of hazardous materials to the environment, are available in the EOC or TSC.				
EALs are tested against a range of initiating conditions and emergency event/accident scenarios to validate the indicated emergency class.				
A discretionary EAL is included in the set to compensate for possible incompleteness and ensure that a decision can be made rapidly based on the current understanding of the situation.				
The Emergency Director has efficient access to the appropriate EALs, since they are integrated with normal and off-normal operations procedures, indicators (i.e., control panels or instrument read-out stations), checklists, safety precautions, and other operational practices.				
Protective Actions (PAs) and Protective Action Recommendations (PARs), are available as needed for immediate implementation onsite or recommendation for offsite.				
The current classification is modified based on continuous monitoring for changes in event/response conditions that require or might support a change in the emergency classification				
Are site-wide, non-facility-specific, EALs available to classify an event or condition such as: terrorist threats, major natural phenomena, explosions of unexplained nature, and onsite transportation accidents.				

Additional Comments/Summary:

Action Items Identified

ITEM IDENTIFIED	ACTION TO BE TAKEN	PERSON RESPONSIBLE	COMPLETION

Prepared by: _____ Date: _____
Reviewer

Approved by: _____ Date: _____
Emergency Management Manager (or designee)

FUNCTIONAL AREA ELEMENT REVIEW

AREA ELEMENT: NOTIFICATIONS/COMMUNICATIONS

ASSESSOR: _____ **DATE:** _____

PERSONNEL CONTACTED:

Directions:
1. Check the box that best represents the rating of your observation.
2. Provide additional comments for any items that need explanation on the back of this form.
3. If corrective actions are identified, complete the action Items Identified section on the back of this form.

For Operational Emergencies, prompt initial emergency notifications are accurately and efficiently made to workers and emergency response personnel/organizations, including appropriate DOE Elements and other Federal, state, Tribal, and local organizations. Proper, accurate, and timely follow-up notifications are made when conditions change or when the emergency classification is upgraded or terminated. Continuous, effective, and accurate communications, among response components and/or organizations, is reliably maintained throughout an Operational Emergency.

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Provisions are established for prompt initial notification of workers and emergency response personnel and organizations, including DOE elements, and other Federal, State, Tribal, and local organizations.				
Area alarms or public address (PA) systems are installed to alert facility personnel to emergency conditions.				
Can alarms be heard by all employees?				
Are alarms tested regularly?				
How often are alarms tested? Sheltering Alarm_____ Evacuation Alarm_____				
Are employees trained to the alarms and their meaning?				
Are provisions in place to make initial and follow-up notifications to primary and alternate response staff?				
Are dedicated systems for emergency communication readily available?				
Are systems tested on a regular schedule?				
Date of last test?				
Are communications with offsite responders in place?				
Are these communications tested regularly?				
How often?				
Date of last test of communications test?				

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Are provisions established for continuing communication among response organizations throughout an emergency?				
Notifications				
Are notification and reporting responsibilities clearly identified in plans and procedures?				
Are points of contact for emergency notifications accurate and readily available to response personnel?				
Is approval by the Emergency Director or designee required before the release of notification information?				
Are mechanisms in place to provide notification of State and local officials and DOE Field and Headquarters Emergency Operations Centers within 15 minutes and all other organization within 30 minutes of the declaration of an Alert or Site Area Emergency?				
Are mechanisms in place to provide notification to DOE Field and Headquarters Emergency Operations Centers within 30 minutes of declaration of an other than hazardous material Operational Emergency?				
Are provisions in place to ensure follow-up notifications are made when conditions change or when the emergency classification is upgraded or terminated?				
Do follow-up notifications include the following: critical information concerning the nature of the event, description and status, key times, classification and release status (as required), meteorology, protective actions, affected facility, and notification authority.				
Are provisions in place for forwarding emergency status reports to the next higher emergency management team on a continuing basis until the emergency is terminated?				
Is a formal document control system implemented during an emergency to record, sequence, validate, and track the flow and chronology of information?				
Are reporting requirements established for recovery planning?				
Is the responsibility for and provisions in place to develop a final emergency report?				

itional Comments/Summary:

Action Items Identified

ITEM IDENTIFIED	ACTION TO BE TAKEN	PERSON RESPONSIBLE	COMPLETION

Prepared by: _____ Date: _____
Reviewer

Approved by: _____ Date: _____
Emergency Management Manager (or designee)

FUNCTIONAL AREA ELEMENT REVIEW

ELEMENT: CONSEQUENCE ASSESSMENT

ASSESSOR: _____ **DATE:** _____

PERSONNEL CONTACTED:

Directions:
1. Check the box that best represents the rating of your observation.
2. Provide additional comments for any items that need explanation on the back of this form.
3. If corrective actions are identified, complete the action Items Identified section on the back of this form.

Estimates of onsite and offsite consequences of actual or potential releases of hazardous materials are correctly computed and assessed in a timely manner throughout the emergency. Consequence assessments are integrated with classification and protective action decisions, incorporate facility and field indications and measurements, and are coordinated with offsite agencies.

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Are provisions in places to ensure accurate/timely assessment of event consequences?				
Where is responsibility for the consequence assessment designated?				
The tools used in consequence assessment, such as system hardware and software for meteorological monitoring and dose modeling, etc., are available, calibrated, and consistent with DOE and industry standards.				
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, are monitored.				
A formal document control system is implemented during an emergency to record, sequence, validate, and track the flow and chronology of information.				
Explain how documents are controlled.				
An initial, conservative assessment (Timely Initial Assessment) of the consequences of an emergency in a timely and effective manner. Are provisions in place and personnel available to ensure a timely initial assessment of consequences?				
Are assessments updated when there are actual and projected changes in facility status, release condition, or meteorology?				
Are different models, available to add to the understanding of the event and its consequences?				

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Are the indicators (e.g., system pressures, flow rates, radiation levels, release rates, etc.), necessary to continually assess the consequences of the emergency events/conditions, identified and monitored?				
Are 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)?				
The methodology for determining the type of hazard and source term is compatible with instrumentation/monitor values (e.g., engineering units, range, conversion factors).				
The 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 ERPGs.				
Meteorological information is readily obtained for use in transport and dispersion calculations to project the consequences of the hazardous material release to the environment onsite and offsite, to the population within the Emergency Planning Zone (EPZ).				
Onsite and offsite receptors of interest can be identified 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).				
Do consequence assessment projection capabilities include ground level and elevated release points, monitored and unmonitored pathways, post accident analysis results, field team data, as appropriate?				
The consequence assessment capability performs calculations of radiological dose or toxic chemical exposure projections estimated for the external, inhalation, and ingestion pathways, as appropriate.				
Assessment capabilities provide release estimates for receptor locations at the facility and site boundaries, to or beyond the EPZ boundary, and at populations with special needs.				
Appropriate facility-specific Protective Action Criteria (i.e., PAGs for radiological materials, and ERPG-2 values for non-radiological materials) are identified and readily available to consequence assessment teams for estimating health effects at a specified distance from the event				

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Field sampling and monitoring activities are used to verify, update, and refine the source term and projected consequences through coordination with those responsible for consequence estimates.				
Data from environmental monitoring programs is used to support consequence assessment, including data from area and radiation monitors and in-plant surveys for assessment under accident conditions.				
Field monitoring and data collection by facility and site teams, is coordinated to facilitate exchanges and correlation of information.				
Engineering units used in facility/site consequence assessment are understood and compatible with the units used by offsite emergency response authorities.				
Differences in modeling methods are well understood by onsite and offsite emergency response personnel.				

itional Comments/Summary:

Action Items Identified

ITEM IDENTIFIED	ACTION TO BE TAKEN	PERSON RESPONSIBLE	COMPLETION

Prepared by: _____ Date: _____
Reviewer

Approved by: _____ Date: _____
Emergency Management Manager (or designee)

FUNCTIONAL AREA ELEMENT REVIEW

ELEMENT: PROTECTIVE ACTIONS (and REENTRY)

ASSESSOR: _____ **DATE:** _____

PERSONNEL CONTACTED:

Directions:
1. Check the box that best represents the rating of your observation.
2. Provide additional comments for any items that need explanation on the back of this form.
3. If corrective actions are identified, complete the action Items Identified section on the back of this form.

Protective actions are 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 are reassessed throughout an emergency and modified as conditions change.

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Are sheltering/evacuation alarms tested regularly?				
Are all parts of the facility equally able to hear emergency alarms?				
Are provisions in place for building evacuation?				
Have personnel been trained on sheltering and evacuation procedures?				
How frequently are sheltering or evacuation drills conducted?				
Are procedures in place for timely notifications? (Within 15 minutes of exceeding a protective action criterion?)				
Has a method been established to account for all site and contract personnel in the event of a site evacuation?				
Are pre-planned protective actions available?				
Do personnel undergo training and drills and exercises for protective actions?				
How often are protective action drills and exercises conducted?				
Date of last drill or exercise?				
Is continuous re-evaluation of protective action accomplished throughout an event?				
Are responder areas and sheltered personnel habitability evaluated throughout an event?				
Are protocols established for notification (including any recommendations for protective actions) to offsite personnel?				

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Does every notification to offsite authorities re-state the PAR?				
Do emergency plans identify the methodology to be used to develop criteria for protective action decision-making?				
Are PAGs and ERPGs used to determine appropriate protective actions for responding to a hazardous materials release?				
Have specific criteria been developed for evacuation versus sheltering? (The effectiveness of sheltering in place versus evacuation for different types of events should be considered when establishing criteria.)				
Do plans provide for enhancement of sheltering effects such as doors and windows be closed, ventilation systems secured and personnel assembled in the most protected area?				
Have assembly areas been designated for personnel monitoring and decontamination?				
Do procedures provide for monitoring all individuals-leaving restricted areas or other areas known or suspected to be contaminated? - at on-site assembly areas? - at off-site assembly areas?				
Is there a means for recording the names of individuals surveyed, the extent of any contamination found, the instrument used, and the methods employed, and the results of any decontamination efforts?				
Is communication maintained with personnel in the assembly area?				
Are methods of transportation and evacuation routes identified or does a mechanism exist to inform/direct individuals during an evacuation?				
Are alternate evacuation routes identified?				
Are mechanisms in place to coordinate evacuation with local law enforcement?				
Is evacuation monitored?				
Accountability:				
Is a mechanism in place (and regularly tested) to ensure accountability? (Within 30-45 minutes?)				
Have provisions been made to make emergency respiratory equipment available for all appropriate personnel expected to remain on site during an emergency?				

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Have provisions been made for recharging self contained breathing apparatus (SCBA) on site?				
Is the recharging facility in a low background radiation area?				
Are the SCBA's inspected and maintained?				

itional Comments/Summary:

Action Items Identified

ITEM IDENTIFIED	ACTION TO BE TAKEN	PERSON RESPONSIBLE	COMPLETION

Prepared by: _____ Date: _____
Reviewer

Approved by: _____ Date: _____
Emergency Management Manager (or designee)

FUNCTIONAL AREA ELEMENT REVIEW

ELEMENT: MEDICAL SUPPORT
ASSESSOR:_____ **DATE:**_____
PERSONNEL CONTACTED:

Directions:
1. Check the box that best represents the rating of your observation.
2. Provide additional comments for any items that need explanation on the back of this form.
3. If corrective actions are identified, complete the action Items Identified section on the back of this form.

Medical support is provided in accordance with DOE 5480.8A (or replacement directive) for workers contaminated by hazardous materials. Onsite and offsite medical facilities provide support to transport, accept, and treat contaminated, injured personnel.

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Immediate, onsite first aid and emergency medical treatment is provided for workers, including those with hazardous material contamination.				
Radiation protection and industrial hygiene personnel are properly equipped to assist medical and EMT staff in performing patient survey, decontamination, contamination and exposure control, urine and fecal analysis, and in-vivo counting methods.				
Security clearance issues do not impede medical treatment or transport of injured personnel				
Onsite personnel who respond to a medical emergency show proficiency in first aid or emergency medical treatment comparable with those of any offsite teams employed and equally adequately equipped.				
Proper contamination control procedures are implemented in handling injured and contaminated personnel				
Decontamination facilities for treating personnel contaminated with hazardous materials are available and adequately equipped.				
Personnel, vehicles, facilities, and equipment are adequate for treating and transporting injured, contaminated, or exposed individuals in a safe and effective manner				
Required equipment is used by medical and emergency medical technician personnel for assessing patient conditions, including, personnel protective equipment (PPE) and medical service protective clothing, for onsite and offsite medical staff.				
Is an onsite medical facility available and equipped to treat injured and contaminated personnel?				

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Onsite and offsite medical communications systems are compatible and effective				
Employee medical records and treatment history are accessed as needed.				
Additional medical assistance and treatment procedures, and associated points of contacts, are accessed, as necessary, including: search and rescue resources, Radiological Emergency Assistance Center/Training Site (REAC/TS) assistance.				
Procedures contain decision criteria for handling contaminated injured personnel, for example, establishment of contamination control compatible with the rendering of prompt medical treatment.				
Procedures address contaminated patient transport, equipment use and disposition, contamination control, decontamination, and waste disposal.				
Offsite and onsite medical support services and capabilities are integrated and medical professionals are aware of the quantity and diversity of hazards onsite.				
ovisions are in place for prompt transport of injured .ısite personnel including those contaminated with radiological or toxic material, to offsite medical facilities.				
Documented arrangements have been made with local hospital or other offsite medical support to accept and treat contaminated/injured personnel.				

Additional Comments/Summary:

Action Items Identified

ITEM IDENTIFIED	ACTION TO BE TAKEN	PERSON RESPONSIBLE	COMPLETION

Prepared by: _____ Date: _____
Reviewer

Approved by: _____ Date: _____
Emergency Management Manager (or designee)

FUNCTIONAL AREA ELEMENT REVIEW

ELEMENT: PUBLIC INFORMATION

ASSESSOR:_____ **DATE:**_____

PERSONNEL CONTACTED:

Directions:
a) Check the box that best represents the rating of your observation.
b) Provide additional comments for any items that need explanation on the back of this form.
c) If corrective actions are identified, complete the action Items Identified section on the back of this form

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 State, local, and Tribal governments, and Federal emergency response plans, as appropriate. Workers and the public are informed of DOE emergency plans and planned protective actions before emergencies.

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Key emergency public information positions, and the respective responsibilities and locations, are specified and individuals to fill these positions are identified.				
The emergency-related activities and the number of staff required to respond effectively are specified in plans/procedures.				
Has an emergency Public Information Program including plans for emergencies been established?				
Are personnel, resources, facilities, and coordination procedures necessary to provide emergency public information identified?				
Are training and exercises for EPI personnel identified?				
Is Emergency Public Information made available to workers and the public?				
Prior to emergencies, workers and site personnel are informed of emergency response plans, response capabilities, and planned protective actions.				
Emergency Public Information is provided to the area news media				
The News Center is available, equipped, maintained and controlled to accommodate members of the news media, DOE, contractor, and offsite agency representatives, and to facilitate the preparation and coordination of emergency information release to the public through the news media.				

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Provisions are in place to support response to public inquiries in a timely manner.				
Provisions are in place to detect, correct, and control rumors and misinformation.				
The News Center location is documented in plan/procedures.				
The News Center includes adequate services and equipment (e.g., telephone service, television and radio broadcast equipment, copying/telefax equipment, audio-visual equipment) maps and displays, security provisions and working space for both the media and staff.				
Provisions are in place for press briefings to be held with regular frequency and whenever new or breaking information is available concerning emergency conditions, protective actions, or response.				
Persons with technical expertise about the emergency and with spokesperson training are available to support the emergency public information staff.				
A list of 24-hour media points of contact are available and maintained current				
Authority for approving release of emergency information to the media and public is vested in a single individual, or designee, and the appropriate DOE official.				
Information (written and verbal) which is to be released to the news media is coordinated with DOE, and other Federal, state, tribal and local response organizations, as appropriate.				

itional Comments/Summary:

Action Items Identified

ITEM IDENTIFIED	ACTION TO BE TAKEN	PERSON RESPONSIBLE	COMPLETION

Prepared by:_____ Date:_____
Reviewer

Approved by:_____ Date:_____
Emergency Management Manager (or designee)

FUNCTIONAL AREA ELEMENT REVIEW

ELEMENT: FACILITIES AND EQUIPMENT

ASSESSOR: _____ **DATE:** _____

PERSONNEL CONTACTED:

Directions:
a) Check the box that best represents the rating of your observation.
b) Provide additional comments for any items that need explanation on the back of this form.
c) If corrective actions are identified, complete the action Items Identified section on the back of this form.

Facilities and equipment adequate to support emergency response are available, operable, and maintained. Specifically, an adequate and viable command center is available, as necessary, and adequate personnel protective equipment meets the needs of the response.

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
FACILITIES *Emergency facilities and installed equipment (e.g., lighting,, computer systems, communications, visual displays, etc.) are adequate to support facility functions and level of staffing during an emergency.*				
Emergency plan and procedures identify minimum characteristics of the Emergency Operations Center (EOC) to support the designated functions and assigned staff.				
Emergency response facilities use backup or alternate power supplies in the event of loss of power.				
As necessary, conversion of additional facilities (Technical Support Center, Operations Support Center) to response facilities for the emergency is accomplished in a timely and efficient manner.				
EOC access control is adequate and results in the efficient and timely identification of assigned staff.				
Has an Alternate Emergency Operations Center (AEOC) been identified and agreements in place for its use should the EOC become uninhabitable?.				
EQUIPMENT *Adequate emergency equipment and supplies are readily available and operable.*				
Does the actual function(s) and operating characteristics of specific equipment support the intended function(s) during emergency response. (Is it the correct equipment for its intended use?)				

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Are the following systems/components tested (and documented) to ensure that they work properly and are reliable? Telephone system Public Address system Computer Data Display System Emergency Operations Center computers Emergency Lighting Batteries for cell phones				
How often are these systems tested?				
Is back up power available?				
Are inventories, periodic maintenance checks, and calibrations performed on the following : a) survey instruments b) emergency kits c) communications systems d) area monitors e) respiratory protection equipment f) air samplers g) dosimeters				
How often are these calibrated?				
Are inventories of all emergency equipment and supplies maintained and is the equipment location identified.				
Are communication systems with DOE Headquarters, Operations/Field Offices and offsite organizations tested at least annually (per DOE O151.1).				
Are there primary and backup communications systems available in the EOC for communications with field response teams?				
How often are these systems tested?				
Date of last test?				
Are personnel trained on the actual equipment to be used during an emergency event?				
Are the following documents available in the EOC: h) Emergency Plan b) Implementing Procedures c) Current plant technical specifications d) Updated safety analysis report e) Plant operating procedures f) Drawings or schematics showing current condition of plant structures and systems				
Are copies of the above mentioned documents available in the TSC, and made available to the OSC?				
How often are these reviewed, revised?				

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Date of last revision?				
Are medical personnel and equipment available on-site for treatment of responders and potentially injured workers during an emergency?				
Is an equipment resource list available?				
Are provisions in place for procurement of needed equipment/resources during an emergency?				

itional Comments/Summary:

Action Items Identified

ITEM IDENTIFIED	ACTION TO BE TAKEN	PERSON RESPONSIBLE	COMPLETION DATE

Prepared by: _____ Date: _____
Reviewer

Approved by: _____ Date: _____
Emergency Management Manager (or designee)

FUNCTIONAL AREA ELEMENT REVIEW

ELEMENT: TRAINING AND DRILLS

ASSESSOR: _____ **DATE:** _____

PERSONNEL CONTACTED:

Directions:
1. Check the box that best represents the rating of your observation.
2. Provide additional comments for any items that need explanation on the back of this form.
3. If corrective actions are identified, complete the action Items Identified section on the back of this form.

A coordinated and comprehensive program of training and drills is an integral part of the emergency management program that ensures training for program-specific emergency response capabilities is developed, offered, delivered, validated through testing or drills, maintained and documented.

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Training Program - general				
Does WVDP have a formally documented and approved emergency training/retraining program?				
Is the training program reviewed and updated annually, or as required, based on changes in emergency plans and procedures?				
Date of last review?				
Does the training program include qualification criteria for the individuals selected to the various functional areas of emergency response activity?				
Does training program include both lecture-type classroom instruction and drills on use of all equipment (including respiratory protection, etc.) and procedures that may be used in responding to emergencies?				
Are training personnel qualified Instructors, approved by management?				
Explain.				
Are instructional materials reviewed by Subject Matter Experts, reviewed and approved by management?				
Explain.				
Are training courses reviewed and updated to incorporate new information/techniques on a regular schedule?				

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Explain.				
Is a detailed list of courses and drills developed and maintained by emergency management?				
Are matrices for the identification and implementation of required training topics for ERO positions developed, maintained, and utilized?				
Has a Position-specific training matrix been developed (to identify what training is needed for each type of responder)?				
Has a Training Implementation Matrix been developed (to ensure that all personnel are trained)?				
Are standards for successful completion of each training activity clearly communicated?				
How is required training (initial, refresher, etc.) for personnel tracked (e.g., how do you know who needs training and who is currently up-to-date)?				
Is training consistent with the functional areas of emergency activity in the emergency response organization, and do they include the following: a) emergency response organization b) equipment and facilities c) accident assessment, first responder d) radiological accident assessment e) radiological field survey and monitoring first aid/rescue f) personnel accountability g) personnel monitoring h) contamination control and decontamination i) emergency communications				
Are there provisions to train members of the emergency organization in changes to procedures and equipment that occur in the period between the scheduled training sessions?				
Explain.				
Is the method for training personnel in changes to procedures and equipment similar to the method used for the basic qualification training program (e.g., lesson plans, hands-on use of equipment, tests, etc.).				

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Training Plan				
Is there a written, approved Emergency Training Plan?				
Does the Training Plan include the following: a) Goals b) Course Outlines for all courses c) Resources/facilities d) Qualification/re-qualification requirements e) Description of the Training Organization f) Target audience g) Schedule h) Materials review and approval requirements i) Record keeping				
Course Development				
Are courses developed "in house" (by emergency management personnel (or by a training organization using emergency management personnel as subject matter experts)?				
Are lesson plans developed, updated, and maintained?				
How often are materials reviewed?				
Is emergency management information provided for visitors to the site correct and up-to-date?				
Is Emergency Management information provided in General Employee Training correct and up-to-date?				
How are corrections incorporated/documented?				
Training for Off-site Personnel				
Is training administered for local off-site emergency support organization personnel who will enter the site for response to an emergency (ie., fire, ambulance and rescue personnel)?				
Does the training of off-site protective action decision makers include the relationship between plant conditions and protective measures?				
Does training for hospital personnel, ambulance/rescue personnel, police, and fire departments include the procedures for notification, basic radiation protection, and their expected roles?				
Comments:				

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Testing and drills				
Are written examinations used to evaluate trainee performance in training courses?				
Does the training program provide that individuals are walked-through or talked-through their emergency duties, with erroneous performance corrected on-the-spot, additional training given, and a demonstration of the proper performance provided by the instructor?				
Does training of personnel assigned to the emergency response organization include practical exercises and/or tests, without coaching, in which each individual demonstrates ability to perform the assigned emergency function under accident conditions (e.g., take readings while wearing a mask or meeting the student performance objective set forth in the lesson plan)?				
Are drills administered by emergency management personnel?				
Is there an approved procedure for the conduct of drills that includes the following? a) advance scheduling requirements for drills b) the basis for the scheduled frequency of drills c) flexibility to repeat drills as often as needed to allow for proficiency				
Are there provisions for back-shift drills?				
Explain.				
Is each drill conducted in accordance with a scenario that is developed in advance of the drill?				
Do drill packages contain: a) objectives b) guidelines for conducting the drill c) identification of any equipment or major tools involved d) criteria for meeting the objective e) provisions for achieving realism f) use of emergency equipment and resources g) Performance evaluation criteria				
Does the collection of drill scenarios test all aspects of the emergency plan?				
Are interfaces between response organizations tested?				
Are primary and alternate response personnel tested annually?				

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Evaluation				
Are opportunities provided to students for written evaluation and critique of the training course/course materials?				
Are evaluation comments reviewed and used to improve or modify training materials or drills?				
Documentation and Records				
Are records of attendance taken for each training course?				
Are individual records kept of examinations and drill performance?				
Are individual records consolidated with classroom training records?				
Is weak individual performance followed with retraining?				
Describe how these records are maintained.				

Additional Comments/Summary:

Action Items Identified

ITEM IDENTIFIED	ACTION TO BE TAKEN	PERSON RESPONSIBLE	COMPLETION

Prepared by: _____ Date: _____
Reviewer

Approved by: _____ Date: _____
Emergency Management Manager (or designee)

FUNCTIONAL AREA ELEMENT REVIEW

ELEMENT: EXERCISES

ASSESSOR: _____ **DATE:** _____

PERSONNEL CONTACTED:

Directions:
1. Check the box that best represents the rating of your observation.
2. Provide additional comments for any items that need explanation on the back of this form.
3. If corrective actions are identified, complete the action Items Identified section on the back of this form.

A formal exercise program shall be established to validate all elements of the emergency management program over a multi-year period

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Is a documented emergency exercise program in place?				
Does the exercise program address:				
a) Planning				
b) Preparations				
c) Conduct				
d) Evaluation				
e) Implementation of applicable corrective actions and improvements?				
Has a formal Exercise Program Plan been developed?				
Is a long range exercise scheduled included?				
Is an annual exercise plan developed and implemented?				
Has a matrix of measurable exercise objectives been developed?				
Does the exercise program include provisions for incorporating objectives in each exercise which are designed to validate revised plans/procedures, implemented corrective actions, and program improvements?				
Do exercises reflect credible, challenging, but realistic site/facility hazards and scenarios?				
Does the facility exercise its emergency response capability annually (including facility-level evaluation and critique)?				
Do site-level response organization elements and resources participate in a minimum of one exercise annually?				

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Are annual exercises designed to test and demonstrate the site's integrated response capabilities?				
Are offsite supporting, and potentially affected, organizations are invited to participate in an exercise at least every three years?				
Are exercises planned in coordination with onsite and offsite organizations regarding their respective participation and objectives?				
Does planning for site-wide exercises take into consideration organization specific hazards assessments, emergency plans, procedures, and agreements/understandings documents, and lessons learned from pervious exercises and actual events?				
Are exercises fully documented by an exercise package that includes specific exercise objectives, scope, participants, simulations, time lines, injects (i.e., messages), technical data, safety and security provisions, controller instructions, and evaluation criteria?				
Do exercise packages contain sufficient information for conduct, control, and evaluation of the exercise, including:				
. Clearly identified/described roles, responsibilities, and interfaces among exercise participants (i.e., players, controllers, evaluators, and observers)?				
b. Clearly identified provisions for exercise conduct and control?.				
c. Clearly identified provisions for exercise evaluation?				
Specific exercise objectives provide a basis for validating/evaluating the performance of response capabilities by each participating organization				
Participating organizations/groups are identified and any limitations/simulations regarding their respective participation are documented.				
Simulations pertaining to participants and exercise activities are clearly identified.				
Scenario material is consistent with the set of exercise objectives and supports a demonstration of each objectives.				

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Do scenario materials reflect facility-specific hazards, correlate technically with the facility hazards assessment, and are they technically accurate in terms of operations and radiological, chemical, and meteorological data?				
Are scenarios realistic, based on actual plant events that have occurred in the industry?				
Do scenarios include specific equipment failures with appropriate alarms and operating parameters to allow assessment of the failure?				
Do scenarios focus emergency response efforts on the mitigation of potentially damaging events and related on-site problems?				
Do scenarios present exercise conditions under which, if prompt and effective action is taken by the participants, the emergency can be terminated?				
Do scenarios minimize simulation by requiring responders to actually perform as many response actions as is reasonably achievable?				
Do scenarios allow for the use of equipment mock-ups to allow maintenance personnel to experience the coordination and work steps necessary to rapidly restore essential equipment to service under emergency conditions?				
Do exercise messages contain accurate, unambiguous, and non-prompting information for the responders?				
Provisions for safety, security, and public/media interface during exercises are clearly identified.				
Evaluation criteria are facility-specific and correlate with the exercise objectives.				
Coordination among onsite/offsite participants includes provisions for exercise initiation, interruption, and termination.				
Controllers/Evaluators are provided generic and exercise specific training.				
Controllers/Evaluators are familiar with safety and security/safeguards provisions.				
Controller organization(s) are adequately staffed and positioned for exercise conduct/control.				
The evaluator organization is sufficiently staffed to evaluate demonstration of all objectives and key decisions/actions of responders				

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Are evaluators chosen who are familiar with respective responder organizations, functions, procedures and anticipated responder decisions/actions?				
Are responders (players) evaluated with respect to demonstrated proficiency of their respective responsibilities/functions?				
Are responders evaluated with respect to communication and coordination with other responders?				
Are responders evaluated with respect to familiarity and use of applicable procedures, and overall professional response?				
Are facilities and equipment evaluated for performance during an exercise?				
Are procedures are evaluated with respect to their use by the responders?				
Are notifications and communications are evaluated during every exercise?				
Do controllers conduct a post-exercise critique(s) and solicit feedback from the responders?				
. a formal critique process conducted by the controller/evaluator organization?				
Are provisions in place and is responsibility assigned for preparation of an exercise report?				
Does the exercise report address findings and include any lessons learned?				
Do formal auditable records for exercises include:				
a. Participant Roster				
b. Exercise Participant Packages (including objectives for the exercise and copy of scenario narrative)				
c. Critique minutes				
d. Completed evaluator modules or checklists				
e. Final exercise report				
f. Accounting summary				
Are corrective actions developed from exercise findings or improvement items?				
Are corrective actions built into future training?				

Additional Comments/Summary:

Action Items Identified

ITEM IDENTIFIED	ACTION TO BE TAKEN	PERSON RESPONSIBLE	COMPLETION

Prepared by: _____ Date: _____
Reviewer

Approved by: _____ Date: _____
Emergency Management Manager (or designee)

FUNCTIONAL AREA ELEMENT REVIEW

AREA ELEMENT: PROGRAM ADMINISTRATION

ASSESSOR: _____ **DATE:** _____

PERSONNEL CONTACTED:

Directions:
1. Check the box that best represents the rating of your observation.
2. Provide additional comments for any items that need explanation on the back of this form.
3. If corrective actions are identified, complete the action Items Identified section on the back of this form.

Each DOE site/facility ....shall document the emergency management program in an emergency plan.

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Has an individual been assigned responsibility for and authority over all aspects of development and maintenance of the emergency management program?				
Do personnel responsible for emergency preparedness planning receive management support, as needed?				
specific individuals or disciplines (departments) have responsibility for the llowing emergency preparedness activities:				
a. Training and drills?				
b. Exercises?				
c. Inventorying and maintaining emergency facilities and equipment?				
d. Evaluating the emergency program?				
Is the emergency management program documented in an approved Emergency Plan?				
Does the Emergency Plan identify specific resources (procedures, personnel, facilities and equipment, and offsite interfaces) for response to an operational emergency?				
How often is the plan reviewed?				
Are provisions in place for periodic review and update of the plan?				
Is the plan a controlled document?				
How are updates, corrections, and revisions incorporated into the plan?				
e procedures in place to implement the emergency an?				

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Is there a formal system to track and verify correction of findings or lessons learned from training, drills, exercises, and actual responses.				
Is a program in place to ensure that vital records essential to the continued functioning or reconstitution of the organization during and after an emergency are available per 36 CFR 1236?				
Are provisions in place to evaluate functional elements of the emergency management program?				
Is program evaluation (including appraisals and assessments) used to validate that emergency capabilities are sufficient?				
Is a self-assessment program established for the emergency program?				
Are self-assessments and exercise evaluation reports identifying deficiencies/weaknesses issued by the exercised organization(s)?				
Are corrective actions and improvements identified and their effective incorporation into the emergency management program addressed?				
Are evaluation findings acknowledged within 90 days of receipt of findings with a corresponding plan for correction?				
Are provisions in place to maintain records indicating response to evaluation findings as well as a corresponding plan for correction?				

Additional Comments/Summary:

Action Items Identified

ITEM IDENTIFIED	ACTION TO BE TAKEN	PERSON RESPONSIBLE	COMPLETION

Prepared by: _____ Date: _____
Reviewer

Approved by: _____ Date: _____
Emergency Management Manager (or designee)

FUNCTIONAL AREA ELEMENT REVIEW

ELEMENT: TERMINATION AND RECOVERY

ASSESSOR:_____ **DATE:**_____

PERSONNEL CONTACTED:

Directions:
1. Check the box that best represents the rating of your observation.
2. Provide additional comments for any items that need explanation on the back of this form.
3. If corrective actions are identified, complete the Action Items Identified section on the back of this form

The termination of an Operational Emergency is accomplished by meeting a predetermined set of criteria and coordinating the termination with offsite agencies. Recovery from a terminated Operational Emergency involves: communication and coordination with State, Tribal, local, and other Federal agencies; the planning, management, and organization of the associated recovery activities; and ensuring the health and safety of workers and the public.

LINES OF INQUIRY	Yes	No	N/A	COMMENT NO.
Are procedures in place for transition from an operational emergency status to recovery operations?				
Are provisions in place to notify DOE, other Federal, State, and local response organizations?				
Are approved, predetermined criteria for terminating an Operational Emergency identified and documented, including: development of a recovery plan?				
Are provisions in place for establishment of a recovery organization?				
Do personnel who may have responsibility for recovery understand their responsibilities?				
Is recovery planning integrated into the emergency exercise program?				
Are procedures in place for accident assessment and investigation?				
Notifications are made to applicable organizations prior to ending recovery operations and resuming facility or plant operations.				

Additional Comments/Summary:

Action Items Identified

ITEM IDENTIFIED	ACTION TO BE TAKEN	PERSON RESPONSIBLE	COMPLETION

Prepared by: _____ Date: _____
Reviewer (Print & Sign Name)

Approved by: _____ Date: _____
Emergency Management Manager (Print & Sign Name)

Approved by: _____ Date: _____
Staff Manager (Print Name & Sign)

WVDP
Emergency Management Self-Assessment
Training Program Observation and Evaluation Form

EVALUATOR: _____ **DATE** _____
COURSE OBSERVED/EVALUATED: _____
REPORT #: _____

Original:
Copies:

DIRECTIONS:
1. Select and write the title of the course to be observed and evaluated.
2. Check the box that best represents the rating of your observation/evaluation.
2. Provide additional comments for any items that need explanation on the back of this form.
3. If corrective actions are identified, complete the Action Items Identified section on the back of this form.

LINE INQUIRY	Yes	No	N/A	Comment No.
CLASSROOM OBSERVATION AND EVALUATION				
Training Content and Delivery				
Learning objectives are written to reflect task performance.				
Learning objectives describe the knowledge and skills required for successful job performance and are specified in observable and measurable terms.				
The learning objectives are communicated and clearly understood by the instructor and trainee.				
Lesson plans and other training materials used in the selected training setting are accurate, support the learning objectives, and promote effective delivery of training.				
Training is conducted using approved and current training materials (procedures, equipment required on the job, etc.).				
Applicable lessons learned and industry operating experiences are presented.				
Theory to practice applications are noted when applicable.				
Training is conducted in a professional and competent manner.				

LINES OF INQUIRY	Yes	No	N/A	Comment No.
Instructors use the references, tools, equipment, and conditions of task performance that reflects actual job conditions.				
Instructors have and maintain control over the class.				
Relevant examples and analogies to site practices are provided.				
Instructors are knowledgeable of what is currently occurring at the WVDP site as related to instructional topics.				
Responsiveness to trainees questions and concerns is evident through direct answers or obligation to get answers in a timely fashion.				
Schedules are followed including adequate time for breaks.				
Rapport with trainees is established, and contributes to instructor-trainee interactions.				
Contact time us appropriate for the topics presented.				
Critical and difficult topics and concepts are presented and reviewed to ensure understanding before beginning other topics.				
Adequate review and study time is provided commensurate with the topic being presented.				
Classroom and training settings are free from excessive disturbances and distractions.				
Conditions related to comfort (e.g., heat, lighting, noise level, desk space) meet standards for good learning environment.				
Feedback from trainees during training is used to evaluate and refine the training program.				
Training program content has been reviewed by line management.				

Additional Comments/Summary of the Review

Action Items Identified

ITEM IDENTIFIED	ACTION TO BE TAKEN	PERSON RESPONSIBLE	COMPLETION DATE

Prepared by: _____ Date: _____
Reviewer's Name & Signature

Approved by: _____ Date: _____
Training Team Leader's Name and Signature

Approved by: _____ Date: _____
Staff Manager's Name and Signature

EMERGENCY MANAGEMENT ASSESSMENT
CORRECTIVE ACTIONS
OPEN ITEMS TRANSMITTAL FORM

RESPONSIBLE MANAGER SIGNATURE	REFERENCES	CORRECTIVE ACTION	COMPLETION DATE	VERIFICATION DATE