

Evaluation Area 1. Emergency Operations Management

Sub-Element 1.a--Mobilization

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| What the Policy Says | <p>Intent This sub-element derives from NUREG-0654, which provides that Offsite Response Organizations (ORO) should have the capability to alert, notify, and mobilize emergency personnel and to activate and staff emergency facilities.</p> <p>Criterion 1.a.1: OROs use effective procedures to alert, notify, and mobilize emergency personnel and activate facilities in a timely manner. (NUREG-0654, A.4; D.3, 4; E.1, 2; H.4).</p> <p>Minimum Frequency Criterion 1.a.1 is to be evaluated every exercise.</p> <p>Extent of Play Responsible OROs should demonstrate the capability to receive notification of an emergency situation from the licensee, verify the notification, and contact, alert, and mobilize key emergency personnel in a timely manner. Responsible OROs should demonstrate the activation of facilities for immediate use by mobilized personnel when they arrive to begin emergency operations. Activation of facilities should be completed in accordance with the plan and/or procedures. Pre-positioning of emergency personnel is appropriate, in accordance with the Extent of Play agreement, at those facilities located beyond a normal commuting distance from the individual's duty location or residence. Further, pre-positioning of staff for out-of-sequence demonstrations is appropriate in accordance with the Extent of Play agreement.</p> <p>All activities must be based on the ORO's plans and procedures and completed as they would be in an actual emergency, unless noted above or otherwise indicated in the Extent of Play agreement.</p> <p>Note: Demonstration of shift change is not required. The Annual Letter of Certification and staff assistance visits are used to verify this capability.</p> |
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| <p>Preparing to Evaluate This Criterion</p> | <p>Before the exercise, determine, according to the ORO's plan/procedures and the Extent of Play agreement:</p> <ul style="list-style-type: none"> • Who notifies the ORO of the situation/emergency classification level (ECL)? • Will the notifications be made in the same manner if the ECL changes? • What method of notification to the facility should be used for each ECL notification? • Are verifications of ECL changes required? • As the ECL changes, what staff and other notifications are required? By what means? • Are key positions within the EOC/facility identified in the ORO's plan/procedure? If so, what are they? Which ones require 24-hour staffing? • If applicable, what are the criteria for the Emergency Operations Center (EOC)/facility to be declared activated and, subsequently, operational? • Does the extent of play agreement allow for pre-positioning of any participants? • Does the extent of play agreement allow for any simulation? • Are any out of sequence demonstrations required? If so, what, when and where? |
| <p>During the Exercise</p> | <p>During the exercise, in addition to evaluating activities related to the items listed above, be sure to:</p> <ul style="list-style-type: none"> • Note any pre-positioned staff at your location not in accordance with the extent of play. • Note times (e.g., 24-hour clock) of ally events applicable at your location, including when: <ul style="list-style-type: none"> ➤ Notifications are received from the Utility/State, and at what ECL level, ➤ Response staff are notified, ➤ Response staff arrive, and ➤ The facility is declared operational. • Obtain copies of: <ul style="list-style-type: none"> ➤ Sign-in log, ➤ All notifications received, and ➤ Player logs |

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Sub-Element 1.b—Facilities

| <p>What the Policy Says</p> | <p>Intent This sub-element derives from NUREG-0654, which provides that Offsite Response Organizations (ORO) have facilities to support the emergency response.</p> <p>Criterion 1.b.1.: Facilities are sufficient to support the emergency response. (NUREG-0654, H.3).</p> <p>Minimum Frequency Criterion 1.b.1 is evaluated, as a baseline, during the first exercise under the new Evaluation Criteria. Thereafter, facilities are evaluated for this criterion only if they are new or have substantial changes in structure or mission.</p> <p>According to a December 3, 2002 memorandum from W. Craig Conklin, Director, Technological Services Division, to Regional Assistance Committee Chairs, FEMA Regions I-VII, IX, and X, a substantial change is "one that has a direct affect or impact on the emergency response operations performed in those facilities." That memo also provided at matrix showing the frequency of evaluation for specific types of facilities:</p> | | | | | | | | | |
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| | <table border="1"> <thead> <tr> <th>Facility</th> <th>Baseline Evaluation?</th> <th>Frequency</th> </tr> </thead> <tbody> <tr> <td>State or country EOC Joint Information Center Forward Command Post</td> <td>Yes</td> <td rowspan="2">After baseline—when new or substantially changed</td> </tr> <tr> <td>Municipal EOC</td> <td>Yes (Under certain circumstances, one-third of the sub-county jurisdictions may be evaluated during each biennial exercise. Therefore, there should be a baseline evaluation of all sub-county EOCs at some exercise during the first six years under the new methodology.)</td> </tr> </tbody> </table> | Facility | Baseline Evaluation? | Frequency | State or country EOC Joint Information Center Forward Command Post | Yes | After baseline—when new or substantially changed | Municipal EOC | Yes (Under certain circumstances, one-third of the sub-county jurisdictions may be evaluated during each biennial exercise. Therefore, there should be a baseline evaluation of all sub-county EOCs at some exercise during the first six years under the new methodology.) | |
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| State or country EOC Joint Information Center Forward Command Post | Yes | After baseline—when new or substantially changed | | | | | | | | |
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| <p>Extent of Play Responsible OROs should demonstrate the availability of facilities that support the accomplishment of emergency operations. Some of the areas to be considered are: adequate space, furnishings, lighting, restrooms, ventilation, backup power and/or alternate facility (if required to support operations).</p> <p>Facilities must be set up based on the ORO's plans and procedures and demonstrated as they would be used in an actual emergency, unless noted above or otherwise indicated in the Extent of Play agreement.</p> | | | | | | | | | | |

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| Preparing to Evaluate This Criterion | Before the exercise, determine, according to the ORO's plan/procedures and the Extent of Play agreement: <ul style="list-style-type: none">• What should be available to support emergency operations conducted from the facility?<ul style="list-style-type: none">➤ Space➤ Furnishings➤ Lighting➤ Restrooms➤ Ventilation, and➤ Back up power and/or alternate facility• Is there a diagram or floor plan of the facility in the plan/procedures? |
| During the Exercise | During the exercise, in addition to evaluating activities related to the items listed above, be sure to: <ul style="list-style-type: none">• Check that the facility is set up (as shown in the floor plan) and operated according to the ORO's plan/procedure, unless otherwise indicated in the extent of play agreement. If not, did it cause any adverse consequences? Are changes to the plan or procedures recommended as a result? |

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Sub-Element 1.c—Direction and Control

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| <p>What the Policy Says</p> | <p>Intent This sub-element derives from NUREG-0654, which provides that Offsite Response Organizations (ORO) have the capability to control their overall response to an emergency.</p> <p>Criterion 1.c.1: Key personnel with leadership roles for the ORO provide direction and control to that part of the overall response effort for which they are responsible. (NUREG-0654, A.1.d; A.2.a, b).</p> <p>Minimum Frequency Criterion 1.c.1 is to be evaluated every exercise.</p> <p>Extent of Play Leadership personnel should demonstrate the ability to carry out essential functions of the response effort, for example: keeping the staff informed through periodic briefings and/or other means, coordinating with other appropriate OROs, and ensuring completion of requirements and requests.</p> <p>All activities associated with direction and control must be performed based on the ORO's plans and procedures and completed as they would be in an actual emergency, unless otherwise noted above or indicated in the Extent of Play agreement.</p> |
| <p>Preparing to Evaluate This Criterion</p> | <p>Before the exercise, determine, according to the ORO's plan/procedures and the Extent of Play agreement:</p> <ul style="list-style-type: none"> • Who is in charge of the emergency response at this location? • Are staff briefings or other means of providing information and instructions to staff specified? At what frequency? • Who is responsible for coordinating response activities with other organizations? • Who is authorized to make protective action decisions (PADs)? • Who approves EAS or other notification method message content and authorizes the release of the message(s)? • Are plan/procedures available for all staff? • Are message logs maintained, messages numbered, and distributed to designated staff? |
| <p>During the Exercise</p> | <p>During the exercise, in addition to evaluating activities related to the items listed above, be sure to:</p> <ul style="list-style-type: none"> • Note if the participants follow the plan and procedures related to the items listed above, unless otherwise indicated in the extent of play agreement. If not, were there any adverse consequences? Are changes to the plan or procedures recommended as a result? • Note if the key personnel in leadership roles make timely decisions. Also, observe whether the decision-makers obtained input from their support staff. • Document how key personnel in leadership roles resolve conflicts, if they arise. |

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Sub-Element 1.d—Communications Equipment

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| What the Policy Says | <p>Intent This sub-element derives from NUREG-0654, which provides that Offsite Response Organizations (ORO) should establish reliable primary and backup communication systems to ensure communications with key emergency personnel at locations such as the following: appropriate contiguous governments within the emergency planning zone (EPZ), Federal emergency response organizations, the licensee and its facilities, emergency operations centers (EOC), and field teams.</p> <p>Criterion 1.d.1: At least two communication systems are available, at least one operates properly, and communication links are established and maintained with appropriate locations. Communications capabilities are managed in support of emergency operations. (NUREG-0654, F.1, 2).</p> <p>Minimum Frequency Criterion 1.d.1 is to be evaluated every exercise.</p> <p>Extent of Play OROs will demonstrate that a primary and at least one backup system are fully functional at the beginning of an exercise. If a communications system or systems are not functional, but exercise performance is not affected, no exercise issue will be assessed. Communications equipment and procedures for facilities and field units should be used as needed for the transmission and receipt of exercise messages. All facilities and field teams should have the capability to access at least one communication system that is independent of the commercial telephone system. Responsible OROs should demonstrate the capability to manage the communication systems and ensure that all message traffic is handled without delays that might disrupt the conduct of emergency operations. OROs should ensure that a coordinated communication link for fixed and mobile medical support facilities exists. The specific communications capabilities of OROs should be commensurate with that specified in the response plan and/or procedures. Exercise scenarios could require the failure of a communications system and the use of an alternate system, as negotiated in the Extent of Play agreement.</p> <p>All activities associated with the management of communications capabilities must be demonstrated based on the ORO's plans and procedures and completed as they would be in an actual emergency, unless otherwise noted above or in the Extent of Play agreement.</p> |
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| Preparing to Evaluate This Criterion | Before the exercise, determine, according to the ORO's plan/procedures and the Extent of Play agreement: <ul style="list-style-type: none">• What types of communications system(s) are available?<ul style="list-style-type: none">➤ Primary?➤ Alternate or backup?➤ Dedicated Line?• What types of communications system(s) are to be demonstrated?• Is a communications check with other jurisdictions, field teams and/or other support organizations specified? |
| During the Exercise | During the exercise, in addition to evaluating activities related to the items listed above, be sure to: <ul style="list-style-type: none">• Note any communications equipment failures. If there were failures, document them in your narrative. Did any communications failures affect exercise performance? If so, describe the issue in your write-up.• Identify the communication system(s) available independent of commercial telephone.• Ensure that the primary and at least one backup communication system are fully functional at the commencement of the exercise.• Observe whether a communications check with other jurisdictions, field teams, and/or other support organizations was performed. |

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Sub-Element 1.e— Equipment and Supplies to Support Operations

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| What the Policy Says | <p>Intent This sub-element derives from NUREG-0654, which provides that Offsite Response Organizations (OROs) have emergency equipment and supplies adequate to support the emergency response.</p> <p>Criterion 1.e.1: Equipment, maps, displays, dosimetry, potassium iodide (KI), and other supplies are sufficient to support emergency operations. (NUREG-0654, H.7,10; J.10.a, b, e, J.11; K.3.a).</p> <p>Minimum Frequency Criterion 1.e.1 is to be evaluated every exercise.</p> <p>Extent of Play Equipment within the facility (facilities) should be sufficient and consistent with the role assigned to that facility in the ORO's plans and/or procedures in support of emergency operations. Use of maps and displays is encouraged.</p> <p>All instruments should be inspected, inventoried, and operationally checked before each use. Instruments should be calibrated in accordance with the manufacturer's recommendations. Unmodified CDV-700 series instruments and other instruments without a manufacturer's recommendation should be calibrated annually. Modified CDV-700 instruments should be calibrated in accordance with the recommendation of the modification manufacturer. A label indicating such calibration should be on each instrument, or calibrated frequency can be verified by other means. Additionally, instruments being used to measure activity should have a range of readings sticker affixed to the side of the instrument. The above considerations should be included in 4.a.1 for field team equipment; 4.c.1 for radiological laboratory equipment (does not apply to analytical equipment); reception center and emergency worker facilities' equipment under 6.a.1; and ambulance and medical facilities' equipment under 6.d.1.</p> <p>Sufficient quantities of appropriate direct-reading and permanent record dosimetry and dosimeter chargers should be available for issuance to all categories of emergency workers that could be deployed from that facility. Appropriate direct-reading dosimetry should allow individual(s) to read the administrative reporting limits and maximum exposure limits contained in the ORO's plans and procedures. Dosimetry should be inspected for electrical leakage at least annually and replaced, if necessary. CDV-138s, due to their documented history of electrical leakage problems, should be inspected for electrical leakage at least quarterly and replaced if necessary. This leakage testing will be verified during the exercise, through documentation submitted in the Annual Letter of Certification, and/or through a staff assistance visit.</p> <p>Responsible OROs should demonstrate the capability to maintain inventories of KI sufficient for use by emergency workers, as indicated on rosters; institutionalized individuals, as indicated in capacity lists for facilities; and, where stipulated by the plan and/or procedures, members of the general public (including transients) within the plume pathway EPZ.</p> |
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| | <p>Quantities of dosimetry and KI available and storage locations(s) will be confirmed by physical inspection at storage location(s) or through documentation of current inventory submitted during the exercise, provided in the Annual Letter of Certification submission, and/or verified during a Staff Assistance Visit. Available supplies of KI should be within the expiration date indicated on KI bottles or blister packs. As an alternative, the ORO may produce a letter from a certified private or State laboratory indicating that the KI supply remains potent, in accordance with U.S. Pharmacopoeia standards.</p> <p>At locations where traffic and access control personnel are deployed, appropriate equipment (for example, vehicles, barriers, traffic cones and signs, etc.) should be available or their availability described.</p> <p>All activities must be based on the ORO's plans and procedures and completed as they would be in an actual emergency, unless noted above or otherwise indicated in the Extent of Play agreement.</p> |
| <p>Preparing to Evaluate This Criterion</p> | <p>Before the exercise, determine, according to the ORO's plan/procedures and the Extent of Play agreement:</p> <ul style="list-style-type: none"> • What types of displays should be used? • If dosimetry is to be issued at the evaluation location, what types and quantities of dosimetry should be available and where are they located before distribution? To whom would the dosimeters be returned at the end of the emergency? • Is an administrative exposure limit specified? • Will the available direct reading dosimeters (DRDs) allow for the reading of the exposure limit? • Does the plan/procedure describe a dosimeter correction factor? • What types and quantities of survey instruments should be available? • What types and quantities of barricades and other equipment for access and traffic control should be available? |
| <p>During the Exercise</p> | <p>During the exercise, in addition to evaluating activities related to the items listed above, be sure to:</p> <ul style="list-style-type: none"> • Note any displays used by the ORO. • If instructed, verify the quantities of DRDs and TLDs, and the testing/calibration dates of DRDs and survey instruments. • If instructed, verify that field instruments have been calibrated in accordance with manufacturers' specifications or at least annually. • If instructed, verify annual leakage checks for mR DRDs., and quarterly leakage checks for CDV-138's. • If instructed, verify that there are sufficient quantities of KI within the expiration date for those who may need to take it. (If KI is beyond the expiration date, does the ORO have a letter from a certified private or State laboratory indicating that the supply is still potent?) • If instructed, verify that appropriate equipment, e.g., barriers, cones, etc., is available for traffic and access control activities. |