

SELF-ASSESSMENT CHECKLIST

TRAINING AND DRILLS

DOE Emergency Management training programs ensure that personnel are prepared to respond to, manage, mitigate, and recover from emergencies associated with DOE operations. Training programs include both classroom instruction and hands-on experience. Participants include personnel assigned to the facility/site Emergency Response Organization (ERO), onsite response personnel (i.e., fire, medical, security, health physics, industrial hygiene, hazardous material, etc.) general employees, and members of offsite response organizations.

General training for employee response, required as part of the Operational Emergency Base Program, could be included as part of an employer's General Employee Training (GET) Program. Emergency-related information includes emergency awareness, warnings and alarms, evacuation, accountability, and first aid. Employees assigned to specific responsibilities for onsite emergency response receive additional training.

The Operational Emergency Hazardous Materials Program necessitates a coordinated program of training and drills for developing and/or maintaining specific emergency response capabilities for all personnel and organizations that the site/facility expects to respond to onsite emergencies. This training program consists of a combination of self-study/homework, formal classroom training, and drills. Both initial and annual refresher training should be provided for the instruction and qualification of all personnel (primary and alternate) comprising the ERO. Emergency-related training should also be made available to offsite response organizations.

The Emergency Management System Program Administrator should produce and annually update the Training Program Plan to assure that the program is accurate and focused on the site/facility personnel knowledge and performance needs for both the Operational Emergency Base Program and the site's Hazardous Material Program.

The checklist on the attached pages focuses on the more extensive needs of a Hazardous Materials Program, but provides useful considerations for the needs of a Base Program. For more detailed guidance on a training and drill program, refer to Volume V of the Emergency Management Guide, DOE Guide 151.1-1.

Base Program. All workers who may be required to take protective actions (e.g., assembly, evacuation, shelter) are to be provided with initial training and periodic drills. Training should be provided at the time of employment, when expected response actions change, or when the emergency plan changes. Initial and annual refresher training should be provided to certified operators and supervisors, workers who are likely to witness emergency conditions, those required to notify proper authorities, and workers required to attain "first responder awareness level" as described in 29 CFR 1910.120. In addition, emergency-related information and training on site-specific conditions and hazards should be made available to offsite personnel who may be requested to respond to an emergency at the DOE site/facility.

Hazards Material Program. The Hazards Assessment combined with the Hazardous Waste Operations and Emergency Response (HAZWOPER) and Safety Analysis Report (SAR) programs should be the source of scenarios and source terms for use in developing facility-specific training and drills. Training, ranging from GET to ERO Manager, should be customized around the Hazards Assessment and HAZWOPER programs and their associated program elements.

Review Criteria for Training and Drills	Yes	No	Not Applicable
GENERAL REQUIREMENTS			
1. Is there a comprehensive and systematic training program plan for accomplishing emergency management training goals to include:			
a. Training objectives?			
b. Target audience?			
c. An outline and schedule of training?			
d. Resources?			
e. Facilities?			
f. Organizational responsibilities?			
g. Program administration?			
2. Does the Emergency Management System Program Administrator produce and annually update the Training Program Plan to assure that the program is accurate and focused on the site/facility personnel knowledge and performance needs for both the Operational Emergency Base Program and the site's Hazardous Material Program?			
Comments: (A brief explanation should be provided for any "NO" response.)			
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BASE PROGRAM			
1. Have all workers who may be required to take protective actions (e.g., assembly, evacuation, shelter) been provided with:			
a. Initial training?			
b. Periodic drills?			
c. Refresher training?			
d. Training when expected response actions change?			
e. Training when the emergency plan changes?			

Review Criteria for Training and Drills	Yes	No	Not Applicable
2. Is initial and annual refresher training provided to:			
a. Certified operators?			
b. Supervisors?			
c. Workers who are likely to witness emergency conditions?			
d. Those workers required to notify proper authorities?			
e. Workers required to attain "first responder awareness level" as described in 29 CFR 1910.120?			
3. Is emergency-related information and training on site-specific conditions and hazards made available to offsite personnel who may be requested to respond to an emergency at the DOE site/facility?			
4. Does the training for a Base Program include the following areas:			
a. Overview of the Emergency Management Program for the facility including information on Emergency Response Organizations (EROs)?			
b. Emergency plans and procedures including:			
(1) Notification protocols?			
(2) Alarms/warning systems for work areas?			
c. Employee accountability?			
d. Response procedures?			
e. Protective actions?			
5. Is training required under the Base Program, but not covered by General Employee Training (GET), provided for individuals based on job responsibilities? (GET is provided to new personnel and covers site hazards, security, and protective actions such as evacuation, assembly, and sheltering.)			
6. Is emergency management training that is incorporated into GET documented?			
7. Is separate documentation maintained for any additional training or retraining that is not included in GET?			
8. Is the training program reviewed and updated periodically, or as required, based on changes in related emergency plans/procedures?			

9. Is refresher training provided when plans, procedures, systems/equipment, or their expected protective actions change?			
Review Criteria for Training and Drills	Yes	No	Not Applicable
NOTE: The remaining sections of this checklist are focused on a program more extensive than a minimal Base Program.			
Comments: (A brief explanation should be provided for any "NO" response.)			
HAZARDOUS MATERIAL PROGRAM			
1. General. The training should be designed to instruct personnel (primary and alternate) included in the facility Emergency Response Organization (ERO) and should provide for sites/facilities activities within their cognizance. The training program should be "commensurate with the hazards" identified in the Hazards Assessments. Individual training should be commensurate with assigned emergency response responsibilities. Training topics should reflect the functional position and responsibilities of the trainee. Is training provided on the following topics:			
a. Emergency facilities and equipment?			
b. Management and decision making?			
c. Basis for Protective Action Recommendations (Hazards Assessments/ consequence assessment)?			
d. Consequence assessment/dose projection?			
e. Notifications/communications?			
f. Emergency categorization and classification?			
g. Protective actions/protective action recommendations?			
h. Activation and coordination of response resources?			
i. Coordination and liaison with offsite response and support organizations?			
j. Control of onsite emergency activities?			
k. Emergency medical support?			

l. Emergency public information?			
m. Field monitoring?			
Review Criteria for Training and Drills	Yes	No	Not Applicable
n. Program administration?			
Comments: (A brief explanation should be provided for any "NO" response.)			
2. Management and Administration. Does the Emergency Management Program Administrator (or, if delegated, the emergency management training program manager) ensure the following:			
a. Development of a comprehensive emergency management training plan?			
b. Identification of adequate resources for program implementation, including facilities, equipment, and budget, etc.?			
c. Coordination of adequate resources for program implementation, including facilities, equipment, and budget, etc.?			
d. Identification of training needs?			
e. Development of training activities?			
f. Development of a schedule for training activities?			
g. Delivery of training activities?			
h. Accessibility to a qualified training staff?			
i. Coordination of record keeping?			
j. Conduct of periodic self-assessments, including evaluating instruction and reviewing materials?			
k. Training program is reviewed and updated periodically, or as required, based on changes in related emergency plans/procedures?			
l. Refresher training is provided when plans, procedures, systems/equipment, or their expected protective actions change?			

Comments: (A brief explanation should be provided for any "NO" response.)			
Review Criteria for Training and Drills	Yes	No	Not Applicable
3. Program Objectives and Guidelines. A coordinated program of training and drills must be in place to develop and maintain the required emergency response capabilities. Qualification standards will affect the type, amount, frequency, and costs of training. Both initial and refresher training are required for qualification of all personnel in the ERO.			
a. Do all personnel (primary and alternate) participate in at least one drill or exercise annually?			
b. Is training provided on changes in requirements or procedures?			
c. Are lessons learned from actual and/or exercise events discussed?			
d. Does the training include a mix of:			
(1) Classroom instruction?			
(2) Tabletop activities or walk-throughs?			
(3) Drills or "hands-on instruction"?			
e. Is specialized team training provided for personnel who function as members of emergency field response teams and other functional groups within the ERO, such as the Consequence Assessment Team?			
f. Is specialized team training provided annually to individuals who regularly respond as a team as well as to individuals who function as alternate team members?			
g. Is training in the areas below provided to ERO decision-makers to allow those individuals to perform their duties promptly and accurately:			
(1) Training emphasizing the need for prompt, accurate, and practical judgments involving event categorization and classification, protective actions, and the urgency of notifications of Operational Emergencies?			

(2) Emergency Action Levels (EALs) to improve the proficiency of ERO decision-makers in timely and conservative classification of Operational Emergencies, including decision-making when information is incomplete or uncertain and for events and conditions that are not covered explicitly by the EALs?			
(3) Validation of proficiency by participation in performance tests that employ hypothetical scenarios and available site/facility aids such as EALs?			
h. Do drills address response scenarios that are realistic for the facilities involved?			
Review Criteria for Training and Drills	Yes	No	Not Applicable
i. Do response teams drill as a unit to the extent possible?			
j. Is facility-specific orientation training on hazards and emergency response procedures offered annually to:			
(a) State emergency response organizations?			
(b) Tribal emergency response organizations?			
(c) Local emergency response organizations?			
(d) All parties (Federal, state, tribal, and local agencies, and DOE and DOE contractor facilities) of mutual aid agreements for emergency events?			
k. Has a streamlined, standardized qualification process been established to use for personnel with experience in a closely related industry or for new personnel who have transferred from other DOE sites and contractors?			
Comments: (A brief explanation should be provided for any "NO" response.)			
4. Training Program Plan Contents. An emergency management training program should be developed to provide a systematic view of program goals, organizational responsibilities, resources, and planned activities. Does the training plan include the following:			
a. Emergency Management Training Program goals?			

b. An outline of training activities (i.e., an annotated listing of the courses and drills provided by the emergency management training program, along with terminal objectives for each activity)?			
c. Resources and facilities (classroom space, laboratories, and equipment (radios, protective clothing) and reference material to support the training activities)?			
d. Qualification and requalification requirements (e.g., standards for successful completion of each training activity and requirements for updating, retraining, and remedial training)?			
e. A description of the emergency management training organization?			
f. The target audience (e.g., support staff, emergency response personnel, specialized teams)?			
Review Criteria for Training and Drills	Yes	No	Not Applicable
g. A schedule for training activities (i.e., a schedule for developing, delivering, and evaluating training activities)?			
h. Materials review and approval requirements (e.g., signature requirements to verify that the training materials have been reviewed and are acceptable to those who signed off on the documents)?			
i. Training documentation and record keeping requirements including:			
(1) A consistent, auditable method of maintaining records including files of course materials to track method of course content?			
(2) A means for tracking:			
(a) Attendance?			
(b) Student status?			
(c) Scheduled training including a system for reminding employees when training is needed?			
j. Instructor qualifications (i.e., an instructional training and qualification program description for emergency management instructors/trainers, including part-time contractual trainers (consultants) and offsite training support)?			
k. Analysis and design (i.e., training activities including classroom instruction, computer-based instruction, tabletop "role play," and drills should be based on a systematic approach to analysis and design of the training system)?			

<p>l. A position-specific training matrix showing required training topics for facility ERO positions? (The training matrix should identify onsite and offsite audiences and topical requirements.)</p>			
<p>m. A training implementation matrix that clearly shows the relationship between the selection and qualification requirements for personnel with emergency management responsibilities and their training requirements?</p>			
<p>Comments: (A brief explanation should be provided for any "NO" response.)</p>			
<p>Review Criteria for Training and Drills</p>	<p>Yes</p>	<p>No</p>	<p>Not Applicable</p>
<p>5. Training Development.</p>			
<p>a. Has a needs analysis been performed to identify the differences between what ability levels are required and the ability levels of ERO personnel?</p>			
<p>b. Does the needs analysis include training and drill requirements for responders established by DOE and other agencies?</p>			
<p>c. Has a job analysis been performed to determine position-specific tasks for training?</p>			
<p>d. Have learning objectives been developed from training needs analyses?</p>			
<p>e. Do learning objectives identify and address the knowledge and skills necessary to perform the position-specific responsibilities?</p>			
<p>f. Have qualification standards been developed to determine whether the knowledge or skills learned by trainees will be remembered and performed in a future emergency?</p>			
<p>g. Were lesson plans derived from the training needs analyses?</p>			
<p>h. Did lessons plans undergo a through review and approval process?</p>			
<p>i. Do lesson plans reflect good instructional design and maximize knowledge and skill retention?</p>			
<p>j. Are lesson plans sufficiently detailed to ensure consistency of instruction between instructors and facility training offices?</p>			

k. Does the lesson plan identify:			
(1) Trainee prerequisites?			
(2) Course duration?			
(3) Learning objectives?			
(4) Instructional aids?			
(5) Presentation method?			
(6) Evaluation method?			
l. Do training materials effectively support and reinforce the training objectives?			
m. Do training materials emphasize or replicate position-specific information and situations?			
Review Criteria for Training and Drills	Yes	No	Not Applicable
n. Do training materials include:			
(1) Handouts?			
(2) Audio/visual aids?			
(3) Trainee workbooks?			
(4) Other items?			
o. Are trainee manuals containing handouts, objectives, worksheets, etc. available during training to support classroom or computer-based instruction?			
p. Training and drills should conclude with some form of measurement or demonstration that indicates completion of training objectives and achievement of qualification standards. Were comprehensive, written examinations given to trainees based on position qualification requirements?			
q. Do examinations contain a representative selection of test items identified from the learning objectives and developed from the job and/or task analyses?			
r. For some skills, was a demonstration or simulated response activities used to determine trainee qualifications?			
s. Were new courses evaluated for the adequacy of:			
(1) Program and lesson content?			

(2) Examinations?			
(3) Presentation?			
(4) Documentation?			
(5) Post-training performance?			
t. Did the evaluation process:			
(1) Determine individual strengths and weaknesses?			
(2) Improve program content and delivery?			
(3) Ensure revisions were made as appropriate?			
u. Did the new course development process include evaluation and validation of the effectiveness of course materials through the use of:			
(1) Pilot presentations?			
Review Criteria for Training and Drills	Yes	No	Not Applicable
(2) Peer reviews?			
(3) Review by subject matter experts?			
Comments: (A brief explanation should be provided for any "NO" response.)			
<p>6. Training Delivery The type of delivery selected for emergency management training courses should be based on the learning objectives and the nature of the teaching and learning tasks. To be effective, training programs should combine classroom presentation and student participation methods with the use of experiential sessions whenever possible. Realism should be maximized within the constraints of safe facility operation and trainee safety (e.g. personnel should wear protective equipment while performing drills in simulated hazardous material fields). Were the following methods used to deliver training:</p>			
a. Live lecture?			
b. Live demonstration?			
c. Live video lecture/demonstration?			

d. Videotaped lecture/demonstration?			
e. Computerized lecture/demonstration (diskette or compact disk).			
f. Student involvement is very effective in a group learning environment and to ensuring that a class as a whole has achieved a similar level of knowledge. Were the following student participation methods used for training:			
(1) Lecture with student input required?			
(2) Student reports/presentations and projects?			
(3) Facilitated group discussion?			
(4) Group tasks?			
(5) Student-assisted demonstrations?			
(6) Team task assignments?			
(7) Tabletop training activities?			
Review Criteria for Training and Drills	Yes	No	Not Applicable
(8) Hands-on drills?			
(9) Interactive computer programs?			
(10) Assigned/acknowledged training?			
Comments: (A brief explanation should be provided for any "NO" response.)			
7. Tabletop Activities. Tabletop activities provide a focused, cost-effective training experience. Activities may range from lecture and guided discussion to a detailed verbal simulation of a response to a particular scenario. Objectives for the tabletop will determine the focus of the action (overall coordination versus detailed problem solving). A tabletop requires significant preparation to ensure that objectives can be satisfied.			
a. Was a skilled instructor or moderator used to maximize the benefit from the tabletop training activity?			
b. If the tabletop involved multiple response groups, were these groups involved in the planning process?			

Comments: (A brief explanation should be provided for any "NO" response.)			
8. Drills. Drills are supervised hands-on instruction and application sessions for individuals or teams. These sessions provide an opportunity to demonstrate and maintain individual and organizational proficiency.			
a. Are drills of sufficient scope, duration, and frequency to ensure adequate training for all elements applicable to the facility?			
b. Are safety and security plans included in the drills?			
c. Are building/work area evacuation and other protective action drills conducted and documented in accordance with Federal, state, and local laws and regulations, or National Fire Protection Association standards?			
d. Is the training during drills designed to be as realistic as possible?			
Review Criteria for Training and Drills	Yes	No	Not Applicable
e. Do controllers stop the training to correct the responders' actions during the response, as necessary?			
f. Are drills developed or modified based upon feedback from actual events, exercise evaluations, and self-assessments?			
g. Are drills developed to validate new or revised procedures and equipment modifications?			
Comments: (A brief explanation should be provided for any "NO" response.)			
9. Is a coordinated training schedule developed for:			
a. Training classes?			
b. Drills?			
c. Exercises?			

Comments: (A brief explanation should be provided for any "NO" response.)			
10. Evaluation.			
a. Are tabletops used to verify and validate training program components?			
b. Is the performance during an exercise or actual response used to evaluate the effectiveness of the training program?			
c. Do evaluators, controllers, and players identify problems noted during the response?			
Comments: (A brief explanation should be provided for any "NO" response.)			
Review Criteria for Training and Drills		Yes	No
DRAFT			
11. Self -Assessment. Self-assessment is an important tool for maintaining and improving the emergency management training program.			
a. Does the Emergency Manager or his/her designee conduct periodic assessments of the training program to ensure that all members of the ERO are trained or qualified in pertinent aspects of emergency management?			
b. Was emergency management training documentation reviewed during the self-assessment?			
c. Were the results of the self-assessment activities used to improve the emergency management training program?			
Comments: (A brief explanation should be provided for any "NO" response.)			

<p>12. Training Documentation and Records. Maintaining proper documentation is essential to providing complete and accurate records of both the emergency management training program and the qualifications of facility emergency management employees. Documentation for the emergency management training program includes both the administrative records for the program and individual training records. Administrative records are used to show how the training program has been developed, reviewed, analyzed, evaluated, and maintained. Individual training records are necessary to document the training and qualification of members of the ERO.</p>			
<p>a. Are administrative records maintained?</p>			
<p>b. Are individual training and qualification records kept for all personnel who have an assigned response role?</p>			
<p>c. Do training records include:</p>			
<p>(1) Administrative guides?</p>			
<p>(2) Evaluation materials for training staff and trainees?</p>			
<p>(3) Records documenting development of performance-based training?</p>			
<p>(4) Evaluations of drills and exercises that relate to training (e.g., validation of training, recommendations for changes in training, etc.)?</p>			
<p>DRAFT Review Criteria for Training and Drills</p>	<p>Yes</p>	<p>No</p>	<p>Not Applicable</p>
<p>(5) Evidence of satisfactory completion of training (e.g., attendance, test results, etc.)?</p>			
<p>(6) Documentation of instructor qualification?</p>			
<p>(7) Results of self-assessments?</p>			
<p>Comments: (A brief explanation should be provided for any "NO" response.)</p>			