

**Emergency  
Management  
Guide**

**VOLUME I**



**INTRODUCTION  
TO THE  
EMERGENCY  
MANAGEMENT  
GUIDE**

**August 1997**

**Department of Energy  
Office of Emergency Management  
Office of Nonproliferation  
and National Security**

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# **EMERGENCY MANAGEMENT GUIDE FOR THE IMPLEMENTATION OF DOE O 151.1**

## **I. INTRODUCTION TO THE EMERGENCY MANAGEMENT GUIDE**

## **II. HAZARDS SURVEYS AND HAZARDS ASSESSMENTS**

## **III. PROGRAM ELEMENTS (1)**

- 1. EMERGENCY RESPONSE ORGANIZATION**
- 2. OFFSITE RESPONSE INTERFACES**
- 3. CATEGORIZATION AND CLASSIFICATION OF OPERATIONAL EMERGENCIES**
- 4. NOTIFICATIONS AND COMMUNICATIONS**

## **IV. PROGRAM ELEMENTS (2)**

- 1. CONSEQUENCE ASSESSMENT**
- 2. PROTECTIVE ACTIONS AND REENTRY**
- 3. EMERGENCY MEDICAL SUPPORT**
- 4. EMERGENCY PUBLIC INFORMATION**
- 5. EMERGENCY FACILITIES AND EQUIPMENT**
- 6. TERMINATION AND RECOVERY**

## **V. ADMINISTRATION AND TRAINING**

- 1. PROGRAM ADMINISTRATION**
- 2. STANDARD FORMAT AND CONTENT FOR EMERGENCY PLANS**
- 3. EMERGENCY READINESS ASSURANCE PLANS (ERAPs)**
- 4. TRAINING AND DRILLS**

## **VI. EVALUATIONS**

- 1. EMERGENCY MANAGEMENT SYSTEM EVALUATION PROGRAMS**  
[Not included in this version]
- 2. PROGRAM EVALUATION CRITERIA**  
[Not included in this version]
- 3. EXERCISE EVALUATION CRITERIA**  
[Not included in this version]

## **VII. EXERCISES**

- 1. DEVELOPMENT AND CONDUCT OF EXERCISES**
- 2. GENERIC EXERCISE OBJECTIVES**
- 3. EXERCISE CONTROLLER AND EVALUATOR MANUAL**

## **VIII. RESPONSE ASSETS**

- 1. DOE EMERGENCY RESPONSE ASSETS**  
[Not included in this version]
- 2. EMERGENCY DEPLOYMENT READINESS EVALUATION (EDRE)**  
[Not included in this version]

## **IX. TRANSPORTATION EMERGENCY MANAGEMENT SYSTEM** [Not included in this version]

## **X. HAZWOPER EMERGENCY RESPONSE** [Not included in this version]

## **XI. GLOSSARY OF EMERGENCY MANAGEMENT TERMS** [Not included in this version]

## TABLE OF CONTENTS

1.	COMPREHENSIVE EMERGENCY MANAGEMENT SYSTEM . . . . .	1-1
2.	IMPLEMENTATION APPROACH . . . . .	2-1
2.1	Planning and Preparedness . . . . .	2-1
2.2	Response . . . . .	2-3
3.	APPLICATION . . . . .	3-1
4.	ORGANIZATION . . . . .	4-1
5.	CHAPTER SUMMARIES . . . . .	5-1
5.1	Volume II: <i>Hazards Surveys and Hazards Assessments</i> . . . . .	5-1
5.2	Volume III: <i>Program Elements (1)</i> . . . . .	5-1
5.3	Volume IV: <i>Program Elements (2)</i> . . . . .	5-2
5.4	Volume V: <i>Administration and Training</i> . . . . .	5-4
5.5	Volume VI: <i>Evaluations</i> . . . . .	5-5
5.6	Volume VII: <i>Exercises</i> . . . . .	5-5
6.	UPDATES AND CHANGES . . . . .	6-1
7.	BIBLIOGRAPHY . . . . .	7-1
	APPENDIX A REPLACED EMERGENCY MANAGEMENT GUIDES . .	7-A-1

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# 1. COMPREHENSIVE EMERGENCY MANAGEMENT SYSTEM

## **DOE Order 151.1, COMPREHENSIVE EMERGENCY MANAGEMENT**

**SYSTEM**, issued September 25, 1995, following approval of all DOE elements and the Directives Management Board, describes the Department of Energy (DOE) Emergency Management System (EMS). The Order establishes policy; assigns roles and responsibilities; and provides the framework for the development, coordination, control, and direction of the DOE EMS. The Order establishes requirements for emergency planning, preparedness, response, recovery, and readiness assurance activities and describes the approach for effectively integrating these activities under a **comprehensive, all-emergency concept**. DOE facilities/sites or activities, Operations/Field Offices, and DOE Headquarters offices are required to develop emergency management programs as elements of an integrated and comprehensive EMS. Together, these elements ensure that the DOE EMS is prepared to respond promptly, efficiently, and effectively to any emergency involving DOE facilities/sites, activities, or operations, to protect workers, the public, the environment, and national security.

The **Emergency Management Guide (EMG)** provides non-mandatory guidance for the implementation of the requirements pertaining to the DOE comprehensive EMS. The EMG is applicable to all DOE facilities/sites, activities, and operations and to all DOE organizational levels (facility/site, Operations/Field Office, and Headquarters offices). Emphasis is placed on guidance for the Operational Emergency Programs at facilities/sites.

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## 2. IMPLEMENTATION APPROACH

### 2.1 Planning and Preparedness

The DOE comprehensive EMS is based on a three-tiered management structure consisting of DOE facilities/sites, Operations/Field Offices, and Headquarters, with each tier having specific roles and responsibilities during an emergency. Each organizational tier provides management, direction, and support of emergency response activities. The facility/site manages the **tactical response** to the emergency by directing the mitigative actions necessary to resolve the problem, protect the workers, the public, and the environment, and return the facility to a safe condition. The DOE Operations/Field Office oversees the facility response and provides assistance and guidance to the facility management. DOE Headquarters provides **strategic direction** to the response, provides assistance and guidance to the Operations/Field Office, and evaluates the broad impacts of the emergency on the DOE complex. Headquarters also coordinates with other Federal agencies on a national level, provides information to representatives of the executive and legislative branches of the Federal government, and responds to inquiries from the national media.

DOE O 151.1 requires that emergency management programs be established and maintained at each organizational level to implement requirements pertaining to the comprehensive EMS. Because DOE and its contractors are involved in a variety of operations and activities incorporating a broad range of hazards which must be considered in effective emergency management, the Order requires that the emergency management program for a specific facility/site be **commensurate with the hazards** present at that facility/site (i.e., a tailored or graded approach.)

Each DOE facility/site is required by DOE O 151.1 to have an **Operational Emergency Base Program** which provides the framework for response to serious events or conditions that involve the health and safety of workers and the public, the environment, and safeguards and security. Although DOE O 151.1 establishes several DOE-unique requirements as well as a minimum set of generic requirements for the Base Program, the framework for response results mainly from the implementation of the requirements of DOE regulations, other DOE orders, and applicable non-DOE Federal, state, and local laws/regulations/ordinances. The specific requirements that constitute the Operational Emergency Base Program are the **emergency planning and preparedness** aspects of these Orders and laws/regulations/ordinances. (Examples of emergency response features addressed in other Orders and laws/regulations/ordinances include: medical support, worker evacuation plans, fire drills, worker notification systems, hazardous material responder training, hazardous material communication labeling and transport logistics, contingency planning for oil spills, environmental spill drills and exercises, and DOE security and safeguards requirements.) The objective of the **Base Program** is to achieve

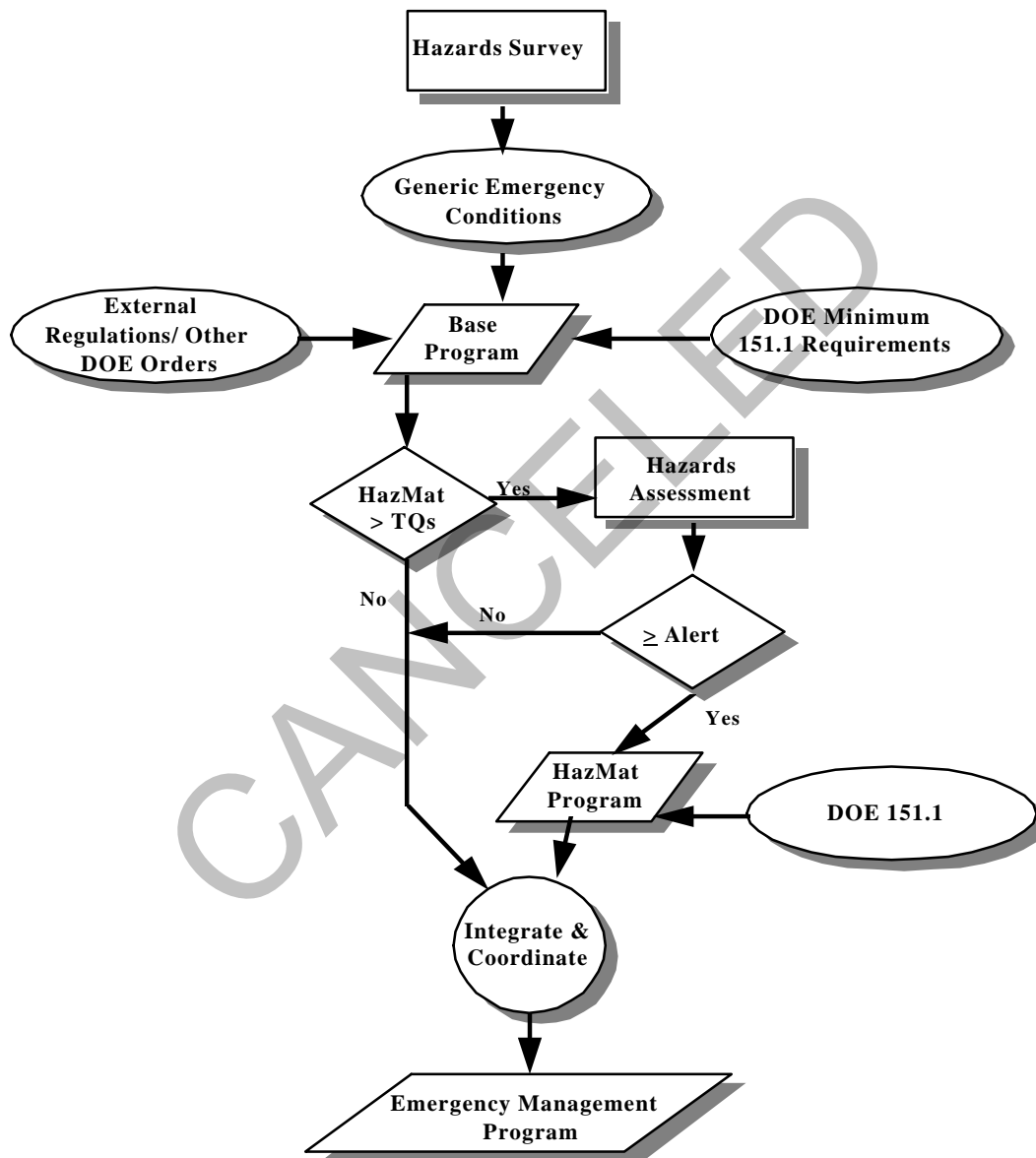
an **effective integration of emergency planning and preparedness requirements** into an emergency management program that provides capabilities for **all-emergency** response, through communication, coordination, and an efficient and effective use of resources.

The **Hazards Survey**, required by DOE O 151.1 for each facility/site, is used to identify the generic emergency events or conditions which define the scope of the emergency management program at a facility/site. The **Hazards Survey** is a qualitative examination of the events or conditions specific to the facility/site which may require an emergency response. The description of the potential impacts of such events or conditions contained in the Hazards Survey determines the planning and preparedness requirements that apply. These requirements constitute the **Base Program**. The Hazards Survey is the formal mechanism to determine the scope and extent of the Base Program. If hazardous materials are not present at the facility/site, or are present in quantities less than the specified threshold quantities, then the Base Program appropriately defines the facility/site emergency management program that meets the requirements of DOE O 151.1.

A facility/site-specific **Hazards Assessment** is required by DOE O 151.1 to be conducted for each DOE facility/site where hazardous materials are present in quantities exceeding the specified threshold quantities. A **Hazards Assessment** is a quantitative analysis that includes the identification and characterization of hazardous materials specific to a facility/site, analyses of potential accidents or events, and evaluation of potential consequences. The results of the Hazards Assessment determine whether an **Operational Emergency Hazardous Materials Program** is required. If the analysis results indicate that potential accident events and conditions are below the criteria for an **Alert** (as defined in DOE O 151.1), the Base Program (which implements non-DOE requirements such as 29 CFR 1910.120) constitutes the appropriate emergency management program for the facility/site. If the analysis results indicate the potential for an **Alert, Site Area Emergency (SAE)**, or **General Emergency (GE)** (as defined in DOE O 151.1), a **Hazardous Materials Program** is required, and the analysis results provide the technical basis for the hazardous materials emergency management program. The **Operational Emergency Base Program**, described above, provides the “**base**” or “**foundation**” for the **Hazardous Materials Program**. The emergency program which results from the “seamless” integration and coordination of these sets of requirements (“base” plus hazardous materials) becomes the emergency management program for the facility/site.

Every conceivable situation cannot be analyzed thus, not every response can be preplanned. However, the development of an adequate Hazards Survey/Hazards Assessment in combination with effective and integrated emergency planning and preparedness provides the framework for response to any emergency event or condition.

Figure 2.1 illustrates the general approach for developing an emergency management program based on the Hazards Survey and Hazards Assessment.



**Figure 1. Development of Planning/Preparedness Requirements for DOE Facility/Site Emergency Management Program**

## 2.2 Response

DOE O 151.1 requires that an **Operational Emergency** be declared when events or conditions at a DOE facility/site or activity require response from outside the immediate/affected facility/site or area of the event. This is the process of **categorizing** an event or condition as an Operational Emergency. Such events or conditions cause, or have the potential to cause:

- Serious health and safety impacts to workers or the public;
- Serious detrimental effects on the environment;
- Direct harm to people or the environment as a result of degradation of security or safeguards conditions; or
- Loss of control over hazardous materials.

Operational Emergency events or conditions, which do not involve the loss of control over hazardous materials, are referred to as “Events That Do Not Require Classification,” in DOE O 151.1. An Operational Emergency involving the **loss of control over hazardous materials** (i.e., involving an actual or potential airborne release to the environment; that is, outside a structure or enclosure on a DOE facility or site) are referred to in the Order as “Events Requiring Classification.” The emergency response to such an event can benefit from a classification scheme that is based on the severity of potential consequences at specific distances from the source of the release. The Order requires that these events be classified as **Alert**, **SAE**, or **GE**, in order of increasing severity. This classification scheme facilitates early decision-making, particularly with respect to response activities, offsite notifications, and protective actions, by making initial decisions during planning rather than during actual response.

Figure 2.2 illustrates the general approach for **categorization** and **classification** of Operational Emergencies.

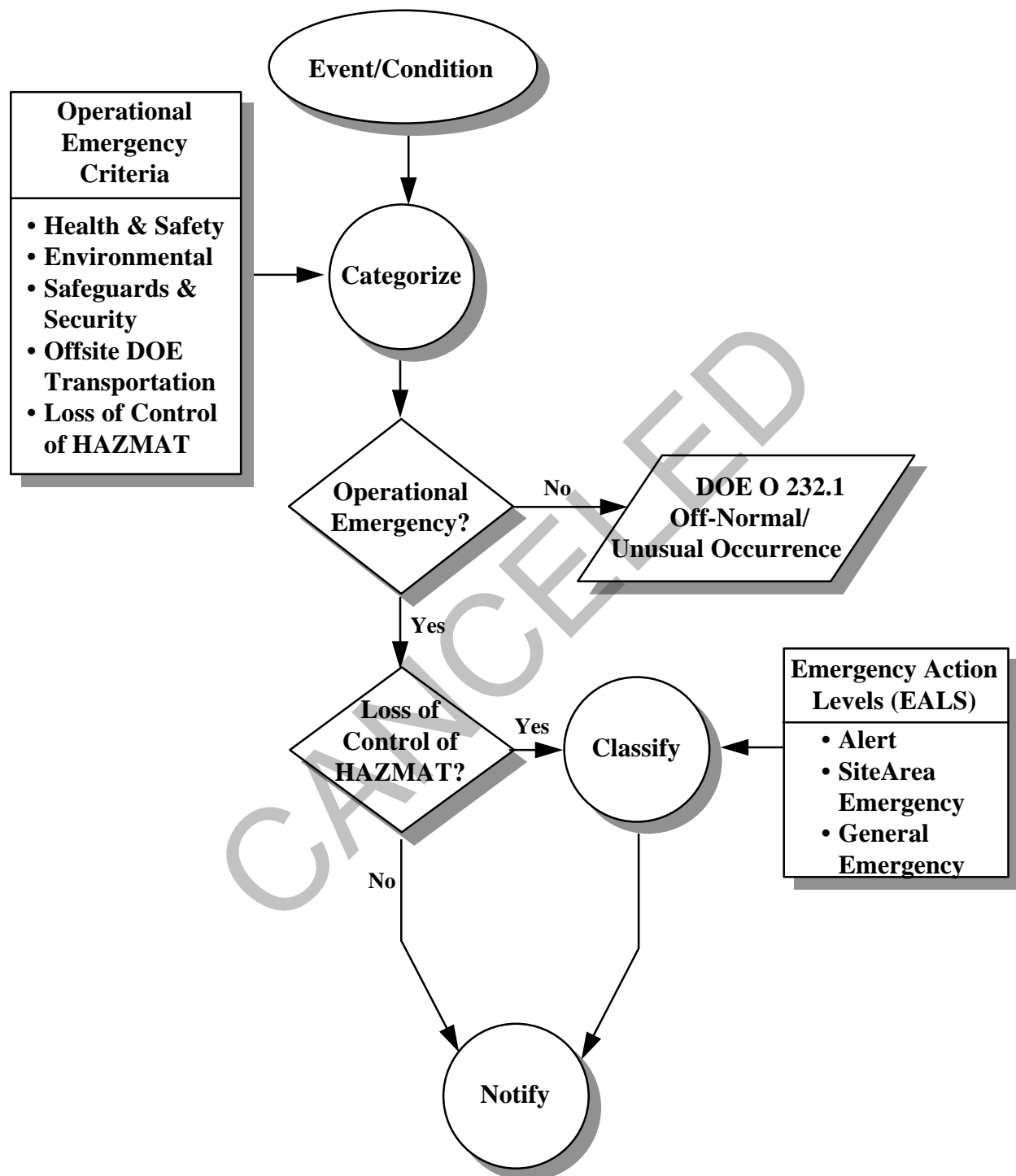


Figure 2. Categorization and Classification of Operational Emergencies

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### **3. APPLICATION**

The EMG provides acceptable approaches to emergency planning, preparedness, response, recovery, and readiness assurance activities at DOE facilities and sites, including DOE transportation activities, Operations/Field Offices, and Headquarters offices. The EMG is provided as guidance only. No new policies, responsibilities, or requirements are established. The guidance contained in the EMG is generic in nature because detailed guidance on every conceivable type of emergency situation for every type of facility cannot be provided. Other equivalent approaches for meeting the Order requirements may be acceptable to accommodate the wide range and diversity of DOE operations and activities, facility types and missions, hazards, and site characteristics. Features such as local and state political structures, geography, and local demography may also contribute to unique facility-specific solutions for developing and maintaining an acceptable emergency management program which complies with the Order requirements.

Using either the guidance contained in the EMG or another acceptable approach to implement the Order requirements, the resulting emergency management program should be integrated and coordinated with regulations and plans developed by other Federal agencies, states, local authorities, and other DOE offices. These regulations and plans may establish requirements similar to those required within the Operational Emergency Hazardous Materials Program, and should be integrated, where applicable, to ensure a standard approach and continuity of effort. Newly issued or revised orders, regulations, or plans should be incorporated, in accordance with corresponding implementation requirements, as soon as reasonably achievable (e.g., during the performance of the annual hazard assessment review/update.)

This EMG replaces previously issued DOE EMG listed in Appendix A.

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## 4. ORGANIZATION

The EMG is organized in terms of functional areas represented by the emergency management **program elements** and associated topics identified in the Order. Each of the chapters covers a separate area with direct application to an emergency management program.

The EMG is divided into eleven (11) volumes. The chapters within the volumes address program elements or associated topics. Each chapter includes an **Introduction** which provides a general discussion of the material to be covered in the chapter and a subsection addressing the **Base Program**. Guidance on implementing the Base Program requirements for the topic is provided either in the Base Program subsection (e.g., if only a minimum requirement is specified) or in a subsequent section in the chapter (e.g., if a more extensive discussion is appropriate.)

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## 5. CHAPTER SUMMARIES

This section provides summaries of the contents of each volume and chapter of the EMG. Each chapter summary indicates the section(s) of the chapter related to the **Base Program**.

### 5.1 Volume II: *Hazards Surveys and Hazards Assessments*

**Hazards Survey and Hazards Assessment.** This volume covers the preparation of the facility-specific Hazards Survey and Hazards Assessment which establish the scope and provide the technical basis for the Operational Emergency Base Program and, if applicable, the Operational Emergency Hazardous Materials Program. The development of Emergency Planning Zones based on the results of the Hazards Assessment is discussed in detail. Approaches for maintaining the Hazards Survey and Hazards Assessment are presented. Using the results of Hazards Surveys and Hazards Assessments in developing emergency management program elements is discussed. Appendices address facility/site boundaries and consequence thresholds. Examples of a Hazards Survey and Hazards Assessment for a hypothetical site and facilities are given in appendices. [Base Program: Introduction; Sections 2, 5; Appendix C]

### 5.2 Volume III: *Program Elements (I)*

**Emergency Response Organization (ERO).** This chapter addresses the establishment and maintenance of the DOE Headquarters Emergency Management Team, Field Element emergency response staff, and facility/site ERO during normal operations, the functions of the on-shift emergency organization, and the staffing of a full facility/site response organization following declaration of an emergency. The organizational structure of the ERO is defined with clearly specified authorities and responsibilities. The configuration and staffing of the ERO is discussed in terms of initial response and staff augmentation during the emergency. The Incident Command structure is addressed in the context of the ERO, and the concept of the Senior Energy Official is presented based on responsibilities specified in other Federal plans and regulations (e.g., the Federal Radiological Emergency Response Plan (FRERP).) [Base Program: Introduction]

**Offsite Response Interfaces.** This chapter describes the provisions which should be in place for interface and coordination with Federal, state, tribal, and local agencies and organizations responsible for offsite emergency response and for protection of the environment and the health and safety of the public. The interrelationships with Federal, state, tribal, and local organizations which should be prearranged and documented in formal plans, agreements, understandings, and/or other pre-arrangements for mutual assistance which detail the emergency measures to be provided by non-DOE entities are

listed. The content of the documentation for these formal agreements is discussed. [Base Program: Introduction]

**Categorization and Classification of Operational Emergencies.** This chapter describes the process by which serious events or conditions are recognized and *categorized* as Operational Emergencies involving or affecting DOE facilities/sites. The development of criteria for quickly categorizing events or conditions is discussed. The chapter also describes the basic principles of *classification* of hazardous materials Operational Emergencies, the relative severity of events which fall into each emergency class (e.g., Alert, SAE, or GE), and the transition from normal/off-normal operations to event categorization and classification. Use of the DOE M 232.1 Occurrence Reporting criteria in the Operational Emergency recognition and decision-making process, or as an Alerting/prompting tool is discussed. The use of protective action criteria for radiological and non-radiological releases to establish hazardous materials emergency classes is addressed. Guidance is provided for developing criteria, known as Emergency Action Levels, used to detect and recognize hazardous materials events and assign them to specific emergency classes. The appendices describe the integration of event categorization and classification with normal operations and provide examples of implementation. [Base Program: Introduction; Section 3.2; Appendices A, B]

**Notifications and Communications.** This chapter discusses several aspects of emergency communications: notification requirements, report contents, communications equipment, and effective responder communications. Emergency reporting includes initial notifications to onsite personnel and offsite authorities and emergency status updates. The selection and maintenance of emergency communication equipment is described. Effective responder communications addresses the accurate, timely, and useful exchange of information during an emergency response. [Base Program: Introduction; Sections 4.2, 4.3]

### 5.3 Volume IV: *Program Elements* (2)

**Consequence Assessment.** The chapter focuses on the process of performing timely initial assessments necessary to support critical first decisions and the continuous process of refining those initial assessments as more information and resources become available. The process is discussed in terms of sequential functional areas: identification of input data/information; calculation of consequences; and the interpretation and communication of results. The integration of the consequence assessment process with emergency classification and protective action decision-making is described. The importance of coordination of information is stressed and quality assurance is discussed. Example: timely initial assessment tools are presented in an appendix. Another appendix gives

example forms and check lists for communicating consequence assessment results. [Base Program: Introduction]

**Protective Actions and Reentry.** This chapter describes the provisions which should be in place for specific, predetermined actions to be taken in response to emergency conditions to protect onsite personnel and the public. The process of protective action decision-making is discussed in terms of Protective Action Criteria and the determination of affected area. The specific applicability of selected protective actions (e.g., sheltering and evacuation) is presented. Accountability methods are described. Reentry activities are addressed in terms of protection of response personnel. The planning, decision-making, and operations aspects of reentry are described. The special case of “rescue and recovery” is discussed with respect to reentry. The management of personnel exposures and the subject of decontamination is addressed. [Base Program: Introduction; Sections 2.3.1, 2.4, 2.5]

**Emergency Medical Support.** This chapter describes the provisions which should be in place for medical support for workers, including those with radiological and/or hazardous material contamination. Discussed are the requirements from DOE O 440.1, which provide for the medical treatment and planning for mass casualty situations and medical response for workers contaminated by hazardous materials. Medical support includes documented arrangements with onsite and offsite medical facilities to accept and treat contaminated, injured personnel. The discussions address the medical organization, facilities and equipment, communications, access and services, and preparedness activities. [Base Program: Introduction; Section 3.2]

**Emergency Public Information.** This chapter describes an emergency public information program which should be established and integrated into the emergency management program. The chapter addresses: the identification of the various emergency response components of the Emergency Public Information (EPI) program and their roles in the emergency; designation of emergency facilities to be used during an emergency; establishment of appropriate broadcast and print media interfaces; establishment of a system to develop and release emergency information; development of programs for EPI training, drills, and exercises including offsite organizations; development of an emergency public education program; and organization of a Joint Information Center (JIC) with representatives of offsite agencies. [Base Program: Introduction; all sections]

**Emergency Facilities and Equipment.** This chapter describes the facilities, equipment, and supplies which should be established and maintained for adequate emergency response support. The chapter describes the role of the Hazards Assessment in defining facility and equipment requirements for emergency response to hazardous material releases. The chapter discusses Emergency Operations Centers and alternates, Command Centers, JICs,

and other types of facilities. Emergency equipment is addressed in terms of its general functions, including: command, control, and communications; consequence assessment; protective actions; medical; and public information. [Base Program: Introduction; Section 5.2]

**Termination and Recovery.** This chapter describes the provisions which should be made for terminating an emergency response and recovery from an Operational Emergency. The chapter presents examples of general conditions that may be embodied in event termination criteria. The response functions related to recovery that need to be included in plans and procedures are discussed, namely the creation of a recovery organization and the conduct of recovery operations. The resumption of normal operations is also addressed. [Base Program: Introduction; all sections]

#### 5.4 Volume V: *Administration and Training*

**Program Administration.** This chapter describes the overall establishment and maintenance of the emergency management program and management responsibilities. The responsibilities of the designated emergency management administrator at each level of the DOE system are discussed; specifically, the administrator at the facility, site, DOE Field Element, and Cognizant Secretarial Officer. The documentation and administrative procedures associated with the position are described. [Base Program: Introduction; all sections]

**Standard Format and Content of Emergency Plans.** This chapter describes the recommended standard format that can be used when developing emergency plans and discusses the details of emergency management program elements that should be included in emergency plans. [Base Program: Introduction; Section 2.2]

**Emergency Readiness Assurance Plan (ERAP).** This chapter discusses the five year ERAPs which are developed to ensure that site emergency plans, implementing procedures, and resources are adequate and sufficiently maintained, exercised, and evaluated. The coordination and approval process are described and the format and content of the ERAP is presented. [Base Program: Introduction; Section 3.3.1]

**Training and Drills.** This element describes general training which should be provided to all workers regarding Operational Emergencies, and specialized training which should be conducted for all workers and be available to all regional Federal, state, tribal, and local emergency response organizations. General concepts related to training programs are discussed, namely, the management and administration of the program, program objectives and guidelines, and contents of the program plan. The development and implementation of the training program at a facility/site are discussed. The delivery of training and

associated logistics is also described. Specific training activities, tabletops and drills, are also addressed. Training evaluation, self-assessments, and documentation are covered. [Base Program: Introduction; Section 4.2]

## 5.5 Volume VI: *Evaluations*

**Emergency Management System Evaluation Programs.** This chapter establishes the administrative and managerial framework for DOE and DOE contractors' programs for EMS evaluations. Guidance is provided for planning, conducting, and documenting evaluations to ensure they are effectively planned, consistently performed, and focused on the goals of the evaluation program. The evaluation programs described in this chapter have applicability at all levels of the DOE EMS. [Base Program: Introduction]

**Program Evaluation Criteria.** This chapter presents a set of example evaluation criteria that can be used to evaluate a DOE emergency management program. This list of criteria, organized by functional area and program element, can be used to develop a facility/site-specific set. [Base Program: Introduction]

**Exercise Evaluation Criteria.** This chapter presents a set of example evaluation criteria that can be used to evaluate a DOE emergency management program exercise. This list of criteria, organized by functional area and program element, can be used to develop an exercise and facility/site-specific set. [Base Program: Introduction]

## 5.6 Volume VII: *Exercises*

**Development and Conduct of Exercises.** This chapter describes the coordinated program of exercises which should be an integral part of the emergency management program. Aspects of the exercise program addressed are: participation and frequency, management and plan, and organization. The design and development of an exercise is discussed in terms of: planning and scheduling, exercise objectives, planning functions, responsibilities, and organization. The functional aspects of exercises are addressed, not the roles and responsibilities of specific organizations or individuals. The content of an exercise package is described and examples are given in the appendices. The conduct and evaluation of the exercise and the follow-up activities are described. [Base Program: Introduction]

**Generic Exercise Objectives.** This chapter provides a set of generic exercise objectives associated with the elements of the DOE EMS. An exercise-specific set of objectives can be developed from this list. [Base Program: Introduction]

**Exercise Controller and Evaluator Manual.** This chapter provides a discussion of the roles of controllers and evaluators in exercises. [Base Program: no specific reference]

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## 6. UPDATES AND CHANGES

**Updates.** This emergency management guide will be updated periodically and as required to reflect changes made in DOE Orders and organizations.

**Changes.** Changes and updates to this guide will normally be issued as page changes. Modules not published in conjunction with this general guidance section will be distributed in page change format.

**User Requests.** Suggestions and comments from users are encouraged. Suggestions and comments should be submitted through the organization's representative to the Emergency Management Advisory Committee to the Director of Emergency Management.

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## 7. BIBLIOGRAPHY

DOE O 151.1 Chg 2. *Comprehensive Emergency Management System*. August 21, 1996.

DOE O 232.1A. *Occurrence Reporting and Processing of Operations Information*. July 21, 1997.

DOE M 232.1-1A. *Occurrence Reporting and Processing of Operations Information*. July 21, 1997.

DOE O 440.1 Chg 2. *Worker Protection for DOE Federal and Contractor Employees*. October 21, 1996.

Title 29 CFR 1910.120. *Hazardous Waste Operations and Emergency Response*.

### Acronyms

DOE	Department of Energy
EAL	Emergency Action Level
EMG	Emergency Management Guide
EMS	Emergency Management System
EPI	Emergency Public Information program
ERAP	Emergency Readiness Assurance Plan
ERO	Emergency Response Organization
FRERP	Federal Radiological Emergency Response Plan
GE	General Emergency
JIC	Joint Information Center
SAE	Site Area Emergency

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## **APPENDIX A**

### **REPLACED EMERGENCY MANAGEMENT GUIDES**

The following previously issued emergency management guides are replaced by this combined version of the Emergency Management Guide:

- (1) INTRODUCTION TO EMERGENCY MANAGEMENT GUIDE (12/11/91)
- (2) GUIDANCE FOR HAZARDS ASSESSMENT (6/26/92)
- (3) GUIDANCE FOR EMERGENCY RESPONSE ORGANIZATION (Interim) (8/16/93)
- (4) OFFSITE RESPONSE INTERFACES (7/28/92)
- (5) GUIDANCE FOR EVENT CLASSIFICATION AND EMERGENCY ACTION LEVELS (6/26/92)
- (6) GUIDANCE FOR NOTIFICATION (Interim) (7/28/92)
- (7) GUIDANCE FOR CONSEQUENCE ASSESSMENT (7/28/92)
- (8) GUIDANCE FOR PROTECTIVE ACTIONS (Interim) (6/1/93)
- (9) GUIDANCE FOR EMERGENCY MEDICAL SUPPORT (Interim) (6/26/92)
- (10) GUIDANCE FOR PUBLIC INFORMATION (6/26/92)
- (11) GUIDANCE FOR EMERGENCY FACILITIES AND EQUIPMENT (Interim) (8/16/93)
- (12) GUIDANCE FOR REENTRY AND RECOVERY (Interim) (6/1/93)
- (13) PROGRAM ADMINISTRATION (12/11/91)
- (14) STANDARD FORMAT AND CONTENT FOR EMERGENCY PLANS (12/11/91)
- (15) GUIDANCE FOR EMERGENCY READINESS ASSURANCE PLANS (ERAPs) (7/23/93)
- (16) GUIDANCE FOR EMERGENCY MANAGEMENT TRAINING (Interim) (7/28/92)
- (17) GUIDANCE FOR THE IMPLEMENTATION OF THE DOE EMERGENCY MANAGEMENT APPRAISAL PROGRAM (Draft) (9/22/95)
- \*(18) DOE EMERGENCY MANAGEMENT SYSTEM APPRAISAL CRITERIA (Draft) (1/28/92)
- \*(19) DOE EMERGENCY EXERCISE EVALUATION CRITERIA (12/11/91)
- (20) GUIDANCE FOR EMERGENCY RESPONSE DRILLS AND EXERCISES (12/11/91)
- (21) ANNEX I: GENERIC [EXERCISE] OBJECTIVES (12/1/93)
- (22) DRILL OR EXERCISE CONTROLLER GUIDANCE (5/93)
- (23) DRILL OR EXERCISE EVALUATOR GUIDANCE (5/93)
- \*(24) EMERGENCY DEPLOYMENT READINESS EVALUATION (12/11/91)
- \*(25) HAZWOPER EMERGENCY RESPONSE (Draft) (2/27/95)

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NOTE: \* indicates guides not yet replaced by this version of the EMG.

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