Producing Emergency Plans

A Guide for All-Hazard Emergency Operations Planning for State, Territorial, Local, and Tribal Governments

Version 0.7.0
Month 2007

FEMA

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PREFACE

This Comprehensive Preparedness Guide, CPG 101, continues the more -than -50 -year effort to provide guidance about emergency operations planning to State, Local, Territorial, and Tribal Governments. Some predecessor material can be traced back to the 1960s-era *Federal Civil Defense Guide*. Long-time emergency management practitioners will also recognize the influence of Civil Preparedness Guide 1-8, *Guide for the Development of State and Local Emergency Operations Plans*, and State and Local Guide (SLG) 101, *Guide for All-Hazards Emergency Operations Planning*, in this document.

While CPG 101 maintains its link to the past, it also reflects the changed reality of the current emergency planning environment. Hurricane Hugo and the Loma Prieta earthquake influenced the development of CPG 1-8. Hurricane Andrew and the Midwest floods shaped the contents of SLG 101. In a similar way, CPG 101 reflects the impacts of the September 11, 2001, terrorist attacks and recent major disasters, such as Hurricanes Katrina and Rita, on the emergency planning community. CPG 101 integrates National Incident Management System (NIMS) concepts and it incorporates recommendations from the 2005 Nationwide Plan Review. It also references the Target Capabilities List that outlines the fundamental capabilities essential to implementing the National Preparedness Goal. As part of a larger planning modernization effort, CPG 101 provides methods for emergency planners to:

- Develop sufficiently trained planners to meet and sustain planning requirements;
- Identify resource demands and operational options throughout the planning process;
- Link planning, preparedness, and resource and asset management processes and data in a virtual environment;
- Prioritize plans and planning efforts to best support emergency management and homeland security strategies and allow for their seamless transition to execution;
- Provide parallel and concurrent planning at all levels;

- Produce and tailor the full range and menu of combined Federal, State/Tribal, and Local Government options according to changing circumstances; and

- Quickly produce plans on demand, with revisions as needed.

This Guide provides emergency managers and other emergency services personnel with the Department of Homeland Security's (DHS's) best judgment and recommendations on how to address the entire planning process – from forming a planning team, through writing and maintaining the plan, to executing the plan. It also encourages emergency managers to follow a process that addresses all of the hazards that threaten their jurisdiction in a suite of required plans connected to a single, integrated emergency operations plan (EOP).

This Guide should help State and Local Government emergency management organizations produce EOPs that:

- Serve as the basis for effective response to any hazard that threatens the jurisdiction,

- Integrate prevention and mitigation activities with traditional response and recovery planning, and

- Facilitate coordination with the Federal Government during incidents that require the implementation of the National Response Framework (NRF).

Additionally, CPG 101 incorporates concepts that come from disaster research and day-to-day experience:

- Effective plans convey the goals and objectives of the response and the intended actions needed to achieve them.

- Successful responses occur when organizations know their roles, accept them, and understand how they fit into the overall plan.

- The process of planning is more important than the document that results from it.

- Plans are not scripts followed to the letter but are flexible and adaptable to the actual situation.

This Guide is part of a larger series of emergency planning related CPGs published by DHS. CPG 101 discusses the steps used to produce an EOP, possible EOP structures, and what goes into the basic plan and its annexes.

Follow-on guides will provide detailed information about planning considerations for different response functions and hazards.

CPG 101 is the foundation for both public and private sector emergency planning in the United States. Emergency planners in all disciplines and organizations may find portions of this Guide useful in the development of their emergency response plans. FEMA-141, *Emergency Management Guide for Business and Industry,* provides useful information for developing emergency response plans.

ACKNOWLEDGMENTS

A working group composed of State, Territorial, Local, and Tribal government emergency managers and emergency management researchers developed CPG 101. The group included representatives from:

State and Territorial Governments

- State of Arkansas: Arkansas Department of Emergency Management
- State of California: Office of Emergency Services
- State of Delaware: Delaware Emergency Management Agency
- State of Florida: Office of Public Health Preparedness
- State of Illinois: Illinois Emergency Management Agency
- State of Maryland: Maryland Emergency Management Agency
- State of Michigan: Michigan State Police
- State of Minnesota: Minnesota Homeland Security and Emergency Management
- State of New Jersey: Office of Homeland Security and Preparedness; Department of Law and Public Safety
- State of New Mexico; New Mexico Office of Emergency Management
- State of Ohio: Ohio Emergency Management Agency
- State of Oklahoma: Department of Emergency Management; Department of Homeland Security
- Commonwealth of Pennsylvania: Pennsylvania Emergency Management Agency
- State of South Carolina: South Carolina Emergency Management Division; South Carolina Law Enforcement Division

Local and Tribal Governments

- Baltimore County (MD)
- Chesterfield County (VA)
- City of Grapevine (TX): Grapevine Fire Department
- City of Milwaukee (WI)

- City of San Francisco (CA): Department of Emergency Management
- Clark County (NV): Office of Emergency Management and Homeland Security
- Johnson County (KS): Office of Emergency Management and Homeland Security
- Madison County (AL)
- Madison County (OH)
- Marion County (AL)

Professional Associations

- International Association of Emergency Managers
- National Emergency Management Association

Industry, Research Organizations, and Universities

- Argonne National Laboratory: Center for Integrated Emergency Preparedness
- CRA, Incorporated
- Innovative Emergency Management, Incorporated
- Oklahoma State University: Center for the Study of Disasters and Extreme Events
- Towson University: Center for Homeland Security

1. INTRODUCTION AND OVERVIEW

INTRODUCTION

PURPOSE

CPG 101 provides general guidelines on developing emergency operations plans (EOPs). It promotes a common understanding of the fundamentals of planning and decision making to help emergency planners examine a hazard and produce integrated, coordinated, and synchronized plans. This Guide helps emergency managers in State, Territorial, Local, and Tribal governments in their efforts to develop and maintain a viable all-hazard EOP. Each jurisdiction's EOP must reflect what *that community* will do to protect itself from *its* unique hazards with the unique resources *it* has or can obtain.

The value of planning rests in its proven ability to influence events before they occur and in its indispensable contribution to unity of effort. Planning is part of the broad framework of incident management and an essential activity of homeland security. The President identified emergency planning as a national security priority, and this prioritization is reflected in the *National Preparedness Guidelines*. Planning must be conducted in an atmosphere of trust and mutual understanding. Accomplished properly, planning provides a methodical way to think through the entire life cycle of a potential crisis, determine required capabilities, and help stakeholders learn and practice their roles. It directs how we envision and share a desired outcome, select effective ways to achieve it, and communicate expected results. Planning is not formulaic or scripted. No planner can anticipate every scenario or foresee every outcome. Planners measure a plan's quality by its effectiveness when used to address unforeseen events, not by the fact that responders executed it as scripted. Planning includes the collection and analysis of intelligence and information and the development of plans, procedures, mutual aid agreements, and other publications that comply with the relevant laws, policies, and guidance needed to perform response missions and tasks.

> Planning is bringing the future into the present so that you can do something about it now. – Alan Lakein

Comprehensive planning systems involve both deliberative planning and incident action planning. Deliberative planning is the process of developing strategic and operational plans based upon facts or assumptions about the circumstances involved in a hypothetical situation; in other words, the create in advance of events. In incident action planning, we adapt existing deliberative plans during an incident or when we recognize an event is about to occur. Emergency planners use both types of planning at the National, Regional, and Field levels. In fact, both are critical to developing a robust planning capability within and among all stakeholders (including nongovernmental organizations).

Planners achieve unity of purpose through horizontal integration and vertical coordination of emergency plans among all levels and sectors. This supports the foundational principle that response starts at the Local level and adds State, Regional, and Federal assets as the affected jurisdiction needs more resources and capabilities. This means that plans must be coordinated vertically among levels of government to ensure a common operational focus. Similarly, emergency planners at each level must ensure that individual department and agency response plans fit into the jurisdiction's concept of operations (CONOPS). This horizontal integration ensures that the department or agency understands, accepts, and is prepared to execute response missions identified in the jurisdiction's EOP. Incorporating both aspects ensures that the sequence and scope of a planned operation (what should happen, when, and at whose direction) is synchronized for all responders in purpose, place, and time.

A shared planning system or planning community increases collaboration, shortens planning cycles, and makes plans easier to maintain. Planning is an essential homeland security activity. It requires policies, procedures, and tools that support the decision makers and planners who make up the emergency planning community. The goal of both the *Comprehensive Preparedness Guide* initiative and the broader-in-scope *National Preparedness Guidelines* is to create a simple national planning system and develop a national planning community that can cope with change.

APPLICABILITY AND SCOPE

The CPG 101 working group designed this guide for use by teams responsible for developing EOPs within State, Local, and Tribal Governments and in the private sector. It provides a context for EOPs in light of other existing plans and describes a process to use in any planning effort. The Guide recognizes that many jurisdictions across the country have already developed EOPs. Therefore, it establishes no immediate requirements but suggests that the next iteration of all EOPs generally follow this guidance.

SUPERSESSION

CPG 101 is new. It replaces SLG 101, which is rescinded.

AUTHORITIES

Through the Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended, Congress recognizes emergency management as a joint responsibility of Federal, State, and Local governments. For the Federal government, Congress defines a role that includes providing "necessary direction, coordination, and guidance" (Sec. 601) for the nation's emergency management system, to include "technical assistance to the states in developing comprehensive plans and programs for preparation against disasters" (Paragraph 201(b)).

Additionally, the Post-Katrina Emergency Management Reform Act of 2006 established new leadership positions and position requirements within the Federal Emergency Management Agency (FEMA), brought new missions into FEMA, restored some that had previously been removed, and enhanced the agency's authority by directing the FEMA Administrator to undertake a broad range of activities before and after disasters occur. The Post-Katrina Act contains provisions that set out new law, amend the Homeland Security Act, and modify the Robert T. Stafford Disaster Relief and Emergency Assistance Act (the Stafford Act).

State, Territorial, Local, and Tribal governments should use this Guide to supplement laws, policies, and regulations from their jurisdictions.

HOW TO USE THIS GUIDE

CPG 101 is designed to help both novice and experienced planners navigate the planning process. Chapter 1, In addition to addressing the applicability, authority, purpose, and scope of CPG 101, suggests minimum training needs for emergency planners. It also discusses National Incident Management System (NIMS) compliance and informs users about how to recommend changes for future versions. Chapter 2 outlines planning principles and the steps of the planning process. It discusses how to produce EOPs as a team, the importance of research and hazard analysis in producing a plan, and how to determine the roles and responsibilities of participating organizations. Chapter 3 provides some practice-based options for structuring EOPs. Chapter 4 discusses typical content for an EOP's basic plan and annexes. Chapter 5 summarizes other forms of emergency plans and the relationship between those plans and an EOP. Chapter 6 explains how Federal and State emergency plans link to Local plans. The appendices include the following:

A list of source material used in developing the Guide,

- A glossary of terms and a list of acronyms used throughout the Guide,
- An EOP component assessment derived from National Integration Center (NIC) materials,
- Checklists to help guide EOP development,
- A sample hazard profile worksheet,
- A sample organizational responsibility matrix,
- A sample department-to-ESF (emergency support function) cross-reference matrix, and
- A sample information collection matrix.

CPG 101 Content Summary

1. Introduction
2. The Planning Process
3. EOP Structures
4. EOP Content
5. Other Emergency Plans
6. Linking Federal, State, Territorial, Local, and Tribal Plans
7. Appendices
   - A. Authorities and References
   - B. Glossary and Acronyms
   - C. NIMS Integration Assessment
   - D. EOP Development Guide
   - E. Hazard Profile Worksheet
   - F. Organization Responsibility Matrix
   - G. Department-to-ESF Cross-Reference Matrix
   - H. Information Collection Matrix
   - I. Additional Planning Resources

RECOMMENDED TRAINING

This guide assumes that users have some experience in emergency management and emergency planning. As a minimum, users should have completed the following Independent Study courses offered by FEMA's Emergency Management Institute:

- IS 1: Emergency Manager – An Orientation to the Position
- IS 100: Introduction to the Incident Command System I-100
- IS 200: ICS for Single Resources and Initial Action Incidents
- IS 208: State Disaster Management
- IS 230: Principles of Emergency Management
- IS 235: Emergency Planning

- IS 292: Disaster Basics
- IS 700: The National Incident Management System (NIMS), An Introduction
- IS-701 NIMS Multi-Agency Coordination Systems
- IS-702 NIMS Public Information Systems
- IS-703 NIMS Resource Management
- IS-706 NIMS Intrastate Mutual Aid, An Introduction
- IS 800: The National Response Plan (NRP), An Introduction

NIMS COMPLIANCE AND INTEGRATION

In November 2005, the National Integration Center (NIC) published guides for integrating NIMS concepts into EOPs. This Guide incorporates the concepts and suggestions found in those documents.

ADMINISTRATIVE INFORMATION

Terms and acronyms in the text emphasized with **bold** type come from the *FEMA Acronyms, Abbreviations, and Terms (FAAT)* or the *National Incident Management System (NIMS)*. The glossary lists most terms used in CPG 101 that have *FAAT* or *NIMS* definitions. ***Bold and italic*** type is used for terms or acronyms first identified in this CPG.

REVISION PROCESS

DHS will revise CPG 101 as needed and issue change pages through the publication distribution system and on-line through a variety of sources (e.g., DisasterHelp [http://disasterhelp.gov] and DHS Lessons Learned Information Sharing [http://www.llis.dhs.gov]).

You can provide recommendations for improving this Guide to:

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2. THE PLANNING PROCESS

OVERVIEW

This chapter describes an approach for emergency planning that is consistent with the process described in the National Incident Management System manual. When planners use this process consistently during the preparedness phase, its use during response operations becomes second nature. The goal is to make the planning process routine across all phases of emergency management.

The process described in this chapter blends concepts from a variety of sources, including not only the NIMS manual but also previously published FEMA guidance and National Response Team hazardous materials planning guidance. Figure 2.1 shows the relationships among the different processes. This chapter suggests an emergency planning process that planners can apply at all levels of government to tactical, operational, and strategic planning efforts. Although individual planners can use this process, it is most effective when used by a planning team.

Figure 2.1. Comparison of published planning processes

CPG 101	NIMS[1]	SLG 101[2]	Incident Command[3]	NPES[4]
Form the planning team				
Conduct research	Understand the situation	Research	Gather Information	Understand the Situation
Analyze the information			Estimate course and harm	Establish objectives and strategies
Determine goals and objectives	Establish incident objectives and strategy		Determine appropriate strategic goals	
Develop and analyze courses of action	Develop the plan	Development	Assess options and resource requirements	Plan development (analyze courses of action)
Write the plan	Prepare and Disseminate the plan		Plan and implement actions	Plan preparation (includes rehearsal)
Validate, approve, and disseminate the plan		Validation		
Exercise the plan and evaluate its effectiveness	Evaluate and revise the plan		Evaluate	
Review, revise, and maintain the plan		Maintenance	Review	Plan refinement and execution

[1] The National Incident Management System, 2007
[2] State and Local Guide 101: All-Hazards Emergency Operations Planning, 1996
[3] NFA-808: Initial Response to Hazardous Materials Incidents: Concept Implementation, 1992
[4] National Planning and Execution System, 2007

PLANNING PRINCIPLES

The challenge of developing an all-hazards plan for protecting lives, property, and the environment within is made easier if the emergency planners preparing it apply the following principles to the planning process:

Planning is an orderly, analytical, problem-solving process. It follows a set of logical steps from plan initiation to analysis of objectives, to development and comparison of ways to achieve the objectives, and to selection of the best solution. Rather than concentrating on every detail of how to achieve the objective, an effective plan structures thinking and supports insight, creativity, and initiative in the face of an uncertain and fluid environment. While using a prescribed planning process cannot guarantee success, inadequate plans and planning are proven contributors to failure.

Plans guide preparedness activities. They provide a common framework to guide preparedness by establishing the desired end state and the tasks required to accomplish it. This process identifies the capabilities required. Capabilities provide the means to accomplish a mission and achieve desired outcomes by performing critical tasks, under specified conditions, to target levels of performance. Exercises provide opportunities to demonstrate and evaluate performance, while periodic assessments of plans identify lessons learned and provide the means to share best products and practices.

Planning helps deal with complexity. Homeland security problems are most often a complex set of interrelated problems. The National Strategy for Homeland Security attaches special emphasis to planning for catastrophic events with "the greatest risk of mass casualties, massive property lost and immense social disruption." Planning provides the opportunity for a jurisdiction or regional response structure to work through these very complex situations and their unique set of problems. Planning helps emergency managers understand how their decisions might affect the ability of their jurisdiction and neighboring jurisdictions to achieve response goals.

Emergency planning addresses all hazards. The causes of emergencies can vary greatly, but the effects do not. This means planners can address emergency functions common to all hazards in the basic plan instead of having unique plans for every type of hazard. For example, floods, wildfires, and hazardous materials releases may lead a jurisdiction to issue an evacuation order. Even though the each hazard's characteristics (e.g., speed of onset, size of the affected area) are different, the general tasks for conducting an evacuation are the same. Differences in the speed of onset may affect when an evacuation order is given, but the process of issuing an evacuation order does not change. All-hazards planning ensures that when we plan for emergency functions, we identify common tasks and who is responsible for accomplishing those tasks.

Emergency planning does not need to start from scratch. Planners should take advantage of others' experience. The State is a valuable resource for the Local jurisdiction. Many States publish their own standards and guidance for emergency planning, conduct workshops and training courses, and assign their planners to work with Local planners. The Department of Homeland Security (DHS) supports State training efforts through its National Preparedness Directorate, offering resident, locally run, and independent-study emergency planning courses. DHS also publishes many documents related to planning for specific functions and hazards. By reviewing existing emergency or contingency plans, planners can:

- Identify applicable authorities and statutes,
- Gain insight into community risk perceptions,
- Identify organizational arrangements used in the past,
- Identify mutual aid agreements with other jurisdictions, and
- Learn how some planning issues were resolved in the past.

Planning depicts the anticipated environment for action. This promotes early understanding and agreement on planning assumptions and risks, and it provides the context for interaction. Effective planning identifies clear tasks and purposes, promotes frequent interaction among stakeholders, guides preparedness activities, establishes procedures for implementation, provides measures to synchronize actions, and allocates or reallocates resources. It can also serve, at least in part, as a substitute for experience. Experience helps us know intuitively what to expect and what actions to take. In situations where we lack experience, planning provides the opportunity to anticipate conditions and systematically think through potential problems and workable solutions. Planners should review the existing emergency plans for questionable assumptions, inaccuracies, inconsistencies, omissions, and vagueness. Critiques of recent emergency operations and exercises in the jurisdiction will help planners develop a list of topics to address when updating plans.

Planning must involve *all* partners. Just as a coordinated emergency response depends on teamwork, good emergency planning requires a team effort. The most realistic and complete plans are prepared by a team that includes representatives of the departments, agencies, and private sector and nongovernmental organizations (NGOs) that will have to execute the plan. This principle is so important that the first step of the planning process is forming a planning team. When the plan considers and incorporates the views of the individuals and organizations assigned tasks in it, the more likely they are to accept and use it

Planning assigns tasks, allocates resources, and establishes accountability. Decision makers must ensure planners have the means to accomplish the mission. They do so by organizing, staffing, equipping, and allocating resources. They ensure planners have clearly established priorities to make the most efficient use of key resources, and they hold planners and plan participants accountable for effective planning and performance.

Planning includes senior officials throughout the process to ensure both understanding and buy-in. Potential planning team members have many day-to-day concerns. For a team to come together, potential members must be convinced that emergency planning has a higher priority, and the person to convince them is the jurisdiction's chief executive. They discipline the process to meet requirements of time, planning horizons, simplicity, and level of detail. They ensure plans comply with policy and law, are relevant, and are suitable for implementation. Planning helps decision makers anticipate and think critically, reducing time between decisions and actions. The more involved that decision makers are in planning, the better the planning product is. The emergency manager has to enlist the chief executive's support for and involvement in the planning effort. The emergency manager must explain to the chief executive what is at stake in emergency planning by:

- Sharing the hazard analysis for the jurisdiction,
- Describing what the government body and especially the chief executive will have to do,
- Discussing readiness assessments and exercise critiques, and
- Reminding the chief executive that planning is an iterative, dynamic process that ultimately facilitates his or her job in an emergency.

Planning is influenced by time, uncertainty, risk, and experience. These factors define the starting point where planners apply appropriate concepts and methods to create solutions to particular problems. Since this involves judgment and balancing of competing demands, plans cannot be overly detailed, followed to the letter, or so general that they provide insufficient direction. This is why planning is both science and art, and why plans are evolving frameworks.

Those aspects of planning that are quantifiable, measurable, and lend themselves to analysis – such as how long it takes a team to mobilize and travel certain distances – are part of the science of planning. Planners gain knowledge about the science of planning through training and study. Other aspects of planning, such as the choice of particular options or arrangement of a specific sequence of actions, are part of the art of planning. Applying the art of planning

requires an understanding of the dynamic relationships between participants and of the conditions and complexity imposed by the situation. Mastering the art of planning comes through exercises and operational experience.

Effective plans not only tell those within the planning community what to do (the task) and why to do it (the purpose). They also inform those outside the jurisdiction about how to cooperate and provide support and what to expect. Plans identify important constraints (what "must be done") and restraints (what "must not be done") that affect freedom of action and expectations.

Planning is fundamentally a risk management tool. Uncertainty and risk are inherent in response planning and operations. Risk management during planning identifies potential hazards and assesses the probability and severity of each to mission accomplishment. Decision makers determine and communicate acceptable levels of risk.

CHARACTERISTICS OF EFFECTIVE PLANNING PROCESSES

Examples of effective planning processes include the Department of Defense's *Joint Operation Planning and Execution System*, DHS's *National Planning and Execution System,* and the *National Oil and Hazardous Substances Pollution Contingency Plan System*. These planning systems and processes share common characteristics. They are:

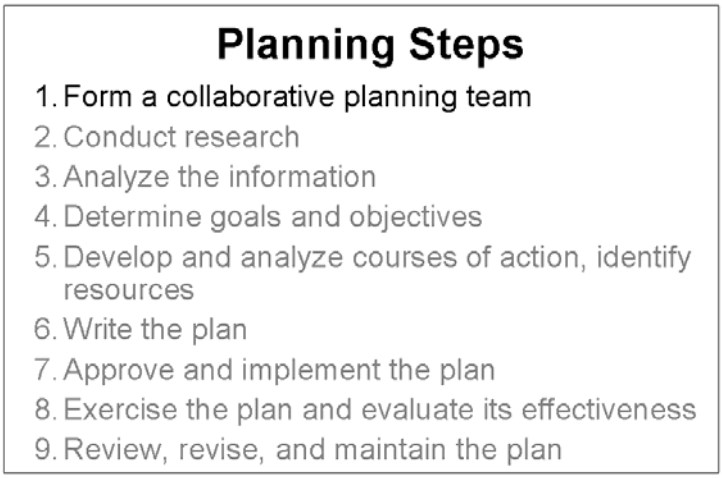
- Continuous;
- Attempt to reduce unknowns in the anticipated event, while acknowledging it is impossible to preplan every aspect of a response;
- Aim at evoking appropriate actions;
- Are based on what is likely to happen and what people are likely to do;
- Are based on facts, including knowledge about people's typical behavior, the threat or hazard itself, and required capabilities;
- Focus on general principles while maintaining flexibility;
- Are partly a training and education activity; and
- Are tested.

STEPS IN THE PLANNING PROCESS

There are many ways to produce an EOP. The planning process that follows has enough flexibility for each community to adapt it to its unique characteristics and situation. Small communities can follow just the steps that are appropriate to their size, known hazards, and available planning resources. The steps of this process are to:

1. Form a collaborative planning team;
2. Conduct research;
3. Analyze the information;
4. Determine goals and objectives;
5. Develop and analyze courses of action, identify resources;
6. Write the plan;
7. Approve and implement the plan;
8. Exercise the plan and evaluate its effectiveness; and
9. Review, revise, and maintain the plan.

FORM A COLLABORATIVE PLANNING TEAM



Experience and lessons learned indicate that emergency planning is best done by a team. Using a team or group approach helps response organizations define their perception of the disaster/emergency and the role they will play. Case studies and research reinforce this concept by pointing out that the common thread found in successful responses is that the responding organizations have understood and accepted their roles. In addition, members of the planning team should be able to understand and accept the roles of other departments and agencies. One goal of using a planning team is to build and expand relationships that help bring creativity and innovation to planning during emergencies. It helps establish a planning routine, so that processes followed before an emergency are the same as those used during an emergency.

In most jurisdictions, the emergency manager is the senior elected official's policy advisor for mitigation, preparedness, response, and recovery strategies. In this role, emergency managers are often responsible for coordinating and developing the EOP. In practice, this means that the emergency manager usually provides oversight to the planning team. However, other government agencies or departments have statutory authority and responsibility for implementing preparedness and response actions. Two key groups in this regard are law enforcement and public health. Law enforcement often has the lead in addressing prevention issues, in concert with other services. Public health in the modern era continues to address unique hazards that cross the bounds between natural and intentional. Thus, the emergency manager must ensure that emergency planning involves *the jurisdiction's entire emergency team*.

Initially, the team should be small, consisting of planners from the organizations that usually respond to an emergency or disaster. They form the core for all planning efforts. As the emergency plan matures, the core team expands to include other planners.

Jurisdictions that use an agency and department response structure might use a core team consisting of planners from:

A Small Community Planning Team

A small community (population of 1,500) took the following approach to forming its planning team:

Who was involved in the core planning team?

Any department or office that was likely to be involved in most if not all responses. Involvement was limited to the 5–7 of the most central people – Fire Chief, Police Chief, Emergency Manager, Emergency Planner, Head of Public Works.

What did they do?

- Provided information to create a complete plan draft.
- Answered the questions about the community for the draft plan.
- Provided additional commentary on roles and responsibilities.
- Gave information about the communities' standard operations.
- Clarified command structures.
- Provided information about resources, capabilities, threats, and risks.
- Gave writers information for integration.

Who participated in the larger planning team?

Responders and stakeholders who might get involved in a major incident. A group of 10–20 was used; it could include emergency managers from surrounding communities, business leaders, secondary responders, representatives from industry, community leaders, and community contractors.

What did they do?

- Reviewed the full plan.
- Provided insights and recommendations for improvement.
- Integrated additional perspectives.
- Agreed to provide additional support.

- Emergency management,
- Law enforcement,
- Fire services,
- Emergency medical services,
- Public health,
- Hospitals and health care facilities,
- Public works,
- Social services,
- Private sector, and
- NGOs (including those that address special needs issues).

A jurisdiction might want to base the core planning team's membership on the EOP structure it uses. For example, locations using an Emergency Support Function (ESF) EOP structure might form a core team composed of planners from the lead agency or department for ESF-4 (Fire), ESF-5 (Emergency Management), ESF-6 (Mass Care), ESF-8 (Public Health and Medical Services), and ESF-13 (Public Safety).

Table 2.2 identifies potential members of the larger planning community and their areas of expertise upon which the core planning team can draw. The list is not all-inclusive. The emergency manager must constantly bring planners or subject matter experts who have experience, insights, and experience that is appropriate for the task into the planning process.

1

Individuals/Organizations	What They Bring to the Planning Team
Senior Elected Official (SEO) or designee	▪ Support for the emergency planning process ▪ Government intent by identifying planning goals and essential tasks ▪ Policy guidance and decision-making capability ▪ Authority to commit the jurisdiction's resources
Emergency Manager or designee	▪ Knowledge about all-hazard planning techniques ▪ Knowledge about the interaction of the tactical, operational, and strategic response levels ▪ Knowledge about the preparedness, response, recovery, and mitigation strategies for the jurisdiction ▪ Knowledge about existing mitigation, emergency, continuity, and recovery plans
Fire Services Chief or designee	▪ Knowledge about fire department procedures, on-scene safety requirements, hazardous materials response requirements, and search-and-rescue techniques ▪ Knowledge about the jurisdiction's fire-related risks ▪ Specialized personnel and equipment resources
Law Enforcement Chief or designee	▪ Knowledge about police department procedures, on-scene safety requirements, local laws and ordinances, explosive ordnance disposal methods, and specialized response requirements, such as perimeter control and evacuation procedures ▪ Specialized personnel and equipment resources
Public Works Director or designee	▪ Knowledge about the jurisdiction's road and utility infrastructure ▪ Specialized personnel and equipment resources

Individuals/Organizations	What They Bring to the Planning Team
Emergency Medical Services (EMS) Director or designee	▪ Knowledge about emergency medical treatment requirements for a variety of situations ▪ Knowledge about treatment facility capabilities ▪ Specialized personnel and equipment resources ▪ Knowledge about how EMS interacts with the Emergency Operations Center (EOC) and incident command
Healthcare Facility Manager or designee	▪ Knowledge about the jurisdiction's surge capacity. ▪ Knowledge about medical treatment requirements for a variety of situations ▪ Knowledge about interactions among EMS, hospitals, and health departments ▪ Knowledge about historic syndromic surveillance.
Public Health Officer or designee	▪ Records of morbidity and mortality ▪ Knowledge about the jurisdiction's surge capacity. ▪ Understanding of the special medical needs of the community ▪ Knowledge about historic infectious disease and syndromic surveillance ▪ Knowledge about infectious disease sampling procedures
Hazardous Materials Coordinator	▪ Knowledge about hazardous materials that are produced, stored, or transported in or through the community ▪ Knowledge about U.S. Environmental Protection Agency (EPA), Occupational Safety and Health Administration (OSHA), and U.S. Department of Transportation (DOT) requirements for producing, storing, and transporting hazardous materials and responding to hazardous materials incidents
Mutual Aid Partners	▪ Knowledge about specialized personnel and equipment resources available within their jurisdiction

Individuals/Organizations	What They Bring to the Planning Team
Transportation Director or designee	▪ Knowledge about the jurisdiction's road infrastructure ▪ Knowledge about the area's transportation resources ▪ Familiarity with the key local transportation providers ▪ Specialized personnel resources
Agriculture Extension Service	▪ Knowledge about the area's agricultural sector and associated risks (e.g., fertilizer storage, hay and grain storage, fertilizer and/or excrement runoff)
Tax Assessor	▪ Records of all properties in the community and their value
Building Inspector	▪ Knowledge about the types of construction used in the community ▪ Knowledge about land use and land use restrictions ▪ Records of planned development
School Superintendent or designee	▪ Knowledge about school facilities ▪ Knowledge about the hazards that directly affect schools ▪ Specialized personnel and equipment resources (e.g., buses)
Nongovernment Organizations (includes participants in Volunteer Organizations Active in Disaster (VOAD), Citizen Corps Councils, and other private, nonprofit, faith-based, and community organizations	▪ Knowledge about specialized resources that can be brought to bear in an emergency ▪ Lists of shelters, feeding centers, and distribution centers ▪ Knowledge about special needs populations
Airport/Seaport Managers	▪ Knowledge about risks associated with airport or seaport operations (e.g., fuel storage) ▪ Specialized personnel and equipment resources that could be used in an emergency

Individuals/Organizations	What They Bring to the Planning Team
Local industry representatives	▪ Knowledge about hazardous materials that are produced, stored, and/or transported in or through the community ▪ Facility response plans (to be integrated with the jurisdiction's EOP) ▪ Knowledge about specialized personnel and equipment resources that could be used in an emergency
Amateur Radio Emergency Service (ARES) / Radio Amateur Civil Emergency Services (RACES) Coordinator	▪ List of ARES/RACES resources that can be used in an emergency
Media representatives	▪ Knowledge about community media infrastructure and capabilities
Social services agencies representatives	▪ Knowledge about special needs populations
Utility representatives	▪ Knowledge about utility infrastructures ▪ Knowledge about specialized personnel and equipment resources that could be used in an emergency
Veterinarians/animal shelter representatives	▪ Knowledge about the special response needs for animals, including livestock
Local Federal asset representatives	▪ Knowledge about specialized personnel and equipment resources that could be used in an emergency ▪ Facility response plans (to be integrated with the jurisdiction's EOP) ▪ Knowledge about potential hazards at Federal facilities (e.g., research laboratories, military installations)

1

Planners must persuade these leaders and/or their designees to take an active interest in emergency planning. Although scheduling meetings with so many participants may prove difficult, it is critical that everyone participates in the planning process and takes ownership in the plan. This can be accomplished by involving leaders and managers from the beginning. Their expertise and knowledge of their organizations' resources are crucial to developing a plan that considers the entire jurisdiction's needs and the resources that are available in an emergency.

A community benefits from the active participation of all stakeholders. Some tips for gathering the team together include the following:

- *Plan ahead*. The planning team should receive plenty of notice about where and when the planning meeting will be held. If time permits, the team members can be surveyed to identify the time(s) and place(s) that will work for the group.

- *Provide information about team expectations*. Planners should explain why participating on the planning team is important to the participants' agencies and to the community itself, showing the participants how their contributions will lead to a more effective emergency response. In addition, budget and other project management concerns should be outlined early in the process.

One way to overcome scheduling issues is to use planning tools that support on-line collaboration. Many modern tools allow for coordination, version control, and plan implementation during a crisis.

- *Ask the SEO (or his or her Chief of Staff) to sign the meeting announcement*. A directive from the executive office will carry the authority of the SEO and send a clear signal that the participants are expected to attend and that emergency planning is important to the community.

- *Allow flexibility in scheduling after the first meeting*. Not all team members will need to attend all meetings. In some cases, task forces or subcommittees can complete the work. When the planning team chooses to use this option, it should provide project guidance (e.g., timeframes and milestones) but let the subcommittee members determine when it is most convenient to meet.

- *Consider using external facilitators*. Third-party facilitators can perform a vital function by keeping the process focused and mediating disagreements.

The key to planning in a group setting is to allow open and frank discussion during the process. A lot of interaction among planners can help elicit a common operational understanding. Individual group members must be encouraged to express objections or doubts. If a planner disagrees with a proposed solution, that planner must also identify what needs to be fixed.

CONDUCT RESEARCH

Gathering information about the jurisdiction's planning framework, potential hazards, resource base, and geographic or topological characteristics that could affect emergency operations is the first step of research. Planners need two types of information: facts and assumptions.

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- Facts are verifiable pieces of information, such as laws, regulations, floodplain maps, and resource inventories.

- Assumptions consist of information accepted by planners as being true in the absence of facts. Assumptions are used as facts only if they are considered valid (likely to be true) and are necessary for solving the problem. Emergency managers change assumptions to facts when they implement a plan. For example, when one plans for dealing with a flood, the location of the water overflow, size of the flood hazard area, and speed of the rise in water may be assumed. When the plan is put into effect, these assumptions are replaced by the facts of the situation, and the plan is modified accordingly. *Use assumptions sparingly – put great effort into doing research and acquiring facts.*

A variety of information sources are available to planners. The Universal Task List (UTL), Target Capabilities List (TCL), Resource Typing List, National Planning Scenarios (NPS), and other recently published documents can help define response issues, roles, and tasks. Hazard maps are available in compilations of hazard information made by FEMA and State emergency

management agencies, the U.S. Geological Survey (USGS) and State geological surveys, and the National Weather Service (NWS) and its local offices. For more localized hazards, maps from the Federal Insurance Administration (FIA), maps of 10- and 50-mile emergency planning zones (EPZs) around nuclear power plants, and any maps of hazardous materials (HAZMAT) sites prepared by Local Emergency Planning Committees (LEPCs) may be useful.

For historical investigations, Federal and State analyses provide tabulated data about historical occurrences of hazards by jurisdiction. Local organizations (e.g., the local chapter of the American Red Cross), utilities, other businesses, and members of the planning team can provide records about their experiences in previous disasters. Avoid limiting the number of sources and encourage long-time community residents to contribute to the process.

The sources for "expert opinions" on hazard potential are similar. Federal, State, and Local agencies; academic, industrial, and public interest group researchers (or private consultants specializing in hazard analysis); and professional associations concerned with the hazards on a planner's list should be able to help, either through interviews or publications. Sources for information on the community and possible consequences from hazards vary. Ideally, work already will have been done on determining the potential consequences of certain facility-based hazards; it is a matter of checking with the facility and the agency (Local, State, Regional, or Federal) that regulates that kind of facility. For demographic data, Census data are available, as are off-the-shelf computer products that organize such data by zip code.

The planning team should also make extensive use of the information about

Gathering Data on the Special Needs Population

To properly plan for the entire community, governments must have an informed estimate of the number and type of special needs individuals in the population. Emergency planners should base their assessments on lists and information collected from multiple sources, including these:

- U.S. Census data
- Social services listings (dialysis centers, Meals on Wheels, etc.)
- Para Transit Providers
- Health Departments
- Utility providers
- Job access services
- Congregate settings
- Schools
- County emergency alert list serves
- Medicaid
- Hospitals
- Day care centers (for children or senior citizens)
- Places of worship

The key to getting good information is to cultivate good relationships with the service agencies. Data on the special needs population need to be updated at least once a year.

the jurisdiction that both government and nongovernment organizations develop for their own purposes. For example, the local planning and zoning commission or department may have extensive demographic, land use, building stock, and similar data. The tax assessor and/or local realtors' association can often provide information on the numbers, types, and values of buildings. Building inspection offices maintain data on the structural integrity of buildings, codes in effect at time of construction, and the hazard effects that a code addresses. Local public works (or civil engineering) departments and utilities are sources for information on potential damage to and restoration time for the critical infrastructures threatened by hazard effects. The Chamber of Commerce may offer a perspective on damage to businesses and general economic loss. Other sources of information mentioned previously – emergency service logs and reports, universities, professional associations, etc. – also apply.

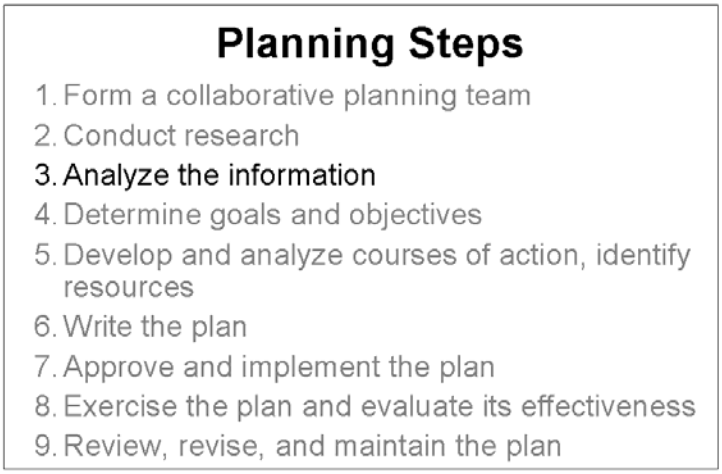
It is also important to involve civic leaders, members of the public, and representatives of community-based organizations in the planning process. They may serve as an important resource for validating assumptions about public needs, capabilities, and reactions. Since many planning assumptions and response activities will directly impact the public-at-large, it is critical to not only involve these representatives during the planning phase but also to ensure their inclusion during validation and implementation. Potential roles include support to planning teams, public outreach, and establishing Community Emergency Response Teams (CERTs).

The second step of research is *organizing the information* into a format that is usable by the planning team. One effective method for organizing hazard information is to use a matrix based on disaster dimensions that are used during the hazard analysis process:

1. Probability or frequency of occurrence,
2. Magnitude – the physical force associated with the hazard,
3. Intensity/severity – the impact or damage expected,
4. Time available to warn,
5. Location of the event – a specific or indeterminate site or facility,
6. Potential size of the disaster area,
7. Speed of onset – how fast the hazard can impact the public, and
8. Duration – how long the hazard will be active.

Other categories for data organization may be used, depending on the kinds of decisions and analyses the information is meant to support. For example, to decide that one hazard poses more of a threat than another may require only a qualitative estimate (e.g., high versus medium), but to plan how to deal with health and medical needs caused by a particular hazard may require estimates of likely fatalities and injuries.

ANALYZE THE INFORMATION



Hazard analysis is the basis for mitigation and infrastructure protection efforts and EOP development. From an emergency planning perspective, hazard analysis helps a planning team decide what hazards merit special attention, what actions must be planned for, and what resources are likely to be needed. FEMA Publication 386-2, *Understanding Your Risks: Identifying Hazards and Estimating Loss*, provides a detailed method for conducting hazard and risk assessments for many hazards. Planners can also obtain the Hazards U.S. Multi-Hazard (HAZUS-MH) model from FEMA. HAZUS-MH is a nationally applicable and standardized methodology and software program that estimates potential losses from earthquakes, floods, and hurricane winds.

In addition, DHS has several resources available for the analysis of human-caused events, primarily terrorism. These resources include the *National Planning Scenarios*, *Fusion Center Technical Assistance*, and *Transit Risk Assessment Module/Maritime Assessment Strategy Toolkit*. Jurisdictions can also work with law enforcement officials and other specialists from within and outside the jurisdiction to “red team” potential scenarios.

Hazard analysis requires that the planning team knows the kinds of emergencies that have occurred or could occur in the jurisdiction. The process should begin with a list of the hazards that concern emergency managers in the planners’ jurisdiction, developed from research conducted earlier in the planning process. A list of concerns might include those listed in the hazards table that follows.

Planners must remember to keep in mind that hazard lists pose two problems. The first is the possibility of exclusion or omission. There is always a potential for

new and unexpected hazards (part of the reason why maintaining an all-hazards capability is important). The second is that such lists involve groupings, which can affect subsequent analysis. A list may give the impression that hazards are independent of one another, when in fact they are often related (e.g., an earthquake might give rise to dam failure). Lists may group very different causes or sequences of events that require different types of responses under one category. For example, "Flood" might include dam failure, cloudbursts, or heavy rain upstream. Lists also may group a whole range of consequences under the category of a single hazard. "Terrorism," for example, could include use of conventional explosives against people or critical infrastructure; nuclear detonation; or release of lethal chemical, biological, or radiological material.

Natural Hazards	Technological Hazards	Human-Caused Hazards
- Avalanche - Drought - Earthquake - Epidemic - Flood - Hurricane - Landslide - Tornado - Volcanic Eruption - Wildfire - Winter Storm	- Airplane Crash - Dam Failure - HAZMAT Release - Power Failure - Radiological Release - Train Derailment - Urban Conflagration	- Civil Disturbance - School Violence - Terrorist Act - Sabotage

The planning team must compare and prioritize risks to determine which hazards merit special attention in planning (and other emergency management efforts). It also must consider the frequency of the hazard and the likelihood or severity potential of its consequences in order to develop a single indicator of the threat. This allows for comparisons and the setting of priorities. While a mathematical approach is possible, it may be easier to manipulate qualitative ratings (e.g., high, medium, low) or index numbers (e.g., reducing quantitative information to a 1-to-3, 1-to-5, or 1-to-10 scale based on defined thresholds) for different categories of information used in the ranking scheme. Some approaches involve the consideration of only two categories – frequency and consequences – and treat them as equally important. In other approaches, potential consequences receive more weight than frequency. While it is important to have a sense of the magnitude involved (whether in regard to the single indicator used to rank hazards or to estimated numbers of people affected), these are static. Some hazards may pose a threat to the community that is so limited that additional analysis is not necessary. A sample hazard profile worksheet is provided in Appendix E.

DETERMINE GOALS AND OBJECTIVES

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By using information from the hazard profile developed as part of the analysis process, the planning team thinks about how the hazard would evolve in the jurisdiction and what defines a successful response. Starting with a given intensity for the hazard, the team imagines the hazard's development from initial warning (if available) to its impact on the jurisdiction (as identified through analysis) and its generation of specific consequences (e.g., collapsed buildings, loss of critical services or infrastructure, death, injury, or displacement). These scenarios should be realistic and created on the basis of the jurisdiction's hazard and risk data. Planners may use the event or events that have the greatest impact on the jurisdiction (worst-case), those that are most likely to occur, or an event constructed from the impacts of a variety of hazards. During this process of building a hazard scenario, the planning team identifies the needs and demands that determine response actions and resources. Planners are looking for hazard-, response-, and constraint-generated needs and demands.

- Hazard-generated needs and demands are caused by the nature of the hazard. They lead to response functions like public protection, population warning, and search and rescue.

- Response-generated needs and demands are caused by actions taken in response to a hazard-generated problem. These tend to be common to all disasters. An example is the potential need for emergency refueling during a large-scale evacuation. Subsets could include the needs to find a site for refueling, identify a fuel supplier, identify a fuel pumping method, control traffic, and collect stalled vehicles.

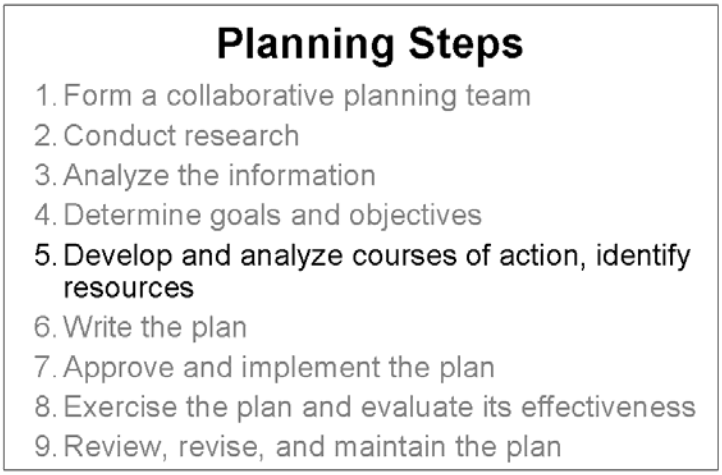
- Constraint-generated demands are caused by things planners must do, are prohibited from doing, or are not able to do. The constraint may be caused by a law, regulation, or management directive or by some physical characteristic (e.g., terrain and road networks that make east-west evacuations impossible).

Once the needs and demands are identified, the planning team restates them as operational priorities, goals, and objectives. Written properly, they tell responding organizations what to accomplish and by when. Operational priorities indicate a desired end-state for the response. Goals are broad, general statements that indicate the intended solution to problems identified by planners during the previous step. They are what personnel and equipment resources are supposed to achieve. They help identify when major elements of the response are complete and when the response is successful. Objectives are more specific and identifiable actions carried out during the response. They lead to achieving response goals. They are the things that responders have to accomplish – the things that translate into activities, implementing procedures, or operating procedures by responsible organizations. The following callout box shows the relationships among response problems, goals, and objectives. As goals and objectives are set, planners may identity more needs and demands.

Relationships among Operational Priorities, Goals, and Objectives

Operational priority: Protect the public from hurricane weather and storm surge.
Response goal: Complete evacuation before arrival of tropical storm (TS) winds.
Intermediate objective: Complete tourist evacuation 72 hours before arrival of TS winds.
Intermediate objective: Complete medical evacuations 24 hours before arrival of TS winds.

DEVELOP AND ANALYZE COURSES OF ACTION, IDENTIFY RESOURCES



This step is a process of generating and comparing possible solutions for achieving the goals and objectives identified in Step 4. The same scenarios used during problem identification are used to develop potential courses of action. Planners consider the needs and demands, goals, and objectives to develop several response alternatives. The art and science of planning will help determine how many solutions or alternatives to consider; however, at least two options should always be considered. Although developing only one solution may speed the planning process, it will most likely provide an inappropriate response, leading to more damaging effects on the affected population or environment.

The process of developing courses of action is often referred to as either game planning or war gaming. It combines aspects of scenario-based, functional, and capabilities-based planning. At its core, game planning is a form of brainstorming It depicts how the response unfolds by using a process of building relationships among the hazard action, decision points, and response actions.

Game planning helps planners determine what tasks occur immediately at event initiation, tasks that are more mid-event focused, and tasks that affect long-term operations. The planning team should work through this process by using tools that help members visualize response flow, such as a white board, "yellow sticky chart," or some type of project management or special planning software. Game planning follows these steps:

1. *Establish the timeline*. The timeline is most often determined by the speed of hazard onset. The timeline may also change by phases. For example, a hurricane's speed of onset is typically days, while a major HAZMAT incident's speed of onset is minutes. The timeline for a hurricane might be in hours and days, particularly during the pre- and post-impact phases. The timeline for the HAZMAT incident would most likely be in minutes and hours.

2. *Depict the scenario*. Planners use the scenario information developed in Step 4 (Determine Goals and Objectives) and place the hazard information on the time line.

3. *Identify and depict decision points*. Decision points indicate the place in time, as hazard events unfold, when leaders anticipate making decisions

Supporting Planning Concepts

Scenario-Based Planning: As the name implies, this planning process starts with building a scenario. The impact of the scenario is analyzed to determine appropriate response strategies.

Functional Planning: This planning process identifies the common tasks that the community must perform during emergencies. It is the basis for the all-hazards approach to planning described in SLG 101. It identifies lead and supporting agencies for response tasks.

Capabilities-Based Planning: A capability is the ability to take a course of action. Capability-based planning answers the question, "Do I have the right mix of TOPPLEF (training, organizations, plans, people, leadership and management, equipment, and facilities) elements to perform required response tasks?" The Target Capabilities List provides a definition; an outcome; and preparedness and performance activities, tasks, and measures for a predetermined set of capabilities.

about a course of action. They indicate where and when decisions are required to provide the best chance of achieving an intermediate objective or response goal (the desired end state). They also help planners determine how much time is available or needed to complete a sequence of actions.

4. *Identify and depict response actions*. For each response action depicted, some basic information is needed. Developing this information during game planning helps planners incorporate the task into the plan when they are writing it. A response action is correctly identified when planners can answer the following questions about it:

   - What is the action?
   - Who does it?
   - When do they do it?
   - How long does it take/how much time is actually available to do it?
   - What has to happen before it?
   - What happens after it?
   - What resources does it need?

STOP!

NOW IS A GOOD TIME TO TAKE THE WORK TO DATE AND REVIEW IT WITH YOUR SENIOR OFFICIALS – IT IS IMPORTANT FOR THEM TO UNDERSTAND **WHAT** YOU ARE PLANNING FOR AND **WHY**

5. *Identify resources*. Initially, the planning team identifies resources needed to accomplish response tasks in an unlimited manner. The object is to identify the resources needed to make the response work. Once the planning team identifies all the needs and demands, they begin matching available resources to requirements. By tracking obligations and assignments, the planning team determines resource shortfalls and develops a list of needs that private suppliers or other jurisdictions might fill. The resource base also should include a list of facilities vital to emergency operations, and the list should indicate how individual hazards

might affect the facilities. The EOP should account for unsolvable resource shortfalls so they are not just "assumed away."

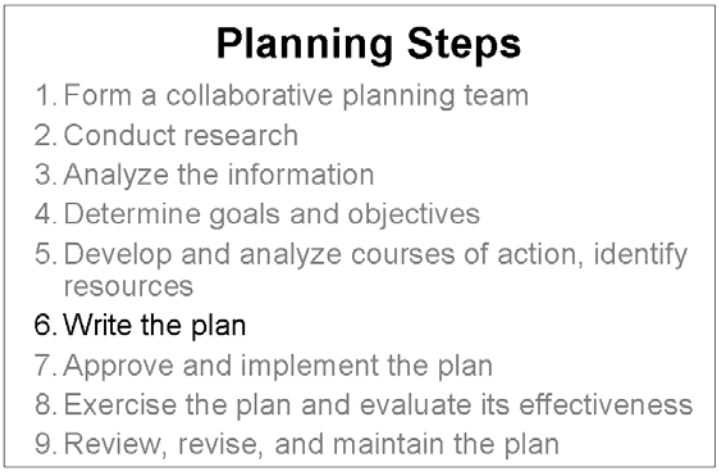
6. *Identify information needs*. Another outcome from the game planning effort is a "list" of the information needs for each of the response participants. Planners need to identify the information they need and the time they need it by to drive decisions and trigger critical actions.

7. *Assess progress*. When game planning, the process should be periodically "frozen" so the planning team can:

   - Identify progress made toward the end state,
   - Identify goals and objectives met and new needs or demands,
   - Identify "single point failures" (i.e., tasks that, if not completed, would cause the response to fall apart),
   - Check for omissions or gaps,
   - Check for inconsistencies in organizational relationships, and
   - Check for mismatches between the jurisdiction's plan and plans from other jurisdictions with which they are interacting.

WRITE THE PLAN

This step turns the results of game planning into an emergency plan. The planning team develops a rough draft of the base plan, functional or hazard or annexes, or other parts of the plan as appropriate. The recorded results of the game planning process used in the previous step provide an outline for the rough draft. As the planning team works through successive drafts, they add necessary tables, charts, and other graphics. A final draft is prepared and circulated to organizations that have responsibilities for



implementing the plan for their comments. (See Chapter 4 for more information on plan formats.)

Following these simple rules for writing plans and procedures will help ensure that readers and users understand their content.

- Keep the language simple and clear by writing in plain English. Summarize important information with checklists and visual aids such as maps and flowcharts.

- Avoid using jargon.

- Use short sentences and the active voice. Qualifiers and vague words only add to confusion.

- Provide enough detail to convey an easily understood CONOPS. The less certain a situation, the less detail can be put into the plan. Those parts of a plan that would be most affected by the hazard's effects should have the least amount of detail. Conversely, those that would be least affected the hazard effects should have the most amount of detail. The amount of detail a plan should provide depends on the target audience and the amount of certainty about the situation. Similarly, plans written for a jurisdiction or organization with high staff turnover might require more detail.

- Format the plan and present its content so that its readers can quickly find solutions and options. Focus on providing mission guidance and not on discussing policy and regulations. Plans should provide guidance for carrying out common tasks as well as enough insight into intent and vision so that responders can handle unexpected events. However, when writing a plan, "stay out of the weeds." Procedural documents should provide the fine details.

APPROVE AND IMPLEMENT THE PLAN

The written plan should be checked for its conformity to applicable regulatory requirements and the standards of Federal or State agencies (as appropriate) and for its usefulness in practice. Planners should consult the

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next level of government about its emergency plan review cycle. Reviews of plans allow other agencies with emergency responsibilities to suggest improvements to a plan based on their accumulated experience. States may review local plans; FEMA regional offices may assist States in the review of emergency plans, upon request. Hazard-specific Federal programs (such as the Radiological Emergency Preparedness Program [REPP]) require periodic review of certain sections of the all-hazards plan and may require review of associated standard operating procedures (SOPs). Conducting a tabletop exercise involving the key representatives of each tasked organization may serve as a practical and useful means to help validate the plan.

"Red-Teaming"

The military has learned that examining plans "through the eyes of the enemy" can lead to significant improvements and a higher probability of success. This process, known as "red-teaming," is frequently used to validate site security and military war plans. It can also be applied to the evaluation of emergency management and emergency response plans. Essential elements of a red-team review include:

- Peer review of the draft plans by respected subject matter experts outside the plan development team;
- Challenging the assumptions that are used to draft the plan;
- Evaluation of the plan under various circumstances (e.g., by using the 15 National Planning Scenarios);
- Examination of the plan as part of the entire jurisdiction's response system and how it fits into the larger picture;
- Examining the plan from other perspectives (including neighboring jurisdictions, the State government, other States, the media, private industry, volunteer agencies, special needs populations, and the general public); and
- Interactive candid discussion of plan elements.

Red-teaming has the highest probability of success when it is endorsed by the chief administrative leadership. Participants should be highly experienced and their opinions should be respected, and plan comments should be made anonymously if possible. Tabletop exercises or facilitated planning seminars should incorporate multiple scenarios and could include red-team members as well as individuals from the planning team. Computer modeling and simulations could also be used by a red-team to evaluate the plan under a wide range of circumstances.

Use of the Target Capability List (TCL) to validate the plan is another method of review. At a minimum, the plan should address all TCL Phase I capabilities. However, the jurisdiction does not have to provide all of the resources needed to meet a capability. For example, many jurisdictions do not have bomb squads or

Urban Search and Rescue teams required to meet certain capabilities. Neighboring jurisdictions can provide those resources (or capability elements) through mutual aid agreements, memorandums of agreement or understanding, regional compacts, or some other formal request process.

Once the plan is validated, the emergency manager should present the plan to the appropriate elected officials and obtain official promulgation of the plan. The team should arrange to print and distribute the plan, with a copy (or press release) to local media, and maintain a record of the people and organizations that received a copy (or copies) of the plan.

EXERCISE THE PLAN AND EVALUATE ITS EFFECTIVENESS

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Exercising the plan and evaluating its effectiveness involve training and using exercises and evaluating actual events to determine whether the goals, objectives, decisions, actions, and timing outlined in the plan led to a successful response. In this way, homeland security and other emergency preparedness exercise programs (e.g., Homeland Security Exercise and Evaluation Program [HSEEP], REPP, and Chemical Stockpile Emergency Preparedness Program [CSEPP]) become an integral part of the planning process. Similarly, planners need to be aware of lessons and practices from other communities. The Lessons Learned Information Sharing Web site (http://www.llis.dhs.gov) provides an excellent forum for evaluating concepts identified in a jurisdiction's plan against the experiences of others.

Commonly used criteria can help decision makers determine the effectiveness and efficiency of plans. These measures include adequacy, feasibility, acceptability, completeness, and compliance with guidance or doctrine. Decision makers directly involved in planning can employ these criteria, along with their understanding of plan requirements, not only to determine a plan's effectiveness and efficiency but also to assess risks and define costs. Some types of analysis, such as a determination of acceptability, are largely intuitive. In this case, decision makers apply their experience, judgment, intuition, situational awareness, and discretion. Other analyses, such as a determination of feasibility, should be rigorous and standardized to minimize subjectivity and preclude oversights.

- ***Adequacy*.** A plan is adequate if the scope and concept of planned response operations identify and address critical tasks effectively; the plan can accomplish the assigned mission while complying with guidance; and the plan's assumptions are valid, reasonable, and comply with guidance.

- ***Feasibility*.** When determining a plan's feasibility, planners assess whether their organization can accomplish the assigned mission and critical tasks by using available resources within the time contemplated by the plan. They allocate available resources to tasks and track the resources by status (assigned, out of service, etc.). Available resources include internal assets and those available through mutual aid or through existing State, Regional compact, or Federal assistance agreement.

- ***Acceptability*.** A plan is acceptable if it meets the needs and demands driven by the event, meets decision-maker and public cost and time limitations, and is consistent with the law. The plan can be justified in terms of the cost of resources and if its scale is proportional to mission requirements. Planners use both acceptability and feasibility tests to ensure that the mission can be accomplished with available resources, without incurring excessive risk regarding personnel, equipment, materiel, or time. They also verify that risk management procedures have identified, assessed, and applied control measures to mitigate operational risk (risk of achieving operational objectives).

- ***Completeness*.** Planners must determine if the plan:

  - Incorporates all tasks to be accomplished,
  - Includes all required capabilities,
  - Provides a complete picture of the sequence and scope of the planned response operation (i.e., what should happen, when, and at whose direction),
  - Makes time estimates for achieving objectives, and
  - Identifies success criteria and a desired end state.

- ***Compliance with Guidance and Doctrine*.** The plan needs to comply with guidance and doctrine to the maximum extent possible, since they provide a baseline that facilitates both planning and execution.

When using these criteria, planners should ask the following questions:

- Did an action, a process, a decision, or the response timing identified in the plan make the situation worse or better?
- Were alternate courses of action identified that were not previously considered?
- What aspects of the action, process, decision, or response timing make it something to be maintained?
- What aspects of the action, process, decision, or response timing make it something to be avoided?
- What specific changes to plans and procedures, personnel, organizational structures, leadership or management processes, facilities, or equipment can be made to improve response performance?

A remedial action process can help a planning team identify, illuminate, and correct problems with the jurisdiction's EOP. This process captures information from exercises, post-disaster critiques, self-assessments, audits, administrative reviews, and the like, which may indicate that deficiencies exist. It then brings members of the planning team together again to discuss the problem and to consider and assign responsibility for generating remedies. Remedial actions may involve revising planning assumptions and operational concepts, changing organizational tasks, or modifying organizational implementing instructions (i.e., the SOPs). Remedial actions also may involve providing refresher training on performing tasks assigned by the EOP to an organization's personnel. The final component of a remedial action process is a mechanism for tracking and following up on the assigned actions. As appropriate, significant issues and problems identified through a remedial action process and/or the annual review should provide the information needed to allow the planning team to make the necessary revision(s) to the plan.

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REVIEW, REVISE, AND MAINTAIN THE PLAN

This step closes the loop in the planning process. It is really all about adding the information gained in Step 8

to the research collected in Step 1 and starting the planning cycle over again. Remember, emergency planning is a continuous process that does not stop when the plan is published.

Planning teams should establish a process for reviewing and revising the EOP. Reviews should be a recurring activity. Some jurisdictions have found it useful to review and revise portions of the EOP every month. Many accomplish their reviews on an annual basis. In no case should any part of the plan go for more than two years (24 months) without being reviewed and revised. Teams should also consider reviewing and updating the plan after the following events:

- A change in response resources (policy, personnel, organizational structures, or leadership or management processes, facilities, or equipment),
- A formal update of planning guidance or standards,
- A change in elected officials,
- Each activation,
- Major exercises,
- A change in the jurisdiction's demographics or hazard profile, or
- New or amended laws or ordinances are enacted.

The planning process is all about response stakeholders bringing their strengths to the table to develop and reinforce a jurisdiction's emergency management program. Properly developed, supported, and executed emergency plans are a direct result of an active and evolving program.

3. Emergency Operations Plan Structures

Emergency Plans and Procedures

The centerpiece of comprehensive emergency management is the emergency operations plan (EOP). Each jurisdiction develops an EOP that defines the scope of preparedness and incident management activities necessary for that jurisdiction. A jurisdiction's EOP is a document that:

- Assigns responsibility to organizations and individuals for carrying out specific actions at projected times and places in an emergency that exceeds the capability or routine responsibility of any one agency;
- Sets forth lines of authority and organizational relationships and shows how all actions will be coordinated;
- Describes how people and property are protected in emergencies and disasters;
- Identifies personnel, equipment, facilities, supplies, and other resources available – within the jurisdiction or by agreement with other jurisdictions – for use during response and recovery operations;
- Reconciles requirements with other jurisdictions; and
- Identifies steps to address mitigation concerns during response and recovery activities.

As a public document, an EOP also cites its legal basis, states its objectives, and acknowledges assumptions.

An EOP is flexible enough for use in all emergencies. A complete EOP describes the:

- Purpose of the plan,
- Situation,

- Assumptions,
- CONOPS,
- Organization and assignment of responsibilities,
- Administration and logistics,
- Plan development and maintenance, and
- Authorities and references.

The EOP contains annexes and appendices appropriate to the jurisdiction's organization and operations. EOPs predesignate jurisdictional and/or functional area representatives to the Incident Command or Unified Command whenever possible to facilitate responsive and collaborative incident management.

An EOP also defines the scope of *preparedness* activities necessary to make the EOP more than a mere paper plan. This is because the EOP defines the requirements to effectively manage response. These requirements are used to set training and exercise goals. Training helps emergency personnel become familiar with their responsibilities and acquire the skills necessary to perform assigned tasks. Exercises provide a means to validate plans, checklists, and response procedures and evaluate the skills of personnel. Adjusting an EOP after conducting training or exercises or responding to events also makes it practice-based.

The EOP facilitates *response* and *short-term recovery* (which set the stage for successful *long-term recovery*). Response actions are time-sensitive. Some post-disaster recovery issues, such as the rebuilding and placement of temporary housing facilities, also must be addressed quickly. Advance planning makes doing this easier, especially when a changing environment requires "mid-course corrections." The EOP helps drive decisions on long-term prevention, recovery, and mitigation efforts or risk-based preparedness measures directed at specific hazards.

STATE, TERRITORIAL, LOCAL, AND TRIBAL EOPS

In our country's system of emergency management, the Local government must act first to attend to the public's emergency needs. Depending on the nature and size of the emergency, State and Federal assistance may be provided to the Local or Tribal jurisdiction. Local and Tribal EOPs focus on the measures that are essential for protecting the public. These include warning, emergency public information, evacuation, and shelter.

States and Territories play three roles: They assist Local jurisdictions whose capabilities must be augmented or are overwhelmed by an emergency; they themselves respond first to certain emergencies; and they work with the Federal Government when Federal assistance is necessary. The State/Territorial EOP is the framework within which Local EOPs are created and through which the Federal Government becomes involved. As such, the State/Territorial EOP ensures that all levels of government are able to mobilize as a unified emergency organization to safeguard the well-being their citizens. The State/Territorial EOP should serve to synchronize and integrate Local, Tribal, and Regional plans.

Emergency management involves several kinds of plans, just as it involves several kinds of actions. While the EOP is considered the centerpiece of a jurisdiction's emergency management effort, it is not the only plan that addresses that effort. Other types of plans support and supplement the EOP. (See Chapter 4 for a further discussion of these plans.)

A planning team's main concern is to include all essential information and instructions in the EOP. Poor organization of that information can limit the EOP's effectiveness. FEMA does not mandate a particular format for EOPs. In the final analysis, an EOP's format is "good" if its users understand it, are comfortable with it, and can extract the information they need. When an EOP cannot pass that test – in training, exercises, actual response, plan review and coordination meetings, and the like -- some change of format may be necessary. In designing a format for an all-hazards EOP and in reviewing the draft, the planning team should consider the following:

- *Organization*. Do the EOP subdivisions help users find what they need, or must users sift through information that is not relevant? Can single subdivisions be revised without forcing a substantial rewrite of the entire EOP?

- *Progression*. In any one section of the EOP, does each element seem to follow from the previous one, or are some items strikingly out of place? Can the reader grasp the rationale for the sequence and scan for the information he or she needs?

- *Consistency*. Does each section of the EOP use the same logical progression of elements, or must the reader reorient himself or herself in each section?

- *Adaptability*. Does the EOP's organization make its information easy to use during unanticipated situations?

- *Compatibility*. Does the EOP format promote or hinder coordination with other jurisdictions, including the State and/or Federal Government? Can reformatting the EOP or making a chart of the coordination relationships (i.e., a "crosswalk") solve problems in this area?

STRUCTURING AN EOP

While the causes of emergencies vary greatly, their potential effects do not. This means that jurisdictions can plan to deal with effects common to several hazards rather than develop separate plans for each hazard. For example, earthquakes, floods, and hurricanes can all force people from their homes. The jurisdiction can develop a plan organized around the task of finding shelter and food for the displaced. If desired, the EOP planners can make minor adjustments to reflect differences in the speed of onset, duration, and intensity of the hazards.

The planning team must try to identify all critical common tasks or functions that participating organizations must perform. Then it must assign responsibility for accomplishing each of those functions. Finally, the emergency manager must work with the heads of tasked organizations to ensure that they prepare SOPs detailing how they will carry out critical tasks associated with the emergency management strategy. Because the jurisdiction's goal is a coordinated and integrated response, all EOP styles should flow from a basic plan that outlines the jurisdiction's overall emergency organization and its policies.

This section outlines a variety of formats that a jurisdiction could use for an EOP. These format options come from EOPs used by State, Territorial, Local, and Tribal governments across the nation. No matter the source, these formats are, at best, suggestions for new planners on where to start when developing an EOP. Seasoned planners can use these formats to validate the effectiveness of their EOP's organization. As the planning team begins to develop a new EOP, members must discuss what format is the most effective and easiest to use by their jurisdiction. Population size, the jurisdiction's style of government, or the results of a vulnerability assessment may help the team decide which format to use. The planning team may modify any of these formats to make the EOP fit the jurisdiction's emergency management strategy, policy, resources, and capabilities. Note, however, that some States prescribe an EOP format for their Local governments.

TRADITIONAL FUNCTIONAL FORMAT

The traditional functional structure is probably the most commonly used EOP format. This is the format found in both FEMA CPG 1-8 and SLG-101, used by many jurisdictions to draft their EOPs in the 1980s and 1990s. Its format has

three major sections: the *Basic Plan*, *Functional Annexes*, and *Hazard-Specific Appendices*.

The **Basic Plan** provides an overview of the jurisdiction's preparedness and response strategies. It describes expected hazards, outlines agency roles and responsibilities, and explains how the jurisdiction keeps the plan current.

The **Functional Annexes** are individual chapters that focus on specific response and recovery missions, such as Communications and Damage Assessment. These annexes describe the actions, roles, and responsibilities that participating organizations have for completing tasks for a function. They discuss how the jurisdiction manages the function before, during, and after the emergency and identify the agencies that implement that function. However, each Functional Annex addresses only general strategies used for any emergency.

The **Hazard-Specific Appendices** describe strategies for managing preparedness and response missions for a specific hazard. Attached to the end of each functional annex, they explain the procedures that are unique to that annex for a hazard type. For example, the Direction and Control Annex may have an appendix that discusses how local law enforcement's command post will coordinate its functions with the Federal Bureau of Investigation's (FBI's) on-scene operations center during a terrorist response. These appendices may be short or long, depending on the details needed to explain the actions, roles, and responsibilities. Strategies already outlined in a Functional Annex should not be repeated in a Hazard-Specific Appendix.

If the planning team notes that it has an appendix in every annex for the same hazard, it could consider combining these appendices into one, larger appendix to the base plan. For example, chemical or radiological emergencies often drive similar strategies for each annex. In this case, the planning team may want to merge those strategies into one chemical or radiological appendix to the EOP.

The traditional format also uses a specific outline to define the elements of each annex or appendix. When the format is followed, EOP users can find information in the plan easier because the same type of information is in the same location. The traditional EOP format is flexible enough to accommodate all jurisdictional preparedness and response strategies. The planning team can add annexes or appendices to include a new response function or newly identified hazard. Similarly, the team can separate an operational issue (e.g., Mass Care) into two separate annexes (e.g., Emergency Sheltering and Life Support).

TRADITIONAL FUNCTIONAL EOP FORMAT

1) Basic Plan
- i) Promulgation Document/Signature Page
- ii) Approval and Implementation
- iii) Record of Changes
- iv) Record of Distribution
- v) Table of Contents

b) Purpose, Scope, Situations, and Assumptions
- i) Purpose
- ii) Scope
- iii) Situation Overview
  - (a) Hazard Analysis Summary
  - (b) Capability Assessment
  - (c) Mitigation Overview
- iv) Planning Assumptions

c) Concept of Operations
d) Organization and Assignment of Responsibilities
e) Direction, Control, and Coordination
f) Disaster Intelligence
g) Communications
h) Administration, Finance, and Logistics
i) Plan Development and Maintenance
j) Authorities and References

2) Functional Annexes
a) Direction and Control
b) Continuity of Government/Operations
c) Communications
d) Warning
e) Emergency Public Information
f) Evacuation
g) Mass Care
h) Health and Medical
i) Resource Management

3) Hazard-Specific Appendices (Note: This is not a complete list. Planning teams must define the annexes on the basis of their hazard analysis.)
a) Earthquake
b) Flood/Dam Failure
c) Hazardous Materials
d) Hurricane/Severe Storm
e) Lethal Chemical Agents and Munitions
f) Radiological Incident
g) Terrorism
h) Tornado

EMERGENCY SUPPORT FUNCTION (ESF) FORMAT

The ESF format is the plan structure used in the National Response Framework (NRF). Many State-level EOPS also use this format. It begins with a **Basic Plan**, includes unique **Appendices** that support the whole plan, addresses individual **Emergency Support Function (ESF) Annexes**, and then attaches separate **Support** or **Incident Annexes**.

The **Basic Plan** provides an overview of the jurisdiction's emergency management system. It briefly explains the hazards faced, capabilities, needs and demands, and the jurisdiction's emergency management structure. It also reviews expected mission execution for each emergency phase and identifies the agencies have the lead for a given ESF. The Basic Plan then outlines the ESFs that are activated during an emergency.

Appendices provide relevant information not already addressed in the Basic Plan. Typically, this includes common information such as a list of terms and definitions, guidelines for EOP revision, or an EOP exercise program. It may also include forms used for managing most emergencies.

The **ESF Annexes** identify the ESF coordinator and the primary and support agencies for each ESF. ESFs with multiple primary agencies should designate an ESF coordinator to coordinate pre-incident planning. An ESF Annex describes expected mission execution for each emergency phase and identifies tasks assigned to member of the ESF.

The **Support Annexes** describe the framework through which a jurisdiction's departments and agencies; the private sector; volunteer organizations; and NGOs such as the American Red Cross coordinate and execute the common emergency management strategies. The actions described in the Support Annexes apply to nearly every type of emergency. Each Support Annex identifies a coordinating agency and cooperating agencies. In some instances, two departments or agencies share coordinating agency responsibilities.

The **Incident Annexes** describe the policies, situation, CONOPS, and responsibilities for particular hazards or incident types. Each Incident Annex has four sections:

- *Policies*: The policy section identifies the authorities unique to the incident type, the special actions or declarations that may result, and any special policies that may apply.

- *Situation*: The situation section describes the incident or hazard characteristics and the planning assumptions. It also outlines the

management approach for when key assumptions do not hold (e.g., how authorities will operate if they lose communication with senior decision makers).

- *Concept of Operations*: This section describes the flow of the emergency management strategy for the incident or hazard. It identifies special coordination structures, specialized response teams or unique resources needed, and other special considerations unique to the type of incident or hazard.

- *Responsibilities*: Each Incident Annex identifies the coordinating and cooperating agencies involved in an incident- or hazard-specific response.

EMERGENCY SUPPORT FUNCTION EOP FORMAT

1) Basic Plan
- (1) Promulgation Document/Signature Page
- (2) Approval and Implementation
- (3) Record of Changes
- (4) Record of Distribution
- (5) Table of Contents

b) Purpose, Scope, Situations, and Assumptions
- i) Purpose
- ii) Scope
- iii) Situation Overview
  - (a) Hazard Analysis Summary
  - (b) Capability Assessment
  - (c) Mitigation Overview
- iv) Planning assumptions

c) Concept of Operations
d) Organization and Assignment of Responsibilities
e) Direction, Control, and Coordination
f) Disaster Intelligence
g) Communications
h) Administration, Finance, and Logistics
i) Plan Development and Maintenance
j) Authorities and References

2) Emergency Support Function Annexes
a) ESF #1 – Transportation
b) ESF #2 – Communications
c) ESF #3 – Public Works and Engineering
d) ESF #4 – Firefighting
e) ESF #5 – Emergency Management
f) ESF #6 – Mass Care, Emergency Assistance, Housing, and Human Services
g) ESF #7 – Resource Support
h) ESF #8 – Public Health and Medical Services
i) ESF #9 – Search and Rescue
j) ESF #10 – Oil and Hazardous Materials
k) ESF #11 – Agriculture and Natural Resources

l) ESF #12 – Energy
m) ESF #13 – Public Safety and Security
n) ESF # 14 – Long-Term Community Recovery
o) ESF # 15 – External Affairs
p) Other Locally defined ESFs

3) Support Annexes
a) Financial Management
b) Local Mutual Aid/Multi-State Coordination
c) Logistics Management
d) Private Sector Coordination
e) Public Affairs
f) Volunteer and Donation Management
g) Worker Safety and Health

4) Incident Annexes
a) Biological
b) Catastrophic
c) Cyber
d) Food and Agriculture
e) Nuclear/Radiological
f) Oil and Hazardous Materials
g) Terrorism
h) (Other Hazards as Required)

AGENCY/DEPARTMENT-FOCUSED FORMAT

The Agency/Department-Focused Format addresses emergency management strategies by describing each department or agency's tasks in a separate section. In addition to the **Basic Plan**, this format includes **Response and Support Agency** sections and **Hazard-Specific Procedures** for the individual agencies. Very small communities may find this format more appropriate for their situation than the other formats previously presented.

Just like all of the other EOP formats, the **Basic Plan** provides an overview of a jurisdiction's ability to respond to disasters. It summarizes the basic tasks taken to prepare for a disaster and defines how the plan is developed and maintained.

Separate **Response and Support Agency** sections discuss the emergency functions completed by individual departments or agencies. Each individual agency section still needs to refer to other agency sections to ensure coordination with their respective emergency management strategies. The **Hazard-Specific Procedures** section addresses the unique preparedness, response, and recovery strategies germane to each department or agency for specific disaster types. The hazard-specific procedures can immediately follow each agency section or be attached as a separate chapter to the plan.

AGENCY/DEPARTMENT- FOCUSED EOP FORMAT

1) Basic Plan
- i) Promulgation Document/Signature Page
- ii) Approval and Implementation
- iii) Record of Changes
- iv) Record of Distribution
- v) Table of Contents

b) Purpose, Scope, Situations, and Assumptions
- i) Purpose
- ii) Scope
- iii) Situation Overview
  - (a) Hazard Analysis Summary
  - (b) Capability Assessment
  - (c) Mitigation Overview
- iv) Planning assumptions

c) Concept of Operations
d) Organization and Assignment of Responsibilities
e) Direction, Control, and Coordination
f) Disaster Intelligence
g) Communications
h) Administration, Finance, and Logistics
i) Plan Development and Maintenance
j) Authorities and References

2) **Response Agencies**
- a) Fire
- b) Law Enforcement
- c) Emergency Medical
- d) Emergency Management
- e) Hospital
- f) Public Health
- g) Others as Needed

3) Support Agencies
- a) Identify those agencies that have a support role during an emergency and describe/address the strategies they are responsible for implementing.

4) Hazard-Specific Procedures
- a) For any response or support agency, describe/address its hazard-specific strategies.

This format allows EOP users to review only those procedures specific to their agency without having to review everyone else's response tasks. The individual sections still reference the unique relationships that need to exist with other agencies during a disaster; however, they do not contain details on the other departments' or agencies' strategies. If needed, the plan users can go to the other departments' or agencies' sections and review their procedures to understand the bigger picture. The level of detail provided in each section varies according to the needs of the specific department or agency. Agencies or

departments with detailed SOPs may not need much information in their portion of the plan, while others may need to provide more details in the EOP.

USING EOP TEMPLATES

Emergency managers and planners, particularly at the Local level, recognize that the planning process demands a significant commitment of time, effort, and resources. It is challenging to gather the team, work through the planning process, and accomplish the writing and validation of the plan before its promulgation. To ease this burden, many planners and jurisdictions use EOP templates to complete their plans. Some States provide templates to their Local jurisdictions. Other templates are available through hazard-specific preparedness programs or commercially from private sector vendors. Typically, a planner "fills in the blank" or rewrites and revises a template to fit the local situation. On the surface, such templates appear to save time and effort. However, using templates often undermines the planning process by defeating the socialization, mutual learning, and role acceptance that are so important to achieving effective planning and a successful response. Before using an EOP template, planners should consider that:

- The resulting EOP will probably not represent the jurisdiction's unique hazard situation because the underlying facts and assumptions that drove the template's content will rarely match those applicable to the jurisdiction.

- Similarly, the hazard and risk assessments that guided the template's courses of action most likely will not match the jurisdiction's demographics, infrastructure inventory, probability of hazards occurrence, etc.

- The template will identify the resources needed to address the problems generated by an emergency or disaster only in a general way.

- Using templates may stifle creativity and flexibility, thereby constraining the development of strategies and tactics needed to solve disaster problems.

- Using templates makes it easy to plan "in a vacuum," by allowing a single individual to "write" the plan.

In the end, planners will usually find that, in order to adapt the template to their jurisdiction's needs, they needed to go through the planning process anyway.

This does not mean that planners cannot use templates or plans from other jurisdictions to help with writing style and structure. There are also software programs specifically designed to support plan development, either in general or for a specific step of the planning process. Planners need to evaluate the usefulness of any planning tool (template, software) used as part of the planning process.

4. Emergency Operations Plan Content

The Basic Plan

The Basic Plan provides an overview of the jurisdiction's approach to emergency operations. It details emergency response policies, describes the response organization, and assigns tasks. Although the Basic Plan guides the development of the more operationally oriented annexes, its primary audience consists of the jurisdiction's chief executive, his or her staff, and agency heads. The plan elements listed in this chapter (not necessarily in the order presented or under the headings given here) should meet the needs of this audience while providing a solid foundation for the development of supporting annexes.

Introductory Material

Certain items that enhance accountability and ease of use should preface the EOP. Typical introductory material includes the components that follow.

- *Cover page*. The cover page has the title of the plan. It should include a date and identify the jurisdiction(s) covered by the plan.

- *Promulgation document.* The promulgation document enters the plan "in force." Promulgation is the process that officially announces/declares a plan (or law). It gives the plan official status and gives both the authority and the responsibility to organizations to perform their tasks. It should also mention the responsibilities of tasked organizations with regard to preparing and maintaining SOPs and commit those organizations to carrying out the training, exercises, and plan maintenance needed to support the plan. The promulgation document also allows the chief executives to affirm their support for emergency management.

- *Approval and implementation page.* The approval and implementation page introduces the plan, outlines its applicability, and indicates that it supersedes all previous plans. It should include a date and must be signed by the senior elected officials (e.g., governors, Tribal leaders, mayors, county judges, commissioners).

- *Record of changes.* Each update or change to the plan needs to be tracked. The record of changes, usually in table format, contains, at a minimum, a change number, the date of the change, and the name of the person who made the change. Other relevant information could be considered.

- *Record of distribution.* The record of distribution, usually in table format, indicates the title and the name of the person receiving the plan, the agency to which the receiver belongs, the date of delivery, and the number of copies delivered. Other relevant information could be considered. The record of distribution can be used to prove that tasked individuals and organizations have acknowledged their receipt, review, and/or acceptance of the plan. Copies of the plan can be made available to the public and media without SOPs, call-down lists, or other sensitive information.

- *Table of contents.* The table of contents should be a logically ordered and clearly identified layout of the major sections and subsections of the plan that will make finding information within the plan easier.

PURPOSE, SCOPE, SITUATION, AND ASSUMPTIONS

Purpose. The rest of the EOP flows logically from its purpose. The Basic Plan's purpose is a general statement of what the EOP is meant to do. The statement should be supported by a brief synopsis of the Basic Plan, the Functional Annexes, and the Hazard-Specific Appendices.

Scope. The EOP should also explicitly state the scope of emergency and disaster response to which the plan applies and the entities (departments, agencies, private sector, citizens, etc.) and geographic areas to which it applies.

Situation overview. The situation section characterizes the "planning environment," making it clear why an EOP is necessary. At a minimum, the situation section should summarize hazards faced by the jurisdiction and discuss how it fits into Regional response structures. The situation section covers:

- Relative probability and impact of the hazards,

- Geographic areas likely to be affected by particular hazards,

- Vulnerable critical facilities (nursing homes, schools, hospitals, infrastructure, etc.),

- Population distribution,

- Characteristics and locations of special needs populations (e.g., individuals living in the community and in residential facilities who may require assistance with regard to transportation, child care, health care, personal activities, language comprehension, etc.), and

- Dependencies on other jurisdictions for critical resources.

The level of detail is a matter of judgment; some information may be limited to a few specific Functional Annexes and presented there. Maps should be included (as tabs) to support the situation description.

Planning assumptions. These identify what the planning team assumed to be facts for planning purposes in order to make it possible to execute the EOP. During operations, the assumptions indicate areas where adjustments to the plan have to be made as the facts of the event become known. “Obvious” assumptions should be included but limited to those that need to be explicitly stated (e.g., do not state as an assumption that the hazard will occur; it is reasonable for the reader to believe that if the hazard was not possible, the plan would not address it).

CONCEPT OF OPERATIONS

The audience for the Basic Plan needs to be able to visualize the sequence and scope of the planned emergency response. The CONOPS section is a written or graphic statement that explains in broad terms the decision maker’s or leader’s intent with regard to an operation. The CONOPS is designed to give an overall picture of the operation. It is included primarily to clarify the purpose, and it explains the jurisdiction's overall approach to an emergency (i.e., what should happen, when, and at whose direction). Topics should include the division of Local, State, Federal, and any intermediate inter-jurisdictional responsibilities; activation of the EOP; “action levels” and their implications (if formalized in the jurisdiction); the general sequence of actions before, during, and after an emergency; and who should request aid and under what conditions. (The necessary forms should be contained in tabs.) General emergency management goals and objectives are discussed in this section. State EOPs should designate who appoints a State Coordinating Officer (SCO) and how the SCO and the State response organization will coordinate and work with Federal response personnel in accordance with the NRF. The CONOPS should touch on direction and control, alert and warning, and continuity of operations matters that may be dealt with more fully in annexes.

ORGANIZATION AND ASSIGNMENT OF RESPONSIBILITIES

This section of the Basic Plan establishes the emergency organization that will be relied on to respond to an emergency situation. It includes a list of the kinds of tasks to be performed, by position and organization, and it provides a quick overview of who does what, without all of the procedural details included in Functional Annexes. When two or more organizations perform the same kind of task, one should be given primary responsibility, and the other(s) should be given a supporting role. For the sake of clarity, a matrix of organizations and areas of responsibility (including functions) should be included to summarize the primary and supporting roles. (Shared general responsibilities, such as developing SOPs, should not be neglected, and the matrix might also include organizations not under jurisdictional control, if they have defined responsibilities for responding to emergencies that might occur in the jurisdiction.) Organization charts, especially those depicting how a jurisdiction is implementing the Incident Command System (ICS) structure, are helpful.

Also, this section is where a jurisdiction discusses the response organizing option that it uses for emergency management – ESF, or agency and department, or functional areas of ICS/NIMS, or a hybrid. The selected management structure determines what types of annexes are included in the EOP and must be carried through to any hazard annexes. A sample organization responsibility matrix is provided in Appendix H.

DIRECTION, CONTROL, AND COORDINATION

This section describes the framework for all direction, control, and coordination activities. It identifies who has tactical and operational control of response assets. It discusses multijurisdictional coordination systems and processes used during an emergency, which are ways to acknowledge multiple sovereignty but still coordinate actions. Specifically, this section discusses how multijurisdictional coordination systems allow organizations to coordinate efforts across jurisdictions while allowing each jurisdiction to remain its own “command center.” This section also provides information on how department and agency plans nest into the EOP (horizontal coordination) and how higher-level plans are expected to layer on the EOP (vertical integration). This section (and the plan in general) is not the place to talk about EOC organization and operations. Those are SOP issues.

DISASTER INTELLIGENCE (INFORMATION COLLECTION)

This section describes the required critical or essential information common to all emergencies identified during the planning process. In general terms, it identifies the type of information needed, where it is expected to come from, who uses the information, how the information is shared, the format for providing the

information, and any specific times the information is needed. The contents of this section are best provided in a tabular format. This section may be expanded as an annex or it may be included as an appendix or tab in the Direction, Control, and Coordination section. Appendix I provides a sample information collection matrix.

COMMUNICATIONS

This section describes the response organization-to-response organization communication protocols and coordination procedures used during emergencies and disasters. It discusses the framework for delivering communications support and how the jurisdiction's communications integrate into the Regional or National disaster communications network. It does not describe communications hardware or specific procedures found in departmental SOPs. Separate interoperable communications plans should be identified and summarized. This section may be expanded as an annex and is usually supplemented by communications SOPs and field guides.

ADMINISTRATION, FINANCE, AND LOGISTICS

This section covers general support requirements and the availability of services and support for all types of emergencies, as well as general policies for managing resources. The following should be addressed in this section of the plan:

- References to Mutual Aid Agreements, including the Emergency Management Assistance Compact (EMAC);
- Authorities for and policies on augmenting staff by reassigning public employees and soliciting volunteers, along with relevant liability provisions;
- General policies on keeping financial records, reporting, tracking resource needs, tracking the source and use of resources, acquiring ownership of resources, and compensating the owners of private property used by the jurisdiction.

If this section is expanded, it should be broken into individual Functional Annexes – one for each element.

PLAN DEVELOPMENT AND MAINTENANCE

The overall approach to planning and the assignment of plan development and maintenance responsibilities are discussed in this section. This section should:

- Describe the planning process, participants in that process, and how development and revision of different ”levels” of the EOP (Basic Plan, annexes, appendices, and SOPs) are coordinated during the preparedness phase;

- Assign responsibility for the overall planning and coordination to a specific person; and

- Provide for a regular cycle of testing, reviewing, and updating the EOP.

AUTHORITIES AND REFERENCES

This section provides the legal basis for emergency operations and activities. This section of the plan includes the following:

- Lists of laws, statutes, ordinances, executive orders, regulations, and formal agreements relevant to emergencies;

- Specification of the extent and limits of the emergency authorities granted to the chief executive officer (SEO), including the conditions under which these authorities become effective, and when they would be terminated;

- Pre-delegation of emergency authorities (i.e., enabling measures sufficient to ensure that specific emergency-related authorities can be exercised by the elected or appointed leadership or their designated successors); and

- Provisions for the continuity of operations (e.g., the succession of decision-making authority and operational control) to ensure that critical emergency functions can be performed.

SUPPORTING ANNEXES

What follows is a discussion of the purpose and potential content of supporting annexes to the Basic Plan. For consistency, the recommended structure for all annexes is the same as that of the Basic Plan. The annexes should include, as appropriate, the same content sections:

- Purpose, situation overview, and planning assumptions;

- CONOPS;

- Organization and assignment of responsibilities;

- Direction, control, and coordination;
- Disaster intelligence;
- Administration, finance, and logistics; and
- Authorities and references.

FUNCTIONAL, SUPPORT, EMERGENCY PHASE, OR AGENCY-FOCUSED ANNEX CONTENT

Functional, Support, Emergency Phase, or Agency-Focused Annexes add specific information and direction to the EOP. As indicated in Chapter 4 and Appendix E, Support, Emergency Phase, and Agency-Focused Annexes are variations of Functional Annexes tailored to the EOP format used by the jurisdiction. They all focus on critical operational functions and who is responsible for carrying them out. These annexes clearly describe the policies, processes, roles, and responsibilities that agencies and departments carry out before, during, and after any emergency. While the Basic Plan provides broad, overarching information relevant to the EOP as a whole, these annexes focus on specific responsibilities, tasks, and operational actions that pertain to the performance of a particular emergency operations function. These annexes also establish preparedness targets (e.g., training, exercises, equipment checks and maintenance) that facilitate achieving function-related goals and objectives during emergencies and disasters.

A very important early planning task is to identify the functions that are critical to successful emergency response. These core functions become the subjects of the separate functional, support, emergency phase, or agency-focused annexes. The constitutional and organizational structures of a jurisdiction's government, capabilities of its emergency services agencies, and established policy and intended outcome of emergency operations influence the choice of core functions. While no single list of functions applies to all jurisdictions, the following list of core functions warrants special attention because they may require specific actions during emergency response operations:

- Direction, control, coordination;
- Disaster intelligence;
- Communications;
- Population warning;

- Emergency public information;
- Public protection (e.g., evacuation, in-place sheltering);
- Mass care;
- Health and medical services; and
- Resource management.

This is not an exhaustive or even comprehensive list of emergency response functions. Each jurisdiction must assess its own needs, and additional or different annexes from those identified in Appendix E should be prepared at the planning team's discretion. States should encourage their jurisdictions to use a consistent set of core emergency functions to facilitate coordination and interoperability.

Some jurisdictions may want to modify their Functional Annex structure to use the 15 ESFs identified in the NRF. Some communities that have adopted the ESF approach have also added additional ESFs to meet Local needs. The ESF structure facilitates the orderly flow of Local requests for governmental support to the State and Federal levels and the provision of resources back down to Local Government during an emergency. State and Local jurisdictions that choose not to adopt the ESF structure should cross-reference their Functional Annexes with the ESFs. Appendix H provides an example of a simple matrix used to cross-reference Functional Annexes with ESFs. The following table shows some possible relationships between the traditional emergency management core functions and the department/agency and ESF structures.

EM Functions	Departments and Agencies	ESFs
Direction, Control, Coordination	All Departments and Agencies	All ESFs
Disaster Intelligence	All Departments and Agencies	All ESFs
Communications	All Departments and Agencies	ESF 2 – Communications
Population Warning	Fire, Law Enforcement, Public Safety, Public Works, Schools	ESF 2 – Communications ESF 3 – Public Works and Engineering ESF 4 – Firefighting ESF 5 – Emergency Management ESF 13 – Public Safety and Security ESF 15 – External Affairs
Emergency Public Information	All Departments and Agencies	All ESFs

EM Functions	Departments and Agencies	ESFs
Public Protection	Agriculture, Environment, Fire, Law Enforcement, Public Safety, Public Works, Roads, Schools, Transportation	ESF 1 - Transportation ESF 2 – Communications ESF 4 – Firefighting ESF 5 – Emergency Management ESF 9 – Search and Rescue ESF 10 – Oil and Hazardous Materials Response ESF 11 – Agriculture and Natural Resources ESF 13 – Public Safety and Security
Mass Care	Aging, Family Services, Housing, Labor, Schools, Social Services, Volunteers	ESF 1 - Transportation ESF 2 – Communications ESF 5 – Emergency Management ESF 6 – Mass Care, Emergency Assistance, Housing and Human Services ESF 13 – Public Safety and Security
Health and Medical Services	Emergency Medical Services, Health, Hospitals, Nursing Homes, Assisted Living	ESF 1 - Transportation ESF 2 – Communications ESF 4 – Firefighting ESF 5 – Emergency Management ESF 8 – Public Health and Medical Services
Resource Management	Agriculture, Budget & Management, Economic Development, Energy, Human Resources, Labor, Public Services, Purchasing, Volunteers	ESF 1 – Transportation ESF 5 – Emergency Management ESF 7 – Resource Support ESF 11 – Agriculture and Natural Resources ESF 12 – Energy

HAZARD- OR INCIDENT-SPECIFIC ANNEXES OR APPENDICES

The contents of Hazard- or Incident-Specific Annexes or Appendices focus on the special planning needs generated by the subject hazard. These annexes or appendices contain unique and regulatory response details that apply to a single hazard. The EOP's structure determines whether an annex or appendix is used. Functional EOPs usually add Hazard-Specific Appendices to the Functional Annexes. Other EOP structures (e.g., the emergency phase structure) use Hazard-Specific Annexes. Hazard- or Incident-Specific Annexes are "stand-alone" elements of the EOP. Hazard- or Incident-Specific Appendices are sections in a Functional Annex that provide supplemental information regarding a particular hazard's special requirements.

Hazard- or Incident-Specific Annexes or Appendices usually identify hazard-specific risk areas and evacuation routes, specify provisions and protocols for warning the public and disseminating emergency public information, and specify the types of protective equipment and detection devices for responders. The

annexes or appendices have tabs that serve as work aids for items including maps, charts, tables, checklists, resource inventories, and summaries of critical information. As indicated previously, Hazard-Specific Annexes and Appendices follow the Basic Plan's content organization. Hazard-specific information is typically provided in the CONOPS section by adding these information areas:

- Assess and control hazards. (These tasks normally take place at the scene of an emergency or disaster. Not all emergency and disaster situations have a scene, though, so these tasks apply to many, but not all, hazards. The first task, however – examine the situation – applies to all hazards.)
  - Examine the situation,
  - Assess the hazard,
  - Select the control strategy,
  - Control the hazard, and
  - Monitor the hazard.
- Select protective actions. (These tasks normally take place at an EOC. In some cases, information from the scene must be communicated to the EOC for these tasks to be done properly.)
  - Analyze the hazard,
  - Determine the protective action,
  - Determine the public warning, and
  - Determine the protective action implementation plan.
- Conduct public warning.
  - Disseminate public warnings.
- Implement protective actions.
  - Control access and isolate danger area,
  - Provide evacuation support,
  - Provide decontamination support,

- Provide medical treatment,
- Provide support to special populations, and
- Provide search and rescue.

- Implement short-term stabilization.
  - Conduct shelter operations,
  - Unite families,
  - Provide continued medical treatment,
  - Increase security, and
  - Stabilize the affected area.
- Implement recovery.
  - Implement reentry and
  - Implement return.

ANNEX AND/OR APPENDIX IMPLEMENTING INSTRUCTIONS

Each annex or appendix (as well as the Basic Plan) may use implementing instructions in the form of:

- SOPs,
- Maps,
- Charts,
- Tables,
- Forms, and
- Checklists.

Implementing instructions may be included as attachments or referenced. The EOP planning team may use supporting documents as needed to clarify the

contents of the plan, annex, or appendix. For example, the Evacuation Annex may be made clearer by attaching maps with evacuation routes marked to it. Because these routes may change depending on the location of the hazard, maps may also be included in the Hazard-Specific Appendices to the Evacuation Annex. Similarly, the locations of shelters may be marked on maps supporting the Mass Care Annex.

SPECIAL PREPAREDNESS PROGRAMS

Some jurisdictions participate in special preparedness programs that publish their own planning guidance. Two examples are CSEPP and REPP. When participating jurisdictions are developing an EOP, they must ensure they meet the special planning requirements of these programs. Jurisdictions must decide if this compliance is best accomplished by incorporating the requirements across Functional Annexes or by developing a Hazard-Specific Annex for the program.

5. Additional Types of Plans

General Types of Plans

Emergency management involves several kinds of plans, just as it involves several kinds of actions. While the EOP is considered the centerpiece of a jurisdiction's emergency management effort, it is not the only plan that addresses that effort. There are other types of plans that support and supplement the EOP.

.*Administrative plans* describe policies and procedures basic to the support of a governmental endeavor. Typically, they deal less with external work products than with internal processes. Examples include plans for financial management, personnel management, records review, and labor relations activities. Such plans are not the direct concern of an EOP. However, planners should reference the administrative plan in the EOP if its provisions apply during an emergency. Planners should make similar references in the EOP for exceptions to normal administrative plans permitted during an emergency.

A *mitigation plan* outlines a jurisdiction's strategy for mitigating the hazards it faces. In fact, a mitigation plan is required of States that seek funds for post-event mitigation after Presidential declarations under the Stafford Act. Mitigation planning is often a long-term planning effort and may be part of or tied to the jurisdiction's strategic development plan or other similar document. Mitigation planning committees may differ from operational planning teams in that they include zoning boards and individuals with long-term cultural or economic interests. Existing plans for mitigating hazards are relevant to an EOP, particularly in short-term recovery decision-making, which can affect prospects for effective implementation of a mitigation strategy aimed at reducing the long-term risk to human life and property in the jurisdiction.

Preparedness plans cover three objectives:

1. Maintaining readiness of existing emergency management capabilities,

2. Preventing emergency management capabilities themselves from falling victim to emergencies, and

3. Augmenting the jurisdiction's emergency management capability. Preparedness plans address the process and schedule for identifying and meeting training needs (on the basis of expectations created by the EOP); the process and schedule for developing, conducting, and evaluating

exercises and correcting identified deficiencies; and plans for procuring or building facilities and equipment that could withstand the effects of the hazards facing the jurisdiction. The EOP incorporates the results of preparedness activities (that certain equipment and facilities are available, that people are trained and exercised, etc.) as assumptions.

Typically, an EOP does not spell out recovery actions (except for conducting rapid damage assessments and satisfying the needs of disaster victims for immediate life support). However, the EOP should provide for a transition to a recovery plan, if any exists, and for a stand-down of response forces. The EOP may cover some short-term recovery actions that are natural extensions of response. For example, meeting human needs would require maintaining logistical support for mass care actions initiated in the response phase. It would also involve the restoration of infrastructure "lifelines" and perhaps the removal of debris to facilitate the response. At the State's discretion, its *disaster assistance plans* for distribution of Federal and State relief funds might be included as an annex to the EOP. Disaster assistance plans identify how to identify, contact, match to aid, certify, and issue checks to eligible aid recipients.

Beyond response-phase or short-term recovery lies long-term recovery. Developing long-term *mitigation and recovery plans* involves identifying strategic priorities for restoration, improvement, and disaster resiliency. Here emergency management planning starts to intersect with the community development planning of other agencies. In fact, such plans might be developed under the authority of a department or agency other than the emergency management organization.

PROCEDURAL DOCUMENTS

Procedural documents differ from a CONOPS or a plan. They describe how to accomplish specific activities that are required to finish a task or achieve a goal or objective. Put simply, plans describe the "what," and procedures describe the "how." Jurisdictions across the country typically use the following types of procedural documents:

Overviews are brief concept summaries of an incident-related function, team, or capability. There are two levels of overview documents. One type explains general protocols and procedures. This document serves as the bridge between all functional or hazard-specific planning annexes and procedural documentation. It could contain an EOC layout, describe activation levels, and identify which functions or sections are responsible for planning, operational, and support activities. An easy way to develop an overview document would be to review the assignments and responsibilities outlined in the EOP and ensure that the overview document references the procedures developed to fulfill them. Such an overview document could then function as a project management document that

is used to track the status of procedures as they are developed. A successful overview document would help orient a newly arriving member of the department or agency who was brought in to support a particular function, mission, or section. The second type of overview document is specific to a functional team or area. It describes the general responsibilities and tasks of a functional team. This overview document provides enough information to supporting personnel to help them in activities related to the function, team, or capability summarized by the document. It identifies qualifications to support the team, provides a summary of operational procedures, and defines possible missions in greater detail than is described in plan annexes. As an example, the overview document addressing transportation would describe the purpose of this function, composition of support personnel, requirements for the team or branch, and missions that might be required. It might also identify the hazards or conditions that determine when missions are assigned.

Standard operating procedures (SOPs) or *operating manuals* are complete reference documents that detail the procedures for performing a single function or a number of interdependent functions. Collectively, practitioners refer to both documents as SOPs. SOPs often describe processes that evolved institutionally over the years or document common practices so that institutional experience is not lost to the organization as a result of staff turnover. Sometimes they are task-specific (e.g., how to activate a siren system or issue an Emergency Alert System [EAS] message). SOPs or operating manuals should grow naturally out of the responsibilities identified and described in the EOP. Staffs who typically engage in emergency activities should develop the procedures found in an SOP.

SOPs provide the means to translate organizational tasks into specific action-oriented checklists that are very useful during emergency operations. They tell how each organization or agency will accomplish its assigned tasks. Normally, SOPs include checklists, call-down rosters, resource listings, maps, and charts, and they give step-by-step procedures for notifying staff; obtaining and using equipment, supplies, and vehicles; obtaining mutual aid; reporting information to organizational work centers and the EOC; communicating with staff members who are operating from more than one location, etc. Development of certain procedures is required in REP, CSEPP, and Emergency Planning and Community Right-to-Know Act (EPCRA) planning. The emergency manager works with the senior representatives of tasked organizations to ensure that the SOPs needed to implement the EOP do, in fact, exist and do not conflict with the EOP or one another.

Field operations guides (FOGs) or *handbooks* are durable pocket or desk guides that contain essential information required to perform specific assignments or functions. FOGs give people assigned to specific teams, branches, or functions information only about the procedures they are likely to perform or portions of an SOP appropriate for the missions they are likely to complete. The FOG is a short-

form version of the SOP and serves a resource document. The FOG is complete enough to hand to new members of the EOC, and when combined with the overview document, it gives them an accurate and complete picture of the positions they fill. In addition to relevant procedures, the FOG or handbook may include administrative procedures that staff must follow.

Job aids are checklists or other materials that help users perform a task. Examples of job aids include telephone rosters, report templates, software or machine operating instructions, and task lists. Job aids are often included in FOGs and handbooks to help relatively inexperienced EOC personnel complete their assigned tasks or as a reference for experienced personnel. Job aids may also serve the purpose of minimizing complexity or opportunity for error in executing a task (e.g., providing a lookup chart of temperature conversions rather than providing a formula for doing the conversion).

DETERMINING IF RESPONSE INFORMATION BELONGS IN A PLAN OR PROCEDURAL DOCUMENT

Planners should prepare procedural documents to keep the plan free of unnecessary detail. The basic criterion is: What does the entire audience of this part of the plan need to know or have set out as a matter of public record? Information and how-to instructions used by an individual or small group should appear in procedural documents. The plan should reference procedural documents as appropriate.

With regard to many responsibilities in the emergency plan, it is enough to assign the responsibility to an individual (by position or authority) or organization and specify the assignee's accountability: To whom does the person report, or with whom does the person coordinate? For example, a plan that assigns responsibility for putting out fires to the fire department would not detail procedures used at the scene or what fire equipment is most appropriate. The emergency plan would defer to the fire department’s SOPs for that. However, the plan would describe the relationship between the incident commander (IC) and the central organization that directs the total jurisdictional response to the emergency, of which the fire in question might be only a part.

6. Linking Federal, State, Territorial, Local, and Tribal Plans

The Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288, as amended, authorizes the Federal Government to respond to disasters and emergencies to provide State and Local governments with assistance to save lives and protect public health, safety, and property. The NRF was developed to help expedite Federal support to State and Local governments dealing with the consequences of large-scale disasters. In general, the NRF is implemented when the State's resources are not sufficient to cope with a disaster, and the State's governor has requested Federal assistance.

This chapter summarizes the response planning considerations that shape the content of the NRF, Regional Response Plans (RRPs), and State EOPs. It also outlines the links between Federal and State emergency response operations for planning purposes.

Recent Changes to Emergency Planning Requirements

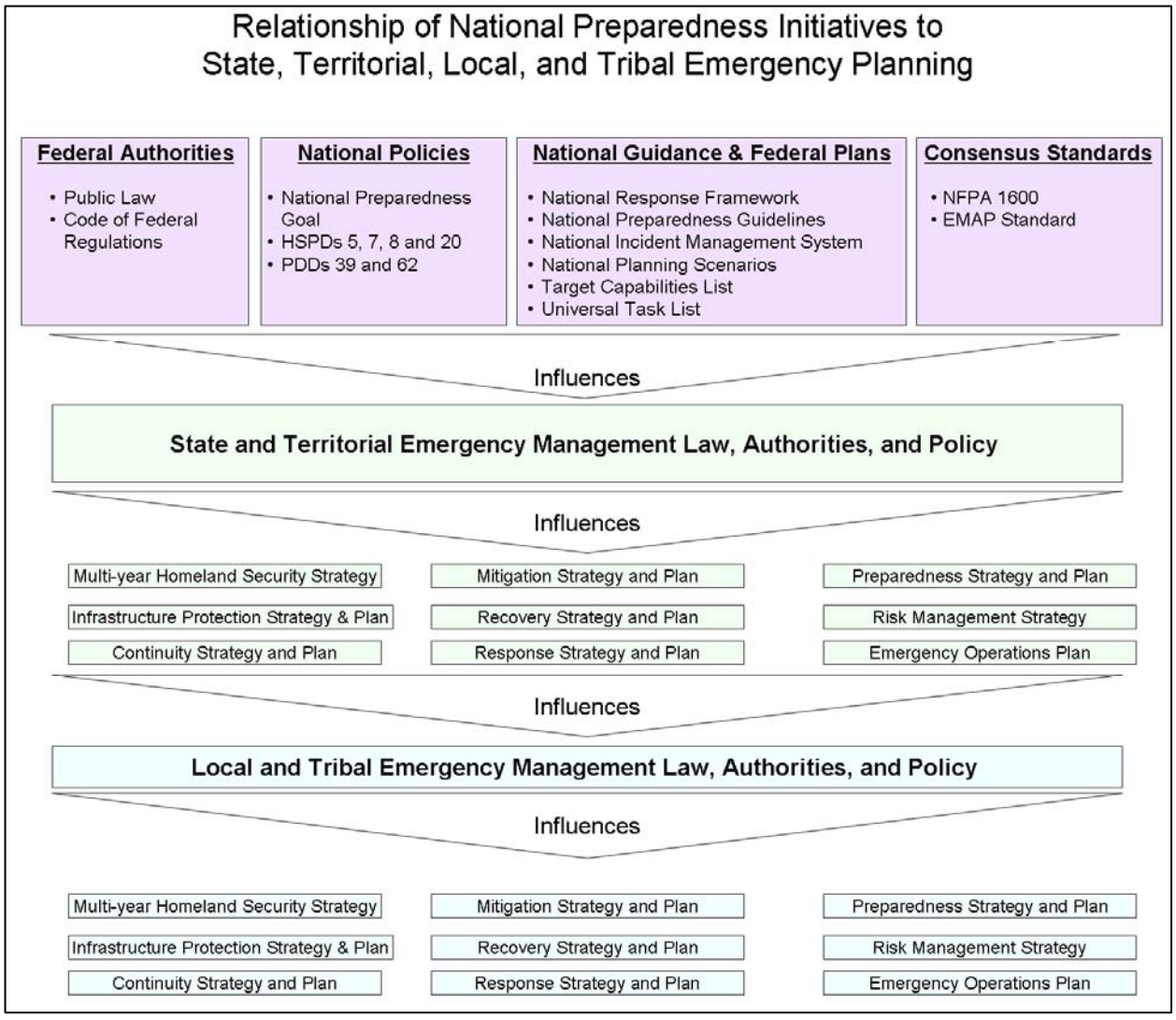
The terrorist attacks of September 11, 2001, illustrated the need for all levels of government, the private sector, and NGOs to prepare for, protect against, respond to, and recover from a wide spectrum of possible events and scenarios that would exceed the capabilities of any single entity. These events require a unified and coordinated national approach to planning and to domestic incident management. To address this need, President George W. Bush signed a series of Homeland Security Presidential Directives (HSPDs) intended to develop a common approach to preparedness and response. Two HSPDs are of particular importance to emergency planners:

- *HSPD-5, Management of Domestic Incidents*, identifies steps for improved coordination in response to incidents. It requires DHS to coordinate with other Federal departments and agencies and State, Local, and Tribal governments to establish an NRF and a NIMS.

- *HSPD-8, National Preparedness*, describes the way Federal departments and agencies will prepare for an incident. It requires DHS

to coordinate with other Federal departments and agencies and with State, Local, and Tribal governments to develop a National Preparedness Goal.

- *HSPD-20, National Continuity Policy,* establishes the national policy on the continuity of Federal Government structures and operations. It describes eight National Essential Functions and provides guidance on continuity of government and operations for State, Local, Territorial, and Tribal governments and private sector organizations in order to ensure rapid and effective response to and recovery from national emergencies.



Together, NIMS, the NRF, and the National Preparedness Goal define how to prevent, protect against, respond to, and recover from a major event and define the measures of a response effort's success. These efforts align Federal, State, Local, and Tribal entities; the private sector; and NGOs in providing an effective

and efficient national structure for preparedness, incident management, and emergency response.

NATIONAL INCIDENT MANAGEMENT SYSTEM

NIMS provides a consistent framework for incident management at all jurisdictional levels, regardless of the cause, size, or complexity of the incident. Building on the Incident Command System (ICS), NIMS provides the nation's first responders and authorities with the same foundation for incident management for terrorist attacks, natural disasters, and all other emergencies. NIMS requires institutionalization of ICS and its use to manage all domestic incidents.

According to the National Integration Center (NIC), "institutionalizing the use of ICS" means that government officials, incident managers, and emergency response organizations at all jurisdictional levels adopt the ICS. Actions to institutionalize the use of ICS take place at two levels: the policy level and the organizational/operational level.

At the policy level, institutionalizing ICS means that government officials:

- Adopt ICS through executive order, proclamation, or legislation as the jurisdiction's official incident response system and
- Direct all incident managers and response organizations in their jurisdictions to train, exercise, and use ICS in their response operations.

At the organizational/operational level, incident managers and emergency response organizations should:

- Integrate ICS into functional, systemwide emergency operations policies, plans, and procedures;
- Provide ICS training for responders, supervisors, and command-level officers; and
- Conduct exercises for responders at all levels, including responders from all disciplines and jurisdictions.

NIMS integrates existing best practices into a consistent, nationwide approach to domestic incident management that is applicable at all jurisdictional levels and across functional disciplines. Six major components make up the NIMS system's approach:

- *Command and Management.* NIMS standard incident command structures are based on three key organizational systems:

  - Incident Command System: ICS defines the operating characteristics, interactive management components, and structure of incident management and emergency response organizations engaged throughout the life cycle of an incident.

  - Multiagency Coordination System: MACS defines the operating characteristics, interactive management components, and organizational structure of supporting incident management entities engaged at the Federal, State, Local, Tribal, and Regional levels through mutual-aid agreements and other assistance arrangements.

  - Public Information Systems: Public information systems refer to processes, procedures, and systems for communicating timely, accurate, and accessible information to the public during crisis or emergency situations.

- *Preparedness.* Effective incident management begins with a host of preparedness activities conducted on a "steady-state" basis well in advance of any potential incident. Preparedness involves an integrated combination of planning, training, exercises, personnel qualification and certification standards, equipment acquisition and certification standards, and publications management processes and activities.

- *Resource Management.* NIMS defines standardized mechanisms and establishes requirements for processes to describe, inventory, mobilize, dispatch, track, and recover resources over the life cycle of an incident.

- *Communications and Information Management.* NIMS identifies the requirements for a standardized framework for communications, information management (collection, analysis, and dissemination), and information sharing at all levels of incident management.

- *Supporting Technologies.* Technology and technological systems provide supporting capabilities essential to implementing and refining NIMS. These include voice and data communications systems, information management systems (e.g., recordkeeping and resource tracking), and data display systems. Also included are specialized technologies that facilitate ongoing operations and incident management activities in situations that call for unique technology-based capabilities.

- *Ongoing Management and Maintenance.* This component establishes the NIC to provide strategic direction for and oversight of NIMS, supporting both routine review and the continuous refinement of the system and its components over the long term.

NATIONAL RESPONSE FRAMEWORK

The *National Response Framework* (*Framework*) is a guide to how the nation conducts all-hazards incident response**.** It is built upon *flexible, scalable, and adaptable coordinating structures* to align key roles and responsibilities *across the nation*. It is intended to capture specific authorities and best practices for managing incidents that range from the serious but purely local to large-scale terrorist attacks or catastrophic natural disasters. This document explains the common discipline and structures that have been exercised and have matured at the Local, State and National levels over time. It captures key lessons learned from Hurricanes Katrina and Rita, focusing particularly on how the Federal Government is organized to support communities and States in catastrophic incidents. Most importantly, it builds upon *NIMS*, which provides a consistent national template for managing incidents.

The NRF identifies State, Territorial, Local, and Tribal jurisdiction responsibility to develop detailed, robust all-hazards EOPs. It says these plans must clearly define leadership roles and responsibilities and clearly articulate the decisions that need to be made, who will make them, and when. Emergency plans should include both hazard-specific and all-hazards plans that are tailored to the locale. They should be integrated, be operational, and incorporate key private sector business and NGO elements. Plans should include strategies for both no-notice and forewarned evacuations, with particular considerations for assisting special needs (e.g. mobility-disabled) populations. Specific procedures and protocols should augment these plans to guide rapid implementation.

The NRF indicates that each Federal department or agency must also plan for its role in incident response**.** Virtually every Federal department and agency possesses personnel and resources that may be needed in response to an incident. Some Federal departments and agencies have primary responsibility for certain aspects of incident response, such as hazardous materials remediation. Others may have supporting roles in providing different types of resources, such as communications personnel and equipment. Regardless of their roles, all Federal departments and agencies must develop policies, plans, and procedures governing how they will effectively locate resources and provide them as part of a coordinated Federal response.

Depending on the jurisdiction, the changes to the emergency planning requirements may mean little or a lot. Minimally, the changes mean that a jurisdiction must:

- Use ICS to manage all incidents, including recurring and/or planned special events;
- Integrate all response agencies and entities into a single, seamless system, from the Incident Command Post, to the Department Emergency Operations Centers (DEOCs) and Local Emergency Operations Centers (LEOCs), to the State EOC and to Regional- and National-level entities;
- Develop and implement a public information system;
- Identify and characterize all resources according to established standards and types;
- Ensure that all personnel are trained properly for the jobs they perform; and
- Ensure communications interoperability and redundancy.

Planners should consider each of these requirements as they develop or revise their jurisdiction's EOP.

RELATIONSHIP BETWEEN FEDERAL PLANS AND STATE EOPS

Federal response plans (such as National and Regional response plans) and State EOPs describe each respective governmental level's approach to emergency response operations. Since both levels of government provide support, there are some similar and overlapping functions in the plans.

THE NATIONAL RESPONSE FRAMEWORK (NRF)

The NRF details what the Federal government will do to provide emergency assistance to a State and its Local governments impacted by a large-scale disaster. It also describes an organizational structure for providing this assistance.

CONCEPT OF OPERATIONS

The NRF may be implemented after a large-scale disaster has occurred or upon warning that such a disaster is likely to occur. In either case, the fundamental

assumption is that the situation has exceeded or will exceed the State and Local governments' capabilities to respond and recover. It guides the activities of Federal agencies (and supporting organizations like the American Red Cross (ARC) tasked to perform response and recovery actions.

FUNCTIONAL ORGANIZATION

The NRF uses 15 ESFs to group and describe the kinds of resources and types of Federal assistance available to augment State and Local response efforts. The ESFs are (1) Transportation; (2) Communications; (3) Public Works and Engineering; (4) Firefighting; (5) Emergency Management; (6) Mass Care, Emergency Assistance, Housing, and Human Services; (7) Resource Support; (8) Public Health and Medical Services; (9) Search and Rescue; (10) Oil and Hazardous Materials Response; (11) Agriculture and Natural Resources; (12) Energy; (13) Public Safety and Security; (14) Long-Term Community Recovery; and (15) External Affairs. A primary agency is designated for each ESF. During response and recovery operations, the primary agency forms and activates a team that is responsible for working with the appropriate State and Local officials to identify unmet resource needs. The team also coordinates the flow of resources and assistance provided by the Federal government to meet these needs. The NRF serves as the foundation for the development of headquarters and Regional response plans that will be relied on to implement Federal response activities.

REGIONAL RESPONSE PLANS (RRPS)

RRPs supplement the NRF and detail the specific Regional-level response and recovery actions and activities potentially taken by Federal departments and agencies to support the Federal response effort. They also provide the necessary link between the State EOP and the NRF. Each RRP:

- Specifies the responsibilities assigned to each of the tasked Federal departments and agencies for mobilizing and deploying resources to assist State(s) in response/recovery efforts;

- Describes the relationship between the responding Federal agencies/departments and their State counterparts;

- Provides information to the States on the various response mechanisms, capabilities, and resources available to them through the Federal government; and

- Includes organizational tasking and implementing instructions for accomplishing the actions agreed upon in the Region/State Memorandums of Understanding (MOUs). An MOU is a written

agreement between the Federal and State Governments. The FEMA Regional Director and the appropriate State official are the signatories. The MOU describes the working relationship and provisions made to facilitate joint Federal/State operations during large-scale disasters. The following list identifies some of the typical MOU responsibilities that may be addressed in an RRP:

- Notification procedures and protocols for communicating with State officials (points of contact, such as the State's governor, Emergency Management Agency director, and EOC managers); means of communication (telephone, cell, pager, radio, teletype, e-mail, fax, etc.); frequency of contact; and message content (initial discussions on scope of the disaster; the State's initial assessment of the situation; identification of liaison officers and their estimated arrival time at the State EOC/JFO (joint field office); likely staging areas for Federal response teams, etc.);

- Provision for Federal Field Assessment Team (FAsT) personnel to assist in the conduct of a "rapid situation assessment" immediately after a disaster has occurred or immediately before one;

- Coordination responsibilities of Regional liaison officer(s) and the provisions established for deployment to the State EOC;

- Provisions for deployment of emergency response team members to the State EOC/JFO, staging locations, or directly into the area impacted by the disaster; and

- Provisions for obtaining work space in the State EOC and other locations for the initial response cadre, arrangements to obtain work space for the Disaster Field Office (DFO) and other follow-on response teams, and a variety of other activities that require extensive coordination.

STATE EMERGENCY OPERATIONS PLAN

The State emergency response mission is much broader than the Federal Government's. In addition to providing resources to satisfy unmet local needs, the State EOP addresses several operational response functions. These functions focus on actions – such as the direction and control, warning, public notification, and evacuation – that must be dealt with during the initial phase of response operations and that fall outside the Federal response mission and thus are not appropriate for inclusion in Federal response plans. Appendix F shows how the functions described in Chapter 5, if adopted, may link with Federal ESFs in those emergencies that require implementation of the NRF.

Because States have an additional responsibility to channel Federal assistance provided under the NRF, some States choose to mirror the NRF functions. There is no need for States to mirror the Federal ESFs exactly; States have successfully used a hybrid approach, either by giving State counterparts of Federal ESFs those extra responsibilities appropriate to the State level or by creating functions in addition to those used by the Federal government to address State responsibilities and concerns. The important thing is that the State's choice of functions fits its own CONOPS, policies, governmental structure, and resource base. That determination is critical because the State EOP details what the State government will do to respond to all large-scale disaster and emergency situations that could harm people and property within the State, whether or not links to the NRF/RRP framework become necessary. The State EOP:

- Identifies the State's departments and agencies designated to perform response and recovery activities and specifies tasks they must accomplish.

- Outlines the assistance that may be provided to local jurisdictions during disaster situations that generate emergency response and recovery needs beyond the jurisdiction's ability to satisfy.

- Specifies the direction and control and communications procedures and systems that will be relied on to alert, notify, recall, and dispatch emergency response personnel; warn local jurisdictions; protect citizens and property; and request aid/support from other States and/or the Federal government (including the role of the Governor's Authorized Representative).

- Describes the provisions that have been made to obtain initial situation assessment information from the local jurisdiction(s) that have been directly impacted by the disaster. Typically, this information provides an early assessment of:

- Supplies the approximate number of disaster victims who have been:

  - Injured, killed, or are missing;

  - Evacuated from the area impacted by the disaster; and

  - Housed in mass-care facilities.

- Describes the damage done to lifeline systems (e.g., hospitals, power plants, water and sanitation systems).

- Describes the damage done to transportation networks (e.g., airports, major roads and bridges, rail lines, and ports).

- Describes the types of assistance (e.g., food, water, medical, search and rescue) that the jurisdiction will require to satisfy the immediate needs of disaster victims.

- Includes organizational tasking and instructions for accomplishing the actions agreed upon in the Region/State MOU. The MOU describes the working relationship and provisions made to facilitate joint Federal/State operations during large-scale disasters. The following list identifies some of the typical responsibilities contained in the MOUs that may be addressed in the State EOP:

  - Provisions for notifying the FEMA Regional Office about the occurrence of a disaster or evolving emergency that may warrant activation of the RRP.

  - Communication protocols to include means of communication, frequency of contact, and message content (e.g. warning messages, situation reports, requests for assistance).

  - Provisions for requesting Federal response teams to assist the State.

    - Designation of individuals to participate as State Emergency Management Agency representatives on the FAsT.

    - Preparation of a joint FEMA/State Preliminary Damage Assessment (PDA).

- Provisions for providing work space and communication support to the Regional liaison officers and other Federal teams deployed to the State EOC, staging areas, or the area directly impacted by the disaster.

- Provisions for designating a State Coordinating Officer (SCO) to work directly with the Federal Coordinating Officer (FCO).

- Provisions for assisting the FCO in identifying candidate locations for establishing the DFO.

- Details on the coordinating instructions and provisions for implementing interstate compacts, as applicable.

- Explanations about how planned operations are or will be supported logistically.

Appendix A: Authorities and References

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Appendix B: Glossary and List of Acronyms

GLOSSARY

Accessible

Having the legally required features and/or qualities that ensure entrance, participation, and usability of places, programs, services, and activities by individuals with a wide variety of disabilities.

American Red Cross

The American Red Cross is a humanitarian organization, led by volunteers, that provides relief to victims of disasters and helps people prevent, prepare for, and respond to emergencies. It does this through services that are consistent with its Congressional Charter and the Principles of the International Red Cross Movement.

Assumptions (management definition)

Statements of conditions accepted as true and that have influence over the development of a system. In emergency management, assumptions provide context, requirements, and situational realities that must be addressed in system planning and development and/or system operations. When these assumptions are extended to specific operations, they may require re-validation for the specific incident.

Assumptions (Preparedness)

Operationally relevant parameters that are expected and used as a context, basis, or requirement for the development of response and recovery plans, processes, and procedures. For example, the unannounced arrival of patients to a healthcare facility occurs in many mass casualty incidents. This may be listed as a preparedness assumption in designing initial response procedures. Similarly, listing the assumption that funds will be available to train personnel on a new procedure may be important to note.

Assumptions, Response

Operationally relevant parameters for which, if not valid for a specific incident's circumstances, the EOP-provided guidance may not be adequate to assure response success. Alternative methods may be needed. For example, if a decontamination capability is based on the response assumption that the facility is not within the zone of release, this assumption must be verified at the beginning of the response.

Attack

A hostile action taken against the United States by foreign forces or terrorists, resulting in the destruction of or damage to military targets, injury or death to the civilian population, or damage to or destruction of public and private property.

Capabilities-based planning:

Planning, under uncertainty, to provide capabilities suitable for a wide range of threats and hazards while working within an economic framework that necessitates prioritization and choice. Capabilities-based planning addresses uncertainty by analyzing a wide range of scenarios to identify required capabilities.

Checklist

Written (or computerized) enumeration of actions to be taken by an individual or organization, meant to aid memory rather than provide detailed instruction.

Chief Executive Official

The official of the community who is charged with authority to implement and administer laws, ordinances, and regulations for the community. He or she may be a mayor, city manager, etc.

Community

A political entity that has the authority to adopt and enforce laws and ordinances for the area under its jurisdiction. In most cases, the community is an incorporated town, city, township, village, or unincorporated area of a county. However, each State defines its own political subdivisions and forms of government.

Contamination

The undesirable deposition of a chemical, biological, or radiological material on the surface of structures, areas, objects, or people.

Dam

A barrier built across a watercourse for the purpose of impounding, controlling, or diverting the flow of water.

Damage Assessment

The process used to appraise or determine the number of injuries and deaths, damage to public and private property, and status of key facilities and services (e.g., hospitals and other health care facilities, fire and police stations, communications networks, water and sanitation systems, utilities, and transportation networks) resulting from a man-made or natural disaster.

Decontamination

The reduction or removal of a chemical, biological, or radiological material from the surface of a structure, area, object, or person.

Disaster

An occurrence of a natural catastrophe, technological accident, or human-caused event that has resulted in severe property damage, deaths, and/or multiple injuries. As used in this Guide, a “large-scale disaster” is one that exceeds the response capability of the Local jurisdiction and requires State, and potentially Federal, involvement. As used in the Stafford Act, a “major disaster” is “any natural catastrophe [...] or, regardless of cause, any fire, flood, or explosion, in any part of the United States, which in the determination of the President causes damage of sufficient severity and magnitude to warrant major disaster assistance under [the] Act to supplement the efforts and available resources or States, local governments, and disaster relief organizations in alleviating the damage, loss, hardship, or suffering caused thereby.”

Disaster Field Office

The office established in or near the designated area of a Presidentially declared major disaster to support Federal and State response and recovery operations. The DFO houses the Federal Coordinating Officer and Emergency Response Team, and, where possible, the State Coordinating Officer and support staff.

Disaster Recovery Center

Places established in the area of a Presidentially declared major disaster, as soon as practicable, to give victims the opportunity to apply in person for assistance and/or obtain information related to that assistance. DRCs are staffed by Local, State, and Federal agency representatives, as well as staff from volunteer organizations (e.g., the American Red Cross).

Earthquake

The sudden motion or trembling of the ground produced by abrupt displacement of rock masses, usually within the upper 10 to 20 miles of the earth's surface.

Emergency

Any occasion or instance, such as a hurricane, tornado, storm, flood, tidal wave, tsunami, earthquake, volcanic eruption, landslide, mudslide, snowstorm, fire, explosion, nuclear accident, or any other natural or man-made catastrophe, that warrants action to save lives and to protect property, public health, and safety.

Emergency Medical Services

Services, including personnel, facilities, and equipment required to ensure proper medical care for the sick and injured from the time of injury to the time of final disposition (which includes medical disposition within a hospital, temporary medical facility, or special care facility; release from the site; or being declared dead). Further, EMS specifically includes those services immediately required to ensure proper medical care and specialized treatment for patients in a hospital and coordination of related hospital services.

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Emergency Operations Center

The protected site from which State and Local civil government officials coordinate, monitor, and direct emergency response activities during an emergency.

Emergency Operations Plan

A document that: describes how people and property will be protected in disaster and disaster threat situations; details who is responsible for carrying out specific actions; identifies the personnel, equipment, facilities, supplies, and other resources available for use in the disaster; and outlines how all actions will be coordinated.

Emergency Response Team

An interagency team, consisting of the lead representative from each Federal department or agency assigned primary responsibility for an Emergency Support Function and key members of the Federal Coordinating Officer's (FCO's) staff, formed to assist the FCO in carrying out his/her coordination responsibilities. The ERT may be expanded by the FCO to include designated representatives of other Federal departments and agencies as needed. The ERT usually consists of Regional-level staff.

Emergency Response Team Advance Element

For Federal disaster response and recovery activities under the Stafford Act, the portion of the ERT that is first deployed to the field to respond to a disaster incident. The ERT-A is the nucleus of the full ERT.

Emergency Response Team National

An ERT that has been established and rostered for deployment to catastrophic disasters where the resources of the Federal Emergency Management Agency Region have been, or are expected to be, overwhelmed. Three ERT-Ns have been established.

Emergency Support Function

In the FRP, a functional area of response activity established to facilitate the delivery of Federal assistance required during the immediate response phase of a disaster to save lives, protect property and public health, and maintain public safety. ESFs represent those types of Federal assistance that a State will most likely need because of the impact of a catastrophic or significant disaster on its own resources and response capabilities, or because of the specialized or unique nature of the assistance required. ESF missions are designed to supplement State and Local response efforts.

Emergency Support Team

An interagency group operating from Federal Emergency Management Agency headquarters. The EST oversees the National-level response support effort under the FRP and coordinates activities with the Emergency Support Function primary and support agencies in supporting Federal requirements in the field.

Evacuation

Organized, phased, and supervised dispersal of people from dangerous or potentially dangerous areas.

- *Spontaneous Evacuation*. Residents or citizens in the threatened areas observe an emergency event or receive unofficial word of an actual or perceived threat and, without receiving instructions to do so, elect to evacuate the area. Their movement, means, and direction of travel are unorganized and unsupervised.

- *Voluntary Evacuation*. This is a warning to persons within a designated area that a threat to life and property exists or is likely to exist in the immediate future. Individuals issued this type of warning or order are NOT required to evacuate; however, it would be to their advantage to do so.

- *Mandatory or Directed Evacuation*. This is a warning to persons within the designated area that an imminent threat to life and property exists and individuals MUST evacuate in accordance with the instructions of local officials.

Evacuees

All persons removed or moving from areas threatened or struck by a disaster.

Federal Coordinating Officer

The person appointed by the President to coordinate Federal assistance in a Presidentially declared emergency or major disaster.

Field Assessment Team

A small team of pre-identified technical experts who conduct an assessment of response needs (not a preliminary damage assessment) immediately following a disaster. The experts are drawn from the Federal Emergency Management Agency, other agencies and organizations (e.g., U.S. Public Health Service, U.S. Army Corps of Engineers, U.S. Environmental Protection Agency, and American Red Cross) and the affected State(s). All FAsT operations are joint Federal/State efforts.

Flash Flood

Follows a situation in which rainfall is so intense and severe and runoff is so rapid that recording the amount of rainfall and relating it to stream stages and other information cannot be done in time to forecast a flood condition.

Flood

A general and temporary condition of partial or complete inundation of normally dry land areas from overflow of inland or tidal waters, unusual or rapid accumulation or runoff of surface waters, or mudslides/mudflows caused by accumulation of water.

Governor's Authorized Representative

The person empowered by the Governor to execute, on behalf of the State, all necessary documents for disaster assistance.

Hazard Mitigation

Any action taken to reduce or eliminate the long-term risk to human life and property from hazards. The term is sometimes used in a stricter sense to mean cost-effective measures to reduce the potential for damage to a facility or facilities from a disaster event.

Hazardous Material

Any substance or material that, when involved in an accident and released in sufficient quantities, poses a risk to people's health, safety, and/or property. These substances and materials include explosives, radioactive materials, flammable liquids or solids, combustible liquids or solids, poisons, oxidizers, toxins, and corrosive materials.

High-Hazard Areas

Geographic locations that, for planning purposes, have been determined through historical experience and vulnerability analysis to be likely to experience the effects of a specific hazard (e.g., hurricane, earthquake, hazardous materials accident) that would result in a vast amount of property damage and loss of life.

Hurricane

A tropical cyclone, formed in the atmosphere over warm ocean areas, in which wind speeds reach 74 miles per hour or more and blow in a large spiral around a relatively calm center or eye. Circulation is counter-clockwise in the Northern Hemisphere and clockwise in the Southern Hemisphere.

Incident Command System

A standardized, on-scene, emergency management construct, specifically designed to provide for the adoption of an integrated organizational structure that reflects the complexity and demands of single or multiple incidents without being hindered by jurisdictional boundaries. ICS is the combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure that is designed to help manage resources during incidents. It is used for all kinds of emergencies and applicable to both small and large and complex incidents. ICS is used by various jurisdictions and functional agencies, both public and private, to organize field-level incident management operations.

Joint Information Center

A facility established to coordinate all incident-related public information activities. It is the central point of contact for all news media at the scene of the incident. Public information officials from all participating agencies should collocate at the JIC.
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Joint Information System

Integrates incident information and public affairs into a cohesive organization designed to provide consistent, coordinated, timely information during crisis or incident operations. The JIS provides a structure and system for developing and delivering coordinated interagency messages; developing, recommending, and executing public information plans and strategies on behalf of the Incident Commander (IC); advising the IC about public affairs issues that could affect a response effort; and controlling rumors and inaccurate information that could undermine public confidence in the emergency response effort.

Jurisdiction

Multiple definitions are used. Each use depends on the context:

- A range or sphere of authority. Public agencies have jurisdiction at an incident related to their legal responsibilities and authority. Jurisdictional authority at an incident can be political or geographical (e.g., City, County, Tribal, State, or Federal boundary lines) or functional (e.g., law enforcement, public health).

- A political subdivision (Federal, State, County, Parish, Municipality) with the responsibility for ensuring public safety, health, and welfare within its legal authorities and geographic boundaries.

Mass Care

The actions that are taken to protect evacuees and other disaster victims from the effects of the disaster. Activities include providing temporary shelter, food, medical care, clothing, and other essential life support needs to the people who have been displaced from their homes because of a disaster or threatened disaster.

Multiagency Coordination Systems

Multiagency coordination systems provide the architecture to support coordination for incident prioritization, critical resource allocation, communications systems integration, and information coordination. The components of multiagency coordination systems include facilities, equipment, emergency operation centers (EOCs), specific multiagency coordination entities, personnel, procedures, and communications. These systems assist agencies and organizations to fully integrate the subsystems of the National Incident Management System (NIMS).

Mitigation

Mitigation is the effort to reduce loss of life and property by lessening the impact of disasters. This is achieved through risk analysis, which results in information that provides a foundation for mitigation activities that reduce risk.

National Incident Management System (NIMS)

Provides a systematic, proactive approach that guides government agencies at all levels, the private sector, and nongovernmental organizations to work seamlessly to prepare for, prevent, respond to, recover from, and mitigate the effects of incidents, regardless of cause, size, location, or complexity, in order to reduce the loss of life or property and harm to the environment.

National Response Framework

A guide to how the nation conducts all-hazards incident management.

Nongovernmental Organization

An entity with an association that is based on the interests of its members, individuals, or institutions. It is not created by a government, but it may work cooperatively with government. Such organizations serve a public purpose and

are not for private benefit. Examples of NGOs include faith-based charity organizations and the American Red Cross.

Recovery

The long-term activities beyond the initial crisis period and emergency response phase of disaster operations that focus on returning all systems in the community to a normal status or to reconstituting these systems to a new condition that is less vulnerable.

Regional Resource Coordination Center

Coordinates Regional response efforts, establishes Federal priorities, and implements local Federal program support until a Joint Field Office is established.

Resource Management

Those actions taken by a government to (a) identify sources and obtain resources needed to support disaster response activities; (b) coordinate the supply, allocation, distribution, and delivery of resources so that they arrive where and when they are most needed; and (c) maintain accountability for the resources used.

Scenario-Based Planning

Planning approach that uses a Hazard Vulnerability Assessment to assess the hazard's impact on an organization on the basis of various threats that the organization could encounter. These threats (e.g., hurricane, terrorist attack) became the basis of the scenario.

Service Animal

Any guide dog, signal dog, or other animal individually trained to assist an individual with a disability. Service animals' jobs include, but are not limited to:

- Guiding individuals with impaired vision;
- Alerting individuals with impaired hearing (to intruders or sounds such as a baby's cry, the doorbell, and fire alarms);
- Pulling a wheelchair;
- Fetching dropped items;
- Alerting people to impending seizures; and
- Assisting people with mobility disabilities with balance or stability.

Special Needs Population

A population whose members may have additional needs before, during, or after an incident in one or more of the following functional areas: maintaining independence, communication, transportation, supervision, and medical care. Individuals in need of additional response assistance may include those who have disabilities; live in institutionalized settings; are elderly; are children; are from diverse cultures, have limited proficiency in English or are non-English-speaking; or are transportation disadvantaged.

Standard Operating Procedure

A set of instructions constituting a directive, covering those features of operations which lend themselves to a definite, step-by-step process of accomplishment. SOPs supplement Emergency Operations Plans (EOPs) by detailing and specifying how tasks assigned in the EOP are to be carried out. SOPs constitute a complete reference document or an operations manual that provides the purpose, authorities, duration, and details for the preferred method of performing a single function or a number of interrelated functions in a uniform manner.

State Coordinating Officer

The person appointed by the Governor to coordinate State, Commonwealth, or Territorial response and recovery activities with FRP-related activities of the Federal Government, in cooperation with the Federal Coordinating Officer.

State Liaison

A Federal Emergency Management Agency official assigned to a particular State, who handles initial coordination with the State in the early stages of an emergency.

Storm Surge

A dome of sea water created by the strong winds and low barometric pressure in a hurricane that causes severe coastal flooding as the hurricane strikes land.

Terrorism

The use or threatened use of criminal violence against civilians or civilian infrastructure to achieve political ends through fear and intimidation rather than direct confrontation. Emergency management is typically concerned with the consequences of terrorist acts directed against large numbers of people (as

opposed to political assassination or hijacking, which may also be considered terrorism).

Tornado

A local atmospheric storm, generally of short duration, formed by winds rotating at very high speeds, usually in a counter-clockwise direction. The vortex, up to several hundred yards wide, is visible to the observer as a whirlpool-like column of winds rotating about a hollow cavity or funnel. Winds may reach 300 miles per hour or higher.

Tsunami

Sea waves produced by an undersea earthquake. Such sea waves can reach a height of 80 feet and can devastate coastal cities and low-lying coastal areas.

Warning

The alerting of emergency response personnel and the public to the threat of extraordinary danger and the related effects that specific hazards may cause. A warning issued by the National Weather Service (e.g., severe storm warning, tornado warning, tropical storm warning) for a defined area indicates that the particular type of severe weather is imminent in that area.

Watch

Indication by the National Weather Service that, in a defined area, conditions are favorable for the specified type of severe weather (e.g., flash flood, severe thunderstorm, tornado, tropical storm).

List of Acronyms

ARC	American Red Cross
CEM	Comprehensive Emergency Management
COG	Continuity of Government
CONOPS	Concept of Operations
CONPLAN	Concept of Operations Plan
COOP	Continuity of Operations
CSEPP	Chemical Stockpile Emergency Preparedness Program
DEOC	Department Emergency Operations Center
DFO	Disaster Field Office
DHS	U.S. Department of Homeland Security
DOT	U.S. Department of Transportation

EAS	Emergency Alert System
EMAP	Emergency Management Accreditation Program
EMS	Emergency Management Services
EPA	U.S. Environmental Protection Agency
EPCRA	Emergency Planning and Community Right-to-Know Act
ESF	Emergency Support Function
EOC	Emergency Operations Center
EOP	Emergency Operations Plan
EPZ	Emergency Planning Zone
FAAT	Federal Emergency Management Agency (FEMA) Acronyms, Abbreviations, and Terms
FCO	Federal Coordinating Officer
FEMA	Federal Emergency Management Agency
FIA	Federal Insurance Administration
FIRST	Federal Incident Response Support Team
FOG	Field operations guide
FRERP	Federal Radiological Emergency Response Plan
HAZMAT	Hazardous material(s)
HAZUS-MH	Hazards U.S. Multi-Hazard
HHS	U.S. Department of Health and Human Services
HSEEP	Homeland Security Exercise and Evaluation Program
HSPD	Homeland Security Presidential Directive
HSPM	Homeland Security Planning Manual
IAP	incident action plan; initial action plan
IC	incident commander
ICS	Incident Command System
INRP	Initial National Response Plan
JFO	Joint Field Office
LEPC	Local Emergency Planning Committee
LEOC	Local Emergency Operations Center
MACC	Multi-Agency Coordination Center
MACS	Multi-Agency Coordination System
MOU	Memorandum of Understanding
NGO	Nongovernmental organization
NIC	National Integration Center
NIMS	National Incident Management System
NIPP	National Infrastructure Protection Plan

NPG	National Preparedness Goal
NPS	National Planning Scenarios
NRCC	National Response Coordination Center
NRF	National Response Framework
NSSE	National Special Security Event
NWS	National Weather Service
OSHA	Occupational Safety and Health Administration
PDA	Preliminary Damage Assessment
RACES	Radio Amateur Civil Emergency Services
REPP	Radiological Emergency Preparedness Program
RRCC	Regional Response Coordination Center
RRP	Regional Response Plan
RTO	Recovery Time Objective
SCO	State Coordinating Officer
SEO	Senior Elected Official
SOP	standard operating procedure
TCL	Target Capabilities List
TS	Tropical storm
UC	Unified command
USGS	U.S. Geological Survey
UTL	Universal Task List

Appendix C: Emergency Operations Plan (EOP) Component NIMS Integration Assessment

The questions below are provided to help State, Local, and Tribal governments develop Emergency Operations Plans (EOP) that are consistent with the National Incident Management System (NIMS) concepts and terminology. They are derived from checklists found in *State NIMS Integration* and *Local and Tribal NIMS Integration* published by the National Integration Center in 2006.

Question 1: Does the EOP define the scope of preparedness and incident management activities necessary for the jurisdiction?

The EOP should cover all hazards that the jurisdiction could reasonably expect to occur and all the preparedness and incident management activities necessary to ensure an effective response to those hazards. Regulatory requirements may also dictate the hazards and preparedness activities that must be included in the EOP.

Question 2: Does the EOP describe organizational structures, roles, responsibilities, policies, and protocols for providing emergency support?

A description of the organizational structure should clearly identify what organizations will be involved in the emergency response. After each organization is identified, it should be assigned a specific set of responsibilities, which are normally based on its strengths and capabilities. The policies and protocols for providing emergency support should be described in the EOP. This information is typically described in the administration and logistics section as well as the authorities and references section of the basic plan.

Questions 3: Does the EOP facilitate response and short-term recovery activities?

An EOP is usually not a mitigation plan and not a recovery plan. The EOP should describe and provide the basis for a jurisdiction's response and short-term recovery operations. The response activities typically take place initially and are designed to save lives, reduce suffering, and protect property and the environment. The short-term recovery activities typically follow the response

activities and are designed to stabilize the situation and set the stage for re-entry and recovery.

Question 4: Is the EOP flexible enough to use in all emergencies?

The EOP should reflect the State, Local, or Tribal jurisdiction's approach to all types of emergencies. The functional annexes should provide an outline of roles and responsibilities of each responding agency regardless of the type of emergency. In other words, the EOP should be flexible and useful in the event of any emergency.

Question 5: Does the EOP have a description of its purpose?

The purpose should include a general statement of what the EOP is meant to do. It should also include a brief summary of the components of the plan, including the functional annexes and hazard-specific appendices.

Question 6: Does the EOP describe the situation and assumptions?

The situation sets the stage for planning. It should be based on the State, Local, or Tribal jurisdiction's hazard identification analysis. The situation section typically covers a characterization of the population, the probability and impact of the hazard, vulnerable facilities, and dependencies on resources from other jurisdictions. The assumptions section should describe those things that are assumed to be true that directly impact the execution of the EOP. The assumptions may describe the limitations of the EOP and provide a basis for improvisation and modification if they become necessary. Assumptions may also identify potential hazards and describe the nature of those hazards and the frequency at which they are expected to occur.

Question 7: Does the EOP describe the concept of operations?

The CONOPS will capture the sequence and scope of the planned response and explain the overall approach to the emergency situation. The CONOPS should cover the division of responsibilities, sequence of actions (before, during, and after the incident), the manner in which requests for resources will be met, and the person and circumstances under which requests for additional aid from the State will be made (this should include the process for declaring a state of emergency). The CONOPS should mention direction and control, alert and warning, and other activities. This information is usually outlined in the Basic Plan and fully detailed in the Functional and Hazard-Specific Annexes and Appendices.

Question 8: Does the EOP describe the organization and assignment of responsibilities?

The organization and assignment of responsibilities should establish which organizations will be relied on to respond to the emergency. The EOP should describe the tasks each element of the organization is responsible for and expected to perform. The description of these responsibilities is typically generic in the Basic Plan and more detailed in Functional and Hazard-Specific Annexes and Appendices. The Basic Plan typically contains a matrix that plots response functions by agency and allows for a quick clarification of the assignment of primary and support responsibilities.

Question 9: Does the EOP describe administration and logistics?

The EOP has a section that covers general support requirements and availability of support services from other agencies. It should also contain general policies for managing resources. This section of the EOP should also reference Mutual Aid Agreements, liability provisions, and policies for reassigning public employees and soliciting and using volunteers. It is also important to include general policies on financial record keeping, tracking resources, and compensation of private property owners.

Question 10: Does the EOP contain a section that covers its development and maintenance?

The EOP should include a section describing the overall approach to planning, the participants included in the planning process, and the way in which the plan will be maintained and updated. One individual should be assigned to coordinate these processes and provisions and to address regular reviews, testing, and revisions. This information is typically found in the plan development and maintenance section.

Question 11: Does the EOP contain authorities and references?

The EOP should list references to any laws, statutes, ordinances, executive orders, regulations, and formal agreements relevant to the emergencies. These will indicate the legal basis for emergency operations and should specify the extent and limits of emergency authorities. This information is typically found in the authorities and reference section.

Question 12: Does the EOP contain Functional Annexes?

Functional Annexes are the part of the EOP that begin to provide specific information and direction. Functional Annexes should cover activities to be performed by anyone with a responsibility under that function. Functional

Annexes also clearly define actions before, during, and after an emergency event. Some examples of Functional Annex titles are Communications, Mass Care, and Health and Medical Services.

Question 13: Does the EOP contain Hazard-Specific Appendices?

Hazard-Specific Appendices are supplements to Functional Annexes. Whereas planning considerations common to all hazards are addressed in Functional Annexes, hazard-specific information is included in the appendices. The appendices should be created for any Functional Annex that does not provide enough hazard-specific information to respond to a specific type of emergency. In many cases, the EOP contains Hazard-Specific Annexes that follow a format similar to that of the Basic Plan. An EOP is considered compliant whether or not it contains Hazard-Specific Appendices or Annexes.

Question 14: Does the EOP contain a glossary?

Since many terms in emergency management have special meanings, it is important to define words, phrases, abbreviations, and acronyms. This information is typically described in the glossary section. In order to be fully compliant with this standard, an EOP must consistently use NIMS definitions and acronyms as they apply throughout the EOP.

Question 15: Does the EOP predesignate functional area representatives to the EOC/Multiagency Coordination System (MACS)?

This information is typically described in Functional or Hazard-Specific Annexes and is more detailed than the information in the Basic Plan. NIMS doctrine states that all incidents use the Incident Command System (ICS) to establish command and control for the response at the scene of an incident. Most incidents are managed locally, and the EOP is the guide on how the local response to an incident will be handled. Therefore, it is appropriate that the jurisdiction set up and utilize an EOC or a MACS, depending on the size and complexity of the incident. The EOP should predesignate which organization is assigned which responsibilities, and that organization should provide representatives to the EOC or MACS that is being utilized. In some cases, a State, Tribal, or Local agency is the lead for a particular hazard that requires that agency to take control of an incident scene. These designations are normally established by laws, regulations, executive orders, or policies. The designated agency should have trained personnel in place to set up an ICS structure at the scene and to provide the incident commander for that incident. If an agency is requested to send a representative to the scene, that representative should be folded in to the unified command of the incident. If agency-specific designations apply to a jurisdiction, they should be indicated in the EOP.

Question 16: Does the EOP include preincident and postincident public awareness, education, and communications plans and protocols?

The EOP should describe the public awareness and education plans and protocols that are provided to the community. Public awareness and education plans and protocols provide valuable information to citizens on potential hazards, protective action options to address those hazards, and how people will be alerted and notified if they are at risk. How this information will be communicated to the public before and after incidents occur should be described in the EOP. This information is typically located in the emergency public warning annex.

Appendix D: EOP Development Guide

Basic Plan

This provides an overview of the jurisdiction's emergency management/response program and its ability to prepare for, respond to, and recover from disasters/emergencies.

Table of Contents

This outlines the plan's format, key sections, attachments, charts, etc.

- ☐ List/identify the major sections/chapters and/or key elements within the EOP.

Promulgation Statement

This is a signed statement formally recognizing and adopting the plan as the jurisdiction's all-hazards EOP.

- ☐ Include a Promulgation Statement signed by the jurisdiction's Senior Elected Official(s). (**Note:** This statement must be updated each time a new Senior Elected Official takes office.)

Introduction

This explains the plan's intent, who it involves, and why it was developed.

- ☐ Describe the purpose for developing and maintaining an EOP (e.g., coordinate local agency SOPs, define disaster-specific procedures, outline roles and limitations).

- ☐ Describe at what times or under what conditions this plan would be activated (e.g., major county disaster versus minor local emergency, major state-wide disaster, terrorist attack within the local community, county, or state).

- ☐ Describe who has the authority to activate the plan (e.g., EMA office, Chief Elected Official, State Official, Fire/Police Chief, etc.).

- ☐ Describe the process, templates, and individuals involved in issuing a declaration of emergency for a given hazard and how the declaration will be coordinated with neighboring jurisdictions and the State.

- ☐ Describe how legal questions/issues are resolved as a result of preparedness, response, or recovery actions, including what liability protection is available to responders.

- ☐ Describe the process by which the EMA office coordinates with all agencies, boards, or divisions having emergency management functions within the jurisdiction.

- ☐ Describe how emergency plans take into account special needs populations and companion animals.

- ☐ Identify other response/support agency plans that directly support the implementation of this plan (e.g., hospital, school emergency, facility plans).

- ☐ Define the four phases of emergency management (Mitigation, Preparedness, Response, and Recovery) and describe how the jurisdiction uses them to develop the plan and local procedures.

- ☐ Identify/define the words, phrases, acronyms, and abbreviations that have special meanings with regard to emergency management and are used repeatedly in the plan.

- ☐ Identify/describe the Local, State, and Federal laws that specifically apply to the development and implementation of this plan, including but not limited to:

    - Local and Regional ordinances and statutes.

    - State laws or revised code sections that apply to emergency management and homeland security

    - State administrative code sections that define roles, responsibilities, and operational procedures

    - State Attorney General Opinions

- Federal regulations and standards (e.g., Stafford Act, FEMA Policy, Patriot Act, NFPA 1600)

□ Identify/describe the reference manuals used to develop the plan and/or help prepare for and respond to disasters or emergencies, including but not limited to:

- General planning tools
- Technical references
- Computer software

ASSIGNMENT OF ROLES AND RESPONSIBILITIES

This is an overview of the key functions and procedures that State or Local agencies will accomplish during an emergency, including the roles Local, State, Federal, Tribal, and private agencies will take to support local operations.

□ Identify/outline the responsibilities assigned to each organization that have an emergency response and/or recovery procedure defined in this plan, including but not limited to:

- Local response agencies (Fire, Law Enforcement, EMS) and support agencies (e.g., Health, EMA, Medical Care Facilities and Organizations, Coroner, Engineer)
- Local Senior Elected Officials (e.g., Governor, Mayor, Commissioner, Administrative Judge, Council, Executive Director)
- State agencies most often and/or likely to be used to support Local operations (e.g., Department of Transportation, State Police/Highway Patrol, Department of Natural Resources, Environmental Protection/Quality, Emergency Management, Homeland Security, Department of Health/Public Health, National Guard).
- Federal agencies most often and/or likely to be used to support Local operations (e.g., FEMA, USCG, DOJ, FBI, FAA, NTSB, DoD, DOT)

- Government-sponsored volunteer resources (e.g., Community Emergency Response Teams [CERTs], Medical Reserve Corps [MRC], Volunteers in Police Service [VIPS] or Auxiliary Police

- Private and volunteer organizations (e.g., American Red Cross, Salvation Army, faith-based groups, VOAD, Chamber of Commerce, Community Action Commission, private sector support)

□ Describe how roles and responsibilities will be determined for unaffiliated volunteers and how these individuals will be incorporated into the response organization.

□ Describe/identify what Mutual Aid Agreements are in place for the quick activation and sharing of resources during an emergency. Examples of agreements that may exist include:

- Agreements between response groups (e.g., fire and police, emergency medical/ambulance)

- Agreements for additional resources/assistance between neighboring jurisdictions' response forces (e.g., fire, police, EMS)

- Agreements for providing and receiving additional resources through the Emergency Management Assistance Compact (EMAC)

- Agreements for alert and notification and dissemination of emergency public information

- Resource agreements (e.g., outside assistance, personnel, equipment)

- Agreements between medical facilities inside and outside the jurisdiction (e.g., for using facilities, accepting patients)

- Evacuation agreements (e.g., use of buildings, restaurants, homes as shelters/lodging, relocation centers; transportation support), including agreements between jurisdictions for the acceptance of evacuees

  Note: Actual Mutual Aid Agreements should not be included in the plan in their entirety. The EOP should only identify that the agreement exists and briefly summarize who is covered by the

agreement, what goods or services are covered, and what limitations apply, if any.

Note: Mutual aid may also be addressed separately in each section of the EOP if the jurisdiction believes that such placement will help to better explain how that mutual aid directly supports a specific procedure.

- ☐ Describe how the jurisdiction maintains a current lists of available National Incident Management System (NIMS) Typed Resources and Credentialed Personnel.

- ☐ Describe how all tasked organizations maintain current notification rosters, SOPs, and checklists to carry out their assigned tasks.

- ☐ Provide a matrix that summarizes which tasked organizations have the primary lead versus a secondary support role for each defined response function.

- ☐ Describe the jurisdiction's policies regarding public safety enforcement actions required to maintain the public order during a crisis response, including teams of enforcement officers needed to handle persons who are disrupting the public order, violating laws, requiring quarantine, etc.

CONTINUITY OF GOVERNMENT/OPERATIONS

The jurisdiction needs to have a process in place to ensure vital government functions can be implemented and managed immediately following a disaster.

- ☐ Describe essential functions, such as providing vital services, exercising civil authority, maintaining the safety and well-being of the populace, and sustaining the industrial/economic base in an emergency.

- ☐ Describe plans for establishing Recovery Time Objectives (RTOs) or recovery priorities for each essential function.

- ☐ Identify personnel and/or teams needed to perform essential functions.

- ☐ Describe key elements for establishing orders of succession.

- ☐ Describe plans for human capital management.

- ☐ Describe the arrangements in place to ensure that decisions can be made with regard to implementing response and recovery functions (e.g., resolutions that allow the County Administrator to act on behalf of the Commissioners to suspend normal bidding regulations for purchasing equipment or establishing contracts).

- ☐ Describe the arrangements in place to protect records deemed essential for government functions (e.g., tax records, birth/death/marriage certificates, payroll and accounting data).

- ☐ Describe the processes that will be used to identify the critical and time-sensitive applications, processes, and functions that need to be recovered and continued following an emergency or disaster (e.g., business impact analysis, business continuity management, vital records preservation, alternate operating facilities) as well as the personnel and procedures necessary to do so.

PLAN MAINTENANCE

This is the process used to regularly review and update the EOP.

- ☐ Describe how this plan was coordinated with the EOPs from adjoining/intra-State Regional jurisdictions to include Local political subdivisions that develop their own EOPs in accordance with State statute.

- ☐ Describe the process used to review and revise the plan each year or – if changes in the jurisdiction warrant (e.g., changes in administration or procedures, newly added resources/training, revised phone contacts or numbers) – more often.

- ☐ Describe the responsibility of each organization/agency (governmental and NGO) to review and submit changes to its respective portion(s) of the plan.

- ☐ Identify/summarize to whom the plan is distributed, including whether it is shared with other jurisdictions. Include a plan distribution list.
  Note: This list can be maintained as a Tab to the plan.

- ☐ Describe/identify how or where the plan is made available to the public.

- ☐ Summarize the process used to submit the plan for review, coordination, and/or evaluation by other jurisdictions/organizations.

- ☐ Include a page to document when the changes are received and entered into the plan.

PREPAREDNESS OVERVIEW

This provides a brief overview of the steps taken by the jurisdiction to prepare for disasters.

HAZARD ANALYSIS

This summarizes the major findings identified from a completed Hazard Analysis of each hazard likely to impact the jurisdiction. **Note**: The Hazard Analysis information can be presented as a Tab to the EOP or maintained as a part of the Local Mitigation Plan. In either case, this section needs to provide an overview of the analysis process and its results and then refer to the Tab or the Mitigation Plan.

- ☐ Summarize/identify the hazards that pose a unique risk to the jurisdiction and would create the need to activate this plan (e.g., threatened or actual natural disasters, acts of terrorism, or other man-made disasters).

- ☐ Summarize/identify the probable high-risk areas (population, infrastructure, and environmental) that are likely to be impacted by the defined hazards (e.g., special needs facilities, wildlife refuges, types/numbers of homes/businesses in floodplains, areas around chemical facilities).

- ☐ Summarize/identify the likelihood that the defined hazards have and will continue to occur within the jurisdiction (e.g., historical frequency, probable future risk, national security threat assessments).

- ☐ Describe how the intelligence community's (State/Local fusion centers, joint terrorism task forces, national intelligence organizations) threat analyses have been incorporated into the jurisdiction's Hazard Analysis.

- ☐ Describe how agricultural, food supply, cyber security, CBRNE events, and pandemics (those located/originating in the jurisdiction as well as a nonlocal, nationwide, or global event) have been assessed and incorporated into the jurisdiction's Hazard Analysis.

- ☐ Describe the assumptions made and the methods used to complete the jurisdiction's Hazard Analysis, including what tools or

methodologies were used to complete the analyses (e.g., a State's Hazard Analysis and Risk Assessment Manual, Mitigation Plan guidance, vulnerability assessment criteria, consequence analysis criteria).

- □ Include maps that show the high-risk areas that are likely to be impacted by the identified hazards (e.g., residential/commercial areas within defined floodplains, earthquake fault zones, vulnerable zones for hazardous materials facilities/routes, areas within ingestion zones for nuclear power plants, critical infrastructure).

- □ Describe/identify the hazards that could originate in a neighboring jurisdiction and create a hazard to this jurisdiction (e.g., watershed runoff, chemical incident, riot/terrorist act).

- □ Describe/identify the unique time variables that may influence the Hazard Analysis and preplanning for the emergency (e.g., rush hours, annual festivals, seasonal events, how quickly the event occurs, the time of day that the event occurs).

CAPABILITY ASSESSMENT

This process is used by the jurisdiction to determine its capabilities and limits in order to prepare for and respond to the defined hazards. **Note**: The jurisdiction may wish to address this topic as part of the hazard-specific sections. This would allow the jurisdiction to address the unique readiness issues and limitations for each specific hazard. In this case, this section should provide an overview of the jurisdiction's abilities and then refer the reader to the hazard-specific sections for more detailed information.

- □ Summarize the jurisdiction's ability to respond to and recover from a disaster caused by the defined hazards.

- □ Describe the jurisdiction's limitations to responding to and recovering from a disaster on the basis of training, equipment, or personnel.

- □ Describe the methods used and agencies involved in a formal capability assessment, including a description of how often this assessment is conducted.

- □ Describe methods used and NGOs (business, nonprofit, community, and faith based) involved in formal community capability assessment, including a description of how often this assessment is conducted

MITIGATION PROGRAM

This covers the actions taken in advance to minimize the impact that is likely to result from an emergency, including short and long-term strategies. **Note**: Specific Mitigation Plans/guidance documents may be available from State EMAs, FEMA, or DHS.

- □ Provide a brief overview of the mitigation programs used locally to reduce the chance that a defined hazard will impact the community (e.g., move homes/businesses out of floodplain, establish and enforce zoning/building codes, install surveillance cameras, conduct cargo surveillance and screening), including short- and long-term strategies.

- □ Identify potential protection, prevention, and mitigation strategies for high-risk targets.

- □ Describe the procedures used to develop sector-specific protection plans, including critical infrastructure systems and facilities, port security, transportation security, food chain, food and medical production/supply, and cyber security.

- □ Describe the procedures used to educate and involve the public in the mitigation programs (e.g., building safe rooms/homes, home relocation, streambed cleaning).

- □ Describe the process and agencies used to develop Mitigation Plans and how these are coordinated with Local, State, Tribal, and Federal agencies/plans.

LOGISTICS/RESOURCE MANAGEMENT

This mechanism is used to identify and acquire resources *in advance of* a disaster, especially to overcome gaps possibly identified in a capability assessment.

- □ Describe/identify the procedures and agencies involved in using the existing hazard analysis and capability assessment to identify what resources are needed for a response to a defined hazard, including using past incident critiques to identify/procure additional resources.

- □ Describe/identify the steps taken to overcome the jurisdiction's identified resource shortfalls, including identifying the resources that are only available outside the jurisdiction (e.g., HAZMAT, Water Rescue, Search and Rescue teams, CBRNE) and the procedures to request those resources.

- ☐ Provide a brief summary statement about specialized equipment, facilities, personnel, and emergency response organizations currently available to respond to the defined hazards. **Note:** A Tab to the plan or a separate Resource Manual should be used to list the types of resources available, amounts on hand, locations maintained, and any restrictions on use.

- ☐ Describe the process used to identify private agencies/contractors that will support resource management issues (e.g., waste haulers, spill contractors, landfill operators). Identify existing Memorandums of Agreement or Understanding and contingency contracts with these organizations.

- ☐ Describe the process used to identify, deploy, utilize, support, dismiss, and demobilize affiliated and spontaneous unaffiliated volunteers.

- ☐ Describe plans, procedures, and protocols for resource management in accordance with the NIMS Resource Typing, and include pre-positioning of resources to efficiently and effectively respond to an event.

- ☐ Describe the process used to manage unsolicited donations.

- ☐ Describe plans for establishing logistic staging areas for internal and external response personnel, equipment, and supplies.

- ☐ Describe plans for establishing points of distribution across the jurisdiction.

- ☐ Describe plans for providing support for a larger, Regional incident.

- ☐ Describe strategies for transporting materials through restricted areas, quarantine lines, law enforcement checkpoints, and so forth that are agreed upon by all affected parties

DOCUMENTATION

This process is used by a jurisdiction to document the response to and recovery from a disaster. **Note**: This information can also be discussed for each emergency response function or for the specific hazards.

- ☐ Describe the process and agencies used to document the actions taken during and after the emergency (e.g., incident and damage assessment, incident command logs, cost recovery).

- ☐ Describe/summarize the reasons for documenting the actions taken during both the response and recovery phases of the disaster (e.g., create historical records, recover costs, address insurance needs, develop mitigation strategies).

- ☐ Include copies of the reports that are required (e.g., cost recovery, damage assessment, incident critique, historical record).

- ☐ Describe the agencies and procedures used to create a permanent historical record of the event (After-Action Report) and include identifying the actions taken, resources expended, economic and human impacts, and lessons learned as a result of the disaster.

CRITIQUE

This is the method used by the jurisdiction to review and discuss the response in order to identify strengths and weaknesses in the emergency management and response program.

- ☐ Describe the reasons and need to conduct an incident critique (e.g., review actions taken, identify equipment shortcomings, improve operational readiness, highlight strengths/initiatives).

- ☐ Describe the methods and agencies used to organize and conduct a critique of the disaster, including how recommendations are documented to improve local readiness (e.g., change plans/procedures, acquire new or replace out-dated resources, re-train personnel).

- ☐ Describe the links and connections between the processes used to critique the response to an emergency/disaster and the processes used to document recommendations for the jurisdiction's exercise program.

- ☐ Describe how the jurisdiction ensures the deficiencies and recommendations identified during a critique are corrected/completed.

COST RECOVERY/REIMBURSEMENT

These are procedures used to recover the costs incurred during the response to a disaster.

- ☐ Describe/Identify the various programs that allow Local political jurisdictions and their response/support agencies to recover their

costs (e.g., Small Business Administration [SBA], Public Assistance Program).

- ☐ Describe the procedures agencies follow to document the extraordinary costs incurred during response and recovery operations (e.g., personnel overtime, equipment used/expended, contracts initiated).

- ☐ Describe/identify the programs and how the jurisdiction assists the general public to recover their costs and begin rebuilding (e.g., SBA, unemployment, worker's compensation).

- ☐ Describe the methods used to educate responders and Local officials about the cost recovery process.

- ☐ Describe the impact and role that insurance has in recovering costs (e.g., self-insured, participation in the National Flood Insurance Program [NFIP], homeowner policies).

TRAINING PROGRAM

This process is used by the jurisdiction to provide or develop training programs and other types of educational programs for emergency responders, medical personnel, and Local government officials.

- ☐ Describe the jurisdiction's preparedness planning and review cycle program that encompasses planning, training, exercising, evaluation, and the incorporation of after action reviews (AARs) and lessons learned (LL).

- ☐ Describe/identify the training requirements of emergency response personnel and Local officials to prepare for and respond to and recovery from a disaster (e.g., ICS/EOC, emergency planning, damage assessment, mass care) that are based on the assignments of roles and responsibilities in the EOP and compliant with NIMS Personnel Credentialing.

- ☐ Describe the process and agencies used to provide/coordinate training, including refresher training.

- ☐ Describe the process used to maintain records and lists of training received and certifications held by emergency response personnel; elected, appointed, and administrative personnel; organized volunteers; and other groups of individuals who have assigned roles and responsibilities in the EOP.

- □ Describe the sources used to provide emergency preparedness training (e.g., state EMA, State Fire Marshall's Fire Academy/Outreach programs, FEMA's EMI/CDP, Universities).

- □ Summarize the mechanism used to evaluate the effectiveness of training (e.g., examinations, exercises, orientation drills).

PUBLIC EDUCATION PROGRAM

Educational tools are used to teach the public about threats and disasters and what to do when an emergency occurs.

- □ Describe the jurisdiction's program to plan, conduct, and evaluate public education programs for citizen preparedness, protection, response, recovery, and mitigation activities.

- □ Describe/identify the programs and agencies used to educate the public about how to prepare for emergencies and what response actions they will need to take (e.g., pamphlets, school outreach, local fairs, winter/flood safety week).

- □ Describe/identify the programs and agencies used to explain the hazards and risks faced by the jurisdiction (e.g., HAZMAT/risk communication, evacuation/shelter-in-place, opportunities to volunteer, donations management, counter-terrorism).

- □ Describe the process and agencies used to prepare/distribute emergency management information to the general public, special locations, non-English-speaking groups, and special needs groups.

EXERCISE PROGRAM

Various agencies use different methods and schedules to conduct and evaluate an exercise of the plan.

- □ Describe how the jurisdiction's annual Exercise and Training Plan Workshop is used to establish periodical tests of its EOP. Describe how frequently plans for each phase of emergency management (preparedness, protection, response, recovery, and mitigation) are exercised.

- □ On the basis of the exercise, describe the methods used to evaluate preparedness for the jurisdiction's identified hazards. Include documenting the Improvement Plan negotiated at the After Action Conference that is intended to improve the local emergency

management/ response program (e.g., personnel, planning, organization/leadership, equipment/systems, training, exercises/evaluations/corrective actions).

- □ Describe how the jurisdiction uses Homeland Security Exercise and Evaluation Program (HSEEP) procedures and tools to develop, conduct, and evaluate an exercise.

- □ Describe/identify the types of exercises to be used in the jurisdiction (e.g., full-scale, functional, tabletop), including how actual events are used in lieu of an exercise.

- □ Describe the procedures and agencies responsible for ensuring that a corrective action program is in place to monitor and track the status of individual items listed in the improvement plan for each exercise.

- □ Describe how the general public and organized volunteers are involved in the jurisdiction's exercise program.

FUNCTIONAL, SUPPORT, AGENCY-FOCUSED ANNEXES

RESPONSE OPERATIONS

This section contains the methods and procedures to be followed by first responders and government agencies to respond to an emergency and to protect the public and environment from the immediate impacts of the disaster.

INITIAL NOTIFICATION

This process is used to recognize that an emergency has occurred and then to notify the proper agencies to respond to the emergency.

- □ Describe/identify the procedures and agencies used to receive and document the initial notification that an emergency has occurred.

- □ Describe/identify plans, procedures, and polices for coordinating, managing, and disseminating notifications effectively to alert/dispatch response and support agencies (e.g., 911 Centers, individual Fire/Police dispatch offices, call trees) under all hazards and conditions.

- □ Describe/identify the procedures and agencies used to notify and coordinate with adjacent jurisdiction(s) about a local emergency that may pose a risk (e.g., flash flood, chemical release, terrorist act).

- ☐ Describe the use of Emergency Condition/Action Levels in the initial notification process (e.g., Snow emergency levels 1–3, Chemical levels 1–3, Crisis Stages 1–4).

INCIDENT ASSESSMENT

These are procedures followed by those who arrive on the scene first and identify the risks posed by the disaster. This assessment is used to develop a response action plan.

- ☐ Describe the procedures used by first response agencies to gather essential information and assess the immediate risks posed by the disaster.

- ☐ Describe how the initial assessment is disseminated/shared in order to make protective action decisions and establish response priorities, including the need to declare a state of emergency.

- ☐ Describe/identify the procedures and agencies used to monitor the movement and future effects that may be created by the disaster.

INCIDENT COMMAND

This process is used by the jurisdiction to implement an Incident Command System (ICS) and manage the response operations during the disaster. **Note:** This may also be referred to as an Incident *Management* System or *Unified* Command System.

- ☐ Describe/identify who is in charge and has the overall responsibility to coordinate response operations (e.g., Fire for chemical, Police for riot, Mayor for natural hazard), including how they will share command should the incident cross multiple jurisdictional boundaries.

- ☐ Describe the procedures used to implement a NIMS-compliant ICS and coordinate response operations, including identifying the key positions used to staff the ICS (e.g., Operations, Agency Liaisons, Safety) and using NIMS forms.

- ☐ Describe how/where an Incident Command Post (ICP) will be established (e.g., chief's car, command bus, nearest enclosed structure) and how it will be identified during the emergency (e.g., green light, flag, radio call).

- ☐ Describe the process used to coordinate activities between the ICP and an activated EOC, including how/when an IC can request the activation of an EOC.

- ☐ Describe the procedures used to coordinate direct communications between the responders on-scene as well as with the off-scene agencies that have a response role (e.g., Hospital, ARC, Health).

- ☐ Describe the process the IC will use to secure additional resources/support when local assets are exhausted or become limited, including planned State, Federal, and private assets.

- ☐ Describe the process the IC will use to coordinate and integrate the unplanned arrival of individual citizens and volunteer groups into the response system and to clarify their limits on liability protection.

EMERGENCY OPERATIONS CENTER (EOC)

The jurisdiction has a process for activating and utilizing an EOC to support and coordinate response operations during the disaster.

- ☐ Describe the purpose and functions of an EOC during an emergency or declared disaster.

- ☐ Describe/identify under what conditions the jurisdiction will activate an EOC and who makes this determination.

- ☐ Identify the primary and alternate sites that will likely be used as an EOC for the jurisdiction (e.g., city hall, fire department, EMA office, dedicated facility).

- ☐ Describe the process used to activate the primary or an alternate EOC (e.g., staff notification, equipment setup), including the procedures needed to move from one EOC to another.

- ☐ Identify who's in charge of the EOC (e.g., EMA Director, Chief Elected Official, Fire/Police Chief, Department/Agency Director), and describe how operations will be managed in the EOC.

- ☐ Describe/identify the EOC staff and equipment requirements necessary for an EOC (e.g., first response liaisons, elected officials, support agencies, communications, administrative support).

- ☐ Describe/identify the procedures used to gather and share pertinent information between the scene, outside agencies, and the EOC

(e.g., damage observations, response priorities, resource needs), including sharing information between neighboring and State EOCs.

- □ Describe the EOC's abilities to manage an emergency response that lasts longer than 24 hours (e.g., staffing needs, shift changes, resource needs, feeding, alternate power).

- □ Describe the plans and procedures to transition from response to recovery operations.

- □ Describe the process used to deactivate/close the EOC (e.g., staff releases, equipment cleanup, documentation).

- □ Identify the lead official and at least two alternates responsible for staffing each key position at the primary EOC, as well as the alternates if different that is consistent with NIMS.

- □ Describe procedures for routinely briefing senior elected officials not present in the EOC on the emergency situation (e.g., governor, commissioner, administrative judge, mayor, city council, trustees) and for authorizing emergency actions (e.g., declare an emergency, request State and Federal assistance, purchase resources).

- □ Provide a diagram of the primary and alternate EOCs (e.g., locations, floor plans, displays) and describe/identify the critical communications equipment available/needed (e.g., phone numbers, radio frequencies, faxes).

- □ Provide copies of specific NIMS-compliant forms or logs to be used by EOC personnel.

COMMUNICATIONS

This system should provide for reliable and effective communications among responders and Local Government agencies during an emergency.

- □ Describe/identify the procedures and personnel used to manage communications between the on-scene personnel/agencies (e.g., radio frequencies/tactical channels, cell phones, data links, CP Liaisons, communications vehicle/van) in order to establish and maintain a common operating picture of the event.

- □ Describe/identify the procedures and agencies used to identify and overcome communications shortfalls (e.g., personnel with incompatible

equipment, use of ARES/RACES at the CP/off-site locations, CB radios).

- □ Describe/identify the procedures and personnel used to manage communications between the scene and off-site personnel/agencies (e.g., shelters, hospitals, EMA).

- □ Describe the procedures used by 911/Dispatch Centers to support/coordinate communications for the on-scene personnel/agencies, including alternate methods of service if 911/Dispatch is out of operation (e.g., resource mobilization, documentation, backup).

- □ Describe the arrangements that exist to protect emergency circuits with telecommunications service priority for prompt restoration/provisioning.

- □ Describe/identify the procedures used by an EOC to support and coordinate communications between the on- and off-scene personnel and agencies.

- □ Describe/identify the interoperable communications plan and compatible frequencies used by agencies during a response (e.g., who can talk to whom, including contiguous Local, State, and private agencies).

- □ Describe how 24-hour communications are provided and maintained.

DISASTER INTELLIGENCE

- □ Identify disaster intelligence position requirements for the EOC's planning section.

- □ Describe plans for coordination between the planning section and the jurisdiction's fusion center.

- □ Describe information dissemination methods (verbal, electronic, graphics, etc.) and protocols.

- □ Describe critical information needs and collection priorities.

- □ Describe long-term disaster intelligence strategies.

INCIDENT SCENE OPERATIONS

These procedures are used by a jurisdiction's personnel to implement the immediate life safety procedures and to stabilize the actual scene of the emergency so that recovery operations can proceed.

- ☐ Describe/identify the procedures to be followed by Fire personnel to contain and stabilize a disaster (e.g., fire suppression, victim rescue, victim and equipment decontamination, equipment staging).

- ☐ Describe/identify the procedures to be followed by Law Enforcement personnel to contain and stabilize a disaster (e.g., crowd control, hostage negotiation, evacuate areas, collect evidence).

- ☐ Describe/identify the procedures to be followed by personnel to implement specific Search and Rescue operations (e.g., confined space, heavy equipment, river rescue, dive teams).

- ☐ Describe/identify the procedures of the jurisdiction's support agencies to assist in the stabilization of the actual disaster site (e.g., public works to support heavy equipment rescue needs, engineer's office to control or provide access to/from the immediate area).

- ☐ Describe/identify how the jurisdiction will arrange and integrate outside response/support efforts when local abilities are limited or exhausted (e.g., Mutual Aid, and private, State, and Federal assets).

- ☐ Describe/identify how the jurisdiction will provide food, shelter, and alternate water supplies needed to support personnel conducting Incident Scene Operations.

- ☐ Describe/identify the functions of and the procedures used to establish formal exclusion zones to protect the public (e.g., hot or evacuation area, and warm or safety/buffer zones).

RESPONSE PERSONNEL SAFETY

These procedures are employed on-scene to ensure responder safety.

- ☐ Describe the purpose of appointing a Safety Officer and the procedures the Officer will use to manage the safety of on-scene personnel (e.g., brief personnel on existing hazards, halt operations that are unsafe).

- ☐ Describe the procedures and agencies used to recognize and provide rest/rehabilitation for responders (e.g., heat stress, fluid retention, mental fatigue, backup personnel)

- ☐ Describe/identify the procedures and personnel used to establish an accountability system for on-scene personnel who are operating in/around the immediate hazard area.

- ☐ Describe/identify the safety procedures in place to operate within a defined exclusion zone (e.g., hot or evacuation area, and warm or safety/buffer zone), including accounting for personnel as they enter and leave the hazard zones.

- ☐ Describe the jurisdiction's procedures to set up and/or provide decontamination at the scene of any emergency (e.g., contamination by floodwaters or other infectious hazard). **Note**: This may be addressed in the separate hazard-specific sections.

- ☐ Describe/identify plans, procedures, and protocols to protect fatality management personnel from infectious diseases, environmental, radiological, chemical, and other hazards when handling remains.

- ☐ Describe the procedures and agencies used to provide mental health support to responders during and after an incident (also known as critical incident stress debriefings).

EMERGENCY FUNCTIONS

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MEDICAL/VICTIM CARE/MASS CASUALTY/MASS FATALITY

These procedures are used to provide immediate medical assistance to those directly impacted by the emergency.

- ☐ Describe/identify the procedures to be followed by emergency medical personnel to contain and stabilize a disaster (e.g., set up triage, provide initial treatment, conduct/coordinate transport).

- ☐ Describe/Identify the procedures to be followed for tracking patients from the incident scene through their course of care.

- ☐ Describe how emergency system patient transport and tracking systems are interoperable with national and Department of Defense systems

- ☐ Describe/identify the procedures used to coordinate with private agencies to support on-scene medical operations (e.g., air ambulance, private EMS), including the process of staging and integrating those assets at the scene.

- ☐ Describe/identify the agencies and unique procedures used to manage on-scene functions of mass casualty/fatality events (e.g., identify body, expand mortuary services, notify next of kin).

- ☐ Describe/identify the process for using hospitals, nursing homes, and/or other facilities as emergency treatment centers or as mass casualty collection points.

- ☐ Describe/identify the process for identifying shortfalls in medical supplies (e.g., backboards, medicines) and then acquiring those additional resources either locally or from external sources.

- ☐ Describe/identify the procedures that hospitals, within or outside the jurisdiction, will use to assist medical operations with on-scene personnel (e.g., prioritize patient arrival, divert patients to other sites when full/less capable, conduct decontamination, provide triage team support).

- ☐ Describe the procedures the Coroner will implement during a disaster (e.g., victim identification, morgue expansion, mortuary services, DMORT activation) and how they will be coordinated with responders (e.g., EMS officer, ICP/EOC, local hospitals).

- ☐ Describe plans for recovering human remains, transferring them to the mortuary facility, establishing a Family Assistance Center (FAC), assisting with personal effects recovery, conducting autopsies, identifying victims, and returning remains to the victim's family for final disposition.

- ☐ Describe the procedures health department personnel will follow to support on-scene medical and local hospitals in obtaining additional resources when local supplies are likely to be exhausted.

PUBLIC WARNING/EMERGENCY PUBLIC INFORMATION

This system provides reliable, timely, and effective information/warnings to the public at the onset and throughout a disaster.

- ☐ Describe/identify the procedures and agencies used to initiate/disseminate the initial notification that a disaster or threat is

imminent or has occurred (e.g., EAS activation, door-to-door, sirens, cable/TV messages).

- ☐ Describe/identify the procedures and agencies used to provide continuous and accessible public information about the disaster (e.g., media briefings, press releases, cable interruptions, EAS), secondary effects, and recovery activities.
- ☐ Describe/identify the procedures and agencies used to ensure that information provided by all sources includes the necessary content to enable reviewers to determine its authenticity and potential validity.
- ☐ Describe/identify plans, procedures, programs, and systems to rapidly control rumors by correcting misinformation.
- ☐ Describe the procedures and agencies used to alert and inform special needs populations in the workplace, public venues, and in their homes.
- ☐ Describe the role of a public information officer (PIO) and describe the procedures this person will use to coordinate public information releases (e.g., working with media at the scene, using a Joint Information Center [JIC], coordinating information among agencies/elected officials).
- ☐ Describe how responders/local officials will use and work with the media during an emergency (e.g., schedule press briefings, establish media centers on-scene, control access to the scene, responders, victims).
- ☐ Describe the use of Emergency Condition Levels (ECLs) in the public notification process (e.g., snow emergencies, HAZMAT incidents, nuclear power plant events).
- ☐ Include prepared public instructions and/or pre-scripted EAS messages for identified hazards, including materials for managers of congregate care facilities, such as childcare centers, group homes, assisted living centers, and nursing homes.
- ☐ Describe the procedures and agencies used to manage rumor control on- and off-scene (e.g., monitoring AM/FM radio and television broadcasts).
- ☐ List the local media contacts and identify their abilities to provide warnings.

POPULATION PROTECTION

These procedures are followed to implement and support protective actions by the public and coordinate an evacuation.

- ☐ Describe the jurisdiction's plans, procedures, and protocols to coordinate evacuations and sheltering-in-place.
- ☐ Describe the protocols and criteria used to decide when to recommend evacuation or sheltering-in-place.
- ☐ Describe the conditions necessary to initiate an evacuation or sheltering-in-place and identify who has the authority to initiate one.
- ☐ Describe the procedures and agencies used to conduct the evacuation (of high-density areas, neighborhoods, high-rise buildings, subways, airports, special events venues, etc.) and to provide security for the evacuation area.
- ☐ Describe the procedures and agencies used to exchange information between and among the evacuating jurisdiction, the receiving jurisdiction(s), and the jurisdictions that evacuees will pass through.
- ☐ Describe coordination strategies for managing and possibly relocating incarcerated persons during a crisis response
- ☐ Describe how and when the public is notified, including the actions they may be advised to follow during an evacuation, while sheltering in place, upon the decision to terminate sheltering-in-place, and throughout the incident.
- ☐ Describe the protocols and criteria the jurisdiction will use to recommend termination of sheltering-in-place.
- ☐ Describe/identify the procedures and resources (e.g., both pre-identified and ad hoc collection points, staging areas, transportation resources) used to identify and assist moving evacuees, including assisting special-needs populations, mobility impaired individuals, and persons in institutions.
- ☐ Describe the procedures used to provide for the care of the evacuee's service animals/pets/livestock or to instruct evacuees on how to manage their service animals/pets/livestock during an evacuation.

- ☐ Describe how agencies coordinate the decision to return evacuees to their homes, including informing evacuees about any health concerns or actions they should take when returning to homes/businesses.

- ☐ Describe/identify the procedures and resources used to identify and assist the return of evacuees to their homes/communities, including special needs populations.

- ☐ Describe the procedures used when the general public refuses to evacuate (e.g., forced removal, contact next of kin, unique marking on home, take no action).

SHELTERING AND MASS CARE

These procedures implement sheltering and mass care operations for the evacuees.

- ☐ Describe the procedures and agencies used to identify, open, and staff emergency shelters, including temporarily using reception centers while waiting for shelters to officially open.

- ☐ Describe the agencies and methods used to provide for short-term lodging and mass care needs (e.g., beds/rest, food/water, crisis counseling, phones, clergy support, special needs experts).

- ☐ Describe how shelters coordinate their operations with on-scene and other off-site support agencies (e.g., expected numbers evacuated, emergency medical support).

- ☐ Describe how shelters keep evacuees informed about the status of the disaster, including information about actions that may need to be taken when evacuees return home.

- ☐ Describe the agencies and methods used to provide care and support for institutionalized or special needs individuals (e.g., medical and prescription support, durable medical equipment, child care, transportation, foreign language interpreters).

- ☐ Describe the procedures and agencies used to care for companion and service animals brought to the shelters by the evacuees.

- ☐ Describe the procedures and agencies used to notify or inform the public about the status of injured or missing relatives.

- ☐ Describe the methods to identify, screen, and handle evacuees exposed to the hazards posed by the disaster (e.g., infectious waste,

polluted floodwaters, chemical hazards) and keep the shelter free of contamination.

- ☐ Describe arrangements in place with other jurisdictions for them to assist in sheltering, including providing shelters when it is not practical locally (e.g., no available shelters or staff support).

- ☐ Describe the procedures and agencies used to identify and address the general public's "unmet needs" during the disaster.

PUBLIC HEALTH

These procedures provide for the public's general health as a result of the emergency.

- ☐ Describe the agencies and methods used to maintain efficient surveillance systems supported by information systems to facilitate early detection, reporting, mitigation, and evaluation of expected and unexpected public health conditions.

- ☐ Describe the agencies and methods used to determine the public health issues created by the disaster (e.g., food/water safety, biological concerns) and to prioritize how the issues will be managed, including how this process is coordinated with the ICP/EOC (e.g., issue vaccinations, establish quarantines).

- ☐ Describe the agencies and alternate methods used to provide potable water to the jurisdiction when the water systems are not functioning (e.g., private sources, boil orders, private wells).

- ☐ Describe the agencies and alternate methods used to provide alternate sources for human waste disposal (e.g., arrange portable latrines, encourage sharing with those on own septic systems)

- ☐ Describe the procedures and agencies used to assess and provide mental health services for the general public impacted by the disaster (critical incident stress debriefings).

- ☐ Describe/identify the procedures used to assess and provide vector control services (e.g., insect and rodent controls, biological wastes/contamination, use of pesticides).

- ☐ Describe/identify the procedures used to assess and provide food production and agricultural safety services (e.g., conducting a

coordinated investigation of food and agricultural events or agricultural or animal disease outbreaks)

- ☐ Describe the use and coordination of health professionals, incident commanders, and public information officers to issue public health media releases and alert the media.

- ☐ Describe/identify the procedures and agencies involved in initiating, maintaining, and demobilizing medical surge capacity, including Mutual Aid Agreements for medical facilities and equipment.

- ☐ Describe/identify the procedures used to assess and provide animal care services (e.g., remove and dispose of carcasses, rescue/recover displaced pets/livestock, treat endangered wildlife) and the agencies utilized in this process (e.g., veterinarians, animal hospitals, Humane Society, State Department of Natural Resources).

- ☐ Describe the procedures and agencies used to identify and respond to grave sites/cemeteries that are impacted by the disaster (e.g., recover and replace unearthed/floating/missing coffins, review records to confirm identification, manage closed/historical gravesites).

- ☐ Describe the use and coordination of health professionals from outside agencies to support local response needs (e.g., poison control centers, State/Local Departments of Health/Public Health, Centers for Disease Control [CDC], Funeral Directors Association, U.S. Department of Agriculture, Food and Drug Administration, Medical Reserve Corps [MRC]).

- ☐ Identify potential sources for medical and general health supplies that will be needed during a disaster (e.g., medical equipment, pharmaceutical supplies, laboratories, toxicologists). **Note:** This information could be maintained under a separate Tab or as part of a comprehensive resource manual.

INFRASTRUCTURE

This response procedure is needed to identify and coordinate the control of public utilities and transportation issues that could otherwise create additional hazards to the local population.

- ☐ Describe/identify the likely types of energy and utility problems that will be created as result of the emergency (e.g., downed power lines, wastewater discharges, ruptured underground storage tanks).

- ☐ Describe/identify the procedures and agencies used to identify, prioritize, and coordinate energy and utility problems that will be created as a result of the disaster (e.g., shut off gas/electricity to flooded areas, restore critical systems, control underground water/gas main breaks).

- ☐ Describe the procedures and agencies used to identify, prioritize, and coordinate the removal of debris from roadways to ensure access for local responders (e.g., snow/debris removal, stream clearance of debris/ice), including coordinating road closures and establishing alternate routes of access.

- ☐ Describe the procedures and agencies used to protect affected populations during a disaster when there are periods of extreme temperatures and/or shortages of energy, including how the jurisdiction coordinates with energy-providing companies during outages.

DAMAGE ASSESSMENT

These procedures are used to determine the extent of damage caused by the disaster to private and public property and facilities.

- ☐ Describe the procedures and agencies used to conduct and coordinate damage assessments on private property (e.g., home owners, businesses, renters).

- ☐ Describe the procedures and agencies used to conduct and coordinate damage assessments on public property (e.g., government, private, nonprofit)

- ☐ Describe the processes used to collect, organize, and report damage information to other County, State, or Federal operations centers within the first 12 to 36 hours of the disaster/emergency.

- ☐ Describe the procedures for requesting supplemental State/Federal assistance through the State EMA.

- ☐ Include copies of the damage assessment forms used locally (e.g., State-adopted or -recommended EMA's damage and needs assessment form or a County equivalent). **Note**: These may be attached as a Tab to the plan.

DEBRIS MANAGEMENT

This procedure describes how the jurisdiction will coordinate the cleanup and disposal of debris from the disaster site. **Note:** Check to see if your State has developed specific planning guidance on how to develop a debris management program and subsequent plans.

- ☐ Describe the procedures used to coordinate the debris collection and removal process (e.g., gather and recycle materials, establish temporary storage sites, sort/haul debris).

- ☐ Describe the procedures for communicating debris management instructions to the general public (e.g., separation/sorting of debris, scheduled pickup times, drop-off sites for different materials), including a process for issuing routine updates.

- ☐ Describe the procedures and agencies used to assess and resolve potential health issues related to the debris removal process (e.g., mosquito/fly infestation, hazardous and infectious wastes).

- ☐ Describe the procedures and agencies used to inspect and arrange for the inspection and subsequent disposal of contaminated food supplies (e.g., from restaurants, grocery stores).

- ☐ Identify the agencies likely to be used to provide technical assistance on the debris removal process (e.g., State Environmental Protection Agency, State Department of Health/Public Health, State Department of Agriculture, Local and surrounding County Health Departments).

- ☐ Describe the procedures and agencies (e.g., Local building inspectors, private contractors) used to condemn, demolish, and dispose of structures that present a safety hazard to the public.

- ☐ Pre-Identify potential trash collection and temporary storage sites, including final landfill sites for specific waste categories (e.g., vegetation, food, dead animals, hazardous and infectious wastes, construction debris, tires/vehicles).

INFRASTRUCTURE/PUBLIC WORKS

These are methods used to repair and replace roads and bridges and restore public utilities.

- ☐ Describe standards and procedures to identify qualified contractors offering recovery/restoration services.

- ☐ Describe/identify procedures to coordinate credentialing protocols so lifeline personnel have access to critical sites following an incident

- ☐ Describe the procedures used to identify, prioritize, and coordinate the work to repair/restore local roads, bridges, and culverts (e.g., along City, County, Township, State, U.S., and Interstate routes).

- ☐ Describe the procedures and agencies used to repair/restore local water and waste systems (e.g., water/waste treatment plants, sewer/water lines, public/private wells), including providing temporary water and waste systems until normal operations resume.

- ☐ Describe the procedures and agencies used to prioritize and coordinate the repair/restoration of vital services (e.g., gas, electric, phone), including conducting safety inspections before the general public is allowed to return to the impacted area.

- ☐ Describe the procedures used to incorporate and coordinate assistance from State, Federal, and private organizations (e.g., State Building Inspectors/Contractors, Local/State Historical Preservation Office, Federal Highway Administration, private contractors).

DONATIONS MANAGEMENT

This process is used to coordinate the collection and distribution of goods and monies that will be donated following an emergency.

- ☐ Describe the procedures and agencies used to establish and staff donation management functions (e.g., set up toll-free hotlines, create databases, appoint a donations liaison/office, use support organizations).

- ☐ Describe the procedures and agencies used to verify and/or vet voluntary organizations and/or organizations operating relief funds.

- ☐ Describe the procedures and agencies used to collect, sort, manage, and distribute in-kind contributions, including procedures for disposing of or refusing goods that are not acceptable.

- ☐ Describe the procedures used to coordinate donation management issues with neighboring districts and the State's donations management system.

- ☐ Describe the process used to tell the general public about the donations program (e.g., instructions on items to bring and not bring, scheduled drop-off sites and times, the way to send monies), including a process for issuing routine updates.

- ☐ Describe the procedures and agencies used to handle the spontaneous influx of volunteers.

- ☐ Describe the procedures and agencies used to receive, manage, and distribute cash contributions.

- ☐ Pre-Identify sites that will likely be used to sort and manage in-kind contributions (e.g., private warehouses, government facilities).

HAZARD-SPECIFIC ANNEXES

These are emergency response strategies that apply only to a specific hazard. **Note 1:** Hazard-specific information can be integrated into the above response and recovery sections if the local community believes such integration would make the plan easier to read and use. This information may also be addressed in completely separate stand-alone plans. In a stand-alone case, the EOP shall include specific references to those plans when appropriate and also provide a brief summary on how the EOP procedures are to be coordinated with the stand-alone procedures. **Note 2:** Some hazards have unique planning requirements that are required and/or recommended to be discussed as per specific State and Federal laws. The local EMA must review those requirements and determine how the EOP can best address and meet those legal requirements. The items below attempt to identify any such legal requirements for developing plans and procedures on the basis of a specific hazard.

NATURAL HAZARDS

These are events created by nature and are typically weather related. **Note:** These are not the only natural hazards. The County must complete its own hazard analysis to identify what natural incidents will require activation of the EOP procedures.

Floods

Address the hazard-unique procedures and methods the jurisdiction uses to prepare for and respond to flood emergencies/disasters (e.g., flash floods, inundation floods, floods resulting from dam failures or ice jams).

- ☐ Describe/identify the jurisdiction's **specific** concerns, capabilities, training, procedures, agencies, and resources that will be used to

mitigate against, prepare for, respond to, and recover from floods. Include a hazard summary that discusses where (e.g., 100-year and common floodplains) and how floods are likely to impact the jurisdiction.

Tornadoes

Address the hazard-unique procedures and methods the jurisdiction uses to prepare for and respond to tornado emergencies/disasters.

- □ Describe/identify the jurisdiction's **specific** concerns, capabilities, training, procedures, agencies, and resources that will be used to mitigate against, prepare for, respond to, and recover from tornadoes. Include a hazard analysis summary that discusses where/how tornadoes are likely to impact the jurisdiction (e.g., historical/seasonal trends, damage levels F1 through F5).

Winter Storms

Address the hazard-unique procedures and methods the jurisdiction uses to prepare for and respond to winter storm emergencies/disasters.

- □ Describe/identify the jurisdiction's **specific** concerns, capabilities, training, procedures, agencies, and resources that will be used to mitigate against, prepare for, respond to, and recover from winter storms (e.g., blizzards, ice jams, ice storms). Include a hazard analysis summary that discusses where/how winter storms are likely to impact the jurisdiction.

Droughts

Address the hazard-unique procedures and methods the jurisdiction uses to prepare for and respond to drought emergencies/disasters.

- □ Describe/identify the jurisdiction's **specific** concerns, capabilities, training, procedures, agencies, and resources that will be used to mitigate against, prepare for, respond to, and recover from droughts (e.g., water conservation, public water outages, wildfire issues). Include a hazard analysis summary that discusses where/how droughts are likely to impact the jurisdiction.

Earthquakes

Address the hazard-unique procedures and methods the jurisdiction uses to prepare for and respond to earthquake emergencies/disasters.

- □ Describe/Identify the jurisdiction's **specific** concerns, capabilities, training, procedures, agencies, and resources that will be used to mitigate against, prepare for, respond to, and recover from earthquakes. Include a hazard analysis summary that discusses where/how earthquakes are likely to impact the jurisdiction.

TECHNOLOGICAL HAZARDS

These are emergencies that involve materials created by man and pose a unique hazard to the general public and environment. The jurisdiction needs to consider events that are caused by accident (e.g., mechanical failure, human mistake) or result an emergency caused by another hazard (e.g., flood, storm) or are caused intentionally.

Radiological

Address the hazard-unique procedures and methods to prepare for and respond to releases that involve radiological materials that are at licensed facilities or in transport.

- □ Describe/Identify the jurisdiction's **specific** concerns, capabilities, training, procedures, agencies, and resources that will be used to mitigate against, prepare for, respond to, and recover from radiological hazards. Include a hazard analysis summary that discusses where/how radiological materials are likely to impact the jurisdiction, including incidents that occur at fixed facilities, along transportation routes, or as fallout from a nuclear weapon.

- □ **If applicable**, describe/include procedures that address the requirements of FEMA/NRC (U.S. Nuclear Regulatory Commission) NUREG 0654 and *Code of Federal Regulations* (CFR) Part 44, Section 350, as it applies to the jurisdiction's planning for emergencies/disasters involving regulated nuclear power plants.

Hazardous Materials

Address the hazard-unique procedures and methods used to prepare for and respond to releases that involve HAZMAT that is manufactured, stored, or used at fixed facilities or in transport. This may include materials that exhibit incendiary or explosive properties when released. **Note:** Some States have laws that require each Local Emergency Planning Committee (LEPC) to develop a

Chemical Emergency Preparedness and Response Plan on this topic. Some States have laws requiring the Local EMA to incorporate the LEPC's plan into the EMA's planning and preparedness activities. Specific planning criteria established by a State Emergency Response Commission (SERC) must be reviewed and addressed in order to develop the LEPC plan.

- □ For LEPCs that complete a stand-alone plan, describe how the jurisdiction coordinates that plan's procedures with the EOP.

- □ For LEPC plans that are part of the EOP, describe how the planning team utilized and adhered to the SERC criteria in order to be in compliance with those requirements and the EOP requirements discussed above.

Biological Emergencies

Address the hazard-unique procedures and methods to prepare for and respond to incidents that are biological in nature (e.g., viruses, bacteria, infectious wastes, epidemics)

- □ Describe/identify the jurisdiction's **specific** concerns, capabilities, training, procedures, agencies, and resources that will be used to mitigate against, prepare for, respond to, and recover from epidemic diseases and biological incidents (e.g., West Nile virus, hoof and mouth disease, smallpox). Include a hazard analysis summary that discusses where/how biological incidents are likely to impact the community.

HUMAN-CAUSED HAZARDS

These are disasters created by man, either intentionally or by accident. **Note:** The jurisdiction must complete its own hazard analysis to identify what social incidents will require activation of the EOP's procedures.

Terrorist Acts

Describe/identify the jurisdiction's **specific** concerns, capabilities, training, procedures, agencies, and resources that will be used to mitigate against, prepare for, respond to, and recover from terrorist acts. The attacks covered should include, but not be limited to, attacks involving weapons of mass destruction (WMDs), such as CBRNE materials. **Note:** Some State EMAs or Homeland Security offices have developed specific guidance for this planning element. Specific planning criteria are established in that guidance, and it must be reviewed in order to develop the terrorism plan.

- ☐ Address and ensure the State's terrorism planning criteria are in compliance with the EOP requirements discussed above.

Civil Unrest

Address the hazard-unique procedures and methods the jurisdiction uses to prepare for and respond to civil unrest emergencies/disasters.

- ☐ Describe/identify the jurisdiction's **specific** concerns, capabilities, training, procedures, agencies, and resources that will be used to mitigate against, prepare for, respond to, and recover from civil unrest emergencies (e.g., riots, school shootings).

ADDITIONAL HAZARDS (AS APPLICABLE)

This section is to be used when the locality has included procedures that will be used to prepare for and respond to other hazards as identified in the jurisdiction's hazard analysis (e.g., mass casualty, airline/plane crash, train crash/derailment, school emergencies).

- ☐ Describe/identify the jurisdiction's **specific** concerns, capabilities, training, procedures, agencies, and resources that will be used to mitigate against, prepare for, respond to, and recover from other hazards as defined in the jurisdiction's hazard analysis.

Appendix E: Sample Hazard Profile Worksheet

Hazard Profile Worksheet	
Hazard:	
Potential magnitude (Percentage of the community that can be affected): **Catastrophic:** More than 50% **Critical:** 25 to 50% **Limited:** 10 to 25% **Negligible:** Less than 10%	
Frequency of Occurrence: ▪ **Highly likely:** Near 100% probability in next year. ▪ **Likely:** Between 10 and 100% probability in next year, or at least one chance in next 10 years. ▪ **Possible:** Between 1 and 10% probability in next year, or at least one chance in next 100 years. ▪ **Unlikely:** Less than 1% probability in next 100 years.	**Seasonal Pattern:**
Areas Likely to be Affected Most:	
Probable Duration:	
Potential Speed of Onset (Probable amount of warning time): ▪ Minimal (or no) warning. ▪ 6 to 12 hours warning. ▪ 12 to 24 hours warning. ▪ More than 24 hours warning.	
Existing Warning Systems:	
Does a Vulnerability Analysis Exist? Yes ☐ No ☐	

Appendix F: Sample Organization Responsibility Matrix

Agencies, Departments	Managing Emergency Operations 1	Situation Reporting 2	Damage Assessment 3	Alert, Warning, Notification 4	Emergency Public Information 5	Communication Systems 6	Resource Management 7	Human Resources 8	Search & Rescue 9	Public Works 10	Public Health Services 11	Animal Considerations 12	Fire Services 13	Emergency Medical Services 14	Law Enforcement Services 15	Coroner/Medical Examiner 16	Population Relocation 17	Transportation 18	Human Services 19	Donated Goods & Services 20	Emergency Fiscal & Administrative 21
Ambulance Service	S	S	S		S	S	S							S		S		S			S
American Red Cross	S	S	S	S	S	S	S	S			S		S	S			S	S	**P**		S
Building Inspection Services	S	S	S		S	S	S			S											S
Business & Industry	S	S	S		S	S	S				S			S	S	S			S		S
Campuses, Universities	S	S	S		S	S	S												S		S
Churches	S	S	S		S	S	S												S		S
Civil Air Patrol	S	S	S		S	S	S		S												S
Communications Dept.	S	S	S		S	S	S														S
Community Service Organizations	S	S	S		S	S	S												S		S
Coroner/Medical Examiner	S	S	S		S	S	S									**P**					S
Data Processing	S	S	S		S	S	S														S
Department of Health	S	S	S		S	S	S				**P**							S			S
Emergency Management Department	**P**	**P**	**P**	**P**	**P**	**P**	**P**	S	**P**	S	S	S	S	S	S	S	**P**	**P**	S	**P**	**P**
Equipment Management	S	S	S		S	S	S											S			S
Finance	S	S	S		S	S	S														S
Fire Services	S	S	S	S	S	S	S		S		S		**P**	**P**		S	S	S			S
Funeral Directors; Assoc.	S	S	S		S	S	S									S					S
Fleet Services	S	S	S		S	S	S												S		S
General Services	S	S	S		S	S	S													S	S
Hospitals	S	S	S		S	S	S				S			S							S
Human Resources	S	S	S		S	S	S										S	S	**P**		S
Humane Society	S	S	S		S	S	S				S	**P**									S
Information Mgt. Services	S	S	S		S	S	S							S					S		S

Agencies, Departments	Managing Emergency Operations 1	Situation Reporting 2	Damage Assessment 3	Alert, Warning, Notification 4	Emergency Public Information 5	Communication Systems 6	Resource Management 7	Human Resources 8	Search & Rescue 9	Public Works 10	Public Health Services 11	Animal Considerations 12	Fire Services 13	Emergency Medical Services 14	Law Enforcement Services 15	Coroner/Medical Examiner 16	Population Relocation 17	Transportation 18	Human Services 19	Donated Goods & Services 20	Emergency Fiscal & Administrative 21
Law Enforcement	S	S	S	S	S	S	S		**P**		S	S	S		**P**	S	**P**	S			S
Media	S	S	S	S	S	S	S														S
National Guard	S	S	S		S	S	S		S												S
Other NGOs					S		S	S			S	S					S	S	S	S	
Parks & Recreation	S	S	S		S	S	S	**P**											S	S	S
Personnel Board	S	S	S		S	S	S												S	S	S
Public (General)	S	S	S		S	S	S														S
Public Works	S	S	S		S	S	S		S	**P**			S		S		S	S	S		S
Purchasing Department	S	S	S		S	S	S														S
RACES	S	S	S	S	S	S	S		S										S		
Risk Management	S	S	S		S	S	S														S
Salvation Army	S	S	S		S	S	S	S					S						S		S
Schools (Districts)	S	S	S	S	S	S	S										S	**P**	S		S
Tax Assessor	S	S	S		S	S	S														S
Utilities	S	S	S		S	S	S			S									S		S
Veterinarians	S	S	S		S	S	S				S	S							S		S
Volunteer Organizations	S	S	S		S	S	S		S										S	S	S

S= Secondary; P= Primary.

Appendix G: Sample Department-to-ESF Cross-Reference Matrix

	ESF #1 – Transportation	ESF #2 – Communications	ESF #3 – Public Works and Engineering	ESF #4 – Firefighting	ESF #5 – Emergency Management	ESF #6 – Mass Care, Housing, and Human Services	ESF #7 – Resources Support	ESF #8 – Public Health and Medical Services	ESF #9 – Urban Search and Rescue	ESF #10 – Oil and Hazardous Materials Response	ESF #11 – Agriculture and Natural Resources	ESF #12 – Energy	ESF #13 – Public Safety and Security	ESF #14 – Long-Term Recovery and Mitigation,	ESF #15 – Emergency Public Information
Office of Homeland Security and/or Emergency Management		**P**			**P**	S	**P**			S				**P**	**P**
Agriculture and Forestry		S		**P**	S	S	S	S	S	S	**P**		S	S	S
Budget, Finance, and Management														S	S
Culture, Recreation and Tourism		S		S	S	S	S		S		S		S		S
Department of Corrections	S	S			S	**P**		S	S				S		S
Department of Health and Hospitals	S	S	S		S	S	S	**P**		S	S			S	S
Department of Transportation	**P**	S	**P**	S	S		S	S	S	S	S		S	S	S
Department of Wildlife and Fisheries	S	S		S	S				**P**	S	S		S		S
Economic Development		S			S		S							**P**	S
Education	S				S										S
Environmental Quality		S			S			S		**P**	S			S	S
Fire Marshal				S		S			S	S					S
Indian Affairs					S										S
Justice		S			S								**P**		S
Labor		S			S		S							S	S
National Guard	S	**P**	S	S	S	S	**P**	S	S	S	S	S	S	S	S
Natural Resources		S	S	S	S		S			S	**P**	S		S	S
Public Service Commission	S	S			S							**P**		S	S
Social Services		S			S	**P**	S							S	S
State Police	S	**P**			S		S		S	**P**			**P**	S	S
Volunteer Organizations	S	S			S	S	S	S	S		S			S	S

Appendix H: Sample Information Collection Matrix

Information Element	Specific Requirement	Collection Method	Responsible Element	Deliverables	When Needed	Distribute To
Transportation Status	Status of all modal systems, air, sea, land, rail Status of major/primary roads Status of critical and noncritical bridges Status of transcontinental/regional natural gas and fuel pipelines Status of evacuation routes Status of public transit systems Accessibility concerns Debris issues	State liaison/ ERT-A/FCO reports State Department of Transportation ESF-1 Assessment team reports Community relations U.S. Army Corps of Engineers Remote sensing/aerial reconnaissance Predictive modeling	ESF-1	Situation briefings Situation reports GIS products	Initial report/estimate on airports within 1 to 6 hours after landfall Remainder NLT 12 hours after landfall	
EOC Status	Status of Local EOCs Status of State EOC Status of Agency EOCs Location and status of Federal facilities established	State liaison/ ERT-A/FCO ESFs/other Federal agencies Regional offices RST	Operations	Situation briefings Situation reports GIS products Displays	NLT 1 hour after landfall	
Operation status (+/- two levels)	What are the State and Local priorities? What are the major State operations in support of the Local jurisdictions? What support is being received from other States under Emergency Management Assistance Compacts?	State liaison/ ERT-A/FCO Open sources and media RST JIC	Operations	Operations Section input for situation report Status Briefings	NLT 6 hours after landfall Updated every O-Period	

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Appendix I: Additional Planning Resources

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