

Producing Emergency Plans

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

INTERIM Version 1.0
1 August 2008



FEMA

(Intentionally Blank)

CONTENTS

PREFACE.....	P-1
Acknowledgments.....	P-3
1. INTRODUCTION AND OVERVIEW	1-1
Introduction.....	1-1
Purpose.....	1-1
Applicability and Scope.....	1-2
Supersession.....	1-3
Authorities.....	1-3
How to Use This Guide.....	1-3
Recommended Training.....	1-5
NIMS Compliance and Integration.....	1-5
Administrative Information	1-5
Revision Process	1-5
2. THE PLANNING PROCESS.....	2-1
Overview.....	2-1
Planning Principles	2-2
Characteristics of Effective Planning Processes	2-5
Steps in the Planning Process	2-5
Form a Collaborative Planning Team.....	2-6
Understand the Situation.....	2-14
Conduct Research	2-14
Analyze the Information	2-17
Determine Goals and Objectives	2-19
Plan Development.....	2-20
Develop and Analyze Courses of Action, Identify Resources.....	2-20
Plan Preparation, Review, Approval.....	2-23
Write the Plan	2-23
Approve and Implement the Plan	2-24
Plan Refinement and Execution.....	2-25
Exercise the Plan and Evaluate Its Effectiveness	2-25
Review, Revise, and Maintain the Plan	2-28
3. EMERGENCY OPERATIONS PLAN FORMATS	3-1
Emergency Plans and Procedures	3-1
State, Territorial, Local, and Tribal EOPs	3-2
Structuring an EOP	3-4
Traditional Functional Format	3-5
Emergency Support Function (ESF) Format	3-7

Agency/Department-Focused Format	3-9
Using EOP Templates	3-11
4. EMERGENCY OPERATIONS PLAN CONTENT.....	4-1
The Basic Plan	4-1
Introductory Material	4-1
Purpose, Scope, Situation, and Assumptions.....	4-2
Concept of Operations	4-3
Organization and Assignment of Responsibilities	4-4
Direction, Control, and Coordination	4-4
Disaster Intelligence (Information Collection)	4-4
Communications	4-5
Administration, Finance, and Logistics	4-5
Plan Development and Maintenance	4-5
Authorities and References	4-6
Supporting Annexes.....	4-6
Functional, Support, Emergency Phase, or Agency-Focused Annex Content	4-7
Hazard- or Incident-Specific Annexes or Appendices.....	4-9
Annex and/or Appendix Implementing Instructions.....	4-11
Special Preparedness Programs	4-12
5. ADDITIONAL TYPES OF PLANS.....	5-1
General Types of Plans	5-1
Procedural Documents	5-2
Determining Whether Response Information Belongs in a Plan or Procedural Document	5-4
6. LINKING FEDERAL, STATE, TERRITORIAL, LOCAL, AND TRIBAL PLANS	6-1
Recent Changes to Emergency Planning Requirements.....	6-1
National Incident Management System	6-3
National Response Framework.....	6-5
Emergency Management Assistance Compact (EMAC).....	6-6
Relationship between Federal Plans and State EOPs	6-7
The National Response Framework (NRF)	6-7
FEMA Regional Response Plans (RRPs)	6-8
State Emergency Operations Plan.....	6-9
APPENDIX A: AUTHORITIES AND REFERENCES	A-1
APPENDIX B: GLOSSARY AND LIST OF ACRONYMS.....	B-1
APPENDIX C: EMERGENCY OPERATIONS PLAN (EOP) COMPONENT NIMS INTEGRATION ASSESSMENT.....	C-1
APPENDIX D: EOP DEVELOPMENT GUIDE.....	D-1

APPENDIX E: SAMPLE HAZARD PROFILE WORKSHEET	E-1
APPENDIX F: SAMPLE ORGANIZATION RESPONSIBILITY MATRIX.....	F-1
APPENDIX G: SAMPLE DEPARTMENT-TO-ESF CROSS-REFERENCE MATRIX	G-1
APPENDIX H: SAMPLE INFORMATION COLLECTION MATRIX.....	H-1

FIGURES

2.1 Comparison of Published Planning Processes	2-1
3.1 Traditional Functional EOP Format.....	3-6
3.2 Emergency Support Function EOP Format.....	3-8
3.3 Agency/Department-Focused EOP Format.....	3-10
6.1 Relationships of National Preparedness Initiatives to State, Territorial, Local, and Tribal Emergency Planning.....	6-2

TABLES

2.1 Potential Members of a Larger Community Planning Team	2-9
2.2 Sample Hazard List.....	2-18
4.1 Comparison of Potential Functional Annex Structures.....	4-8

(Intentionally Blank)

PREFACE

This FEMA 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 (EM) practitioners also will 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 concepts from the **National Incident Management System (NIMS)** and **National Response Framework (NRF)**, and it incorporates recommendations from the 2005 Nationwide Plan Review. It also references the Target Capabilities List (TCL) that outlines the fundamental capabilities essential to implementing the National Preparedness Guidelines. 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 Federal Emergency Management Agency's (FEMA'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** through a suite of plans connected to a single, integrated **emergency operations plan** (EOP).

Over the past five years, many communities have also been developing multi-hazard mitigation plans, addressing many of the same hazards as their emergency operations plan. In fact, the hazard identification and risk assessment sections of these plans should be the same (although the mitigation plans are only required to address natural hazards communities are encouraged to address man-made and technological hazards as well). Communities are encouraged to coordinate their mitigation and emergency management planning efforts to reduce duplication of effort.

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 FEMA. 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.

While CPG 101 is the foundation for public 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 additional information for developing emergency response plans for private sector organizations.

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

- Commonwealth of Pennsylvania: Pennsylvania Emergency Management Agency
- 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 Mississippi: Mississippi Emergency Management Agency
- 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 Nevada: Southern Nevada Health District
- State of Ohio: Ohio Emergency Management Agency
- State of Oklahoma: Department of Emergency Management; Department of Homeland Security
- State of South Carolina: South Carolina Emergency Management Division; South Carolina Law Enforcement Division

Local and Tribal Governments

- Baltimore County (MD): Office of Homeland Security and Emergency Management
- Chesterfield County (VA): Office of Emergency Management
- City of Grapevine (TX): Grapevine Fire Department
- City of Milwaukee (WI): Department of Public Works
- City of San Francisco (CA): Office of Emergency Services
- Clark County (NV): Office of Emergency Management and Homeland Security
- Cobb County (GA): Emergency Management Agency
- Cullman County (AL) : Emergency Management Agency
- Johnson County (KS): Office of Emergency Management and Homeland Security
- Jones County (MS): Emergency Management Agency
- Madison County (AL): Emergency Management Agency
- Madison County (OH): Emergency Management Agency
- Marion County (AL): Emergency Management Agency
- Mobile County (AL): Emergency Management Agency
- Overland Park (KS): Overland Park Police Department
- Rockingham County (NC): Emergency Services

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* (NPG). 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.

**“Let our
advance
worrying
become
advanced
thinking and
planning.”**

**Winston
Churchill**

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, they are created 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 will find that both are critical to developing a robust planning capability within and among all stakeholders (including **nongovernmental organizations** [NGOs]).

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 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 U.S. Department of Homeland Security recommends that teams responsible for developing EOPs within State, Territorial, Local, and Tribal governments and in the private sector use CPG 101 to guide their efforts. 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.

SUPERSESION

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

AUTHORITIES

Through the Robert T. Stafford Disaster Relief and Emergency Assistance Act (the Stafford Act), as amended, 42 U.S.C. 5121, et seq., 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, 42 U.S.C. 5195) for the nation's emergency management system, to include "technical assistance to the states in developing comprehensive plans and programs for preparation against disasters" (Sec. 201(b), 42 U.S.C. 5131(b)).

The Stafford Act also provides the legal basis for FEMA's mitigation plan requirements for State, local, and Indian Tribal governments (44 Code of Federal Regulations (CFR) Part 201) as a **condition of receiving funding for mitigation grants**. This Act provides an opportunity for states and local governments to take a new and revitalized approach to mitigation planning and emphasizes the need for state, Tribal, and local entities to closely coordinate mitigation planning and implementation efforts. The requirement for a State mitigation plan is continued as a condition of disaster assistance, adding incentives for increased coordination and integration of mitigation activities at the State level.

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 Stafford Act.

Additionally, the regulations governing emergency management and assistance are promulgated in Chapter 1, Title 44 of the Code of Federal Regulations and provide procedural, eligibility, and funding requirements for program operations.

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 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:

CPG 101 Content Summary	
1.	Introduction
2.	The Planning Process
3.	EOP Formats
4.	EOP Content
5.	Additional Types of 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

- 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.

RECOMMENDED TRAINING

This guide assumes that users have some experience in emergency management and emergency planning. At 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 (This course will be revised to reflect CPG101 as the basis for training.)
- IS 235: Emergency Planning
- IS 292: Disaster Basics
- IS 700: National Incident Management System (NIMS), An Introduction
- IS-701 Multiagency Coordination Systems
- IS-702 NIMS Public Information Systems
- IS-703 NIMS Resource Management
- IS-706 NIMS Intrastate Mutual Aid – An Introduction
- IS 800b: The National Response Framework, An Introduction

NIMS COMPLIANCE AND INTEGRATION

In November 2005, the 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

FEMA 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., DHSInteractive [<https://interactive.dhs.gov/suite/portal/index.jsp>] and DHS Lessons Learned Information Sharing [<http://www.llis.dhs.gov>]).

FEMA welcomes recommendations on how to improve this CPG so it better serves the needs of the emergency management community. You can provide recommendations for improving this Guide to:

DHS/FEMA
National Preparedness Directorate
Planning and Assistance Branch
800 K Street, NW
Washington, DC 20531
ATTN: CPG Initiative
E-mail: donald.lumpkins@dhs.gov

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. This process also allows private and nongovernmental organizations to integrate and find synergy with government planning efforts. Although individual planners can use this process, it is most effective when used by a planning team.

CPG 101	National Incident Management System	Incident Command	Integrated Planning System
Form the planning team			
Understand the Situation <ul style="list-style-type: none"> Conduct research Analyze the information 	Understand the situation	Gather Information	Understand the Situation
Determine goals and objectives	Establish incident objectives and strategy	Estimate course and harm	Determine goals and objectives
		Determine appropriate strategic goals	
Develop and analyze courses of action, identify resources	Develop the plan	Assess options and resource requirements	Plan development (analyze courses of action)
Plan preparation, review, approval <ul style="list-style-type: none"> Write the plan Approve, and disseminate the plan 	Prepare and Disseminate the plan	Plan and implement actions	Plan preparation, review, approval
Plan refinement and execution <ul style="list-style-type: none"> Exercise the plan and evaluate its effectiveness Review, revise, and maintain the plan 	Evaluate and revise the plan	Evaluate	Plan refinement and execution
		Review	

Figure 2.1 Comparison of Published Planning Processes

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 loss 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 many of 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 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. FEMA supports State training efforts through its National Preparedness Directorate by offering resident, locally presented, and independent-study emergency planning courses. FEMA 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 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 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 U.S. Department of Defense’s (DoD’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:

- Constantly occurring;
- 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. Understand the Situation;
 - a) Conduct research

- b) Analyze the information
- 3. Determine Goals and Objectives;
- 4. Plan Development;
 - a) Develop and analyze courses of action
 - b) Identify resources
- 5. Plan Preparation, Review, Approval; and
 - a) Write the plan
 - b) Approve and implement the plan
- 6. Plan Refinement and Execution;
 - a) Exercise the plan and evaluate its effectiveness
 - b) Review, revise, and maintain the plan

FORM A COLLABORATIVE PLANNING TEAM

Experience and lessons learned indicate that emergency planning is best performed 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.

Planning Steps

1. Form a collaborative planning team
2. Understand the situation
3. Determine goals and objectives
4. Plan development
5. Plan preparation, review, approval
6. Plan refinement and execution

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:

- Emergency management,

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 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 become involved in a major incident. In this case, the community used a 10–20 member group that included 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.

- 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).

No matter how a jurisdiction structures its core planning team, it needs the involvement of executives from the member departments or agencies. Their participation indicates support for the planning function. They are able to speak with authority on policy, provide subject matter expertise, and provide accountability as it relates to their agency or department.

FEMA encourages the establishment of state and local **Citizen Corps Councils** (CCCs) to bring government and nongovernment community leaders together to facilitate continuous integrated community all-hazard emergency planning. Local government-sponsored CCCs can be a valuable resource for including multi-sector representation in developing and updating government EOPs and coordinating and integrating with nongovernmental plans.

Table 2.1 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 and insights that are appropriate for the task into the planning process.

Table 2.1 Potential Members of a Larger Community Planning Team

Individuals/Organizations	What They Bring to the Planning Team
Senior Official (SO, elected or appointed) or designee	<ul style="list-style-type: none"> ▪ 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	<ul style="list-style-type: none"> ▪ 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	<ul style="list-style-type: none"> ▪ 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	<ul style="list-style-type: none"> ▪ 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	<ul style="list-style-type: none"> ▪ Knowledge about the jurisdiction’s road and utility infrastructure ▪ Specialized personnel and equipment resources

Table 2.1 (cont.)

Individuals/Organizations	What They Bring to the Planning Team
Emergency Medical Services (EMS) Director or designee	<ul style="list-style-type: none"> ▪ 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	<ul style="list-style-type: none"> ▪ 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	<ul style="list-style-type: none"> ▪ 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	<ul style="list-style-type: none"> ▪ 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	<ul style="list-style-type: none"> ▪ Knowledge about specialized personnel and equipment resources available within their jurisdiction

Table 2.1 (cont.)

Individuals/Organizations	What They Bring to the Planning Team
Transportation Director or designee	<ul style="list-style-type: none"> ▪ 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	<ul style="list-style-type: none"> ▪ 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	<ul style="list-style-type: none"> ▪ Records of all properties in the community and their value
Building Inspector	<ul style="list-style-type: none"> ▪ 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	<ul style="list-style-type: none"> ▪ 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]), and other private, not-for-profit, faith-based, and community organizations	<ul style="list-style-type: none"> ▪ 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
Citizen Corps Councils	<ul style="list-style-type: none"> ▪ Knowledge about integrating government and nongovernmental plans ▪ Assistance in identifying, developing, and integrating nongovernmental resources to fill gaps identified by planning

Table 2.1 (cont.)

Individuals/Organizations	What They Bring to the Planning Team
Local business and industry representatives	<ul style="list-style-type: none"> ▪ 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 facilities, personnel, and equipment resources that could be used in an emergency
Amateur Radio Emergency Service (ARES)/Radio Amateur Civil Emergency Services (RACES) Coordinator	<ul style="list-style-type: none"> ▪ List of ARES/RACES resources that can be used in an emergency
Media representatives	<ul style="list-style-type: none"> ▪ Knowledge about community media infrastructure and capabilities
Social services agencies representatives	<ul style="list-style-type: none"> ▪ Knowledge about special-needs populations
Utility representatives	<ul style="list-style-type: none"> ▪ Knowledge about utility infrastructures ▪ Knowledge about specialized personnel and equipment resources that could be used in an emergency
Veterinarians/animal shelter representatives	<ul style="list-style-type: none"> ▪ Knowledge about the special response needs for animals, including livestock
Local Federal asset representatives	<ul style="list-style-type: none"> ▪ 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)

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 of the plan. This objective 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, ask the team members 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.
- *Ask the senior elected or appointed official (SO) or designee to sign the meeting announcement.* A directive from the executive office will carry the authority of the SO and sends 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.

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

- *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.

UNDERSTAND THE SITUATION

CONDUCT RESEARCH

This step and Step 2b (Analyze the Information) start the problem solving process. Hazards are the general problems that emergency managers face. Researching and analyzing information about potential hazards a jurisdiction may

face brings specificity to the planning process. If hazards are viewed as problems and emergency plans are the solution, then hazard identification and analysis are key steps in the planning process.

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.

- 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 in order to provide a framework or set conditions for variables so that planning can proceed. 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

Planning Steps

1. Form a collaborative planning team
2. Understand the situation
 - a. Conduct research
 - b. Analyze the information
3. Determine goals and objectives
4. Plan development
5. Plan preparation, review, approval
6. Plan refinement and execution

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. Jurisdictional geographic information system (GIS) data and raw data collected for disasters (such as global positioning system [GPS] locations and depth of flood at the site) may also be available for use.

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** [ARC]), 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; private consultants specializing in hazard

Gathering Data on the Special-Needs Populations

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 needs updating at least once a year.

analysis; and professional associations concerned with the hazards on a planner's list. Sources for information on the community and possible consequences from hazards vary. To determine the potential consequences of certain facility-based hazards, planners might check with the facility or 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 the jurisdiction that both government organizations and NGOs 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 involve these representatives during the planning phase and to ensure their inclusion during validation and implementation. Potential roles include support to planning teams, public outreach, and establishing Community Emergency Response Teams (CERTs). Planners can obtain assistance for including the community sectors in the planning process from State or Local CCCs.

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 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.

Depending on the kinds of decisions and analyses the information is meant to support, planners might use other categories for data organization. For example, the decision that one hazard poses more of a threat than another may require only a qualitative estimate (e.g., high versus medium), whereas planning 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, FEMA 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*. 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 Table 2.2.

Planning Steps

1. Form a collaborative planning team
2. Understand the situation
 - a. Conduct research
 - b. Analyze the information
3. Determine goals and objectives
4. Plan development
5. Plan preparation, review, approval
6. Plan refinement and execution

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.

Table 2.2 Sample Hazard List

Natural Hazards	Technological Hazards	Human-Caused Hazards
<ul style="list-style-type: none"> - Avalanche - Drought - Earthquake - Epidemic - Flood - Hurricane - Landslide - Tornado - Tsunami - Volcanic eruption - Wildfire - Winter storm 	<ul style="list-style-type: none"> - Airplane crash - Dam failure - HAZMAT release - Power failure - Radiological release - Train derailment - Urban conflagration 	<ul style="list-style-type: none"> - 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 effort 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 estimate the numbers of people affected),

these indicators 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

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.

Planning Steps

1. Form a collaborative planning team
2. Understand the situation
3. Determine goals and objectives
4. Plan development
5. Plan preparation, review, approval
6. Plan refinement and execution

- 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 operational priorities, goals, and objectives. As goals and objectives are set, planners may identify 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.

PLAN DEVELOPMENT

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 3. 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

Planning Steps

1. Form a collaborative planning team
2. Understand the situation
3. Determine goals and objectives
4. Plan development
 - a. Develop and analyze courses of action
 - b. Identify resources
5. Plan preparation, review, approval
6. Plan refinement and execution

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.*

Planners typically use the speed of hazard onset to establish the timeline. 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. For a multijurisdictional or layered plan, the timeline for a particular scenario is the same at all participating levels of government. Placement of decision points and response actions on the timeline depicts how soon the different government entities enter the plan.

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

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. It combines aspects of scenario and functional based planning and uses the planning process described in CPG 101.*

3. *Identify and depict decision points.* Decision points indicate the place in time, as hazard events unfold, when leaders anticipate making decisions 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. Whenever possible, resources should be matched with other geographical/regional needs so that multiple demands for the same or similar resources can be identified and conflicts resolved. 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.

PLAN PREPARATION, REVIEW, APPROVAL

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

Planning Steps

1. Form a collaborative planning team
2. Understand the situation
3. Determine goals and objectives
4. Plan development
5. Plan preparation, review, approval
 - a. Write the plan
 - b. Approve and implement the plan
6. Plan refinement and execution

and circulated to organizations that have responsibilities for implementing the plan for their comments. (See Chapter 3 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 concept of operations. 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 by 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 (e.g., standard operating procedures) 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 next level of government about its emergency plan review

Planning Steps

1. Form a collaborative planning team
2. Understand the situation
3. Determine goals and objectives
4. Plan development
5. Plan preparation, review, approval
 - a. Write the plan
 - b. Approve and implement the plan
6. Plan refinement and execution

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.

Use of the 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 the 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 validation is completed, the emergency manager should present the plan to the appropriate elected officials and obtain official promulgation of the plan. The promulgation process should be based in specific statute, law, or ordinance. Obtaining the senior official's approval through a formal promulgation documentation process is vital to gaining the widest acceptance possible for the plan. It is also important to establish the authority required for changes and modifications to the plan.

Once approved, the emergency manager should arrange to distribute the plan and maintain a record of the people and organizations that received a copy (or copies) of the plan. "Sunshine" laws may require a copy of the plan be posted on the jurisdiction's web-site or be placed in some other public **accessible** location.

PLAN REFINEMENT AND EXECUTION

EXERCISE THE PLAN AND EVALUATE ITS EFFECTIVENESS

Exercising the plan and evaluating its effectiveness involve using training and exercises and evaluating actual events to determine

Planning Steps

1. Form a collaborative planning team
2. Understand the situation
3. Determine goals and objectives
4. Plan development
5. Plan preparation, review, approval
6. Plan refinement and execution
 - a. Exercise the plan and evaluate its effectiveness
 - b. Review, revise, and maintain the plan

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 whether 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 new alternate courses of action identified?
- What aspects of the action, process, decision, or response timing make it something to keep in the plan?
- What aspects of the action, process, decision, or response timing make it something to avoid or remove from the plan?
- What specific changes to plans and procedures, personnel, organizational structures, leadership or management processes, facilities, or equipment can 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 or lessons-learned processes that 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.

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 6a to the research collected in Step 2a and starting the planning cycle over again. Remember, emergency planning is a continuous process that does not stop when the plan is published.

Planning Steps

1. Form a collaborative planning team
2. Understand the situation
3. Determine goals and objectives
4. Plan development
5. Plan preparation, review, approval
6. Plan refinement and execution
 - a. Exercise the plan and evaluate its effectiveness
 - b. Review, revise, and maintain the plan

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
- The enactment of new or amended laws or ordinances.

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 FORMATS

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 during 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,

- Concept of Operations (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, Unified Command, or multiagency coordination entity 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 performing this task 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. Jurisdictions (especially those with known severe hazards and vulnerabilities) should consider planning for housing and overall community recovery and to link those plans to the EOP.

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, Territorial, regional compact organizations (such as the National Capital Region), and Federal assistance may be provided to the Local or Tribal jurisdiction. The focus of Local and Tribal EOPs is on the emergency measures that are essential for protecting the public. At the minimum, these include warning, emergency public information, evacuation, and shelter.

States, Territories, and regional compact organizations 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 of their citizens. The State/Territorial EOP should serve to synchronize and integrate Local, Tribal, and Regional plans. Regional compact organization operations plans serve a similar purpose.

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 5 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-hazard EOP and in reviewing the draft, the planning team should consider the following:

- *Organization.* Do the EOP sections and subsections 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, to include a Functional format, an Emergency Support Function format, and an Agency / Department-Focused format. 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. For example, in a sprawling metropolitan county that contains several municipalities, county emergency operations may take on more of a coordination-and-support flavor. Thus, an ESF approach may be optimal for the county EOP. In contrast, a small rural community whose EOC may also be a command post or Area Command location providing a central node for tactical command and control as well as strategic decision making may get more utility out of a functional EOP. In short, "form follows function" in the sense that operational needs should help determine the EOP format a jurisdiction uses.

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, both of which were 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** (Figure 3.1).

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

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

FIGURE 3.1 TRADITIONAL FUNCTIONAL EOP FORMAT

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).

EMERGENCY SUPPORT FUNCTION (ESF) FORMAT

The ESF format is the plan structure used in the 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** (Figure 3.2).

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 that have the lead for a given ESF. The Basic Plan then outlines the ESFs 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 members of the ESF.

The **Support Annexes** describe the framework through which a jurisdiction's departments and agencies, the private sector, not for profit and volunteer organizations, and other NGOs 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 those instances when key assumptions do not hold (e.g., how authorities will operate if they lose communication with senior decision makers).

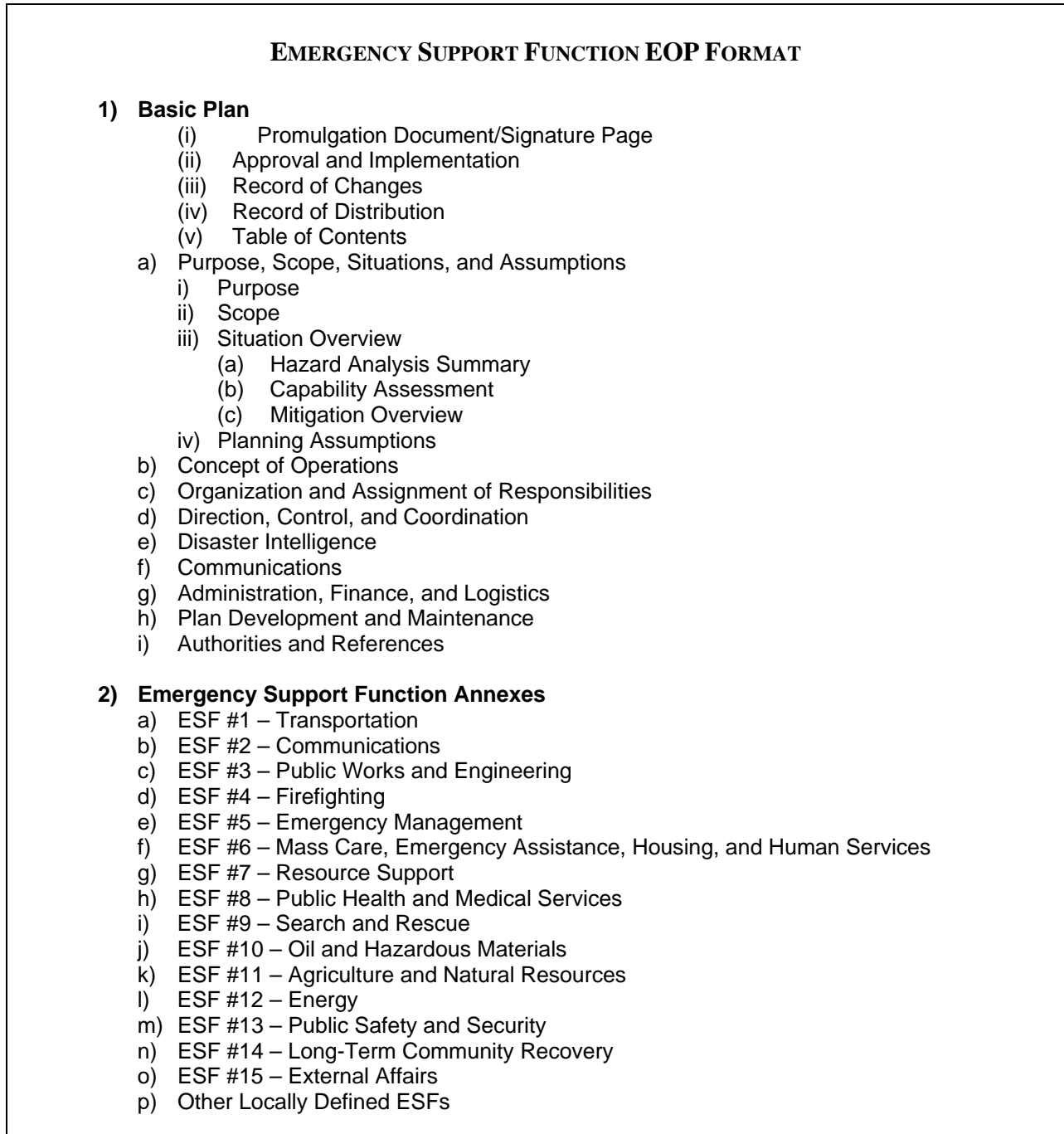


Figure 3.2 Emergency Support Function EOP Format

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

Figure 3.2 (cont.)

- *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.

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 (Figure 3.3). 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 relevant 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.

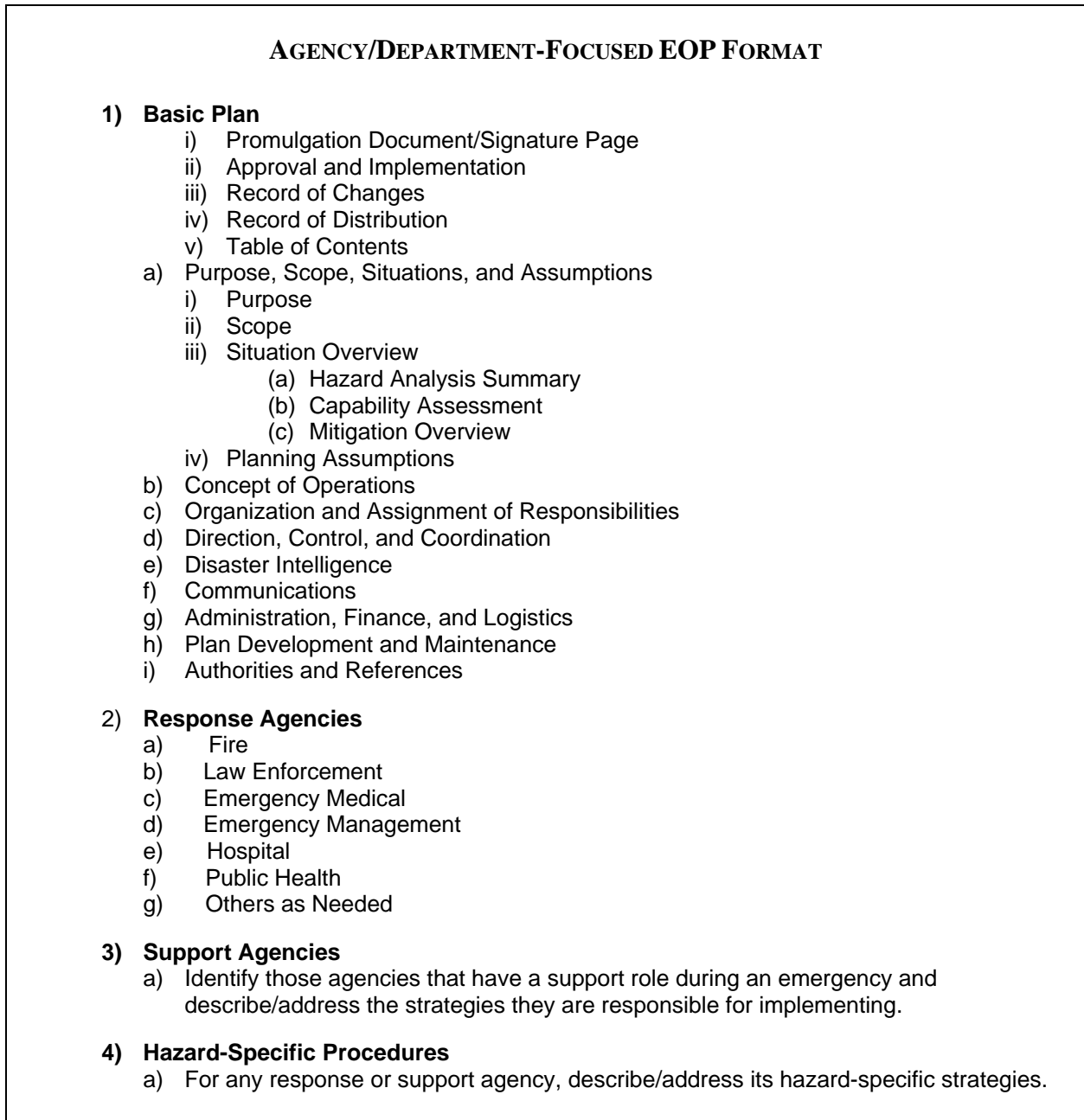


Figure 3.3 Agency/Department-Focused EOP Format

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 a 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.

Emergency managers must ensure using those templates does not undermine the planning process. For example, "fill in the blank" templates defeat the socialization, mutual learning, and role acceptance that are so important to achieving effective planning and a successful response. The best templates are those that offer a plan format and describe the content that each section might contain – allowing for tailoring to the jurisdiction's geographic, political, and social environment. Using this definition, planners could consider CPG 101 a template because it provides plan formats (Chapter 4) and content guidance (Appendix D)

When using an EOP template, planners should consider whether:

- The resulting EOP represents the jurisdiction's unique hazard situation by ensuring that the underlying facts and assumptions that drove the template's content match those applicable to the jurisdiction.
- The hazard and risk assessments match the jurisdiction's demographics, infrastructure inventory, probability of hazard occurrence, etc.
- The template identifies the resources needed to address the problems generated by an emergency or disaster only in a general way.
- Using the template may stifle creativity and flexibility, thereby constraining the development of strategies and tactics needed to solve disaster problems.
- Using the 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 observation does not mean that planners should not use templates or plans from other jurisdictions to help with writing style and structure. Similarly, planners may find software programs specifically designed to support plan development, helpful. What it does mean, is that planners must evaluate the usefulness of any planning tool (template, software) used as part of the planning process. They should be particularly wary of templates or programs claiming guaranteed NIMS compliance. The only way to ensure NIMS compliance is to build response relationships by following the planning process outlined in this CPG.

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 also include a delegation of authority for specific modifications that can be made to the plan and by whom they can be made WITHOUT the senior official's signature. It should include a date and must be signed by the senior official(s) (e.g., governor, Tribal leader[s], mayor, county judge, commissioner[s]).

- *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 care 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 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) or **Multiagency Coordination System** (MACS) structure, are helpful.

In addition, 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 F.

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 typically not the place to talk in detail 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 H 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 SO, 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 D, 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.

An early and very important 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, the 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 D 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 G provides an example of a simple matrix used to cross-reference Functional Annexes with ESFs. Table 4.1 shows some possible relationships between the traditional emergency management core functions and the department/agency and ESF structures.

Table 4.1 Comparison of Potential Functional Annex 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

Table 4.1 (cont.)

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, so these tasks apply to many, but not all, hazards. The first task, however – examine the situation – applies to all hazards.) In this step, emergency responders:
 - 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.) In this step, emergency managers:
 - 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 whether 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 types 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. Staff 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 REPP, 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 as 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 WHETHER 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 (Figure 6.1).

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. Three 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 a national response framework and a national incident management system.
- *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 8, Annex I, National Planning*, describes a common Federal planning process that supports the development of a family of related planning documents. These documents include strategic guidance statements, strategic plans, concept plans, operations plans, and tactical plans. Annex I required the development of an Integrated Planning System (IPS) guide integration and synchronization across federal departments and agencies. IPS provides the federal government with a consistent direction and delineation of authorities, responsibilities and requirements, common terms of reference, and plans based upon shared assumptions. IPS uses the same planning principles found in CPG 101. The goal is to provide consistency of process despite different planning requirements – where state and local governments focus planning on most likely events while the federal government centers its efforts around the most dangerous scenarios.

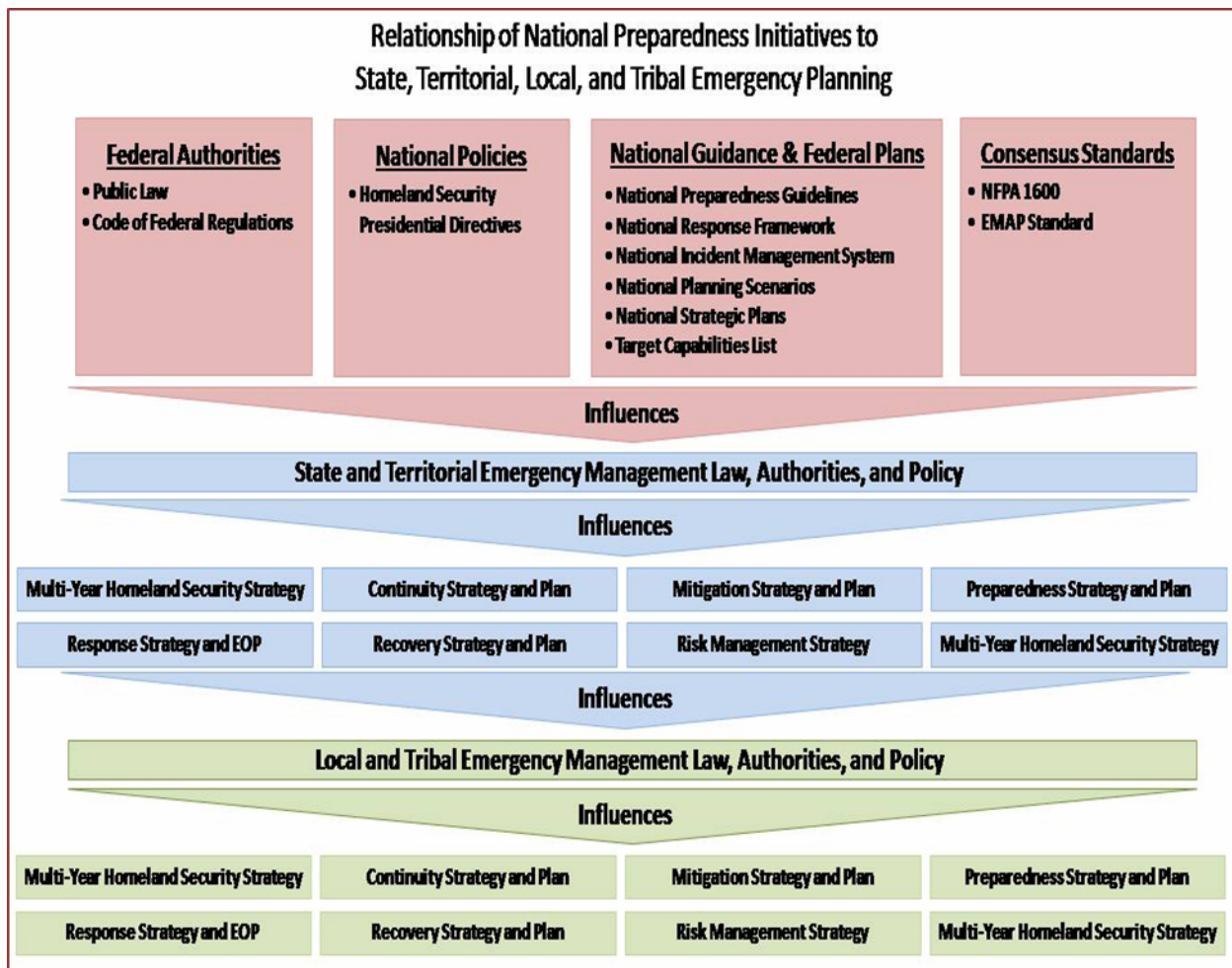


Figure 6.1 Relationships of the National Preparedness Initiatives to State, Territorial, Local, and Tribal Emergency Planning

- *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 Guidelines 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 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 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, system-wide 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. Five 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 Systems: 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. Some examples of multiagency coordination entities that are part of the MACS structure include emergency operations centers, resource centers, dispatch centers, and **joint field offices**.
 - Public Information: Public information refers 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.
- *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.

- *Supporting Technologies.* Technology and technological systems provide supporting capabilities essential to implementing and refining NIMS. These systems 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.

NATIONAL RESPONSE FRAMEWORK

The *National Response Framework (NRF)* is a guide to how the nation conducts all-hazards incident response. It uses *flexible, scalable, and adaptable coordinating structures* to align key roles and responsibilities *across the nation*. It captures 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. The NRF 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 organizes itself 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 tailored to the locale. They should be integrated and 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 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 a jurisdiction may need when responding to an incident. Some Federal departments and agencies have primary responsibility for specific 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 new emergency planning requirements identified in the NRF may cause significant or only minor changes to EOP content. 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.

EMERGENCY MANAGEMENT ASSISTANCE COMPACT (EMAC)

EMAC is a national interstate mutual aid agreement that enables states to share resources during times of disaster. Since the 104th Congress ratified the compact, EMAC has grown to become the nation's system for providing mutual aid through operational procedures and protocols that have been validated through experience. All States are members of EMAC. The National Emergency Management Association (NEMA), headquartered in Lexington, KY, administers EMAC.

EMAC acts as a complement to the federal disaster response system, providing timely and cost-effective relief to states requesting assistance from assisting member states who understand the needs of jurisdictions that are struggling to preserve life, the economy, and the environment. EMAC can be used either in lieu of federal assistance or in conjunction with federal assistance, thus providing a "seamless" flow of needed goods and services to an impacted state. EMAC further provides another venue for mitigating resource deficiencies by ensuring maximum use of all available resources within member states' inventories.

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 provides structures for implementing nationwide response policy and operational coordination for all types of domestic incidents. The NRF's basic premises are that incidents are generally handled at the lowest jurisdictional level possible and that each response level can request from another level before becoming overwhelmed.

CONCEPT OF OPERATIONS

The Federal government may implement the NRF after a large-scale disaster has occurred or upon a 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 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. Logistics Management and 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.

Each ESF has a Federal department or agency identified as its coordinator. During response and recovery operations, the coordinating 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 National and Regional response plans that implement Federal response activities.

FEMA REGIONAL RESPONSE PLANS (RRPs)

FEMA RRP's 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 FEMA 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 a FEMA 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 **Incident Management Assistance Team (IMAT)** personnel to assist in conducting 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 IMAT 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 JFO 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 disasters and emergencies 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.

- Describes the State's role and commitments in regional compact agreements and organizations.
- Outlines the assistance that is available to local jurisdictions during disaster situations that generate emergency response and recovery needs beyond what the local jurisdiction can satisfy.
- Specifies the direction and control and the 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 provisions for obtaining initial situation assessment information from the local jurisdiction(s) that are directly impacted by the disaster or emergency.
- 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, and requests for assistance).
 - Provisions for requesting Federal response teams to assist the State.
 - 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 JFO.
- Details on the coordinating instructions and provisions for implementing interstate compacts, as applicable.
- Explanations about logistical support for planned operations.

APPENDIX A: AUTHORITIES AND REFERENCES

AUTHORITIES

Superfund Amendments and Reauthorization Act of 1986, Public Law 99-149, as amended.

Robert T. Stafford Disaster Relief and Emergency Assistance Act of 1988, 42 U.S.C. 5121, et seq., as amended.

Homeland Security Act of 2002, 6 U.S.C. 101, et seq., as amended.

Post-Katrina Emergency Management Reform Act of 2006, Public Law 109-295.

Pet Evacuation and Transportation Standards Act of 2006, Public Law 109-308.

The Code of Federal Regulations, Title 44, Chapter 1, Federal Emergency Management Agency, October 1, 2007.

Homeland Security Presidential Directive 5, *Management of Domestic Incidents*, February 28, 2003.

Homeland Security Presidential Directive 8, *National Preparedness*, December 17, 2003.

Homeland Security Presidential Directive 8, Annex I, *Planning*, January, 2008.

National Security Presidential Directive 51/ Homeland Security Presidential Directive 20, *National Continuity Policy*, May 4, 2007.

REFERENCES

Abbott, L., 2002. "Emergency Planning in Local Authorities." *Municipal Engineer*. 151(4): pp. 245–247.

Alexander, D., 2002. *Principals of Emergency Planning and Management*. Oxford University Press.

ASTHO (Association of State and Territorial Health Officials). 2002. *Preparedness Planning for State Health Officials: An Analysis of State Emergency Operations Plans*. Washington, DC: Association of State and Territorial Health Officials.

Canton, L.G., 2007. *Emergency Management; Concepts and Strategies for Effective Programs*. Hoboken, NJ: John Wiley and Sons.

DA (Department of the Army). 2005. *Field Manual 5-0: Army Planning and Orders Production*. Washington, DC: U.S. Department of the Army.

DHS (U.S. Department of Homeland Security). 2008. *National Response Framework*. Washington, DC: Department of Homeland Security.

— 2007. *Accommodating Individuals with Disabilities in the Provision of Disaster Mass Care, Housing, and Human Services Reference Guide*. Washington, DC: Department of Homeland Security.

— 2007. *Emergency Management Planning Guide for Special Needs Populations*. Washington, DC: Department of Homeland Security.

— 2007. *National Preparedness Guidelines*. Washington DC: Department of Homeland Security.

— 2006. *Local and Tribal NIMS Integration V 1.0*. Washington, DC: Department of Homeland Security.

— 2006. *Nationwide Plan Review Phase 2 Report*. Washington, DC: Department of Homeland Security.

— 2006. *State NIMS Integration V 1.0*. Washington, DC: Department of Homeland Security.

— 2005. *National Planning Scenarios*. Washington, DC: Department of Homeland Security.

— 2005. *National Preparedness Guidance*. Washington, DC: Department of Homeland Security.

— 2004. *National Incident Management System*. Washington, DC: Department of Homeland Security.

Drabek, T. 1986. *Human Systems Response to Disaster: An Inventory of Sociological Findings*. New York, NY: Springer-Verlag.

Drabek, T., H. Tammings, T. Kilijanek, and C. Adams. 1981. *Managing Multiorganizational Emergency Responses*. Boulder, CO: University of Colorado.

Dynes, R.R., E.L. Quarantelli, and G.A. Kreps. 1981. *A Perspective on Disaster Planning*. 3rd ed. Report Series No. 11. Columbus, OH: Disaster Research Center, The Ohio State University.

Dynes, R.R., 1994. "Community Emergency Planning: False Assumptions and Inappropriate Analogies." *International Journal of Mass Emergencies and Disasters*. 12 (2): pp. 141–158 (August).

Emergency Management Accreditation Program. 2006. *EMAP Standard*. Lexington, KY: EMAP.

FEMA (Federal Emergency Management Agency). 2006. *CSEPP Planning Guidance*. Washington, DC: Federal Emergency Management Agency.

——— 1996. *Guide for All-Hazard Emergency Operations Planning, State and Local Guide SLG-101*. Washington, DC: Federal Emergency Management Agency.

——— 1990. *CPG 1-8: Guide for the Development of State and Local Emergency Operations Plans*. Washington, DC: Federal Emergency Management Agency.

Gordon, J.A. 2002. *Comprehensive Emergency Management for Local Governments: Demystifying Emergency Planning*. New London, CT: Rothstein Associates, Incorporated.

Hewett, P.L., Jr., J.E. Mitrani, W.C. Metz, and J.J. Vercellone. 2001. "Coordinating, Integrating, and Synchronizing Disaster Response: Use of an Emergency Response Synchronization Matrix in Emergency Planning, Exercises, and Operations." *International Journal of Mass Emergencies and Disasters* 19(3): pp. 329–348 (August).

Inman, A., 2005. *Planning for the Unplanned*. New York, NY: Routledge.

Jablonowski, M., 1999. "Divide and Conquer: A Modular Approach to Contingency Planning." *Disaster Recovery Journal*. Fall: pp. 70–72.

Kamien, D., Ed., 2006. *The McGraw Hill Homeland Security Handbook*. New York, NY: McGraw Hill.

Lindell, M.K., and R.W. Perry. 1992. *Behavioral Foundations of Community Emergency Planning*. Washington, DC: Hemisphere Publishing Corporation.

NFPA (National Fire Protection Agency). 2007. *NFPA 1600: Standard on Disaster/Emergency Management and Business Continuity Programs*. Quincy, MA: NFPA.

NRT (National Response Team). 2001. *NRT 1: Hazardous Materials Emergency Planning Guide*. Washington, DC: NRT.

O'Leary, M., Ed., 2004. *The First 72 Hours: A Community Approach to Disaster Preparedness*. New York, NY: iUniverse, Incorporated.

Perry, R.W., and M.K. Lindell. 2007. *Emergency Planning*. Hoboken, NJ: John Wiley and Sons.

Quarantelli, E.L., 1995. *Disaster Planning, Emergency Management and Civil Protection: The Historical Development and Current Characteristics of Organized Efforts to Prevent and Respond to Disasters*. Paper No. 227. Newark, DE: Disaster Research Center, University of Delaware.

——— 1989. "Planning and Management for the Prevention and Mitigation of Natural Disasters, Especially in a Metropolitan Context: Initial Questions and Issues Which Need to Be Addressed." *Planning for Crisis Relief: Towards Comprehensive Resource Management and Planning for Natural Disaster Prevention, Volume 3*. Nagoya, Japan: United Nations Centre for Regional Development.

——— 1988. "Assessing Disaster Preparedness Planning." *Regional Development Dialogue*. 9 (1): pp. 48–69 (Spring).

——— 1987. *Criteria Which Could Be Used in Assessing Disaster Preparedness Planning and Managing*. Paper No. 122. Newark, DE: Disaster Research Center, University of Delaware.

——— 1985. *Organization Behavior in Disasters and Implications for Planning*. Report Series No. 18. Newark, DE: Disaster Research Center, University of Delaware.

Sylves, R.T., and W. Waugh, Jr., 1996. *Disaster Management in the U.S. and Canada: The Politics, Policymaking, Administration, and Analysis of Emergency Management*. Springfield, IL: Charles C. Thomas Publisher.

Waeckerle, J.F., 1991. "Disaster Planning and Response." *The New England Journal of Medicine* 324(12): pp. 815–821 (March).

Wang, H.M., 2004. "Contingency Planning: Emergency Planning for Terrorist Attacks." *IEEE A&E Systems Magazine*: pp. 21–25 (March).

Waugh, W.L., and K. Tierney, Eds., 2007. *Emergency Management: Principles and Practice for Local Government, 2nd Edition*. International City Management Association.

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)

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.

Citizen Corps Council

Councils sponsored by government at local, state, tribal, territorial, and national level with the mission of bringing community and government leaders together to involve community members in all-hazards emergency preparedness, planning, mitigation, response, and recovery.

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.” (Stafford Act, Sec. 102(2), 42 U.S.C. 5122(2)).

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.

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 Support Function

In the NRF, 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.

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. The FCO is a senior FEMA official trained, certified, and well experienced in emergency management, and specifically appointed to coordinate Federal support in the response to and recovery from emergencies and major disasters.

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.

Incident Management Assistance Teams

Interagency teams composed of subject-matter experts and incident management professionals. IMAT personnel may be drawn from national or regional Federal department and agency staff according to established protocols. IMATs make preliminary arrangements to set up Federal field facilities and initiate establishment of the JFO.

Joint Field Office

The Joint Field Office is the primary Federal incident management field structure. The JFO is a temporary Federal facility that provides a central location for the coordination of Federal, State, tribal, and local governments and private-sector and nongovernmental organizations with primary responsibility for response and recovery. The JFO structure is organized, staffed, and managed in a manner consistent with *NIMS* principles and is led by the Unified Coordination Group. Although the JFO uses an ICS structure, the JFO does not manage on-scene operations. Instead, the JFO focuses on providing support to on-scene efforts and conducting broader support operations that may extend beyond the incident site.

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.

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, personnel, procedures, and communications. Two of the most commonly used elements are EOCs and MAC Groups. These systems assist agencies and organizations responding to an incident.

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.

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.

Regional Response Coordination Center (RRCC)

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

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) become the basis of the scenario.

Senior Official

The elected or appointed official who, by statute, is charged with implementing and administering laws, ordinances, and regulations for a jurisdiction. He or she may be a mayor, city manager, etc.

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;
- Retrieving 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

AAR	After Action Review
ARC	American Red Cross
ARES	Amateur Radio Emergency Service
CBRNE	Chemical, Biological, Radiological, and/or Nuclear Explosive
CCC	Citizen Corps Council
CEM	Comprehensive Emergency Management
CEO	Chief Executive Officer
CERT	Community Emergency Response Team
CFR	Code of Federal Regulations
COG	Continuity of Government
CONOPS	Concept of Operations
COOP	Continuity of Operations
CP	Command Post
CPG	Comprehensive Preparedness Guide
CSEPP	Chemical Stockpile Emergency Preparedness Program
DEOC	Department Emergency Operations Center
DHS	U.S. Department of Homeland Security
DMORT	Disaster Mortuary Operational Response Team
DNR	Department of Natural Resources
DoD	U.S. Department of Defense
DOJ	U.S. Department of Justice
DOT	U.S. Department of Transportation
EAS	Emergency Alert System
ECL	Emergency Condition Level
EM	Emergency Management
EMAC	Emergency Management Assistance Compact
EMAP	Emergency Management Accreditation Program
EMS	Emergency Medical Services
EOC	Emergency Operations Center
EOP	Emergency Operations Plan
EPA	U.S. Environmental Protection Agency
EPCRA	Emergency Planning and Community Right-to-Know Act
EPZ	Emergency Planning Zone
ESF	Emergency Support Function

FAA	Federal Aviation Administration
FAAT	Federal Emergency Management Agency (FEMA) Acronyms, Abbreviations, and Terms
FAC	Family Assistance Center
FBI	Federal Bureau of Investigation
FCO	Federal Coordinating Officer
FDA	Food and Drug Administration
FEMA	Federal Emergency Management Agency
FHA	Federal Highway Authority
FIA	Federal Insurance Administration
FOG	Field Operations Guide
GIS	Geographic Information System
GPS	Global Positioning System
HAZMAT	Hazardous material(s)
HAZUS-MH	Hazards U.S. Multi-Hazard
HSEEP	Homeland Security Exercise and Evaluation Program
HSPD	Homeland Security Presidential Directive
IAP	Incident Action Plan; Initial Action Plan
IC	Incident Commander
ICP	Incident Command Post
ICS	Incident Command System
IMAT	Incident Management Assistance Team
JFO	Joint Field Office
JIC	Joint Information Center
LEOC	Local Emergency Operations Center
LEPC	Local Emergency Planning Committee
LL	Lessons Learned
MACS	Multiagency Coordination System
MOU	Memorandum of Understanding
MRC	Medical Reserve Corps
NEMA	National Emergency Management Association
NFIP	National Flood Insurance Program
NFPA	National Fire Protection Association
NGO	Nongovernmental Organization
NIC	National Integration Center
NIMS	National Incident Management System
NLT	Not Less Than
NPG	National Preparedness Guidelines

NPS	National Planning Scenarios
NRC	U.S. Nuclear Regulatory Commission
NRF	National Response Framework
NTSB	National Transportation Safety Board
NWS	National Weather Service
OSHA	Occupational Safety and Health Administration
PDA	Preliminary Damage Assessment
PIO	Public Information Officer
RACES	Radio Amateur Civil Emergency Services
REPP	Radiological Emergency Preparedness Program
RRCC	Regional Response Coordination Center
RRP	Regional Response Plan
RST	Regional Support Team
RTO	Recovery Time Objective
SBA	Small Business Administration
SCO	State Coordinating Officer
SERC	State Emergency Response Commission
SLG	State and Local Guide
SO	Senior Official (elected or appointed)
SOP	Standard Operating Procedure
TCL	Target Capabilities List
TOPPLEF	Training, Organization, Plans, People, Leadership, and Management
TS	Tropical storm
UC	Unified command
USDA	U.S. Department of Agriculture
USGS	U.S. Geological Survey
UTL	Universal Task List
VOAD	Volunteer Organization Active in Disaster
VIPS	Volunteers in Police Service
WMD	Weapons of Mass Destruction

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 which 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.

Question 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 reentry 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 section 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 of 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.

(Intentionally Blank)

APPENDIX D: EOP DEVELOPMENT GUIDE

BASIC PLAN

This component 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 item 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 component 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 or appointed official(s). (**Note:** This statement must be updated each time a new senior elected or appointed official takes office.)

INTRODUCTION

This section explains the plan's intent, whom 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 service or working animals.
- Describe how emergency plans take into account companion and farm animal care.
- 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 the following:
 - 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, National Fire Protection Association [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 the following:
 - General planning tools
 - Technical references
 - Computer software

ASSIGNMENT OF ROLES AND RESPONSIBILITIES

This section provides 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 the plan, including but not limited to the following:
 - Local response agencies (Fire, Law Enforcement, EMS) and support agencies (e.g., Health, EMA, Medical Care Facilities and Organizations, Coroner, Engineer)
 - Local senior elected or appointed 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 [DNR], Environmental Protection/Quality, Emergency Management, Homeland Security, Department of Health/Public Health, and National Guard).
 - Regional organizations or groups most often and/or likely to be used to support Local operations.
 - Federal agencies most often and/or likely to be used to support Local operations (e.g., FEMA, USCG, U.S. Department of

Justice [DOJ], FBI, Federal Aviation Administration [FAA], National Safety Transportation Board [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 the following:
- 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 list 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.

Note: COG/ Continuity of Operations (COOP) may have a separate plan from the EOP. If a separate COG/COOP plan is used, it should be identified in the EOP.

- 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 resource management.
- Describe the arrangements in place that support decision making 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.
- Predetermine delegations of authority
- Identify continuity/alternate facilities
- Identify continuity communications
- Identify and protect vital records
- Develop test, training, and exercise (TT&E)
- Develop devolution of control and direction
- Develop evaluations, after action reports, and lesson learned
- Develop corrective action plans

PLAN MAINTENANCE

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

HAZARD ANALYSIS

This section 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; chemical, biological, radiological, and nuclear explosive (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 could create hazardous conditions in 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 decision 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, not-for-profit, community, and faith based) involved in formal community capability assessment, including a description of how often this assessment is conducted.

MITIGATION PROGRAM

This section 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 section describes 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 outdated resources, retrain 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).

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.

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 policies 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 on-scene responders 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. **Note:** EOC procedures may be addressed in an SOP. If a separate SOP is used, it should be identified in the EOP.

- 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, Command Post (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 on-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, evacuation of areas, collection of 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 topic 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

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 courses of care.
- Describe how emergency system patient transport and tracking systems are interoperable with national and DoD 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., identification of bodies, expansion of mortuary services, notification of 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 of 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, Disaster Mortuary Operational Response Team [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 victims' families for final disposition.
- Describe the procedures that 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 control rumors by correcting misinformation rapidly.
- 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 prescribed 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 such action.
- 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 plan for receiving evacuees due to hazards in neighboring jurisdictions.
- 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, persons with mobility impairments, and persons in institutions.
- Describe the procedures used to provide for the care of the evacuees' **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., implement forced removal, contact next of kin, place unique marking on homes, 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 open officially.
- 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) and their caregivers.
- 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 to keep the shelter free of contamination.
- Describe arrangements in place with other jurisdictions for receiving their assistance 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 PIOs 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 DNR).
- 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 [USDA], Food and Drug Administration [FDA], 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, not-for-profit).
- 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 methods are 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, Interstate, and U.S. 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 [FHA], 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 sections describe 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 events are created by nature and are typically weather related. **Note:** The following events 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 events 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 of 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 section 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.

(Intentionally Blank)

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: <ul style="list-style-type: none"> ▪ 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): <ul style="list-style-type: none"> ▪ Minimal (or no) warning. ▪ 6 to 12 hours warning. ▪ 12 to 24 hours warning. ▪ More than 24 hours warning. 	
Existing Warning Systems:	
<i>Does a Vulnerability Analysis Exist?</i> Yes <input type="checkbox"/> No <input type="checkbox"/>	

(Intentionally Blank)

APPENDIX F: SAMPLE ORGANIZATION RESPONSIBILITY MATRIX

Agencies, Departments	Managing Emergency Operations	Situation Reporting	Damage Assessment	Alert, Warning, Notification	Emergency Public Information	Communication Systems	Resource Management	Human Resources	Search & Rescue	Public Works	Public Health Services	Animal Considerations	Fire Services	Emergency Medical Services	Law Enforcement Services	Coroner/Medical Examiner	Population Relocation	Transportation	Human Services	Donated Goods & Services	Emergency Fiscal & Administrative
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	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
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

Agencies, Departments	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21
	Managing Emergency Operations	Situation Reporting	Damage Assessment	Alert, Warning, Notification	Emergency Public Information	Communication Systems	Resource Management	Human Resources	Search & Rescue	Public Works	Public Health Services	Animal Considerations	Fire Services	Emergency Medical Services	Law Enforcement Services	Coroner/Medical Examiner	Population Relocation	Transportation	Human Services	Donated Goods & Services	Emergency Fiscal & Administrative
Information Mgt. Services	S	S	S		S	S	S							S					S		S
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 – 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		S
Department of Corrections	S	S			S	S		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

(Intentionally Blank)

APPENDIX H: SAMPLE INFORMATION COLLECTION MATRIX

Information Element	Specific Requirement	Collection Method	Responsible Element	Deliverables	When Needed	Distribute To
Transportation Status	<p>Status of all modal systems, air, sea, land, rail</p> <p>Status of major/primary roads</p> <p>Status of critical and noncritical bridges</p> <p>Status of transcontinental/regional natural gas and fuel pipelines</p> <p>Status of evacuation routes</p> <p>Status of public transit systems</p> <p>Accessibility concerns</p> <p>Debris issues</p>	<p>State liaison/ERT-A/FCO reports</p> <p>State Department of Transportation</p> <p>ESF-1 Assessment team reports</p> <p>Community relations</p> <p>U.S. Army Corps of Engineers</p> <p>Remote sensing/aerial reconnaissance</p> <p>Predictive modeling</p>	ESF-1	<p>Situation briefings</p> <p>Situation reports</p> <p>GIS products</p>	<p>Initial report/estimate on airports within 1 to 6 hours after landfall</p> <p>Remainder not less than (NLT) 12 hours after landfall</p>	
EOC Status	<p>Status of Local EOCs</p> <p>Status of State EOC</p> <p>Status of Agency EOCs</p> <p>Location and status of Federal facilities established</p>	<p>State liaison/ERT-A/FCO</p> <p>ESFs/other Federal agencies</p> <p>Regional offices</p> <p>Regional Support Team (RST)</p>	Operations	<p>Situation briefings</p> <p>Situation reports</p> <p>GIS products</p> <p>Displays</p>	NLT 1 hour after landfall	
Operation status (+/- two levels)	<p>What are the State and Local priorities?</p> <p>What are the major State operations in support of the Local jurisdictions?</p> <p>What support is being received from other States under Emergency Management Assistance Compacts?</p>	<p>State liaison/ERT-A/FCO</p> <p>Open sources and media</p> <p>RST</p> <p>JIC</p>	Operations	<p>Operations Section input for situation report</p> <p>Status Briefings</p>	<p>NLT 6 hours after landfall</p> <p>Updated every O-Period</p>	

(Intentionally Blank)