

DEVELOPING AND MAINTAINING STATE, TERRITORIAL, TRIBAL, AND LOCAL GOVERNMENT EMERGENCY PLANS

March 2009



FEMA



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PREFACE

PREFACE

This Comprehensive Preparedness Guide, CPG 101, expands on the Federal Emergency Management Agency's (FEMA's) efforts to provide guidance about response and recovery planning to State, Territorial, Tribal, and Local governments. It also extends those planning concepts into the prevention and protection mission areas. Some predecessor material can be traced back to the 1960s-era *Federal Civil Defense Guide*. Long-time emergency management 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 operational 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 Preparedness Guidelines (NPG)**, **National Incident Management System (NIMS)**, **National Response Framework (NRF)**, **National Strategy for Information Sharing (NSIS)**, and **National Infrastructure Protection Plan (NIPP)**, and it incorporates recommendations from the 2005 Nationwide Plan Review. CPG 101 also serves as a companion document to the Integrated Planning System (IPS) mandated by Annex I of Homeland Security Presidential Directive (HSPD)-8, and it fulfills the requirement that the IPS address State and local planning. Additionally, CPG 101 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 State, Territorial, Tribal, and Local planners to:

- Develop sufficiently trained planners to meet and sustain planning requirements;
- Identify resource demands and operational options across all homeland security mission areas 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;
- Produce and tailor the full range of combined Federal, State, Territorial, Tribal, and Local government options according to changing circumstances; and
- Quickly produce plans on demand, with revisions as needed.

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.

This Guide provides emergency and homeland security managers and other emergency services personnel with FEMA's 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 and homeland security managers to follow a process that addresses all of the hazards and threats that might impact their **jurisdiction** through a suite of operations plans (OPLANs) connected to a single, integrated **concept plan** (CONPLAN).

Over the past five years, many communities developed multi-hazard mitigation plans, addressing many of the same hazards as their emergency operations plan (EOP). In fact, the hazard identification and risk assessment sections of these plans should be the same (while 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, Territorial, Tribal, and Local governments produce operations plans that:

- Serve as the basis for effective response to any hazard that threatens the jurisdiction;
- Integrate prevention, protection, and **mitigation** activities with traditional response and **recovery** planning; and
- Facilitate coordination with the Federal government during incidents that require the implementation of the NRF (includes consultation and coordination in support of unilateral Federal government actions under its authorities and pursuant to the National Implementation Plan for the Global War on Terror).

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

- Effective plans convey the goals and objectives of the intended operation and the actions needed to achieve them.
- Successful operations occur when organizations know their roles, accept them, and understand how they fit into the overall plan.
- The process of planning is just as important as 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 planning-related CPGs published by FEMA. CPG 101 discusses the steps used to produce an emergency operations plan, possible plan structures, and what goes into the basic plan and its annexes. Follow-on guides will provide detailed information about planning considerations for different functions, hazards, and threats.

CPG 101 is the foundation for State and local planning in the United States. Planners in other disciplines and organizations may find portions of this Guide useful in the development of their operations 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 more than 40 members from State and local governments, professional associations, and universities developed CPG 101.



INTRODUCTION AND OVERVIEW

INTRODUCTION AND OVERVIEW

INTRODUCTION

Purpose

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

Planning has a proven ability to influence events before they occur and is an indispensable contribution to unity of effort. The President identified emergency planning as a national security priority, and this prioritization is reflected in the *National Preparedness Guidelines*. Planning must be conducted in an atmosphere of trust and mutual understanding. Accomplished properly, planning provides a methodical way to think through the entire life cycle of a potential crisis, determine required capabilities, and help stakeholders learn and practice their roles. It directs how a community envisions and shares a desired outcome, selects effective ways to achieve it, and communicates 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.

"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, leaders adapt existing deliberative plans during an incident or when they recognize that a specific event is about to occur. Planners know that both deliberative and incident action planning are critical to developing a robust planning capability within and among all stakeholders (including **nongovernmental organizations** [NGOs]).

Planners achieve unity of purpose through horizontal coordination and vertical integration of plans among all levels and sectors. This supports the foundational principle that in many situations homeland security operations start at the Local level and add State, Regional, and Federal assets as the affected jurisdiction requires additional resources and capabilities. This means that plans must be integrated vertically among levels of government to ensure a common operational focus.

Similarly, planners at each level must ensure that individual department and agency operation plans fit into the jurisdiction's plans. This horizontal coordination ensures that each department or agency understands, accepts, and is prepared to execute mission assignments identified in the jurisdiction's plans. Incorporating both aspects ensures that the sequence and scope of a planned operation (what should happen, when, and at whose direction) are synchronized in terms of purpose, place, and time for all participants.

Planners should employ processes to coordinate and integrate NGO plans with their jurisdiction's plans.

A shared planning system or planning community increases collaboration, makes planning cycles more efficient and effective, 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 planning community. Through this effort, FEMA hopes to create a comprehensive national planning system and develop a dynamic national planning community. This is the goal of HSPD-8, through both the *National Preparedness Guidelines* and Annex I to HSPD-8.

Applicability and Scope

FEMA recommends that teams responsible for developing emergency plans within State and Local governments and in the private sector use CPG 101 to guide their efforts. It provides a context for emergency planning 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 emergency operations plans (EOPs) that address many homeland security operations. Therefore, CPG 101 establishes no immediate requirements but suggests that the next iteration of all EOPs follow this guidance.

Supersession

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

Authorities

Through the Robert T. Stafford Disaster Relief and Emergency Assistance Act (the Stafford Act), as amended, 42 United States Code (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 practicable programs for preparation against disasters” (Sec. 201(b), 42 U.S.C. 5131(b)).

The Stafford Act (Sec. 404 (a), 42 U.S.C 5170c (c)) also provides the legal authority for FEMA’s requirement (44 *Code of Federal Regulations* [CFR] Part 201) that State, Territorial, Tribal, and Local governments produce mitigation plans 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 and Local entities to closely coordinate mitigation planning and implementation efforts. The requirement for a State mitigation plan is also a condition of disaster public assistance, adding incentives for increased coordination and integration of mitigation activities at the State level.

The Homeland Security Act of 2002 provides the basis for Department of Homeland Security (DHS) responsibilities in the protection of the Nation’s critical infrastructures and key resources (CIKR). The Act assigns DHS the responsibility to develop a comprehensive national plan for securing CIKR and for recommending “measures necessary to protect the key resources and critical infrastructure of the United States in coordination with other agencies of the Federal government and in cooperation with State and Local government agencies and authorities, the private sector, and other entities.”

Additionally, Chapter 1, Title 44 of the *Code of Federal Regulations* promulgates regulations governing emergency management and assistance and provides procedural, eligibility, and funding requirements for program operations.

State, Territorial, Tribal and Local, 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 discusses planning fundamentals. It focuses on the characteristics of operational planning, the art and science of planning, and on concepts for plan integration and synchronization. Chapter 2 discusses planning considerations common to all homeland security missions and then elaborates on the distinctive aspects of planning for each individual mission area (Prevent, Protect, Respond, and Recover). Chapter 3 outlines the steps of the homeland security planning process. It discusses how to produce operations plans 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 4 discusses linking Federal, State, Territorial, Tribal, and Local plans. Chapter 5 provides some practice-based options for structuring operations plans, using existing EOPs. Again using the EOP as an example, Chapter 6 discusses typical content for an operations plan's basic plan and annexes. It also summarizes other forms of emergency plans and the relationship between those plans and an operations plan. The appendices include the following:

- A list of source material used in developing the Guide (Appendix A),
- A glossary of terms and a list of acronyms used throughout the Guide (Appendix B),
- A guide to help EOP development (Appendix C), and
- An overview of mitigation planning (Appendix D).

Preparedness Estimate boxes focus on how planning decisions and the planning process can impact or be supported by activities in other preparedness areas (equipment, training, exercises, etc.).

Preparedness Resources boxes highlight available resources to assist in the planning effort as well as overall preparedness.

CPG 101 Content Summary

Introduction

Section 1: Planning Fundamentals and Process

1. Planning Fundamentals
2. Planning Considerations
3. The Planning Process
4. Linking Federal, State, Territorial, Tribal, and Local Plans

Section 2: Planning Application – Developing an Emergency Operations Plan

5. Emergency Operations Plan Formats
6. Emergency Operations Plan Content

Section 3: Appendices

- A. Authorities and References
- B. Glossary and Acronyms
- C. EOP Development Guide
- D. Hazard Mitigation Planning

Recommended Training

This guide assumes that users have some experience in emergency management and emergency planning. At a minimum, FEMA recommends completing the following Independent Study (IS) courses offered by FEMA's Emergency Management Institute (<http://training.fema.gov/IS/>):

- IS-1: Emergency Manager: An Orientation to the Position
- IS-100.a: Introduction to Incident Command System, I-100
- IS-130: Exercise Evaluation and Improvement Planning
- IS-200.a: ICS for Single Resources and Initial Action Incidents
- IS-208: State Disaster Management
- IS-230: Principles of Emergency Management
- IS-235: Emergency Planning
- IS-288: The Role of Voluntary Agencies in Emergency Management
- IS-292: Disaster Basics
- IS-547: Introduction to Continuity of Operations (COOP)
- IS-700.a: National Incident Management System (NIMS), An Introduction
- IS-701: NIMS Multiagency Coordination Systems
- IS-702: NIMS Public Information Systems
- IS-703: NIMS Resource Management
- IS-706: NIMS Intrastate Mutual Aid – An Introduction
- IS-800.b: National Response Framework, An Introduction
- IS-860: Introduction to the National Infrastructure Protection Plan

Additional Training Sources

- Center for Domestic Preparedness (<http://cdp.dhs.gov/>)
- Emergency Management Institute (<http://training.fema.gov/EMICourses/>)
- Louisiana State University (<http://www.ncbrt.lsu.edu/>)
- National Incident Management System (http://www.fema.gov/emergency/nims/nims_training.shtm#3)
- New Mexico Institute of Mining and Technology (<http://www.emrtc.nmt.edu/>)
- State Level (<http://training.fema.gov/EMIWeb/STCourses/>)
- Texas A&M University (<http://teexweb.tamu.edu/>)
- U.S. Department of Energy (<http://www.nv.doe.gov/default.htm>)

Training on information-sharing processes from the Office of the Director of National Intelligence's Program Manager – Information Sharing Environment is available through the Information Sharing Environment Awareness Training Course (<http://www.ise.gov/pages/awareness-training.html>).

NIMS Compliance and Integration

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

Administrative Information

Terms and acronyms in the text emphasized with **bold** type come from the *FEMA Acronyms, Abbreviations, and Terms (FAAT)* or the 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.

Web site links provided in CPG 101 were active at the time of its publication.

CPG 101 uses the following contextual definitions for *emergency*, *incident*, *State*, and *Local government* throughout the document:

- “Emergency” means any incident, whether natural or man-made, that requires responsive action to protect life or property (from the National Response Framework).
- “Incident” means an occurrence or event, natural or man-made, that requires a response to protect life or property. Incidents can, for example, include major disasters, emergencies, terrorist attacks, terrorist threats, civil unrest, wildland and urban fires, floods, hazardous materials spills, nuclear accidents, aircraft accidents, earthquakes, hurricanes, tornadoes, tropical storms, tsunamis, war-related disasters, public health and medical emergencies, and other occurrences requiring an emergency response (from the National Response Framework).
- “State” means any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and any possession of the United States. The term “State” includes the District of Columbia and any commonwealth, territory, or possession of the United States (from the Homeland Security Act of 2002).
- “Local government” means:
 - a. A county, municipality, city, town, township, local public authority, school district, special district, intrastate district, council of governments (regardless of whether the council of governments is incorporated as a not-for-profit corporation under State law), regional or interstate government entity, or agency or instrumentality of a local government;
 - b. An Indian tribe or authorized tribal organization, or, in Alaska, a Native village or Alaska Regional Native Corporation; or
 - c. A rural community, unincorporated town or village, or other public entity (from the Homeland Security Act of 2002).

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., 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
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SECTION 1:
PLANNING
FUNDAMENTALS
AND PROCESS

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FEMA



1. PLANNING FUNDAMENTALS

1. PLANNING FUNDAMENTALS

When threatened by natural-, technological-, or human-caused emergencies or disasters, people expect elected or appointed leaders to take immediate action to deal with the problems. They expect the government to marshal its resources, channel the efforts of voluntary organizations and private enterprises in the community, and solicit assistance from outside the jurisdiction if necessary.

In all States and most localities, that widespread expectation is given force by statute or ordinance. Congress also recognizes State and Local emergency management responsibility in the Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended:

- “It is the intent of Congress, by this Act, to provide an orderly and continuing means of assistance by the Federal government to State and local governments in carrying out *their* responsibilities to alleviate the suffering and damage which result from ... disasters” (Sec. 101(b), emphasis added).
- “The purpose of this title is ... to vest responsibility for emergency preparedness jointly in the Federal government and the States and their political subdivisions” (Sec. 601).

The elected leaders in each jurisdiction are legally responsible for ensuring that necessary and appropriate actions are taken to protect people and property from the consequences of emergencies and disasters.

This chapter provides an overview of the nature of planning. It describes how planning supports decision making. This chapter also discusses key planning concepts, effective planning, and planning pitfalls.

PLANNING PRINCIPLES

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

Planning must involve *all* partners. Just as coordinated emergency operations depend on teamwork, good planning requires a team effort. The most realistic and complete plans are prepared by a team that includes representatives of the departments and agencies, as well as the private sector and NGOs that can contribute critical perspectives or that will have a role in executing 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 within it, they are more likely to accept and use the plan.

Planning helps deal with complexity by using a logical, analytical, problem-solving process. By following a set of logical steps that includes gathering and analyzing information, determining operational objectives, and developing alternative ways to achieve the objectives, planning allows a jurisdiction or regional response structure to work through complex situations. Planning helps a jurisdiction identify the means it has at its disposal to achieve desired outcomes by performing critical tasks, under specified conditions, to target levels of performance. 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.

Preparedness Resource

The Target Capability List’s “Planning” common target capability provides guidance to jurisdictions on building the capacity to perform emergency planning.

Preparedness Estimate

Jurisdictions should provide training to their personnel that is relevant to all-hazards planning. Sources include the *National Preparedness Guidelines*, the National Response Framework (NRF), the National Incident Management System (NIMS), the National Infrastructure Protection Plan (NIPP), and the Incident Command System (ICS).

Emergency operations planning addresses all hazards and threats.

The causes of emergencies can vary greatly, but many of the effects do not. Planners can address common operational functions in the basic plan instead of having unique plans for every type of hazard or threat. For example, floods, wildfires, hazardous materials releases, and radiological dispersion devices (RDDs) may lead a jurisdiction to issue an **evacuation** order and open shelters. 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 and shelter operations are the same. While differences in the speed of onset may affect when the order to evacuate or to open and operate shelters is given, the process of determining the need for evacuation or shelters and issuing the order does not change.

All hazards and all-threats planning ensures that, when addressing emergency functions, planners identify common tasks and who is responsible for accomplishing those tasks.

Planning does not need to start from scratch. Planners should take advantage of existing plans and 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 and threats. 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;
- Identify private sector planning that can complement and focus public sector planning;
- Learn how some planning issues were resolved in the past; and
- Identify preparedness gaps in available personnel, equipment, and training.

Preparedness Resource

Key infrastructure sectors are often well prepared to maintain their business continuity and protect their employees. Their planning often follows recognized industry standards or established regulatory requirements. Use key infrastructure planning to complement State and local planning.

Planning depicts the anticipated environment for action.

This anticipation 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 better understand both what to expect and which previous actions may have been effective or ineffective. In situations where we lack experience, planning provides the opportunity to anticipate conditions and systematically identify potential problems and workable

solutions. Planners should review the existing emergency plans for questionable assumptions, inaccuracies, inconsistencies, omissions, and vagueness. After-action reviews of recent emergency operations and exercises in the jurisdiction will help planners develop a list of prevention, protection, response, and recovery topics to address when updating plans.

Planning identifies tasks, allocates resources to accomplish those tasks, and establishes accountability. Decision makers must similarly ensure that they provide planners with clearly established priorities and adequate resources and that 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. A planning team's members must be convinced that emergency planning is a high priority. Chief executive support helps the planning process meet requirements of time, planning horizons, simplicity, and level of detail. The more involved decision makers are in planning, the better the planning product will be.

The emergency or homeland security manager should seek the chief executive's support for and involvement in the planning effort. The emergency or homeland security manager must explain to the chief executive what is at stake in emergency planning by:

- Identifying and sharing the hazard, risk, and threat analyses for the jurisdiction;
- Describing what the government body and the chief executive will have to do prior to, during, and after an event;
- Determining what the government body and the chief executive can do to either prevent or minimize the impact of an event;
- Discussing readiness assessments and exercise critiques; and
- Reaffirming the chief executive's understanding that planning is an iterative, dynamic process that ultimately facilitates his or her job in a crisis situation.

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. Because this activity involves judgment and the balancing of competing demands, plans cannot be overly detailed — to be 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.

Preparedness Resource

In order to assist State and local planners, the *National Preparedness Guidelines* provide a capabilities-based preparedness process and doctrine with planning applications:

- Eight National Priorities outline the types of capabilities that should receive special consideration to meet the Nation's most urgent needs.
- The National Planning Scenarios are designed to identify the broad spectrum of tasks and capabilities needed for all-hazards preparedness.
- The Target Capabilities List (TCL) is a comprehensive catalog of capabilities to perform homeland security missions, including performance measures for common tasks.

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 among 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 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 planning and operations. Risk management during planning identifies potential hazards, considers possible prevention and protection efforts, and assesses the probability and severity of each to mission accomplishment. Decision makers determine and communicate acceptable levels of risk. This process includes preparedness, response, recovery, and mitigation efforts to reduce or eliminate the effects of the event in the future. Comprehensive planning must not stop with the initial plan. It must also examine the effect of the hazard on existing resources, equipment, training, and personnel.

STRATEGIC, OPERATIONAL, AND TACTICAL PLANNING

Planners must understand the relationships between the tactical (incident scene) and operational planning levels, as well as the relationship of those planning levels to strategic planning. In the simplest terms, strategic planning sets the context and expectations for operations planning, while operational planning provides the framework for tactical-level plans and operations. Strategic planning does not equate to Federal-level planning, just as operational planning does not imply State-level planning, and tactical planning does not mean local-level planning. All three types of planning occur at all levels of government.

Strategic-level plans describe how a jurisdiction wants to go about meeting its emergency management or homeland security responsibilities in the long term. They identify policy objectives and provide overall, high-level guidance for planners. These plans have the widest scopes and are the least detailed in the planning hierarchy.

Operations-level plans (the focus of CPG 101) provide a description of roles and responsibilities, tasks, integration, and actions required of a jurisdiction or its departments and agencies during emergencies. State and Local governments use two types of operations-level plans:

- **Concept Plans (CONPLANS)** describe the concept of operations (CONOPS) for integrating and synchronizing a jurisdiction’s personnel, organizational structures, leadership or management processes, facilities, and equipment to conduct an emergency operation.
- **Operations Plans (OPLANS)** identify an individual organization’s (e.g., a department’s or agency’s) detailed resource, personnel, and asset allocations to execute its roles and responsibilities found in a CONPLAN.

CONPLANs provide the goals, roles, and responsibilities that a jurisdiction's departments and agencies translate into OPLANs. CONPLANs focus on coordinating and integrating the activities of the many response and support organizations within a jurisdiction. They also consider private sector planning efforts to assure efficient allocation of public resources. Department and agency OPLANs do the same thing for the internal elements of those organizations. CONPLANs and OPLANs tend to focus more on the broader physical, spatial, and time-related dimensions of an operation; thus, they tend to be more complex, yet less defined, than tactical plans.

Tactical-level plans focus on employing response units at an incident site. Initially, tactical-level plans may not be very comprehensive, but as the situation matures, the planning effort can produce a more detailed tactical plan. Pre-incident tactical planning that is based upon existing OPLANs provides the opportunity to pre-identify personnel, equipment, and training requirements. These gaps can then be filled through various means (e.g., mutual aid, technical assistance, updates to policy, and procurement or contingency leasing).

Deliberative planning at the operations level should quickly transition to crisis action planning when an incident occurs. Crisis action planning is the process for rapidly adapting existing CONPLANs and OPLANs to the actual circumstances of the incident.

During current operations, CONPLANs and OPLANs serve as the starting point in building an Incident Action Plan (IAP) for each operational period. IAPs implement OPLANs because they identify the tools and tactics that responders use in the field. At the same time, IAPs influence the internal processes of Multiagency Coordination Centers (MACCs) or Emergency Operations Centers (EOCs) as they develop operations plans. These operational-level organizations use IAPs to obtain operational detail and feedback to ensure that the right mix of facilities, vehicles, equipment, and trained personnel are available for subsequent operational periods.

Comprehensive planning can help other levels of government plan their response to an event within a jurisdiction. By knowing the extent of the jurisdiction's capability, planners can pre-identify shortfalls and develop pre-scripted resource requests to supporting jurisdictions or levels of government.

Preparedness Resource

From the Target Capabilities List, Respond Mission Area target capabilities for On-Site Incident Management and for EOC Management provide tasks and measures that are helpful for identifying procedures for coordinating IAP and OPLAN development during current operations.

SUPPORTING PLANNING APPROACHES

Planners use a variety of approaches to develop plans:

- **Scenario-based Planning.** As its name implies, this approach starts with building a scenario for a hazard or threat. Then, planners analyze the impact of the scenario to determine appropriate courses of action. Planners typically use this planning concept to develop planning assumptions, primarily for hazard- or threat-specific annexes or appendices to a base plan.
- **Function-based Planning.** Also known as functional planning, this approach identifies the common tasks that a jurisdiction must perform during emergencies. Function-based planning defines the function to be performed and some combination of government agencies and departments responsible for performing it.
- **Capabilities-based Planning.** This approach focuses on a jurisdiction's capacity to take a course of action (COA). Capabilities-based planning answers the question, "Do I have the right mix of training, organizations, plans, people, leadership and management, equipment, and facilities to perform a required emergency task?" Some planners view this approach as a combination of scenario- and function-based planning because of its "scenario-to-task-to-capability" focus.

In reality, planners use a combination of these approaches. This **hybrid planning** approach provides the basis for the planning process discussed later in Chapter 3. It combines aspects of the three previous approaches to operations planning. The use of scenarios is a much-debated topic among emergency planners. While all-hazards planning is capabilities-based, that approach does not mean planners should avoid specific scenarios and only deal in generic capabilities. Specifying actual threat and hazard scenarios provides the means to describe the likely conditions of an operational environment, allowing planners to assess assumptions, test concepts, and determine the adequacy of capabilities required to perform a mission. Using the hybrid approach converts needs and demands generated by a scenario into goals and objectives that drive the planning process. It leads to a base plan that describes overarching roles, relationships, and responsibilities with functional, hazard, and threat annexes that reflect sequencing of actions. Hybrid planning helps identify the courses of action that a jurisdiction must be able to take based upon a comprehensive hazards assessment; thus, it helps identify the capabilities a jurisdiction must have. CPG 101 uses and strongly advocates the hybrid approach.

PLAN INTEGRATION

National guidance and consensus standards expect that a jurisdiction's plans will be coordinated and integrated among all levels of government and will consider critical infrastructure planning efforts. The NIMS and the NRF support a concept of layered operations. They recognize that many operations start at the local level, and, as needs exceed resources and capabilities, State, Regional, and Federal assets are applied. This approach means that planning must be vertically integrated to ensure that all response levels have a common operational focus. Similarly, planners at each level must ensure that department and supporting agency plans fit into their jurisdiction's CONOPS through horizontal coordination. Planners must also appropriately integrate NGO plans and resources.

Vertical integration is the meshing of planning both up and down the various levels of government (Federal-National ↔ Federal-Regional ↔ State/Territorial ↔ Tribal/Local). It follows the concept that the foundation level for operations is at the local level and that support from State, regional, and Federal entities is layered onto the local activities. It means that as a planning team identifies a support requirement for a “higher level” during the planning process, the two levels work together on resolving the problem. Chapter 4 presents a concept for vertical integration.

Horizontal integration serves two purposes. First, it integrates the operations of all departments, agencies, and NGOs across a jurisdiction. For example, an agency, department, or other community sector would write its OPLAN or **standard operating procedures (SOPs)** for its role in an evacuation to fit the controlling jurisdiction’s CONPLAN for such an evacuation. It is how an agency, department, or NGO shows that it understands, accepts, and is prepared to execute a mission assignment identified in the jurisdiction’s operations plan. Horizontal integration allows departments and support agencies to produce plans that meet their internal needs or regulatory requirements and still integrate into the operations plan. Second, horizontal integration ensures that a jurisdiction’s set of operations plans works with its neighboring or partner jurisdictions’ similar sets of plans. A jurisdiction’s CONPLAN should include information about mission assignments that it executes in conjunction with, in support of, or with support from its neighbors or partners.

PLAN SYNCHRONIZATION

Effective operations plans are synchronized in time, space, and purpose through the concept of sequencing. Four planning concepts help sequence operations: phasing, branches, planning horizons, and forward and reverse planning.

Phasing. A phase is a specific part of an operation that is distinctly different from the ones that precede or follow. For example, a set of phases for the Response homeland security mission area might include routine operations, heightened awareness, mobilization-activation-deployment, incident response, and transition to recovery. Another variation might be pre-impact, impact, and post-impact. Planners often use the factors of time, distance, geography, resources, and critical events to define phase lengths. The links between the phases and the requirements for transitioning between them drives one set of problems that planning helps solve.

Branches. A branch is an option built into an operations plan. For example, a hurricane may affect a certain State by moving up its coast, or by moving inland and traveling up a large bay, or by taking a more middle track that affects both areas. While many elements of the response plan would be the same for all three scenarios, the change in track could affect resource distribution, evacuation timing, and so on. Under the concept of branching, the hurricane annex of an EOP would provide options for each major contingency. Another way to look at branching is to think of an “if-then” option. Following the same example, the plan would state, “If the hurricane takes this track, then take this sequence of actions.” Planners use branches only for major, critical options and not for every possible variation in the response.

A *planning horizon* is a point in time that planners use to focus the planning effort. Because no one can predict when a disaster or emergency will occur, planners typically use planning horizons expressed in months to years when developing emergency operations plans (see Figure 1.1 below). Plans developed during this period of moderate-to-high uncertainty about an emergency’s characteristics must describe broad concepts that allow for quick and flexible operations. They must allow for several courses of action and project potential use of organizations and resources during those operations. Planners should view CONPLANs and OPLANs as contingency plans because they provide the starting point for response operations “if and when” an emergency occurs. Because of the long planning horizons and uncertainties involved, such plans are always “what if” documents.

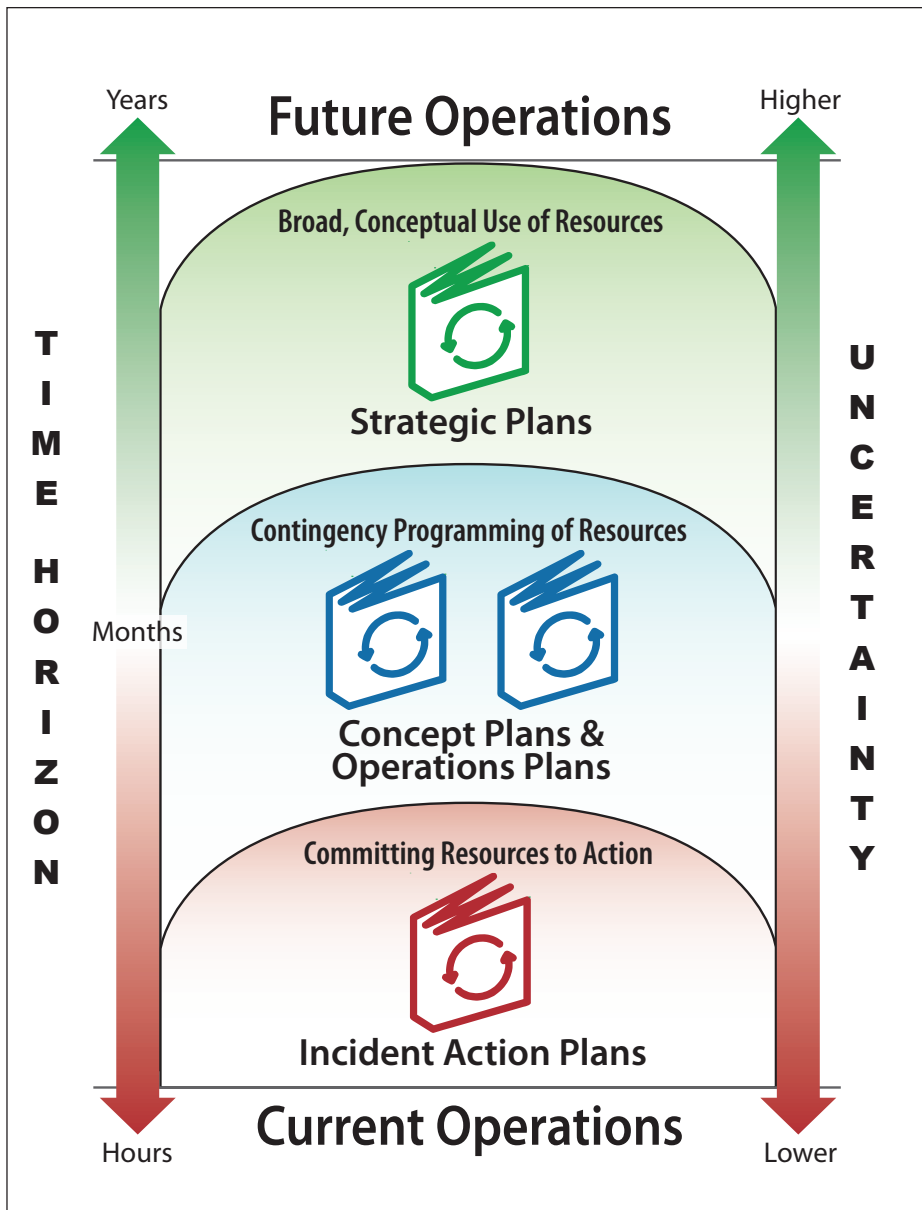


Figure 1.1 Planning Horizons

During current operations, the role of the planning entity defines the planning horizon. During a current operation, the local IAP horizon is most likely 6 to 12 hours (or one operational period). For supporting agencies and departments from the county or municipality, the planning horizon is slightly longer — 12 to 24 hours (one or two operational periods into the future) — because their planning efforts are more resource-commitment oriented. State- and field-level (e.g., Joint Field Office [JFO]) planning horizons might be 24 to 48 hours because their focus is on staging supplies, organizing task forces and strike teams, and programming response assets for operations. At the national level (e.g., Regional Response Coordination Center [RRCC], National Response Coordination Center [NRCC], or National Operations Center [NOC]), planning horizons may be up to 120 hours. With this in mind, State, Territorial, Tribal, and Local plans developed to include realistic gaps in resources may also provide other response entities with the time to identify, mobilize, and deploy resources to meet the identified gaps at a lower level.

Forward planning starts with (assumed) present conditions and lays out potential decisions and actions forward in time, building an operation step by step toward the desired goal or objective. This approach is the method most often used by planners. Conversely, *reverse planning* starts at the goal or objective and works backward toward the present (Figure 1.2 depicts both planning directions). When using *reverse planning*, it is essential to have a fixed goal or objective. One use for reverse planning is to help time decisions. In practice, planners usually use a combination of the two methods: they use forward planning to look at what is feasible in the time allotted and use reverse planning to fix decision points, interim objectives, or a final goal in time.

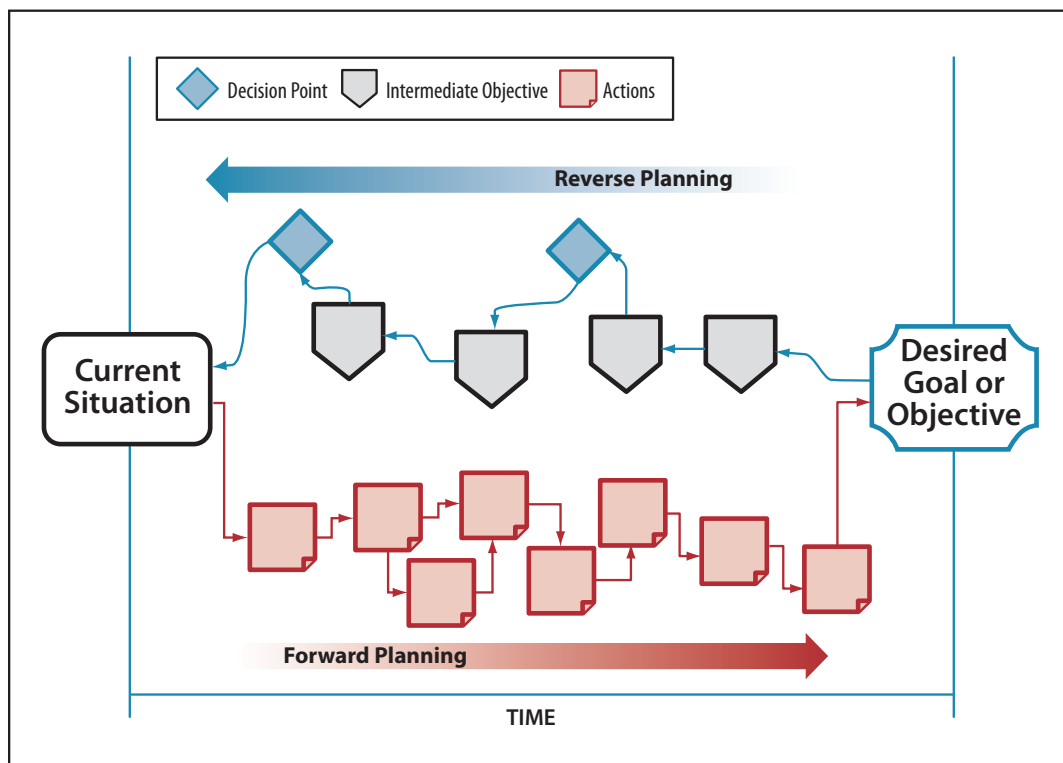


Figure 1.2 Forward and Reverse Planning

PLANNING PITFALLS

Research indicates that some operational planners tend to produce lengthy, overly detailed plans that the people responsible for their execution do not read. A plan that tries to cover every conceivable condition or that attempts to address every detail will only frustrate, constrain, and confuse those charged with its implementation. The same research suggests that successful plans are simple and flexible. Many times, planners try to overcome uncertainty by writing plans that cover every possible contingency, leaving as little as possible to chance. Planners must understand that the less certain a situation, the less detail can be put into the plan. As a rule, those parts of a plan that would be most affected by the hazard's effects should have the least amount of detail, and those that would be least affected by the hazard's effects should have the most detail. The goal is to convey an easily understood CONOPS that allows for the greatest flexibility in execution.

Planning is not a scripting process that tries to prescribe hazard actions and response actions with unjustified precision. Plans should not have a regulatory tone that may cause those who are responsible for executing a plan to base their decisions on the plan's requirements rather than taking effective action. Plans should not function as a script that individuals or organizations follow to the letter. Rather, they should provide a starting point for operations, adjusted as the situation dictates and as facts replace planning assumptions.



2. PLANNING CONSIDERATIONS

2. PLANNING CONSIDERATIONS

Emergency planning addresses each of the four mission areas identified in the National Strategy for Homeland Security: to prevent, protect against, respond to, and recover from natural, technological, or human-caused emergencies. Only by integrating planning efforts for the four mission areas can jurisdictions produce an effective emergency management and homeland security program.

Effective prevention planning efforts require that State, Territorial, Tribal, and Local entities be prepared to work with Federal and private sector partners to identify, assess, and implement a variety of measures designed to reduce or eliminate threats. This partnership includes working with communities and private organizations throughout the region for a cohesive planning approach. Additionally, an effective assessment of current capabilities (as the planning process incorporates these considerations) should also identify gaps that can be addressed through preparedness.

Following is further discussion of each of the four Homeland Security mission areas, which are depicted in Figure 2.1.

Prevention consists of actions that reduce risk from human-caused events. Although it is impossible to prevent some emergencies (such as hurricanes, floods, and volcanic eruptions), concerted action can minimize or prevent disasters resulting from other causes (such as terrorism, crime, nuclear or industrial accidents, fires, and public health incidents). Prevention actions can also help mitigate secondary or opportunistic events that may occur after an incident. Prevention planning identifies actions that minimize the possibility that an event will occur or that it will adversely impact the safety and security of a jurisdiction's critical infrastructures and its inhabitants. Prevention planning focuses on reducing the likelihood of threats and consequences while protecting civil rights and liberties. Incorporating prevention methods into the comprehensive planning process also helps a jurisdiction identify information or intelligence requirements that support the other mission areas and the overall planning process.

Protection reduces or eliminates a threat to people and places. The protection of CIKR is vital to local jurisdictions, national security, public health and safety, and economic vitality. Protection safeguards citizens and their freedoms, critical infrastructure, property, and the economy from acts of terrorism, natural disasters, or other emergencies. Protection includes actions to mitigate the risk to CIKR assets, systems, networks, functions, and/or their interconnecting links from exposure, injury, destruction, incapacitation, or exploitation. It includes actions or measures taken to cover or shield assets from exposure, injury, or destruction. Protective actions may occur before, during, or after an incident and prevent, minimize, or contain the impact of an incident.

Response embodies the actions taken in the immediate aftermath of an event to save lives, meet basic human needs, and reduce the loss of property and the impact on critical infrastructure and the environment. Following an event, response operations reduce the physical, psychological, social, and economic effects of an incident. Response planning provides rapid and disciplined incident assessment to ensure that response is quickly scalable, adaptable, and flexible. It incorporates national response doctrine as presented in the National Response Framework, which defines basic roles and responsibilities for incident response across all levels of government and the private sector.

Recovery encompasses both short-term and long-term efforts for the rebuilding and revitalization of affected communities. Recovery planning must provide for a near-seamless transition from response activities to short-term recovery operations — including restoration of interrupted utility services, reestablishment of transportation routes, and the provision of food and shelter to displaced persons. Planners should design long-term recovery plans to maximize results through the efficient use of finite resources. These plans must join both public and private partnerships and integrate collective recovery efforts.

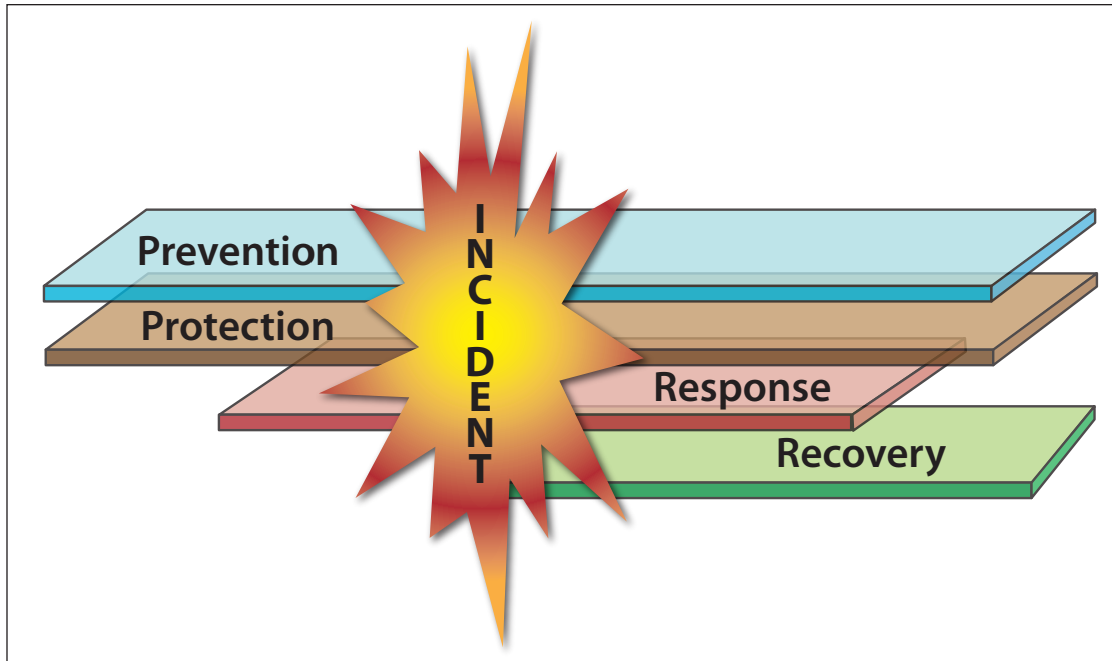


Figure 2.1 Homeland Security Mission Areas

While not a mission area, **mitigation** is part of the overall preparedness effort and must be considered when developing management strategies for each mission area. Mitigation represents the sustained actions a jurisdiction takes to reduce or eliminate long-term risk to people and property from the effects of hazards and threats. The purpose of mitigation is twofold: (1) to protect people and structures and (2) to minimize the costs of disaster response and recovery. Viewed broadly, the goal of all mitigation efforts is risk reduction. The emphasis on sustained actions to reduce long-term risk differentiates mitigation from those tasks that are required to survive an emergency safely. Emergency plans need to discuss how mitigation actions potentially impact operations in each mission area. Similarly, plans should also provide insight into how mission area operations support mitigation efforts. *Prevention* actions help keep the risk posed by a hazard or threat from occurring or getting worse. Examples of prevention activities include planning and zoning, land development regulation, storm water management, fusion center operations, law enforcement, and fire prevention inspections. *Protection* actions focus on people, property, critical infrastructure, and natural resources. They include measures to modify structures, secure facilities and people, and conserve the environment. Mitigation actions during Recovery include relocation and rebuilding. Appendix D provides more information about hazard mitigation planning.

INFORMATION SHARING

Effective planning requires useful, timely, actionable, and accurate information or intelligence. Planners must use all information and intelligence sources available to them when producing operations plans. The *National Strategy for Information Sharing* reinforces the understanding that homeland security information, terrorism information, and law enforcement information can come from multiple sources, all levels of government, as well as from private sector organizations and foreign sources. State and local governments use such information for multiple purposes to:

- Support efforts to prevent terrorist attacks and other human-caused events;
- Develop critical infrastructure protection and resilience plans;
- Prioritize emergency management, response, and recovery planning activities;
- Devise training and exercise programs; and
- Determine the allocation of funding and other resources for homeland security-related purposes.

Preparedness Estimate

Jurisdictions should consider providing training that discusses collecting, blending, analyzing, and evaluating hazards-related intelligence.

Additionally, the *Baseline Capabilities for State and Major Urban Area Fusion Centers* directs fusion centers to coordinate with emergency managers and operations centers. A jurisdiction should not limit information and intelligence gathering to fusion centers; nevertheless, fusion centers are encouraged to include all available information and intelligence sources, such as disaster weather offices and public health surveillance offices. Plans should identify information- and intelligence-sharing roles and responsibilities.

Because planning should cover all hazards, some fusion centers have already defined their missions to include an all-hazards approach. While the application of this approach varies, in general, it means that in addition to crime and terrorism, the fusion center has identified the types of major disasters and emergencies that could occur within its jurisdiction. It has accepted a role in gathering, analyzing, and disseminating information and intelligence that would assist with prevention, protection, response, or recovery efforts for all hazards and threats. Planners should use information and intelligence from these centers to help:

- Conduct their risk mitigation efforts;
- Perform tactical, operational, and strategic planning;
- Develop training and exercises;
- Develop performance metrics; and
- Allocate funding and other resources.

Preparedness Resource

The Intelligence and Information Sharing and Dissemination common capability found in the TCL provides metrics to help planners ensure that the right information is provided to the right people at the right time.

PLANNING FOR ADAPTIVE VERSUS NON-ADAPTIVE RISKS

One of the fundamental challenges planners face is how to address, through their planning efforts, the differences in risk that a hazard or threat poses to a jurisdiction. One way to focus those efforts is to determine whether the hazard or threat's risk is adaptive or non-adaptive. A hazard or threat shows adaptive risk if it has the ability to change its behavior or characteristics in reaction to protection, prevention, response, or recovery measures taken by a jurisdiction. Typically, only human-caused hazards or adversarial threats such as civil disturbances or terrorism have adaptive risk characteristics. When facing a hazard or threat characterized by adaptive risk, planners must continually evaluate and evolve their plans as the threat learns and adapts to existing concepts of operations. Natural and technological hazards typically fall into the category of non-adaptive risks. Their physical characteristics and disaster dimensions do not change when a jurisdiction takes preventative, protective, or mitigation measures. Plans for such hazards tend to be more stable, requiring change only as the characteristics of the jurisdiction change. Traditional mitigation activities are the most appropriate to deal with these risks.

PLANNING STRATEGIES FOR PREVENTION AND PROTECTION

As a general rule, the goals of prevention and protection planning efforts should be to identify threats and protect potential targets. To accomplish these goals, prevention and protection plans focus on information collection and threat detection; risk, vulnerability, and intelligence analysis; information sharing and collaboration; criminal investigation and intervention; critical infrastructure protection; and risk management. Because the protection of CIKR affects emergency preparedness and operations, State and local governments' EOPs should contain information on what steps they are taking to identify and protect CIKR. Planners must assess potential vulnerabilities, consequences, or threats and provide critical infrastructure protection measures for the systems and assets they identify as CIKR.

Scalable and defined short- and long-term goals provide the foundation for plans to counter threats. Prevention and protection plans might include:

- Increasing all-hazard operational and threat awareness among government organizations and sectors;
- Collecting, analyzing, and disseminating information and intelligence;
- Identifying and protecting CIKR against all hazards and all threats; and
- Identifying and strengthening the capabilities of prevention and protection resources.

State and local government prevention and protection plans should reflect that:

- Prevention and protection efforts are more effective when they involve collaboration among disciplines, including, but not limited to, law enforcement, fire services, emergency medical, emergency management, public health and health care, social service, transportation, environmental protection, public utilities, agriculture, general services, natural resources, corrections, NGOs, and the private sector and general public;
- The same proactive, information-driven, and multidisciplinary methods used to effectively reduce crime, disorder, fire, public health threats, and other emerging problems can provide a foundation for prevention and protection planning; and
- Operations that support daily services provide a foundation for effective prevention and protection efforts.

The overall goal of the planning in these mission areas is to:

- **Identify potential attackers:** Identifying and targeting for arrest, prosecution, incarceration, and/or other enforcement actions (such as deportation) any individuals who have been determined to be supporting, planning, and/or intending to carry out an attack.
- **Protect potential targets:** Enhancing the physical security of high-risk targets to reduce their attractiveness to potential attackers and ensuring the continuity of critical services to minimize the impact of an attack at a single location.
- **Disrupt the ability of terrorists to plan and conduct operations:** State, local, and tribal entities can effectively disrupt the ability of terrorists to operate according to their plan and force them to change their methods of operation, thereby exposing them to potential discovery by implementing — in an unpredictable manner — aggressive protective measures, such as counter-surveillance of potential targets and directed patrols.

Additionally, consideration must be given to the impact of these requirements on training, exercise, and equipment.

Plans should include prevention and protection activities in their multiagency and multidisciplinary training and exercise programs. They should also use threat, vulnerability, consequence, and other risk-related data collected on an ongoing basis to support response and recovery mission-area planning.

Preparedness Resource

The Protect Mission Area target capability on CIKR Protection provides planning, training, and exercise metrics to help a jurisdiction build capacity to reduce the risk, vulnerability, and consequences of threats and attacks.

PLANNING STRATEGIES FOR RESPONSE AND RECOVERY

Response has traditionally been the focal point of emergency planning in most jurisdictions. The planning principles discussed in Chapter 1 and the planning processes described in Chapter 3 come from research on response planning. Response planning must not only address all-hazards events, it must also take an all-mission-areas approach:

- When developing a plan, ensure that planners from prevention, protection, and recovery organizations are an integral part of the planning team. Make sure that the plan clearly identifies all roles before, during, and after event impact, paying particular attention to information needs and coordination responsibilities.
- Ensure that the plans discuss how the response transitions into both short- and long-term recovery and how response planners interact with a Disaster Recovery Group (DRG), Commission, Task Force, or some other group established through the authority of the senior elected official during the event.
- Incorporate CIKR protection analyses and recovery strategies.

Recovery planning is a process that builds partnerships between government, citizens, business, critical private infrastructure, and not-for-profit organizations. It is a process that leads to community restoration and future sustainability and resiliency. Recovery plans guide the process by identifying the roles and responsibilities of government; clarifying stakeholder needs and interests; and addressing the community's housing, economy, environment, infrastructure, and lifelines.

Recovery planning takes place before and after an event. Ideally, recovery planning will take place before the event when the planning environment is less stressful and provides time to explore recovery options fully. A recovery plan developed before an event should address the following:

- Recovery-related mutual aid agreements and regional compacts;
- Prewritten emergency ordinances that facilitate recovery operations, such as those dealing with road closures, debris removal, and expedited permitting;
- Continuity of government (COG) operations (may be addressed in a separate continuity of operations [COOP] plan);
- Strategies for including civic leaders and the public in the recovery decision-making process; and
- Community efforts that affect mitigation processes with the potential to reduce the effects of a threat or event.

Recovery should include forming or convening a DRG. The DRG needs to start meeting during the response phase to establish the short-term recovery goals that facilitate long-term recovery. The DRG may have representation from many of the same organizations already involved in a response and may interact regularly with response planners. However, the DRG's focus is on recovery policy issues. In the end, a recovery plan developed during or post-incident must address the same areas as a recovery plan developed prior to an event.

The recovery plan should address the following:

- Topics covered in all plans (e.g., purpose, situation, assumptions);
- The recovery effort's goals;
- The recovery organization's structure, including the roles of government, the public, business, and not-for-profit organizations in the process;
- Short-term recovery operations, such as debris removal and volunteer and donations management (if not already addressed in the jurisdiction's EOP);
- Temporary shelter and housing, permanent housing;
- Housing reconstruction and household recovery;
- Economic recovery;
- Environmental recovery;
- Infrastructure and lifelines;
- Financial and community resources; and
- Social and psychological aspects of recovery.

Additionally, planners must consider these requirements in terms of their impact on training, conducting exercises, and obtaining equipment.

Preparedness Estimate

If capabilities and resources are overwhelmed at the local and then State levels, the Federal government will provide assistance during the response and recovery phases. Research shows, however, that individual preparedness and response capabilities can mitigate some effects of disasters and can allow government-coordinated efforts to be executed more effectively. Outreach to the public on its responsibilities for personal preparedness and prevention and protection roles can have a dramatic impact on reducing the effects of a disaster.

PLANNING IN SUPPORT OF OVERALL PREPAREDNESS

A preparedness estimate (PE) is a planner's assessment of a jurisdiction's ability to take a course of action. PEs help planners decide if pursuing a particular COA is doable and supportable. They help planners better project and understand what might take place during an operation.

Preparedness estimates may be written documents, tables or matrices, or oral presentations. The information provided in a PE should be able to answer most questions about a jurisdiction's ability to support a COA. Planners can use PEs for both future and current operations planning. As a minimum, planners should prepare separate PEs for personnel, administration and finance, operational organizations (e.g., fire, law enforcement, emergency medical services [EMS]), logistics, communications, equipment, and facilities. Each PE compares the COAs being considered for a particular operation. They make recommendations as to which COA best supports the operation. PEs should also identify the criteria used to evaluate each area; facts and assumptions that affect those areas; and the issues, differences, and risks associated with a COA. Figure 2.2 provides a suggested format for a preparedness estimate.

Preparedness Resource

The Target Capabilities List can help planners identify target outcomes, tasks, personnel, equipment, and exercise elements to serve as criteria for evaluating the status of functional areas when producing preparedness estimates during course-of-action development.

(Function) Preparedness Estimate for (Hazard Annex/Plan)

1. **Hazard or Threat Characteristics:** States how the hazard's or threat's disaster dimensions affect the functional area.
2. **Current Status:** Lists the current status (e.g., training, serviceability, quantity) of resources that affect the functional area.
3. **Assumptions:** Lists any assumptions that affect the functional area.
4. **Courses of Action:** Lists the courses of action considered during the planning process and the criteria used to evaluate them.
5. **Analysis:** Provides the analysis of each COA using the criteria identified in Chapter 4.
6. **Comparison:** Compares and ranks the order of each COA considered.
7. **Recommendation:** Recommends the most supportable COA from the functional area's perspective. Identifies ways to reduce the impact of issues and deficiencies identified for that COA.

Figure 2.2 Suggested Preparedness Estimate Format

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3. THE PLANNING PROCESS

3. THE PLANNING PROCESS

OVERVIEW

This chapter describes an approach for operational 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 current operations becomes second nature. The goal is to make the planning process routine across all phases of emergency management and for all homeland security mission areas.

The process described in this chapter blends concepts from a variety of sources. Figure 3.1 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 organizations and NGOs 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.

Integrated Planning System	CPG 101	NIMS Preparedness	NIMS Incident Command
Form the planning team			
Understand the situation	Understand the situation <ul style="list-style-type: none"> • Conduct research • Analyze the information 	Understand the situation	Gather information
Determine goals and objectives	Determine goals and objectives	Establish incident objectives and strategy	Estimate course and harm Determine appropriate strategic goals
Plan development (analyze courses of action)	Develop the plan <ul style="list-style-type: none"> • Develop and analyze courses of action • Identify resources 	Develop the plan	Assess options and resource requirements
Plan preparation, review, approval	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 refinement and execution	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
			Review

Figure 3.1 Comparison of Published Planning Processes

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 continuous;
- Attempt to reduce unknowns in the anticipated event, while acknowledging that it is impossible to preplan every aspect of every mission area;
- 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 operations plan. 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 threats, 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. Develop the plan.
 - (a) Develop and analyze courses of action.
 - (b) Identify resources.
5. Prepare, review, and gain approval of the plan.
 - (a) Write the plan.
 - (b) Approve and disseminate the plan.
6. Refine and execute the plan.
 - (a) Exercise the plan and evaluate its effectiveness.
 - (b) Review, revise, and maintain the plan.

Figure 3.2 depicts a process for planners to use when moving through the planning steps. At each step in the planning process, jurisdictions need to consider the impact of the decisions made on training, exercise, equipment, and other requirements. For each step of the planning process, this guide highlights some of those “preparedness estimate” activities.

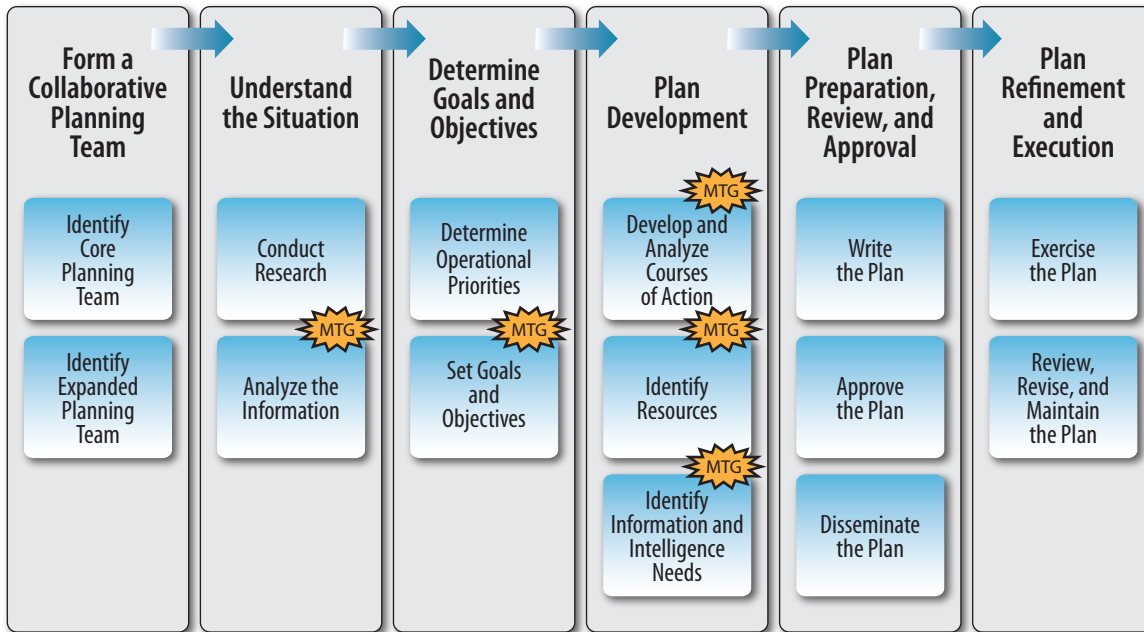


Figure 3.2 Process for Completing the Planning Steps

Note: MTG = meeting.

STEP 1: FORM A COLLABORATIVE PLANNING TEAM

Experience and lessons learned (LLs) indicate that operations planning is best performed by a team. Using a team or group approach helps organizations define their perception of the role they will play during an operation. Case studies and research reinforce this concept by pointing out that the common thread found in successful operations is that participating 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 an event. This approach helps establish a planning routine, so that processes followed before an event occurs are the same as those used during an event.

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. He or she may also be the prevention and protection advisor, if that role is not given to a law enforcement official or other designated advisor. In these roles, emergency managers are often responsible for coordinating and developing an EOP, the most common form of CONPLAN. In practice, this means that the emergency manager usually provides oversight to a jurisdiction's planning team. However, other government agencies or departments have statutory authority and responsibility for implementing prevention, protection, and response actions. Two key groups in this regard are law enforcement and public health. Law enforcement often has the lead in addressing prevention and protection. Public health continues to address unique hazards that cross the bounds between natural, technological, and human-caused. It is important to include a hazard mitigation expert on your planning team. Mitigation planners are a valuable resource for information concerning hazard analysis, functional vulnerabilities, critical facilities, and funding availability. The inclusion of mitigation promotes continuity throughout emergency planning and helps reduce the number of physical constraints by leveraging resources to address anticipated operational requirements. Thus, the emergency manager must ensure that operations planning involves *the jurisdiction's entire emergency management and homeland security team*. Initially, the team should be small, consisting of planners from the organizations that usually participate in emergency or homeland security operations. They form the core for all planning efforts. As an operations plan matures, the core team expands to include other planners.

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 to 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 draft plan.
- 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.

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

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

A jurisdiction might want to base the core planning team's membership on the operations plan structure it uses. For example, locations using an Emergency Support Function (ESF) structure might form a core team composed of planners from the lead agencies or departments for ESF-4 (Fire), ESF-5 (Emergency Management), ESF-6 (Mass Care), ESF-8 (Public Health and Medical Services), and ESF-13 (Public Safety). (These ESF titles are examples. While the Federal naming convention is preferred for consistency, a jurisdiction should use its local ESF naming convention in its plans).

No matter how a jurisdiction structures its core planning team, it needs the involvement of executives from the member agencies, departments, or CIKR organizations (where appropriate). 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) as one way to bring government and 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 operations plans and coordinating and integrating with nongovernmental plans.

Preparedness Estimate

Even at this early stage, begin thinking about the impact of who is involved on your preparedness requirements. For example, if there is no hazardous materials response capability in your jurisdiction, you will need to consider how to obtain that capability (through agreements) or develop that capability (through equipment, training, licensing, etc.). Knowing who or what is missing now will aid in the planning process.

Preparedness Estimate

Personnel should be provided with training that is relevant to the role of voluntary organizations in emergency management and the basics of Community Emergency Response Teams and other government-sponsored volunteer programs, such as the Medical Reserve Corps and Volunteers in Police Service.

Table 3.1 identifies potential members of the larger planning community and their areas of expertise upon which the core planning team can draw. This list is by no means exhaustive. The emergency or homeland security manager must constantly bring planners or subject matter experts (SMEs) who have experience and insights that are appropriate for the task into the planning process. These SMEs could include mutual aid partners, healthcare facility operations, specific government services (e.g., housing inspectors, tax assessors), and even members of the media.

Table 3.1 Potential Members of a Larger Community Planning Team

Individuals/Organizations	What They Bring to the Planning Team
Senior Official (elected or appointed) or designee	<ul style="list-style-type: none"> • Support for the homeland security 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 prevention, protection, response, recovery, and mitigation strategies for the jurisdiction • Knowledge about existing mitigation, emergency, continuity, and recovery plans
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 and incident command
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 • Knowledge about the prevention and protection strategies for the jurisdiction • Knowledge about fusion centers and intelligence and security strategies for the jurisdiction • 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 3.1 (cont.)

Individuals/Organizations	What They Bring to the Planning Team
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
Hazard Mitigation Specialist	<ul style="list-style-type: none"> • Knowledge about all-hazard planning techniques • Knowledge of current and proposed mitigation strategies • Knowledge of available mitigation funding • Knowledge of existing mitigation plans
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)
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)
Social services agency representatives	<ul style="list-style-type: none"> • Knowledge about special-needs populations
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 security and response plans (to be integrated with the jurisdiction's EOP) • Knowledge about potential threats to or hazards at Federal facilities (e.g., research laboratories, military installations)
NGOs (includes members of National VOAD [Voluntary Organizations Active in Disaster]) 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

Table 3.1 (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
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

Expanded planning teams should include representatives from partners within the identified planning area, surrounding jurisdictions, and facilities or locations of concern and must include stakeholder organizations responsible for infrastructure, the economy, the environment, and quality of life. Such organizations include those responsible for building codes, land use and zoning, transportation corridors, utilities, and economic development.

Planners must persuade their leaders or their designees to take an active interest in operations 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 more effective operations. In addition, budget and other project management concerns should be outlined early in the process.
- *Ask the senior elected or appointed official or designee to sign the meeting announcement.* A directive from the executive office carries the authority of the senior official and sends a clear signal that the participants are expected to attend and that operations planning is important to the community.
- *Allow flexibility in scheduling after the first meeting.* Not all team members will need to attend all meetings. In some cases, task forces or subcommittees can complete the work. When the planning team chooses to use this option, it should provide project guidance (e.g., timeframes and milestones) but let the subcommittee members determine when it is most convenient to meet.

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

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

STEP 2: UNDERSTAND THE SITUATION

Conduct Research

This step and Step 2b (Analyze the information) start the problem-solving process. Hazards and threats are the general problems that jurisdictions face. Researching and analyzing information about potential hazards and threats a jurisdiction may face brings specificity to the planning process. If hazards and threats are viewed as problems and operational plans are the solution, then hazard and threat identification and analysis are key steps in the planning process.

Gathering information about the jurisdiction's planning framework, potential hazards and threats, resource base, demographics, and geographic or topological characteristics that could affect emergency operations is the first step of research.

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 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 locations and depth of flood at the site) may also be available for use.

Threat assessments prepared for or by Local and State agencies may provide information on potential "soft targets" and threats within the jurisdiction. In addition, State and Local hazard mitigation plans are excellent resource documents to support this step. Mitigation plans are required to identify, catalogue, and analyze all natural hazards that have the ability to impact the specified community. Some jurisdictions take additional steps to include human-caused and technological hazards as well.

Planning Steps

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5. Plan preparation, review, approval
6. Plan refinement and execution

Preparedness Resources

Information sources for planners include the Universal Task List (UTL), the Target Capabilities List (TCL), the NIMS Resource Typing Definitions, and the National Planning Scenarios.

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

The planning team should not forget to draw on the resources of State and Local fusion centers. Fusion centers can provide analytical products, such as risk and trend analyses, that are derived from the systematic collection and evaluation of threat information. Fusion centers also provide access to national-level intelligence and can serve as a mechanism to “deconflict” information.

The sources for “expert opinions” on hazard or threat potential are similar: local, State, Regional, and Federal agencies; academic, industrial, and public interest group researchers; private consultants specializing in hazard or threat analysis; and professional associations concerned with the hazards or threats on a planner’s list. Sources for information on the community and possible consequences from hazards and threats vary. To determine the potential consequences of certain facility-based hazards, planners might check with the facility owner/operator or the agency (Local, State, Regional, or Federal) that regulates that kind of facility. For demographics, 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. Because 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. Pre-established partnerships and relationships are important for leveraging subject matter expertise and resources during a disaster.

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 or threat information is to use a matrix based on dimensions used during the hazard analysis process:

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

Analysis is the basis for operation plan development. Analysis helps a planning team decide what hazards or threats 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. The analysis method inventories, evaluates, and provides loss estimates for assets deemed critical during the response and recovery phases of an event. 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. This type of hazard assessment is similar to that which is required for hazard mitigation plans. In fact, if the community possesses a FEMA-approved Multi-Hazard Mitigation plan, an assessment may be readily available. Mitigation plans can be used as reference documents to simplify the development of most hazards-based analyses.

Preparedness Estimate

Remember that as the situation is analyzed and hazards or threats are prioritized, each carries with it training, equipment, and exercise requirements. It is not too early — even if just at a high level — to consider what is within the scope of capability of your jurisdiction and how you can enhance those capabilities through adding or sharing resources.

Planning Steps

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In addition, FEMA has several resources available for the analysis of human-caused events, primarily terrorism. These resources include the *National Planning Scenarios*, the *Joint DHS/Department of Justice (DOJ) Fusion Process Technical Assistance Program*, and *Transit Risk Assessment Module/Maritime Assessment Strategy Toolkit*. Hazard and threat analysis requires that the planning team knows the kinds of emergencies or events that have occurred or could occur in the jurisdiction. The process should begin with a list of the hazards and threats 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 3.2.

Table 3.2 Sample Hazards 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

Planners must keep in mind that hazard or threat lists pose two problems. The first is exclusion or omission. There is always a potential for new and unexpected hazards and threats (part of the reason why maintaining an all-hazards, all-threats capability is important). The second is that such lists involve groupings, which can affect subsequent analysis. A list may give the impression that hazards or threats 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.

The planning team must compare and prioritize risks to determine which hazards or threats merit special attention in planning (and other emergency and homeland security management efforts). It also must consider the frequency of the hazard or threat and the likelihood or severity potential of its consequences in order to develop a single indicator of the risk to the jurisdiction. 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 or threats may pose a risk to the community that is so limited that additional analysis is not necessary.

The analysis process produces facts and assumptions, which can be distinguished as follows:

- Facts are verified pieces of information, such as laws, regulations, terrain maps, population statistics, 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 establish expected conditions of an operational environment so that planning can proceed. Assumptions are used as facts only if they are considered valid (or likely to be true) and are necessary for solving the problem. Incident managers change assumptions to facts when they implement a plan. For example, when producing a flood annex, planners may assume the location of the water overflow, size of the flood hazard area, and speed of the rise in water. When the plan is put into effect as the event unfolds, operations personnel replace assumptions with the facts of the situation and modify the plan accordingly. *Planners are urged to use assumptions sparingly and to put greater effort into performing research and acquiring facts.*

The outcomes of the analysis process help planners determine goals and objectives (Step 3) and select the supporting planning concept they will use when developing the plan (Step 4).

STEP 3: 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 or threat would evolve in the jurisdiction and what defines a successful operation. Starting with a given intensity for the hazard or threat, the team imagines an event's development from prevention and protection efforts, through 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/threat 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 and threats. During this process of building an event scenario, the planning team identifies the needs and demands that determine actions and resources. Planners are looking for agent-, response-, and constraint-generated needs and demands.

- Agent-generated needs and demands are caused by the nature of the hazard or threat. They lead to functions such as law enforcement intervention, public protection, population warning, and search and rescue.

Planning Steps

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- Response-generated needs and demands are caused by actions taken in response to an event-generated problem. These tend to be common to all operations. 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).

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 1:

Complete tourist evacuation 72 hours before arrival of TS winds.

Intermediate objective 2:

Complete medical evacuations 24 hours before arrival of TS winds.

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 operation. 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 operation is successful. *Objectives* are more specific and identifiable actions carried out during the operation. They lead to achieving response goals. They are the things that participants in the operation have to accomplish — the things that translate into activities, implementing procedures, or operating procedures by responsible organizations. The sidebar shows the relationships among operational priorities, goals, and objectives. As goals and objectives are set, planners may identify more needs and demands.

A prudent exercise at this point would be to review the community’s mitigation strategy. Operational priorities identified as viable mitigation activities can be included as goals during the development and/or update of the all-hazards mitigation plan. This activity enables the community to leverage its assets and possibly reduce the number of identified constraint-generated demands.

Preparedness Resource

The Target Capabilities List supplies information on critical activities, tasks, and target outcomes for specific functions that support development of goals and objectives.

STEP 4: 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. For example, some prevention and protection courses of action can be developed that may require a significant initial action (such as hardening a facility) or creation of an ongoing procedure (such as checking identity cards.). 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 inadequate response, leading to more damaging effects on the affected population or environment.

Planning Steps

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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

The process of developing courses of action uses the *hybrid planning* approach previously discussed. When developing courses of actions, planners depict how an operation unfolds by building a portrait of the event's actions, decision points, and participant activities. This process helps planners identify tasks that 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 operational flow, such as a white board, "yellow sticky" chart (Figure 3.3), or some type of project management or special planning software. COA development follows these steps:

- a. *Establish the timeline.* Planners should cover all mission areas in the timeline and typically use the speed of event 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.
- b. *Depict the scenario.* Planners use the scenario information developed in Step 3 (Determine Goals and Objectives) and place the event information on the timeline.

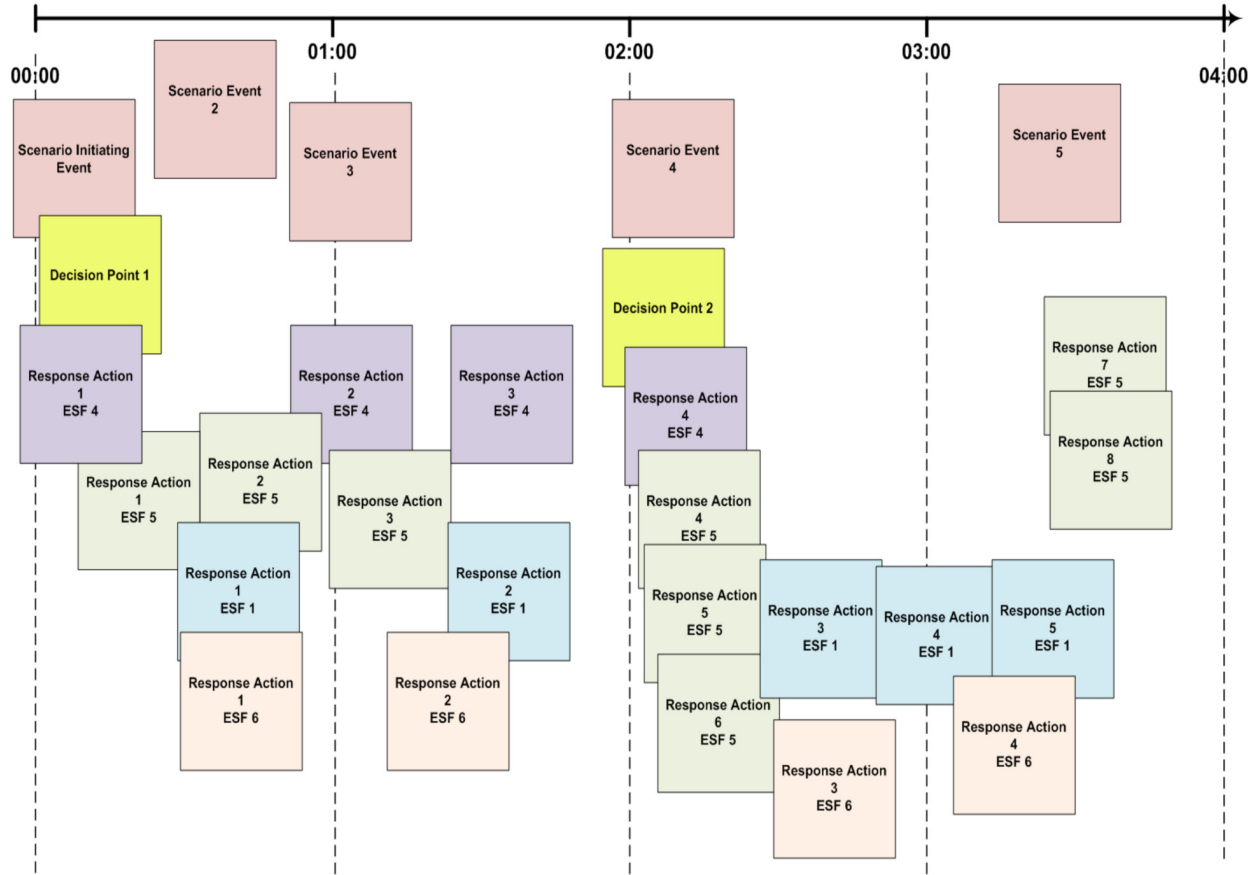


Figure 3.3 “Yellow Sticky” Chart

- c. *Identify and depict decision points.* Decision points indicate the place in time, as events unfold, when leaders anticipate making decisions about a COA. 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.
- d. *Identify and depict operational tasks.* For each operational task 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. An operational task 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?

Now is a good time to take the work to date and revisit with your senior officials – it is important for them to understand what you are planning for and why.

- e. *Identify resources.* Initially, the planning team identifies resources needed to accomplish operational tasks in an unlimited manner. The object is to identify the resources needed to make the operation 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 should also include a list of facilities vital to emergency operations, and the list should indicate how individual hazards might affect the facilities. Whenever possible, match resources with other geographical/regional needs so that multiple demands for the same or similar resources can be identified and conflicts resolved. This step provides planners an opportunity to identify resource shortfalls to pass to higher levels of government and to prepare pre-scripted resource requests, as appropriate. The operations plan should account for unsolvable resource shortfalls so they are not just “assumed away.”
- f. *Identify information and intelligence needs.* Another outcome from the game planning effort is a “list” of the information and intelligence needs for each of the response participants. Planners should identify the information and intelligence they will need and their deadline(s) for receiving it to drive decisions and trigger critical actions. These needs eventually find their way into CONPLAN and OPLAN information collection matrices.
- g. *Assess progress.* When developing courses of action, the process should be periodically “frozen” so the planning team can:
- Identify progress made toward the end state, including goals and objectives met and new needs or demands,
 - Identify “single point failures” (i.e., tasks that, if not completed, would cause the operation to fall apart),
 - Check for omissions or gaps,
 - Check for inconsistencies in organizational relationships.
 - Check for mismatches between the jurisdiction’s plan and plans from other jurisdictions with which they are interacting.

Preparedness Estimate

As you complete COA development and make decisions on how you want to proceed as a jurisdiction, consider the impact of each COA on your preparedness activities. Each solution carries with it training, equipment, and exercise requirements. For example, the decision to develop courses of action for an emergency operation for a Category 4 hurricane has implications on staffing, prepositioned commodities requirements, and other factors that must be addressed pre-event.

“Red-Teaming” as a Method for Analyzing Courses of Action

Examining plans “through the eyes of the enemy” can lead to significant improvements and a higher probability of success.

This process is known as “red-teaming.” Essential elements of a red-team review include:

- Soliciting peer review of the draft plans by respected SMEs from outside of the jurisdiction;
- Evaluating the plan under multiple scenarios and a wide range of circumstances;
- Using tabletop exercises, facilitated seminars, and computer models and simulations to aid in analysis; and
- Examining the plan from other perspectives (e.g., neighboring jurisdictions, the media, private industry, volunteer agencies, special-needs populations, and the general public).

Red-teaming is most successful when chief executives endorse and support it. Participants must be able to make their comments in an atmosphere of confidentiality and non-attribution.

STEP 5: PLAN PREPARATION, REVIEW, AND APPROVAL

Write the Plan

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 disseminate the plan
6. Plan refinement and execution

This step turns the results of COA development into an operations plan. The planning team develops a rough draft of the base plan, functional or hazard annexes, or other parts of the plan as appropriate. The recorded results from Step 4 (plan development) provide an outline for the rough draft. As the planning team works through successive drafts, the members add necessary tables, charts, and other graphics. A final draft is prepared and circulated to organizations that have responsibilities for implementing the plan to obtain their comments. (See Chapter 5 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 and minimize the use of acronyms.
- Use short sentences and the active voice. Qualifiers and vague words only add to confusion.
- Provide enough detail to convey an easily understood CONOPS. The less certain a situation, the less detail can be put into the plan. Those parts of a plan that would be most affected by the hazard's effects should have the least amount of detail. Conversely, those sections that would be least affected by the hazard's effects should have the most 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.

Preparedness Estimate

A good time to revisit the impact of planning decisions on training, exercise, and equipment requirements is when the planning team archives its work.

Approve and Disseminate 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 plan review cycle. Reviews of plans allow other agencies with emergency or homeland security responsibilities to suggest improvements to a plan on the basis of 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 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.

Planning Steps

1. Form a collaborative planning team
2. Understand the situation
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Use of an assessment tool (such as one built around the TCL) to examine overall preparedness — including planning — is another method of review. When reviewing plans, the following questions are examples of what to ask as part of the validation process:

- Are the plan's scope and concept of operations sufficient for participants to accomplish assigned tasks? Are the assumptions valid? Do the plans comply with task assignments and guidance from leadership and management?
- Does the plan satisfy leadership's or management's task assignment and demonstrate effective use of resources (defined as adequacy and feasibility)? Adequacy determines whether or not the scope and concept of planned operations are capable of satisfying the assigned tasks. Review for feasibility determines whether assigned tasks can be accomplished by using available resources.
- Acceptability: Are the plans worth the cost and do they incorporate considerations of homeland security and political supportability?
 - Consistency with doctrine: Do operation plans comply with doctrine as stated in approved publications?
 - Completeness: Does the plan adequately answer who will execute it? Does it describe how it will be accomplished?

A jurisdiction does not have to provide all of the resources needed to meet a capability requirement established during the planning effort. However, the plan should explain from where the jurisdiction will obtain the resources to support those required capabilities. 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, memoranda of agreement or understanding (MOA or MOU), regional compacts, or some other formal request process.

Once the plan validation is completed, the emergency or homeland security manager should present the plan to the appropriate elected officials and obtain official promulgation of the plan. The promulgation process should be based in a 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 approval is obtained, the emergency or homeland security 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 that a copy of the plan be posted on the jurisdiction’s Web site or be placed in some other public **accessible** location.

STEP 6: PLAN REFINEMENT AND EXECUTION

Exercise the Plan and Evaluate Its Effectiveness

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

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

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.

Preparedness Resources

Each of the programs listed on the previous page — HSEEP, REPP, and CSEPP — offer training courses, equipment recommendations, guidance documents, and materials that discuss the development of a comprehensive exercise program.

- *Adequacy.* A plan is adequate if the scope and concept of planned 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 a threat or 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 (i.e., the risk associated with 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, because these 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 operational 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 operational timing make it something to keep in the plan?
- What aspects of the action, process, decision, or operational 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 operational performance?

Preparedness Resources

Jurisdictions should consider providing their personnel with training that utilizes the Corrective Action Program (CAP) System.

The essence of a successful corrective action program at any level involves a combination of processes, people, and tools for systematic implementation and follow-up programs.

For more details see:

https://hseep.dhs.gov/pages/1001_Toolk.aspx

A remedial action process can help a planning team identify, illuminate, and correct problems with the jurisdiction's operations plan. 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 across all mission areas. Remedial actions may involve revising planning assumptions and operational concepts, changing organizational tasks, or modifying organizational implementing instructions (i.e., the SOPs).

Remedial actions may also involve providing refresher training on performing tasks assigned by the operations plan 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, operations planning is a continuous process that does not stop when the plan is published.

Planning teams should establish a process for reviewing and revising the plan. Reviews should be a recurring activity. Some jurisdictions have found it useful to review and revise portions of their operations plans 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 operational resources (policy, personnel, organizational structures, or leadership 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 or threat profile; or
- The enactment of new or amended laws or ordinances.

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


Planning Steps

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Preparedness Estimate

The preparedness cycle outlined in the *National Preparedness Guidelines* includes allocating resources and updating and executing programs that support the requirements and objectives identified in operational plans. When reviewing budgets and applying preparedness programs for building capabilities, decision makers should consider resource return on investment — comparing costs with the achievement of objectives identified in operational plans. They should base exercise objectives, sought-after training, or equipment purchases upon the requirements and needs identified during the planning process.

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4. LINKING FEDERAL, STATE, TERRITORIAL, TRIBAL, AND LOCAL PLANS

4. LINKING FEDERAL, STATE, TERRITORIAL, TRIBAL, AND LOCAL PLANS

The Robert T. Stafford Disaster Relief and Emergency Assistance Act (Public Law 93 288, as amended; 42 U.S.C. 5121, et seq.) 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 a 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, Federal CONPLANS and OPLANS, and State EOPs. It also outlines the links between Federal and State emergency response operations for planning purposes. To ensure a common understanding of these linkages at all levels of government, this chapter provides the same information as presented to Federal emergency planners in CPG 102.

EMERGENCY PLANNING REQUIREMENTS

The terrorist attacks of September 11, 2001, Hurricanes Katrina and Rita, and other major incidents illustrate 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 domestic incident management. To address this need, the President signed a series of Homeland Security Presidential Directives requiring the Federal government to enhance its ability to integrate its emergency planning processes with those used by State, Territorial, Tribal, and Local governments. The ultimate goal of these HSPDs is to develop a common, nationwide approach to prevention, protection, response, and recovery planning. The following 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, Tribal, and Local governments to establish a national response framework and a national incident management system.
- *HSPD-7, Critical Infrastructure Identification, Prioritization, and Protection*, establishes a national policy for Federal departments and agencies to identify and prioritize the United States' critical infrastructure and key resources and to protect them from terrorist attacks. It requires DHS to coordinate with other Federal departments and agencies, State and local governments, and the private sector to:
 - a. Identify, prioritize, and coordinate the protection of CIKR; and
 - b. Facilitate sharing of information about physical and cyber threats, vulnerabilities, incidents, potential protective measures, and best practices.
- *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, Tribal, and Local 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 requires the development of an Integrated Planning System that guides integration and synchronization across Federal departments and agencies. The IPS concept 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 the most likely events, the Federal government centers its efforts on the most dangerous scenarios.
- *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 COG and operations for State, Territorial, Tribal, and Local governments and private sector organizations in order to ensure rapid and effective response to and recovery from national emergencies.

These HSPDs, together with the NIMS, the NRF, and the *National Preparedness Guidelines*, define how the Nation as a whole prevents, protects against, responds to, and recovers from a major event; these resources also help determine the measures of an operation’s success. These efforts align Federal, State, Territorial, Tribal, and Local entities; the private sector; and NGOs in an effective and efficient national structure for preparedness, incident management, and emergency response. The relationships between these national preparedness initiatives and State, Territorial, Tribal, and Local emergency planning are depicted in Figure 4.1.

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

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

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

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

- Integrate ICS into functional, 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.

Relationship of National Preparedness Initiatives to Emergency Planning

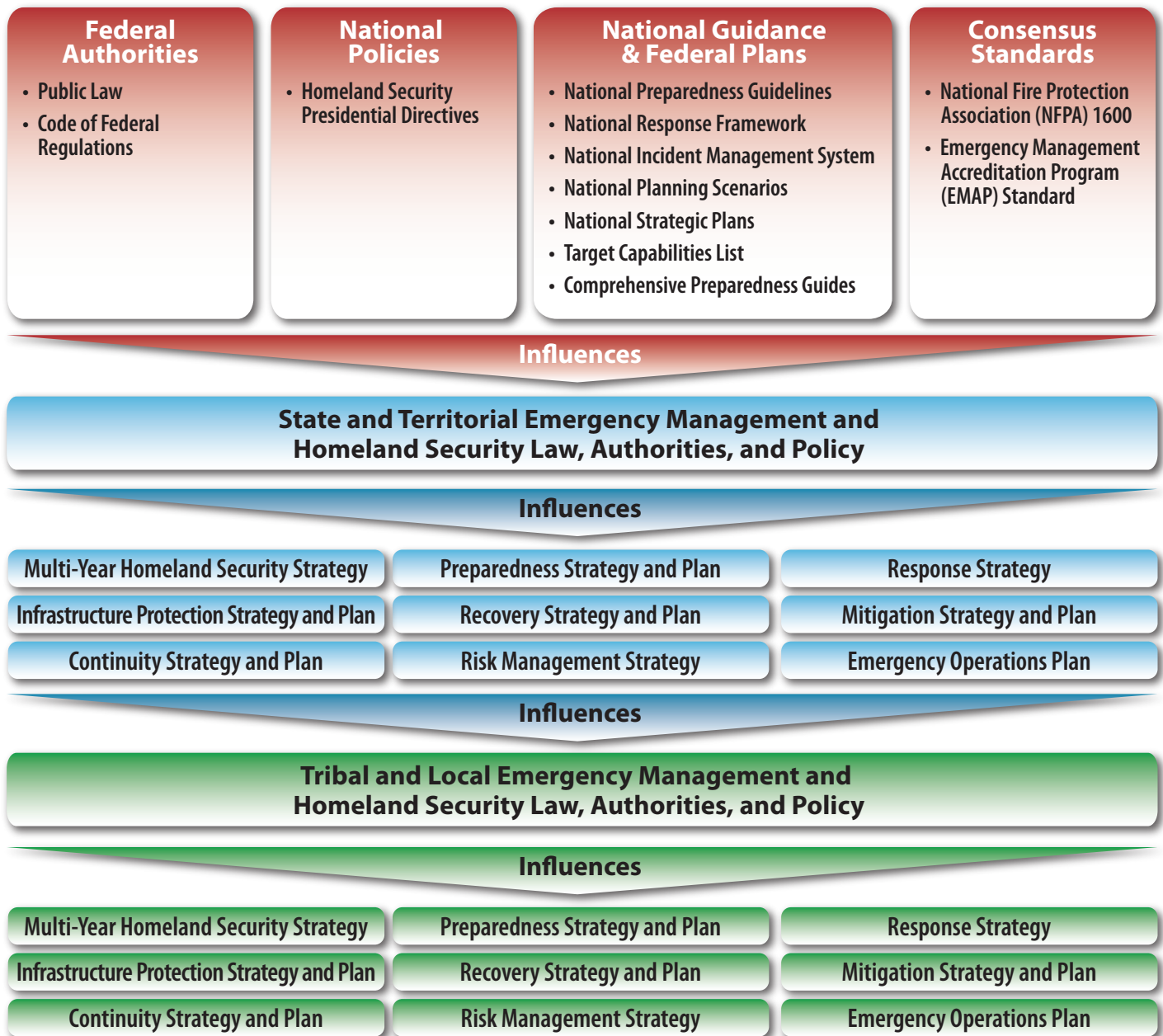


Figure 4.1 Relationships of the National Preparedness Initiatives to State, Territorial, Tribal, and Local Emergency Planning

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): MACS defines the operating characteristics, interactive management components, and organizational structure of supporting incident management entities engaged at the Federal, State, Territorial, Tribal, and Local 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 (JFOs)**.
 - 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 that the NIC will 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 that are 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.

The National Response Framework

The 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 the States in catastrophic incidents. Most important, it builds upon NIMS, which provides a consistent national template for managing incidents.

Planning Considerations

The NRF identifies State, Territorial, Tribal, and Local jurisdiction responsibility to develop detailed, robust all-hazards/all-threats EOPs. It says these plans:

- Should clearly define leadership roles and responsibilities and clearly articulate the decisions that need to be made, who will make them, and when;
- Should include both hazard- and threat-specific and all-hazards/all-threats plans tailored to the locale;
- Should be integrated and operational and incorporate key private sector business and NGO elements; and
- Should include strategies for both no-notice and forewarned evacuations, with particular consideration given to assisting special-needs populations.

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 interoperability and redundancy of communications.

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

Federal Planning

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.

Concept of Operations

The NRF is always in effect. It guides governments at all levels, the private sector and NGOs, and individual citizens toward a shared and effective response. Upon warning that a disaster is likely to occur or has occurred, elements of the NRF may be implemented in a scalable and flexible way to improve response.

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:

- ESF 1 Transportation;
- ESF 2 Communications;
- ESF 3 Public Works and Engineering;
- ESF 4 Firefighting;
- ESF 5 Emergency Management;
- ESF 6 Mass Care, Emergency Assistance, Housing, and Human Services;
- ESF 7 Logistics Management and Resource 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 Community Recovery; and
- ESF 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.

RELATIONSHIP BETWEEN FEDERAL PLANS AND STATE EOPS

Federal national and regional CONPLANS and OPLANS and State EOPs describe each respective governmental level's approach to emergency operations. Because these levels of government all provide support to emergency operations conducted at the local level, there are similar and overlapping functions in their plans.

As indicated in Chapters 1 and 3, emergency plans must be coordinated vertically among all levels of government to ensure a singular operational focus. The goal is to ensure the effectiveness of combined Federal and State, Territorial, Tribal, and Local operations through integration and synchronization. Key concepts for a national planning structure — integration and synchronization — serve different but equally important purposes in linking Federal plans and State EOPs.

From the Federal government perspective, integrated planning helps answer the question of how its agencies and departments add the right resources at the right time to support State and Local operations. From the States' perspective, integrated planning provides answers to questions about working with other organizations and obtaining resources.

Federal Emergency Plans at the National Level

HSPD-8 Annex I and the NRF identify three levels of Federal plans that flow from the National Planning Scenarios.

- **Strategic Guidance Statements and Strategic Plans.**
 - *Strategic Guidance Statements (SGSs)* outline broad strategic priorities, broad national strategic objectives, and basic assumptions. They describe an envisioned end state and establish the general means necessary to achieve that state. DHS develops SGSs for each of the eight national planning scenario sets. DHS-selected, national-level SMEs use the guidance statements to develop strategic plans.
 - *Strategic Plans* define missions, identify authorities, delineate roles and responsibilities, establish mission-essential tasks, determine required and priority capabilities, and develop performance and effectiveness standards to meet SGS requirements.
- **National-Level Interagency Concept Plans (CONPLANS)** implement Strategic Plans and describe the CONOPS for integrating and synchronizing existing national-level Federal capabilities to support Federal, regional, State, Territorial, Tribal, and Local plans.
- **Operations Plans (OPLANS)** identify detailed resource, personnel, and asset allocations in order to execute the objectives of the strategic plan and turn strategic priorities into operational execution. An operations plan contains a full description of the CONOPS to include specific roles and responsibilities, tasks, integration, and actions required, with support function annexes as appropriate.

Federal Emergency Plans at the Regional Level

Regional emergency plans also include both CONPLANs and OPLANs; however, they provide the specifics about potential actions and activities taken by regional offices of Federal departments and agencies to support State operations. They also provide the necessary link between the State EOP and the NRF. Within an identified scope, each CONPLAN or OPLAN:

- 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 implementation instructions for accomplishing the actions agreed upon in the Region/State MOUs.

An MOU is a written agreement between the Federal and State governments. The FEMA Regional Administrator 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 CONPLAN or OPLAN:

- 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 (e.g., telephone, cell, pager, radio, teletype, e mail, fax); frequency of contact; and message content (e.g., initial discussions on scope of the disaster, the State's initial assessment of the situation, identification of liaison officers and their estimated arrival time[s] at the State EOC/JFO, likely staging areas for Federal response teams);
- Provision for **Incident Management Assistance Team (IMAT)** personnel to assist in conducting a "rapid situation assessment" immediately prior to or after a disaster has occurred;
- 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 and/or 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

In addition to describing how the State fulfills its mission of 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 the State must take during the initial phase of response operations and that fall outside of the Federal response mission and thus are not appropriate for inclusion in Federal response plans.

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 when conducting emergency operations. The State EOP:

- Identifies the State's departments and agencies designated to perform response and recovery activities and specifies tasks they must accomplish.
- Outlines the assistance that 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 upon 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) 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 Regional Response Plan (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).
- Describes 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.
- Provides for designating a **State Coordinating Officer (SCO)** to work directly with the **Federal Coordinating Officer (FCO)**.
- Provides for assisting the FCO in identifying candidate locations for establishing the JFO.
- Provides details on the coordinating instructions and provisions for implementing interstate compacts, as applicable.
- Provides explanations about logistical support for planned operations.

Federal and state planning relationships are depicted in Figure 4.2.

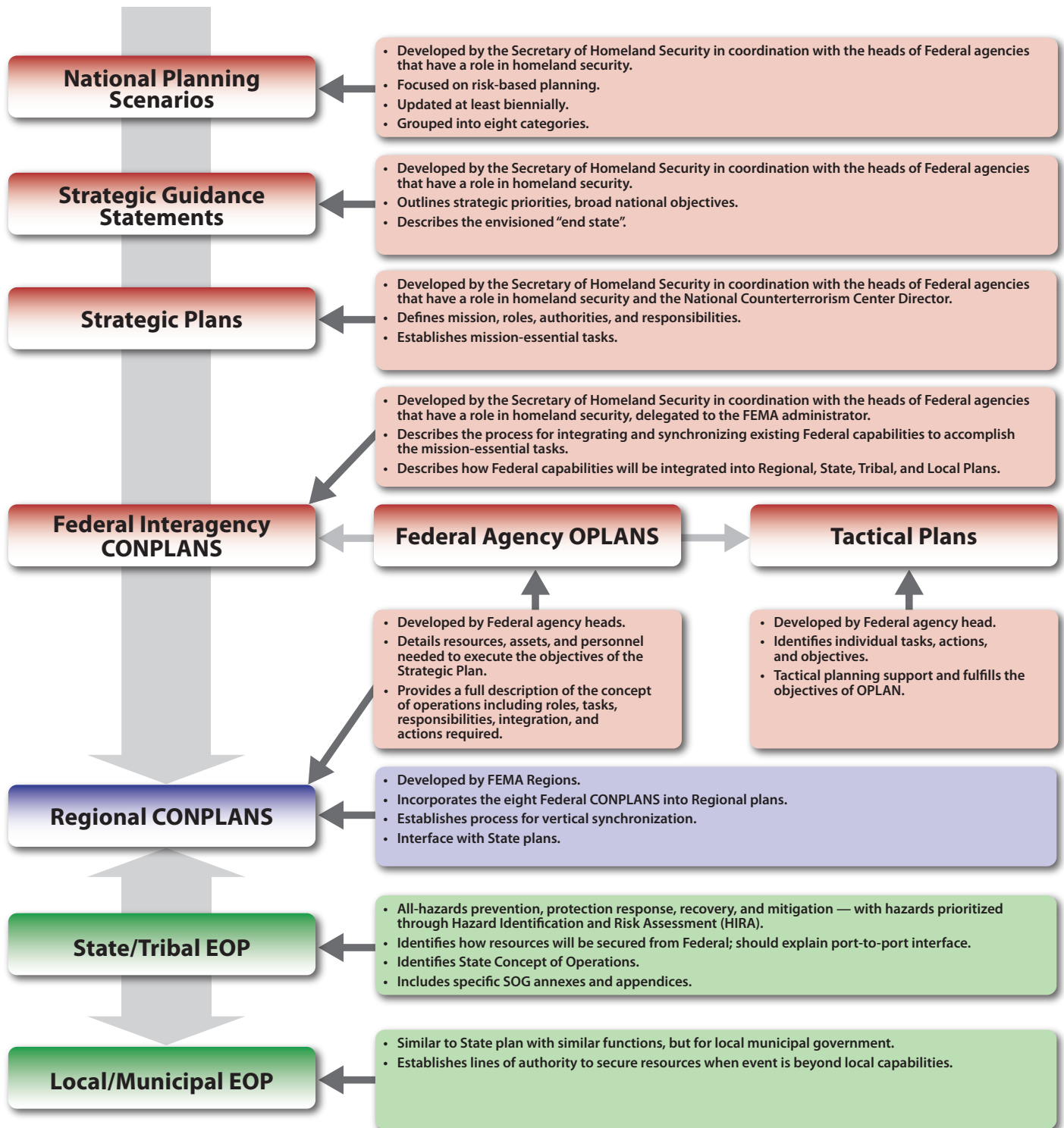


Figure 4.2 Federal and State Planning Relationships

LINKING FEDERAL, STATE, TERRITORIAL, TRIBAL, AND LOCAL EMERGENCY PLANS

A close analysis of the planning relationships described in the previous section clearly shows that the FEMA Region is the interface point between the Federal and State, Territorial, Tribal, and Local planning processes. The FEMA Region is the place where State and Local needs and demands are converted into Federal support missions. Likewise, it is also the place where Federal capabilities are turned into roles and resources that support State and Local operations for long-duration or high-impact emergencies, disasters, and catastrophic events. It is where the “most likely” risk perspective of the State and Local planning structure and the “most dangerous” risk perspective of the Federal planning structure intersect. It is through the FEMA Region that planning for Federal operations driven by the National Planning Scenarios is integrated and synchronized with planning for operations shaped by the hazards and risks faced by State, Territorial, Tribal, and Local communities. Figure 4.3 depicts these linkages.

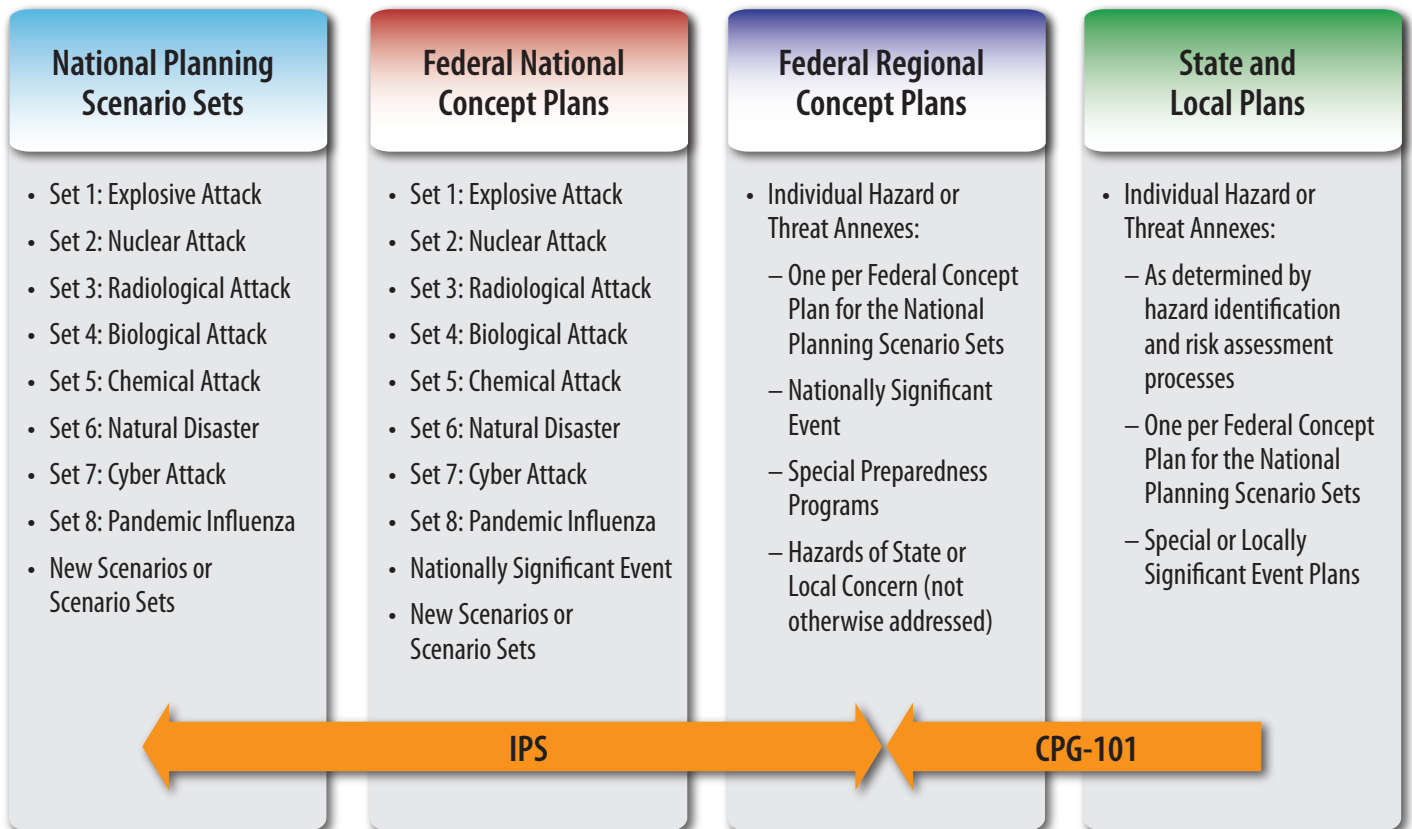


Figure 4.3 Linkages between Federal, Regional, and State and Local Plans

As described in Chapter 3, State and Local needs and demands are determined as part of their planning process through course-of-action development. Similarly, FEMA Regions determine capability gaps, resource shortfalls, and State expectations for Federal assistance through the process of gap analysis. FEMA Regions conduct these gap analyses by using whatever method best fits the need — planning with a joint planning team with multiple State representatives, individually with each State, or through some other method.

To ensure a common operational concept, each Regional CONPLAN includes an annex that summarizes the CONOPS, operational priorities, and operational concerns and needs for each State within its jurisdiction.

In summary, the relationships established between the FEMA Region and the Federal-National and State and Local partners are the foundation for ensuring effective combined emergency operations. The resulting plan integration helps each operational level know what is expected of it, what to do during operations, and what others are doing at the same time. Thus, the FEMA Regions help provide operational cohesion during the stress of a catastrophic event.

SECTION 2:
PLANNING APPLICATION —
DEVELOPING AN
EMERGENCY OPERATIONS
PLAN

March 2009



FEMA



5. EMERGENCY OPERATIONS PLAN FORMATS

5. EMERGENCY OPERATIONS PLAN FORMATS

THE EMERGENCY OPERATIONS PLAN AS A CONPLAN

Traditionally, the focus of a jurisdiction's operations planning effort has been the emergency operations plan. EOPs are CONPLANS, in that they define the scope of preparedness and emergency management activities necessary for that jurisdiction. The existing EOP structures and concepts that follow in this chapter provide an example for State and local governments to use when developing any CONPLAN or OPLAN. The EOP format works well for both conventional and complex emergency operations.

Emergency management involves several kinds of plans, just as it involves several kinds of actions. While many jurisdictions consider the EOP the centerpiece of their planning effort, it is not the only plan that addresses homeland security functions. Other types of plans that support and supplement the EOP are discussed later in this chapter.

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;
- Identifies personnel, equipment, facilities, supplies, and other resources available — within the jurisdiction or by agreement with other jurisdictions;
- Reconciles requirements with other jurisdictions; and
- Identifies steps to address preparedness and mitigation concerns in all four homeland security mission areas.

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 lead agency and/or functional area representatives to the Incident Command, Unified Command (UC), or multiagency coordination entity whenever possible to facilitate responsive and collaborative incident management.

Preparedness Resources

Consider developing a Multi-Year Training and Exercise Program based upon initiatives developed for Urban Area Security Initiatives, States, and the Federal government. This type of plan outlines a multiyear schedule and milestones for execution of specific training and exercise activities. See HSEEP Volume I for additional information:
<https://hseep.dhs.gov/support/Volumel.pdf>.

An EOP also defines the scope of *preparedness* activities necessary to make the EOP more than a mere paper plan. Preparedness 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. Additionally these activities identify equipment and resource requirements. Adjusting an EOP after conducting training or exercises or responding to events also makes it practice-based.

The EOP facilitates prevention, protection, 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 linking those plans to the EOP

State, Territorial, Tribal, and Local 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 organization (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 measures 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.

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, hurricanes, and radiological events 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 or homeland security 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 jurisdiction's 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. 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 and has a complex government structure, county emergency operations may take on more of a coordination-and-support flavor. Thus, an ESF approach may be optimal for that county's EOP. In contrast, a small rural community with a small government structure and staff that perform multiple duties may get more utility out of a function-based 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 1990s. Its format has three major sections: the **Basic Plan**, **Functional Annexes**, and **Hazard-Specific Appendices** (Figure 5.1).

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 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 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 CP will coordinate its functions with the Federal Bureau of Investigation's (FBI's) on scene operations center during a terrorist threat 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.

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) Information Collection and Dissemination
- 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) Population Protection
- g) Mass Care/Emergency Assistance
- h) Health and Medical
- i) Resource Management
- j) Prevention and Protection Activities
- k) Critical Infrastructure and Key Resource Restoration

3) Hazard- or Threat-Specific Appendices

(Note: This is not a complete list. Planning teams must define the appendices 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) Biological Terrorism
- h) Tornado

Figure 5.1 Traditional Functional EOP Format

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. Conversely, the planning team may find it necessary to develop appendices for individual threats or specific CIKR facilities rather than include them in a single terrorism appendix.

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 more easily because the same type of information is in the same location. The traditional EOP format is flexible enough to accommodate all jurisdictional strategies. The planning team can add annexes or appendices to include a new function or newly identified hazard or threat. Similarly, the team can separate an operational issue (e.g., Mass Care) into two separate annexes (e.g., Shelter and Feeding and Distribution of Emergency Supplies).

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 **ESF Annexes**, and then attaches separate **Support** or **Incident Annexes** (Figure 5.2).

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, including nongovernmental partners.

The **Support Annexes** describe the framework through which a jurisdiction's departments and agencies, the private sector, not-for-profit and voluntary 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.

EMERGENCY SUPPORT FUNCTION 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) Information Collection and Dissemination
- f) Communications
- g) Administration, Finance, and Logistics
- h) Plan Development and Maintenance
- i) Authorities and References

2) Emergency Support Function Annexes

- a) ESF #1 – Transportation
- b) ESF #2 – Communications
- c) ESF #3 – Public Works and Engineering
- d) ESF #4 – Firefighting
- e) ESF #5 – Emergency Management
- f) ESF #6 – Mass Care, Emergency Assistance, Housing, and Human Services
- g) ESF #7 – Resource Support
- h) ESF #8 – Public Health and Medical Services
- i) ESF #9 – Search and Rescue
- j) ESF #10 – Oil and Hazardous Materials
- k) ESF #11 – Agriculture and Natural Resources
- l) ESF #12 – Energy
- m) ESF #13 – Public Safety and Security
- n) ESF #14 – Long-Term Community Recovery
- o) ESF #15 – External Affairs
- p) Other Locally Defined ESFs

3) Support Annexes

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

4) Incident Annexes

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

Figure 5.2 Emergency Support Function EOP Format

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).
- *Concept of Operations:* This section describes the flow of the emergency management strategy for the incident, hazard, or threat. 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-, hazard-, or threat-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 **Lead and Support Agency** sections and **Hazard-Specific Procedures** for the individual agencies (Figure 5.3). 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 prevent, protect from, respond to, and recover from emergencies. 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, agencies, and nongovernmental partners. 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.

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.

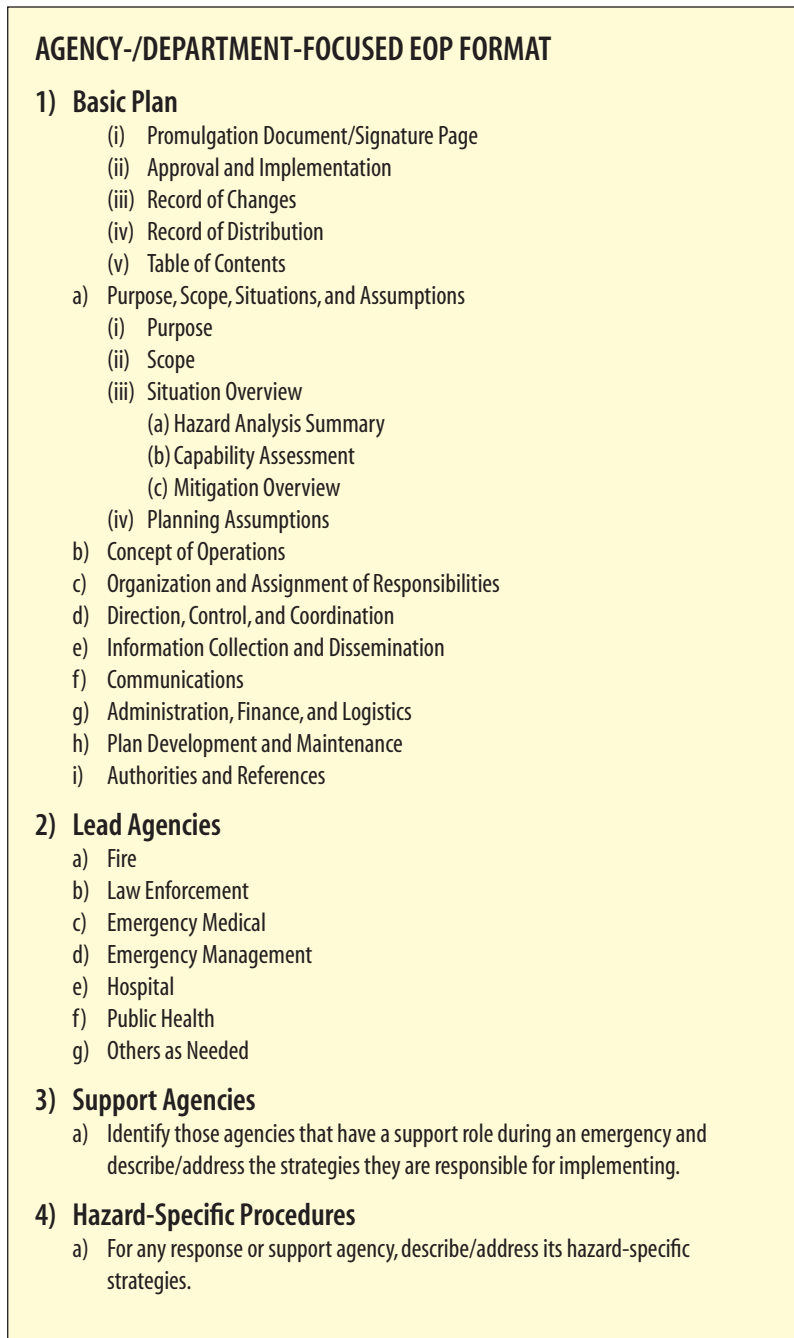


Figure 5.3 Agency-/Department-Focused EOP Format

USING PLANNING TEMPLATES

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.

Managers must ensure that 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 (this chapter) and content guidance (Appendix C).

When using a planning template, planners should consider whether:

- The resulting plan represents the jurisdiction’s unique hazard and threat 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.

ADDITIONAL TYPES OF PLANS

Emergency operations involve several kinds of plans, just as they involve 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 emergency management or homeland security missions. There are other types of plans that support and supplement the EOP and other CONPLANs and OPLANs (collectively, OPERATIONS PLANs).

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, the Disaster Mitigation Act of 2000 requires jurisdictions seeking certain disaster assistance funding to have approved mitigation plans. 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, floodplain managers, and individuals with long-term cultural or economic interests. Existing plans for mitigating hazards are relevant to an EOP since both originate from a hazard-based analysis and share similar component requirements.

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 (i.e., that certain equipment and facilities are available, that people are trained and have gone through exercises, 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 indicate 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.

Prevention and protection plans typically tend to be more facility focused and procedural or tactical in their content. Common State and Local prevention and protection plans include fusion center operations plans, sector-specific or CIKR security plans, and incident-specific contingency action plans.

Procedural Documents

Procedural documents differ from a CONPLAN or OPLAN. 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 operations plan 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 or *operating manuals* are complete reference documents that provide the purpose, authorities, duration, and details for the preferred method for performing a single function or a number of interrelated functions in a uniform manner. 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 operations plan. Staff members 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; and communicating with staff members who are operating from more than one location. REPP, CSEPP, and the Emergency Planning and Community Right-to-Know Act (EPCRA) require jurisdictions to develop certain procedures. The emergency manager works with the senior representatives of tasked organizations to ensure that the SOPs needed to implement the operations plan do, in fact, exist and do not conflict with the operations plan or with one another.

Standard operating procedures may include checklists, call-down rosters, resource listings, maps, and charts. SOPs may also describe how to notify staff; how to obtain and use equipment, supplies, and vehicles; how to obtain mutual aid; how to report information to organizational work centers and the EOC; and how to communicate with staff members who are operating from more than one location.

Field operations guides (FOGs) or *handbooks* are durable pocket or desk guides that contain essential information required to perform specific assignments or functions. FOGs provide those people assigned to specific teams, branches, or functions with 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 to Use 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. EMERGENCY OPERATIONS PLAN CONTENT

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

Scope. The operations plan 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 operations plan 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), 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 operations centers; "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 COOP matters that may be dealt with more fully in annexes.

Preparedness Resource

FEMA Independent Study Course 208, State Disaster Management, discusses the roles and responsibilities of the State Coordinating Officer (SCO).

Organization and Assignment of Responsibilities

This section of the Basic Plan establishes the operational 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** or **Multiagency Coordination System** structure, are helpful. It is critical that this section outlines agency and departmental roles related to prevention and protection activities.

Preparedness Resource

Respond Mission Area target capabilities for On-Site Incident Management and for EOC Management provide tasks and measures that are helpful for identifying operational organizations and assigning responsibilities.

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.

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 (in fact, the plan in general) is typically not the place to talk in detail about EOC organization and operations. Those are SOP issues.

Information Collection and Dissemination

This section describes the required critical or essential information common to all operations 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. This section must address before, during, and after-event information needs. State and Local prevention and protection assets must develop the Information Collection and Dissemination section in close cooperation with each other. 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 annex.

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.

Preparedness Resource

Target capabilities for Intelligence and Information Sharing and Dissemination, Communications, and Critical Resource Logistics and Distribution provide planning, training, and exercise metrics to help a jurisdiction build capacity in those areas.

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 Senior Official (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 COOP (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;
- Information collection and dissemination;
- 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 5 and Appendix C, 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;
- Information collection and dissemination;
- Communications;
- Population warning;
- Emergency public information;

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

This list of emergency response functions is not exhaustive or even comprehensive. Each jurisdiction must assess its own needs, and additional or different annexes from those identified in Appendix C 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. Table 6.1 shows some possible relationships between the traditional emergency management core functions and the department/agency and ESF structures.

Table 6.1 Comparison of Potential Functional Annex Structures

Emergency Management (EM) Functions	Departments and Agencies	ESFs
Direction, Control, Coordination	All Departments and Agencies	All ESFs
Information Collection and Dissemination	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
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/Emergency Assistance	Aging, Family Services, Housing, Labor, Schools, Social Services, Volunteers, State Animal Rescue Teams, Voluntary Organizations	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, Volunteers	ESF 1 – Transportation ESF 2 – Communications ESF 4 – Firefighting ESF 5 – Emergency Management ESF 8 – Public Health and Medical Services
Resource Management	Agriculture, Budget and Management, Economic Development, Energy, Human Resources, Labor, Public Services, Purchasing	ESF 1 – Transportation ESF 5 – Emergency Management ESF 7 – Resource Support ESF 11 – Agriculture and Natural Resources ESF 12 – Energy

Hazard-, Threat-, or Incident-Specific Annexes or Appendices

The contents of Hazard-, Threat-, 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.
- Identify unique prevention and CIKR protection activities to be undertaken to address the hazard or threat, as appropriate.
- 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 shelter-in-place protocols,
 - Provide decontamination support,
 - Provide medical treatment,
 - Provide support to special populations, and
 - Provide search and rescue.
- Implement short-term stabilization.
 - Conduct shelter operations,
 - Reunite 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 marked with evacuation routes 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 the CSEPP and REPP. When participating jurisdictions are developing an EOP, they must ensure that 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.

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SECTION 3: APPENDICES

March 2009



FEMA



APPENDIX A: AUTHORITIES AND REFERENCES

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AUTHORITIES AND DIRECTIVES

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.

Disaster Mitigation Act of 2000, Public Law 106-390.

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

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APPENDIX B:
GLOSSARY
AND LIST OF
ACRONYMS

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 ARC 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

A community-level program, administered by the Department of Homeland Security, that brings government and private-sector groups together and coordinates the emergency preparedness and response activities of community members. Through its network of community, State, and tribal councils, Citizen Corps increases community preparedness and response capabilities through public education, outreach, training, and volunteer service.

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 of 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

A facility established in a centralized location within or near the disaster area at which disaster victims (individuals, families, or businesses) apply for disaster aid.

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 incident, whether natural or manmade, that requires responsive action to protect life or property. Under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, an emergency “means any occasion or instance for which, in the determination of the President, Federal assistance is needed to supplement State and local efforts and capabilities to save lives and to protect property and public health and safety, or to lessen or avert the threat of a catastrophe in any part of the United States” (Stafford Act, Sec. 102(1), 42 U.S.C. 5122(1)).

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 physical location at which the coordination of information and resources to support incident management (on-scene operations) activities normally takes place. An EOC may be a temporary facility or may be located in a more central or permanently established facility, perhaps at a higher level of organization within a jurisdiction. EOCs may be organized by major functional disciplines (e.g., fire, law enforcement, medical services), by jurisdiction (e.g., Federal, State, regional, tribal, city, county), or by some combination thereof.

Emergency Plan

The ongoing plan maintained by various jurisdictional levels for responding to a wide variety of potential hazards. It describes how people and property will be protected; details who is responsible for carrying out specific actions; identifies the personnel, equipment, facilities, supplies, and other resources available; and outlines how all actions will be coordinated.

Emergency Support Function

Used by the Federal Government and many State governments as the primary mechanism at the operational level to organize and provide assistance. ESFs align categories of resources and provide strategic objectives for their use. ESFs utilize standardized resource management concepts such as typing, inventorying, and tracking to facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident.

Evacuation

The organized, phased, and supervised withdrawal, dispersal, or removal of civilians from dangerous or potentially dangerous areas, and their reception and care in safe 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 official appointed by the President to execute Stafford Act authorities, including the commitment of Federal Emergency Management Agency (FEMA) resources and mission assignment of other Federal departments or agencies. In all cases, the FCO represents the FEMA Administrator in the field to discharge all FEMA responsibilities for the response and recovery efforts underway. For Stafford Act events, the FCO is the primary Federal representative with whom the State Coordinating Officer and other State, tribal, and local response officials interface to determine the most urgent needs and set objectives for an effective response in collaboration with the Unified Coordination Group.

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 FEMA, other agencies and organizations (e.g., U.S. Public Health Service, U.S. Army Corps of Engineers, U.S. Environmental Protection Agency, and ARC) and the affected State(s). All Field Assessment Team 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

An individual empowered by a Governor to: (1) execute all necessary documents for disaster assistance on behalf of the State, including certification of applications for public assistance; (2) represent the Governor of the impacted State in the Unified Coordination Group, when required; (3) coordinate and supervise the State disaster assistance program to include serving as its grant administrator; and (4) identify, in coordination with the State Coordinating Officer, the State's critical information needs for incorporation into a list of Essential Elements of Information.

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 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 and designed to aid in the management of resources during incidents. It is used for all kinds of emergencies and is applicable to small as well as 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

An interagency national- or regional-based team composed of subject matter experts and incident management professionals from multiple Federal departments and agencies.

Joint Field Office

The JFO 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, Territorial, Tribal, and Local governments and private-sector and NGOs 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 (JIC)

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

Joint Information System

A structure that integrates incident information and public affairs into a cohesive organization designed to provide consistent, coordinated, accurate, accessible, timely, and complete information during crisis or incident operations. The mission of the JIS is to provide 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 concerning 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.

Mitigation

Activities providing a critical foundation in the effort to reduce the loss of life and property from natural and/or manmade disasters by avoiding or lessening the impact of a disaster and providing value to the public by creating safer communities. Mitigation seeks to fix the cycle of disaster damage, reconstruction, and repeated damage. These activities or actions, in most cases, will have a long-term sustained effect.

Multiagency Coordination Systems

A system that provides the architecture to support coordination for incident prioritization, critical resource allocation, communications systems integration, and information coordination. MACS assist agencies and organizations responding to an incident. The elements of a MACS include facilities, equipment, personnel, procedures, and communications. Two of the most commonly used elements are Emergency Operations Centers and MAC Groups.

National Incident Management System (NIMS)

A set of principles that provides a systematic, proactive approach guiding government agencies at all levels, nongovernmental organizations, and the private sector to work seamlessly to prevent, protect against, 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 response.

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 ARC.

Recovery

The development, coordination, and execution of service- and site-restoration plans; the reconstitution of government operations and services; individual, private-sector, nongovernmental, and public assistance programs to provide housing and to promote restoration; long-term care and treatment of affected persons; additional measures for social, political, environmental, and economic restoration; evaluation of the incident to identify lessons learned; postincident reporting; and development of initiatives to mitigate the effects of future incidents.

Regional Response Coordination Center (RRCC)

Located in each Federal Emergency Management Agency (FEMA) region, these multiagency agency coordination centers are staffed by Emergency Support Functions in anticipation of a serious incident in the region or immediately following an incident. Operating under the direction of the FEMA Regional Administrator, the RRCCs coordinate Federal regional response efforts and maintain connectivity with State emergency operations centers, State fusion centers, Federal Executive Boards, and other Federal and State operations and coordination centers that have potential to contribute to development of situational awareness.

Resource Management

A system for identifying available resources at all jurisdictional levels to enable timely, efficient, and unimpeded access to resources needed to prepare for, respond to, or recover from an incident. Resource management under the National Incident Management System includes mutual aid agreements and assistance agreements; the use of special Federal, State, tribal, and local teams; and resource mobilization protocols.

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 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 individual appointed by the Governor to coordinate State disaster assistance efforts with those of the Federal Government. The SCO plays a critical role in managing the State response and recovery operations following Stafford Act declarations. The Governor of the affected State appoints the SCO, and lines of authority flow from the Governor to the SCO, following the State's policies and laws.

State Liaison

A FEMA 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

As defined in the Homeland Security Act of 2002, activity that involves an act that is dangerous to human life or potentially destructive of critical infrastructure or key resources; is a violation of the criminal laws of the United States or of any State or other subdivision of the United States; and appears to be intended to intimidate or coerce a civilian population, to influence the policy of a government by intimidation or coercion, or to affect the conduct of a government by mass destruction, assassination, or kidnapping.

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 NWS (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 NWS 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
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CAP	Corrective Action Program
CBRNE	Chemical, Biological, Radiological, and/or Nuclear Explosive
CCC	Citizen Corps Council
CERT	Community Emergency Response Team
CFR	Code of Federal Regulations
CIKR	Critical Infrastructures and Key Resources
COA	Course of Action
COG	Continuity of Government
CONOPS	Concept of Operations
CONPLAN	Concept Plan
COOP	Continuity of Operations
CP	Command Post
CPG	Comprehensive Preparedness Guide
CSEPP	Chemical Stockpile Emergency Preparedness Program
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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
DRG	Disaster Recovery Group
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EAS	Emergency Alert System
ECL	Emergency Condition Level
EM	Emergency Management
EMA	Emergency Management Agency
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
ESF	Emergency Support Function

FAA	Federal Aviation Administration
FAAT	Federal Emergency Management Agency (FEMA) Acronyms, Abbreviations, and Terms
FBI	Federal Bureau of Investigation
FCO	Federal Coordinating Officer
FEMA	Federal Emergency Management Agency
FHA	Federal Highway Authority
FIA	Federal Insurance Administration
FOG	Field Operations Guide
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GIS	Geographic Information System
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HAZMAT	Hazardous Material(s)
HAZUS-MH	Hazards U.S. Multi-Hazard
HIRA	Hazard Identification and Risk Assessment
HSEEP	Homeland Security Exercise and Evaluation Program
HSPD	Homeland Security Presidential Directive
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IAP	Incident Action Plan; Initial Action Plan
IC	Incident Commander
ICP	Incident Command Post
ICS	Incident Command System
IMAT	Incident Management Assistance Team
IPS	Integrated Planning System
IS	Independent Study
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JFO	Joint Field Office
JIC	Joint Information Center
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LEOC	Local Emergency Operations Center
LEPC	Local Emergency Planning Committee
LL	Lessons Learned
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MACC	Multiagency Coordination Center
MACS	Multiagency Coordination System
MOU	Memorandum of Understanding
MRC	Medical Reserve Corps
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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
NOC	National Operations Center
NPG	National Preparedness Guidelines
NPS	National Planning Scenarios
NRC	U.S. Nuclear Regulatory Commission
NRCC	National Response Coordination Center
NRF	National Response Framework
NSIS	National Strategy for Information Sharing
NTSB	National Transportation Safety Board
NWS	National Weather Service
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OPLAN	Operations Plan
OSHA	Occupational Safety and Health Administration
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PDA	Preliminary Damage Assessment
PE	Preparedness Estimate
PIO	Public Information Officer
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RACES	Radio Amateur Civil Emergency Services
REPP	Radiological Emergency Preparedness Program
RRCC	Regional Response Coordination Center
RRP	Regional Response Plan
RTO	Recovery Time Objective
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SBA	Small Business Administration
SCO	State Coordinating Officer
SERC	State Emergency Response Commission
SGS	Strategic Guidance Statement
SLG	State and Local Guide
SME	Subject Matter Expert
SO	Senior Official (elected or appointed)
SOP	Standard Operating Procedure
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TCL	Target Capabilities List
TS	Tropical Storm
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U.S.C.	United States Code
UC	Unified Command
USGS	U.S. Geological Survey
UTL	Universal Task List
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VIPS	Volunteers in Police Service
VOAD	Voluntary Organization Active in Disaster
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WMD	Weapons of Mass Destruction



APPENDIX C:
EOP
DEVELOPMENT
GUIDE

APPENDIX C: EOP DEVELOPMENT GUIDE

Appendix C provides a pull-out guide that summarizes the planning process described in Chapter 3 and provides content guidance for various elements of an emergency operations plan.

STEPS IN THE PLANNING PROCESS

1. Form a Collaborative Planning Team. In most jurisdictions, the emergency manager is responsible for coordinating and developing an emergency operations plan. The emergency manager must ensure that operations planning involves *the jurisdiction's entire emergency and homeland security team*. Using a team or group approach helps organizations define their perception of the role they will play during an operation. Initially, the team should be small, consisting of planners from the organizations that usually participate in emergency or homeland security operations. They form the core for all planning efforts. As an operations plan matures, the core team expands to include other planners. A core team might include planners from:

- Emergency management,
- Law enforcement,
- Fire services,
- Emergency medical services,
- Public health, and
- Public works.

Prevention and protection planning teams should include representatives from the security partners within the identified security planning area, surrounding jurisdictions, and facilities or locations of concern. Most often, such teams include planners from organizations that are the first to respond to an incident. Planning teams formed for the Recovery mission area must include stakeholder organizations responsible for infrastructure, the economy, the environment, and quality of life. Such organizations include those responsible for building codes, land use and zoning, transportation corridors, utilities, and economic development.

2. Understand the Situation. First, conduct research. Gather information about the jurisdiction's planning framework, potential hazards and threats, resource base, demographics, and geographic or topological characteristics that could affect emergency operations. Use as many sources as practical, including law enforcement and public health fusion centers. Next, organize the information into a format that is usable by the planning team. One effective method for organizing hazard or threat information is to use a matrix based on event dimensions used during the hazard analysis process:

- Probability or frequency of occurrence,
- Magnitude — the physical force associated with the hazard or threat,
- Intensity/severity — the impact or damage expected,
- Time available to warn,
- Location of the event — an area of interest or a specific or indeterminate site or facility,
- Potential size of the affected area,
- Speed of onset — how fast the hazard or threat can impact the public, and
- Duration — how long the hazard or threat will be active.

Finally, analyze the information. The analysis process produces two types of information as its output: facts and assumptions. Facts are verifiable pieces of information, such as laws, regulations, terrain 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. The analysis outcomes include a prioritized list of hazards and threats that concern the jurisdiction and information that helps planners determine goals and objectives (Step 3) and select the supporting planning concept they will use when developing the plan (Step 4).

3. Determine Goals and Objectives. Using information from the hazard profile developed as part of the analysis process, the planning team thinks about how the hazard or threat would evolve in the jurisdiction and what defines a successful operation. These scenarios should be realistic and created on the basis of the jurisdiction’s threat and hazard profile.

During this process of building an event scenario, the planning team identifies event-, response-, and constraint-generated needs and demands that determine actions and resources.

- *Event-generated* needs and demands are caused by the nature of the hazard or threat.
- *Response-generated* needs and demands are caused by actions taken in response to an event-generated problem.
- *Constraint-generated* demands are caused by things planners must do, are prohibited from doing, or are not able to do.

Once the planning team identifies needs and demands, they restate them as operational priorities, goals, and objectives. *Operational priorities* indicate a desired end-state for the operation. *Goals* are broad, general statements that indicate the intended solution to problems identified by planners during the previous step. Objectives are more specific and identifiable actions carried out during the operation.

4. Plan Development. First, develop and analyze courses of action. This is a process of generating and comparing possible solutions for achieving the goals and objectives identified in Step 3. Use a process that combines aspects of scenario-based, functional, and capabilities-based planning. Depict how the operation unfolds by using a visual process that shows relationships among the event’s actions, decision points, and participant activities. Typically, such a process follows these steps:

- a. *Establish the timeline.* Planners typically use the speed of event onset to establish the timeline. Placement of decision points and response actions on the timeline depicts how soon the different government entities enter the plan.
- b. *Depict the scenario.* Planners use the scenario information developed in Step 3 and place the event information on the timeline.

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 1:

Complete tourist evacuation 72 hours before arrival of TS winds.

Intermediate objective 2:

Complete medical evacuations 24 hours before arrival of TS winds.

- c. *Identify and depict decision points.* Decision points indicate the place in time, as events unfold, when leaders anticipate making decisions about a COA. 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.
- d. *Identify and depict operational tasks.* For each operational task depicted, some basic information is needed.
 - 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?
- e. *Identify resources.* Initially, the planning team identifies resources needed to accomplish operational tasks in an unlimited manner. Once the planning team identifies all the needs and demands, they begin matching available resources to requirements. The operations plan should account for unsolvable resource shortfalls so they are not just “assumed away.”
- f. *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.
- g. *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 operation to fall apart),
 - Check for omissions or gaps, and
 - Check for inconsistencies in organizational relationships.

The planning team should work through this process by using tools that help members visualize operational flow, such as a white board, “yellow sticky chart,” or some type of project management or special planning software.

5. Plan Preparation, Review, Approval. This step turns the results of the COA development performed in Step 4 into an operations plan. The planning team develops a rough draft of the base plan, functional or hazard annexes, or other parts of the plan as appropriate. As the planning team works through successive drafts, they add necessary tables, charts, and other graphics. A final draft is prepared and circulated to organizations that have responsibilities for implementing the plan for their comments. (See Chapter 5 for information on plan formats.) 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. Once validated, the plan is presented to the appropriate elected officials for promulgation. The promulgation process should be based on specific statute, law, or ordinance. Once approval is obtained, the emergency or homeland security 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.

6. Plan Refinement and Execution. Exercising the plan and evaluating its effectiveness involve using training and exercises and evaluation of actual events to determine whether the goals, objectives, decisions, actions, and timing outlined in the plan led to a successful response. 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. When reviewing the plan, planners should ask the following questions:

- Did an action, a process, a decision, or the operational 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 operational timing make it something to keep in the plan?
- What aspects of the action, process, decision, or operational 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 operational performance?

Planning teams should establish a recurring process for reviewing and revising the plan; for example, no part of the plan goes 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 operational resources,
- A formal update of planning guidance or standards,
- A change in elected officials,
- A plan activation or major exercise,
- A change in the jurisdiction’s demographics or hazard or threat profile, or
- The enactment of new or amended laws or ordinances.

Figure C.1 depicts a process for planners to use when moving through the planning steps.

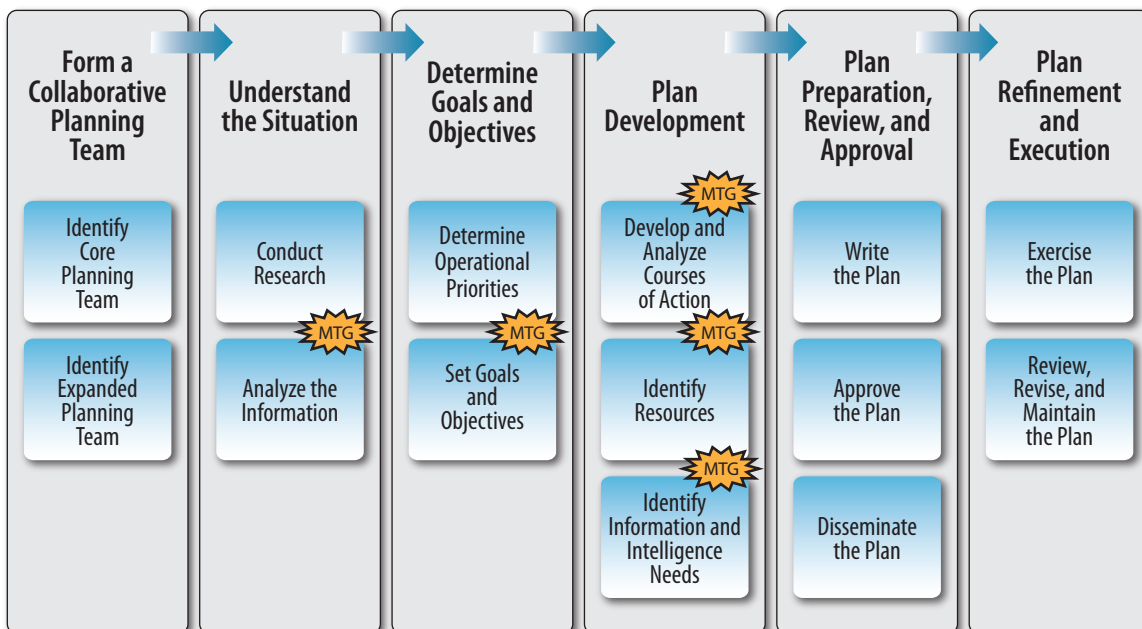


Figure C.1 Process for Completing the Planning Steps

Note:
MTG = meeting

OPERATIONS PLAN CONTENT 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.

Promulgation Document/Signature Page

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.)

Approval and Implementation

The approval and implementation page introduces the plan, outlines its applicability, and indicates that it supersedes all previous plans.

- 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.
- Include a date and ensure that the page is signed by the senior official(s) (e.g., governor, Tribal leader[s], mayor, county judge, commissioner[s]).

Record of Changes

The record of changes is usually a table that (at a minimum) has fields that show 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 is usually a table with fields that indicate 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.

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.

Purpose, Scope, Situation, Assumptions

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

Purpose

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

Scope

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).

Situation Overview

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

Hazard Analysis Summary

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 result in 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 occurred and will continue to occur within the jurisdiction (e.g., historical frequency, probable future risk, national security threat assessments).
- Describe how the intelligence from threat analysis via State/Local fusion centers, joint terrorism task forces, national intelligence organizations, etc., has been incorporated into the jurisdiction's Hazard Analysis.
- Describe how CIKR protection activities have been incorporated into the vulnerability and impact analysis.
- Describe how agricultural; food supply; cyber security; chemical, biological, radiological, and/or 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

Describe the process 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 prevention, protection, response, and recovery capabilities involving the defined hazards.
- Describe the jurisdiction's limitations on the basis of training, equipment, or personnel.
- Describe the methods used and agencies involved in a formal capability assessment, including how often to conduct the assessment.
- Describe methods used and NGOs (business, not-for-profit, community, and faith based) involved in formal community capability assessment, including how often to conduct the assessment.

Mitigation Overview

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 Emergency Management Agencies (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.

Planning Assumptions

This section identifies what the planning team assumed to be facts for planning purposes in order to make it possible to execute the EOP.

Concept of Operations

- Describe who has the authority to activate the plan (e.g., EMA office, Chief Elected Official, State Official, Fire/Police Chief).
- 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 appropriate agencies, boards, or divisions 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).

Organization and Assignment of 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 that local, State, Tribal, Federal, and private agencies will take to support local operations.

- Identify/outline the responsibilities assigned to each organization that has a mission assignment defined in the plan, including (but not limited to) the following:
 - Local senior elected or appointed officials (e.g., Governor, Mayor, Commissioner, Administrative Judge, Council, Executive Director).
 - Local department and agencies (e.g., Fire, Law Enforcement, EMS, Health, EMA).
 - State agencies most often and/or likely to be used to support Local operations (e.g., States’ 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, U.S. Coast Guard, DOJ, FBI, Federal Aviation Administration [FAA], National Safety Transportation Board [NTSB], DoD, DOT).
 - Government-sponsored volunteer resources (e.g., CERTs, Medical Reserve Corps [MRC], Volunteers in Police Service [VIPS] or Auxiliary Police).
 - Private and voluntary organizations (e.g., ARC, Salvation Army, faith-based groups, VOAD, Chamber of Commerce, Community Action Commission, private sector support).
- Describe how prevention roles and responsibilities will be addressed, including linkages with Fusion Centers where applicable.
- Describe how roles and responsibilities for CIKR protection are managed within the jurisdiction.
- Describe how roles and responsibilities will be determined for unaffiliated volunteers and how to incorporate these individuals into the emergency operation.
- 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 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 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.

Direction, Control, and Coordination

This section describes the framework for all direction, control, and coordination activities.

- Identify who has tactical and operational control of response assets.
- Discuss multijurisdictional coordination systems and processes used during an emergency.

Information Collection and Dissemination

- Identify intelligence position (e.g., fusion center liaison) 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 (e.g., verbal, electronic, graphics) and protocols.
- Describe critical information needs and collection priorities.
- Describe long-term information collection and dissemination strategies.
- Describe collaboration with the general public, to include sector-specific watch programs.

Communications

This section describes the response organization-to-response organization communication protocols and coordination procedures used during emergencies and disasters.

- Describe the framework for delivering communications support and how the jurisdiction's communications integrate into the regional or national disaster communications network.
- Identify and summarize separate interoperable communications plans.

Administration, Finance, and Logistics

Administration

This section describes administrative procedures used during an emergency operation.

Documentation is an administrative process 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 information identifying the actions taken, resources expended, economic and human impacts, and lessons learned as a result of the disaster.

After Action Review (AAR) is an administrative process 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 AAR (e.g., review actions taken, identify equipment shortcomings, improve operational readiness, highlight strengths/initiatives).
- Describe the methods and agencies used to organize and conduct an AAR 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 that the deficiencies and recommendations identified during an AAR are corrected/completed.

Finance

This section describes finance procedures used to recover the costs incurred during an emergency operation.

- 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).

Logistics

This section describes the logistics and resource management mechanisms used to identify and acquire resources *in advance of* and during emergency operation, 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.

PLAN DEVELOPMENT AND 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 included 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.

Authorities and References

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

FUNCTIONAL ANNEXES

These annexes contain detailed descriptions of the methods and procedures that government agencies and departments follow for critical operational functions during emergency operations.

Direction and Control

Initial Notification

This section describes the processes used to recognize that an emergency has occurred and then to notify the proper agencies to respond to the emergency.

- Describe/identify the procedures and agencies used to receive and document the initial notification that an emergency has occurred.
- Describe/identify plans, procedures, and polices for coordinating, managing, and disseminating notifications effectively to alert/dispatch response and support agencies (e.g., 911 Centers, individual Fire/Police dispatch offices, call trees) under all hazards and conditions.
- Describe/identify the procedures and agencies used to notify and coordinate with adjacent jurisdiction(s) about a local emergency that may pose a risk (e.g., flash flood, chemical release, terrorist act).
- Describe the use of Emergency Condition/Action Levels in the initial notification process (e.g., Snow Emergency Levels 1–3, Chemical Levels 1–3, Crisis Stages 1–4).

Incident Assessment

This section describes the procedures followed by those who arrive on the scene first and identify the risks posed by the disaster.

- Describe the procedures used by first response agencies to gather essential information and assess the immediate risks posed by the emergency.
- 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 result from the emergency.

Incident Command

This section describes the processes used by the jurisdiction to implement an Incident Command System (ICS) and manage emergency operations. **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 that 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 that 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)

This section describes the jurisdiction's processes for activating and utilizing an EOC to support and coordinate emergency operations. **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) to be 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.

Continuity of Government/Operations

This annex describes the processes that ensure government can implement and manage vital functions immediately following a disaster. **Note:** COG/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.
- Develop devolution of control and direction.
- Develop evaluations, after-action reports, and lesson learned.
- Develop corrective action plans.

Communications

This section describes the processes for providing reliable and effective communications among organizations participating in an emergency operation.

- 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.

Warning

This annex describes the system that provides reliable, timely, and effective 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 the use of Emergency Condition Levels (ECLs) in the public notification process (e.g., snow emergencies, HAZMAT incidents, nuclear power plant events).
- Describe the procedures and agencies used to alert special-needs populations in the workplace, public venues, and in their homes.
- Include pre-scripted EAS messages for identified hazards.

Emergency Public Information

This annex describes the systems to provide reliable, timely, and effective information to the public at the onset and throughout a disaster.

- 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 content necessary 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 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 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, and victims).
- Include prepared public instructions 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 describe their abilities to provide warnings.

Population Protection

This annex describes the processes for implementing and supporting protective actions taken by the public.

- 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 (e.g., of high-density areas, neighborhoods, high-rise buildings, subways, airports, special events venues) and to provide security for the evacuation area.
- Describe the jurisdiction's plans, procedures, and protocols in case of terrorist alerts for protecting target ethnic or religious groups or target institutions, such as abortion clinics or religious facilities.
- Describe the plan for receiving those evacuated as a result of 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).

Mass Care/Emergency Assistance

This annex describes the processes used for implementing sheltering and mass-care operations for 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 used 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., there are no available shelters or staff support).
- Describe the agencies/organizations and methods for providing feeding services both within the shelter facilities and at other identified feeding sites or mobile feeding operations.
- Describe the plans, methods, and agencies/organizations responsible for distribution of emergency relief items (e.g., hygiene kits, clean-up items, infant care supplies).
- Describe the procedures and agencies used to identify and address the general public's "unmet needs" during the disaster.

Health and Medical

Public Health

This annex describes the process for providing 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 identify 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 (i.e., 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, ICs, 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, Funeral Directors Association, U.S. Department of Agriculture, Food and Drug Administration, 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.

Medical/Victim Care/Mass Casualty/Mass Fatality

This annex describes the processes 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, 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.

Resource Management

This annex describes the resource management mechanisms used to identify and acquire resources *during the response* to a disaster.

- 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 identify, deploy, utilize, support, dismiss, and demobilize affiliated and spontaneous unaffiliated volunteers.
- 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.

Prevention and Protection Activities

This section describes the methods and procedures to be followed to conduct basic prevention and protection activities.

Prevention Activities

This process is used to identify prevention activities designed to reduce the risk of terrorism.

- Describe process for managing and ensuring operational and threat awareness among government organizations and sectors.
- Describe the process for sharing information between Fusion Center(s) and Emergency Operations Center(s).
- Describe the integration of prevention activities in support of response and recovery operations.

Protection Activities

- Describe process for managing the CIKR identification and protection efforts involving all threats and hazards.
- Describe the integration of protection activities in support of response and recovery operations.

Critical Infrastructure and Key Resource Restoration

- 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).
- 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 result from 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, clearance of debris/ice from streams), 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

This annex describes the processes used to determine the extent of damage to private and public property and facilities caused by the disaster.

- 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 annex describes how the jurisdiction will coordinate the cleanup and disposal of debris from the disaster site. **Note:** Check to see whether 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).

Donations Management

This annex describes the process used to coordinate the collection and distribution of goods and monies 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- OR THREAT-SPECIFIC ANNEXES OR APPENDICES

These annexes or appendices describe emergency response strategies that apply to a specific hazard. **Note 1:** Local communities may integrate hazard-specific information into functional annexes if they believe such integration would make the plan easier to read and use. **Note 2:** Local communities may find it appropriate to address specific hazards or threats in completely separate and stand-alone plans. In this case, the EOP must specifically reference those plans and provide a brief summary of how the EOP procedures are to be coordinated with the stand-alone procedures. **Note 3:** Some hazards have unique planning requirements directed by 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.

Natural Hazards

Earthquakes

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.

Flood/Dam Failure

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 flood emergencies/disasters (e.g., flash floods, inundation floods, floods resulting from dam failures or ice jams). Include a hazard summary that discusses where (e.g., 100-year and common floodplains) and how floods are likely to impact the jurisdiction.

Hurricane/Severe Storm

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 hurricanes/severe storms. Include a hazard analysis summary that discusses where/how hurricanes/severe storms are likely to impact the jurisdiction.

Tornados

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

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

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.

Technological Hazards

These events are emergencies that involve materials created by man and that 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 from an emergency caused by another hazard (e.g., flood, storm) or are caused intentionally.

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

Lethal Chemical Agents and Munitions

Describe/identify the jurisdiction's specific concerns, capabilities, training, procedures, agencies, and resources used to prevent, protect against, prepare for, respond to, and recover from lethal chemical agent and munitions incidents (e.g., sarin, mustard, VX). Include a hazard analysis summary that discusses where/how chemical agent incidents are likely to impact the community.

Radiological Incident

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 CFR Part 44, Section 350, as it applies to the jurisdiction's planning for emergencies/disasters involving regulated nuclear power plants.

Biological 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 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 human-caused emergencies will require activation of the EOP's procedures.

Terrorism

Describe/identify the jurisdiction's specific concerns, capabilities, training, procedures, agencies, and resources that will be used to prevent, protect 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)

Add additional annexes or appendices to include other hazards identified through 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.

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APPENDIX D:
HAZARD
MITIGATION
PLANNING

APPENDIX D: HAZARD MITIGATION PLANNING

Mitigation is an essential component of a jurisdiction's overall emergency management strategy. Mitigation comprises the sustained actions a jurisdiction takes to reduce or eliminate long-term risk to people and property from the effects of hazards and threats. The purpose of mitigation is twofold: (1) to protect people and structures and (2) to minimize the costs of disaster response and recovery. Viewed broadly, the goal of all mitigation efforts is risk reduction. The emphasis on sustained actions to reduce long-term risk differentiates mitigation from those tasks that are required to survive an emergency safely. Historically, mitigation focused on reducing the impact of natural hazards; however, some jurisdictions have also applied mitigation strategies to technological hazards.

Mitigation planning identifies a jurisdiction's policies, actions, and resources that focus on reducing risk and vulnerability to hazards and threats. Mitigation plans may be stand-alone documents or might be incorporated into a jurisdiction's EOP or other plans.

Each State has a Hazard Mitigation Officer who guides the hazard mitigation planning process required by the Disaster Mitigation Act of 2000. States are required to provide mitigation planning guidance to local governments. State and Local mitigation plans must:

- Provide a risk assessment that includes a hazard profile, vulnerability assessment, and a loss estimate;
- Evaluate their jurisdiction's mitigation capabilities;
- Describe their mitigation strategy; and
- Identify existing and potential mitigation funding sources.

Tribal governments follow mitigation regulations established by FEMA for State governments if they choose to prepare mitigation plans as grantees of Federal funds. Alternatively, if Tribal governments choose to prepare mitigation plans as sub-grantees, they follow regulations for local governments.

Hazard mitigation planning follows the same planning steps as those described in Chapter 3; however, they are grouped differently (Table D.1).

Table D.1 CPG 101 and Mitigation Planning Process Comparison

CPG 101	Phases of Mitigation Planning
Form the planning team	Organize resources
Understand the situation <ul style="list-style-type: none"> • Conduct research • Analyze the information 	<ul style="list-style-type: none"> • Assess community support • Build the planning team • Engage the public
Determine goals and objectives	Assess risks <ul style="list-style-type: none"> • Identify hazards and profile hazard events • Inventory assets and estimate losses
Develop and analyze courses of action, identify resources	Develop a mitigation plan <ul style="list-style-type: none"> • Set goals and objectives • Identify actions and assign priorities to them • Prepare an implementation strategy • Write the mitigation plan
Plan preparation, review, approval <ul style="list-style-type: none"> • Write the plan • Approve and disseminate the plan 	Disseminate the plan and monitor progress <ul style="list-style-type: none"> • Adopt the plan • Implement the plan recommendations
Plan refinement and execution <ul style="list-style-type: none"> • Exercise the plan and evaluate its effectiveness • Review, revise, and maintain the plan 	<ul style="list-style-type: none"> • Evaluate the planning results • Revise the plan

Mitigation strategies that jurisdictions should consider in their planning process include the following:

- *Structural engineering projects* that reduce hazard or threat impact through physical interventions such as dams, levees, sea walls, and vegetative buffers.
- *Prevention*, which attempts to reduce future vulnerability through zoning and land use ordinances, floodplain regulations, setbacks, and taxation and fees.
- *Property protection*, which focuses on existing structures at known hazard areas. Mitigation is accomplished through building codes, hazard-proofing, safe rooms, and similar measures.
- *Natural resources protection* includes efforts that reduce impacts on the environment through floodplain protection, beach preservation, landscaping, erosion control, habitat protection, and similar activities.
- *Public information programs* that advise a jurisdiction’s citizens and businesses about hazards and threats through outreach, hazard maps, real estate disclosures, and warning systems.



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