

DRAFT Comprehensive Preparedness Guide (CPG) 101

DIVISION NAME: National Integration Center

ACTION REQUIRED: Review and Provide Recommendations for Content Input

DUE: NLT January 25, 2021

PURPOSE/BACKGROUND:

FEMA is seeking feedback on the recently updated “Comprehensive Preparedness Guide (CPG) 101: Developing and Maintaining Emergency Operations Plans.” CPG 101 provides guidelines on developing emergency operations plans and promotes a common understanding of the fundamentals of community-based, risk-informed planning and decision making to help planners examine a threat or hazard and produce integrated, coordinated and synchronized plans.

The NIC is currently seeking input from whole community partners. This review affords an opportunity to review and provide substantive content recommendations for continued development and refinement of the draft. The results of this review will inform the revision of CPG 101.

As you review the document, consider:

- Identifying areas that may be confusing;
- Providing success stories or best practices; and
- Identifying additional job aids, training opportunities or resources for inclusion.

A comment form is included with the current draft for documenting and providing feedback to the NIC. Please submit feedback forms to NPD-Planning@fema.dhs.gov by Monday, January 25, 2021. FEMA will host a series of 60-minute webinar sessions to discuss changes to the updated CPG 101 and gather feedback from whole community partners. The sessions will include facilitated discussions with stakeholders to help improve the existing draft. For information about the webinars please visit: <https://www.fema.gov/emergency-managers/national-preparedness/plan>.

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Developing and Maintaining Emergency Operations Plans

Comprehensive Preparedness Guide (CPG) 101

November 2020, Version 3.0 (draft v0.5)

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2 Preface

3 Comprehensive Preparedness Guide (CPG) 101 provides Federal Emergency Management Agency
4 (FEMA) guidance on the fundamentals of planning and developing emergency operations plans
5 (EOPs). CPG 101 shows how EOPs connect to planning efforts in all five areas: prevention,
6 protection, mitigation, response and recovery. Version 3.0 of this guide emphasizes the importance
7 of including the private and nonprofit sectors in planning activities and incorporates lessons learned
8 as well as pertinent new doctrine, policy and laws.

9 CPG 101 provides methods for planners to:

- 10 ▪ Conduct community-based planning to engage the whole community through a planning process
11 that represents the actual population in the community and involves community leaders and the
12 private sector in the planning process;
- 13 ▪ Develop plans by identifying and analyzing risk;
- 14 ▪ Identify operational assumptions and resource demands;
- 15 ▪ Prioritize plans and planning efforts to support the transition from development to execution for
16 any threat or hazard; and
- 17 ▪ Integrate and coordinate efforts across all levels of government, the private sector and nonprofit
18 organizations.

19 CPG 101 incorporates the following concepts from operational planning research and day-to-day
20 experience:

- 21 ▪ The planning process and the resulting relationships are just as important as the resulting
22 document;
- 23 ▪ Plans are not scripts followed to the letter but are flexible and adaptable to the actual situation;
24 and
- 25 ▪ Effective plans convey the goals and objectives of the intended operation and the actions
26 needed to achieve them.

27 Successful operations occur when organizations know their roles, understand how they fit into the
28 plan and are able to execute the plan.

- 29 CPG 101 describes the steps to produce an EOP, possible plan structures and components of a base
30 plan and its annexes. Other guides provide detailed information about planning considerations for
31 specific functions, hazards and threats.¹
- 32 **CPG 101 provides the foundation for state, local, tribal, territorial and insular area emergency**
33 **planning in the United States.**² Planners in other disciplines, organizations and the private sector, as
34 well as other levels of government, may find this guide useful in developing their EOPs.

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¹ For more information, see FEMA's Planning Guides resource page at <https://www.fema.gov/emergency-managers/national-preparedness/plan>.

² Per the Stafford Act, insular areas include Guam, the Commonwealth of the Northern Mariana Islands, American Samoa and the U.S. Virgin Islands. Other statutes or departments and agencies may define the term "insular area" differently.

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1. Introduction and Overview

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1.1. Purpose

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Comprehensive Preparedness Guide (CPG) 101 provides guidelines on developing emergency operations plans (EOPs). It promotes a common understanding of the fundamentals of community-based, risk-informed planning and decision making to help planners examine a threat or hazard and produce integrated, coordinated and synchronized plans. The goal of CPG 101 is to make the planning process routine across all preparedness mission areas in the National Preparedness Goal: prevention, protection, mitigation, response and recovery. This guide helps planners at state, local, tribal, territorial and insular area³ levels of government in their efforts to develop and maintain viable all-hazards, all-threats EOPs. Accomplished properly, planning provides a methodical way to engage the whole community in thinking through the lifecycle of a potential crisis, determining required capabilities and establishing a framework for roles and responsibilities. It shapes how a community envisions and shares a desired outcome, selects effective ways to achieve it and communicates expected results. Each jurisdiction's plans should reflect what that community will do to address its specific risks with the unique resources it has or can obtain.

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Planners achieve unity of purpose by coordinating and integrating plans across all levels of government, nonprofit organizations, the private sector and individuals and families. This coordination supports the fundamental principle that, in many situations, emergency management and homeland security operations start locally and expand to include other government and private sector resources as the affected jurisdiction requires additional support. Plans should, therefore, communicate vertically among levels of government to confirm a common operational focus. Similarly, plans should foster horizontal communication to help individual department and agency EOPs, as well as the private sector and mutual aid partners, fit into the jurisdiction's plans and to help each organization understand, accept and prepare to execute its assignments. An integrated planning process synchronizes the sequence and scope of an operation.

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A shared planning community increases the likelihood of integration and synchronization, makes planning cycles more efficient and effective and makes plan maintenance easier.

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EOP vs. CEMP

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The term "comprehensive emergency management plan" (CEMP) is sometimes used instead of emergency operations plan. In fact, some jurisdictions may be specifically required, by statute or

³ Per the Stafford Act, insular areas include Guam, the Commonwealth of the Northern Mariana Islands, American Samoa and the U.S. Virgin Islands. Other statutes or departments and agencies may define the term "insular area" differently.

158 ordinance, to develop and maintain CEMPs. For the purpose of this guide, EOPs and CEMPs are
159 synonymous.

160 **1.2. Applicability and Scope**

161 This guide provides a context for emergency operations planning in light of other existing plans and
162 describes a universal planning process. Many jurisdictions have already developed EOPs. CPG 101
163 does not require jurisdictions to revise those plans; however, jurisdictions should consider CPG 101
164 guidance when updating their EOPs.

165 Appendix A lists the authorities and references for preparedness planning, including many cited in
166 this document. Additionally, regulatory requirements, laws and ordinances in some jurisdictions may
167 require planners to use specific guidance in developing EOPs and EOP annexes (e.g., the
168 requirements for the Radiological Emergency Preparedness Program). CPG 101 complements such
169 other guidance.

170 **1.3. Supersession**

171 CPG 101 Version 3.0 supersedes CPG 101 Version 2.0, which is rescinded.

172 **1.4. How To Use This Guide**

173 CPG 101 helps both novice and experienced planners navigate the planning process. Used in its
174 entirety, this guide provides information and instruction on the fundamentals of planning and their
175 application. It lays the foundation for planning efforts in Chapter 2, The Basics of Planning, and
176 Chapter 3, Understanding the Planning Environment. With an understanding of these fundamentals,
177 CPG 101 transitions from theory to practice by discussing different plan formats and functions
178 (Chapter 4), the planning process itself (Chapter 5) and the content for EOP base plans (Chapter 6)
179 and EOP annexes (Chapter 7).

180 **1.5. Terminology and Acronyms**

181 Appendix B identifies the acronyms in this guide, and Appendix C provides a glossary of terms.

182 **1.6. Revision Process**

183 FEMA will revise CPG 101, as needed, and issue change pages through the publication distribution
184 system and online through approved sources.

185 FEMA welcomes recommendations on how to improve CPG 101. Provide recommendations for
186 improving this document to NPD-Planning@fema.dhs.gov, ATTN: CPG 101.

187 2. The Basics of Planning

188 Community members have an essential role and shared responsibility to take appropriate actions to
189 protect themselves, their families and organizations and their properties. Such actions include
190 developing a plan for what to do in case of an emergency. A plan is a set of intended actions through
191 which one expects to achieve a goal. Planning that includes the whole community builds a resilient
192 community.⁴

193 This chapter serves as a foundation for the rest of the guide by providing an overview of the basics of
194 planning. It describes how risk-informed, community-based planning supports decision making. This
195 chapter also discusses key planning concepts, effective planning and planning pitfalls.

196 2.1. Planning Fundamentals

197 Planning is fundamental to national preparedness. As a practice, it provides a methodical way to
198 engage the whole community in thinking through the lifecycle of a potential crisis, determining
199 required capabilities and establishing a framework for roles and responsibilities.⁵ Planning also
200 shapes how a community envisions and shares a desired outcome, selects effective ways to achieve
201 it and communicates the results. Planning is a foundational element of the National Preparedness
202 System and anchors nearly every activity that emergency management partners undertake to
203 prevent, protect against, mitigate, respond to and recover from all threats and hazards.

204 2.1.1. Planning Principles

205 Applying the following principles to the planning process is key to developing an all-hazards plan for
206 protecting lives, property and the environment:

207 **PLANNING SHOULD BE COMMUNITY-BASED, REPRESENTING THE WHOLE POPULATION** 208 **AND ITS NEEDS**

209 Building an understanding of the composition of the population is a key part of the planning process.
210 The demographics of the population, including its resources, needs and indicators of resilience, have
211 a profound effect on processes such as evacuation, shelter operations and family reunification.

⁴ The December 2017 National Security Strategy of the United States of America defines resilience as the ability to withstand and recover rapidly from deliberate attacks, accidents, natural disasters, as well as unconventional stresses, shocks, and threats to our economy and democratic system.

⁵ The whole community includes individuals and communities, businesses, private and public sector owners and operators of critical infrastructure, faith-based organizations, nonprofit organizations, and all levels of government (local, regional/metropolitan, state, tribal, territorial, insular area and federal). Source: National Response Framework, available at <https://www.fema.gov/emergency-managers/national-preparedness/frameworks/response>.

212 **What Is Community-Based Planning?**

213 “Community-based planning” is the concept that planning should not only represent the actual
214 population within the community but also should involve the whole community in the planning
215 process. How to engage the whole community in community-based planning is discussed in
216 Chapter 5.

217 Establishing a community profile will let planners know if courses of action are feasible. For example,
218 if the majority of the resident population does not own cars or if the area has a large transient
219 population (tourists, college students, etc.), then planning efforts should account for greater
220 transportation resource requirements than if the population was predominantly composed of
221 car-owning households. Mass care and shelter operations planning should include considerations for
222 household pets because people may not seek refuge if their pets cannot be accommodated. By fully
223 understanding the composition and requirements of the actual population (including all segments of
224 the community), community-based plans will lead to improved response and recovery activities and,
225 ultimately, overall preparedness.⁶

226 **PLANNING SHOULD EMPHASIZE CARING FOR PEOPLE WITH DISABILITIES AND**
227 **INDIVIDUALS WITH ACCESS AND FUNCTIONAL NEEDS, INCLUDING INFANTS AND**
228 **CHILDREN**

229 State and local governments must comply with Title II of the Americans with Disabilities Act (ADA) in
230 emergency- and disaster-related programs, services and activities.⁷ The ADA defines disabilities as
231 “a physical or mental impairment that substantially limits one or more major life activities, a person
232 who has a history or record of such an impairment or a person who is perceived by others as having
233 such an impairment.” People with disabilities have certain rights under federal law and may have
234 similar or additional rights under state and local laws. Federal and many state and local laws afford
235 certain rights and protections for service animals, which must be considered in emergency
236 operations planning (e.g., transportation needs, mass care and sheltering operations, reunification).⁸
237 “Access and functional needs” is defined more broadly than “disabilities,” but generally refers to
238 individuals who have physical, developmental or intellectual limitations, chronic conditions or

⁶ “Who is at Risk? Rapid Mapping of Potential Hazard Exposure,” a FEMA Prep Talk given by Dr. Robert Chen, describes how geospatial data can help planners understand community characteristics when developing plans, including EOPs. It is available on FEMA’s YouTube channel at https://www.youtube.com/playlist?list=PL720Kw_OoJiYiYKDZQwKG7HAgV_qNjbLB.

⁷ In addition to the ADA, planners must comply with the requirements of Title VI of the Civil Rights Act of 1964, Executive Order 13166, Section 504 of the Rehabilitation Act and other federal, state or local laws, to include anti-discrimination laws.

⁸ The Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. §§ 5121-5206, as amended. Federal Disaster Assistance, 44 C.F.R. pt. 206 and The Post-Katrina Emergency Management Reform Act, 6 U.S.C. § 761(d), as amended, mandate integration and equal opportunity for people with disabilities in general population shelters.

239 injuries, limited English proficiency or older adults, children and infants. Appendix D includes a list of
240 common examples (this list is not comprehensive).

241 Planners should consider concepts of accessibility when developing an EOP (see the callout box
242 below). Federal laws, and applicable state and local laws, require the application of these concepts
243 for people with disabilities as defined by the ADA. Applying some of these concepts may also be
244 required by federal, state and local anti-discrimination laws. Even when not required by law—such as
245 with some populations with access and functional needs—these concepts are useful for emergency
246 operations planning purposes.

247 **Concepts of Accessibility**

- 248 ▪ **Self Determination:** People with disabilities are most knowledgeable about their own needs.
- 249 ▪ **No “One-Size-Fits-All”:** People with disabilities do not all require the same assistance and do
250 not all have the same needs.
- 251 ▪ **Equal Opportunity:** People with disabilities must have the same opportunities to benefit from
252 emergency programs, services and activities.
- 253 ▪ **Inclusion:** People with disabilities, others with access and functional needs, and
254 communities of diverse linguistic and ethnic backgrounds have the right to participate in,
255 and receive, the benefits of emergency programs, services and activities. Additionally, these
256 individuals should be included in all phases of the planning process, as they have insight and
257 information necessary to provide comprehensive services to their respective communities
258 during emergencies.
- 259 ▪ **Integration:** Emergency services, programs and activities must be provided in an integrated
260 setting.
- 261 ▪ **Physical Access:** Emergency programs, services and activities must be provided at locations
262 that all people can access, including people with disabilities.
- 263 ▪ **Equal Access:** People with disabilities must be able to access and benefit from emergency
264 programs, services and activities equal to the general population.
- 265 ▪ **Effective Communication:** People with disabilities must be given timely and accurate
266 information that is comparable in content and detail that is given to the general public.
- 267 ▪ **Program Modifications:** People with disabilities must have equal access to emergency
268 programs and services, which may require modifications to rules, policies, practices and
269 procedures.
- 270 ▪ **No Charge:** People with disabilities may not be charged to cover the costs of measures
271 necessary to provide equal access and nondiscriminatory treatment.

272 **PLANNING SHOULD ENGAGE THE PRIVATE SECTOR**

273 Businesses, small and large, and other private sector organizations are the heart of a community.
274 Not only are they important economically, but they also provide commodities, such as food and fuel,
275 and critical infrastructure services, such as power, public transportation, communications and
276 healthcare. When disasters and emergencies affect the private sector, they often interrupt key
277 community lifelines.⁹ Engaging private sector partners in emergency operations planning helps
278 government planners understand the potential impacts of various hazards and how they affect the
279 community. At the same time, private sector organizations have capabilities, expertise and resources
280 that are essential in helping the community to respond and recover. Engaging private sector partners
281 during planning sets the stage for effective collaboration and coordination when disasters and
282 emergencies occur.

283 **PLANNING MUST INCLUDE ALL STAKEHOLDERS IN THE COMMUNITY**

284 Engaging the whole community in the planning process is essential to effective emergency
285 operations planning. Planning teams must reflect the diversity of the community by including
286 representatives from the jurisdiction's departments and agencies, civic leaders, businesses and
287 organizations (e.g., civic, social, faith-based, humanitarian, educational, advocacy, professional) who
288 are able to contribute critical perspectives and/or have a role in executing the plan. The
289 demographics of the community help determine who to involve as a jurisdiction constructs a
290 planning team. Including leaders and representatives from across the entire community in planning
291 reinforces the expectation that the community members have a shared responsibility and
292 strengthens the public motivation to conduct planning for themselves, their families and their
293 organizations. Community members may be able to assist in translating messaging and advise as to
294 formats most likely to reach their respective communities. For example, it is essential to incorporate
295 individuals with disabilities or specific access and functional needs, individuals with limited English
296 proficiency and underserved communities, as well as the groups and organizations that support
297 these individuals, in all aspects of the planning process. When the plan reflects and incorporates the
298 views of the individuals and organizations who are assigned tasks within it, these individuals and
299 organizations are more likely to accept and use the plan.

300 **PLANNING SHOULD INCLUDE A LOGICAL AND ANALYTICAL PROBLEM-SOLVING PROCESS**
301 **TO ADDRESS THE COMPLEXITY AND UNCERTAINTY INHERENT IN POTENTIAL HAZARDS**
302 **AND THREATS**

303 By following a set of logical steps that include gathering and analyzing information, determining
304 objectives and developing options to achieve the objectives, planning allows a jurisdiction or regional
305 response structure to work through complex situations. Planning helps a jurisdiction identify the
306 resources at its disposal to perform required tasks and achieve desired outcomes/target levels of
307 performance. Using this deliberative process to consider and address the diverse roles,

⁹ For more information on community lifelines, see <https://www.fema.gov/emergency-managers/practitioners/lifelines>.

308 responsibilities, authorities and capabilities of various partner organizations, both vertically and
309 horizontally, improves unity of effort during actual incident response. Rather than concentrating on
310 every detail of how to achieve the objective, an effective plan structures thinking and supports
311 insight, creativity and initiative in the face of an uncertain and fluid environment. While using a
312 prescribed planning process cannot guarantee success, inadequate plans and insufficient planning
313 are proven contributors to failure.

314 **PLANNING SHOULD CONSIDER ALL HAZARDS, RISKS AND THREATS**

315 While the causes of emergencies can vary greatly, many of the effects do not. Planners can address
316 common operational functions in their base plans instead of having unique plans for every type of
317 hazard or threat. For example, floods, wildfires, hazardous materials releases and radiological
318 dispersal devices may lead a jurisdiction to issue an evacuation order and open shelters. Even
319 though each hazard's characteristics (e.g., speed of onset, size of the affected area) are different,
320 the general tasks for conducting an evacuation and shelter operations are the same. Planning for all
321 threats and hazards when addressing emergency functions helps planners identify common tasks
322 and those responsible for accomplishing the tasks.

323 **PLANNING SHOULD BE FLEXIBLE ENOUGH TO ADDRESS ALL INCIDENTS**

324 Scalable planning solutions are the most likely to be understood and executed properly by the
325 operational personnel who have practice in applying them. Planners can test whether the plan
326 elements are sufficiently flexible by exercising them against scenarios of varying type and
327 magnitude. In some cases, planners may determine that exceptional policies and approaches, such
328 issuing transportation waivers or redirecting resources, are necessary to respond to and recover
329 from catastrophic incidents. Planners should document these exceptional solutions within plans,
330 along with clear descriptions of the triggers that indicate they are necessary.

331 **PLANS SHOULD CLEARLY IDENTIFY THE MISSION, SUPPORTING GOALS AND DESIRED RESULTS**

333 Plans contribute to unity of effort and consistency of purpose among the partners by defining the
334 overall mission, goals that support it and the end-states that successful action should produce. Other
335 plan elements should be designed and evaluated according to their contributions to accomplishing
336 the mission and achieving the goals and desired results.

337 **PLANNING SHOULD DEPICT THE ANTICIPATED ENVIRONMENT FOR ACTION**

338 This anticipation promotes early understanding of and agreement on planning assumptions and
339 risks, as well as the context for interaction. In situations where a specific hazard has not been
340 experienced, planning provides the opportunity to anticipate conditions and systematically identify
341 potential problems and workable solutions. Planners should review existing EOPs to confirm that
342 current assumptions are still necessary and valid. After-action reports of recent emergency
343 operations and exercises in the jurisdiction are resources to help planners develop a list of lessons
344 learned to address in updating plans.

345 **PLANNING DOES NOT NEED TO START FROM SCRATCH**

346 Planners should take advantage of the experience of other planners as well as existing plans from
347 their own and other jurisdictions. Further, many states publish their own standards, guidance and
348 formats for emergency planning, conduct workshops and training courses and assign their planners
349 to work with local planners. FEMA offers resident, locally presented and independent study
350 emergency planning courses. FEMA also publishes guidance related to planning for specific
351 functions and risks.¹⁰ By participating in this training and reviewing existing emergency or
352 contingency plans, planners can:

- 353 ▪ Identify applicable authorities and statutes;
- 354 ▪ Gain insight into community risk perceptions;
- 355 ▪ Identify organizational arrangements used in the past;
- 356 ▪ Identify mutual aid agreements (MAAs) with other jurisdictions;
- 357 ▪ Identify private sector, nonprofit and voluntary organizations active in disaster planning that can
358 complement and focus public sector planning;
- 359 ▪ Learn how historical planning issues were resolved; and
- 360 ▪ Identify preparedness gaps.

361 **PLANNING SHOULD IDENTIFY TASKS, ALLOCATE RESOURCES TO ACCOMPLISH THOSE**
362 **TASKS AND ESTABLISH ACCOUNTABILITY**

363 Decision makers are responsible for providing planners with clearly established priorities and
364 adequate resources.

365 **PLANNING SHOULD INCLUDE SENIOR OFFICIALS THROUGHOUT THE PROCESS TO OBTAIN**
366 **BOTH UNDERSTANDING AND APPROVAL**

367 Potential planning team members have many day-to-day concerns but should consider emergency
368 planning a high priority and commit to their planning team responsibilities. Senior official buy-in
369 helps the planning process meet requirements of time, planning horizons, simplicity and level of
370 detail. Involving decision-makers in the planning process almost always results in a stronger
371 end-product. Planners should help senior officials understand that planning is an iterative, dynamic
372 process that ultimately facilitates senior roles in a crisis by:

- 373 ▪ Identifying and sharing the hazard, risk and threat analyses for the jurisdiction;
- 374 ▪ Discussing readiness and capability assessments, as well as exercise critiques; and

¹⁰ Other example FEMA guidance documents include Comprehensive Preparedness Guide (CPG) 201: Threat and Hazard Identification and Risk Assessment (THIRA) and Stakeholder Preparedness Report (SPR) Guide (3rd edition, 2018); Supply Chain Resilience Guide (2019); Planning Considerations: Evacuation and Shelter-in-Place (2019); Disaster Financial Management Guide (2020); and Planning Considerations: Disaster Housing (2020). These resources are available at <https://www.fema.gov/emergency-managers/national-preparedness/plan>.

- 375 ▪ Describing what the government body and the senior officials have to do prior to, during and
376 after an incident to either prevent or minimize the incident’s impact.

377 Senior officials play an essential role in determining when and which plans should be developed or
378 revised. Additionally, they customarily have the authority to approve the final product in coordination
379 with key stakeholders. By participating throughout the planning process, senior officials better
380 understand how to implement the plan during an incident.

381 **TIME, UNCERTAINTY, RISK AND EXPERIENCE INFLUENCE PLANNING**

382 These factors define the starting point where planners apply appropriate concepts and methods to
383 solve problems. Planning is, therefore, both an art and a science—successful planners draw from
384 operational experience and an understanding of emergency management principles but are also
385 intuitive, creative and able to anticipate the unexpected. While the science and fundamental
386 principles of planning can be learned through training and experience, the art of planning requires
387 an understanding of the dynamic relationships among stakeholders, of special political
388 considerations and of the complexity imposed by the situation. Because this activity involves
389 judgment and the balancing of competing demands, plans should not be overly detailed—to be
390 followed “to the letter”—or so general that they provide insufficient direction. Mastering this balance
391 is the most challenging aspect of becoming a successful planner.

392 **EFFECTIVE PLANS TELL THOSE WITH OPERATIONAL RESPONSIBILITIES WHAT TO DO AND** 393 **WHY TO DO IT, AND THEY INSTRUCT THOSE OUTSIDE THE JURISDICTION IN HOW TO** 394 **PROVIDE SUPPORT AND WHAT TO EXPECT**

395 Plans should clearly communicate to operational personnel and support providers what their roles
396 and responsibilities are and how those complement the activities of others. No ambiguity should
397 exist regarding who is responsible for major tasks. This clarity enables personnel to operate as a
398 productive team more effectively, reducing duplication of effort and enhancing the benefits of
399 collaboration.

400 **PLANNING IS FUNDAMENTALLY A PROCESS TO MANAGE RISK**

401 Risk management is a process that defines context; identifies and assesses risks; and analyzes,
402 determines, implements, monitors and evaluates courses of action for managing those risks.
403 Planning allows systematic risk management to reduce or eliminate risks.

404 **PLANNING IS A KEY COMPONENT OF THE PREPAREDNESS SYSTEM**

405 Preparedness is a continuous process of planning, organizing, training, equipping, exercising,
406 evaluating and taking corrective action. Through this process, plans are continuously evaluated and
407 improved. Chapter 3, Understanding the Planning Environment, explores the National Preparedness
408 System in greater depth, explaining its systematic approach to build and sustain the capabilities
409 required to prevent, protect against, mitigate, respond to and recover from all threats and hazards.

410 2.1.2. Strategic, Operational and Tactical Planning

411 Planning involves three tiers: strategic, operational and tactical (i.e., incident scene) planning.
412 Strategic planning sets the context and expectations for operational planning, while operational
413 planning provides the framework for tactical planning. All three tiers of planning occur at all levels of
414 government.

- 415 ▪ **Strategic plans** provide a framework for guiding emergency management and homeland security
416 activities. This level of planning allows stakeholders to focus on the longer term and articulate,
417 monitor and evaluate efforts to prevent, protect against, mitigate, respond to and recover from
418 all threats and hazards that might affect a jurisdiction or an organization. Elected or appointed
419 officials play an essential role by providing the vision and priorities for the planning process.
- 420 ▪ **Operational plans** describe roles and responsibilities, tasks, integration requirements, actions
421 and other expectations of an organization or jurisdiction during actual or potential incidents.
422 These plans may also address the delivery of capabilities in support of steady-state activities.
423 They may include the coordination and integration of activities and resources from other
424 departments, agencies and organizations within a jurisdiction and across the whole community.
425 Operational plans can apply to all threats and hazards and contain both the governing authorities
426 and actions expected by organizations. Operational-level planning products should be flexible,
427 adaptable, integrated with other plans and based on the best available risk assessments.
- 428 ▪ **Tactical plans** focus on managing resources such as personnel and equipment that play a direct
429 role in an incident or event. Pre-incident tactical planning, based on existing operational plans,
430 provides the opportunity to pre-identify personnel, equipment and other execution needs.
431 Tactical plans often outline the detailed actions necessary to accomplish goals identified in an
432 operational plan. Planning teams fill identified gaps through various means, such as mutual aid.

433 These three tiers of planning typically fall into two broad categories: deliberate planning and incident
434 planning.

- 435 ▪ **Deliberate plans** are developed under normal, non-emergency conditions over a period of weeks
436 and months and outline a concept of operations (CONOPS) with detailed information on
437 personnel, resources, projected timelines, planning assumptions and risk analysis.
- 438 ▪ **Incident plans** are developed in response to incidents or credible threats, with much shorter
439 timelines and an emphasis on adaptability and flexibility to address needs that emerge as the
440 situation evolves.

441 Planning teams typically modify deliberate plans to create incident plans. As a result, jurisdictions
442 should understand the linkages between deliberate and incident planning and develop strategies to
443 operationalize deliberate plans through incident planning.

444 Comprehensive and integrated planning can help other levels of government plan their response to
445 an incident within a jurisdiction. By knowing the extent of the jurisdiction’s capability, supporting
446 planners can pre-identify shortfalls and develop pre-scripted resource requests.

447 **2.1.3. Planning Approaches**

448 Planners commonly use a combination of approaches in operational planning:

- 449 ▪ **Scenario-based planning** starts with building a scenario for a hazard or threat. Then planners
450 analyze the impact of the scenario to determine appropriate courses of action. Planners typically
451 use this approach to develop planning assumptions, primarily for hazard- or threat-specific
452 annexes to a base plan.
- 453 ▪ **Function-based planning (functional planning)** identifies the common functions that a jurisdiction
454 should perform during emergencies. Function-based planning defines the function to be
455 performed and some combination of government agencies and departments responsible for its
456 performance as a course of action.
- 457 ▪ **Capabilities-based planning** focuses on a jurisdiction’s capacity to take a course of action.
458 Capabilities-based planning answers the question, “Do I have the right mix of training,
459 organizations, plans, people, leadership and management, equipment and facilities to perform a
460 required emergency function?” Some planners view this approach as a combination of scenario-
461 and function-based planning because of its “scenario-to-task-to-capability” focus.

462 **2.1.4. Plan Integration**

463 National guidance and consensus standards expect that a jurisdiction coordinates and integrates its
464 plans among all levels of government and with critical infrastructure planning efforts. The National
465 Incident Management System (NIMS) and National Response Framework (NRF) support a tiered
466 approach to operations.¹¹ They recognize that most incidents start at the local level and, as needs
467 exceed local capability and additional resources and capabilities are required, state, territorial, tribal,
468 regional, federal and private sector assets are applied. This approach means that planners should
469 integrate vertically to provide a common operational focus to all response levels. Similarly, planners
470 at each level should integrate horizontally to fit department and supporting agency plans into their
471 jurisdiction’s CONOPS. Planners should also appropriately integrate the community’s nonprofit and
472 private sector plans and resources.

- 473 ▪ **Vertical integration** meshes planning both up and down the various levels of government. It
474 follows the concept that the foundation for operations is at the local level and that support from

¹¹ Information on National Incident Management System can be found at: <https://www.fema.gov/national-incident-management-system>. Information on the National Response Framework can be found at: <https://www.fema.gov/emergency-managers/national-preparedness/frameworks>.

475 federal, state, territorial, tribal, regional and private sector entities is layered onto local activities.
476 This means that as a planning team identifies a support requirement from a “higher level” during
477 the planning process, the two levels work together to resolve the situation. Chapter 3,
478 Understanding the Planning Environment, presents a concept for vertical integration.

- 479 ▪ **Horizontal integration** incorporates planning across various functions, mission areas,
480 organizations and jurisdictions. Horizontal integration serves two purposes:
 - 481 ○ It integrates operations across a jurisdiction. For example, an agency, department or sector
482 would write its plan or standard operating procedures/standard operating guidelines
483 (SOPs/SOGs) for its role in an evacuation to fit the controlling jurisdiction’s plan for such an
484 evacuation. Horizontal integration allows departments and support agencies to produce
485 plans that meet their internal needs or regulatory requirements and still integrate into the
486 EOP.
 - 487 ○ It confirms that a jurisdiction’s set of plans supports similar sets of plans from neighboring or
488 partner jurisdictions. A jurisdiction’s plan should include information about mission
489 assignments that it executes in conjunction with, in support of or with support from its
490 neighbors or partners.



491 Questions to Consider: EOP Approach and Integration

- 492 ▪ With what organizations or jurisdictions should the EOP integrate?
- 493 ▪ How can the planning team align the EOP with the plans of other organizations?
- 494 ▪ Has the team considered organizations or elements of the community outside the typical
495 list of partners and stakeholders, including those that may have differing views?

496 2.1.5. Plan Synchronization

497 The concept of sequencing creates effective EOPs that are synchronized in time, space and purpose.
498 Three planning concepts help sequence operations: phasing, branches and planning horizons.

- 499 ▪ **Phasing.** A phase is a specific part of an operation that is distinctly different from the ones that
500 precede or follow. For example, a set of phases might include routine operations, heightened
501 awareness, mobilization-activation-deployment, incident response and transition to recovery.
502 Planners often use the factors of time, distance, geography, resources and certain events to
503 define phase lengths.
- 504 ▪ **Branching.** A branch is an option built into an EOP. For example, a hurricane may affect a certain
505 state by moving up its coast, by moving inland and traveling up a large bay or by taking a more
506 middle track that affects both areas. While many elements of the plan would be the same for all
507 three scenarios, the change in track could affect response activities. Using branching, the

508 hurricane annex of an EOP would provide options for each major contingency, allowing the
509 planner to anticipate different requirements and courses of action. Planners use branching only
510 for important options and not for every possible variation in the response.

511 ▪ **Planning horizon.** A planning horizon is a point in time that planners use to focus the planning
512 effort. Because no one can predict when most incidents will occur, planners typically use
513 planning horizons expressed in months to years when developing EOPs. For example, the base
514 components of an EOP may be updated on a two- to three-year cycle, while key annexes may be
515 on a shorter cycle. Since planners develop these plans with little or no specific knowledge of how
516 a future incident will evolve, the plan should describe broad concepts that allow quick and
517 flexible operations. They should enable several courses of action and project potential uses of
518 organizations and resources during those operations. Planners should view plans as living
519 contingency plans; these plans provide the starting point for response operations when an
520 emergency occurs.

521 **2.1.6. Common Planning Pitfalls**

522 In developing EOPs, planning teams tend to make several common mistakes. Planners should avoid
523 the following:

- 524 ▪ Developing lengthy, overly detailed plans that are not useful in guiding actual operations when
525 incidents occur and that response personnel do not use.
- 526 ▪ Failing to account for the whole community's needs.
- 527 ▪ Planning exclusively for response by emergency professionals and not factoring in capabilities of
528 the whole community and the desire of individuals and organizations to help.
- 529 ▪ Basing plans on inaccurate information and assumptions in general but particularly regarding
530 hazards, risks, resources and capabilities.

531 To avoid having to learn of a planning pitfall during a response to an emergency or disaster,
532 jurisdictions should exercise their plans to identify these common mistakes, as well as any other
533 gaps.

534

3. Understanding the Planning Environment

535

536

This chapter explains the environment within which planning occurs, outlines the links between different levels of government and describes state, local, tribal and territorial emergency operations planning activities in the context of the National Preparedness System.

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3.1. The National Preparedness System

540

The National Preparedness System describes a systematic approach to build and sustain the capabilities required to prevent, protect against, mitigate, respond to and recover from all threats and hazards. As shown in Figure 1, it contains six components: identifying and assessing risk; estimating the level of capabilities needed to address those risks; building or sustaining the required levels of capability; developing and implementing plans to deliver those capabilities; validating and monitoring progress; and reviewing and updating efforts to promote continuous improvement. The National Preparedness System is grounded within the National Preparedness Goal, which describes 32 core capabilities that are necessary to manage risk and enhance the Nation’s security and resilience. Specifically, the National Preparedness Goal is “a secure and resilient nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to and recover from the threats and hazards that pose the greatest risk.”

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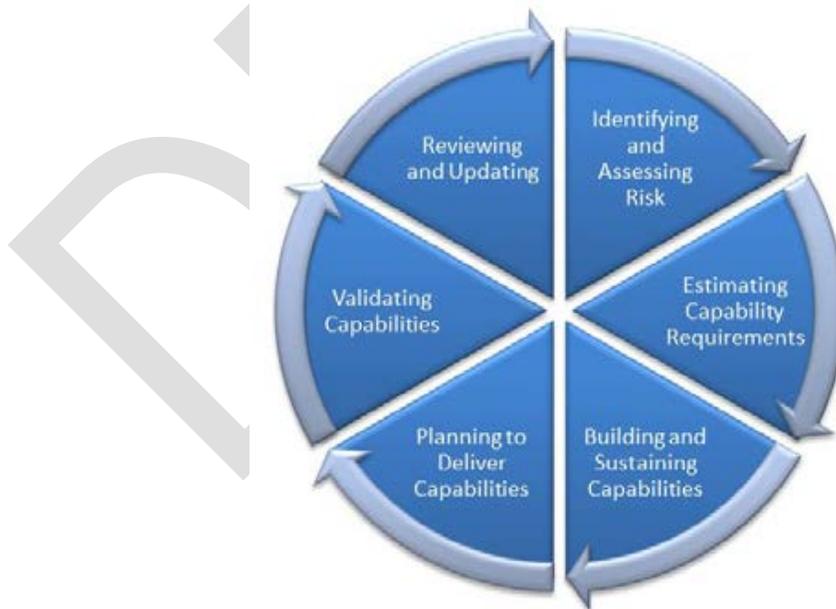
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Figure 1: Components of the National Preparedness System

553 Plans and the process to develop them are important features of each component of the National
554 Preparedness System.

555 ▪ **Identifying and Assessing Risk:** Understanding the risks faced by a community is essential for
556 building effective EOPs that reflect the range of threats and hazards that may have negative
557 consequences on its people, assets and systems. The outputs from risk assessments inform the
558 range of capabilities needed to respond to incidents.

559 ▪ **Estimating Capability Requirements:** The results of the risk assessment process can inform
560 estimates of capabilities that a community needs. Through this process, planners use risk
561 assessment outputs to establish planning factors and determine what levels of capability are
562 needed.

563 ▪ **Building and Sustaining Capabilities:** Planners can compare existing capabilities with capability
564 targets to identify both gaps and strengths. Working together, planners, government officials and
565 elected leaders can develop strategies to allocate resources effectively to build capabilities,
566 address gaps and sustain existing capabilities.

567 ▪ **Planning to Deliver Capabilities:** Communities and organizations use plans to guide action. These
568 plans need periodic review and updates to address changes over time in risk and capabilities. A
569 range of resources, such as CPG 101, exist to help planners in that regard.

570 ▪ **Validating Capabilities:** Risk-informed exercise and evaluation activities are important steps to
571 validate EOPs and test incident response capabilities. Training and real-world events also provide
572 opportunities to test and validate plans and capabilities.

573 ▪ **Reviewing and Updating:** The risks facing communities can change with evolving threats and
574 hazards, aging infrastructure, shifts in population or changes in the natural environment. The
575 planning team should review capabilities, resources and plans—including EOPs—on a regular
576 basis and update them to reflect current risk assessment results and information gathered
577 during the validation process.

578 3.2. National Preparedness Guidance

579 In coordination with whole community partners, FEMA has developed a suite of national
580 preparedness guidance documents—such as CPG 101—which are grounded in experience and
581 lessons learned in preventing, protecting against, mitigating, responding to and recovering from the
582 threats and hazards that the nation has faced. These documents include the National Incident
583 Management System (NIMS) and the National Planning Frameworks, which collectively describe how

584 the Nation conducts integrated support and management activities when responding to all manner
585 of incidents.¹²

586 3.2.1. The National Incident Management System

587 NIMS is a systematic approach that guides all levels of government, nonprofits and the private sector
588 to work together to manage all incidents, regardless of cause, size, location or complexity. It provides
589 a shared vocabulary, systems and processes to successfully deliver the capabilities described in the
590 National Preparedness System. NIMS resource management enables many organizational elements
591 to collaborate and coordinate to systematically manage resources—personnel, teams, facilities,
592 equipment and supplies. Most jurisdictions or organizations do not own and maintain all the
593 resources necessary to address all potential threats and hazards. Therefore, effective resource
594 management includes leveraging each jurisdiction’s resources, engaging private sector resources,
595 involving volunteer organizations and encouraging further development of MAAs.

596 NIMS defines operational systems, including the Incident Command System (ICS), emergency
597 operations center (EOC) structures and multiagency coordination (MAC) groups, that guide how
598 personnel work together during incidents. As part of NIMS, FEMA developed the National
599 Qualification System, which provides a foundational guideline on personnel resource typing within
600 the NIMS framework, plus supporting tools.¹³ FEMA also crafted NIMS job titles/position
601 qualifications and accompanying position task books, the NIMS Guideline for Mutual Aid and the
602 EOC Skillsets and User Guide.¹⁴

603 FEMA also supports an extensive curriculum of NIMS training. For further information refer to
604 <https://www.fema.gov/emergency-managers/nims/implementation-training>.

605 3.2.2. The National Planning Frameworks

606 The National Preparedness Goal helps organize national preparedness activities and facilitates
607 coordination among public and private partners through five mission areas:

- 608 ▪ **Prevention** consists of the actions necessary to avoid, prevent or stop a threatened or actual act
609 of terrorism.

¹² Information on the NIMS is available at <https://www.fema.gov/national-incident-management-system>, and on the National Planning Frameworks at <https://www.fema.gov/emergency-managers/national-preparedness/frameworks>.

¹³ Information on the National Qualification System, as well as the NIMS Guideline for Mutual Aid, is available on the NIMS Components page at <https://www.fema.gov/emergency-managers/nims/components>.

¹⁴ Information on the EOC Skillsets and User Guide is available on the Emergency Operations Center Guidance and Tools page at <https://www.fema.gov/emergency-managers/nims/components/emergency-operations-center>.

- 610 ▪ **Protection** consists of the capabilities necessary to secure the homeland against acts of
611 terrorism and human-caused or natural disasters
- 612 ▪ **Mitigation** encompasses activities providing a critical foundation in the effort to reduce the loss
613 of life and property from natural and/or human-caused disasters.
- 614 ▪ **Response** includes action to save lives, stabilize community lifelines, protect property and the
615 environment and meet basic human needs after an incident has occurred.
- 616 ▪ **Recovery** encompasses activities necessary to assist communities affected by an incident to
617 recover effectively.

618 Each of these mission areas has a National Planning Framework¹⁵ associated with it that describes
619 how the whole community works together to achieve the National Preparedness Goal and foster a
620 shared understanding of roles and responsibilities at each level of government and within the private
621 and nonprofit sectors. The NRF is particularly relevant to the development of EOPs; the National
622 Disaster Recovery Framework (NDRF) is also a useful resource that can help planning teams align
623 their response and recovery plans, as appropriate.¹⁶

624 **3.2.3. The National Response Framework**

625 The NRF is a guide to how the Nation responds to all types of incidents. It is built on scalable, flexible
626 and adaptable concepts identified in NIMS to align key roles and responsibilities across the nation.
627 The NRF describes coordinating structures, as well as key roles and responsibilities for integrating
628 capabilities across the whole community, to support the efforts of governments, the private sector
629 and nonprofits in responding to actual and potential incidents. The NRF also:

- 630 ▪ Describes how unity of effort among public and private sectors, as well as nonprofits, helps
631 stabilize community lifelines;
- 632 ▪ Describes the steps needed to prepare for delivering the response core capabilities, including
633 capabilities brought through businesses and infrastructure owners and operators in an incident;
- 634 ▪ Introduces the community lifelines, which represent services that enable the continuous
635 operation of critical government and business functions and are essential to human health and
636 safety or economic security;

¹⁵ For more information on the National Planning Frameworks, see <https://www.fema.gov/emergency-managers/national-preparedness/frameworks>.

¹⁶ National Disaster Recovery Framework: <https://www.fema.gov/emergency-managers/national-preparedness/frameworks>.

- 637 ▪ Fosters integration and coordination of activities for response actions; and
- 638 ▪ Provides guidance and establishes the foundation for federal interagency emergency operations
- 639 planning.

640 **STATE, TERRITORIAL, TRIBAL AND INSULAR AREA GOVERNMENT PLANNING**

641 State, territorial, tribal and insular area governments have significant resources of their own,
642 including emergency management and homeland security agencies, police departments, health
643 agencies, transportation agencies, incident management teams, specialized teams and the National
644 Guard. As described in the NRF, the role of a state government during emergency response is to
645 supplement local efforts before, during and after a disaster or emergency. If a state anticipates that
646 its needs may exceed its resources, the governor can request assistance from other states through
647 MAAs (e.g., an Emergency Management Assistance Compact) and/or from the federal government.
648 Under the Robert T. Stafford Disaster and Relief Act (the Stafford Act), federally recognized tribes
649 may request a Presidential emergency or major disaster declaration directly, or they may request
650 assistance under a state request. Federally recognized tribes can request federal assistance for
651 incidents that impact the tribe but do not result in a Stafford Act declaration.

652 **LOCAL GOVERNMENT PLANNING**

653 Resilience begins with prepared individuals and depends on the leadership and engagement of local
654 government, civic leaders and private sector businesses and organizations. Local police, fire,
655 emergency medical services (EMS), emergency management, public health and medical providers,
656 public works and other community agencies are often the first to be notified about a threat or hazard
657 or to respond to an incident. These entities should work with individuals, families and service
658 providers for people with disabilities and others with access and functional needs to enhance their
659 awareness of risk levels and specific threats, develop household emergency plans that include
660 household pets and service animals and prepare emergency supply kits.

661 **CONCEPT OF OPERATIONS**

662 All levels of government, the private sector, nonprofit organizations and individuals should work
663 together toward a shared and effective response. Upon receiving the warning that an incident is
664 likely to occur or has occurred, elements of the NRF may be implemented in a scalable and flexible
665 way to improve response.

666 **FUNCTIONAL ORGANIZATION**

667 The NRF and supporting Response Federal Interagency Operational Plan (FIOP) use 15 Emergency
668 Support Functions (ESFs) to group and describe the kinds of resources and types of federal
669 assistance available to augment state and local response efforts:¹⁷

- 670 ▪ ESF #1—Transportation
- 671 ▪ ESF #2—Communications
- 672 ▪ ESF #3—Public Works and Engineering
- 673 ▪ ESF #4—Firefighting
- 674 ▪ ESF #5—Information and Planning
- 675 ▪ ESF #6—Mass Care, Emergency Assistance, Temporary Housing and Human Services
- 676 ▪ ESF #7—Logistics
- 677 ▪ ESF #8—Public Health and Medical Services
- 678 ▪ ESF #9—Search and Rescue
- 679 ▪ ESF #10—Oil and Hazardous Materials Response
- 680 ▪ ESF #11—Agriculture and Natural Resources
- 681 ▪ ESF #12—Energy
- 682 ▪ ESF #13—Public Safety and Security
- 683 ▪ ESF #14—Cross-sector Business and Infrastructure
- 684 ▪ ESF #15—External Affairs.

685 Each ESF has a federal department or agency identified as its coordinator. During response
686 operations, the coordinating agency forms and activates a team that is responsible for working with
687 the appropriate state and local officials to identify unmet resource needs. The team also coordinates
688 the flow of resources and assistance provided by the federal government to meet these needs.

689 **3.2.4. The National Disaster Recovery Framework**

690 The NDRF is a companion to the NRF and describes how the Nation builds, sustains and coordinates
691 disaster recovery capabilities. The NDRF encourages and assists communities to accelerate the
692 recovery process, beginning with pre-disaster preparedness, including coordinating with community
693 partners, mitigating risks, incorporating continuity planning, identifying recovery resources and
694 developing capacity to manage the recovery process effectively through collaborative and inclusive
695 recovery planning. Collaboration across the whole community on recovery planning fosters
696 integration of emergency response, hazard mitigation, resilience and sustainability into the
697 community's short- and long-term disaster recovery goals.

¹⁷ Information on the ESFs is available at <https://www.fema.gov/emergency-managers/national-preparedness/frameworks/response>.

698 3.3. Relationship Between Federal Plans and State 699 Emergency Operations Plans

700 Federal plans and state EOPs describe each respective government-level approach to emergency
701 operations. Because these levels of government all provide support to emergency operations
702 conducted at the local level, their plans include similar and overlapping functions.

703 As indicated in Chapter 2, all levels of government should coordinate plans vertically for a singular
704 operational focus. The goal is to effectively combine federal and state operations through integration
705 and synchronization. Key concepts for a national planning structure—integration and
706 synchronization—serve different but equally important purposes in linking federal plans and state
707 EOPs:

- 708 ▪ From the federal perspective, integrated planning helps answer the question of how federal
709 agencies and departments add the right resources at the right time to support state and local
710 operations.
- 711 ▪ From the states' perspectives, integrated planning provides answers to questions about which
712 other organizations to work with and where to obtain resources.

713 **Resilient Communities and Planning**

714 Resilience, broadly defined, is the ability to resist, absorb, recover from or adapt to an adverse
715 occurrence. Engaging the community in the planning process improves community resilience by
716 increasing the understanding of threats and hazards, encouraging participation in the planning
717 process and communicating the expected actions for the community to undertake during an
718 emergency.

719 At the local and state levels, building resilience through engagement entails knowing the
720 community and its demographics, as well as involving both formal and informal community
721 leadership structures in the planning process. This is true for all levels of government as each
722 level works to address the issues surrounding children and individuals with disabilities, access
723 and functional needs, limited English proficiency and household pets.

724 Engaging the private sector is essential to the process. Much of the critical infrastructure
725 necessary to communities is owned and operated by the private sector. Connecting the
726 government and the private sector is, therefore, a necessary part of the planning process.

727 **3.3.1. Federal Plans at the National and Regional Levels**

728 The NRF and the Response FIOF serve as the foundation for developing national and regional
729 response plans that implement federal response activities. At the national level, the federal planning
730 structure supports the principles and concepts of the NRF. Staff in FEMA regional offices develop
731 plans to address potential activities and actions taken by regional offices of federal departments and

732 agencies in support of state and local operations. They also provide the necessary link between the
733 state EOP and the FIOP.

734 **3.3.2. State-, Territorial-, Tribal- and Insular Area-Level Plans**

735 Functions at this level focus on actions, such as direction and control, warning, public notification
736 and evacuation, that the state, territorial, tribal or insular area government must take during the
737 initial phase of response operations and that fall outside of the federal response mission.

738 Because state, territorial, tribal or insular area governments must channel federal assistance
739 provided under the Stafford Act, some choose to mirror the federal ESF structure. Replicating the
740 federal ESFs exactly is not needed. Some governments successfully use a hybrid approach, either by
741 giving the counterparts of federal ESFs extra responsibilities appropriate to the state, territorial, tribal
742 or insular area level or by creating functions in addition to those used by the federal government to
743 address state, territorial, tribal or insular area responsibilities and concerns. The important thing is
744 that the choice of functions fit the state, territorial, tribal or insular area government's own CONOPS,
745 policies, governmental structure and resource base. That fit is critical, because the EOP describes
746 what the state, territorial, tribal or insular area government does when conducting emergency
747 operations. States should consider local and federal plans in EOP development to build awareness
748 and understanding. State planners should develop plans that best fit their state's functions but also
749 need to know how the state plan works in concert with local and federal operations.

750 The state, territorial, tribal or insular area EOP:

- 751 ▪ Identifies the departments and agencies designated to perform response and recovery activities
752 and specifies tasks they must accomplish;
- 753 ▪ Outlines the assistance available to local jurisdictions during disasters that generate emergency
754 response and recovery needs beyond what the local jurisdiction can satisfy;
- 755 ▪ Specifies the direction, control and communications procedures and systems that alert, notify,
756 recall and dispatch emergency response personnel; warn local jurisdictions; protect residents
757 and property; and request aid/support from other jurisdictions and/or the federal government
758 (including the role of the governor's authorized representative);
- 759 ▪ Describes ways to obtain initial situation assessment information from the local jurisdiction(s)
760 directly affected by the disaster or emergency;
- 761 ▪ Describes the logistical support for planned operations;
- 762 ▪ Provides coordinating instructions and provisions for implementing interstate compacts, as
763 applicable;
- 764 ▪ Designates a coordinating officer to work directly with the federal coordinating officer;

- 765 ▪ Describes how workspace and communication support are provided to the regional liaison
766 officers and other federal teams deployed to the EOC, staging areas or the area directly impacted
767 by the disaster; and
- 768 ▪ Assists the federal coordinating officer in identifying candidate locations for establishing the joint
769 field office (i.e., the primary federal incident management field structure).

770 **3.3.3. Local-Level Plans**

771 Local EOPs should largely be consistent with state, territorial, tribal or insular area government plans.
772 This level's functions focus on actions, such as direction and control, warning, public notification and
773 evacuation, that the local government must take during the initial phase of response operations and
774 that fall outside of the state, territorial, tribal or insular area response mission. Local jurisdictions
775 should work with their state, territorial, tribal or insular area leadership to clearly delineate roles,
776 responsibilities and structures as required.

777 At a minimum, the EOP describes what the local government does when conducting emergency
778 operations. The local EOP:

- 779 ▪ Identifies the departments and agencies designated to perform response and recovery activities
780 and specifies tasks they must accomplish;
- 781 ▪ Outlines the integration of assistance available to local jurisdictions during disaster situations
782 that generate emergency response and recovery needs beyond what the local jurisdiction can
783 satisfy;
- 784 ▪ Specifies the direction, control and communications procedures and systems that alert, notify,
785 recall and dispatch emergency response personnel; warn the public; protect residents and
786 property; and request aid/support from other jurisdictions and/or the federal government
787 (including the role of the governor's authorized representative);
- 788 ▪ Provides coordinating instructions and provisions for implementing MAAs, as applicable; and
- 789 ▪ Describes the logistical support for planned operations.

790 4. Identifying the Right Plan for the 791 Job

792 This chapter shifts from theory to application by examining the different types of emergency
793 operation plans and how they meet the requirements of a jurisdiction.

794 4.1. The Emergency Operations Plan

795 Traditionally, the focus of a jurisdiction's operational planning effort has been the EOP. EOPs are
796 plans that define the scope of preparedness and emergency management activities necessary for
797 that jurisdiction. This chapter provides examples for jurisdictions to use in developing or updating
798 their EOPs. The structures and concepts are based on an EOP that consists of a base plan or base
799 plan that is supplemented by some number of annexes that typically provide details on specific
800 emergency response functions, such as emergency sheltering, search and rescue and/or unique
801 hazards, such as earthquakes, hazardous materials spills and power failures. The EOP format is very
802 flexible and works well for both conventional and complex emergency operations.

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

807 A jurisdiction's EOP is a document that:

- 808 ▪ Assigns responsibility to organizations and individuals for carrying out specific actions that
809 exceed routine responsibility at projected times and places during an emergency;
- 810 ▪ Explains the pertinent lines of authority and organizational relationships and shows how
811 activities are coordinated to unify response and recovery efforts;
- 812 ▪ Describes how people (including unaccompanied minors, individuals with disabilities, others with
813 access and functional needs and individuals with limited English proficiency) and property are
814 protected;
- 815 ▪ Identifies personnel, equipment, facilities, supplies and other resources available within the
816 jurisdiction or by agreement with other jurisdictions; and
- 817 ▪ Describes how resource requirements are coordinated with neighboring jurisdictions, private
818 sector entities and nonprofit organizations.

819 An EOP should be flexible enough for use in all emergencies. An EOP describes the purpose of the
820 plan, the situation, assumptions, CONOPS, organization and assignment of responsibilities,
821 administration and logistics, plan development and maintenance and authorities and references.

822 EOPs typically contain annexes appropriate to the jurisdictions' organization and operations. EOPs
823 pre-designate a jurisdictional lead agency and/or functional area representatives to the incident
824 command, unified command or multiagency coordination group whenever possible to facilitate
825 responsive and collaborative incident management.

826 EOPs facilitate incident response and short-term recovery, which sets the stage for long-term
827 recovery. Response actions and some post-disaster recovery issues, such as the rebuilding and
828 placement of temporary housing facilities, are time sensitive. Advance planning makes performing
829 these tasks easier. Jurisdictions, especially those with severe hazards and vulnerabilities, should
830 integrate comprehensive housing and overall recovery planning with their EOPs. While EOPs often
831 cover short-term recovery actions that are natural extensions of response activities, they do not
832 typically detail long-term recovery actions. However, the EOP should address transition to a long-term
833 recovery plan and the deactivation of response assets.

834 **Prioritizing Pre-Disaster Recovery Planning**

835 EOPs generally focus on how jurisdictions respond to incidents. Experience with large
836 emergencies highlights the need for jurisdictions also to anticipate how to recover from the
837 serious and long-term consequences of disasters. Issues such as housing people who are
838 displaced from their homes for long periods of time or rehabilitating the jurisdiction's economy
839 should be considered before an incident occurs and in the context of incident response plans.
840 Pre-incident recovery plans and EOPs should complement each other. They should be
841 interoperable by using consistent terminology and describing an integrated CONOPS.

842 FEMA provides extensive guidance for pre-incident recovery planning. For more information, see
843 the National Disaster Recovery Framework¹⁸ and FEMA's pre-disaster recovery planning guides
844 for state, local and tribal governments.¹⁹

845 **4.1.1. State, Local, Territorial, Tribal and Insular Area Emergency Operations** 846 **Plans**

847 In the Nation's system of emergency management, the local government acts first to address the
848 public's emergency needs. Depending on the nature and size of the emergency, state, tribal,

¹⁸ Information on the National Disaster Recovery Framework is available on FEMA's National Planning Frameworks webpage at <https://www.fema.gov/emergency-managers/national-preparedness/frameworks>.

¹⁹ Additional information is available on FEMA's Planning Guides webpage at <https://www.fema.gov/emergency-managers/national-preparedness/plan>.

849 territorial, insular area and federal assistance may be provided. Local EOPs focus on the emergency
850 measures that are essential for protecting the public. At the minimum, these measures include
851 issues such as warning, emergency public information, evacuation, shelter, security, emergency
852 medical care and tactical communications.

853 States, territories, tribal organizations and insular area organizations play three roles: assisting local
854 jurisdictions; responding first to certain emergencies; and working with the federal government when
855 federal assistance is necessary. The state, territorial, tribal or insular area EOP is the framework
856 within which local EOPs are created and through which the federal government becomes involved. As
857 such, this plan should help to mobilize all levels of government in a unified way to safeguard the
858 well-being of their populace. The state, territorial, tribal or insular area EOPs should synchronize and
859 integrate with local and regional plans.

860 A planning team's main concern is to include all essential information and instructions in the EOP.
861 FEMA does not recommend a particular format for EOPs. Any format is acceptable if users
862 understand it and can quickly find and apply the information they need when incidents occur. In
863 designing a format for an all-hazards EOP, the planning team should consider several key factors,
864 including organization, progression, consistency, adaptability, compatibility and inclusivity (see the
865 following checklist).

866 **EOP Formatting Decision Checklist**

- 867 **Organization.** Do the EOP section and subsection titles help users find what they need, or
868 must users sift through information that is not relevant? Can single plan components be
869 revised without forcing a substantial rewrite of the entire EOP?
- 870 **Progression.** In any one section of the EOP, does each element seem to follow from the
871 previous one, or are some items strikingly out of place? Can the reader grasp the rationale
872 for the sequence and scan for the information he or she needs?
- 873 **Consistency.** Does each section of the EOP use the same logical progression of elements, or
874 must the reader reorient himself or herself in each section?
- 875 **Adaptability.** Does the EOP's organization make its information easy to use during
876 unanticipated situations?
- 877 **Compatibility.** Does the EOP format promote or hinder coordination with other jurisdictions,
878 including the state and/or federal government? Can reformatting the EOP or making a chart
879 of the coordinating relationships (i.e., a crosswalk) solve problems in this area?
- 880 **Inclusivity.** Does the EOP appropriately address the needs of those with disabilities or other
881 access and functional needs?

882 4.2. Structuring an Emergency Operations Plan

883 Jurisdictions can plan for effects common to several hazards rather than develop separate plans for
884 each hazard. The planning team identifies the common tasks or functions that participating
885 organizations perform and assigns responsibility for accomplishing each task or function. Because
886 the jurisdiction's goal is a coordinated and integrated response, all EOP styles should flow from a
887 base plan that outlines the jurisdiction's overall emergency organization and its policies.

888 As the planning team begins to develop a new EOP, members evaluate which format is best for their
889 jurisdiction, considering factors such as operational needs, style of government, risk assessment
890 results and jurisdiction size. Form should follow function, in the sense that operational needs should
891 help determine the EOP format a jurisdiction uses (recognizing that some states prescribe an EOP
892 format for use by local governments).

893 The EOP should reflect how a jurisdiction would actually respond and not institute a separate
894 structure for planning purposes that does not reflect operational reality. One simple indicator of how
895 a jurisdiction's EOP should be formatted is to review how the jurisdiction's EOC operates and the
896 configuration of the team in the EOC when it is activated. If the EOC has sections for various
897 functions (e.g., transportation, public safety, energy) with representatives from various departments,
898 agencies and other organizations staffing those functions, a functional EOC is indicated. If, instead,
899 the EOC is organized by departments and agencies (e.g., department of transportation, public works,
900 police), then an EOP organized departmentally is indicated.

901 Functional format or agency-/department-focused format options reflect different EOP structures
902 used by jurisdictions across the Nation. States and larger municipalities tend to use the functional
903 format, with an emphasis on ESFs as an organizing construct, while local jurisdictions often employ
904 the functional or agency/department formats. New planners can consider these formatting options
905 when beginning to develop an EOP; seasoned planners can use them to validate the effectiveness of
906 existing EOPs.

907 None of these formats are mandatory to implement NIMS. The planning team may modify them to
908 align the EOP with the jurisdiction's emergency management strategy, policy, resources and
909 capabilities (within any state requirements).

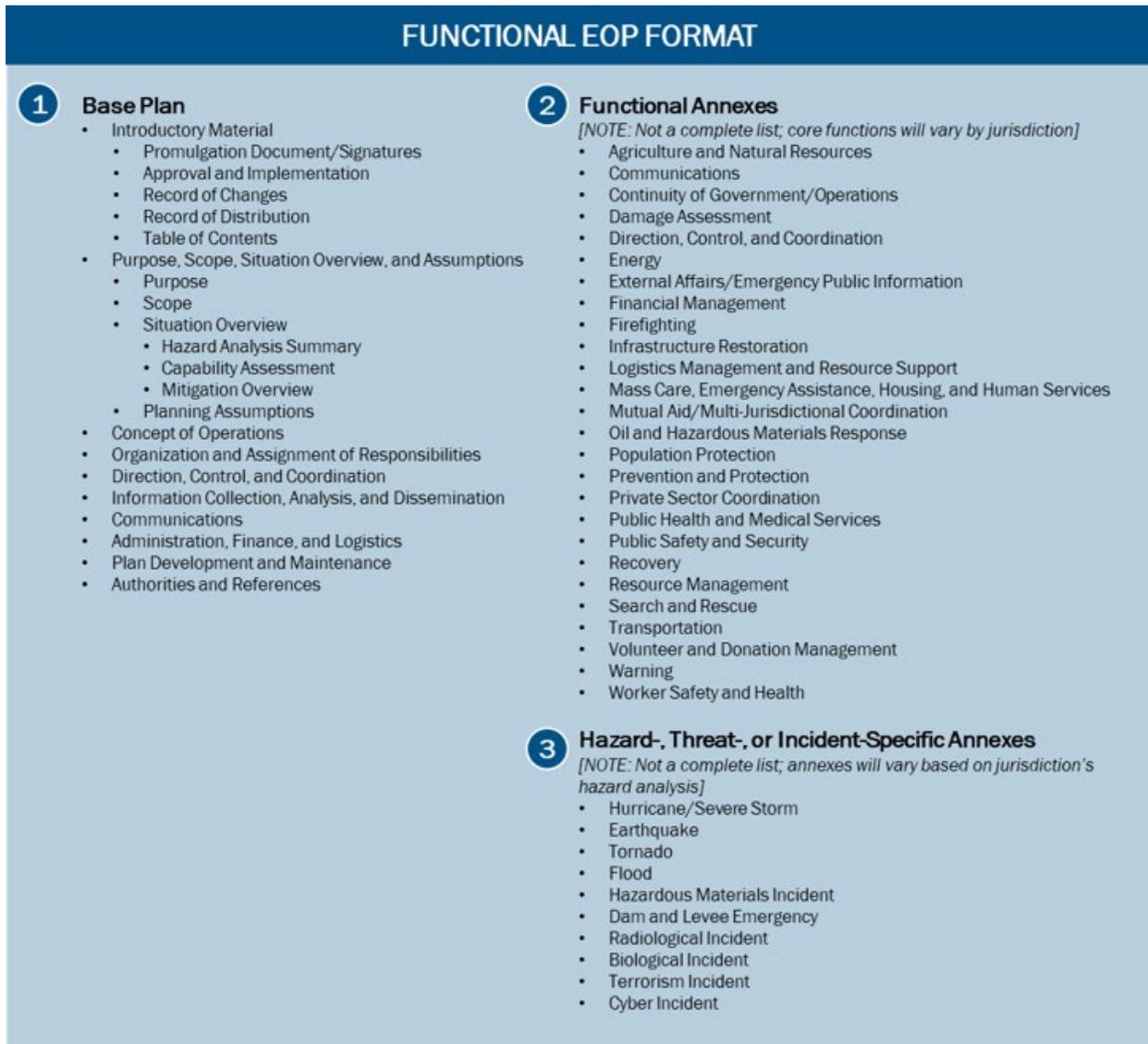


910 Questions to Consider: Integrating Incident Response and Recovery

- 911 ▪ What organizations or officials lead the jurisdiction's disaster recovery efforts after a
912 disaster? Are these organizations/officials represented on the EOP team?
- 913 ▪ Besides engaging recovery officials, what other steps can the planning team take so that
914 the EOP sets the stage effectively for long-term recovery?

915 **4.2.1. Functional Format**

916 The functional structure is probably the most commonly used EOP format. Traditionally, a functional
 917 format has three major sections: the base plan, functional annexes and hazard-specific annexes (see
 918 Figure 2).²⁰



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Figure 2: Functional EOP Format

²⁰ In this guide, the term “annex” refers to functional, support, hazard-/incident-specific or other supplements to the base plan consistent with the NRF. Some jurisdictions’ plans may use the term “appendix” in the same fashion (e.g., hazard-specific appendix).

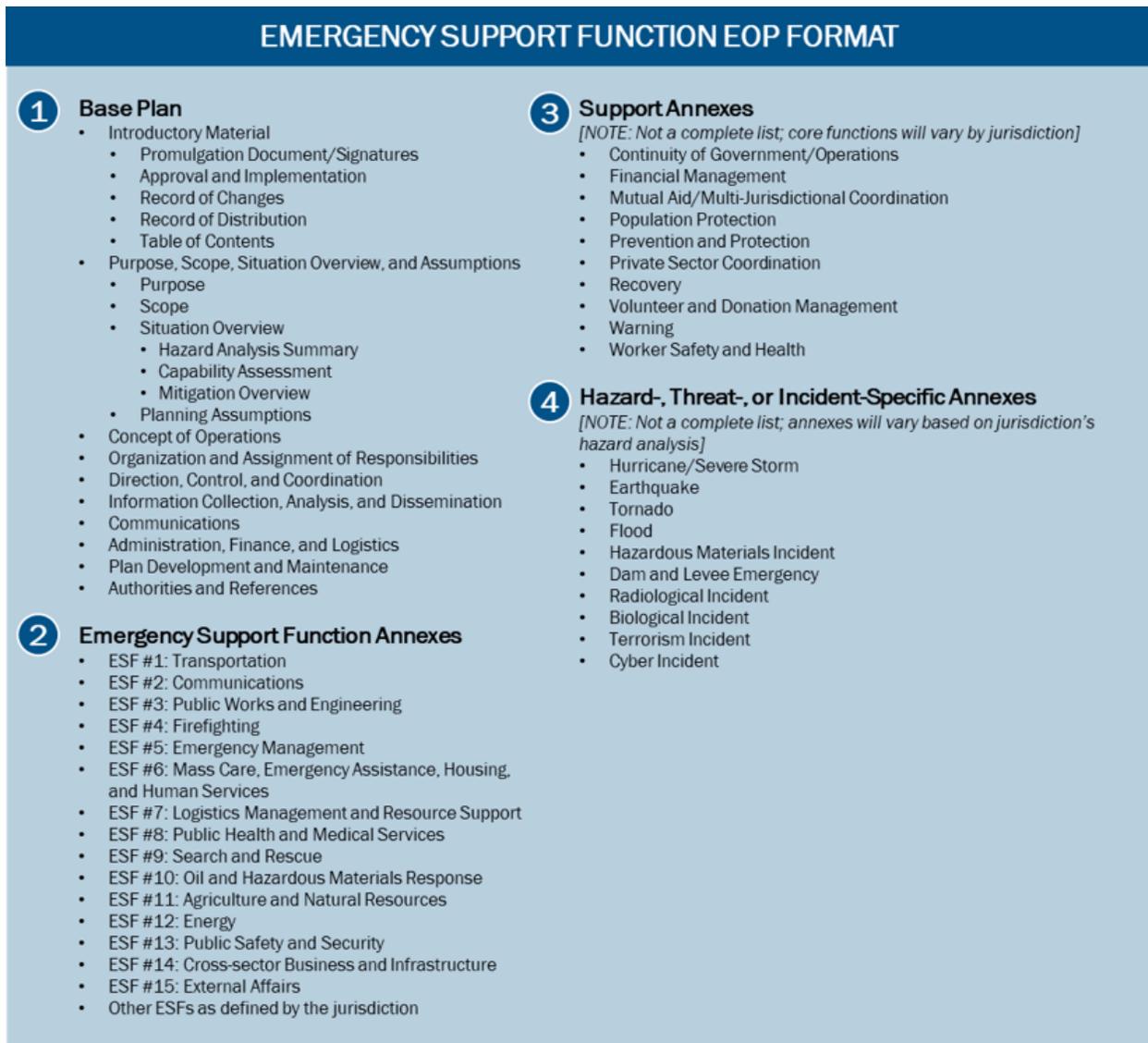
- 921 ▪ The **base plan** provides an overview of the jurisdiction’s preparedness and response strategies. It
922 describes expected hazards, outlines agency roles and responsibilities and explains how the
923 jurisdiction keeps the plan current.
- 924 ▪ The **functional annexes** are individual sections that focus on missions (e.g., communications,
925 damage assessment, private sector coordination). These annexes describe the organizations
926 that support the given function and their actions, roles and responsibilities. They also indicate
927 the resources, capabilities and authorities that each organization brings to the response.
928 Functional annexes describe how the jurisdiction manages the function before, during and after
929 the emergency.
- 930 ▪ The **hazard-, threat- or incident-specific annexes** describe the policies, situation, CONOPS and
931 responsibilities for particular hazards, threats or incidents. They explain the procedures that are
932 unique to that annex for a hazard type. For example, the direction and control annex may
933 describe how a local law enforcement’s command post would coordinate its functions; this
934 information would only be in a hazard-, threat- or incident-specific annex if it is different for that
935 hazard, threat or incident. Strategies already outlined in a functional annex should not be
936 repeated in a hazard-specific annex.

937 The functional EOP format also uses a specific outline to define the elements of each annex. When
938 the format is followed, EOP users can find information in the plan more easily because the same type
939 of information is in the same location. The EOP functional format can flexibly accommodate a wide
940 range of jurisdictional strategies. The planning team can add functional annexes as new functions
941 are identified. Similarly, the team can quickly separate an operational function (e.g., mass care) into
942 two separate annexes (e.g., sheltering and feeding, distribution of emergency supplies). New hazard
943 or threat annexes can be added quickly when new threats or hazards are identified.

944 **EXAMPLE FUNCTIONAL STRUCTURE: USING EMERGENCY SUPPORT FUNCTIONS FROM THE** 945 **NATIONAL RESPONSE FRAMEWORK**

946 The federal government, most states and some jurisdictions use ESFs to group response resources
947 and capabilities from various departments and agencies. Jurisdictions that use ESFs to coordinate
948 support typically use them to organize EOPs functionally. A functional format using ESFs is similar to
949 a more general functional EOP approach with a base plan supplemented by functional annexes and
950 hazard/threat/incident annexes; the difference is that instead of functional annexes based on
951 generic functions/missions, the annexes are based on ESFs.

952 Figure 3 shows an example ESF-based EOP format, reflecting the 15 ESFs used by the federal
953 government. While states and other jurisdictions that use ESFs use most of the same ESFs, some
954 have modified the list to meet their needs. Many states, for example, include a Military Support ESF
955 to coordinate the state’s National Guard activities. Examples of other topics addresses in state ESFs
956 include Law Enforcement, Agriculture and Animal Protection and Business and Industry. The EOP
957 format should reflect the ESFs that the jurisdiction uses.



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Figure 3: Example Functional EOP Format Based on the NRF and Federal ESFs

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This format typically includes the following elements:

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- The **base plan** provides an overview of the jurisdiction’s emergency management system. It briefly explains the hazards faced, capabilities, requirements 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.

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- The **federal ESF annexes**, which supplement the NRF, identify the ESF coordinator and the primary and support agencies for each function. ESFs with multiple primary agencies should designate an ESF coordinator to coordinate pre-incident planning. The ESF annexes also describe expected mission execution and identify tasks assigned to members of the ESF, including nonprofit and private sector partners. Note: the example follows the federal ESFs.

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- 970 ▪ **Support annexes** describe other mechanisms by which support is organized among private
971 sector, nonprofit organizations and government partners. Support annexes typically describe the
972 essential supporting processes and considerations common to most incidents. As examples, the
973 support annexes to the NRF include financial management, international coordination, public
974 affairs, tribal relations, volunteer and donations management and worker safety and health.
975 Recovery support functions from the NDRF could also be reflected in a recovery annex,
976 addressing issues such as community planning and capacity building, economic recovery, health
977 and social services, housing, infrastructure systems and natural and cultural resources.

- 978 ▪ The **hazard-, threat- or incident-specific annexes** describe the policies, situation, CONOPS and
979 responsibilities for particular hazards, threats or incidents:
 - 980 ○ Policies: Identifies the authorities unique to the incident type, the special actions or
981 declarations that may result and any special policies that may apply.
 - 982 ○ Situation: Describes the incident or hazard characteristics and the planning assumptions. It
983 also outlines the management approach for instances when key assumptions do not hold
984 (e.g., how authorities operate if they lose communication with senior decision makers).
 - 985 ○ CONOPs: Describes the flow of the emergency management strategy for a mission or set of
986 objectives to reach a desired end-state. It identifies special coordination structures,
987 specialized response teams or resources needed and other considerations unique to the
988 incident or hazard.
 - 989 ○ Responsibilities: Identifies the coordinating and cooperating agencies involved in an
990 incident-, hazard- or threat-specific response.

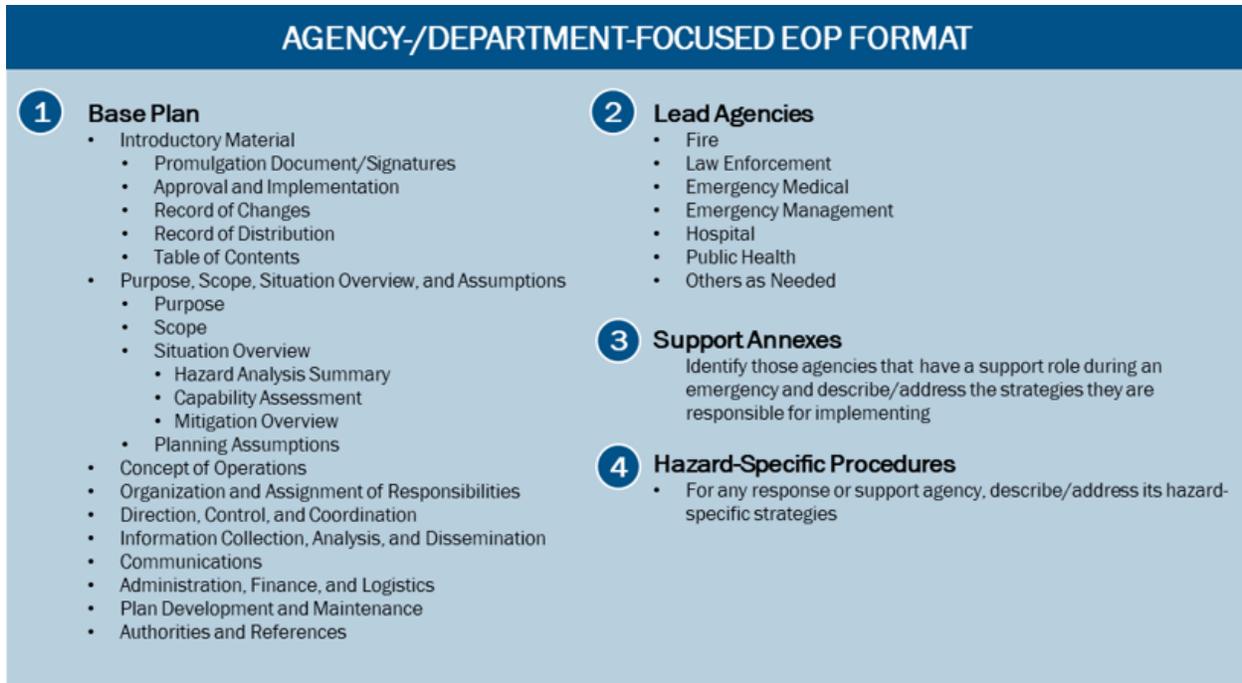


Questions to Consider: If the EOP Does Not Use ESFs

- 992 ▪ If the jurisdiction does not use ESFs, can the EOP help to optimize the use of similar
993 resources and capabilities from different organizations?
- 994 ▪ Has the jurisdiction identified the organizing constructs that likely government partners use
995 in their EOPs to minimize potential communication challenges when responding to
996 incidents?

4.2.2. Agency-/Department-Focused Format

997 This format addresses each department’s or agency’s tasks in a separate section. In addition to the
998 base plan, this format includes lead and support agency sections and hazard-specific procedures for
999 the individual agencies (see Figure 4).
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Figure 4: Agency-/Department-Focused EOP Format

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- The **base plan** provides an overview of a jurisdiction’s preparedness and response strategies. It summarizes the basic tasks to prepare for emergencies and disasters and defines how the plan is developed and maintained.

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- The **lead and support agency sections** discuss the emergency functions for which individual departments, agencies and nonprofit partners are responsible. Each agency section should refer to other agency sections to coordinate their respective emergency management strategies.

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- 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.

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This format allows EOP users to review only their department’s or agency’s procedures without having to review other agencies’ response tasks. The individual sections still reference the unique relationships with other agencies during a disaster; however, they do not contain details on the other departments’ or agencies’ strategies. If needed, users of the plan can refer to the other departments’ or agencies’ sections and review their procedures to understand the bigger picture. The level of detail in each section varies according to the needs of the specific department or agency. Agencies or departments with detailed SOPs/SOGs may not need much information in their portion of the plan, while others may need to provide more details in the EOP.

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1021 4.3. Using Planning Templates

1022 Managers and planners, particularly at the local level, recognize that the planning process demands
 1023 a significant commitment of time, effort and resources. To ease this burden, many planners and
 1024 jurisdictions use templates to complete their plans. Some states provide templates to their local
 1025 jurisdictions. Other templates are available through hazard-specific preparedness programs or
 1026 commercially from private sector vendors. In other cases, planners may use an existing plan from
 1027 another jurisdiction or organization as a template. Regardless of the source of the template,
 1028 planning teams should customize these resources to create a tailored plan that reflects their
 1029 community's risk profile, governance structures and operational priorities.

1030 Planners must select templates that do not undermine the planning process. For example, "fill-in-the-
 1031 blank" templates can defeat the socialization, mutual learning and role acceptance that are so
 1032 important to achieving effective planning and a successful response. The best templates are those
 1033 that offer a plan format and describe the content that each section might contain, allowing tailoring
 1034 to the jurisdiction's geographic, political and social environment. Planners should consider CPG 101
 1035 a template because it provides plan formats and content guidance.

1036 When using a planning template, planners should consider whether:

- 1037 ▪ The resulting plan represents the jurisdiction's unique hazard and threat situation (the
 1038 underlying facts and assumptions) and they match those applicable to the jurisdiction;
- 1039 ▪ The hazard and risk assessments match the jurisdiction's demographics, infrastructure
 1040 inventory, probability of hazard occurrence, etc.;
- 1041 ▪ The template broadly identifies the resources needed to address the problems generated by an
 1042 emergency or disaster;
- 1043 ▪ Using the template stifles creativity and flexibility, thereby constraining the development of
 1044 strategies and tactics needed to solve disaster problems; and
- 1045 ▪ Using the templates encourages planning "in a vacuum," by allowing a single individual to "write"
 1046 the plan.

1047 Planners should evaluate the usefulness of any planning tool (e.g., template, software) used as part
 1048 of the planning process. Most templates need to be adjusted to meet their jurisdiction's needs.



1049 Questions to Consider: Using Planning Templates to Develop EOPs

- 1050 ▪ How similar is the example plan or template to the planning team's jurisdiction in terms of
 1051 demographics, risks and hazards, response structures and level and type of government?

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- What changes to the example plan or template are required so that it reflects the unique characteristics of the planning team's jurisdiction?

1054 4.4. Additional Types of Plans

1055 Emergency operations involve several kinds of plans, just as they involve several kinds of actions.
1056 While the EOP is often the centerpiece of emergency planning efforts, it is not the only plan that
1057 addresses emergency management or homeland security missions. Other types of plans that support
1058 and supplement the EOP include:

- 1059 ▪ **Incident action plans (IAP)** are iterative operational plans that incident management teams
1060 develop prior to each operational period (typically every 12 or 24 hours) during incident
1061 response. IAPs list the objectives established by the incident commander or unified command
1062 and specify tactics and planned resource utilization during the operational period. Effective EOPs
1063 guide and facilitate the development of IAPs during the operational periods immediately
1064 following an incident. As situational awareness improves over the hours and days following the
1065 incident, planners increasingly rely on ground truth to guide incident planning and operations.
- 1066 ▪ **Joint operational plans** or **regional coordination plans** typically involve multiple levels of
1067 government to address a specific incident or a special event. Standing plans should be an annex
1068 to the related EOPs, while special events plans should be standalone supplements based on the
1069 information contained within the related EOPs.
- 1070 ▪ **Administrative plans** describe policies and procedures to support a governmental endeavor.
1071 Typically, they deal less with external work products than with internal processes. Examples
1072 include plans for financial management, personnel management, records review and labor
1073 relations activities. Such plans are not typically part of EOPs. However, planners should reference
1074 administrative plans in the EOP if they apply during emergencies. Planners should make similar
1075 references in the EOP for exceptions to normal administrative plans permitted during
1076 emergencies.
- 1077 ▪ **Preparedness plans** address the process for developing and maintaining capabilities for the
1078 whole community, both pre- and post-incident. Integrated preparedness plans should address
1079 capabilities needed for prevention, protection, mitigation, response and recovery activities.
1080 These multiyear plans include the schedule for identifying and meeting training needs based on
1081 the expectations created by the EOP; the process and schedule for developing, conducting and
1082 evaluating exercises and correcting identified deficiencies; and plans for procuring, retrofitting or
1083 building facilities and equipment to withstand the effects of the hazards facing the jurisdiction.
1084 Jurisdictions develop integrated preparedness plans through collaborative workshops where
1085 participants identify priorities and establish a schedule for preparedness activities.
- 1086 ▪ **Continuity of operations (COOP) plans** outline essential functions and services to perform and
1087 deliver during an incident that disrupts normal operations and the methods by which this occurs.
1088 They also describe the process for timely resumption of normal operations once the emergency

1089 has ended. COOP plans address the continued performance and delivery of core capabilities and
1090 critical operations during any potential incident. Continuity of government (COG) is an outcome of
1091 continuity planning and the continuity capabilities that support it. COG planning efforts prepare
1092 jurisdictions to preserve or reconstitute the statutory, constitutional, legislative and
1093 administrative responsibilities and authorities at all levels of government.

1094 ■ **Recovery plans** developed prior to a disaster help jurisdictions identify needs, develop options,
1095 implement solutions, direct recovery activities and expedite a unified recovery effort. Pre-incident
1096 planning performed in conjunction with community development planning helps establish
1097 recovery priorities, incorporate mitigation strategies in the wake of an incident and identify
1098 options and changes to consider or implement after an incident. Post-incident community
1099 recovery planning integrates the range of complex decisions in the context of the incident and
1100 works as the foundation for allocating resources.

1101 ■ **Hazard mitigation plans** outline a jurisdiction’s strategy to reduce the loss of life and property by
1102 lessening the impact of the hazards it faces. The Disaster Mitigation Act of 2000 requires
1103 jurisdictions seeking certain disaster assistance funding to have approved hazard mitigation
1104 plans. Mitigation planning is often a long-term effort and may be part of or tied to the
1105 jurisdiction’s strategic development plan or similar documents. Mitigation planning committees
1106 may differ from operational planning teams in that they include zoning boards, floodplain
1107 managers and individuals with long-term cultural or economic interests. Existing plans for
1108 mitigating hazards are relevant to an EOP, since both originate from a hazard-based analysis and
1109 share similar component requirements.

1110 **4.4.1. Procedural Documents**

1111 Procedural documents describe how to accomplish specific activities. Put simply, plans describe the
1112 “what” and procedures describe the “how.” Planners may prepare procedural documents to reduce
1113 the level of detail in actual plans. The basic criterion is what the audience of this part of the plan
1114 needs to know or have set out as a matter of public record. Information and “how-to” instructions for
1115 individuals or groups should appear in procedural documents. The plan should reference procedural
1116 documents as appropriate.

1117 For many responsibilities outlined in the EOP, assigning the responsibility to an individual (by position
1118 or authority) or organization and specifying the assignee’s accountability is sufficient: to whom the
1119 person reports or with whom the person coordinates. For example, a plan assigning responsibility for
1120 extinguishing fires to the fire department would not detail procedures used at the scene or specify
1121 what fire equipment is most appropriate. In this situation, the EOP would defer to the fire
1122 department’s SOPs/SOGs. However, the plan would describe the relationship between the incident
1123 commander and the organization directing the jurisdictional response to the emergency, of which the
1124 fire in question may be only a part.

1125 Overviews, SOPs/SOGs, field operations guides (FOGs) or handbooks and job aids are common types
1126 of procedural documents. The following bullets summarize each type.

- 1127 ▪ **Overviews** are brief concept summaries of an incident-related function, team or capability.
1128 Overview documents are of two types: explaining general protocols and procedures or specific to
1129 a functional team or area.
- 1130 ○ Overviews that **explain general protocols and procedures** are the bridge between all
1131 functional or hazard-specific planning annexes and procedural documentation. This type of
1132 overview could contain an EOC layout, describe activation levels and identify the functions or
1133 sections responsible for planning, operational and support activities. An easy way to develop
1134 an overview document is to review the assignments and responsibilities outlined in the EOP
1135 and reference the procedures developed to fulfill them in the overview.
- 1136 ○ Overviews that are **specific to a functional team or area** describe the general responsibilities
1137 and tasks of a functional team. This type of overview provides information to supporting
1138 personnel to aid in activities related to the function, team or capability summarized by the
1139 document. It identifies qualifications to support the team, provides a summary of operational
1140 procedures and defines possible missions in greater detail than in plan annexes. As an
1141 example, the overview document addressing transportation would describe the purpose of
1142 this function, composition of support personnel, requirements for the team or branch and
1143 missions that might be required. It might also identify hazards or conditions that determine
1144 when missions are assigned. A successful overview document helps orient new arrivals.
- 1145 ▪ **SOPs/ SOGs** are complete reference documents that identify the purpose, authorities, duration
1146 and details of the preferred method for performing a single function or a number of interrelated
1147 functions. SOPs/SOGs often describe processes that evolved institutionally over years or
1148 document common practices to capture institutional experience of an organization. SOPs/SOGs
1149 are sometimes task-specific (e.g., how to send emergency messages to the public using the
1150 Integrated Public Alert and Warning System [IPAWS], sirens or other local mass notification
1151 systems). SOPs/SOGs should grow naturally out of responsibilities identified and described in the
1152 EOP. Staff members who typically engage in emergency activities should develop the procedures
1153 in an SOP/SOG. The planning team works with senior representatives of tasked organizations to
1154 make SOPs/SOGs available and confirm that they do not conflict with the EOP or one another.

1155 **Contents of SOPs/SOGs**

1156 SOPs/SOGs may include checklists, call-down rosters, resource listings, maps and charts. They
1157 may also describe how to notify staff; obtain and use equipment, supplies and vehicles; obtain
1158 mutual aid; report information to organizational work centers and the EOC; and communicate
1159 with staff members who are operating from more than one location.

- 1160 ▪ **FOGs or handbooks** are durable pocket or desk guides containing information required to
1161 perform specific assignments or functions. FOGs are short-form versions of SOP/SOGs and serve
1162 as a resource document. FOGs provide individuals assigned to specific teams, branches or
1163 functions with information about the procedures they are likely to perform or portions of an
1164 SOP/SOG appropriate for the missions they are likely to complete. When combined with the

1165 overview document, they give an accurate picture of the positions these individuals fill. The FOG
1166 or handbook may also include administrative procedures that staff must follow.

1167 ▪ **Job aids** are checklists or other materials that help users perform specific tasks. Examples of job
1168 aids include telephone rosters, report templates, software or machine operating instructions and
1169 task lists. Job aids are often included to help EOC personnel complete their assigned tasks or to
1170 foster consistency. Job aids may also reduce complexity or the opportunity for error in executing
1171 a task (e.g., providing a lookup chart of temperature conversions rather than providing a formula
1172 for doing the conversion).

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5. The Planning Process

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This chapter merges information from the first three chapters and describes an approach for operational planning that is consistent with processes already familiar to most planners. The process described here blends concepts from a variety of sources. It applies at all levels of government and allows private and nonprofit organizations to integrate with government planning efforts. It is intentionally flexible, designed to fit the unique risks and capabilities resident in different jurisdictions while also helping them communicate vision, mission, goals and objectives with partner organizations, stakeholders and the whole community. Although individual planners can use this process, it is most effective when used by a planning team.

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5.1. Steps in the Planning Process

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There are many ways to produce an EOP. The planning process that follows is flexible and allows communities to adapt it to varying characteristics and situations. While not ideal, if time is a constraint, planners can minimize or skip steps to accelerate the process. Small communities can follow only the steps that are appropriate to their size, risks and available planning resources.

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Figure 5 depicts steps in the planning process. At each step, jurisdictions should consider the impact of their decisions on training, exercises, equipment and other requirements. Although planning involves a consistent set of activities, the process is not strictly linear and includes iterative cycles of review and collaboration. Outputs from each step lead to greater understanding by the planning team and leadership of key issues and shape the contents of the plan.



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Figure 5: Steps in the Planning Process

1194 **5.1.1. Step 1: Form a Collaborative Planning Team**

1195 Experience and lessons learned indicate that operational planning is best performed by a team.

1196 A team or group approach helps organizations define the roles they play during an operation. Case
1197 studies and research reinforce this concept; the common thread in successful operations is that
1198 participating organizations understood and accepted their roles. In addition, members of the
1199 planning team should also understand and accept the roles and contributions of other departments
1200 and agencies. A planning team helps build and expand relationships to bring creativity and
1201 innovation to planning. This approach helps establish a planning routine, so that processes followed
1202 before an incident are the same as those used during and following an incident.

1203 A community benefits from the active participation of all stakeholders. Some tips for assembling the
1204 team include the following:

- 1205 ▪ **Plan ahead.** The planning team should receive plenty of notice about where and when the
1206 planning meeting will be held. If time permits, ask the team members to identify time(s) and
1207 place(s) that work for them.
- 1208 ▪ **Provide information about team expectations.** Planners should explain why participating on the
1209 planning team is important to the participants' agencies and to the community itself, showing
1210 how contributions lead to more effective operations. In addition, planners should outline budget
1211 and other project management concerns early in the process.
- 1212 ▪ **Ask the senior elected or appointed official or designee to sign the meeting announcement.** A
1213 directive from the executive office carries the authority of the senior official and sends a clear
1214 signal that the participants are expected to attend and participate and that operational planning
1215 is important to the community.
- 1216 ▪ **Allow flexibility in scheduling after the first meeting.** Not all team members need to attend all
1217 meetings. In some cases, task forces or subcommittees can complete the work. When the
1218 planning team uses this option, it should provide project guidance (e.g., timeframes, milestones)
1219 but let the subcommittee members determine when it is most convenient to meet.
- 1220 ▪ **Consider using external facilitators.** Third-party facilitators can perform a vital function by
1221 keeping the process focused and mediating disagreements.

1222 The key to planning in a group setting is to allow open and frank discussion during the process.
1223 Interaction among planners can help elicit a common operational understanding. Individual group
1224 members should be encouraged to express objections or doubts. If a planner disagrees with a
1225 proposed solution, that planner should also identify what needs to be fixed.

1226 **IDENTIFY CORE PLANNING TEAM**

1227 In most jurisdictions, the emergency manager or homeland security manager is the senior official's
1228 policy advisor for mitigation, response and recovery strategies as well as overall preparedness. The

1229 emergency manager or homeland security manager may also be the prevention and protection
1230 advisor, if a law enforcement official or other designated advisor does not fill that role. In these roles,
1231 emergency managers or homeland security managers are often responsible for coordinating and
1232 developing an EOP, acting as lead planner. This means that the emergency manager provides
1233 oversight to a jurisdiction's planning team. However, other government agencies or departments may
1234 have statutory authority and responsibility that overlap or complement this responsibility. For
1235 example, law enforcement officials often have the lead in addressing prevention and protection,
1236 while public health entities would address unique epidemiological issues.

1237 Hazard mitigation experts are also valuable contributors to the planning team. Mitigation planners
1238 are a valuable resource for information concerning hazard analysis, critical facilities and funding
1239 availability. Including mitigation promotes continuity throughout emergency planning and helps
1240 reduce the number of physical constraints by leveraging resources to address anticipated
1241 operational requirements.

1242 Some states also include recovery planners in their emergency management teams. These experts
1243 help jurisdictions bridge the transition from response to recovery, focusing on longer-term functions
1244 such as community planning and capacity building, economic recovery, health and social services,
1245 housing, infrastructure systems and natural and cultural resources.

1246 **Building the Planning Team**

1247 Even at this early stage, planners should begin thinking about the impact of who is involved in
1248 the planning process, as it has a major impact on preparedness and operational requirements.
1249 For example, if a jurisdiction has no hazardous materials response capability, planners should
1250 consider how to obtain that capability (through agreements) or develop it (through equipment,
1251 training, licensing, etc.). Conversely, failure to include groups in planning (such as advocates for
1252 those with access or functional needs) leads to mistakes and/or shortfalls in capability and
1253 resource requirements.

1254 Operational planning should include input from the jurisdiction's entire emergency management
1255 and homeland security team. Initially, the team should be small; planners from the organizations
1256 that usually participate in emergency or homeland security operations should form the core for
1257 all planning efforts. As an EOP matures, the core team expands to include other planners.

1258 Jurisdictions that use an agency and department operational structure might use a core team
1259 consisting of planners from the following organizations:

- 1260 ▪ Emergency management;
- 1261 ▪ Law enforcement;
- 1262 ▪ Fire services;
- 1263 ▪ EMS;
- 1264 ▪ Public health;
- 1265 ▪ Hospitals and health care facilities;
- 1266 ▪ Public works;

- 1267 ▪ Transportation;
- 1268 ▪ Housing authority;
- 1269 ▪ Community planning/economic development;
- 1270 ▪ Utility operators;
- 1271 ▪ Education;
- 1272 ▪ Agriculture;
- 1273 ▪ Animal control;
- 1274 ▪ Social services;
- 1275 ▪ Childcare, child welfare and juvenile justice facilities (including courts);
- 1276 ▪ National Guard;
- 1277 ▪ Private sector; and
- 1278 ▪ Civic, social, faith-based, educational, professional, advocacy and other nonprofit organizations
- 1279 (e.g., those that address disability and access and functional needs issues, immigrant and
- 1280 racial/ethnic community concerns, animal welfare and service animals).

1281 Alternatively, jurisdictions using an ESF structure might form a core team of planners from the lead
1282 agencies or departments for ESF #4—Firefighting, ESF #5—Information and Planning, ESF #6—Mass
1283 Care Emergency Assistance, Temporary Housing and Human Services, ESF #8—Public Health and
1284 Medical Services and ESF #13—Public Safety and Security. [Note: These ESF titles are examples.]

1285 Regardless of the core planning team structure, involving executives from member agencies,
1286 departments or critical infrastructure operators (where appropriate) is essential. They can speak with
1287 authority on policy, provide subject matter expertise and provide accountability as it relates to their
1288 agency or department.

1289 **Community Lifelines as Planning Tool**

1290 One useful tool for planners developing EOPs is the community lifelines construct, which is an
1291 objectives-based approach to incident response that prioritizes the rapid stabilization of key
1292 functions after a disaster.²¹ A lifeline enables the continuous operation of critical government
1293 and business functions and is essential to human health and safety or economic security—the
1294 most fundamental services in the community that, when stabilized, enable all other aspects of
1295 society to function. When lifelines are disrupted during an incident, decisive intervention is
1296 required to stabilize them. Consequently, accounting for lifelines in the planning process can
1297 inform representation on the planning team and the content of EOPs. Although developed to
1298 support response planning and operations, community lifelines are relevant across the entire
1299 preparedness cycle: protecting lifelines, preventing and mitigating potential impacts to them,
1300 and building back stronger during recovery.

²¹ For more information on community lifelines, see <https://www.fema.gov/emergency-managers/practitioners/lifelines>.



1301

1302 ENGAGE THE WHOLE COMMUNITY IN PLANNING

1303 Engaging in community-based planning—planning that is for the whole community and involves the
 1304 whole community—is crucial to the success of EOPs. Determining how to engage the community
 1305 effectively in this planning process is one of the biggest challenges that planners face. This challenge
 1306 may be caused by misperceptions about a community’s interest in participating in the process,
 1307 security concerns about involving those outside government or a failure to jointly and adequately
 1308 define the role of the community in the planning process.

1309 **Community leaders** have a keen understanding about their community’s needs and capabilities and
 1310 are valuable stakeholders who can support the planning process. Community-based planning should
 1311 also include analyzing **potential stakeholders**, notifying affected groups about opportunities to
 1312 participate in planning activities and making those planning activities accessible to the entire
 1313 community (e.g., use of interpreters and translated announcements).

1314 Including **individuals with disabilities or specific access and functional needs, individuals with limited**
 1315 **English proficiency, underserved communities, and undocumented populations** is critical to a
 1316 community-based planning process. **Civic leaders** and **representatives of community-based**
 1317 **organizations** are essential to developing a plan reflects the community. These individuals and
 1318 organizations are an important resource for validating assumptions about public needs, capabilities,
 1319 resources and reactions.

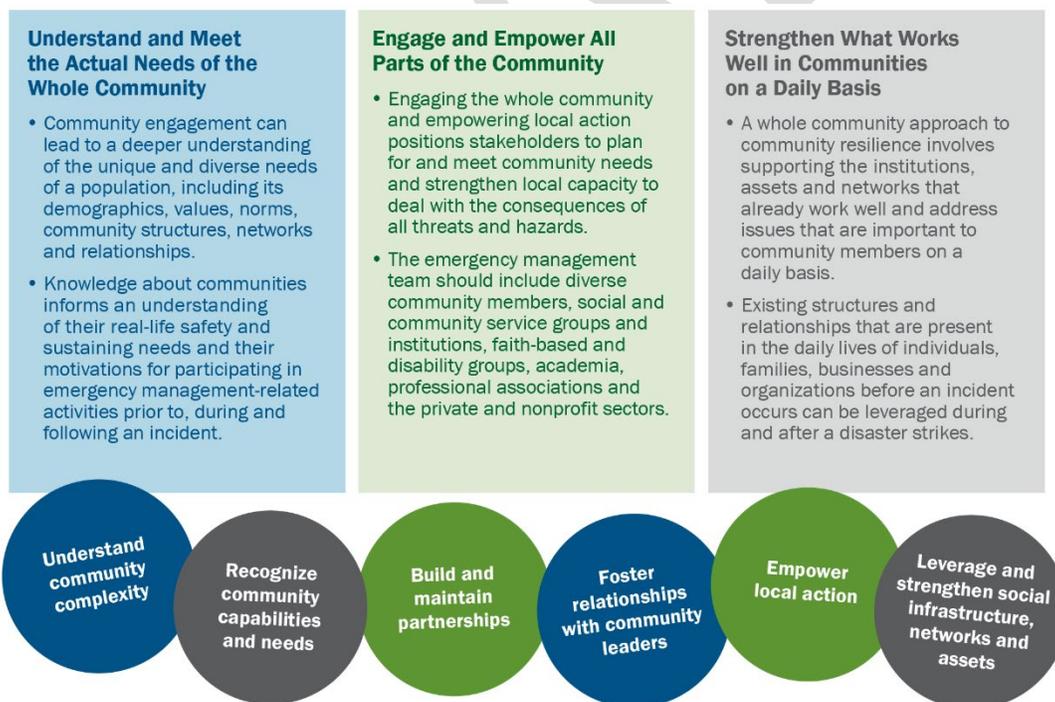
1320 Because many planning assumptions and response activities directly impact **the public at large**,
 1321 involving the whole community during the planning phase is essential. This involvement should
 1322 continue during validation and implementation. Potential roles include support to planning teams,
 1323 public outreach and establishing community emergency response teams (CERTs). Planners can
 1324 obtain assistance from the local emergency planning committee (LEPC). Pre-established
 1325 partnerships and relationships are important for leveraging subject matter expertise and resources.

1326 The **private sector** is an essential component in community engagement. They are often the primary
 1327 providers of critical services to the public and have unparalleled expertise managing their systems.
 1328 Businesses and infrastructure owners and operators possess knowledge and resources that can
 1329 supplement and enhance preparedness, response and recovery efforts organized by public sector
 1330 partners. Private sector and government missions often overlap. Early coordination with private
 1331 sector partners enhances information and resource sharing and helps establish common goals and
 1332 objectives, including working in unison to prevent or mitigate cascading failures across multiple
 1333 sectors. Government and private sector partners are also instrumental in stabilizing supply chains
 1334 and distribution networks that safeguard public health and safety and underpin commercial
 1335 functions in communities. Given the key role that the private sector plays in any disaster, **relevant**

1336 **businesses and infrastructure partners** should be included as active participants in preparedness,
 1337 including developing EOPs and participating in jurisdictional training and exercise programs.

1338 Disasters begin and end locally. After the response is over, **the local community** lives with the results
 1339 of decisions made during the incident. Therefore, communities should have a say in how a disaster
 1340 response occurs. They should also shoulder responsibility for enhancing the community’s resilience
 1341 by helping to continue essential functions and enhancing its recovery before, during and after a
 1342 disaster. The community may have access to capabilities and resources beyond those available
 1343 through the traditional government response structure.

1344 FEMA’s A Whole Community Approach to Emergency Management: Principles, Themes, and
 1345 Pathways for Action describes numerous factors that contribute to community resilience and
 1346 effective emergency management outcomes.²² Additionally, this guide outlines three principles for
 1347 establishing a whole community approach to emergency management planning, along with six
 1348 strategic themes identified through research, discussions and examples provided by emergency
 1349 management practitioners (see Figure 6). These themes speak to the ways that planners can
 1350 effectively employ the whole community approach in emergency management and, as such,
 1351 represent pathways for action to implement the principles.



1352

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Figure 6: Strategic Themes for Community-Based Planning

²² Access this document at https://www.fema.gov/media-library-data/20130726-1813-25045-0649/whole_community_dec2011_2_.pdf.

1354 **5.1.2. Step 2: Understand the Situation**

1355 This step of the planning process is critical to confirming that a jurisdiction’s plans are risk-based,
1356 reflect the needs of the population and account for resources that may be required to assist
1357 individuals affected by disasters. One initial action is to build a solid understanding of the
1358 socio-demographic characteristics of the community and to think critically about how this information
1359 can inform EOP development. Community information establishes the foundation that planners use
1360 to estimate a population’s support needs following a disaster, such as sheltering, transportation or
1361 disability-related accommodations.²³ Planners should consult authoritative sources, such as the
1362 United States Census Bureau’s American Community Survey (ACS),²⁴ to obtain trusted demographic,
1363 economic, social and housing data. Basic geographic information systems (GIS) tools may also be
1364 useful to planners in understanding their jurisdiction’s characteristics and composition.²⁵

1365 Also important is the process of identifying critical infrastructure and understanding, at a high level,
1366 how it supports core functions in the community. For instance, having a basic understanding of utility
1367 services—including where they are located, who owns them, how are they regulated, how the
1368 jurisdiction uses them and what they need to remain operational—can allow planners to consider
1369 strategies for maintaining or restoring them in a disaster. Another consideration is the private and
1370 nonprofit sector partners who are essential for providing goods and services to communities and
1371 maintaining employment and tax bases. Information collected during this phase of the planning
1372 process may include geospatial data, contact lists and summary information about critical
1373 infrastructure, businesses and nonprofits. Additionally, planners may consider using FEMA’s
1374 Resilience Analysis and Planning Tool (RAPT), which enables users to analyze socio-demographic,
1375 infrastructure and hazard data and consider how this information affects a jurisdiction’s likely needs
1376 following different types of disasters.²⁶

1377 Planning teams can integrate this information into an analytic product summarizing key information
1378 about the jurisdiction’s socio-demographics, critical infrastructure and industry. This analysis can
1379 serve as a shared reference for the planning team, highlighting baseline information about the
1380 community, listing useful data sources, illustrating key community features through maps or GIS
1381 tools and offering findings that are relevant to understanding risk. This analytic product enhances
1382 the planning team’s understanding of community characteristics relevant to EOP development. Its

²³ Appendix D includes additional sources for obtaining data about disabled and access and functional needs populations.

²⁴ The ACS page is available on the Census Bureau website at <https://www.census.gov/programs-surveys/acs>.

²⁵ State, local, tribal, territorial and insular area planners may have access to GIS capabilities within the emergency management department, planning department, or other departments and divisions. When GIS capabilities are not available at the local level, state governments may provide these services.

²⁶ For more information on the RAPT Tool, see <https://www.fema.gov/emergency-managers/practitioners/resilience-analysis-and-planning-tool>.

1383 utility, and the underlying assumptions for a jurisdiction’s EOP, directly relate to the quality of data,
1384 initial stakeholder outreach and analysis conducted in this phase of the planning process.

1385 **Analytic Resources**

- 1386 ▪ FEMA sponsors PrepTalks, an ongoing emergency management education series.²⁷ A 2018
1387 PrepTalk by Dr. Robert Chen, “Who is at Risk? Rapid Mapping of Potential Hazard Exposure,”
1388 and its associated materials provide tips and templates on using ACS data to help planners
1389 effectively analyze socio-demographic datasets to support planning initiatives.²⁸
- 1390 ▪ FEMA’s Technical Assistance Branch can provide guidance and tools related to private sector
1391 outreach and data collection. For support, e-mail: FEMA-TARequest@fema.dhs.gov.
- 1392 ▪ The Cybersecurity and Infrastructure Security Agency has protective security advisors (PSAs)
1393 in each state who can help planners understand critical infrastructure operations in their
1394 jurisdictions. For more information on PSAs and how to contact them, e-mail
1395 CIOCC.Physical@cisa.dhs.gov.

1396 **UNDERSTAND RISK**

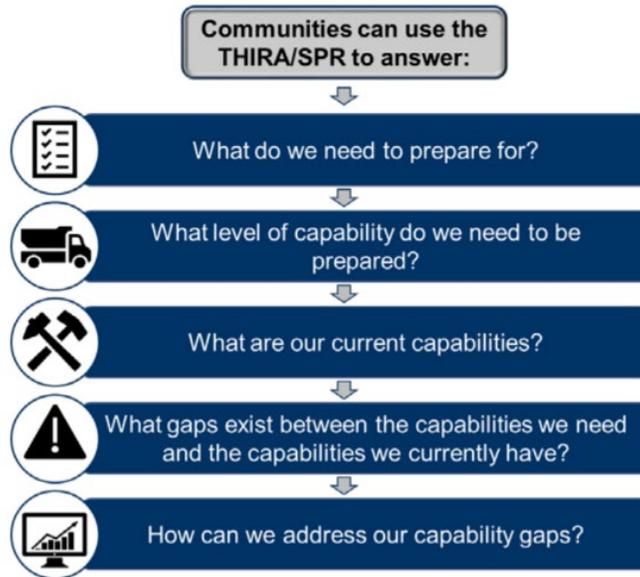
1397 Risk is the potential for an unwanted outcome resulting from an incident or occurrence, as
1398 determined by its likelihood and the associated consequences.²⁹ Understanding a jurisdiction’s risks
1399 helps planners anticipate response and recovery requirements and estimate the likelihood and
1400 magnitude of incidents that may occur in their jurisdiction. One method to identify risks is through
1401 FEMA’s Threat and Hazard Identification and Risk Assessment and Stakeholder Preparedness
1402 Review (THIRA/SPR) processes,³⁰ illustrated in Figure 7. The THIRA/SPR provides guidance on
1403 inventorying and categorizing threats and hazards that may impact a jurisdiction; considering the
1404 likelihood of occurrence; and detailing context around the consequences for the most likely threats
1405 and hazards. The THIRA/SPR sets a strategic foundation for putting the National Preparedness
1406 System into action. Completing a THIRA and SPR helps planners assess trends in a jurisdiction’s risk
1407 profile and determine whether to modify assumptions or planning factors based on changes related
1408 to the occurrence, severity or response requirements for individual or collective jurisdictional risks.

²⁷ For information on this series or materials associated with specific sessions, see FEMA’s PrepTalks webpage at <https://www.fema.gov/preptalks>.

²⁸ This PrepTalk is available on FEMA’s YouTube channel at https://www.youtube.com/playlist?list=PL720Kw_OoJiJiYKDZQwKKG7HAgV_qNjLB.

²⁹ Department of Homeland Security Risk Lexicon. June 2010. <https://www.cisa.gov/dhs-risk-lexicon>.

³⁰ For more information on THIRA/SPR, see FEMA’s National Risk and Capability Assessment webpage at <https://www.fema.gov/emergency-managers/risk-management/risk-capability-assessment>.



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Figure 7: THIRA/SPR Overview

1411 Many jurisdictions complete a THIRA/SPR as a term and condition of their receipt of certain
 1412 preparedness grant funding. “Threat and Hazard Identification and Risk Assessment and
 1413 Stakeholder Preparedness Review Guide: Comprehensive Preparedness Guide (CPG) 201” describes
 1414 how to complete a risk assessment as part of planning.³¹ The process includes:

- 1415 ▪ **Step 1: Identify Threats and Hazards of Concern:** Based on a combination of experience,
 1416 forecasting, subject matter expertise and other available resources, develop a list of threats and
 1417 hazards that could affect the community.
- 1418 ▪ **Step 2: Give Threats and Hazards Context:** Describe the threats and hazards identified in Step 1,
 1419 showing how they may affect the community and create challenges in performing the core
 1420 capabilities. Identify the impacts that a threat or hazard may have on a community.
- 1421 ▪ **Step 3: Establish Capability Targets:** Using the impacts described in Step 2, determine the level
 1422 of capability that the community plans to achieve over time to manage the threats and hazards it
 1423 faces. Using standardized language, create capability targets for each of the core capabilities
 1424 based on this desired level of capability by identifying impacts, objectives and timeframe metrics.

1425 Communities may decide to adopt parts of this risk assessment process that are most useful.

³¹ Access CPG 201 at <https://www.fema.gov/sites/default/files/2020-04/CPG201Final20180525.pdf>.

1426 **USE THE RESULTS**

1427 Risk assessment processes face challenges from incomplete data, partial stakeholder engagement
1428 and the inherent uncertainty in analyzing the likelihood and consequences of different threats and
1429 hazards. Consequently, results are never perfect, and real incidents often present unanticipated
1430 requirements for emergency managers. However, this assessment process is valuable in setting a
1431 baseline understanding for an EOP.

1432 Additionally, risk assessments generate a series of facts and assumptions.

1433 ▪ **Facts** are verified pieces of information, such as laws, regulations, terrain maps, population
1434 statistics, resource inventories and prior occurrences.

1435 ▪ **Assumptions** are pieces information accepted by planners as true in the absence of facts to
1436 allow them to envision expected conditions in an operational environment.

1437 As plans are implemented, planners replace assumptions with facts, adjusting initial expectations
1438 based on operational reality. For example, when producing a flood annex, planners may assume the
1439 location of the water overflow, size of the flood hazard area and speed of the rise in water. If a flood
1440 event does occur, the actual data should inform an update to the assumptions in the plan.

1441 The outcomes of this analysis to understand a community's situation help planners determine goals
1442 and objectives (Step 3) and identify courses of action to use when developing the plan (Step 4).

1443 **5.1.3. Step 3: Determine Goals and Objectives**

1444 **DETERMINE OPERATIONAL PRIORITIES**

1445 Operational priorities specify what the responding organizations aim to accomplish to achieve
1446 success in an operation. The senior official may communicate these priorities for the operations
1447 addressed in the plans. Using information from the risk profile developed in the analysis process, the
1448 planning team engages the senior official to establish how the hazard or threat would evolve in the
1449 jurisdiction and what defines a successful outcome for responders, survivors and the community.

1450 Identifying operational priorities begins with the likely intensity for the hazard or threat. The planning
1451 team imagines an incident's development from prevention and protection efforts (if applicable),
1452 through initial warning (if available) to its impact on the jurisdiction and its generation of specific
1453 consequences (e.g., collapsed buildings, loss of critical services or infrastructure, death, injury,
1454 displacement). These scenarios should be realistic and based on the jurisdiction's hazard or threat
1455 and its risk data. Planners may use the incidents with the greatest impact on the jurisdiction (i.e.,
1456 worst-case), incidents most likely to occur or an incident constructed from the impacts of a variety of
1457 risks. When building an incident scenario, the planning team identifies the requirements that
1458 determine actions and resources. Planners are looking for requirements generated by the hazard or
1459 threat, by the response and by constraints.

1460 Requirements can be rooted in the hazard or threat under consideration and the effects that
1461 incidents can have on the operation of government and business functions that are essential to
1462 human health, safety or economic security. They lead to the identification of important functions and
1463 fundamental services that communities need to safeguard, stabilize and restore (e.g., safety and
1464 security; food, water and shelter; health and medical; power fuel; communications; transportation;
1465 hazardous materials) and the capabilities needed to do so.

1466 Some response requirements are common to all operations. An example is the potential need for
1467 emergency refueling during a large-scale evacuation. Subsets could include the need to find a site
1468 for refueling, identify a fuel supplier, identify a fuel pumping method, control traffic and collect
1469 stalled vehicles. Once the requirements are identified, the planning team restates them as
1470 operational priorities and affirms those priorities with the senior official.

1471 SET GOALS AND OBJECTIVES

1472 Goals and objectives describe the desired outcomes and interim steps to achieve those outcomes.
1473 Clearly specifying goals and objectives and having universal buy-in from all partners fosters unity of
1474 effort and consistency of purpose among the multiple individuals and organizations involved in
1475 executing the plan.

1476 ▪ **Goals** are general statements that describe the intended outcomes. Often expressed as
1477 descriptions of the desired end state, goals are what personnel and equipment resources are
1478 intended to achieve. Goals help identify when major elements of the response and recovery are
1479 complete and when the operation is successful.

1480 ▪ **Objectives** are specific and identifiable actions carried out during the operation. They lead to
1481 achieving response goals and determining the actions that participants in the operation should
1482 accomplish. Translating these objectives into activities leads to the development of courses of
1483 action as well as the capability estimate (see Step 4).

1484 EOP Objectives and Incident Objectives

1485 The objectives developed by planners for an EOP should not be confused with incident
1486 objectives, which are established by incident commanders (or the unified commands) during
1487 actual incident operations as a step in incident action planning.

- 1488 ▪ EOP objectives are typically fairly general and define what the EOP should achieve.
- 1489 ▪ Incident objectives identify specifically what the incident commander or unified command
1490 wants to achieve during the next one or more operational periods.

1491 Some EOPs or hazard-specific EOP annexes include suggested incident objectives for the initial
1492 operational periods that incident commanders or unified commands may use or modify.

1493 5.1.4. Step 4: Develop the Plan

1494 DEVELOP AND ANALYZE COURSES OF ACTION

1495 This step involves generating, comparing and selecting possible solutions for achieving the goals and
1496 objectives identified in Step 3. Planners consider the requirements, goals and objectives to develop
1497 several response alternatives; essentially asking, “How are we going to accomplish our objectives?”
1498 The art and science of planning help determine how many solutions or alternatives to consider;
1499 however, always consider at least two options. Developing only one solution may speed the planning
1500 process, but it could provide for an inadequate response, leading to damaging effects on the
1501 affected population or environment.

1502 When developing courses of action, planners depict how an operation unfolds by building a portrait
1503 of the incident’s actions, decision points and participant activities. This process helps planners
1504 identify tasks that occur immediately at incident initiation, tasks that are focused mid-incident and
1505 tasks that affect long-term operations. The planning team should use tools that help members
1506 visualize operational flow, such as a whiteboard, “sticky note” chart or project management or
1507 planning software. Community lifelines are another useful resource that can inform planning team
1508 efforts. The lifelines framework can help planners as they identify and prioritize potential actions to
1509 stabilize lifelines by re-establishing key services or developing contingency options.

1510 **Courses of Action in a Nutshell**

1511 Courses of action address the what/who/when/where/why/how for each solution. As each
1512 potential course of action is identified, the planner should consider:

- 1513 ▪ Whether it supports the priorities, goals and objectives established by the senior official;
- 1514 ▪ Whether it is feasible; and
- 1515 ▪ Whether the stakeholders that would implement it find it acceptable.

1516 Course of action development follows these steps:

- 1517 ▪ **Establish the timeline.** Planners should cover all mission areas in the timeline and typically use
1518 the speed of incident onset to establish the timeline. The timeline may also change by phases.
1519 For example, a hurricane’s speed of onset is typically days, while a major hazardous materials
1520 (HAZMAT) incident’s speed of onset is minutes. The timeline for a hurricane might be in hours
1521 and days, particularly during the pre- and post-impact phases. The timeline for the HAZMAT
1522 incident would most likely be in minutes and hours. For a multijurisdictional or layered plan, the
1523 timeline for a particular scenario is the same at all participating levels of government. Because
1524 disasters and emergencies are always time-sensitive, leaders should encourage developing and
1525 socializing emergency plans well before incidents actually occur.

- 1526 ▪ **Depict the scenario.** Planners use the scenario information developed in Step 3 and place the
1527 incident information on the timeline. Placement of decision points and response actions on the
1528 timeline depicts how soon the different entities enter the plan.

- 1529 ▪ **Identify and depict decision points.** Decision points indicate the place in time, as incidents
1530 unfold, when leaders anticipate making decisions about a course of action. They indicate where
1531 and when decisions are required to provide the best chance of achieving an intermediate
1532 objective or response goal (the desired end state). They also help planners determine how much
1533 time is available or needed to complete a sequence of actions.

- 1534 ▪ **Identify and depict operational tasks.** For each operational task depicted, some basic
1535 information is needed. Developing this information helps planners incorporate the task into the
1536 plan when they are writing it. Planners correctly identify an operational task when they can
1537 answer the following questions about it:
 - 1538 ○ What is the action?
 - 1539 ○ Who is responsible for the action?
 - 1540 ○ When should the action take place?
 - 1541 ○ How long should the action take and how much time is available?
 - 1542 ○ What has to happen before the action?
 - 1543 ○ What happens after the action?
 - 1544 ○ What resources does the responsible person or entity need to perform the action?

1545 The planning team should pause periodically to:

- 1546 ▪ Identify progress made toward the end state, including goals and objectives met and new
1547 needs or demands;
- 1548 ▪ Identify “single points of failure” (i.e., tasks that, if not completed, would cause the operation
1549 to fall apart);
- 1550 ▪ Check for omissions or gaps;
- 1551 ▪ Check for inconsistencies in organizational relationships; and
- 1552 ▪ Check for mismatches between the jurisdiction’s plan and those of other jurisdictions with
1553 which they are interacting.

- 1554 ▪ **Select courses of action.** Once the above analysis is complete, planners should compare the
1555 costs and benefits of each proposed course of action against the mission, goals and objectives.
1556 This comparison allows planners to select the preferred courses of action to move forward in the
1557 planning process. Some (but not all) selections need senior approval. Planners should use their
1558 best judgment and identify when the selection of a course or courses of action need to be
1559 elevated to the senior elected or appointed official or approval. Where practical, the appropriate
1560 official should approve these actions prior to the review and completion of the plan.

1561 **IDENTIFY RESOURCES**

1562 Once courses of action are selected, the planning team identifies resources needed to accomplish
1563 tasks without regard to resource availability. The object is to identify the resources needed to make
1564 the operation work. Once the planning team identifies all the requirements, they begin matching
1565 available resources to requirements. By tracking obligations and assignments, the planning team
1566 determines resource shortfalls and develops a list of needs that private suppliers or other
1567 jurisdictions (e.g., mutual aid partners) might fill. The resource base should also include a list of
1568 facilities vital to emergency operations, and the list should indicate how individual hazards might
1569 affect the facilities.

1570 Whenever possible, planners should match resources with other geographical or regional needs to
1571 identify multiple demands for the same or similar resources and resolve conflicts. This step provides
1572 planners an opportunity to identify and communicate resource shortfalls to higher levels of
1573 government and prepare draft resource requests, as appropriate.

1574 The EOP should also account for unsolvable resource shortfalls, so they are not merely assumed
1575 away. The capability estimate process is essential to this effort. A capability estimate is a planner's
1576 assessment of a jurisdiction's ability to take a given course of action. Capability estimates:

- 1577 ▪ Help planners decide if a course of action is realistic and supportable;
- 1578 ▪ Helps planners project and understand what might take place during an operation;
- 1579 ▪ Inform the resource section of the plan or annex; and
- 1580 ▪ Ultimately determine whether a given course of action is feasible for the jurisdiction.

1581 Planners can capture capability estimates as written documents, tables or presentations and use
1582 them for both future and current operational planning.

1583 At a minimum, planners should prepare capability estimates for personnel, administration and
1584 finance, operational organizations (e.g., fire, law enforcement, EMS), logistics, communications,
1585 equipment and facilities. Capability estimates should identify the criteria to evaluate each area; facts
1586 and assumptions that affect those areas; and the issues, differences and risks associated with a
1587 course of action. Figure 8 provides a suggested format for a capability estimate.

Suggested Capability Estimate Format

- 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 course of action using the criteria identified in Step 4 of the planning process
- 6 Comparison:** Compares and ranks the order of each course of action considered
- 7 Recommendation:** Recommends the most supportable course of action from the functional area's perspective and identifies ways to reduce the impact of issues and deficiencies identified for that course of action

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Figure 8: Suggested Capability Estimate Format

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External Review of Courses of Action

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After selecting courses of action for development, many planning teams pause the process and have an external group of knowledgeable practitioners and/or subject matter experts review the selected courses of action. This review examines whether the courses of action are appropriate and contain all of the necessary elements. Leveraging expertise from outside the jurisdiction can make it easier to challenge assumptions and identify gaps in the proposed courses of action.

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For plans dealing with terrorist or other adversarial threats, reviewers can examine plans through the eyes of potential attackers, identifying notable weaknesses in the plan and prompting meaningful improvements in its content. For plans addressing other hazards, the review team can look for errors in planning assumptions or in resources needed to implement the courses of action. Pointing out seemingly minor errors can have a significant positive impact by helping the jurisdiction avoid major shortfalls when the plan is put into practice.

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Without sufficient context, planners could potentially interpret this type of external review process as second-guessing, fault-finding or unnecessary interference in the plan development process. Thus, the external review process works best when leaders announce and explain its purpose in advance, introduce the reviewers to the planning team, and reinforce that the reviewer role is to help strengthen the plan for the jurisdiction's collective benefit. For their part, reviewers should foster a culture of constructive critical thinking, being creative and objective without being confrontational.

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1609 **IDENTIFY INFORMATION AND INTELLIGENCE NEEDS**

1610 Another outcome from developing courses of action is a list of the information needs for each of the
1611 response participants. Planners should identify the information they need and the deadline(s) for
1612 receiving it to drive decisions and trigger actions. The planning team should capture these needs in
1613 the plan information collection matrices.

1614 **5.1.5. Step 5: Prepare and Review the Plan**

1615 **WRITE THE PLAN**

1616 This step turns the results of course of action development into an EOP. The planning team develops
1617 a rough draft of the base plan, functional annexes, hazard-specific annexes or other parts of the plan
1618 as appropriate. The results from Step 4 provide an outline for the rough draft. As the planning team
1619 works through successive drafts, the members add tables, charts and graphics. The planning team
1620 prepares and circulates a final draft to obtain the comments from organizations that have
1621 responsibilities for implementing the plan. (See Chapter 4, Identifying the Right Plan for the Job, for
1622 more information on plan formats.)

1623 Follow these simple rules for writing plans and procedures to help readers and users understand
1624 their content:

- 1625 ▪ Keep the language simple and clear by writing in plain English;
- 1626 ▪ Summarize important information with checklists and visual aids, such as maps and flowcharts;
- 1627 ▪ Avoid using jargon and minimize the use of acronyms;
- 1628 ▪ Use short sentences and active, not passive, voice;
- 1629 ▪ Provide enough detail to convey an easily understood plan that is actionable, taking into
1630 consideration the target audience and the amount of certainty about the situation;
- 1631 ▪ Format the plan and present its contents so that readers can quickly find solutions and options;
- 1632 ▪ Focus on providing mission guidance (i.e., insight into intent and vision) rather than discussing
1633 policy and regulations, which can be documented in detail in SOPs/SOGs; and
- 1634 ▪ Develop accessible tools and documents (e.g., plans, fact sheets, checklists, etc.) that users can
1635 easily convert to alternate formats.

1636 **Active vs. Passive Voice Sentences**

- 1637 ▪ **Passive voice** sentences are not always clear because they de-emphasize who or what is
1638 acting. For example, “Lives are saved by firefighters.”

1639 ▪ **Active voice** sentences are direct because they indicate the who or what that is doing the
1640 action up front. For example, “Firefighters save lives.”

1641 Use active voice sentences whenever possible in plans.

1642 **REVIEW THE PLAN**

1643 Planners should check the final plan for compliance with pertinent regulatory requirements and
1644 federal and state standards. Planners should consult their next level of government about its plan
1645 review cycle. Reviews of plans allow other agencies with emergency or homeland security
1646 responsibilities to suggest improvements based on their accumulated experience. For example,
1647 states may review local plans, and, upon request, FEMA regional offices may assist states in the
1648 review of EOPs. Hazard-specific federal programs, such as the Radiological Emergency Preparedness
1649 Program, require periodic review of certain sections of the all-hazards plan and may require review of
1650 associated SOPs/SOGs.³²

1651 Commonly used criteria can help decision makers determine the effectiveness and efficiency of
1652 plans. These measures include adequacy, feasibility, acceptability, completeness and compliance.
1653 Decision makers directly involved in planning can employ these criteria, along with their
1654 understanding of plan requirements, to determine a plan’s effectiveness and efficiency, as well as to
1655 assess risks and define costs. Some types of analysis, such as a determination of acceptability, are
1656 largely subjective. In this case, decision makers apply their experience, judgment, intuition,
1657 situational awareness and discretion. Other analyses, such as a determination of feasibility, should
1658 be rigorous and standardized to minimize subjectivity and preclude oversights.

1659 ▪ **Adequacy.** A plan is adequate if:

- 1660 ○ The scope and concept of planned operations identify and address critical tasks effectively;
- 1661 ○ The plan can accomplish the assigned mission while complying with guidance; and
- 1662 ○ The plan’s assumptions are valid, reasonable and comply with guidance.

1663 ▪ **Feasibility.** A plan is feasible if the organization can accomplish the assigned mission and critical
1664 tasks by using available resources within the time contemplated by the plan. The organization
1665 allocates available resources to tasks and tracks the resources by status (e.g., assigned, out of
1666 service). Available resources include internal assets and those available through mutual aid or
1667 through existing state, regional or federal assistance agreements.

³² For relevant guidance for planning for emergencies involving regulated nuclear power plants through the Radiological Emergency Preparedness Program, see Criteria for Preparation and Evaluation of Radiological Emergency Response Plans and Preparedness in Support of Nuclear Power Plants (NUREG-0654/FEMA-REP-1, Revision 2) (Nuclear Regulatory Commission/FEMA), available at https://www.fema.gov/sites/default/files/2020-08/fema_NUREG-0654-REP1-rev2_12-2019.pdf, and the Code of Federal Regulations Part 44, Section 350.

1668 ▪ **Acceptability.** A plan is acceptable if it:

- 1669 ○ Meets the requirements driven by a threat or incident;
- 1670 ○ Meets decision maker intent;
- 1671 ○ Adheres to public cost and time constraints; and
- 1672 ○ Is consistent with the law.

1673 The plan can be justified in terms of the cost of resources and if its scale is proportional to
1674 mission requirements. Planners use both acceptability and feasibility tests to accomplish the
1675 mission with available resources without incurring excessive risk regarding personnel,
1676 equipment, material or time. They also verify that risk management procedures have identified,
1677 assessed and applied control measures to mitigate operational risk (i.e., the risk associated with
1678 achieving operational objectives).

1679 ▪ **Completeness.** A plan is complete if it:

- 1680 ○ Incorporates all tasks to be accomplished;
- 1681 ○ Includes all required capabilities;
- 1682 ○ Integrates the needs of the general population, children of all ages, individuals with
1683 disabilities and others with access and functional needs, immigrants, individuals with limited
1684 English proficiency and diverse racial and ethnic populations;
- 1685 ○ Provides a complete picture of the sequence and scope of the planned response operation
1686 (i.e., what should happen, when and at whose direction);
- 1687 ○ Makes time estimates for achieving objectives; and
- 1688 ○ Identifies success criteria and a desired end state.

1689 ▪ **Compliance.** The plan should comply with guidance and doctrine to the maximum extent
1690 possible, because these provide a baseline that facilitates both planning and execution.

1691 When using these five criteria, planners should ask the following questions:

- 1692 ▪ Did an action, a process, a decision or the operational timing identified in the plan make the
1693 situation worse or better?
- 1694 ▪ Were new alternate courses of action identified?
- 1695 ▪ Were the requirements of children, individuals with disabilities, others with access and functional
1696 needs, immigrants, individuals with limited English proficiency and diverse racial and ethnic
1697 populations fully addressed and integrated into all appropriate aspects of the plan?
- 1698 ▪ What aspects of the action, process, decision or operational timing make it something to keep in
1699 the plan?
- 1700 ▪ What aspects of the action, process, decision or operational timing make it something to avoid or
1701 remove from the plan?

- 1702 ▪ What specific changes to plans and procedures, personnel, organizational structures, leadership
1703 or management processes, facilities or equipment can improve operational performance?

1704 Reviewers should note that a jurisdiction does not have to provide all the resources needed to meet
1705 a capability requirement established during the planning effort. However, the plan should explain
1706 where the jurisdiction obtains the resources to support those required capabilities. For example,
1707 many jurisdictions do not have bomb squads or urban search and rescue teams required to meet
1708 certain capabilities. The plan should note that neighboring jurisdictions can provide those resources
1709 (or capability elements) through MAAs, memoranda of agreement (MOAs, memoranda of
1710 understanding (MOUs), regional compacts or some other formal request process.

1711 The checklists in Chapter 6, Creating an EOP Base Plan. and Chapter 7, Adding EOP Annexes,
1712 provide a useful benchmark for reviewers to confirm that base plans and their annexes address
1713 pertinent elements. An important element of the planning process is deliberately including children,
1714 individuals with access and functional needs, household pets and service animals. Chapter 7
1715 outlines a series of checklists to help jurisdictions meet the needs of these stakeholders throughout
1716 their plans. The jurisdiction can develop similar checklists as appropriate to address other
1717 population sectors, including populations with diverse languages and culture, populations with
1718 economic challenges, populations that depend on public transportation and visitors from outside of
1719 the jurisdiction.

1720 **APPROVE AND DISSEMINATE THE PLAN**

1721 Once the plan has been validated, the planner should present it to the appropriate elected officials
1722 and obtain official approval to promulgate the plan. Promulgation is the process that officially
1723 announces or declares a plan (or law). The promulgation process should be based on a specific
1724 statute, law or ordinance. Obtaining the senior official’s approval through a formal promulgation
1725 documentation process is vital to gaining acceptance for the plan. Promulgation also establishes the
1726 authority required for changes to the plan.

1727 Once the senior official grants approval, the planner should arrange to distribute the plan and
1728 maintain a record of the people and organizations that received it. “Sunshine” laws may require that
1729 the jurisdiction post a copy of the plan on its website or place the plan in some other publicly
1730 accessible location. The plan should be available in alternate formats for wide accessibility and to
1731 remain compliant with relevant laws and policies (e.g., Americans with Disabilities Act).

1732 **5.1.6. Step 6: Implement and Maintain the Plan**

1733 The EOP planning process does not end when the EOP is approved and released. In many ways,
1734 publication of the EOP is the first step in a long-term process of (1) socializing the plan to optimize its
1735 use and usefulness and (2) collecting information to guide plan revisions, even though that may be
1736 several years in the future. The actual value of any EOP is determined by how consistently and how
1737 effectively the plan is used.

1738 Socializing the EOP typically occurs through ongoing training and exercise activities involving those
1739 responsible for implementing the plan—emergency responders, emergency managers, departmental
1740 points of contact and elected and appointed officials, among others. Equally important, however, is
1741 socializing the plan and associated guidance with the broad range of whole community partners,
1742 including private sector and commercial organizations, civic and constituency groups, faith-based
1743 and other nongovernmental organizations, social and public media outlets, individuals and families.
1744 This broad audience should not only know that the EOP and supporting guidance exists, but also be
1745 able to access the documents easily and communicate with officials responsible for the EOP. This
1746 two-way communication allows community members to ask questions and offer suggestions for
1747 improvements. Social media can be an effective means of supporting this process.

1748 If the EOP or its annexes contain information that is sensitive, the planning team can protect that
1749 information. However, the rest of the plan should be widely available, including include convenient
1750 access for those with access and functional needs, others with disabilities and for people with
1751 limited English proficiency.

1752 The jurisdiction should also operate a continuous improvement system to constantly seek, collect
1753 and categorize information that may affect the EOP. Examples include organizational changes,
1754 lessons learned from exercises or actual events, changes in statutory or executive guidance or
1755 updates to related plans. Many of the activities associated with implementing and maintaining EOPs
1756 fall within the scope of preparedness grant programs and can be supported through coordinated
1757 application of these resources.

1758 **TRAIN ON THE PLAN**

1759 After developing a plan, organizations disseminate it and train their personnel on its content.
1760 Training equips individuals with the knowledge, skills and abilities they need to perform their
1761 respective tasks as identified in the plan. Personnel should also receive training on
1762 organization-specific procedures necessary to implement the plan.

1763 Additional training for relevant organizations also helps implement the EOP. FEMA’s National
1764 Training and Education System consists of a nationwide network of training providers who build and
1765 sustain capabilities in multiple emergency management professional disciplines (including planning)
1766 for all levels of government by providing access to the right resources and preparing the foundation
1767 for coordinated and interoperable responses to disasters. Through specialized training, emergency
1768 management personnel achieve critical skills and measurable capabilities, enabling jurisdictions and
1769 organizations to effectively plan for and have confidence in their personnel responding to
1770 emergencies, as well as those from other entities providing mutual assistance.³³

³³ The National Preparedness Course Catalog is an online searchable catalog featuring a compilation of courses managed by FEMA training organizations to meet the increasing training needs of federal, state, local, tribal, territorial and insular area audiences. For more information, see <https://www.firstrespondertraining.gov/frts/>.

1771 **FEMA Training Resources to Support EOP Development and Maintenance**

1772 FEMA supports a nationwide emergency management training and education network. The
1773 network includes the Center for Domestic Preparedness, the Emergency Management Institute
1774 (EMI), the Center for Homeland Defense and Security, the National Domestic Preparedness
1775 Consortium, the Rural Domestic Preparedness Consortium, the FEMA Continuing Training Grants
1776 (CTG) program partners and the FEMA Higher Education program. Together, these organizations
1777 offer more than 600 courses covering a wide range of topics and skill levels. Instruction is
1778 delivered through on-campus courses, mobile delivery and virtual training, such as independent
1779 study courses and webinars.

1780 The following FEMA independent study courses are recommended for planning team members:

- 1781 ▪ IS-130: Exercise Evaluation and Improvement Planning
- 1782 ▪ IS-235: Emergency Planning
- 1783 ▪ IS-366: Planning for the Needs of Children in Disasters
- 1784 ▪ IS-368: Including People with Disabilities and Access and Functional Needs in Disaster
1785 Operations
- 1786 ▪ IS-1300: Introduction to Continuity of Operations

1787 **EXERCISE THE PLAN**

1788 Evaluating the effectiveness of plans involves a combination of training events, exercises and
1789 real-world incidents to determine whether the goals, objectives, decisions, actions and timing
1790 outlined in the plan led to a successful response.³⁴ In this way, homeland security and other
1791 emergency preparedness exercise programs become an integral part of the planning process.
1792 Similarly, planners need to be aware of lessons and practices from other communities.

1793 FEMA's Homeland Security Exercise Evaluation Program (HSEEP) provides guiding principles for
1794 exercise programs and a consistent approach to exercise program management, design and
1795 development, conduct, evaluation and improvement planning.³⁵ HSEEP includes an integrated
1796 preparedness cycle that connects the jurisdiction's planning, organizing and equipping, training,
1797 exercising, evaluating and improving through an annual integrated preparedness planning workshop
1798 and resulting integrated preparedness plan.

³⁴ FEMA manages a cycle of disaster and emergency exercises across the Nation that examines and validates capabilities in prevention, protection, mitigation, response and recovery. Contact FEMA's National Exercise Division (www.fema.gov/national-exercise-program) for more information.

³⁵ Information about HSEEP is available at <https://www.fema.gov/emergency-managers/national-preparedness/exercises/hseep>.

1799 Exercises help responders and other response and recovery partners understand the plan, the
1800 responsibilities and authorities of various players and the relationships among those players.
1801 Exercising also supports the premise that communities train as they expect to respond.

1802 An **improvement planning process** can help a planning team identify areas for improvement and
1803 corrective actions required in the jurisdiction's EOP. This process uses exercise after-action reports,
1804 as well as information from post-incident critiques, self-assessments, audits, administrative reviews
1805 or lessons learned. Members of the EOP planning team should reconvene to discuss such findings
1806 and to consider whether and how changes to the EOP or supporting guidance can address shortfalls.

1807 Corrective actions may involve revising planning assumptions and operational concepts, changing
1808 organizational tasks or modifying organizational implementing instructions (i.e., the SOPs/SOGs).
1809 Corrective actions may also involve providing refresher training. Ultimately, the planning team should
1810 assign responsibility for taking the corrective actions.

1811 The final component of an effective improvement planning process is creating and maintaining a
1812 mechanism for tracking and following up to confirm the timely implementation of corrective actions.

1813 **REVIEW, REVISE AND MAINTAIN THE PLAN**

1814 This step closes the loop in the planning process. It adds information gained through exercises and
1815 actual events to the research collected in Step 2 and starts the planning cycle over again. Plans
1816 should evolve as jurisdictions learn lessons, obtain new information and insights and update
1817 priorities.

1818 Planning teams should establish a process to review and revise the plan. Reviews should be a
1819 recurring activity. Some jurisdictions have found it useful to review and revise portions of their EOPs
1820 every month. Many accomplish their reviews on an annual basis. In no case should any part of the
1821 plan go for more than two years without being reviewed and revised. Teams should also consider
1822 reviewing and updating the plan after the following events:

- 1823 ▪ A major incident;
- 1824 ▪ A change in operational resources (e.g., policy, personnel, organizational structures,
1825 management processes, facilities, equipment);
- 1826 ▪ A formal update of planning guidance or standards;
- 1827 ▪ A change in elected officials;
- 1828 ▪ Each time the plan is used;
- 1829 ▪ Major exercises;
- 1830 ▪ Changes in the jurisdiction's demographics or hazard or threat profile;

- 1831 ▪ Changes in the jurisdiction’s tolerance of identified risks; or
- 1832 ▪ The enactment of new or amended laws or ordinances.

DRAFT

1833

6. Creating an EOP Base Plan

1834

This chapter explores key elements of an EOP's base plan. The base plan:

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- Provides an overview of the jurisdiction's emergency management/response program and its ability to prepare for, respond to and recover from disasters or emergencies;

1837

- Identifies emergency response policies;

1838

- Describes the response organization; and

1839

- Assigns tasks.

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Although the base plan guides the development of the more operationally oriented annexes, its primary audience consists of the jurisdiction's senior official, his or her staff, agency heads and the community (as appropriate). The elements listed in this section should meet the needs of this audience while providing a solid foundation for the development of supporting annexes.

1844

6.1. Introductory Material

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1846

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

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1848

- The **cover page** indicates the title of the plan, documents the date the plan was issued/promulgated and the name of jurisdiction(s) covered by the plan.

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1850
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- The **promulgation document** gives the plan official status. It assigns both the authority and the responsibility to organizations to perform their tasks. It should also mention the responsibilities of tasked organizations to prepare and maintain their own procedures and guidelines and commit those organizations to carry out the necessary training, exercises and plan maintenance. In addition, this document allows senior officials to affirm their support for emergency management.

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- The **approval and implementation page** introduces the plan, outlines its applicability and indicates that it supersedes all previous plans. It should 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 also include a date and be signed by the senior official(s) (e.g., governor, tribal leader[s], mayor, county judge, commissioner[s]).

1860
1861
1862

- The **record of changes** documents each change to the plan. Those responsible for the EOP's maintenance should record a change number, the date of the change, the name of the person who made the change and a summary of the change.

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- 1864
- 1865
- 1866
- 1867
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- The **record of distribution**, usually in table format, indicates the titles and the names of the people receiving the plan, the agency to which they belong, the dates of delivery and the number of copies delivered. Other relevant information could be considered. The record of distribution can document that tasked individuals and organizations acknowledged receipt, review and/or acceptance of the plan. Copies of the plan can be made available to the public and media without SOPs/SOGs, call-down lists or other sensitive information.
- 1869
- 1870
- The **table of contents** should be logically ordered and clearly identify the major sections and subsections of the plan to make finding information within the plan easier.

1871

6.2. Purpose, Scope, Situation Overview and Planning Assumptions

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1873

6.2.1. Purpose

1874 The purpose sets the foundation for the rest of the EOP. The base plan's purpose is a general statement of what the EOP is meant to do. Support the general statement with a brief synopsis of the base plan and annexes.

1875

1876

1877

6.2.2. Scope

1878 The EOP should also explicitly state the scope of emergency and disaster response and the entities (e.g., departments, agencies, private sector, individuals) and geographic areas to which the plan applies. This section describes at what times or under what conditions this plan would be activated (e.g., major county disaster versus minor local emergency; major statewide disaster; terrorist attack within the local community, county or state).

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6.2.3. Situation Overview

1884 This section summarizes the steps taken by the jurisdiction to prepare for disasters. It characterizes the planning environment, making it clear why an EOP is necessary. The level of detail is a matter of judgment; some information may be limited to a few specific annexes and presented there. At a minimum, the situation section should summarize hazards that the jurisdiction faces and discuss how it expects to receive (or provide) assistance within its regional response structures.

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1889 The situation section covers a general discussion of:

- 1890
- Relative probability and impact of the hazards;
- 1891
- Geographic areas likely to be affected by particular hazards;
- 1892
- Vulnerable facilities (e.g., nursing homes, schools, hospitals, infrastructure);

- 1893 ▪ Population distribution and locations, including any concentrated populations of individuals with
1894 disabilities, access and functional needs or limited English proficiency, as well as
1895 unaccompanied minors and children in daycare and school settings;
- 1896 ▪ Dependencies on other jurisdictions for critical resources;
- 1897 ▪ The jurisdiction’s process to determine its capabilities and limits to prepare for and respond to
1898 the defined hazards; and
- 1899 ▪ The actions taken in advance to minimize an incident’s impacts, including short- and long-term
1900 strategies.

1901 **HAZARD AND THREAT ANALYSIS SUMMARY**

1902 This section summarizes the major findings from a completed hazard and threat analysis of the
1903 hazards or threats likely to impact the jurisdiction and how the jurisdiction expects to receive (or
1904 provide) assistance within its regional response structures. Note: The hazard and threat analysis
1905 information can be a component of the EOP or maintained as a part of the local mitigation plan.

1906 **Hazard and Threat Analysis Section Checklist**

- 1907 Summarize/identify the hazards that pose a unique risk to the jurisdiction and would result
1908 in the need to activate this plan (e.g., threatened or actual natural disasters, acts of
1909 terrorism, other human-caused disasters).
- 1910 Summarize/identify the probable high-risk areas (i.e., population, infrastructure and
1911 environmental) that are likely to be impacted by the defined hazards (e.g., hospitals,
1912 congregate care facilities, wildlife refuges, types/numbers of homes/businesses in
1913 floodplains, areas around chemical facilities).
- 1914 Summarize/identify the defined risks that have occurred and the likelihood they will continue
1915 to occur within the jurisdiction (e.g., historical frequency, probable future risk, national
1916 security threat assessments).
- 1917 Describe how the jurisdiction has incorporated intelligence from threat analysis via
1918 state/local fusion centers, joint terrorism task forces, national intelligence organizations,
1919 etc., into its hazard and threat analysis.
- 1920 Describe how the vulnerability and impact analysis incorporates critical infrastructure
1921 protection activities.
- 1922 Describe how the jurisdiction assessed and incorporated agricultural security; food supply
1923 security; cyber security; chemical, biological, radiological, nuclear and high-yield explosive
1924 (CBRNE) incidents; and pandemics (those located/originating in the jurisdiction, as well as a
1925 nonlocal, nationwide or global incident).
- 1926 Describe the assumptions and methods to complete the jurisdiction’s hazard and threat
1927 analysis, including tools or methodologies to complete the analysis (e.g., a state’s hazard

1928 analysis and risk assessment manual, mitigation plan guidance, vulnerability assessment
 1929 criteria, consequence analysis criteria).

1930 Include maps that show the high-risk areas that the identified risks are likely to impact (e.g.,
 1931 residential/commercial areas within defined floodplains, earthquake fault zones, vulnerable
 1932 zones for HAZMAT facilities/routes, areas within ingestion zones for nuclear power plants,
 1933 critical infrastructure).

1934 Describe/identify the risks that could originate in a neighboring jurisdiction and could create
 1935 hazardous conditions in this jurisdiction (e.g., critical infrastructure loss, watershed runoff,
 1936 chemical incident, civil disturbance, terrorist act).

1937 Describe/identify the unique time variables that may influence the hazard and threat
 1938 analysis and preplanning for the emergency (e.g., rush hours, annual festivals, seasonal
 1939 events, how quickly the incident occurs, the time of day that the incident occurs).

1940 **6.2.4. Planning Assumptions**

1941 Planning assumptions identify what the planning team assumes to be facts for planning purposes to
 1942 make it possible to execute the EOP. During operations, the assumptions indicate areas to adjust in
 1943 the plan as the facts of the incident become known. These also provide the opportunity to
 1944 communicate the intent of senior officials regarding emergency operations priorities.

1945 **6.3. Concept of Operations**

1946 This CONOPS section explains in broad terms the decision maker’s or leader’s intent regarding an
 1947 operation. This section should give an overall picture of how the response organization accomplishes
 1948 a mission or set of objectives to reach a desired end state. Ideally, it offers a clear methodology to
 1949 realize the goals and objectives to execute the plan. This may include a brief discussion of the
 1950 activation levels identified by the jurisdiction for its operations center. It may touch on direction and
 1951 control, alert and warning and continuity matters that the annexes may deal with more fully.

1952 **CONOPS Section Checklist**

1953 Describe who has the authority to activate the plan (e.g., emergency management agency,
 1954 senior official, state official, fire/police chief).

1955 Describe the process, templates and individuals involved in issuing a declaration of
 1956 emergency for a given hazard and how the jurisdiction coordinates the declaration with
 1957 neighboring jurisdictions and the state.

1958 Describe how the jurisdiction resolves legal questions/issues as a result of preparedness,
 1959 response or recovery actions, including the liability protection available to responders.

1960 Describe the process by which the emergency management agency coordinates with all
 1961 appropriate agencies, boards or divisions within the jurisdiction.

- 1962 Describe how plans account for the essential needs of children.
- 1963 Describe how plans account for the physical, programmatic and communications needs of
- 1964 individuals with disabilities and others with access and functional needs.
- 1965 Describe how plans account for the essential needs of household pets and service animals.
- 1966 Identify other response/support agency plans that directly support the implementation of
- 1967 this plan (e.g., hospital, school emergency, facility plans).
- 1968 Describe who has the authority to activate the plan (e.g., emergency management agency,
- 1969 senior official, state official, fire/police chief).

1970 6.4. Organization and Assignment of Responsibilities

1971 This EOP section provides an overview of the key functions that organizations accomplish during an
 1972 emergency, including the roles that federal, state, territorial, tribal, insular area, local, regional and
 1973 private sector organizations take to support local operations.

1974 This section also establishes the operational organization that responds to an emergency. It includes
 1975 a list of the kinds of tasks to be performed, by position and organization, without the procedural
 1976 details included in functional annexes. When two or more organizations perform the same kind of
 1977 task, one should be given primary responsibility, with the other(s) providing a supporting role. For the
 1978 sake of clarity, a matrix of organizations and areas of responsibility (including functions) should
 1979 summarize the primary and supporting roles. Include shared general responsibilities, such as
 1980 developing SOPs/SOGs, and the matrix might include organizations not under jurisdictional control, if
 1981 they have defined responsibilities for responding to emergencies that occur in the jurisdiction.
 1982 Organization charts, especially those depicting how a jurisdiction is implementing the ICS or
 1983 Multiagency Coordination System structure, are helpful. This section should also outline agency and
 1984 departmental roles related to prevention and protection activities.

1985 In addition, this section is where a jurisdiction discusses the option that it uses to organize
 1986 emergency management—ESF, agency and department, functional areas of ICS or a hybrid. The
 1987 selected management structure determines what types of annexes that the EOP includes, and it
 1988 should be carried through to any hazard annexes.

1989 Key Functions Section Checklist

- 1990 Identify/outline the responsibilities assigned to each organization that has a mission
- 1991 assignment defined in the plan, including (but not limited to) the following:
- 1992 – The local senior elected or appointed officials (e.g., governor, mayor, commissioner,
- 1993 administrative judge, council, executive director);
- 1994 – Local departments and agencies (e.g., fire, law enforcement, EMS, public health, emergency
- 1995 management, public works, social services, animal control);

- 1996 – State agencies most often and/or likely to be used to support local operations (e.g.,
- 1997 department of transportation, state police/highway patrol, department of agriculture,
- 1998 department of natural resources, environmental protection/quality, emergency
- 1999 management, homeland security, department of health/public health, National Guard);
- 2000 – Regional organizations or groups most often and/or likely to be used to support local
- 2001 operations;
- 2002 – Federal agencies most often and/or likely to be used to support local operations (e.g., FEMA,
- 2003 Coast Guard, Department of Justice, Federal Bureau of Investigation, Federal Aviation
- 2004 Administration, National Transportation Safety Board, Department of Defense, Department
- 2005 of Transportation, Department of Agriculture);
- 2006 – Government-sponsored volunteer resources (e.g., CERTs, Fire Corps and/or Medical Reserve
- 2007 Corps, Volunteers in Police Service, auxiliary police); and
- 2008 – Private sector and voluntary organizations (e.g., organizations that assist with sheltering,
- 2009 feeding, services for persons with disabilities, animal response, social services,
- 2010 health-related needs, community and faith-based organizations, animal welfare and/or
- 2011 humane organizations, independent living centers, disability advocacy groups, business and
- 2012 industry participation).
- 2013 Describe how the organization addresses prevention roles and responsibilities, including
- 2014 linkages with fusion centers where applicable.
- 2015 Describe how the jurisdiction manages roles and responsibilities for critical infrastructure
- 2016 protection and restoration.
- 2017 Describe how the jurisdiction determines roles and responsibilities for unaffiliated volunteers
- 2018 and how to incorporate these individuals into the emergency operation.
- 2019 Describe/identify what MAAs are in place to quickly activate and share resources during an
- 2020 emergency. Examples of agreements that may exist include agreements:
- 2021 – Between response groups (e.g., fire, police, EMS);
- 2022 – For additional resources/assistance between neighboring jurisdictions' response forces (e.g.,
- 2023 fire, police, EMS);
- 2024 – To provide and receive additional resources through the Emergency Management Assistance
- 2025 Compact;
- 2026 – For resources (e.g., outside assistance, personnel, equipment);
- 2027 – Between medical facilities inside and outside the jurisdiction (e.g., for using facilities,
- 2028 accepting patients);
- 2029 – Between water and wastewater utilities inside and outside the jurisdiction;
- 2030 – For alert and notification and dissemination of emergency public information, to include
- 2031 obtaining system permissions for alert type and area (e.g., Federal Information Processing

- 2032 Standard code, event code, approved by the state approval authority for Emergency Alert
 2033 System [EAS] and Wireless Emergency Alerts [WEAs] alerting via IPAWS); and
- 2034 – For evacuation (e.g., use of buildings, restaurants and homes as shelters/lodging; relocation
 2035 centers; transportation support), including agreements between jurisdictions for the
 2036 acceptance of evacuees.
- 2037 Describe how the jurisdiction maintains a current list of available NIMS-typed resources and
 2038 credentialed personnel.
- 2039 Describe how all tasked organizations maintain current notification rosters, SOPs/SOGs and
 2040 checklists to carry out their assigned tasks.
- 2041 Provide a matrix that summarizes which tasked organizations have the primary lead versus a
 2042 secondary support role for each defined response function.
- 2043 Describe the jurisdiction’s policies regarding public safety enforcement actions required to
 2044 maintain the public order during a crisis response, including teams of enforcement officers
 2045 needed to handle persons who are disrupting the public order, violating laws, requiring
 2046 quarantine, etc.

2047 **6.5. Direction, Control and Coordination**

2048 This section of the base plan describes the framework for all direction, control and coordination
 2049 activities. It identifies who has tactical and operational control of response assets. It also explains
 2050 how multijurisdictional coordination systems support organizations coordinating efforts across
 2051 jurisdictions while allowing each jurisdiction to retain its own authorities. Additionally, it provides
 2052 information on how department and agency plans nest into the EOP (horizontal integration) and how
 2053 higher-level plans layer on the EOP (vertical integration).

2054 **Direction, Control and Coordination Section Checklist**

- 2055 Identify who has tactical and operational control of response assets.
- 2056 Discuss multijurisdictional coordination systems and processes used during an emergency.

2057 **6.6. Information Collection, Analysis and Dissemination**

2058 This section of the EOP describes the essential information requirements identified during the
 2059 planning process. It describes the type of information needed, the source of the information, who
 2060 uses the information, how the information is shared, the format for providing the information and any
 2061 specific times the information is needed. State and local prevention and protection assets should
 2062 closely cooperate in developing this section. The contents of this section are best provided in a
 2063 tabular format. This section may be expanded as an annex.

- 2064 **Information Collection, Analysis and Dissemination Section Checklist**
- 2065 Identify intelligence position (e.g., fusion center liaison) requirements for the EOC’s planning
- 2066 section.
- 2067 Describe plans for coordination between the planning section and the jurisdiction’s fusion
- 2068 center.
- 2069 Describe information dissemination methods (e.g., verbal, electronic, graphics) and
- 2070 protocols.
- 2071 Describe critical information needs and collection priorities.
- 2072 Describe long-term information collection, analysis and dissemination strategies.
- 2073 Describe collaboration with the general public, to include sector-specific watch programs.

2074 **6.7. Communications**

2075 This section describes the communication protocols and coordination procedures used between

2076 response organizations during emergencies and disasters. It discusses the framework for delivering

2077 communications support and how the jurisdiction’s communications integrate into the regional or

2078 national disaster communications network. It does not describe communications hardware or

2079 specific procedures found in departmental SOPs/SOGs.

2080 Planners should identify and summarize separate interoperable communications plans for each

2081 communication system that they use. This section may be expanded as an annex and is usually

2082 supplemented by communications SOPs/SOGs and field guides.

- 2083 **Communications Section Checklist**
- 2084 Describe the framework for delivering communications support and how the jurisdiction’s
- 2085 communications integrate into the regional or national disaster communications network.
- 2086 Identify and summarize separate interoperable communications plans.

2087 **6.8. Administration, Finance and Logistics**

2088 This section of the EOP covers general support requirements and the availability of services and

2089 support for all types of emergencies, as well as general policies for managing resources.

- 2090 **Administration, Finance and Logistics Section Checklist**
- 2091 Include references to intrastate and interstate MAAs, including the Emergency Management
- 2092 Assistance Compact.

2093 Identify authorities for and policies on augmenting staff by reassigning public employees and
2094 soliciting volunteers, along with relevant liability provisions.

2095 Include or reference general policies on keeping financial records, reporting, tracking
2096 resource needs, tracking the source and use of resources, acquiring ownership of resources
2097 and compensating the owners of private property used by the jurisdiction.

2098 If planners expand this section, they should break it into individual functional annexes, one for each
2099 element.

2100 **6.8.1. Administration**

2101 This section of the EOP describes administrative protocols used during an emergency operation.

2102 **DOCUMENTATION**

2103 The jurisdiction should use systematic processes to document the response to and recovery from a
2104 disaster. Note: This information can also be discussed for each emergency response function or for
2105 the specific hazards.

2106 **Documentation Section Checklist**

2107 Describe the process and agencies that document the actions taken during and after the
2108 emergency (e.g., incident and damage assessment, incident command logs, cost recovery).

2109 Describe/summarize the reasons for documenting the actions taken during both the
2110 response and recovery phases of the disaster (e.g., create historical records, recover costs,
2111 address insurance needs, develop mitigation strategies).

2112 Include copies of required reports (e.g., cost recovery, damage assessment, incident critique,
2113 historical record).

2114 Describe the agencies and methods that create a permanent historical record of the incident
2115 (after-action report) and include information identifying the actions taken, resources
2116 expended, economic and human impacts and lessons learned as a result of the disaster.

2117 **AFTER-ACTION REPORT**

2118 The after-action report is the end result of an administrative process in which the jurisdiction reviews
2119 and discusses the response to identify strengths and weaknesses in the emergency management
2120 and response program.

2121 **After-Action Reporting Section Checklist**

2122 Describe the reasons and need to develop an after-action report (e.g., review actions taken,
2123 identify equipment shortcomings, improve operational readiness, highlight
2124 strengths/initiatives).

- 2125 Describe the methods and agencies to organize and conduct a review of the disaster,
2126 including how the jurisdiction documents recommendations to improve local readiness (e.g.,
2127 change plans/procedures, acquire new or replace outdated resources, retrain personnel).
- 2128 Describe the links and connections between the processes to critique the response to an
2129 emergency/disaster and the processes to document recommendations for the jurisdiction's
2130 exercise program.
- 2131 Describe how the jurisdiction conducts corrective actions and/or completes the deficiencies
2132 and recommendations identified in the after-action report.

2133 **6.8.2. Finance**

2134 This base plan section describes finance protocols to recover the costs incurred during an
2135 emergency operation.

Finance Section Checklist

- 2136 Describe/identify the various programs that allow local political jurisdictions and their
2137 response/support agencies to recover their costs (e.g., Small Business Administration, Public
2138 Assistance Program).
- 2139 Identify and describe the actions to document the costs incurred during response and
2140 recovery operations (e.g., personnel overtime, equipment used/expended, contracts
2141 initiated).
- 2142 Describe/identify the programs, and how the jurisdiction assists the general public, to
2143 recover their costs and begin rebuilding (e.g., Small Business Administration, unemployment
2144 benefits, worker's compensation).
- 2145 Describe the methods to educate responders and local officials about the cost recovery
2146 process.
- 2147 Describe the impact and role of insurance in recovering costs (e.g., self-insured, participation
2148 in the National Flood Insurance Program, homeowner policies).
- 2149 Describe the methods of pre- and post-declaration funding for the jurisdiction's program for
2150 household pets and service animals preparedness and emergency response, including how
2151 to capture eligible costs for reimbursement by the Public Assistance Program, eligible
2152 donations for volunteer labor and resources and eligible donations for mutual aid resources.
2153

2154 **6.8.3. Logistics**

2155 This section describes the logistics and resource management mechanisms to identify and acquire
2156 resources in advance of and during emergency operations, especially to overcome gaps possibly
2157 identified in a capability assessment.

2158 **Logistics Section Checklist**

- 2159 Describe/identify the methods and agencies involved in using the existing risk analysis and
2160 capability assessment to identify the resources needed for a response to a defined hazard,
2161 including using past incident critiques to identify/procure additional resources.
- 2162 Describe/identify the steps to overcome the jurisdiction’s identified resource shortfalls,
2163 including identifying the resources that are only available outside the jurisdiction (e.g.,
2164 HAZMAT, water rescue, search and rescue teams, CBRNE) and the process to request those
2165 resources.
- 2166 Briefly summarize the specialized equipment, facilities, personnel and emergency response
2167 organizations currently available to respond to the defined hazards. Note: Use a tab to the
2168 plan or a separate resource manual to list the types of resources available, amounts on
2169 hand, locations maintained and any use restrictions.
- 2170 Provide information about specialized equipment, facilities, personnel and emergency
2171 response organizations currently available to support children, individuals with disabilities,
2172 and others with access and functional needs.
- 2173 Describe the process to identify private agencies/contractors that support resource
2174 management issues (e.g., waste haulers, spill contractors, landfill operators).
- 2175 Identify existing MOA)s, MOUs and contingency contracts with resource management
2176 organizations.

2177 **6.9. Plan Development and Maintenance**

2178 This section of the plan describes the overall approach to planning and the assignment of plan
2179 development and maintenance responsibilities.

2180 **Plan Development and Maintenance Section Checklist**

- 2181 Describe the planning process, participants in that process and how planners coordinate
2182 development and revision of different levels of the EOP (base plan, annexes and
2183 SOPs/SOGs) during the preparedness phase.
- 2184 Assign responsibility for the overall planning and coordination to a specific position.
- 2185 Establish a regular cycle of training on, evaluating, reviewing and updating the EOP.
- 2186 Summarize how other jurisdictions/organizations reviewed, coordinated on and/or evaluated
2187 the plan.
- 2188 Describe how this plan was determined to be consistent with the EOPs from adjoining/intra-
2189 state regional jurisdictions.

- 2190 Describe the process to review and revise the plan periodically (e.g., annually, or more often
- 2191 if changes in the jurisdiction warrant [e.g., changes in administration or procedures, newly
- 2192 added resources/training, revised phone contacts or numbers]).
- 2193 Describe the responsibility of each organization/agency (governmental, nonprofit and private
- 2194 sector) to review and submit changes to its respective portion(s) of the plan.
- 2195 Identify/summarize to whom the plan is distributed, including whether it is shared with other
- 2196 jurisdictions. Note: This list can be included as a tab to the plan.
- 2197 Describe/identify where and how the public can access the plan.
- 2198 Include a page to document when the plan is changed.

6.10. Authorities and References

- 2199
- 2200 This section of the base plan documents the legal basis for emergency operations and activities.

Authorities and References Section Checklist

- 2201
- 2202 Include lists of laws, statutes, ordinances, executive orders, regulations and formal
- 2203 agreements relevant to emergencies (e.g., MAAs) including applicable state-designated
- 2204 public-alerting authorities for the activation of EAS and WEA.
- 2205 Specify the extent and limits of the emergency authorities granted to the senior official,
- 2206 including the conditions under which these authorities become effective and when they
- 2207 terminate.
- 2208 Pre-delegate emergency authorities (i.e., enabling measures for specific emergency-related
- 2209 authorities to be exercised by the elected or appointed leadership or their designated
- 2210 successors).
- 2211 Include provisions for COOP and COG (e.g., the succession of decision-making authority and
- 2212 operational control) to perform critical emergency functions.
- 2213 Identify/describe the federal, state and local laws that specifically apply to developing and
- 2214 implementing this plan, including (but not limited to) the following:
- 2215 – Local and regional ordinances and statutes;
- 2216 – State laws or revised code sections that apply to emergency management and homeland
- 2217 security;
- 2218 – State administrative code sections that define roles, responsibilities and operational
- 2219 procedures;
- 2220 – State attorney general opinions; and
- 2221 – Federal laws, regulations and standards (e.g., Stafford Act, FEMA policy, Americans with
- 2222 Disabilities Act).

2223
2224
2225

Identify/describe the reference manuals to develop the plan and/or help prepare for and respond to disasters or emergencies, including (but not limited to) general planning tools, technical references and computer software.

2226
2227

Identify/define the words, phrases, acronyms and abbreviations that have special meaning with regard to emergency.

2228

DRAFT

2229

7. Adding EOP Annexes

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This chapter describes the purpose and potential content of annexes to the base plan. Annexes add specific information and direction to EOPs and provide a level of detail beyond what the base plan addresses.

2231

2232

2233

The most common types of EOP annexes deal with specific response functions, such as emergency sheltering, debris management or search and rescue and specific threats, risks and hazards, such as earthquakes, cyber incidents or wildfires. Jurisdictions may create other types of EOP annexes to address various phases in the lifecycle of an incident or support functions such as disaster financial management or private sector engagement.

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7.1. Functional Annexes

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Functional annexes focus on critical operational functions and who is responsible for carrying them out. These annexes clearly describe the policies, processes, roles and responsibilities of various partners—government officials, departments and agencies; private sector elements and nonprofit organizations— before, during and after emergencies.

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While the base plan provides broad information relevant to emergency response as a whole, functional annexes focus on specific responsibilities, tasks and operational actions for a particular emergency function. Functional annexes may also establish preparedness targets (e.g., training, exercises, equipment checks and maintenance) that help achieve function-related goals and objectives during emergencies and disasters.

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An important planning task is to identify the functions that are essential to successful emergency response. These core functions may become the subjects of the EOP annexes. The constitutional and organizational structures of a jurisdiction's government, the capabilities of its emergency services agencies and established policy and intended outcomes of emergency operations influence the choice of core functions.

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7.1.1. Functional Annexes Content

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These annexes contain detailed descriptions of the methods that government agencies and departments follow for critical operational functions during emergency operations. The essence of these support functions should be incorporated into plans, rather than be standalone.

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2257

The checklists in this section are organized alphabetically and offer example content for planning teams to consider when developing and updating their EOPs.

2258

2259

- Note: This information is a starting point for planning teams but may not fully reflect the issues that jurisdictions need to consider in their plans.

2260

- 2261 ▪ Note: **ESF Annexes** are a special type of functional annex that the federal government and many
2262 states use. Jurisdictions may choose to align their functional annex structure to the ESFs in the
2263 NRF, adding additional ESFs or fine-tuning the ESF titles as necessary. Using the ESF structure
2264 can facilitate the flow of local requests for governmental support to the state and federal levels
2265 during an incident and the provision of resources back to the local government.

2266 **AGRICULTURE AND NATURAL RESOURCES**

Agriculture and Natural Resources Section Checklist

- 2268 Describe the process to determine nutrition assistance needs, obtain appropriate food
2269 supplies and arrange for delivery of the supplies.
- 2270 Describe the plan to respond to animal and plant diseases and pests, including an outbreak
2271 of a highly contagious or economically devastating animal/zoonotic disease or an outbreak
2272 of a harmful or economically significant plant pest or disease.
- 2273 Describe the methods to address the safety and security of the food supply.
- 2274 Describe the response actions to preserve, conserve, rehabilitate, recover and restore
2275 natural and cultural resources and historic properties.

2276 **COMMUNICATIONS**

Communications Section Checklist

- 2278 Identify and describe the actions to manage communications between the on-scene
2279 personnel/agencies (e.g., radio frequencies/tactical channels, cell phones, data links,
2280 command post liaisons, communications vehicle/van) to establish and maintain a common
2281 operating picture of the incident.
- 2282 Identify and describe the actions to identify and overcome communications shortfalls (e.g.,
2283 personnel with incompatible equipment) with the use of alternative methods (e.g., Amateur
2284 Radio Emergency Services/Radio Amateur Civil Emergency Service at the command
2285 post/off-site locations, citizens band radios).
- 2286 Identify and describe the actions to manage communications between the on-scene and
2287 off-scene personnel/agencies (e.g., shelters, hospitals, emergency management agency).
- 2288 Identify and describe the actions of 911/dispatch centers to support/coordinate
2289 communications for the on-scene personnel/agencies, including alternate methods of
2290 service if 911/dispatch is out of operation (e.g., resource mobilization, documentation,
2291 backup).
- 2292 Identify and describe the actions to identify and overcome communication systems shortfalls
2293 with the public (e.g., network congestion, cellular outages, landline telephone outages, power
2294 outages, internet outages) and alternative methods to communicate with the affected
2295 population (e.g., door-to-door, deployable digital signage/loud speakers/sirens).

- 2296 Describe the arrangements to protect emergency circuits with telecommunications service
- 2297 priority for prompt restoration/provisioning.
- 2298 Describe how communications are made accessible to individuals with communication
- 2299 disabilities working in emergency operations, in accordance with the Americans with
- 2300 Disabilities Act.
- 2301 Identify and describe the actions of an EOC to support and coordinate communications
- 2302 between the on- and off-scene personnel and agencies.
- 2303 Describe/identify the interoperable communications plan and compatible frequencies that
- 2304 agencies use during a response (e.g., who can talk to whom, including contiguous
- 2305 jurisdictions and private agencies).
- 2306 Identify and describe the actions to notify neighboring jurisdictions when an incident occurs.
- 2307 Describe how the jurisdiction provides and maintains 24-hour communications.

2308 **CONTINUITY**

2309 Continuity planning helps to implement an EOP during and after an emergency. It helps make
 2310 essential functions and services available, and leaders visible, when normal operations are impacted
 2311 or necessary resources are unavailable. Continuity should be identified and integrated into the EOP;
 2312 however, an annex or standalone plan can provide details and specifics of the continuity approach.

2313 **Continuity Section Checklist**

- 2314 Describe essential functions, such as providing vital services, exercising civil authority,
- 2315 maintaining the safety and well-being of the populace and sustaining the
- 2316 industrial/economic base in an emergency.
- 2317 Describe plans for establishing recovery time objectives, recovery point objectives or
- 2318 recovery priorities for each essential function.
- 2319 Identify personnel and/or teams needed to perform essential functions.
- 2320 Describe orders of succession and delegations of authority.
- 2321 Describe continuity/alternate facilities and continuity communications methods.
- 2322 Describe plans for essential records and human resource management.
- 2323 Describe plans for devolution or direction and control.
- 2324 Describe plans to reconstitute operations.
- 2325 Identify applicable training and exercise programs.
- 2326 Describe the processes for evaluations, after-action reports and lessons learned.
- 2327 Describe the process and criteria for corrective action plans.

2328 DIRECTION, CONTROL AND COORDINATION

2329 Initial Notification

2330 Initial Notification Section Checklist

- 2331 Identify and describe the actions to receive and document the initial notification that an
2332 emergency has occurred.
- 2333 Identify and describe the actions to coordinate, manage and disseminate notifications
2334 effectively to alert/dispatch response and support agencies (e.g., 911 centers, individual
2335 fire/police dispatch offices, call trees) under all hazards and conditions.
- 2336 Identify and describe the actions to notify and coordinate with adjacent jurisdiction(s) about
2337 a local emergency that may pose a risk (e.g., flash flood, chemical release, terrorist act).
- 2338 Describe the use of Emergency Condition/Action Levels in the initial notification process
2339 (e.g., Snow Emergency Levels 1–3, Chemical Levels 1–3, Crisis Stages 1–4) where defined
2340 by statute, authority or other guidance.

2341 Incident Assessment

2342 Incident Assessment Section Checklist

- 2343 Identify and describe the actions to gather essential information and assess the immediate
2344 risks posed by the emergency.
- 2345 Describe how the jurisdiction disseminates or shares the initial assessment to make
2346 protective action decisions and establish response priorities, including the need to declare a
2347 state of emergency.
- 2348 Identify and describe the actions to monitor the impacts and future effects that may result
2349 from the emergency.

2350 Incident Command

2351 Incident Command Section Checklist

- 2352 Identify and describe the actions to implement the ICS and coordinate response operations,
2353 including identifying the key positions on the incident management team (e.g., operations,
2354 agency liaisons, safety).
- 2355 Describe how/where the jurisdiction will establish an incident command post (e.g., chief's
2356 car, command bus, nearest enclosed structure) and how to identify it during the emergency
2357 (e.g., green light, flag, radio call).
- 2358 Describe the process to coordinate activities between the incident command post and an
2359 activated EOC.

- 2360 Identify and describe the actions to coordinate direct communications between the on-scene
2361 responders, as well as with the off-scene agencies that have a response role (e.g., hospital,
2362 American Red Cross).
- 2363 Describe the process the incident commander or unified command uses to secure additional
2364 resources/support when local assets are exhausted or become limited, including planned
2365 state, federal and private assets.
- 2366 Describe the process the incident commander or unified command uses to coordinate and
2367 integrate the unplanned arrival of individuals and volunteer groups into the response system
2368 and to clarify their limits on liability protection.

2369 **Emergency Operations Center**

2370 An SOP/SOG may address EOC functions. If so, identify the separate SOP/SOG in the EOP.

2371 **Emergency Operations Center Section Checklist**

- 2372 Describe the purpose and functions of an EOC during an emergency or declared disaster,
2373 including operational and communications plans with a business emergency operations
2374 center (BEOC).
- 2375 Describe/identify under what conditions the jurisdiction activates a primary and/or alternate
2376 EOC and who makes this determination.
- 2377 Identify the primary and alternate sites that are likely for an EOC for the jurisdiction (e.g., city
2378 hall, fire department, emergency management agency, dedicated facility).
- 2379 Describe the process to activate the primary or alternate EOC (e.g., staff notification,
2380 equipment setup), including the process for moving from one EOC to another.
- 2381 Identify who is in charge of the EOC (e.g., emergency management agency director, senior
2382 official, fire/police chief, department/agency director) and describe how to manage EOC
2383 operations.
- 2384 Describe/identify the staff and equipment necessary for an EOC (e.g., first response liaisons,
2385 elected or appointed officials, support agencies, communications, administrative support).
- 2386 Identify and describe the actions to gather and share pertinent information between the
2387 scene, outside agencies and the EOC (e.g., damage observations, response priorities,
2388 resource needs), including sharing information between neighboring and state EOCs.
- 2389 Describe the EOC's ability to manage an emergency response that lasts longer than 24 hours
2390 (e.g., staffing needs, shift changes, resource needs, feeding, alternate power).
- 2391 Identify and describe the actions to transition from response to recovery operations.
- 2392 Describe the process to deactivate/close the EOC (e.g., staff releases, equipment cleanup,
2393 documentation).

- 2394 Identify the lead official and at least two alternates responsible for staffing each key position
- 2395 at the primary EOC, as well as the alternates (if different), to be consistent with NIMS.
- 2396 Identify and describe the actions to routinely brief senior officials not present in the EOC on
- 2397 the emergency situation (e.g., governor, commissioner, administrative judge, mayor, city
- 2398 council, trustees) and to authorize emergency actions (e.g., declare an emergency, request
- 2399 state and federal assistance, purchase resources).
- 2400 Identify and describe the actions to manage public information.
- 2401 Provide a diagram of the primary and alternate EOCs (e.g., locations, floor plans, displays)
- 2402 and identify and describe the critical communications equipment available/needed (e.g.,
- 2403 phone numbers, radio frequencies, faxes).
- 2404 Provide copies of specific forms or logs for EOC personnel to use.

2405 ENERGY

2406 Energy Section Checklist

- 2407 Describe the process to address significant disruptions in energy supplies for any reason,
- 2408 whether caused by physical disruption of energy transmission and distribution systems,
- 2409 unexpected operational failure of such systems or unusual economic or international
- 2410 political events.
- 2411 Describe the process to address the impact that damage to an energy system in one
- 2412 geographic region may have on energy supplies, systems and components in other regions
- 2413 relying on the same system.
- 2414 Describe/identify the energy-centric critical assets and infrastructures, as well as the method
- 2415 to monitor those resources to identify and mitigate vulnerabilities to energy facilities.

2416 FINANCIAL MANAGEMENT

2417 Financial Management Section Checklist

- 2418 Identify and describe the actions to provide funds expeditiously and conduct financial
- 2419 operations in accordance with established law, policies, regulations and standards.
- 2420 Describe how to capture eligible costs for potential reimbursement.

2421 FIREFIGHTING

2422 Firefighting Section Checklist

- 2423 Describe the process to detect and suppress wildland, rural and urban fires resulting from, or
- 2424 occurring coincidentally with, an incident response.

- 2425 Describe existing interstate and intrastate firefighting assistance agreements.
- 2426 Describe the methods for transmitting situation and damage assessment information
- 2427 through established channels.

2428 HAZARDOUS MATERIALS

2429 Hazardous Materials Checklist

- 2430 Describe the actions to prevent, minimize or mitigate an oil or hazardous materials release.
- 2431 Describe the methods to detect and assess the extent of contamination (including sampling
- 2432 and analysis and environmental monitoring).
- 2433 Describe the methods to stabilize a release and prevent the spread of contamination.
- 2434 Describe the options for environmental cleanup and waste disposal; implementing
- 2435 environmental cleanup; and storing, treating and disposing of oil and hazardous materials.

2436 LAW ENFORCEMENT

2437 Law Enforcement Section Checklist

- 2438 Describe the method to provide public safety and security resources to support incident
- 2439 operations, including threat or pre-incident and post-incident situations.
- 2440 Describe the process to determine public safety and security requirements and to determine
- 2441 resource priorities.
- 2442 Describe the process to maintain communication with supporting agencies to determine
- 2443 capabilities, assess the availability of resources and track resources.

2444 LOGISTICS AND RESOURCE MANAGEMENT

2445 Logistics and Resource Management Section Checklist

- 2446 Identify and describe the actions for resource management in accordance with the NIMS
- 2447 resource typing and include the pre-positioning of resources to efficiently and effectively
- 2448 respond to an incident.
- 2449 Describe the process to identify, deploy, use, support, dismiss and demobilize affiliated and
- 2450 spontaneous unaffiliated volunteers.
- 2451 Describe the process to manage unsolicited donations.
- 2452 Describe plans for establishing logistical staging areas for internal and external response
- 2453 personnel, equipment and supplies.
- 2454 Describe plans for establishing points of distribution across the jurisdiction.

- 2455 Describe plans for providing support for a larger, regional incident.
- 2456 Describe strategies for transporting materials through restricted areas, quarantine lines, law
- 2457 enforcement checkpoints and so forth that all affected parties agree upon.

2458 **MASS CARE**

Mass Care Section Checklist

- 2459 Identify and describe the actions to identify, open and staff emergency shelters, including
- 2460 temporarily using reception centers while waiting for shelters to open officially.
- 2461
- 2462 Describe the agencies and methods to provide life-sustaining goods and services (e.g., food,
- 2463 water) to promote the well-being of displaced individuals and families throughout the entire
- 2464 process (including household pets and service animals).
- 2465 Identify locations for multiagency (recovery) resource centers and/or disaster recovery
- 2466 centers.
- 2467 Describe how shelters coordinate their operations with on-scene and other off-site support
- 2468 agencies (e.g., expected numbers evacuated, emergency medical support).
- 2469 Describe the plans, methods and agencies/organizations responsible for distributing
- 2470 emergency relief items (e.g., hygiene kits, cleanup items, infant care supplies).
- 2471 Describe how shelters keep evacuees informed about the status of the disaster, including
- 2472 information about actions evacuees may need to take when returning home.
- 2473 Identify and describe the actions to notify or inform the public about the status of injured or
- 2474 missing relatives.
- 2475 Describe the methods to identify, screen and handle evacuees exposed to the hazards posed
- 2476 by the disaster (e.g., infectious waste, polluted floodwaters, chemical hazards) and the
- 2477 methods to keep the shelter free of contamination.
- 2478 Describe arrangements with other jurisdictions for their assistance in sheltering, including
- 2479 providing shelters when it is not practical locally (e.g., no shelters or staff support are
- 2480 available).
- 2481 Describe the agencies/organizations and methods for providing feeding services both within
- 2482 the shelter facilities and at other identified feeding sites or mobile feeding operations.

2483 **Accommodating Individuals with Disabilities and Others with Access and Functional Needs**

Accommodating Individuals with Disabilities and Others with Access and Functional Needs Section Checklist

- 2484 Identify and describe the actions to confirm that the Americans with Disabilities Act
- 2485
- 2486 Accessibility Guidelines govern shelter site selection and operation.
- 2487

- 2488 Describe how the jurisdiction provides physical and programmatic accessibility of shelter
- 2489 facilities, effective communication using multiple methods, full access to emergency services
- 2490 and reasonable modification of programs or policies where needed.
- 2491 Describe the method for providing adequate shelter space allocation for children, as well as
- 2492 individuals with disabilities and others with access and functional needs who may need
- 2493 additional space for assistive devices (e.g., wheelchairs, walkers).
- 2494 Identify and describe the actions to provide alternate shelter accommodations for evacuees
- 2495 from domestic violence shelters.
- 2496 Describe the agencies and methods to provide care and support for institutionalized
- 2497 populations (e.g., long-term care and assisted living facilities, group homes), individuals with
- 2498 disabilities and/or access and functional needs (e.g., medical and prescription support,
- 2499 personal assistance services, durable medical equipment, consumable medical supplies,
- 2500 childcare, transportation [including accessible transportation], foreign language interpreters),
- 2501 including their caregivers.
- 2502 Describe the method by which the jurisdiction provides necessary developmentally
- 2503 appropriate supplies (e.g., diapers, formula, age-appropriate foods), staff, medicines, durable
- 2504 medical equipment and supplies that are needed during an emergency for children with
- 2505 disabilities and other specialized health care needs.
- 2506 Identify and describe the actions to identify and address the general public's unmet needs
- 2507 during the disaster.
- 2508 Describe the mechanisms or processes to provide emergency childcare services for
- 2509 accompanied and unaccompanied minors in shelters

2510 **Sheltering Animals**

2511 **Sheltering Animals Section Checklist**

- 2512 Describe the partnership between the jurisdiction's emergency management agency, the
- 2513 animal control authority, the mass care provider(s) and the owner of each proposed
- 2514 congregate household pet sheltering facility.
- 2515 Identify and describe the actions to care for household pets and service animals brought to
- 2516 shelters by evacuees.
- 2517 Describe the provisions for sheltering unclaimed animals that cannot be immediately
- 2518 transferred to an animal control shelter or when a shelter receives non-eligible animals.
- 2519 Identify and describe the actions to segregate or seize household pets showing signs of
- 2520 abuse.
- 2521 Describe the method for household pet registration (including identifying current rabies
- 2522 vaccinations for all animals).

- 2523 Describe the method to provide guidance to human shelter operators on admitting and
2524 treating service animals.
- 2525 Describe the criteria to expeditiously identify congregate household pet shelters and
2526 alternate facilities.
- 2527 Describe the method to provide utilities, such as running water, adequate lighting, proper
2528 ventilation, electricity and backup power, at congregate household pet shelters.
- 2529 Identify and describe the actions to address the risk of injury by an aggressive or frightened
2530 animal, the possibility of disease transmission and other health risks for responders and
2531 volunteers staffing the congregate household pet shelter.
- 2532 Identify and describe the actions for pre-disaster inspections and developing agreements for
2533 each congregate household pet facility.
- 2534 Describe the method of care and maintenance of each facility while in use as a shelter.
- 2535 Describe the method for identifying equipment and supplies that may be needed to operate
2536 each congregate household pet shelter, as well as supplies that household pet owners may
2537 bring with them to the congregate shelter.
- 2538 Describe the method for physical security of each congregate household pet facility,
2539 including perimeter controls and security personnel.
- 2540 Describe the method for housing a variety of household pet species (e.g., sizes of
2541 crates/cages, temperature control, appropriate lighting).
- 2542 Describe the method for separating household pets based on appropriate criteria and
2543 requirements.
- 2544 Describe the method for setting up and maintaining household pet confinement areas (e.g.,
2545 crates, cages, pens) for safety, cleanliness and control of noise levels, as well as a
2546 household pet first aid area inside each shelter.
- 2547 Describe the method for controlling fleas, ticks and other pests at each congregate
2548 household pet shelter.
- 2549 Describe the criteria for designating and safely segregating aggressive animals.
- 2550 Describe the method for segregation of household pets to prevent the transmission of
2551 disease.
- 2552 Identify and describe the actions to relocate a household pet due to illness, injury or
2553 aggression to an alternate facility (e.g., veterinary clinic, animal control shelter).
- 2554 Describe the method for providing controlled areas (indoor or outdoor) for exercising
2555 household pets.
- 2556 Describe the method for disposing of household pet waste and dead animals.
- 2557 Describe the method to reunite rescued animals with their owners.

- 2558 Identify and describe the actions to address the long-term care, permanent relocation or
- 2559 disposal of unclaimed pets.

2560 MUTUAL AID/MULTIJURISDICTIONAL COORDINATION

2561 **Mutual Aid/Multijurisdictional Coordination Section Checklist**

- 2562 Describe the processes to establish and execute MAAs and multijurisdictional coordination in
- 2563 support of incident response.

2564 POPULATION PROTECTION

2565 **Population Protection Section Checklist**

- 2566 Identify and describe the actions to coordinate evacuations and sheltering-in-place for all
- 2567 segments of the population, including children, individuals with disabilities and others with
- 2568 access and functional needs.
- 2569 Describe the protocols and criteria to decide when to recommend evacuation or sheltering-
- 2570 in-place.
- 2571 Describe the conditions necessary to initiate an evacuation or sheltering-in-place and identify
- 2572 who has the authority to initiate such action.
- 2573 Identify and describe the actions to conduct the evacuation (e.g., of high-density areas,
- 2574 neighborhoods, high-rise buildings, subways, airports, schools, special events venues, areas
- 2575 with a high concentration of children and individuals with disabilities) and to provide security
- 2576 for the evacuation area.
- 2577 Identify and describe the actions to perform advanced/early evacuation, which is often
- 2578 necessary to accommodate children and others with mobility issues.
- 2579 Identify and describe the actions to provide safe evacuation/transportation assistance to
- 2580 unaccompanied minors.
- 2581 Identify and describe the actions to track unaccompanied minors and reunify children with
- 2582 their families.
- 2583 Identify and describe the actions to protect at-risk groups and/or facilities (e.g., racial, ethnic,
- 2584 religious) in the event of a terrorism alert.
- 2585 Describe the plan for receiving evacuees as a result of hazards in neighboring jurisdictions,
- 2586 including household pets and service animals.
- 2587 Describe the methods to keep children and others with disabilities with their caregivers,
- 2588 mobility devices, other durable medical equipment and/or service animals during an
- 2589 evacuation.

- 2590 Identify and describe the actions to exchange registration and tracking information between
2591 and among the evacuating jurisdiction, the receiving jurisdiction(s) and the jurisdictions that
2592 evacuees pass through.
- 2593 Describe the coordination strategies for managing and possibly relocating incarcerated
2594 persons during a crisis response.
- 2595 Describe how and when the public is notified (including individuals with sensory disabilities
2596 and individuals with limited English proficiency), explaining the actions they may be advised
2597 to follow during an evacuation, while sheltering-in-place, upon the decision to terminate
2598 sheltering-in-place and throughout the incident.
- 2599 Describe the protocols and criteria the jurisdiction uses to terminate sheltering-in-place
2600 operations.
- 2601 Identify and describe the actions to identify and assist evacuees, including individuals with
2602 disabilities and others with access and functional needs.
- 2603 Instruct evacuees on how to manage their household pets and service animals during an
2604 evacuation and in returning home when permitted.
- 2605 Identify and describe the actions to provide for the care of the evacuees' household pets.
- 2606 Describe how agencies coordinate the decision to return evacuees to their homes, including
2607 informing evacuees about any health or physical access concerns or actions they should
2608 take when returning to homes/businesses.
- 2609 Identify and describe the actions to identify and assist the return of evacuees to their
2610 homes/communities, including individuals with disabilities and others with access and
2611 functional needs.
- 2612 Identify and describe actions when the general public refuses to evacuate (e.g., implement
2613 forced removal, contact next of kin, place unique markings on homes, take no action).
- 2614 Identify and describe the actions to make sufficient, timely and accessible transportation
2615 available to evacuate children and other individuals with access and functional needs whose
2616 families do not have their own transportation resources.
- 2617 Describe the means and methods for collecting and consolidating evacuation transportation
2618 requests from schools, individuals with disabilities and others with access and functional
2619 needs.
- 2620 Describe the means of tracking, recording, and monitoring incoming transportation requests
2621 as they are fulfilled.
- 2622 Describe how the jurisdiction identifies accessible transportation resources (including
2623 paratransit service vehicles, school buses, municipal surface transit vehicles, drivers and/or
2624 trained attendants) that can provide needed services during an evacuation.
- 2625 Describe how household pet owners determine the location of congregate household pet
2626 shelters and which shelter to use.

2627 Describe methods of transportation for household pets or service animals whose owners
2628 depend on public transportation.

2629 Describe how the jurisdiction registers, documents and tracks household pets that receive
2630 evacuation assistance and reunites them with their owners if they are separated during
2631 assisted evacuations.

2632 **PRIVATE SECTOR COORDINATION**

2633 **Private Sector Coordination Section Checklist**

2634 Describe the processes to effectively coordinate and integrate with the private sector, both
2635 for-profit and not-for-profit, engaged in incident response and recovery activities.

2636 Describe the processes to share situational awareness across sectors and between the
2637 jurisdiction and the private sector.

2638 Describe the processes for coordinating with business, industry and critical infrastructure
2639 owners and operators to determine resource requirements and how supply chain disruptions
2640 affect resource management.

2641 Describe the process for identifying private sector capabilities and resources that help
2642 address supply chain gaps.

2643 Describe the process for tracking and addressing requests for information and requests for
2644 assistance from critical infrastructure owners and operators.

2645 Describe the process for understanding the cascading effects of damaged infrastructure
2646 systems in the community.

2647 **PUBLIC ALERT AND WARNING**

2648 **Public Alert and Warning Section Checklist**

2649 Identify and describe the actions to disseminate the notification that a disaster or threat is
2650 imminent or has occurred and how to communicate response and protective actions to the
2651 population (e.g., use alerting systems and IPAWS to send WEA mobile phone broadcasts,
2652 activate EAS radio/TV/cable messages, mass notification voice and SMS distribution, door-
2653 to-door warning, sirens, social media).

2654 Describe the use of emergency condition levels in the public notification process (e.g., snow
2655 emergencies, HAZMAT incidents, nuclear power plant incidents).

2656 Identify and describe the actions to alert individuals with sensory or cognitive disabilities and
2657 others with access and functional needs in the workplace, public venues and in their homes.

2658 Include draft messages for identified hazards in formats appropriate for each public warning
2659 system planned for communications to the population.

2660 **PUBLIC HEALTH AND MEDICAL SERVICES**

2661 **Public Health**

2662 **Public Health Section Checklist**

- 2663 Describe the agencies and methods to maintain efficient surveillance systems supported by
2664 information systems to facilitate early detection, reporting, mitigation and evaluation of
2665 expected and unexpected public health conditions.
- 2666 Describe the agencies and methods to identify the public health issues that the disaster
2667 creates (e.g., food/water safety, biological concerns) and to prioritize how to manage issues,
2668 including how this process is coordinated with the incident command post/EOC (e.g., issue
2669 vaccinations, establish quarantines).
- 2670 Describe the agencies and alternate methods to provide potable water, bulk water and
2671 temporary water distribution systems to the jurisdiction when the water systems are not
2672 functioning (e.g., private sources, boil orders, private wells).
- 2673 Describe the agencies and methods to provide alternate sources for human waste disposal
2674 (e.g., arrange portable latrines, encourage resource sharing with those who have their own
2675 septic systems).
- 2676 Identify the lead agency for providing health and medical support to individuals with
2677 disabilities and others with access and functional needs.
- 2678 Describe the mechanisms or processes to effectively identify individuals with specific health-
2679 related needs, including children and families who need additional assistance, individuals
2680 with disabilities and others with access and functional needs, in advance of, during and
2681 following an emergency.
- 2682 Identify and describe the actions to secure medical records to enable children with
2683 disabilities and/or other specific health care needs, as well as individuals with disabilities
2684 and others with access and functional needs, to receive health care and sustained
2685 rehabilitation in advance of, during and following an emergency.
- 2686 Identify and describe the actions to assess and provide mental health services for the
2687 general public (including individuals with disabilities and others with access and functional
2688 needs) that the disaster impacts.
- 2689 Identify and describe the actions to assess and provide vector control services (e.g., insect
2690 and rodent controls, biological wastes/contamination, use of pesticides).
- 2691 Identify and describe the actions to assess and provide food production and agricultural
2692 safety services (e.g., conducting a coordinated investigation of food and agricultural events
2693 or agricultural or animal disease outbreaks).
- 2694 Describe how the jurisdiction coordinates health professionals, incident commanders and
2695 public information officers to issue public health media releases and alert the media.

- 2696 Identify and describe the actions to initiate, maintain and demobilize medical surge capacity,
2697 including MAAs for medical facilities and equipment.
- 2698 Identify and describe the actions to assess and provide animal care services (e.g., remove
2699 and dispose of carcasses, rescue/recover displaced household pets/livestock, provide
2700 emergency veterinary care, treat endangered wildlife) and the individuals/agencies that the
2701 jurisdiction uses in this process (e.g., veterinarians, animal hospitals, Humane Society, state
2702 department of natural resources).
- 2703 Identify and describe the actions to identify and respond to gravesites/cemeteries that the
2704 disaster impacts (e.g., recover and replace unearthed/floating/missing coffins, review
2705 records to confirm identification, manage closed/historical gravesites).
- 2706 Describe how the jurisdiction coordinates with health professionals from outside agencies to
2707 support local response needs (e.g., poison control centers, state/local departments of
2708 health, Centers for Disease Control and Prevention, Funeral Directors Association,
2709 Department of Agriculture, Food and Drug Administration, Medical Reserve Corps).
- 2710 Identify potential sources for medical and general health supplies for a disaster (e.g.,
2711 medical equipment, pharmaceutical supplies, laboratories, toxicologists). Note: This
2712 information could be under a separate tab or part of a comprehensive resource manual.

2713 **Medical Patient Care/Mass Casualty/Mass Fatality**

Medical Patient Care/Mass Casualty/Mass Fatality Section Checklist

- 2714 Identify and describe the actions by emergency medical personnel to contain and stabilize a
2715 disaster (e.g., set up triage, provide initial treatment, identify access and functional needs,
2716 conduct/coordinate transport).
2717
- 2718 Identify and describe the actions to track patients from the incident scene through their
2719 courses of care.
- 2720 Describe how emergency system patient transport and tracking systems are interoperable
2721 with national and Department of Defense systems.
- 2722 Identify and describe the actions to coordinate with private agencies to support on-scene
2723 medical operations (e.g., air ambulance, private EMS), including staging and integrating
2724 those assets at the scene.
- 2725 Identify and describe the actions to manage on-scene functions of mass casualty/fatality
2726 incidents (e.g., identifying bodies, expanding mortuary services, notifying next of kin).
- 2727 Identify and describe the process for using hospitals, nursing homes and/or other facilities
2728 as emergency treatment centers or as mass casualty collection points.
- 2729 Identify and describe the processes for identifying shortfalls in medical supplies (e.g.,
2730 backboards, medicines) and durable medical equipment and acquiring additional resources
2731 either locally or from external sources.

- 2732 Identify and describe the actions that hospitals, within or outside of the jurisdiction, take to
2733 assist medical operations with on-scene personnel (e.g., prioritize patient arrival, divert
2734 patients to other sites when current site is full/less capable, provide triage team support).
- 2735 Identify and describe the actions to decontaminate patients, individuals with access and
2736 functional needs, children and household pets and service animals for exposure to CBRNE
2737 hazards both at the scene of the incident and at treatment facilities.
- 2738 Identify and describe the actions the coroner takes during a disaster (e.g., victim
2739 identification, morgue expansion, mortuary services, disaster mortuary operational response
2740 team activation) and how they coordinate with responders (e.g., EMS officer, incident
2741 command post/EOC, local hospitals).
- 2742 Describe plans for recovering human remains, transferring them to the mortuary facility,
2743 establishing a family assistance center, assisting with recovering personal effects,
2744 conducting autopsies, identifying victims and returning remains to the victims' families for
2745 final disposition.
- 2746 Identify and describe the actions that health department personnel take to help on-scene
2747 medical and local hospitals obtain additional resources when local supplies are likely to be
2748 exhausted.

2749 PUBLIC INFORMATION

2750 **Public Information Section Checklist**

- 2751 Identify and describe the actions to provide continuous and accessible public information
2752 about the disaster (e.g., media briefings, press releases, website updates, IPAWS WEA and
2753 EAS, social media updates, mass notification text, email and voice messages to subscribers,
2754 door-to-door warnings), secondary effects and recovery activities.
- 2755 Identify and describe the actions to confirm that information provided by all sources includes
2756 the content necessary to enable reviewers to determine its authenticity and potential validity.
- 2757 Identify and describe plans, programs and systems to control rumors by correcting
2758 misinformation rapidly.
- 2759 Identify and describe the actions to inform individuals with sensory, intellectual or cognitive
2760 disabilities; individuals with limited English proficiency; and others with access and
2761 functional needs in the workplace, public venues and in their homes.
- 2762 Describe the role of a public information officer and the actions this person takes to
2763 coordinate public information releases (e.g., working with media at the scene, using a joint
2764 information center, coordinating information among agencies/elected and appointed
2765 officials), including household pet evacuation and sheltering information.

- 2766 Describe how responders/local officials use and work with the media during an emergency
2767 (e.g., schedule press briefings; establish media centers on-scene; control access to the
2768 scene, responders and survivors).
- 2769 Include prepared public instructions for identified hazards, including materials for managers
2770 of congregate care facilities, such as childcare centers, group homes, assisted living centers
2771 and nursing homes.
- 2772 Identify and describe the actions to manage rumor control on- and off-scene (e.g., monitoring
2773 AM/FM radio, social media channels and television broadcasts).
- 2774 Describe how the jurisdiction updates public statements on shelter capacity and availability
2775 as people and animals come to shelters.
- 2776 List local media contacts and describe their abilities to distribute emergency information.

2777 PUBLIC WORKS AND ENGINEERING/INFRASTRUCTURE RESTORATION

2778 **Public Works and Engineering/Infrastructure Restoration Section Checklist**

- 2779 Identify and describe the actions to determine qualified contractors offering recovery and
2780 restoration services.
- 2781 Identify and describe the actions to coordinate credentialing protocols to give personnel
2782 access to critical sites following an incident.
- 2783 Identify and describe the actions to identify, prioritize and coordinate repairing or restoring
2784 local roads, bridges and culverts (e.g., along city, county, township, state, interstate and U.S.
2785 routes).
- 2786 Identify and describe the actions to repair or restore local water and wastewater systems
2787 (e.g., water and waste treatment plants, water and sewer lines, public and private wells),
2788 including providing temporary water distribution and wastewater collection systems until
2789 normal operations resume.
- 2790 Identify and describe the actions to prioritize and coordinate the repair and restoration of
2791 services (e.g., gas, electric, phone), including conducting safety inspections before the
2792 general public is allowed to return to the impacted area.
- 2793 Identify and describe the actions to incorporate and coordinate assistance from federal,
2794 state and private organizations (e.g., Federal Highway Administration, state building
2795 inspectors/contractors, state or local historical preservation office, private contractors).
- 2796 Identify and describe the energy and utility problems that the incident is likely to create (e.g.,
2797 downed power lines, wastewater discharges, ruptured underground storage tanks).
- 2798 Identify and describe the actions to identify, prioritize and coordinate energy and utility
2799 problems that result from the incident (e.g., shut off gas and electricity to flooded areas,
2800 restore critical systems, control underground water and gas main breaks).

- 2801 Identify and describe the actions to determine, prioritize and coordinate removing roadway
- 2802 debris to provide local responder access (e.g., removing snow and debris, clearing debris and
- 2803 ice from streams), including coordinating road closures and establishing alternate routes of
- 2804 access.
- 2805 Identify and describe the actions to protect affected populations during a disaster with
- 2806 periods of extreme temperature and/or shortages of energy, including how the jurisdiction
- 2807 coordinates with energy-providing companies during outages.
- 2808 Describe the methods to reestablish essential human services for children and their families,
- 2809 as well as individuals with disabilities and others with access and functional needs.

2810 **Damage Assessment**

Damage Assessment Section Checklist

- 2811 Identify and describe the actions to conduct and coordinate damage assessments on private
- 2812 property (e.g., homeowners, businesses, renters).
- 2813
- 2814 Identify and describe the actions to conduct and coordinate damage assessments on public
- 2815 property (e.g., government, private, not-for-profit).
- 2816 Identify and describe the actions to collect, organize and report damage information to other
- 2817 county, state or federal operations centers within the first 12 to 36 hours of the disaster or
- 2818 emergency.
- 2819 Identify and describe the actions to request supplemental state or federal assistance
- 2820 through the state emergency management agency.
- 2821 Include copies of the damage assessment forms that the jurisdiction uses
- 2822 (e.g., state-adopted or state-recommended emergency management agency's damage and
- 2823 needs assessment form or a county equivalent). Note: These may be a tab to the plan.

2824 **Debris Management**

2825 Planners should see if their jurisdiction has specific planning guidance on developing a debris
2826 management program and subsequent plans.

Debris Management Section Checklist

- 2827 Identify and describe the actions to coordinate debris collection and removal (e.g., gather
- 2828 and recycle materials, establish temporary storage sites, sort/haul debris).
- 2829
- 2830 Identify and describe the actions to communicate debris management instructions to the
- 2831 general public (e.g., separating/sorting debris, scheduled pickup times, drop-off sites for
- 2832 different materials), including issuing routine updates.

- 2833 Identify and describe the actions to assess and resolve potential health issues related to
2834 debris removal (e.g., mosquito/fly infestation, hazardous and infectious wastes).
- 2835 Identify locations (e.g., water and wastewater facilities) that need to be cleared of debris
2836 immediately to provide effective emergency services.
- 2837 Identify and describe the actions to inspect, or arrange for inspecting, and subsequently
2838 dispose of contaminated food supplies (e.g., from restaurants, grocery stores).
- 2839 Identify the agencies that the jurisdiction is likely to use to provide technical assistance on
2840 debris removal (e.g., state environmental protection agency, state department of health,
2841 state department of agriculture, local and surrounding county health departments).
- 2842 Identify and describe the actions to condemn, demolish and dispose of structures that
2843 present a safety hazard to the public.
- 2844 Pre-identify potential trash collection and temporary storage sites, including final landfill sites
2845 for specific waste categories (e.g., vegetation, food, dead animals, hazardous and infectious
2846 wastes, construction debris, tires/vehicles).
- 2847 Identify contracting considerations and cost tracking requirements for potential
2848 reimbursement.

2849 **RECOVERY**

2850 **Recovery Section Checklist**

- 2851 Describe the coordination mechanisms and requirements for post-incident assessments,
2852 plans and activities.
- 2853 Describe the methods of identifying long-term recovery needs of individuals with disabilities
2854 and access and functional needs and incorporating these needs into recovery strategies.
- 2855 Describe the methods of identifying community planning and capacity building issues for
2856 recovery.
- 2857 Describe the methods of identifying economic recovery issues.
- 2858 Describe the methods of identifying health and social services issues for recovery.
- 2859 Describe the methods of identifying housing issues for recovery.
- 2860 Describe the methods of identifying infrastructure systems issues for recovery.
- 2861 Describe the methods of identifying natural and cultural resource issues for recovery.
- 2862 Describe the methods of identifying long-term environmental restoration issues.
- 2863 Describe the method of coordinating with animal welfare and agricultural stakeholders and
2864 service providers in long-term community recovery efforts.

2865 **SEARCH AND RESCUE**

2866 **Search and Rescue Section Checklist**

- 2867 Identify and describe the actions to conduct structural collapse (urban), waterborne,
2868 inland/wilderness and aeronautical search and rescue operations.
- 2869 Identify and describe the actions to monitor distress communications; locate distressed
2870 personnel; coordinate and execute rescue operations, including extrication or evacuation;
2871 and provisioning medical assistance and civilian services using public and private resources
2872 to assist persons and property in potential or actual distress.

2873 **TRANSPORTATION**

2874 **Transportation Section Checklist**

- 2875 Identify and describe the process for monitoring and reporting the status of, and damage to,
2876 the transportation system and infrastructure as a result of an incident.
- 2877 Describe alternative transportation solutions that the jurisdiction can implement when
2878 systems or infrastructure are damaged, unavailable or overwhelmed.
- 2879 Describe the methods to implement appropriate aviation, maritime, surface, railroad and
2880 pipeline incident management measures.
- 2881 Describe the method of coordinating the restoration and recovery of the transportation
2882 systems and infrastructure.

2883 **VOLUNTEER AND DONATIONS MANAGEMENT**

2884 **Volunteer and Donations Management Section Checklist**

- 2885 Describe the method by which the jurisdiction manages unaffiliated volunteers and
2886 unaffiliated organizations and applies those resources to incident response and recovery
2887 activities.
- 2888 Identify and describe the actions to establish and staff donation management functions (e.g.,
2889 set up toll-free hotlines, create databases, appoint a donations liaison/office, use support
2890 organizations).
- 2891 Identify and describe the actions to verify and/or vet voluntary organizations and/or
2892 organizations operating relief funds.
- 2893 Identify and describe the actions to collect, sort, manage and distribute in-kind contributions,
2894 including methods for disposing of or refusing goods that are not acceptable.
- 2895 Identify and describe the actions to coordinate donation management issues with
2896 neighboring districts and the state's donations management system.

- 2897 Describe the process to tell the general public about the donations program (e.g.,
- 2898 instructions on items to bring and not bring, scheduled drop-off sites and times, the way to
- 2899 send monies), including a process for issuing routine updates.
- 2900 Identify and describe the actions to handle the spontaneous influx of volunteers.
- 2901 Identify and describe the actions to receive, manage and distribute cash contributions.
- 2902 Pre-identify sites that the jurisdiction is likely to use to sort and manage in-kind contributions
- 2903 (e.g., private warehouses, government facilities).

2904 **WORKER SAFETY AND HEALTH**

2905 **Worker Safety and Health Section Checklist**

- 2906 Describe the processes for response and recovery worker safety and health during incident
- 2907 response and recovery.

2908 **7.1.2. Annex Implementing Instructions**

2909 Each annex, as well as the base plan, may use implementing instructions in the form of SOPs/SOGs,

2910 maps, charts, tables, forms and checklists and may be included as attachments or references. The

2911 EOP planning team may use supporting documents, as needed, to clarify the contents of the plan or

2912 annex. For example, the evacuation annex may be clearer with attached maps marked with

2913 evacuation routes. Because these routes may change depending on the location of the hazard, the

2914 evacuation annex may also include hazard-specific maps. Similarly, maps showing the locations of

2915 shelters may support the mass care annex.

2916 **7.1.3. Special Preparedness Programs**

2917 Some jurisdictions participate in special preparedness programs that publish their own planning

2918 guidance. Two examples are the Chemical Stockpile Emergency Preparedness Program and the

2919 Radiological Emergency Preparedness Program. Participating jurisdictions should confirm that their

2920 EOPs meet the special planning requirements of these programs. Jurisdictions should decide

2921 whether this compliance is best accomplished by incorporating the requirements across functional

2922 annexes or by developing a hazard-specific annex for the program.

2923 **7.2. Hazard- or Threat-Specific Annexes**

2924 Hazard-, threat- or incident-specific annexes contain unique response details that apply to a specific

2925 threat or hazard. Depending on the EOP's structure, functional annexes rather than hazard-specific

2926 annexes may include hazard-specific information.

2927 Hazard- or incident-specific annexes describe emergency response strategies that apply to a specific

2928 hazard. The annexes usually identify hazard-specific risk areas and provide information such as

2929 evacuation routes; special provisions and protocols for warning the public and disseminating
2930 emergency public information; and specific types of protective measures, equipment and detection
2931 devices for responders. The annexes may include maps, charts, tables, checklists, resource
2932 inventories and summaries of critical information requirements, which can serve as work aids.

2933 Hazard-specific operations information is typically in the CONOPS section and includes:

- 2934 ▪ Assessment and control of the hazard;
- 2935 ▪ Prevention and infrastructure protection activities;
- 2936 ▪ Public warnings;
- 2937 ▪ Selection and implementation of protective actions;
- 2938 ▪ Short-term stabilization actions; and
- 2939 ▪ Recovery actions.

2940 Some hazards have unique planning requirements directed by specific state and federal laws. The
2941 local emergency management agency must review those requirements and determine how the EOP
2942 can best address and meet those legal requirements.

2943 Local communities may choose to address specific hazards or threats in standalone plans rather
2944 than annexes to an EOP base plan. In this case, the EOP should reference those plans and provide a
2945 brief summary of how the EOP coordinates with the standalone plans.

2946 **7.3. Adversarial Threats**

2947 These are disasters that are intentionally created by humans with the intent of harming life,
2948 information, operations, the environment and/or property.

2949 **7.3.1. Civil Unrest Annex**

2950 The annex identifies and describes the methods the jurisdiction uses to prepare for and respond to
2951 civil unrest emergencies/disasters. It should also identify and describe the jurisdiction's specific
2952 concerns, capabilities, training, agencies and resources to mitigate against, prepare for, respond to
2953 and recover from civil unrest emergencies.

2954 **7.3.2. Cyber Incident Annex**

2955 This annex identifies and describes the jurisdiction's specific concerns, capabilities, training,
2956 agencies and resources to respond to an intentional event occurring on or conducted through a
2957 computer network that actually or imminently jeopardizes the confidentiality, integrity or availability
2958 of computers; information or communications systems or networks; physical or virtual infrastructure
2959 controlled by computers or information systems; or information resident on those systems. Notably,
2960 cyber incidents can also result from accidents and unintentional system failures.

2961 **7.3.3. Terrorism Annex**

2962 The annex identifies and describes the jurisdiction's specific concerns, capabilities, training,
2963 agencies and resources to prevent, protect against, prepare for, respond to and recover from
2964 terrorist acts. The attacks covered should include, but not be limited to, attacks involving weapons of
2965 mass destruction, such as CBRNE incidents.

2966 Planners should confirm that the EOP complies with any state, territorial, tribal or insular area
2967 terrorism planning criteria. Some state emergency management agencies or homeland security
2968 offices have specific guidance for this planning element that establishes specific planning criteria,
2969 and jurisdictions should review it to develop the terrorism plan.

2970 **7.4. Natural Hazards**

2971 **7.4.1. Biological Incident Annex**

2972 The annex identifies and describes the jurisdiction's specific concerns, capabilities, training,
2973 agencies and resources to mitigate against, prepare for, respond to and recover from epidemic
2974 diseases and biological incidents (e.g., West Nile virus, hoof and mouth disease, smallpox). Include a
2975 hazard analysis summary that discusses where and how biological incidents are likely to impact the
2976 community.

2977 **7.4.2. Drought Annex**

2978 The annex identifies and describes the jurisdiction's specific concerns, capabilities, training,
2979 agencies and resources to mitigate against, prepare for, respond to and recover from droughts
2980 (e.g., water conservation, public water outages and wildfire issues). Include a hazard analysis
2981 summary that discusses where and how droughts are likely to impact the jurisdiction.

2982 **7.4.3. Earthquake Annex**

2983 The annex identifies and describes the jurisdiction's specific concerns, capabilities, training,
2984 agencies and resources to mitigate against, prepare for, respond to and recover from earthquakes.
2985 Include a hazard analysis summary that discusses where and how earthquakes are likely to impact
2986 the jurisdiction.

2987 **7.4.4. Flood Annex**

2988 The annex identifies and describes the jurisdiction's specific concerns, capabilities, training,
2989 agencies and resources to mitigate against, prepare for, respond to and recover from flood
2990 emergencies or disasters (e.g., flash floods, inundation floods, floods resulting from ice jams).
2991 Include a hazard summary that discusses where (e.g., 100-year and common floodplains) and how
2992 floods are likely to impact the jurisdiction.

2993 **7.4.5. Hurricanes/Severe Storm Annex**

2994 The annex identifies and describes the jurisdiction’s specific concerns, capabilities, training,
2995 agencies and resources to mitigate against, prepare for, respond to and recover from hurricanes or
2996 severe storms. Include a hazard analysis summary that discusses where and how hurricanes or
2997 severe storms are likely to impact the jurisdiction.

2998 **7.4.6. Tornado Annex**

2999 The annex identifies and describes the jurisdiction’s specific concerns, capabilities, training,
3000 agencies and resources to mitigate against, prepare for, respond to and recover from tornadoes.
3001 Include a hazard analysis summary that discusses where and how tornadoes are likely to impact the
3002 jurisdiction (e.g., historical/seasonal trends, damage levels F1 through F5).

3003 **7.4.7. Winter Storm Annex**

3004 The annex identifies and describes the jurisdiction’s specific concerns, capabilities, training,
3005 agencies and resources to mitigate against, prepare for, respond to and recover from winter storms
3006 (e.g., blizzards, ice jams, ice storms). Include a hazard analysis summary that discusses where and
3007 how winter storms are likely to impact the jurisdiction.

3008 **7.5. Technological Hazards**

3009 These incidents involve materials created by humans and that pose a unique hazard to the general
3010 public and environment. The jurisdiction needs to consider incidents that are caused by accident
3011 (e.g., mechanical failure, human mistake), result from an emergency caused by another hazard
3012 (e.g., flood, storm) or are caused intentionally.

3013 **7.5.1. Dam and Levee Emergency Annex**

3014 The annex identifies and describes the jurisdiction’s specific concerns, capabilities, training,
3015 agencies and resources to mitigate the effects of dam and levee failures and other incidents that
3016 have the potential to harm downstream populations and/or infrastructure. Uncontrolled release or
3017 excessive controlled release of water from a dam may be from damage to or failure of the structure,
3018 flood conditions unrelated to failure or any condition that could affect safe operation. The release of
3019 water might endanger human life, downstream property or the operation of the structure.

3020 **7.5.2. Hazardous Materials Spill Annex**

3021 The annex identifies and describes the procedures and methods to prepare for and respond to
3022 releases that involve HAZMAT that is manufactured, stored or used at fixed facilities or in transport
3023 (if not addressed in a functional annex). This annex may include materials that exhibit incendiary or
3024 explosive properties when released.

3025 Some states have laws that require each LEPC to develop a chemical emergency preparedness and
3026 response plan on this topic. Some states have laws requiring the local emergency management
3027 agency to incorporate the LEPC's plan into the emergency management agency's planning and
3028 preparedness activities. Organizations must review and address the state emergency response
3029 commission's specific planning criteria:

- 3030 ▪ For LEPCs that develop standalone plans, describe how the jurisdiction coordinates that plan
3031 with the EOP.
- 3032 ▪ For LEPC plans that are part of the EOP, describe how the planning team used and adhered to
3033 the state emergency response commission criteria to comply with those requirements and the
3034 EOP requirements discussed previously.

3035 **7.5.3. Lethal Chemical Agents and Munitions Annex**

3036 The annex identifies and describes the jurisdiction's specific concerns, capabilities, training,
3037 agencies and resources to mitigate against, prepare for, respond to and recover from lethal chemical
3038 agent and munitions incidents (e.g., sarin, mustard and VX gas). Include a hazard analysis summary
3039 that discusses where and how chemical agent incidents are likely to impact the community.

3040 **7.5.4. Power Outage Incident Annex**

3041 This annex identifies and describes the jurisdiction's response and recovery actions in the wake of a
3042 widespread power outage that lasts for days or weeks. This annex does not define the steps needed
3043 to restore electricity, but rather focuses on steps that the community would take to manage the
3044 impacts that a sustained loss of power would likely trigger.

3045 **7.5.5. Radiological Incident Annex**

3046 The annex identifies and describes methods to prepare for and respond to releases that involve
3047 radiological materials that are at licensed facilities or in transport. Identify and describe the
3048 jurisdiction's specific concerns, capabilities, training, agencies and resources to mitigate against,
3049 prepare for, respond to and recover from radiological hazards. Include a hazard analysis summary
3050 that discusses where and how radiological materials are likely to impact the jurisdiction, including
3051 incidents that occur at fixed facilities, along transportation routes or as fallout from a nuclear
3052 weapon. If applicable, address the requirements of NUREG-0654 FEMA-REP-1 Rev. 2³⁶ and Code of
3053 Federal Regulations Part 44, Section 350 as it applies to the jurisdiction's planning for
3054 emergencies/disasters involving regulated nuclear power plants.

³⁶ See Criteria for Preparation and Evaluation of Radiological Emergency Response Plans and Preparedness in Support of Nuclear Power Plants (NUREG-0654/FEMA-REP-1, Revision 2) (Nuclear Regulatory Commission/FEMA), available at https://www.fema.gov/sites/default/files/2020-08/fema_NUREG-0654-REP1-rev2_12-2019.pdf.

3055 **7.6. Additional Hazards (as Applicable)**

3056 Add additional annexes to include other hazards that the jurisdiction’s hazard analysis identified
3057 (e.g., mass casualty, plane crash, train crash/derailment, school emergencies). Identify and describe
3058 the jurisdiction’s specific concerns, capabilities, training, agencies and resources to mitigate against,
3059 prepare for, respond to and recover from other hazards as defined in the jurisdiction’s hazard
3060 analysis. Include a hazard analysis summary that discusses where and how this hazard’s incidents
3061 are likely to impact the community.

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Appendix A: Authorities and References

- 3064 ▪ Age Discrimination Act of 1975, Public Law (Pub. L.) 94-135, 42 United States Code (U.S.C.)
3065 6101–6107
- 3066 ▪ Americans with Disabilities Act of 1990, as amended by the Americans with Disabilities Act
3067 Amendments Act of 2008, Pub. L. 110-325
- 3068 ▪ Architectural Barriers Act of 1968, 41 U.S.C. 4151 et seq.
- 3069 ▪ Civil Rights Act of 1964, Title VI, Pub. L. 88-352
- 3070 ▪ Code of Federal Regulations, Title 44, Chapter 1, Federal Emergency Management Agency,
3071 October 1, 2009
- 3072 ▪ Consolidated Appropriations Act, 2008, Pub. L. 110-161
- 3073 ▪ Continuity Guidance Circular, February 2018
- 3074 ▪ Disaster Mitigation Act of 2000, Pub. L. 106-390
- 3075 ▪ Disaster Recovery and Reform Act, Pub. L. 115-254
- 3076 ▪ Disaster Relief and Appropriations Act of 2013, Pub. L. 113-2
- 3077 ▪ Education Amendments of 1972, Pub. L. 92-318
- 3078 ▪ Executive Order (EO) 13166, Improving Access to Services for Persons with Limited English
3079 Proficiency, August 11, 2000
- 3080 ▪ EO 13347, Individuals with Disabilities in Emergency Preparedness, July 26, 2004
- 3081 ▪ Fair Housing Act, as amended in 1988, 42 U.S.C 3601
- 3082 ▪ Federal Continuity Directive 1, January 17, 2017
- 3083 ▪ Homeland Security Act of 2002, 6 U.S.C. 101, et seq., as amended
- 3084 ▪ Homeland Security Presidential Directive 5 (HSPD-5), Management of Domestic Incidents,
3085 February 28, 2003
- 3086 ▪ HSPD-7, Critical Infrastructure Identification, Prioritization, and Protection, December 17, 2003

- 3087 ▪ Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act of 1990,
3088 Pub. L. 101-542

- 3089 ▪ NUREG-0654 FEMA-REP-1 Rev. 2: Criteria for Preparation and Evaluation of Radiological
3090 Emergency Response Plans and Preparedness in Support of Nuclear Power Plants, December
3091 2019

- 3092 ▪ Occupational Safety and Health Act of 1970, Pub. L. 91-596

- 3093 ▪ Pets Evacuation and Transportation Standards Act of 2006, Pub. L. 109-308

- 3094 ▪ Post-Katrina Emergency Management Reform Act of 2006, Pub. L. 109-295

- 3095 ▪ Presidential Policy Directive 8 (PPD-8): National Preparedness, March 30, 2011

- 3096 ▪ PPD-21: Critical Infrastructure Security and Resilience, February 12, 2013

- 3097 ▪ PPD-40, National Continuity Policy, July 15, 2016

- 3098 ▪ Rehabilitation Act of 1973, Pub. L. 93-112

- 3099 ▪ Robert T. Stafford Disaster Relief and Emergency Assistance Act of 1988, 42 U.S.C. 5121, et
3100 seq., as amended

- 3101 ▪ Sandy Recovery Improvement Act of 2013, Pub. L. 112-74

- 3102 ▪ Superfund Amendments and Reauthorization Act of 1986, Pub. L. 99-149, as amended

3103 **Appendix B: List of Acronyms**

3104	CBRNE	Chemical, Biological, Radiological, Nuclear and High-Yield Explosive
3105	CEMP	Comprehensive Emergency Management Plan
3106	CERT	Community Emergency Response Team
3107	COG	Continuity of Government
3108	CONOPS	Concept of Operations
3109	COOP	Continuity of Operations
3110	CPG	Comprehensive Preparedness Guide
3111	DHS	Department of Homeland Security
3112	EAS	Emergency Alert System
3113	EMS	Emergency Medical Services
3114	EOC	Emergency Operations Center
3115	EOP	Emergency Operations Plan
3116	ESF	Emergency Support Function
3117	FEMA	Federal Emergency Management Agency
3118	FOG	Field Operations Guide
3119	HAZMAT	Hazardous Material(s)
3120	ICS	Incident Command System
3121	IAP	Incident Action Plan
3122	IMT	Incident Management Team
3123	IPAWS	Integrated Public Alert and Warning System
3124	JFO	Joint Field Office
3125	LEPC	Local Emergency Planning Committee

3126	MOA	Memorandum of Agreement
3127	MOU	Memorandum of Understanding
3128	NDRF	National Disaster Recovery Framework
3129	NIMS	National Incident Management System
3130	NRF	National Response Framework
3131	Pub. L.	Public Law
3132	SOG	Standard Operating Guideline
3133	SOP	Standard Operating Procedure
3134	SPR	Stakeholder Preparedness Review
3135	THIRA	Threat and Hazard Identification and Risk Assessment
3136	U.S.C.	United States Code
3137	WEA	Wireless Emergency Alerts

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Appendix C: Glossary

3139 **Access and Functional Needs.** Individuals having access and functional needs may include, but
3140 are not limited to, people with disabilities, older adults, and individuals with limited English
3141 proficiency, limited access to transportation, and/or limited access to financial resources to
3142 prepare for, respond to, and recover from the emergency. Federal civil rights law and policy
3143 require nondiscrimination, including on the bases of race, color, national origin, religion, sex,
3144 age, disability, English proficiency, and economic status. Many individuals with access and
3145 functional needs are protected by these provisions.

3146 **Capabilities-Based Planning.** Planning, under uncertainty, to provide capabilities suitable for a wide
3147 range of threats and hazards while working within an economic framework that necessitates
3148 prioritization and choice. Capabilities-based planning addresses uncertainty by analyzing a wide
3149 range of scenarios to identify required capabilities.

3150 **Community.** A political or geographical entity that has the authority to adopt and enforce laws and
3151 ordinances for the area under its jurisdiction. In most cases, the community is an incorporated town,
3152 city, township, village or unincorporated area of a county. However, each state defines its own
3153 political subdivisions and forms of government.

3154 **Community Lifeline.** A means of identifying, grouping, evaluating and reporting on the status of
3155 government and business functions that are essential to the health, safety and economic security of
3156 the community.

3157 **Continuity.** The ability to provide uninterrupted services and support while maintaining organizational
3158 viability, before, during and after an incident that disrupts normal operations.

3159 **Damage Assessment.** Appraising or determining the number of injuries and deaths, damage to
3160 public and private property and status of key facilities and services (e.g., hospitals and other health
3161 care facilities, fire and police stations, communications networks, water and sanitation systems,
3162 utilities, transportation networks) resulting from a human-caused or natural disaster.

3163 **Disability.** Individual who has a physical or mental impairment that substantially limits one or
3164 more major life activities (an “actual disability”), or a record of a physical or mental
3165 impairment that substantially limits a major life activity (“record of”), or an actual or
3166 perceived impairment, whether or not the impairment limits or is perceived to limit a major
3167 life activity, that is not both transitory and minor (“regarded as”). and specific changes to the
3168 text of the Americans with Disabilities Act. State laws and local ordinances may also include
3169 individuals outside the federal definition.

3170 **Emergency Operations Center.** The physical location where the coordination of information and
3171 resources to support incident management activities (on-scene operations) normally takes place. An

- 3172 EOC may be a temporary facility or located in a more central or permanently established facility,
3173 perhaps at a higher level of organization within a jurisdiction.
- 3174 **Emergency Operations Plan.** A plan for responding to a variety of potential hazards.
- 3175 **Emergency Support Function.** A grouping of governmental and certain private sector capabilities into
3176 an organizational structure to provide capabilities and services that are needed to manage domestic
3177 incidents.
- 3178 **Federal Coordinating Officer.** The official appointed by the President to execute Stafford Act
3179 authorities, including the commitment of FEMA resources and mission assignments of other federal
3180 departments or agencies. In all cases, the federal coordinating officer represents the FEMA
3181 Administrator in the field to discharge all FEMA responsibilities for the response and recovery efforts
3182 underway. For Stafford Act incidents, the federal coordinating officer is the primary federal
3183 representative with whom the state coordinating officer and other response officials interface to
3184 determine the most urgent needs and to set objectives for an effective response in collaboration
3185 with the unified coordination group.
- 3186 **Governor's Authorized Representative.** An individual empowered by a governor to: (1) execute all
3187 necessary documents for disaster assistance on behalf of the state, including certifying applications
3188 for public assistance; (2) represent the governor of the impacted state in the unified coordination
3189 group, when required; (3) coordinate and supervise the state disaster assistance program, to include
3190 serving as its grant administrator; and (4) identify, in coordination with the state coordinating officer,
3191 the state's critical information needs for incorporation into a list of essential elements of information.
- 3192 **Incident.** An occurrence, natural or human-caused, that necessitates a response to protect life or
3193 property. In this document, the word "incident" includes planned events as well as emergencies
3194 and/or disasters of all kinds and sizes.
- 3195 **Incident Command System.** A standardized approach to the command, control and coordination of
3196 on-scene incident management, providing a common hierarchy within which personnel from multiple
3197 organizations can be effective. ICS combines procedures, personnel, facilities, equipment and
3198 communications within a common organizational structure to aid in the management of on-scene
3199 resources during incidents. It is used for all kinds of incidents and is applicable to small, as well as
3200 large and complex, incidents, including planned events.
- 3201 **Incident Management Assistance Team.** A team of ICS-qualified personnel configured according to
3202 ICS that deploys in support of affected jurisdictions and/or on-scene personnel.
- 3203 **Incident Management Team.** A rostered group of ICS-qualified personnel consisting of an incident
3204 commander, command and general staff and personnel assigned to other key ICS positions.
- 3205 **Incident Action Plan.** An oral or written plan containing the objectives established by the incident
3206 commander or unified command and addressing tactics and support activities for the planned
3207 operational period, generally 12 to 24 hours.

3208 **Joint Field Office.** The primary federal incident management field structure. The JFO is a temporary
3209 federal facility that provides a central location for coordinating organizations with primary
3210 responsibility for response and recovery, including state, local, territorial, tribal, insular area and
3211 federal governments and private sector and nonprofit organizations.

3212 **Joint Information Center.** A facility in which personnel coordinate incident-related public information
3213 activities. The JIC serves as the central point of contact for all news media. Public information
3214 officials from all participating agencies co-locate at, or virtually coordinate through, the JIC.

3215 **Jurisdiction.** Jurisdiction has more than one definition. Each use depends on the context:

3216 ▪ **A range or sphere of authority.** Public agencies have jurisdiction at an incident related to their
3217 legal responsibilities and authority. Jurisdictional authority at an incident can be political or
3218 geographical (e.g., city, county, tribal, state or federal boundary lines) or functional (e.g., law
3219 enforcement, public health).

3220 ▪ **A political subdivision** (e.g., federal, state, county, parish, municipality) with the responsibility for
3221 public safety, health and welfare within its legal authorities and geographic boundaries.

3222 **Lifeline.** See “**Community Lifeline.**”

3223 **Local Government.** A county, municipality, city, town, township, local public authority, school district,
3224 special district, intrastate district, council of governments (regardless of whether the council of
3225 governments is incorporated as a not-for-profit corporation under state law), regional or interstate
3226 government entity or agency or instrumentality of a local government; a rural community,
3227 unincorporated town or village or other public entity.

3228 **Mass Care.** Actions to protect evacuees and other disaster survivors from the effects of a disaster.
3229 Activities include mass evacuation, mass sheltering, mass feeding, supporting access and functional
3230 needs and coordinating household pets and service animals.

3231 **Mitigation.** Activities providing a critical foundation in the effort to reduce the loss of life and property
3232 from natural and/or human-caused disasters by avoiding or lessening the impact of a disaster and
3233 providing value to the public by creating safer communities. Mitigation seeks to lessen the severity of
3234 the cycle of disaster damage, reconstruction and repeated damage. Mitigation activities or actions,
3235 in most cases, have a long-term sustained effect.

3236 **National Incident Management System.** A systematic, proactive approach to guide all levels of
3237 government, nonprofits and the private sector to work together to prevent, protect against, mitigate,
3238 respond to and recover from the effects of incidents. NIMS provides stakeholders across the whole
3239 community with the shared vocabulary, systems and processes to successfully deliver the
3240 capabilities described in the National Preparedness System. NIMS provides a consistent foundation
3241 for dealing with all incidents, ranging from daily occurrences to incidents requiring a coordinated
3242 federal response.

3243 **National Response Framework.** A comprehensive, national, all-hazards approach to domestic
3244 incident response. It serves as a guide to enable responders at all levels of government and beyond
3245 to provide a unified national response to a disaster. It defines the key principles, roles and structures
3246 that organize the way U.S. jurisdictions plan and respond.

3247 **Nonprofit Organization.** A group that is based on the interests of its members, individuals or
3248 institutions. A nonprofit is not created by a government, but it may work cooperatively with
3249 government. Examples of nonprofits include faith-based groups, relief agencies, organizations that
3250 support people with access and functional needs and animal welfare organizations.

3251 **Planning Assumptions.** Parameters that are expected and used as a context, basis or requirement
3252 for developing response and recovery plans, processes and procedures. If a planning assumption is
3253 not valid for a specific incident's circumstances, the plan may not be adequate for response
3254 success. Alternative methods may be needed. For example, if a decontamination capability is based
3255 on the planning assumption that the facility is not within the zone of release, this assumption should
3256 be verified at the beginning of the response.

3257 **Prevention.** The capabilities necessary to avoid, prevent or stop a threatened or actual act of
3258 terrorism. In national preparedness guidance, "prevention" refers to preventing imminent threats.

3259 **Protected Group.** A group of people qualified for special protection by a law, policy or similar
3260 authority. For example, Title VI of the Civil Rights Act of 1964 protects against discrimination on the
3261 grounds of race, color or national origin.

3262 **Protection.** The capabilities necessary to secure the homeland against acts of terrorism and
3263 human-caused or natural disasters.

3264 **Recovery.** The capabilities necessary to assist communities affected by an incident to recover
3265 effectively.

3266 **Resource Management.** Systems for identifying available resources at all jurisdictional levels to
3267 enable timely, efficient and unimpeded access to resources needed to prepare for, respond to or
3268 recover from an incident.

3269 **Response.** The capabilities necessary to save lives, protect property and the environment and meet
3270 basic human needs after an incident has occurred.

3271 **Scenario.** Hypothetical situation composed of a hazard, an entity impacted by that hazard and
3272 associated conditions, including consequences when appropriate.

3273 **Scenario-Based Planning.** A planning approach that uses a hazard vulnerability assessment to
3274 assess the hazard's impact on an organization based on various threats that the organization could
3275 encounter. These threats (e.g., hurricane, terrorist attack) become the basis of the scenario(s).

3276 **Service Animal.** Any guide dog, signal dog or other animal individually trained to assist an individual
3277 with a disability. Service animals' jobs include, but are not limited to:

- 3278 ▪ Guiding individuals with impaired vision;
- 3279 ▪ Alerting individuals with impaired hearing (to intruders or sounds such as a baby's cry, the
3280 doorbell and fire alarms);
- 3281 ▪ Pulling a wheelchair;
- 3282 ▪ Retrieving dropped items;
- 3283 ▪ Alerting people of impending seizures; and
- 3284 ▪ Assisting people who have mobility disabilities with balance or stability.

3285 **Standard Operating Procedure/Guideline.** A reference document or operations manual that provides
3286 the purpose, authorities, duration and details for the preferred method of performing a single
3287 function or several interrelated functions in a uniform manner.

3288 **State Coordinating Officer.** The individual appointed by the governor to coordinate state disaster
3289 assistance efforts with those of the federal government. The state coordinating officer plays a critical
3290 role in managing the state response and recovery operations following Stafford Act declarations. The
3291 governor of the affected state appoints the state coordinating officer, and lines of authority flow from
3292 the governor to the state coordinating officer, following the state's policies and laws.

3293

Appendix D: Examples of Access and Functional Needs

3294

3295 This appendix provides many examples of common access and functional needs. It represents
 3296 feedback received from whole community partners during the most recent revision of CPG 101, as
 3297 well as the collective experience of the Nation's emergency management community. Individuals
 3298 with access and functional needs include, but are not limited to, the list of partners outlined below.

- 3299 ▪ Caregivers;
- 3300 ▪ Children in special education;
- 3301 ▪ Children, infants and unaccompanied minors;
- 3302 ▪ Diverse racial and ethnic populations;
- 3303 ▪ Elderly and older adults;
- 3304 ▪ Families using supported decision-making or guardianship;
- 3305 ▪ Homeless individuals;
- 3306 ▪ Immigrants;
- 3307 ▪ Incarcerated individuals, people in jails or prison, people on parole;
- 3308 ▪ Individuals with:
 - 3309 ○ Cognitive and intellectual complex mental health needs;
 - 3310 ○ Limited cultural and linguistic competency;
 - 3311 ○ Household pets;
 - 3312 ○ Emotional support or therapy animals;
 - 3313 ○ Limited or no transportation resources or who need public transportation to access essential
 - 3314 services, commodities and resources;
 - 3315 ○ Little or no trust in government; and
 - 3316 ○ Special dietary concerns (e.g., life-threatening food allergies, fed by tube);
- 3317 ▪ Individuals requiring:
 - 3318 ○ Durable medical and backup power suppliers; and
 - 3319 ○ Power for ventilators or other life-sustaining/assistive technology.

3320 Step 5 of the planning process centers on preparing and reviewing plans developed by jurisdictions.
 3321 At a high level, plan reviews typically center on their adequacy, feasibility, acceptability,
 3322 completeness and compliance. They also account for core elements of EOPs in base plans and
 3323 various annexes.

3324 An integral part of plan preparation and review is confirming that plans account for children,
 3325 individuals with access and functional needs and household pets and service animals. Table 1
 3326 includes important considerations for planning for these groups.

3327 **Table 1: Considerations for Individuals with Access and Functional Needs**

Children	Individuals with Access and Functional Needs	Household Pets and Service Animals
<ul style="list-style-type: none"> ▪ Preparedness ▪ Evacuation Support ▪ Shelter Operations ▪ Public Information and Outreach 	<ul style="list-style-type: none"> ▪ Preparedness ▪ Evacuation Support ▪ Shelter Operations ▪ Public Information and Outreach 	<ul style="list-style-type: none"> ▪ Preparedness ▪ Evacuation Support ▪ Shelter Operations ▪ Registration and Animal Intake ▪ Animal Care ▪ Public Information and Outreach ▪ Record Keeping

3328
3329 The sections that follow provide checklists on each of these topics.

3330 Incorporating Children

3331 This section highlights the following considerations for incorporating children into EOPs:
3332 preparedness, evacuation support, shelter operations and public information and outreach.³⁷

3333 Preparedness

3334 Preparedness Considerations for Children Checklist

- 3335 Identify roles and responsibilities for supporting children.
- 3336 Use a planning group that includes individuals with expertise in pediatric issues, as well as
3337 relevant advocacy groups, service providers and subject matter experts.
- 3338 Include demographic data and information on the number of children and where they tend to
3339 be (e.g., schools, daycare facilities).
- 3340 Identify the agency with the lead role for coordinating planning efforts and incorporating
3341 children into all plans.
- 3342 Identify support agencies to assist the lead agency in coordinating planning efforts and
3343 confirming plans incorporate children.

³⁷ For additional information, please see the 2010 National Commission on Children and Disasters Report to the President and Congress at <https://www.acf.hhs.gov/ohsepr/resource/2010-national-commission-on-children-and-disasters>.

- 3344 Identify a coordinator to provide expertise for the emergency planning process and to
3345 support the incident commander, the planning section and/or the operations section during
3346 an emergency.
- 3347 Include mechanisms or processes to effectively identify children and families who need
3348 additional assistance with specific health-related needs in advance of, during and following
3349 an emergency.
- 3350 Include mechanisms or processes to secure medical records to enable children with
3351 disabilities and/or other specific health care needs to receive health care and sustained
3352 rehabilitation in advance of, during and following an emergency.
- 3353 Identify which position/agency is authorized to direct supporting departments and agencies
3354 to furnish materials and commodities for children with disabilities and/or other specific
3355 health care needs.
- 3356 Identify essential human services and ways to reestablish these services following a disaster
3357 for children and their families.
- 3358 Prioritize governmental, nonprofit and private sector resources to meet critical needs such as
3359 accessible housing, rental assistance, debris removal and emergency repairs for families of
3360 children with specific health care needs.
- 3361 Describe how to vet, train and use spontaneous volunteers who may offer their services to
3362 families with children.
- 3363 Include mechanisms or processes for providing emergency childcare services.
- 3364 Include mechanisms or processes for reunifying children with families.
- 3365 Conduct exercises that include children and child congregate care settings, such as school,
3366 childcare, child welfare and juvenile justice facilities.

3367 Evacuation Support

3368 **Evacuation Support Considerations for Children Checklist**

- 3369 Identify which official has the authority to order an evacuation.
- 3370 Identify the roles and responsibilities for advanced/early evacuation, which is often
3371 necessary to accommodate children with mobility issues.
- 3372 Identify the agency that has the lead role in coordinating an evacuation and incorporating
3373 children into all evacuation considerations and planning.
- 3374 Include mechanisms or processes for providing safe evacuation/transportation assistance to
3375 unaccompanied minors.
- 3376 Include mechanisms or processes for tracking children, especially unaccompanied minors,
3377 during an evacuation.

- 3378 Include affirmative recognition of the need to keep children with disabilities with their
3379 caregivers, mobility devices, other durable medical equipment and/or service animals during
3380 an evacuation.
- 3381 Include mechanisms or processes to provide sufficient and timely accessible transportation
3382 to evacuate children with disabilities whose families do not have their own transportation
3383 resources.
- 3384 Identify means and methods to collect and consolidate evacuation transportation requests
3385 from schools, specifically schools with children who have disabilities.
- 3386 Identify means to track, record and monitor incoming transportation requests as they are
3387 fulfilled.
- 3388 Identify accessible transportation resources (including paratransit service vehicles, school
3389 buses, municipal surface transit vehicles, drivers and/or trained attendants) that can provide
3390 needed services during an evacuation.
- 3391 Include mechanisms or processes to reunify children with families.
- 3392 Address re-entry.

3393 Shelter Operations

3394 Shelter Operations Considerations for Children Checklist

- 3395 Identify which official has the authority to order an evacuation.
- 3396 Include mechanisms or processes for providing adequate accessible shelters that fully
3397 address the requirements of children, including those with medical needs.
- 3398 Allocate adequate shelter space for families who have children with access and functional
3399 needs who may need additional space for assistive devices (e.g., wheelchairs, walkers).
- 3400 Plan for sufficient developmentally appropriate supplies (e.g., diapers, formula,
3401 age-appropriate foods), staff, medicines, durable medical equipment and supplies needed
3402 during an emergency for children with disabilities and other special health care needs.
- 3403 Include mechanisms or processes for handling and providing for unaccompanied minors in
3404 shelters.

3405 Public Information and Outreach

3406 Public Information and Outreach Considerations for Children Checklist

- 3407 Identify ways to promote personal preparedness among children, as well as their families
3408 and caregivers (including school and daycare personnel).

- 3409 Identify mechanisms for disseminating timely and accessible emergency public information
- 3410 using multiple methods (e.g., television, radio, internet, sirens) to reach families of children
- 3411 with sensory and cognitive disabilities, as well as families with limited English proficiency.

3412 **Incorporating Individuals with Access and Functional**

3413 **Needs**

3414 This section highlights the following considerations for incorporating individuals with access and
3415 functional needs into EOPs: preparedness, evacuation support, shelter operations and public
3416 information and outreach.

3417 **Preparedness**

Preparedness Considerations for Individuals with Access and Functional Needs Checklist

- 3418 Use a planning group that includes individuals with disabilities and others with access and
- 3419 functional needs, as well as relevant advocacy groups, service providers and subject matter
- 3420 experts.
- 3421
- 3422 Include a definition for “individuals with disabilities” and “individuals with access and
- 3423 functional needs,” consistent with all applicable laws.
- 3424 Include demographic data and information on the number of individuals in the community
- 3425 with disabilities and others with access and functional needs (using assessment and current
- 3426 registry data, if available).
- 3427 Identify the agency with the lead role for coordinating planning efforts and incorporating
- 3428 individuals with access and functional needs into all plans.
- 3429 Identify support agencies to assist the lead agency in coordinating planning efforts and
- 3430 confirming that plans incorporate individuals with access and functional needs.
- 3431 Identify a disability advisor to provide expertise for the emergency planning process and to
- 3432 support the incident commander, the planning section and/or the operations section during
- 3433 an emergency.
- 3434 Include mechanisms or processes to effectively identify people who need additional
- 3435 assistance and their specific health-related needs in advance of, during and following an
- 3436 emergency.
- 3437 Include mechanisms or processes to secure medical records to enable persons with
- 3438 disabilities or access and functional needs and acute health care needs to receive health
- 3439 care and sustained rehabilitation in advance of, during and following an emergency.
- 3440 Identify which position/agency is authorized to direct supporting departments and agencies
- 3441 to furnish materials and commodities for individuals with disabilities and others with access
- 3442 and functional needs.

- 3443 Identify essential human services and ways to reestablish these services following a disaster
- 3444 for individuals with disabilities and others with access and functional needs to enable
- 3445 individuals to regain and maintain their previous level of independence and function.
- 3446 Identify roles and responsibilities for supporting individuals with disabilities and others with
- 3447 access and functional needs.
- 3448 Prioritize governmental, nonprofit and private sector resources to meet critical needs such as
- 3449 accessible housing, rental assistance, debris removal and emergency repairs for individuals
- 3450 with disabilities and others with access and functional needs.
- 3451 Include mechanisms or processes to train and use spontaneous volunteers who may offer
- 3452 their services to individuals with disabilities and others with access and functional needs to
- 3453 assist with physical, programmatic and communications access and other functional needs.

3454 Evacuation Support

3455 **Evacuation Considerations for Individuals with Access and Functional Needs Checklist**

- 3456 Identify which official has the authority to order an evacuation.
- 3457 Identify the roles and responsibilities for advanced/early evacuation, which is often
- 3458 necessary to accommodate persons with mobility issues.
- 3459 Identify the agency that has the lead role in coordinating an evacuation and incorporating
- 3460 individuals with disabilities and others with access and functional needs into all evacuation
- 3461 considerations and planning.
- 3462 Include affirmative recognition of the need for people with disabilities to keep their support
- 3463 systems, mobility devices, other durable medical equipment and/or service animals during
- 3464 an evacuation.
- 3465 Include mechanisms or processes to provide sufficient and timely accessible transportation
- 3466 to evacuate individuals with disabilities and others with access and functional needs who do
- 3467 not have their own transportation resources.
- 3468 Identify means and methods to collect and consolidate evacuation transportation requests
- 3469 from individuals with disabilities and others with access and functional needs.
- 3470 Identify means for tracking, recording and monitoring incoming transportation requests as
- 3471 they are fulfilled.
- 3472 Identify accessible transportation resources (including paratransit service vehicles, school
- 3473 buses, municipal surface transit vehicles, drivers and/or trained attendants) that can provide
- 3474 needed services during an evacuation.
- 3475 Address re-entry.

3476 Shelter Operations

3477 Shelter Operations Considerations for Individuals with Access and Functional Needs 3478 Checklist

- 3479 Include mechanisms or processes to confirm that general population shelters are accessible
3480 and fully address the physical, programmatic and communications accessibility
3481 requirements of individuals with disabilities and others with access and functional needs.
- 3482 Allocate adequate shelter space for individuals with disabilities and others with access and
3483 functional needs who may need additional space for assistive devices (e.g., wheelchairs,
3484 walkers).
- 3485 Include mechanisms or processes for confirming that Americans with Disabilities Act
3486 Accessibility Guidelines govern the shelter site selection and operation.
- 3487 Plan for sufficient staff, medicines, durable medical equipment and supplies needed during
3488 an emergency for individuals with disabilities and others with access and functional needs.

3489 Public Information and Outreach

3490 Public Information and Outreach Considerations for Individuals with Access and Functional 3491 Needs Checklist

- 3492 Identify ways to promote personal preparedness among individuals with disabilities and
3493 others with access and functional needs, as well as their families and service providers.
- 3494 Identify mechanisms for disseminating timely and accessible emergency public information
3495 using multiple methods (e.g., IPAWS, social media, email/text/phone calls, traditional media)
3496 to reach individuals with sensory, intellectual and cognitive disabilities, as well as individuals
3497 with limited English proficiency.

3498 Incorporating Household Pets and Service Animals

3499 This section highlights the following considerations for incorporating household pets and service
3500 animals into EOPs: preparedness, evacuation support, shelter operations, registration and animal
3501 intake, animal care, public information and outreach and record keeping.

3502 Preparedness

3503 Preparedness Considerations for Household Pets and Service Animals Checklist

- 3504 Describe the partnership between the jurisdiction's emergency management agency, the
3505 animal control authority, the mass care provider(s) and the owner of each proposed
3506 congregate household pet sheltering facility.

- 3507 Establish or refer to an MOA, MOU or MAA that defines the roles and responsibilities of each
- 3508 organization involved in household pet and service animal response
- 3509 Confirm that organizations with agreed-upon responsibilities in the plan have operating
- 3510 procedures that govern their mobilization and actions.
- 3511 Recommend just-in-time training for spontaneous volunteers and out-of-state responders.
- 3512 Encourage household pet owners and service animal owners to arrange private
- 3513 accommodations for themselves and their household pets and service animals prior to a
- 3514 disaster or emergency situation.

3515 Evacuation Support

3516 Evacuation Support Considerations for Household Pets and Service Animals Checklist

- 3517 Address the evacuation and transportation of household pets from their homes or by their
- 3518 owners or those household pets rescued by responders to congregate household pet
- 3519 shelters.
- 3520 Address how to inform owners of the locations of congregate household pet shelters and
- 3521 which shelter to use.
- 3522 Provide conveyance for household pets or service animals whose owners depend on public
- 3523 transportation.
- 3524 Address how to register, document and track household pets that receive evacuation
- 3525 assistance and reunite them with their owners if they are separated during assisted
- 3526 evacuations.

3527 Shelter Operations

3528 Shelter Operations Considerations for Household Pets and Service Animals Checklist

- 3529 Identify the agency responsible for coordinating shelter operations.
- 3530 Provide guidance to human shelter operators on admitting and treating service animals.
- 3531 Identify an agency in the jurisdiction that regulates nonemergency, licensed animal facilities
- 3532 (e.g., animal control shelters, nonprofit household pet rescue shelters, private breeding
- 3533 facilities, kennels) as an information source to help identify needed resources.
- 3534 Establish criteria to expeditiously identify congregate household pet shelters and alternate
- 3535 facilities.
- 3536 Provide guidance about utilities, such as running water, adequate lighting, proper ventilation,
- 3537 electricity and backup power, at congregate household pet shelters.

- 3538 Include mechanisms or processes to reduce/eliminate the risk of injury by an aggressive or
- 3539 frightened animal, the possibility of disease transmission and other health risks for
- 3540 responders and volunteers staffing a congregate household pet shelter.
- 3541 Recommend a pre-disaster inspection and developing agreements for each congregate
- 3542 household pet facility.
- 3543 Provide for the care and maintenance of each facility while in use as a shelter.
- 3544 Identify equipment and supplies to operate each congregate household pet shelter, as well
- 3545 as supplies that household pet owners may bring with them to the congregate shelter.
- 3546 Provide physical security for each congregate household pet facility, including perimeter
- 3547 controls and security personnel.
- 3548 Identify how to accept donated resources (e.g., food, bedding, containers).
- 3549 Identify how to acquire, store and secure food and water supplies.
- 3550 Provide for the diverse dietary needs of household pets.

3551 Registration and Animal Intake

3552 **Registration and Animal Intake Considerations for Household Pets and Service Animals**

3553 **Checklist**

- 3554 Establish provisions to shelter unclaimed animals that cannot be immediately transferred to
- 3555 an animal control shelter.
- 3556 Provide a means to segregate or seize household pets showing signs of abuse.
- 3557 Identify the method to register household pets.
- 3558 Identify a method to install and reading microchips to rapidly and accurately identify
- 3559 household pets.
- 3560 Provide technical consultation/supervision by a veterinarian or veterinary technician as
- 3561 official responders.
- 3562 Identify how to confirm animals have a current rabies vaccination.
- 3563 Identify how to address the situation when non-eligible animals are brought to the shelter.³⁸

³⁸ Planners should consult jurisdictional and federal disaster assistance policies to gather information on what animals qualify for reimbursable care.

3564 Animal Care

3565 Animal Care Considerations for Household Pets and Service Animals Checklist

- 3566 Provide housing for a variety of household pet species (e.g., size of crate/cage, temperature
3567 control, appropriate lighting).
- 3568 Identify how to separate household pets based on appropriate criteria and requirements.³⁹
- 3569 Provide consultation by a veterinarian or animal care expert with household pet sheltering
3570 experience regarding facility setup and maintenance.
- 3571 Provide for the setup and maintenance of household pet confinement areas (e.g., crates,
3572 cages, pens) for safety, cleanliness and control of noise level.
- 3573 Recommend a household pet first aid area inside each shelter.
- 3574 Provide for the control of fleas, ticks and other pests at each congregate household pet
3575 shelter.
- 3576 Provide criteria for designating and safely segregating aggressive animals.
- 3577 Provide for the segregation or quarantine of household pets to prevent the transmission of
3578 disease.
- 3579 Recommend relocating a household pet to an alternate facility (e.g., veterinary clinic, animal
3580 control shelter) due to illness, injury or aggression.
- 3581 Recommend providing controlled areas (indoor or outdoor) for exercising dogs.
- 3582 Provide a method for disposing of household pet waste and dead animals.
- 3583 Provide a method to reunite rescued animals with their owners.
- 3584 Include mechanisms or processes to address the long-term care, permanent relocation or
3585 disposal of unclaimed household pets.

3586 Public Information and Outreach

3587 Public Information and Outreach Considerations for Household Pets and Service Animals 3588 Checklist

- 3589 Provide mechanisms to continually update public statements on shelter capacity and
3590 availability as people and animals come to shelters.
- 3591 Provide a public education program.

³⁹ Animal Welfare Publications and Reports. United States Department of Agriculture, Animal and Plant Health Inspection Service. <https://www.aphis.usda.gov/aphis/ourfocus/animalwelfare>.

- 3592 Coordinate household pet evacuation and sheltering information with the jurisdiction's public
3593 information officer or joint information center.
- 3594 Communicate public information regarding shelter-in-place accommodation of household
3595 pets, if available.

3596 Record Keeping

3597 Record Keeping Considerations for Household Pets and Service Animals Checklist

- 3598 Define the methods of pre- and post-declaration funding for the jurisdiction's household pet
3599 and service animal preparedness and emergency response program.
- 3600 Describe how to capture eligible costs for reimbursement by jurisdictional and federal
3601 disaster assistance programs.
- 3602 Describe how to capture eligible donations for volunteer labor and resources.
- 3603 Describe how to capture eligible donations for mutual aid resources.

3604

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