MGT 383: Emergency Operations Plans for Rural Jurisdictions

Participant Guide

June 2016

 FEMA

The Rural Domestic Preparedness Consortium (RDPC) was established by Congress and the U.S. Department of Homeland Security-FEMA (DHS-FEMA) to develop and deliver relevant all-hazards training in support of rural homeland security requirements. All training delivered by the RDPC is certified by DHS and offered tuition-free to the nation's emergency response community and associated stakeholders. Visit www.ruraltraining.org to view the course catalog and training schedule or call 877-855-RDPC (7372) for more information.

Eastern Kentucky University is a regional, comprehensive university enrolling over 16,000 undergraduate and graduate students. The University offers 168 degree programs. The College of Justice and Safety is EKU's first Program of Distinction. The College, one of the foremost institutions of learning and research in the fields of justice and safety in the nation and the world, has 43 full-time faculty teaching approximately 1,600 students. The College houses the Justice & Safety Center and the Kentucky Center for School Safety, in addition to two academic departments that award degrees in assets protection/security, corrections/juvenile justice, criminal justice, emergency medical care, fire safety, loss prevention and safety, police studies, and homeland security.

Table of Contents

Icon Map

|	**Knowledge Check:**	Used when it is time to assess learner's understanding.
	Example:	Used when there is a descriptive illustration to show or explain.
	Key Points:	Used to convey essential learning concepts, discussions and introduction of supplemental material.
	Hint:	Used to cover administrative items or instructional tips that aid in the flow of the instruction.

Introduction
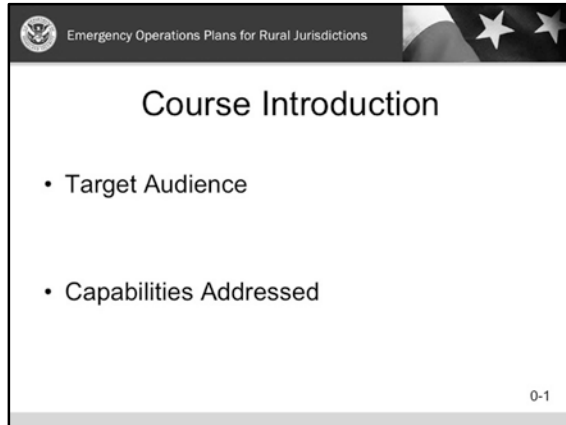
Course Introduction

Target Audience
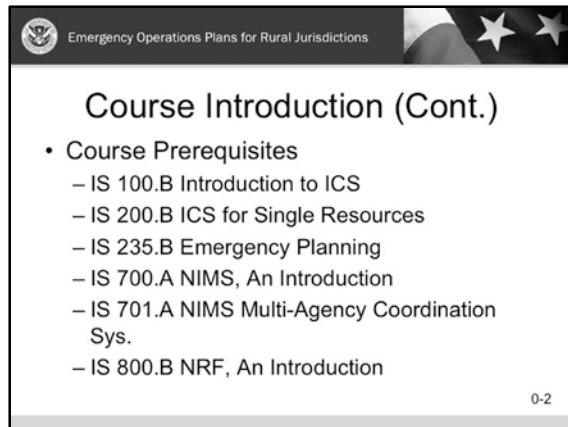
This course is targeted for rural/small/tribal community paid or volunteer emergency planners and managers, local/tribal government officials, local private/public sector representatives in the local and/or county emergency operations centers, and any other individuals involved in emergency planning.

Capabilities Addressed

- Develop regional and state/local strategic plans.
- Define and implement the responsibilities for standardized emergency management system planning.
- Coordinate and integrate nongovernmental organizations and the private sector entities into the emergency management planning and decision-making process.
- Conduct gap analysis to identify training, exercise needs, and to facilitate investment and personnel decisions.
- Develop a preparedness planning and review cycle that encompasses planning, training, exercising, evaluation, and the incorporation of after-action reviews and lessons learned.
- Track implementation of after-action reviews and lessons learned for improvement and corrective actions that enhance exercises and inform subsequent corrective training efforts.

Introduction (Cont.)
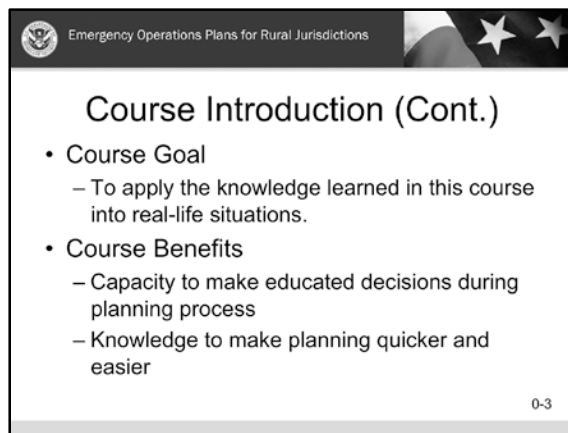
Course Introduction (Cont.)

Course Prerequisites

- IS 100.B – Introduction to the Incident Command System (ICS)
- IS 235.C – Emergency Planning
- IS 453 – Introduction to Homeland Security Planning
- IS 700.A – National Incident Management System (NIMS), An Introduction
- IS 800.B – The National Response Framework (NRF), An Introduction
- IS 2900 – National Disaster Recovery Framework (NDRF)

Course Goal

Upon completion of this course, participants will be able to apply emergency operations planning to real-life situations in rural and remote areas.

Course Benefits

- Participants will gain the capacity to make educated decisions during the planning process.
- Knowledge gained will allow participants to plan more efficiently and effectively.
- Participants will obtain the knowledge to develop plans that are in conformance with national and state doctrine on emergency planning.

Introduction (Cont.)
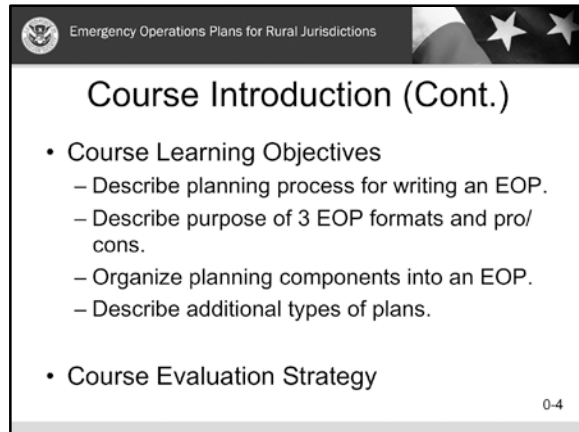
Course Introduction (Cont.)

Course Learning Objectives

The learning objectives included within this course are:

- Describe the planning process necessary when writing an emergency operations plan.
- Describe the purpose of three EOP formats and summarize the pros and cons of each.
- Organize various planning components into an EOP.
- Describe the additional types of plans beyond the emergency operation plan, particularly joint operational or regional coordination plans, administrative plans, preparedness plans, continuity plans, recovery plans, mitigation plans, and prevention and protection plans.

Course Evaluation Strategy
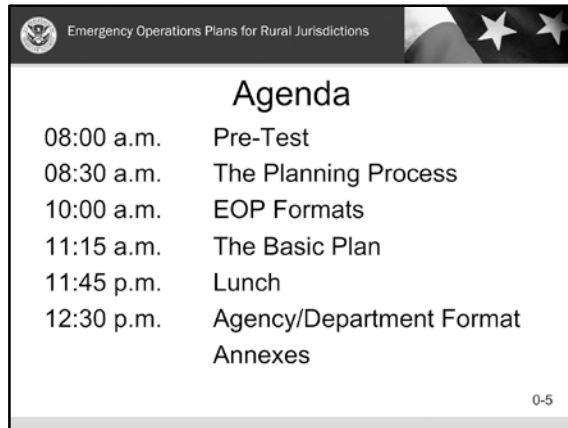
The evaluation strategy that this course will follow includes:
- Course pre-test
- Instructor-facilitated verbal review of each module's content
- Activities to test performance-related tasks
- Course post-test
- Student course evaluation
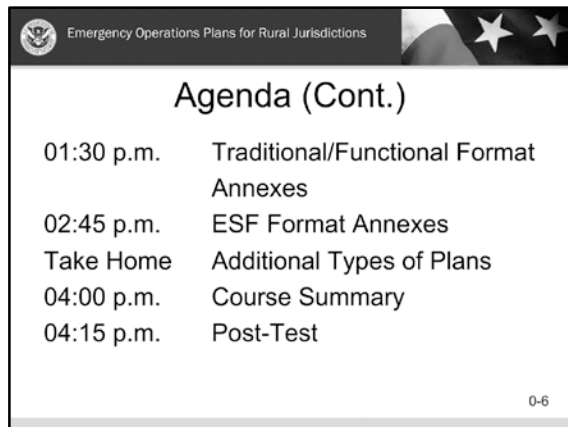
Administrative Information

Agenda

Introduction & Pre-Test
08:00 – 08:30 a.m.

Module 1: The Planning Process
08:30 – 10:00 a.m.

Module 2: EOP Formats
10:00 – 11:00 a.m.

Break: 15 minutes

Module 3: The Basic Plan
11:15 – 11:45 a.m.

Lunch
11:45 a.m. – 12:30 p.m.

Module 4: Agency/Department Format
Annexes
12:30 – 01:30 p.m.

Module 5: Traditional/Functional Format
Annexes
01:30 – 02:30 p.m.

Break: 15 minutes

Module 6: ESF Format Annexes
02:45 – 04:00 p.m.

Module 7: Supplemental Documents

Course Summary & Post-Test
04:00 – 04:30 p.m.

Administrative Information (Cont.)
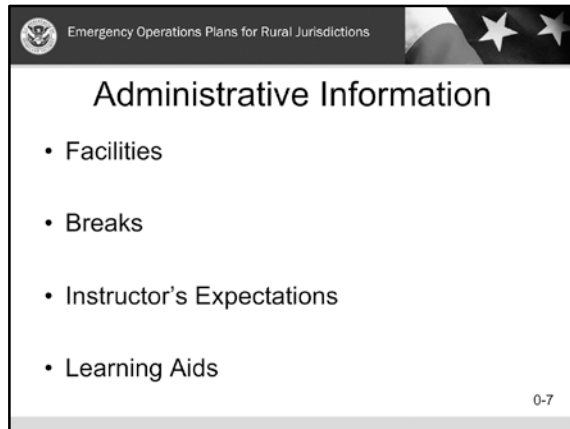
Administrative Information (Cont.)

Facilities
- Bathrooms
- Fire Exits
- Coffee and Water

Breaks
- Frequency and Duration

Instructor's Expectations
- Share your knowledge and experiences.
- Be an active participant.
- Open yourself up to new ideas and information.
- Be respectful of others.

Learning Aides
- Participant Guide
- CPG 101 (current version)
- CPG 201 (current version)

[This page was intentionally left blank.]

Module One
The Planning Process

Lincroft, N.J., Jan. 9, 2013 -- FEMA Administrator Craig Fugate discusses disaster field operations while receiving program updates from the senior command staff at the Joint Field Office (JFO).

Module 1: The Planning Process – Administrative Page

Duration

This module is 1.5 hours in duration.

Scope Statement

This module will provide students with an overview and working knowledge of the planning process, the first step in emergency operations planning (EOP). Discussion will include the nine steps involved in the planning process.

Terminal Learning Objectives (TLO)

Describe the planning process necessary when writing an EOP.

Enabling Learning Objectives (ELO)

Students will be able to:
1-1.   List principles of the Whole Community Approach.
1-2.   List rural planning challenges.
1-3.   Describe the main functions of an EOP.
1-4.   List the steps to the planning process.
1-5.   Describe the planning process.

Resources

Participant guides

Easel Pad/Markers

One copy of the CPG 101 per five participants

Instructor to Participant Ratio

Preferred instructor to student ratio is 1:20.

Reference List

El Paso County Public Services Department (2014). After Action Report: Black Forest Fire, El Paso County. Retrieved from http://www.elpasoco.com/Documents/Black%20Forest%20Fire/EPC%20Black%20Forest%20Fire%20After%20Action%20Report.pdf

FEMA. (2011). A Whole Community Approach to Emergency Management: Principles, Themes, and Pathways for Action. Retrieved from http://www.fema.gov/media-library/assets/documents/23781.

FEMA. (2010). Developing and Maintaining Emergency Operations Plans; Comprehensive Preparedness Guide (CPG) 101, Version 2.0. Retrieved from http://www.fema.gov/pdf/about/divisions/npd/CPG_101_V2.pdf.

FEMA. (2009). IS 393.a. Introduction to Hazard Mitigation. Retrieved from http://training.fema.gov/EMIWeb/IS/is393alst.asp

Module 1: The Planning Process – Administrative Page (Cont.)

State of Alabama. (2009) Emergency Operations Plan. Retrieved from
    http://ema.alabama.gov/filelibrary/Alabama_EOP.pdf.

Practical Exercise Statement

Participants will take part in brainstorming activities throughout the module and complete multiple choice questions at the end of the module.

Assessment Strategy

Observation of student participation.

Instructor facilitated verbal review of module.

Module 1: The Planning Process
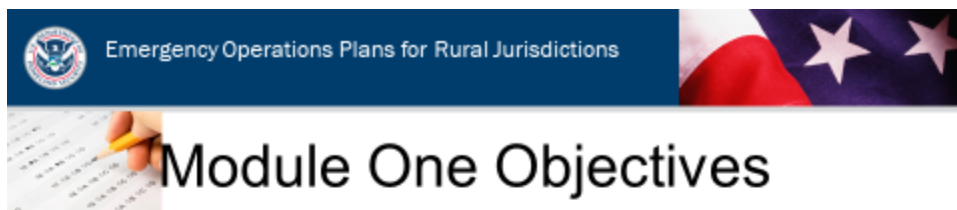
Module One Objectives

- List the principles of the Whole Community Approach.
- List rural planning challenges.
- Describe the main functions of an EOP.
- List the steps in the planning process.
- Describe the planning process.

1-1

Bensalem, Pa., Aug. 1, 2013 -- FEMA staff joins with Home Depot to educate people on the importance of preparedness during a Hurricane Preparedness Workshop.

A Whole Community Approach

Whether rural, suburban, or urban, the most important aspect of operations planning is community. Planning relies on more than local officials and leaders; being ready for the next man-made or natural disaster requires the commitment of the whole community. Since planning affects everyone in the community, representation from all segments should be present and heard from during planning efforts. A great benefit of this approach is that it allows the community to take ownership of its own fate, so that no one is left out of the collective vision. In addition a whole community approach builds trust between community members and segments that is so important for collaborative action.

Late in 2011, FEMA released a guide to whole community inclusion, titled "A Whole Community Approach to Emergency Management: Principles, Themes, and Pathways for Action." This document stems from years of collaborative research and effort, but especially addresses lessons learned after Hurricane Katrina. Recovery efforts in the aftermath of Katrina were roundly criticized because recovery strategies were crafted by various government agencies with differing structures, values, and priorities. For example, the US Army Corps of Engineers had their own ideas about how to rebuild New Orleans, as did developers wanting to build a "new" New Orleans. Many in the New Orleans community, however, wanted the New Orleans they knew and loved returned to them. They didn't want new development—they wanted it back just as it was before.

Whole Community (Cont.)
FEMA defines whole community as "a means by which residents, emergency management practitioners, organizational and community leaders, and government officials can collectively understand and assess the needs of their respective communities and determine the best ways to organize and strengthen their assets, capacities, and interests." In short, whole community, is a philosophical approach to emergency management.

Whole Community Benefits

- Shared understanding of community needs and capabilities

- Greater empowerment and integration of resources from across the community

- Stronger social infrastructure

- Establishment of relationships that facilitate more effective prevention, protection, mitigation, response, and recovery activities

- Increased individual and collective preparedness

- Greater resiliency at both the community and national levels

Whole Community Principles and Strategic Themes
The Whole Community approach is supported by three principles and six strategic themes.

Whole Community Principles

1. Understand and meet the actual needs of the whole community. A deeper understanding of the people, values, norms, networks, and relationships helps emergency management serve their needs better.

2. Engage and empower all parts of the community. All members of the community should be part of the emergency management team, which includes diverse community members, social and community service groups and institutions, faith-based and disability groups, academia, professional associations, both private and nonprofit sectors, and government agencies perhaps not traditionally engaged directly in emergency management.

3. Strengthen what works well in communities on a daily basis. Networks and community relationships that were strong before a disaster are likely to be strong after a disaster. Identify those organizations and networks that are the "pillars of the community," and give them the resources they need to serve before, during, and after a disaster.

Whole Community Strategic Themes
1. Understand community complexity.
2. Recognize community capabilities and needs.
3. Foster relationships with community leaders.
4. Build and maintain partnerships.
5. Empower local action.
6. Leverage and strengthen social infrastructure, networks, and assets.

For more information regarding FEMA's Whole Community Initiative, download the document from
http://www.fema.gov/media-library/assets/documents/23781.

Module 1: The Planning Process
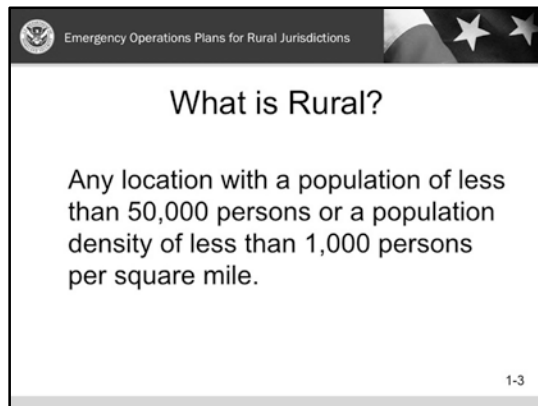
What is Rural?

A common definition for "rural" is difficult to find and is one of the most popular questions asked of the RDPC. According to the Rural Health Information Hub (www.raconline.org) the U.S. Census Bureau estimates that as much as 97.4% of American land is rural, while the U.S. Department of Agriculture Economic Research Service defines 74.5% of the land in America as rural. Despite competing definitions and classifications, most Federal agencies use population (typically under 50,000) and/or population density to define a "rural" area.

For example, the Census Bureau defines "rural" as all territory outside of urbanized area (UA) or an urban cluster (UC), which have less than 1,000 people per square mile and census blocks with an overall density of less than 500 people per square mile. The Office of Management and Budget uses Metropolitan Statistical Area (MSA) to define urban and rural, indicating a population of 50,000 or more as an urbanized area.

Using the Federal definitions as guidance, the RDPC defines the rural communities it serves as **"any location with a population of less than 50,000 and with a population density of less than 1,000 persons per square mile."** By selecting the words "any location", it can apply the definition to cities, counties, towns, villages, and parishes.

Responding to an emergency situation in a rural community has many unique challenge including staff shortages, lack of equipment, lack of reverse 911 capabilities, and limited resources in general when compared to urban communities. These unique restraints negatively affect preparedness levels in rural communities.

Because rural communities have a smaller staff, they have a substantial need for additional assistance when disaster strikes, thus, funding becomes an issue in many areas. Rural communities often struggle in recovery simply because the funds are not available for assistance.

An Emergency Operations Plan (EOP) outlines the execution of major response efforts, partners available to help with funding and recovery assistance, and include an exhaustive list of roles and responsibilities to be fulfilled by members of the community. This not only helps recovery efforts to run smoothly, but also speeds up the entire process. Constructing an EOP prior to a disaster enables rural communities to begin recovery immediately in an orderly manner.

Module 1: The Planning Process

Rural Planning Challenges

Rural communities face significant challenges when planning for natural and man-made disasters. They, therefore, need a plan and a planning process that does not require thousands of dollars and a plentitude of resources.   What's more, they need a plan to deal with insufficient equipment, a plan to expand resource bases through use of mutual aid agreements and memoranda of understanding, and a plan to overcome implementation and resource coordination challenges, due to significant distances between departments, as well as significant distances between agencies and incident sites.

Rural communities often rely heavily on volunteers, who have additional full-time jobs and are often not available as frequently for training and planning sessions. Furthermore, many rural jurisdictions do not have individuals working as full-time planners, but are instead planning as one of their many tasks. A rural planner may have to put extensive effort into bringing all stakeholders to the planning table as everyone involved may be juggling numerous responsibilities. A failure to bring all stakeholders together to form a comprehensive plan may create further difficulties when responding to disasters. On the following page, read about the Black Forest Fire in El Paso County, Colorado flood and decide whether changes in the EOP may have reduced the loss of life and property.

Module 1: The Planning Process

Case Study: Black Forest Fire

The June 2013 Black Forest Fire in El Paso County was the worst forest fire in the history of Colorado. The 14,280 acre fire engulfed almost 500 homes and forced the evacuation of 41,000 residents while claiming the lives of two individuals trapped inside their home. Almost 1,000 firefighters were called in to fight the blaze at a cost of $9 million.

As is common after such destructive events, the El Paso County Public Services Department conducted an After Action Report (AAR) to determine the tasks it did well and where they need to improve. Areas of improvement include:

- A solution for adding staff during major emergencies.
- Confusion regarding the Transfer of Authority between jurisdictions.
- Preparation, including on-call procedures, contact information availability, an incomplete vendor's list, purchasing authorization.
- ICS training.
- Inadequate representation in EOC
- Inadequate communications

(El Paso County Public Services, 2013)

Answer the questions regarding the Black Forest Fire on the following page.

Module 1: The Planning Process

What do you think?

1. Could an insufficient plan have delayed the response efforts? Why or why not?

2. How would the area have benefitted if they had already had a plan in place to surge employees at the outbreak of a disaster?

3. What types of issues could inadequate representation in the EOC have on the response?

Module 1: The Planning Process
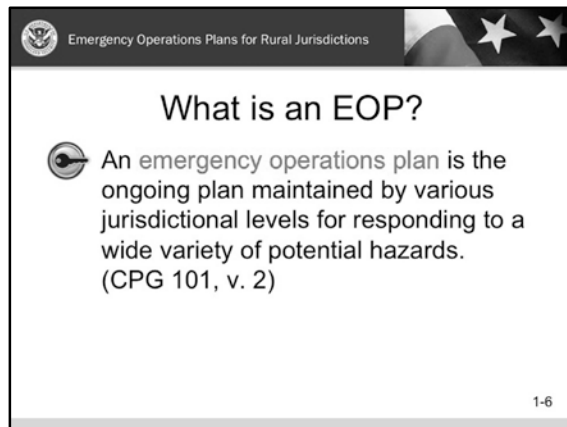
What is an EOP?

Now that you have an understanding of the importance of planning and the challenges that planners encounter in rural areas, you have the foundation needed in order to learn how to execute the planning process; but first let's discuss the definition of an EOP from the FEMA Comprehensive Preparedness Guide (CPG) 101.

According to CPG 101, an EOP is the "ongoing plan maintained by various jurisdictional levels for responding to a wide variety of potential hazards. It describes how people and property will be protected; details who is responsible for carrying out specific actions; identifies the personnel, equipment, facilities, supplies, and other resources available; and outlines how all actions will be coordinated".

It assigns broad responsibilities to local government agencies and support organizations for disaster mitigation, preparedness, response, and recovery. Upon their development, EOPs are distributed as public documents to all jurisdiction departments and agencies as well as key organizations outside the jurisdiction. Since, in the wake of an emergency, the safety and security of a rural community hinges on a jurisdiction's ability to effectively implement its EOP, the main goal when planning for emergencies is to make the planning process routine and comprehensive as possible, yet simple and straightforward.

Note: Working as a community to develop an EOP makes reducing the effects of a hazard possible. The process should result in a safer community but also strengthen relationships between the EMA and the citizens of the community.

Module 1: The Planning Process

Steps to the Planning Process

Any process is easier to follow if it has some structure. This ensures that the project will move steadily forward and that goals will be achieved. Following is a list of suggested steps for emergency planning in rural and remote areas as discussed in this course and a comparison to the steps discussed in the CPG 101:

This Course	CPG 101
1. Form a collaborative planning team	1. Form a collaborative planning team
2. Compile research materials	
3. Identify and analyze potential hazards	2. Understand the situation
4. Determine goals and objectives	3. Determine goals and objectives
5. Develop and analyze courses of action; identify resources	4. Plan Development
6. Write the plan	5. Plan Preparation, Review & Approval
7. Approve and implement the plan	
8. Exercise the plan and evaluate its effectiveness	6. Plan Implementation & Maintenance
9. Review, revise, and maintain the plan	
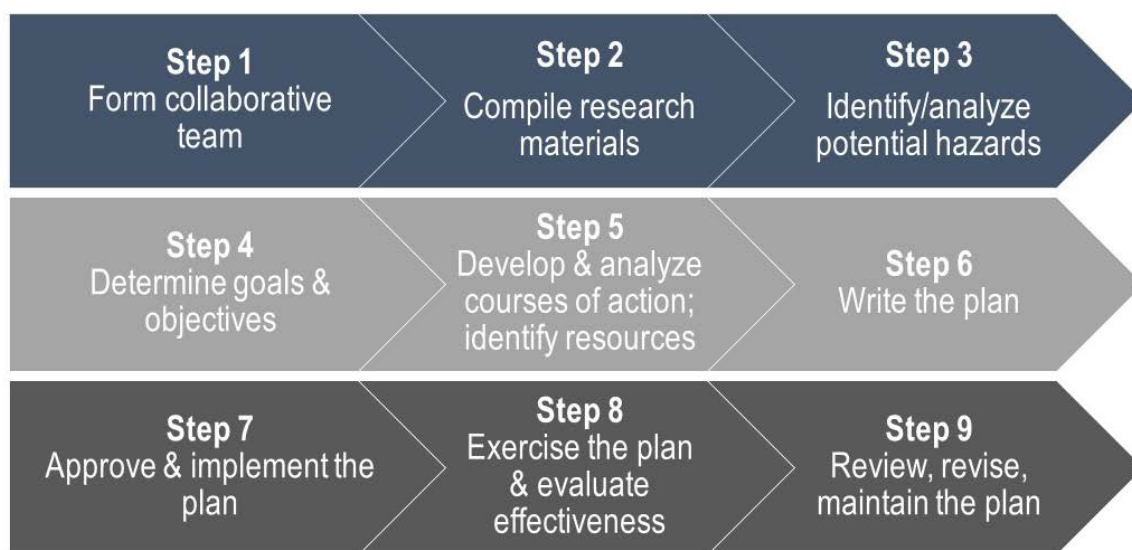
Module 1: The Planning Process
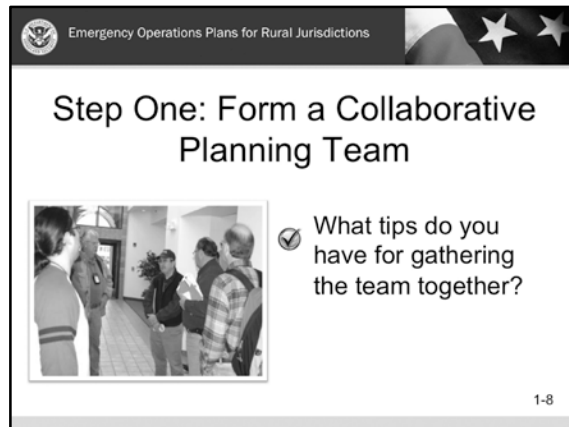
1. Form a Collaborative Planning Team

Emergency planning is best performed by a team. Each member brings a unique experience to the team, which helps planning to become successful. Also, partnerships among rural communities are crucial, since they rely on each other as a means of expanding their resource base.

As with any group, an emergency planning group should have a leader. Usually it is the emergency manager who provides oversight to the planning team. Other agencies could also play a leading role. For example, law enforcement often leads in addressing prevention issues and public health officials advise in the area of unique hazards.

In rural jurisdictions, where emergency managers frequently wear multiple hats, the number of meetings held can quickly take valuable time away from daily work schedules. The jurisdiction should, therefore, identify networks and invite existing groups such as the Local Emergency Planning Committee (LEPC) to perform the planning process and provide guidance on emergency planning initiatives. In addition to members from the LEPC, the core planning team typically includes representatives from:

- Emergency management
- Law enforcement
- Fire services
- Emergency medical services
- Public health
- Hospitals and health care facilities
- Public works

Module 1: The Planning Process

- Social services
- Private sector institutions that have a stake in the success of the community (i.e. Wal-Mart, healthcare facilities, etc.)
- NGOs (including those that address access and functional needs issues) Note: Churches often serve as valuable resources during response and recovery and should therefore be invited to participate in the planning process.
- Administrative Services (HR, Finance Budget, Purchasing, IT etc.)

Note that planning teams are typically small at first, but grow with the plan.

Important Note: FEMA encourages the establishment of state and local Citizen's Corps Councils (CCC) for bringing governmental and nongovernmental entities together. CCCs were created to help coordinate volunteer activities that will make communities stronger, safer, and better prepared to respond to any emergency situation and are especially important to rural jurisdictions that rely heavily upon volunteers during response and recovery. CERT members, from Pendleton County W.Va. (with a rural population of 8,000) for example, have been activated several times over the past few years to help the Pendleton County Office of Emergency Management answer phones and conduct online reporting during weather-related emergencies. For more information pertaining to CERT, visit, www.citizencorps.gov.

Module 1: The Planning Process

2. Compile Research Materials

This is a very important step in any type of planning. Obtaining information about the hazards and threats, the resource base, demographics, and geological and topographical characteristics is essential for predicting the best action to take in a situation (FEMA, CPG 101, 2010). There are two types of information that need to be collected: **facts and assumptions:**

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

Assumptions consist of information accepted by planners as being true in the absence of facts. Assumptions are used as facts only if they are considered valid (likely to be true) and are necessary for solving the problem. Emergency managers change assumptions to facts when they implement a plan. Use assumptions sparingly and put great effort into doing research and acquiring facts.

Research should be conducted using numerous sources. However, do not let national news overshadow local issues. Since rural communities are operating on tight budgets and time schedules it is essential that they effectively identify relevant research that will quickly identify hazards in their communities. Potential sources available to emergency planners include the following:

- Universal Task List (UTL)
- Core Capabilities (CC)
- Resource Typing List
- U.S. Geological Survey (USGS) and state geological surveys
- National Weather Service (NWS)
- NIMS Compliance Assistance Support Tool (NIMSCAST) https://www.fema.gov/nimscast/
- Maps of 10- and 50-mile emergency planning zones (EPZs) around nuclear power plants
- Any maps of hazardous materials (HAZMAT) sites prepared by local emergency planning committees (LEPCs), and other similar sources
- Subject Matter Experts (SMEs)

What sources would you use to conduct research in your community?

Additionally emergency planners should study information about the jurisdiction that both government and nongovernment organizations develop for their own purposes. This information could come from the local planning and zoning commission, tax assessor and/or local realtors' association, building inspection offices, local public works, and the Chamber of Commerce. Other areas that should always be included are civic leaders, members of the public, and representatives of community-based organizations. This is where assumptions about public needs could be verified.

Module 1: The Planning Process

3. Analyze Potential Hazards

Once information is properly organized, it is time for its analysis. Hazard analysis is the basis for mitigation, infrastructure protection, and emergency plan development. It requires emergency managers to uncover:

A. What could happen? (hazard identification);

B. How likely is it to happen? (probability); and

C. What would be the impact or consequence if it did happen? (vulnerability)

Answers to these questions provide rural planning teams with the basis for emergency planning by determining which hazards require special attention, which actions must be planned for, and which resources are likely to be needed. They are explained in more detail on pages 1-16 and 1-17.

FEMA Publication 386-2, *Understanding Your Risks: Identifying Hazards and Estimating Loss*, provides a detailed method for conducting hazard and risk assessments for many hazards. Planners can also obtain the Hazards U.S. Multi-Hazard (HAZUS-MH) model from FEMA. It is a standardized methodology and software program that estimates potential losses from earthquakes, floods, and hurricane winds. Other resources could include the National Planning Scenarios, Fusion Center Technical Assistance, and Transit Risk Assessment Module/Maritime Assessment Strategy Toolkit.

Rural communities often have different hazards than their urban counterparts; rural emergency planners and should therefore begin their hazard analysis by listing all hazards that have concerned them in the past and threaten to concern them in the future. Nuclear power plants and chemical factories, for example, are often located in rural and remote communities.

The first step when analyzing potential hazards is to identify high probability, high risk, and high impact hazards. These are the hazards or disruptions to which your community is most vulnerable, and that would have the greatest impact on life and property. Through identification of these hazards, you will gain a general understanding of how to best prioritize planning for continuity of your community's critical functions.

Module 1: The Planning Process
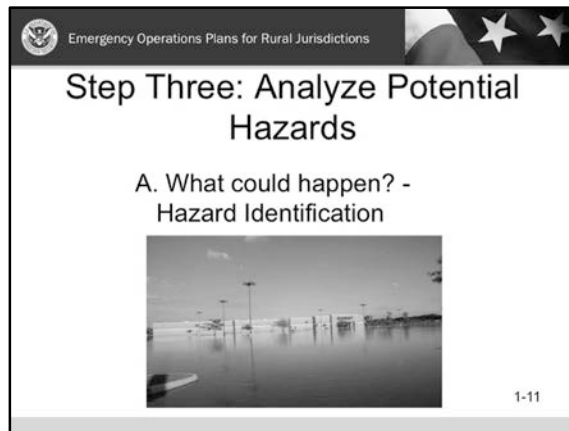
3. Analyze Potential Hazards (Cont.)

A. What Could Happen? - Hazard Identification

A variety of methods can be used to identify potential hazards. **Information can be obtained by gathering intelligence, examining existing intelligence or by researching past history**. There are also many potential sources of emergency information to include: local, state, and federal law enforcement entities such as the Federal Bureau of Investigation (FBI), local police departments, local emergency management offices, sheriff departments, hazard mitigation committees, and Local Emergency Planning Committees (LEPC). Other sources include newspaper articles, editorials, on-line sources, and fee-based information services.

Natural Hazards: avalanche, drought, earthquake, epidemic, flood, hurricane, landslide, tornado, tsunami, volcanic eruption, wildfire, and winter storm.

Technological Hazards: airplane crash, dam failure, HAZMAT release, power failure, radiological release, and train derailment.

Human-Caused Hazards: civil disturbance, school violence, terrorist act, and sabotage.

It is important to note that the above list of hazards is not exclusive. For a thorough list of potential hazards, reference the NFPA 1600. It is also important to note that the listed hazards are not necessarily independent; they are often related.

Each hazard should be evaluated to indicate its potential severity level. Qualitative ratings such as high, medium, and low; or a quantitative method, which has a scale of 1-3 or 1-10 could be used. The plan's focus should be on high probability/high consequence hazards.

Module 1: The Planning Process
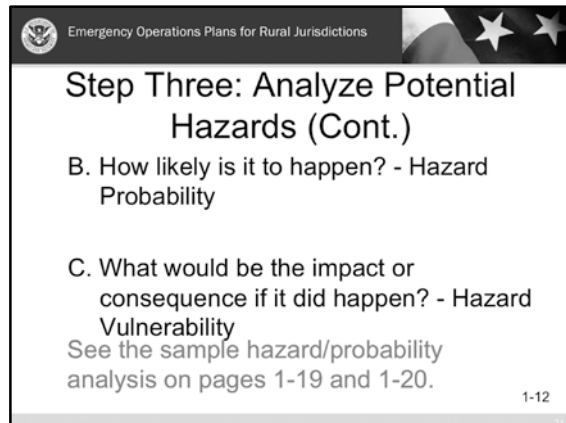
3. Analyze Potential Hazards (Cont.)

B. How likely is it to happen? Hazard Probability

Hazard probability is the likelihood that an event will occur. This often has to do with the history of such an event occurring. If a hazard incident has occurred in the past, at the time there were sufficient conditions for the catastrophe to occur within the community. If these conditions have not been rectified, then a planner may be able to deduce that another similar incident is possible.

The criteria for determining hazard probability are usually how often an event has occurred in the past. The example on pages 1-19 to 1-20 uses the frequency of the event in the last 5, 10, and 20 years.

Planners must also consider that new possible hazards may have been created that have no previous history. An example would be a new interstate recently built through the community. Although there may be no history of an event occurring, it still needs to be figured into your hazard analysis.

C. What would be the impact or consequence if it did happen? - Hazard Vulnerability

After gaining a general understanding of the types of hazards that could affect your community, it is wise to go one step further to estimate your vulnerability level to potential hazards in and around your community. According to FEMA, "vulnerability is susceptibility to physical injury, harm, damage, or economic loss. It depends on an asset's construction, contents, and economic value of its functions. Vulnerability assessment provides the extent of injury and damages that may result from a hazard event of a given intensity in a given area" (IS 393.a, 3-1).

Vulnerability is assessed by determining the impact of loss or damage to people or property. This is evaluated by designating the asset as having a high, medium, or low impact on the community. This is demonstrated in the table located on pages 1-19 and 1-20.

Module 1: The Planning Process

Using the below table, modified from FEMA's IS 393.a, assess your jurisdiction's hazard probability and vulnerability.

Type of Hazard	Probability			Vulnerability					
	Frequency: Times in the last			Population Impact			Property Impact		
	5 yrs.	10 yrs.	20 yrs.	High	Med	Low	High	Med	Low
Aircraft Accident									
Avalanche									
Civil Disorder									
Coastal Storm									
Communication (disruption)									
Dam Failure									
Drought									
Earthquake									
Extreme Heat									
Flood (rapid snow melt, ice jam, heavy rain)									
Hail									
HAZMAT (fixed facility, transportation)									
Hurricane									
Landslide (earthquake included, rain-induced)									
Lightning									
National Emergency									
Utility Interruption (communication, electricity, natural gas)									
Radiological (fixed facility, transportation)									
Subsidence (sinkhole)									

Module 1: The Planning Process

Hazard Probability and Vulnerability (continued from previous page)

| Type of Hazard | Probability | | | Vulnerability | | | | | |
| | Frequency: Times in the last | | | Population Impact | | | Property Impact | | |
	5 yrs.	10 yrs.	20 yrs.	High	Med	Low	High	Med	Low
Thunderstorm (microburst)									
Tornado (microburst)									
Transportation (air, rail, interstate, primary highway, county/city roads, military missile)									
Urban Fire (conflagration)									
Volcanic Ash									
Volcanic Explosion									
Wildland Fire (urban interface, public land, private land)									
Winter Storm (snow, ice, extreme cold)									
Chemical									
Biological									
Explosion									
Arson									
Release									

> **Important Note:** This is just a very simplistic example. Multitudes of assessments exist that have been tailored to meet the assessment criteria of the jurisdictions being assessed.

Module 1: The Planning Process
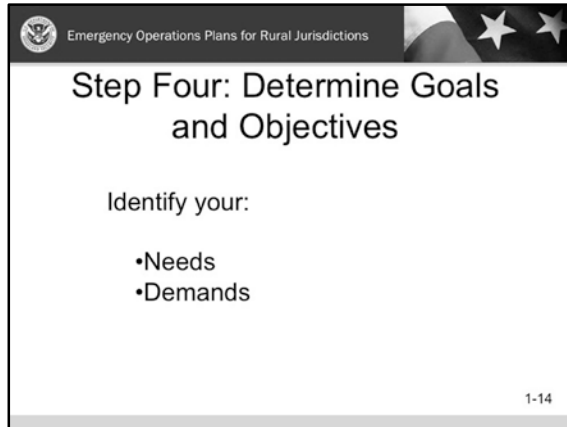
4. Determine Goals and Objectives

When hazards are organized and analyzed it is essential to develop event scenarios in order to determine how these hazards would evolve in the community and what actions would need to be taken for a successful response. Most plan handbooks suggest starting with a given intensity for the hazard. The team then imagines the hazard's development from initial warning (if available) to its impact on the jurisdiction (as identified through analysis) and its generation of specific consequences (e.g., collapsed buildings, loss of critical services or infrastructure, death, injury, or displacement).

During this process of building an event scenario, the planning team identifies the needs and demands. Needs are actions required by the nature of the hazard or response. Hazard-generated needs lead to response functions like public protection, population warning, and search and rescue. For instance, a large-scale flood may cause a community to be evacuated. Response-generated needs are caused by actions taken in response to a hazard-generated problem and tend to be common to all disasters. An example is the potential need for emergency refueling during a large-scale evacuation. Subsets could include the need to find a site for refueling, identify a fuel supplier, identify a fuel pumping method, control traffic, and collect stalled vehicles.

Demands are caused by tasks planners must do, are prohibited from doing, or are not able to do. The constraint may be caused by a law, regulation, or management directive.

As a planner, your goal is to identify needs and demands from the start of the incident to its resolution.

Module 1: The Planning Process

Step Four: Determine Goals and Objectives (Cont.)

Emergency Operations Plans for Rural Jurisdictions

• Operational Priorities: Desired end state

• Goals: What personnel and resources should achieve

• Objectives: Support goals

1-15

Creating Goals and Objectives

Hazard-Generated Need
• Protect the public from flood waters.

Operational Priority
• Move all citizens in the path of flood waters to a safe zone.

Goal
• Complete evacuation prior to the river reaching flood stage.

Objective 1
• Evacuate mobile residents before river is within 4 feet of flood stage.

Objective 2
• Evacuate injured or community members with access or functional needs prior to the river reaching 2 feet from flood stage.

4. Determine Goals and Objectives (Cont.)

After the needs and demands are identified, they are restated as operational priorities, goals and objectives.

Operational priorities are the desired outcome for the operation. In a flood scenario, the need (protect the citizenry from flood waters) becomes an operational priority (have all citizens in a safe area).
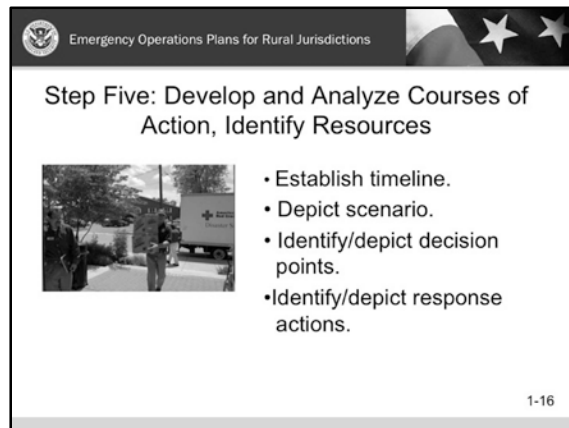
Goals are what personnel and equipment resources are supposed to achieve and are more specific than operational priorities, yet still quite broad. They help identify when major elements of the response are complete and when the response is successful. Examples of goals could be to sandbag areas where flooding is possible or evacuate impacted areas.

Objectives are more specific and support each goal, by describing an action that responders must complete to help achieve their goals. Goals and objectives are used in the plan development phase, where you will develop possible solutions for meeting them.

See the table to the left for an example of the relationship between needs, operational priorities, goals, and objectives.

Module 1: The Planning Process

Step Five: Develop and Analyze Courses of Action, Identify Resources

· Establish timeline.
· Depict scenario.
· Identify/depict decision points.
· Identify/depict response actions.

1-16

Franklin, IN, June 14, 2008 -- FEMA External Affairs officer Dick Gifford pitches in to help the American Red Cross deliver commodities to the Disaster Recovery Center. The "one stop shop" for disaster victims is coordinated by FEMA, the US Small Business Administration, the American Red Cross, and state and local resources to serve the communities affected by the disaster. FEMA News Photo / Photo by John Shea.

### 5. Develop and Analyze Courses of Action; Identify Resources

This step is a process of generating and comparing possible solutions for achieving the goals and objectives identified in the previous step. Because rural jurisdictions generally have fewer resources, if possible, there should be several courses of action identified for an emergency situation. Emergency planners have to consider the needs and demands, goals, and objectives to successfully develop the alternative solutions and responses. This must be done in a manner that can be realistically accomplished by the jurisdiction's resources.

The process of developing courses of action is often referred to as either game planning or war gaming. It combines aspects of scenario-based, functional, and capabilities-based planning and can be considered as a type of brainstorming. It goes through the following phases:

- Establish the timeline.
- Depict the scenario.
- Identify and depict decision points.
- Identify and depict response actions:
    - What is the action?
    - Who does it?
    - When do they do it?
    - How long does it take/how much time is actually available to do it?
    - What has to happen before it?
    - What happens after it?
    - What resources does it need?

Module 1: The Planning Process
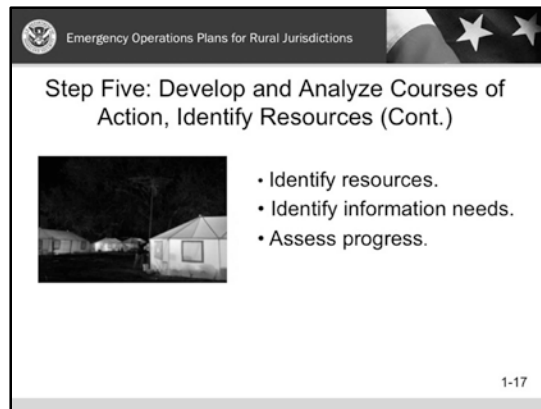
Cameron, LA, 1-27-06 -- FEMA Base camp worker Tim Flanagan adjusts a TV antenna he bought with his own money to bring a little "home" to this remote base camp. He has worked nonstop for 4.5 months. FEMA Base Camps are used when there are no other resources to house FEMA & emergency workers, in this case the nearest lodging, if you can find a room, is 70 miles away on rural roads. MARVIN NAUMAN/FEMA photo

5. Develop and Analyze Courses of Action; Identify Resources

- Identify resources
- Identify information needs
- Assess progress
  - Identify progress made.
  - Identify goals and objectives met and new needs or demands.
  - Identify "single point failures" (i.e., tasks that, if not completed, would cause the response to fall apart).
  - Check for gaps.
  - Check for mismatched organizations.
  - Check for problems between the jurisdiction's plan and plans from agencies and or other jurisdictions they are working with.

On the following page, South Laport emergency managers are presented with a flood scenario for the purpose of brainstorming for an effective evacuation. Read the scenario and then complete the table by deciding upon and prioritizing their courses of action, determining the estimated time needed, the responsible agency, necessary resources, information needs, and progress or gaps. The first one is started for you.

Scenario: Excessive rain is threatening to overcome the levees lining the northern border of South Laport. It is predicted to breach the levees in approximately 10 hours, impacting 70% of the town. If the water level reaches 6 feet above flood stage, 100% of the town will be impacted.

Module 1: The Planning Process

Course of Action - Evacuate Residents in South LaPort

Priority	Action	Estimated Time Needed	Responsible Agency	Resources	Information Needs	Progress/ Gaps
	Notify residents	2 Hours	EMA	County radio and television stations, police officers and vehicles	Contact information for off-duty staff	Several trees down throughout community
	Notify shelter locations, hospitals	.5 Hours	EMA	Phones, phone lines, cellular phones	Contact information for shelter decision-makers	Landlines down throughout town
	Set up evacuation routes	1 Hour	Law Enforcement	Police officers and vehicles, barricades	DOT road information for neighboring areas	Main route out of town is under construction (1 lane)
	Provide transportation	3 Hours	Public School	School buses, drivers	DOT road information for neighboring areas	School is in session, buses needed for students

Module 1: The Planning Process
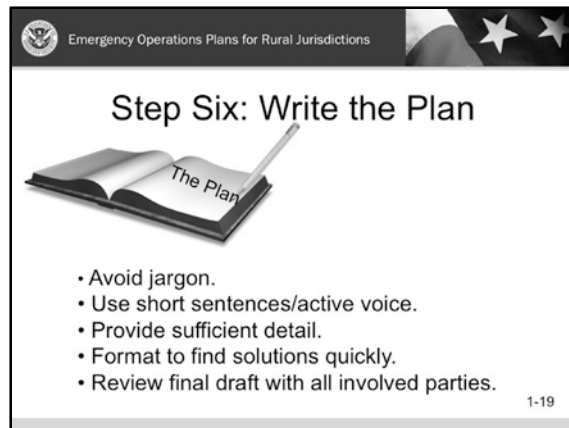

6. Write the Plan

This step is dedicated to the process of transferring all response-related ideas into an emergency plan by writing. Phases used for game planning in the previous step represent a brief outline, which the plan can be based on. While preparing a draft, it is important to remember these rules taken from CPG 101 for writing plans:

- Keep the language simple and clear by writing in plain English.
- Summarize important information with checklists and visual aids such as maps and flowcharts.
- Avoid using jargon.
- Use short sentences and the active voice. Qualifiers and vague words only add to confusion.
- Provide enough detail to convey an easily understood concept of operations. The less certain a situation, the less detail can be put into the plan. Those parts of a plan that would be most affected by the hazard's effects should have the least amount of detail. Conversely, those that would be least affected by the hazard effects should have the most amount of detail. The amount of detail a plan should provide depends on the target audience and the amount of certainty about the situation. Similarly, plans written for rural and remote jurisdictions that rely heavily upon volunteers, require outside assistance via mutual aid agreements and experience high staff turnover will likely require more detail.
- Format the plan and present its content so that its readers can quickly find solutions and options. Focus on providing mission guidance and not on discussing policy and regulations. Plans should provide guidance for carrying out common tasks as well as enough insight into intent and vision so that responders can handle unexpected events. However, when writing a plan, "stay out of the weeds." Procedural documents (e.g., standard operating procedures) should provide the fine details.
- A final draft, including annexes, should be reviewed by the organizations that are responsible for implementing the plan. They might have comments or additional suggestions.

Module 1: The Planning Process
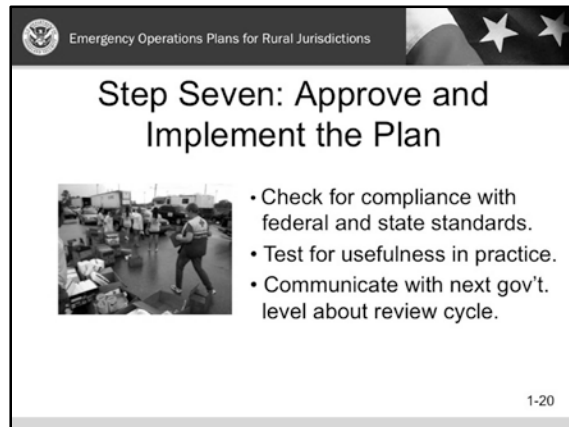
Pierson, FL, September 12, 2004 -- Farm Workers Outreach Project. Hurricane victims in Volusia county visit a relief center set up by the state of Florida, FEMA, Red Cross, 2nd Harvest, and the ALPI (Agriculture and labor program) and staffed by volunteers. FEMA Photo: Michael Rieger

> ✅ How will you test your plan's usefulness? What method will you use? Give an example of a tabletop exercise that you would create for the process.

7. Approve and Implement the Plan

When the writing is finished it is necessary to check the plan for its compliance with standards of federal or state agencies (as appropriate). Also, it is absolutely essential to test for its usefulness in practice. Emergency planners should communicate with the next level of government about its emergency plan review cycle.

Although there may be slight variances by jurisdiction, the plan is usually approved by the local chief executive. Lincoln County, Wyoming's EOP is approved by county executive, county planner, and the mayors of the county's cities and towns. The plan is considered officially implemented with the chief executive's signature and letter of approval. FEMA regional offices may be involved in the review process upon request. Hazard-specific federal programs (such as the Radiological Emergency Preparedness Program [REPP]) require periodic review of certain sections of the all-hazards plan and may require review of associated standard operating procedures (SOPs).

There are several ways to test the plan's usefulness. You should find a method that is convenient and financially viable for your rural jurisdiction. Conducting a tabletop exercise could be one way. Another method is to use the Core Capabilities list. If this method is used, emergency planners should check if the plan addresses all Phase I core capabilities. When the plan is tested it should be printed and distributed among jurisdictions.

Module 1: The Planning Process
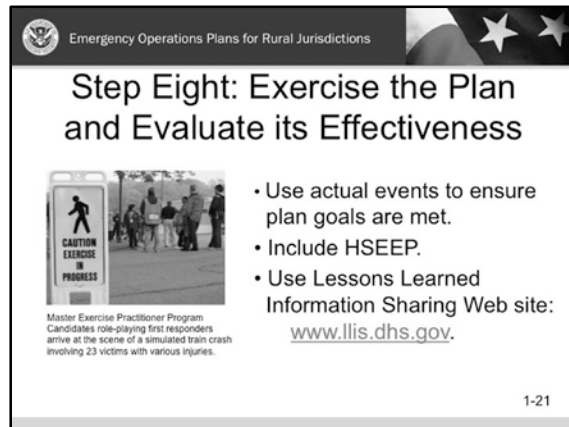
Baker, LA, May 24, 2006 - Local emergency agencies meet to discuss their responsibilities in various scenarios. Photo: Robert Kaufmann/FEMA

8. Exercise the Plan and Evaluate its Effectiveness

The next step in the planning process is exercising and evaluating the plan's effectiveness. This step involves training and use of actual events to identify that the plan goals are met. During the design and development of an exercise, emergency planners should reference the Homeland Security Exercise and Evaluation Program (HSEEP). It is also beneficial to use the Lessons Learned Information Sharing Web site (http://www.llis.dhs.gov). It provides a forum for evaluating concepts.

The most common criteria of effectiveness include:

- Adequacy
- Completeness
- Feasibility
- Compliance with guidance and doctrine
- Acceptability

Below is a detailed description of common criteria of a plan's effectiveness:

- ✓ **Adequacy.** A plan is adequate if the scope and concept of planned response operations identify and address critical tasks effectively; the plan can accomplish the assigned mission while complying with guidance; and the plan's assumptions are valid, reasonable, and comply with guidance.
- ✓ **Feasibility.** When determining a plan's feasibility, planners assess whether their organization can accomplish the assigned mission and critical tasks by using available resources within the time contemplated by the plan. They allocate available resources to tasks and track the resources by status (assigned, out of service, etc.). Available resources include internal assets and those available through mutual aid or through existing state, regional compact, or federal assistance agreement.
- ✓ **Acceptability.** A plan is acceptable if it meets the needs and demands driven by the event, meets decision maker and public cost and time limitations, and is consistent with the law. The plan can be justified in terms of the cost of resources and if its scale is proportional to mission requirements. Planners use both acceptability and feasibility tests to ensure that the mission can be accomplished with available resources, without incurring excessive risk regarding personnel, equipment, materiel, or time. They also verify that risk management procedures have identified, assessed, and applied control measures to mitigate operational risk (risk of achieving operational objectives).

Module 1: The Planning Process

- ✓ **Completeness.** Planners must determine whether the plan:
    - Incorporates all tasks to be accomplished;
    - Includes all required capabilities;
    - Provides a complete picture of the sequence and scope of the planned response operation (i.e., what should happen, when, and at whose direction);
    - Makes time estimates for achieving objectives; and
    - Identifies success criteria and a desired end state.
- ✓ **Compliance with Guidance and Doctrine.** The plan needs to comply with guidance and doctrine to the maximum extent possible, since they provide a baseline that facilitates both planning and execution.

The Value of Exercising the EOP

Exercising your jurisdiction's EOP using the above criteria is a practical and efficient way to identify both proficiencies and shortfalls in the plan. Lessons learned from exercises can help guide revisions to the plan, making the jurisdiction's response more effective in the event of a real emergency.

The purpose of exercising is twofold:

1. To test policies and plans, and
2. To train personnel.

The focus of an exercise should always be on locating and eliminating problems before an actual emergency occurs.   Testing, evaluating and correcting are important parts of developing an EOP. Exercising to test an EOP will help reveal planning weaknesses, gaps in resources, and gaps in organizational coordination and communications.

Module 1: The Planning Process
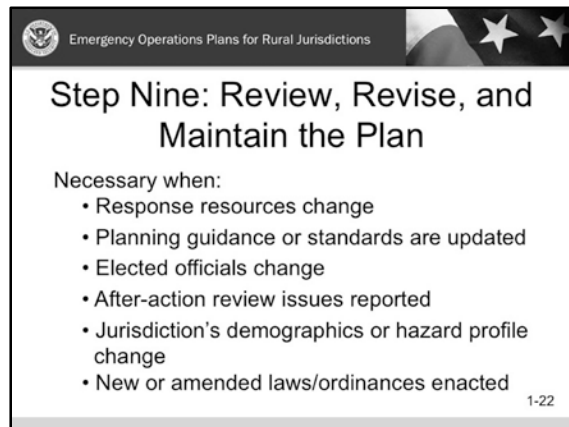
9. Review, Revise, and Maintain the Plan

Planning is a continuous process. It does not have an end and has to continuously be updated to address current issues. When the plan is evaluated, all changes should be made. Below is a list of possible changes:

- A change in response resources (policy, personnel, organizational structures, or leadership or management processes, facilities, or equipment)
- A formal update of planning guidance or standards
- A change in elected officials
- After-action review issues reported after an activation of the plan
- After-action review issues reported after major exercises
- A change in the jurisdiction's demographics or hazard profile (e.g., farmland is converted to a housing development)
- New or amended laws or ordinances are enacted

Planning teams should establish a process for reviewing and revising the EOP at least once each calendar year.

Module 1: The Planning Process

9. Review, Revise, and Maintain the Plan (Cont.)

When updating the plan, planners should ask the following questions:

- Did an action, a process, a decision, or the response timing identified in the plan make the situation worse or better?
- Were new alternate courses of action identified?
- What aspects of the action, process, decision, or response timing make it something to keep in the plan?
- What aspects of the action, process, decision, or response timing make it something to avoid or remove from the plan?
- What specific changes to plans and procedures, personnel, organizational structures, leadership or management processes, facilities, or equipment can improve response performance?

Think about the last incident you resolved in your EOC and answer the below questions with that incident in mind.

- Did the action or process outlined in the plan make the situation better or worse?
- Were new courses of action identified?
- What aspects of the plan did you decide were worth keeping?
- What changes did you identify that could improve response performance?

Module 1: The Planning Process - Summary

In this lesson you explored the planning process as it relates to emergency operations planning.

You should now be able to:
- List the principles of the Whole Community Approach.
- List rural planning challenges.
- Describe the main functions of an EOP.
- List the steps in the planning process.
- Describe the planning process.

Module 1: The Planning Process - Review

1.   The main function of an EOP is to:
     a. Determine who is in charge in the event of an emergency.
     b. Make the planning process as routine and comprehensive as possible.

     c. Determine what resources are lacking.

     d. To deal with the complexities of all-hazards events.

2. Assumptions are used in emergency operations planning in the absence of factual information:
    a. TRUE
    b. FALSE

3. The following is not a reason for reevaluating an EOP:
    a. New field level responders have been hired
    b. It has been 5 years since the last reevaluation.
    c. Two new nursing homes have been constructed in the jurisdiction
    d. The response standards have been updated.

4. As one of the steps in the planning process, hazard analysis is the basis for mitigation, infrastructure protection efforts and emergency plan development:
    a. TRUE
    b. FALSE

5.   Number the nine steps below in the order they would appear in the planning process.

     ____ Exercise the plan and evaluate its effectiveness.
     ____ Form a collaborative planning team.
     ____ Determine goals and objectives.
     ____ Review, revise, and maintain the plan.
     ____ Develop and analyze courses of action; identify resources.
     ____ Compile research materials.
     ____ Write the plan.
     ____ Identify and analyze potential hazards.
     ____ Approve and implement the plan.

6. Which of the following are challenges for rural planners.
    c. A heavy reliance on volunteers.
    d. They receive less funding than their urban counterparts.
    e. They have fewer available resources.
    f. All of the above.

> Congratulations! You have completed Module 1. In the next module, you will learn about the different EOP formats.

Module Two
EOP Formats

Evans, Colo., September 25, 2013 -- Disaster response groups Hands.org and AmeriCorps join forces to help muck out homes in Evans. Photo by Michael Rieger/FEMA

Module 2: EOP Formats - Administrative Page

Duration

This module is 1.0 hour in duration.

Scope Statement

This module will explore the organization of three emergency operations plan (EOP) formats. This module will also provide participants with an opportunity to exchange best practices, discuss the pros and cons of each of the formats, and determine which format best meets the needs of their respective jurisdictions.

Terminal Learning Objectives (TLO)

Participants will be able to describe the purpose of three EOP formats and summarize the pros and cons of each.

Enabling Learning Objectives (ELO)

Students will be able to:

2-1.   List and describe the components that make up each of the three EOP formats.

2-2.   Summarize the pros and cons of each of the three EOP formats in relation to their jurisdiction.

2-3.   Determine which EOP format is most effective and easiest to use by their respective jurisdiction.

2-4.   Explain how to use plan templates in a way that complements the planning process.

Resources

- Participant guide

Instructor to Participant Ratio

Preferred instructor-to-student ratio is 1:20-30.

Reference List

Dewar, James A. (2002). Assumption-Based Planning. Cambridge University Press, UK.

FEMA. (2010). Developing and Maintaining Emergency Operations Plans; Comprehensive Preparedness Guide (CPG) 101, Version 2.0. Retrieved March 2011 from http://www.fema.gov/pdf/about/divisions/npd/CPG_101_V2.pdf.

Module 2: EOP Formats – Administrative Page (Cont.)

Practical Exercise Statement

Participants will be provided with a worksheet that will help them capture their jurisdiction's emergency organization and thus determine which EOP is most suitable. Throughout the module, participants will also be provided with opportunities to exchange best practices and weigh the pros and cons of each EOP format in relation to the needs of their respective jurisdictions.

Assessment Strategy

Instructors will observe students' participation during class lecture, facilitated discussion, and activities. At the end of the module, participants will answer a series of questions that summarize the module's main concepts.

Module 2: EOP Formats

Module 2: EOP Formats

The key to writing an effective EOP is to ensure ease of use, so that users can locate information quickly and easily. When structuring an EOP, several considerations must be taken into account:

- **Organization:** The EOP should be organized to help users find information quickly and efficiently in unanticipated situations.

- **Sequence:** The information should be sequenced in a logical manner.

- **Consistency:** The structure throughout should be consistent so that your readers know what to expect and do not have to re-orient themselves frequently.

- **Coordination:** The EOP should be organized to facilitate coordination with other jurisdictions.

Regardless of the type of EOP chosen by your jurisdiction, it is important to note that EOPs are driven by functions, not scenarios. This is largely because although scenarios can vary widely, the effects of different emergencies are often similar (CPG 101, 2010). For instance, both flooding and wildfires may cause an evacuation of an area but the process for both will likely be parallel.

Module 2: EOP Formats
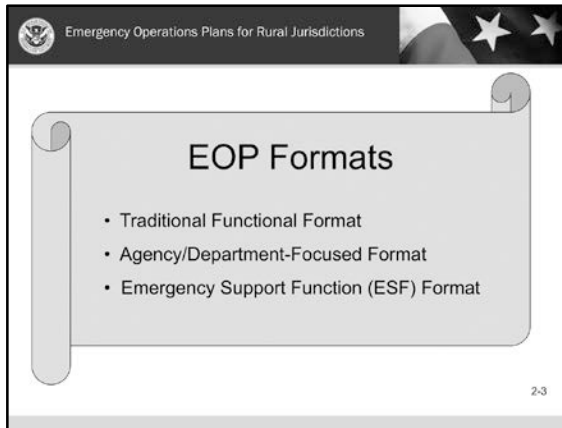
EOP Formats

In an effort to ensure organization, sequence, consistency, and coordination, FEMA's *Comprehensive Preparedness Guide 101* (CPG 101) outlines a variety of formats that jurisdictions could refer to when writing EOPs. They are:

- **Traditional Functional Format**

- **Agency/Department-Focus Format**

- **Emergency Support Function (ESF) Format**

These three format options represent best practices taken from EOPs used by various jurisdictions across the nation. Though FEMA does not mandate any one of the three formats, states sometimes have plan format requirements. Prior to convening the planning team, check with your state emergency management agency or office in regard to state EOP formats.

In the event that you and your jurisdiction are not required by state mandate to adhere to a specific plan format, you and your planning team will need to determine which plan format is most effective and easiest to use by your jurisdiction. You must also identify all critical functions that responsible organizations must perform. Because your goal in writing an EOP is to facilitate a coordinated and integrated response, the EOP needs to reflect your jurisdiction's overall emergency organization as well as its policies.

Module 2: EOP Formats

Choosing a Plan Format

When deciding which format to use, the planning team should take into account not only their jurisdiction's most critical functions but also their jurisdiction's population size, type of government, and threats and vulnerabilities.

For example, a smaller EOC that serves as both a command post and an area command may get more use out of a functional format, while a rural county that sprawls over several municipalities may take on more of a coordination-and-support role that gets more utility out of the ESF format.

Yazoo City, MS, April 29, 2010 -- At the Mississippi Emergency Management Operations Center FEMA Federal Coordinating Officer Micheal Bolch conducts a planning session regarding FEMA's response to the deadly tornado of April 24. George Armstrong/FEMA

Module 2: EOP Formats

Following is a worksheet that will help you capture your jurisdiction's emergency organization. Prepare to refer to this completed worksheet upon completion of this module as a means of determining which EOP format is most suitable to your organization, department, or agency.

Jurisdiction's Type of Government	Population of Jurisdiction
Critical Tasks of EOC	**Organization/Agency Responsible for Task**
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.
6.	6.
7.	7.
8.	8.
Jurisdiction's 4 Critical Vulnerabilities	**How is your EOC organized?**
1.	
2.	
3.	
4.	

Worksheet 2-1, PPT Slide 2-4

Now that you have captured the needs of your jurisdiction, you are ready to explore the various plan formats outlined in the *CPG 101*, and thus determine which format is most suitable for your jurisdiction.

Module 2: EOP Formats
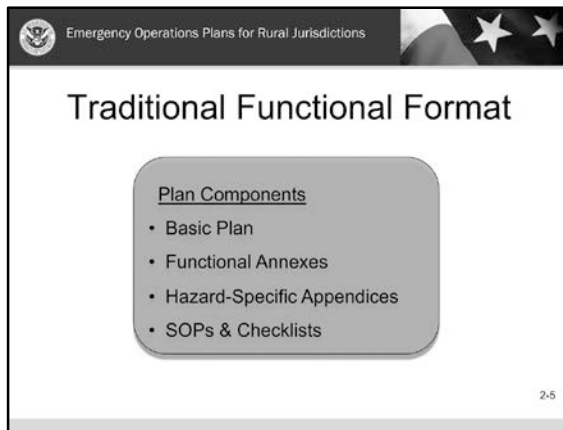
Note: The EOP does not consist of SOPs and Checklists, but they are required of the tasked agencies for implementation. In addition, Hazard-Specific Annexes are only for hazards that provide unique aspects for your jurisdiction.

Traditional Functional Format

Previously, the Traditional Functional format was the most commonly used EOP format.

This format allows users to find information easily, and is flexible enough to be used with a variety of jurisdictional strategies. Annexes or appendices can be easily added to accommodate new functions or hazards.

This format consists of the following components:

1. The Basic Plan
2. Functional Annexes
3. Hazard-Specific Annexes
4. SOPs and Checklists

The **Basic Plan** is an overview of the jurisdiction's emergency response organization and policies. It describes expected hazards, outlines agency roles and responsibilities, provides broad information relevant to the EOP as a whole, and establishes procedures for maintaining the plan.

The **Functional Annexes** focus on specific critical emergency functions that the jurisdiction will perform in response to an emergency. There are individual chapters that focus on specific response and recovery missions, such as evacuation and mass care. Additionally, the annexes explain the actions, roles, and responsibilities that participating organizations have for completing tasks for a function. Each annex outlines how the participating organization implements the function as well as how the responsible jurisdiction manages the function before, during, and after an emergency.

Hazard-Specific Annexes are typically attached to the end of each functional annex and outline hazard-specific procedures. For example the evacuation annex will likely have an appendix that specifies evacuation procedures for hazards to which the jurisdiction is most vulnerable. These appendices may be short or long, depending on details needed to explain the actions, roles, and responsibilities of participating organizations. Note that strategies outlined in the functional annex should not be repeated in a hazard-specific appendix and there should be hazard-specific appendices only for hazards that provide unique aspects for your jurisdiction.

Standard Operating Procedures (SOPs) and Checklists are detailed, written instructions to achieve uniformity of the performance of a specific function. Keep in mind that that the EOP does not consist of SOPs and Checklists, but are required of the tasked agencies for implementation. They are typically used to satisfy compliance requirements and to establish health and safety procedures that mitigate risk.

Module 2: EOP Formats

TRADITIONAL FUNCTIONAL EOP FORMAT

1) Basic Plan
- i)   Cover Page
- ii)   Promulgation Document/Signature Page
- iii)   Approval and Implementation
- iv)   Record of Changes
- v)   Record of Distribution
- vi)   Table of Contents
- a) Purpose, Scope, Situations, and Assumptions
  - i)   Purpose
  - ii)   Scope
  - iii)   Situation Overview
    - (a) Hazard Analysis Summary
    - (b) Capability Assessment
    - (c) Mitigation Overview
  - iv)   Planning Assumptions
- b) Concept of Operations
- c) Organization and Assignment of Responsibilities
- d) Direction, Control, and Coordination
- e) Disaster Intelligence
- f) Communications
- g) Administration, Finance, and Logistics
- h) Plan Development and Maintenance
- i) Authorities and References

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

3) Hazard-Specific Annexes
- a) Earthquake
- b) Flood/Dam Failure
- c) Hazardous Materials
- d) Hurricane/Severe Storm
- e) Lethal Chemical Agents and Munitions
- f) Radiological Incident
- g) Terrorism
- h) Tornado

⚐ Outlined to the left are the various sections that make up the Traditional EOP format, as referenced in the CPG 101. Note that this format contains various functional annexes as well as hazard-specific annexes.

Note: This is not a complete list.

Planning teams must define the annexes on the basis of their own hazard analysis.

Module 2: EOP Formats
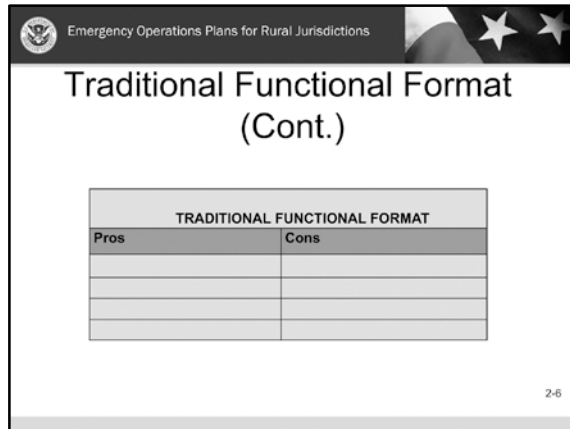
Traditional Functional Format (Cont.)

With your jurisdiction's emergency management organization in mind, use the table below to list the pros and cons of using the Agency/Department-Focused format in your jurisdiction.

TRADITIONAL FUNCTIONAL EOP FORMAT	
Pros	**Cons**
Example: Most widely used	Example: Not well organized

Module 2: EOP Formats

Agency/Department-Focused Format

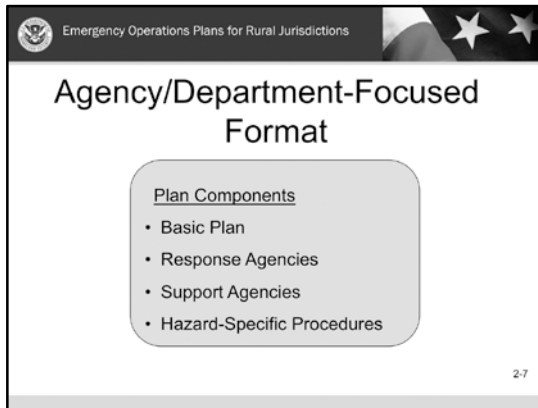The Agency/Department-Focused format addresses emergency management strategies by describing each department or agency's tasks in a separate section. The benefit to this format is that it allows EOP users to review only those procedures specific to their agency without having to review everyone else's response tasks. This format consists of the following components:

1. The Basic Plan
2. Lead Response Agencies
3. Support Agencies
4. Hazard-Specific Procedures

The **Basic Plan**, just as in the Traditional Functional format, is an overview of the jurisdiction's emergency response organization and policies. It summarizes the core tasks taken to prepare for an emergency and states how the plan is developed and maintained.

The **Lead Response and Support Agencies** sections outline the emergency functions completed by individual departments or agencies. Each individual agency section still needs to refer to the other agency sections to ensure coordination with their respective emergency management strategies.

The **Hazard-Specific Procedures** section addresses the unique preparedness, response, and recovery strategies relevant to each department or agency for specific disaster types. The hazard-specific procedures can immediately follow each agency section or be attached as a separate chapter to the plan.

Module 2: EOP Formats

AGENCY/DEPARTMENT-FOCUSED EOP FORMAT

1) **Basic Plan**
   - i) Promulgation Document/Signature Page
   - ii) Approval and Implementation
   - iii) Record of Changes
   - iv) Record of Distribution
   - v) Table of Contents
   - a) Purpose, Scope, Situations, and Assumptions
     - i) Purpose
     - ii) Scope
     - iii) Situation Overview
       - (a) Hazard Analysis Summary
       - (b) Capability Assessment
       - (c) Mitigation Overview
     - iv) Planning Assumptions
   - b) Concept of Operations
   - c) Organization and Assignment of Responsibilities
   - d) Direction, Control, and Coordination
   - e) Disaster Intelligence
   - f) Communications
   - g) Administration, Finance, and Logistics
   - h) Plan Development and Maintenance
   - i) Authorities and References

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

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

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

> ☞ Outlined to the left are the various sections of the Agency/Department-Focused EOP format, as referenced in the CPG 101. Note that this format, like the Traditional EOP format, contains a Basic Plan. And, unlike the Traditional EOP format, the Agency/Department-Focused format contains a list of emergency functions that would be performed by various departments or agencies in the event of an emergency.

Module 2: EOP Formats

![Slide: Agency/Department-Focused Format (Cont.) showing a table titled AGENCY/DEPARTMENT-FOCUSED FORMAT with Pros and Cons columns. Slide number 2-8.]
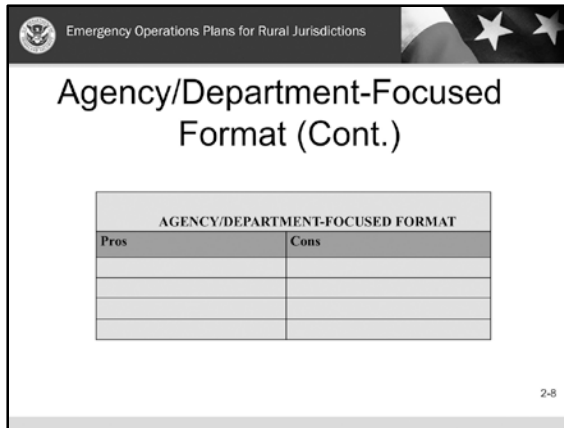
Agency/Department-Focused Format (Cont.)

With your jurisdiction's emergency management organization in mind, use the table below to list the pros and cons of using the Agency/Department-Focused format in your jurisdiction.

AGENCY/DEPARTMENT-FOCUSED EOP FORMAT	
Pros	**Cons**
Example: Uses the incident command as a super structure	Example: Not tied to ESF, therefore difficult to tie to federal funding

Module 2: EOP Formats

Emergency Support Functions (ESF) Format

The ESF format addresses emergency management strategies by describing FEMA's list of emergency support functions (ESF). The ESF format is used by the *National Response Framework* (NRF) as well as by many state-level and local emergency planners. This format consists of the following components:

1. Basic Plan
2. ESF Annexes
3. Support Annexes
4. Hazard Annexes
5. Appendices

The **Basic Plan**, as in the Traditional Functional format and the Agency/Department Focused format, is an overview of the jurisdiction's emergency management system. It summarizes the hazards faced, capabilities, needs and demands, and the jurisdiction's emergency management structure. Additionally, it reviews expected mission execution for each phase of the emergency management cycle and identifies the agencies that have the lead for each of the ESFs. In the case of the ESF format, the basic plan then outlines the ESFs activated during an emergency.

The **ESF Annexes** describe the most likely emergency management support activities to be supported by the jurisdiction and participating organizations during an incident or planned event. Additionally each annex describes the framework through which a jurisdiction's departments and agencies, the private sector, not for profit and volunteer organizations, and other non-governmental organizations (NGOs) coordinate and execute emergency management functions. Typically each ESF is assigned a coordinating agency for ESF administrative and operational duties and each ESF is associated with support agencies and personnel.

> **Note:** ESF #14 is superseded by the National Disaster Recovery Framework, reducing the number of ESFs from 15 to 14; ESF #15 was not renumbered due to multiple references throughout the National Preparedness System's documentation as well as many state and local EOPs.

Module 2: EOP Formats

The **Support Annexes** describe the framework through which a jurisdiction's departments and agencies, the private sector, not for profit and volunteer organizations, and other NGOs coordinate and execute common emergency management strategies. The actions described in the support annexes apply to nearly every type of emergency. Each support annex identifies a coordinating agency and cooperating agencies. In some instances, two departments or agencies share coordinating agency responsibilities.

The **Incident Annexes** provide stand-alone guidance for unique incidents or events that are specific in nature and require description beyond the basic ESF activities. Each incident annex is comprised of four sections: policies, situation, concept of operations, and responsibilities.

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

- **Situation:** The situation section describes the incident or hazard characteristics and the planning assumptions. It also outlines the management approach for those instances when key assumptions do not hold (e.g., how authorities will operate if they lose communication).

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

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

Appendices provide relevant information not already addressed in the Basic Plan. They typically include reference information such as a glossary and acronym and abbreviation lists. They may also include guidelines for EOP revision, an EOP exercise program and forms used in the process of managing emergencies.

Module 2: EOP Formats

EMERGENCY SUPPORT FUNCTION EOP FORMAT

1) Basic Plan
- i) Promulgation Document/Signature Page
- ii) Approval and Implementation
- iii) Record of Changes
- iv) Record of Distribution
- v) Table of Contents
- a) Purpose, Scope, Situations, and Assumptions
  - i) Purpose
  - ii) Scope
  - iii) Situation Overview
    - (a) Hazard Analysis Summary
    - (b) Capability Assessment
    - (c) Mitigation Overview
  - iv) Planning Assumptions
- b) Concept of Operations
- c) Organization and Assignment of Responsibilities
- d) Direction, Control, and Coordination
- e) Disaster Intelligence
- f) Communications
- g) Administration, Finance, and Logistics
- h) Plan Development and Maintenance
- i) Authorities and References

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

> The ESF format, like the Traditional and Agency/Department-Focused EOP formats, also contains a Basic Plan. Note though, that this plan contains functional annexes for all 14 of the emergency support functions (ESF) identified by FEMA and outlined to the left, as referenced in the CPG 101. (Note: ESF #14 is superseded by the National Disaster Recovery Framework, reducing the number of ESFs to 14 from 15.)

Module 2: EOP Formats

EMERGENCY SUPPORT FUNCTION EOP FORMAT (Cont.)

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

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

Module 2: EOP Formats

ESF Format (Cont.)

With your jurisdiction's emergency management organization in mind, use the table below to list the pros and cons of using the Agency/Department-Focused format in your jurisdiction.

EMERGENCY SUPPORT FUNCTION (ESF) EOP FORMAT	
Pros	**Cons**
Example: Simpler than traditional plan format; better organized and shorter. A person can turn directly to his/her section of the plan without being bogged down by unneeded information	Example: Difficult for small counties or cities to fulfill all ESFs

Module 2: EOP Formats

Your Plan Format

Based on the pros and cons you listed throughout this module, which of the three EOP formats do you believe to be most appropriate for your jurisdiction?

_____
_____
_____

Using Templates

Emergency managers and planners, particularly those who serve rural and remote communities that employ small numbers of full-time professionals, understand that planning for emergencies requires a significant commitment of time, effort, and resources. To ease this burden, many planners and jurisdictions use EOP templates to complete their plans. Some states provide templates to their local jurisdictions while other templates are available through hazard preparedness plans or from private sector vendors.

When using templates be sure to choose a template that will complement the planning process rather than undermine it. For example, "fill in the blank" templates defeat the **socialization, mutual acceptance, and role acceptance** that are critical to the planning process. Note that the best templates are those that offer a plan format and describe the content that each section may contain, allowing for tailoring to a jurisdiction's geographic, political, and social environment.

Module 2: EOP Formats - Summary

Overview Summary

In this lesson, you explored three EOP formats and weighed the pros and cons of each.

You should now be able to:

- List and describe the components that make up each of the three EOP formats.
- Summarize the pros and cons of each of the three EOP formats in relation to your jurisdiction.
- Determine which EOP format is most effective and easiest to use by your jurisdiction.
- Explain how to use plan templates in a way that complements the planning process.

Module 2: EOP Formats - Review

1. Three types of EOP format that have proven effective include:

    a. Jurisdiction's type, traditional type, and private-sector type.
    b. Local, state, and federal
    c. Traditional format, Agency/department-focused format, and ESF format.
    d. Traditional, EOC, and agency

2. Because the jurisdiction's goal in writing an EOP is to facilitate a coordinated and integrated response, the EOP needs to reflect:

    a. A jurisdiction's style of government.
    b. The organization of an EOP and command post.
    c. The geographical sprawl of the organization.
    d. The jurisdiction's overall emergency organization as well as its policies.

3. The most commonly used EOP format is the:

    a. Hazard-specific format
    b. Traditional functional format
    c. Basic plan
    d. ESF format

4. The _____ is an overview of the jurisdiction's emergency response organization, which is located at the beginning of all EOP formats

    a. Direction and control
    b. Basic plan
    c. Promulgation
    d. All of the above
    e. None of the above

Module 2: EOP Formats - Review (Cont.)

5. The _____ sections of the Agency/Department Focused format outline the emergency functions completed by individual departments/agencies.

        a. Hazard-specific
        b. Agency operations
        c. Approval and implementation
        d. Response and support agency

6. The annexes of the _____ format describe the framework through which various entities coordinate and execute emergency management strategies. This format is also used by the *National Response Framework* (NRF) as well as by many state-level emergency planners.

        a. Traditional functional format
        b. Agency/department-focused format
        c. ESF
        d. Basic

7. _____ templates defeat the socialization, mutual acceptance and role acceptance that is critical to the planning process.

        a. Basic
        b. Hazard preparedness
        c. Fill-in-the-blank
        d. EOP

> Congratulations! You have completed Module 2. In the next module, you will be provided with in-depth descriptions of the components of a comprehensive EOP.

[This page was intentionally left blank.]

Module Three
The Basic Plan

Oso, Wash., May 15, 2014 -- A spotter (left) scans debris for personal effects and a Washington State Department of Transportation employee (right) gathers survey data at the SR 530 slide site. Efforts are underway to reopen the highway to the public. - Location: WA

Module 3: The Basic Plan - Administrative Page

Duration

This module is 1.0 hour in duration.

Scope Statement

This module will provide students with an in-depth description and discussion of the components of an emergency operations plan (EOP). This module will also provide students the opportunity to discuss the objectives and utilization of an EOP via local standard operating procedures (SOP) and the role each plays in emergency preparedness at the local community level.

Terminal Learning Objectives (TLO)

Organize various planning components into an EOP.

Enabling Learning Objectives (ELO)

Students will be able to:

3-1.   Describe the purpose and importance of each section of the Basic Plan.

3-2.   Discuss the types of information that go into each component of the Basic Plan.

Resources

- Participant guide

Instructor to Participant Ratio

Preferred instructor-to-student ratio is 1:20-30.

Reference List

FEMA. (2010). Developing and Maintaining Emergency Operations Plans; Comprehensive Preparedness Guide (CPG) 101, Version 2.0. Retrieved March 2011 from http://www.fema.gov/pdf/about/divisions/npd/CPG_101_V2.pdf.

Somerset Maine. (2005). Somerset County Emergency Operations Plan. from http://www.somersetcounty-me.org/DocumentCenter/View/76.

Practical Exercise Statement

Participants will be given a list of words, which they will match to the correct definition.

Module 3: The Basic Plan - Administrative Page (Cont.)

Assessment Strategy

Instructors will observe students' participation during class lecture, facilitated discussion, and PE and will review material at end of the module. Students will take part in a class PE to reinforce subject matter covered during module.

Module 3: The Basic Plan

Module 3: The Basic Plan

The Basic Plan

The components of each of the three EOP formats are shown to the left.

Each of the three EOP formats contains a Basic Plan.

Module 3: The Basic Plan

The Basic Plan (Cont.)

The purpose of the basic plan is to provide an overview of a jurisdiction's emergency operations strategy. It does this by describing the response organization, and assigning tasks.
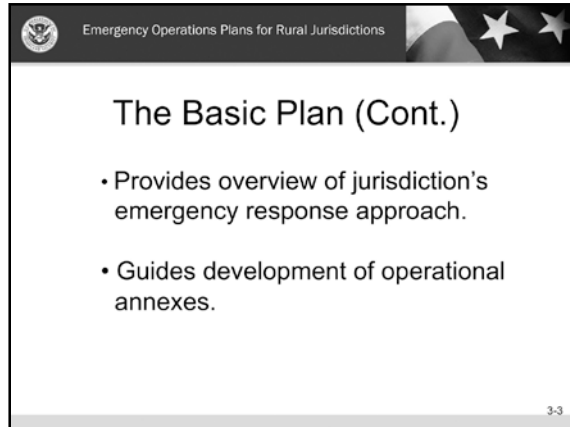
The basic plan also serves as a guide when developing the operational annexes.

The basic plan is a part of every EOP regardless of format.

The basic plan consists of the following sections:

    a. Introductory Materials
    b. Purpose, Scope, Situations and Assumptions
    c. Concept of Operations
    d. Organization and Assignment of Responsibilities
    e. Direction, Control and Coordination
    f. Disaster Intelligence
    g. Communications
    h. Administration, Finance and Logistics
    i. Plan Development and Maintenance
    j. Authorities and References

We will study each section in detail in the pages that follow.

Module 3: The Basic Plan
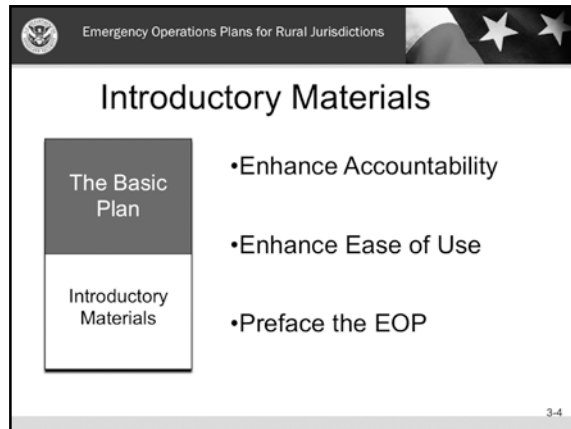
Introductory Materials

Introductory materials, which preface the EOP, enhance accountability and ease of use.
The introductory materials consist of:

- Cover page
- Promulgation Statement
- Introduction
- Approval & Implementation
- Record of Changes
- Record of Distribution
- Table of Contents

A discussion of each component of the introductory materials section of the basic plan follows.
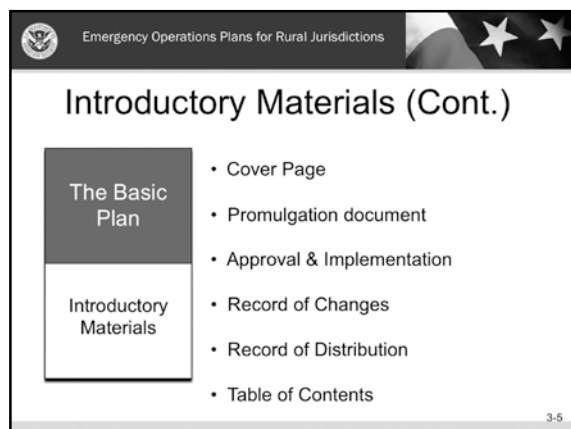
Module 3: The Basic Plan
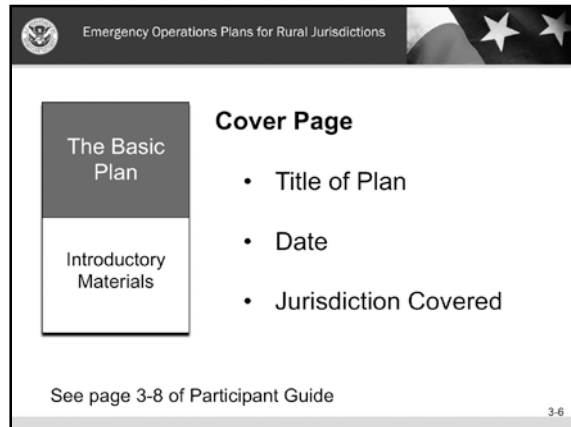
Cover Page

The **Cover Page** should provide:
- **Title of Plan**
- **Date**
- **Jurisdiction Covered by Plan**

Sample Cover Page

Town of Pony
Emergency Operations Plan

Prepared by
Department of Public Safety
Town of Pony Emergency Management
123 Main Street
Pony, Columbia 10000

Module 3: The Basic Plan
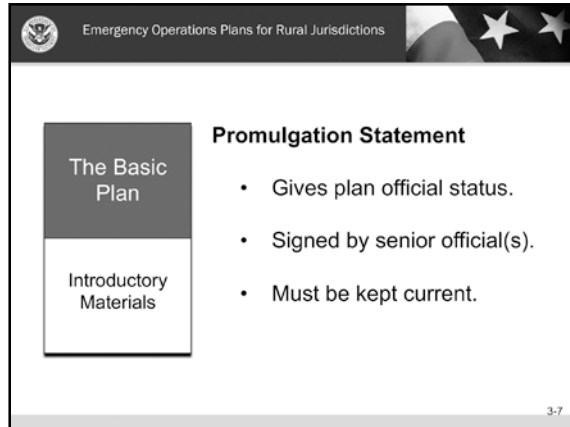
Promulgation Statement

The promulgation statement gives the plan official status and sets it "in force."

The promulgation statement is signed by all elected and appointed senior officials.

Sample Promulgation Statement

Transmitted herewith is the emergency operations plan for the Town of Pony, Columbia. This plan constitutes the framework for emergency operation functions during a major emergency or disaster in the county.

This emergency operations plan includes the following four phases:

- Prevention: Mitigation activities designed to eliminate or reduce the probability of an incident.
- Preparation: Activities designed to save lives and minimize damage.
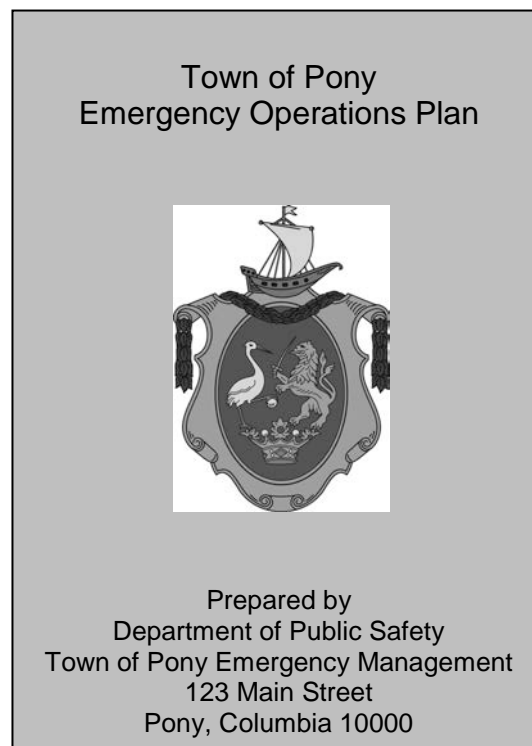- Response: Emergency response activities designed to prevent loss of lives property and to provide emergency assistance.
- Recovery: Those short- and long-term activities designed to return systems to normal.

This plan is prepared in accordance with federal and Columbia statutes. It will be tested, revised and updated as required.

Signed: [Signatures of Elected Officials]   [DATE]

Module 3: The Basic Plan

The Approval & Implementation

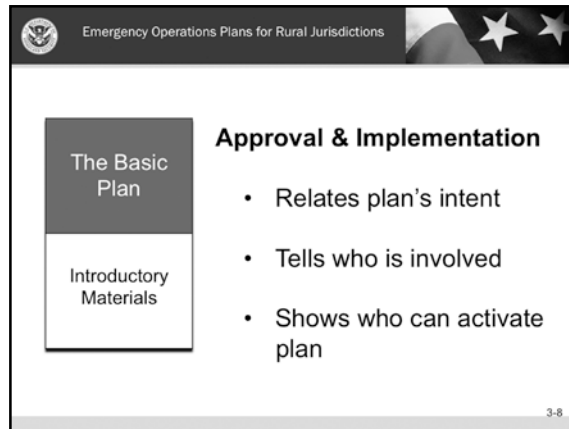The approval & implementation page introduces the plan, outlines its applicability, and indicates that it supersedes all previous plans. It should also include a delegation of authority for specific modifications that can be made to the plan and by whom they can be made without the senior official's signature. It should include the date, and must be signed by the senior official(s).

Sample Approval & Implementation Page

Transmitted herewith is the updated integrated emergency operations plan for the Town of Pony, Columbia. This plan supersedes all other plans promulgated by Pony for this purpose. It provides a framework in which the departments of the town can plan and perform their respective emergency functions during a disaster or national emergency. This plan recognizes the need for ongoing emergency management planning by all agencies within Pony.

This plan attempts to be all-inclusive in combining the four phases of emergency management: mitigation, preparedness, response, and recovery.

This plan is in accordance with existing federal, state and local statutes. It has been concurred in by the town Selectmen, the Kane County Board of County Commissioners and the Columbia Department of Emergency Management. It will be revised and updated as required. All recipients are requested to advise the Pony emergency management director of any changes which might result in is improvement or increase its usefulness.

Approved by:

[Signatures of Elected Official(s)]   [DATE]

Module 3: The Basic Plan

Record of Changes

All changes to the EOP must be documented. At a minimum, the record of changes page should delineate the date of the change, the change number and the person making a change. Other relevant information such as the subject area affected by the change can also be included.

Sample Record of Change Page

Date	Change #	Subject of Change	Initials
11-2-15	1	Changed assumptions section to reflect new acquisition of fire trucks by Murray Hill Fire Dept.	WJS
12-6-15	2	Changed organization and assignment of responsibilities section to reflect changes in the management structure at Pony Public Works.	GBB

Module 3: The Basic Plan

Record of Distribution

This page is used to document distribution of the plan to tasked individuals and organizations. The record of distribution page includes the name, title, and agency of the recipient as well as the date of delivery and the number of copies delivered. Copies of the plan (without SOPs, call-down lists, and other sensitive materials) can also be made available to the public.

Sample Record of Distribution Page

Date	Name	Title	Agency	# of Copies
2-24-15	James Winehouse	Acting Director	Pony Emergency Mgmt.	2
2-24-15	Samuel Clarris	Chief	Pony Police Dept.	1
2-25-15	Albert Mudd	Acting Warden	Green County Prison	1

Module 3: The Basic Plan

Table of Contents

The table of contents outlines the plan's format, key sections, attachments, charts, etc. It should be logically ordered to make finding information easier.

Sample Table of Contents

Table of Contents

Promulgation Statement i
Approval Page ii
Record of Changes iii
Record of Distribution iv
    Etc.

Basic Plan
    I.   Purpose. 1
    II.   Scope. 2
    III.   Situation. 3
    IV.   Assumptions. 4
        Etc.

Annexes and Appendices
Annex A: Direction & Control A1
        Etc.

Module 3: The Basic Plan
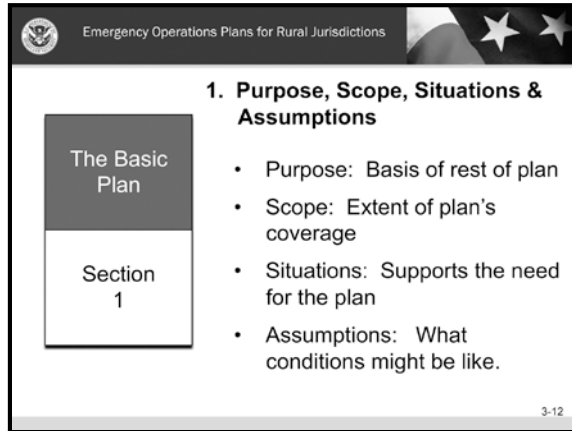
1. Purpose, Scope, Situation & Assumptions

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

Purpose Statement: The purpose statement provides the basis for the rest of the EOP. This statement should provide a brief synopsis of the basic plan, the functional annexes, and the hazard-specific annexes.

Scope: This statement details how far the EOP extends, which geographic areas it covers, the entities involved, and the emergency and disaster response to which the plan applies.

Situation Overview: This section supports the need for the EOP. This statement should discuss potential hazards and their impact on the jurisdiction, including:
- The relative probability and impact of each of the hazards;
- Geographic areas likely to be impacted by a particular hazard;
- Vulnerable critical facilities within the jurisdiction and the impact areas (nursing homes, schools, hospitals, infrastructure, etc.);
- Population distribution;
- Location and nature of special need populations (visually, hearing or mobility impaired, non-English-speaking, etc); and
- Dependencies on other jurisdictions for critical resources.

Planning Assumptions: Planners must make assumptions about the conditions they will likely face during a disaster – the severity of the event, area and populations impacted, and resources available – in order to create their EOP. These planning assumptions must be documented. In the event of an actual event, these planning assumptions will provide the basis for adjusting the actual response effort to fit the circumstances.

The following hazard analysis summary and capability assessment worksheets will help you compile information for this section and for later annexes to the basic plan.

Module 3: The Basic Plan

Sample Purpose, Scope, Situations & Assumptions

Purpose and Scope:

A. This plan has been developed to provide a comprehensive (multi-use) emergency management program for the Town of Pony. It seeks to mitigate the effects of hazards, prepare for measure to be taken which will preserve life and minimize damage, enhance response during emergencies and provide necessary assistance, and establish a recovery system in order to return the county and the cities/towns to their normal state of affairs.

B. This plan attempts to define who does what, when, where, and how, in order to prevent, prepare for, respond to, and recover from the effects of natural disasters, technological accidents, nuclear incidents, and other major incidents/hazards.

Situation

C.   Situation

1. Pony is a rural town, located in the eastern part of the state. The 2000 census of population for Pony is 5,000.

2. The town is exposed to many hazards, all of which have the potential for disrupting the community, causing damage, and creating casualties. Potential hazards which may occur in or around the county are floods, tornados, winter storms, civil disorder, earthquakes, dam failure, HAZMAT incident (fixed facility), HAZMAT incident (highway), nuclear incidents, power failure, radiological incident (transportation), subsidence and rural or urban fires.

Assumptions

D. At the time of a particular emergency, the town will have access to the following emergency resources:

• Town of Pony:
   o Fire Service:
      ▪ Eight fire engines with a capacity of 1250 GPM in service
      ▪ Four fire engines with a capacity of 1500 GPM in service
      ▪ Two trucks with 85' aerial in service
      ▪ Two trucks with 100' aerial in service

E.   In the event of an ice storm, the following conditions will occur:

• As many as 60% of the town's population will be without power for three days.

• As many as 20% of the population who are without power (1,000 residents) will require shelter.

• The main roads, including Hwy. 102 and Hwy. 21, will be impassible.

Module 3: The Basic Plan
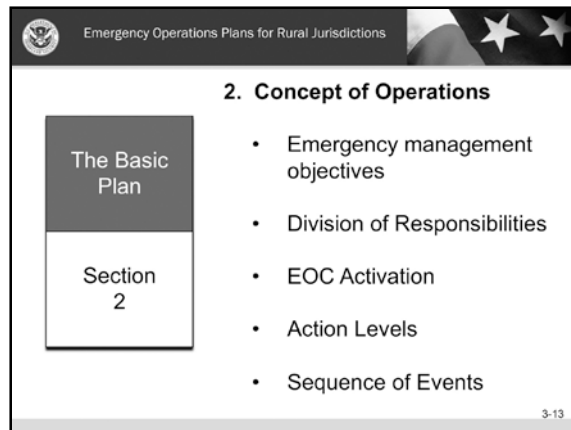
2. Concept of Operations

The concept of operations (CONOPS) is a user-oriented overview of the planned emergency response.   The CONOPS should enable users to visualize the sequence and scope of the planned emergency response: what should happen, when, and at whose direction.

The CONOPS should include the following:

- Objectives of the emergency response;
- Division of local, state, federal and intermediate inter-jurisdictional responsibilities;
- Activation of operations centers;
- "Action levels" and their implications, if formalized in the jurisdiction;
- General sequence of actions before, during and after an emergency; and

The title of the person is responsible for requesting aid, and under what conditions? (Necessary forms should be contained in tabs).

Module 3: The Basic Plan

Sample CONOPS (Page 1)

General:

1. Operations conducted under this plan require a rapid and coordinated response by every Town agency, private institution, and other non-governmental agency.

2. Implementation of operations must be as self-triggering as possible and not dependent upon the presence of a particular individual.

3. The Town of Pony Office of Emergency Management will be the coordinating agency for all activity in connection with Emergency Management.

4. The Board of Selectmen or their designees will be responsible for the execution of the plan and for minimizing the disaster effects.

5. Central control from the Emergency Operations Center (EOC) provides the requisite direction and coordination. The primary EOC is located in the firehouse. Alternate EOC is located in the courthouse.

Operations:

Operation of the plan commences when the Pony Select board Chair/Emergency Management Coordinator/Fire Chief or a designated representative determines that the severity or length of the situation warrants plan implementation to reduce the threat to life and/or property to a minimum.

1. Alert and order the mobilization of the Town emergency management organization.
2. Activate the Town Emergency Operations Center. Size and composition of the Staff is to be determined by the magnitude of the disaster.
3. Alert the general population of the disaster or impending disaster.
4. Arrange for the evacuation of threatened areas.
5. Establish temporary shelter, food, and medical for the evacuees as necessary, including evacuees from threatened areas outside of the Pony geographical boundaries.
6. Notify those public and private agencies dedicated to the relief of distress and suffering, i.e., Red Cross and Salvation Army, and establish liaison as necessary.
7. Alert State emergency management office for assistance and coordination of other State agencies with disaster capabilities.
8. Notify local industries, public utility companies, schools, etc., of the disaster or pending disaster as necessary.

Module 3: The Basic Plan

Sample CONOPS (Page 2)

ORGANIZATION AND RESPONSIBILITIES

Organization:

1. The Town Select board will convene to perform legislative and administrative duties as the situation demands, and shall receive reports relative to Emergency Management activities.

2. The Select board Chair/Town Manager/Fire Chief/etc. shall be the Director of the Emergency
Management forces of this Town and shall be responsible for organization, administration and operations.

3. The Emergency Management Coordinator, under the supervision of the Director(s), shall be responsible for the planning, coordination and operation of the Emergency Management activity in the Town.

4. The employees, equipment and facilities of all town departments, boards, institutions and commissions will participate in the emergency management activity as appropriate within their capabilities and assigned responsibilities.

5. The organization shall also include volunteer agencies and/or persons offering services to the Town, upon acceptance thereof.

6. Duties assigned to a Town Department shall be the same or similar to the normal duties of the Department.

7. The Coordinator shall oversee the recruitment of volunteer personnel and agencies to augment the personnel and facilities of the Town for emergency management purposes.

Responsibilities:

The Town operations plan consists of this basic plan with appropriate annexes to cover emergency operations as follows:

ANNEX A. Direction and Control: Emergency Management Director(s). Includes staffing and functioning of the EOC and succession of command.

ANNEX B. Evacuation: Emergency Management Coordinator. Includes actions to protect the population before, during and after disasters by establishing evacuation routes, safe areas, transportation and coordination with shelters.

ANNEX C. Communications: Communications Officer. Includes local emergency communications to be utilized for all types of disasters.

Module 3: The Basic Plan

Sample CONOPS (Page 3)

ANNEX D. Alert and Warning: Fire Chief. Includes a means for receiving and disseminating warnings for disasters and maintenance procedures.

ANNEX E. Shelter: Emergency Management Coordinator. Includes actions to protect the population before, during, and after disasters by establishing best available shelters and/or feeding, registering, clothing and social services.

ANNEX F. Radiological Protection: Radiological Officer. Includes radiological monitoring and means to identify radioactive hazards resulting from war related or peacetime incidents.

ANNEX G. Police - Chief of Police/Constable. (Sheriff Dept. or State Police) Includes maintenance of law and order, control of traffic, controlling and limiting access to the scene of a disaster.

ANNEX H. Fire and Rescue--Fire Chief: Includes actions to limit or prevent loss of life and property from fire or threat of and assisting in rescue, warning and evacuation.

ANNEX I. Public Works: Highway Superintendent & Water Superintendent. Includes maintaining the Town's roads, bridges, and sewer systems and assisting with equipment and personnel if a disaster threatens or occurs.

ANNEX J. Emergency Public Information: Emergency Management Director(s). Includes actions for providing a flow of accurate and official information and instructions to the general public through all means of communications available before, during, and after an emergency or disaster.

ANNEX K. Resource Management: Emergency Management Director(s). Includes actions to obtain vital supplies and other properties found lacking, and needed for the protection of health, life and property of people, and resources for special or critical facilities.

ANNEX L. Hazardous Materials: Fire Chief. Includes the identification of HAZMAT facilities and transportation routes within the town. It also outlines responsibilities for responding to a HAZMAT incident within the town.

The emergency tasks designated in the Annexes are related to day-to-day activities assigned by existing law, where applicable. Several have been added or extended to cope with emergency situations. Each Town department and/or agency has the responsibility of preparing a written, functional Annex, with appropriate Appendices and Attachments, delineating the staffing, alerting and actions necessary to accomplish assigned tasks.

Development of these Annexes will be coordinated with the Emergency Management Coordinator and updated annually by Department/Agency Head.

Module 3: The Basic Plan

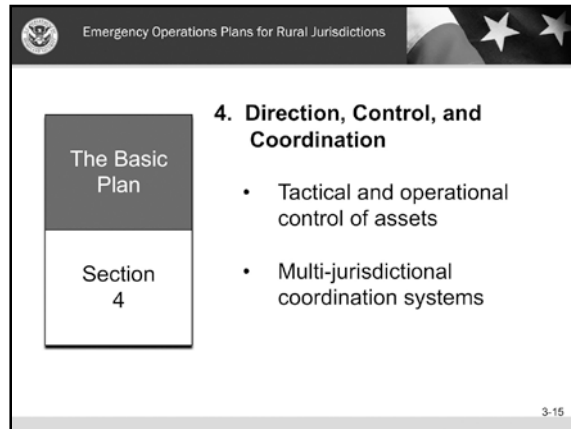### 3. Organization & Assignment of Responsibilities

Provides a quick overview of the tasks to be performed by position and the agency responsible for each. When tasks are shared between departments/entities, the matrix should indicate which has primary responsibility and which have supporting roles.   All organizations which play a role in emergency response should be included, even if they are not under jurisdictional control.

Sample Organization Responsibility Matrix

Agency/Department	Managing Emergency Operations	Situation Reporting	Damage Assessment	Alert, Warning Notification	Emergency Public Information	Etc.
Ambulance Service	S	S	S	S	P	
American Red Cross						
Building Inspection Services						
Etc.						

Module 3: The Basic Plan

4. Direction, Control and Coordination

This section identifies who has tactical and operational control of response assets. This section discusses how multi-jurisdictional coordination systems will work to permit organizations to coordinate efforts across jurisdictions while allowing each jurisdiction to remain its own "command center."

This section also provides information on how department and agency plans nest into the EOP (horizontal coordination) and how higher-level plans are expected to layer on the EOP (vertical integration).

Details about the EOC organization and operations should be part of the SOP, not the EOP.

Module 3: The Basic Plan

Sample Direction, Control & Coordination Page

A. The final responsibility for all emergency management belongs to the elected officials of the town who are members of the emergency management policy group. This group is the decision-making group for all policy-level decisions and is the executive head of the emergency service coordinators and EOC staff. During response operations, the members of the policy group will act in concert and support the activities of the entire response organization through the EOC emergency service coordinators. They will also be available to constituents to address non-routine matters.

B. The town emergency management director is responsible for coordinating the emergency management program. He/she makes routine decisions and advises the policy group on alternatives when major decisions are required of that body. During emergency operations, he/she is responsible for the proper functioning of the EOC and its staff. The director also acts as liaison with other local, county, state and federal emergency management agencies.

C. Specific persons in departments/agencies are responsible for fulfilling their responsibilities as stated in this basic plan and the annexes thereto. Department supervisors will retain control of their employees and equipment during response operations. Standing operating procedures are required of each department having responsibilities in this plan. These SOPs must include:

1. Recall of personnel during non-duty hours;
2. Prioritization of tasks to guide recovery work;
3. Procedures to be followed which deviate from normal;
4. Specific emergency authorities that may be assumed by the designated; and successor during emergency situations.

D. During some periods of an emergency, Department supervisors will be required to remain in the EOC and direct their departments from that facility. During any large scale emergency, the EOC will in fact become the seat of county government for the duration of the crisis.

Module 3: The Basic Plan
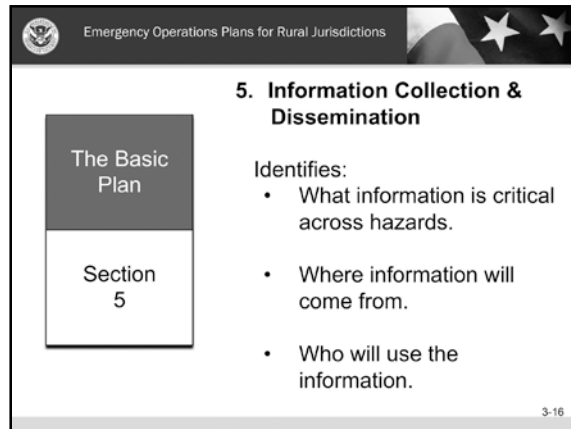
5. Information Collection & Dissemination

This section details the information needs that were identified during the plan development phase specified in Module 1. In responding to an emergency, it is important to know what information is needed, and where it is to be found. This section covers those information needs that are common to all emergencies.

This information is best presented in a table format. It can be expanded into an annex, or can be included as an appendix or tab in the direction, control, and coordination section. It should include such information as:
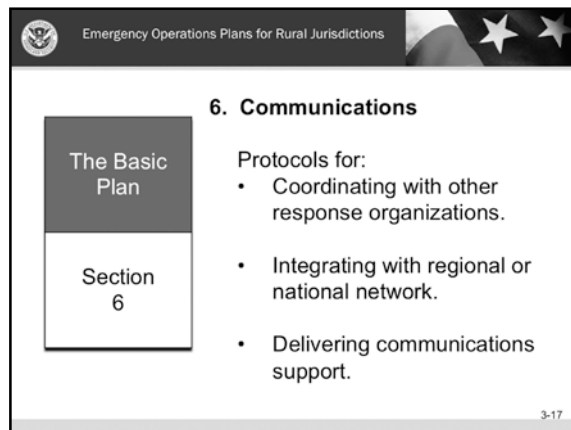
- The type of information needed (e.g., transportation status, EOC status, operation status, etc.);
- Where that information is expected to come from;
- Who uses the information;
- How the information is shared;
- The format for providing the information; and
- Any specific times the information is needed.

Sample Information Collection Matrix

Information Element	Specific Requirement	Collection Method	Responsible Element	Deliverables	When Needed	Distribute To
Transportation Status						
EOC Status						
Operation Status (+/- two levels)						
ETC.						

Module 3: The Basic Plan

6. Communications

This section describes communications protocols between response organizations and the coordination procedures to be used during emergencies.

This section should also discuss the framework for delivering communications support and how the jurisdiction's communications will integrate into regional or national disaster communications.

Sample Communication Section

The telephone system, when functional, will be used by Pony EOC and the regional communications center (RCC) to communicate with one another, with private relief organizations, and with the local media. Other emergency management and response organizations include the state EOC, municipal EOCs, municipal officials, fire, police and EMS departments, mass care shelters, utility companies, hospitals, and other county EOCs and RCCs. The telephone system will be used for voice communications, fax transmissions, pager activations, and internet transmissions.

Although the cellular phone system is convenient, it is not considered to be a reliable communication method during an emergency. However, when functioning, the cellular phone system will be used by the incident commander, first responders and county sheriff's department to communicate when a landline phone is not available. The cellular phone system will be used for voice communications and pager activations. The town EOC will communicate with the incident commander (IC) on scene with the town ICS frequency which normally functions as the town homeland security alert notification system.

The emergency 2-way radio network will be used by all emergency responders when in the field to communicate with one another, the Incident Command Post, and the RCC and EOC.

Module 3: The Basic Plan
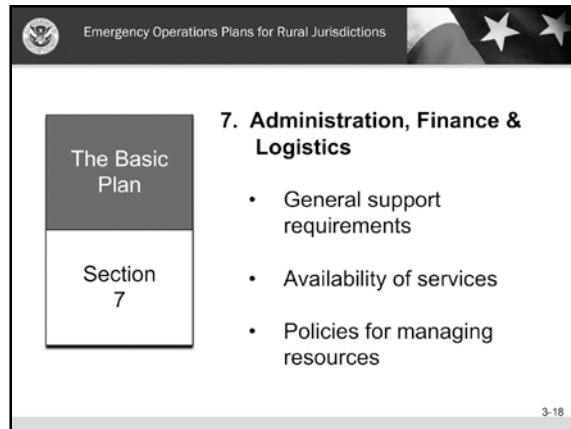
7. Administration, Finance & Logistics

The purpose of this section is to provide a list of the general support requirements for all types of emergencies, and the availability of services and support. It is also designed to specify resource management policies. It should include:

- References to mutual aid agreements, including the emergency management assistance compact (EMAC);
- Policies regarding the reassignment of public employees, soliciting volunteers, and the authorities for doing so. It should also include information on related liability issues; and
- Policies concerning financial record keeping, reporting requirements, resource needs tracking, source and use of resources tracking, acquiring ownership of resources, and compensating owners of private property.

Alternatively, this section can be expanded and included in the functional annexes, with a separate annex for each element.

Module 3: The Basic Plan

Sample Administration, Finance & Logistics Section

The town selectmen and the director of Pony EMA are responsible for coordinating response to a multi-jurisdictional emergency and assisting in appropriate recovery efforts. This plan is activated and terminated at the discretion of the EMA director in consultation with town selectmen.

If possible, procurement of necessary resources will be accomplished using normal, day-to-day channels. During unusual situations when such constraints would result in the loss of life and property, normal requisition procedures can be circumvented. This will be done in accordance with local ordinances.

Each department head, or person responsible for an emergency function, will keep detailed, accurate records of all actions taken during an emergency.

Agreements and understandings with other jurisdictions, higher levels of government, and other agencies can be utilized to supplement local resources should an emergency situation exceed or exhaust the capabilities of Pony. Requests for such assistance will be made in accordance with negotiated mutual aid agreements and understandings. All such agreements should be formalized in writing when possible.

Module 3: The Basic Plan
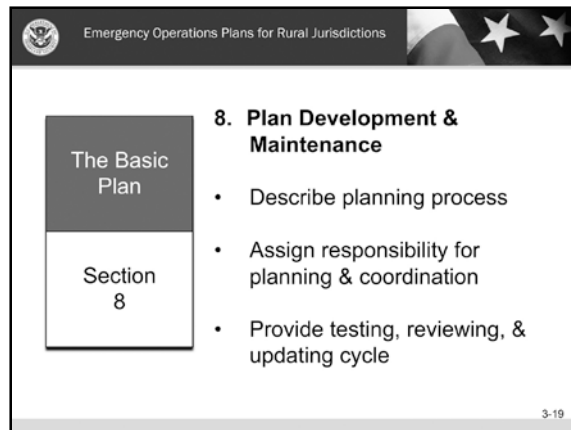
8. Plan Development & Maintenance

This section provides an overview of the planning process. Such details as participants in the planning process and how development and revision of different "levels" of the EOP (basic plan, annexes, appendices, and SOPs) will be coordinated during the preparedness phase.

This section also assigns responsibility for overall planning and coordination to a specific person, and provides for a regular cycle for testing, reviewing and updating the EOP.

Sample Plan Development & Maintenance Section

Review and written concurrence of this plan and its annexes will be accomplished as follows: Each agency/department of government and private sector organizations assigned emergency responsibilities will review this plan. They will report their concurrence to their chief executive officer through the Town of Pony emergency management director. The town selectmen and emergency management director will sign the promulgation document for all departments and organizations.

The Pony emergency management director will instigate an annual review of the plan by all officials and agencies. The director will ensure that necessary changes and revisions to the plan are prepared, coordinated, published, and distributed. The director will provide a copy of the plan revisions to all organizations/agencies assigned responsibility for implementation of the plan.

This plan will be activated once a year in the form of a simulated emergency, taking into account actual events in order to determine if revisions can be made that would improve disaster response and recovery operations. This will also provide practical controlled operations experience to those who have EOC responsibilities. This will be done by the town emergency management director with the approval of the chief executive officer.

Module 3: The Basic Plan
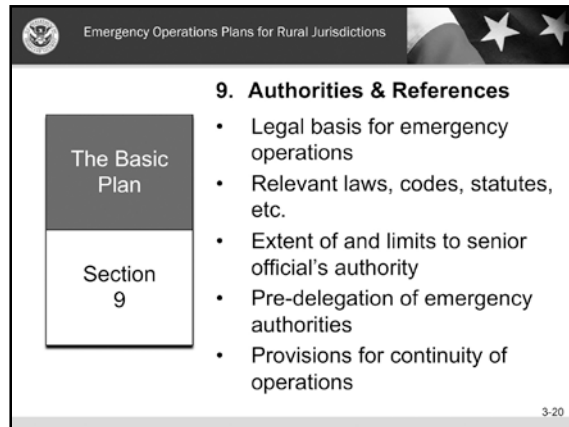
9. Authorities & References

The authorities and references section is designed to specify the legal basis for emergency-related operations and activities. This section should include:

- The laws, statutes, ordinances, executive orders, regulations and formal agreements relating to emergencies.
- The extent and limits relating to authorities granted to the authorities in an emergency. This should include the conditions necessary for the initiation of these authorities, as well as the point at which they are to be terminated.

- Pre-delegation of emergency authorities. This is to ensure that elected or appointed leadership (or their designees) will be able to exercise their authorities in the case of an emergency.
- Provisions for the continuity of operations, including such things as the succession of decision-making authority and operational control. This ensures that critical emergency functions will be performed without interruption.

Sample Authorities & References

A. Federal Public Law 93-288, *Robert T. Stafford Disaster Relief and Emergency Assistance Act,* as amended. http://www.fema.gov/robert-t-stafford-disaster-relief-and-emergency-assistance-act-public-law-93-288-amended.

B. Federal Public Law 99-499, SARA, Title III. http://www.epa.gov/laws-regulations/summary-emergency-planning-community-right-know-act.

C. Presidential Decision Directive 39 (PDD-39), *U.S. Policy on Counter-Terrorism.* https://www.hsdl.org/?abstract&did=462942.

D. Homeland Security Presidential Directive 5 (HSPD-5), *Management of Domestic Incidents* dated February 28, 2003. http://www.dhs.gov/publication/homeland-security-presidential-directive-5.

E. *Developing and Maintaining Emergency Operations Plans*, CPG 101, FEMA, November 2010. https://www.fema.gov/media-library-data/20130726-1828-25045-0014/cpg_101_comprehensive_preparedness_guide_developing_and_maintaining_emergency_operations_plans_2010.pdf. .

F. Revised Statutes of State of Columbia, Chapter 33, as amended.

G. Revised Statutes of State of Columbia, 29.331.

Module 3: The Basic Plan
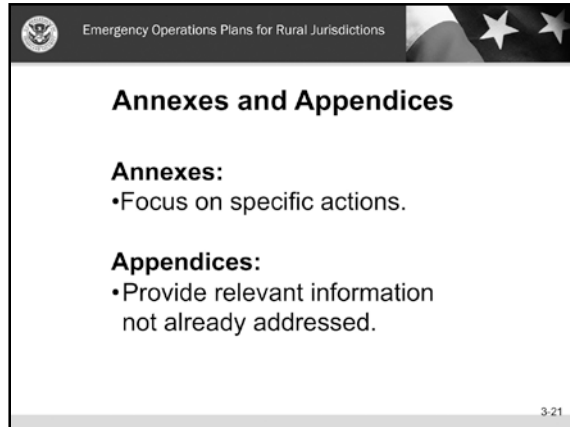
Annexes & Appendices

Annexes are chapters that focus on specific actions, roles and responsibilities during an emergency event. The annexes that are included in the EOP depend on the format used.

Appendices are sections that provide relevant information that is not already addressed.

The basic plan is part of every EOP, regardless of the format. A thorough understanding of the components of a basic plan will help serve as a guide to developing the operational annexes.

The following modules will discuss annexes and appendices for each EOP format.

Module 3: The Basic Plan

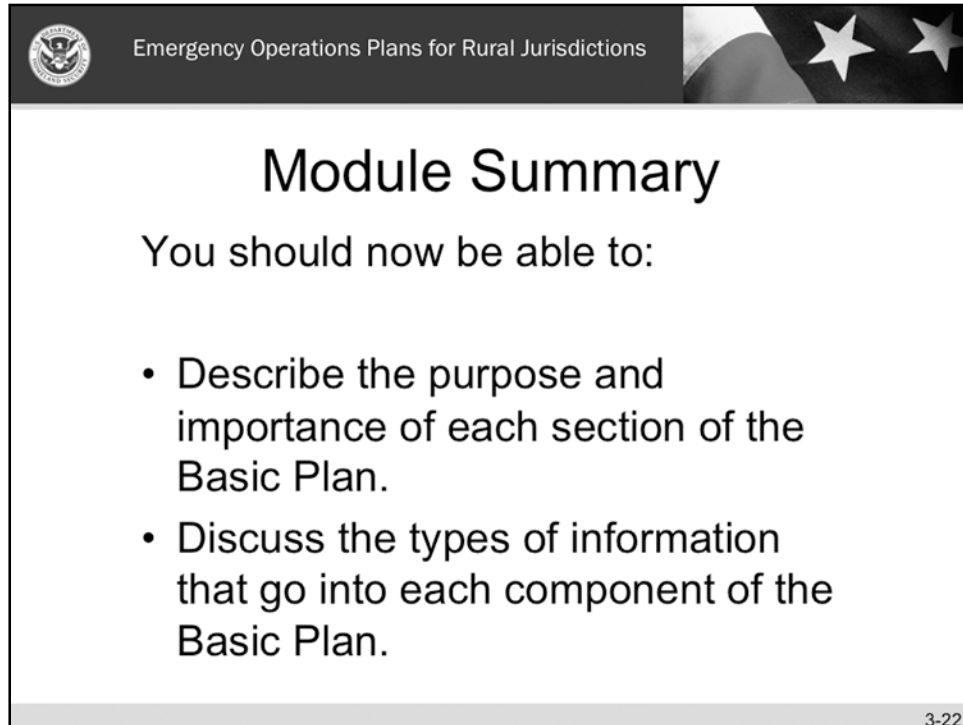**Match the parts of the Basic Plan at the left to their correct descriptions to the right.**

Introductory Materials   ____

Purpose, Scope, Situations,
and Assumptions   ____

Concept of Operations   ____

Organization and Assignment of
Responsibilities   ____

Direction, Control, and
Coordination   ____

Information Collection
and Dissemination   ____

Communications   ____

Administration, Finance,
and Logistics   ____

Plan Development and
Maintenance   ____

Authorities and References   ____

1. Provides an overview of the planning process.

2. Provides a quick overview of the tasks to be performed by position and the agency responsible for each.

3. A user-oriented overview of the planned emergency response. This should enable users to visualize the sequence and scope of the planned emergency response: what should happen, when, and at whose direction.

4. Explains the plan's intent, whom it involves, and why it was developed.

5. This section identifies who has tactical and operational control of response assets.

6. Enhance accountability and ease of use.

7. Describes protocols between response organizations and the coordination procedures to be used during emergencies.

8. Designed to specify the legal basis for emergency-related operations and activities.

9. In responding to an emergency, it is important to know what information is needed, and where it is to be found. This section covers those information needs that are common to all emergencies.

10. Provides a list of the general support requirements for all types of emergencies, and the availability of services and support.

Module 3: The Basic Plan

In this lesson, you learned about the components of the Basic Plan.

You should now be able to:

- Describe the purpose and importance of each major section.
- Discuss the types of information that go into each component of the Basic Plan.

Test your understanding of this material using the review on the next page.

Module 3: The Basic Plan - Review

Choose all that apply:

1. The purpose of the Basic Plan is to:
    a. Explore various cost effective mitigation strategies.
    b. Guide planners through the rest of the planning process.
    c. Provide an overview of a jurisdiction's emergency operation strategy.
    d. Have an outline for community members to review so they will be more familiar with the EOP plan set in place for them.

2. The purpose of the "Organization and Assignment of Responsibilities" section of the Basic Plan is to:
    a. Provide overview of tasks.
    b. Ensure the most qualified individuals are responsible for certain tasks.
    c. Assign responsible agencies and establish them as having primary or supporting roles.
    d. Make sure every able community member has a task to complete in the event of a disaster.

3. Which of the following components are found within all plan formats?
    a. Basic Plan
    b. Support Annexes
    c. Hazard Specific Procedures
    d. SOPs and Checklists

4. This page is used to document distribution of the plan to tasked individuals and organizations:
    a. Stakeholder Log
    b. Planned Method of Delivery Document
    c. Plan Allocation List
    d. Record of Distribution (page

> Congratulations! You have completed Module 3. In the next module, you will be provided with information on Agency and Department Format Annexes.

Module Four
Agency/Department Format
Annexes

Waynesville, MO, August 9, 2013 -- Pulaski County, MO Emergency Coordinator Lawson Smith talks to Waynesville Police Chief Bob Carter inside the Emergency Operations Center during the flooding in the city. Steve Zumwalt/FEMA

Module 4: Agency/Department Format Annexes - Administrative Page

Duration

This module is 1.0 hour in duration.

Scope Statement

Many agencies and departments have their own EOP, based on the Agency/Department EOP format. This module will provide participants with a working knowledge of the annexes that are part of the Agency/Department format.

Terminal Learning Objectives (TLO)

Participants will gain the knowledge about the annexes that are part of the Agency/Department format, which will enable them to use this plan in their jurisdiction. Participants will learn the three types of agency/department annex, their role in an emergency operations plan, and the components of each.

Enabling Learning Objectives (ELO)

Students will be able to:

4-1.   Describe the three types of annexes used in the agency/department format and the components of each.

4-2.   Explain the function of each type of annex that is part of the agency/department format.

4-3.   Identify the types of agency/department annexes that would need to be referenced as a means of resolving an incident.

Resources

Participant Guides

Easel Paper

Instructor to Participant Ratio

Preferred instructor to student ratio is 1:20-30

Reference List

Federal Emergency Management Agency (2008, December). National Incident Management System. Retrieved from https://www.fema.gov/pdf/emergency/nims/NIMS_core.pdf

Federal Emergency Management Agency (2010, November). Developing and Maintaining Emergency Operations Plans: Comprehensive Preparedness Guide (CPG) 101 (Version 2.0). Retrieved from https://www.fema.gov/media-library-data/20130726-1828-25045-0014/cpg_101_comprehensive_preparedness_guide_developing_and_maintaining_emergency_operations_plans_2010.pdf

Federal Emergency Management Agency (2013, August). Threat and Hazard Identification and Risk Assessment Guide: Comprehensive Preparedness Guide (CPG) 201 (Second Edition). Retrieved from http://www.fema.gov/media-library-data/8ca0a9e54dc8b037a55b402b2a269e94/CPG201_htirag_2nd_edition.pdf

Module 4:　Agency/Department Format Annexes - Administrative Page (Cont.)

Practical Exercise Statement

Participants will complete an activity that requires them to determine which agency/department annexes would need to be referenced in order to react to an incident in a fictitious community.

Assessment Strategy

- Observation of student participation.
- Instructor facilitated verbal review of module.

Module 4: Agency/Department Format Annexes

Emergency Operations Plans for Rural Jurisdictions

Learning Objectives

At the conclusion of this module, participants will be able to:

- Describe the three types of annexes used in the agency/department format and the components of each.
- Explain the function of each type of annex that is part of the agency/department format.
- Identify the types of agency/department annexes that would need to be referenced as a means of responding to an incident.

4-1

Module 4: Agency/Department Format Annexes
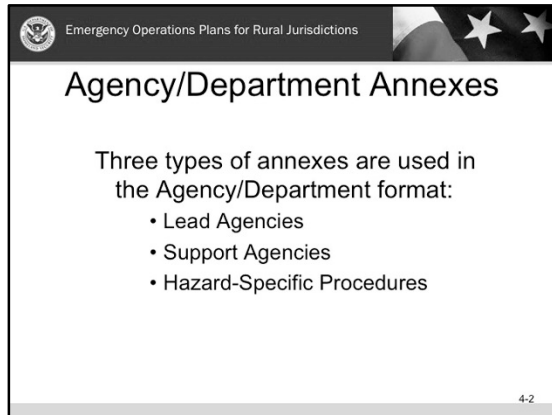
Three Types of Agency/Department Annexes

In the Agency/Department Annexes, duties are organized by department or agency rather than by ESF or function. The Agency/Department-focused EOP format uses three types of annex:

1. Lead agencies;
2. Support agencies; and
3. Hazard-specific procedures.

Each of these annexes will be discussed in the pages that follow.

Module 4: Agency/Department Format Annexes

Lead Agencies Annex

Emergency Operations Plans for Rural Jurisdictions

Lead Agencies Annex

Typical response agencies would include:

- Fire
- Law Enforcement
- Emergency Medical
- Emergency Management
- Hospital
- Public Health

4-3

Lead Agencies Annex

The Lead Agencies Annex outlines the emergency functions that will be completed by individual departments or agencies. Each individual agency section should refer to the other agency sections to ensure coordination with their respective emergency management strategies.

Examples of typical lead agencies include:

- Fire
- Law Enforcement
- Emergency Medical
- Emergency Management
- Hospital
- Public Health

Sample Lead Agencies Annex

Department of Natural Resources (DNR):
- Activate the DNR EOC.
- Provide resources to support environmental protection activities.
- Oversee and coordinate the cleanup and disposal of hazardous substance releases and contaminated debris.
- Coordinate activities essential to protect area surface and subsurface resources.
- Ensure liaison with Federal agencies in areas of mutual interest.

# Module 4: Agency/Department Format Annexes

Support Agencies Annex

The Support Agencies Annex identifies those agencies that have a support role in an emergency, and describes/addresses the strategies they are responsible for implementing.

In addition to governmental departments, the following could act as support agencies in an emergency:

- Government Agencies
- American Red Cross
- U.S. Army Corps of Engineers
- Civil Air Patrol
- Amateur Radio Emergency Services

Module 4: Agency/Department Format Annexes
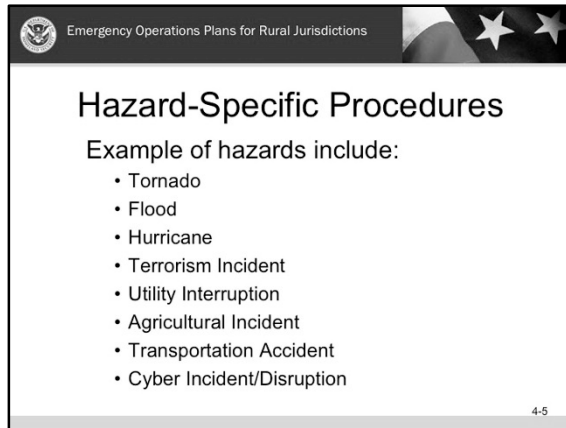
Hazard-Specific Procedures

This annex describes/addresses the hazard-specific strategies for each department.
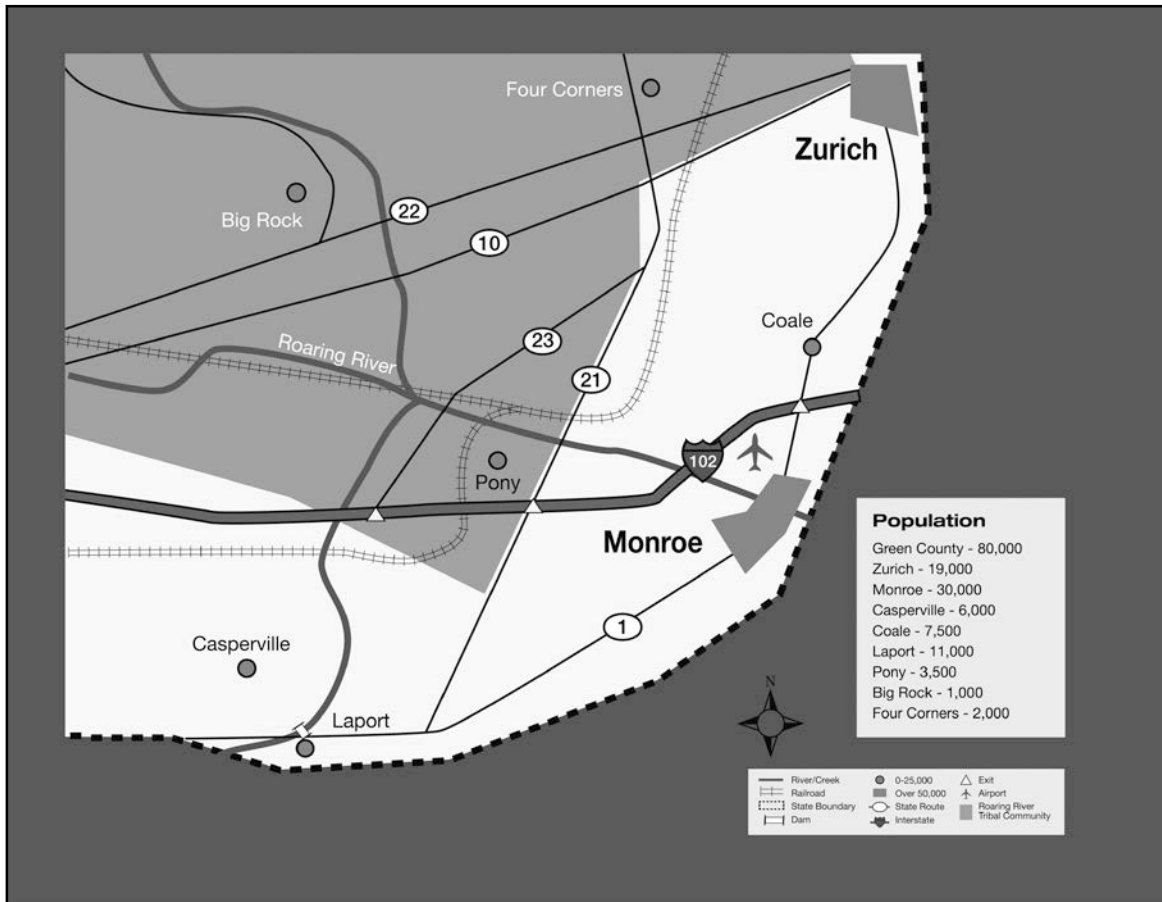
Typical examples would include:
- Tornado
- Flood
- Hurricane
- Terrorism Incident
- Utility Interruption
- Agricultural Incident
- Transportation Accident
- Cyber Incident/Disruption

For a sample hazard-specific procedures flood annex, see Appendix, page C-9.

Module 4: Agency/Department Format Annexes
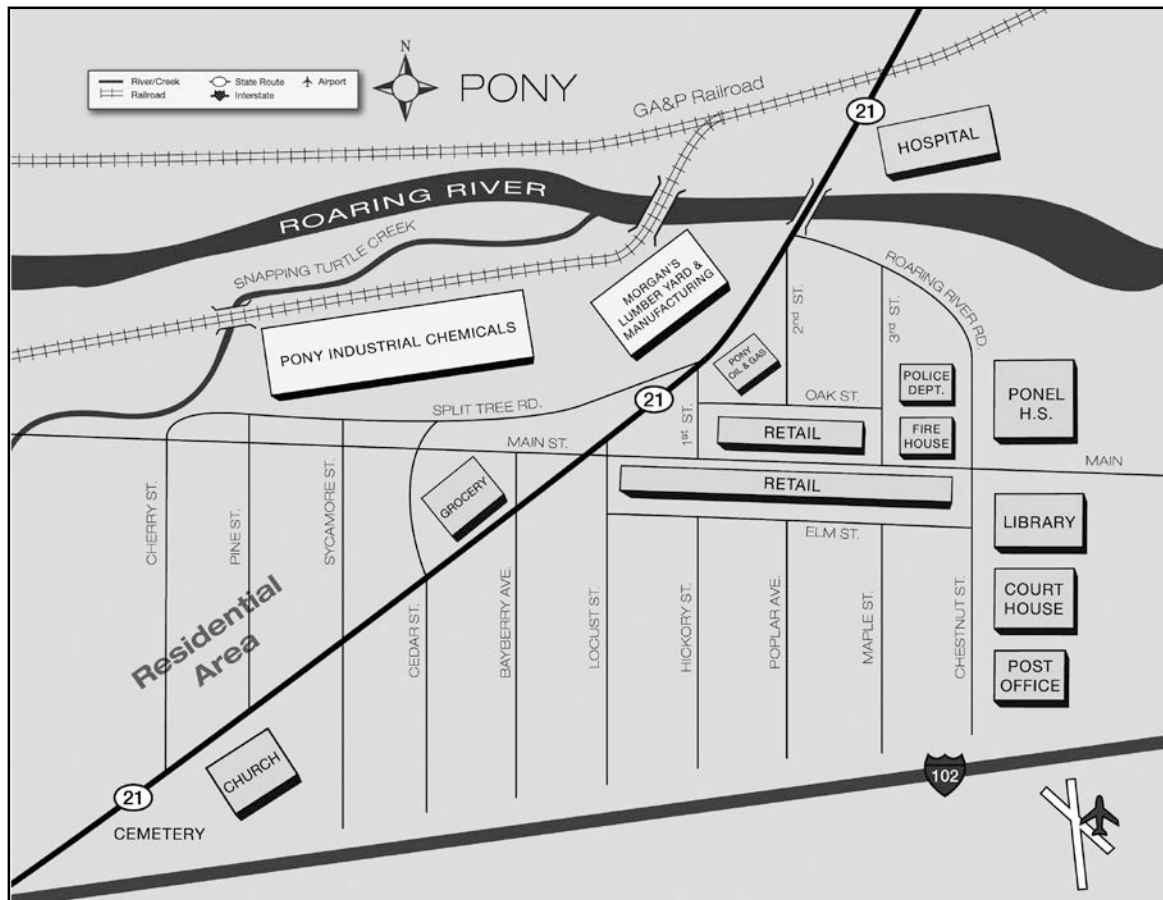
Welcome to Pony, Green County

Corresponds with slide 4-6

Module 4: Agency/Department Format Annexes

Corresponds with slide 4-7

Module 4: Agency/Department Format Annexes

**The Town of Pony
Background Information**

Pony, with a population of 5,000, is located in Green County, which has a population of 80,000. Green County borders Liberty County to the west, Kane County to the north and the Atlantic Ocean to the east and south. Monroe, Pony's closest neighboring town, is approximately 10 miles east and has a population of 30,000. The Snapping Turtle Creek flows northeast through Pony and empties into the Roaring River, which empties into the dam in Monroe and functions as the county's main water supply. A large portion of the town's population is employed by Morgan's Lumberyard and Manufacturing and Pony Industrial Chemicals. Other individuals in the town are employed by the State of Columbia, work retail jobs, or are employed by Pony Hospital and GA&P Railroad. Following are specifics with regard to the town's hospital, railroad, fire department, and agreements with neighboring counties.

Pony Hospital
- 24 hours of emergency power service available
- 9 surgical suites available
- No pediatric surgeons
- 2 pediatricians
- 6 family practices

Pony Fire House
- Type VI brush patrol, firefighting engine
- Type II water tender (Tengine)
- Type III wildland pumper
- Type II advanced life support (ALS) ambulance

GA&P Railroad
The railroad handles petroleum, containers, general cargo, and automobiles. The spur is connected to the main line north of Pony.

Mutual Aid Agreements (MAA) and Memorandums of Understanding (MOU):
Emergency Medical Service Mutual Aid Agreement (MAA): Oral agreement with Liberty, Mineral, and Kane Counties. Request through Green County Public Health Director. No Memorandums of Understanding (MOUs) are in place.

Corresponds with slides 4-8 and 4-9.

Module 4: Agency/Department Format Annexes

Scenario

Scenario

In **Pony**, a mid-winter warm front has brought temperatures from below freezing up to near 60 degrees, creating a severe thaw in the region. Subsequently, the ice cover on **Snapping Turtle Creek** and **the Roaring Rive**r has begun to break up and large chunks of ice are beginning to collect in culverts and at bridges.

In addition, 6 inches of rain in less than 16 hours has coupled with the runoff and resulted in **Snapping Turtle Creek** and the **Roaring River** rising to several feet above flood levels. As of 10 AM, the situation is becoming increasingly dangerous as the ice is beginning to dam the heavily flowing water behind it. The Pony Industrial Chemicals Corporation and Morgan's Lumberyard are already reporting flooding on the premises as the railroad bridge over **Snapping Turtle Creek** is dammed and creating a backup. Increased flooding will endanger the anhydrous ammonia and chlorine containers the two companies have at their locations.
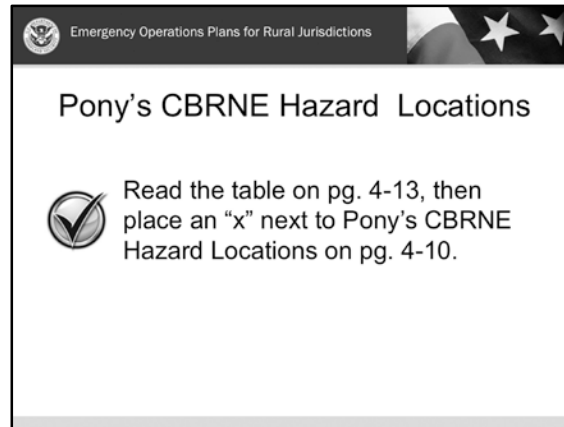
The bridge for Route 21 near 2nd Street is reportedly only allowing 40% of water through as it is also collecting ice. The nursing home wing, located in the southwest corner of the hospital, is currently not threatened; however, there is concern because similar flooding in 1996 inundated the area on which the wing now sits. Flood control walls were built when the wing was built in 2002 and line the area. The water level is currently 4 feet below the top of this wall.

Corresponds with slides 4-10 and 4-11.

Module 4: Agency/Department Format Annexes

1. Now that you have familiarized yourself with the map and background information with regard to Pony and Green County, you are ready to map out Pony's CBRNE hazard locations. Study the below table, the scenario on page 4-12, and then turn to the map on page 4-10 and place an "X" next to Pony's CBRNE hazard locations that may be impacted by the flood.
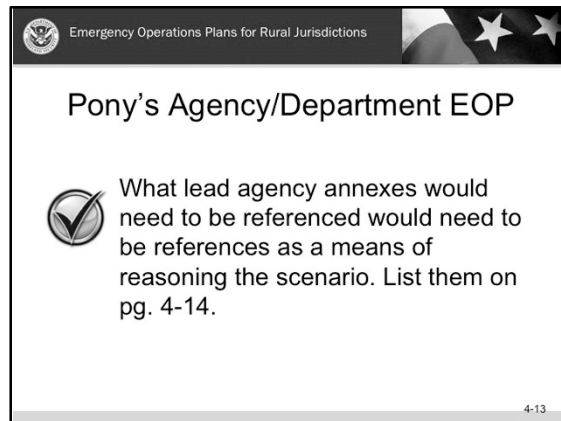

Emergency Operations Plans for Rural Jurisdictions

Pony's CBRNE Hazard Locations

Read the table on pg. 4-13, then place an "x" next to Pony's CBRNE Hazard Locations on pg. 4-10.

Community CBRNE Hazard Locations: Pony, Columbia			
Legal (CBRNE) Hazards	Business/Agency	Location	Contact
Tier II Chemicals			
Ammonia (Anhydrous)	Pony Industrial Chemicals	3127 County Road Pony, Columbia	Harvey Lind 846-758-6195
Chlorine	Morgan's Lumberyard	234 County Road Pony, Columbia	Liz Mann 849-758-6251
Radiological			
226Ra Injection Waters	Pony Oil and Gas	222 Industrial Pkwy Pony, Columbia	Mitch Watts 846-758-4128
Radiation Treatment	Pony Hospital	121 First Street Pony, Columbia	Rachel Johnson 846-758-2378

Corresponds with slide 4-12.

Module 4: Agency/Department Format Annexes

2. What lead agency annexes in Pony's Agency/Department EOP would need to be referenced as a means of resolving the scenario on page 4-12? List them below, along with their corresponding role(s), in the context of the scenario.

	Lead Agency Annexes	Role(s) and Responsibilities
1		
2		
3		
4		

Emergency Operations Plans for Rural Jurisdictions

Pony's Agency/Department EOP

What lead agency annexes would need to be referenced would need to be references as a means of reasoning the scenario. List them on pg. 4-14.

4-13

Module 4: Agency/Department Format Annexes

3. What support annexes in Pony's Agency/Department EOP would need to be referenced as a means of resolving the scenario on page 4-12? List them below, along with their corresponding role(s) in the context of the scenario.

Note: The sample answers are not included in the participant manual. This list is not all inclusive.

	Support Agencies Annexes	Role(s) and Responsibilities
1		
2		
3		
	Hazard Specific Procedures	**Role(s) and Responsibilities**
1		

Emergency Operations Plans for Rural Jurisdictions

Pony's Agency/Department EOP (Cont.)

What support annexes would need to be referenced as a means of resolving the scenario? List them on pg. 4-15.

Module 4:　Agency/Department Format Annexes

4. What MAAs and MOUs should Pony have in place as a means of expanding their resource base? List them in the table below.

	MAAs or MOUs	Function(s)
1		
2		
3		
4		

Module 4: Agency/Department Format Annexes

In this lesson, you learned about the components of the Agency/Department format.

You should now be able to:

- Describe the three types of annexes used in the agency/department format and the components of each.
- Explain the function of each type of annex that is part of the agency/department format.
- Identify the types of agency/department annexes that would need to be referenced as a means of resolving an incident.

Test your understanding of this material using the review on the next page.

Module 4: Agency/Department Format Annexes - Review

1. In agency/department annexes, duties are organized by:
    a. Function.
    b. The hazard involved.
    c. The department or agency.
    d. ESF.

2. Response organizations or agencies typically include:
    a. Law enforcement.
    b. Public Health.
    c. Fire agencies.
    d. The Chamber of Commerce.

3. List and describe the three types of annexes used in the agency/department format.

_____

_____

_____

_____

_____

_____

Congratulations! You have completed Module 4. In the next module, you will learn about the Traditional Functional EOP Format.

Module Five
Traditional Functional EOP Format

Live Oak, FL, July 3, 2012 -- FEMA Individual Assistance Lead Gerald Harfoot presents a report of the Preliminary Damage Assessment Team (PDA) at the Suwannee County Emergency Operations Center (EOC) afternoon briefing. FEMA is here as part of the team to evaluate extent of damage from Tropical Storm Debby. George Armstrong/FEMA

Module 5: Traditional Functional EOP Format - Administrative Page

Duration
This module is 1.0 hour in duration.

Scope Statement
Many EOPs use the traditional functional format. This module will provide participants with a working knowledge of the functional annexes, hazard-, threat-, and incident-specific annexes, and implementation instructions of the traditional functional format.

Terminal Learning Objectives (TLO)
Participants will gain knowledge about functional annexes, hazard-, threat-, and incident-specific annexes, and implementation instructions that will enable them to use the traditional functional plan in their jurisdiction.

Enabling Learning Objectives (ELO)
Students will be able to:
5-1.   Discuss the relationship between the components of the traditional functional EOP.
5-2.   Discuss the Traditional Functional Annex and its role in a traditional functional EOP.
5-3.   Inventory the characteristics of the Hazard-, Threat-, and Incident-Specific Annexes, and match them with appropriate annexes of a traditional functional EOP.
5-4.   Select types of documents that may be included in Implementation Instructions and understand their role in a traditional functional EOP.

Resources
Participant Guides

Instructor to Participant Ratio
Preferred instructor to student ratio is 1:20-30

Reference List

City of Jordan, Minnesota (2009, January). Emergency Operations Plan: Mass Care Annex. Retrieved from http://www.jordan.govoffice.com/vertical/sites/%7B04B02830-4B09-4682-A968-AB067C359ABD%7D/uploads/%7BEB7E86CC-673F-48C7-B115-162D4557DFE9%7D.PDF

Federal Emergency Management Agency (2008, December). National Incident Management System. Retrieved from http://www.fema.gov/national-incident-management-system

Federal Emergency Management Agency (2010, November). Developing and Maintaining Emergency Operations Plans: Comprehensive Preparedness Guide (CPG) 101 (Version 2.0). Retrieved from https://www.fema.gov/media-library-data/20130726-1828-25045-0014/cpg_101_comprehensive_preparedness_guide_developing_and_maintaining_emergency_operations_plans_2010.pdf

Module 5: Traditional Functional EOP Format - Administrative Page (Cont.)

Federal Emergency Management Agency (2011, December). IS 235.b Emergency Planning. Retrieved from https://training.fema.gov/emiweb/is/is235b/is235b.pdf

Federal Emergency Management Agency (2013, August). Threat and Hazard Identification and Risk Assessment Guide: Comprehensive Preparedness Guide (CPG) 201 (Second Edition). Retrieved from http://www.fema.gov/media-library-data/8ca0a9e54dc8b037a55b402b2a269e94/CPG201_htirag_2nd_edition.pdf

Practical Exercise Statement
N/A

Assessment Strategy
- Observation of student participation
- Instructor facilitated verbal review of module
- Module review questions

Module 5: Traditional Functional EOP Format

Emergency Operations Plans for Rural Jurisdictions

Module 5 Learning Objectives

- Discuss the relationship between the components of the traditional functional EOP.
- Discuss the traditional functional annex and its role in a traditional functional EOP.

5-1

Emergency Operations Plans for Rural Jurisdictions
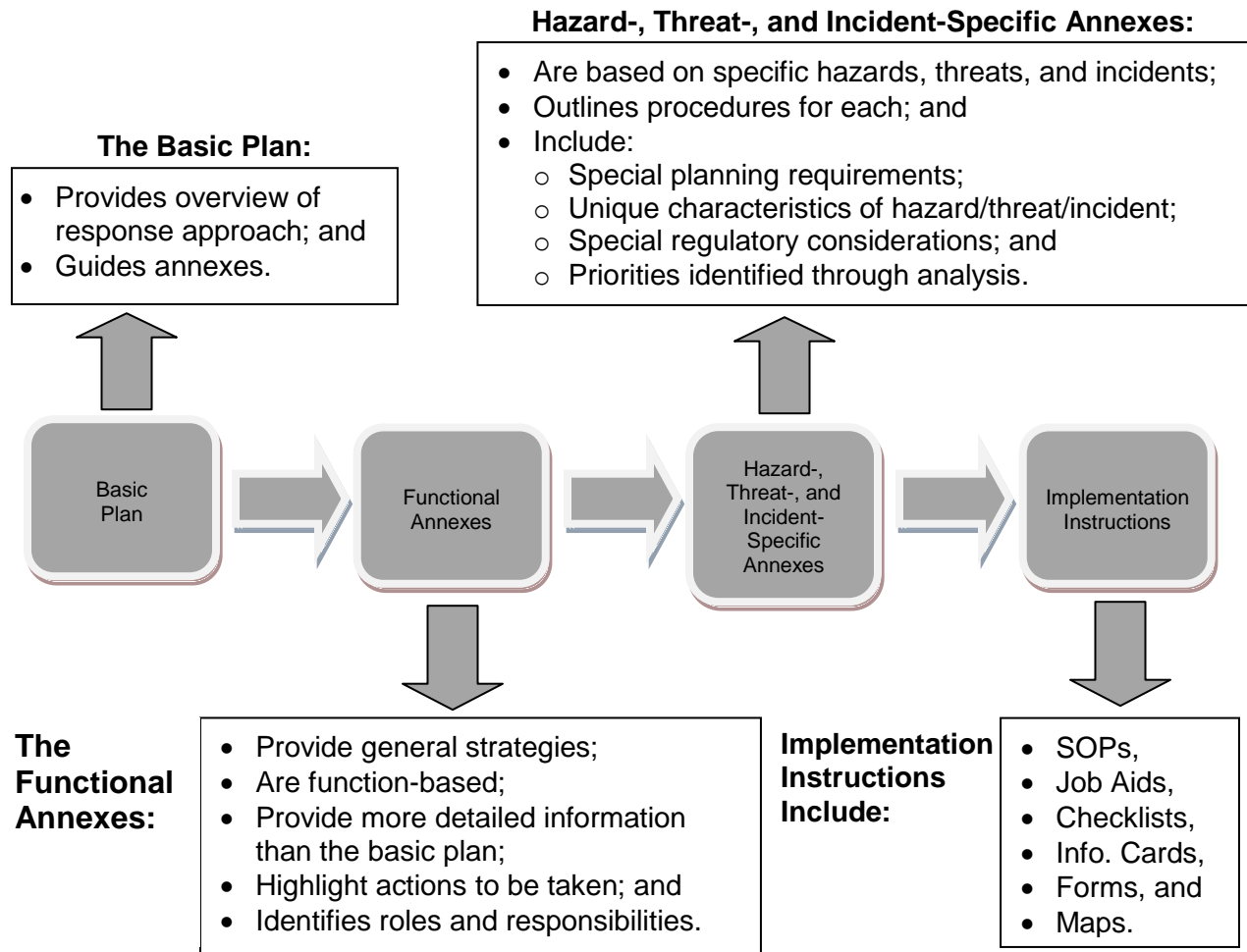
Module 5 Learning Objectives (Cont.)

- Inventory the characteristics of the hazard-, threat, and incident-specific appendices, and match them with appropriate annexes of a traditional functional EOP.

- Select types of documents that may be included in the Implementation Instructions and understand their role in a traditional functional EOP.

5-2

Module 5: Traditional Functional EOP Format

The traditional functional format comprises functional annexes, hazard-, threat-, and incident-specific annexes, and implementation instructions. The graphic below depicts the relationship these all have with the basic plan and each other. Note that the basic plan provides a general overview and information becomes more detailed as you move further right on the continuum.

Hazard-, Threat-, and Incident-Specific Annexes:

- Are based on specific hazards, threats, and incidents;
- Outlines procedures for each; and
- Include:
  - o Special planning requirements;
  - o Unique characteristics of hazard/threat/incident;
  - o Special regulatory considerations; and
  - o Priorities identified through analysis.

The Basic Plan:

- Provides overview of response approach; and
- Guides annexes.

Basic Plan → Functional Annexes → Hazard-, Threat-, and Incident-Specific Annexes → Implementation Instructions

The Functional Annexes:

- Provide general strategies;
- Are function-based;
- Provide more detailed information than the basic plan;
- Highlight actions to be taken; and
- Identifies roles and responsibilities.

Implementation Instructions Include:

- SOPs,
- Job Aids,
- Checklists,
- Info. Cards,
- Forms, and
- Maps.

Module 5: Traditional Functional EOP Format

As described previously, the functional annexes of the Traditional Functional format build on the basic plan, providing more detailed information and direction. They accomplish this by highlighting responsibilities, tasks, and operational actions that directly relate to the function and expand upon, but do not repeat, the information described in the Basic Plan. These annexes outline operational functions, state who carries them out, and act as general strategies.

Which annexes your jurisdiction uses should be determined early in the planning process. They should be chosen based on factors such as the structure of your organization, your response capabilities, and in place policies regarding response activities. For instance, a small rural jurisdiction will likely have different annexes than a large urban district that contains many more resources. Given that all situations are unique, it is difficult to recommend a set of annexes applicable to all jurisdictions. However, FEMA's Comprehensive Preparedness Guide (CPG) 101 describes the following as core functions:

1. Direction, Control, and Coordination
2. Information Collection, Analysis, and Dissemination
3. Communications
4. Population Warning
5. Emergency Public Information
6. Public Protection
7. Mass Care and Emergency Assistance
8. Health and Medical Services
9. Resource Management

Annex formats may differ slightly but should have a format as close as possible with your basic plan (See module 3). Beginning on page 5-8, you will be provided with a brief description of the eight core traditional functional annex types listed above. These are all represented in CPG101.

Module 5: Traditional Functional EOP Format
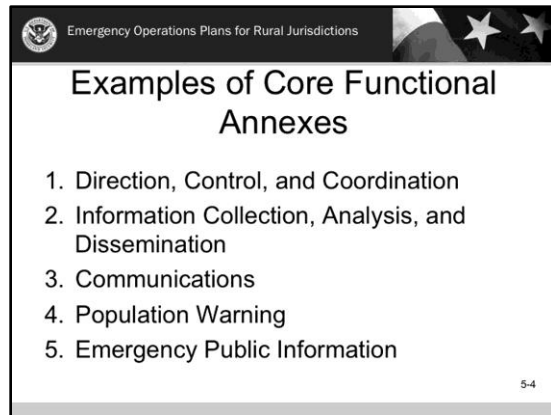
Examples of Core Functional Annexes

The **direction, control, and coordination annex** allows a jurisdiction to analyze the situation and decide on the best response, direct the response team, coordinate efforts with other jurisdictions, and make the best use of available resources.

The **information collection, analysis, and dissemination annex** describes the required critical or essential information common to all operations identified during the planning process

The **communications annex** provides detailed focus on the entire communications system and how it will be used. Please note it does not describe communications hardware or specific procedures found in departmental SOPs/SOGs.

The **population warning annex** describes the warning systems in place and the responsibilities and procedures for using them.

The **Emergency Public Information (EPI) Annex** provides the procedure for giving the public accurate, timely, and useful information and instructions through the emergency period.

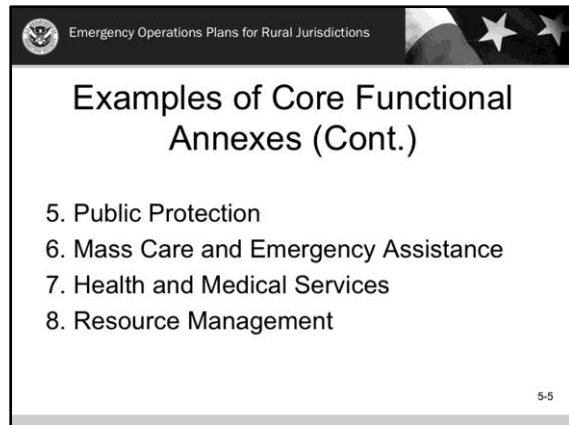This differs from the population warning annex in that instead of focusing on the procedures for notifying those at risk, the EPI deals with developing messages that are timely and accurate, disseminating the information, and monitoring how it is received. Due to the close relationship between the warning and EPI annexes, the EPI annex also describes coordination with those in charge of the warning system.

Module 5: Traditional Functional EOP Format

Emergency Operations Plans for Rural Jurisdictions

Examples of Core Functional Annexes (Cont.)

5. Public Protection
6. Mass Care and Emergency Assistance
7. Health and Medical Services
8. Resource Management

5-5

Examples of Core Functional Annexes (Con.t)

The **public protection annex** describes the provisions (e.g., for evacuation or in-place sheltering) that have been made to ensure the safety of people threatened by the hazards the jurisdiction faces.

The **mass care and emergency assistance annex** deals with the actions that are taken to protect evacuees and other disaster victims for the effects of the disaster, including providing temporary shelter, food, medical care, clothing, and other essential needs.

The **health and medical services annex** describes policies and procedures for mobilizing and managing health and medical services under emergency or disaster conditions.

The **resource management annex** describes the means, organization, and process by which a jurisdiction will find, obtain, allocate, and distribute resources to satisfy needs that are generated by and emergency or disaster.

In addition to the above listed annexes, your jurisdiction should include annexes that make sense for your community. For example, if your jurisdiction includes a vast and rugged wilderness area, you may want to include a search and rescue annex.

Module 5: Traditional Functional EOP Format

While the functional annexes describe the strategies in place for dealing with a specific function, the **hazard-, threat-, and incident-specific annexes** employ procedures for that are unique to each type of hazard. Examples of hazards that have their own appendix include; earthquakes, floods, hazardous materials, hurricanes, etc. These may be relevant to certain jurisdictions, yet not others. For instance, a community located a short distance from an active nuclear power plant will need to have an annex related to radiological protection.

Hazard-, threat-, and incident-specific annexes are located at the end of each functional annex and outline how the function should be implemented in light of the specific hazard. Many of the topics included in the appendices include:

- Special planning requirements;

- Priorities identified through hazard and threat analysis;

- Unique characteristics of the hazard, threat, or incident requiring special attention; and

- Special regulatory considerations.

The table on the following page recommends possible appendix topics for each annex that CPG101 describes as a core function. It is taken from IS 235 (FEMA, 2011).

Module 5: Traditional Functional EOP Format

Annex	Annex Topics
Direction, Control, and Coordination	• Response actions keyed to specific time periods and phases • Urban Search and Rescue (US&R) inspection • Inspection, condemnation, and demolition of structures and buildings • Protective gear for responders • Detection equipment and techniques • Laboratory analysis services • Containment and clean-up teams • Actions to ensure that the area directly affected by the disaster is secure and safe enough for the return of evacuated populations or for the continued presence of those who did not evacuate
Information Collection, Analysis, and Dissemination	• Hazard-unique provisions for information sharing (e.g., sharing terrorism information between EOCs and fusion centers)
Communications	• Provisions made to ensure that the effects of a specific hazard do not prevent or impede the ability of response personnel to communicate with each other during response operations
Population Warning	• Hazard-unique public warning protocols • Required or recommended notifications of State and Federal officials
Emergency Public Information	• Information the public will need to know about the specific hazard (e.g., special evacuation routes and shelters, in-place protective actions, etc.) • The means (i.e., particular medium/media) that will be used to convey that information to the public
Public Protection	• Public protection options and timing • Special exclusion zones for a specific hazard (e.g., downwind and crosswind areas for nuclear power and chemical plants; coastal areas subject to flooding caused by storms, hurricanes, and/or tidal surge, etc.) • Evacuation routes • Transportation resources to support mass evacuation
Mass Care and Emergency Assistance	• Shelter locations outside the hazard's vulnerable area • Structural survivability requirements for building in the hazard vulnerability zone and the application of mitigation measures • Protection of shelter occupants from the effects of the hazard • Special medicines and/or antidotes for shelter occupants • Food and water stocks to support extended shelter stays • Capability to decontaminate people exposed to hazardous materials
Health and Medical Services	• Unique health consequences and treatment options for people exposed to the hazard • Environmental monitoring and/or decontamination requirements
Resource Management	• Provisions for purchasing, stockpiling, or otherwise obtaining special protective gear, supplies, and equipment needed by response personnel and disaster victims

Module 5: Traditional Functional EOP Format
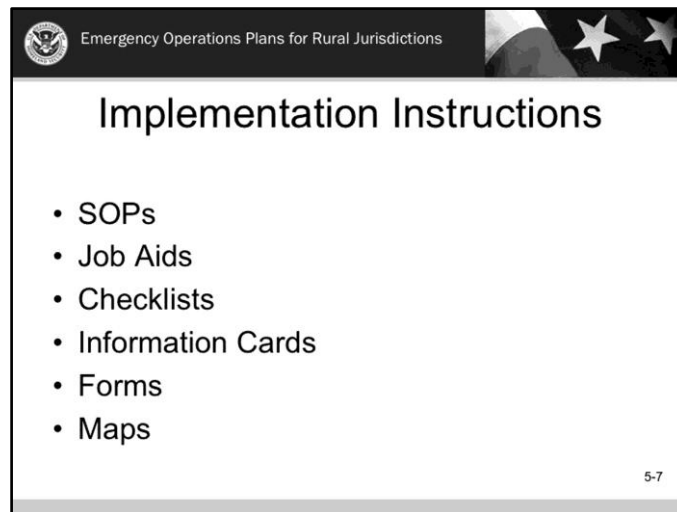
Implementation instructions are also a critical part of an EOP. Following is a list of annexes or appendices adapted from FEMA's IS-235 (FEMA, 2011):

- Standard Operating Procedures (SOPs): Used for complex tasks that need step-by-step instructions, have specific standards that must be adhered to, and/or when documentation of performance protocols is required as protection against liability.

- Job Aids: Written procedure that is intended to be used on the job while the task is being completed. Appropriate for complex tasks, critical tasks that could result in serious consequences, infrequent tasks, and when procedures or personnel often change.

- Checklists: A list of tasks, steps, features, or other items that must be checked off upon completion. Useful for tasks with multiple steps or for documentation purposes.

- Information Cards: Provide information that is needed on the job in a convenient—often graphic—form. Examples include reference lists; diagrams, labeled instructions, charts, or tables; and information summarized in a matrix form (e.g., a tax table).

- Forms: Common forms include recordkeeping (document calculations, observations, or other information) and combination (serve multiple functions such as checklists with a recordkeeping section)

- Maps: Used to highlight geographic features and boundaries, jurisdictional boundaries, locations of key facilities, and transportation or evacuation routes.

Such instructions may be included as an attachment or referenced. These documents make the contents of the plan or annex clearer to the reader.

Module 5: Traditional Functional EOP Format

An example of a relevant document may be a map with all of the mass care facilities marked. The following map is an example taken from the City of Jordan, Minnesota Mass Care Annex.
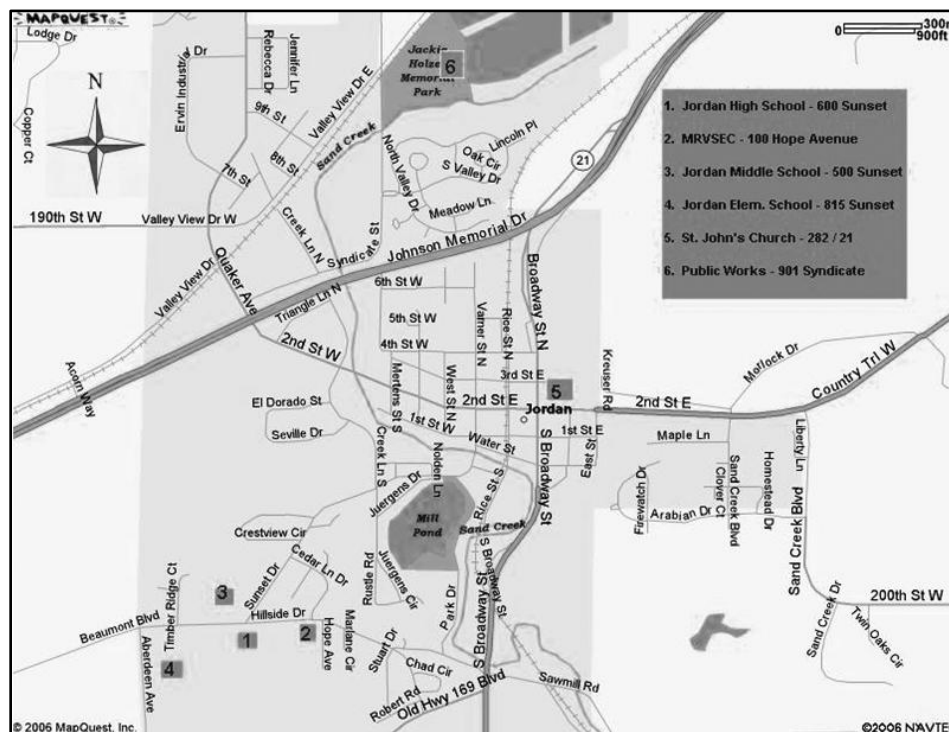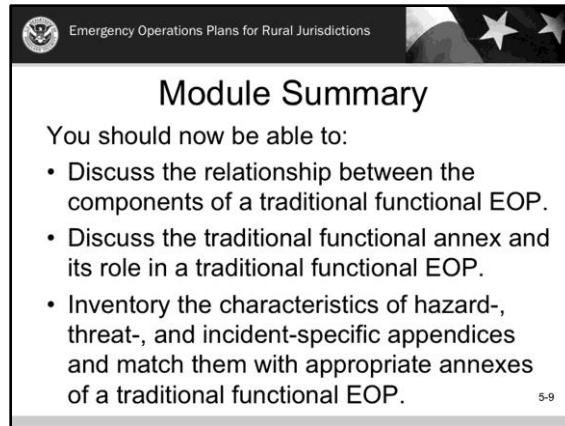
Module 5: Traditional Functional EOP Format

In the table below, list at least two relevant implementation instructions for each core function.

Core Functions	Possible Implementation Instructions
Direction, Control, and Coordination	
Information Collection, Analysis, and Dissemination	
Communications	
Population Warning	
Emergency Public Information	
Public Protection	
Mass Care and Emergency Assistance	
Health and Medical Services	
Resource Management	

Module 5: Traditional Functional EOP Format
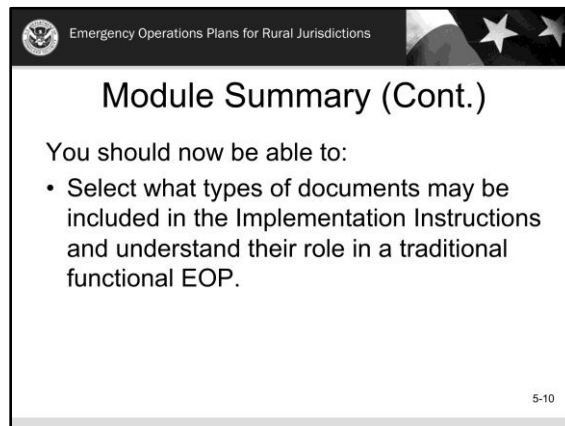
In this module, you learned about the traditional functional EOP.

You should now be able to:

- Discuss the relationship between the components of the traditional functional EOP.

- Discuss the Traditional Functional Annex and its role in a traditional functional EOP.

- Inventory the characteristics of the Hazard-, Threat-, and Incident-Specific Annexes, and match them with appropriate annexes of a traditional functional EOP.

- Select what types of documents may be included in the Implementation Instructions and understand their role in a traditional functional EOP.

Test your understanding of the material using the review on the next two pages.

Module 5: Traditional Functional EOP Format - Review

Choose all that apply:

1. Which of the following is <u>not </u>one of the core functional annexes that are generally included in all traditional functional EOPs?
    a. Mass Care and Emergency Assistance
    b. Population Warning
    c. Equipment Maintenance
    d. Emergency Public Information

2. Select all of the following implementation instructions that may be used in a traditional functional EOP.
    a. Checklists
    b. Maps
    c. SOPs
    d. Pay records

3. Which of the following is <u>not </u>true regarding hazard-, threat-, and incident-specific annexes?
    a. All EOPs should have the same annexes.
    b. They are located at the end of each annex.
    c. They outline how a function should be implemented in the face of a certain hazard.
    d. They include priorities identified through hazard analysis.

4. Match the listed topics with its appropriate annex.

Annex		Topic
Direction, Control, and Coordination	____	A) Special medicines/antidotes for shelter occupants.
Information Collection, Analysis, and Dissemination	____	B) Environmental monitoring and/or decontamination requirements.
Communications	____	C) Containment and clean-up teams.
Population Warning	____	D) The means used to convey information to the public.
Emergency Public Information	____	E) Provisions for obtaining protective gear and other resources needed by response personnel.
Public Protection	____	F) A provision to ensure a hazard does not interfere with response communications.
Mass Care and Emergency Services	____	G) Special exclusion zones for a specific hazard.
Health and Medical Services	____	H) Required or recommended notifications of State and Federal Officials.
Resource Management	____	I) Hazard-unique provisions for information sharing.

Module 5: Traditional Functional EOP Format – Review (Cont.)

5. Choose the answer that contains the correct order of traditional functional EOP components from the most general information to the most specific.
    a. Basic plan, implementation instructions, functional annexes, hazard/threat/incident-specific annexes
    b. Basic plan, functional annexes, implementation instructions, hazard/threat/incident-specific annexes
    c. Basic plan, hazard/threat/incident-specific annexes, functional annexes, implementation instructions
    d. Basic plan, functional annexes, hazard/threat/incident-specific annexes, implementation instructions

> Congratulations! You have completed Module 5. In the next module, you will be provided with information regarding ESF Annexes.

Module Six
ESF Format Annexes

Minot, ND, June 24, 2011 -- Red Cross shelter in an auditorium that is housing flood evacuees. Burleigh and Ward counties were designated a federal disaster area, opening the way for federal disaster assistance from FEMA. Andrea Booher/FEMA

Module 6: ESF Format Annexes - Administrative Page

Duration

This module is 1.25 hours in duration.

Scope Statement

Many state-level EOPs use the Emergency Support Function (ESF) format. This module will provide participants with a working knowledge of the annexes that are part of the ESF format.

Terminal Learning Objectives (TLO)

Participants will gain the knowledge about the annexes that are part of the ESF format which will enable them to use this plan in their jurisdiction. Participants will learn the three types of ESF format annex, their role in an emergency operations plan, and the components of each.

Enabling Learning Objectives (ELO)

Students will be able to:

6-1.   Describe the three types of annexes used in the ESF format and components of each.

6-2.   Explain the function of each type of annex.

6-3.   Determine the emergency support functions that would be referenced to resolve a county-wide incident.

Resources

Participant Guides

Instructor to Participant Ratio

Preferred instructor to student ratio is 1:20-30

Reference List

Commonwealth of Kentucky (2013, August). Kentucky Emergency Operations Plan. Retrieved from http://kyem.ky.gov/programs/Documents/KYEOP%20August%202013%20-%20Final.pdf

Federal Emergency Management Agency (2008, December). National Incident Management System. Retrieved from https://www.fema.gov/pdf/emergency/nims/NIMS_core.pdf

Federal Emergency Management Agency (2010, November). Developing and Maintaining Emergency Operations Plans: Comprehensive Preparedness Guide (CPG) 101 (Version 2.0). Retrieved from https://www.fema.gov/media-library-data/20130726-1828-25045-0014/cpg_101_comprehensive_preparedness_guide_developing_and_maintaining_emergency_operations_plans_2010.pdf

Federal Emergency Management Agency (2011, December). IS 235.b Emergency Planning. Retrieved from https://training.fema.gov/emiweb/is/is235b/is235b.pdf

Federal Emergency Management Agency (2013, May). National Response Framework. Retrieved from http://www.fema.gov/media-library-data/20130726-1914-25045-1246/final_national_response_framework_20130501.pdf

Module 6: ESF Format Annexes - Administrative Page (Cont.)

Federal Emergency Management Agency (2013). National Response Framework Emergency Support Fuction (ESF) Annexes. Retrieved from http://www.fema.gov/national-preparedness-resource-library

Roanoke, Virginia (2007). Emergency Operations Plan. Retrieved from http://www.roanokeva.gov/645/Emergency-Operations-Plan-EOP

State of Alabama (2012, February). State of Alabama Emergency Operations Plan. Retrieved from http://ema.alabama.gov/filelibrary/Alabama_EOP.pdf

State of Arkansas (2011). State of Arkansas Emergency Operations Plan. Retrieved from http://www.adem.arkansas.gov/ADEM/Divisions/Preparedness/Planning/Documents/2011_AR_Emergency_Operations_Plan%20v1_4.pdf

State of Louisiana (2009, July). State of Louisiana Emergency Operations Plan. Retrieved from http://www.dhh.state.la.us/assets/docs/Making_Medicaid_Better/RequestsforProposals/StateofLouisianaEmergencyOperationsPlan.pdf

State of Ohio (2013). State of Ohio Emergency Operations Plan. Retrieved from http://ema.ohio.gov/EOP_Detail.aspx

State of South Carolina (2015, April). South Carolina Emergency Operations Plan. Retrieved from http://www.scemd.org/planandprepare/plans/emergency-operations-plan

Practical Exercise Statement

Participants will be required to study a map of Coale in Green County and make decisions based upon a supplied scenario. This will include determining which emergency support function annexes, support annexes, and hazard-, threat-, and incident-specific annexes would be referenced. The course instructor will assist and guide the participants through the activity.

Assessment Strategy

- Observation of student participation.
- Instructor facilitated verbal review of module.

Module 6: ESF Format Annexes - Administrative Page (Cont.)

[This page was intentionally left blank.]

.

Module 6: ESF Format Annexes

Module 6: ESF Format Annexes

National Response Framework (NRF) Defined ESFs	
ESF 1:	Transportation
ESF 2:	Communications
ESF 3:	Public Works and Engineering
ESF 4:	Firefighting
ESF 5:	Information and Planning
ESF 6:	Mass Care, Emergency Assistance, Temporary Housing, and Human Services
ESF 7:	Logistics
ESF 8:	Public Health and Medical Services
ESF 9:	Search and Rescue
ESF 10:	Oil and Hazardous Materials
ESF 11:	Agriculture and Natural Resources
ESF 12:	Energy
ESF 13:	Public Safety and Security
ESF 14:	*Superseded by NDRF*
ESF 15:	External Affairs

The Purpose of Annexes

Annexes provide relevant information not already addressed in the Basic Plan.   In this module, you will learn about the annexes that are part of the Emergency Support Function (ESF) format.

ESF Format Annexes Overview
The ESF format makes use of three different types of annexes:

1. **Emergency Support Function Annexes** identify the ESF coordinator and primary and support agencies for each ESF. ESF annexes describe expected mission execution for each emergency phase, and identifies tasks assigned to members of the ESF, including non-governmental organizations (NGOs). There are 14 ESFs defined in the National Response Framework (NRF) that should not be changed by the jurisdictions and are listed in the chart to the left. Additional ESF's can be created to meet the localities' needs.

2. **Support Annexes** describe the framework through which a jurisdiction's departments and agencies, the private sector, not-for-profit and voluntary organizations and other NGOs coordinate and execute the common emergency management strategies.

3. **Hazard-, Threat-, or Incident-Specific Annexes** describe the policies, situation, concept of operations (CONOPS), and responsibilities for particular hazards, threats, or incidents.

The following pages will discuss each of the three types of ESF format annexes in more detail.

Module 6: ESF Format Annexes
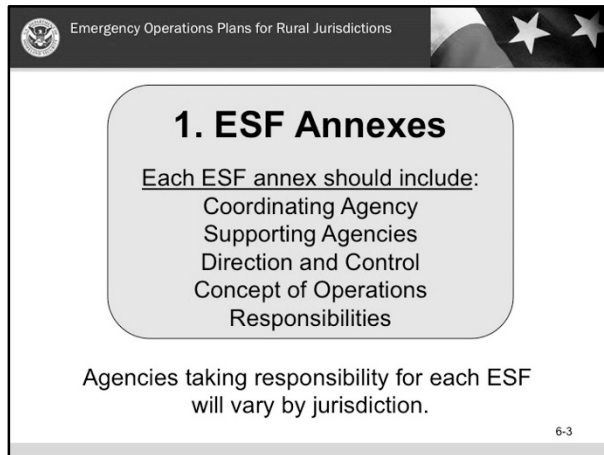
1. Emergency Support Function Annexes

Emergency Support Function (ESF) annexes provide a framework for grouping capabilities in an organizational structure to provide the support, resources, program implementation, and services needed during emergency response operations.

Each ESF annex should be structured to include the following information:

- **Coordinating agency:** The coordinating agency is the primary agency or individual that will be the single point of contact for the management of the ESF. The coordinating agency/individual will have primary responsibility for implementing the ESF in the jurisdiction.
- **Supporting agencies:** Consists of all agencies that will support implementation of the ESF.
- **Direction and Control**: Provides a general description of how the coordinating agency will handle the direction and control of this ESF.
- **Concept of Operations**: Captures the sequence and scope of the planned response, explaining the overall approach to the emergency situation.
- **Responsibilities**: Provides outline of roles and responsibilities of each responding agency.

Coordinating agencies are responsible for:
- Orchestrating the coordinated delivery of functions and procedures identified in the annex;
- Providing staff for operations functions at fixed and field facilities;
- Managing tasks with support agencies as well as other appropriate agencies;
- Working with appropriate private-sector organizations to maximize use of available resources;
- Supporting and keeping ESFs and other organizational elements informed of annex activities;
- Planning for short- and long-term support to incident management and recovery operations; and
- Conducting preparedness activities such as training and exercises to maintain personnel who can provide appropriate support.

Supporting agencies are responsible for:
- Conducting operations, when requested, using their own authorities, subject-matter experts, capabilities, or resources;
- Participating in planning for short- and long-term incident management and recovery operations, and the development of operational plans, standard operating procedures, checklists, or other job aids, in concert with existing first-responder standards;
- Furnishing available personnel, equipment, or other resource support as requested by the incident annex coordinator; and
- Participating in training and exercises aimed at a continuous improvement of prevention, response, and recovery capabilities.

The following pages provide more detailed information for each of the 14 ESF annexes.

Module 6: ESF Format Annexes

ESF #1 – Transportation

Emergency Support Function #1 – Transportation provides coordination of transportation assets to support emergency operations.

Areas of responsibility include:
- Management and control of aviation/airspace;
- Facilitating transportation safety;
- Restoration/recovery of transportation infrastructure;
- Restriction of movement; and
- Assessment of impact and damage.

Resources may be used to assist in:
- Evacuating persons from threatened or immediate danger;
- Monitoring, control, and coordination of vehicular traffic flow;
- Providing infrastructure status reports for all modes of transportation;
- Identifying obstructions and damage to the multi-modal transportation infrastructure, as well as general impact assessment in support of State Emergency Response Team priorities; and
- Prioritizing and initiating emergency work tasking to clear debris and obstructions from, and make emergency repairs to, the multi-modal transportation infrastructure.

Examples of support agencies that could be involved in ESF #1, Transportation, and the role they play include:

Agency	Role
Public Works and Engineering	Coordinate personnel and equipment to clear roads and transportation access route into disaster area.
Public Safety and Security	Provide personnel to support the escort of critical lifesaving supplies.
Civil Air Patrol	Provide air support. Provide aerial photo damage assessment.
Department of Corrections	Provide manpower for emergency debris removal.
Department of Education	Make all education system transportation resources outside of the affected area(s) available.

Module 6: ESF Format Annexes
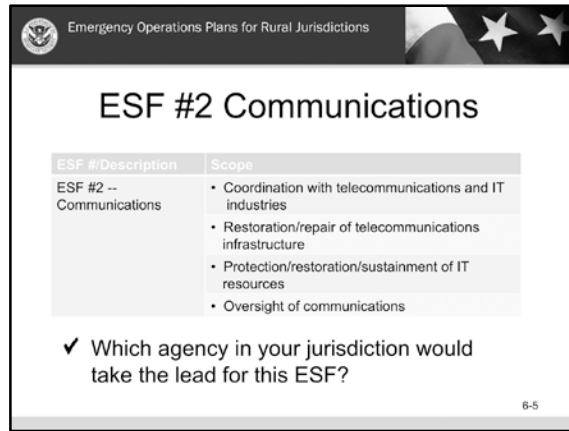
ESF #2 – Communications

Emergency Support Function 2 -- Communications describes the communications systems and capabilities available during emergency operations. This ESF provides for the coordination of related personnel, equipment and supplies, and ensures that all reasonable efforts have been made to protect communication systems, computer hardware, software and data in the event of an emergency.

Areas of responsibility include:
- Coordinating with telecommunications and information technology industries;
- Restoring and repairing telecommunications infrastructure;
- Protecting, restoring, and sustaining cyber and information technology resources; and
- Overseeing communications within the Federal incident management and response structures.

Activities may also include:
- Emergency warning;
- Information and guidance to the public; and
- Facilitation of resources for communications backup.

Examples of support agencies that could be called upon to provide communications support include:

• Department of Conservation and Natural Resources
• Department of Homeland Security
• Radio Amateur Civil Emergency Service
• Amateur Radio Emergency Service
• Department of Public Safety
• Highway and Transportation Department

These agencies could be called upon to staff an EOC or to provide assets to assist emergency operations agencies with their efforts to communicate during an emergency.

Module 6: ESF Format Annexes
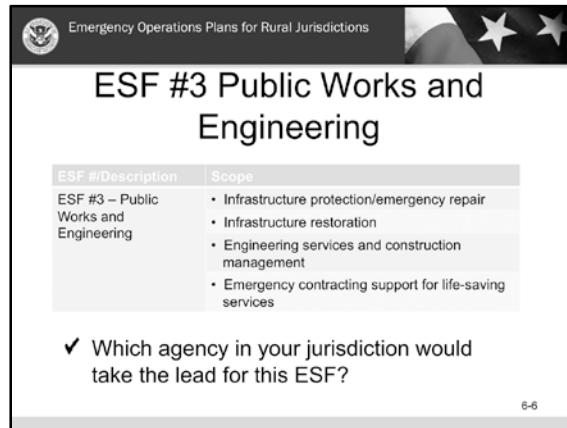
ESF #3 – Public Works and Engineering

The purpose of this ESF is to ensure effective employment of all available public works and maintenance assets, engineering and construction assets, public water and sewer systems and debris management programs that may be used during large-scale emergencies.

Areas of responsibility include:
- Infrastructure protection and emergency repair;
- Infrastructure restoration;
- Engineering services and construction management; and
- Emergency contracting support for life-saving and life-sustaining services.

Activities include:
- Providing technical advice and evaluations;
- Providing engineering services, construction;
- Clearing debris from emergency roads (in conjunction with ESF-1); and
- Facilitating flood control and emergency repair of waste and water facilities.

Examples of support agencies that could be involved in ESF #3, Public Works & Engineering, and the role they play include:

Agency	Role
Department of Environmental Management	Provide personnel for the damage assessment relating to the restoration of the water supply.
Department of Public Health	Coordinate location, restoration, or provision of potable water.
Military Department	Provide manpower and equipment to support public works and infrastructure needs.
Department of Conservation and Natural Resources	Identify ecologically sensitive areas. Provide watercraft support.
Department of Corrections	Provide manpower.

Module 6: ESF Format Annexes

ESF #4 – Firefighting

The firefighting ESF defines the role of the fire department/agency in the event of an emergency.

Responsibilities under this ESF include:
- Coordinating firefighting activities;
- Supporting wildland/rural firefighting operations; and
- Supporting hazardous materials incidents.

Activities under this ESF provide:
- Firefighting technical advice and evaluations;
- Fire protection services;
- Fire extinguishment;
- Emergency medical services;
- Limited hazardous materials response services; and
- Limited technical rescue operations for immediate life-threatening situations and water-rescue operations, as needed.

Examples of support agencies that could be involved in ESF #4, Firefighting, and the role they play include:

Agency	Role
Department of Conservation and Natural Resources	Provides manpower, equipment, and advice for fire control and law enforcement.
Department of Public Health	Provides information on toxicity of fires and provides information on health protection.
Department of Transportation	Provides manpower and equipment for fire suppression assistance.
Department of Agriculture	Provides information and assistance in relocating livestock and/or exotic animals.

Module 6: ESF Format Annexes

ESF #5 – Information and Planning

This ESF collects, analyzes, processes, and disseminates information about a potential or actual incident and conducts planning activities to facilitate the overall activities in providing assistance to the whole community.

Responsibilities include:

- Coordinates development of overall situational awareness;
- Coordinates planning process at incident command, EOC, or multiagency coordination center; and
- Incident action planning.

Activities include:
- Functions that are critical to support and facilitate multiagency planning and coordination;
- Crisis and incident action planning;
- Information collection, analysis, and management; and
- Other support as required.

Examples of support agencies that could be involved in ESF #5, Information and Planning, and the role they play include:

Agency	Role
National Guard	Provide personnel to support ESF #5 operations.
Department of Natural Resources	Develop and disseminate weather data, forecasts, and emergency information related to land, air, and maritime resources and conditions.
Department of Public Safety	Provide state law enforcement officers to issue updated information on road conditions, road closings, and evacuation routes during all shifts.
Educational Television Network	Set up a phone bank with up to 24 lines within four hours of notification.

Module 6: ESF Format Annexes

ESF #6 – Mass Care, Emergency Assistance, Temporary Housing, and Human Services

The Mass Care ESF (#6) describes the coordinated effort between government and community service organizations to provide basic human needs support (to people affected by a disaster.

Responsibilities include:
- Mass care;
- Emergency assistance;
- Disaster housing; and
- Human services.

Activities include:

- Establishing a working strategy to support the delivery of mass care services of shelter and feeding of disaster victims;
- Establishing system to provide bulk distribution of emergency relief supplies to disaster victims; and
- Collecting information to operate a disaster welfare information system for the purpose of reporting victim status and assisting in family reunification.

Examples of support agencies that could be involved in ESF #6, Mass Care, and the role they play include:

Agency	Role
American Red Cross	Open and staff shelters in response to local needs.
Department of Aging	Work with area agencies on aging to identify and address unmet needs among elderly populations in the disaster area.
Department of Education	Provide listing of schools that can be used for shelters or to support shelter activities.
Department of Health	Coordinate with local health districts to ensure that functional needs of those with medical needs are met during a disaster.

Module 6: ESF Format Annexes

ESF #7 – Logistics

The Logistics Management and Resource Support ESF provides guidance for emergency acquisition, staging, distribution, conservation, and use of essential resources, whether human, financial, equipment or other types.

Responsibilities include:
- Comprehensive logistics planning, management, and sustainment capability; and
- Resource support (facilities space, office equipment and supplies, contracting services, etc.).

Activities under this ESF include:
- Coordinating acquisition of resources through MAAs for all functional areas/groups; and
- Providing coordination, warehousing, movement and documentation of personnel, supplies, facilities, and services used during disaster response and relief efforts.

Examples of support agencies that could be involved in ESF #7, Logistics Management, and the resources they would be responsible for coordinating include:

Agency	Role
Department of Agriculture	Food
Department of Economic Affairs	Fuel, surplus property
Public Service Commission	Transportation and utilities
Finance Department	Provide contract, facility procurement, and transportation procurement support.

Module 6: ESF Format Annexes

ESF #8 – Public Health and Medical Services

The Public Health and Medical Services ESF provides coordination of government resources for health services, medical and personal care, and facilitates and/or coordinates the provision of private resources for medical and personal care for disaster victims.

Responsibilities include:
- Public health;
- Medical;
- Mental health services; and
- Mass fatality management.

Activities include:
- Coordinating care and treatment for the ill and injured;
- Mobilizing health and medical personnel, supplies, materials and facilities; and
- Providing public health and environmental sanitation services, disease and vector control, and the collection, identification and protection of human remains.

Examples of support agencies that could be involved in ESF #8, Public Health, and the role they would play include:

Agency	Role
Military Department	Coordinate medical units/deployment. Coordinate transportation logistics. Provide food service/response personnel. Provide patient evacuation support. Provide security.
Department of Public Safety	Provide emergency transportation of medical supplies.
Department of Forensic Sciences	Provide support to local coroners in identifying the deceased and taking care of them.
Department of Agriculture	Provide support related to zoonotic disease and food supply.

Module 6: ESF Format Annexes

ESF #9 – Search and Rescue

The Search and Rescue ESF ensures effective employment of all available search and rescue assets and resources during large-scale emergencies or disasters that require such services.

Responsibilities include:
- Life-saving assistance; and
- Search and rescue operations.

Activities include:
- Providing resources for ground, water, and airborne search and rescue; and
- Providing for specialized emergency response and rescue operations.

Examples of support agencies that could be involved in ESF #9, Search & Rescue, and the role they would play include:

Agency	Role
Department of Conservation and Natural Resources	Provide watercraft and personnel.
Department of Corrections	Provide personnel.
Forestry Commission	Provide equipment and personnel.
Department of Public Safety	Provide law enforcement, aerial search and rescue and aerial observation.
Sheriff's Department	Provide mutual aid, law enforcement, aerial search and rescue and aerial observation.
Board of Funeral Services	Provide mortuary resource support.

Module 6: ESF Format Annexes

ESF #10 – Oil and Hazardous Materials Response

The Hazardous Materials ESF ensures effective employment of all available local hazardous materials and resources that may be used during hazardous materials incidents.

Responsibilities include:
- Oil and hazardous materials response (chemical, biological, radiological, etc.), and
- Environmental short- and long-term cleanup.

Activities under this ESF include providing details of EOC operations pertaining to:
- Hazardous material technical advice and evaluations;
- Hazardous materials scene evacuation procedures;
- Containment and control procedures;
- Fire suppression as it relates to a hazardous materials incident; and
- Emergency medical services related to a hazardous materials incident.

Examples of support agencies that could be involved in ESF #10, Oil and Hazardous Materials, and the role they would play include:

Agency	Role
Department of Public Safety	Provide evacuation assistance in coordination with local law enforcement and the state and/or local emergency management agencies.
Department of Public Health	Provide response to all emergencies associated with radioactive materials or ionizing radiation.
Department of Agriculture	Assist in identification, containment, and disposal of pesticides, insecticides, and herbicides.
Department of Insurance	Provide a coordinator/representative when incidents involve fire or where state fire codes have been violated.

Module 6: ESF Format Annexes
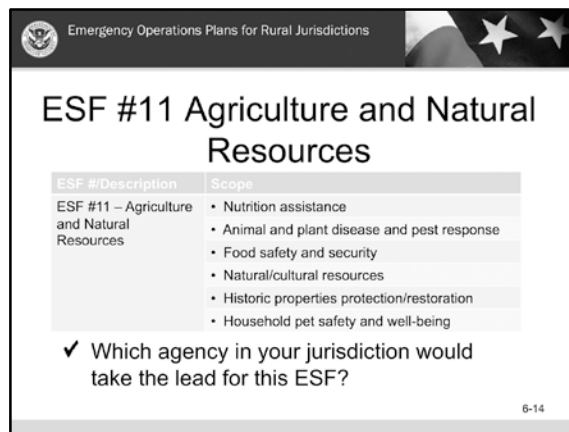
ESF #11 – Agriculture and Natural Resources

The Agriculture and Natural Resources ESF is responsible for the coordination and identification of food requirements for disaster-affected areas.

Responsibilities include:
- Nutrition assistance;
- Animal and plant disease and pest response;
- Food safety and security; and
- Natural and cultural resources and historic properties protection and restoration.

Activities under this ESF include:
- Identifying food assistance needs;
- Obtaining appropriate food supplies;
- Arranging for transportation of food supplies to designated staging areas; and
- Authorizing disaster food stamp assistance.

Examples of support agencies that could be involved in ESF #11, Agriculture and Natural Resources, and the role they would play include:

Agency	Role
Department of Health	Assist in investigating and reporting diseases when human health is involved. Provide advice regarding health effects of the incident, if any, to the public.
Game and Fish Commission	Provide assistance with vector control; may assist in identifying locations of cleaning and disinfecting stations.
Cooperative Extension Services	Help individual producers in developing prevention and response plans for their farms.
State Police	Support response activities and control access and movement.

Module 6: ESF Format Annexes
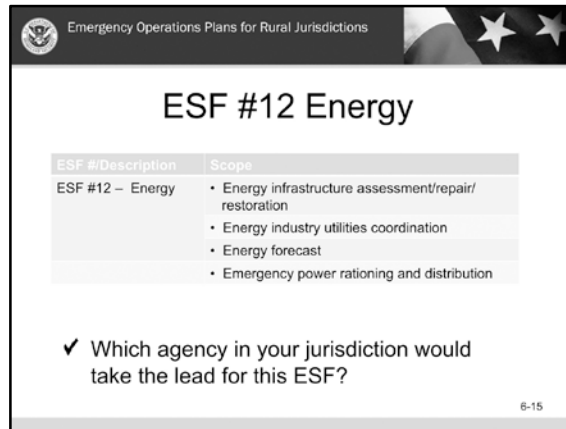
ESF #12 – Energy

The purpose of ESF 12 is to facilitate the restoration of damaged energy systems and components in the event of an emergency.

Responsibilities include:
- Energy infrastructure assessment, repair and restoration;
- Energy industry utilities coordination; and
- Energy forecast.

Activities under this ESF include:

- Collecting, evaluating, and sharing information on energy system damage and estimating the impact of energy system outages within affected areas; and
- Providing information concerning energy restoration, including projected schedules, percentage and geography of restored services.

Examples of support agencies that could be involved in ESF #12, Energy, and the role they would play include:

Agency	Role
Department of Energy	Identify any utility issues that may affect other energy sources. Provide representation at the EOC as needed.
National Guard	Provide emergency debris clearance to clear an access path into the disaster area for emergency vehicles.
Highway and Transportation Department	Provide assistance with permitting oversize and overweight loads in the event of a disaster. Provide information regarding pre-designated transportation/evacuation routes.

Module 6: ESF Format Annexes
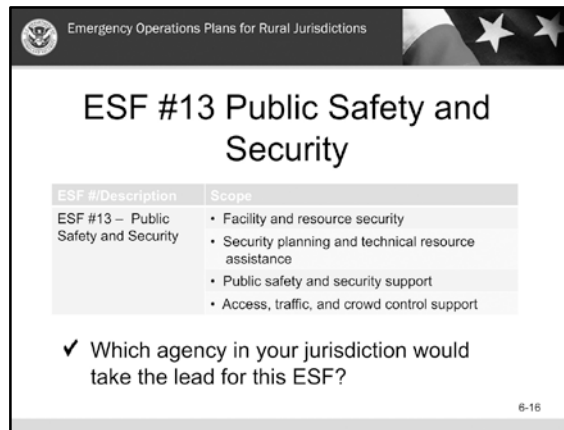
ESF #13 – Public Safety and Security

Responsibilities include:
- Facility and resource security;
- Security planning and technical resource assistance;
- Public safety and security support; and
- Support to access, traffic and crowd control.

Activities under the Public Safety and Security ESF include:
- Maintaining law and order;
- Protecting life and property;
- Undertaking traffic control;
- Providing law enforcement support to other law enforcement agencies;
- Guarding essential facilities and supplies; and
- Coordinating law enforcement mutual aid.

Examples of support agencies that could be involved in ESF #13, Public Safety and Security, and the role they would play include:

Agency	Role
Military Department	Provide assistance to civilian forces in patrolling, establishing roadblocks, directing traffic, protecting key facilities, etc., when effects of a disaster exceed local law enforcement capabilities.
Public Service Commission	Allocate and/or prioritize public and private transportation for the transport of personnel, materials, goods, and services to impacted areas by highway, rail, air, and water.
Criminal Justice Information Center	Provide information support.

Module 6: ESF Format Annexes
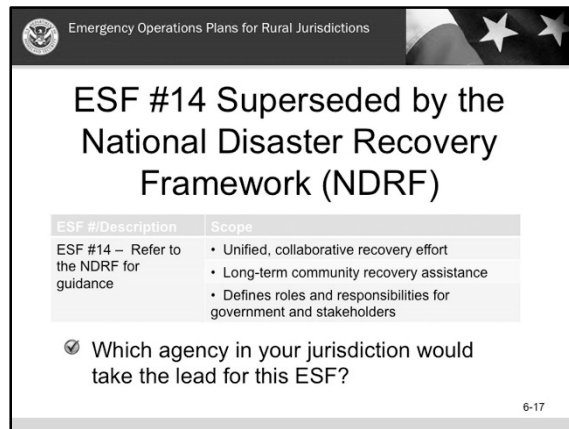
ESF #14 – Superseded by the National Disaster Recovery Framework (NDRF)

As of May 2013, the NDRF replaces the guidance previously issued under ESF #14 *Long-Term Community Recovery*. The purpose of the NDRF is to provide guidance that enables effective recovery support to disaster-impacted States, Tribes and local jurisdictions. The framework provides a flexible structure that enables disaster recovery managers to operate in a unified and collaborative manner and clarifies the roles and responsibilities for stakeholders. In your plan use this as a placeholder for disaster recovery activities including:

- Conducting preliminary and post-event damage assessments;
- Conducting loss analysis; and
- Coordinating efforts to address long-term recovery and recovery planning support.

Community stakeholders that should be involved in disaster recovery along with government officials include:

Agency	Role
Individuals and Households	Carrying adequate insurance, maintaining essential levels of supplies (e.g. medication, food, water), and maintaining awareness of public information
Private Sector (Business Community and Critical Infrastructure Owners/Operators)	Adopt and exercise business continuity plans to minimize disruptions, create coordination opportunities with other private sector leaders, re-establish operations following a disaster, educate and empower customers/community to build resilience, maintain adequate all-hazards insurance policies
Non-Profit Sector (Voluntary, Faith-Based/Community Organizations, Charities, Foundations and Philanthropic Groups, Professional Associations and Academic Institutions)	Provide economic and growth assistance to localities and technical assistance to affected business owners and operators.

Module 6: ESF Format Annexes
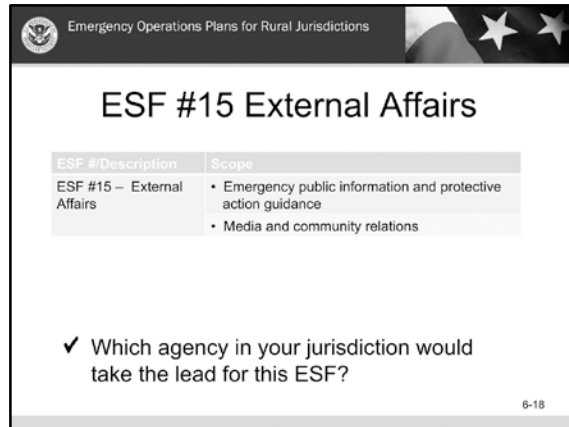
ESF #15 – External Affairs

The purpose of ESF 15 is to provide accurate, coordinated, timely and accessible information to affected audiences, including the media, the private sector and the local populace.

Responsibilities include:
- Emergency public information and protective action guidance; and
- Media and community relations.

Activities under this ESF include:
- Coordinating messages with public affairs representatives from all involved departments and agencies; and
- Ensuring the coordinated release of information.

Examples of support agencies that could be involved in ESF #15, External Affairs, and the role they would play include:

Agency	Role
Department of Agriculture	Perform public information services for their respective agencies in coordination with the EMA and the governor's office.
American Red Cross	
Department of Public Safety	
Public Utilities	

Module 6: ESF Format Annexes
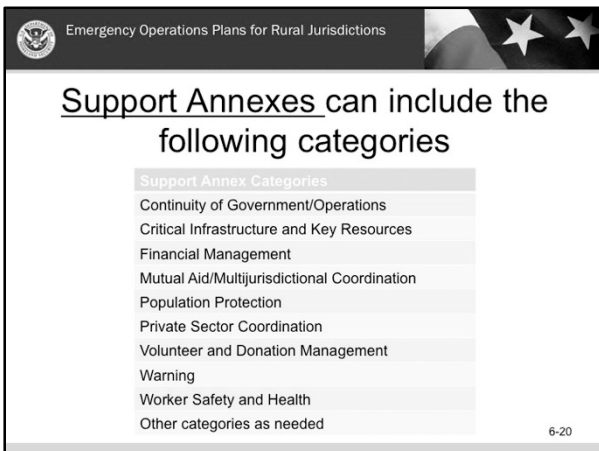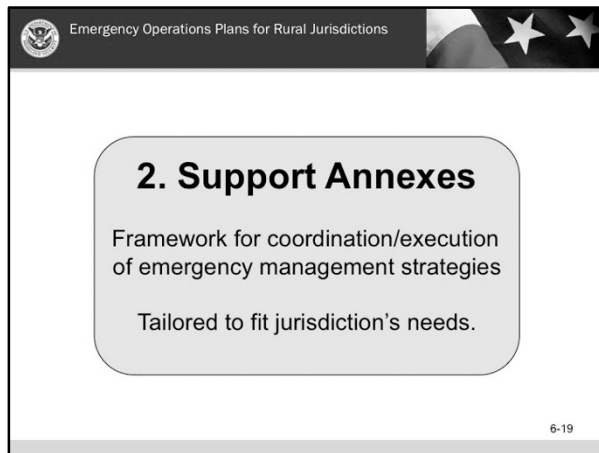
2. Support Annexes

A variety of procedures and administrative functions are required in support of incident management. Support annexes describe how involved agencies will coordinate and execute these functional and administrative activities.

Support annexes apply to the majority of incidents, and address the following areas:

- Continuity of government/operations;
- Critical infrastructure and key resources;
- Financial management;
- Mutual aid/multijurisdictional coordination;
- Population protection;
- Private sector coordination;
- Volunteer and donations management;
- Warning; and
- Worker safety and health.

See appendix C for a sample support annex.

Module 6: ESF Format Annexes
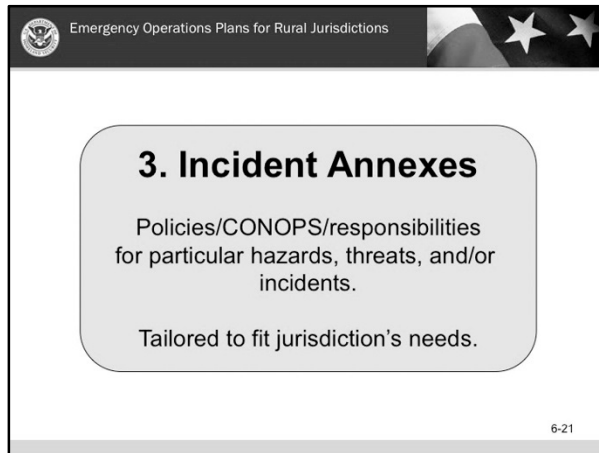
3. Hazard-, Threat-, and Incident-Specific Annexes

Incident annexes describe the policies, situation, concept of operations, and responsibilities for particular hazards, threats, or incident according to a jurisdiction's needs. Hazards, threats, and incidents can include:

- Hurricanes;
- Earthquakes;
- Flooding;
- Cyber incidents;
- Catastrophic incidents;
- Nuclear/radiological incidents;
- Biological incidents; and
- Terrorism incidents.

In module 4, you determined the planning necessary for resolving a local incident. In the below activity, you will identify planning needed to resolve a county-wide incident. Determine the ESF annexes that would be referenced as a means of resolving the following county-wide incident.

Module 6: ESF Format Annexes - Activity

Become familiar with the below map for the purpose of resolving a county-wide scenario.

Welcome to Coale, Green County
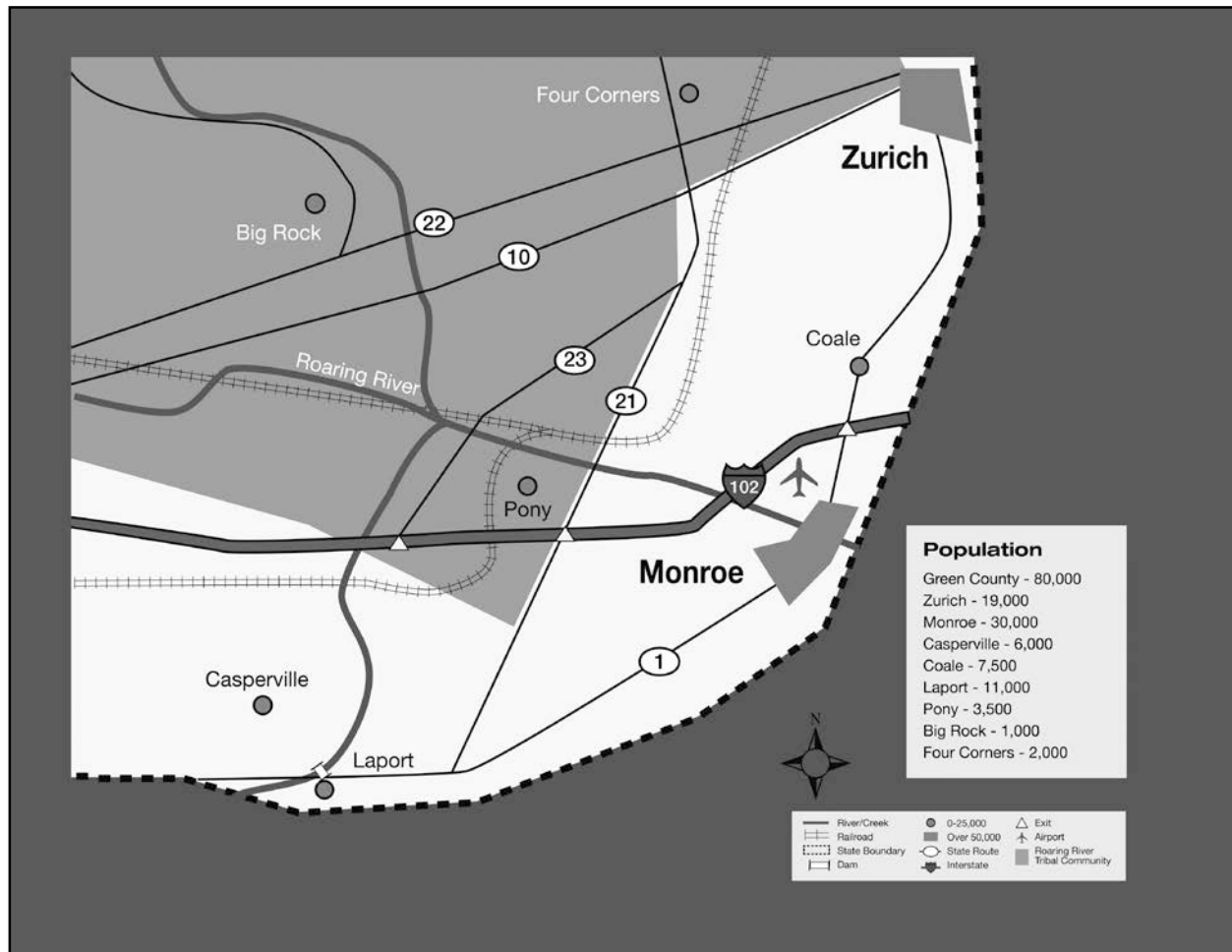
Module 6: ESF Format Annexes – Activity (Cont.)

Scenario

It is the early evening of Saturday, July 4th. The town of **Coale** is sponsoring its annual community picnic and fireworks display on the shore. Residents of Coale have assembled on the beach, where they enjoy live music and a barbeque dinner sponsored by area businesses and the town. Fireworks will be set off from a barge offshore, and many area residents have anchored their boats offshore to watch the display. The forecast for the day includes a chance of showers, with possible thunderstorms later in the evening.

At approximately 8:45 p.m., storms begin in extreme western Green County and Doppler radar shows that the band of storms is displaying a bow echo on radar, indicating strong winds. The storm brings strong winds in excess of 75 mph and sweeps through Green County at 60 mph. The entire county has been impacted by the storm.

In **Coale,** at approximately 9:05 p.m., strong winds pass through the area where the residents are celebrating the Fourth of July. Hundreds of trees are blown down, snapping power lines. Falling trees have trapped second shift workers in the factory, crushed several houses in the residential area, and blocked traffic along Route 1. The picnickers and boaters at the Fourth of July celebration have not had time to seek shelter from the rapidly moving storm. Several residents on the beach have been injured by flying debris, and a young child who was playing near the water's edge is missing. Six boats anchored offshore have been overturned by the strong winds, and three people are unaccounted for. The barge carrying the fireworks has been damaged, and is in danger of sinking.

Casperville, southwest of Coale, has also sustained damage from the wind. The wind has sheared off a line of utility poles, knocking out power along Main Street. Several area businesses have sustained damage and debris has blocked roads in the downtown area. No injuries have been reported. The local police station has lost a patrol car, which was crushed by a falling tree.

In **Pony**, the roof of the Municipal Building has blown off. Fortunately, the building was empty at the time, but the resulting debris has damaged other buildings in the area. The rain from the storm has caused flooding on the Roaring River, which runs through Pony. Bridges have been swept away and homes in the area are threatened by rising water. Several residents are trapped in their homes.

Module 6: ESF Format Annexes – Activity (Cont.)

1. What <u>emergency support function annexes</u> in Green County's EOP would need to be referenced as a means of resolving the above scenario? List them below, along with their corresponding roles(s), in the context of the scenario.

	Emergency Support Function Annexes	Roles and Responsibilities
1	ESF #	
2	ESF #	
3	ESF #	

Module 6: ESF Format Annexes – Activity (Cont.)

2. What <u>support annexes</u> in Green County's EOP would need to be referenced as a means of resolving the above scenario? List them below, along with their corresponding roles(s), in the context of the scenario.

	Support Function Annexes	Roles and Responsibilities
1		
2		
3		
4		
5		
6		
7		
8		
9		

Module 6: ESF Format Annexes – Activity (Cont.)
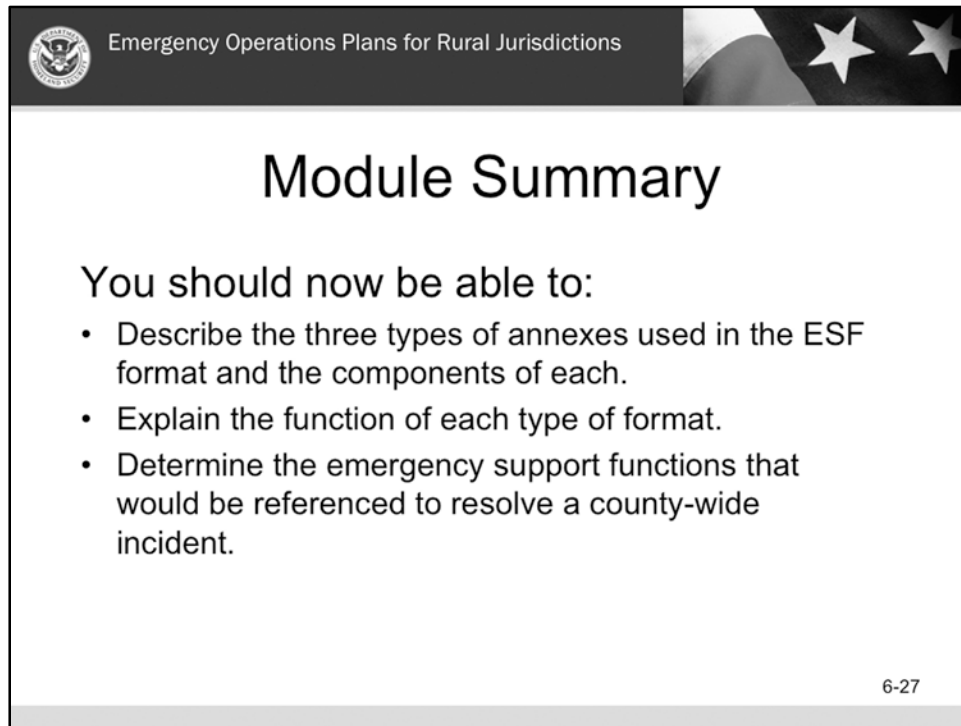
3. What hazard-, threat-, or incident-specific annexes in Green County's EOP would need to be referenced as a means of resolving the scenario? List them below, along with their corresponding roles(s), in the context of the scenario.

	Hazard-, Threat-, and Incident-Specific Annexes	Roles and Responsibilities
1		
2		
3		
4		
5		
6		
7		
8		
9		

Module 6: ESF Format Annexes – Summary

In this lesson, you learned about the components of the Emergency Support Functions format.

You should now be able to:

- Describe the three types of annex used in the ESF format and the components of each.
- Explain the function of each type of annex.
- Determine the emergency support functions that would be referenced to resolve a county-wide incident.

Test your understanding of this material using the review on the next page.

Module 6: ESF Format Annexes – Review

1. Emergency Support Function annexes describe the framework through which a jurisdiction's departments and agencies, the private sector, not-for-profit, and voluntary organization and other NGOs coordinate and execute common emergency management strategies.
    a. True
    b. False

2. The function of the ESF Annexes is: [Check all that apply]
    a. To describe expected mission execution for each emergency phase
    b. To describe the policies, situation, CONOPS, and responsibilities for specific hazards
    c. To identify the coordinator, and primary and support agencies for each emergency function
    d. To assist in the monitoring, control and coordination of incident annex activities.

3. Annexes restate information that is found in the Basic Plan.
    a. True
    b. False

4. Support annexes address functional and administrative activities related to which of the following? [Check all that apply]
    a. Mutual aid/multijurisdictional coordination
    b. Worker safety and health
    c. Evacuation assistance
    d. Population protection

Congratulations! You have completed Module 6. In the next module, you will be provided information about supplemental documents.

Module Seven
Supplemental Documents

Raleigh, NC, April 20, 2011 -- Volunteer workers band together to help survivors clean up debris and complete temporary repairs following the severe storms and deadly tornadoes that damaged or destroyed homes and businesses across North Carolina on April 16, 2011. David Fine/FEMA

Module 7: Supplemental Documents - Administrative Page

Duration

This module is a self-paced, take home module.

Scope Statement

The emergency operation plan is not the only type of plan used for emergency planning. There are several others that support and supplement the EOP: administrative plans, mitigation plans, preparedness plans, and recovery plans. In this module we will focus on these additional types.

Terminal Learning Objectives (TLO)

Describe the additional types of plans beyond the emergency operation plan particularly administrative plans, mitigation plans, preparedness plans and recovery plans.

Enabling Learning Objectives (ELO)

Students will be able to:
7-1.   List additional types of plans.
7-2.   List various types of procedural documents.
7-3.   Specify the purpose of procedural documents.
7-4.   Explain the main reason for linking procedural documents to EOPs.

Resources

Participant Guides

Reference List

Federal Emergency Management Agency. ICS Resource Center. Retrieved from https://training.fema.gov/emiweb/is/icsresource/.

Federal Emergency Management Agency. National Incident Management System. Retrieved from https://www.fema.gov/national-incident-management-system.

Module 7: Supplemental Documents

> This module is meant to be self-led.
> Participants may take this with them to use for future reference.

Module 7: Supplemental Documents

Module 7: Supplemental Documents

Additional Types of Plans

The emergency operations plan is not the only type of plan used for emergency planning. There are several kinds of plans that support and supplement the EOP. They are:

- Administrative plans,
- Mitigation plans,
- Preparedness plans, and
- Recovery plans.

Administrative Plans

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

Module 7: Supplemental Documents
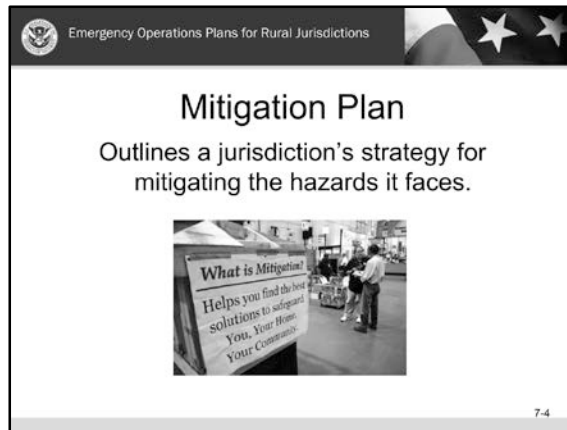
A FEMA mitigation specialist describes the building techniques used to construct this mitigation model to a local resident. FEMA promotes rebuilding damaged homes and building new homes in ways that resist damaging winds.

Fairfield, Ala., June 20, 2014 -- Pat Crawford, a FEMA Mitigation Community Education Outreach (OEC) specialist talks to a resident at a Lowe's Hardware store in Fairfield, AL. FEMA is working with local businesses to provide information to residents who may have been affected by recent storms. Patsy Lynch/FEMA - Location: Fairfield, AL

Mitigation Plans

A mitigation plan outlines a jurisdiction's strategy for mitigating the hazards it faces. In fact, it is required of states that seek funds for post-event mitigation after presidential declarations under the Stafford Act.

Mitigation planning is often a long-term planning effort and may be part of or tied to the jurisdiction's strategic development plan or other similar documents. Mitigation planning committees may differ from operational planning teams in that they include zoning boards and individuals with long-term cultural or economic interests. Existing plans for mitigating hazards are relevant to an EOP, particularly in short-term recovery decision making, which can affect prospects for effective implementation of a mitigation strategy aimed at reducing the long term risk to human life and property in the jurisdiction.

Module 7: Supplemental Documents
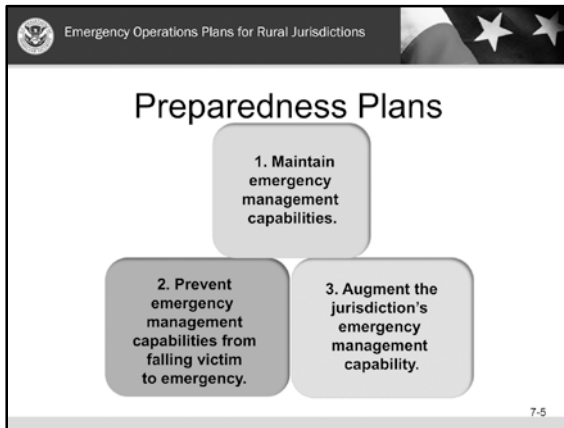
Preparedness Plans

Preparedness plans outline a process and schedule for training and exercising as a means of identifying deficiencies with regard to threats, vulnerabilities, and resource capabilities. The deficiencies identified through training and exercising is in turn used to create plans for building facilities and procuring equipment that can withstand the effects of hazards facing a jurisdiction. Details of preparedness activities are incorporated into EOPs as assumptions.

In short, preparedness plans serve three purposes:

1. Maintain emergency management capabilities.

2. Prevent emergency management capabilities themselves from falling victim to emergency.

3. Augment the jurisdiction's emergency management capability.

Pine Ridge, S.D., February 10, 2014 -- The Oglala Sioux Tribe hosted the L580 Emergency Management Framework for Tribal Governments training at the Prairie Winds Casino and Hotel on the Pine Ridge Tribal Reservation in South Dakota. The training included 31 participants, including officials from six tribes in South Dakota and North Dakota, who took part in the course.

Module 7: Supplemental Documents

Emergency Operations Plans for Rural Jurisdictions

Recovery Plan

FEMA

Enables jurisdictions to effectively direct recovery activities and expedite a unified recovery effort.

7-6

Recovery Plans

This type of plan is developed prior to a disaster to enable jurisdictions to effectively direct recovery activities and expedite a unified recovery effort. Pre-incident planning performed in conjunction with community development planning helps to establish recovery priorities, incorporate mitigation strategies in the wake of an incident, and identify options and changes that should be considered or implemented after an incident. Post-incident community recovery planning serves to integrate the range of complex decisions in the context of the incident and works as the foundation for allocating resources.

Procedural Documents

The main characteristic of any procedural document is that it describes how to accomplish specific activities that are required to finish a task or achieve a goal or objective. Plans answer the question, "What?" and procedural documents answer the question, "How?" There are four types:

- Overviews,
- Standard operating procedures (SOPs),
- Field operations guides (FOGs) or handbooks, and
- Job aids.

The main reason for linking EOPs with these procedural documents is to provide participants with guidance in terms of how to accomplish specific activities, tasks, goals, and/or objectives that are outlined in the EOP. The pages to come will explain each of the above procedural documents in detail but first let's examine the many differences between planning documents and procedural documents.

Module 7: Supplemental Documents

✅ What is the difference between a plan and a procedural document?

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

Answer: Plans outline what needs to be accomplished in terms of operational priorities, goals, and objectives by assigning broad responsibilities to local government agencies and support organizations for disaster mitigation, preparedness, response, and recovery. Procedural documents, on the other hand, specify how goals and objectives can best be achieved by individuals and teams.

Module 7: Supplemental Documents
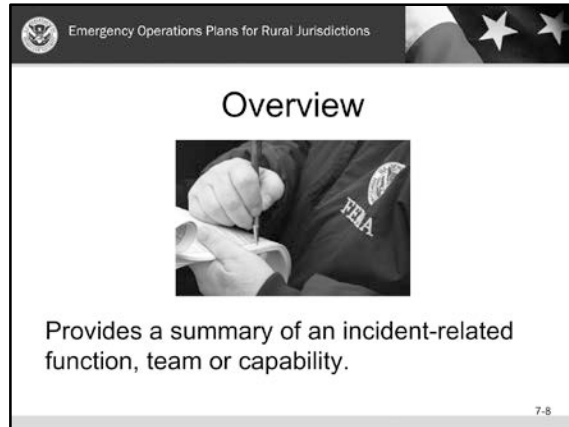
Overview

This kind of procedural document provides a summary of an incident-related function, team, or capability. There could be two types of overview:

1. Those that explain general protocols and procedures in an EOC, and

2. Those that are specific to a functional team or area.

The first type serves as the bridge between all functional or hazard-specific planning annexes and procedural documentation. It typically contains a layout. Those that explain general protocols of the EOC describe activation levels, and identify which functions or sections are responsible for planning, operational, and support activities.

The second type of overview, those specific to functional teams, provides enough information to supporting personnel to help them in activities related to the function, team, or capability summarized by the document. It identifies qualifications to support the team, provides a summary of operational procedures, and defines possible missions in greater detail than is described in plan annexes.

Module 7: Supplemental Documents
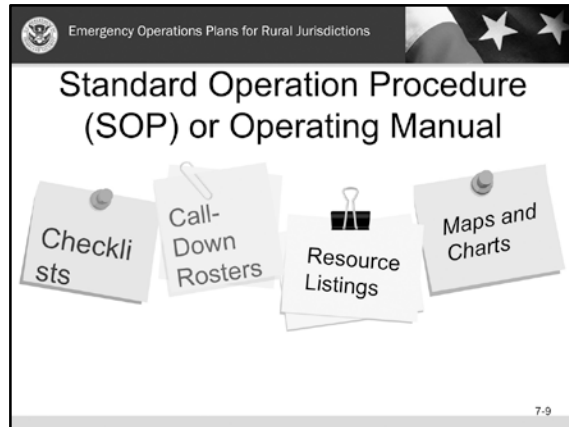
Standard Operation Procedures (SOPs) or Operating Manuals

SOPs provide a complete reference of documents that detail the step-by-step procedures for performing a single function or a number of interdependent functions. These documents are necessary to preserve institutional experience and ensure information is not lost during staff turnover. SOPs are typically task-oriented. An SOP may outline procedures for how to activate a siren system or issue an emergency alert system (EAS) message. SOPs should be developed by individuals who are typically engaged in emergency activities because they are extremely specific.

SOPs are very useful because they provide a means to translate organizational tasks into specific action-oriented checklists. Following are various types of SOPs:

- Checklists
- Call-down rosters
- Resource listings
- Maps and charts

They give step-by-step procedures for notifying staff; obtaining and using equipment, supplies, and vehicles; obtaining mutual aid; reporting information to organizational work centers and the EOC; communicating with staff members who are operating from more than one location, etc. Development of certain procedures is required in REPP, CSEPP, and Emergency Planning and Community Right-to-Know Act (EPCRA) planning.

Module 7: Supplemental Documents

Field Operational Guide (FOG) or Handbook

Durable pocket/desk guides that contain information required to perform specific assignments or functions.
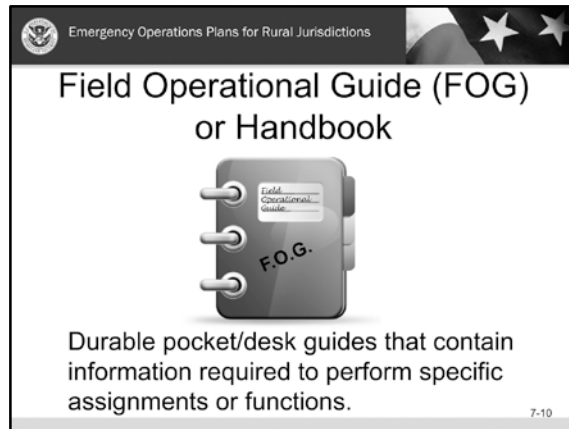
Field Operations Guides (FOGs) or Handbooks

FOGs are durable pocket or desk guides that contain essential information required to perform specific assignments or functions. These types of guides are designed for people who need to know information only about the procedures they are likely to perform or portions of an SOP appropriate for the missions they are likely to complete. It gives them an accurate and complete picture of the positions they fill. FOGs are essentially short versions of SOPs.

Job Aids

Checklists, maps, charts

Procedural document designed to help users perform a task.
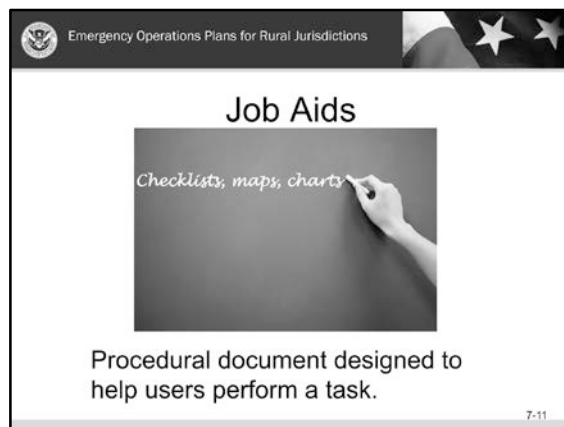
Job Aids

This is another type of procedural document which is designed to help users perform a task. They are telephone rosters, report templates, software or machine operating instructions, and task lists. FOGs often include job tasks to help relatively inexperienced EOC personnel complete their assigned tasks or as a reference for experienced personnel.

When developing a procedural document, ask yourself: What does the entire audience of this part of the plan need to know how to do or have set out as a matter of public record?

Procedural documents and EOPs should be contained as separate documents, with EOPs, referencing procedural documents as appropriate.

Module 7: Supplemental Documents

A. FOG

B. Job Aid

C. SOP

D. Overview

1. _____ Provides summaries of incident related functions, teams, or capabilities.

2. _____ Step-by-step procedures to include checklists, maps, or charts.

3. _____ Pocket or desk guide.

4. _____ Telephone roster, talk list, report template.

Answers:
  1. D   **2.** C   **3.** A   **4.** B

Module 7: Supplemental Documents - Summary

In this module you explored various types of documents that supplement and support EOPs.

You should now be able to:
- List additional types of plans.
- List various types of procedural documents.
- Specify the purpose of procedural documents.
- Explain the main reason for linking procedural documents to EOPs.

Module 7: Supplemental Documents - Review

1. What additional plans were introduced in this module? Choose the best answer.

    a. Administrative, Mitigation, Preparedness, and Recovery

    b. Mitigation, Preparedness, and Procedural documents

    c. SOPs, FOGs, and Job Aids

    d. SOPs, FOGs, Job Aids, and Overviews

2. What does a mitigation plan do? Choose the best answer.

    a. It is often a short term planning effort that may be tied to other plans.

    b. Utilizes procedural documents to confirm recovery efforts.

    c. Outlines a jurisdiction's preventative strategy for lessening the damage from the hazards it faces.

    d. Concentrates the recovery effort to one specific area or region.

3. What purpose do preparedness plans serve? Select all that apply.

    a. Ensure all EOP plans are updated regularly.

    b. Maintain readiness of existing emergency management capabilities.

    c. Augment the jurisdiction's emergency management capabilities**.**

    d. Prevent emergency management capabilities from becoming redundant and hard to understand.

4. The main reason for linking the EOP to procedural documents is to:

    a. Build up responders' emergency skills so they will be calmer and knowledgeable when a sudden disaster strikes.

    b. Ensure all workers in different areas of their fields know where to go and what to do.

    c. Provide participants with guidance regarding accomplishing specific activities, tasks, goals, and objectives.

    d. Determine when, where, and how certain jobs and responsibilities will be performed.

Answers:
   1. A   **2.** C   **3**. B,C   **4.** C

Congratulations! You have completed Module 7 and the Emergency Operations Plans for Rural Jurisdiction Course. Best of luck with your planning!

Appendix A

Acronyms

Appendix A: Acronyms

AAM	After Action Meeting
AAR	After-Action Report
AAR/IP	After Action Report/Improvement Plan
CAP	Corrective Action Program
CEH	Controller/Evaluator Handbook
COSIN	Controller Staff instruction
DDS	Design and Development System
EEG	Exercise Evaluation Guide
EOP	Emergency Operations Plan
ESF	Emergency Support Functions
EVALPLAN	Evaluation Plan
EXPLAN	Exercise Plan
FE	Functional Exercise
FPM	Final Planning Meeting
FSE	Full-Scale Exercise
HSEEP	Homeland Security Exercise and Evaluation Program
IC	Incident Command
IPM	Initial Planning Meeting
MAA	Mutual Aid Agreement
MACC	Multi-agency Coordination Center
MPM	Midterm Planning Meeting
MSEL	Master Scenario Events List
MTEP	Multi-year Training and Exercise Plan

NEX	National Exercise Schedule
NIMS	National Incident Management System
POC	Point of Contact
SMART	Specific, Measurable, Achievable, Relevant, Time-bound
SITMAN	Situation Manual
TEPW	Training and Exercise Planning Workshop
TTX	Tabletop Exercise
UC	Unified Command
UTL	Universal Task List

Appendix B

Glossary

Appendix B: Glossary

After-Action Report	Any form of retrospective analysis on a given sequence of goal-oriented actions previously undertaken.
After Action Report/Improvement Plan	The final product of an exercise. The AAR/IP has two components: an AAR, which captures observations and recommendations based on the exercise objectives as associated with the capabilities and tasks; and an IP, which identifies specific corrective actions, assigns them to responsible parties, and establishes targets for their completion. The lead evaluator and the exercise planning team draft the AAR and submit it to conference participants prior to an After Action Conference. The draft AAR is distributed to conference participants for review no more than 30 days after exercise conduct. The final AAR/IP is an outcome of the After Action Conference and should be disseminated to participants no more than 60 days after exercise conduct.
Case Study	A particular instance of something used or analyzed to illustrate a principle.
Corrective Action Plan	A plan implemented to address identified weaknesses.
Controller/Evaluator Handbook	Supplements for operations-based exercises, containing more detailed information about the exercise scenario and describing exercise controllers' and evaluators' roles and responsibilities. Because the C/E Handbook contains information on the scenario and exercise administration, it is distributed only to those individuals specifically designated as controllers or evaluators.
Core Capabilities	Thirty-two (32) activities as defined by the National Preparedness Goal that address the greatest risks to the Nation. Each of the core capabilities is tied to a capability target.
Detailed Events	Exercise injects designed to prompt one or more expected actions for one or more participating organizations.
Discussions-based Exercise	Exercise that familiarizes players with, or develop new, plans, policies, agreements and procedures, and are focused on strategic, policy-oriented issues. Includes seminars, workshops, tabletop exercises (TTXs), and games.
Drill	A coordinated, supervised activity usually employed to validate a specific operation or function in a single agency or organization. Commonly used to provide training on new equipment, develop or validate new policies or procedures, or practice and maintain current skills.

Evaluation Plan	A plan to measure the extent to which goals and objectives of a year plan are met. The evaluation plan is designed to inform and provide evidence to stakeholders and funding agencies about progress being made.
Evaluator	Person with the delegated authority to evaluate the effectiveness of an exercise and the actions of responders within that exercise. Selected from participating agencies, they are chosen based on their expertise in the functional areas they observe.
Evaluation Strategy	A plan for assessing whether exercise participants responded appropriately or skillfully during an exercise, usually involving some kind of objective scoring system.
Exercise Evaluation Guide (EEG)	A template for evaluators in observing and collecting exercise data in relation to objectives and associated core capabilities. Typically identifies targets and critical tasks for exercise objectives and core capabilities and enable evaluators to capture structured and unstructured data regarding exercise performance.
Exercise Plan (ExPlan)	General information document that helps operations-based exercises run smoothly by providing participants with a synopsis of the exercise. Published and distributed to the participating organizations following development of most of the critical elements of the exercise. Assigns activities and responsibilities for exercise planning, conduct, and evaluation.
Expected Actions	A set of target responses tested during an exercise. Expected actions are the appropriate responses to a given scenario.
Functional Exercise	An exercise designed to validate and evaluate capabilities, multiple functions and/or sub-functions, or interdependent groups of functions. Focused on exercising plans, policies, procedures, and staff members involved in management, direction, command, and control functions.
Full-Scale Exercise	A complex, resource-intensive exercise involving multiple agencies, organizations and jurisdictions to validate many facets of preparedness. Often includes many players operating under cooperative systems such as the Incident Command System or Unified Command.
Game	A simulation of operations that often involves two or more teams, usually in a competitive environment, using rules, data, and procedures designed to depict an actual or hypothetical situation.
Homeland Security Exercise and Evaluation Program	Program that provides a set of guiding principles for exercise programs, and a common approach to exercise program management, design and development, conduct, evaluation, and improvement planning.
Injects	Events in a Master Scenario Events List that prompt players to implement the plans, policies, and procedures that planners want the exercise to validate.

Master Scenario Events List	Chronological timeline of expected actions and scripted events to be injected into exercise play by controllers to generate or prompt player activity. Ensures necessary events happen so that all objectives are met. Links simulation to action, enhances exercise experience for players, and reflects an incident or activity meant to prompt players to action.
Major Events	In an exercise, major events are the precipitants to required response, i.e., flood, hazardous materials leak, etc.
Narrative	A short story, five paragraphs or less, told chronologically in present tense that sets the scene of an emergency and explains the situation upon which an exercise scenario will be based.
National Exercise Schedule	A schedule of nationwide exercises planned by the Department of Homeland Security, part of the National Exercise Plan.
National Incident Management System	A system developed by FEMA, and mandated by Homeland Security Presidential Directive 5 (HSPD-5), that provides a consistent, nationwide approach for Federal, State, local, tribal, and territorial governments; the private sector; and nongovernmental organizations to work effectively and efficiently together to prepare for, respond to, and recover from domestic incidents, regardless of cause, size, or complexity. Designed to enhance the ability of the United States to manage domestic incidents by establishing a single, comprehensive system for incident management.
Operational Plan	Different from a strategic plan (which sets forth the general strategies a program will use or initiatives it will undertake to achieve its objectives), an operational plan sets forth the specific projects or activities (consistent with the strategic plan) that will be conducted, and the timetable and resources needed for completing those projects or activities. Also called an Action Plan.
Operations-based Exercise	An exercise used to validate plans, policies, agreements and procedures, clarify roles and responsibilities, and identify resource gaps. Includes drills, functional exercises (FEs), and full-scale exercises (FSEs). Characterized by actual reaction to an exercise scenario, such as initiating communications or mobilizing personnel and resources.
Player Handout	A 1-2 page document, usually handed out the morning of an exercise, which provide a quick reference for exercise players on safety procedures, logistical considerations, exercise schedule, and other key factors and information.
Point of Contract	The single person who represents an organization for a specific task.
Risk	Potential for an unwanted outcome resulting from an incident or occurrence, as determined by its likelihood and the associated consequences.
Seminar	An informal discussion-based exercise designed to orient participants to, or provide an overview of, authorities, strategies, plans, policies, procedures, protocols, resources, concepts, and ideas. Valuable for entities that are developing or making major changes to existing plans or procedures, and when attempting to gain awareness of, or assess, the capabilities of interagency or inter-jurisdictional operations.

SMART	A mnemonic device for remembering how to create exercise objectives. Objectives should be: Specific, Measurable, Achievable, Relevant, Time-bound.
Situation Manual (SitMan)	Handbook provided for TTXs and games as the core documentation that provides the textual background for a multimedia, facilitated exercise. Supports the scenario narrative and serves as the primary reference material for all participants during conduct.
Training and Exercise Plan	Foundation document guiding a successful exercise program. Articulates overall exercise program priorities and outlines a schedule of training and exercise activities designed to meet those priorities.
Tabletop Exercise (TTX)	Discussion-based sessions where key personnel meet in an informal, classroom setting to discuss their roles during an emergency and their responses to a particular emergency situation. TTXs can be used to enhance general awareness, validate plans and procedures, rehearse concepts, and/or assess the types of systems needed to guide the prevention of, protection from, mitigation of, response to, and recovery from a defined incident. Generally, TTXs are aimed at facilitating conceptual understanding, identifying strengths and areas for improvement, and/or achieving changes in attitudes.
Threat and Hazard Identification and Risk Assessment (THIRA)	Standard process for identifying community specific threats and hazards and setting capability targets for each core capability identified in the National Preparedness Goal as required in Presidential Policy Directive (PPD) 8: National Preparedness, to include estimation of resources needed to meet the capability targets.
Universal Task List (UTL)	A menu of 1,600 unique tasks that can facilitate efforts to prevent, protect against, respond to, and recover from the major events that are represented by the National Planning Scenarios. It presents a common vocabulary and identifies key tasks that support development of essential capabilities among organizations at all levels.
Vulnerabilities	Weaknesses in equipment, strategies, tactics, or capabilities that expose organizations to harm/danger.
Workshop	Similar to seminars, workshops involve increased participant interaction and focus on achieving or building a product. Effective workshops entail the broadest attendance by relevant stakeholders. Products produced from a workshop can include new standard operating procedures, emergency operations plans, continuity of operations plans, and mutual aid agreements. To be effective, workshops should focus on a specific issue, and the desired objective, product, or goal must be clearly defined.

Appendix C

Sample Support Annex and
Sample Hazard-Specific
Procedures Annex - Flood

Appendix C.1: Sample Support Annex

Support Annex B – Critical Infrastructure and Key Resources

Coordinating Agency: Department of Homeland Security

Cooperating Agencies: Department of Archives and History

Department of Agriculture and Industries

Department of Banking

Department of Finance

Department of Conservation and Natural Resources

Department of Economic and Community Affairs

Department of Environmental Management

Department of Insurance

Department of Public Health

Department of Public Safety

Department of Transportation

Emergency Management Agency

Historical Commission

Public Service Commission

State Military Department

I. Introduction

A. Purpose

This annex describes policies, roles and responsibilities, and the concept of operations for assessing, prioritizing, and restoring critical infrastructure and key resources (CIKR) of Alabama during actual or potential domestic incidents. The annex details processes to ensure coordination and integration of CIKR-related activities among a wide array of public and private incident managers and CIKR security partners within immediate incident areas as well as at the regional and state levels. Specifically this annex does the following:

- Describes roles and responsibilities for CIKR preparedness, protection, response, recovery, restoration, and continuity of operations relative to National Response Framework (NRF) coordinating structures and National Incident Management System (NIMS) guiding principles.

- Establishes a concept of operations for incident-related CIKR preparedness, protection, response, recovery, and restoration.

- Outlines incident-related actions (including pre-response and post-response) to expedite information sharing and analysis of actual of potential impacts to CIKR and facilitate requests for assistance and information from public- and private-sector partners.

B. Scope

This annex addresses integration of the CIKR protection and restoration mission as a vital component of the State's unified approach to domestic incident management, which also may include CIKR-related national and international considerations.

Critical infrastructure includes those assets, systems, networks, and functions and services supporting various aspects of the state and national government, economy, and society.

Processes outlined herein apply to state departments and agencies during incidents with potential or actual CIKR impacts-and may apply to, or involve, incident managers and security partners at other levels of government and the private sector, including CIKR owners and operators.

CIKR-related processes described in this annex utilize the unified risk-based approach for "steady-state" protection detailed in the National Infrastructure Protection Plan (NIPP). CIKR requirements generated by the threat or incident at hand are coordinated through NRF and NIMS organizational structures. This applies to activities in the local incident area, as well as response and recovery activities outside the incident area, regionally, or nationally.

II. Policies

Policies for CIKR protection and preparedness are established through the following authorities: Homeland Security Act of 2002; Homeland Security Presidential Directive (HSPD) 7, "Critical Infrastructure Identification, Prioritization, and Protection"; the National Strategy for the Protection of Critical Infrastructure and Key Assets; the National strategy for Securing Cyberspace; and other relevant statues, Executive orders, and Presidential directives.

HSPD-7 charges the Secretary of Homeland Security with responsibility for coordinating the overall national effort to enhance the protection of the CIKR of the United States. The directive also designates SSAs with responsibility for coordinating planning-, preparedness-, and protection-related activities within each of the 18 CIKR sectors. This approach provides the structure needed to address the unique characteristics and operating models of each of the sectors.

Further information on a variety of statutes, strategies, and directives that are applicable to CIKR protection and restoration are included in Appendix 2A of the NIPP:

This annex does not alter or supersede existing:

- Statutory responsibilities for CIKR protection, incident management, emergency management, or other related functions under the law.

- Regulatory, contractual, or other legal relationships between Federal agencies and the private sector.

- International agreements, treaties, or other agreements for incident management between the U. S. Government and other countries.

- Agreements for incident management between the State of Alabama and other states.

The following sections provide an overview of the general authorities that guide CIKR-related activities in the context of the NRF. This includes the NIPP, developed as the implementing structure for steady-state CIKR protection; the Robert T. Stafford Disaster Relief and Emergency Assistance Act; and the Defense Production Act.

A. General Process for Requesting Federal Assistance

CIKR-related preparedness, protection, response, and recovery activities operate within a framework of mutual aid and assistance. Incident-related requirements can be addressed through direct actions by owners and operators or with government assistance provided by Federal, State, tribal, or local authorities in certain specific circumstances.

1. **Robert T. Stafford Disaster Relief and Emergency Assistance Act.** Disaster assistance programs generally offer support for incident-related repair, replacement, or emergency protective services needed for infrastructure owned and operated by government entities.

Stafford Act principles permit consideration of private-sector requests for assistance, but the application of these legal principles does not guarantee that needs or requests from private-sector entities will be met in all cases. A private- sector CIKR owner or operator may receive direct or indirect assistance from Federal Government sources when the need:

- Exceeds capabilities of the private sector and relevant State, tribal, and local governments;

- Relates to immediate threat to life and property;

- Is critical to disaster response or community safety; and

- Relates to essential Federal recovery measures.

The process for coordinating requests for assistance and information from private- sector CIKR owners and operators is described in the Concept of Operations section of this annex.

The Defense Production Act (DPA) provides specific authority to expedite supply and strengthen production capabilities for CIKR protection and restoration activities. These authorities include use of the following:
- Priority ratings in the Defense Priorities and Allocations System on contracts and orders for industrial resources.

- Financial incentives to expedite deliveries and expand supplies of materials and services.

- Agreements by the private sector to share information to coordinate management of critical supplies.

- Private-sector experts in government emergency preparedness, response, and recovery activities.

The Department of Homeland Security (DHS)/Federal Emergency Management Agency coordinates DPA authorities related to incident management before and during an incident, including: providing priority ratings on contracts and orders for industrial resources in cooperation with the Department of Commerce or relevant SSAs; developing guidance and procedures; coordinating DPA plans and programs; and providing technical assistance for all appropriate Federal agencies under the NRF and NIPP.

III. Concept of Operations

The concept of operations describes specific organizational approaches, processes, coordinating structures and incident-related actions required for the protection and restoration of CIKR assets, systems, networks, or functions within the impacted area and outside the impacted area at the local, regional, and national levels.

The processes described herein are detailed further in standard operating procedures, field guides, and other related guidance developed collaboratively by DHS and the cooperating agencies to this annex.

The concept of operations uses the organizational structures and information-sharing mechanisms that are established in the NIPP for identifying, prioritizing, protecting, and restoring the Nation's CIKR and describes protocols to integrate these steady-state organizational elements with NRF incident management organizational structures and activities.

Specifically, the concept of operations focuses on processes and actions for CIKR-related:

- Situational awareness.

- Impact assessments and analysis.

- Information Sharing

- Requests for assistance or information from private-sector CIKR owners and operators.

IV. Responsibilities

A. General

Addressing CIKR-related prevention, protection, preparedness, response, and recovery requires cooperation and collaboration between and among CIKR entities. A primary objective of this collaborative effort between the private-sector owners and operators; State, tribal, and local governments; nongovernmental organizations; and the Federal Government is to ensure that resources are applied where they offer the most benefit for mitigating risk, deterring threats, and minimizing the consequences of incidents.

B. Agency Specific

1. **Alabama Department of Homeland Security:** responsible for leading, integrating, and coordinating the overall national effort to enhance CIKR protection, including developing and implementing comprehensive, multi-tiered risk management programs and methodologies; developing cross-sector and cross-jurisdictional protection guidance and protocols; and recommending risk management and performance criteria and metrics within and across sectors.

The DHS responsibilities for CIKR support that are most applicable during incident response include:

- Identifying, prioritizing, and coordinating Federal action in support of the protection of nationally critical assets, systems, and networks, with a particular focus on CIKR that could be exploited to cause catastrophic health effects or mass casualties comparable to those produced by a weapon of mass destruction.

- Establishing and maintaining a comprehensive, multi-tiered, dynamic information-sharing network designed to provide timely and actionable threat information, assessments, and warnings to public- and private-sector security partners. This responsibility includes protecting sensitive information voluntarily provided by the private sector and facilitating the development of sector-specific and cross-sector information-sharing and analysis systems, mechanisms, and processes.

- Coordinating, facilitating, and supporting comprehensive risk assessment programs for high-risk CIKR, identifying protection priorities across sectors and jurisdictions, and integrating CIKR protective programs with the all-hazards approach to domestic incident management described in HSPD-5.

- Identifying and implementing plans and processes for threat-based increases in protective measures that align to all-hazards warnings, specific threat vectors as appropriate, and each level of the Homeland Security Advisory System (HSAS).

- Conducting modeling and simulations to analyze sector, cross-sector, and regional dependencies and interdependencies, to include cyber-related issues, and sharing the results with security partners, as appropriate.

- Integrating national efforts for the protection and recovery of CIKR, including analysis, warning, information sharing, vulnerability reduction, and mitigation activities and programs.

- Documenting and sharing lessons learned from exercises, actual incidents, and pre-disaster mitigation efforts and applying those lessons, where applicable, to CIKR protection efforts.

- Working with the Department of State, SSAs, and other security partners to ensure that U.S. CIKR protection efforts are fully coordinated with international partners.

2. **Federal Departments and Agencies**: provide support consistent with their CIKR-related statutory or regulatory responsibilities or with their designated functions as SSAs, ESF primary or supporting agencies, or coordinating or cooperating agencies for other related NRF Support or Incident Annexes.

3. **SSAs:** focus on overarching CIKR protection, risk management, and information sharing by working collaboratively with SCCs, GCCs, relevant Federal departments and agencies, State, local, and tribal governments, ESFs, CIKR owners and operators, sector-based information-sharing mechanisms, and other private-sector entities.

SSAs coordinate CIKR efforts within their sectors to deter threats, mitigate vulnerabilities, and minimize consequences of manmade and natural incidents. SSPs specify each sector's approach to the risk management and information- sharing components of incident management.

In cooperation with the DHS Office of Infrastructure Protection (OIP), SSAs collaborate with private-sector security partners to encourage:

- Supporting comprehensive risk assessment and management programs for high-risk CIKR.

- Sharing real-time incident notification as well as CIKR protection practices and processes.

- Developing information-sharing and analysis mechanisms to include consideration of physical and cyber threats.

- Promoting security-related information sharing among public and private entities.

In the context of incident management, SSAs coordinate with their counterparts designated within various NRF and ESF, Incident, or other Support Annex functions, as appropriate.

ESFs are activated to provide support for evolving CIKR-related incident management requirements by:

- Providing authorities, resources, program implementation, and support required for infrastructure-related response, recovery, and restoration within the impacted area.

- Serving as key points of coordination to address CIKR issues and concerns relating to the impacted area.

- Coordinating and collaborating with DHS; SSAs; owners and operators; State, tribal, and local entities; ESFs; and others as required to address CIKR concerns that fall within the scope of their ESF or other *National Response Framework*-related responsibilities.

4. **State, Tribal, and Local Government Entities:** establish security partnerships; facilitate information sharing, and enable planning and preparedness for CIKR protection within their jurisdictions.

   a. State governments are responsible for:

   - Developing and implementing statewide or regional CIKR protection programs integrated into homeland security and incident management programs.

   - Serving as crucial coordination hubs, bringing together prevention, preparedness, protection, response, and recovery authorities, capacities, and resources among local jurisdictions, across sectors, and across regional entities.

   - Acting as conduits for requests for Federal assistance when the threat or incident situation exceeds the capabilities of public- and private-sector security partners in their jurisdictions.

   - Coordinating with the State, Local, Tribal, and Territorial Government Coordinating Council (SLTTGCC) to ensure full integration with national- and regional-level CIKR prevention, protection, response, and restoration efforts.

   b. Tribal governments are responsible for public health, welfare, safety, CIKR protection, and continuity of essential services within their jurisdictions.

   c. Local governments usually are responsible for emergency services and first-level responses to CIKR incidents. In some sectors, local governments own and operate CIKR such as water, wastewater, and storm water systems and electric utilities, and are responsible for initial prevention, response, recovery, and emergency services provision.

5. **Private-Sector CIKR Owners and Operators**: responsible at the corporate and individual facility levels for risk and incident management planning, security, and preparedness investments. Other activities that form part of business and continuity of operations planning activities include:

    - Developing and revising business continuity and emergency management plans to address direct effects of incidents and critical dependencies and interdependencies at sector, enterprise, and facility levels.

    - Building increased resiliency, backup capabilities, and redundancy into business processes and systems.

    - Maintaining coordination with incident management, information-sharing, and CIKR protection programs.

    - Reporting CIKR status using established mechanisms for inclusion in the national common operating picture (COP).

    - Developing and coordinating CIKR protective and emergency-response actions, plans, and programs.

    - Guarding against insider threats.

    - Providing technical expertise to DHS, SSAs, ESFs, and other Federal, State, tribal, and local entities.

    - Identifying CIKR and prioritizing related protection and restoration activities.

V. Critical Infrastructure and Key Resources:

Agriculture and Food
Banking and Finance
Chemical
Commercial Facilities
Communications
Critical Manufacturing
Dams
Defense Industrial Base
Emergency Services
Energy
Government Facilities
Information Technology
National Monuments and Icons
Nuclear Reactors, Materials and Waste
Postal and Shipping
Public Health and Healthcare
Transportation Systems
Water

Appendix C.2: Sample Hazard-Specific Procedures Annex-Flood

F. Considerations and Implementation Responsibilities

Every type of disaster has issues that are unique to that type of situation. This section is designed to point out the disaster specific issues or areas of consideration and what agency, private or governmental, is responsible to resolve that issue.

♦ **Bridge Evaluation:** *Public Works*
Floods by their very nature can endanger transportation. Floating debris on a stream or river can collect on bridge footings and supports. If left unchecked, this debris can cause structural damage to a bridge that endangers all who may need to transit it. Therefore, the MTDOT and the County Road Department have the responsibility and the technical expertise to inspect all suspect bridges to determine whether they are safe for transit. If unsafe, they may be temporarily or permanently closed.

♦ **Debris Removal:** *Public Works*
Removal of flood-deposited debris from public roads/highways and associated culverts is the responsibility of the agency that is responsible for its maintenance. Care should be taken to ensure that debris removal efforts are coordinated with other agencies that may have an associated responsibility.

♦ **Disease Prevention:** *Public Health*
Of major concern during periods of flooding are the contamination of potable water supplies, contamination of food supplies and the disruption of sanitary services. In addition, floodwaters can create habitat for insects that carry disease. Flooding events in the past have allowed raw sewage from overloaded pumps, sewers, and septic systems directly into the waterways. These problems could rapidly develop into a major health crisis without immediate attention. The Lewis & Clark City-County Health Department will be in charge of the prevention of disease during the flood. Responsibilities will include:

- Providing information on probable contamination, testing and disinfecting wells in flooded areas and recommendations for personal hygiene.

- Identifying sources of safe drinking water during disaster situations.

- Inspecting shelters for sanitary conditions, including food and water supplies, wastewater and garbage disposal.

- Providing public information on flood clean up, food salvaging operations and other disease prevention measures.

- Conducting damage assessment in licensed food facilities.

Providing information on probable sewage contamination, identifying sources for portable toilets when needed, and providing information on appropriate clean up.

- Providing information on probable sewage contamination, identifying sources for portable toilets when needed, and providing information on appropriate clean up.

- Identifying sources of safe drinking water during disaster situations.

- Inspecting shelters for sanitary conditions, including food and water supplies, wastewater and garbage disposal.

- Providing public information on flood clean up, food salvaging operations and other disease prevention measures.

- Conducting damage assessment in licensed food facilities.

- Providing information on probable sewage contamination, identifying sources for portable toilets when needed, and providing information on appropriate clean up.

- Providing information on probable sewage contamination, identifying sources for portable toilets when needed, and providing information on appropriate clean up.

- Brief the city and county commissioners, health department director, D.E.S. coordinator and the Red Cross on sanitary conditions in the flooded areas and shelters.

- Coordination with pertinent agencies for disposal of human and animal remains.

- Implementation of disease prevention and control strategies including mass prophylaxis as appropriate.

♦ **Evacuations:** *Chief Elected Officials*
Upon the establishment of the EOC, the Commission or their designee has the responsibility to order appropriate citizen evacuations utilizing local law enforcement or other emergency responders as deemed appropriate. Prior to the establishment of the EOC, the Incident Commander has the responsibility to recommend evacuations if the situation is imminently critical. *(see Evacuation Annex)*

♦ **Power Outages:** *Northwestern Energy*
Northwestern Energy will provide response to the loss of commercial power. Auxiliary power capabilities exist at the Law Enforcement Center, the Civic Center, and both hospitals. Public Works also has access to portable generators.

♦ **Reservoir Management:** *Public Works*
The management of water releases from reservoir water storage sites is significant to all citizens and landowners downstream from the dam. The BOR and PPL are the primary agencies responsible for regulating the flow from their storage facilities.

♦ **Road Closures and Emergency Transportation Routes:** *Law Enforcement*
Rising flood waters may necessitate closure of roads due to unsafe driving conditions caused by fast water running across a road or damage to a bridge as a result of flooding. State, County, or City law enforcement agencies working in conjunction with the MTDOT and County Roads Department can enforce the closure of roads and rerouting of traffic.

♦ **Sandbagging and Runoff Containment:** *Public Works*
Road and bridge crews will clean culverts and barrow pits during the flood watch. Creeks will also be cleared of debris at bridge sites to allow the water passage under the bridge. The crews will patrol areas of the greatest flood hazard to determine trouble spots. Road barricades and warning signs will be posted at the direction of the road and bridge foreman.

Roads will be closed at the direction of the public works director.

♦ **Search and Rescue:** *Sheriff's Department*
Floods by their very nature can isolate citizens. The Sheriff's department manages the County Search and Rescue. When needed to locate or recover isolated citizens during a flood, they will be deployed.

♦ **Shelter and Family Referral Services:** *American Red Cross*
If temporary lodging is needed due to flooding, the ARC will activate, publish information concerning shelters, and manage shelter operations. It is critical that all relief efforts to shelter and feed citizens are a coordinated effort between the Red Cross and all affected communities. The EOC is the logical broker for this communication. Call: **Lewis & Clark County District ARC 555-5555.**
The Salvation Army may also be requested to provide shelters and mass feeding for the county. Army operations will be coordinated through the EOC and Red Cross to prevent duplication of effort. Call: 555-5555 *(see Mass Care Annex)*

♦ **Special Populations:** *Law Enforcement*
As the situation dictates, it may be required to evacuate elderly and infirmed citizens from nursing homes, foster homes and other public and private facilities. Special transportation and trained personnel may be required to accomplish this task. Incarcerated populations may also be required to be moved and this will require special transportation accommodations as well as trained security personnel. Additionally, prisoner work crews may also be used to build dikes and other sandbag operations if appropriate.

♦ **Stream Bank Stabilization:** *FWP*
Flooding causes significant erosion that can damage fish runs, navigation, recreation and agriculture. The MT Department of Fish, Wildlife, and Parks is the lead agency for streams and rivers restoration efforts following a flood.

♦ **Telephone Outages:** *Qwest*
Qwest and Sprint will provide response to the loss of conventional telephone service. Cellular telephones may not work when conventional lines are lost. If the interruption to phone service promises to be lengthy, or widespread, alternative communication such as Amateur Radio may be used to establish contact between the public and government facilities.

(Source: www.co.lewis.clark.mt.us)