

DRAFT Comprehensive Preparedness Guide (CPG) 101

DIVISION NAME: National Integration Center

ACTION REQUIRED: Review and Provide Recommendations for Content Input

DUE: NLT January 25, 2021

PURPOSE/BACKGROUND:

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

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

As you review the document, consider:

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

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

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Developing and Maintaining Emergency Operations Plans

Comprehensive Preparedness Guide (CPG) 101

November 2020, Version 3.0 (draft v0.5)

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Preface

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

CPG 101 provides methods for planners to:

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

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

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

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

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

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

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

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1. Introduction and Overview

1.1. Purpose

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

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

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

EOP vs. CEMP

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

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

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

1.2. Applicability and Scope

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

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

1.3. Supersession

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

1.4. How To Use This Guide

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

1.5. Terminology and Acronyms

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

1.6. Revision Process

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

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

2. The Basics of Planning

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

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

2.1. Planning Fundamentals

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

2.1.1. Planning Principles

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

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

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

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

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

What Is Community-Based Planning?

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

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

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

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

⁶ “Who is at Risk? Rapid Mapping of Potential Hazard Exposure,” a FEMA Prep Talk given by Dr. Robert Chen, describes how geospatial data can help planners understand community characteristics when developing plans, including EOPs. It is available on FEMA’s YouTube channel at https://www.youtube.com/playlist?list=PL720Kw_OoJlJiYKDZQwKKG7HAgV_qNjbLB.

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

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

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

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

Concepts of Accessibility

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

PLANNING SHOULD ENGAGE THE PRIVATE SECTOR

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

PLANNING MUST INCLUDE ALL STAKEHOLDERS IN THE COMMUNITY

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

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

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

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

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

PLANNING SHOULD CONSIDER ALL HAZARDS, RISKS AND THREATS

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

PLANNING SHOULD BE FLEXIBLE ENOUGH TO ADDRESS ALL INCIDENTS

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

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

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

PLANNING SHOULD DEPICT THE ANTICIPATED ENVIRONMENT FOR ACTION

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

PLANNING DOES NOT NEED TO START FROM SCRATCH

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

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

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

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

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

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

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

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

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

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

TIME, UNCERTAINTY, RISK AND EXPERIENCE INFLUENCE PLANNING

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

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

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

PLANNING IS FUNDAMENTALLY A PROCESS TO MANAGE RISK

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

PLANNING IS A KEY COMPONENT OF THE PREPAREDNESS SYSTEM

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

2.1.2. Strategic, Operational and Tactical Planning

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

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

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

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

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

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

2.1.3. Planning Approaches

Planners commonly use a combination of approaches in operational planning:

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

2.1.4. Plan Integration

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

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

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

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

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



Questions to Consider: EOP Approach and Integration

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

2.1.5. Plan Synchronization

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

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

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

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

2.1.6. Common Planning Pitfalls

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

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

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

3. Understanding the Planning Environment

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

3.1. The National Preparedness System

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



Figure 1: Components of the National Preparedness System

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

- **Identifying and Assessing Risk:** Understanding the risks faced by a community is essential for building effective EOPs that reflect the range of threats and hazards that may have negative consequences on its people, assets and systems. The outputs from risk assessments inform the range of capabilities needed to respond to incidents.
- **Estimating Capability Requirements:** The results of the risk assessment process can inform estimates of capabilities that a community needs. Through this process, planners use risk assessment outputs to establish planning factors and determine what levels of capability are needed.
- **Building and Sustaining Capabilities:** Planners can compare existing capabilities with capability targets to identify both gaps and strengths. Working together, planners, government officials and elected leaders can develop strategies to allocate resources effectively to build capabilities, address gaps and sustain existing capabilities.
- **Planning to Deliver Capabilities:** Communities and organizations use plans to guide action. These plans need periodic review and updates to address changes over time in risk and capabilities. A range of resources, such as CPG 101, exist to help planners in that regard.
- **Validating Capabilities:** Risk-informed exercise and evaluation activities are important steps to validate EOPs and test incident response capabilities. Training and real-world events also provide opportunities to test and validate plans and capabilities.
- **Reviewing and Updating:** The risks facing communities can change with evolving threats and hazards, aging infrastructure, shifts in population or changes in the natural environment. The planning team should review capabilities, resources and plans—including EOPs—on a regular basis and update them to reflect current risk assessment results and information gathered during the validation process.

3.2. National Preparedness Guidance

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

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

3.2.1. The National Incident Management System

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

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

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

3.2.2. The National Planning Frameworks

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

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

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

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

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

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

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

3.2.3. The National Response Framework

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

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

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

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

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

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

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

652 **LOCAL GOVERNMENT PLANNING**

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

661 **CONCEPT OF OPERATIONS**

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

FUNCTIONAL ORGANIZATION

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

- 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 Response
- ESF #11—Agriculture and Natural Resources
- ESF #12—Energy
- ESF #13—Public Safety and Security
- ESF #14—Cross-sector Business and Infrastructure
- ESF #15—External Affairs.

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

3.2.4. The National Disaster Recovery Framework

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

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

3.3. Relationship Between Federal Plans and State Emergency Operations Plans

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

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

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

Resilient Communities and Planning

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

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

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

3.3.1. Federal Plans at the National and Regional Levels

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

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

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

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

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

The state, territorial, tribal or insular area EOP:

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

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

770 **3.3.3. Local-Level Plans**

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

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

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

4. Identifying the Right Plan for the Job

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

4.1. The Emergency Operations Plan

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

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

A jurisdiction's EOP is a document that:

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

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

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

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

Prioritizing Pre-Disaster Recovery Planning

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

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

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

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

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

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

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

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

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

EOP Formatting Decision Checklist

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

4.2. Structuring an Emergency Operations Plan

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

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

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

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

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



Questions to Consider: Integrating Incident Response and Recovery

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

4.2.1. Functional Format

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

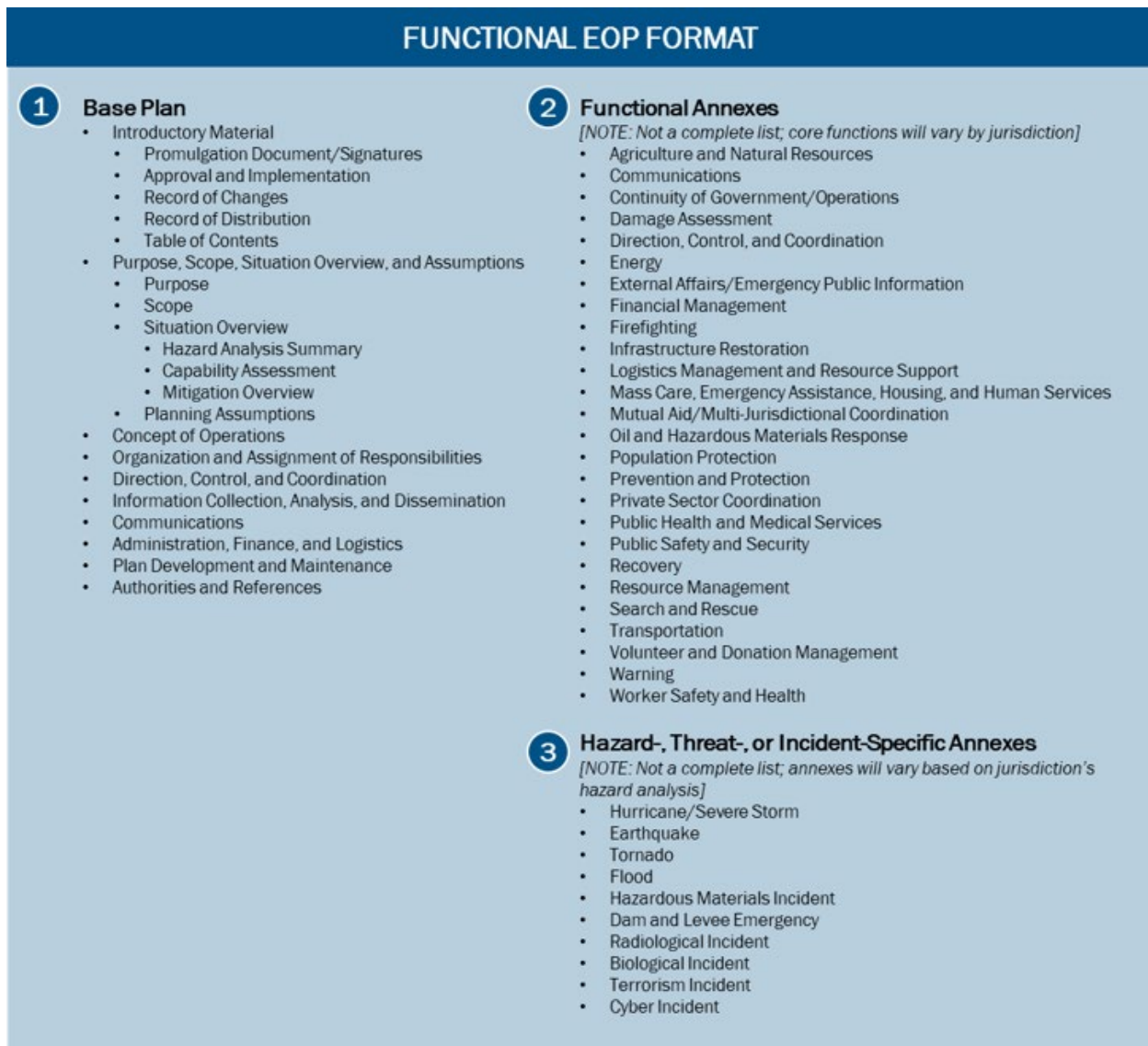


Figure 2: Functional EOP Format

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

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

924 ▪ The **functional annexes** are individual sections that focus on missions (e.g., communications,
 925 damage assessment, private sector coordination). These annexes describe the organizations
 926 that support the given function and their actions, roles and responsibilities. They also indicate
 927 the resources, capabilities and authorities that each organization brings to the response.
 928 Functional annexes describe how the jurisdiction manages the function before, during and after
 929 the emergency.

930 ▪ The **hazard-, threat- or incident-specific annexes** describe the policies, situation, CONOPS and
 931 responsibilities for particular hazards, threats or incidents. They explain the procedures that are
 932 unique to that annex for a hazard type. For example, the direction and control annex may
 933 describe how a local law enforcement's command post would coordinate its functions; this
 934 information would only be in a hazard-, threat- or incident-specific annex if it is different for that
 935 hazard, threat or incident. Strategies already outlined in a functional annex should not be
 936 repeated in a hazard-specific annex.

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

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

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

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

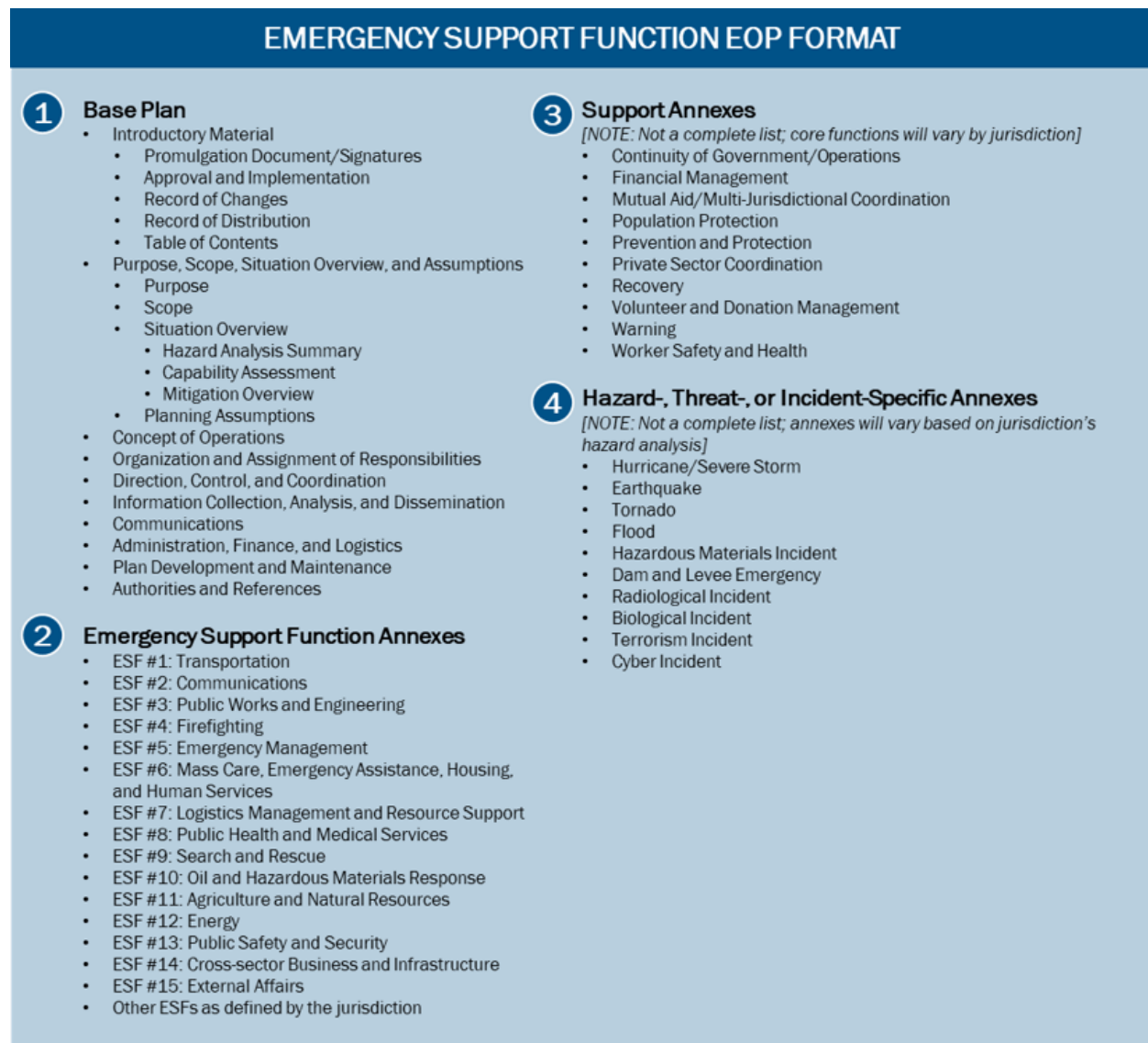


Figure 3: Example Functional EOP Format Based on the NRF and Federal ESFs

This format typically includes the following elements:

- The **base plan** provides an overview of the jurisdiction's emergency management system. It briefly explains the hazards faced, capabilities, requirements and the jurisdiction's emergency management structure. It also reviews expected mission execution for each emergency phase and identifies the agencies that have the lead for a given ESF.
- The **federal ESF annexes**, which supplement the NRF, identify the ESF coordinator and the primary and support agencies for each function. ESFs with multiple primary agencies should designate an ESF coordinator to coordinate pre-incident planning. The ESF annexes also describe expected mission execution and identify tasks assigned to members of the ESF, including nonprofit and private sector partners. Note: the example follows the federal ESFs.

- 970 ▪ **Support annexes** describe other mechanisms by which support is organized among private

971 sector, nonprofit organizations and government partners. Support annexes typically describe the

972 essential supporting processes and considerations common to most incidents. As examples, the

973 support annexes to the NRF include financial management, international coordination, public

974 affairs, tribal relations, volunteer and donations management and worker safety and health.

975 Recovery support functions from the NDRF could also be reflected in a recovery annex,

976 addressing issues such as community planning and capacity building, economic recovery, health

977 and social services, housing, infrastructure systems and natural and cultural resources.
- 978 ▪ The **hazard-, threat- or incident-specific annexes** describe the policies, situation, CONOPS and

979 responsibilities for particular hazards, threats or incidents:

 - 980 ○ Policies: Identifies the authorities unique to the incident type, the special actions or

981 declarations that may result and any special policies that may apply.
 - 982 ○ Situation: Describes the incident or hazard characteristics and the planning assumptions. It

983 also outlines the management approach for instances when key assumptions do not hold

984 (e.g., how authorities operate if they lose communication with senior decision makers).
 - 985 ○ CONOPS: Describes the flow of the emergency management strategy for a mission or set of

986 objectives to reach a desired end-state. It identifies special coordination structures,

987 specialized response teams or resources needed and other considerations unique to the

988 incident or hazard.
 - 989 ○ Responsibilities: Identifies the coordinating and cooperating agencies involved in an

990 incident-, hazard- or threat-specific response.



Questions to Consider: If the EOP Does Not Use ESFs

- 992 ▪ If the jurisdiction does not use ESFs, can the EOP help to optimize the use of similar

993 resources and capabilities from different organizations?
- 994 ▪ Has the jurisdiction identified the organizing constructs that likely government partners use

995 in their EOPs to minimize potential communication challenges when responding to

996 incidents?

4.2.2. Agency-/Department-Focused Format

This format addresses each department's or agency's tasks in a separate section. In addition to the base plan, this format includes lead and support agency sections and hazard-specific procedures for the individual agencies (see Figure 4).



Figure 4: Agency-/Department-Focused EOP Format

- The **base plan** provides an overview of a jurisdiction's preparedness and response strategies. It summarizes the basic tasks to prepare for emergencies and disasters and defines how the plan is developed and maintained.
- The **lead and support agency sections** discuss the emergency functions for which individual departments, agencies and nonprofit partners are responsible. Each agency section should refer to other agency sections to coordinate their respective emergency management strategies.
- The **hazard-specific procedures section** addresses the unique preparedness, response and recovery strategies relevant to each department or agency for specific disaster types. The hazard-specific procedures can immediately follow each agency section or be attached as a separate chapter to the plan.

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

4.3. Using Planning Templates

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

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

When using a planning template, planners should consider whether:

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

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



Questions to Consider: Using Planning Templates to Develop EOPs

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

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

4.4. Additional Types of Plans

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

- Incident action plans (IAP)** are iterative operational plans that incident management teams develop prior to each operational period (typically every 12 or 24 hours) during incident response. IAPs list the objectives established by the incident commander or unified command and specify tactics and planned resource utilization during the operational period. Effective EOPs guide and facilitate the development of IAPs during the operational periods immediately following an incident. As situational awareness improves over the hours and days following the incident, planners increasingly rely on ground truth to guide incident planning and operations.
- Joint operational plans** or **regional coordination plans** typically involve multiple levels of government to address a specific incident or a special event. Standing plans should be an annex to the related EOPs, while special events plans should be standalone supplements based on the information contained within the related EOPs.
- Administrative plans** describe policies and procedures to support 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 typically part of EOPs. However, planners should reference administrative plans in the EOP if they apply during emergencies. Planners should make similar references in the EOP for exceptions to normal administrative plans permitted during emergencies.
- Preparedness plans** address the process for developing and maintaining capabilities for the whole community, both pre- and post-incident. Integrated preparedness plans should address capabilities needed for prevention, protection, mitigation, response and recovery activities. These multiyear plans include the schedule for identifying and meeting training needs based on the expectations created by the EOP; the process and schedule for developing, conducting and evaluating exercises and correcting identified deficiencies; and plans for procuring, retrofitting or building facilities and equipment to withstand the effects of the hazards facing the jurisdiction. Jurisdictions develop integrated preparedness plans through collaborative workshops where participants identify priorities and establish a schedule for preparedness activities.
- Continuity of operations (COOP) plans** outline essential functions and services to perform and deliver during an incident that disrupts normal operations and the methods by which this occurs. They also describe the process for timely resumption of normal operations once the emergency

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

- **Recovery plans** developed prior to a disaster help jurisdictions identify needs, develop options, implement solutions, direct recovery activities and expedite a unified recovery effort. Pre-incident planning performed in conjunction with community development planning helps establish recovery priorities, incorporate mitigation strategies in the wake of an incident and identify options and changes to consider or implement after an incident. Post-incident community recovery planning integrates the range of complex decisions in the context of the incident and works as the foundation for allocating resources.
- **Hazard mitigation plans** outline a jurisdiction's strategy to reduce the loss of life and property by lessening the impact of the hazards it faces. The Disaster Mitigation Act of 2000 requires jurisdictions seeking certain disaster assistance funding to have approved hazard mitigation plans. Mitigation planning is often a long-term effort and may be part of or tied to the jurisdiction's strategic development plan or similar documents. Mitigation planning committees may differ from operational planning teams in that they include zoning boards, floodplain managers and individuals with long-term cultural or economic interests. Existing plans for mitigating hazards are relevant to an EOP, since both originate from a hazard-based analysis and share similar component requirements.

4.4.1. Procedural Documents

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

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

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

- 1127 ▪ **Overviews** are brief concept summaries of an incident-related function, team or capability.

1128 Overview documents are of two types: explaining general protocols and procedures or specific to

1129 a functional team or area.
- 1130 ○ Overviews that **explain general protocols and procedures** are the bridge between all

1131 functional or hazard-specific planning annexes and procedural documentation. This type of

1132 overview could contain an EOC layout, describe activation levels and identify the functions or

1133 sections responsible for planning, operational and support activities. An easy way to develop

1134 an overview document is to review the assignments and responsibilities outlined in the EOP

1135 and reference the procedures developed to fulfill them in the overview.
- 1136 ○ Overviews that are **specific to a functional team or area** describe the general responsibilities

1137 and tasks of a functional team. This type of overview provides information to supporting

1138 personnel to aid in activities related to the function, team or capability summarized by the

1139 document. It identifies qualifications to support the team, provides a summary of operational

1140 procedures and defines possible missions in greater detail than in plan annexes. As an

1141 example, the overview document addressing transportation would describe the purpose of

1142 this function, composition of support personnel, requirements for the team or branch and

1143 missions that might be required. It might also identify hazards or conditions that determine

1144 when missions are assigned. A successful overview document helps orient new arrivals.
- 1145 ▪ **SOPs/ SOGs** are complete reference documents that identify the purpose, authorities, duration

1146 and details of the preferred method for performing a single function or a number of interrelated

1147 functions. SOPs/SOGs often describe processes that evolved institutionally over years or

1148 document common practices to capture institutional experience of an organization. SOPs/SOGs

1149 are sometimes task-specific (e.g., how to send emergency messages to the public using the

1150 Integrated Public Alert and Warning System [IPAWS], sirens or other local mass notification

1151 systems). SOPs/SOGs should grow naturally out of responsibilities identified and described in the

1152 EOP. Staff members who typically engage in emergency activities should develop the procedures

1153 in an SOP/SOG. The planning team works with senior representatives of tasked organizations to

1154 make SOPs/SOGs available and confirm that they do not conflict with the EOP or one another.

1155 **Contents of SOPs/SOGs**

1156 SOPs/SOGs may include checklists, call-down rosters, resource listings, maps and charts. They

1157 may also describe how to notify staff; obtain and use equipment, supplies and vehicles; obtain

1158 mutual aid; report information to organizational work centers and the EOC; and communicate

1159 with staff members who are operating from more than one location.

- 1160 ▪ **FOGs or handbooks** are durable pocket or desk guides containing information required to

1161 perform specific assignments or functions. FOGs are short-form versions of SOP/SOGs and serve

1162 as a resource document. FOGs provide individuals assigned to specific teams, branches or

1163 functions with information about the procedures they are likely to perform or portions of an

1164 SOP/SOG appropriate for the missions they are likely to complete. When combined with the

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

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

DRAFT

5. The Planning Process

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

5.1. Steps in the Planning Process

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

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



Figure 5: Steps in the Planning Process

5.1.1. Step 1: Form a Collaborative Planning Team

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

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

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

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

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

IDENTIFY CORE PLANNING TEAM

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

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

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

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

Building the Planning Team

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

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

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

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

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

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

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

1289 **Community Lifelines as Planning Tool**

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

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



1301

1302 ENGAGE THE WHOLE COMMUNITY IN PLANNING

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

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

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

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

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

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

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

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

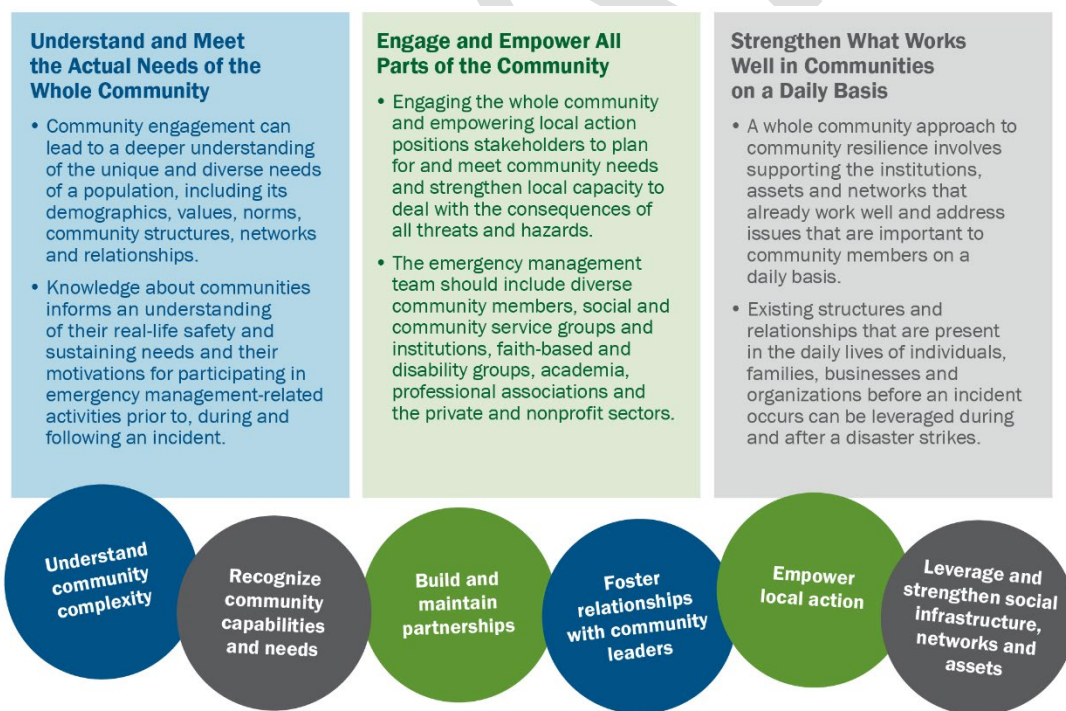


Figure 6: Strategic Themes for Community-Based Planning

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

5.1.2. Step 2: Understand the Situation

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

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

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

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

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

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

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

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

Analytic Resources

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

UNDERSTAND RISK

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

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

²⁸ This PrepTalk is available on FEMA's YouTube channel at https://www.youtube.com/playlist?list=PL720Kw_OoJiJiYKDZQwKG7HAgV_qNjbLB.

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

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

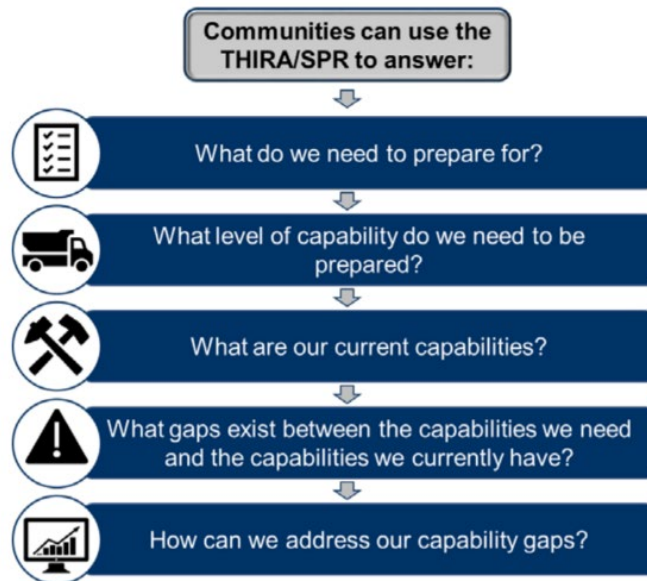


Figure 7: THIRA/SPR Overview

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

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

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

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

1426 USE THE RESULTS

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

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

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

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

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

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

1443 5.1.3. Step 3: Determine Goals and Objectives

1444 DETERMINE OPERATIONAL PRIORITIES

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

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

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

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

1471 SET GOALS AND OBJECTIVES

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

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

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

1484 EOP Objectives and Incident Objectives

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

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

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

5.1.4. Step 4: Develop the Plan

DEVELOP AND ANALYZE COURSES OF ACTION

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

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

Courses of Action in a Nutshell

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

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

Course of action development follows these steps:

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

- 1526 ▪ **Depict the scenario.** Planners use the scenario information developed in Step 3 and place the
1527 incident information on the timeline. Placement of decision points and response actions on the
1528 timeline depicts how soon the different entities enter the plan.
- 1529 ▪ **Identify and depict decision points.** Decision points indicate the place in time, as incidents
1530 unfold, when leaders anticipate making decisions about a course of action. They indicate where
1531 and when decisions are required to provide the best chance of achieving an intermediate
1532 objective or response goal (the desired end state). They also help planners determine how much
1533 time is available or needed to complete a sequence of actions.
- 1534 ▪ **Identify and depict operational tasks.** For each operational task depicted, some basic
1535 information is needed. Developing this information helps planners incorporate the task into the
1536 plan when they are writing it. Planners correctly identify an operational task when they can
1537 answer the following questions about it:
- 1538 ○ What is the action?
 - 1539 ○ Who is responsible for the action?
 - 1540 ○ When should the action take place?
 - 1541 ○ How long should the action take and how much time is available?
 - 1542 ○ What has to happen before the action?
 - 1543 ○ What happens after the action?
 - 1544 ○ What resources does the responsible person or entity need to perform the action?
- 1545 The planning team should pause periodically to:
- 1546 ▪ Identify progress made toward the end state, including goals and objectives met and new
1547 needs or demands;
 - 1548 ▪ Identify “single points of failure” (i.e., tasks that, if not completed, would cause the operation
1549 to fall apart);
 - 1550 ▪ Check for omissions or gaps;
 - 1551 ▪ Check for inconsistencies in organizational relationships; and
 - 1552 ▪ Check for mismatches between the jurisdiction’s plan and those of other jurisdictions with
1553 which they are interacting.
- 1554 ▪ **Select courses of action.** Once the above analysis is complete, planners should compare the
1555 costs and benefits of each proposed course of action against the mission, goals and objectives.
1556 This comparison allows planners to select the preferred courses of action to move forward in the
1557 planning process. Some (but not all) selections need senior approval. Planners should use their
1558 best judgment and identify when the selection of a course or courses of action need to be
1559 elevated to the senior elected or appointed official or approval. Where practical, the appropriate
1560 official should approve these actions prior to the review and completion of the plan.

1561 IDENTIFY RESOURCES

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

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

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

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

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

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

Suggested Capability Estimate Format

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

Figure 8: Suggested Capability Estimate Format

External Review of Courses of Action

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

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

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

1609 IDENTIFY INFORMATION AND INTELLIGENCE NEEDS

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

1614 5.1.5. Step 5: Prepare and Review the Plan

1615 WRITE THE PLAN

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

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

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

1636 Active vs. Passive Voice Sentences

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

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

Use active voice sentences whenever possible in plans.

REVIEW THE PLAN

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

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

- **Adequacy.** A plan is adequate if:

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

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

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

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

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

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

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

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

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

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

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

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

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

APPROVE AND DISSEMINATE THE PLAN

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

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

5.1.6. Step 6: Implement and Maintain the Plan

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

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

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

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

1758 **TRAIN ON THE PLAN**

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

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

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

FEMA Training Resources to Support EOP Development and Maintenance

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

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

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

EXERCISE THE PLAN

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

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

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

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

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

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

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

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

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

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

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

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

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

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6. Creating an EOP Base Plan

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

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

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

6.1. Introductory Material

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

- The **cover page** indicates the title of the plan, documents the date the plan was issued/promulgated and the name of jurisdiction(s) covered by the plan.
- The **promulgation document** gives the plan official status. It assigns both the authority and the responsibility to organizations to perform their tasks. It should also mention the responsibilities of tasked organizations to prepare and maintain their own procedures and guidelines and commit those organizations to carry out the necessary training, exercises and plan maintenance. In addition, this document allows senior officials to affirm their support for emergency management.
- The **approval and implementation page** introduces the plan, outlines its applicability and indicates that it supersedes all previous plans. It should include a delegation of authority for specific modifications that can be made to the plan and by whom they can be made without the senior official's signature. It should also include a date and be signed by the senior official(s) (e.g., governor, tribal leader[s], mayor, county judge, commissioner[s]).
- The **record of changes** documents each change to the plan. Those responsible for the EOP's maintenance should record a change number, the date of the change, the name of the person who made the change and a summary of the change.

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

6.2. Purpose, Scope, Situation Overview and Planning Assumptions

6.2.1. Purpose

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

6.2.2. Scope

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

6.2.3. Situation Overview

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

The situation section covers a general discussion of:

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

- 1893 ▪ Population distribution and locations, including any concentrated populations of individuals with
- 1894 disabilities, access and functional needs or limited English proficiency, as well as
- 1895 unaccompanied minors and children in daycare and school settings;

- 1896 ▪ Dependencies on other jurisdictions for critical resources;

- 1897 ▪ The jurisdiction's process to determine its capabilities and limits to prepare for and respond to
- 1898 the defined hazards; and

- 1899 ▪ The actions taken in advance to minimize an incident's impacts, including short- and long-term
- 1900 strategies.

1901 **HAZARD AND THREAT ANALYSIS SUMMARY**

1902 This section summarizes the major findings from a completed hazard and threat analysis of the

1903 hazards or threats likely to impact the jurisdiction and how the jurisdiction expects to receive (or

1904 provide) assistance within its regional response structures. Note: The hazard and threat analysis

1905 information can be a component of the EOP or maintained as a part of the local mitigation plan.

1906 **Hazard and Threat Analysis Section Checklist**

- 1907 ☐ Summarize/identify the hazards that pose a unique risk to the jurisdiction and would result
- 1908 in the need to activate this plan (e.g., threatened or actual natural disasters, acts of
- 1909 terrorism, other human-caused disasters).

- 1910 ☐ Summarize/identify the probable high-risk areas (i.e., population, infrastructure and
- 1911 environmental) that are likely to be impacted by the defined hazards (e.g., hospitals,
- 1912 congregate care facilities, wildlife refuges, types/numbers of homes/businesses in
- 1913 floodplains, areas around chemical facilities).

- 1914 ☐ Summarize/identify the defined risks that have occurred and the likelihood they will continue
- 1915 to occur within the jurisdiction (e.g., historical frequency, probable future risk, national
- 1916 security threat assessments).

- 1917 ☐ Describe how the jurisdiction has incorporated intelligence from threat analysis via
- 1918 state/local fusion centers, joint terrorism task forces, national intelligence organizations,
- 1919 etc., into its hazard and threat analysis.

- 1920 ☐ Describe how the vulnerability and impact analysis incorporates critical infrastructure
- 1921 protection activities.

- 1922 ☐ Describe how the jurisdiction assessed and incorporated agricultural security; food supply
- 1923 security; cyber security; chemical, biological, radiological, nuclear and high-yield explosive
- 1924 (CBRNE) incidents; and pandemics (those located/originating in the jurisdiction, as well as a
- 1925 nonlocal, nationwide or global incident).

- 1926 ☐ Describe the assumptions and methods to complete the jurisdiction's hazard and threat
- 1927 analysis, including tools or methodologies to complete the analysis (e.g., a state's hazard

- 1928 analysis and risk assessment manual, mitigation plan guidance, vulnerability assessment
1929 criteria, consequence analysis criteria).
- 1930 ☐ Include maps that show the high-risk areas that the identified risks are likely to impact (e.g.,
1931 residential/commercial areas within defined floodplains, earthquake fault zones, vulnerable
1932 zones for HAZMAT facilities/routes, areas within ingestion zones for nuclear power plants,
1933 critical infrastructure).
- 1934 ☐ Describe/identify the risks that could originate in a neighboring jurisdiction and could create
1935 hazardous conditions in this jurisdiction (e.g., critical infrastructure loss, watershed runoff,
1936 chemical incident, civil disturbance, terrorist act).
- 1937 ☐ Describe/identify the unique time variables that may influence the hazard and threat
1938 analysis and preplanning for the emergency (e.g., rush hours, annual festivals, seasonal
1939 events, how quickly the incident occurs, the time of day that the incident occurs).

1940 6.2.4. Planning Assumptions

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

1945 6.3. Concept of Operations

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

1952 CONOPS Section Checklist

- 1953 ☐ Describe who has the authority to activate the plan (e.g., emergency management agency,
1954 senior official, state official, fire/police chief).
- 1955 ☐ Describe the process, templates and individuals involved in issuing a declaration of
1956 emergency for a given hazard and how the jurisdiction coordinates the declaration with
1957 neighboring jurisdictions and the state.
- 1958 ☐ Describe how the jurisdiction resolves legal questions/issues as a result of preparedness,
1959 response or recovery actions, including the liability protection available to responders.
- 1960 ☐ Describe the process by which the emergency management agency coordinates with all
1961 appropriate agencies, boards or divisions within the jurisdiction.

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

6.4. Organization and Assignment of Responsibilities

1970 This EOP section provides an overview of the key functions that organizations accomplish during an
 1971 emergency, including the roles that federal, state, territorial, tribal, insular area, local, regional and
 1972 private sector organizations take to support local operations.
 1973

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

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

Key Functions Section Checklist

- 1989 ☐ Identify/outline the responsibilities assigned to each organization that has a mission
- 1990 assignment defined in the plan, including (but not limited to) the following:
- 1991
- 1992 – The local senior elected or appointed officials (e.g., governor, mayor, commissioner,
- 1993 administrative judge, council, executive director);
- 1994 – Local departments and agencies (e.g., fire, law enforcement, EMS, public health, emergency
- 1995 management, public works, social services, animal control);

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

Standard code, event code, approved by the state approval authority for Emergency Alert System [EAS] and Wireless Emergency Alerts [WEAs] alerting via IPAWS); and

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

☐ Describe how the jurisdiction maintains a current list of available NIMS-typed resources and credentialed personnel.

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

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

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

6.5. Direction, Control and Coordination

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

Direction, Control and Coordination Section Checklist

☐ Identify who has tactical and operational control of response assets.

☐ Discuss multijurisdictional coordination systems and processes used during an emergency.

6.6. Information Collection, Analysis and Dissemination

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

Information Collection, Analysis and Dissemination Section Checklist

- ☐ Identify intelligence position (e.g., fusion center liaison) requirements for the EOC's planning section.
- ☐ Describe plans for coordination between the planning section and the jurisdiction's fusion center.
- ☐ Describe information dissemination methods (e.g., verbal, electronic, graphics) and protocols.
- ☐ Describe critical information needs and collection priorities.
- ☐ Describe long-term information collection, analysis and dissemination strategies.
- ☐ Describe collaboration with the general public, to include sector-specific watch programs.

6.7. Communications

This section describes the communication protocols and coordination procedures used between response organizations during emergencies and disasters. It discusses the framework for delivering communications support and how the jurisdiction's communications integrate into the regional or national disaster communications network. It does not describe communications hardware or specific procedures found in departmental SOPs/SOGs.

Planners should identify and summarize separate interoperable communications plans for each communication system that they use. This section may be expanded as an annex and is usually supplemented by communications SOPs/SOGs and field guides.

Communications Section Checklist

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

6.8. Administration, Finance and Logistics

This section of the EOP covers general support requirements and the availability of services and support for all types of emergencies, as well as general policies for managing resources.

Administration, Finance and Logistics Section Checklist

- ☐ Include references to intrastate and interstate MAAs, including the Emergency Management Assistance Compact.

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

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

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

2100 **6.8.1. Administration**

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

2102 **DOCUMENTATION**

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

2106 **Documentation Section Checklist**

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

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

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

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

2117 **AFTER-ACTION REPORT**

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

2121 **After-Action Reporting Section Checklist**

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

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

2133 6.8.2. Finance

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

2136 Finance Section Checklist

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

2154 6.8.3. Logistics

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

Logistics Section Checklist

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

6.9. Plan Development and Maintenance

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

Plan Development and Maintenance Section Checklist

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

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

6.10. Authorities and References

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

Authorities and References Section Checklist

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

- 2223 ☐ Identify/describe the reference manuals to develop the plan and/or help prepare for and
2224 respond to disasters or emergencies, including (but not limited to) general planning tools,
2225 technical references and computer software.
- 2226 ☐ Identify/define the words, phrases, acronyms and abbreviations that have special meaning
2227 with regard to emergency.

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7. Adding EOP Annexes

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

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

7.1. Functional Annexes

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

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

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

7.1.1. Functional Annexes Content

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

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

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

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

2266 **AGRICULTURE AND NATURAL RESOURCES**

Agriculture and Natural Resources Section Checklist

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

2276 **COMMUNICATIONS**

Communications Section Checklist

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

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

2308 CONTINUITY

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

2313 Continuity Section Checklist

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

2328 DIRECTION, CONTROL AND COORDINATION

2329 Initial Notification

Initial Notification Section Checklist

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

2341 Incident Assessment

Incident Assessment Section Checklist

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

2350 Incident Command

Incident Command Section Checklist

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

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

2369 **Emergency Operations Center**

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

2371 **Emergency Operations Center Section Checklist**

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

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

2405 ENERGY

2406 Energy Section Checklist

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

2416 FINANCIAL MANAGEMENT

2417 Financial Management Section Checklist

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

2421 FIREFIGHTING

2422 Firefighting Section Checklist

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

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

2428 HAZARDOUS MATERIALS

2429 Hazardous Materials Checklist

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

2436 LAW ENFORCEMENT

2437 Law Enforcement Section Checklist

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

2444 LOGISTICS AND RESOURCE MANAGEMENT

2445 Logistics and Resource Management Section Checklist

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

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

2458 **MASS CARE**

2459 **Mass Care Section Checklist**

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

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

2484 **Accommodating Individuals with Disabilities and Others with Access and Functional Needs**

2485 **Section Checklist**

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

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

2510 **Sheltering Animals**

2511 **Sheltering Animals Section Checklist**

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

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

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

2560 MUTUAL AID/MULTIJURISDICTIONAL COORDINATION

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

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

2564 POPULATION PROTECTION

2565 **Population Protection Section Checklist**

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

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

- 2627 ☐ Describe methods of transportation for household pets or service animals whose owners
2628 depend on public transportation.
- 2629 ☐ Describe how the jurisdiction registers, documents and tracks household pets that receive
2630 evacuation assistance and reunites them with their owners if they are separated during
2631 assisted evacuations.

2632 PRIVATE SECTOR COORDINATION

2633 Private Sector Coordination Section Checklist

- 2634 ☐ Describe the processes to effectively coordinate and integrate with the private sector, both
2635 for-profit and not-for-profit, engaged in incident response and recovery activities.
- 2636 ☐ Describe the processes to share situational awareness across sectors and between the
2637 jurisdiction and the private sector.
- 2638 ☐ Describe the processes for coordinating with business, industry and critical infrastructure
2639 owners and operators to determine resource requirements and how supply chain disruptions
2640 affect resource management.
- 2641 ☐ Describe the process for identifying private sector capabilities and resources that help
2642 address supply chain gaps.
- 2643 ☐ Describe the process for tracking and addressing requests for information and requests for
2644 assistance from critical infrastructure owners and operators.
- 2645 ☐ Describe the process for understanding the cascading effects of damaged infrastructure
2646 systems in the community.

2647 PUBLIC ALERT AND WARNING

2648 Public Alert and Warning Section Checklist

- 2649 ☐ Identify and describe the actions to disseminate the notification that a disaster or threat is
2650 imminent or has occurred and how to communicate response and protective actions to the
2651 population (e.g., use alerting systems and IPAWS to send WEA mobile phone broadcasts,
2652 activate EAS radio/TV/cable messages, mass notification voice and SMS distribution, door-
2653 to-door warning, sirens, social media).
- 2654 ☐ Describe the use of emergency condition levels in the public notification process (e.g., snow
2655 emergencies, HAZMAT incidents, nuclear power plant incidents).
- 2656 ☐ Identify and describe the actions to alert individuals with sensory or cognitive disabilities and
2657 others with access and functional needs in the workplace, public venues and in their homes.
- 2658 ☐ Include draft messages for identified hazards in formats appropriate for each public warning
2659 system planned for communications to the population.

2660 PUBLIC HEALTH AND MEDICAL SERVICES

2661 Public Health

2662 Public Health Section Checklist

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

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

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

2714 **Medical Patient Care/Mass Casualty/Mass Fatality Section Checklist**

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

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

PUBLIC INFORMATION

Public Information Section Checklist

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

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

2777 PUBLIC WORKS AND ENGINEERING/INFRASTRUCTURE RESTORATION

2778 Public Works and Engineering/Infrastructure Restoration Section Checklist

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

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

2810 **Damage Assessment**

2811 **Damage Assessment Section Checklist**

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

2824 **Debris Management**

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

2827 **Debris Management Section Checklist**

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

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

2849 RECOVERY

2850 Recovery Section Checklist

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

2865 **SEARCH AND RESCUE**2866 **Search and Rescue Section Checklist**

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

2873 **TRANSPORTATION**2874 **Transportation Section Checklist**

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

2883 **VOLUNTEER AND DONATIONS MANAGEMENT**2884 **Volunteer and Donations Management Section Checklist**

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

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

WORKER SAFETY AND HEALTH

Worker Safety and Health Section Checklist

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

7.1.2. Annex Implementing Instructions

Each annex, as well as the base plan, may use implementing instructions in the form of SOPs/SOGs, maps, charts, tables, forms and checklists and may be included as attachments or references. The EOP planning team may use supporting documents, as needed, to clarify the contents of the plan or annex. For example, the evacuation annex may be clearer with attached maps marked with evacuation routes. Because these routes may change depending on the location of the hazard, the evacuation annex may also include hazard-specific maps. Similarly, maps showing the locations of shelters may support the mass care annex.

7.1.3. Special Preparedness Programs

Some jurisdictions participate in special preparedness programs that publish their own planning guidance. Two examples are the Chemical Stockpile Emergency Preparedness Program and the Radiological Emergency Preparedness Program. Participating jurisdictions should confirm that their EOPs meet the special planning requirements of these programs. Jurisdictions should decide whether this compliance is best accomplished by incorporating the requirements across functional annexes or by developing a hazard-specific annex for the program.

7.2. Hazard- or Threat-Specific Annexes

Hazard-, threat- or incident-specific annexes contain unique response details that apply to a specific threat or hazard. Depending on the EOP's structure, functional annexes rather than hazard-specific annexes may include hazard-specific information.

Hazard- or incident-specific annexes describe emergency response strategies that apply to a specific hazard. The annexes usually identify hazard-specific risk areas and provide information such as

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

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

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

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

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

2946 **7.3. Adversarial Threats**

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

2949 **7.3.1. Civil Unrest Annex**

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

2954 **7.3.2. Cyber Incident Annex**

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

7.3.3. Terrorism Annex

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

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

7.4. Natural Hazards

7.4.1. Biological Incident Annex

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

7.4.2. Drought Annex

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

7.4.3. Earthquake Annex

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

7.4.4. Flood Annex

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

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

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

2998 **7.4.6. Tornado Annex**

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

3003 **7.4.7. Winter Storm Annex**

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

3008 **7.5. Technological Hazards**

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

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

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

3020 **7.5.2. Hazardous Materials Spill Annex**

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

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

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

7.5.3. Lethal Chemical Agents and Munitions Annex

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

7.5.4. Power Outage Incident Annex

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

7.5.5. Radiological Incident Annex

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

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

7.6. Additional Hazards (as Applicable)

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

DRAFT

Appendix A: Authorities and References

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

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

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

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

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

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

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

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

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

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

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

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

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

Appendix B: List of Acronyms

3103		
3104	CBRNE	Chemical, Biological, Radiological, Nuclear and High-Yield Explosive
3105	CEMP	Comprehensive Emergency Management Plan
3106	CERT	Community Emergency Response Team
3107	COG	Continuity of Government
3108	CONOPS	Concept of Operations
3109	COOP	Continuity of Operations
3110	CPG	Comprehensive Preparedness Guide
3111	DHS	Department of Homeland Security
3112	EAS	Emergency Alert System
3113	EMS	Emergency Medical Services
3114	EOC	Emergency Operations Center
3115	EOP	Emergency Operations Plan
3116	ESF	Emergency Support Function
3117	FEMA	Federal Emergency Management Agency
3118	FOG	Field Operations Guide
3119	HAZMAT	Hazardous Material(s)
3120	ICS	Incident Command System
3121	IAP	Incident Action Plan
3122	IMT	Incident Management Team
3123	IPAWS	Integrated Public Alert and Warning System
3124	JFO	Joint Field Office
3125	LEPC	Local Emergency Planning Committee

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

Appendix C: Glossary

3138

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

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

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

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

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

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

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

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

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

- 3208 **Joint Field Office.** The primary federal incident management field structure. The JFO is a temporary
 3209 federal facility that provides a central location for coordinating organizations with primary
 3210 responsibility for response and recovery, including state, local, territorial, tribal, insular area and
 3211 federal governments and private sector and nonprofit organizations.
- 3212 **Joint Information Center.** A facility in which personnel coordinate incident-related public information
 3213 activities. The JIC serves as the central point of contact for all news media. Public information
 3214 officials from all participating agencies co-locate at, or virtually coordinate through, the JIC.
- 3215 **Jurisdiction.** Jurisdiction has more than one definition. Each use depends on the context:
- 3216 ▪ **A range or sphere of authority.** Public agencies have jurisdiction at an incident related to their
 3217 legal responsibilities and authority. Jurisdictional authority at an incident can be political or
 3218 geographical (e.g., city, county, tribal, state or federal boundary lines) or functional (e.g., law
 3219 enforcement, public health).
 - 3220 ▪ **A political subdivision** (e.g., federal, state, county, parish, municipality) with the responsibility for
 3221 public safety, health and welfare within its legal authorities and geographic boundaries.
- 3222 **Lifeline.** See “Community Lifeline.”
- 3223 **Local Government.** A county, municipality, city, town, township, local public authority, school district,
 3224 special district, intrastate district, council of governments (regardless of whether the council of
 3225 governments is incorporated as a not-for-profit corporation under state law), regional or interstate
 3226 government entity or agency or instrumentality of a local government; a rural community,
 3227 unincorporated town or village or other public entity.
- 3228 **Mass Care.** Actions to protect evacuees and other disaster survivors from the effects of a disaster.
 3229 Activities include mass evacuation, mass sheltering, mass feeding, supporting access and functional
 3230 needs and coordinating household pets and service animals.
- 3231 **Mitigation.** Activities providing a critical foundation in the effort to reduce the loss of life and property
 3232 from natural and/or human-caused disasters by avoiding or lessening the impact of a disaster and
 3233 providing value to the public by creating safer communities. Mitigation seeks to lessen the severity of
 3234 the cycle of disaster damage, reconstruction and repeated damage. Mitigation activities or actions,
 3235 in most cases, have a long-term sustained effect.
- 3236 **National Incident Management System.** A systematic, proactive approach to guide all levels of
 3237 government, nonprofits and the private sector to work together to prevent, protect against, mitigate,
 3238 respond to and recover from the effects of incidents. NIMS provides stakeholders across the whole
 3239 community with the shared vocabulary, systems and processes to successfully deliver the
 3240 capabilities described in the National Preparedness System. NIMS provides a consistent foundation
 3241 for dealing with all incidents, ranging from daily occurrences to incidents requiring a coordinated
 3242 federal response.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Appendix D: Examples of Access and Functional Needs

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

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

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

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

Table 1: Considerations for Individuals with Access and Functional Needs

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

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

Incorporating Children

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

Preparedness

Preparedness Considerations for Children Checklist

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

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

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

Evacuation Support

Evacuation Support Considerations for Children Checklist

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

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

3393 Shelter Operations

3394 Shelter Operations Considerations for Children Checklist

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

3405 Public Information and Outreach

3406 Public Information and Outreach Considerations for Children Checklist

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

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

3412 Incorporating Individuals with Access and Functional 3413 Needs

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

3417 Preparedness

3418 Preparedness Considerations for Individuals with Access and Functional Needs Checklist

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

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

Evacuation Support

Evacuation Considerations for Individuals with Access and Functional Needs Checklist

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

Shelter Operations

Shelter Operations Considerations for Individuals with Access and Functional Needs Checklist

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

Public Information and Outreach

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

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

Incorporating Household Pets and Service Animals

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

Preparedness

Preparedness Considerations for Household Pets and Service Animals Checklist

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

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

3515 Evacuation Support

3516 Evacuation Support Considerations for Household Pets and Service Animals Checklist

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

3527 Shelter Operations

3528 Shelter Operations Considerations for Household Pets and Service Animals Checklist

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

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

3551 Registration and Animal Intake

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

3553 **Checklist**

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

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

Animal Care

Animal Care Considerations for Household Pets and Service Animals Checklist

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

Public Information and Outreach

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

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

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

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

3596 Record Keeping

- 3597 **Record Keeping Considerations for Household Pets and Service Animals Checklist**
- 3598 ☐ Define the methods of pre- and post-declaration funding for the jurisdiction's household pet
3599 and service animal preparedness and emergency response program.
- 3600 ☐ Describe how to capture eligible costs for reimbursement by jurisdictional and federal
3601 disaster assistance programs.
- 3602 ☐ Describe how to capture eligible donations for volunteer labor and resources.
- 3603 ☐ Describe how to capture eligible donations for mutual aid resources.

3604

