

# G0235: Emergency Planning



Student Manual

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## Contents

Unit 1: Introductions and Course Overview .....	3
Unit 2: The Changing Environment for Emergency Planning .....	14
Unit 3: Planning Principles .....	37
Unit 4: Steps in the Planning Process - Part 1 .....	56
Unit 5: Steps in the Planning Process - Part 2 .....	111
Unit 6: Coordinating Planning.....	147
Unit 7: Course Summary and Final Exam .....	165

# **Unit 1: Introductions and Course Overview**

# Visual 1: G0235 Unit 1: Introductions and Course Overview



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## ***Unit 1: Introductions and Course Overview***

Welcome to the Emergency Planning course.

Introduce yourself by providing your:

- Name.
- Department or agency.
- Experience with emergency planning.

## Visual 2: Student Introduction



- Locate a partner.
- Learn his or her name, position, and emergency planning experience.
- Find out an interesting fact about your partner.
- Introduce your partner to the class.

### ***Student Introduction***



Student  
Manual

Locate a partner and introduce yourself by providing your name, position, and experience with emergency operations planning. You will have 5 minutes to converse with your partner, and learn an interesting fact about that person. The student partners will then introduce each other to the class by providing:

- His or her partner's name, position, and experience with emergency operations planning.
- One fact about his or her partner's life, or a past experience that the class will find interesting.

## Visual 3: Administrative Information

- Hours
- Evacuation routes and fire exits
- Restrooms
- Smoking
- Lunch and breaks

Please put your cell phone/pager on vibrate!



### ***Student Introduction***



Student  
Manual

- The course hours.
- The evacuation routes and fire exits.
- Restroom locations.
- Smoking policy.
- Lunch and breaks.

Please place all cell phones and pagers on vibrate for the duration of the course.

## Visual 4: Course Goals

- Illustrate changes in emergency planning.
- Promote the integration of emergency planning.
- Provide a link between CPG 101 and actual planning.
- Facilitate a coordinated emergency planning system.
- Improve the overall response for all emergencies.
- Reduce the time required for plan revisions.



### ***Course Goals***

The goals for this course are to:

- Illustrate how the realities of emergency planning have changed in light of recent disasters.
- Promote the integration of all Department of Homeland Security (DHS) mission areas into the planning process.
- Provide a link between the CPG 101 and the actual planning requirements at the State, local, and Tribal levels.
- Facilitate a coordinated emergency planning system through all levels of government.
- Improve the overall response for all emergencies, regardless of the hazard or its size or complexity.
- Reduce the time requirements for plan revisions.



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## Visual 5: Course Objectives

- Describe how recent disasters have changed the way governments at all levels should plan.
- Explain how the CPG 101 helps State, local, and Tribal governments determine and structure their planning requirements.
- Describe how emergency planning relates to NIMS compliance and integration.
- Identify planning principles and concepts with the overall planning process.



### ***Course Objectives***



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At the end of this course, you should be able to:

- Describe how recent disasters have changed planning.
- Explain how CPG 101 helps structure planning requirements.
- Relate emergency planning to NIMS.
- Associate the CPG 101 principles and concepts to the overall planning process.

## Visual 6: Course Objectives

- Identify the steps in the planning process model to improve both deliberate and crisis action planning.
- Implement the planning process model for future planning efforts.
- Determine the EOP format best suited to your jurisdiction.



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### ***Course Objectives***

- Identify the steps in the planning process model to improve both deliberate and crisis action planning.
- Implement the planning process model for future planning efforts.
- Determine the EOP format best suited to your jurisdiction.

## Visual 7: Course Agenda

Day	AM	PM
1	<b>Unit 1:</b> Introductions and Course Overview <b>Unit 2:</b> The Changing Environment for Emergency Planning	<b>Unit 3:</b> Planning Principles <b>Unit 4:</b> Steps in the Planning Process—Part 1
2	<b>Unit 5:</b> Steps in the Planning Process—Step 2 <b>Unit 6:</b> Coordinating Planning	<b>Unit 7:</b> Course Summary and Final Exam

### ***Course Agenda***

This course will take 2 full days to cover all of the material.

- Unit 1 will address class introductions and the course overview.
- Unit 2 will address the changing environment for emergency planning, and the need to integrate emergency planning and response through all levels of government.
- Unit 3 will describe the principles of emergency planning, as defined in CPG 101, and identify the planning strategies that support the five mission areas identified in the National Preparedness Goal: 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.
- Unit 4 will present the first four steps in the planning process: Form a collaborative planning team; understand the situation; determine goals and objectives; and plan development.
- Unit 5 will continue with the remaining steps in the planning process: Plan preparation, review, and approval; and plan implementation and maintenance.
- Unit 6 will describe the effort and methods for the coordination of emergency plans among all government entities, from the Federal level, down to the local level.
- Unit 7 will summarize the key points from the course and present the final exam.



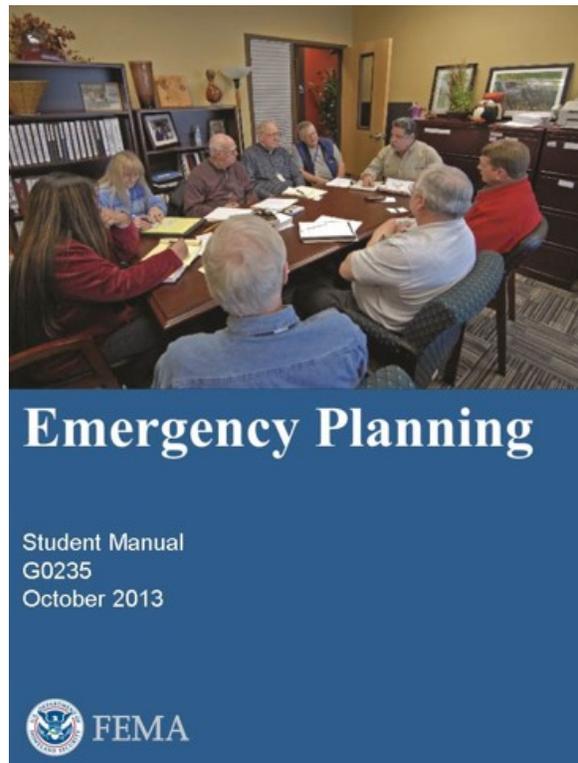
Student  
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## Visual 8: Course Materials

The Student Manual includes:

- Course content.
- Activities.
- Course visuals.
- Job aids.

Comprehensive Preparedness Guide (CPG) 101 is provided as a separate document.



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### ***Course Materials***

The course materials are contained in a Student Manual (SM).

The SM includes all of the course content and activities, as well as reduced-size copies of all course visuals. You are urged to take notes in the SM so that you retain any additional information that the Instructor may present during the course.

The CPG 101 is provided as a separate document.

## Visual 9: Activity: Precourse Exam

Purpose:

- To determine your current knowledge of emergency planning.

Instructions:

- Work individually.
- You have 15 minutes to complete the exam.

Do the best you can. The exam will not be graded!



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**Activity Purpose:** The purpose of this exam is to provide you with an idea of the knowledge that you bring to the course.

**Instructions:** Follow the steps below to conduct the precourse exam.

1. You will take a precourse exam. This exam serves two main purposes:
  - To provide you with an idea of the knowledge of emergency planning that you bring to the class.
  - To provide the Instructor with the information needed to focus the course on areas requiring special attention.
1. You will complete this exam individually. Do the best that you can on the exam, but the exam will not be graded.
2. You have 15 minutes to complete the exam.

## Visual 10: Summary and Transition

This unit:

- Introduced the course goals and objectives.
- Provided an opportunity to determine your current knowledge of emergency planning.

Unit 2 will examine the changing environment for emergency planning.



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### ***Summary and Transition***

Unit 1:

- Introduced the course goals and objectives.
- Provided an opportunity to determine their current knowledge of emergency planning.

Unit 2 will examine the changing environment for emergency planning.

# **Unit 2: The Changing Environment for Emergency Planning**

# Visual 1: Unit 2: The Changing Environment for Emergency Planning



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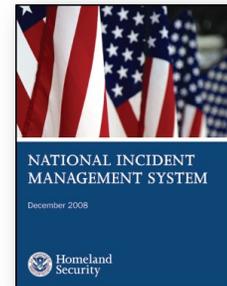
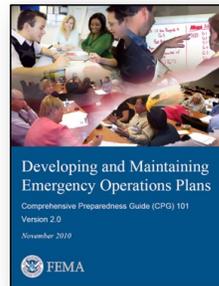
## ***Student Introduction***

Recent major natural disasters and terrorist attacks have greatly affected the emergency planning community. The topics presented in this unit include:

- The changing environment for emergency planning.
- Integrating emergency planning across all response levels.

## Visual 2: Unit Objectives

- Describe how recent disasters have changed the way governments at all levels should plan for emergencies.
- Explain the link between CPG 101 and the NIMS as a way to integrate emergency planning across all operational levels.



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### ***Unit Objectives***

At the end of this unit, you should be able to:

- Describe how recent disasters have changed the way governments at all levels should plan for emergencies.
- Explain the link between CPG 101 and the NIMS as a way to integrate emergency planning across all operational levels.

## Visual 3: Emergency Planning - The New Reality

### *Transcript: Emergency Planning—the New Reality*

**Narrator:** On the morning of September 11, 2001, two hijacked commercial airlines departed from Boston’s Logan airport and flew into the two 110-story towers in New York’s World Trade Center complex. The resulting structural damage, combined with the ensuing fires, resulted in the total collapse of both towers. A total of 2,380 people lost their lives that day at the World Trade Center site—2,270 building occupants, 157 airplane crew and passengers, and 403 firefighters, police personnel, and other emergency responders.

In August 2005, Hurricane Katrina struck the Gulf Coast causing unprecedented damage to property, significant loss of life, and displacement of tens of thousands from their homes. In September 2005, Hurricane Rita followed, significantly increasing the damage to property and displacement of individuals and families.



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In October 2003, sixteen firestorms fueled by high temperatures, low humidity and gusty Santa Anna Winds, raged through five counties of Southern California, consuming almost 740,000 acres. These catastrophic events have changed the reality of emergency operations planning, and illustrate the challenge the Nation faces in the 21<sup>st</sup> Century.

To meet this challenge, we need a common, nationwide approach to the emergency planning process. Planning and preparing for major events involves all levels of government, the private sector, and nongovernmental organizations (NGOs).

**Narrator:** To meet this challenge, we must realize the operational tasks needed to withstand a major event, and then build and maintain the capabilities to carry out those tasks. Catastrophic events cross jurisdictional boundaries and require a consistent nationwide effort

from all levels of government to work effectively and efficiently together.

Traditionally, State and local officials have had responsibility during disasters. When their resources are overwhelmed, they seek Federal assistance. That's too late!

The lessons learned from the catastrophic events of this century highlight the critical importance of all hazards planning implemented at all levels of government. Emergency management is a shared responsibility. The local jurisdiction assumes initial responsibility when disaster strikes. But the Government must be prepared to take an active role and provide resources when and where needed.

Beginning in 2004, Homeland Security Presidential Directives have been issued that require the Federal Government to integrate its emergency planning process with those used by State, territorial, Tribal, and local governments. The Federal Government needs to partner with State and local government, as well as NGOs, and the private sector to close capability gaps and provide a combined, integrated response to natural and human-caused threats.

The NIMS is the first standardized approach, enabling all levels of government to work together to respond to any domestic incident. It is an integrated system that makes the Nation safer by establishing a common language and a common set of procedures for all emergency responders, and every level of government, to conduct response actions.

The 21<sup>st</sup> Century vision for National Preparedness is a Nation prepared with coordinated capabilities to prevent, protect against, respond to, and recover from all hazards in a way that balances risk with resources and need.

**Note:** NIMS will be described and discussed later in this unit.



The video Emergency Planning—The New Reality will begin automatically.

Instructor

Note
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## Visual 4: How Have Emergency Operations Changed?

Discussion Question: How have the recent major natural disasters and terrorist attacks changed emergency operations planning?



How have the recent major natural disasters and terrorist attacks changed emergency operations planning?

Discussion  
Question

## Visual 5: Emergency Response Requirements

Emergency planning needs to address:

- All hazards that threaten a jurisdiction.
- The prevention, protection, and mitigation mission areas, in addition to the traditional response and recovery missions.
- Unity of purpose through plan integration among all stakeholders.



### ***Emergency Response Requirements***

Emergency planning needs to address:

- All hazards that threaten a jurisdiction.
- The prevention, protection, and mitigation mission areas, in addition to the traditional response and recovery missions.
- Unity of purpose through plan integration among all stakeholders.



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Planners must ensure that department and supporting agency plans fit into their jurisdictions' concepts of operations through coordination. Planning must be integrated, through all levels of government, to ensure a common operational focus. Planners also must be aware of, and integrate the emergency response plans and resources of NGOs.

## Visual 6: Types of Risk

- Natural
- Technological
- Adversarial or Human-caused



### ***Types of Risk***

Governments at every level plan for three types of risk:

- Natural
- Technological
- Adversarial or Human-caused



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Some hazards or threats posed to a jurisdiction are adaptive in that they have the ability to change behavior or characteristics based on emergency measures taken by a jurisdiction. Human-caused or adversarial threats, such as civil disturbances or terrorism, have adaptive risk characteristics. A threat characterized by adaptive risk requires planners to continually evaluate and refine their plans as the threat learns existing concepts of operations, and adapts to those operations.

Note that natural and technological hazards are considered nonadaptive risks. Their physical characteristics and disaster dimensions do not change after preventive, protective, or mitigation measures are taken. Traditional mitigation activities are an effective means of planning for these hazards.

## Visual 7: Types of Plans

- Strategic plans identify policy objectives and long-term solutions to emergency management responsibilities. Strategic planning lays out the fundamental direction, and sets the context and expectations.
- Operational plans provide a description of roles and responsibilities, tasks, integration, and actions required of a jurisdiction or its departments and agencies during emergencies.
- Tactical plans focus on managing personnel, equipment, and resources that play a direct role in an incident response.

### ***Types of Plans***

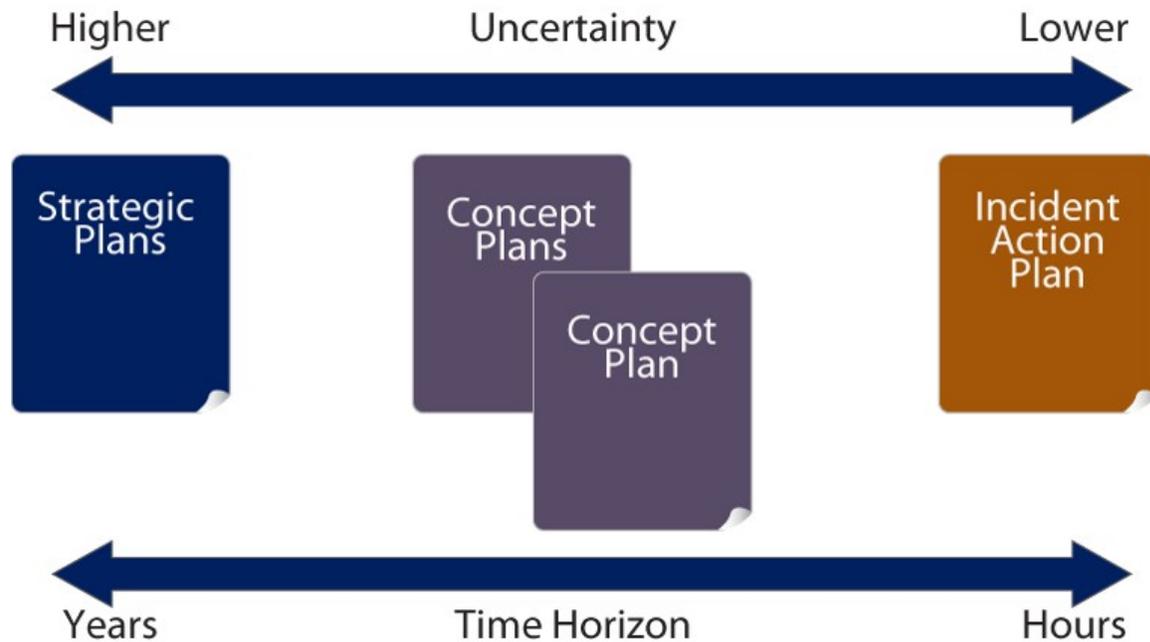
Emergency planning occurs at three levels:



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- Strategic plans identify policy objectives and long-term solutions to emergency management responsibilities. Strategic planning lays out the fundamental direction, and sets the context and expectations.
- Operational plans provide a description of roles and responsibilities, tasks, integration, and actions required of a jurisdiction or its departments and agencies during emergencies.
- Tactical plans focus on managing personnel, equipment, and resources that play a direct role in an incident response.

## Visual 8: Planning Horizons



### Planning Horizons Description

Planning horizons for different types of plans. Strategic plans present a broad picture, so the uncertainty level is higher; the time horizon is longer than for other plans. Concept plans have a medium level of uncertainty and a moderate time horizon. Incident Action Plans occur at regular intervals throughout and incident. The uncertainty level is lowest and the time horizon is only hours.

#### ***Planning Horizons***

The three types of planning form a hierarchy, with strategic plans at the top level providing overall guidance. Note that:



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- Strategic Plans describe a broad, conceptual use of resources.
- Concept plans and Operations plans provide the framework for Incident Action Planning (IAP) Guides.
- IAPs are completed for each operational period when an incident occurs.

There is not a one-to-one correlation between the types of planning and levels of government. All three types of planning occur at all levels of government.

**National Strategic Plan**

The National Emergency Communications Plan (NECP) is a strategic plan that sets goals and identifies key national priorities to enhance governance, planning, technology, training and exercises, and disaster communications capabilities. The NECP provides recommendations, including milestones, to help emergency response providers and relevant government officials make measurable improvements in emergency communications.

**State Strategic Plan**

The California 2007 Statewide Integrated Public Safety Communications Strategic Plan is a clear road map that identifies both the strategic approach and the practical actions needed to accomplish integrated interoperable communications in California. The plan:

- Reflects the current status of State agencies' systems and challenges.
- Outlines a robust vision for interoperability in California.
- Identifies key integration steps and partnerships with local government.
- Documents the 2-year critical operability needs for State agencies as a first step.
- Establishes a clear work plan to continue the collaborative efforts to accomplish these goals.

**State Operations Plan**

The *State of Maine Communication Operations Plan for Incident Communications* Interoperability provides guidance to public safety agencies (traditional first responders) and nontraditional responders for developing and employing interoperability through an effective incident communications program. Local Operations Plan The Town of Orrington, Maine 2008 Emergency Operations Plan identifies hazards and vulnerabilities, and the likelihood and severity of impact that these hazards will have on the community. This plan defines the efforts and resources to mitigate the effects of, prepare for, and respond to an emergency or disaster event. Annex B describes the communications capabilities of the Town of Orrington and provides telephone and radio lists.

**Local Tactical Plan**

The *Little Rock Metropolitan Area Tactical Interoperable Communications Plan* establishes a Tactical Interoperable Communications Plan (TICP) for the Little Rock, Arkansas Metropolitan Area. The TICP documents what interoperable communications resources are available within the metropolitan area,

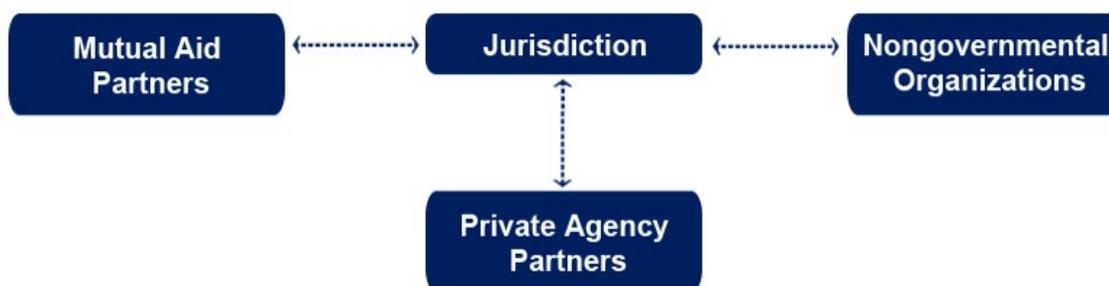
which entity controls each resource, and what rules of use or operational procedures exist for the activation and deactivation of each resource.

Source: Abstracts and full documents available at the Lessons Learned Information Sharing Web site: [www.llis.dhs.gov](http://www.llis.dhs.gov)

## Visual 9: Integrating Emergency Planning

Horizontal Integration:

- Fosters cooperation between response operations and support operations.
- Improves teamwork among mutual aid partners.
- Integrates operations across a jurisdiction.
- Integration ensures a jurisdiction's set of plans supports its neighboring or partner jurisdictions' similar sets of plans.



### ***Integrating Emergency Planning***

Vertical Integration:

- Promotes complementary goals and strategies.
- Reduces fragmentation.
- Ensures a common focus.

The foundation for operational response is at the local level.

Support from State/Territorial/Tribal, Regional, and Federal entities is layered onto the tribal/local activities.



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Planning up and down the various levels of government is termed integration. The coordination of emergency planning by the different jurisdictions promotes complementary goals and strategies, and reduces fragmentation caused by independent and diverse planning efforts.

Although planning occurs in both directions, the foundation for operational response is at the local and Tribal level, (if the Tribal government is conducting the emergency planning activity as a local entity). Support from State/Territorial/Tribal (if the Tribal government is conducting the emergency planning activity as a State entity), regional, and Federal entities are layered onto the Tribal/local activities. The Sandy Recovery and Improvement Act (SRIA) provides the tribes the ability to act as States in certain circumstances in

addition to the existing change.

The NIMS and the National Response Framework (NRF) support the concept of layered operations. They recognize that many operations start at the local level, and, as needs exceed resources and capabilities, State/Territorial/Tribal, regional, and Federal assets are applied. This approach means that planning must be integrated to ensure that all response levels have a common operational focus.

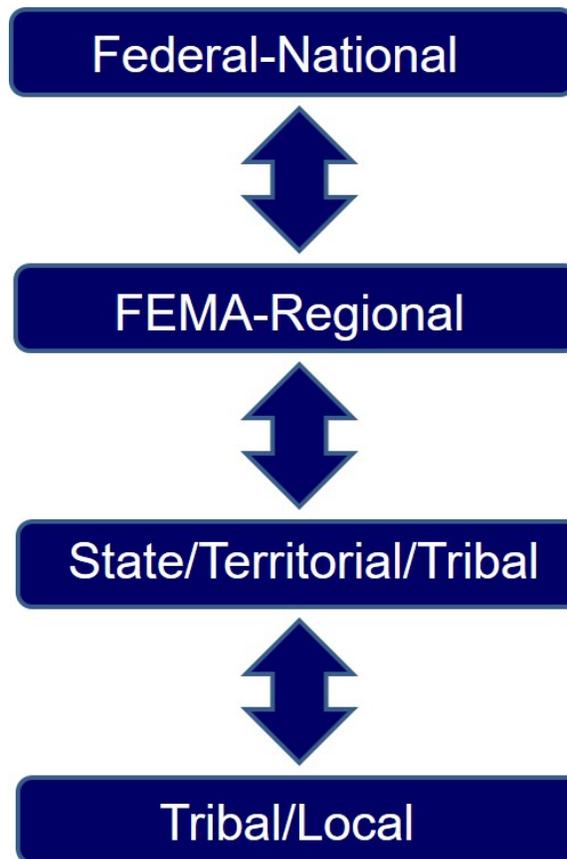
## Visual 10: Integrating Emergency Planning

### Vertical Integration:

- Promotes complementary goals and strategies.
- Reduces fragmentation.
- Ensures a common focus.

The foundation for operational response is at the local level.

Support from State/Territorial/Tribal, Regional, and Federal entities is layered onto the tribal/local activities.



### ***Integrating Emergency Planning***

#### Vertical Integration:

- Promotes complementary goals and strategies.
- Reduces fragmentation.
- Ensures a common focus.



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The foundation for operational response is at the local level. Support from State/Territorial/Tribal, Regional, and Federal entities is layered onto the tribal/local activities. Introduce this topic by telling the group that planning up and down the various levels of government is termed integration. The coordination of emergency planning by the different jurisdictions promotes complementary goals and strategies, and reduces fragmentation caused by independent and diverse planning efforts.

Although planning occurs in both directions, the foundation for

operational response is at the local and Tribal level, (if the Tribal government is conducting the emergency planning activity as a local entity). Support from State/Territorial/Tribal (if the Tribal government is conducting the emergency planning activity as a State entity), regional, and Federal entities are layered onto the Tribal/local activities. The Sandy Recovery and Improvement Act (SRIA) provides the tribes the ability to act as States in certain circumstances in addition to the existing change.

The NIMS and the National Response Framework (NRF) support the concept of layered operations. They recognize that many operations start at the local level, and, as needs exceed resources and capabilities, State/Territorial/Tribal, regional, and Federal assets are applied. This approach means that planning must be integrated to ensure that all response levels have a common operational focus.

## Visual 11: Integration is Critical

Why is integration critical in major disasters?



### ***Integration is Critical***

Why is integration critical in major disasters?

Discussion  
Question

## Visual 12: Benefits of Integration

Improved:

- Alignment of government with NGOs
- Information dissemination
- Planning documents
- Resource management
- Integration of mission areas
- CIKR protection
- Promotion of best practices and lessons learned



### ***Benefits of Integration***

The benefits of integration are improved by:

- Alignment of Federal, State, Tribal, and local governments, and NGOs, in an effective and efficient structure for preparedness, incident management, and emergency response.
- Dissemination of information about threats and vulnerabilities.
- Coordination of the development of related planning documents across different requirements.
- Resource sharing to support a single entity's response to terrorist attacks and major disasters.
- Integration of prevention, protection, response, and recovery missions to overpower incidents.
- Coordination of the protection of Critical Infrastructure Key Resources (CIKR).
- Promotion of best practices and lessons learned.

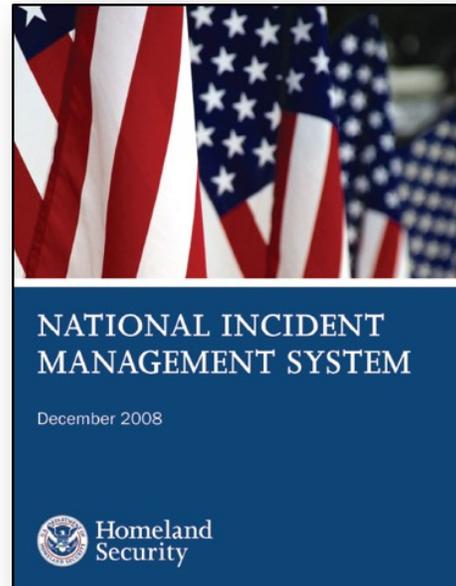


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## Visual 13: National Incident Management System

A consistent nationwide framework that includes:

- Standardized command structures.
- Preparedness activities, equipment acquisitions, and personnel qualifications and certification standards.
- Resource management.
- Communications and information management.
- Ongoing management and maintenance.



### ***National Incident Management System***

NIMS integrates existing best practices into a consistent nationwide framework for incident management at all jurisdictional levels and across functional disciplines. NIMS enables responders at all levels to work together more effectively to manage domestic incidents, regardless of the cause, size, or complexity.

The NIMS approach to incident management consists of:

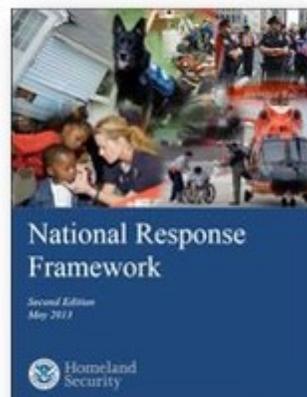
- Standardized command and management structures.
- Preparedness activities, such as planning, training, exercises, equipment acquisitions, and personnel qualifications and certification standards.
- Resource management.
- Communications and information management.
- Ongoing management and maintenance.



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## Visual 14: National Response Framework (NRF)

- Guides the Nation's response to disasters and emergencies.
- Describes specific authorities and best practices.
- Built on scalable, flexible, and adaptable concepts identified in NIMS.



### ***National Response Framework (NRF)***

The NRF is a guide to how the Nation responds to all types of disasters and emergencies. The NRF describes specific authorities and best practices for managing incidents that range from the serious but purely local to large-scale terrorist attacks or catastrophic natural disasters. The NRF identifies specific concepts that should be addressed in an Emergency Operations Plan (EOP), including:

- Using the NIMS Incident Command System (ICS) structure to manage all incidents.
- Integrating all response agencies into a single, seamless system.
- Developing and implementing a public information system.
- Identifying and characterizing all resources according to established standards and types.
- Ensuring that all personnel are properly trained for job performance.
- Ensuring the interoperability and redundancy of communications

This Framework is always in effect, and elements can be implemented at any time. It is built on scalable, flexible, and adaptable concepts identified in the NIMS. The structures, roles, and responsibilities described in the NRF can be partially or fully implemented in the context of a threat or hazard, in anticipation of a significant event, or in response to an incident. Selective implementation of NRF structures and procedures allows for a scaled response, delivery of the specific resources and capabilities, and a level of coordination appropriate to each incident.



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# Visual 15: Comprehensive Preparedness Guide

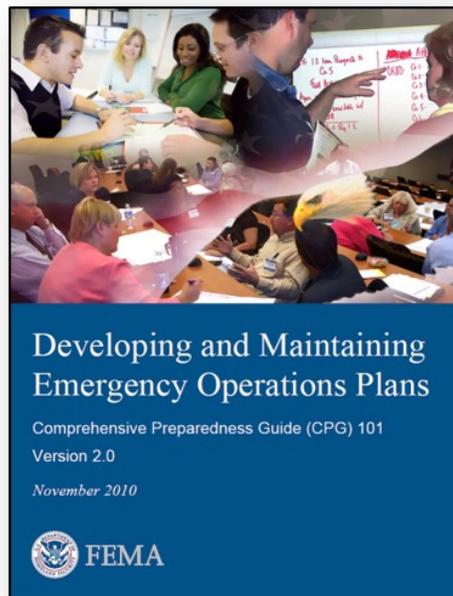
## 101

Guidelines for:

- All-hazard, all-threat EOPs.
- Planning and response fundamentals.
- Integrated, coordinated, and synchronized EOPs.

Addresses the:

- Prevention, protection, mitigation, response, and recovery mission areas.
- Changed reality of the emergency planning environment.



### ***Comprehensive Preparedness Guide 101***

The concepts from NIMS and NRF have been expanded upon in the CPG 101. The purpose of CPG 101 is to:

- Provide general guidelines on developing all-hazard, all-threat EOPs for State, territorial, Tribal, and local governments.
- Promote a common understanding of hazard and threat planning and response fundamentals.
- Support the development of integrated, coordinated, and synchronized EOPs.

Note that CPG 101 addresses:

- The need to plan for both the prevention and protection mission areas, in addition to mitigation, response, and recovery.
- The changed reality of the emergency planning environment caused by recent major disasters and terrorist attacks.



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## Visual 16: Summary and Transition

This unit:

- Looked at how the emergency planning environment has changed, and considered the need to integrate emergency planning throughout all levels of government.

Unit 3 will cover the principles of emergency planning.



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### ***Summary and Transition***

Unit 2 looked at how the emergency planning environment has changed, and considered the need to integrate emergency planning throughout all levels of government.

Unit 3 will cover the principles of emergency planning.

# Unit 3: Planning Principles

## Visual 1: Unit 3: Planning Principles



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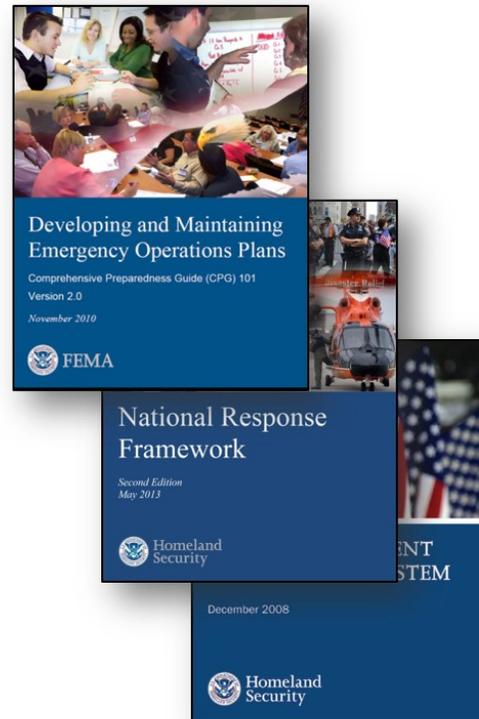
### ***Unit 3: Planning Principles***

The principles of emergency planning reflect the aftermath of recent major disasters and terrorist attacks. This unit will address the:

- Principles of emergency planning.
- Planning strategies that support mission areas.
- Characteristics of an effective planning process.

## Visual 2: Unit Objectives

- Describe how the principles of emergency planning have evolved.
- Explain how the planning principles in CPG 101 align with NIMS and NRF.
- Relate the characteristics of effective planning processes.



### ***Unit Objectives***

At the end of this unit, you should be able to:



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- Describe how the principles of emergency planning have evolved in light of the new realities.
- Explain how the planning principles in CPG 101 align with NIMS, and the NRF.
- Relate the characteristics of effective planning processes to their jurisdictions' planning processes.

## Visual 3: Principles of Emergency Planning

- Planning must be community-based, representing the whole population and its needs.
- Involve all partners—all agencies, the private sector, and NGOs.
- Address all hazards and threats by identifying common functions and responsible entity.
- Use a logical, analytical, problem-solving process.
- Identify the tasks, allocate resources, and establish accountability.



### ***Principles of Emergency Planning***

An Emergency Operations Plan (EOP) conveys to the planning community the tasks (what to do) and the purpose (why to do it) during an emergency. An effective EOP incorporates the following principles:

- It involves all partners. A solid team effort results when stakeholders from all departments and agencies, the private sector, and nongovernmental organizations are involved.
- It addresses all hazards and threats. Identify operational functions common to different emergencies, and document in the plan the organization that is responsible for performing these tasks.
- It deals with complexity by using a logical, analytical, problem-solving process. Process steps include gathering and analyzing information, determining operational objectives, and developing alternative ways to achieve the objectives.
- It identifies the tasks, allocates resources, and establishes accountability. Establishing priorities helps planners allocate adequate resources and document participant accountability.



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## Visual 4: Additional Emergency Planning Principles

- Review other plans to gain insight and resource material.
- Identify purpose, establish procedures, and provide measures to synchronize actions.
- Enlist support of senior officials.
- Consider the effect of time, uncertainty, risk, and experience on planning solutions.



### ***Additional Emergency Planning Principles***

Additional principles for developing an effective EOP include:

- Reviewing other plans to gain insight and resource material. Refer to State standards and existing plans for support and guidance.
- Depicting the anticipated environment for action. Identify purpose, establish implementation procedures, and provide measures to synchronize actions.
- Ensuring the understanding and buy-in of senior officials. Support and involvement of the chief executive enables a high-priority status for emergency planning.
- Considering the effect of time, uncertainty, risk, and experience on planning solutions. These factors allow planners to apply appropriate concepts and methods to create solutions.



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## Visual 5: Activity: EOP Planning Principles

### Instructions:

1. Work in your group, as assigned by the Instructor.
2. Complete the EOP Planning Principles Worksheet.
3. Identify a principle not practiced in your jurisdiction, and develop a strategy to follow the principle.
4. Select a spokesperson to present your proposed strategy to the class.

You have 15 minutes to complete this activity.

### ***Activity: EOP Planning Principles***

**Activity Purpose:** The purpose of this activity is to give you an opportunity to select a principle that your jurisdictions are not currently following, and incorporate it into the planning process.

**Instructions:** Follow the steps below to conduct this activity.



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1. Work in your group, as assigned by the Instructor.
2. Complete the EOP Planning Principles Worksheet on the following page.
3. Identify a principle not being practiced in your jurisdictions, and develop one or more strategies to change your planning processes and follow the principle.
4. You have 15 minutes to complete this activity.
5. Select a spokesperson to present your proposed strategy to the class.

# Principles of Emergency Planning

## Activity: EOP Planning Principles

Does your planning process . . .	Yes	No	Comments
Involve all partners?			
Address all hazards and threats?			
Use a problem solving process for complex issues?			
Identify tasks, allocate resources, and establish accountability?			
Review other plans and available standards?			
Depict the anticipated environment for action?			
Ensure the understanding and buy-in of senior officials?			
Consider the effect of time, uncertainty, risk, and experience on planning solutions?			

### Strategy for Improvement:

## Visual 6: Strategies that Support Mission

### Areas

What planning strategies support the missions to prevent, protect, and mitigate against natural, technological, or adversarial or human-caused emergencies?



What planning strategies support the missions to prevent, protect, and mitigate against natural, technological, or adversarial or human-caused emergencies?

Discussion  
Question

## Visual 7: Strategies for Prevention, Protection, and Mitigation

Identify threats and protect potential targets by employing:

- Information collection and threat detection.
- Risk, vulnerability, and intelligence analysis.
- Information sharing and protection.
- Risk management.



### ***Strategies for Prevention, Protection, and Mitigation***

The goals of prevention, protection, and mitigation planning efforts are to identify threats, protect potential targets, and mitigate threats and hazards. These strategic tasks help to achieve these goals:

- Information collection and threat detection
- Risk, vulnerability, and intelligence analyses
- Information sharing and protection
- Risk management



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The effectiveness of prevention, protection, and mitigation efforts is dependent upon the collaboration of the various emergency response disciplines and community services agencies. The proactive, information-driven methods that are used on a daily operational basis to reduce crime and combat public health concerns provide a foundation for prevention, protection, and mitigation planning.

## Visual 8: Strategies that Support Mission Areas

What planning strategies support the missions of responding to and recovering from natural, technological, or adversarial or human-caused emergencies?



Discussion  
Question

### ***Strategies that Support Mission Areas***

What planning strategies support the missions of responding to and recovering from natural, technological, or adversarial or human-caused emergencies?

## Visual 9: Response Planning Strategies

- Save lives.
- Meet basic human needs.
- Minimize the impact on critical infrastructure and the environment.
- Reduce the physical, psychological, social, and economic effects of an incident.
- Assess the incident to ensure that response is quickly scalable, adaptable, and flexible.



### ***Response Planning Strategies***

The response strategies are the traditional focus of emergency planning. The strategies implemented in the immediate aftermath of an event are intended to:



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- Save lives.
- Meet basic human needs.
- Minimize the impact on critical infrastructure and the environment.
- Reduce the physical, psychological, social, and economic effects of an incident.
- Assess the incident to ensure that response is quickly scalable, adaptable, and flexible.

## Visual 10: Recovery Planning Strategies

Involve all stakeholders to:

- Identify the roles and responsibilities of government.
- Clarify stakeholder needs and interests.
- Address community needs.



### ***Recovery Planning Strategies***

Recovery strategies address the rebuilding and revitalization of affected communities. Recovery entails:

- Restoration of interrupted utility services.
- Re-establishment of transportation routes.
- Provision of food and shelter to displaced persons.

All stakeholders need to be involved in recovery planning, both before and after an event occurs. Recovery planning leads to community restoration and future sustainability by:

- Identifying the roles and responsibilities of government.
- Clarifying stakeholder needs and interests.
- Addressing the jurisdiction's housing, economy, environment, and infrastructure.

The National Preparedness Goal (NPG) presents an integrated, layered, and all-of-Nation approach to preparedness. The next visual discusses the five mission areas described in the NPG: Prevention, Protection, Mitigation, Response, and Recovery.



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## Visual 11: Incident Management Activities



### ***Incident Management Activities***

The five mission areas identified in the NPG are Prevention, Protection, Mitigation, Response and Recovery. Each mission area is comprised of the capabilities required for achieving the function at any time (before, during, or after an incident) and across all threats and hazards.



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- Prevention to avoid an incident or to intervene to stop an incident from occurring. Prevention involves actions to protect lives and property. It involves applying intelligence and other information to a range of activities that may include such countermeasures as deterrence operations; heightened inspections; improved surveillance and security operations; investigations to determine the full nature and source of the threat; public health and agricultural surveillance and testing processes; immunizations, isolation, or quarantine; and, as appropriate, specific law enforcement operations aimed at deterring, preempting, interdicting, or disrupting illegal activity and apprehending potential perpetrators and bringing them to justice.
- Protection, which includes actions that secure the homeland against acts of terrorism and manmade or natural disasters.
- Mitigation, which provides a critical foundation in the effort to reduce the loss of life and property from natural and/or human-

caused disasters by avoiding or lessening the impact of a disaster and providing value to the public by creating safer communities. Mitigation seeks to fix the cycle of disaster damage, reconstruction, and repeated damage. These activities or actions, in most cases, will have a long-term sustained effect.

- Response to save and sustain lives, protect property and the environment, and meet basic human needs. Response also includes the execution of plans and actions to support short-term recovery.
- Recovery, which includes the development, coordination, and execution of service and site restoration plans; the reconstitution of government operations and services; individual, private sector, nongovernmental, and public assistance programs to provide housing and to promote restoration; long-term care and treatment of affected persons; additional measures for social, political, environmental, and economic restoration; evaluation of the incident to identify lessons learned; post-incident reporting; and development of initiatives to mitigate the effects of future incidents have a long-term sustained effect.

## Visual 12: Preparedness Through Mitigation

Mitigation is sustained action taken to reduce the loss of life and property from disasters. Mitigation strategies may include:

- Structural engineering projects to reduce impact.
- Land use ordinances to reduce vulnerability.
- Property protection measures in known hazard areas.



### ***Preparedness Through Mitigation***

Mitigation consists of the strategies developed to reduce the loss of life and property from natural and/or human-caused disasters by avoiding or lessening the impact of a disaster and providing value to the public by creating safer communities. Mitigation in most cases, will have a long-term sustained effect.

Mitigation seeks to fix the cycle of disaster damage, reconstruction, and repeated damage.

Mitigation strategies may include:

- Structural engineering projects to reduce the impact of a hazard.
- Zoning and land use ordinances to reduce hazard vulnerability.
- Building codes and other property protection measures in known hazard areas.

Other mitigation measures could include:

- Natural resources protection for flood control and the reduction of environmental erosion.
- Public information programs to advise citizens and businesses about hazards and threats.



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## Visual 13: Effective Planning Systems

- Are continual.
- Reduce unknowns in the anticipated event.
- Aim at evoking appropriate actions.
- Based on likelihood and expected impact.
- Based on facts, typical behavior, and capabilities.
- Focus on general principles, with flexibility.
- Are a training and education activity.
- Are tested.



### ***Effective Planning Systems***

Effective planning systems share the following common characteristics. They:

- Are continual.
- Reduce unknowns in the anticipated event without trying to preplan all aspects.
- Aim at evoking appropriate actions.
- Are based on what is likely to happen, what people are likely to do, and expected impact.
- Are based on facts regarding the threat or hazard, people's typical behavior, and required capabilities.
- Focus on general principles, while maintaining flexibility.
- Are partly a training and education activity.
- Are tested.



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## Visual 14: Activity: Planning Systems

### Characteristics

Instructions:

1. Work in your group, as assigned by the Instructor.
2. Complete the Planning Systems Characteristics Worksheet.
3. Develop a strategy for improving the EOP planning process.
4. Select a spokesperson to present your strategy to the class.

You have 15 minutes to complete this activity.



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#### ***Activity: Planning Systems Characteristics***

**Activity Purpose:** The purpose of this activity is to give you an opportunity to compare your jurisdictions' planning processes with effective planning systems characteristics, and develop a strategy for improving your planning processes.

**Instructions:** Follow the steps below to conduct this activity.

1. Work in your group, as assigned by the Instructor.
2. Complete the Planning Systems Characteristics Worksheet on the following page.
3. Develop a strategy for improving the EOP planning process.
4. You have 15 minutes to complete this activity.
5. Select a spokesperson to present your strategy to the class.

## Activity: Planning Systems Characteristics

Is your planning process . . .	Yes	No	Comments
Continual?			
Aimed at evoking appropriate actions?			
Based on what is likely to happen and what people are likely to do?			
Based on facts (e.g., knowledge about the hazard, required capabilities, typical human reaction)?			
Flexible, but still focused on general principles?			
Tested?			
<b>Does your planning process . . .</b>			
·			
Attempt to reduce unknowns in anticipated events, as appropriate?			
Provide training and educational activity?			

**Strategy for Improvement:**

## Visual 15: Summary and Transition

This unit:

- Looked at the principles of emergency planning and planning strategies to support emergency mission areas.
- Introduced the characteristics of effective planning processes.

Unit 4 will cover the steps in the planning process.



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### ***Summary and Transition***

Summarize this unit by telling the group that Unit 3:

- Looked at the principles of emergency planning and planning strategies to support emergency mission areas.
- Introduced the characteristics of effective planning processes.

Explain that Unit 4 will cover the steps in the planning process.

# **Unit 4: Steps in the Planning Process - Part 1**

# Visual 1: Unit 4: Steps in the Planning Process

## - Part 1



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This unit will address the first four steps of the emergency planning process model:

- Step 1: Form a collaborative planning team
- Step 2: Understand the situation
- Step 3: Determine goals and objectives
- Step 4: Plan development

The next unit will address the final two steps of the emergency planning process model.

## Visual 2: Unit Objectives

- List the first four steps in the planning process.
- Describe the advantages of a planning process model.
- Apply the planning model to their planning processes.



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### ***Unit Objectives***

At the end of this unit, you should be able to:

- List the first four steps in the planning process.
- Describe the advantages of a planning process model.
- Apply the planning model to their planning processes.

## Visual 3: Planning Process Model



### ***Planning Process Model***

The Comprehensive Preparedness Guide (CPG) 101 (November 2010) presents the steps below as an operational planning process appropriate for all levels of plans.



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1. Form a collaborative planning team.
2. Understand the situation.
3. Determine goals and objectives.
4. Plan development.
5. Plan preparation, review, and approval.
6. Plan implementation and maintenance. This section will cover each of these steps.

## Visual 4: Planning for the Whole Community

Community planning includes the consideration of:

- Civic, social, faith-based, educational, professional, and advocacy organizations.
- Immigrant and limited English proficiency constituents.
- Voluntary organizations.
- Private service providers.
- Critical infrastructure operators.
- Local and regional organizations.

### ***Planning for the Whole Community***

One key new focus in the revised guidance is the concept of community-based planning — engaging the Whole Community in the planning process.

“Whole Community” encompasses two key concepts:

1. Ensuring that our response and recovery actions are driven by the actual needs of the entire affected community and the conditions on the ground, including the population demographics and geographic location; and
2. Ensuring that we leverage and rely upon the resources of the entire emergency management team to the greatest extent possible in meeting these needs.



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The foundation for community-based planning is knowing the community. A keen understanding of the actual population and its needs will have a profound effect on the success or failure of any plan.

Community planning includes the consideration of:

- Civic, social, faith-based, educational, professional, and advocacy organizations.
- Immigrant and limited English proficiency constituents.
- Voluntary organizations.
- Private service providers.
- Critical infrastructure operators.
- Local and regional organizations.

## Visual 5: The Need for a Planning Process

CPG 101:

- Applies to tactical, operational, and strategic planning.
- Is applicable to all:
  - Government levels.
  - Private entities.
  - NGOs.
- Captures and codifies current procedures.



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### ***The Need for a Planning Process***

CPG 101 employs a more detailed process which leads to more complete, more accurate, and more relevant emergency plans.

The CPG 101 method is applicable to tactical, operational, and strategic planning efforts, and is adaptable to all levels of government, as well as nongovernmental organizations.

This formal process captures and codifies the procedures most likely being followed now by their jurisdictions.

## Visual 6: Step 1: Form a Collaborative Planning Team

Forming a collaborative planning team:

- Expands membership to include the entire community.
- Builds relationships and improves trust.
- Improves the planning effort.
- Extends the relationship to operations.



### ***Step 1: Form a Collaborative Planning Team***

Step 1: Form a collaborative planning team. By developing a collaborative planning team, jurisdictions or other organizations engage the whole community in the planning effort.

Building the team is one of the most valuable efforts in the planning process because the trust and working relationships fostered by participating together as members of the team will



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- Pay dividends in more comprehensive and creative planning.
- Extend into operations when the same people work together during emergencies.

The job aid, Potential Members of a Planning Team, is included in the Student Manual. The job aid suggests community officials and workers who might participate on the planning team because of what they bring to the effort.

## Potential Members of a Planning Team

Individuals/Organizations	What They Bring to the Planning Team
Senior Official (elected or appointed) or designee	<ul style="list-style-type: none"> <li>• Support for the homeland security planning process.</li> <li>• Government intent by identifying planning goals and essential tasks.</li> <li>• Policy guidance and decision-making capability.</li> <li>• Authority to commit the jurisdiction's resources.</li> </ul>
Emergency Manager or designee	<ul style="list-style-type: none"> <li>• Knowledge about all-hazard planning techniques.</li> <li>• Knowledge about the interaction of the tactical, operational, and strategic response levels.</li> <li>• Knowledge about the prevention, protection, response, recovery, and mitigation strategies for the jurisdiction.</li> <li>• Knowledge about existing mitigation, emergency, continuity, and recovery plans.</li> </ul>
EMS Director or designee	<ul style="list-style-type: none"> <li>• Knowledge about emergency medical treatment requirements for a variety of situations.</li> <li>• Knowledge about treatment facility capabilities.</li> <li>• Specialized personnel and equipment resources.</li> <li>• Knowledge about how EMS interacts with the Emergency Operations Center (EOC) and Incident Command.</li> </ul>
Fire Services Chief or designee	<ul style="list-style-type: none"> <li>• Knowledge about fire department procedures, on-scene safety requirements, hazardous materials</li> </ul>

Individuals/Organizations	What They Bring to the Planning Team
	<p>response requirements, and search and rescue techniques.</p> <ul style="list-style-type: none"> <li>• Knowledge about the jurisdiction's fire-related risks.</li> <li>• Specialized personnel and equipment resources.</li> </ul>
Law Enforcement Chief or designee	<ul style="list-style-type: none"> <li>• Knowledge about police department procedures, on-scene safety requirements, local laws and ordinances, explosive ordnance disposal methods, and specialized response requirements, such as perimeter control and evacuation procedures.</li> <li>• Knowledge about the prevention and protection strategies for the jurisdiction.</li> <li>• Knowledge about fusion centers and intelligence and security strategies for the jurisdiction.</li> <li>• Specialized personnel and equipment resources.</li> </ul>
Public Works Director or designee	<ul style="list-style-type: none"> <li>• Knowledge about the jurisdiction's road and utility infrastructure.</li> <li>• Specialized personnel and equipment resources.</li> </ul>

## Potential Members of a Planning Team

Individuals/Organizations	What They Bring to the Planning Team
Public Health Officer or designee	<ul style="list-style-type: none"> <li>• Records of morbidity and mortality.</li> <li>• Knowledge about the jurisdiction's surge capacity.</li> <li>• Understanding of the special medical needs of the community.</li> <li>• Knowledge about historic infectious disease and disease</li> </ul>

Individuals/Organizations	What They Bring to the Planning Team
	surveillance. <ul style="list-style-type: none"> <li>• Knowledge about infectious disease sampling procedures.</li> </ul>
Hazardous Materials Coordinator	<ul style="list-style-type: none"> <li>• Knowledge about hazardous materials that are produced, stored, or transported in or through the jurisdiction.</li> <li>• Knowledge about U.S. Environmental Protection Agency (EPA), Occupational Safety and Health Administration (OSHA), and U.S. Department of Transportation (DOT) requirements for producing, storing, and transporting hazardous materials and responding to hazardous materials incidents.</li> </ul>
Hazard Mitigation Specialist	<ul style="list-style-type: none"> <li>• Knowledge about all-hazard planning techniques.</li> <li>• Knowledge of current and proposed mitigation strategies.</li> <li>• Knowledge of available mitigation funding.</li> <li>• Knowledge of existing mitigation plans.</li> </ul>
Transportation Director or designee	<ul style="list-style-type: none"> <li>• Knowledge about the jurisdiction's road infrastructure.</li> <li>• Knowledge about the area's transportation resources.</li> <li>• Familiarity with the key local transportation providers.</li> <li>• Specialized personnel resources.</li> </ul>
Agriculture Extension Service	<ul style="list-style-type: none"> <li>• Knowledge about the area's agricultural sector and associated risks (e.g., fertilizer storage, hay and grain storage, fertilizer and/or excrement runoff).</li> </ul>
School Superintendent or designee	<ul style="list-style-type: none"> <li>• Knowledge about school facilities.</li> <li>• Knowledge about the hazards that directly affect schools.</li> <li>• Specialized personnel and equipment resources (e.g., buses).</li> </ul>

## Potential Members of a Planning Team

Individuals/Organizations	What They Bring to the Planning Team

Individuals/Organizations	What They Bring to the Planning Team
Social Services Agency representatives	<ul style="list-style-type: none"> <li>• Knowledge about access and functional needs populations.</li> </ul>
Local, Federal Asset representatives	<ul style="list-style-type: none"> <li>• Knowledge about specialized personnel and equipment resources that could be used in an emergency.</li> <li>• Facility security and response plans (to be integrated with the jurisdiction's Emergency Operations Plan [EOP]).</li> <li>• Knowledge about potential threats to or hazards at Federal facilities (e.g., research laboratories, military installations).</li> </ul>
NGOs (includes members of National Voluntary Organizations Active in Disaster (NVOAD) and other private, nonprofit, faith-based, and community organizations)	<ul style="list-style-type: none"> <li>• Knowledge about specialized resources that can be brought to bear in an emergency.</li> <li>• Lists of shelters, feeding centers, and distribution centers.</li> <li>• Knowledge about access and functional needs populations.</li> </ul>
Local business and industry representatives	<ul style="list-style-type: none"> <li>• Knowledge about hazardous materials that are produced, stored, and/or transported in or through the jurisdiction.</li> <li>• Facility response plans (to be integrated with the jurisdiction's EOP).</li> <li>• Knowledge about specialized facilities, personnel, and equipment resources that could be used in an emergency.</li> </ul>
Amateur Radio Emergency Services (ARES)/Radio Amateur Civil Emergency Services	<ul style="list-style-type: none"> <li>• List of ARES/RACES resources that can be used in an emergency.</li> </ul>

Individuals/Organizations	What They Bring to the Planning Team
(RACES) Coordinator	
Utility representatives	<ul style="list-style-type: none"><li>• Knowledge about utility infrastructures.</li><li>• Knowledge about specialized personnel and equipment resources that could be used in an emergency.</li></ul>
Veterinarians/animal shelter representatives	<ul style="list-style-type: none"><li>• Knowledge about the special response needs for animals, including livestock.</li></ul>

## Visual 7: Building a Collaborative Planning Team

Developing a collaborative planning team requires:

- Time to develop collaborative relationships.
- Effort to gain buy-in from all parties.

Include formal and opinion leaders on the planning team to enhance the success of the planning effort.



### ***Building a Collaborative Planning Team***

Reflect on the word “collaborative,” and how it affects the overall planning effort.

Developing a collaborative planning team requires:

- Time to allow the planning team to become acquainted with each other’s working styles and develop collaborative relationships.
- Effort to gain buy-in from all parties.

It is important to involve senior elected or appointed officials as the ultimate stakeholders. Including formal and opinion leaders on the planning team will have an emphatic influence on the success of the planning effort.



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## Visual 8: Activity: Building a Collaborative Team

### Instructions:

1. Work in your group, as assigned by the Instructor.
2. Identify additional persons to include on the planning team.
3. List up to three qualities or skills that each person brings to the planning process.
4. Select a spokesperson to present your list to the class.

You have 10 minutes to complete this activity.



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### ***Activity: Building a Collaborative Team***

**Activity Purpose:** The purpose of this activity is to give you an opportunity to consider additional persons to include on the planning team.

**Instructions:** Follow the steps below to conduct this activity.

1. Work in your group, as assigned by the Instructor.
2. Use the Building a Collaborative Team form to identify additional persons to include on the planning team.
3. List up to three qualities or skills that each person brings to the planning process.
4. You have 10 minutes to complete this activity.
5. Select a spokesperson to present your planning team recommendations.



## Visual 9: Step 2: Understand the Situation

- A problem-solving approach that involves:
  - Identifying threats and hazards.
  - Assessing risks.
- Helps identify the vulnerabilities and analyze the potential consequences of these threats.



### ***Step 2: Understand the Situation***

Step 2 – Understand the Situation, is a problem-solving process consisting of two activities:

- Identifying threats and hazards.
- Assessing risks.

Step 2 also helps identify the vulnerabilities and analyze the potential consequences of these threats.

#### **NOTE**

The Situation Assessment done for the Emergency Operations Plan is an essential tool for planners to consider the “Whole Community” in their plans. While looking at geography, property, infrastructure, demographics, response agencies, and other key jurisdictional factors, planners expand their view of what makes up the community and forge linkages between problem scenarios and shortfalls with “Whole Community” resources. Likewise, to enable an emergency response, a Situational Assessment is a center of gravity which represents one of the highest priority essential functions for both



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saving and sustaining lives, and stabilizing the site and the situation within 72 hours. The work done by planners on the Situation Assessment can provide the basic information to do a Situational Assessment for a response and ties the response back to the decisions and plans made for contingencies done during the development of the Emergency Operations Plan.

## Visual 10: Threat and Hazard Identification and Risk Assessment

- Outlined in CPG 201.
- Comprehensive, standardized approach for risk assessment.
- Builds on existing local, Tribal, Territorial, and State HIRAs.
- Incorporates whole community.
- Provides flexibility for community-specific factors.



### ***Threat and Hazard Identification and Risk Assessment***

The Threat and Hazard Identification and Risk Assessment, or “THIRA,” process outlined in Comprehensive Preparedness Guide 201 provides a comprehensive, standardized approach for assessing risks and identifying required capabilities.

THIRA builds on existing local, Tribal, Territorial, and State Hazard Identification and Risk Assessments or “HIRAs” and other risk methodologies by broadening the scope of threats and hazards considered in the process, incorporating the whole community throughout the entire process, and providing increased flexibility to account for community-specific factors.



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The THIRA process consists of four-steps:

1. Identify the Threats and Hazards of Concern. Based on a combination of past experience, forecasting, expert judgment, and other available resources, identify a list of the community-specific threats and hazards.
2. Give the Threats and Hazards Context. Add context descriptions to each threat and hazard identified in Step 1. Context descriptions outline the conditions, including time and location, under which a threat or hazard might occur.
3. Establish Capability Targets. Establish capability targets for each core capability. Capability targets define success and describe

what the community wants to achieve for each core capability.

4. Apply the Results. Apply the results by estimating the resources required to meet capability targets.

## Visual 11: Identify Threats and Hazards of Concern

Planners should start by conducting research, gathering and organizing information. This involves:

- Analyzing threats/hazards faced by the jurisdiction.
- Reviewing the jurisdiction's planning framework.
- Determining the jurisdiction's resource base.
- Examining geographic and topographical characteristics that could affect emergency operations.



### ***Identify Threats and Hazards of Concern***

To identify the threats and hazards of concern planners should start gathering and organizing critical information into a consistent format for the planning team. This process includes the steps shown in the visual:



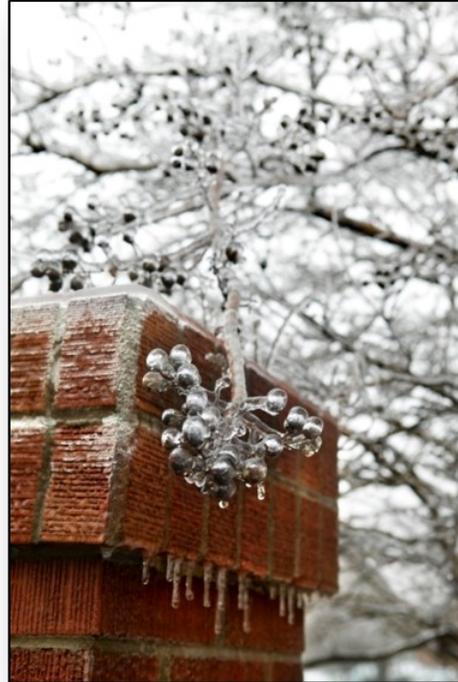
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- Analyzing threats/hazards faced by the jurisdiction.
- Reviewing the jurisdiction's planning framework (local, Tribal, and/or State laws, as well as Federal regulatory requirements).
- Determining the jurisdiction's resource base (both in the jurisdiction and in jurisdictions with which there are mutual aid agreements, standby contracts, emergency management assistance compacts (EMACs), and other agreements).
- Examining geographic and topographical characteristics that could affect emergency operations.

## Visual 12: Identify Threats and Hazards

Identify threats and hazards that can affect your jurisdiction.

- Natural
- Technological
- Adversarial or Human-caused



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### ***Identify Threats and Hazards***

The first logical step when analyzing vulnerabilities is to identify all of the threats and hazards that could affect the jurisdiction.

Record the information using a database record. If you do not have access to a database, use a simple paper-based version, such as the one on the next page.



Natural	Technological	Adversarial or Human-Caused

## Step 2: Understand the Situation

### I. Identify Threats and Hazards. What threats and hazards affect your jurisdiction?

Below is an example of a completed threat and hazard identification worksheet:

Natural	Technological	Adversarial or Human-Caused
Hurricane	Fire	Terrorism (biological)
Winter storm	Explosion	Terrorism (chemical)
Flood	Hazardous materials transportation event	Terrorism (radiological)

Natural	Technological	Adversarial or Human-Caused
Tornado	Sewage release	Arson (structural)
	Radiological release (transport)	Arson (wildland)
	Radiological release (power plant)	

## Visual 13: Create a Threat/Hazard Profile

A threat/hazard profile records:

- Frequency
- Magnitude
- Location
- Area
- Duration
- Seasonality
- Speed of onset
- Warning availability



### **Create a Threat/Hazard Profile**

After identifying all threats/hazards, the next step will be to create a threat/hazard profile. A threat/hazard profile should be developed for each identified threat/hazard to record:

- Frequency. How often is the threat/hazard likely to occur?
- Magnitude. How severe is the threat/hazard likely to be?
- Location. What areas of the jurisdiction are most likely to be affected?
- Area. How much of the jurisdiction is likely to be affected?
- Duration. How long can the threat/hazard be expected to last?
- Seasonality. Is the threat/hazard more likely to occur during a specific time of the year?
- Speed of Onset. How quickly will the threat/hazard occur?
- Warning. Are warning systems in place for this threat/hazard?

A threat/hazard profile can be very complex, but one may also be as simple as the example shown on the next page.



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## Step 2: Understand the Situation - Profile Hazard

### II. Profile Each Threat/Hazard. What are the characteristics of the threats/hazards facing your jurisdiction?

Use the form below to record the characteristics of each threat/ hazard facing your jurisdiction.

Threat/Hazard				
Frequency of Occurrence				
Magnitude				
Location				
Area				
Duration				
Seasonality				
Speed of Onset				
Warning Availability				

## Step 2: Understand the Situation - Profile Hazard

### II. Profile Each Threat/Hazard. What are the characteristics of the threats/hazards facing your jurisdiction?

Below is an example of a completed threat/hazard profile:

Threat/Hazard	Winter Storm	Flood	Fire	Transport
Frequency of Occurrence	Likely	Possible	Highly likely	Likely
Magnitude	Critical	Limited	Limited	Critical

Threat/Hazard	Winter Storm	Flood	Fire	Transport
Location	Widespread	Riverside	Widespread	Highways
Area	Widespread	Local	Local	Local
Duration	Up to 1 week	< Week	Days	Day(s)
Seasonality	Winter	Spring	Anytime	Anytime
Speed of Onset	Slow	Slow	Fast	Fast
Warning Availability	> 24 hours	12 – 24 hours	None	None

## Visual 14: Create a Threat/Hazard Profile

**Discussion Question:** Where can you go to find threat/hazard information?



*Create a Threat/Hazard Profile*

**Discussion Question:** Where can you go to find threat/hazard information?

Discussion  
Question

## Visual 15: External Sources of Information

- State and local hazard mitigation plans
- Resource Typing List
- National Planning Scenarios
- Regional and State fusion centers
- Hazard maps from Federal and State agencies



### ***External Sources of Information***

A number of resources are available outside of the jurisdiction for gathering information. Support for identifying issues, roles, and functions includes:



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- State and local hazard mitigation plans.
- The Resource Typing List.
- National Planning Scenarios.
- Regional and State fusion centers.
- Hazard maps available from Federal and State agencies.

## Visual 16: Internal Sources of Information

- Local planning and zoning department
- Tax assessor
- Building inspection office
- Local public works or civil engineering department



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### ***Internal Sources of Information***

A number of information sources exists within the jurisdiction. These sources include:

- The local planning and zoning department.
- The tax assessor.
- The building inspection office.
- Local public works or civil engineering department.

## Visual 17: Activity: Develop an Information List

### Instructions:

1. Work in your group, as assigned by the Instructor.
2. Consider your jurisdiction's existing threat/hazard analysis.
3. Use the worksheet to develop a list of information resources for revising your threat/hazard analysis.
4. Select a spokesperson to present your list.

You have 10 minutes to complete this activity.

### ***Activity: Develop an Information List***

**Activity Purpose:** The purpose of this activity is to give you an opportunity to develop a list of available information for updating your jurisdictions' threat/hazard analyses.



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**Instructions:** Follow the steps below to conduct this activity.

1. Work in your group, as assigned by the instructor.
2. Consider your jurisdiction's existing threat/hazard analysis.
3. Use the worksheet to develop a list of information required for revising your jurisdiction's threat/hazard analyses, and to identify the value provided by each resource.
4. You have 10 minutes to complete this activity.
5. Select a spokesperson to present your list of resources.

## Step 2: Understand the Situation - Activity

### Resource List

#### Activity: Resource List

Information Resource	Value Provided

---

Information Resource	Value Provided

## Visual 18: Give Threats and Hazards Context

- Profile each threat/hazard.
- Develop a jurisdiction profile.
- Compare and prioritize risk.



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### ***Give Threats and Hazards Context***

Effective emergency planning cannot occur unless the jurisdiction's vulnerability to common hazards have been identified, analyzed, and prioritized. Risk from any hazard is quantified by:

- Profiling each threat/hazard (explained in the previous visuals)
- Developing a jurisdiction profile
- Comparing and prioritizing risk

The following visuals will cover developing a jurisdiction profile.

## Visual 19: Develop a Jurisdiction Profile

Compare and analyze each threat/hazard to determine:

- The area of the jurisdiction that is likely to be affected.
- The type(s) of property located in the area.
- The infrastructure in the affected area.
- The demographics of the population in the affected area.
- Agencies that can respond to the affected area.



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### ***Develop a Jurisdiction Profile***

The next step is to examine each threat/hazard and determine:

- The area of the jurisdiction that is likely to be affected.
- The type(s) of property located in the area.
- The infrastructure in the affected area.
- The demographics of the population in the affected area.
- Agencies that can respond to the affected area.

A jurisdiction profile job aid is shown on the next page.

## Step 2: Understand the Situation - Jurisdiction Profile

### IV. Develop a Jurisdiction Profile

Use the form below to record important information about how each threat/hazard is likely to affect various aspects of your jurisdiction.

Category	Winter Storm	Flood	Fire	Transport
Geographic Area				
Property Type(s)				
Infrastructure				
Demographics				
Response Agencies				

A generic example is provided on the next page.

## Step 2: Understand the Situation - Jurisdiction Profile

### IV. Develop a Jurisdiction Profile

The example below illustrates how the profile might be filled in for various threats/hazards.

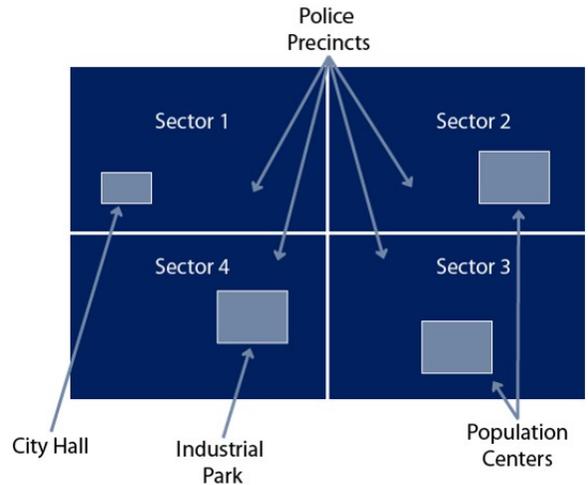
Category	Winter Storm	Flood	Fire	Transport
Geographic Area	<ul style="list-style-type: none"> <li>Entire city affected</li> </ul>	Low-lying areas along river (if	Apartments	Major Highways

Category	Winter Storm	Flood	Fire	Transport
	<ul style="list-style-type: none"> <li>• Downtown to rural areas</li> </ul>	stop logs installed)		
Property Type(s)	<ul style="list-style-type: none"> <li>• Residential</li> <li>• Commercial</li> <li>• Government</li> </ul>	<ul style="list-style-type: none"> <li>• Residential</li> <li>• Commercial</li> </ul>	<ul style="list-style-type: none"> <li>• Residential</li> <li>• Commercial</li> <li>• Hazardous materials storage sites</li> </ul>	<ul style="list-style-type: none"> <li>• Commercial</li> </ul>
Infrastructure	<ul style="list-style-type: none"> <li>• Transportation routes</li> <li>• Utilities</li> </ul>	<ul style="list-style-type: none"> <li>• Transportation routes</li> <li>• Sewage treatment plant</li> </ul>	<ul style="list-style-type: none"> <li>• Transportation routes</li> <li>• Utilities</li> </ul>	Major Highways
Demographics	<p>All residents:</p> <ul style="list-style-type: none"> <li>• Non-English speaking</li> <li>• Nursing home</li> <li>• Schools</li> </ul>	<p>All residents:</p> <ul style="list-style-type: none"> <li>• Non-English speaking</li> <li>• Nursing home</li> <li>• Schools</li> </ul>	<p>All residents:</p> <ul style="list-style-type: none"> <li>• Non-English speaking</li> <li>• Nursing home</li> <li>• Schools</li> </ul>	<ul style="list-style-type: none"> <li>• Sparse population</li> <li>• Hazardous materials storage sites</li> </ul>
Response Agencies	<ul style="list-style-type: none"> <li>• Public Works</li> <li>• Fire</li> <li>• EMS</li> <li>• Police</li> </ul>	<ul style="list-style-type: none"> <li>• Public Works</li> <li>• Commercial enterprises</li> </ul>	<ul style="list-style-type: none"> <li>• Fire</li> <li>• EMS</li> <li>• Mutual aid partners</li> </ul> <p>National Guard may be activated in the case of wildland fire.</p>	<ul style="list-style-type: none"> <li>• Fire</li> <li>• EMS</li> <li>• Police</li> <li>• Environmental Protection Agency</li> <li>• Mutual aid partners</li> </ul>

## Visual 20: Sectoring Your Jurisdiction

Sector based on:

- Geographic boundaries.
- Population centers.
- The location of critical facilities (e.g., fire districts, police precincts).



### ***Sectoring Your Jurisdiction***

It will be easier to develop a profile if the jurisdiction is sectored. Sectoring involves dividing the jurisdiction into logical segments based on:

- Geographic boundaries.
- Population centers.
- The location of critical facilities (e.g., fire districts, police precincts).

Stress that sectors may change over time as:

- Populations shift.
- New buildings or population centers develop.
- Other changes in the jurisdiction take place that could affect:
  - Threat levels.
  - The jurisdiction's ability to respond.



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## Visual 21: Establish Capability Targets

- Based on the threats/hazards context, communities establish capability targets for each core capability.
- To develop specific and measurable targets, consider impacts and desired outcomes for each threat and hazard.



### ***Establish Capability Targets***

In Step 3 of the THIRA process, communities establish capability targets for each core capability. Capability targets define success for each core capability based on the threat and hazard contexts developed in THIRA Step 2 (Give the Threats and Hazards Context).



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Capability targets should be specific and measurable. To develop specific and measurable targets, communities should consider impacts and desired outcomes for each threat and hazard.

Impacts describe how a threat or hazard might affect a core capability. Impacts are linked to the size and complexity of threats and hazards. Larger, more complex threats and hazards might cause larger, more complex impacts.

Desired outcomes describe the timeframe or level of effort needed to successfully deliver core capabilities.

## Visual 22: Determining Impacts and Desired Outcomes

Dependent upon:

- Facts (verified pieces of information).
- Assumptions (considered true in the absence of facts).
  - Only used as needed to resolve situation.
  - Replaced by facts as they become known.

Research increases the proportion of facts over assumptions!



### ***Determining Impacts and Desired Outcomes***

Determining impacts and desired outcomes is dependent on two types of information:

- Facts are verified pieces of information (e.g., laws and regulations, maps, statistics, resource inventories, etc.).
- Assumptions consist of information considered true in the absence of facts. Note that assumptions are used only to move the planning process forward. Assumptions are not used to “assume the problem away.”



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Valid assumptions are implemented as facts only when necessary to resolve an emergency situation. During an actual event, operations personnel replace assumptions with facts as the event unfolds, and adjust the plan accordingly.

A greater research effort will improve the proportion of facts over assumptions.

The sample Hazard Vulnerability Assessment Worksheet on the next page. This worksheet will help you develop a composite look at each hazard, a critical step to establishing priorities.

Consider low-probability, high-impact hazards as well as high-

probability, low-impact hazards when establishing priorities. High impact hazards should be planned for regardless of the probability of occurrence.

## Step 2: Understand the Situation - Hazard

### Worksheet

List each threat/hazard in the left-hand column. Identify the likely characteristics for each threat/hazard. After entering all information, total the points for each threat/hazard. Then prioritize each threat/hazard based on its assigned number of points.

Threat/Hazard	Frequency	Magnitude 1	Warning Time	Severity 2	Special Considerations (Define)	Total Points	Priority
	<ul style="list-style-type: none"> <li>• Highly Likely (4)</li> <li>• Likely (3)</li> <li>• Possible (2)</li> <li>• Unlikely (1)</li> </ul>	<ul style="list-style-type: none"> <li>• Catastrophic (4)</li> <li>• Critical (3)</li> <li>• Limited (2)</li> <li>• Negligible (1)</li> </ul>	<ul style="list-style-type: none"> <li>• Minimal (4)</li> <li>• 6-12 hrs. (3)</li> <li>• 12-24 hrs. (2)</li> <li>• 24+ hrs. (1)</li> </ul>	<ul style="list-style-type: none"> <li>• Catastrophic (4)</li> <li>• Critical (3)</li> <li>• Limited (2)</li> <li>• Negligible (1)</li> </ul>			
	<ul style="list-style-type: none"> <li>• Highly Likely (4)</li> <li>• Likely (3)</li> <li>• Possible (2)</li> <li>• Unlikely (1)</li> </ul>	<ul style="list-style-type: none"> <li>• Catastrophic (4)</li> <li>• Critical (3)</li> <li>• Limited (2)</li> <li>• Negligible (1)</li> </ul>	<ul style="list-style-type: none"> <li>• Minimal (4)</li> <li>• 6-12 hrs. (3)</li> <li>• 12-24 hrs. (2)</li> <li>• 24+ hrs. (1)</li> </ul>	<ul style="list-style-type: none"> <li>• Catastrophic (4)</li> <li>• Critical (3)</li> <li>• Limited (2)</li> <li>• Negligible (1)</li> </ul>			

Threat/Hazard	Frequency	Magnitude 1	Warning Time	Severity 2	Special Considerations (Define)	Total Points	Priority
	<ul style="list-style-type: none"> <li>• Highly Likely (4)</li> <li>• Likely (3)</li> <li>• Possible (2)</li> <li>• Unlikely (1)</li> </ul>	<ul style="list-style-type: none"> <li>• Catastrophic (4)</li> <li>• Critical (3)</li> <li>• Limited (2)</li> <li>• Negligible (1)</li> </ul>	<ul style="list-style-type: none"> <li>• Minimal (4)</li> <li>• 6-12 hrs. (3)</li> <li>• 12-24 hrs. (2)</li> <li>• 24+ hrs. (1)</li> </ul>	<ul style="list-style-type: none"> <li>• Catastrophic (4)</li> <li>• Critical (3)</li> <li>• Limited (2)</li> <li>• Negligible (1)</li> </ul>			
	<ul style="list-style-type: none"> <li>• Highly Likely (4)</li> <li>• Likely (3)</li> <li>• Possible (2)</li> <li>• Unlikely (1)</li> </ul>	<ul style="list-style-type: none"> <li>• Catastrophic (4)</li> <li>• Critical (3)</li> <li>• Limited (2)</li> <li>• Negligible (1)</li> </ul>	<ul style="list-style-type: none"> <li>• Minimal (4)</li> <li>• 6-12 hrs. (3)</li> <li>• 12-24 hrs. (2)</li> <li>• 24+ hrs. (1)</li> </ul>	<ul style="list-style-type: none"> <li>• Catastrophic (4)</li> <li>• Critical (3)</li> <li>• Limited (2)</li> <li>• Negligible (1)</li> </ul>			

<sup>1</sup> Impact on jurisdiction

<sup>2</sup> Impact on population

An example of a completed worksheet is provided on the next page.

## Step 2: Understand the Situation - Hazard Worksheet

Below is an example of a completed worksheet:

Threat/Hazard	Frequency	Magnitude	Warning Time	Severity	Special Considerations (Define)	Total Points	Priority
Winter Storm	<ul style="list-style-type: none"> <li>• <b>Highly Likely (4)*</b></li> <li>• Likely (3)</li> <li>• Possible (2)</li> <li>• Unlikely (1)</li> </ul>	<ul style="list-style-type: none"> <li>• Catastrophic (4)</li> <li>• <b>Critical (3)*</b></li> <li>• Limited (2)</li> <li>• Negligible (1)</li> </ul>	<ul style="list-style-type: none"> <li>• Minimal (4)</li> <li>• 6-12 hrs. (3)</li> <li>• 12-24 hrs. (2)</li> <li>• <b>24+ hrs. (1)*</b></li> </ul>	<ul style="list-style-type: none"> <li>• Catastrophic (4)</li> <li>• <b>Critical (3)*</b></li> <li>• Limited (2)</li> <li>• Negligible (1)</li> </ul>	<ul style="list-style-type: none"> <li>• Shelter openings</li> <li>• Utility repairs to restore heat</li> <li>• Time required to restore ingress/egress</li> </ul>	<b>11</b>	3
Flood	<ul style="list-style-type: none"> <li>• Highly Likely (4)</li> <li>• Likely (3)</li> <li>• <b>Possible (2)*</b></li> <li>• Unlikely (1)</li> </ul>	<ul style="list-style-type: none"> <li>• Catastrophic (4)</li> <li>• Critical (3)</li> <li>• <b>Limited (2)*</b></li> <li>• Negligible (1)</li> </ul>	<ul style="list-style-type: none"> <li>• Minimal (4)</li> <li>• 6-12 hrs. (3)</li> <li>• 12-24 hrs. (2)</li> <li>• <b>24+ hrs. (1)*</b></li> </ul>	<ul style="list-style-type: none"> <li>• Catastrophic (4)</li> <li>• Critical (3)</li> <li>• <b>Limited (2)*</b></li> <li>• Negligible (1)</li> </ul>	<ul style="list-style-type: none"> <li>• Infrastructure protection</li> <li>• Maintenance of emergency ingress/egress</li> <li>• Establishment of perimeter</li> </ul>	<b>7</b>	4
Fire	<ul style="list-style-type: none"> <li>• Highly Likely (4)</li> <li>• <b>Likely (3)*</b></li> <li>• Possible</li> </ul>	<ul style="list-style-type: none"> <li>• Catastrophic (4)</li> <li>• Critical (3)</li> <li>• <b>Limited (2)*</b></li> </ul>	<ul style="list-style-type: none"> <li>• <b>Minimal (4)*</b></li> <li>• 6-12 hrs. (3)</li> <li>• 12-24</li> </ul>	<ul style="list-style-type: none"> <li>• Catastrophic (4)</li> <li>• <b>Critical (3)*</b></li> <li>• Limited (2)</li> </ul>	<ul style="list-style-type: none"> <li>• Evacuations</li> <li>• Need to open shelters</li> <li>• Activation of mutual</li> </ul>	<b>12</b>	2

Threat/Hazard	Frequency	Magnitude	Warning Time	Severity	Special Considerations (Define)	Total Points	Priority
	<ul style="list-style-type: none"> <li>• Possible (2)</li> <li>• Unlikely (1)</li> </ul>	<ul style="list-style-type: none"> <li>• Negligible (1)</li> </ul>	<ul style="list-style-type: none"> <li>• hrs. (2)</li> <li>• 24+ hrs. (1)</li> </ul>	<ul style="list-style-type: none"> <li>• Negligible (1)</li> </ul>	<ul style="list-style-type: none"> <li>• aid</li> <li>• Coordination with State to request National Guard if needed</li> </ul>		
Transport	<ul style="list-style-type: none"> <li>• <b>Highly Likely (4)*</b></li> <li>• Likely (3)</li> <li>• Possible (2)</li> <li>• Unlikely (1)</li> </ul>	<ul style="list-style-type: none"> <li>• Catastrophic (4)</li> <li>• <b>Critical (3)*</b></li> <li>• Limited (2)</li> <li>• Negligible (1)</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Minimal (4)*</b></li> <li>• 6-12 hrs. (3)</li> <li>• 12-24 hrs. (2)</li> <li>• 24+ hrs. (1)</li> </ul>	<ul style="list-style-type: none"> <li>• Catastrophic (4)</li> <li>• Critical (3)</li> <li>• <b>Limited (2)*</b></li> <li>• Negligible (1)</li> </ul>	<ul style="list-style-type: none"> <li>• Evacuation</li> <li>• Decision to open shelters</li> <li>• Potential need for decon units</li> <li>• Traffic control</li> </ul>	<b>13</b>	<b>1</b>

Text marked with an asterisk is highlighted.

## Visual 23: Apply the Results by Estimating the Resources

Communities estimate the resources required to meet capability targets. Use tools and information sources including:

- Strategic, operational, and/or tactical plans.
- Resource typing data.
- Existing capacity analysis and capability calculators.



### ***Apply the Results by Estimating the Resources***

In THIRA Step 4, communities apply the results of the THIRA by estimating the resources required to meet capability targets.

Communities express resource requirements as a list of resources needed to successfully manage their threats and hazards.

Communities can also use resource requirements to support resource allocation decisions, operations planning, and mitigation activities.

Communities should consider the quantity and types of resources needed to complete each mission-critical activity in support of the capability targets. To identify quantity and types of resources, communities can use existing tools and information sources, such as:

- Strategic, operational, and/or tactical plans;
- Resource typing data, including standardized resource characteristics; and
- Existing capacity analysis and capability calculators.



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## Visual 24: Step 3: Determine Goals and Objectives

Base goals and objectives on:

- Needs in responding to and recovering from hazards
- Hazard-, response-, and constraint-generated demands

Restate needs and demands as:

- Operational priority
- Response goal
- Intermediate objectives

### ***Step 3: Determine Goals and Objectives***

Step 3: Determine goals and objectives by stressing that goals and objectives are generated from the hazard analysis, specifically high-risk and high-impact hazards to which the jurisdiction is vulnerable. Note that, during this step, planners are seeking information about:

- Probable needs in responding to and recovering from high-risk and/or high-impact hazards.
- Hazard-, response-, and constraint-generated needs and demands.



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After identifying the needs and demands caused by the hazard, the planning team must restate them in terms of:

- Operational priority, indicating a desired end state for the operation.
- Response goal, indicating a general solution to the identified threat.
- Intermediate objectives, indicating specific actions carried out during the operation.

Priorities, response goals, and immediate objectives become measures of success and give clues to what might need to be adjusted as an operation unfolds and the plan is activated.

## Visual 25: Operational Priorities, Goals, and Objectives

Example:

Operational Priority	Protect the public from hurricane weather and storm surge.
Response Goal	Complete evacuation before arrival of tropical storm (TS) winds.
Intermediate Objective 1	Complete tourist evacuation 72 hours before arrival of TS winds.
Intermediate Objective 2	Complete medical evacuations 24 hours before arrival of TS winds.

### ***Operational Priorities, Goals, and Objectives***



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A response goal is met through intermediate objectives, which are the activities and procedures that participants in an operation have to accomplish. The goal and objectives need clearly defined timelines within which they must be achieved.

The visual provides an example relationship of operational priority, response goal, and intermediate objectives.

The process of developing the operational priority, response goals, and objectives provides the basis for the hazard annex section of the EOP.

## Visual 26: Activity: Hazard Analysis Goals and Objectives

### Instructions:

1. Work in your group, as assigned by the Instructor.
2. Consider a high-impact hazard that could affect your jurisdiction.
3. Complete the Hazard Analysis Goals and Objectives Worksheet.
4. Select a spokesperson to present your group's worksheet.

You have 15 minutes to complete this activity.



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### ***Activity: Hazard Analysis Goals and Objectives***

**Activity Purpose:** The purpose of this activity is to give the students an opportunity to develop the operational goal(s) and objectives for a hazard response effort.

**Instructions:** Follow the steps below to conduct this activity.

1. Work in table groups by department or agency.
2. Consider a high-impact hazard that could affect your jurisdiction.
3. Use the worksheet on the following page to identify the needs and demands posed by the hazard, and then develop the operational priorities, goal(s), and objectives required to prepare for and respond to an incident generated by that hazard.
4. You have 15 minutes to complete this activity.
5. Select a spokesperson to present your group's worksheet.

# Activity: Hazard Analysis Goals and Objectives Worksheet

Hazard:	Operational Priority:
Needs:	Goal(s):
Demands:	Objective 1:
	Objective 2:
	Objective 3:
	Objective 4:

## Visual 27: Step 4: Plan Development

Plan development functions:

- Develop and analyze course(s) of action.
- Identify resources.

Planning concepts for developing a COA:

- Scenario based analyzes impact of a scenario.
- Functional identifies the common tasks performed during emergencies.
- Capabilities based focuses on capacity to take a course of action.

### ***Step 4: Plan Development***

Step 4: Plan development by telling the group that the function of this step is to:

- Develop and analyze COAs.
- Identify resources.

The planning team relies on a problem-solving model to generate a range of possible solutions to achieve the needs, goals, and objectives developed in Step 3. One or more courses of action are then developed from the possible solutions.

The three concepts for developing courses of action:

- Scenario-based planning involves analyzing the impact of a scenario to determine appropriate courses of action.
- Functional planning involves identifying the common tasks that a jurisdiction must perform during emergencies.
- Capabilities-based planning involves focusing on a jurisdiction's capacity to take a course of action.



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## Visual 28: Testing Courses of Action

Test the various courses of action by gaming in a simulation of operations without using actual resources.

A gaming exercise allows partners to:

- Explore the processes and consequences of decisionmaking.
- Conduct "what-if" analyses of existing plans.
- Test existing and potential strategies.



### ***Testing Courses of Action***



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Gaming is a way of testing the various courses of action. A game is a simulation of operations using rules, data, and procedures to depict an assumed event without using actual resources. Developing scenarios through a gaming exercise allows planners to:

- Explore the processes and consequences of decision-making.
- Conduct "what-if" analyses of existing plans
- Test existing and potential strategies.

The Gaming Strategy Concepts job aid in the Student Manual provides the structure for developing scenarios for the planning team to consider.

## Gaming Strategy Concepts

**Definition:** Simulation of operations involving multiple agencies using rules, data, and procedures to depict an assumed real life situation.

**Goal:** Explore decision-making processes and the consequences of those decisions.

**Requirements:** Development of a scenario, involving the participants, the threat, and involved area. Multiple teams participate to create an adversary relationship. A controller is assigned to monitor play activity and confirm the outcome of each action.

**Scenario Development:** “Ground Truth” document with detailed elements of a scenario that remain consistent during play.

- Parameters of the scenario:
  - Attack method
  - Threat category
  - Target
- Timeline of adversary planning activities
- Threat/adversary information, based on the nature of the hazard

**Timeline:** Key events and actions of hazard forces are identified.

**Play:** The controller initiates game activity based on Ground Truth. Play unfolds contingent upon player decisions. Consequences of player actions determine the outcome of the situation.

## Visual 29: COA Development Process

- Establish the timeline based on speed of event onset.
- Depict the scenario. Place actions on the timeline.
- Identify decision points. Place on the timeline.
- Identify operational tasks. Ask questions.
- Select courses of action.

### ***COA Development Process***

The steps in the COA development process are:

- Establish the timeline by using the speed of the event onset as the basis for timeline activities.
- Depict the scenario and place the event actions on the timeline.
- Identify and depict decision points and establish those decision points on the timeline.
- Identify and depict the operational tasks. Answer the basic what/who/when/where/how questions.
- Select courses of action.



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These steps can be addressed using a number of methods. The method selected is less important than ensuring that the outcome of step is derived.

## Visual 30: Summary and Transition

This unit:

- Covered the first four steps in the planning process.
- Provided several job aids to help with planning and developing courses of action.

Unit 5 will address the remaining steps in the planning process.



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### ***Summary and Transition***

Unit 4:

- Covered the first four steps in the planning process.
- Provided several job aids to help with planning and developing courses of action.

Unit 5 will address the remaining steps in the planning process.

# **Unit 5: Steps in the Planning Process - Part 2**

# Visual 1: Unit 5: Steps in the Planning Process

## - Part 2



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### ***Summary and Transition***

This unit will cover the remaining steps in the emergency planning process model. The topics covered are:

- Step 5: Plan preparation, review, and approval.
- Plan formats and content.
- Step 6: Plan implementation and maintenance.

## Visual 2: Unit Objectives

- Describe how plan development strategies are used.
- List the rules for writing plans and procedures.
- Identify an appropriate format for your Emergency Operations Plan (EOP).
- Verify that your EOP is complete and accurate.
- Develop a strategy for plan implementation.
- Develop a strategy for evaluating your EOP's effectiveness.
- Describe the process for reviewing, revising, and maintaining your plan.

### ***Unit Objectives***

At the end of this unit, you should be able to:

- Describe how the results of plan development strategies are used in writing an EOP.
- List the rules for writing plans and procedures.
- Identify an appropriate format for their emergency plans.
- Verify that their emergency plans are complete and accurate.
- Develop a strategy for plan implementation.
- Develop a strategy for evaluating their plans' effectiveness.
- Describe the process for reviewing, revising, and maintaining their plans.



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## Visual 3: Step 5: Plan Preparation, Review, and Approval

Step 5: Plan preparation, review, and approval involves:

1. Writing the plan.
2. Review the plan.
3. Approve and disseminate the plan.



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### ***Step 5: Plan Preparation, Review, and Approval***

Step 5: Plan preparation, review, and approval, involves three steps:

1. Write the plan.
2. Review the plan
3. Approve and disseminate the plan.

## Visual 4: Drafting the EOP

### Plan Preparation:

- Develop a plan outline based on COA strategies.
- Develop the content for the draft plan, annexes, and appendixes.
- Allow for a review process by all entities with responsibilities.
- Develop the final draft.



## Visual 5: Writing the Plan

Basic rules:

- Keep the language simple and clear.
- Summarize important information with visual aids.
- Avoid jargon, minimize acronyms.
- Use short sentences and the active voice.
- Provide detail without speculation.
- Format the plan for ease of use.
- Ensure accessibility of tools and documents.



### ***Writing the Plan***

Writing the plan is the easy part. The following are basic rules for writing the plan:

- Keep the language simple and clear.
- Summarize important information with visual aids (e.g., checklists, maps, flowcharts, etc.).
- Avoid using jargon, and minimize the use of acronyms.
- Use short sentences and the active voice.
- Provide enough detail for easy recognition of a situation without speculation. The greater the level of certainty, the more detail should be provided.
- Format the plan for ease of use.
- Ensure accessibility by developing tools and documents (e.g., print, electronic, video) so they can be easily converted to alternate formats.



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## Visual 6: EOP Content Requirements

An EOP is a public document that should include:

- Assignment of responsibility to organizations and individuals for specific actions that exceed routine responsibility at projected times and places during an emergency.
- Lines of authority and organizational relationships, and how all actions will be coordinated.
- Description of how people (including unaccompanied minors, individuals with disabilities, others with access and functional needs, and individuals with limited English proficiency) and property are protected.
- Resource lists and resource agreements.
- Reconciliation of requirements with other jurisdictions.



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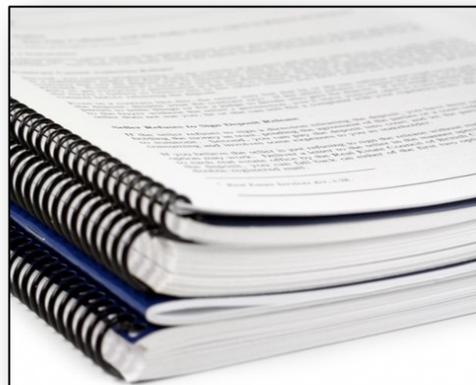
### ***EOP Content Requirements***

EOPs also must comply with the Americans with Disabilities Act.

## Visual 7: Traditional Functional EOP Format

Common EOP sections:

- The Basic Plan has broad, overarching information relevant to the EOP as a whole.
- Functional annexes document the methods, procedures, and actions of critical operational functions.
- Hazard-specific annexes focus on response strategies for specific hazards.



### ***Traditional Functional EOP Format***

Various formats are available and adaptable for all jurisdictions. Sections common to each of these formats include:

- The Basic Plan, which provides broad, overarching information relevant to the EOP as a whole, including a description of expected hazards, basic agency roles and responsibilities, and an explanation of how the plan will be kept current. Some information included in the Basic Plan is required by law. Other information will be identified through completing the hazard analysis as repetitive tasks become consolidated.
- Functional annexes, which document the methods, procedures, actions, and responsibilities for performance of critical operational functions during emergency operations.
- Hazard-specific annexes, which focus on emergency response strategies for specific hazards. Annexes are attached to the end of each functional annex and explain the procedures that are unique to that annex for a hazard type.



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Note the distinction between an EOP and Standard Operating Procedures (SOPs). The EOP presents the larger “picture” of how specific actions should occur in every incident. Functional annexes address specific emergency functions, such as evacuation or continuity of operations. Hazard specific Annexes address special hazards, for example flooding or explosion.

SOPs are agency specific and present actual procedures that personnel from specific agencies must follow in specific situations. SOPs should not be included in the EOP other than by reference,

when required.

## Visual 8: ESF Format

Emergency Support Function format sections:

- Basic Plan—outlines the ESFs activated in an emergency.
- Annexes—contain relevant information not addressed in the Basic Plan.
- ESF Annexes—describe mission execution for each emergency phase and identifies task assignments.
- Support Annexes—describe the coordination between jurisdictions and all other cooperating organizations.
- Incident Annexes—address policies, characteristics, concept of operations, and responsibilities for an incident.

### ***ESF Format***

The Emergency Support Function (ESF) format is used in the National Response Framework (NRF). The sections included in this format are:

The Basic Plan, which provides an overview of a jurisdiction's emergency management system. It outlines the ESFs activated during an emergency by identifying the hazards faced, capabilities, needs, and demands.



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- Appendices that contain relevant information not addressed in the Basic Plan. This includes common information, such as a list of terms and definitions, guidelines for revision, and emergency management forms.
- ESF Annexes that identify the ESF coordinator and the primary and support agencies for each ESF. An ESF Annex describes expected mission execution for each emergency phase, and identifies task assignments.
- Support Annexes that describe the framework for coordination between jurisdictions and all other cooperating organizations. The actions described in the Support Annexes apply to most emergency situations.
- Incident Annexes that describe the specific details for particular incident types. An Incident Annex addresses policies, the situation characteristics, concept of operations, and responsibilities.

## Visual 9: Agency/Department-Focused Format

Agency/department tasks described in separate sections:

- Basic Plan—summarizes preparedness tasks and defines how the plan is developed and maintained.
- Lead Agency—details functions of each response unit.
- Support Agency—details functions of other agencies and nongovernmental partners.
- Hazard-Specific Procedures—addresses the mission area strategies for each agency/department.

### ***Agency/Department-Focused Format***

The Agency/Department-Focused format is another common format for the EOP. This format describes each department's or agency's tasks in separate sections.



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- The Basic Plan provides an overview of a jurisdiction's ability to prevent, protect against, respond to, and recover from emergencies. It summarizes the emergency preparedness tasks and defines how the plan is developed and maintained.
- The Lead Agency section details the emergency functions completed by individual response units.
- The Support Agency section details the emergency functions completed by other agencies and nongovernmental partners.
- The Hazard-Specific Procedures section addresses the preparedness, response, and recovery strategies for each agency/department.

## Visual 10: Determining Which Format to Use

Which format is used for your EOP?



### *Determining Which Format to Use*

Which format is used for your EOP?

Discussion  
Question

## Visual 11: The Basic Plan

The Basic Plan provides an overview of the emergency management and response program by:

- Documenting emergency response policies.
- Describing the response organization.
- Assigning tasks.

The structure of the Basic Plan is also followed for the operational and function-based annexes.

### Basic Plan

- Policy
- Control
- Scope



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### ***The Basic Plan***

The Basic Plan section in each format type provides an overview of the jurisdiction's emergency management and response program by:

- Documenting emergency response policies.
- Describing the response organization.
- Assigning tasks.

The Basic Plan guides the development of the supporting operational and function-based annexes of the EOP. Note that the content of each section of the plan should be presented in a consistent organizational structure. The elements included for the content of the Basic Plan should be incorporated into the annexes, as appropriate.

## Visual 12: Plan Content Elements

- Introductory Material
- Purpose, Scope, Situation, Overview, and Planning Assumptions
- Concept of Operations
- Organization and Assignment of Responsibilities
- Direction, Control, and Coordination
- Information Collection, Analysis, and Dissemination
- Communications
- Administration, Finance, and Logistics
- Plan Development and Maintenance
- Authorities and References

### ***Plan Content Elements***

The standard elements that should be included in the plan content are:

- Introductory Material (Basic Plan only):
  - Cover Page.
  - Promulgation Document.
  - Approval and Implementation Page.
  - Record of Changes.
  - Record of Distribution.
  - Table of Contents.
- Purpose, Scope, Situation, Overview, and Planning Assumptions.
- Concept of Operations.
- Organization and Assignment of Responsibilities.
- Direction, Control, and Coordination.
- Information Collection, Analysis and Dissemination.
- Communications.
- Administration, Finance, and Logistics.
- Plan Development and Maintenance.
- Authorities and References.



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For more on the Basic Plan content, refer to the CPG 101 Basic Plan Content Guide Checklist on the following pages.

## Plan Content Elements

CPG 101 Basic Plan Content Guide Checklist
<p>The basic plan provides an overview of the jurisdiction's emergency management/response program and its ability to prepare for, respond to, and recover from disasters/emergencies.</p>
<p><b>Promulgation Document/Signature Page</b></p> <p>This document/page is a signed statement formally recognizing and adopting the plan as the jurisdiction's all-hazards EOP.</p> <ul style="list-style-type: none"> <li>• Include a Promulgation Statement signed by the jurisdiction's senior elected or appointed official(s). (Note: This statement must be updated each time a new senior elected or appointed official takes office.)</li> </ul>
<p><b>Approval and Implementation</b></p> <p>This page introduces the plan, outlines its applicability, and indicates that it supersedes all previous plans.</p> <ul style="list-style-type: none"> <li>• 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.</li> <li>• Include a date and ensure that the page is signed by the senior official(s) (e.g., governor, Tribal leader[s], mayor, county judge, commissioner[s]).</li> </ul>
<p><b>Record of Changes</b></p> <p>The record of changes, usually in table format, contains, at a minimum, a change number, the date of the change, the name of the person who made the change, and a summary of the change. Other relevant information could be considered.</p>
<p><b>Record of Distribution</b></p> <p>The record of distribution is usually a table with fields that indicate the title and the name of the person receiving the plan, the agency to which the receiver belongs, the date of delivery, and the number of copies delivered.</p>
<p><b>Table of Contents</b></p> <p>This item outlines the plan's format, key sections, attachments, charts, etc. and identifies the major sections/chapters and/or key elements within the EOP.</p>
<p><b>Purpose, Scope, Situation, Assumptions</b></p> <p>This section explains the plan's intent, who it involves, and why it was developed.</p>

CPG 101 Basic Plan Content Guide Checklist
<p><u>Purpose</u></p> <p>This section describes the purpose for developing and maintaining an EOP (e.g., coordinate local agency SOPs/Standard Operating Guidelines (SOGs), define disaster-specific procedures, outline roles and limitations).</p>
<p><u>Scope</u></p> <p>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 state-wide disaster; terrorist attack within the local community, county, or State).</p>
<p><u>Situation Overview</u></p> <p>This section provides a brief overview of the steps taken by the jurisdiction to prepare for disasters.</p>

## Plan Content Elements

CPG 101 Basic Plan Content Guide Checklist
<p><b>Purpose, Scope, Situation, Assumptions</b></p>
<p><u>Hazard and Threat Analysis Summary</u></p> <p>This section summarizes the major findings identified from a completed hazard and threat analysis of the hazards or threats likely to impact the jurisdiction and how the jurisdiction expects to receive (or provide) assistance within its regional response structures. <b>Note:</b> The hazard and threat analysis information can be presented as a tab to the EOP or maintained as a part of the local mitigation plan.</p> <ul style="list-style-type: none"> <li>• Summarize/identify the hazards that pose a unique risk to the jurisdiction and would result in the need to activate this plan (e.g., threatened or actual natural disasters, acts of terrorism, other human-caused disasters).</li> <li>• Summarize/identify the probable high-risk areas (i.e., population, infrastructure, and environmental) that are likely to be impacted by the defined hazards (e.g., hospitals, congregate care facilities, wildlife refuges, types/numbers of homes/businesses in floodplains, areas around chemical facilities).</li> <li>• Summarize/identify the defined risks that have occurred and the likelihood they will continue to occur within the jurisdiction (e.g., historical frequency, probable future risk, national security threat assessments).</li> <li>• Describe how the intelligence from threat analysis via State/local fusion centers, joint</li> </ul>

### CPG 101 Basic Plan Content Guide Checklist

terrorism task forces, national intelligence organizations, etc. has been incorporated into the jurisdiction's hazard and threat analysis.

- Describe how critical infrastructure and key resources (CIKR) protection activities have been incorporated into the vulnerability and impact analysis.
- Describe how agricultural security; food supply security; cyber security; chemical, biological, radiological, nuclear, and high-yield explosive (CBRNE) incidents; and pandemics (those located/originating in the jurisdiction, as well as a nonlocal, nationwide, or global incident) have been assessed and incorporated.
- Describe the assumptions made and the methods used to complete the jurisdiction's hazard and threat analysis, including what tools or methodologies were used to complete the analysis (e.g., a State's hazard analysis and risk assessment manual, mitigation plan guidance, vulnerability assessment criteria, consequence analysis criteria).
- Include maps that show the high-risk areas that are likely to be impacted by the identified risks (e.g., residential/commercial areas within defined floodplains, earthquake fault zones, vulnerable zones for hazardous materials [HAZMAT] facilities/routes, areas within ingestion zones for nuclear power plants, critical infrastructure).
- Describe/identify the risks that could originate in a neighboring jurisdiction and could create hazardous conditions in this jurisdiction (e.g., critical infrastructure loss, watershed runoff, chemical incident, riot/terrorist act).
- Describe/identify the unique time variables that may influence the hazard and threat analysis and preplanning for the emergency (e.g., rush hours, annual festivals, seasonal events, how quickly the incident occurs, the time of day that the incident occurs).

## Plan Content Elements

### CPG 101 Basic Plan Content Guide Checklist

#### **Purpose, Scope, Situation, Assumptions**

##### Capability Assessment

Describe the process used by the jurisdiction to determine its capabilities and limits in order to prepare for and respond to the defined hazards. Note: The jurisdiction may wish to address this topic as part of the hazard-specific annexes. This decision would allow the jurisdiction to address the unique readiness issues and limitations for each specific hazard. In this case, this section should provide an overview of the jurisdiction's abilities and then refer the reader to the hazard-specific annexes for more detailed

## CPG 101 Basic Plan Content Guide Checklist

information.

- Summarize the jurisdiction's prevention, protection, response, and recovery capabilities involving the defined hazards.
- Describe the jurisdiction's limitations on the basis of training, equipment, or personnel.

### Planning Assumptions

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

### **Concept of Operations**

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

- Describe who has the authority to activate the plan (e.g., emergency management agency, senior official, State official, fire/police chief).
- Describe the process, templates, and individuals involved in issuing a declaration of emergency for a given hazard and how the declaration will be coordinated with neighboring jurisdictions and the State.
- Describe how legal questions/issues are resolved as a result of preparedness, response, or recovery actions, including what liability protection is available to responders.
- Describe the process by which the emergency management agency coordinates with all appropriate agencies, boards, or divisions within the jurisdiction.
- Describe how plans take into account the essential needs of children.
- Describe how plans take into account the physical, programmatic, and communications needs of individuals with disabilities and others with access and functional needs.
- Describe how plans take into account the essential needs of household pets and service animals.
- Identify other response/support agency plans that directly support the implementation of this plan (e.g., hospital, school emergency, facility plans).

## Plan Content Elements

### CPG 101 Basic Plan Content Guide Checklist

#### **Organization and Assignment of Responsibilities**

This section provides an overview of the key functions that State or local agencies will accomplish during an emergency, including the roles that Federal, State, territorial, Tribal, local, regional, and private sector agencies will take to support local operations.

- Identify/outline the responsibilities assigned to each organization that has a mission assignment defined in the plan, including (but not limited to) the following:
  - Local senior elected or appointed officials (e.g., governor, mayor, commissioner, administrative judge, council, executive director)
  - Local departments and agencies (e.g., fire, law enforcement, emergency medical services [EMS], public health, emergency management, social services, animal control)
  - 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)
  - Regional organizations or groups most often and/or likely to be used to support local operations
  - Federal agencies most often and/or likely to be used to support local operations (e.g., Federal Emergency Management Agency [FEMA], U.S. Coast Guard, U.S. Department of Justice, Federal Bureau of Investigation, Federal Aviation Administration, National Transportation Safety Board, U.S. Department of Defense, U.S. Department of Transportation, U.S. Department of Agriculture)
  - Government-sponsored volunteer resources (e.g., Community Emergency Response Teams, Fire Corps and/or Medical Reserve Corps, Volunteers in Police Service, Auxiliary Police)
  - 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).
- Describe how prevention roles and responsibilities will be addressed, including linkages with fusion centers where applicable.
- Describe how roles and responsibilities for CIKR protection and restoration are managed within the jurisdiction.
- Describe how roles and responsibilities will be determined for unaffiliated volunteers and how to incorporate these individuals into the emergency operation.

### CPG 101 Basic Plan Content Guide Checklist

- Describe/identify what mutual aid agreements (MAA) are in place for the quick activation and sharing of resources during an emergency. Examples of agreements that may exist include the following:
  - Agreements between response groups (e.g., fire, police, EMS)
  - Agreements for providing and receiving additional resources through the Emergency Management Assistance Compact
  - Agreements for alert and notification and dissemination of emergency public information
  - Resource agreements (e.g., outside assistance, personnel, equipment)
  - Agreements between medical facilities inside and outside the jurisdiction (e.g., for using facilities, accepting patients)
  - Evacuation agreements (e.g., use of buildings, restaurants, and homes as shelters/lodging; relocation centers; transportation support), including agreements between jurisdictions for the acceptance of evacuees.

## Plan Content Elements

### CPG 101 Basic Plan Content Guide Checklist

#### **Organization and Assignment of Responsibilities, cont.**

- Describe how the jurisdiction maintains a current list of available National Incident Management System (NIMS) typed resources and credentialed personnel.
- Describe how all tasked organizations maintain current notification rosters, SOPs/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.

#### **Direction, Control, and Coordination**

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

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

## CPG 101 Basic Plan Content Guide Checklist

emergency.

### Information Collection and Dissemination

This section describes the required critical or essential information common to all operations identified during the planning process.

- Identify intelligence position (e.g., fusion center liaison) requirements for the emergency operations center's (EOC) 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.

### Communications

This section describes the communication and coordination protocols used between response organizations during an incident.

- 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.

## Plan Content Elements

### Administration, Finance, and Logistics

#### Administration

This section describes administrative protocols used during an emergency operation.

*Documentation* is an administrative process used by a jurisdiction to document the response to and recovery from a disaster. **Note:** This information can also be discussed for each emergency response function or for the specific hazards.

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

- Describe/summarize the reasons for documenting the actions taken during both the response and recovery phases of the disaster (e.g., create historical records, recover costs, address insurance needs, develop mitigation strategies).
- Include copies of the reports that are required (e.g., cost recovery, damage assessment, incident critique, historical record).
- Describe the agencies and methods used to create a permanent historical record of the incident (after-action report) and include information identifying the actions taken, resources expended, economic and human impacts, and lessons learned as a result of the disaster.

### After-Action Report (AAR)

The AAR results from an administrative process used by the jurisdiction to review and discuss the response in order to identify strengths and weaknesses in the emergency management and response program. The AAR should:

- Describe the reasons and need to conduct an AAR (e.g., review actions taken, identify equipment shortcomings, improve operational readiness, highlight strengths/initiatives).
- Describe the methods and agencies used to organize and conduct a review of the disaster, including how recommendations are documented to improve local readiness (e.g., change plans/procedures, acquire new or replace outdated resources, retrain personnel).
- Describe the links and connections between the processes used to critique the response to an emergency/disaster and the processes used to document recommendations for the jurisdiction's exercise program.
- Describe how the jurisdiction ensures that the deficiencies and recommendations identified in the AAR are corrected/completed.

## Plan Content Elements

### CPG 101 Basic Plan Content Guide Checklist

#### **Administration, Finance, and Logistics**

##### Finance

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

- Describe/identify the various programs that allow local political jurisdictions and their response/support agencies to recover their costs (e.g., Small Business Administration, Public Assistance Program).
- Identify and describe the actions that will be taken to document the costs incurred

### CPG 101 Basic Plan Content Guide Checklist

during response and recovery operations (e.g., personnel overtime, equipment used/expended, contracts initiated).

- Describe/identify the programs and how the jurisdiction assists the general public to recover their costs and begin rebuilding (e.g., Small Business Administration, unemployment, worker's compensation).
- Describe the methods used to educate responders and local officials about the cost recovery process.
- Describe the impact and role that insurance has in recovering costs (e.g., self-insured, participation in the National Flood Insurance Program, homeowner policies).
- Describe the methods of pre- and post-declaration funding for the jurisdiction's household pets and service animals preparedness and emergency response program, including how to capture eligible costs for reimbursement by the Public Assistance Program, eligible donations for volunteer labor and resources, and eligible donations for mutual aid resources (as defined in Disaster Assistance Policy [DAP] 9523.19).

#### Logistics

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

- Describe/identify the methods and agencies involved in using the existing risk analysis and capability assessment to identify what resources are needed for a response to a defined hazard, including using past incident critiques to identify/procure additional resources.
  - Describe/identify the steps taken to overcome the jurisdiction's identified resource shortfalls, including identifying the resources that are only available outside the jurisdiction (e.g., HAZMAT, water rescue, search and rescue teams, Chemical, Biological, Radiological, Nuclear, and Explosives [CBRNE] teams) and the process to request those resources. Provide a brief summary statement about specialized equipment, facilities, personnel, and emergency response organizations currently available to respond to the defined hazards. Note: A tab to the plan or a separate resource manual should be used to list the types of resources available, amounts on hand, locations maintained, and any restrictions on use.
- 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 used to identify private agencies/contractors that will support resource management issues (e.g., waste haulers, spill contractors, landfill operators). Identify existing memorandums of agreement (MOA)/memorandums of

## CPG 101 Basic Plan Content Guide Checklist

understanding (MOU) and contingency contracts with these organizations.

## Plan Content Elements

### CPG 101 Basic Plan Content Guide Checklist

#### **Plan Development and Maintenance**

This section describes the process used to regularly review and update the EOP.

- Describe how this plan was coordinated with the EOPs from adjoining/intra-state regional jurisdictions to include local political subdivisions that develop their own EOPs in accordance with State statute.
- Describe the process used to review and revise the plan each year or—if changes in the jurisdiction warrant (e.g., changes in administration or procedures, newly added resources/training, revised phone contacts or numbers)—more often.
- Describe the responsibility of each organization/agency (governmental, nongovernmental, and private sector) to review and submit changes to its respective portion(s) of the plan.
- Identify/summarize to whom the plan is distributed, including whether it is shared with other jurisdictions. Include a plan distribution list. Note: This list can be included as a tab to the plan.
- Describe/identify how or where the plan is made available to the public.
- Summarize the process used to submit the plan for review, coordination, and/or evaluation by other jurisdictions/organizations. • Include a page to document when the changes are received and entered into the plan.

#### **Authorities and References**

This section provides the legal basis for emergency operations and activities.

- Identify/describe the Federal, State, Tribal and local laws that specifically apply to the development and implementation of this plan, including (but not limited to) the following:
  - Local and regional ordinances and statutes
  - State laws or revised code sections that apply to emergency management and homeland security.
  - State administrative code sections that define roles, responsibilities, and operational procedures.
  - State Attorney General opinions.

### CPG 101 Basic Plan Content Guide Checklist

- Federal laws, regulations, and standards (e.g., Stafford Act, FEMA Policy, Patriot Act, Americans with Disabilities Act).
- Identify/describe the reference manuals used to develop the plan and/or help prepare for and respond to disasters or emergencies, including (but not limited to) the following:
  - General planning tools.
  - Technical references.
  - Computer software.
- Identify/define the words, phrases, acronyms, and abbreviations that have special meaning with regard to emergency management and are used repeatedly in the plan.

Source: Comprehensive Preparedness Guide (CPG)101, Version 2.0, November 2010, Appendix C.

## Visual 13: Activity: EOP Review

### Instructions:

1. Work in your group, as assigned by the Instructor.
2. Review your EOP's content and format for completeness and accuracy. Identify strengths and shortcomings.
3. Select a spokesperson to discuss your plan's strengths and shortcomings.

You have 1 hour to complete this activity.



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### ***Activity: EOP Review***

**Activity Purpose:** The purpose of this activity is to give you an opportunity to review your jurisdictions' EOPs for completeness and accuracy.

**Instructions:** Follow the steps below to conduct this activity.

1. Work in your group, as assigned by the Instructor.
2. Review your EOP's content and format for completeness and accuracy. Identify strengths and shortcomings.
3. Select a spokesperson to discuss your plan's strengths and shortcomings.

## Activity: EOP Review

EOP Content Strengths	EOP Content Shortcomings	EOP Format Strengths	EOP Format Shortcomings

## Visual 14: Step 5: Approve and Disseminate the Plan

Ask these questions to validate the plan:

- Are the plan's scope and concept of operations sufficient to allow accomplishment of assigned tasks?
- Does the plan identify task assignments and demonstrate effective use of resources?
- Is the plan complete?
- Is the plan consistent with doctrine?



### ***Step 5: Approve and Disseminate the Plan***

Step 5—approve and disseminate the plan. Reviewing the plan with an assessment tool is a useful way to examine the plan. The following questions should be part of the validation process:

- Are the plan's scope and concept of operations sufficient to allow accomplishment of assigned tasks? Consider validity of assumptions and compliance with guidance.
- Does the plan identify task assignments and demonstrate effective use of resources? Consider whether the scope and concept of planned operations fulfills task assignments, and if available resources are sufficient.
- Is the plan complete? Consider whether the plan designates who will execute it and how it will be executed.
- Is the plan consistent with doctrine? Consider if the plan complies with Federal requirements.



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An implementation strategy is necessary to complete this step.

## Visual 15: Activity: Implementing the EOP

### Instructions:

1. Work in your group, as assigned by the Instructor.
2. Consider your jurisdiction's strategy for implementing the EOP.
3. Use the EOP Implementation Worksheet to identify two ways to improve your implementation strategy.
4. Select a spokesperson to present your implementation improvements.

You have 20 minutes to complete this activity.

### ***Activity: Implementing the EOP***

**Activity Purpose:** The purpose of this activity is to give you an opportunity to consider the implementation of your jurisdictions' EOPs and to develop at least two ways that your implementation plans could be improved.



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**Instructions:** Follow the steps below to conduct this activity.

1. Work in your group, as assigned by the Instructor.
2. Consider your jurisdiction's strategy for implementing the EOP.
3. Use the EOP implementation Worksheet to identify two ways to improve your implementation strategy.
4. You have 20 minutes to complete this activity.
5. Select a spokesperson to present your implementation improvements.

## Activity: Implementing the EOP

EOP Implementation
1.
2.

## Visual 16: Step 6: Plan Implementation and Maintenance

The tasks involved in Plan Implementation and Maintenance are:

- Train and exercise the plan, and evaluate its effectiveness.
- Review, revise, and maintain the plan.



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### ***Step 6: Plan Implementation and Maintenance***

Step 6 of the planning process—plan implementation and maintenance. The tasks involved in this final step are:

- Train and exercise the plan, and evaluate its effectiveness.
- Review, revise, and maintain the plan.

A plan is effective when the goals, objectives, and activities identified in the plan lead to a successful response. Training and exercises provide the basis for evaluating the effectiveness of a plan.

## Visual 17: Criteria for Plan Review

- Adequacy. Consider scope and concept.
- Feasibility. Consider available resources.
- Acceptability. Consider the needs and demands.
- Completeness. Consider the tasks to achieve scope and sequence of the planned response operation.
- Compliance with guidance. Consider mandated doctrine.



### ***Criteria for Plan Review***

The criteria used to review a plan include:

- Adequacy. Do the scope and concept of planned operations effectively address critical tasks? Does the plan comply with guidance to accomplish the assigned mission? Are the plan's assumptions valid, reasonable, and compliant with guidance?
- Feasibility. Are resources available to accomplish the assigned mission and critical tasks within the timeframe identified in the plan?
- Acceptability. Does the plan meet the needs and demands driven by the event? Does the plan adhere to public cost and time limitations?
- Completeness. Does the plan include all tasks necessary to achieve the scope and sequence of the planned response operation? Does the plan identify all required capabilities and success criteria for the desired end state?
- Compliance with guidance and doctrine. Does the plan fully comply with mandated guidance and doctrine?



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## Visual 18: Review, Revise, and Maintain the Plan

The review, revision, and maintenance process involves:

- A personal review by key personnel.
- Testing and exercising.
- Compiling feedback.
- Revising the plan.



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### ***Review, Revise, and Maintain the Plan***

The final step in the planning process effectively starts the planning cycle over again. Reviewing, revising, and maintaining the plan is an ongoing process that involves:

- Personal review by key personnel.
- Testing and exercising the plan.
- Compiling feedback.
- Revising the plan.

## Visual 19: Review Cycle

In addition to a regular review cycle, the plan should be updated after the following events:

- A change in operational resources.
- A formal update of planning guidance or standards.
- A change in elected or appointed officials.
- A plan activation or major exercise.
- A change in the jurisdiction's demographics or hazard or threat profile.
- The enactment of new or amended laws or ordinances.

### ***Review Cycle***

Planning teams should establish a recurring process for reviewing and revising the plan. For example, each component of the plan is reviewed and revised at a minimum of once every two years. Teams should also consider reviewing and updating the plan after the following events:



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- A change in operational resources
- A formal update of planning guidance or standards
- A change in elected or appointed officials
- A plan activation or major exercise
- A change in the jurisdiction's demographics or hazard or threat profile
- The enactment of new or amended laws or ordinances

## Visual 20: Summary and Transition

This unit:

- Covered the last two steps in the planning process.
- Introduced several plan format styles. The standard content elements also were described.

Unit 6 will address the coordination of Federal, State, tribal and local plans.



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### ***Summary and Transition***

Unit 5:

- Covered the last two steps in the planning process.
- Introduced several plan format styles. The standard content elements also were described.

Unit 6 will address the coordination of Federal, State, Tribal, and local plans.

# Unit 6: Coordinating Planning

## Visual 1: Unit 6: Coordinating Planning



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### ***Unit 6: Coordinating Planning***

This unit will address the relationship between Federal, State, tribal and local emergency planning. The topics covered are:

- Emergency management activities.
- Emergency planning requirements.
- Types of plans.
- Coordinating plans and procedures.

## Visual 2: Unit Objectives

- Identify plans and procedures that require coordination within and among jurisdictions.
- Determine agencies and jurisdictions with which plans must be coordinated.
- Develop a strategy for coordinating plans and procedures.



### ***Unit Objectives***



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At the end of this unit, you should be able to:

- Identify plans and procedures that require coordination within and among jurisdictions.
- Identify agencies and jurisdictions with which plans must be coordinated.
- Develop a strategy for coordinating their plans and procedures.

## Visual 3: Emergency Management Mission Areas



### ***Emergency Management Mission Areas***

Each mission area represents the interrelated actions of the mission areas—to prevent, protect against, mitigate, respond to, and recover from emergency situations.

Planning for emergency management mission areas require the coordination and integration of the multiple jurisdictions and agencies that provide operational support against threatened or actual natural disasters, technological incidents, or adversarial or human-caused events.

The five mission areas include:

- **Prevention** to avoid an incident or to intervene to stop an incident from occurring. Prevention involves actions to protect lives and property. It involves applying intelligence and other information to a range of mission areas that may include such countermeasures as deterrence operations; heightened inspections; improved surveillance and security operations; investigations to determine the full nature and source of the threat; public health and agricultural surveillance and testing processes; immunizations, isolation, or quarantine; and, as appropriate, specific law enforcement operations aimed at deterring, preempting, interdicting, or disrupting illegal activity and apprehending potential perpetrators and bringing them to justice.



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- Protection, which includes actions that secure the homeland against acts of terrorism and manmade or natural disasters.
- Mitigation, which provides a critical foundation in the effort to reduce the loss of life and property from natural and/or human-caused disasters by avoiding or lessening the impact of a disaster and providing value to the public by creating safer communities. Mitigation seeks to fix the cycle of disaster damage, reconstruction, and repeated damage. These activities or actions, in most cases, will have a long-term sustained effect.
- Response to save and sustain lives, protect property and the environment, and meet basic human needs. Response also includes the execution of plans and actions to support short-term recovery.
- Recovery restoration plans; the reconstitution of government operations and services; individual, private sector, nongovernmental, and public assistance programs to provide housing and to promote restoration; long-term care and treatment of affected persons; additional measures for social, political, environmental, and economic restoration; evaluation of the incident to identify lessons learned; post-incident reporting; development of initiatives to mitigate the effects of future incidents; and have a long-term sustained effect.

## Visual 4: National Incident Management System

- Command and management. Command structure based on ICS, MACS, and public information.
- Preparedness. Planning, training, exercise, and certification activities held before potential incident.
- Resource management. Identifies, mobilizes, and tracks resources over the life cycle of an incident.
- Communications and information management. A standardized framework in information sharing.
- Ongoing management and maintenance. Technological systems support direction and NIMS oversight.

### ***National Incident Management System***

Guidance for a common, nationwide approach is provided through the initiatives of the HSPD 5 directive—the NIMS and the NRF.

NIMS integrates effective practices in emergency preparedness and response into a comprehensive national framework for incident management. The NIMS approach consists of:

- Command and management. The command structure is based on the Incident Command System (ICS), Multiagency Coordination System (MACS), and public information.
- Preparedness. Planning, training, exercise, and certification activities are initiated well in advance of any potential incident.
- Resource management. Processes are established to describe, inventory, mobilize, dispatch, track, and recover resources over the life cycle of an incident.
- Communications and information management. A standardized framework is designed for information sharing at all levels of incident management.
- Ongoing management and maintenance. Technological systems are used to support strategic direction and oversight of NIMS.



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## Visual 5: National Response Framework

The NRF identifies 15 ESFs with Federal agencies assigned to support incident response needs. The NRF:

- Requires each Federal agency to plan for its role in incident response and recovery.
- Describes non-Federal jurisdictional responsibility to develop all-hazard EOPs.
- Incorporates participation of the private sector and NGOs in response efforts.

### ***National Response Framework***

The National Response Framework (NRF) is a guide to how the Nation responds to all types of disasters and emergencies. The NRF:

- Requires each Federal department or agency to plan for its role in incident response and recovery.
- Describes State, territorial, tribal, and local jurisdictional responsibility to develop all-hazard Emergency Operations Plans (EOPs).
- Incorporates participation of the private sector and nongovernmental organizations in response efforts.



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NRF defines 15 Emergency Support Functions (ESFs) to identify resources and types of Federal assistance available for incident response needs. Each ESF is managed by a specified Federal department or agency. During an emergency situation the responsible Federal agency expedites the needed Federal support to augment State and local response efforts.

## Visual 6: Type of Plans

Types of plans that support and supplement the EOP include:

- Joint Operational Plans or Regional Coordination Plans
- Administrative plans
- Preparedness plans
- Continuity plans
- Recovery plans
- Mitigation plans
- Prevention and protection plans



### ***Type 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. There are other types of plans that support and supplement the EOP and its annexes.

- Joint Operational Plans or Regional Coordination Plans typically involve multiple levels of government to address a specific incident or a special event.
- Administrative plans describe basic policies and procedures to support a governmental endeavor.
- Preparedness plans address the process for developing and maintaining capabilities for the whole community both pre- and post-incident.
- Continuity plans outline essential functions that must be performed during an incident that disrupts normal operations and the methods by which these functions will be performed.
- Recovery plans developed prior to a disaster enable jurisdictions to effectively direct recovery activities and expedite a unified recovery effort.
- Mitigation plans outline a jurisdiction's strategy for mitigating the hazards it faces.
- Prevention and protection plans typically tend to be more facility



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focused and procedural or tactical in their content.

## Visual 7: State/Tribal EOP

State/Tribal government responsibilities include:

- Declaring a state of emergency.
- Requesting Federal assistance for local jurisdictions.
- Providing aid and protection through its initial response functions.

To support these requirements, the State/Tribal EOP should:

- Identify all response and recovery agencies.
- Outline the assistance available at the State level.



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### ***State/Tribal EOP***

State/Tribal governments need to perform additional emergency response operations and provide resources to satisfy local shortages.

The State/Tribal government has the responsibility of declaring a state of emergency, and requesting needed Federal assistance for local jurisdictions.

The States/Tribal governments also must perform initial response mission functions that provide aid and protection when disaster strikes a local jurisdiction. To support these requirements, the State/Tribal EOP needs to:

- Identify the State/Tribal departments designated to perform response and recovery activities.
- Outline the assistance available when emergency response and recovery needs are beyond the capacity of the local jurisdiction.

## Visual 8: State/Tribal\* EOP Requirements

- Specify communications procedures to:
  - Alert, notify, recall, and dispatch response personnel.
  - Warn local jurisdictions.
  - Protect citizens and property.
  - Request aid/support from other jurisdictions.
- Describe provisions for initial situation assessment.
- Identify the process for activation of Federal/State/Tribal\* MOUs.
- Describe provisions for deployed Federal personnel.

\* Under the SRIA Tribes may choose to act as a State government rather than a local government.

### ***State/Tribal\* EOP Requirements***

The following additional State/Tribal EOP requirements:

- Specify the direction and control communications procedures to:
  - Alert, notify, recall, and dispatch emergency response personnel.
  - Warn local jurisdictions.
  - Protect citizens and property.
  - Request aid and support from other States/Tribes and/or the Federal Government.
- Describe the provisions for initial situation assessment from local jurisdictions impacted.
- Identify the process for activation and implementation of the Federal/State/Tribal Memorandum of Understanding (MOU) describing joint Federal/State/Tribal disaster operations. Explain that the Sandy Recovery Improvement Act (SRIA) includes a provision that allows Tribes to choose to act as a local government or as the equivalent of a State government in a disaster.
- Describe the provisions for providing work space and communications support to Federal personnel deployed to work the disaster.



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**NOTE:** This applies to Tribal governments when they are acting as a state and not as a local government.

## Visual 9: Linking Jurisdictional Plans



- Convert local needs to Federal support missions.
- Conduct gap analyses to determine shortfalls.
- Supplement State and local emergency operations with Federal capabilities.
- Integrate State/Tribe\* and local all-hazard planning with Federal emergency planning scenarios.

\* Under the SRIA Tribes may choose to act as a State government rather than a local government.

### ***Linking Jurisdictional Plans***

Identify reasons why emergency planning needs to be coordinated between the various government levels.

The main integration point occurs between the Federal Regional level and the State/Tribe level. Interfacing with the States/Tribes allows FEMA Regions to:



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- Convert State/Tribe and local needs into Federal support missions.
- Conduct gap analyses to determine capability gaps, resource shortfalls, and State/Tribe expectations for Federal assistance.
- Provide Federal capabilities to supplement the roles and resources needed to support State/Tribal and local emergency response and recovery operations.
- Integrate State/Tribal and local all-hazard planning with the Federal emergency planning scenarios.

## Visual 10: Activity: Hurricane Jacob Case Study

### Instructions:

1. Work in your group, as assigned by the Instructor.
2. Read the case study.
3. Identify lessons learned, and recommend tasks to improve emergency planning for the jurisdictions.
4. Select a spokesperson from your group to present your recommendations.

You have 10 minutes to complete this activity.



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### ***Activity: Hurricane Jacob Case Study***

**Activity Purpose:** The purpose of this activity is to give you an opportunity to consider the value of coordinated emergency planning.

**Instructions:** Follow the steps below to conduct this activity.

1. Work in your group, as assigned by the Instructor.
2. Read the case study.
3. Identify lessons learned, and recommend planning tasks to improve the local jurisdiction and State emergency plans.
4. You have 10 minutes to complete this activity.
5. Select a spokesperson from your group to present your recommendations.

## Activity: Hurricane Jacob Case Study

### Case Study: Hurricane Jacob

Building to Category 5 across the Atlantic Ocean, Hurricane Jacob was downgraded to Category 2 when it made landfall September 18, 2003, on the Outer Banks of North Carolina. What Jacob lacked in intensity, it made up for in size and impact, affecting the mid-Atlantic coastal States from North Carolina to New Jersey. Jacob caused tremendous damage and disruption with an extremely high storm surge, resulting in extensive flooding. It felled thousands of trees, causing massive power outages. Coastal North Carolina and east central Virginia were hit the hardest.

The response and recovery missions in urban areas outpaced the efforts in rural areas. In large part, this was because of the availability of local parcel data, in a digital format, primarily in the urban communities. The local digital databases included maps, imagery, and data to identify land ownership, property values and land use, as well as critical infrastructure. Used in conjunction with a Geographic Information System (GIS), the local digital data was a critical resource for emergency operations. By combining real-time aerial photography, rainfall measurements, and elevation data with the detailed local digital maps, emergency responders in the urban areas were more effective in dealing with the extensive flooding, power outages, and debris removal. Availability of a local digital database also streamlined recovery efforts by expediting the processing of insurance claims and Federal emergency loans for homeowners and businesses.

### Activity: Hurricane Jacob Case Study

Lessons Learned	Tasks to Implement Change

Lessons Learned	Tasks to Implement Change

## Visual 11: Coordinated Planning

Consider each activity of emergency management.

- What agencies coordinate in the planning effort?
- What coordination methods are used?
- What problem-solving coordination issues are addressed?



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### ***Coordinated Planning***

Consider each activity of emergency management:

- The departments/agencies with which they coordinated in the planning effort.
- The coordination methods (e.g., Emergency Management Assistance Compact (EMAC), mutual aid agreement, MOU) that were used.
- The problem-solving coordination issues that were addressed.

## Visual 12: Activity: Coordinated Planning

### Instructions:

1. Work in your group, as assigned by the Instructor.
2. Consider an existing plan, or a plan that needs to be developed.
3. Suggest one new strategy for coordinating the plan vertically and horizontally.
4. Select a spokesperson from your group to present your plan for coordination.

You have 10 minutes to complete this activity.



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### ***Activity: Coordinated Planning***

**Activity Purpose:** The purpose of this activity is to give you an opportunity to develop a strategy for plan coordination.

**Instructions:** Follow the steps below to conduct this activity.

1. Work in your group, as assigned by the Instructor.
2. Consider an existing plan, or a plan that needs to be developed.
3. Suggest one new strategy for coordinating the plan vertically and horizontally.
4. You have 10 minutes to complete this activity.
5. Select a spokesperson from your group to present your recommendations.

## Visual 13: Summary and Transition

This unit:

- Examined the need for vertical and horizontal coordination of emergency plans.
- Addressed the various levels of emergency plans and the activities of emergency management planning.

Unit 7 will summarize the key points from this course and present the final exam.



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### ***Summary and Transition***

Unit 6:

- Examined the need for coordination of emergency plans.
- Addressed the various levels of emergency plans and the activities of emergency management planning.

Unit 7 will summarize the key points from this course and present the final exam.

# Unit 7: Course Summary and Final Exam

# Visual 1: Unit 7: Course Summary and Final Exam



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This unit will review the key points of the course, and provide an opportunity for you to reflect on what you have learned. The final exam will follow.

## Visual 2: Unit Objectives

- Identify the three most important things that you learned during this class.
- Identify three things that you will do differently in future emergency planning efforts.
- Pass the final exam.



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### ***Unit Objectives***

At the end of this unit, you should be able to:

- Identify the three most important things that they learned during this class.
- Identify three things that they will do differently in future emergency planning efforts.
- Pass the final exam.

## Visual 3: Type of Plans

- Strategic plans set the context and expectations by identifying policy objectives and long-term solutions.
- Operational plans describe roles and responsibilities, tasks, and actions required during emergencies.
- Tactical plans focus on managing personnel, equipment, and resources that play a direct role in an incident response.

### ***Type of Plans***

Emergency planning occurs at three levels:

- Strategic plans identify policy objectives and long-term solutions to emergency management responsibilities. Strategic planning lays out the fundamental direction, and sets the context and expectations.
- Operational plans provide a description of roles and responsibilities, tasks, integration, and actions required of a jurisdiction or its departments and agencies during emergencies.
- Tactical plans focus on managing personnel, equipment, and resources that play a direct role in an incident response.

Note that there is not a one-to-one correlation between the types of plans and levels of government. All three types of planning occur at all levels of government.



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## Visual 4: Planning Principles

- Involves all partners—agencies, private sector, and NGOs.
- Considers commonality to address all hazards.
- Uses a logical, analytical, problem-solving process.
- Builds on the knowledge captured in existing plans.
- Depicts the anticipated environment for action.
- Identifies tasks and resources, establishes accountability.
- Ensures senior official buy-in.
- Evolves over time.

### ***Planning Principles***

The principles of emergency planning:

- Involves all partners—other agencies, the private sector, and nongovernmental organizations (NGOs)
- Applies commonality to address all hazards and threats
- Uses a problem-solving process to deal with complexity
- Builds on the knowledge and experience captured in existing plans
- Depicts the anticipated environment for action
- Identifies tasks, allocates resources, and establishes accountability
- Ensures that senior officials understand and buy-in to the high priority of the planning process
- Evolves over time as uncertainty, risk, and experience factors change



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## Visual 5: Planning Process Model



### ***Planning Process Model***

The steps in the planning process model described in the National Incident Management System (NIMS) manual and Comprehensive Preparedness Guide (CPG) 101.



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1. Form a collaborative planning team.
2. Understand the situation.
3. Determine goals and objectives.
4. Plan Development.
5. Plan Preparation, Review and Approval.
6. Plan Implementation and Maintenance.

## Visual 6: EOP Content Requirements

An EOP is a public document that should include:

- Assignment of responsibility to organizations and individuals for specific actions that exceed routine responsibility at projected times and places during an emergency.
- Lines of authority and organizational relationships, and how all actions will be coordinated.
- Description of how people (including unaccompanied minors, individuals with disabilities, others with access and functional needs, and individuals with limited English proficiency) and property are protected.
- Resource lists and resource agreements.
- Reconciliation of requirements with other jurisdictions.

### ***EOP Content Requirements***

An Emergency Operations Plan (EOP) is a public document that addresses:

- Assignment of responsibility to organizations and individuals for specific actions that exceed routine responsibility at projected times and places during an emergency.
- Lines of authority and organizational relationships, and how all actions will be coordinated.
- Description of how people (including unaccompanied minors, individuals with disabilities, others with access and function needs, and individuals with limited English proficiency) and property are protected.
- Resource lists and resource agreements.
- Reconciliation of requirements with other jurisdictions.



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EOPs also must comply with the Americans with Disabilities Act.

## Visual 7: EOP Format Sections

Common format sections:

- The Basic Plan provides an overview of the program by:
  - Documenting response policies.
  - Describing the response organization.
  - Assigning tasks.
- Functional Annexes document methods, procedures, and actions of critical operational functions.
- Hazard-Specific Annexes focus on emergency response strategies for specific hazards.

### ***EOP Format Sections***

The sections common to the various EOPs:

- The Basic Plan, which provides an overview of the jurisdiction's emergency management and response program by:
  - Documenting emergency response policies.
  - Describing the response organization.
  - Assigning tasks.
- Functional Annexes, which document the methods, procedures, and actions for performance of critical operational functions during emergency operations.
- Hazard-Specific Annexes, which focus on emergency response strategies for a specific hazard.



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## Visual 8: Federal and Non-Federal Perspectives



### Federal and Non-Federal Perspectives Description

Flow chart of Federal and Non-Federal Perspectives with a down arrow reading from top to bottom

Federal Most dangerous risks

National Planning Scenarios

National Response Framework

Right resources at the right time with a bar across the bottom saying Local community faced with all hazards, all magnitudes, then connecting with an up arrow reading from bottom to top:

Working with the general public

Getting resources

Working with response organizations

## Non-Federal Most likely risks

***Federal and Non-Federal Perspectives***

Graphic: Flow chart of Federal and Non-Federal Perspectives with a down arrow reading from top to bottom:

- Federal Most dangerous risks
- National Planning Scenarios
- National Response Framework
- Right resources at the right time

With a bar across the bottom saying Local community faced with all hazards, all magnitudes, then connecting with an up arrow reading from bottom to top:



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- Working with the general public
- Getting resources
- Working with response organizations
- Non-Federal Most likely risks

The two perspectives of emergency planning:

- The “top-down” approach of the Federal Government focuses on the National Planning Scenarios, and providing the right resources at the right time to support the non-Federal entities.
- The “bottom-up” approach of non-Federal entities focuses on the most likely emergency situations, and securing resources while dealing with multiple response organizations.

## Visual 9: Integrating Plans



- Convert local needs to Federal support missions.
- Conduct gap analyses to determine shortfalls.
- Supplement State and local emergency operations with Federal capabilities.
- Integrate State/Tribe\* and local all-hazard planning with Federal emergency planning scenarios.

\*Applies to tribal governments when they are acting as a state and not as a local government

### ***Integrating Plans***

Remember that the main integration point occurs between the Federal Regional level and the State/Tribe (if the Tribal government is conducting the emergency planning activity as a local entity) level. State/Tribe and local needs are converted into Federal support missions at the Federal Regional level—either through FEMA Regions or regional compacts/consortiums.



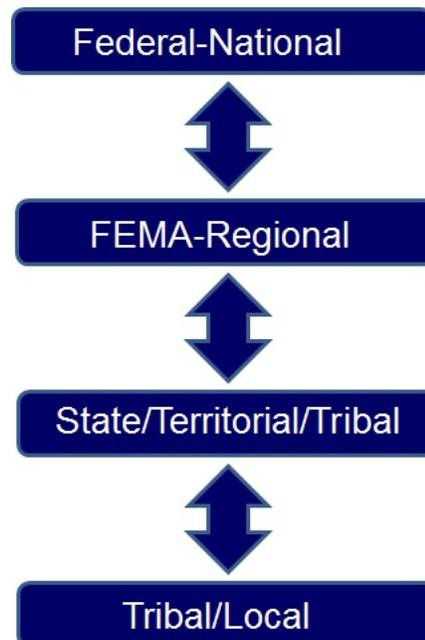
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Note that FEMA Regions:

- Conduct gap analyses to determine capability gaps, resource shortfalls, and State/Tribe expectations for Federal assistance.
- Provide Federal capabilities to supplement the roles and resources needed to support State/Tribal and local emergency response and recovery operations.
- Integrate State/Tribal and local all-hazard planning with the Federal emergency planning scenarios.

## Visual 10: Integration

- Integration concepts:
  - Controls fragmentation.
  - Provides a common operational focus.
  - Ensures coordination between partner jurisdictions.
  - Local level is foundation.
  - Layered support from Tribal, State and Federal levels.



### ***Integration***

Integration ensures that Federal, State/Territorial/Tribal (if the Tribal government is conducting the emergency planning activity as a state), and Tribal/local (if the Tribal government is conducting the emergency planning activity as a local entity) emergency plans are consistent and reinforce each other.



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- Integration eliminates fragmentation of local emergency planning with a common operational focus for all departments, agencies, and nongovernmental organizations within a jurisdiction. Integration also ensures coordination of emergency plans between neighboring or partner jurisdictions.
- Integration is built on the concept that the local level is the foundation for emergency operations, with layered support from Tribal, State, regional, and Federal entities.

## Visual 11: Questions on Course Content

Are there any questions about anything covered in the course?



*Questions on Course Content*

**Discussion Question: Are there any questions about anything covered in the course?**

Discussion  
Question

## Visual 12: Activity: Three + Three

### Instructions:

1. Work in your group, as assigned by the Instructor.
  2. Use the worksheet to develop two lists:
    - List 1 should include the three most important points that you learned from this course.
    - List 2 should include three things that you will do differently during future planning efforts.
  3. Select a spokesperson to present your lists to the class.
- You have 15 minutes to complete this activity.



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### ***Activity: Three + Three***

**Activity Purpose:** The purpose of this activity is to give you an opportunity to identify important learning points that you will be able to apply during future planning efforts.

**Instructions:** Follow the steps below to conduct this activity:

1. Work in your group, as assigned by the Instructor.
2. Use the Three + Three worksheet to develop two lists:
  1. List 1 should include the three most important points that they learned from this course.
  2. List 2 should include three things that they will do differently during future planning efforts.
3. You have 15 minutes to complete this activity.
4. Select a spokesperson to present your lists to the class.

## Activity: Three + Three

List 1: Important Learning Points	List 2: New Items/Techniques for Planning
1.	1.
2.	2.
3.	3.

## Visual 13: Final Exam

### Instructions:

1. Fill out the scoring sheet completely.
2. The exam consists of 20 multiple-choice questions.
3. You must score at least 70 percent to pass the exam.
4. Do the best that you can!
5. Be ready to discuss the questions with the class.

You have 20 minutes to complete this exam.



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### ***Final Exam***

#### **Instructions:**

1. Fill out the scoring sheet completely.
2. The exam consists of 20 multiple-choice questions.
3. You must score at least 70 percent to pass the exam.
4. Do the best that you can!
5. Be ready to discuss the questions with the class.

You have 20 minutes to complete this exam.

## Visual 14: Summary and Adjournment

Thank you for attending this course.



### ***Summary and Adjournment***

Thank you for attending this course.

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