



Planning Engagement Guide

Developing CEMPs and Support Annexes

Preface

The Planning Engagement Guide provides Washington State Emergency Management Division (WA EMD), local Emergency Management Organizations (EMOs), and Tribal Nations with instruction on how to successfully implement the Federal Emergency Management Agency's (FEMA) suite of guidance for Comprehensive Emergency Management Plan (CEMP) development and maintenance. This guide incorporates the fundamentals of the Comprehensive Preparedness Guide 101 v.2 and the National Planning Frameworks to enable the creation or transfer of existing plans into a new format which directly addresses the 2015 National Preparedness Goal's 32 Core Capabilities and associated Critical Tasks.

First and foremost, this Guide approaches CEMP development with the mindset that the process of planning is just as important as the resulting document. Ultimately, planning is a process of discovery. Through plan development using a Core Capability approach, stakeholders and partners can create plans which address all 5 Mission Areas. This linkage extends across the Preparedness Cycle to provide a direct connection from planning, to mitigation, to assessment, to grants, to exercise.

This guide is a direct reflection of the process developed and implemented by WA EMD planners to meet the identified needs of local jurisdictions. As new guidance is released, or existing guidance is revised, this Planning Engagement Guide may be revised to reflect those changes.

Input from stakeholders and partners is always welcome and appreciated. If any clarification, input, or revision is identified please email the WA EMD Planning Team at EMDCEMPREVIEW@mil.wa.gov.

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Introduction and Overview

Purpose

This Planning Engagement Guide provides suggested guidelines on developing emergency operations plans (e.g. Comprehensive Emergency Management Plans, Support Annexes, Incident Annexes, etc.). Through the use of a Core Capability-based planning approach to plan development, the significant functions that are required to address threats and hazards can be easily identified and captured in planning efforts. This process enables organizations to support each other through a common and standardized approach that also aids in achieving the horizontal and vertical integration of plans.

This shared approach to planning increases the likelihood of integration and synchronization of efforts and makes planning more efficient and effective. Efficient because of reduction in effort to create plan structures and determine their contents. Effective because of the production of a plan which addresses and incorporates every aspect of emergency planning and is also compatible with other planning efforts. The resulting alignments within an emergency management program can produce positive outcomes such as reduced plan maintenance, gap identification and analysis, identification of training needs, and determining exercises designs and objectives.

Applicability and Scope

The Washington State Emergency Management Division recommends that those responsible for developing emergency operations plans use the Planning Engagement Guide to guide their Core Capability-based planning efforts. This Planning Engagement Guide offers the resources for any jurisdiction to transfer their existing plans into a structure that best reflects their true operating structure along with one which captures their capabilities and suits their needs.

Many CEMPs only address emergency management in the context of the Response Mission Area. Other plans that are maintained (e.g. Hazard Mitigation Plan, Prevention/Anti-terrorism plans, etc.) are either loosely associated or even disassociated from their CEMPs. In order to be considered “comprehensive,” CEMPs should incorporate all 5 Mission Areas as well. Core Capabilities in CEMP development has provided the mechanism, and WA EMD has provided the structure and tools to accomplish these additional planning efforts.

How to Use this Guide

This Planning Engagement Guide incorporates existing Federal Guidance and laws, alongside Washington State laws, to provide a succinct yet comprehensive presentation of planning efforts for plan development. Alongside this Planning Engagement Guide, the CEMP Basic Plan Guidebook, and the Tiered CEMP Evaluation Checklist can be used to assist in the development

of the Basic Plan portion of the CEMP to incorporate the 5 Mission Areas and all 32 Core Capabilities. Additional resources which can be used in other CEMP components include:

- Support Annex Templates (Functional, ESF, and Department-focused)
- Functional Areas Development Worksheets
- ESF Scoping
- [FEMA Core Capability Development Sheets](#)
- [Comprehensive Preparedness Guide 101 v2 \(CPG 101\)](#)
- [The National Planning Frameworks](#) (Prevention, Protection, Mitigation, Response, and Disaster Recovery).
- [Continuity Guidance Circular \(CGC\)](#)

Suggested Reading

It is highly encouraged for all participants in this process to read the [National Preparedness Goal](#) to become familiar with Core Capabilities. Additionally, reading through the Core Capability Development Sheets to learn what Critical Tasks are contained within each Core Capability can provide a baseline understanding of what the scope of each pertains to.

The Basics of Planning

Overview

The elected and appointed leaders in each jurisdiction are responsible for ensuring that necessary and appropriate actions are taken to protect people, property, and the environment from any threat or hazard. When threatened by a hazard, citizens expect elected or appointed leaders to take immediate action to help them resolve the problem. Citizens expect the government to marshal its resources, channel the efforts of the whole community—including voluntary organizations and the private sector—and, if necessary, solicit assistance from outside the jurisdiction.

Residents and all sectors of the community have a critical role and shared responsibility to take appropriate actions to protect themselves, their families and organizations, and their properties. Planning that includes the whole community builds a resilient community.

This chapter serves as a foundation for the rest of the Planning Engagement Guide (hereafter referred to as the “Guide”) by providing an overview of the basics of planning. It describes how risk-informed, community-based planning supports decision making. This chapter also discusses key planning concepts, effective planning, and planning pitfalls.

Core Capabilities

Core Capabilities are the significant functions that are required to address threats and hazards. They are distinct critical elements necessary to achieve the National Preparedness Goal. The National Preparedness Goal (2015) explains that the 32 Core Capabilities achieve the Goal by:

- Preventing, avoiding, or stopping a threatened or an actual act of terrorism.
- Protecting our citizens, residents, visitors, assets, systems, and networks against the greatest threats and hazards in a manner that allows our interests, aspirations, and way of life to thrive.
- Mitigating the loss of life and property by lessening the impact of future disasters.
- Responding quickly to save lives, protect property and the environment, and meet basic human needs in the aftermath of an incident.
- Recovering through a focus on the timely restoration, strengthening, and revitalization of infrastructure, housing, and the economy, as well as the health, social, cultural, historic, and environmental fabric of communities affected by an incident.

The Core Capabilities serve as both preparedness tools and a means of structured implementation.

Critical Tasks

Critical Tasks are the actions and activities which take place in order to achieve their associated Core Capability. Some Critical Tasks represent standalone objectives and tasks, while others represent a sequence of action that occur (e.g. establish turns into maintain or transition into recovery). By identifying common Critical Tasks within a specific Mission Area, planners can identify the actions and activities that take place in order to sustain and maintain individual Core Capabilities.

Planning Fundamentals

Planning Principles

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

Planning must be community-based, representing the whole population and its needs.

Understanding the composition of the population—such as accounting for people with disabilities, others with access and functional needs, the needs of children, Limited English Proficiency (LEP) populations, and service animals—must occur at the onset of the planning effort. For example, the demographics of the population, including its resources and needs, have a profound effect on evacuation, shelter operations, and family reunification. Another key consideration is the integration of household pets and service animals into the planning process. Many individuals may make decisions on whether to comply with protective action measures based on the jurisdiction’s ability to address the concerns about their household pets and service animals. Establishing a profile of the community will also inform planners if courses of action are feasible. For example, if the majority of the actual resident population do not own cars, then planning efforts must account for greater transportation resource requirements than if the population was predominately composed of car-owning households. The businesses that comprise your jurisdiction must also be a part of your demographics—your jurisdiction may house the only business providing a critical resource to your area or even the Nation. By fully understanding the composition and requirements of the actual population (including all segments of the community), community-based plans will lead to improved Prevention, Protection, Mitigation, Response, and Recovery activities and, ultimately, overall preparedness.

Planning must include participation from all stakeholders in the community. Effective planning ensures that the whole community is represented and involved in the planning process. The most realistic and complete plans are prepared by a diverse planning team, including representatives from the jurisdiction’s departments and agencies, civic leaders, businesses, and organizations (e.g., civic, social, faith-based, humanitarian, educational, advocacy, and professional) who are able to contribute critical perspectives and/or have a role in executing a plan. The demographics of the community will aid in determining who to involve as the planning team is constructed. Including community leaders representative of the entire community in planning reinforces the expectation that the community members have a shared

responsibility and strengthens the public motivation to conduct planning for themselves, their families, and their organizations. For example, it is essential to incorporate individuals with disabilities, specific access and functional needs, and individuals with limited English proficiency, as well as the groups and organizations that support these individuals, in all aspects of the planning process. When the plan considers and incorporates the views of the individuals and organizations assigned tasks within it, they are more likely to accept and use the plan.

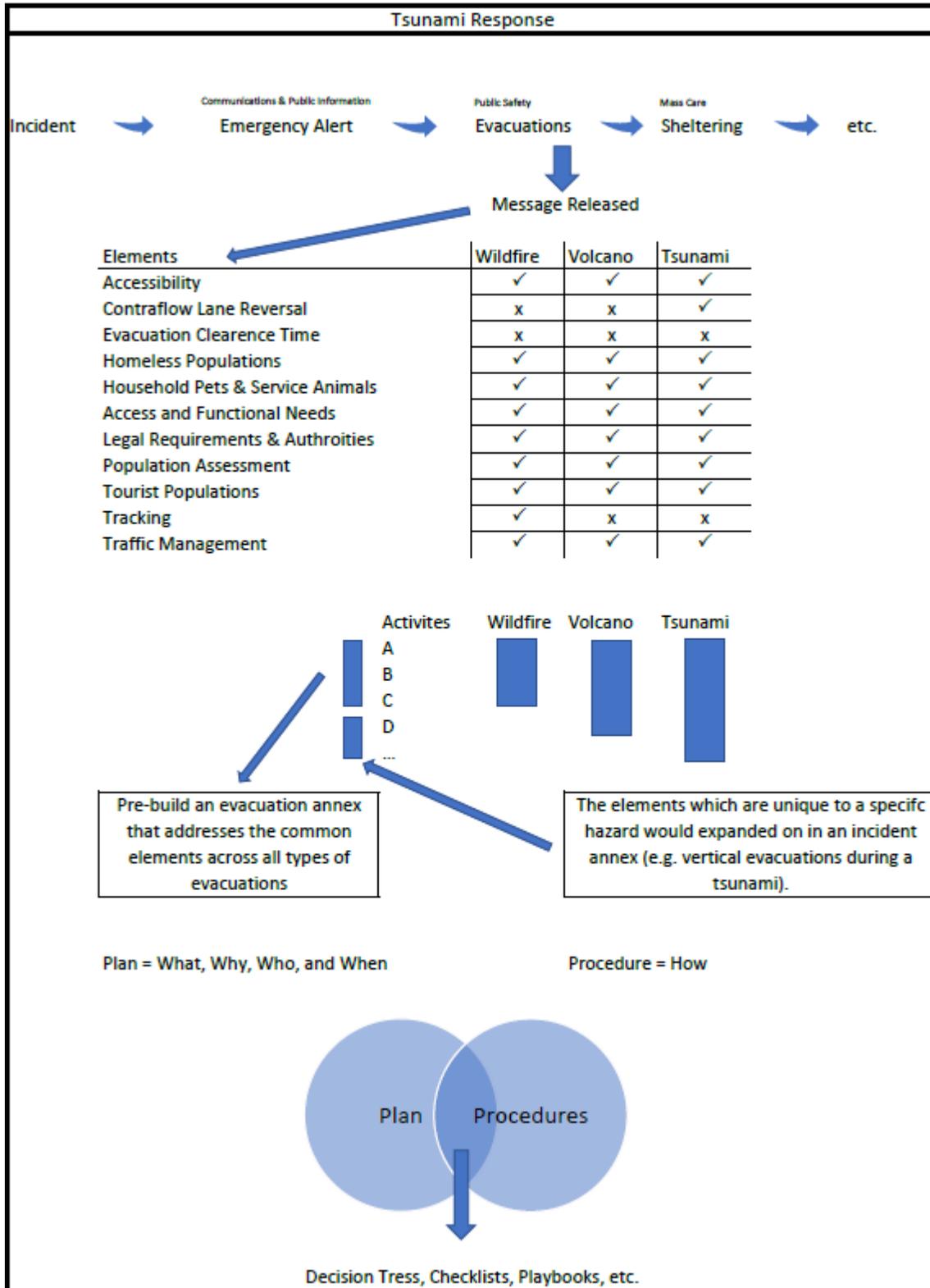
Planning uses a logical and analytical problem-solving process to help address the complexity and uncertainty inherent in potential hazards and threats. By following a set of logical steps that includes gathering and analyzing information, determining operational objectives, and developing alternative ways to achieve the objectives, planning allows a jurisdiction or regional response structure to work through complex situations. Planning helps a jurisdiction identify the resources at its disposal to perform critical tasks and achieve desired outcomes/target levels of performance. Rather than concentrating on every detail of how to achieve the objective, an effective plan structure outlines the methodology and responsibilities surrounding operations in the face of an uncertain and fluid environment. While using a prescribed planning process cannot guarantee success, inadequate plans and insufficient planning are proven contributors to failure.

Planning considers all hazards and threats. While the causes of emergencies can vary greatly, many of the effects do not. *Planners should address common operational functions in their Basic Plans. Certain hazards and threats may require additional plans (hazard- and threat-specific) to outline how the common operational functions outlined in the Basic Plan are altered or modified.* For example, floods, wildfires, HAZMAT releases, and radiological dispersal devices may lead a jurisdiction to issue an evacuation order and open shelters. Even though each hazard's characteristics (e.g. speed of onset, size of the affected area, etc.) are different, the general tasks for conducting an evacuation and shelter operations are the same. Planning for all threats and hazards ensures that, when addressing emergency functions, planners identify common tasks and those responsible for accomplishing the tasks.

Planning for hazard- and incident specific incidents must first identify the commonalities during all incident types. After a Core planning team is formed, workgroups are formed based on the specific hazard being addressed. This workgroup identifies the common activities that must be performed during an incident (e.g. evacuations, sheltering, etc.). These common activities then become the Key Tasks which must be performed regardless of a specific hazard. When these Key Tasks are aligned with objectives and goals then Courses of Action are established. Courses of Action are the basis for establishing operational plans.



The following figure represents the course of development for a hazard-specific plan. This development starts with the identification of those elements which are general, or common, components to identify an “All Hazards” Plan (looking through the lens of a tsunami evacuation). Following the separation of those common elements, hazard-specific plans can be written to address the unique conditions and considerations of each hazard.



Planning should be address catastrophic incidents (i.e. Catastrophic Incident Annex). Scalable planning solutions are the most likely to be understood and executed properly by the operational personnel who have practice in applying them. Planners can test whether critical plan elements are sufficiently flexible by exercising them against scenarios of varying type and magnitude. In some cases, planners may determine that exceptional policies and approaches are necessary for responding to and recovering from catastrophic incidents. These exceptional planning solutions should be documented within plans, along with clear descriptions of the triggers that indicate they are necessary.

Plans must clearly identify the mission and supporting goals (with desired results). More than any other plan element, the clear definition of the mission and supporting goals (which specify desired results/end-states) enables unity of effort and consistency of purpose among the multiple groups and activities involved in executing the plan. Every other plan element should be designed and evaluated according to its contributions to accomplishing the mission and achieving the goals and desired results.

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

Planning assumptions are an often misunderstood and misused element in planning. Planning assumptions are not:

- Actions that are to be taken
- A list of responsibilities or activities
- A place for disclaimers: “*blank* jurisdiction does not guarantee a perfect response”
- An overview of hazards

Planning assumptions are *assumptions* that have to be made in order to conduct planning. Two opposing examples are:

- Citizens will need to be 2-weeks ready due to constraints in procurement and delivery.
- Citizens are not 2-weeks ready; therefore, mass care services must be operational within 2-days following a large-scale incident.

Planning assumptions are not facts. If through future plan updates, an increase in a jurisdiction’s capabilities, or validation through real-world incidents or exercises they are

proven to be true, then they are no longer assumptions and should be moved elsewhere in the plan.

Planning includes senior officials throughout the process to ensure both understanding and approval. Potential planning team members have many day-to-day concerns but must be reminded that emergency planning is a high priority. Senior official buy-in helps the planning process meet requirements of time, simplicity, and level of detail. The more involved decision makers are in planning, the better the planning product will be. You can assist in informing your senior and elected officials through:

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

By participating throughout the planning process, senior officials will better understand how to implement the plan during an incident and make informed decisions that align with the outlined plan.

Effective plans tell those with operational responsibilities what to do and why to do it, and they instruct those outside the jurisdiction in how to provide support and what to expect. Plans must clearly communicate to operational personnel and support providers what their roles and responsibilities are and how those complement the activities of others. There should be no ambiguity regarding who is responsible for major tasks. This enables personnel to operate as a productive team more effectively, reducing duplication of effort and enhancing the benefits of collaboration.

Planners must keep in mind that you cannot assign responsibilities to agencies and organizations outside of the scope of the jurisdiction's authority. For example, a city can assign a responsibility to their public works department; however, they may not assign a responsibility to their county, state, or the federal government. Those outside entities should have responsibilities to **you** listed in **their** plans. If coordinating actions must be listed, assign the action to the local entity and mention the outside entity in the action itself - this removes the responsibility from being assigned to the outside agency while still including them in the coordination aspect.

Assigning a responsibility in a CEMP becomes legally binding when signed by a jurisdiction's political body. If a responsibility including an outside stakeholder is included, then those stakeholders must validate their role (including updates to the plan). Instead of assigning a responsibility, discuss how your jurisdiction coordinates (or supports if you are partners) with other stakeholders. A notable exception to this is when Mutual Aid Agreements are established.

Strategic, Operational, and Tactical Planning

There are three layers of planning: strategic planning, operational planning, and tactical (incident scene) planning. Strategic planning sets the context and expectations for operational

planning, while operational planning provides the framework for tactical planning. All three tiers of planning occur at all levels of government.

Strategic plans describe how a jurisdiction wants to meet its emergency management or homeland security responsibilities [typically] over 3-5 years. These plans are driven by policy from senior officials and establish planning priorities. Also, the plans should address how the jurisdictions are sustaining and maintaining the Core Capabilities.

CEMP Strategic Plan

The first component of a CEMP is a strategic plan, which is called the Basic Plan. The Basic Plan discusses common and overarching elements, and it also describes a jurisdiction's emergency management organization. The intended audience for the Basic Plan are senior and elected officials, department heads, and the public.

EMD Planners have created the CEMP Basic Plan Guidebook to assist in the development of the Basic Plan. The CEMP Basic Plan Guidebook can either serve as a reference for editing or modifying existing plans, or it can be used as a template. In either case, the information contained within meets established planning guidelines, and meets State and Federal legal requirements.

Operational plans provide a description of roles and responsibilities, tasks, integration, and actions required of a jurisdiction or its departments and agencies during emergencies. Jurisdictions use plans to provide the goals, roles, and responsibilities that a jurisdiction's departments and agencies are assigned, and to focus on coordinating and integrating the activities of the many response and support organizations within a jurisdiction. They also consider private sector planning efforts as an integral part of community-based planning, and to ensure efficient allocation of resources. Department and agency plans do the same thing for the internal elements of those organizations. Through the use of Critical Tasks, operational plans tend to focus more on the broader physical, spatial, and time-related dimensions of an operation; thus, they tend to be more complex and comprehensive, yet less defined, than tactical plans.

CEMP Operational Plans

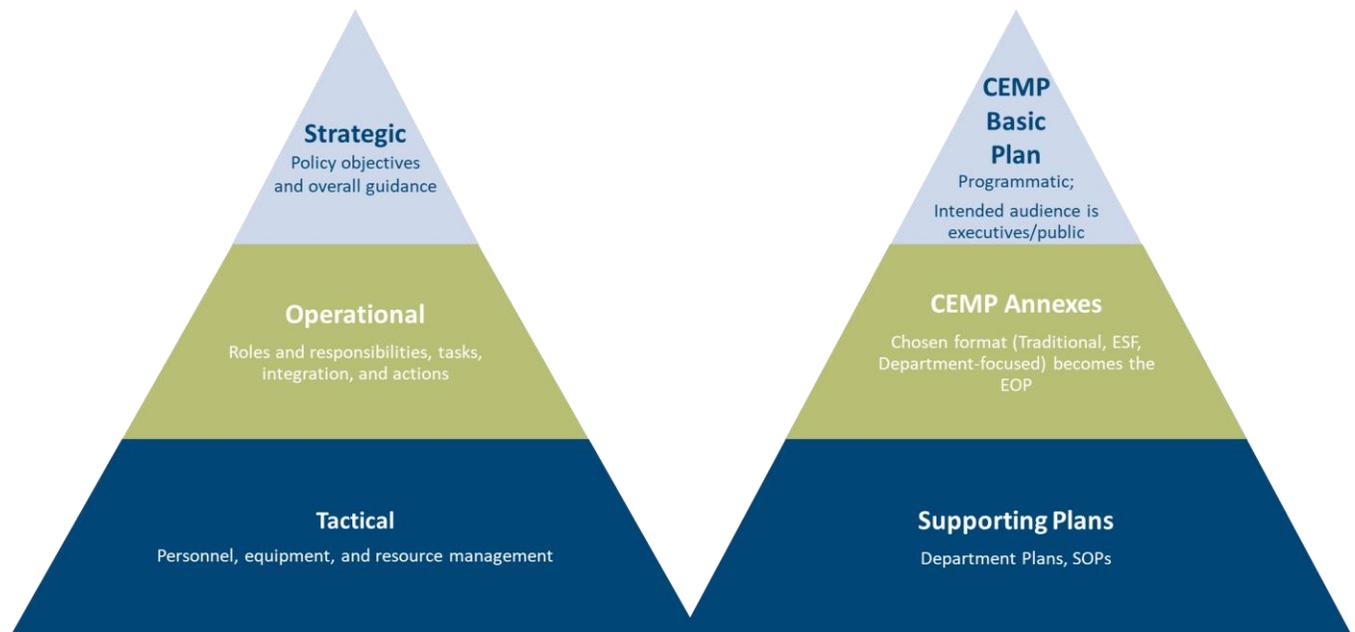
The second component of a CEMP are operational plans, which are called Support Annexes. Due to the unique and individual nature of how a jurisdiction operates, Support Annexes are challenging to prebuild. Templates are provided in this Guide, but they are minimal representations of what the final product will end up being. Typically, EMD Planners use these templates as a starting point because they provide the necessary structure to begin planning and are adaptable to jurisdictions of any size or capability.

Tactical plans focus on managing personnel, equipment, and resources that play a direct role in an incident response. Pre-incident tactical planning, based upon existing operational plans,

provides the opportunity to pre-identify personnel, equipment, exercise, and training requirements. These gaps can then be filled through various means (e.g., mutual aid, technical assistance, updates to policy, procurement, contingency leasing). During an incident, tactical plans include the creation and maintaining of the Incident Action Plan (IAP).

CEMP Tactical Plans

Common additions to CEMPs are Standard Operating Procedures (SOPs) and job aids, which are tactical plans. A common planning pitfall is to write a tactical-level plan without first writing strategic or operational plans. Planning must occur in a sequence or a multitude of problems can and will arise.



Planning Approaches

There are three primary approaches for planners to utilize during plan development and maintenance. These three approaches are described in CPG 101 v2:

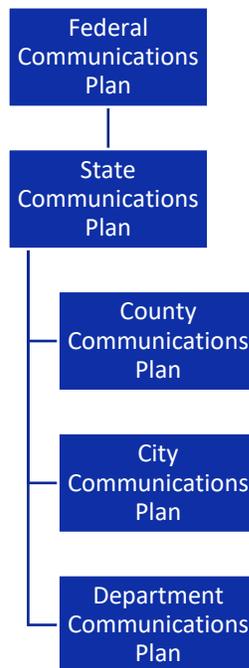
- Scenario-based planning. This approach starts with building a scenario for a hazard or threat. Then, planners analyze the impact of the scenario to determine appropriate courses of action. Exercise great caution with this method because while it can be a benefit to examine incidents that occurred and those which you have had experience with, this approach can lead away from All-Hazards planning by not addressing common elements that exist in all or most emergencies and disasters.
- Function-based planning (functional planning). This approach identifies the common functions that a jurisdiction must perform during emergencies. Function-based planning defines the function to be performed and some combination of government agencies and departments responsible for its performance as a course of action.

- Capabilities-based planning. This approach focuses on a jurisdiction’s capacity to take a course of action. Capabilities-based planning answers the question, “Do I have the right mix of training, organizations, plans, people, leadership and management, equipment, and facilities to perform a required emergency function?” Some planners view this approach as a combination of scenario- and function-based planning because of its “scenario-to-task-to-capability” focus.

This Guide focuses on using a combination of Functions- and Capabilities-based planning in order to match a jurisdiction’s actual capabilities to applicable Critical Tasks under a Core Capability. These Critical Tasks can then be subdivided into specific functions which become the “prompts” in Support Annexes for discussion with stakeholders regarding responsibilities.

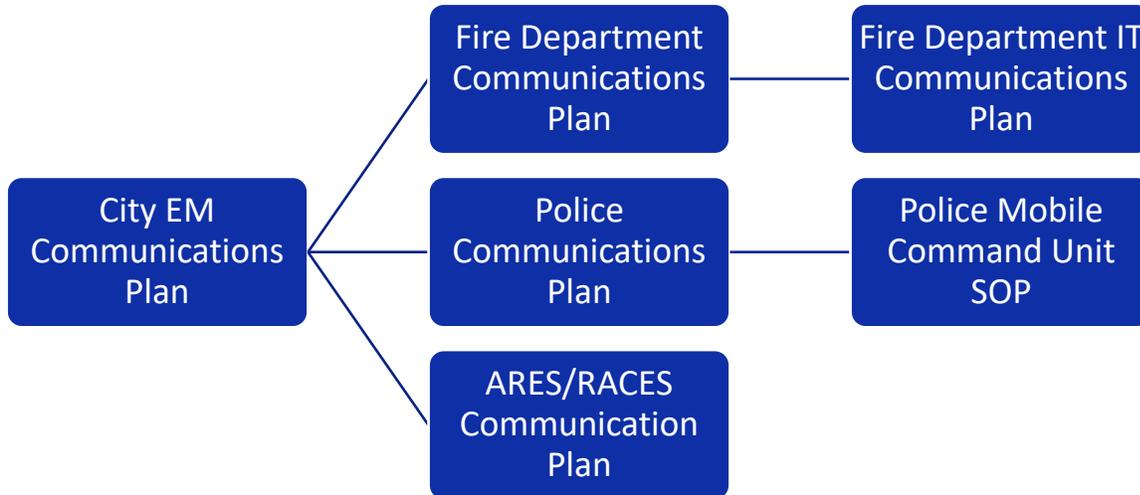
Plan Integration

Vertical integration is the meshing of planning both up and down the various levels of government. It follows the concept that the foundation for operations is at the local level and that support from Federal, state, territorial, tribal, regional, and private sector entities is layered onto the local activities.



Horizontal integration serves two purposes. First, it integrates operations across a jurisdiction. Horizontal integration allows departments and support agencies to produce plans that meet their internal needs or regulatory requirements and still integrate into the CEMP. Second, horizontal integration can assist with ensuring that a jurisdiction’s set of plans supports its neighboring or partner jurisdictions’ similar sets of plans. A jurisdiction’s plan should include

information about activities that it executes in conjunction with, in support of, or with support from its neighbors or partners



Common Planning Pitfalls and Unrealistic Plan Structures

The most common planning pitfall is the development of lengthy, overly detailed plans that those responsible for their execution do not read, review, revise, or participate in planning. A plan that tries to cover every conceivable condition or that attempts to address every detail will only frustrate, constrain, and confuse those charged with its implementation. At its most basic, a plan should say who is responsible for what actions/activities and then describe what operations look like to accomplish those actions/activities. Successful plans are simple and flexible.

Another major pitfall faced by planners is failing to account for the community's needs, concerns, capabilities, and desire to help. Often, plans are written based on the "average citizen" or mirror image of the planners. However, communities are diverse and comprise a wide variety of people, including those with access and functional needs, those requiring the support of service animals, and those who cannot independently care for themselves, such as children. This also includes diverse racial and ethnic populations and immigrant communities. Failing to base planning on the demographics and requirements of the particular community may lead to false planning assumptions, ineffective courses of action, and inaccurate resource calculations. Related to this pitfall is the notion that responders are the only people who can take action. ***The public often does the work before responders arrive.*** The community must be engaged in the planning process and included as an integral part of the plan.

Planning is not a theoretical process that occurs without an understanding of the community, nor is it a scripted process that tries to prescribe response actions with unjustified precision. Community-based plans provide a starting point for operations, adjusting as the situation dictates and as facts replace planning assumptions. Community profiles and population assessments are one of the most informative tools that can be used during any part of the planning process.

Lastly, avoid overuse of specific terms such as “critical” and “essential.” Currently, there is an overuse of these terms. There are specific terms that rely on those adjectives to establish their meaning in relation to guidance. For example, the term Critical Task refers to specific elements within Core Capabilities. The overuse of terms like critical and essential confuse existing terminology and also take away from the meaning of those terms (i.e. if everything is critical, then nothing is critical).

Using Planning Templates

Planners, particularly within EMOs with limited staff, recognize that the planning process demands a significant commitment of time, effort, and resources. To ease this burden, many planners and jurisdictions use templates to complete their plans. The Washington State Emergency Management Division has developed a template for the Basic Plan portion of the CEMP. This template (CEMP Basic Plan Guidebook) incorporates legal policies and established guidance to offer jurisdictions a tool to capture their jurisdiction’s Emergency Management Organization’s methods of operation. Other templates are currently being developed to address certain functions and to also provide structure for Support Annexes.

Planners must ensure that using templates does not undermine the planning process. For example, “fill-in-the-blank” templates can defeat the socialization, mutual learning, role acceptance, and buy-in that is critical in achieving effective planning and a performing a successful response. **The best templates are those that offer a plan format and describe the content that each section might contain, allowing for tailoring to the jurisdiction’s capabilities, and geographic, political, and social environment.**

Planning Considerations

The following planning considerations relate to the 5 Mission Areas and their associated Core Capabilities and Critical Tasks. It should be noted that all Mission Areas should have their own annex or plan, as well as relevant information contained within each Support Annex to describe how individual departments or agencies play a role in the Preparedness Cycle. With individual Support Annexes for each Mission Area, a CEMP can make the linkages across all of an emergency management program. Commonly, CEMPs primarily address the Response Mission Area in planning efforts and may only briefly describe the others.

The 5 Mission Areas

The 5 Mission Areas represent the scope of the Preparedness Cycle. Each Mission Area represents a unique planning environment that may require different combinations of stakeholders to adequately plan. Due to the manner in which many planning efforts came about in the past, these plans were not typically connected to the CEMP. For example, an anti-terrorism plan after 9/11; a plan to protect critical infrastructure after severe storm damage; plans to encourage development away from floodplains; and plans for the recovery of small businesses following a disaster. All of these (and many others) may be kept as separate plans by individual stakeholders because they do not understand the overarching connection that a CEMP is intended to provide. By gathering relevant information from all of these planning efforts a picture can be assembled to inform on the preparedness of a jurisdiction. The 5 Mission Areas explained:

Prevention consists of actions that reduce risk from human-caused incidents, primarily terrorism. Prevention planning can also help mitigate secondary or opportunistic incidents that may occur after the primary incident. Due to the sensitive nature of these plans, while still part of the CEMP, are not subject to public disclosure and can be protected.

For more information on the Prevention Mission Area, please consult [the National Prevention Framework](#).

Protection reduces or eliminates a threat to people, property, and the environment. Primarily focused on adversarial incidents, the protection of critical infrastructure and key resources (CIKR) is vital to local jurisdictions, national security, public health and safety, and economic vitality.

Included in these plans: Physical Protection Measures, Cybersecurity, etc.

Other places to find these plans: Private Sector, Private Security Firms, Public Works/Utilities, Engineering Firms, etc.

For more information on the Protection Mission Area, please consult the [National Protection Framework](#).

Mitigation, with its focus on the impact of a hazard, encompasses the structural and non-structural approaches taken to eliminate or limit a hazard's presence; peoples' exposure; or interactions with people, property, and the environment.

Included in these plans: Risk Assessments, Proposed Projects, Stakeholder Engagement, etc.

Other places to find these plans: Public Works/Utilities, Community Planning.

For more information on the Mitigation Mission Area, please consult the [National Mitigation Framework](#).

Response embodies the actions taken in the immediate aftermath of an incident to save and sustain lives, meet basic human needs, and reduce the loss of property and the effect on critical infrastructure and the environment.

For more information on the Response Mission Area, please consult the [National Response Framework](#).

Recovery encompasses both short-term and long-term efforts for the rebuilding and revitalization of affected communities.

Included in these plans: Recovery Support Functions (RSFs) as functions

Other places to find these plans: Business Continuity Plans

For more information on the Recovery Mission Area, please consult the [National Disaster Recovery Framework](#).

Core Capabilities

Core Capabilities enable organizations with jurisdictional authority or functional responsibility for an incident to support each other through the use of mutually developed incident objectives. Each participating agency maintains its own authority, responsibility, and accountability.

Each Core Capability contains between 1 to 4 Critical Tasks. Critical Tasks are the objectives that have to be accomplished in order to sustain the Core Capability. Critical Tasks provide a set of tools to accomplish different goals. Planners can use Critical Tasks to:

- Determine the elements that a plan should address
- Determine common participating stakeholders based on shared Critical Tasks
- Use as incident objectives on an ICS 202 form
- Determine areas for improvement in EMPG funding
- Determine exercise objectives
- Assess their capabilities

Core Capability and Critical Task descriptions are lengthy, one-sentence explanations, filled with prepositions. The importance of this is that they are intended to include all of the necessary elements in one connected thought to show their relationship. While reading one of these descriptions a planner or stakeholder may feel that it does not apply to them because they only participate in one or a few items listed; however, this is not the case. Some Critical Tasks may be accomplished by a single stakeholder, while for other it may take several stakeholders contributing to complete a single critical task.

Core Capability by Mission Area

Prevention	Protection	Mitigation	Response	Recovery
Planning				
Public Information and Warning				
Operational Coordination				
Intelligence and Information Sharing		Community Resilience	Infrastructure Systems	
Interdiction and Disruption			Critical Transportation	Economic Recovery
Screening, Search, and Detection			Environmental Response/ Health and Safety	Health and Social Services
Forensics and Attribution	Access Control and Identity Verification	Long-term Vulnerability Reduction	Fatality Management Services	Housing
	Cyber Security	Risk and Disaster Resilience Assessment	Fire Management and Suppression	Natural and Cultural Resources
	Physical Protective Measures	Threats and Hazards Identification	Logistics and Supply Chain Management	
	Risk Management for Protection Programs and Activities		Mass Care Services	
	Supply Chain Integrity and Security		Mass Search and Rescue Operations	
			On-scene Security, Protection, and Law Enforcement	
			Operational Communications	
			Public Health, Healthcare, and Emergency Medical Services	
			Situational Assessment	

Format and Function: Identifying the Right Plan for the Job

Overview

The following sections discuss:

- The role of the Washington State CEMP
- What a CEMP should contain and discuss
- What formatting structures exist for Support Annexes
- The use of templates

Washington State Comprehensive Emergency Management Plan

The State CEMP is the framework within which local CEMPs are created and through which the Federal Government becomes involved. As such, the State CEMP ensures that all levels of government are able to mobilize in a unified way to safeguard the well-being of its citizens. The State CEMP should synchronize and integrate with local, tribal, and regional plans.

The Washington State CEMP plays three major roles:

- Assisting local jurisdictions whose capabilities must be augmented or are overwhelmed by an emergency
- Working with the Federal Government when Federal assistance is necessary.
- Outlines the statewide emergency management program.

Local Comprehensive Emergency Management Plans

A CEMP should address all 5 Mission Areas to create a linkage to the National Preparedness System and Goal. Local CEMPs should also be largely consistent¹ with county and state plans. A CEMP also discusses several operational response functions and describes how to fulfill its mission of providing resources to satisfy unmet needs. These functions focus on actions, such as direction and control, warning, public notification, and evacuation, that the local government must take during the initial phase of response operations and that fall outside of the county and state response mission. Thus, they are not appropriate for inclusion in those response plans except at high levels to provide for consistency and support. Local jurisdictions should work with their county and state to clearly delineate roles, responsibilities, and structures as required. Much of the information outlined within this section focuses on the Response Mission Area, which is what the majority of CEMP and Support Annexes currently focus on; however, a CEMP should incorporate all 5 Mission Areas.

At a minimum the Response portion of the CEMP describes what the local government will do when conducting emergency operations. The CEMP:

¹ Consistency with the State is a requirement listed in Title 38.52 of the Revised Code of Washington.

- Identifies the departments and agencies designated to perform activities and specifies tasks they must accomplish. Additionally, it assigns responsibility to organizations and individuals for carrying out specific actions that exceed routine responsibility at times and places during an emergency
- Outlines the integration of assistance that is available to local jurisdictions during disaster situations that generate emergency needs beyond what the local jurisdiction can satisfy
- Specifies the direction, control, and communications procedures and systems that will be relied upon to alert, notify, recall, and dispatch emergency response personnel; warn the public; protect residents and property; and request aid/support from other jurisdictions
- Describes the logistical support for planned operations. Also, it identifies personnel, equipment, facilities, supplies, and other resources available within the jurisdiction or by agreement with other jurisdictions
- Sets forth lines of authority and organizational relationships and shows how all actions will be coordinated
- Describes how people (including unaccompanied minors, individuals with disabilities, others with access and functional needs, and individuals with limited English proficiency) and property are protected.
- Identifies Prevention Mission Area Activities related to Response (i.e. terrorism related-Response actions)
- Identifies Protection Mission Area activities related to Response (e.g. COOP/COG implementation)
- Describes the transition into Recovery.

The Basic Plan Structure

The Basic Plan provides an overview of the jurisdiction’s approach to emergency operations. It identifies emergency response policies, describes the response organization, and assigns tasks. Although the basic plan guides the development of the more operationally oriented annexes, its primary audience consists of the jurisdiction’s senior official(s), their staff, agency/department heads, and the community (as appropriate and feasible). For additional information regarding the sections to include and the content that they should contain, consult the CEMP Basic Plan Guidebook (Attachment 1) and the Tiered CEMP Evaluation Checklist (Attachment 2).

No matter the format chosen, a Basic Plan should stay the same in format and content due to its macro/high-level scope. The following is the recommended structure for a Basic Plan to ensure consistency with laws and guidance:

Introduction (may also contain: Purpose/Mission/Scope) – states the mission of emergency management and the purpose for planning through the CEMP.

Concept of Operations – discusses Whole Community engagement, leadership’s intent through the description of operational objectives, and EOC/ECC activation levels. This section should also discuss the 3 shared Core Capabilities.

Direction, Control, and Coordination – discusses the horizontal and vertical integration of other planning efforts. This section should also discuss the 12 Response Core Capabilities.

Organization – discusses organizational chains of command and includes diagrams.

Responsibilities – identifies common activities performed by generalized groups, according to the Mission Areas of emergency management.

Communications – discusses the local communications strategy and the integration of Whole Community (i.e. LEP, AFN, ADA, etc.). This section should also discuss the Limited English Proficiency (LEP)² requirements and reporting.

Administration – identifies essential records, the documentation processes, and the retention and/or preservation of documentation.

Finance – explains the different financial assistance programs available in a disaster, the triggers for activation of those programs, and the local cost recovery process through expenditure documentation.

Logistics – describes the methodology of and organizations involved in resource procurement, request process, and any known gaps.

Development and Maintenance – discusses the CEMP review process, the planning process, maintenance schedule, and the development of After-Action Reports to improve upon the CEMP.

Supporting Annex Structure

While the basic plan provides broad, overarching information relevant to the CEMP as a whole, these annexes focus on operational functions and clearly state who is responsible for carrying out specific activities. Additionally, these annexes describe the policies, processes, roles, and responsibilities that agencies and departments carry out before, during, and after any incident.

An early and very important planning task is to identify the functions that are essential in performing a successful emergency response. These core functional areas become the subjects of the separate functional, ESF, or department-focused annexes and are addressed within the Responsibilities section of the annex.

² LEP requirements for the Communications Section are outlined in Title 38.52.070 of the Revised Code of Washington

Supporting Annexes should use a subset of the structure provided by the Basic Plan. Functional, ESF, and Department-focused annexes add specific information and direction to the CEMP to provide a mechanism that allows for operations to be coordinated.

Annex formatting/structuring should be based on the sections provided in the Basic Plan. The following is a recommended format structure for Annexes, based on the suggested formatting of a Basic Plan:

Introduction – states the purpose of this annex. This section should also introduce the Core Capabilities which this annex is concerned with.

Policies – lists and briefly explains what ordinances, laws, policies, and regulations support or dictate this annex’s operations.

Situation – describes the specific concerns of a jurisdiction, and what this annex’s departments should pay attention to hazards and conditions.

CONOPS – describes the goals or outcomes for this annex. Also describes what the incident management process looks like by providing a sequence of operations from start to finish. This section should also introduce the Critical Tasks which are used to achieve the Core Capabilities.

Direction, Control, and Coordination - provides information on how department and agency plans nest into support annex (horizontal integration) and how higher-level plans are expected to layer on the support annex (vertical integration).

Information Collection, Analysis, and Dissemination – describes the critical or essential information needed, the source of the information, who uses the information, how the information is shared, the format for providing the information, and any specific times the information is needed. This section should include information on:

- *Information Collection* – the process of gathering Essential Elements of Information (EIs)
- *Information Analysis* – the process the information collected goes through to verify accuracy of the information and any details necessary to inform operations and decision-making
- *Information Dissemination* – the process this support annex takes to share the information once it has been verified and analyzed (e.g. the ESF shares the information with the Operations Section Chief in the SEOC and the ESF 15/PIO, or Situation Unit in the Planning Section if applicable).

Responsibilities – lists what specifically this annex does to accomplish its goals and operational objectives by describing the actions and activities taking place by individual or

multiple departments, agencies, and/or stakeholders. All responsibilities should be linked to Core Capabilities and Critical tasks to link them to the Preparedness System.

Resource Requirements – Lists and describes what equipment, resources, and trainings the departments need to possess to accomplish its goals.

Supporting References and Guidance – what plans, or procedures, already exist to support this annex; where could this annex turn to for answers or guidance (e.g. SOPs, regional plans, other plans, etc.).

Terms or Definitions – what technical information was discussed that may need additional clarification. Do not include those listed in the Basic Plan; if technical terms are included in the Basic Plan, but only appear in a single Support Annex, then consider moving them to this section in the appropriate annex.

Hazard-, Threat-, or Incident-Specific Annexes

The contents of hazard-, threat-, or incident-specific annexes focus on the special planning needs generated by a specific hazard. These annexes contain unique and regulatory response details that apply to a single hazard. These annexes also require a prioritization of functions and actions based on the unique demands of the hazard.

Hazard-, threat-, and incident-specific annexes usually identify hazard-specific risk areas and evacuation routes, specify provisions and protocols for warning the public and disseminating emergency public information, and specify the types of protective equipment and detection devices for responders. The annexes may have tabs that serve as work aids for items including maps, charts, tables, checklists, resource inventories, and summaries of critical information. These annexes follow the Basic Plan and Support Annex structure listed previously. Hazard-specific operations information is typically provided in the CONOPS section, and includes:

- Identification of triggers³
- Assessment and control of the hazard
- Identification of unique Prevention and CIKR Protection activities to be undertaken to address the hazard or threat, as appropriate
- Selection of protective actions
- Conduct of public warning
- Implementation of protective actions
- Implementation of short-term stabilization actions
- Implementation of recovery actions.

It is important to remember the pitfalls involved in these types of annexes:

³ Triggers are certain conditions which have been predetermined to initiate specific actions. For example, a wildfire that approaches within 10 miles of jurisdiction may prompt officials to issue mandatory evacuation notices.

- A hazard specific annex which discusses a function such as evacuations should reference **existing plans** which detail evacuations. The hazard specific annex would then only need to discuss how evacuations are different and/or affected by this specific hazard
- Job aids cannot exist without a plan from which they were developed

Annex Job Aids

Each annex, as well as the basic plan, may include attachments in the form of SOPs, maps, charts, tables, forms, and checklists. The planning team may use supporting documents, as needed, to clarify the contents of the plan or annex. For example, the evacuation annex may be made clearer by attaching maps marked with evacuation routes to it. Because these routes may change depending on the location of the hazard, hazard-specific maps may also be included in the evacuation annex. Similarly, the locations of shelters may be marked on maps supporting the mass care annex.

Developing Support Annexes

While the causes of emergencies vary greatly, their potential effects do not. Jurisdictions can plan for effects common to several hazards rather than develop separate plans for each hazard. For example, earthquakes, floods, and hurricanes can all force people from their homes. The jurisdiction can develop a plan organized around the task of finding shelter and food for individuals who have been displaced. Organizing around tasks, common responsibilities, and capabilities helps ensure a plan is operational instead of tactical.

This section outlines a variety of formats that a jurisdiction could use when developing a CEMP, including a **functional format**, an **ESF format**, and an **agency-/department-focused format**. These formats can all easily integrate with one another and do not rely on specific formats used at varying levels. A city jurisdiction can use a Functional format, the county use a Department format, and the State can use an ESF format and all still integrate vertically using core capabilities.

The planning team must try to identify all common tasks or functions that participating organizations must perform and assign responsibility for accomplishing each task or function. Because the jurisdiction’s goal is a coordinated and integrated response, all CEMP styles should flow from a basic plan that outlines the jurisdiction’s overall emergency organization and its policies.

As the planning team begins to develop a new CEMP or rewrite an existing one, members must discuss which format is the most effective for and applicable to their jurisdiction. In short, “form follows function” in the sense that operational needs should help determine the CEMP format a jurisdiction uses.. Despite the format chosen, the Basic Plan portion of the CEMP should not necessarily have to be different, aside from the unique jurisdictional capabilities and capacities. Most Basic Plans are written in such a way as to be just independent enough of the Support Annexes to apply equally to any of the three formats. It is important to keep in mind

that, despite the format chosen, the ultimate goal is to choose a structure that enables your jurisdiction to conduct emergency management in the most effective and efficient manner; these format are simply a way to arrange responsibilities in a way that most closely resembles how you will conduct operations during an incident.

Functional Format

Functional Support Annexes are characterized by separate annexes which address specific functions. For example, there might be Support Annexes for Search and Rescue, Damage Assessment, and Volunteer and Donations Management to name a few. Also, several groups of functions may be grouped together because of unique relationships that they commonly share. Within each Support Annex the various departments who play a role in the activities performed are listed with their specific responsibilities.

Pros	Cons
Works well for smaller jurisdictions with limited capacity either due to personnel or resource limitations.	There are many functions that could have annexes, potentially leading to an overwhelming number of annexes for those who do not plan appropriately.
Clearly defines how specific functions will be accomplished and who has a role in the activities	Careful attention must be paid to the information that goes into each annex when discussing capabilities and responsibilities. A change to a single department could result in all annexes having to be edited to reflect the change.
Response activities can be customized through the selection of annexes which apply to the emergency or disaster. For example, a wildfire has caused an evacuation. The Fire Services, Emergency Public Information, Mass Care, and Evacuation annexes are chosen to start the initial response.	

Emergency Support Function (ESF) Format

The ESF format is one of the most commonly used formats in Washington State. Unfortunately, it is also one of the most misunderstood and therefore misused formats. ESFs work by grouping functions which have similarities and dependencies, then determining which agencies are primary and supporting through either their abilities to accomplish the function, or if they are mandated through policy. This structure can unfortunately lead to confusion for jurisdictions who are smaller in size and also lack the need for the coordinating structure that an ESF could provide. Since this format can present an actual hinderance to planning and operations, the following example is given to illustrate why the ESF format is not a good fit for everyone.

Example: A small incorporated town of approximately 7000 residents and 50 city employees is tasked to create a CEMP. Seeing only examples of ESFs they decide to use this structure for their Support Annexes. Using the 15 ESFs that are presented in the NRF they have proposed to potentially use 30% of their available staff to fill the roles of these functions.

What happens based on case studies: The newly implemented plan is found to be impractical and unfeasible. When the EOC is activated 3 or 4 people show up from the larger city departments to fill multiple ESF roles. The ESFs end up being written with a single department in mind without the consideration of the listed support agencies. The point and value of an ESF structure has no applicability to them. The CEMP now sits on a shelf and is only pulled down to update for their mandatory review cycle.

The solution: For a jurisdiction this size they should employ either a functional or department focused Support Annex structure. Under this structure, the EOC participants understand their role more clearly because it is not obscured in an unnecessary layer of complication. It is worth noting that what is found most often is that when the ESF Annexes are written they are constructed around the capabilities and responsibilities of a specific department. So, when the plan is implemented they are more closely resemble that of a functional or departmental structure.

The example that was used does not only apply to smaller jurisdictions; it is only more visible at that level. Department structures can be effectively scaled from the lowest level to the State’s level. Emergency Support Functions only true value is if they are followed exactly as intended with little to no deviation and if constant coordination is kept between the coordinating, primary, and support agencies. For most this is impractical. Lastly, it is important to keep in mind that ESFs are not solely attributed to any one organization, nor are they mechanisms for executing an agency’s statutory authorities. If a jurisdiction is able to manage these hurdles then ESFs can represent an effective mechanism for Response.

Pros	Cons
Useful for coordinating a large number of agencies, departments, and organizations using a small number of people.	Is not useful for smaller jurisdictions with limited resources.
If done correctly, it can help facilitate relationship building.	If done incorrectly, it creates plans that are written in silos.

Department Format

The Department format is one in which each department or organization has its own Support Annex. Other than the typical Public Works, Fire Services, and Emergency Management departments that are easily thought of an understood, there can be a unique home for entities which may have previously not been engaged or sufficiently included in planning. Unique

Support Annex examples include: Coroner, 911 agencies/departments, IT departments, COAD/VOADs. These are only a few examples because a department’s responsibilities and the variety of stakeholder representation within neighboring jurisdictions can be quite different.

The true value of a Department-focused Support Annex structure is that you can align your jurisdiction’s day-to-day operations mentalities to be an operational component of your CEMP. An additional benefit of this structure is that now a department can truly own their own plan instead of having to discuss how 10 other departments may support their actions.

This structure works for the simple reason that it aligns to how people think. A Public Works director may not think of themselves as ESF 3 and therefore miss out on all of the coordination of which it involves; however, they most certainly think of themselves as the Director of Public Works. If you were then just to ask the Director to talk about their own department instead of additional departments on top of that, you might find that you have a much more willing and engaged partner.

It is important to remember that often emergency managers must consider subjects holistically while concurrently understanding the linkages between and across functions and that this method of thinking is not always shared by those whom you are working with to create these plans. Some emergency managers may like to work across all sectors to create the linkages that create good plans, but maybe the particular stakeholder you are working with only wants to coordinate animal response and is only interested in assisting with that responsibility. It may prove to be pointless and counterproductive in trying to make them responsible for anything beyond the scope of animal response, but that is why Department and Functional formats will work when ESFs would not.

Pros	Cons
Stakeholders can easily understand their roles when the Support Annex is their own.	The creation of the Support Annex can initially be more labor intensive.
Creates a sense of ownership and buy-in to the CEMP.	May create duplicate plans if the departments already have a similar plan.
Easily aligns day-to-day activities and responsibilities to those encountered during an emergency or disaster.	

The Support Annex Planning Process

Overview

There are several ways to produce a Support Annex. The planning process that follows is the result of a detailed study into Core Capabilities, The National Planning Frameworks, and CPG

101 v2. The process that has been developed is considered by WA EMD to be an ongoing and continuous process. As new guidance is developed, new laws promulgated, and best practices furthered, this Guide is intended to be revised to reflect these changes. The steps outlined in this section are a reflection of a growing need to see improvement in our State's planning efforts at all levels. This section is a modified version of the 6 Step Planning Process outlined in CPG 101 v2.

Steps in the Support Annex Planning Process

Step 1: Form a Collaborative Planning Team

Experience and lessons learned indicate that operational planning is best performed by a team. Using a team or group approach helps organizations define the role they will play during an operation. Case studies and research reinforce this concept by pointing out that the common thread found in successful operations is that participating organizations have understood and accepted their roles. In addition, members of the planning team should be able to understand and accept the roles of other departments and agencies. One goal of using a planning team is to build and expand relationships that help bring creativity and innovation to planning during an incident. This approach helps establish a planning routine, so that processes followed before an incident occurs are the same as those used during and following an incident. A jurisdiction might want to base the core planning team's membership on the CEMP structure it uses.

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

- Emergency management
- Law enforcement
- Fire services
- EMS
- Public health
- Hospitals and health care facilities
- Public works
- Utility operators
- Education
- Agriculture
- Animal control
- Social services
- Childcare, child welfare, and juvenile justice facilities (including courts)
- National Guard
- Private sector

- Civic, social, faith-based, educational, professional, and advocacy organizations (e.g., those that address disability and access and functional needs issues, children’s issues, immigrant and racial/ethnic community concerns, animal welfare, and service animals).

Step 2: Understand the Situation

Effective risk management depends on a consistent comparison of the hazards that a particular jurisdiction may experience. This is typically performed through a threat/hazard identification and risk assessment process that collects information about threats and hazards and assigns values to risk for the purposes of determining priorities, developing or comparing courses of action, and informing decision making. Depending on the resources available and leadership, a jurisdiction could conduct an in-depth process—cataloging everything from specific asset vulnerabilities to emergency personnel staffing levels. Often, however, this level of analysis is not possible or practical; in such cases, jurisdictions should conduct a risk assessment of achievable and appropriate scale and scope.

Access and Functional Needs

Understanding the consequences of a potential incident requires gathering information about the access and functional needs of residents within the community. To begin planning, jurisdictions must have an accurate assessment—an informed estimate of the number and types of individuals with disabilities and others with access and functional needs residing in the community. Emergency planners should base their assessments on lists and information collected from multiple relevant sources, such as:

- U.S. Census data
- Utility providers
- Social services listings (e.g., dialysis centers, Meals on Wheels)
- Congregate settings (e.g., nursing homes, summer camps)
- Paratransit providers
- Schools and universities
- Bureau of motor vehicles (accessible parking permit holders)
- Medicaid
- Centers for Independent Living
- Hospitals
- Home health agencies
- Daycare centers (for children or senior citizens)
- Vocational rehabilitation and job access services
- Places of worship
- Disability services providers
- Homeless shelters
- Health or behavioral health agencies

- Housing programs.

For more information on the [Whole Community](#) and how it can inform planning during this step follow the link.

Step 3: Determine Goals and Objectives

Now that the planning team is formed, and the hazards identified, it is time to consider how a jurisdiction can best operationalize their capabilities. CPG 101 v.2 recommends three ways of detailing and organizing this information into an operational plan:

Step 4: Plan Development

Step 4 - [Functional Annexes](#)

Step 4 - [Emergency Support Function \(ESF\) Annexes](#)

Step 4 - [Departmental-focused Annexes](#)

Click on the Support Annex format you wish to use to be directed to that page.

Functional Support Annex Development

Functional annexes document the methods, procedures, and actions of critical operational functions.

Step 4: Plan Development

In order to best manage the process of annex development involving functions it is advised to categorize the functions under related groups. For example:

- Population Protection
- Resource Management
- Critical Infrastructure

Creating these categories can assist with grouping functions together which share various similarities. It can also aid in the formation of planning teams that share common roles and responsibilities.

Example functional areas:

Alerts & Warning	Debris Removal	Water Treatment & Provision	Sanitation	Supply Chain Restoration	Power Restoration
Decontamination	Body Recovery	Mortuary Services	Victim Identification	Structural Firefighting	Resource Management
Sheltering	Resource Distribution	Relocation Assistance	Rescue Operations	Search Operations	Securing Disaster Areas
Emergency Medical Services	Resource Tracking	Delivering Situation Reports	Evacuation	Continuity Planning	Protecting Sensitive Information
Airspace Management	Bereavement Counseling	Family Reunification	Wildland Firefighting	Donations Management	Emergency Power Provisioning
Data Communications	Voice Communications	Medical Surge	Information Analysis	HazMat Clean-up	Feeding
Synchronizing Operations	Infrastructure Assessments	Triage & Initial Stabilization	Hydration	Volunteer Management	Access & Re-Entry

Using the Functional Areas Development Sheets

The Functional Areas Development Worksheets (Attachment 3) represent a list of required functions that are necessary to accomplish/participate in to complete a Core Capability's Critical Task(s). The functions listed in the worksheet are **not** an all-inclusive list of every function that can be identified, only those that have previously been established in guidance.

1. With your planning team gathered, begin to discuss which functional areas should be explored for the session (e.g. Sheltering, Donations Management, Emergency Medical Services, etc.).
2. Begin with the first Worksheet and discuss each individual function presented and determine if it is being addressed in this annex. Mark each function that is being accomplished.
3. Continue through all Worksheets.
4. Reexamine each of the functions that are indicated to be accomplished and determine which Critical Task(s) they most closely align to. *Special considerations may come up in the discussion that may affect which if any they apply to.*
5. Based on the functions indicated and the Critical Tasks identified, determine if the Core Capability is Primary or Supporting.

When using the Worksheets, it may be difficult to think of ways in which the functions are accomplished. To assist with this, definitions are provided at the bottom to provide guidance on what each function entails.

When filling in the activities/actions under each function, it can be helpful to ask yourself the following questions:

- What is the action?
- Who is responsible for the action?
- When should the action take place?
- How long should the action take and how much time is actually available?
- What has to happen before?
- What happens after?
- What resources does the person/entity need to perform the action?

Keep in mind that not all Core Capabilities will apply to every function. Also, some may include only a few functions, while others will may include everything on the Worksheet. If you come across a function that you should be performing but are currently not (lack of resources/capabilities) then you have identified a gap. Gaps such as these should be included in the plan to point this out.

Using the ESF Templates and ESF Scoping Documents

The ESF Templates and Scoping documents included in this guide can serve as a useful

reference tool. These two documents include the responsibilities listed in CPG 101's ESF sections. Using this information, the planning team can see sample activities and actions that should be addressed in specific annexes. For example, if the planning team were creating a Sheltering Annex then you could reference ESF 6 and ESF 8 for the types of responsibilities to include.

Emergency Support Function Annex

ESF annexes are the categorization of common incident functions based on similar resources. They can also be thought of as an enhancement of the functional approach.

Step 4: Plan Development

Support Annexes which use ESFs to organize their functions and resources can be extremely complex and hard to work with. It is not advised to use this method if your leadership and stakeholders are not supportive of your emergency management organization. This method also requires a high-level of commitment on the part of the agencies/departments that are chosen as Coordinating and/or Primary agencies.

Using the National Response Framework (2016)

The functions identified in the National Response Framework (2016) for each ESF have been included in the Concept of Operations section. Depending on the unique way your jurisdiction operates, additional functions may be identified.

Using the Comprehensive Preparedness Guide 101 v2

The responsibilities outlined in CPG 101 for each ESF have been identified and included in each annex's Responsibility sections. Also, additional information outlined in CPG 101 has been added to specific sections of certain ESFs.

Using the ESF Templates

Each ESF Template has come prepopulated with content from the above-mentioned guidance. By gathering the appropriate stakeholders for each ESF, planners can begin following the prompts within each section to determine the appropriate input.

When filling in the activities/actions under each prompt in the Responsibility section it can be helpful to ask yourself the following questions:

- What is the action?
- Who is responsible for the action?
- When should the action take place?
- How long should the action take and how much time is actually available?
- What has to happen before?
- What happens after?
- What resources does the person/entity need to perform the action?

Departmental Support Annex

Agency/Department annexes describe the capabilities and limitations of each specific entity involved in an incident.

Step 4: Plan Development

Department-focused annexes may prove to be one of the easiest and preferred methods of planning for most jurisdictions. Instead of gathering a wide and varied group of stakeholders to discuss coordination, determine who is a primary and secondary, and determine each stakeholder's responsibilities, a planner can meet with a single department or agency and write an annex. Additionally, updating the plan is easier as it involves fewer stakeholders to coordinate meetings with. Lastly, you may find that an annex which is focused on an agency/department creates more buy-in than one that involves a stakeholder having to determine the coordination of actions and resources which are not their own.

Note: This does not circumvent Whole Community Involvement in the planning process because as organizations, groups, and individuals are identified through the selection of functions, they can be brought into the planning process to provide specific information and provide input.

Using the Functional Areas Development Worksheets

The Core Capability Development Worksheets represent a list of required functions that are necessary to accomplish/participate in to complete a Core Capability's Critical Task(s). This list is **not** an all-inclusive list of every function that can be identified, only those that have previously established in guidance.

1. With the department planning team gathered, begin with the first Worksheet and discuss each individual function presented and determine if it is currently being accomplished by the agency/department. Mark each function that is being accomplished.
2. Continue through all Worksheets.
3. Reexamine each of the functions that are indicated to be accomplished and determine which Critical Task(s) that they most closely align to. *Special considerations may come up in the discussion that may affect which, if any, they apply to.*
4. Based on the functions indicated and the Critical Tasks identified, determine if the Core Capability is Primary or Supporting.

When using the Worksheets, it may be difficult to think of ways in which the functions are accomplished. To assist with this, definitions are provided at the bottom to provide guidance on what each function entails.

When filling in the activities/actions under each function it can be helpful to ask yourself the following questions:

- What is the action?

- Who is responsible for the action?
- When should the action take place?
- How long should the action take and how much time is actually available?
- What has to happen before?
- What happens after?
- What resources does the person/entity need to perform the action?

Using the ESF Templates and ESF Scoping Documents

The ESF Templates and Scoping documents included in this guide can serve as a useful reference tool. These two documents include the responsibilities listed in CPG 101's ESF sections. Using this information, the planning team can see sample activities and actions that should be addressed in specific annexes. For example, if the planning team were discussing the Fire Departments responsibilities then they could reference ESF 4 for the types of responsibilities to include.

Step 5: Plan Preparation, Review, and Approval

This step turns the results of the function identification into a Support Annex. The planning team develops a rough draft of the functional annexes adding necessary tables, charts, and other graphics. The planning team prepares and circulates a final draft to obtain the comments of organizations that have responsibilities for implementing the plan.

1. Insert the Core Capabilities and their description into the Purpose section of the Support Annex.
2. Insert the Critical Task(s) and their descriptions into the Concept of Operations section of the Support Annex.
3. Insert the functions that were identified in the Worksheets into the Responsibilities section of the Support Annex. Insert several blank rows under each function to provide space for activities/actions to be inserted.
4. Insert the actions and activities that are conducted.
5. Determine which Core Capabilities and Critical Tasks those actions apply to.
6. Once the Support Annex is complete review the annex with your leadership and anyone listed with a responsibility. Also make sure to review it with anyone who is covered under the plan (i.e. special districts, political subdivisions, etc.).

Step 6: Plan Implementation and Maintenance

Training

After developing an annex it must be disseminated and managers must be required to train their personnel so they have the knowledge, skills, and abilities needed to perform the tasks identified in the plan. Personnel should also be trained on the organization-specific procedures necessary to support those plan tasks.

Exercise the Plan

Evaluating the effectiveness of plans involves a combination of training events, exercises, and real-world incidents to determine whether the goals, objectives, decisions, actions, and timing outlined in the plan led to a successful response.

Review, Revise, and Maintain the Plan

This step closes the loop in the planning process. It focuses on adding the information gained by exercising the plan to the research collected in Step 2 and starting the planning cycle over again. Remember, planning is a continuous process that does not stop when the plan is published. Plans should evolve as lessons are learned, new information and insights are obtained, and priorities are updated.

Appendices

Appendix A – Core Capability Development Sheets

Appendix B – ESF Scoping

Attachments

Attachment 1 – CEMP Basic Plan Guidebook

Attachment 2 – Tiered CEMP Evaluation Checklist

Attachment 3 – Functional Areas Development Worksheet

Attachment 4 – Functional Support Annex Template

Attachment 5 – ESF Support Annex Templates

Attachment 6 – Department-focused Support Annex Template

Attachment 7 – Planning & Technical Assistance Flyer