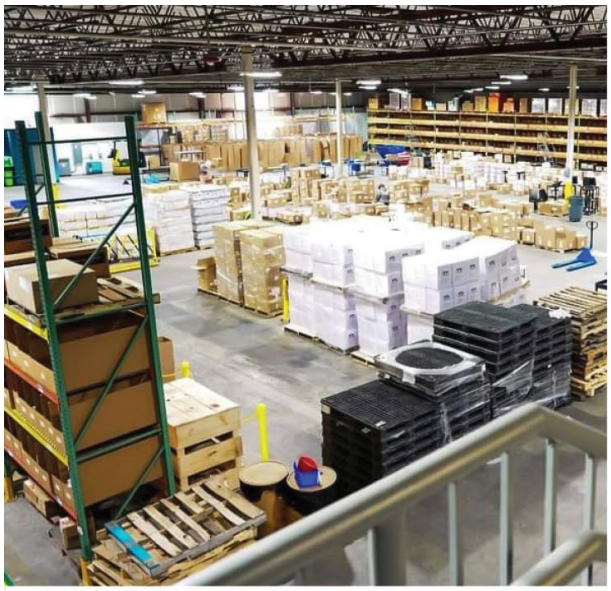
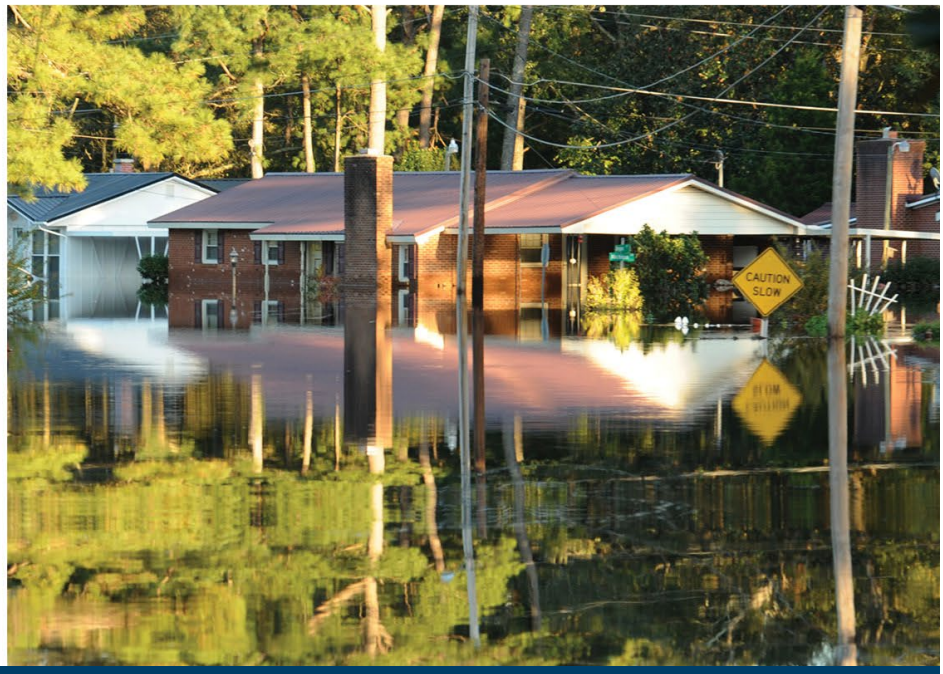




Developing and Maintaining Emergency Operations Plans

Comprehensive Preparedness Guide (CPG) 101

May 2025, Version 3.1

FEMA

This page intentionally left blank

Preface

Comprehensive Preparedness Guide (CPG) 101 provides guidance from FEMA on the fundamentals of planning and developing emergency operations plans. The guide describes the steps to produce an emergency operations plan, possible plan structures and components of a base plan and its annexes. Other FEMA guides provide detailed information about planning considerations for specific functions, hazards and threats.[1]

CPG 101 is a key resource in the emergency management community. While much of the core content in CPG 101 Version 2.0, released in 2010, remains fundamentally valid, a refresh of the document allows for inclusion of additional concepts, principles and strategies. The updated content in CPG 101 Version 3.1 is based on practitioner feedback, identified lessons learned and successful practices from real-world events and exercises that can inform the planning process.

CPG 101 shows how emergency operations plans connect to planning efforts in all five mission areas.[2] Version 3.1 of this guide emphasizes the importance of including the private and nonprofit sectors in planning activities and incorporates lessons learned as well as pertinent new doctrine, policy and laws.[3]

The guide provides methods for planners to:

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

[1] For more information, see FEMA's Planning Guides resource page at https://www.fema.gov/emergency-managers/national-preparedness/plan.
[2] Presidential Policy Directive 8 (PPD-8) identifies the five mission areas as prevention, protection, mitigation, response and recovery. More information on PPD-8 can be found at: https://www.dhs.gov/presidential-policy-directive-8-national-preparedness.
[3] The private and nonprofit sector includes all nongovernmental enterprises and organizations, such as businesses, faith-based organizations, constituent advocacy organizations and nongovernmental organizations that support disaster response and recovery.

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

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

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

CPG 101 provides the foundation for state, local, Indian Tribal Nation, territorial and insular area emergency planning in the United States.[4] Planners in other disciplines, organizations and the private sector, as well as all levels of government, may find this guide useful in developing their emergency operations plans.

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

Table of Contents

Preface i

Introduction and Overview 1

1. **Purpose** 1
2. **Applicability and Scope** 1
3. **Supersession** 2
4. **How To Use This Guide** 2
5. **Terminology and Acronyms** 2
6. **Revision Process** 2

The Basics of Planning 3

1. **Planning Fundamentals** 3
   - 1.1. Planning Principles 4
   - 1.2. Strategic, Operational and Tactical Planning 10
   - 1.3. Planning Approaches 11
   - 1.4. Plan Integration 12
   - 1.5. Plan Synchronization 13
   - 1.6. Common Planning Pitfalls 13

Understanding the Planning Environment 15

1. **The National Preparedness System** 15
2. **National Preparedness Guidance** 17
   - 2.1. National Incident Management System 17
   - 2.2. National Planning Frameworks 18
   - 2.3. National Response Framework 19
   - 2.4. National Disaster Recovery Framework 21
   - 2.5. National Mitigation Framework 22
3. **Relationship Between Federal Plans and State Emergency Operations Plans** 22
   - 3.1. Federal Plans at the National and Regional Levels 23
   - 3.2. State, Tribal Nation, Territorial and Insular Area-Level Plans 23

3.3. Local-Level Plans 24

Identifying the Right Plan for the Job 27

1. The Emergency Operations Plan 27

1.1. State, Local, Tribal Nation, Territorial and Insular Area Emergency Operations Plans 29

2. Structuring an Emergency Operations Plan 30

2.1. Function-Focused Format 31

2.2. Agency-/Department-Focused Format 34

3. Using Plan Templates 35

4. Additional Types of Plans 37

4.1. Procedural Documents 40

The Planning Process 43

1. Steps in the Planning Process 43

1.1. Step 1: Form a Collaborative Planning Team 43

1.2. Step 2: Understand the Situation 48

1.3. Step 3: Determine Goals and Objectives 52

1.4. Step 4: Develop the Plan 53

1.5. Step 5: Prepare and Review the Plan 57

1.6. Step 6: Implement and Maintain the Plan 61

Creating an EOP Base Plan 67

1. Introductory Material 67

2. Purpose, Scope, Situation Overview and Planning Assumptions 68

2.1. Purpose 68

2.2. Scope 68

2.3. Situation Overview 68

2.4. Planning Assumptions 70

3. Concept of Operations 70

4. Organization and Assignment of Responsibilities 71

5. Direction, Control and Coordination 73

6. Information Collection, Analysis and Dissemination 73
7. Communications and Coordination 74
8. Administration, Finance and Logistics 74
8.1. Administration 75
8.2. Finance 76
8.3. Logistics 77
9. Plan Development and Maintenance 77
10. Authorities and References 78

Adding EOP Annexes 81
1. Functional Annexes 81
1.1. Functional Annexes Content 81
1.2. Annex Implementing Instructions 102
1.3. Special Preparedness Programs 102
2. Hazard- or Threat-Specific Annexes 102
3. Human-Caused Incidents 103
3.1. Civil Unrest Annex 103
3.2. Cyber Incident Annex 103
3.3. Terrorism Annex 103
4. Natural Hazards 104
4.1. Biological Incident Annex 104
4.2. Drought Annex 104
4.3. Earthquake Annex 104
4.4. Extreme Temperature Annex 104
4.5. Flood Annex 105
4.6. Hurricanes/Severe Storm Annex 105
4.7. Pandemic Annex 105
4.8. Seismic Eruptions/Volcanic Ash Annex 105
4.9. Tornado Annex 105
4.10. Tsunami Annex 106
4.11. Winter Storm Annex 106

5. Technological Hazards 106
5.1. Dam and Levee Emergency Annex 106
5.2. Hazardous Materials Spill Annex 106
5.3. Accidental Release of Lethal Chemical Agents or Munitions Annex 107
5.4. Power Outage Incident Annex 107
5.5. Radiological Incident Annex 107
6. Additional Hazards (as Applicable) 107

Appendix A: Authorities 109

Appendix B: Abbreviations and Acronyms 111

Appendix C: Glossary 115

Appendix D: Incorporating All Populations in EOPs 121

Introduction and Overview

1. Purpose

Comprehensive Preparedness Guide (CPG) 101 provides guidelines on developing emergency operations plans (EOPs). It promotes a common understanding of the fundamentals of community-based, risk-informed planning and decision making to help planners examine a threat or hazard and produce integrated, coordinated and synchronized plans. The goal of CPG 101 is to simplify the planning process across all mission areas in the National Preparedness Goal: Prevention, Protection, Mitigation, Response and Recovery. This guide helps planners at state, local, Tribal Nation, territorial and insular area levels of government to develop and maintain viable all-hazards, all--threats EOPs. Accomplished properly, planning provides a methodical way to engage the whole community in considering the lifecycle of a potential crisis, determining required capabilities and establishing a framework for roles and responsibilities.[5] It shapes how a community envisions and shares a desired outcome, selects effective ways to achieve it and communicates expected results. Each jurisdiction's plans should reflect what that community will do to address its specific risks with the resources it has or can obtain.

Planners strive for unity of effort in incident operations by coordinating and integrating plans across all levels of government, nonprofit organizations, the private sector and individuals and families. This emphasis on coordination is based on the fundamental principle that for most incidents, emergency management and homeland security operations start locally and expand to include other resources as the affected jurisdiction requires additional support. Plans should strengthen communications across different levels of government to create and maintain a common operational focus. Plans should also foster communication among individual agencies and departments, the private sector and mutual aid partners, and should help each entity understand and execute their defined assignments. An integrated planning process helps to optimize incident response and recovery efforts.

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

2. Applicability and Scope

This guide provides a context for emergency operations planning considering other existing plans. The guide also describes a universal emergency operation planning process. Many jurisdictions have

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

already developed EOPs, and CPG 101 does not require jurisdictions to revise those plans. However, jurisdictions should consider CPG 101 guidance when updating their EOPs.

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

3. Supersession

CPG 101 Version 3.1 supersedes CPG 101 Version 2.0, published in September 2021, which is rescinded.

4. How To Use This Guide

CPG 101 helps both novice and experienced planners navigate the planning process. This guide provides information and instruction on the fundamentals of planning and their application. It lays the foundation for planning efforts in the chapter The Basics of Planning, and the chapter Understanding the Planning Environment. With an understanding of these fundamentals, CPG 101 transitions from theory to practice by discussing different plan formats and functions, the planning process itself and the content for EOP base plans and EOP annexes.[6]

5. Terminology and Acronyms

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

6. Revision Process

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

[6] Supplementary guidance on particular topics is often added to EOPs in the form of annexes or appendices to the base plan. In this guide, the term "annex" refers to functional, support, hazard-/incident-specific or other supplements to the base plan consistent with the NRF. Some jurisdiction plans may use the term "annex" or "appendix" in a similar fashion.

The Basics of Planning

Community members share responsibility for protecting themselves, their families, their organizations and their property. They should develop plans for what to do in case of an emergency. A plan is a set of intended actions through which one expects to achieve a goal. Planning that includes the whole community helps to build a resilient community.

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

Resilient Communities and Planning

Resilience is the capacity to withstand and recover from an adverse occurrence. Engaging the community in the planning process improves community resilience by increasing the understanding of threats and hazards, encouraging participation in the planning process and communicating the expected actions for the community to undertake during an emergency. In addition, effective land-use planning and adoption of hazard-resistant building codes directly improve community resilience, reduce the needs for emergency response resources and facilitate emergency planning.

At the local and state levels, building resilience through engagement entails knowing the community and its demographics, as well as involving both formal and informal community leadership structures in the planning process. This applies as all levels of government plan for potential issues, particularly those involving children, the elderly and individuals with disabilities, access and functional needs, limited English proficiency or household pets.

Engaging the private sector and nonprofits is essential to the process. Much of the critical infrastructure necessary to communities is owned and operated by the private sector, and nonprofit organizations provide key services in disaster response and recovery. Connecting the government to the private sector and nonprofits is a central part of the planning process.

1. Planning Fundamentals

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

1.1. Planning Principles

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

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

Determining the composition of the population is a key part of the planning process. The demographics of the population, including its resources, needs and indicators of resilience, have a profound effect on processes such as evacuation, sheltering and family reunification. This knowledge helps advance community-based planning that represents and involves members of the whole community. It also informs community approaches to meeting the needs of all populations within the community.

Understanding a population's needs and implementing a whole community approach to planning can aid in developing EOPs that provide services and resources to all members of the community. Developing and using a community profile that accurately depicts the jurisdiction's population composition can assist planners in anticipating potential barriers to accessing services (e.g., inability to travel to designated emergency shelters if public transportation is disrupted; inability to understand emergency messaging and protective instructions due to hearing impediments or lack of English proficiency; renters or homeowners being uninsured or underinsured; reluctance to evacuate due to security concerns for homes and property or lack of ready cash to support the household for the duration of an evacuation). Identifying these barriers can help jurisdictions conduct outreach, identify resources and plan to overcome the identified barriers thereby allowing a community to provide more impactful services to its population.

Additionally, establishing a community profile also helps planners determine whether courses of action are feasible. For example, if the majority of the resident population does not own cars or if the area has a large transient population (e.g., tourists, college students), then planning efforts should account for greater transportation resource requirements than if the population is predominantly composed of car-owning households. Planning for mass care and shelter operations should include considerations for household pets because people may not seek refuge if their pets cannot be accommodated. By understanding the composition and requirements of the actual population, community-based plans lead to improved response and recovery activities and, ultimately, overall preparedness.[7]

[7] "Who is at Risk? Rapid Mapping of Potential Hazard Exposure," a FEMA Prep Talk by Dr. Robert Chen, describes how geospatial data can help planners understand community characteristics when developing plans, including EOPs. It is available on FEMA's YouTube channel: https://www.youtube.com/watch?v=LquKBW3LQoc.

1.1.2. PLANNING SHOULD EMPHASIZE CARING FOR PEOPLE WITH DISABILITIES AND INDIVIDUALS WITH ACCESS AND FUNCTIONAL NEEDS, INFANTS, CHILDREN AND OLDER ADULTS

State and local governments must comply with Title II of the Americans with Disabilities Act (ADA) in emergency- and disaster-related programs, services and activities.[8] The ADA defines the term disability with respect to an individual as "a physical or mental impairment that substantially limits one or more major life activities, a person who has a history or record of such an impairment or a person who is perceived by others as having such an impairment." People with disabilities have certain rights under federal law and may have similar or additional rights under state and local laws. Federal and many state and local laws also afford certain rights and protections for service animals, which must be considered in emergency operations planning (e.g., transportation needs, mass care and sheltering operations, feeding resources, reunification services).[9] "Access and functional needs" is defined more broadly than "disabilities," but generally refers to individuals who have physical, developmental or intellectual limitations, chronic conditions or injuries, limited English proficiency, older adults, children and infants. Appendix D includes examples (though the list is not comprehensive). Even when actions are not required by law—such as with some populations with access and functional needs—these concepts are useful for emergency operations planning.

Concepts of Accessibility

- **Self Determination:** People with disabilities are most knowledgeable about their own needs.
- **No "One-Size-Fits-All":** People with disabilities do not all require the same assistance and do not all have the same needs.
- **Equal Opportunity:** People with disabilities must have the same opportunities as those without disabilities to benefit from emergency programs, services and activities.
- **Whole Community:** Incorporating populations such as people with disabilities, others with access and functional needs and communities of diverse linguistic and ethnic backgrounds have the right to participate in and receive the benefits of emergency programs, services and activities. Additionally, these individuals should be included in all phases of the planning process, as they have insights and information necessary to provide comprehensive services to their respective communities during emergencies.
- **Integration:** Emergency services, programs and activities must be provided in an integrated setting.
- **Physical Access:** Emergency programs, services and activities must be provided at locations that all people, including those with disabilities, can access.

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

[9] The Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. §§ 5121-5207, as amended. Federal Disaster Assistance, 44 C.F.R. pt. 206 as amended, mandates integration and equal opportunity for people with disabilities in general population shelters.

- **Equal Access:** People with disabilities must have equal access to and benefit from emergency programs, services and activities.
- **Effective Communication:** People with disabilities must have access to timely and accurate information that is comparable in content and detail to communications shared with the general public.
- **Program Modifications:** People with disabilities must have equal access to emergency programs and services, which may require modifications to rules, policies, practices and procedures.
- **No Charge:** People with disabilities may not be charged to cover the costs of measures necessary to provide equal access and nondiscriminatory treatment.

1.1.3. PLANNING SHOULD INCLUDE THE COMMUNITY IN ALL PHASES OF THE PLANNING PROCESS

Planning teams must reflect the broad composition of the community, by including representatives from the jurisdiction's departments and agencies, civic leaders, businesses and organizations (e.g., civic, social, faith–based, humanitarian, educational, advocacy, trade and professional). Planning teams should also include organizations that provide medical services that include pediatric experts. Ultimately, planning teams should include those who can contribute varied and vital perspectives and those who have significant roles in executing the plan.

The demographics of the community help determine who to involve as a jurisdiction assembles a planning team. Including leaders and representatives from across the community reinforces the expectation that community members share responsibility and strengthens the public motivation to plan for themselves, their families and their organizations. Community members may be able to translate messaging and advise planners on formats and approaches that are most likely to reach their respective communities. For example, involving individuals with disabilities or specific access and functional needs, individuals with limited English proficiency and others that may need additional accommodations or considerations in order to participate, as well as the groups and organizations that advocate for these individuals, strengthens planning efforts. Planners may also consider individuals and families with unique requirements such as transient populations, visitors, tourists and those on student or work visas. When the resulting plan reflects and incorporates the views of the individuals and organizations who are assigned tasks within it, these individuals and organizations are more likely to support the plan and encourage their partners to do the same.

Planners and senior officials should consider the unique needs of all populations in the community in all phases of the planning process. Resource and service constraints, financial disparities, inconsistent access to information and assistance, and transportation service inefficiencies directly and profoundly affect emergency preparedness, response and recovery.

To meet the needs of the whole community engaging populations in a single aspect of the planning process is just the beginning. Planners should continuously seek to identify and confront issues and

barriers to providing services through the plan's goals and objectives, courses of action, means of communication and resources.

1.1.4. PLANNING SHOULD ENGAGE THE PRIVATE SECTOR

Businesses, small and large, and other private sector organizations are the heart of a community. They are critical to the economy and provide commodities, such as food and fuel, and infrastructure services, such as power, public transportation, communications and healthcare. When incidents affect the private sector, they often interrupt key community lifelines.[10] Engaging private sector partners in emergency operations planning informs government planners on the potential impacts of various hazards and how they could affect the community. At the same time, private sector organizations have capabilities, expertise and resources that are essential to helping the community to respond and recover. Engaging private sector partners during planning sets the stage for effective collaboration and coordination when disasters and emergencies occur.

1.1.5. PLANNING SHOULD INCLUDE ELECTED AND APPOINTED OFFICIALS THROUGHOUT THE PROCESS

Potential planning team members have many day-to-day concerns but should consider emergency planning a high priority and commit to their planning team responsibilities. Elected and/or appointed officials' buy-in helps the planning process meet requirements of time, simplicity and level of detail. Involving decision makers in the planning process results in a stronger end product. Planners should present planning as an iterative, dynamic process that ultimately facilitates the roles of elected and/or appointed officials in a crisis by:

- Identifying and sharing the hazard, threat and risk analyses for the jurisdiction;
- Discussing readiness and capability assessments, as well as exercise critiques; and
- Describing government and elected and/or appointed officials' incident roles and responsibilities prior to, during and after an incident to prevent or minimize its impact.

Elected and/or appointed officials are key players in determining when and which plans are developed or revised. Additionally, they customarily have the authority to approve the final product in coordination with key stakeholders. By participating in the planning process, elected and/or appointed officials gain a greater understanding of how to implement the plan during an incident.

1.1.6. PLANNING IS A FUNDAMENTAL PROCESS TO MANAGE RISK

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

[10] For more information on community lifelines, see https://www.fema.gov/emergency-managers/practitioners/lifelines.

1.1.7. PLANNING SHOULD USE ANALYTICAL APPROACHES TO ADDRESS UNCERTAINTY

By following a set of logical steps that includes gathering and analyzing information, determining objectives and developing options to achieve the objectives, planning allows a jurisdiction or regional response structure to work through complex situations. Planning helps a jurisdiction identify the resources at its disposal to perform required tasks and achieve desired outcomes and target levels of performance. Using this deliberative process to consider and address the diverse roles, responsibilities, authorities and capabilities of various partner organizations improves unity of effort when incidents occur. Rather than specifying every detail of how to achieve the objective, an effective plan structures thinking and supports insight, creativity and initiative in the face of an uncertain and fluid environment. While using a prescribed planning process does not guarantee success, inadequate plans and insufficient planning are proven contributors to failure.

1.1.8. PLANNING SHOULD CONSIDER ALL HAZARDS AND THREATS

Considering all threats and hazards when addressing emergency functions helps identify essential, common tasks and those responsible for accomplishing them. Planners can address common operational functions in their base plans instead of having unique plans for every type of hazard or threat. For example, floods, wildfires and hazardous material releases may lead a jurisdiction to issue evacuation orders and open shelters. Even though each hazard's characteristics (e.g., speed of onset, size of the affected area) are different, the general tasks for conducting evacuation and shelter operations are the same.

As planners identify the threats and hazards that may impact their community, they should also assess how changes in the frequency and intensity of natural disasters impacts or alters their community's risk profile. Understanding how these changes may affect the community in the future—in terms of introducing new hazards or increasing exposure to existing ones—may require the creation of plans that are flexible and scalable.

Scalable planning solutions are the most likely to be understood and executed properly by experienced operational personnel. Planners can test whether plan elements are sufficiently flexible by exercising them against scenarios of varying types and magnitudes, and accounting for issues such as evolving threats and associated impacts. In some cases, planners may determine that exceptional policies and approaches, such as issuing transportation waivers or redirecting resources, are needed to respond to and recover from incidents. Planners should document these solutions within plans, along with clear descriptions of the triggers that indicate they are necessary.

1.1.9. TIME, UNCERTAINTY, RISK AND EXPERIENCE INFLUENCE PLANNING

These factors define the starting point where planners apply appropriate concepts and methods to solve problems. Planning is both an art and a science—successful planners draw from operational experience and an understanding of emergency management principles but are also intuitive, creative and able to anticipate the unexpected. While the science and fundamental principles of planning can be learned through training and experience, the art of planning requires an understanding of the dynamic relationships among stakeholders, of special political considerations

and of the complexity imposed by the situation. Because this activity involves judgment and the balancing of competing demands, plans should not be overly detailed—to be followed to the letter—or so general that they provide insufficient direction. Mastering this balance is a challenging aspect of becoming a successful planner.

1.1.10. PLANNING IS A KEY COMPONENT OF THE NATIONAL PREPAREDNESS SYSTEM

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

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

Plans contribute to unity of effort and consistency of purpose by defining the overall mission, goals and the desired end states. Other plan elements should be designed and evaluated according to their contributions to accomplishing the mission and achieving the goals and desired results.

1.1.12. PLANNING SHOULD DEPICT THE ANTICIPATED ENVIRONMENT FOR ACTION

Anticipating the conditions following a given hazard/incident helps planners understand and agree on planning assumptions, risks and the context for interaction. Especially for hazards that the jurisdiction experiences rarely if ever, planners should explore how changing conditions may impact the frequency of such events and identify potential problems and solutions. Reviewing existing EOPs can confirm that current assumptions are still necessary and valid. After-action reports from recent emergency operations and exercises in the jurisdiction can help planners develop a list of lessons learned to address in updating plans.

1.1.13. PLANNING DOES NOT NEED TO START FROM SCRATCH

Planners should take advantage of the experience of other planners as well as existing plans from their own and other jurisdictions. Furthermore, many states publish standards, guidance and formats for emergency planning, conduct workshops and training courses and assign their planners to work with local planners. FEMA offers resident, locally-presented and independent study courses in emergency planning. FEMA also publishes guidance on planning for specific functions and risks.[11] By accessing these resources and reviewing existing emergency or contingency plans, planners can:

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

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

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

Decision makers are responsible for providing planners with clearly established priorities and adequate resources. Planners should identify tasks and consider how to allocate resources. Additionally, planners should work with their leadership team(s) to set expectations for plan maintenance, review, and updates on a standard cycle.

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

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

1.2. Strategic, Operational and Tactical Planning

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

- **Strategic plans** provide a framework for guiding emergency management and homeland security activities. This level of planning allows stakeholders to focus on the longer term and articulate, monitor and evaluate efforts to prevent, protect against, mitigate, respond to and recover from all threats and hazards that might affect a jurisdiction or an organization. Elected or appointed officials play an essential role by providing the vision and priorities for the planning process.

- **Operational plans** describe roles and responsibilities, tasks, integration requirements, actions and other expectations of an organization or jurisdiction during actual or potential incidents. These plans may also address the delivery of capabilities in support of steady-state activities. They may include coordinating and integrating activities and resources from other departments, agencies and organizations within a jurisdiction and across the whole community. Operational plans can apply to all threats and hazards and contain both the governing authorities and

actions expected by organizations. Operational-level planning products should be flexible, adaptable, integrated with other plans and based on the best available risk assessments.

- **Tactical plans** focus on managing resources such as personnel and equipment that play a direct role in an incident. Pre-incident tactical planning, based on existing operational plans, provides the opportunity to pre-identify personnel, equipment and other execution needs. Tactical plans often outline the actions necessary to accomplish goals identified in an operational plan. Planning teams fill identified gaps through various means such as mutual aid.

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

- **Deliberate plans** are developed under normal, non-emergency conditions over a period of weeks and months and outline a concept of operations (CONOPS) with detailed information on personnel, resources, projected timelines, planning assumptions and risk analysis.

- **Incident plans** are developed in response to actual or impending incidents or credible threats, with much shorter timelines and use actual situational information to replace some or all planning assumptions in deliberate plans.

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

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

1.3. Planning Approaches

Planners commonly use a combination of approaches in operational planning:

- **Capabilities-based planning** focuses on a jurisdiction's capacity to take a course of action, answering 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 feel this approach combines scenario- and function-based planning because of its scenario-to-task-to-capability focus. The core capabilities established in the National Preparedness Goal provide an example of specific capabilities.[12]

[12] For more information on core capabilities, see https://www.fema.gov/emergency-managers/national-preparedness-goal/mission-core-capabilities.

- **Function-based planning (functional planning)** identifies the common functions that a jurisdiction should perform during emergencies and the government agencies and/or departments responsible for their performance.

- **Scenario-based planning** creates scenarios for hazards or threats enabling planners to analyze the impacts of the scenarios to determine appropriate courses of action. Planners typically use this approach to develop planning assumptions, primarily for hazard- or threat-specific annexes to a base plan.

Regardless of which approach or combination of approaches a jurisdiction uses, tools such as geographic information systems (GIS) may provide insight into the situation (e.g., threats, hazards and the community's profile) and add detail to the plan.

1.4. Plan Integration

The National Incident Management System (NIMS) and National Response Framework (NRF) support a tiered approach to operations.[13] They recognize that most incidents start at the local level and, as additional resources and capabilities are required, state, local, Tribal Nation, territorial, insular area, regional, federal and private sector assets may be applied.

This approach means that planners should integrate vertically to provide a common operational focus to all response levels. Similarly, planners at each level should integrate horizontally to fit department and supporting agency plans into their jurisdiction's CONOPS. Planners should also appropriately integrate the community's nonprofit and private sector plans and resources.

- **Vertical integration** meshes planning up and down the various levels of government. It places the foundation for operations at the local level and layers support from mutual aid partners, private sector entities, regional, state, local, Tribal Nation, territorial, insular areas and federal government entities onto local activities. This means that as a planning team identifies a support requirement from a higher level during the planning process, the two levels work together to resolve the situation. The Understanding the Planning Environment chapter of this document presents a concept for vertical integration.

- **Horizontal integration** incorporates planning across various functions, mission areas, partner organizations and jurisdictions. Horizontal integration serves three purposes:

    - It integrates operations across a jurisdiction. For example, an agency, department or sector would write its plan or standard operating procedures/standard operating guidelines (SOPs/SOGs) for its role in an evacuation to fit the controlling jurisdiction's plan for such an

[13] For information on National Incident Management System, see https://www.fema.gov/national-incident-management-system. For information on the National Response Framework, see https://www.fema.gov/emergency-managers/national-preparedness/frameworks.

evacuation. Horizontal integration allows departments and support agencies to produce plans that meet their internal needs or regulatory requirements and integrate into the EOP.

- It confirms that a jurisdiction's set of plans supports similar sets of plans from neighboring or partner jurisdictions. A jurisdiction's plan should include information about mission assignments that it executes in conjunction with, in support of or with support from its neighbors or partners.

- It extends beyond the governmental jurisdiction to include other community organizations, such as hospitals, schools and businesses, that have their own emergency plans.

Questions to Consider: EOP Approach and Integration

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

1.5. Plan Synchronization

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

- **Phasing**. A phase is a specific part of an operation that is distinctly different from the ones that precede or follow. For example, a set of phases might include routine operations, heightened awareness, mobilization-activation-deployment, incident response and transition to recovery. Planners often use time, distance, geography, resources and certain events to define phases.

- **Branching**. A branch is an option built into an EOP. For example, a hurricane may affect a certain state by moving up its coast, by moving inland and traveling up a large bay or by taking a middle track that affects both areas. While many elements of the plan would be the same for all three scenarios, the change in track could affect response activities. Using branching, the hurricane annex of an EOP would provide options for each major contingency, allowing the planner to anticipate different requirements and courses of action. Planners use branching only for important options and not for every possible variation in the response.

1.6. Common Planning Pitfalls

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

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

Jurisdictions should train on and exercise their plans to identify common mistakes and gaps. This helps to mitigate problems with plans emerging during an incident.

Understanding the Planning Environment

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

1. The National Preparedness System

The National Preparedness System describes a systematic approach to build and sustain the capabilities required to prevent, protect against, mitigate, respond to and recover from all threats and hazards. As shown in Figure 1, it contains six components: identifying and assessing risk; estimating the level of capabilities needed to address those risks; building and sustaining the required levels of capability; developing and implementing plans to deliver those capabilities; validating and monitoring progress; and reviewing and updating efforts to promote continuous improvement. The National Preparedness System is grounded in the National Preparedness Goal, which describes core capabilities that are necessary to manage risk and enhance the nation's security and resilience. Specifically, the National Preparedness Goal is "a secure and resilient nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to and recover from the threats and hazards that pose the greatest risk."[14]

[14] Additional information on the National Preparedness Goal is available at https://www.fema.gov/emergency-managers/national-preparedness/goal.

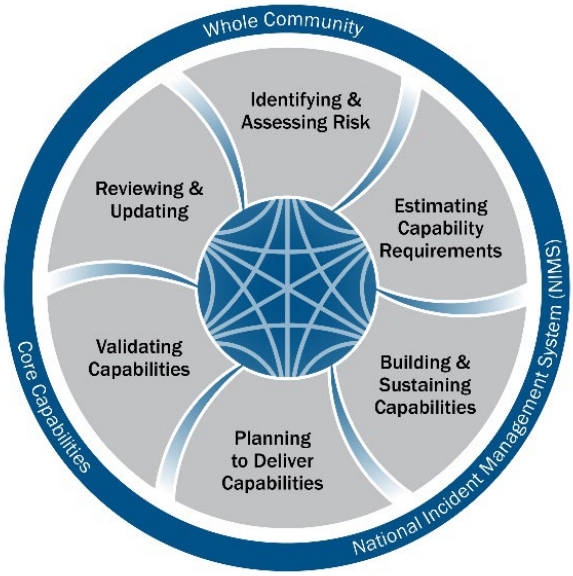


Figure 1: Components of the National Preparedness System

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

- **Identifying and Assessing Risk:** Jurisdictions must understand the risks they face in order to build EOPs that reflect the range of threats and hazards that may affect people, assets and systems today and in the future.

- **Estimating Capability Requirements:** The results of the risk assessment process inform estimates of capabilities that a community needs. Through this process, planners use risk assessment outputs to establish planning factors and determine the needed levels of capability.

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

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

- **Validating Capabilities:** Risk-informed, capability-based and objective-driven exercise and evaluation activities are important steps to validate EOPs and test incident response capabilities. Training and real-world events also provide opportunities to test and validate plans and capabilities.

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

2. National Preparedness Guidance

In coordination with whole community partners, FEMA has developed a suite of national preparedness guidance documents, such as CPG 101, grounded in experience and lessons learned in preventing, protecting against, mitigating, responding to and recovering from the threats and hazards that the nation has faced. Guidance includes NIMS and the National Planning Frameworks, which collectively describe how the nation conducts integrated support and management activities when responding to all incidents.[15]

2.1. National Incident Management System

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

NIMS defines command and coordination systems, including the Incident Command System (ICS), emergency operations center (EOC) structures and multiagency coordination (MAC) groups, that guide how personnel and organizations work together during incidents. As part of NIMS, FEMA developed the National Qualification System (NQS), which provides foundational guidance on personnel resource typing within the NIMS framework, plus supporting tools.[16] The NQS uses a performance-based approach that focuses on verifying the capability of personnel to perform as required in the various NIMS positions. This approach is based on a continuum of integrated qualification, certification, and credentialing processes.

[15] Information on the NIMS is available at https://www.fema.gov/national-incident-management-system and on the National Planning Frameworks at https://www.fema.gov/emergency-managers/national-preparedness/frameworks.
[16] Information on the National Qualification System, as well as the NIMS Guideline for Mutual Aid, is available on the NIMS Components page at https://www.fema.gov/emergency-managers/nims/components.

FEMA also crafted NIMS job titles/position qualifications and accompanying position task books, the NIMS Guideline for Mutual Aid and the EOC Skillsets and User Guide.[17]

NIMS components adapt to any incident, from planned events to routine local incidents to incidents involving interstate mutual aid or federal assistance. NIMS is scalable and applicable to incidents that vary widely in terms of hazard, geography, demographics, climate and organizational authorities. NIMS also emphasizes the use of common terminology to help incident personnel from different disciplines, jurisdictions, organizations, and agencies communicate and coordinate their activities.

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

2.2. National Planning Frameworks

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

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

Each of these mission areas has a National Planning Framework[18] that describes how the whole community works together to achieve the National Preparedness Goal and foster a shared understanding of roles and responsibilities at each level of government and within the private and nonprofit sectors. The NRF is particularly relevant to developing EOPs. The National Disaster Recovery Framework (NDRF) is also a useful resource to help planning teams align their response and recovery plans, as appropriate.

[17] Information on the EOC Skillsets and User Guide is available on the Emergency Operations Center Guidance and Tools page at https://www.fema.gov/sites/default/files/2020-05/fema_nqs_eoc-skillset-guide_0.pdf.
[18] For more information on the National Planning Frameworks, see https://www.fema.gov/emergency-managers/national-preparedness/frameworks.

2.3. National Response Framework

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

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

2.3.1. CONCEPT OF OPERATIONS

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

Using Community Lifelines as a Planning Tool

One useful tool for planners developing EOPs is the community lifelines construct (Figure 2), which is an objectives-based approach to incident response that prioritizes the rapid stabilization of key functions after a disaster.[19] A lifeline enables the continuous operation of critical government and business functions and is essential to human health and safety or economic security—the most fundamental services in the community that, when stabilized, enable all other aspects of society to function.

When lifelines are disrupted during an incident, decisive intervention is required to stabilize them. Consequently, accounting for lifelines in the planning process can inform representation on the planning team and the content of EOPs. Although developed to support response planning and operations, community lifelines are relevant across the entire preparedness cycle:

[19] For more information on community lifelines, see https://www.fema.gov/emergency-managers/practitioners/lifelines.

protecting lifelines, preventing and mitigating potential impacts to them, and building back stronger during recovery.

Figure 2: Community Lifelines

2.3.2. STATE, TRIBAL NATION, TERRITORIAL AND INSULAR AREA GOVERNMENTS

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

2.3.3. LOCAL GOVERNMENTS

Resilience begins with prepared individuals and depends on the leadership and engagement of local government, civic leaders and private sector businesses, nonprofits and other organizations. Local police, fire, emergency medical services (EMS), emergency management, public health and medical providers, public works and other community agencies are often the first to be notified about a threat or hazard or to respond to an incident. These entities should work with individuals, families and those who provide services for seniors, people with disabilities and others with access and functional needs. This can enhance awareness by individuals, families, and service providers of risk and help them prepare emergency supply kits and develop household emergency plans that account for household pets and service animals.

2.3.4. FEDERAL EMERGENCY SUPPORT FUNCTIONS

The NRF uses 15 Emergency Support Functions (ESFs) to group and describe the kinds of resources and types of federal assistance available to augment state and local response efforts:[20]

- ESF #1—Transportation
- ESF #2—Communications
- ESF #3—Public Works and Engineering
- ESF #4—Firefighting
- ESF #5—Information and Planning
- ESF #6—Mass Care, Emergency Assistance, Temporary Housing and Human Services
- ESF #7—Logistics
- ESF #8—Public Health and Medical Services
- ESF #9—Search and Rescue
- ESF #10—Oil and Hazardous Materials Response
- ESF #11—Agriculture and Natural Resources
- ESF #12—Energy
- ESF #13—Public Safety and Security
- ESF #14—Cross-Sector Business and Infrastructure
- ESF #15—External Affairs.

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

Many state and local jurisdictions have also adopted ESFs in their plans, sometimes adding new titles or adjusting them to fit their needs (see Section 3.2).

2.4. National Disaster Recovery Framework

The National Disaster Recovery Framework (NDRF) is a companion to the National Response Framework and describes how the nation builds, sustains and coordinates disaster recovery capabilities. The NDRF encourages and helps communities to accelerate the recovery process, beginning with pre-disaster preparedness, including coordinating with community partners, mitigating risks, incorporating continuity planning, identifying recovery resources and developing capacity to manage the recovery process effectively through collaborative and inclusive recovery planning. Collaboration across the whole community on recovery planning helps integrate emergency response, hazard mitigation, resilience and sustainability into the community's short- and long-term disaster recovery goals.

[20] Information on the ESFs is available at https://www.fema.gov/emergency-managers/national-preparedness/frameworks/response.

2.4.1. FEDERAL RECOVERY SUPPORT FUNCTIONS

The NDRF established six recovery support functions (RSFs) to bring together the core recovery capabilities of federal departments and agencies and other supporting organizations to focus on community recovery needs.[21] The RSFs include the following:

- Economic Recovery Support Function
- Health and Social Services Recovery Support Function
- Community Planning and Capacity Building Recovery Support Function
- Infrastructure Systems Recovery Support Function
- Housing Recovery Support Function
- Natural and Cultural Resources Recovery Support Function

As with the federal ESFs, the RSFs each have a federal department or agency coordinator, one or more primary agencies, and several supporting organizations.

2.5. National Mitigation Framework

The National Mitigation Framework describes the benefits of being prepared by understanding risks and the actions that can help address those risks. It focuses on building a culture of preparedness centering on risk and resilience. The National Mitigation Framework provides context for how the whole community works together and how mitigation efforts relate to all other parts of national preparedness. Communities cannot control when an incident occurs, but by understanding the potential risks, jurisdictions can take proactive steps that can save lives and reduce property damage. Increasing resilience through mitigation activities (e.g., land use planning, adoption of disaster-resistant building codes) reduces incident response requirements and can ultimately reduce the complexity of emergency operations planning.

3. Relationship Between Federal Plans and State Emergency Operations Plans

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

As indicated in this document, all levels of government should coordinate plans vertically for a unified operational focus. The goal is to integrate and synchronize federal and state operations. Integration and synchronization are key concepts for a national planning structure, and they serve different but equally important purposes in linking federal plans and state EOPs:

[21] Information on the RSFs is available at https://www.fema.gov/emergency-managers/national-preparedness/frameworks/recovery/recovery-support-functions.

- From the federal perspective, integrated planning helps answer the question of how federal agencies and departments add the right resources at the right time to support state and local operations.

- From the states' perspective, integrated planning answers questions about which organizations they should work with and where to obtain resources.

3.1. Federal Plans at the National and Regional Levels

The National Response Framework (NRF) is the foundation for developing national and regional response plans that implement federal response activities. At the national level, the federal planning structure supports the principles and concepts of the NRF.

Federal Interagency Operational Plans (FIOPs) define a federal concept of operations, integrating and synchronizing national-level capabilities to support all levels of government. FIOPs also help federal departments and agencies develop and maintain department-level operational plans. Staff in FEMA regional offices develop plans to address potential activities and actions to be taken by regional offices of federal departments and agencies in support of state and local operations. They also provide the necessary link between state EOPs and the FIOP.

3.2. State, Tribal Nation, Territorial and Insular Area-Level Plans

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

Because state, Tribal Nation, territorial or insular area governments manage federal assistance provided under the Stafford Act, some choose to mirror the federal ESF structure. Replicating the federal ESFs exactly is not needed. Some governments successfully use a hybrid approach, either by giving the counterparts of federal ESFs extra responsibilities appropriate to the state, Tribal Nation, territorial or insular area level or by creating functions in addition to those used by the federal government to address jurisdictional responsibilities and concerns.

The choice of functions should fit the state, local, Tribal Nation, territorial and insular area government's own CONOPS, policies, governmental structure and resource base. That fit is critical, because the EOP describes what the jurisdiction does when conducting emergency operations. States should consider local and federal plans in EOP development to build awareness and understanding, enabling the development of plans that best fit their state's functions but also work in concert with local and federal operations.

The state, Tribal Nation, territorial or insular area EOP:

- Identifies the departments and agencies designated to perform response and recovery activities and specifies tasks they are expected to accomplish;

- Outlines the assistance available to local jurisdictions during disasters that generate emergency response and recovery needs beyond what the local jurisdiction can satisfy;
- Specifies the direction, control and communications procedures and systems that alert, notify, recall and dispatch emergency response personnel; warn local jurisdictions; protect residents and property; and request aid/support from other jurisdictions and/or the federal government (including the role of the governor's authorized representative, or Tribal Nation's chief executive's authorized representative);
- Describes ways to obtain initial situational assessment information from the local jurisdiction(s) directly affected by the disaster or emergency;
- Describes the logistical support for planned operations;
- Provides coordinating instructions and provisions for implementing interstate compacts, as applicable;
- Designates a coordinating officer to work directly with the federal coordinating officer;
- Describes how workspace and communication support are provided to the regional liaison officers and other federal teams deployed to the EOC, staging areas or the area directly impacted by the disaster; and
- Assists the federal coordinating officer in identifying candidate locations for establishing the joint field office (i.e., the primary federal incident management field facility).

3.3. Local-Level Plans

Although local governments may not organize their response or EOC operations exactly the same way that state, Tribal Nation, territorial or insular area governments organize theirs, local EOPs should take such differences into account to enable local government interoperability with state, Tribal Nation, territorial or insular area government plans. Local functions focus on actions necessary to save lives and alleviate suffering immediately following a disaster. Local jurisdictions should work with their state, Tribal Nation, territorial or insular area partners to identify and address potential gaps and clearly delineate roles, responsibilities and structures.

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

- Identifies the departments and agencies designated to perform response and recovery activities and specifies tasks they are expected to accomplish;
- Outlines the integration of assistance available to local jurisdictions during disaster situations that generate emergency response and recovery needs beyond what the local jurisdiction can satisfy;

- Specifies the direction, control and communications procedures and systems that alert, notify, recall and dispatch emergency response personnel; warn the public; protect residents and property; and request aid/support from other jurisdictions and/or the state, Tribal Nation, territorial or insular area government;
- Provides coordinating instructions and provisions for implementing MAAs, as applicable; and
- Describes the logistical support for planned operations.

Community Spotlight: Northwest Central Joint Emergency Management System's Approach to Developing EOPs Across Municipalities

Northwest Central Joint Emergency Management System (JEMS) is a cooperative effort that consists of 11 municipalities in northwest Cook County, Illinois. The goal of JEMS is to bolster the region's emergency management services through standardization, cooperation and collaboration. At its inception, JEMS set a priority to standardize EOPs across the municipalities using consistent terminology and a formalized planning approach. JEMS used CPG 101 as foundational guidance for EOP revisions, providing a consistent approach to planning within the region.

Based on the variety of functions that each jurisdiction performed, JEMS decided to adopt the Emergency Support Function (ESF) plan style. Using the ESF structure ensured that each jurisdiction developed its annexes based on the performed functions, allowing for consistency and flexibility across various department structures in each municipality.

The adoption of a common approach to planning provides the municipal EOPs with a common language and a common structure across the region, allowing jurisdictions to coordinate resources in a streamlined manner. Municipalities are now better able to identify mutual aid agreements, supporting agencies and private partners during emergencies and disasters.

This page intentionally left blank

Identifying the Right Plan for the Job

This chapter shifts from theory to application by examining different types of EOPs and how they fit the needs of a jurisdiction.

1. The Emergency Operations Plan

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

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

A jurisdiction's EOP is a document that:

- Identifies the organizations and individuals who are responsible for carrying out specific actions during an emergency;
- Explains the pertinent lines of authority and organizational relationships;
- Provides a description on how activities are coordinated to unify response and recovery efforts;
- Describes how people (including unaccompanied minors, individuals with disabilities, others with access and functional needs and individuals with limited English proficiency) and property are protected;
- Addresses the disproportionate impact of incidents on people experiencing persistent poverty and other resource gaps;
- Identifies personnel, equipment, facilities, supplies and other resources available within the jurisdiction or by agreement with other jurisdictions;[22]

[22] Some jurisdictions list and track resources in separate resource guides rather than in their EOPs, since resources change often.

- Describes how resource requirements are coordinated with neighboring jurisdictions, private sector entities and nonprofit organizations; and
- Complements and integrates with plans that address other mission areas.

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

EOPs typically contain annexes appropriate to the jurisdiction's organization and operations. EOPs pre-designate a jurisdictional lead agency and/or functional area representatives to the incident command, unified command or MAC group whenever possible to facilitate responsive and collaborative incident management. Including an organizational chart helps partners and stakeholders understand reporting structures within the response effort.

Incident response and short-term recovery set the stage for long-term recovery. While EOPs often cover short-term recovery actions that are natural extensions of response activities, they do not typically detail long-term recovery actions. Response actions and some post-disaster recovery issues are time-sensitive, such as the rebuilding and placement of temporary housing facilities. Advance planning makes performing these tasks easier. However, the EOP should address transition to a long-term recovery plan and the deactivation of response assets.

Prioritizing Pre-Disaster Recovery Planning

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

FEMA provides extensive guidance for pre-incident recovery planning. For more information, see the National Disaster Recovery Framework and FEMA's pre-disaster recovery planning guides for state, local and Indian tribal governments.[23]

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

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

In the nation's system of emergency management, the local government acts first to address the public's emergency needs. Depending on the nature and size of the emergency, state, local, Tribal Nation, territorial, insular areas and federal assistance may be provided to support local response operations. Local EOPs focus on the emergency measures that are important for protecting the public. At a minimum, these measures include priorities such as warning, emergency public information, evacuation, shelter, security, emergency medical care and tactical communications.

States, territories, Tribal Nation organizations and insular area organizations play three roles: assisting local jurisdictions, responding first to certain emergencies, and working with the federal government when federal assistance is necessary. Local plans emphasize interoperability with state, Tribal Nation, territorial or insular area EOPs to optimize unity of effort.

A planning team's main concern is to include essential information and instructions in the EOP. FEMA does not recommend a particular format for EOPs. Any format is acceptable if users understand it and can quickly find and apply the information they need when incidents occur.[24] In designing a format for an EOP, the planning team should consider several key factors, including organization, progression, consistency, adaptability, compatibility and the whole community (see the following checklist).

Deciding on an EOP Format

- ☐ **Organization**. Do the EOP section and subsection titles help users find what they need, or must users sift through information that is not relevant? Can individual plan components be revised without forcing a substantial rewrite of the entire EOP?
- ☐ **Progression**. In any one section of the EOP, does each element seem to follow from the previous one, or are some items strikingly out of place? Can readers grasp the rationale for the sequence and scan for the information they need?
- ☐ **Consistency**. Does each section of the EOP use the same logical progression of elements, or must readers reorient themselves to each section?
- ☐ **Adaptability**. Does the EOP's organization make it easy to use during unanticipated situations?
- ☐ **Compatibility**. Does the EOP format promote coordination with other jurisdictions, including the state and/or federal government?
- ☐ **Whole Community**. Does the EOP appropriately address the needs of all populations within the community including those with disabilities or others with access and functional needs?

[24] Some states, territories, Tribal Nation and insular areas have legal requirements for local EOPs.

2. Structuring an Emergency Operations Plan

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

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

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

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

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

Questions to Consider: Integrating Incident Response and Recovery

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

2.1. Function-Focused Format

The functional structure is probably the most commonly-used EOP format. Traditionally, a function-focused format has three major sections: the base plan, functional annexes and hazard-specific annexes (see Figure 3).

Figure 3: Example Function-Focused EOP Format

- **The base plan** provides an overview of the jurisdiction's emergency management system, including its preparedness and response strategies.

- **Functional annexes** are individual sections focused on missions (e.g., communications, damage assessment, private sector coordination). These annexes describe the organizations that support the function; their actions, roles and responsibilities; and the resources, capabilities and authorities that each organization brings to the response. Functional annexes describe how the jurisdiction manages the function before, during and after the emergency.

- **Threat- or hazard-specific annexes** describe the policies, situation, CONOPS and responsibilities for particular threats and hazards. They explain the procedures that are unique to a threat or hazard type. For example, the mutual aid/multi-jurisdictional coordination annex may describe how a jurisdiction obtains resources from neighboring jurisdictions. The pandemic annex may note that neighboring jurisdictions may not be able to share resources due to their own needs. This information should be included in the pandemic annex because it differs from the strategy outlined in the mutual aid annex. Strategies already outlined in a functional annex should not be repeated in a threat- or hazard-specific annex.

The functional EOP format also uses a specific outline to define the elements of each annex. Using this format enables EOP users to find information more easily because the same type of information is in the same location in each annex.

The function-focused format flexibly accommodates a wide range of jurisdictional strategies. The planning team can add functional annexes as new functions are identified. Similarly, the team can quickly separate an operational function (e.g., mass care) into two separate annexes (e.g., sheltering and feeding, distribution of emergency supplies). New hazard or threat annexes can be added quickly when new threats or hazards are identified.

2.1.1. EXAMPLE FUNCTIONAL STRUCTURE: USING EMERGENCY SUPPORT FUNCTIONS FROM THE NATIONAL RESPONSE FRAMEWORK

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

Figure 4 shows an example ESF-based EOP format, reflecting the 15 ESFs used by the federal government. While states and other jurisdictions that use ESFs use most of the same ESFs, some have modified the list to meet their needs. Many states, for example, include a Military Support ESF to coordinate the state's National Guard activities. Examples of other state ESFs include law enforcement, agriculture and animal protection, and business and industry. The EOP format should reflect the ESFs that the jurisdiction uses.

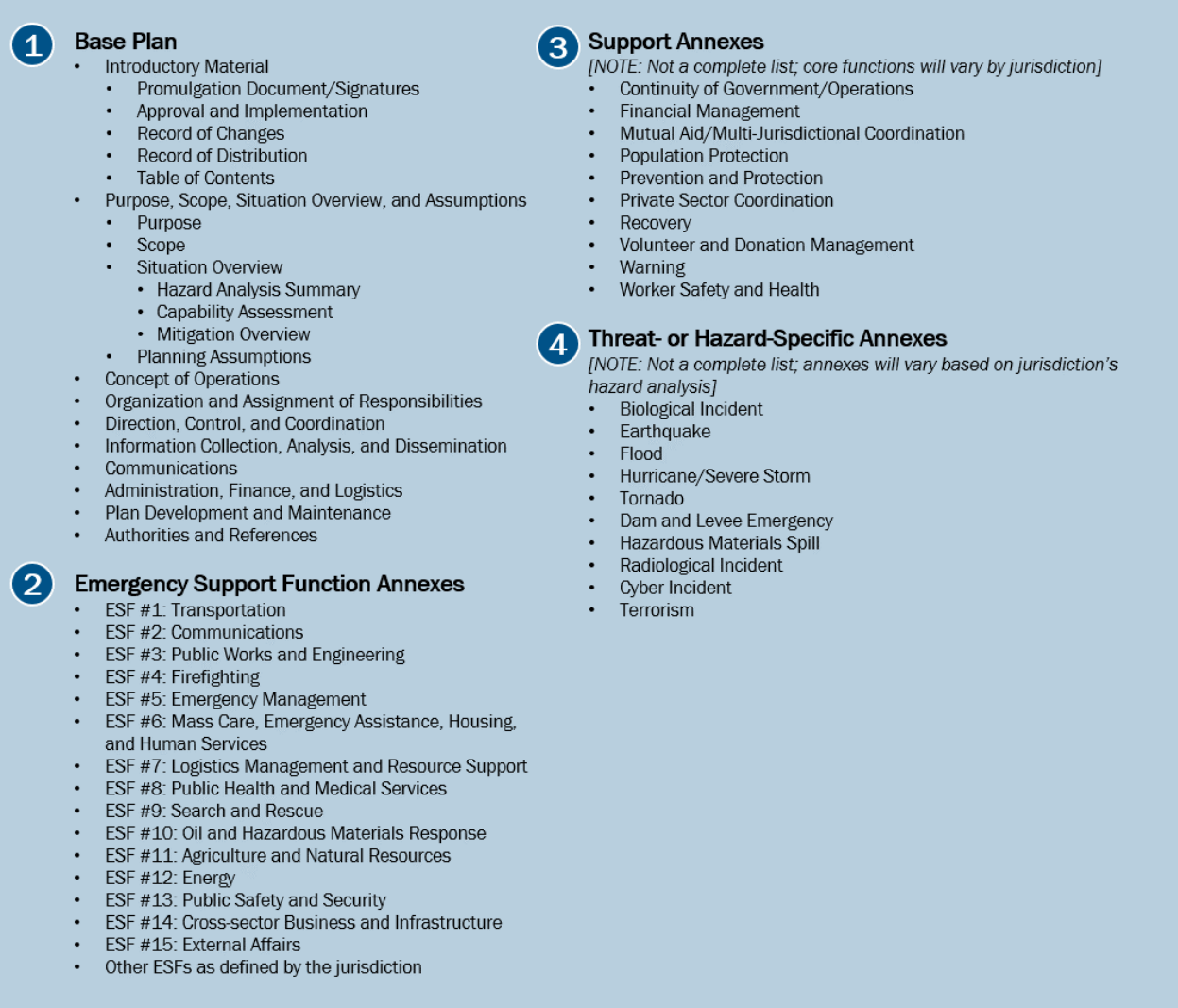


Figure 4: Example Functional EOP Format Based on the NRF and Federal ESFs

This format typically includes the following elements:

- **The base plan** provides an overview of the jurisdiction's emergency management system, including its preparedness and response strategies. It briefly explains the hazards the jurisdiction faces, capabilities, requirements and the jurisdiction's emergency management structure. It also reviews expected mission execution for each emergency phase and identifies the agencies that have the lead for the different ESFs.

- **The federal ESF annexes**, which supplement the NRF, identify the ESF coordinator and the primary and support agencies for each function. ESFs with multiple primary agencies should designate an ESF coordinator to coordinate pre-incident planning. The ESF annexes also describe expected mission execution and identify tasks assigned to members of the ESF, including nonprofit and private sector partners. Note: The example in Figure 4 follows the federal ESFs.

- **Support annexes** identify agencies that play supporting roles during emergencies and describe or address the strategies that the supporting agencies implement. In this way, support annexes describe other mechanisms that private sector, nonprofit organizations and government partners use to organize support. Support annexes describe essential supporting processes and considerations common to most incidents. For example, NRF support annexes include financial management, international coordination, public affairs, tribal relations, volunteer and donations management and worker safety and health. A recovery annex could also reflect RSFs and address issues such as community planning and capacity building, economic recovery, health and social services, housing, infrastructure systems and natural and cultural resources.

- **Threat- or hazard- specific annexes** describe the policies, situation, CONOPS and responsibilities for particular threats and hazards:

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

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

  - **The CONOPS** describes the flow of the emergency management strategy for a mission or set of objectives to reach a desired end state. It identifies special coordination structures, specialized response teams, or resources needed, and other considerations unique to the incident or hazard.

  - **The responsibilities section** identifies the coordinating and cooperating agencies involved in a hazard- or threat-specific response.

2.2. Agency-/Department-Focused Format

This EOP format addresses each department or agency's tasks in a separate section. In addition to the base plan, this format includes lead and support agency sections and hazard-specific procedures for the individual agencies (see Figure 5).

Figure 5: Example Agency-/Department-Focused EOP Format

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

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

- **The hazard-specific procedures annexes/sections** address the unique preparedness, response and recovery strategies relevant to each department or agency for specific disaster types. The hazard-specific procedures can be part of each agency annex/section or be attached to the base plan as separate annexes.

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

3. Using Plan Templates

Managers and planners, particularly at the local level, recognize that developing a plan demands a significant commitment of time, effort and resources. To ease this burden, many planners and

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

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

When using a planning template, planners should consider whether:

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

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

Questions to Consider: Using Planning Templates to Develop EOPs

- How similar is the template to the planning team's jurisdiction in terms of demographics, risks and hazards, response structures and capabilities and level and type of government?
- What changes to the template are required so that it reflects the unique characteristics of the planning team's jurisdiction?

4. Additional Types of Plans

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

- **Administrative plans** describe policies and procedures to support a governmental endeavor. Typically, they primarily deal with internal processes. Examples include plans for financial management, personnel management, records review and labor relations activities. Such plans are not typically part of EOPs. However, planners should reference administrative plans in the EOP if they apply during emergencies. Planners should make similar references in the EOP for exceptions to normal administrative plans permitted during emergencies.

- **Comprehensive emergency management plans (CEMPs)** are plans that some jurisdictions develop and that vary in terms of purpose and content. In some cases, the CEMP is the jurisdiction's EOP. In many jurisdictions, however, the CEMP represents broader guidance describing the jurisdiction's overall emergency management program, including preparedness, mitigation, response and recovery. Some jurisdictions have laws that characterize the plan as a CEMP or EOP, prescribe its contents and influence other plan attributes.

- **Continuity plans** address how the whole community provides critical services and conducts essential functions when normal operations are disrupted. Both of the following types of continuity plans should complement EOPs, and EOPs should address how continuity plans enable the continuation of vital services, including emergency response activities, when normal facilities, personnel or other resources are unavailable.

    - **Continuity of operations (COOP) plans** outline essential functions and services to perform and deliver, and how to do so, if an incident disrupts normal operations. They also address the timely resumption of normal operations once the emergency has ended. COOP plans address the continued performance and delivery of core capabilities and critical operations during any potential incident.

    - **Continuity of government (COG)** is an outcome of continuity planning and the continuity capabilities that support it. COG planning efforts and COG plans prepare jurisdictions to preserve or reconstitute statutory, constitutional, legislative and administrative responsibilities and authorities at all levels of government when an incident affects government organizations that hold roles in emergency response and recovery.

- **Department-/agency-based operational plans** provide details on how an agency or department carries out assignments identified in EOPs. While EOPs do not normally include procedural language, department/agency-based plans often do contain procedural guidance.

- **EOC action plans** serve a purpose similar to incident action plans (IAPs): to focus EOC staff on EOC objectives and nonroutine EOC tasks to be completed during a given EOC operational period (typically a shift or a day).

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

- **IAPs** are iterative operational plans that incident management teams develop prior to each operational period (typically every 12 or 24 hours) during incident response. IAPs list the objectives established by the incident commander or unified command and specify tactics and planned resource utilization during the operational period. Effective EOPs guide and facilitate the development of IAPs during the operational periods immediately following an incident. As situational awareness improves over the hours and days following the incident, planners increasingly rely on ground truth to guide incident planning and operations.

- **Joint operational plans** or **regional coordination plans** typically involve multiple levels of government to address a specific incident or a special event. Standing plans should be an annex to the related EOPs, while special events plans should be standalone supplements based on the information contained within the related EOPs.

- **Recovery plans** developed prior to a disaster help jurisdictions identify needs, develop options, implement solutions, direct recovery activities and expedite a unified recovery effort. Pre-incident planning performed in conjunction with community development planning helps establish recovery priorities, incorporate mitigation strategies in the wake of an incident and identify options and changes to consider or implement after an incident. Post-incident community recovery planning integrates the range of complex decisions in the context of the incident and works as the foundation for allocating resources. While the focus of recovery planning differs from EOPs, many of the same partners support both activities. These partners are able to apply a broad perspective that benefits both initiatives.

Community Spotlight: District of Columbia Homeland Security and Emergency Management Agency District Services Construct

The District of Columbia Homeland Security and Emergency Management Agency created a preparedness construct within their EOP format that promotes the use of common terminology, sets clear roles and responsibilities across all elements of emergency management, and reduces the plan management burden following development of the EOP. The District's services construct empowers agencies and partners to articulate, in their own terms, the discrete services they provide to each other or the community before, during, and after emergencies and disasters. These services—described in plain language—serve as the building blocks for plan and capability development and can easily be mapped back to Emergency Support Functions, the 32 core capabilities, the seven community lifelines, and subject areas addressed by Emergency Management Accreditation Program (EMAP) standards. This approach highlights the flexibility enabled by CPG 101 and the six-step planning process.

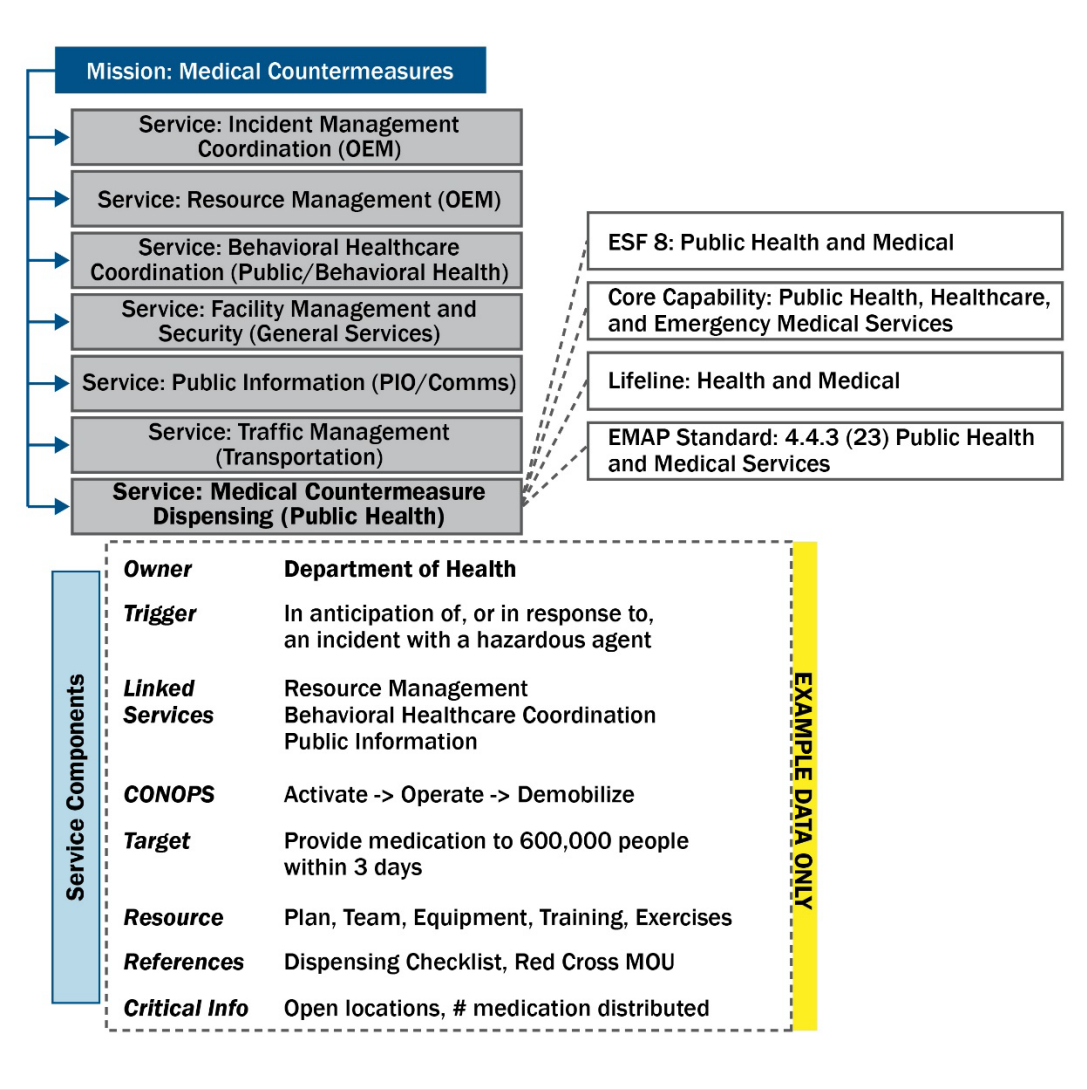
Services are an agency's specific roles, responsibilities, tasks, or activities that are documented in an agency's plans. The service plan model is different from traditional planning concepts because each plan identifies:

- A single agency that owns (and self-defines) the service capabilities;
- The critical information requirements needed to activate each service;
- The CONOPS for the service to be executed;
- Target and desired delivery levels of the service;
- Other linked services to fulfill a mission;
- Required resources to execute the service;
- Known resource gaps that prevent achieving the target delivery level; and
- Strategies for filling gaps quickly during an emergency (i.e., surge capacity).

Every service plan is attached as an appendix to the EOP and may be combined with other service plans to create hazard-specific checklists, EOC position guides, and/or job aids for responders in the field. They can also be bundled to form mission plans (e.g., family assistance center/victim information center plan). Service plans, and any pre-defined mission plans or hazard checklists, allow jurisdictions to quickly create incident-specific playbooks or EOC action plans with little lead time. Following an event, plans stay more up-to-date since single-agency ownership allows owners to update their individual service plans during the after-action review.

Developing service plans as part of the EOP facilitates direct engagement with whole community partners and enhances a jurisdiction's common operating picture. Allowing organizations or agencies to identify and define the discrete roles (services), capabilities, tasks and gaps in their own words reduces reliance on planning assumptions and encourages accountability by agencies to deliver their own capabilities. Additionally, it heightens

transparency so that the whole community, not just the planners, understand the roles and responsibilities of all agencies and partner organizations during an emergency.



4.1. Procedural Documents

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

Information and instructions for individuals or groups should appear in procedural documents. The EOP should reference procedural documents as appropriate.

For many responsibilities outlined in the EOP, it is sufficient to assign the responsibility to an individual (by position or authority) or organization and specify the assignee's accountability to whom

the person reports or with whom the person coordinates. For example, a plan assigning responsibility for extinguishing fires to the fire department would not detail procedures used at the scene or specify the appropriate fire equipment. In this situation, the EOP would defer to the fire department's SOPs/SOGs. However, the plan would describe the relationship between the incident commander and the organization directing the jurisdictional response to the emergency.

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

- **Overviews** are brief concept summaries of an incident-related function, team or capability. Overview documents are of two types: explaining general protocols and procedures or describing a specific functional team or area.

    - Overviews that explain general protocols and procedures bridge functional or hazard-specific planning annexes and procedural documentation. This type of overview could contain an EOC layout, describe activation levels and identify the functions or sections responsible for planning, operational and support activities. An easy way to develop an overview document is to review the assignments and responsibilities outlined in the EOP and reference the procedures developed to fulfill them in the overview.

    - Overviews that are specific to a functional team or area describe the general responsibilities and tasks of a functional team or area. This type of overview provides information to supporting personnel to aid in activities related to the function, team or capability summarized by the document. It identifies qualifications to support the team, provides a summary of operational procedures and defines possible missions in greater detail than in plan annexes. As an example, the overview document addressing transportation would describe the purpose of this function, composition of support personnel, requirements for the team or branch and missions that might be required. It might also identify hazards or conditions that determine when missions are assigned. A successful overview document helps orient new arrivals.

- **SOPs/SOGs** are complete reference documents that identify the purpose, authorities, duration and details of the preferred method to perform a single function or a number of interrelated functions. SOPs/SOGs often describe processes that evolved over years or document common practices to capture institutional experience of an organization. SOPs/SOGs are sometimes task specific (e.g., how to send emergency messages to the public using the Integrated Public Alert and Warning System [IPAWS], sirens or other local mass notification systems). SOPs/SOGs should grow naturally out of responsibilities identified and described in the EOP. Staff members who typically engage in emergency activities should develop the procedures in an SOP/SOG. The planning team works with senior representatives of tasked organizations to make SOPs/SOGs available and confirm that they do not conflict with the EOP or one another.

Contents of SOPs/SOGs

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

- FOGs or handbooks are durable pocket or desk guides for performing specific assignments or functions. FOGs are short-form versions of SOPs/SOGs that provide individuals assigned to specific teams, branches or functions with information about the procedures they are likely to perform or portions of an SOP/SOG appropriate for the missions they are likely to complete. When combined with the overview document, they give an accurate picture of the positions these individuals fill. FOGs or handbooks may also include administrative procedures.

- Job aids are checklists, maps, etc., that help users perform specific tasks. Other examples include telephone rosters, report templates, software or machine operating instructions and task lists. Job aids are often included to help EOC personnel complete their assigned tasks or to foster consistency. Job aids may also reduce complexity or the opportunity for error in executing a task (e.g., providing a lookup chart of temperature conversions rather than providing a formula for calculating the conversion).

The Planning Process

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

1. Steps in the Planning Process

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

Figure 6 depicts steps in the planning process. At each step, jurisdictions should consider the impact of their decisions on training, exercises, equipment and other requirements. Although planning involves a consistent set of activities, the process is not strictly linear and includes iterative cycles of review and collaboration. Outputs from each step lead to greater understanding by the planning team and leadership of key issues and shape the contents of the plan.

Figure 6: Steps in the Planning Process

1.1. Step 1: Form a Collaborative Planning Team

Experience and lessons learned indicate that operational planning is best performed by a team. A team or group approach helps organizations define the roles they play during an operation. Case

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

A community benefits from the participation of a variety of stakeholders across the community in the planning process. Some tips for assembling the team include the following:

- **Plan ahead.** The planning team should receive adequate advance notice regarding the location and time of the planning meeting. If time permits, ask the team members to identify time(s) and place(s) that work for them.

- **Provide information about team expectations.** Planners should explain why participating on the planning team is important to the participants' agencies and to the community itself, showing how contributions lead to more effective operations. In addition, planners should outline the budget and other project management concerns early in the process.

- **Ask the elected or appointed official or designee to sign the meeting announcement.** A directive from the executive office carries the authority of the elected and/or appointed official. The directive notifies the participants of their expected attendance and participation and the importance of operational planning to the community.

- **Allow flexibility in scheduling after the first meeting.** Not all team members need to attend all meetings. In some cases, task forces or subcommittees can complete the work. When the planning team uses this option, it should provide project guidance (e.g., timeframes, milestones) but let the subcommittee members determine when it is most convenient to meet.

- **Consider using external facilitators.** Third-party facilitators can perform a vital function by keeping the process focused and mediating disagreements.

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

1.1.1. IDENTIFY CORE PLANNING TEAM

In most jurisdictions, the emergency manager or homeland security manager is the elected and/or appointed official's policy advisor for mitigation, response and recovery strategies, as well as overall preparedness. The emergency manager or homeland security manager may also be the prevention and protection advisor if a law enforcement official or other designated advisor does not fill that role. In these roles, emergency managers or homeland security managers are often responsible for coordinating and developing an EOP, acting as lead planner. This means that the emergency

manager provides oversight to a jurisdiction's planning team. However, other government agencies or departments may have statutory authority and responsibility that overlap or complement this responsibility. For example, law enforcement officials often have the lead in addressing prevention and protection, while public health entities would address unique epidemiological issues.

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

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

Building the Planning Team

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

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

Engaging the jurisdiction's elected and/or appointed officials in the planning process is also important. Some planners host a kickoff meeting for these officials before the planning process begins. Senior leaders' commitment can demonstrate their support for the planning process throughout the organization.

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

- Agriculture;
- Animal control;
- Childcare, child welfare and juvenile justice facilities (including courts);
- Civic, social, faith-based, educational, professional, advocacy, trade and other nonprofit organizations;
- Community planning and economic development;

- Cybersecurity;
- Education;
- Emergency management (including continuity and recovery planners);
- EMS;
- Fire services;
- Hospitals and healthcare facilities;
- Housing authority;
- Law enforcement;
- National Guard;
- Private sector;
- Public health;
- Public works;
- Social services;
- Transportation; and
- Utility operators.

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

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

1.1.2. ENGAGE THE WHOLE COMMUNITY IN PLANNING

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

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

Including individuals with disabilities or others with specific access and functional needs and individuals with limited English proficiency is important to a community-based planning process. Civic leaders and representatives of community-based, nonprofit, faith-based, humanitarian and human

services organizations are indispensable to help develop a plan reflective of the community. These individuals and organizations can validate assumptions about public needs, capabilities, resources and reactions.

Because many planning assumptions and response activities directly impact the public at large, it is important to involve a variety of stakeholders representing the whole community during planning, validation and implementation. Potential roles include support to planning teams, public outreach and establishing community emergency response teams (CERTs). Planners can obtain assistance from the local emergency planning committee (LEPC). Some tribal organizations have established tribal emergency planning committees (TEPCs) which are comparable to LEPCs. These pre-established partnerships and relationships are important for leveraging subject matter expertise and resources.

The private sector is key to community engagement. They are often the primary providers of critical services to the public and have unparalleled expertise in managing their systems. Businesses and infrastructure owners and operators possess knowledge and resources that can supplement and enhance preparedness, response and recovery efforts organized by public sector partners. Private sector and government missions often overlap. Early coordination with private sector partners enhances information and resource sharing and helps establish common goals and objectives. Ultimately this enhances unity of effort and can help to prevent or mitigate cascading failures. Government and private sector partners are also instrumental in stabilizing supply chains and distribution networks that safeguard public health and safety and underpin commercial functions in communities. Given the key role that the private sector plays in any disaster, relevant businesses and infrastructure partners should be included as active participants in preparedness, including developing EOPs and participating in jurisdictional training and exercise programs.

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

FEMA's A Whole Community Approach to Emergency Management: Principles, Themes, and Pathways for Action describes numerous factors that contribute to community resilience and effective emergency management outcomes for all types and sizes of threats and hazards.[25] The FEMA publication outlines three principles for establishing a whole community approach to emergency management planning, along with six strategic themes identified through research, discussions and examples provided by emergency management practitioners (see Figure 7). These

[25] Access this document at https://www.fema.gov/sites/default/files/2020-07/whole_community_dec2011__2.pdf.

themes speak to the ways that planners can effectively employ the whole community approach in emergency management and, as such, represent pathways for action to implement the principles.

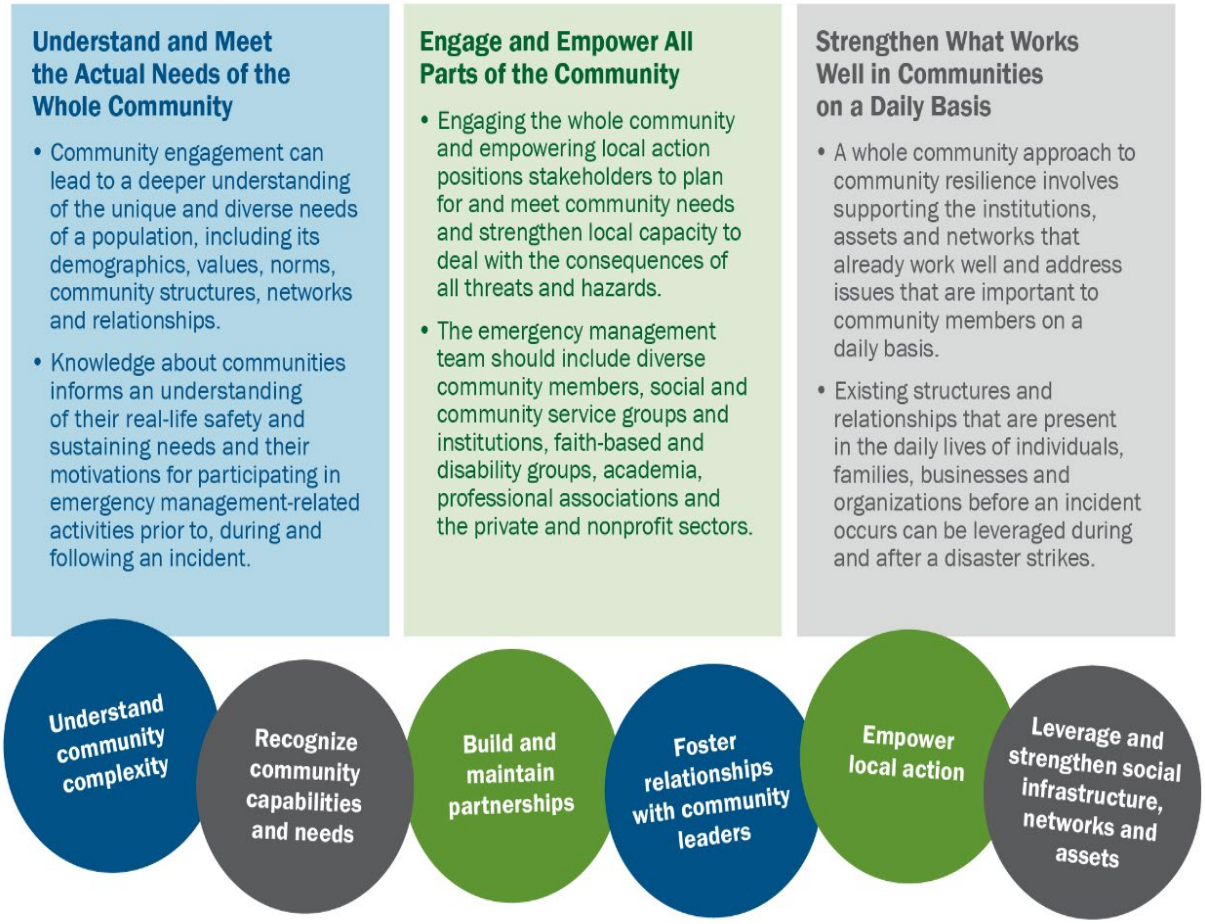


Figure 7: Strategic Themes for Community-Based Planning

1.2. Step 2: Understand the Situation

This step of the planning process is critical to confirming that a jurisdiction's plans are risk-based, reflect the needs of the population and account for resources that may be required to assist individuals affected by disasters. One initial action is to build a solid understanding of the socio-demographic characteristics of the community and to think critically about how this information can inform EOP development, including fair and impartial delivery of services to all community members. Community information provides the basis for estimating support needs, such as sheltering, transportation or disability and access and functional needs accommodations.[26]

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

Planners should consult authoritative sources, such as the United States Census Bureau's American Community Survey (ACS),[27] to obtain trusted demographic, economic, social and housing data. Basic GIS tools may also be useful to planners in understanding their jurisdiction's characteristics and composition.[28] In addition, planners can integrate relevant data and analysis generated through state and local hazard mitigation planning processes.

Also important is the process of identifying critical infrastructure and understanding, at a high level, how it supports core functions in the community. For instance, having a basic understanding of utility services—including where they are located, who owns them, how are they regulated, how the jurisdiction uses them and what they need to remain operational—can allow planners to consider strategies for maintaining or restoring them in a disaster. Another consideration is the private and nonprofit sector partners who provide goods and services to communities, maintain supply chains and sustain employment and tax bases. Information collected during this phase of the planning process may include geospatial data, contact lists and summary information about critical infrastructure, businesses and nonprofits. Additionally, planners may consider using FEMA's Resilience Analysis and Planning Tool (RAPT), which enables users to analyze socio-demographic, infrastructure and hazard data and consider how this information affects a jurisdiction's likely needs following different types of disasters.[29]

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

Analytic Resources

- FEMA sponsors PrepTalks, an ongoing emergency management education series.[30] A 2018 PrepTalk by Dr. Robert Chen, "Who is at Risk? Rapid Mapping of Potential Hazard Exposure," and its associated materials provide tips and templates on using ACS data to help planners effectively analyze socio-demographic datasets to support planning initiatives.[31]

[27] The ACS page is available on the Census Bureau website at https://www.census.gov/programs-surveys/acs.
[28] State, local, Tribal Nation, territorial and insular area planners may have access to GIS capabilities in their emergency management department, planning department, or other departments and divisions. When GIS capabilities are not available at the local level, state governments may provide these services.
[29] For more information on RAPT, see https://www.fema.gov/emergency-managers/practitioners/resilience-analysis-and-planning-tool.
[30] For information on this series or materials associated with specific sessions, see FEMA's PrepTalks webpage at https://www.fema.gov/preptalks.
[31] This PrepTalk is available on FEMA's YouTube channel at https://www.youtube.com/playlist?list=PL720Kw_OojIJiYKDZQwKG7HAgV_qNjbLB.

- FEMA's National Risk Index for Natural Hazards (NRI) is an online mapping application that identifies communities most at risk to 18 natural hazards.[32] The tool visualizes natural hazard risk metrics and includes data about expected annual losses, social vulnerabilities and community resilience.
- The Cybersecurity and Infrastructure Security Agency has protective security advisors in each state who can help planners understand critical infrastructure operations in their jurisdictions. For more information on protective security advisors and how to contact them, e-mail CIOCC.Physical@cisa.dhs.gov.

1.2.1. UNDERSTAND RISK

Risk is the potential for an unwanted outcome resulting from an incident or occurrence, as determined by its likelihood and the associated consequences.[33] Understanding a jurisdiction's risks helps planners anticipate response and recovery requirements and estimate the likelihood and magnitude of incidents that may occur in their jurisdiction.

One method to identify risks is through FEMA's Threat and Hazard Identification and Risk Assessment and Stakeholder Preparedness Review (THIRA/SPR) processes.[34] They provide guidance on identifying and categorizing threats and hazards. The THIRA/SPR processes help planners determine the levels of capability needed to respond to those threats and hazards. Finally, by clarifying the response capabilities needed, the THIRA/SPR processes assist jurisdictions in addressing the preparedness gaps.

Regardless of the process employed, planners should start risk assessment efforts by conducting research and analysis on the jurisdiction's threats and hazards. Threats may include things like terrorist attacks while hazards include both natural phenomena such as hurricanes and wildfires as well as technological incidents like a chemical release or a dam failure. Planners should also consider drivers of risk such as changes in the frequency and severity of different hazards or income and resource constraints (which can magnify the consequences of a disaster). They should also consider non-traditional events where emergency management organizations may play a supporting role (e.g., cyber incidents or public health emergencies). Hazard mitigation plans, THIRAs, fusion centers, local academic institutions, the NRI, and RAPT are resources that planners can use to elicit threat and hazard information that is relevant to their community.

Next, planners must add context to each threat or hazard to help analyze the potential consequences of an event within the jurisdiction. These contextual factors may include:

---

[32] More information on FEMA's National Risk Index is posted at: https://www.fema.gov/flood-maps/products-tools/national-risk-index.
[33] Department of Homeland Security Risk Lexicon. June 2010. https://www.cisa.gov/dhs-risk-lexicon.
[34] For more information on THIRA/SPR, see FEMA's National Risk and Capability Assessment webpage at https://www.fema.gov/emergency-managers/risk-management/risk-capability-assessment.

- Probability or frequency of occurrence;
- Magnitude (i.e., the physical force associated with the hazard or threat);
- Intensity and severity of the threat or hazard (i.e., the expected impact or damage and the potential for changes to estimated intensity and severity);
- Speed of onset (how fast the hazard or threat can impact the public);
- Time to warn the community;
- Time to implement protective actions;
- Duration (how long the hazard or threat will be active);
- Location of the incident;
- Potential size of the affected area; and
- Cascading effects and potential impacts for all members of the jurisdiction.

Planners can further build context by combining threat and hazard information with socio-demographic, ecological, and critical infrastructure datasets to examine how disaster consequences may impact the jurisdiction and which segments of the community may be most impacted.

Using these inputs, planners can characterize risk qualitatively (e.g., high, medium, low) or quantitatively (e.g., a specific return period for a flood with discrete consequence metrics for population and infrastructure impacts). Planners should use the method that best enables risk-informed planning for their jurisdiction. This characterized risk may present itself in qualitative or quantitative form, based on the threat or hazard. For example, if a community is susceptible to wildfires, the risk may normally be described as high, medium or low. If there are historical records on past wildfires, however, that information may enable planners to characterize the risk more precisely using a numeric scale.

1.2.2. USE THE RESULTS OF RISK ANALYSIS

Using the results of a formal risk analysis, the planning team can compare and prioritize risks to determine which hazards or threats merit special attention in planning. Risk assessment processes face challenges from incomplete data, partial stakeholder engagement and the inherent uncertainty in analyzing the likelihood and consequences of different threats and hazards. Consequently, results are never perfect, and real incidents often present unanticipated requirements for emergency managers. However, this assessment process is valuable in setting a baseline understanding for an EOP. Additionally, by using the results of a risk analysis, community planners can identify resource requirements. They may also gain valuable insights that help them develop more accurate incident-specific annexes.

Additionally, risk assessments generate facts and assumptions.

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

- **Assumptions** are elements of information accepted by planners as true in the absence of facts. Assumptions enable planners to envision expected conditions in an operational environment.

As plans are implemented, planners replace assumptions with facts from the actual situation. For example, when producing a flood annex, planners may assume the location of the water overflow, size of the flood hazard area and speed of the rise in water. If a flood event does occur, the actual data should inform an update to the assumptions in the plan.

The improved understanding of the community's situation in light of the risk assessment can help planners determine response goals and objectives (Step 3), identify response courses of action (Step 4), evaluate the validity of the plan (Step 5), and exercise the plan and identify training requirements (Step 6).

1.3. Step 3: Determine Goals and Objectives

1.3.1. DETERMINE OPERATIONAL PRIORITIES

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

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

Requirements can be rooted in the given hazard or threat and how that hazard or threat affects the operation of essential government and business functions. Planners must account for the community's need to safeguard, stabilize and restore these essential functions and services (e.g., community lifelines such as safety and security; food, hydration and shelter; health and medical; power and fuel; communications; transportation; hazardous materials, water systems).

Some response requirements are common to many hazards. An example is the potential need for emergency refueling during a large-scale evacuation. Subsets of this requirement may include the need to find a site for refueling, identify a fuel supplier, identify a fuel pumping method, control traffic and collect stalled vehicles. Once the requirements are identified, the planning team restates them as operational priorities and affirms those priorities with the senior official.

1.3.2. SET GOALS AND OBJECTIVES

Goals and objectives describe the desired outcomes and interim steps to achieve them. Clearly specifying goals and objectives and having buy-in from all partners fosters unity of effort and consistency of purpose across the individuals and organizations involved in executing the plan.

- **Goals** are general statements that describe the intended outcomes. Often expressed as descriptions of the desired outcome, state, local, Tribal Nation, territorial and insular area goals are what personnel and equipment resources are intended to achieve. Goals help identify when major elements of the response and recovery are complete and when the operation is successful.

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

EOP Objectives and Incident Objectives

The objectives for an EOP that planners identify should not be confused with incident (or EOC) objectives, which incident commanders (or the unified commands) establish during actual incident operations as a step in incident action planning.

- EOP objectives are typically broad and define what the EOP should achieve.
- Incident objectives identify the specifics of what the incident commander or unified command wants to achieve during the next one or more operational periods.

Some EOPs or hazard-specific annexes include suggested incident or EOC objectives for the initial operational periods for incident commanders, unified commands or EOC leadership to use or modify.

1.4. Step 4: Develop the Plan

1.4.1. DEVELOP AND ANALYZE COURSES OF ACTION

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

When developing courses of action, planners depict how an operation unfolds by building a portrait of the incident’s actions, decision points and participant activities. This process helps planners identify tasks that occur immediately at incident initiation, tasks that are focused mid-incident and

tasks that affect long-term operations. The planning team should use tools that help members visualize operational flow, such as a whiteboard, sticky note chart or project management or planning software. Community lifelines are another useful resource that can inform planning team efforts. The lifelines framework can help planners as they identify and prioritize potential actions to stabilize lifelines by re-establishing key services or developing contingency options.

Courses of Action in a Nutshell

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

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

Developing a course of action follows these steps:

- **Estimate a timeline**. Planners often use an incident's speed of onset to establish an estimated timeline. For example, a hurricane's speed of onset is typically days, while a major hazardous materials spill could occur in seconds. For a multi-jurisdictional or layered plan, the timeline for a particular scenario is the same at all participating levels of government. Because disasters and emergencies are always time-sensitive, leaders should develop and socialize emergency plans well before incidents occur.

- **Identify and depict decision points**. Decision points are places in incident timelines when leaders anticipate choosing courses of action. Decision points and subsequent response actions determine how soon the different response or recovery entities enter the plan. Decision points may also indicate opportune times to make key decisions that would achieve an intermediate objective or response goal (i.e., the desired end state) and how much time is available or needed to complete a sequence of actions. Many factors influence incident decision points, including the nature of the threat or hazard.

- **Identify and depict operational tasks**. For each operational task depicted, some basic information is needed. Developing this information helps planners incorporate the task into the plan. Planners correctly identify an operational task when they can answer the following questions about it:

    - 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 available?
    - What has to happen before the action?
    - What happens after the action?
    - What resources does the responsible person or entity need to perform the action?

The planning team should pause periodically to:

- Identify progress toward the end state, local, Tribal Nation, territorial and insular areas, including goals and objectives met and new needs or demands;
- Identify single points of failure (i.e., tasks that, if not completed, cause the operation to fall apart);
- Check for omissions or gaps;
- Check for inconsistencies in organizational relationships; and
- Check for mismatches between the jurisdiction's plan and the plans of other jurisdictions with which it is interacting.

- **Select courses of action.** Once the analysis described above is complete, planners should compare the costs and benefits of each proposed course of action against the mission, goals and objectives. This comparison allows planners to select the preferred courses of action to move forward in the planning process. Some (but not all) selections need senior approval. Planners should use their best judgment and identify when to elevate the selection of one or more courses of action to the senior elected or appointed official for approval. Where practical, the appropriate official should approve the actions prior to the plan's review and completion.

1.4.2. IDENTIFY RESOURCES

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

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

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

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

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

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

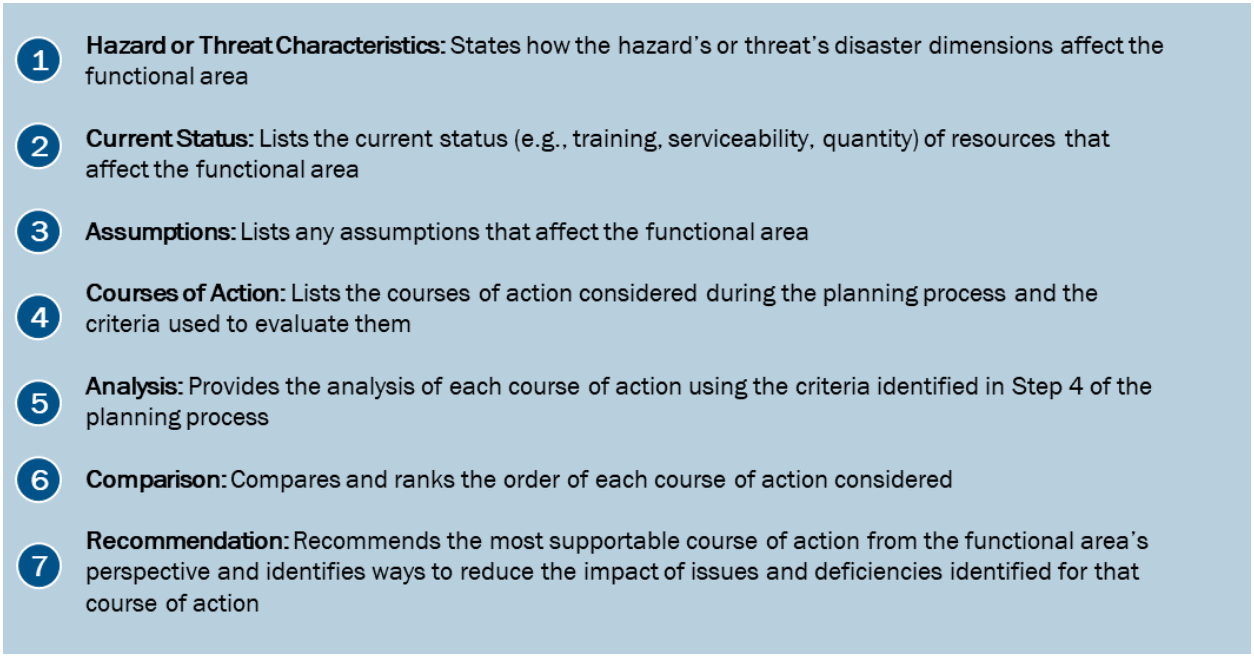


Figure 8: Suggested Format for a Capability Estimate

External Review of Courses of Action

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

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

Without sufficient context, planners could potentially interpret this type of external review process as second-guessing, fault-finding or unnecessary interference in the plan development

process. Thus, the external review process works best when leaders announce and explain its purpose in advance, introduce the reviewers to the planning team, and reinforce that the reviewer role is to help strengthen the plan for the jurisdiction's collective benefit. For their part, reviewers should foster a culture of constructive critical thinking, being creative and objective without being confrontational.

1.4.3. IDENTIFY INFORMATION AND INTELLIGENCE NEEDS

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

1.5. Step 5: Prepare and Review the Plan

1.5.1. WRITE THE PLAN

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

Follow these simple rules to write plans and procedures that readers and users can easily access and effectively use:

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

Active vs. Passive Voice Sentences

- **Passive voice** sentences are not always clear because they de-emphasize who or what is acting. The action happens to the subject. For example, "*The EOC is then activated.*"
- **Active voice** sentences are direct because they indicate the who or what that is doing the action. The subject performs the action. For example, "*The emergency manager then activates the EOC.*"

Use active voice sentences whenever possible in plans.

1.5.2. REVIEW THE PLAN

Planners should check the final plan for compliance with pertinent regulatory requirements and federal and state standards. Pre-decisional, internal reviews of draft plans by senior agency officials can generate useful feedback for the planning team and identify specific improvements for consideration before finalizing the plan. In addition, reviews of plans allow other agencies with emergency or homeland security responsibilities to suggest improvements based on their accumulated experience.

Planners should consult their counterparts in higher levels of government about their plan review cycle. For example, states may review local plans, and upon request, FEMA regional offices may help states review EOPs. Hazard-specific federal programs, such as the Radiological Emergency Preparedness Program, require periodic review of certain sections of the all-hazards plan and may require review of associated SOPs/SOGs.[35] Each time a jurisdiction updates a plan, planners should conduct a risk analysis (as described in Step 2) to ensure that the plan continues to reflect the current risk landscape.

Commonly-used criteria can help decision makers evaluate the effectiveness and efficiency of plans. These measures include adequacy, feasibility, acceptability, completeness and compliance:

- **Adequacy**. A plan is adequate if:
    - The scope and concept of the plan's response or recovery operations identify essential tasks;
    - The plan describes measures that accomplish the assigned mission and comply with pertinent guidance; and
    - The plan's assumptions are valid.

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

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

- **Acceptability**. A plan is acceptable if it:

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

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

- **Completeness**. A plan is complete if it:

    - Incorporates all tasks to be accomplished;
    - Includes all required capabilities;
    - Incorporates the needs of the general population, children of all ages, individuals with disabilities and others with access and functional needs, individuals with limited English proficiency, and other populations within the community.
    - Provides a complete picture of the sequence and scope of the planned response operation (i.e., what should happen, when and at whose direction);
    - Includes time estimates for achieving objectives; and
    - Identifies success criteria and a desired end state.

- **Compliance**. The plan should be consistent with guidance and doctrine, which provide a baseline that facilitates both planning and execution.

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

Reviewers should note that a jurisdiction does not have to provide all the resources needed to meet a capability requirement established during the planning effort. However, the plan should explain

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

The checklists in the Creating an EOP Base Plan and Adding EOP Annexes chapters of this document provide useful benchmarks for reviewers to confirm that base plans and annexes address pertinent elements. An important element of the planning process is deliberately including children, individuals with disabilities and others with access and functional needs, household pets and service animals. The chapter 81 outlines a series of checklists to help jurisdictions meet the needs of these stakeholders in their plans. The jurisdiction can develop similar checklists to address other population sectors, including populations with diverse languages and culture, populations with economic challenges, populations that depend on public transportation and visitors from outside the jurisdiction.

Planning Lessons from COVID-19

Real-world events may force planners to review and revise plans quickly. Certain incidents, such as the COVID-19 pandemic, which impacted communities throughout the country, had such far-reaching and cascading effects that they warranted the review of plans well beyond those focused on public health emergencies. These impacts caused planners to account for public health measures as they revised plans for a variety of threats and hazards. Based on this experience, planning teams may wish to consider establishing a mechanism for the accelerated review and revision of plans when confronting hazards with effects as far reaching as those of COVID-19.

1.5.3. APPROVE AND DISSEMINATE THE PLAN

Once the plan has been validated, the planner should present it to the appropriate elected officials and obtain official approval to promulgate the plan. Promulgation officially announces a plan. Promulgation should comply with pertinent statutes, laws or ordinances. Obtaining the senior official's support and approval is vital to gaining acceptance for the plan. Promulgation also documents who has the authority to make changes to the plan.

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

1.6. Step 6: Implement and Maintain the Plan

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

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

If the EOP or its annexes contain information that is sensitive, the planning team can protect that information. However, authorities should make the rest of the plan widely available, including convenient access for individuals with disabilities and others with access and functional needs or with limited English proficiency.

Jurisdictions should also maintain continuous improvement systems to constantly seek, collect and categorize information that may affect the EOP. Examples include organizational changes, lessons learned and after-action reviews from exercises or actual events, changes in statutory or executive guidance or updates to related plans. Many activities associated with implementing and maintaining EOPs fall within the scope of preparedness grant programs and can be supported through coordinated application of these resources.

1.6.1. TRAIN ON THE PLAN

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

Additional training for relevant organizations helps implement the EOP. FEMA's National Training and Education System consists of a nationwide network of training providers who help build and sustain capabilities across multiple professional disciplines in emergency management, including planning. Through specialized training, emergency management personnel achieve critical skills and measurable capabilities, enabling jurisdictions and organizations to effectively plan for and have

confidence in their personnel responding to emergencies, as well as those from other entities providing mutual assistance.[36]

Finally, an informed public is also key to the successful implementation of the EOP. Public outreach and training can raise awareness within communities about important topics such as emergency information protocols, shelters and potential evacuation processes.

FEMA Training Resources to Support EOP Development and Maintenance

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

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

- IS-130: Exercise Evaluation and Improvement Planning
- IS-235: Emergency Planning
- IS-366: Planning for the Needs of Children in Disasters
- IS-1300: Introduction to Continuity of Operations

1.6.2. 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.[37] In this way, homeland security and other emergency preparedness exercise programs become an integral part of the planning process. Similarly, planners need to be aware of lessons and practices from other communities.

Exercising helps a planning team validate the EOP or supporting guidance to determine if the plan is adequate, feasible, acceptable, complete, and compliant. FEMA's Homeland Security Exercise and Evaluation Program (HSEEP) provides guiding principles for exercise programs and a consistent

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

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

approach to exercise program management, design and development, conduct, evaluation and improvement planning.[38]

HSEEP includes an integrated preparedness cycle that connects the jurisdiction's planning, organizing, equipping, training, exercising, evaluating and improving through an Integrated Preparedness Planning Workshop and resulting Integrated Preparedness Plan that establishes multi-year preparedness priorities.[39] Planners should consider using the results of the risk analysis conducted in Step 2 to guide preparedness priorities and activities and determine exercise needs. Planners should also consider how each element of the Integrated Preparedness Cycle–such as corrective actions; changes in the organization/jurisdiction structure and available equipment; and training needed to execute the EOP—relates to the EOP.

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

Improvement planning helps a planning team identify specific areas for improvement and corrective actions for the EOP. Improvement planning is based on collecting and analyzing exercise after-action reports, post-incident critiques, self-assessments, audits, administrative reviews or lessons learned. Through improvement planning, jurisdictions and organizations document areas for improvement and track implementation of corrective actions to improve plans, build and sustain capabilities, and improve preparedness. Following exercises and real-world events, the EOP planning team should discuss findings and consider whether and how to improve the EOP or supporting guidance.

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

[38] Information about HSEEP is available at https://www.fema.gov/emergency-managers/national-preparedness/exercises/hseep.

[39] Information on the Integrated Preparedness Planning Workshop, Integrated Preparedness Plan and Improvement Planning outlined in HSEEP is available at https://www.fema.gov/emergency-managers/national-preparedness/exercises/hseep.

Partnering with Higher Education Institutions to Train Planners: Puerto Rico and FEMA's National Training and Education Division

Once an EOP is developed, training on the plan is critical for emergency management staff and whole community partners. Institutions of higher education can be effective partners in this process. Additionally, academic institutions are a source of candidates for the next generation of emergency management planners.

In September 2017, Hurricane Maria made landfall in Puerto Rico, with significant rainfall and 155 miles per hour winds leading to serious flooding and mudslides that resulted in catastrophic loss of life, damage to infrastructure and economic hardship. The storm required a massive response; electrical power was not fully restored in some areas for nearly a year, and recovery continues to this day.

As part of the recovery effort, Puerto Rico officials partnered with FEMA's National Training and Education Division, part of the National Preparedness Directorate, to conduct a workshop with higher education institutions in Puerto Rico. Experts discussed ways to improve planning capabilities and capacity by focusing on emergency management opportunities in higher education that provide graduates with the skills needed to meet the evolving challenges confronting emergency managers in Puerto Rico and across the nation.

Over the course of the two-day workshop, participants considered the core competencies necessary to address future threats and hazards through effective planning, framed within a multi-tier (i.e., certificate, minor, major, and postgraduate degree) educational program. The group also discussed approaches for attracting candidates, highlighting the value of networking across the emergency management community. As a result, several institutions identified potential options to enhance planning; for example, the University of Puerto Rico Río Piedras Campus developed a disaster planning specialty within its Department of Planning.

Collaboration with higher education institutions can lead to better outcomes. Emergency managers can enhance learning by offering experiential knowledge to academia, and helping students develop the practical knowledge and skills needed to serve the whole community.

1.6.3. REVIEW, REVISE AND MAINTAIN THE PLAN

This step completes this iteration of the planning process. It adds information gained through exercises and actual incidents to the research collected in Step 2 and starts the planning process over again. Plans should change and improve as jurisdictions learn lessons, obtain new information and insights and update priorities.

Planning teams should establish a process to review and revise the plan on a recurring basis. Some jurisdictions have found it useful to review and revise portions of their EOPs every month, while others accomplish their reviews annually. Teams should consider reviewing and updating the plan after the following events:

- A major incident;
- A change in operational resources (e.g., policy, personnel, organizational structures, management processes, facilities, equipment);
- A formal update of planning guidance or standards;
- A change in elected officials;
- Each time the plan is used;
- Major exercises;
- Changes in the jurisdiction's demographics or hazard or threat profile;
- Changes in the jurisdiction's tolerance of identified risks; or
- The enactment of new or amended laws or ordinances.

This page intentionally left blank

Creating an EOP Base Plan

This chapter explores key elements of an EOP base plan and introduces optional checklists with potential topics for planning teams to consider. The base plan:

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

Although the base plan guides the development of the more operationally-oriented annexes, its primary audience consists of the jurisdiction's senior official, his or her staff, agency heads and the community (as appropriate). The elements in this section should meet the needs of this audience while providing a solid foundation for developing supporting annexes. In addition, planners should apply this information in the context of other guidance in CPG 101, including the planning principles outlined earlier.

1. Introductory Material

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

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

- The **table of contents** should be logically ordered and clearly identify the major sections and subsections of the plan to make finding information easier.

2. Purpose, Scope, Situation Overview and Planning Assumptions

2.1. Purpose

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

2.2. Scope

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

2.3. Situation Overview

This section summarizes the steps a jurisdiction has taken to prepare for disasters. It characterizes the planning environment, making it clear why an EOP is necessary. The level of detail is a matter of judgment; some information may be limited to a few specific annexes and may not be necessary to cover in the overview. At a minimum, this section should summarize hazards that the jurisdiction faces and discuss how it expects to receive (or provide) assistance within its regional response structures.

The situation overview covers a general discussion of:

- Risk, to include the relative probability and impact of the hazards;
- Geographic areas likely to be affected by hazards;
- Vulnerable facilities (e.g., nursing homes, schools, hospitals, infrastructure);
- Population distribution and locations, including any concentrated populations of individuals with disabilities and others with access and functional needs or limited English proficiency, as well as children in day care and school settings;
- Dependencies on other jurisdictions for critical resources;

- The jurisdiction's process to determine its capabilities and limits in preparing for and responding to the defined hazards; and
- The actions taken in advance to minimize an incident's impacts, including short- and long-term strategies.

2.3.1. HAZARD AND THREAT ANALYSIS SUMMARY

This section summarizes the major findings from a completed 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. Note: The hazard and threat analysis information can be a component of the EOP or maintained as a part of the local hazard mitigation plan.

Hazard and Threat Analysis Checklist

- ☐ Identify and summarize the hazards that pose a significant 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); include estimates for how hazards may change in anticipated frequency and intensity.
- ☐ Identify and summarize the probable high-risk areas (i.e., population (including the most vulnerable members of the community), infrastructure and environment) 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).
- ☐ Identify and summarize 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).
- ☐ Describe how the jurisdiction has incorporated intelligence from threat analysis via state and local fusion centers, joint terrorism task forces, national intelligence organizations, etc., into its hazard and threat analysis.
- ☐ Describe how the vulnerability and impact analysis incorporates critical infrastructure protection activities.
- ☐ Describe how the jurisdiction assessed and incorporated agricultural security; food supply security; cybersecurity; chemical, biological, radiological, nuclear and explosive (CBRNE) incidents; and pandemics.
- ☐ Describe the assumptions and methods to complete the jurisdiction's hazard and threat analysis, including tools or methodologies (e.g., a state's hazard analysis and risk assessment manual, hazard mitigation plan guidance, vulnerability assessment criteria, consequence analysis criteria).
- ☐ Include maps that show the high-risk areas that the identified risks are likely to impact (e.g., residential/commercial areas within defined floodplains, earthquake fault zones, vulnerable

zones with hazardous materials facilities/routes, areas within ingestion zones for nuclear power plants, critical infrastructure).

- ☐ Identify and describe the risks that could originate in a neighboring jurisdiction and create hazardous conditions in this jurisdiction (e.g., critical infrastructure loss, watershed runoff, chemical incident, civil disturbance, terrorist act).
- ☐ Identify and describe the 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).

2.4. Planning Assumptions

Planning assumptions identify what the planning team assumes to be facts for planning purposes to make it possible to execute the EOP. During operations, the assumptions indicate areas to adjust in the plan as the facts of the incident become known.

3. Concept of Operations

The CONOPS section explains in broad terms the decision maker's or leader's intent regarding an operation. This section should give an overall picture of how the response organization accomplishes a mission or set of objectives to reach a desired end state. Ideally, it offers a clear methodology to realize the goals and objectives to execute the plan. This may include a brief discussion of the interface between field responders and the jurisdiction's EOC. It may touch on direction and control; alert and warning and continuity topics that the annexes deal with more fully.

CONOPS Checklist

- ☐ 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 jurisdiction coordinates the declaration with neighboring jurisdictions and the state.
- ☐ Describe how the jurisdiction resolves legal questions/issues resulting from preparedness, response or recovery actions, including the liability protection available to responders.
- ☐ Describe how the emergency management agency coordinates with all appropriate agencies, boards or divisions within the jurisdiction.
- ☐ Describe how the plan's emergency operations address the needs of all populations within the community
- ☐ Describe how plans account for the essential needs of children.
- ☐ Describe how plans account for the physical, programmatic and communications needs of individuals with disabilities and others with access and functional needs.

- ☐ Describe how plans account for 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).

4. Organization and Assignment of Responsibilities

This EOP section provides an overview of the key functions that organizations should accomplish during an emergency, including the roles that federal, state, local, Tribal Nation, territorial, insular area, regional and private sector organizations play to support local operations.

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

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

Key Functions Checklist

- ☐ Identify/outline the responsibilities assigned to each organization that has a mission assignment defined in the plan, including (but not limited to) the following:
  - The local senior elected or appointed officials (e.g., governor, mayor, commissioner, administrative judge, council, executive director);
  - Local agencies and responsibilities, regardless of incident type;
  - 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., FEMA, Coast Guard, Department of Justice, Federal Bureau of Investigation, Federal Aviation Administration, National Transportation Safety Board, Department of Defense, Department of Transportation, Department of Agriculture);
- Government-sponsored volunteer resources (e.g., CERTs, Fire Corps and/or Medical Reserve Corps, Volunteers in Police Service, auxiliary police); and
- Private sector and voluntary organizations (e.g., organizations that assist with sheltering, feeding and reunification services, individuals 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 the organization addresses prevention roles and responsibilities, including linkages with fusion centers where applicable.

☐ Describe how the jurisdiction manages roles and responsibilities for critical infrastructure protection and restoration.

☐ Describe how the jurisdiction determines roles and responsibilities for unaffiliated volunteers and how to incorporate these individuals into the emergency operation.

☐ Identify and describe what MAAs are in place to quickly activate and share resources during an emergency. Examples of agreements that may exist include agreements:

- Between response groups (e.g., fire, police, EMS);
- For additional resources/assistance between neighboring jurisdictions' response forces (e.g., fire, police, EMS);
- To provide and receive additional resources through EMAC;
- For resources (e.g., outside assistance, personnel, equipment);
- Between medical facilities inside and outside the jurisdiction (e.g., for using facilities, accepting patients);
- Between water and wastewater utilities inside and outside the jurisdiction;
- For alert and notification and dissemination of emergency public information, to include obtaining system permissions for alert type and area (e.g., Federal Information Processing Standard code, event code, approval by the state approval authority for Emergency Alert System [EAS] and Wireless Emergency Alerts [WEAs] alerting via IPAWS); and
- For evacuation (e.g., use of buildings, restaurants and homes as shelters/lodging; relocation centers; and transportation support), including agreements between jurisdictions for the acceptance of evacuees.

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

- ☐ Describe how all tasked organizations maintain current notification rosters, SOPs/SOGs and checklists to carry out their assigned tasks.
- ☐ Provide a matrix that summarizes which tasked organizations have the primary lead versus a secondary support role for each defined response function.
- ☐ Describe the jurisdiction's policies regarding public safety enforcement actions required to maintain the public order during a crisis response, including teams of enforcement officers needed to handle persons who are disrupting the public order, violating laws, requiring quarantine, etc.

5. Direction, Control and Coordination

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

Direction, Control and Coordination Checklist

- ☐ Identify who has tactical and operational control of response assets.
- ☐ Discuss multi-jurisdictional coordination systems and processes used during an emergency.

6. Information Collection, Analysis and Dissemination

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

Information Collection, Analysis and Dissemination Checklist

- ☐ 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 strategies for collecting, analyzing, and sharing information about the condition of community lifelines.
- ☐ Describe long-term information collection, analysis and dissemination strategies.
- ☐ Describe collaboration with the general public in the collection, analysis and dissemination of information, to include all elements of the whole community as well as sector-specific watch programs.

7. Communications and Coordination

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

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

The National Emergency Communications Plan (NECP) is the nation's strategic plan to strengthen and enhance emergency communications capabilities.[40] The NECP can help jurisdictions plan for, coordinate, invest in and use communications to support preparedness, response and recovery operations. The NECP aligns to other national preparedness guidance, including the National Preparedness Goal and NIMS.

Communications Checklist

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

8. Administration, Finance and Logistics

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

[40] For more information, see https://www.cisa.gov/sites/default/files/publications/19_0924_CISA_ECD-NECP-2019_1.pdf.

Administration, Finance and Logistics Checklist

- ☐ Include references to intrastate and interstate MAAs, including EMAC.
- ☐ Identify authorities for and policies on augmenting staff by reassigning public employees and soliciting volunteers, along with relevant liability provisions.
- ☐ Include or reference general policies on keeping financial records, reporting, tracking resource needs, tracking the source and use of resources, acquiring ownership of resources and compensating the owners of private property used by the jurisdiction.

If planners expand this section, they should divide it into individual functional annexes for each element.

8.1. Administration

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

8.1.1. DOCUMENTATION

The jurisdiction should use systematic processes 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.

Documentation Checklist

- ☐ Describe the process and agencies that document the actions during and after the emergency (e.g., incident and damage assessment, incident command logs, cost recovery).
- ☐ Describe/summarize the reasons for documenting the actions during both the response and recovery phases of the disaster (e.g., create historical records, recover costs, address insurance needs, develop mitigation strategies).
- ☐ List the ICS Documentation Section's responsibility to include copies of required reports (e.g., cost recovery, damage assessment, incident critique, historical record).
- ☐ Describe the agencies and methods that the ICS Documentation Section should engage 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.

8.1.2. AFTER-ACTION REPORT

The after-action report is the result of an administrative process in which the jurisdiction reviews and discusses the response to identify strengths and areas for improvement in the emergency management and response program. It may also include an improvement plan that outlines corrective actions.

After-Action Reporting Checklist

- ☐ Describe the reasons and need to develop an after-action report/improvement plan (e.g., review actions taken, identify equipment shortcomings, improve operational readiness, highlight strengths/initiatives).
- ☐ Describe the methods and agencies to organize and conduct a review of the disaster, including how the jurisdiction documents recommendations to improve local readiness (e.g., changing plans/procedures, acquiring new or replacing outdated resources, retraining personnel).
- ☐ Describe the links and connections between the processes to critique the response to an emergency/disaster (including the protection of and services for vulnerable populations within the community) and the processes to document recommendations for the jurisdiction's exercise program.
- ☐ Describe how the jurisdiction implements corrective actions and/or addresses the deficiencies and recommendations identified in the after-action report/improvement plan.

8.2. Finance

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

Finance Checklist

- ☐ Identify and describe 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 [for incidents involving a Stafford Act declaration]).
- ☐ Identify and describe how to document the costs incurred during response and recovery operations.
- ☐ Identify and describe the programs, and how the jurisdiction assists the general public, to recover their costs and begin rebuilding (e.g., Small Business Administration, unemployment benefits, worker's compensation).
- ☐ Describe the methods to educate responders and local officials about the cost recovery process.
- ☐ Describe the impact and role of insurance 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 programs, including how to capture eligible costs for reimbursement by the Public Assistance Program (for incidents

involving a Stafford Act declaration), eligible donations for volunteer labor and resources and eligible donations for mutual aid resources.

8.3. Logistics

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

Logistics Checklist

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

9. Plan Development and Maintenance

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

Plan Development and Maintenance Checklist

- ☐ Describe the planning process, participants in that process and how planners coordinate development and revision of different levels of the EOP (e.g., base plan, annexes and SOPs/SOGs).

- ☐ Assign responsibility for the overall planning and coordination to a specific position.
- ☐ Establish a regular cycle of training on, evaluating, reviewing and updating the EOP.
- ☐ Summarize how other jurisdictions/organizations reviewed, coordinated on and/or evaluated the plan.
- ☐ Describe how this plan was determined to be consistent with the EOPs from adjoining or intrastate regional jurisdictions.
- ☐ Describe the process to review and revise the plan periodically (e.g., annually, more often if changes in the jurisdiction warrant [such as changes in administration or procedures, newly added resources/training, revised phone contacts or numbers]).
- ☐ Describe the responsibility of each organization/agency (governmental, nonprofit and private sector) to review and submit changes to its respective portion(s) of the plan, including ongoing efforts to ensure that the plan provides adequate services to all populations within the community.
- ☐ Identify/summarize to whom the plan is distributed, including whether it is shared with other jurisdictions. Note: This list can be included as a tab to the plan.
- ☐ Identify and describe where and how the public can access the plan.
- ☐ Include a page to document when the plan is changed.

10. Authorities and References

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

Authorities and References Checklist

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

- State administrative code sections on roles, responsibilities and operational procedures;
- State attorney general opinions; and
- Federal laws, regulations and standards (e.g., Stafford Act, FEMA policy, ADA, civil rights).

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

☐ Identify/define words, phrases, acronyms and abbreviations that have special meaning and ensure that they are used appropriately.

☐ Identify words, phrases, acronyms and abbreviations that may be offensive to some members of the community, and ensure they are excluded from communications.

This page intentionally left blank

Adding EOP Annexes

This chapter describes the purpose and potential content of annexes to the base plan and introduces optional checklists with topics for planning teams to consider. Annexes add specific information and direction to EOPs and provide a level of detail beyond the base plan. Annexes may follow the same structure as the base plan, depending on the level of detail the jurisdiction needs.

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

1. Functional Annexes

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

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

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

1.1. Functional Annexes Content

These annexes contain detailed descriptions of the methods that government agencies and departments follow for operational activities during emergency operations. The annexes should build on the content of the base plan, rather than be standalone; base plans address some of these functions, and functional annexes should outline additional details rather than restating the base plan's content.

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

- This information is a starting point for planning teams but may not fully reflect the issues that jurisdictions need to consider in their plans.
- Planners should apply these checklists in the context of other guidance in CPG 101, including the planning principles outlined earlier.
- ESF Annexes are a special type of functional annex that the federal government and many states use. Jurisdictions may choose to align their functional annex structure to the ESFs in the NRF, adding additional ESFs or fine-tuning ESF titles as necessary. Using the ESF structure can facilitate the flow of local requests for governmental support to the state and federal levels during an incident and the provision of resources back to the local government.

The following checklists cover a variety of functional plan sections. If the EOP is organized with separate annexes or appendices for the various functions, the checklists apply equally to those functional annexes or appendices.

AGRICULTURE AND NATURAL RESOURCES

Agriculture and Natural Resources Checklist

- ☐ Describe how to determine nutrition assistance needs (including cultural, religious and medical dietary restrictions), obtain appropriate food supplies and arrange for delivery of the supplies.
- ☐ Identify how to respond to animal and plant diseases and pests, including an outbreak of a highly contagious or economically devastating animal/zoonotic disease or an outbreak of a harmful or economically significant plant pest or disease. Note: Additional information may be included in a hazard- or threat-specific annex.
- ☐ Describe the methods to address the safety and security of the food supply.

1.1.1. COMMUNICATIONS

Communications Checklist

- ☐ Identify and describe how to manage communications between the on-scene personnel and agencies (e.g., radio frequencies/tactical channels, cell phones, data links, command post liaisons, communications vehicle) to establish and maintain a common operating picture of the incident.
- ☐ Identify and describe how to identify and overcome communications shortfalls (e.g., personnel with incompatible equipment) via alternate methods (e.g., Amateur Radio Emergency Services/Radio Amateur Civil Emergency Service at the command post/off-site locations, citizens band radios).
- ☐ Identify and describe how to manage communications between on- and off-scene personnel and agencies (e.g., shelters, hospitals, emergency management agency).

- ☐ Identify and describe how 911/dispatch centers support and coordinate communications for the on-scene personnel and agencies, including alternate methods of service if 911/dispatch is out of operation (e.g., resource mobilization, documentation, backup).
- ☐ Identify and describe how to identify and overcome communication systems shortfalls with the public (e.g., network congestion, cellular outages, landline telephone outages, power outages, internet outages) and alternate methods to communicate with the affected population (e.g., door-to-door; deployable digital signage, loudspeakers, sirens).
- ☐ Describe the arrangements to protect emergency circuits with telecommunications service priority for prompt restoration and provisioning.
- ☐ Describe how to make communications accessible to individuals with disabilities or others with access and functional needs who are working in emergency operations, in accordance with the ADA.
- ☐ Identify and describe how an EOC supports and coordinates communications between on- and off-scene personnel and agencies.
- ☐ Identify and describe the interoperable communications plan and compatible frequencies that agencies use during a response (e.g., who can talk to whom, including contiguous jurisdictions and private agencies).
- ☐ Identify and describe how to notify neighboring jurisdictions when an incident occurs.
- ☐ Describe how the jurisdiction provides and maintains 24-hour communications.

1.1.2. CONTINUITY

Continuity planning helps to implement an EOP during and after an emergency. It helps make essential functions and services available, and leaders visible, when normal operations are impacted, or necessary resources are unavailable. Continuity should be identified and integrated into the EOP; however, an annex or standalone plan can provide details and specifics of the continuity approach. FEMA's Continuity Guidance Circular outlines additional guidance that can help planning teams scope this content appropriately for an EOP.[41]

Continuity Checklist

- ☐ Describe essential functions, such as providing vital services, exercising civil authority, maintaining the safety and well-being of the populace and sustaining the industrial/economic base in an emergency.
- ☐ Describe plans to establish recovery time objectives, recovery point objectives or recovery priorities for each essential function.

[41] Additional continuity resources—including the Continuity Guidance Circular—are available at https://www.fema.gov/emergency-managers/national-preparedness/continuity.

- ☐ Identify personnel and/or teams needed to perform essential functions.
- ☐ Describe orders of succession and delegations of authority.
- ☐ Describe continuity/alternate facilities and continuity communications methods.
- ☐ Describe plans for essential records and human resource management.
- ☐ Describe plans for devolution or direction and control.
- ☐ Describe plans to reconstitute operations.
- ☐ Identify applicable training and exercise programs.

1.1.3. DIRECTION, CONTROL AND COORDINATION

Initial Notification

Initial Notification Checklist

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

Incident Assessment

Incident Assessment Checklist

- ☐ Identify and describe how to gather essential information and assess the immediate risks posed by the emergency, including the unique needs of populations such as children, individuals with disabilities and others with access and functional needs.
- ☐ Describe how the jurisdiction disseminates or shares the initial assessment to make protective action decisions and establish response priorities, including the need to declare a state of emergency.
- ☐ Identify and describe how to monitor the impacts and future effects that may result from the emergency.

Incident Command

Incident Command Checklist

- ☐ Identify and describe how to implement ICS and coordinate response operations, including identifying the key positions on the incident management team (e.g., operations, agency liaisons, safety).
- ☐ Describe how and where the jurisdiction establishes an incident command post (e.g., chief's car, command bus, nearest enclosed structure) and how to identify it during the emergency (e.g., green light, flag, radio call).
- ☐ Describe how to coordinate activities between the incident command post and an EOC.
- ☐ Identify and describe how to coordinate direct communications between on-scene responders as well as with off-scene agencies that have a response role (e.g., hospital, American Red Cross).
- ☐ Describe how the incident commander or unified command secures additional resources or support, including planned state, local, Tribal Nation, territorial, insular area, federal or private assets.
- ☐ Describe how the incident commander or unified command coordinates and integrates the unplanned arrival of individuals and volunteer groups into the response system and clarifies the limits on liability protection.

Emergency Operations Center

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

Emergency Operations Center Checklist

- ☐ Describe the purpose and functions of an EOC during an emergency or declared disaster, including operational and communications plans with a business emergency operations center.
- ☐ Identify and describe the conditions under which the jurisdiction activates a primary and/or alternate EOC and who makes this determination.
- ☐ Identify the likely primary and alternate sites for an EOC for the jurisdiction (e.g., city hall, fire department, emergency management agency, dedicated facility).
- ☐ Describe how to activate the primary or alternate EOC (e.g., staff notification, equipment setup), including the process for moving from one EOC to another.
- ☐ Identify EOC leadership (e.g., emergency management agency director, senior official, fire/police chief, department/agency director) and describe how to manage EOC operations.

- ☐ Identify and describe the staff and equipment necessary for an EOC (e.g., first response liaisons, elected or appointed officials, support agencies, communications, administrative support).
- ☐ Identify and describe how to gather and share information between those at the scene, outside agencies and the EOC (e.g., damage observations, response priorities, resource needs), including sharing information between neighboring and state EOCs.
- ☐ Describe the EOC's ability to support an emergency response that lasts longer than 24 hours (e.g., staffing needs, shift changes, resource needs, feeding, and alternate power).
- ☐ Identify and describe the EOC actions to transition from response to recovery operations.
- ☐ Identify the lead official and at least two alternates for each key position in the primary EOC, as well as the alternate EOCs, to comply with continuity best practices.
- ☐ Identify and describe how to routinely brief senior officials not present in the EOC on the emergency situation (e.g., governor, commissioner, administrative judge, mayor, city council, trustees) and how to authorize emergency actions (e.g., declare an emergency, request state and federal assistance, purchase resources).
- ☐ Identify and describe how to manage public information.
- ☐ Provide a diagram of the primary and alternate EOCs (e.g., locations, floor plans, displays) and identify and describe the communications equipment available/needed (e.g., phone numbers, radio frequencies, faxes).
- ☐ Describe how to deactivate and close the EOC (e.g., staff releases, equipment cleanup, documentation).
- ☐ Provide copies of specific EOC forms or logs.

1.1.4. ENERGY

Energy Checklist

- ☐ Describe the strategy for addressing significant disruptions in energy supplies, including electricity, petroleum and natural gas, in partnership with system owners and operators.
- ☐ Describe how to address the impacts to an energy system in one geographic region and systems and components in other regions relying on the same system.
- ☐ Identify and describe the energy-centric critical assets and infrastructure.
- ☐ Describe how to monitor energy-centric resources to identify and mitigate vulnerabilities.
- ☐ Identify and describe how to assess fuel impacts and receive and distribute emergency fuels.
- ☐ Identify and describe how to prioritize and coordinate the repair and restoration of services (e.g., gas, electric), including conducting safety inspections before the general public can return to the impacted area.

1.1.5. FINANCIAL MANAGEMENT

Financial Management Checklist

- ☐ Identify and describe how to provide funds expeditiously and conduct financial operations in accordance with established law, policies, regulations and standards.
- ☐ Describe how to capture eligible costs for potential reimbursement.
- ☐ Describe the process for retaining and maintaining documents and receipts that need to be kept as records associated with or required for grant programs and funding.

1.1.6. FIREFIGHTING

Firefighting Checklist

- ☐ Describe how to detect and suppress wildland, rural and urban fires.
- ☐ Describe existing interstate and intrastate firefighting assistance agreements.
- ☐ Describe how to transmit situation and damage assessment information.

1.1.7. HAZARDOUS MATERIALS

Hazardous Materials Checklist

- ☐ Describe how to prevent, minimize or mitigate an oil or hazardous materials release.
- ☐ Describe how to detect and assess the extent of contamination (including sampling and analysis and environmental monitoring).
- ☐ Describe how to stabilize a release and prevent the spread of contamination.
- ☐ Describe the options for environmental cleanup, including storing, treating and disposing of oil and hazardous materials.

1.1.8. LAW ENFORCEMENT

Law Enforcement Checklist

- ☐ Describe how to provide public safety and security resources to support incident operations, including threat or pre-incident and post-incident situations.
- ☐ Describe how to determine public safety and security requirements and prioritize resources.
- ☐ Describe how to maintain communication with supporting agencies to determine capabilities, assess the availability of resources and track resources.

1.1.9. LOGISTICS AND RESOURCE MANAGEMENT

Logistics and Resource Management Checklist

- ☐ Describe how to manage resources in accordance with NIMS resource typing, including the pre-positioning of incident resources.
- ☐ Describe how to coordinate with the volunteer and donations management function to identify, deploy, use, support and demobilize affiliated and unaffiliated volunteers.
- ☐ Describe steps to ensure that distribution centers are located to support the whole community, including vulnerable populations, and that commodities are appropriately distributed.
- ☐ Describe how to coordinate with the volunteer and donations management function to manage unsolicited donations.
- ☐ Describe how to manage the distribution of key commodities.
- ☐ Describe plans to establish logistical staging areas for internal and external response personnel, equipment and supplies.
- ☐ Describe plans to establish points of distribution across the jurisdiction.
- ☐ Describe plans to provide support to a larger or regional incident.
- ☐ Describe strategies that all affected parties have agreed on to transport materials through restricted areas, quarantine lines, law enforcement checkpoints, etc.

1.1.10. MASS CARE

Mass Care Checklist

- ☐ Describe how to identify, open and staff emergency shelters, including temporarily using reception centers while waiting for shelters to open officially.
- ☐ Describe measures to ensure that mass care services are provided to all members of the community.
- ☐ Describe the agencies and methods for providing life-sustaining goods and services that support displaced individuals and families, including older adults and those with infants.
- ☐ Identify the agencies and methods for sheltering and caring for household pets and service animals affected by the incident.
- ☐ Identify locations for multiagency (recovery) resource centers and/or disaster recovery centers.
- ☐ Describe how shelters coordinate their operations with on-scene and other off-site support agencies (e.g., expected numbers evacuated, emergency medical support).

- ☐ Describe the plans, methods and agencies or organizations responsible for distributing emergency relief items (e.g., hygiene kits, cleanup items, infant care supplies).
- ☐ Describe how shelters inform evacuees about the status of the disaster, including information about actions that evacuees may need to take when returning home.
- ☐ Identify and describe how to notify or inform the public about the status of injured or missing relatives.
- ☐ Describe how to identify, screen and handle evacuees exposed to the hazards posed by the disaster (e.g., infectious waste, polluted floodwaters, chemical hazards) and the methods to keep the shelter free of contamination.
- ☐ Describe arrangements with other jurisdictions for sheltering assistance, including providing shelters when it is not practical to do so locally (e.g., no shelters or staff support are available).
- ☐ Describe the agencies, organizations and methods to provide feeding services both within the shelter facilities and at other identified feeding sites or mobile feeding operations.
- ☐ Identify and describe the agencies and organizations that will assist with reunification.

Accommodating Individuals with Disabilities and Others with Access and Functional Needs

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

- ☐ Identify and describe how to confirm that the ADA Accessibility Guidelines govern shelter site selection and operation.
- ☐ Describe how the jurisdiction provides physical and programmatic accessibility of shelter facilities, effective communication using multiple methods, full access to emergency services and reasonable modification of programs or policies where needed.
- ☐ Describe how to provide adequate shelter space allocation for children, as well as individuals with disabilities and others with access and functional needs who may need additional space for assistive devices (e.g., wheelchairs, walkers).
- ☐ Identify and describe how to provide alternate shelter accommodations for evacuees from domestic violence shelters.
- ☐ Describe the agencies and methods to provide care and support for institutionalized populations (e.g., long-term care and assisted living facilities, group homes) and individuals with disabilities and/or access and functional needs (e.g., medical and prescription support, personal assistance services, durable medical equipment, consumable medical supplies, childcare, transportation [including accessible transportation], foreign language interpreters), including their caregivers.

- ☐ Describe how to provide developmentally-appropriate supplies (e.g., diapers, formula and age-appropriate foods), staff, medicines, durable medical equipment and supplies during an emergency for children with disabilities and other healthcare needs.
- ☐ Identify and describe how to identify and address the general public's unmet needs during the disaster.
- ☐ Describe how to provide emergency childcare services for accompanied and unaccompanied minors in shelters.

Sheltering Animals

Sheltering Animals Checklist

- ☐ Describe the partnership between the jurisdiction's emergency management agency, the animal control authority, the mass care provider(s) and the owner of each proposed congregate household pet sheltering facility.
- ☐ Identify and describe how to care for household pets and service animals brought to shelters by evacuees.
- ☐ Describe how to shelter unclaimed animals that cannot be immediately transferred to an animal control shelter or when a shelter receives non-eligible animals.[42]
- ☐ Describe how to register household pets (including identifying current rabies vaccinations for all animals).
- ☐ Describe how to provide guidance to human shelter operators on admitting and treating service animals.
- ☐ Describe the criteria to expeditiously identify congregate household pet shelters and alternate facilities.
- ☐ Describe how to provide utilities, such as running water, adequate lighting, proper ventilation, electricity and backup power, at congregate household pet shelters.
- ☐ Identify and describe how to address the risk of injury by an aggressive or frightened animal, the possibility of disease transmission and other health risks for responders and volunteers staffing the congregate household pet shelter.
- ☐ Identify and describe how to conduct pre-disaster inspections and develop agreements for each congregate household pet facility.
- ☐ Describe how to care for and maintain each facility while in use as a shelter.

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

- ☐ Describe how to identify equipment and supplies to operate each congregate household pet shelter, as well as supplies that household pet owners may bring with them to the congregate shelter.
- ☐ Describe the method for physical security of each congregate household pet facility, including perimeter controls and security personnel.
- ☐ Describe how to house a variety of household pet species (e.g., sizes of crates or cages, temperature control, appropriate lighting).
- ☐ Describe how to separate household pets based on appropriate criteria and requirements.[43]
- ☐ Describe how to set up and maintain household pet confinement areas (e.g., crates, cages, pens) for safety, cleanliness and control of noise levels, as well as a household pet first aid area inside each shelter.
- ☐ Describe how to control fleas, ticks and other pests at each congregate household pet shelter.
- ☐ Describe the criteria for designating and safely segregating aggressive animals.
- ☐ Describe how to segregate household pets to prevent the transmission of disease.
- ☐ Identify and describe how to segregate or seize household pets showing signs of abuse.
- ☐ Identify and describe how to relocate a household pet due to illness, injury or aggression to an alternate facility (e.g., veterinary clinic, animal control shelter).
- ☐ Describe how to provide controlled areas (indoor or outdoor) for exercising household pets.
- ☐ Describe how to dispose of household pet waste and dead animals.
- ☐ Describe how to reunite rescued animals with their owners.
- ☐ Identify and describe how to address the long-term care, permanent relocation or disposal of unclaimed pets.

1.1.11. MUTUAL AID/MULTI-JURISDICTIONAL COORDINATION

Mutual Aid/Multi-Jurisdictional Coordination Checklist

- ☐ Describe how to establish and execute MAAs and multi-jurisdictional coordination in support of incident response.

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

1.1.12. PRIVATE SECTOR COORDINATION

Private Sector Coordination Checklist

- ☐ Describe how to coordinate and integrate with private sector organizations, both for-profit and nonprofit, engaged in incident response and recovery activities.
- ☐ Describe how to share situational awareness across sectors and between the jurisdiction and the private sector.
- ☐ Describe how to coordinate with business, industry and critical infrastructure owners and operators to determine resource requirements and the ways that supply chain disruptions affect resource management.
- ☐ Describe how to identify private sector capabilities and resources to help address supply chain gaps.
- ☐ Describe how, within the volunteer and donations management function, to refer private sector donors to where their donations are needed most.
- ☐ Describe how to understand the interests and processes of faith-based communities and how to work with them.
- ☐ Describe how to address and track requests for information and assistance from for-profit and nonprofit private sector stakeholders, including critical infrastructure owners and operators.
- ☐ Describe how to assess the cascading effects of damaged infrastructure systems.

1.1.13. PROTECTIVE ACTIONS

Protective Actions Checklist

- ☐ Identify and describe how to coordinate evacuations and sheltering-in-place for all segments of the population, including but not limited to children, individuals with disabilities and others with access and functional needs.
- ☐ Describe the protocols and criteria to decide when to recommend evacuation or sheltering-in-place.
- ☐ Describe the conditions necessary to initiate an evacuation or sheltering-in-place and identify who has the authority to initiate such action.
- ☐ Identify and describe how to conduct the evacuation (e.g., of high-density areas, neighborhoods, high-rise buildings, subways, airports, schools, special events venues, areas with a high concentration of children and individuals with disabilities) and to provide security for the evacuation area.
- ☐ Identify and describe how to perform advance or early evacuation, which is often necessary to accommodate children and others with mobility issues.

- ☐ Identify and describe how to provide safe evacuation/transportation assistance to unaccompanied children.
- ☐ Identify and describe how to track unaccompanied children and reunify them with their families.
- ☐ Identify and describe how to protect at-risk groups and/or facilities in the event of a terrorism alert.
- ☐ Describe how to receive evacuees as a result of hazards in neighboring jurisdictions, including their household pets and service animals.
- ☐ Describe how to keep children and others with disabilities or access and functional needs with their caregivers, mobility devices, other durable medical equipment and/or service animals during an evacuation.
- ☐ Identify and describe how to exchange registration and tracking information between and among the evacuating jurisdiction, the receiving jurisdiction(s) and the jurisdictions that evacuees pass through.
- ☐ Describe the coordination strategies for managing and possibly relocating incarcerated persons during a crisis response.
- ☐ Describe how and when to notify the public (including individuals with sensory disabilities and individuals with limited English proficiency) of the actions to follow during an evacuation, while sheltering-in-place, when sheltering-in-place terminates and throughout the incident.
- ☐ Describe the protocols and criteria the jurisdiction uses to terminate sheltering-in-place operations.
- ☐ Identify and describe how to identify and assist evacuees, including individuals with disabilities and others with access and functional needs.
- ☐ Instruct evacuees on how to manage their household pets and service animals during an evacuation and when returning home, as permitted.
- ☐ Identify and describe how to provide for the care of the evacuees' household pets.
- ☐ Describe how agencies coordinate the decision to return evacuees to their homes, including informing evacuees about any health or physical access concerns or actions they should take when returning to their homes or businesses.
- ☐ Describe how to assist with the return of evacuees to their homes and communities, including individuals with disabilities and others with access and functional needs.
- ☐ Identify and describe options when the general public refuses to evacuate (e.g., implement forced removal, contact next of kin, place unique markings on homes, take no action).
- ☐ Identify and describe how to make sufficient, timely and accessible transportation available to evacuate children and other individuals with access and functional needs whose families do not have their own transportation resources.

- ☐ Describe how to collect and consolidate evacuation transportation requests from schools, individuals with disabilities and others with access and functional needs.
- ☐ Describe how to track, record and monitor incoming transportation requests as they are fulfilled.
- ☐ Describe how the jurisdiction identifies accessible transportation resources (including paratransit service vehicles, school buses, municipal surface transit vehicles, drivers and/or trained attendants) that can provide needed services during an evacuation.
- ☐ Describe how to notify household pet owners about the location of congregate household pet shelters and which shelter to use.
- ☐ Describe how to transport household pets or service animals whose owners depend on public transportation.
- ☐ Describe how the jurisdiction registers, documents and tracks household pets that receive evacuation assistance and reunites them with their owners if they are separated during assisted evacuations.

1.1.14. PUBLIC ALERT AND WARNING

Public Alert and Warning Checklist

- ☐ Identify and describe how to disseminate the notification that a disaster or threat is imminent or has occurred and to communicate response and protective actions to the population (e.g., use alerting systems and IPAWS to send WEA mobile phone broadcasts, activate EAS radio/TV/cable messages, mass notification voice and short-message service distribution, door-to-door warnings, sirens, social media).
- ☐ Describe how to use emergency condition levels in the public notification process (e.g., snow emergencies, hazardous materials incidents, nuclear power plant incidents).
- ☐ Identify and describe how to alert individuals with sensory or cognitive disabilities and others with access and functional needs in the workplace, public venues and in their homes.
- ☐ Include draft messages intended for the public for identified hazards in formats appropriate for each public warning system.

1.1.15. PUBLIC HEALTH AND MEDICAL SERVICES

Public Health

Public Health Checklist

- ☐ Describe how to maintain surveillance systems to facilitate early detection, reporting, mitigation and evaluation of expected and unexpected public health conditions.

- ☐ Describe how to identify the public health issues caused or exacerbated by the disaster (e.g., food/water safety, biological concerns) and to prioritize measures to manage issues (e.g., quarantining, vaccination), including how to coordinate this process with incident command or EOC staff.
- ☐ Describe how to provide potable water, bulk water and temporary water distribution systems to the jurisdiction when water systems are not functioning (e.g., private sources, boil orders, private wells).
- ☐ Describe how to provide alternate sources for human waste disposal (e.g., arrange portable latrines, encourage resource sharing with those who have their own septic systems).
- ☐ Identify the lead agency for providing health and medical support to individuals with disabilities and others with access and functional needs.
- ☐ Describe how to effectively identify individuals with specific health-related needs, including children and families who need additional assistance and individuals with disabilities and others with access and functional needs, in advance of, during and following an emergency.
- ☐ Identify and describe how to secure medical records to enable children with disabilities and/or other specific healthcare needs, as well as individuals with disabilities and others with access and functional needs, to receive healthcare and sustained rehabilitation in advance of, during and following an emergency.
- ☐ Identify and describe how to assess and provide mental health services for the general public (including individuals with disabilities and others with access and functional needs) that the disaster impacts.
- ☐ Identify and describe how to assess and provide vector control services (e.g., insect and rodent controls, biological waste/contamination, use of pesticides).
- ☐ Identify and describe how to assess and provide food production and agricultural safety services (e.g., conducting a coordinated investigation of food and agricultural events, agricultural or animal disease outbreaks).
- ☐ Describe how the jurisdiction coordinates health professionals, incident commanders and public information officers to issue public health media releases and alert the media.
- ☐ Identify and describe how to initiate, maintain and demobilize medical surge capacity, including MAAs for medical facilities and equipment.
- ☐ Identify how to receive and distribute medical countermeasures, to include vaccines, prophylaxis or other pharmaceuticals which require special equipment (e.g., refrigeration) and trained personnel.
- ☐ Identify and describe how to assess and provide animal care services (e.g., remove and dispose of carcasses, rescue or recover displaced household pets and livestock, provide emergency veterinary care, treat endangered wildlife) and the individuals or agencies that the jurisdiction uses in this process (e.g., veterinarians, animal hospitals, Humane Society, state department of natural resources).

- ☐ Identify and describe how to identify and respond to gravesites and cemeteries that the disaster impacts (e.g., recover and replace unearthed/floating/missing coffins, review records to confirm identification, manage closed or historical gravesites).
- ☐ Describe how the jurisdiction coordinates with health professionals from outside agencies to support local response needs (e.g., poison control centers, state and local departments of health, Centers for Disease Control and Prevention, Funeral Directors Association, Department of Agriculture, Food and Drug Administration, Medical Reserve Corps).
- ☐ Identify potential sources for medical and general health supplies for a disaster (e.g., medical equipment, personal protective equipment, pharmaceutical supplies, laboratories, toxicologists). Note: This information could be under a separate tab or part of a comprehensive resource manual.

Medical Patient Care/Mass Casualty/Mass Fatality

Medical Patient Care/Mass Casualty/Mass Fatality Checklist

- ☐ Identify and describe how emergency medical personnel contain and stabilize a disaster (e.g., set up triage, provide initial treatment, identify access and functional needs, conduct or coordinate transport).
- ☐ Identify and describe how to track patients from the incident scene through their courses of care.
- ☐ Describe how emergency system patient transport and tracking systems are interoperable with national systems (including Department of Defense).
- ☐ Identify and describe how to coordinate with private agencies to support on-scene medical operations (e.g., air ambulance, private EMS), including staging and integrating those assets at the scene.
- ☐ Identify and describe how to manage on-scene functions of mass casualty/fatality incidents (e.g., identifying bodies, expanding mortuary services, notifying next of kin).
- ☐ Identify and describe how to use hospitals, nursing homes and/or other facilities as emergency treatment centers or as mass casualty collection points.
- ☐ Describe how to identify shortfalls in medical supplies and durable medical equipment and how to acquire additional resources either locally or from external sources.
- ☐ Identify and describe how hospitals, within or outside of the jurisdiction, assist medical operations with on-scene personnel (e.g., prioritize patient arrival, divert patients to other sites when current site is full/less capable, provide triage team support).
- ☐ Identify and describe how to decontaminate patients, individuals with access and functional needs, children and household pets and service animals, both at the scene of the incident and at treatment facilities, after exposure to a chemical, biological, radiological, nuclear or explosives incident.

- ☐ Identify and describe the coroner's actions during a disaster (e.g., victim identification, morgue expansion, mortuary services, disaster mortuary operational response team activation) and how they coordinate with responders (e.g., EMS officer, incident command post/EOC, local hospitals).
- ☐ Describe plans to recover human remains, transfer them to the mortuary facility, establish a family assistance center, assist with recovering personal effects, conduct autopsies, identify victims and return remains to the victims' families for final disposition.
- ☐ Identify and describe how health department personnel help on-scene medical and local hospitals obtain additional resources when local supplies are likely to be exhausted.

1.1.16. PUBLIC INFORMATION

Public Information Checklist

- ☐ Identify and describe how to provide continuous and accessible public information about the disaster, secondary effects and recovery activities (e.g., media briefings, news releases, website updates, IPAWS WEA and EAS, social media updates, mass notification text, email and voice messages to subscribers, door-to-door warnings).
- ☐ Identify and describe how to confirm that information provided by all sources includes the content necessary to enable reviewers to determine its authenticity and potential validity.
- ☐ Identify and describe how to manage rumors on- and off-scene (e.g., monitoring AM/FM radio, social media and television broadcasts) and correcting misinformation expeditiously.
- ☐ Identify and describe how to communicate with individuals with sensory, intellectual or cognitive disabilities; individuals with limited English proficiency; and others with access and functional needs in the workplace, public venues and in their homes.
- ☐ Describe how responders/local officials use and work with the media during an emergency (e.g., schedule press briefings; establish media centers on-scene; control access to the scene, responders and survivors).
- ☐ Include prepared public instructions for identified hazards, including materials for managers of congregate care facilities, such as childcare centers, group homes, assisted living centers and nursing homes.
- ☐ Describe how the jurisdiction updates public statements on shelter capacity and availability as people and animals come to shelters.
- ☐ List local media contacts and describe their abilities to distribute emergency information.

1.1.17. PUBLIC WORKS AND ENGINEERING/INFRASTRUCTURE RESTORATION

Public Works and Engineering/Infrastructure Restoration Checklist

- ☐ Identify and describe how to determine qualified contractors offering recovery and restoration services.
- ☐ Identify and describe how to coordinate credentialing protocols to give personnel access to critical sites following an incident.
- ☐ Identify and describe how to identify, prioritize and coordinate repairing or restoring local roads, bridges and culverts (e.g., along city, county, township, state, local, Tribal Nation, territorial and insular area interstate and U.S. routes).
- ☐ Identify and describe how to repair or restore local water and wastewater systems (e.g., water and wastewater treatment plants, water and sewer lines, public and private wells), including providing temporary water distribution and wastewater collection systems until normal operations resume.
- ☐ Identify and describe how to prioritize and coordinate the repair and restoration of services (e.g., gas, electric, phone), including conducting safety inspections before the general public can return to the impacted area.
- ☐ Identify and describe how to incorporate and coordinate assistance from federal, state and private organizations (e.g., Federal Highway Administration, state building inspectors/contractors, state or local historical preservation office, private contractors).
- ☐ Identify and describe the energy and utility problems that the incident is likely to create (e.g., downed power lines, wastewater discharges, ruptured underground storage tanks).
- ☐ Identify and describe how to identify, prioritize and coordinate energy and utility problems that result from the incident (e.g., shut off gas and electricity to flooded areas, restore critical systems, control underground water and gas main breaks).
- ☐ Identify and describe how to determine, prioritize and coordinate removing roadway debris to provide local responder access (e.g., removing snow and debris, clearing debris and ice from streams), including coordinating road closures and establishing alternate routes of access.
- ☐ Identify and describe how to protect affected populations during a disaster with periods of extreme temperature and/or shortages of energy, including how the jurisdiction coordinates with energy-providing companies during outages.
- ☐ Describe the methods to reestablish essential human services for children and their families, as well as individuals with disabilities and others with access and functional needs.

Damage Assessment

Damage Assessment Checklist

- ☐ Identify and describe how to conduct and coordinate damage assessments on private property (e.g., homeowners, businesses, renters).
- ☐ Identify and describe how to conduct and coordinate damage assessments on public property (e.g., government, private, nonprofit).
- ☐ Identify and describe how to collect, organize and report damage information to other county, state or federal operations centers, generally within the first 12 to 36 hours of the disaster or emergency.
- ☐ Identify and describe how to request supplemental state or federal assistance through the state, Tribal Nation, territorial or insular area emergency management agency.
- ☐ Include copies of the damage assessment forms that the jurisdiction uses (e.g., state-adopted or state-recommended emergency management agency's damage and needs assessment form or a county equivalent). Note: These may be a tab to the plan.

Debris Management

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

Debris Management Checklist

- ☐ Identify and describe how to coordinate debris collection and removal (e.g., gather and recycle materials, establish temporary storage sites, sort/haul debris).
- ☐ Identify and describe how to communicate debris management instructions to the general public (e.g., separating/sorting debris, scheduled pickup times, drop-off sites for different materials), including issuing routine updates.
- ☐ Identify and describe how to assess and resolve potential health issues related to debris removal (e.g., mosquito/fly infestation, hazardous and infectious waste).
- ☐ Identify locations (e.g., water and wastewater facilities) that need to be cleared of debris immediately to provide effective emergency services.
- ☐ Identify and describe how to inspect, or arrange for inspecting, and subsequently dispose of contaminated food supplies (e.g., from restaurants, grocery stores).
- ☐ Identify the agencies that the jurisdiction is likely to use to provide technical assistance on debris removal (e.g., state environmental protection agency, state department of health, state department of agriculture, local and surrounding county health departments).
- ☐ Identify and describe how to condemn, demolish and dispose of structures that present a safety hazard to the public.

- ☐ Pre-identify potential trash collection and temporary storage sites, including final landfill sites for specific waste categories (e.g., vegetation, food, dead animals, hazardous and infectious waste, construction debris and tires/vehicles).
- ☐ Identify contracting considerations and cost tracking requirements for potential reimbursement.

1.1.18. RECOVERY

Recovery Checklist

- ☐ Describe the coordination mechanisms and requirements for post-incident assessments, plans and activities.
- ☐ Describe outreach methods to reach those in need of recovery assistance.
- ☐ Describe how to identify long-term recovery needs of individuals with disabilities and others with access and functional needs, and incorporate these needs into recovery strategies.
- ☐ Describe how to identify community planning and capacity building issues for recovery.
- ☐ Describe how to identify economic recovery issues.
- ☐ Describe how to identify health and social services issues for recovery.
- ☐ Describe how to identify housing issues for recovery.
- ☐ Describe how to identify infrastructure systems issues for recovery.
- ☐ Describe how to identify natural and cultural resource issues for recovery.
- ☐ Describe how to identify long-term environmental restoration issues.
- ☐ Describe how to coordinate with animal welfare and agricultural stakeholders and service providers in long-term community recovery efforts.

1.1.19. SEARCH AND RESCUE

Search and Rescue Checklist

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

1.1.20. TRANSPORTATION

Transportation Checklist

- ☐ Identify and describe how to monitor and report the status of, and damage to, the transportation system and infrastructure as a result of an incident, including the disproportionate impact such damage may have on vulnerable populations throughout the community
- ☐ Describe alternate transportation solutions that the jurisdiction can implement when systems or infrastructure are damaged, unavailable or overwhelmed.
- ☐ Describe how to implement appropriate aviation, maritime, surface, railroad and pipeline incident management measures.
- ☐ Describe how to coordinate the restoration and recovery of the transportation systems and infrastructure.
- ☐ Identify and describe how to identify, prioritize and coordinate repairing or restoring local roads, bridges and culverts (e.g., along city, county, township, state, interstate and U.S. routes).

1.1.21. VOLUNTEER AND DONATIONS MANAGEMENT

Volunteer and Donations Management Checklist

- ☐ Describe how the jurisdiction manages unaffiliated volunteers and organizations and applies those resources to incident response and recovery activities.
- ☐ Identify and describe how, pre- and post-incident, to establish and staff donation management functions (e.g., set up toll-free hotlines and dedicated email accounts, create databases, appoint a donations liaison/office, use support organizations such as Voluntary Organizations Active in Disasters).
- ☐ Identify and describe how to verify and/or vet voluntary organizations that collect relief funds to support all disaster phases, from preparedness through mitigation.
- ☐ Identify and describe how to vet, match, collect, sort, manage and distribute in-kind contributions, including methods to repurpose, dispose of and/or refuse items that are not needed.
- ☐ Identify sites to sort and manage in-kind contributions (e.g., private warehouses, government facilities).
- ☐ Identify and describe how to coordinate donation management issues with neighboring districts and the state's donations management function.
- ☐ Describe how to engage the general public in volunteer and donations management functions (e.g., instructions on donating goods, volunteering, and making monetary donations), including a process for issuing routine updates.

- ☐ Identify and describe how to manage an influx of spontaneous volunteers.
- ☐ Identify and describe how to receive, manage and distribute cash contributions.

1.1.22. WORKER SAFETY AND HEALTH

Worker Safety and Health Checklist

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

1.2. Annex Implementing Instructions

Each annex may use implementing instructions in the form of SOPs/SOGs, maps, charts, tables, forms and checklists, which may be included as attachments or references. 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 clearer with attached maps marked with evacuation routes. Because these routes may change depending on the location of the hazard, the evacuation annex may also include hazard-specific maps. Similarly, maps showing the locations of shelters may support the mass care annex.

1.3. Special Preparedness Programs

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

2. Hazard- or Threat-Specific Annexes

Hazard- or threat- specific annexes contain unique response details that apply to a specific threat or hazard. Depending on the EOP's structure, functional annexes rather than hazard-specific annexes may include hazard-specific information. This section provides examples of hazard- or threat-specific annexes that planning teams can consider when developing and updating their EOPs. This information is a starting point but may not fully reflect the issues that jurisdictions need to consider.

The annexes usually identify risk areas and provide information such as evacuation routes; special provisions and protocols for warning the public and disseminating emergency public information; and specific types of protective measures, equipment and detection devices for responders. The annexes may include maps, charts, tables, checklists, resource inventories and summaries of critical information requirements, which can serve as work aids. As the threat and hazard environment

changes over time, planning teams may update these annexes accordingly as part of the periodic plan review process.

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

- Assessment and control of the hazard;
- Prevention and infrastructure protection activities;
- Public warnings;
- Selection and implementation of protective actions;
- Short-term stabilization actions; and
- Recovery actions.

Some hazards have unique planning requirements directed by state and federal laws. The jurisdiction's emergency management agency reviews those requirements and determines how the EOP will address and meet those requirements.

Local communities may choose to address specific hazards or threats in standalone plans rather than annexes to an EOP base plan. In this case, the EOP should reference those plans and briefly summarize how the EOP coordinates with the standalone plans.

3. Human-Caused Incidents

These disasters are intentionally created by humans with the intent of harming life, information, operations, the environment and/or property. They are also referred to as adversarial threats.

3.1. Civil Unrest Annex

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

3.2. Cyber Incident Annex

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

3.3. Terrorism Annex

Terrorism is a motivation rather than a mode of attack. Aside from the law enforcement issues of investigation, attribution, and protection from secondary events, for example, response to terrorist

acts (e.g., fire, EMS, public information) is essentially the same as response to comparable events resulting from accidental hazardous materials spills or other unintentional events. Such incidents should already be addressed within the EOP and/or annexes. The terrorism annex identifies and describes any specific protocols, structures, concerns, capabilities, training, agencies and resources to prevent, protect against, prepare for, respond to and recover from terrorist acts.

Some state emergency management agencies or homeland security advisors provide specific guidance for terrorism plans. Planners should confirm that the EOP complies with such guidance.

4. Natural Hazards

4.1. Biological Incident Annex

The annex identifies and describes the jurisdiction's specific concerns, capabilities, training, agencies and resources to mitigate against, prepare for, respond to and recover from infectious disease outbreaks and other biological incidents. Planners should include a hazard analysis summary that discusses where and how biological incidents are likely to impact the community.

4.2. Drought Annex

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

4.3. Earthquake Annex

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

Tsunamis, which often result from earthquakes, threaten many United States jurisdictions, particularly in insular areas. The EOPs of these jurisdictions would typically contain separate annexes for tsunamis.

4.4. Extreme Temperature Annex

The annex identifies and describes the jurisdiction's specific concerns, capabilities, training, agencies and resources to mitigate against, prepare for, respond to and recover from extreme temperature events, both heat and cold. Planners should include a hazard analysis summary that discusses where and how extreme temperatures are likely to impact the jurisdiction.

4.5. Flood Annex

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

4.6. Hurricanes/Severe Storm Annex

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

4.7. Pandemic Annex

The annex identifies and describes the jurisdiction's specific concerns, capabilities, training, agencies and resources to mitigate against, prepare for, respond to and recover from pandemics or other widespread public health emergencies caused by infectious agents. The annex addresses roles, responsibilities and the concept of operation for surging public and private healthcare resources.

The annex also documents procedures for public alert and notification as well as dissemination of public information regarding protective measures. The annex describes routine and emergency communication and coordination among state, local, Tribal Nation and territorial public health officials; public and private sector healthcare providers; private nonprofit organizations; owners and operators of healthcare facilities; and the Centers for Disease Control and Prevention. This annex differs from other biological incidents due to a more widespread nature that would likely also impact areas such as supply chains, restrictions on movements of populations, coordination for inoculations when appropriate, and a longer timeline of operations compared to several other biological incidents.

4.8. Seismic Eruptions/Volcanic Ash Annex

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

4.9. Tornado Annex

The annex identifies and describes the jurisdiction's specific concerns, capabilities, training, agencies and resources to mitigate against, prepare for, respond to and recover from tornadoes.

Include a hazard analysis summary that discusses where and how tornadoes are likely to impact the jurisdiction (e.g., historical/seasonal trends, damage levels F1 through F5).

4.10. Tsunami Annex

The annex identifies and describes the jurisdiction's specific concerns, capabilities, training, agencies and resources to mitigate against, prepare for, respond to and recover from tsunamis and other seawater inundation incidents. The annex documents procedures for alert, notification, warning, evacuation, and mass care. The annex describes routine and emergency communication with the National Tsunami Warning Center as well as evacuation decision matrices.

4.11. Winter Storm Annex

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

5. Technological Hazards

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

5.1. Dam and Levee Emergency Annex

The annex identifies and describes the jurisdiction's specific concerns, capabilities, training, agencies and resources to mitigate the effects of dam and levee failures and other incidents that have the potential to harm downstream populations and/or infrastructure.

5.2. Hazardous Materials Spill Annex

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

Some states have laws that require each LEPC to develop a chemical emergency preparedness and response plan on this topic. Indian tribal governments may have similar requirements for the TEPC. Some states have laws requiring local emergency management agencies to incorporate the LEPC's or TEPC's plan into the emergency management agency's planning and preparedness activities. Organizations must review and address the state, local, Tribal Nation, territorial and insular area's emergency response commission's specific planning criteria:

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

5.3. Accidental Release of Lethal Chemical Agents or Munitions Annex

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

5.4. Power Outage Incident Annex

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

5.5. Radiological Incident Annex

The annex identifies and describes methods to prepare for and respond to releases that involve radiological materials that are at licensed facilities or in transport. Identify and describe the jurisdiction's specific concerns, capabilities, training, agencies and resources to mitigate against, prepare for, respond to and recover from radiological hazards. Include a hazard analysis summary that discusses where and how radiological materials are likely to impact the jurisdiction, including incidents that occur at fixed facilities, along transportation routes or as fallout from a nuclear weapon. If applicable, address the requirements of NUREG-0654 FEMA-REP-1 Rev. 2[44] and Code of Federal Regulations Part 44, Section 350[45] as it applies to the jurisdiction's planning for emergencies/disasters involving regulated nuclear power plants.

6. Additional Hazards (as Applicable)

Add additional annexes to include other hazards that the jurisdiction's hazard analysis identified (e.g., mass casualty incident, plane crash, train crash/derailment, school emergencies, or invasive

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

[45] Review and Approval of State and Local Radiological Emergency Plans and Preparedness, 44 C.F.R. § 350 (2011).

species infestation). Planned events, including national special security events, can also present planners with hazards and threats to anticipate and address in EOPs and/or pertinent annexes.

Identify and describe the jurisdiction's specific concerns, capabilities, training, agencies and resources to mitigate against, prepare for, respond to and recover from other hazards as defined in the jurisdiction's hazard analysis. Include a hazard analysis summary that discusses where and how this hazard's incidents are likely to impact the community.

Appendix A: Authorities

- Age Discrimination Act of 1975, Public Law (Pub. L.) 94-135, 42 United States Code (U.S.C.) § 6101–6107
- Americans with Disabilities Act of 1990, as amended by the Americans with Disabilities Act Amendments Act of 2008, Pub. L. 110-325
- Architectural Barriers Act of 1968, 42 U.S.C. 4151 et seq.
- Civil Rights Act of 1964, Title VI, Pub. L. 88-352
- Code of Federal Regulations, Title 44, Chapter I, Federal Emergency Management Agency, October 1, 2009
- Consolidated Appropriations Act, 2008, Pub. L. 110-161
- Continuity Guidance Circular, February 2018 (2024 update)
- Disaster Mitigation Act of 2000, Pub. L. 106-390
- Disaster Recovery and Reform Act, Pub. L. 115-254
- Disaster Relief Appropriations Act of 2013, Pub. L. 113-2, Division A
- Education Amendments of 1972, Pub. L. 92-318
- Executive Order 13347, Individuals with Disabilities in Emergency Preparedness, July 26, 2004
- Fair Housing Act, as amended, 42 U.S.C § 3601 et seq.
- Federal Continuity Directive, August 2024
- Homeland Security Act of 2002, 6 U.S.C. § 101, et seq., as amended
- Homeland Security Presidential Directive 5 (HSPD-5), Management of Domestic Incidents, February 28, 2003
- National Infrastructure Protection Plan 2013: Partnering for Critical Infrastructure Security and Resilience, 2013
- NUREG-0654 FEMA-REP-1 Rev. 2: Criteria for Preparation and Evaluation of Radiological Emergency Response Plans and Preparedness in Support of Nuclear Power Plants, December 2019

- Occupational Safety and Health Act of 1970, Pub. L. 91-596
- Pets Evacuation and Transportation Standards Act of 2006, Pub. L. 109-308
- Post-Katrina Emergency Management Reform Act of 2006, as amended, Pub. L. 109-295, Title VI
- Presidential Policy Directive 8 (PPD-8): National Preparedness, March 30, 2011
- PPD-40, National Continuity Policy, July 15, 2016
- Rehabilitation Act of 1973, Pub. L. 93-112
- Robert T. Stafford Disaster Relief and Emergency Assistance Act of 1988, 42 U.S.C. 5121-5207, as amended
- Sandy Recovery Improvement Act of 2013, Pub. L. 113-2, Division B
- Superfund Amendments and Reauthorization Act of 1986, Pub. L. 99-499, as amended

Appendix B: Abbreviations and Acronyms

ACS	United States Census Bureau's American Community Survey
ADA	Americans with Disabilities Act
CBRNE	Chemical, Biological, Radiological, Nuclear and High-Yield Explosive
CEMP	Comprehensive Emergency Management Plan
CERT	Community Emergency Response Team
COG	Continuity of Government
CONOPS	Concept of Operations
COOP	Continuity of Operations
CPG	Comprehensive Preparedness Guide
EAS	Emergency Alert System
EMAC	Emergency Management Assistance Compact
EMAP	Emergency Management Accreditation Program
EMS	Emergency Medical Services
EO	Executive Order
EOC	Emergency Operations Center
EOP	Emergency Operations Plan
ESF	Emergency Support Function
FEMA	Federal Emergency Management Agency
FIOP	Federal Interagency Operational Plan
FOG	Field Operations Guide
GIS	Geographic Information Systems

HSEEP	Homeland Security Exercise and Evaluation Program
HSPD	Homeland Security Presidential Directive
IAP	Incident Action Plan
ICS	Incident Command System
IPAWS	Integrated Public Alert and Warning System
JEMS	Joint Emergency Management System
LEPC	Local Emergency Planning Committee
MAA	Mutual Aid Agreement
MAC	Multiagency Coordination
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
NDRF	National Disaster Recovery Framework
NECP	National Emergency Communications Plan
NIMS	National Incident Management System
NQS	National Qualification System
NRF	National Response Framework
NRI	National Risk Index for Natural Hazards
NUREG	United States Nuclear Regulatory Commission Regulation
PPD	Presidential Policy Directive
Pub. L.	Public Law
RAPT	Resilience Analysis and Planning Tool
RSF	Recovery Support Function
SOG	Standard Operating Guideline
SOP	Standard Operating Procedure

SPR	Stakeholder Preparedness Review
TEPC	Tribal Emergency Planning Committee
THIRA	Threat and Hazard Identification and Risk Assessment
U.S.C.	United States Code
WEA	Wireless Emergency Alert

This page intentionally left blank

Appendix C: Glossary

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

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

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

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

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

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

Deliberate Plans. Plans developed under non-emergency conditions that outline a concept of operations with detailed information on personnel, resources, projected timelines, planning assumptions and risk analysis.

Disability. Individual who has a physical or mental impairment that substantially limits one or more major life activities (an "actual disability"), or a record of a physical or mental impairment that substantially limits a major life activity ("record of"), or an actual or perceived impairment, whether or not the impairment limits or is perceived to limit a major life activity, that is not both transitory and minor ("regarded as") and specific changes to the text of the ADA. State laws and local ordinances may also include individuals outside the federal definition.

Emergency Operations Center. The physical location where the coordination of information and resources to support incident management activities (on-scene operations) normally takes place. An EOC may be a temporary facility or located in a more central or permanently established facility, perhaps at a higher level of organization within a jurisdiction.

Emergency Operations Plan. A plan for responding to a variety of potential hazards.

Emergency Support Function. A grouping of governmental and certain private sector capabilities into an organizational structure to provide capabilities and services to manage domestic incidents.

Federal Coordinating Officer. The official appointed by the President to execute Stafford Act authorities, including the commitment of FEMA resources and mission assignments of other federal departments or agencies. In all cases, the federal coordinating officer represents the FEMA Administrator in the field to discharge all FEMA responsibilities for the response and recovery efforts underway. For Stafford Act incidents, the federal coordinating officer is the primary federal representative with whom the state coordinating officer and other response officials interface to determine the most urgent needs and to set objectives for an effective response in collaboration with the unified coordination group.

Governor's Authorized Representative. An individual empowered by a governor to: (1) execute all necessary documents for disaster assistance on behalf of the state, Tribal Nation, territory or insular area, including certifying applications for public assistance; (2) represent the governor of the impacted state in the unified coordination group, when required; (3) coordinate and supervise the state disaster assistance program, to include serving as its grant administrator; and (4) identify, in coordination with the state coordinating officer, the state's critical information needs for incorporation into a list of essential elements of information.

Incident. An occurrence, natural or human caused, that necessitates a response to protect life or property. In this document, the word "incident" includes planned events as well as emergencies and/or disasters of all kinds and sizes.

Incident Action Plan. An oral or written plan containing the objectives established by the incident commander or unified command and addressing tactics and support activities for the planned operational period, generally 12 to 24 hours.

Incident Command System. A standardized approach to the command, control and coordination of on-scene incident management, providing a common hierarchy within which personnel from multiple organizations can be effective. ICS combines procedures, personnel, facilities, equipment and communications in a common organizational structure to aid in the management of on-scene resources during incidents. It is used for all kinds of incidents and is applicable to small, as well as large and complex, incidents, including planned events.

Incident Management Assistance Team. A team of ICS-qualified personnel configured according to ICS that deploys in support of affected jurisdictions and/or on-scene personnel.

Incident Management Team. A rostered group of ICS-qualified personnel consisting of an incident commander, command and general staff and personnel assigned to other key ICS positions.

Incident Plans. Collective term that includes plans to deal with specific actual or impending incidents or threats. Incident planning typically involves shorter timelines and uses actual situational information to replace some or all planning assumptions used in deliberate plans.

Insular Area. American Samoa, the Federated States of Micronesia, Guam, the Marshall Islands, the Northern Mariana Islands, the Trust Territory of the Pacific Islands, and the Virgin Islands; areas for which FEMA has statutory responsibilities relating to disasters.

Joint Field Office. The primary federal incident management field structure. The joint field office is a temporary federal facility that provides a central location for coordinating organizations with primary responsibility for response and recovery, including state, local, territorial, Tribal Nation, insular area and federal governments and private sector and nonprofit organizations.

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

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

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

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

Lifeline. See "**Community Lifeline**."

Local Government. A county, municipality, city, town, township, local public authority, school district, special district, intrastate district, council of governments (regardless of whether the council of governments is incorporated as a nonprofit corporation under state law), regional or interstate government entity or agency or instrumentality of a local government; a rural community, unincorporated town or village or other public entity.

Mass Care. Congregate sheltering, feeding, distribution of emergency supplies and reunification of children with their parent(s)/legal guardians and adults with their families.

Mitigation. A sustained action to reduce or eliminate risk to people and property from hazards and their effects.

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

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

National Special Security Event. Planned major events, designated by the Department of Homeland Security, that warrant the full protection, incident management and counterterrorism capabilities of the federal government.

Nonprofit Organization. A group that meets the requirements of Internal Revenue Service Code Section 501(c)(3)[46] and is based on the interests of its members, individuals or institutions. A nonprofit is not created by a government, but it may work cooperatively with government. Examples of nonprofits include faith-based groups, relief agencies, organizations that support people with access and functional needs and animal welfare organizations.

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

Prevention. The capabilities necessary to prevent, avoid or stop an imminent threatened or actual act of terrorism.

Protection. The capabilities to safeguard the homeland against acts of terrorism and manmade or natural disasters, focusing on actions to protect United States people, vital interests, and way of life.

Recovery. The timely restoration, strengthening and revitalization of infrastructure, housing and a sustainable economy, as well as the health, social, cultural, historic and environmental fabric of communities affected by an incident.

[46] For more information, see https://www.irs.gov/charities-non-profits/charitable-organizations/organizational-test-internal-revenue-code-section-501c3.

Resilience. The ability to withstand and recover rapidly from deliberate attacks, accidents and natural disasters, as well as unconventional stresses, shocks and threats to the nation's economy and democratic system.

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

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

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

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

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

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

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

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

This page intentionally left blank

Appendix D: Incorporating All Populations in EOPs

Preparations for protecting people when a disaster or emergency strikes must account for all people. In addition to dealing with the complexity of different threats and hazards and potential for shortfalls in response capabilities, planners must address the fact that people require different types of protection and assistance.

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

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

Step 5 of the planning process in CPG 101 centers on preparing and reviewing plans. At a high level, plan reviews typically center on their adequacy, feasibility, acceptability, completeness and compliance. They also account for core elements of EOPs in base plans and various annexes. An integral part of plan preparation and review is confirming that plans account for children, individuals with disabilities and others with access and functional needs and household pets and service animals. Table 1 includes important considerations to plan for these groups.

Table 1: Considerations for Individuals with Access and Functional Needs

Children	Individuals with Disabilities and Others with Access and Functional Needs	Household Pets and Service Animals
▪ Preparedness ▪ Evacuation Support ▪ Shelter Operations ▪ Public Information and Outreach	▪ Preparedness ▪ Evacuation Support ▪ Shelter Operations ▪ Public Information and Outreach	▪ Preparedness ▪ Evacuation Support ▪ Shelter Operations ▪ Public Information and Outreach ▪ Intake, Registration and Record Keeping

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

Incorporating Children

This section highlights the following considerations for incorporating children into EOPs: preparedness, evacuation support, shelter operations and public information and outreach.[47]

Preparedness

Preparedness Considerations for Children Checklist

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

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

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

Evacuation Support

Evacuation Support Considerations for Children Checklist

- ☐ Identify the roles and responsibilities for advanced/early evacuation, which is often necessary to accommodate children with mobility issues.
- ☐ Identify the agency that has the lead role in coordinating an evacuation and incorporating children into all evacuation considerations and planning.
- ☐ Include mechanisms or processes to provide safe evacuation/transportation assistance to unaccompanied children.
- ☐ Include mechanisms or processes to track children, especially unaccompanied children, during an evacuation.
- ☐ Address the need to keep children with disabilities with their caregivers, mobility devices, other durable medical equipment and/or service animals during an evacuation.
- ☐ Include mechanisms or processes to provide timely and accessible transportation to evacuate children with disabilities or access and functional needs whose families do not have their own transportation resources.

- ☐ Identify how to collect and consolidate evacuation transportation requests from schools, specifically schools with children who have disabilities or access and functional needs.
- ☐ Identify how to track, record and monitor transportation requests.
- ☐ Identify accessible transportation resources (including paratransit service vehicles, school buses, municipal surface transit vehicles, drivers and/or trained attendants) that can provide needed services during an evacuation.
- ☐ Include mechanisms or processes to reunify children with families.
- ☐ Address re-entry.

Shelter Operations

Shelter Operations Considerations for Children Checklist

- ☐ Include mechanisms or processes to provide accessible shelters that meet the requirements of children, including those with medical needs.
- ☐ Allocate adequate shelter space for families who have children with disabilities or access and functional needs who may need additional space for assistive devices (e.g., wheelchairs, walkers).
- ☐ Plan for sufficient developmentally-appropriate supplies (e.g., diapers, formula, age-appropriate foods), staff, medicines, durable medical equipment and supplies during an emergency for children with disabilities and other special healthcare needs.
- ☐ Include mechanisms for accommodating unaccompanied minors in shelters.

Public Information and Outreach

Public Information and Outreach Considerations for Children Checklist

- ☐ Identify ways to promote personal preparedness among children, as well as their families and caregivers (including school and daycare personnel).
- ☐ Identify mechanisms to disseminate timely and accessible emergency public information using multiple methods (e.g., television, radio, internet, sirens) to reach families of children with sensory and cognitive disabilities, as well as families with limited English proficiency.

Incorporating Individuals with Disabilities and Others with Access and Functional Needs

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

Preparedness

Preparedness Considerations for Individuals with Disabilities and Others with Access and Functional Needs Checklist

- ☐ Use a planning group that includes individuals with disabilities and others with access and functional needs, as well as relevant advocacy groups, service providers and subject matter experts.
- ☐ Include a definition for "individuals with disabilities" and "individuals with access and functional needs," consistent with all applicable laws.
- ☐ Include demographic data and information on the number of individuals in the community with disabilities and others with access and functional needs (using assessment and current registry data, if available).
- ☐ Identify roles and responsibilities for staff and agencies supporting individuals with disabilities and others with access and functional needs.
- ☐ Identify the agency with the lead role for coordinating planning efforts and incorporating individuals with access and functional needs into all plans.
- ☐ Identify support agencies to assist the lead agency in coordinating planning efforts and confirming that plans incorporate individuals with disabilities and others with access and functional needs.
- ☐ Identify a disability advisor to provide expertise for the emergency planning process and to support the incident commander, the planning section and/or the operations section during an emergency.
- ☐ Include mechanisms or processes to identify people who need additional assistance and their specific health-related needs in advance of, during and following an emergency.
- ☐ Include mechanisms or processes to secure medical records to enable persons with disabilities or access and functional needs and acute healthcare needs to receive healthcare and sustained rehabilitation in advance of, during and following an emergency.
- ☐ Identify which position/agency is authorized to direct supporting departments and agencies to furnish materials and commodities for individuals with disabilities and others with access and functional needs.
- ☐ Identify human services that are essential for individuals with disabilities and others with access and functional needs and ways to reestablish those services following a disaster to enable individuals to regain and maintain their previous level of independence and function.
- ☐ Prioritize governmental, nonprofit and private sector resources to meet critical needs such as accessible housing, rental assistance, debris removal and emergency repairs for individuals with disabilities and others with access and functional needs.

- ☐ Include mechanisms or processes to train and use spontaneous volunteers who may offer their services to individuals with disabilities and others with access and functional needs to assist with physical, programmatic and communications access and other functional needs.

Evacuation Support

Evacuation Considerations for Individuals with Disabilities and Others with Access and Functional Needs Checklist

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

Shelter Operations

Shelter Operations Considerations for Individuals with Disabilities and Others with Access and Functional Needs Checklist

- ☐ Include mechanisms or processes to confirm that general population shelters are accessible and fully address the physical, programmatic and communications accessibility requirements of individuals with disabilities and others with access and functional needs.

- ☐ Allocate adequate shelter space for individuals with disabilities and others with access and functional needs who may need additional space for assistive devices (e.g., wheelchairs, walkers).
- ☐ Include mechanisms or processes for confirming that ADA Accessibility Guidelines govern the shelter site selection and operation.
- ☐ Plan for sufficient staff, medicines, durable medical equipment and supplies during an emergency for individuals with disabilities and others with access and functional needs.

Public Information and Outreach

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

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

Incorporating Household Pets and Service Animals

This section highlights the following considerations for incorporating animals into EOPs: preparedness, evacuation support, shelter operations, public information and outreach, animal intake and registration, animal care and record keeping. While both service animals and pets require care and accommodations, service animals require different treatment, since they must be directly accommodated with the people they support.

Preparedness for Pets and Service Animals

Preparedness Considerations for Household Pets and Service Animals Checklist

- ☐ Describe the partnership between the jurisdiction's emergency management agency, the animal control authority, the mass care provider(s) and the owner of each proposed congregate household pet sheltering facility.
- ☐ Establish or refer to an MOA, MOU or MAA that defines the roles and responsibilities of each organization involved in household pet and service animal response.
- ☐ Confirm that organizations with agreed-upon responsibilities in the plan have operating procedures that govern their mobilization and actions.
- ☐ Recommend just-in-time training for spontaneous volunteers and out-of-state responders.

- ☐ Encourage household pet owners and service animal owners to arrange private accommodations for themselves and their household pets and service animals prior to a disaster or emergency situation.

Evacuation Support for Pets and Service Animals

Evacuation Support Considerations for Household Pets and Service Animals Checklist

- ☐ Address household pets evacuated by their owners or rescued by responders and taken to congregate shelters for household pets.
- ☐ Address how to inform owners of the locations of congregate household pet shelters and which shelter to use.
- ☐ Provide conveyance for household pets or service animals whose owners depend on public transportation.
- ☐ Address how to register, document and track household pets that receive evacuation assistance and reunite them with their owners if they are separated during assisted evacuations.

Shelter Operations for Pets and Service Animals

Shelter Operations Considerations for Household Pets and Service Animals Checklist

- ☐ Identify the agency responsible for coordinating shelter operations.
- ☐ Provide guidance to operators of shelters on admitting and treating service animals.
- ☐ Identify the agency in the jurisdiction that regulates nonemergency, licensed animal facilities (e.g., animal control shelters, nonprofit household pet rescue shelters, private breeding facilities, kennels) as an information source to locate needed resources.
- ☐ Establish criteria to identify congregate household pet shelters and alternate facilities expeditiously.
- ☐ Provide guidance about utilities, such as running water, adequate lighting, proper ventilation, electricity and backup power, at congregate household pet shelters.
- ☐ Include mechanisms or processes to reduce/eliminate the risk of injury by an aggressive or frightened animal, the possibility of disease transmission and other health risks for responders and volunteers staffing a congregate household pet shelter.
- ☐ Recommend a pre-disaster inspection and developing agreements in advance for each congregate household pet facility.
- ☐ Provide for the care and maintenance of each facility while in use as a shelter.

- ☐ Identify equipment and supplies to operate each congregate household pet shelter, as well as supplies that household pet owners may bring with them to the congregate shelter.
- ☐ Provide housing for a variety of household pet species (e.g., size of crate/cage, temperature control, appropriate lighting).
- ☐ Identify how to separate household pets based on appropriate criteria and requirements.[48]
- ☐ Provide consultation by a veterinarian or animal care expert with household pet sheltering experience regarding facility setup and maintenance.
- ☐ Identify how to set up and maintain household pet confinement areas (e.g., crates, cages, pens) for safety, cleanliness and control of noise level.
- ☐ Recommend a household pet first aid area inside each shelter.
- ☐ Provide physical security for each congregate household pet facility, including perimeter controls and security personnel.
- ☐ Identify how to accept donated resources (e.g., food, bedding, containers).
- ☐ Identify how to acquire, store and secure food and water supplies.
- ☐ Provide for the diverse dietary needs of the sheltered animals.
- ☐ Identify how to control fleas, ticks and other pests at each congregate household pet shelter.
- ☐ Provide criteria to designate and safely segregate aggressive animals.
- ☐ Identify how to segregate or quarantine household pets to prevent the transmission of disease.
- ☐ Recommend relocating a household pet to an alternate facility (e.g., veterinary clinic, animal control shelter) due to illness, injury or aggression.
- ☐ Recommend providing controlled areas (indoor or outdoor) for exercising dogs.
- ☐ Identify how to dispose of household pet waste and dead animals.
- ☐ Identify how to reunite rescued animals with their owners.
- ☐ Identify how to address the long-term care, permanent relocation or disposal of unclaimed household pets.

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

Public Information and Outreach Regarding Pets and Service Animals

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

- ☐ Communicate public information regarding shelter-in-place accommodation of household pets, if available.
- ☐ Provide mechanisms to regularly update public statements on shelter capacity and availability as people and animals come to shelters.
- ☐ Coordinate household pet evacuation and sheltering information with the jurisdiction's public information officer or joint information center.

Animal Intake, Registration and Record Keeping

Animal Intake and Registration Considerations for Household Pets and Service Animals Checklist

- ☐ Establish provisions to shelter unclaimed animals that cannot be immediately transferred to an animal control shelter.
- ☐ Provide a means to segregate or seize household pets showing signs of abuse.
- ☐ Identify the method to register household pets.
- ☐ Identify a method to install and read microchips to identify household pets rapidly and accurately.
- ☐ Provide technical consultation and supervision by a veterinarian or veterinary technician as official responders.
- ☐ Identify how to confirm that animals have a current rabies vaccination.
- ☐ Define the methods of pre- and post-declaration funding for the jurisdiction's household pet and service animal preparedness and emergency response program.
- ☐ Describe how to capture eligible costs for reimbursement by jurisdictional and federal disaster assistance programs.
- ☐ Describe how to capture eligible donations for volunteer labor and resources.
- ☐ Describe how to capture eligible donations for mutual aid resources.
- ☐ Identify how to address the situation when non-eligible animals are brought to the shelter.[49]

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