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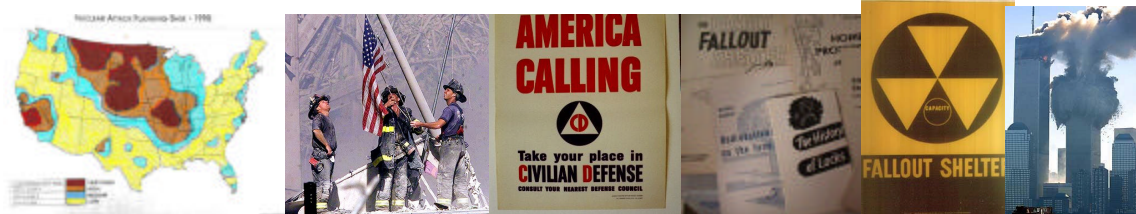
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**GUIDE FOR THE
DEVELOPMENT OF
STATE AND LOCAL
EMERGENCY
OPERATIONS PLANS**





Civil Preparedness Guide
Federal Emergency Management Agency
Washington, D.C. 20472
CPG I-8

September 10, 1990

Guide for the Development of
State and local Emergency Operations Plans

Foreword

This Civil Preparedness Guide (CPG) provides information for emergency management planners and for State and local government officials on the Federal Emergency Management Agency's (FEMA's) concept of multihazard, functional emergency operations planning. It is one of the longer-lived publications in the emergency management field. Some of its content originally appeared in the Federal Civil Defense Guide more than 20 years ago. Though it has continuously evolved and has undergone several major revisions, one thing has remained unchanged; this CPG and its predecessors have consistently advocated an integrated, multihazard approach to emergency operations planning.

In recent months, with Hurricane Hugo and the Loma Prieta earthquake still fresh in the public mind, concern about emergency management has been relatively high. Even before these striking examples, there was growing public awareness of the many hazards that may affect our daily lives. Planners have called attention to the fact that, with continuing urbanization and growing population densities, we are more vulnerable to the effects of hazards, and face a growing probability that disasters will result in large numbers of deaths and injuries among our people. Government officials at all levels are aware that they must address these issues vigorously and effectively. At the same time, they are aware that all government programs must adjust to the economic realities of our times. Essential objectives must be accomplished as economically and as efficiently as possible. With these facts in mind, most governmental units have adopted the multihazard approach to emergency management planning and preparedness.

There are numerous planning and preparedness requirements that relate to any emergency no matter what hazard is involved. At the same time, every hazard has unique characteristics and generates unique planning requirements for mitigation, preparedness, response, and recovery. This CPG can meet the need for Federal guidance on functional planning for requirements that are common to all hazards. It and the plans developed in accordance with its recommendations can provide a significantly advanced starting point for planners and program managers involved in hazard-specific planning and capability building for all phases of emergency management. Our hope is that this groundwork will make it possible for hazard-specific programs to focus their resources more intensely and more productively on the truly unique requirements of the particular hazards that they address. Any recommendations on how this publication can be improved to better serve the needs of emergency planning program managers and practitioners will be most welcome. Comments may be addressed to FEMA, Attn: State and Local Programs and Support, Office of Civil Defense, Washington, DC 20472.

Grant Peterson
Associate Director
State and Local Programs
and Support Directorate

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Chapter 1

General Information

1-1. Purpose. This Civil Preparedness Guide (CPG) revises the Federal Emergency Management Agency's (FEMA's) general guidelines on the form, content, and development process for State and local emergency operations plans (EOP's). It discusses how emergency operations planning fits into the overall emergency management planning structure and sets forth important parts of FEMA's policy concerning plans produced with Federal assistance.

1-2. Applicability and Scope. The provisions of this CPG apply to Federal, State, and local government personnel and individuals with emergency management responsibilities in the private sector.

1-3. Supersession. This CPG supersedes CPG 1-8, Guide for the Development of State and Local Emergency Operations Plans, dated October 1985.

1-4. Authorities.

- a. Federal Civil Defense Act of 1950, as amended.
- b. Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law (PL) 93-288, as amended by PL 100-707.
- c. Executive Order (EO) 12148 of July 20, 1979, as amended, Federal Emergency Management,
- d. EO 12472 of April 3, 1984, Assignment of National Security and Emergency Preparedness Telecommunications Functions.
- e. EO 12656 of November 18, 1988, Assignment of Emergency Preparedness Responsibilities.
- f. Federal Preparedness Circular 8, June 22, 1989, Public Affairs in Emergencies.

1-5. References.

- a. CPG 1-3, CCA General Program Guidelines.
- b. CPG 1-5, Objectives for Local Emergency Management.
- c. CPG 1-6, Disaster Operations: A Handbook for Local Governments.
- d. CPG 1-8A, Guide for the Review of State and Local Emergency Operations Plans.
- e. CPG 1-10, Guide for the Development of a State and Local Continuity of Government Capability.
- f. CPG 1-32, Financial Assistance Guidelines.
- g. CPG 1-35, Hazard Identification, Capability Assessment, and Multi-Year Development Plan for Local Governments.
- h. CPG 1-36, Capability Assessment and Multi-Year Development Plan for State Governments.
- i. CPG 1-38, Comprehensive Cooperative Agreement Policies and Procedures Guide.

1-6. Information Collections and Reporting Requirements.

a. The requirement for the State and local EOP's has been approved by the Office of Management and Budget (OMB) under the provisions of the Paperwork Reduction Act of 1980, 44 U.S.C. 3501, et seq, and assigned OMB approval number 3067-0123 which expires January 31, 1993. The collection of data is used to develop State and local EOP's to protect people and property in a disaster or disaster-threat situation. Public reporting burden for developing EOP's is estimated to average 960 hours per plan. It is estimated that plan updates average 420 hours per plan. The burden includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the plan.

b. Send comments regarding the burden estimate or any aspect of the planning requirement, including suggestions for reducing the burden, to Information Collections Management, Federal Emergency Management Agency, 500 C Street, SW, Washington, DC 20472; and to the Office of Management and Budget, Paperwork Reduction Project (3067-0123), Washington, DC 20503.

Chapter 2

Introduction

2-1. Scope and Description of Emergency Operations Planning. An EOP is a document that contains information on actions that may be taken by a governmental jurisdiction to protect people and property in a disaster or disaster-threat situation. It describes actions that may be required for any hazard, natural or technological, including the effects of nuclear war. It details the tasks that are to be carried out by specified organizational elements at projected places and times based on established objectives, assumptions, and a realistic assessment of capabilities.

a. State-level Plans. State EOP's not only provide for coordinated action by State response forces, but they establish a framework--policies, objectives, approaches, and the basis for assumptions--that is essential for local-level planning. A fundamental goal of emergency management is to establish the capability of mobilizing all levels of government as a unified emergency organization, if duly constituted authorities decide that such action is necessary. As full partners in the emergency management community, the States exercise their authority and contribute their resources to reach this goal. They document this commitment and communicate it to other levels of government and to the private sector through the State EOP.

b. Local Plans. The local EOP describes the community's approach to emergency planning, organization, and operations. It provides for an emergency management system tailored to the particular needs of the jurisdiction and sufficient for the role and responsibilities that would be generated by a large-scale, widespread disaster or disaster-threat situation. It covers the use of evacuation and in-place shelter to protect the population. It identifies resources and provides a system to ensure the orderly use of those resources under extraordinary conditions.

c. Multihazard, Functional Planning. There are numerous emergency management requirements that are common to any disaster situation regardless of the hazard by which it was caused. Experience has shown that plans developed for one type of hazard can be very useful in coping with other emergency situations. Comprehensive emergency management capabilities can be developed by building a foundation of broadly applicable functional capabilities in such areas as direction and control, warning, communications, evacuation, and sheltering. Multihazard, functional EOP's, therefore, begin by providing for basic capabilities without reference to any particular hazard. Hazard-specific planning, within the multihazard planning process, is able to focus on those requirements that are truly unique and are not properly covered by the planned generic capability.

d. Federal Role in State and Local Planning and Operations.

(1) FEMA Responsibilities. In EO 12148, Section 2, Management of Emergency Planning and Assistance, the Director of FEMA is charged to represent the President in working with State and local governments and the private sector to stimulate vigorous participation in civil emergency preparedness, mitigation, response, and recovery programs. As specified under Implementation, the Director, FEMA, will develop policies which provide that all civil defense and civil emergency functions, resources, and systems of executive agencies are:

(a) Founded on the use of existing organizations, resources, and systems to the maximum extent practicable;

(b) Integrated effectively with organizations, resources, and programs of State and local governments, the private sector, and volunteer organizations; and

(c) Developed, tested, and utilized to prepare for, mitigate, respond to, and recover from the effects on the population of all forms of emergencies.

(2) Need for Nationwide Coordinated Response Capability. FEMA's responsibilities under EO 12148 reflect growing recognition of the need for a capability at all levels of government to act together--quickly and cooperatively--in response to catastrophic disasters. There are already numerous disaster or disaster-threat situations in which a direct Federal response is required or permitted by legislative and executive mandates. State and local governments have long made it a practice to provide support to neighboring communities in emergency response and recovery situations on the basis of mutual aid agreements or of simple need. There have been cases of disaster operations in which the community directly affected has had serious problems controlling an oversupply of personnel and equipment provided by well-meaning neighbors. Thorough, coordinated planning at all levels of government is essential to raise the probability that the response to any large-scale emergency will be optimal in terms of both quality and quantity. The emergency management planning programs and processes described in this CPG can fill this need if they are widely accepted and supported by the organizations at all levels of government and in the private sector that make up the emergency management community.

(3) Objectives of Emergency Management Planning. FEMA has established the following objectives relating to its assigned role in emergency planning at the State and local levels:

(a) To promote acceptance of a systematic, integrated approach to emergency planning with compatibility of functional organizations and systems to facilitate mutual assistance and coordinated continuity of government, population protection, and postdisaster recovery operations;

(b) To ensure that EOP's are developed in all States and local jurisdictions, as required, to provide the framework for a national emergency management capability. EOP's address direction and control, warning, communications, evacuation, shelter, radiological defense, emergency support services, emergency public information, resource management, and other emergency management functions necessary for dealing with national security emergencies. Careful attention is paid to the unique characteristics of specific hazards that could potentially cause very great damage to the community, including especially nuclear attack and other hazards that could impact national security;

(c) To develop plans to support a capability for prompt, coordinated response simultaneously by all levels of government to protect the population from the effects of catastrophic disasters caused by any and all hazards;

(d) To provide a basis for ensuring continuity of constitutional government at the State and local levels during and after an attack on the United States and for the duration of catastrophic disaster situations and other major emergencies;

(e) To develop plans for sustaining survivors and for postattack/postdisaster recovery; and

(f) To help bridge the gap between planning and capability by achieving a high level of involvement by emergency response managers in the planning process, and by promoting and participating in an extensive, effective exercise program.

2-2. The Planning Process.

a. The Team Approach. The EOP should grow out of a planning process conducted by a planning team. This team should include representatives from each State and local government department and agency with an emergency mission and each nongovernmental group to which such a mission should be assigned, e.g., news media.

b. Sample Planning Process. Some States have prepared step-by-step approaches to guide development of plans. Such procedures can be very useful if applied with flexibility and good judgment. The following example is a summary of a process actually used in one State for development of local plans. It assumes that a lead State planner will coordinate and facilitate the development of the plan, but this role may also be played by the local Emergency Program Manager (EPM) or another qualified individual, such as a community planner or a private consultant. For the purposes of this CPG, many steps have been combined into general categories of activity. This means that the process would have to be expanded and tailored to each jurisdiction, if actually used in a planning project. The example is particularly valuable, however, in that it clearly illustrates the importance of broad participation and the team approach and calls attention to a number of essential activities necessary for developing an EOP for a jurisdiction of any size, including a State. This illustrative process includes the following steps:

- (1) Carry out a hazards identification process or review and update the existing Hazards Analysis;
- (2) Review the existing plan or plans for the jurisdiction and complete any other needed research on, for example, background information about the jurisdiction, plans of neighboring jurisdictions, and statutes providing the basic authority for the plan and for predelegation of emergency authorities;
- (3) Develop questionnaires for functions/services to determine available resources, organizational structure, mutual aid agreements, vulnerabilities, etc.;
- (4) Provide questionnaires to the EPM for distribution to agencies/departments. Brief the EPM on the planning process and encourage him or her to brief other local officials;
- (5) Ensure that the EPM has a copy of each completed questionnaire for use in developing or revising the jurisdiction's resources inventory;
- (6) Develop rough drafts of the basic plan, functional annexes, and hazard-specific appendixes to serve as a point of departure for the planning project;
- (7) Meet with the EPM, provide copies of the rough drafts for review, brief him or her on the recommended format for the EOP, and explain the local role/responsibility for revising the resources inventory;
- (8) Develop agendas and invitation lists for the first series of planning meetings. Coordinate with the EPM, and obtain the widest possible range of participation;
- (9) Revise EOP as changed by the EPM. Date and copy this version, which may be designated a working draft EOP;
- (10) Prepare presentation and conduct a planning meeting; brief the participants, establish planning committees for each function, appoint a chairperson for each committee, and tentatively schedule a follow-up planning meeting;
- (11) Conduct an unofficial, or verification, survey of the congregate-lodging and disaster-effects protective shelter available to the community;
- (12) Work with the planning committees to improve and refine each functional annex; form subcommittees for each hazard to be separately treated and work with them to improve and refine hazard-specific appendixes; facilitate joint meetings of hazard-specific subcommittees for different functions to ensure proper coordination;

(13) Review annexes and appendixes submitted by planning committees and work with the committees to make any further improvements indicated;

(14) Prepare or improve maps, charts, and any other graphics that have been called for during the planning process;

(15) Edit the entire EOP to ensure consistency in style and substance;

(16) Produce a final draft of the EOP and provide copies to all planning team members. Submit copies to reviewing authorities as required and to other organizations as needed for effective coordination;

(17) Hold a final planning team meeting; discuss any further required changes; decide procedure for presenting the EOP and for implementing it;

(18) Make presentation to local elected officials and obtain concurrence and official promulgation of the EOP,

(19) Print and distribute the EOP;

(20) Provide copies of the plan or information extracted from the plan to governmental and private organizations--e.g., other local governments, substate regional planning councils, FEMA regions, private disaster relief organizations, military facility commanders--as necessary to support preparedness for joint operations or coordinated operations in large-scale disasters affecting multiple jurisdictions;

(21) Work with the EPM to include use and evaluation of the EOP as a fundamental part of the community's ongoing exercise program. This ensures that the EOP is examined periodically and remains familiar to officials responsible for emergency management functions; and

(22) Remember that planning is a cyclical process.

2-3. Overview of Plan Content and Format.

a. General Concept. To achieve the national objectives of emergency management, FEMA must be able to influence the content of State and local EOP's. Several approaches are used to accomplish this.

(1) FEMA works on a continuing basis to identify and define emergency management planning requirements and to develop guidance for State and local governments on planning techniques and plan content that will meet the needs and requirements of all levels of government.

(2) FEMA promulgates criteria for acceptability of plans and establishes administrative procedures for enforcing compliance with those criteria by State and local emergency management organizations that receive Federal assistance for plan development.

(3) FEMA works directly with the organizations and individuals that are responsible for emergency management throughout government and the private sector to ensure compatibility of plans and systems and to establish confidence in the capability for coordinated operations. The Federal Government's policy is to continue to emphasize a positive, unified approach to bringing about consistent results in emergency operations planning and capability building.

b. Plan Content. The following criteria may be made binding upon some users of this CPG by references in the articles or statements of work in contracts and cooperative agreements or by criteria for participation in various financial assistance programs. Those not so obligated who, nevertheless, wish to

be prepared to participate as an integral part of the nationwide emergency management system, should use the criteria as guidance on the basic planning requirements essential for such a role. These basic requirements are more fully explained and illustrated in the sample EOP included in chapter 6. EOP's address all hazards to which the communities covered are particularly vulnerable, including the possibility of nuclear attack, and contain provisions to accomplish the following:

(1) Declare the purpose of the plan and, in more specific terms, the purpose of each plan element.

(2) Define the problem addressed in a given part of the plan; describe the situations and the general environment that would establish likely preconditions for activation of the emergency organization to carry out operations under the plan. This description should reflect the findings detailed in the hazards identification process.

(3) State assumptions adopted during the planning process which may significantly impact emergency operations.

(4) Present the jurisdiction's concept of emergency operations, carefully describing relationships with other governmental units at the same, lower, and higher levels. Describe the process of coordination and clearly establish guidelines for establishing and maintaining direction and control. Cover the approach to ensuring overall continuity of governmental operations in the jurisdiction; and, in appropriate parts of the plan, address all seven continuity of government (COG) measures:

- (a) Succession to office;
- (b) Predelegation of emergency authority;
- (c) Emergency action steps;
- (d) Emergency operating centers;
- (e) Alternate emergency operating centers;
- (f) Safeguarding essential records; and
- (g) Protection of government resources, facilities, and personnel.

(5) Describe the jurisdiction's organization for large-scale disaster operations, compare it to the normal organization, and make provision for timely and orderly activation of the emergency organization. Provide clear statements of the roles to be played by elements of the normal organization in the emergency organization.

(6) Explain how the plan is to be logistically supported; describe communications systems and procedures that will be relied upon to alert and direct emergency response forces, receive and disseminate warning, request aid from other jurisdictions or levels of government, and receive requests for aid from other jurisdictions.

(7) Describe how emergency response forces will be used to protect people and property when it is necessary to respond, contain (if possible), and recover from disasters caused by the hazards the jurisdiction faces. Detail direction and control relationships, means for alerting response forces, warning of the public, recovery procedures, and use of emergency facilities and field forces to provide the direction and control needed for each disaster response operation.

(8) Describe how the firefighting, police, public works, emergency medical, emergency management, and other private and volunteer agencies function during emergency and disaster situations. These organizations collectively perform the services that allow the jurisdiction to respond to and recover from disasters. Additionally, these agencies provide the necessary support that allows evacuation operations to be implemented.

(9) Detail procedures necessary to ensure safe and orderly evacuation of people threatened by the hazards the jurisdiction faces. The fundamental assumption for this part of the plan is that sufficient warning time will be available to evacuate the population that is threatened. Given the variability in the types of hazards and in the sizes and populations of areas that might be threatened, planning must provide a range of evacuation options for selection and implementation by decisionmakers.

(10) Detail those provisions that have been made for the coordination and dissemination of emergency public information and education materials to the general public by the mass media during a situation that warrants notification of all or most of the community's population.

(11) Address actions to protect the population from the hazards associated with nuclear attack, natural disasters, and technological hazards. Shelter considerations include protective measures, care for evacuees, and care for those people who must rely on in-place sheltering because time or circumstances do not allow evacuation.

c. Consideration of People with Special Needs. Government, at all levels, and private sector organizations involved in community service activities have heavy responsibilities for maintaining awareness of and being prepared to provide for the needs of persons with disabilities or other special problems, such as inability to communicate in the predominant language of an area.

(1) Disabilities are functional reductions or losses caused by impairing medical conditions. They can relate to physical function, mental function, motor function, the senses, or hidden functions, e.g., respiratory and cardiac conditions, epilepsy, and mental retardation. Inability to communicate in the predominant language of an area means being unable to speak or understand the language generally used in the conduct of day-to-day business of the community. Without this ability, people cannot promptly receive or provide vital information given or requested in the predominant language.

(2) To be as certain as possible that all needed assistance will be available to everyone in the community, consideration for the requirement of special-needs persons should be fully integrated into the emergency operations planning and capability building processes. Emergency management organizations should carry on a range of activities relating to special-needs persons or in which the concerns of such persons are of particular importance, such as the following:

(a) Identification of special-needs persons or groups in the jurisdiction;

(b) Maintenance of inventories of resources, both human and material, that may be needed to assist persons with special needs. Sources to be considered should include self-help, volunteer, private sector, and government at all levels;

(c) Identification or development, testing, and use of systems for alerting and warning special-needs persons in major emergency situations;

(d) Identification or development, testing, and use of systems for protecting special-needs persons from the effects of disasters. The two basic protective options, in-place protective shelter and evacuation, are the same for special-needs persons as for the general public. The unique situations of special-needs persons, however, must be given careful consideration during the processes of choosing and

implementing the protective strategy. Factors to be considered include special requirements for preparation, transportation, facilities at reception and care centers, and return movement;

(e) Notification, education, or training in the jurisdiction regarding the emergency-related concerns of special-needs persons with target audiences including the special-needs persons, themselves; organizations serving special-needs persons; emergency services personnel; the news media; advocacy groups representing special-needs persons; and the general public; and

(f) Exercising and evaluating EOP's to ensure that they are appropriate, practical, and flexible in addressing the requirements of the special-needs persons.

d. Plan Format. It is FEMA's policy to refrain from establishing plan format requirements. The plan format used in this CPG is a good one, but it is not the only satisfactory one. Many States have used different formats successfully for a number of years. It is likely that no one format is the best for all jurisdictions of all sizes in all parts of the country. Plan format, like many other aspects of emergency management, must be chosen on the basis of what has been proven in practice. There is no intent, therefore, to imply that the format presented here should be universally adopted. Most of the important principles espoused in this CPG can be honored in the context of varying formats.

(1) Plan Components. Figure 2-1 illustrates the relationships among the three fundamental EOP components each of which will be the subject of a chapter in this CPG. These components may be briefly defined as follows:

(a) The basic plan serves as an overview of the jurisdiction's approach to emergency management and includes information on policies, plans, and procedures relating to the emergency management responsibilities of the whole government and all of its departments and agencies;

(b) Functional annexes, in support of the basic plan, address specific activities critical to emergency response and recovery; and

(c) Hazard-specific appendixes, in support of each functional annex (as necessary), contain information on response procedures, protective measures, etc., that are unique to the particular hazard and are relevant to emergency operations in a large-scale disaster or disaster threat caused by the hazard.

(2) Standard Operating Procedures (SOP's). The question of inclusion of SOP's in EOP's is frequently raised. SOP's are critically important planning elements. They usually contain checklists that are very useful in actual operations; and a great deal of important, but variable, information is found in them. In terms of administrative requirements, FEMA does not insist upon the inclusion of SOP's in plans submitted as end products under Federal assistance programs. This does not mean that SOP's should always be excluded from the plan. It may be very useful to include the more important ones, and this CPG recommends this be done. The decision should be made by government officials and planners, with consideration for such factors as the need to communicate the information contained in the SOP's to other emergency organizations and the right to privacy of people named in alerting lists and resource inventories.

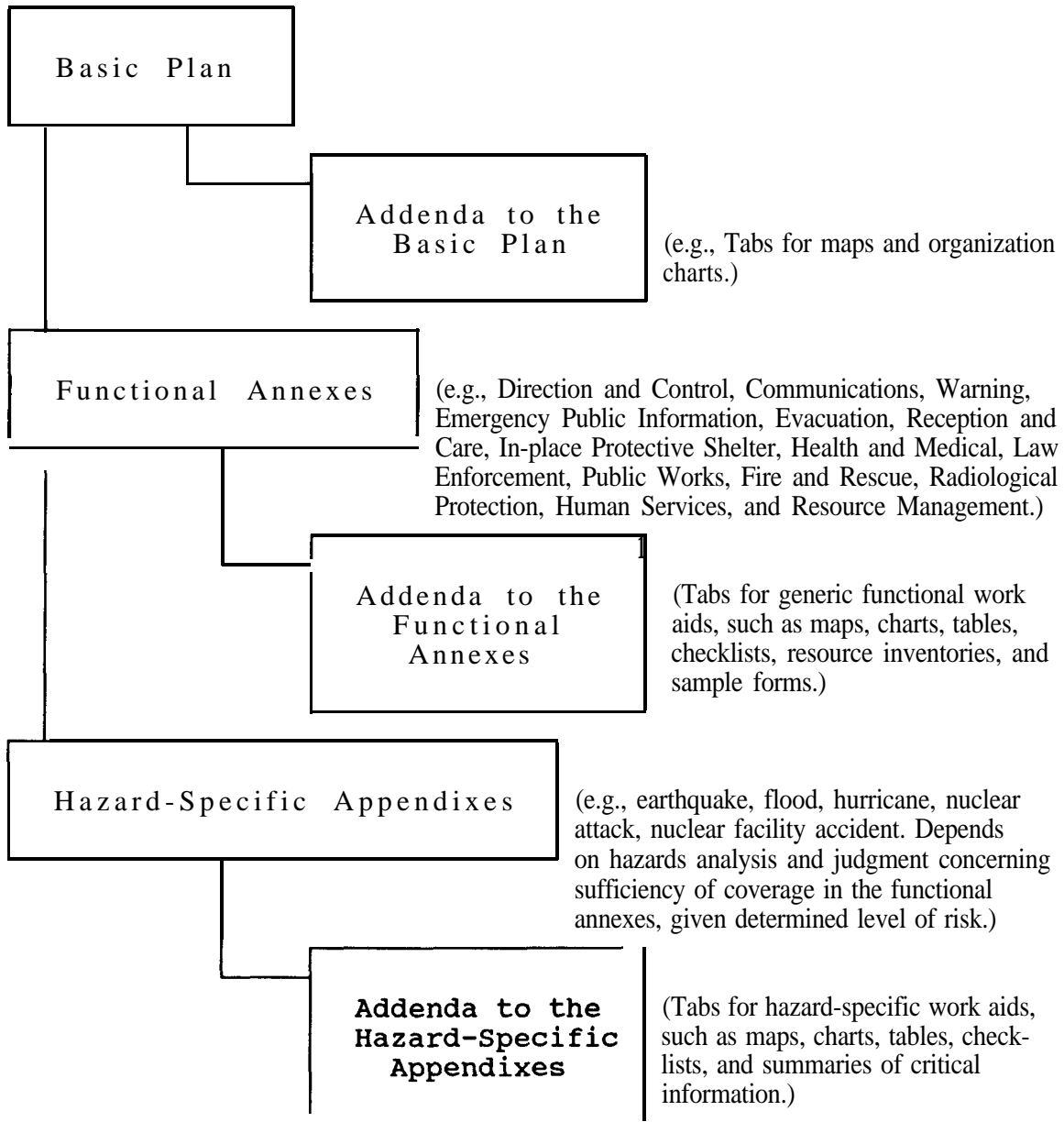


Figure 2-1. Components of an Emergency Operations Plan

Chapter 3

The Basic Plan

3-1. General. This chapter provides guidance and procedures for developing the basic portion of an EOP.

3-2. Overview of the Basic Plan. The basic plan is an overview of the jurisdiction's approach to emergency management. It establishes the foundation for the community's efforts to develop capabilities for coping with large-scale emergencies and covers a substantial number of generally applicable organizational and operational details. The basic plan cites the legal authority for the emergency management program, summarizes the situations addressed, explains the general concept of operations, describes the jurisdiction's role in the national emergency management system, and assigns responsibilities for emergency planning and operations related to large-scale emergencies. It establishes the plan structure reflected in the annexes and appendixes to the EOP.

3-3. Elements of the Basic Plan. The following elements frequently are included in the basic plan:

a. Introductory Material. Several elements or attachments typically appear at the beginning of the basic plan.

(1) Promulgation Document. The promulgation document, usually a letter signed by the chief executive officer of the jurisdiction, establishes the plan's official status and provides authority for requirements it places on departments within the government. The chief executive may include his or her views on the importance of the emergency management effort. The date of execution of the plan should be included.

(2) Foreword. The foreword may describe the planning process, state the emergency management goals to be achieved, abstract the contents of the plan, and acknowledge those who made special contributions to the planning process.

(3) Contents. A table listing all sections of the EOP--basic plan, annexes, and appendixes--should be included to enable users to quickly locate any plan element.

(4) Hazards Analysis. A summary of the results of the jurisdiction's hazards identification process may be included as a part of the introductory material.

(5) Instructions on Plan Use. It is not necessary to treat this subject in detail at this point, since important instructions will be included throughout the plan. It is useful, however, to address some topics at the beginning of the plan.

(a) Audience. The audience for all, or for parts, of the plan should be described in general terms.

(b) Distribution. A distribution system should be developed that includes all officials (by position) who should receive each portion of the plan. A list or chart can be useful for distributing changes and additions when the plan is updated.

(c) Expectations. General comments concerning the appropriate response by officials receiving a copy of the plan may be in order.

(6) Record of Changes. A chart to record changes received and inserted into the plan provides a permanent record and ensures that the EOP is up to date.

b. Purpose. This is a statement of the overall goals and scope of the EOP.

c. Situation and Assumptions. Situations pertinent to the jurisdiction can be drawn from the hazards analysis and described in general terms. If possible, the potential scope and impact of various situations should be clarified. As a support to developing a clear picture of emergency preparedness capabilities in the jurisdiction, assumptions about the emergency organization should be stated.

d. Concept of Operations. The topics covered in this paragraph include interjurisdictional and interorganizational relationships for emergency management. The four phases of emergency management should be defined, and the time phases used to describe the evolution of a disaster should be presented. General comments on direction and control and on COG issues are included.

e. Organization and Assignment of Responsibilities. This portion of the basic plan addresses the broad organizational framework for emergency management, planning, response, and recovery in the jurisdiction. Organizational elements with assigned responsibilities in any phase of emergency management are identified, and their functions are clearly delineated. Relationships between and among agencies (and, by agreement, with private-sector organizations) should be summarized in terms of primary and supporting roles. A rectangular matrix with functions on one edge and organizational entities on the other can be used for this purpose. Although specific assignments of responsibility are described in functional annexes, this portion of the basic plan can be used to identify overall roles for all types of emergencies.

f. Administration and Logistics. Management of resources, general support requirements, and availability of services and support for all types of emergencies should be addressed. Statements made should establish policies for obtaining and using facilities, equipment, supplies, services, and other resources required for emergency management. It is recommended that this portion of the basic plan focus on ensuring adequate supplies and personnel for emergency operations.

g. Plan Development and Maintenance. The overall approach to planning, including assignment of planning responsibilities, should be discussed. Statements should focus on the planning process, participants involved in that process, and the interaction expected between planning levels. It is important that an appropriate person be assigned the task of coordinating the total planning effort. A procedure should be developed for continuing review and improvement of the EOP. It is especially important that exercises and actual emergency operations be thoroughly evaluated and that any needed planning improvements be carried out. Since an EOP involves many elements of government, decisions should be made about the kinds of changes that must be coordinated through the chief executive or department or agency heads. Delegation of authority to emergency officials is appropriate so that routine changes in call-up rosters, maps, etc., can occur without delay.

h. Authorities and References. Authorities cited should be laws that provide the basis for emergency operations and activities. Statutes, ordinances, executive orders, regulations, and formal agreements that pertain to emergencies should be listed. Citing reference materials, particularly those of other levels of government, is valuable.

i. Definition of Terms. Words, phrases, abbreviations, and acronyms relevant to emergency management should be defined. Many terms in emergency management have special meanings, so that establishing precise definitions is important. Each annex should also define terms applicable to it, so that this portion of the basic plan can be limited to definitions of terms pertinent to overall emergency management.

3-4. Sample of a Basic Plan. The example basic plan in chapter 6 shows many of the elements discussed above.

Chapter 4

Functional Annexes

4-1. General. This chapter provides guidance and procedures for developing the content of the functional annexes of the EOP.

4-2. Overview of Functional Annexes.

a. Content. Annexes to the EOP provide specific information and direction. Annexes should focus on operations and should define the function and indicate who is responsible for carrying it out. While the basic plan provides information relevant to the EOP as a whole, annexes should emphasize responsibilities, tasks, procedures, and operational actions that pertain to the function being covered. Annexes should cover, in general terms, the activities to be performed by anyone with a responsibility under the function. An annex should identify actions that not only ensure effective emergency response but also aid in preparing for emergencies.

(1) To be generally applicable, annexes should clearly define and describe the policies, procedures, roles, and responsibilities inherent in the various functions before, during, and after any emergency period. To ensure adequate planning for all possible contingencies, it may be necessary to spend time projecting the consequences of various emergencies. This should not be restricted to those hazards found to be most threatening during the hazards analysis. For example, airplane crashes, while infrequent, can occur almost anywhere with little or no warning. The term "generic" has been used to describe these generally applicable, functional annexes. The generic annexes are critically important parts of the plan, since they must be sufficient to cope with any unforeseen emergency.

(2) In general, the organization of the annexes parallels that of the basic plan. Specific sections can be developed to expand upon--but not to repeat--information contained in the basic plan.

b. Functions to Include as Annexes. One of the more important things to be done early in the planning process is to select the functions to be made the subjects of separate annexes. These choices are influenced by such factors as the organizational structures of the State and local governments, the capabilities of the jurisdiction's emergency services agencies, and the established policy or intentions with respect to the concept of operations. No single listing of functional annexes, therefore, can be prescribed for all jurisdictions.

(1) The following list of functional annexes is used for the sample plan in chapter 6: Direction and Control, Communications, Warning, Emergency Public Information, Evacuation, Reception and Care, In-place Protective Shelter, Health and Medical, Law Enforcement, Public Works, Fire and Rescue, Radiological Protection, Human Services, and Resource Management.

(2) The fact that several functions or subjects are not included in the list given here does not necessarily mean that they are regarded as less important than the ones that are included. COG, for example, was left out because it was considered a matter of pervasive concern that should be treated in the basic plan and in almost all of the other functional annexes. The situation is similar for damage assessment, which should receive substantial attention in the basic plan and in several other annexes, including Direction and Control, Public Works, Radiological Protection, and Resource Management. The primary concern is that all important activities be properly covered in the plan. The location or categorization of these activities is of secondary importance, though a State should strive for consistency among its jurisdictions to facilitate coordination.

4-3. Description of Functions for Generic Annexes. The following subparagraphs contain brief descriptions of important emergency management functions, all but two of which are included in the list of annexes used for this CPG:

a. Direction and Control. This function involves the use of a centralized management center, the EOC, to facilitate policymaking, coordination, and control of operating forces in a large-scale emergency situation. It must cover the process of obtaining and analyzing emergency management information to provide a basis for decisionmaking. It should describe the use of alternate EOC's, mobile EOC's, and field command posts, as appropriate.

b. Communications. This function deals with establishing, using, maintaining, augmenting, and providing backup for all channels of communication needed for emergency response and recovery. Consideration must be given to needs for secure communications.

c. Warning. This function deals with systems to disseminate to appropriate government officials and the general public timely forecast of all hazards requiring emergency preparedness or response actions. In a generic warning annex, all aspects of existing warning systems must be identified, and provisions must be made to implement them as needed. The government unit must be able to obtain timely information on impending threats to the jurisdiction and to transmit it rapidly to officials and citizens. Clear directions must be provided for the use of the Emergency Broadcast System (EBS) to warn the public. Backup systems must also be addressed. For example, a telephone fan-out initiated at the EOC might be used to confirm that schools have received warnings issued by the National Weather Service (as well as any other warnings broadcast to the general public). In short, this annex should describe warning systems in place in the jurisdiction, and responsibilities and procedures for using these systems.

d. Emergency Public Information. The goal of this functional activity is to increase public awareness of hazards and to provide active channels for informing and advising the public on appropriate actions before, during, and after emergencies. It should provide for effective collection and dissemination of information to control rumors and to minimize dysfunctional public responses. The annex should describe policies, roles, responsibilities, and procedures for communicating with the public during several phases of emergency management--preparedness, response, and recovery. Plans for developing and disseminating public information materials on preparedness, evacuation procedures, etc., should be covered, as should handling all aspects of relations with the mass media during an emergency. Special attention should be given to proper use of the EBS; and some technical aspects of communicating with the public may be covered--for example, remote pickup from the EBS radio or television station in the EOC.

e. Evacuation. The goal of this function is to relocate people to safe areas, when emergencies or threats necessitate such action. This annex should establish clear and detailed procedures for carrying out complete or partial evacuation of the people from the jurisdiction. It should focus on movement by defining areas likely to be evacuated, determining destinations, and outlining the approach for controlling the flow of traffic. Procedures for return movement should also be included.

f. Reception and Care. This function covers mass care of people within the boundaries of the home jurisdiction in case of a partial evacuation. It should also provide for those people from other jurisdictions who may be directed to the area under plans for various contingencies. This annex should cover the policies, procedures, roles, and responsibilities associated with providing housing, food, clothing, and other essentials to a large number of people displaced from their homes by disaster. Problems inherent in establishing enough centers and activating enough resources to care for potential numbers of people in need should be addressed.

g. In-place Protective Shelter. This function involves provision of appropriate shelter to protect people from the effects of any disaster. Use of shelters in or near homes, schools, or places of work may be the most effective way to protect people; it may be the only alternative available under some

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circumstances. The annex for this function should address the conditions under which people should be placed in protective shelters and how the decision to do so would be implemented. Shelter facilities, their capacities, and other characteristics should be described in an appendix to the annex. Responsibility for shelter maintenance and management should also be established.

h. Health and Medical. This function includes medical care for the population under emergency conditions of varying scope. This annex should describe policies and procedures for mobilizing medical resources including a clear description of the procedure for requesting activation of the National Disaster Medical System in a mass-casualty situation. Attention should be given to public health problems in major emergencies, especially in mass-care facilities. Approaches for dealing with mass-fatality situations should be fully covered.

i. Law Enforcement. As a function, law enforcement should provide for sufficient resources to maintain civil order under emergency conditions. This annex should cover responsibilities and procedures for maintaining security and order under crisis conditions and eventual recovery. Procedures for augmenting existing forces during emergencies should be described.

j. Public Works. The public works function provides for a flexible emergency response capability for engineering, construction, and repair and restoration of essential public facilities and services, including critically important utilities that may be under control of private businesses. Particular attention should be paid to capability for debris clearance and postdisaster safety inspections of damaged structures. Public works personnel may provide support for heavy rescue operations and may play a key role in establishing multipurpose staging areas. The public works annex is one of those most likely to require several detailed hazard-specific appendices.

k. Fire and Rescue. This function provides for firefighting and search and rescue services during and after emergencies. The annex should treat the policies, procedures, and responsibilities of fire prevention and firefighting under potential crisis conditions. Roles and responsibilities inherent in search and rescue should be fully covered. Procedures for augmenting fire and rescue resources should be discussed.

l. Radiological Protection. This annex should cover radiation detection, monitoring, and exposure control in any emergency involving radioactive materials--including nuclear power plant accidents, hazardous materials accidents, and nuclear attack.

m. Human Services. This annex should cover delivery of such services as counseling under disaster conditions. It may also provide for housing, food, and clothing in situations not of a sufficient scope to justify activation of mass-care systems.

n. Resource Management. Resource Management involves coordination and use of personnel, equipment, supplies, facilities, and services, particularly during disaster response and recovery. This annex must deal with allocation of scarce resources in emergency situations that restrict the normal flow of people, goods, and services. It must also cover the jurisdiction's participation in resource claimancy during a national emergency.

o. COG. Policies and procedures for ensuring the survival and operational capability of the government should be carefully planned. Lines of succession for the overall government, as well as for agencies and departments, should be clearly delineated. Preservation of vital records should be ensured. The sample EOP in chapter 6 does not include a separate COG annex because the function is considered pervasive and properly covered in a section of most functional annexes.

p. Damage Assessment. The purpose of this function is to ensure that personnel and procedures are available to provide preliminary estimates and descriptions of the extent of damage resulting from large-scale disasters. Policies, procedures, roles, and responsibilities should be defined for situations that would

call for a declaration by the State Governor or President of the United States. The sample EOP in chapter 6 does not include a separate damage assessment annex because the activity is regarded as an inherent part of several other functions.

4-4. Samples of Functional Annexes. The sample EOP in chapter 6 includes several illustrative functional annexes.

Chapter 5

Hazard-Specific Appendixes

5-1. General. This chapter provides guidance and procedures for developing appendixes to address unique characteristics of particular hazards.

5-2. Overview of Hazard-Specific Appendixes. To be logical, a planning process must address each hazard that threatens the jurisdiction. It is important, therefore, that the hazards identification process be completed at the beginning of the planning process and that the planning team be fully briefed on the hazards. Generic planning, as reflected in the functional annexes, does not ignore hazards; it addresses all of them collectively. It is inevitable, however, that unique characteristics of various hazards will not be adequately covered in the annexes. To properly treat such unique factors is the purpose or role of the hazard-specific appendixes to the functional annexes.

5-3. Development of Hazard-Specific Appendixes. Hazard-specific appendixes and functional annexes should be developed or revised simultaneously to ensure that the planning needs generated by the hazard are fully supplied without unnecessary duplication of information. The decisions on the needs for hazard-specific appendixes should be made by the planning committee for each function and reviewed by the entire planning team. These decisions are critical to the credibility, acceptability, and usefulness of the plan and so should be made with due care and deliberation. In case of disagreements among planning team members, the benefit of the doubt should favor inclusion of the hazard-specific material. The team should reject, however, the simple, extreme answer of using an appendix for each of an arbitrary list of hazards with every functional annex. The planning approach recommended in this guide provides a great deal of flexibility in dealing with hazard-specific material. An appendix for a particular hazard can be added to one, some, or all of the functional annexes; and it may be very long or very brief depending upon recognized need.

5-4. Content of a Hazard-Specific Appendix.

a. It is recommended that hazard-specific appendixes have the same basic structure--i.e., the same sections, with corresponding numbers, as the basic plan and functional annexes. The approach again provides flexibility to include a particular section or to omit it, if the information is properly covered in the functional annex.

b. Decisions on inclusion of hazard-specific material in the EOP's are sometimes made on the basis of other than practical planning considerations. The flexibility of the planning approach described in this guide should make it possible to accommodate the wishes of the various regulatory authorities and constituencies of the emergency management organizations without reducing the operational utility of the plan.

5-5. Samples of Hazard-Specific Appendixes. The illustrative plan in chapter 6 includes sample hazard-specific appendixes to several of the functional annexes.