



# Annexes & Appendices and Implementing Instructions

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# Unit Objectives

- Describe the difference between an annex and an appendix.
- List the eight functional annexes recommended for inclusion in every EOP.
- Identify factors for deciding whether to develop an annex or an appendix.
- Describe the basic structure for annexes and appendices.
- Determine when other documentation is needed.

# Unit Objectives (continued)

- Describe the different types of implementing instructions and the purpose for each.
- Explain why implementing instructions must be developed at the agency level.
- Identify an implementing instruction that would be appropriate for a tasking or an area of responsibility.

# Annexes vs. Appendices

- An **annex** explains how the community will carry out a broad function—such as warning—in an emergency.
- An **appendix** is a supplement to an annex that adds information about how to carry out the function in the face of a specific hazard.

# Eight Core Functional Annexes

- Direction and Control
- Communications
- Warning
- Emergency Public Information (EPI)
- Evacuation
- Mass Care
- Health and Medical
- Resource Management

# Direction and Control

- Describes the method used to facilitate round-the-clock policy making, coordination and control of the organizations involved in response operations
- Describes the policies, roles, and responsibilities of the organizations that perform core life-saving and recovery functions
- Describes relationships between responding local, State, and Federal personnel

# Communications

- Describes the primary and backup communications systems and protocols the organizations will use during response and recovery operations

# Warning

- Describes the warning systems and responsibilities and procedures for using these systems

# Emergency Public Information

- Describes the policies, roles, responsibilities, and procedures for increasing public awareness of the hazards and need for individual and family preparedness
- Provides a means for informing populations at risk about the danger and explaining the appropriate protective steps they should take before, during, and after an emergency

# Evacuation

- Describes policies, roles, responsibilities, and procedures for evacuating people and critical supplies from a risk area when emergency conditions make such actions necessary
- Describes areas likely to be evacuated, determines destinations, travel routes, methods of travel, and the approach for controlling the flow of evacuees

# Mass Care

- Describes the policies, roles, responsibilities and procedures for:
  - ☞ Providing shelter to protect people from the effects of the disaster
  - ☞ Providing housing, food, clothing, first aid, and other essentials to the people that have been displaced from their homes by the disaster

# Health and Medical

- Describes the policies, roles, responsibilities, and procedures for mobilizing public health and medical resources under emergency conditions for:
  - ☞ Lifesaving, transport, evacuation, and treatment of the injured
  - ☞ Disposition of the dead
  - ☞ Disease control activities related to sanitation
  - ☞ Preventing the contamination of water and food supplies during the response phase and in the post-disaster environment

# Resource Management

- Describes the policies, roles, responsibilities, and procedures for procurement and allocation of resources to include personnel, equipment, and supplies, and service during response and recovery operations

# Annex Structure

- Purpose
- Situation and Assumptions
- Concept of Operations
- Organization and Assignment of Responsibilities
- Administration and Logistics
- Plan Development and Maintenance
- Authorities and References

# Hazard-Specific Appendices

Topics that need to be addressed include:

- Special planning requirements.
- Priorities identified through hazard analysis.
- Unique characteristics of the hazard requiring special attention.
- Special regulatory considerations.

# Appendix Structure

- Should reflect any Annex sections that are applicable (i.e. – Situation and Assumptions, Concept of Operations, etc.)
- Support Documents

# Reviewing your EOP's Functional Annexes

- What annexes does it currently contain?
- What annexes that haven't been mentioned does it contain?
- Will hazard analysis imply that additional annexes/appendices should be considered?
- What hazards are addressed by the plan?
- Who has the authority to activate part or all of the plan?

# Reviewing Appendices

- Does the appendix address:
  - ☞ Unique planning requirements?
  - ☞ Regulatory requirements?
  - ☞ Hazard specific information
- Does it pertain to the annex to which it is appended?
- Does it provide an appropriate supplement?
- Is its organization consistent with other parts of the EOP?

# ESFs vs. Functional Annexes

- Emergency Support Functions
  - Support Annexes (Donations, Legal Affairs, etc.)
  - Hazard-Specific Annexes
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- Functional Annexes
- Hazard-Specific Appendices

# Support Documents

- Usually called “Tabs” or “Attachments”

☞ Maps

☞ Charts

☞ Tables

☞ Forms



# Implementing Instructions

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- What are implementing instructions and what are some examples?

# Implementing Instructions

- ☞ SOPs (also known as SOG)
- ☞ Job Aids
- ☞ Checklists
- ☞ Information cards
- ☞ Recordkeeping and combination forms
- ☞ Maps (especially with phase lines, etc)

# Standard Operating Procedures

- ☞ Provide step-by-step instructions for carrying out specific responsibilities.
- ☞ Describe who, what, where, when, and how.
- ☞ Are appropriate for:
  - Complex tasks requiring step-by-step instructions.
  - Tasks for which standards must be specified.

# Standard Operating Procedures

- ☞ Develop a task list.
- ☞ Determine who, what, where, when, and how. Who includes:
  - Who performs the activity.
  - To whom he or she reports.
  - With whom he or she coordinates.
- ☞ Identify the steps for each task.
- ☞ Identify the standards for task completion.
- ☞ Test the procedures.

# What NIMS says about SOPs (p38)

Each organization covered by the EOP should develop procedures that translate the tasking to that organization into specific action-oriented checklists for use during incident management operations, including...

Procedures are documented and implemented with checklists; resource listings; maps, charts, and other pertinent data; mechanisms for notifying staff; processes for obtaining and using equipment, supplies, and vehicles; methods of obtaining mutual aid; mechanisms for reporting information to organizational work centers and EOCs...

# SOP – Comment from p.144 of Katrina Report

Some agencies had well developed standard operating procedures while others had none at all. The U.S. Army Corps of Engineers and the Department of Transportation had previously developed significant operating procedures that covered agency responsibilities under the NRP.

- Both agencies had used these operating procedures during training exercises to ensure an understanding of operating procedures prior to real time application. These agencies executed their responsibilities under the NRP fairly well.

- Other agencies lack sufficient operating procedures for their responsibilities under the NRP. Many, when asked for operating procedures, referred to related sections of the NRP.

- Since the NRP is not an operational plan, this led to problems with execution of Emergency Support Function (ESF) responsibilities.

# Job Aids

Used on the job for:

- ➡ Complex tasks.
- ➡ Critical tasks.
- ➡ Tasks infrequently done.
- ➡ Procedures/Personnel that change often.

## Appropriate?

YES	NO
Complex or lengthy tasks.	Simple tasks.
Infrequently done tasks.	Regularly done tasks.
Bad results when done wrong.	Tasks that must be done quickly, from memory.
Procedures or personnel tend to change often.	If workers can't perform effectively while referring to a job aid.
Conformity needed among workers and across locations..	
Job aid can be used effectively on the job.	

Title/Purpose

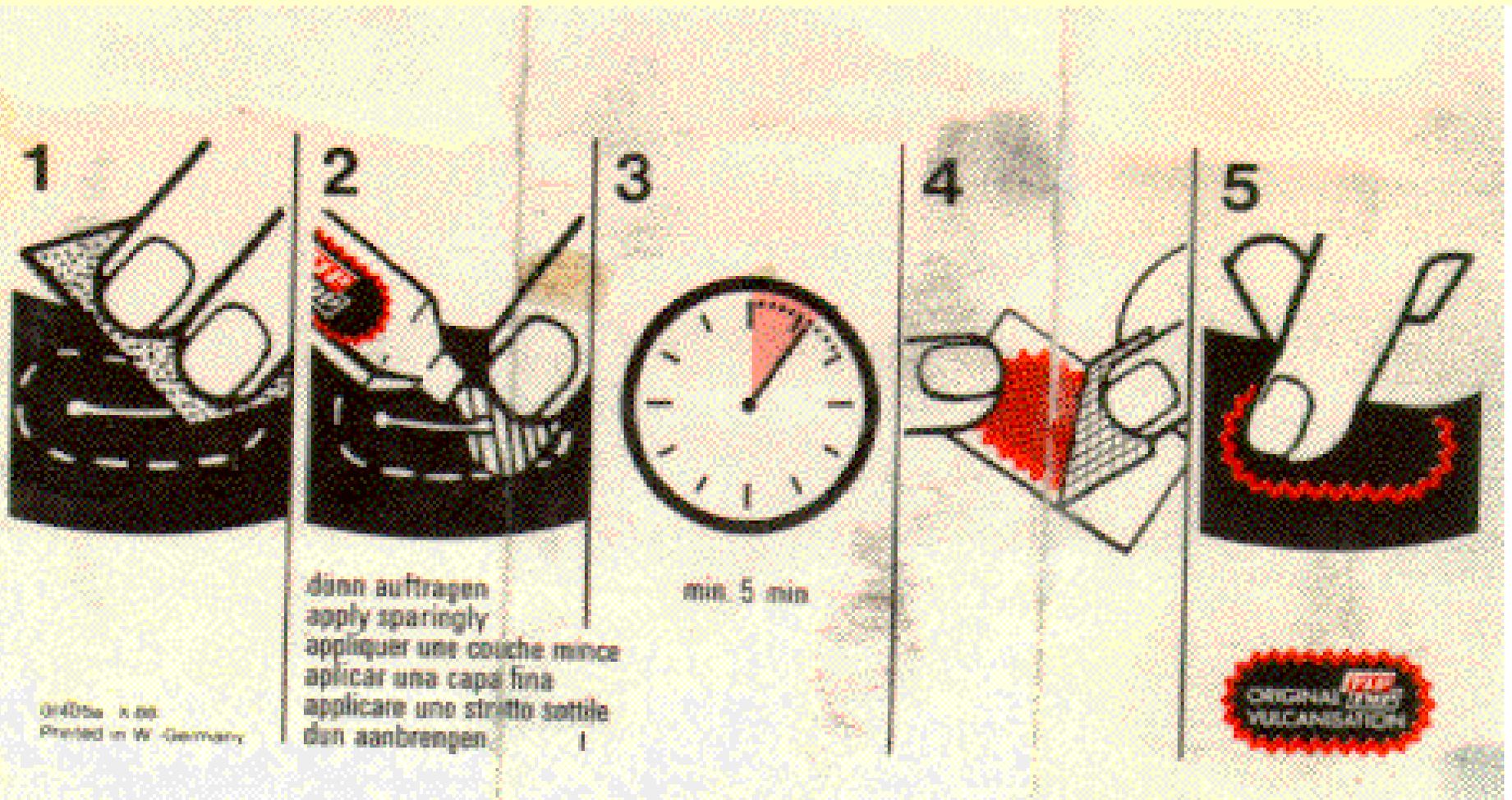
Materials Illustrated

Clearly illustrates how to perform each step and in sequence



Desired Result

# Job Aids



# Checklists

- ☞ A list of tasks, steps, features, content, etc., to be checked off as completed.
- ☞ Useful for:
  - Tasks made up of multiple steps that must be completed in sequence.
  - When it is necessary to document completion of steps.

# Question

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- What types of information might you present on an information card?

# Information Cards

- ☞ Reference lists
- ☞ Diagrams
- ☞ Labeled instructions
- ☞ Charts
- ☞ Tables
- ☞ Matrices



# Question

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- What types of forms do you use most often in your functions? How does a form serve as an implementing instruction?

# Forms

- ☞ Recordkeeping forms for calculations and observations (e.g., damage assessment)
- ☞ Combination forms that serve multiple functions (e.g., checklists with recordkeeping sections)

## ■ Preliminary Damage Assessment

**PRELIMINARY DAMAGE ASSESSMENT**

STATE: \_\_\_\_\_ COUNTY: \_\_\_\_\_ MUNICIPALITY: \_\_\_\_\_ REGION: \_\_\_\_\_

TYPE OF INCIDENT: \_\_\_\_\_ DATE OF PDA: \_\_\_\_\_  
 PDA TEAM: \_\_\_\_\_

		Single Family	Multi-Family	Mobile Homes	Total Homes Surveyed	% Owner	% Insurance	% Low Income	% Inaccessible
Affected	Owner								
	Renter								
Minor	Owner								
	Renter								
Major	Owner								
	Renter								
Destroyed	Owner								
	Renter								
<b>TOTAL</b>									
<b>ROADS/BRIDGES</b>		# OF HOUSEHOLDS AFFECTED				# OF BRIDGES			
<b>BUSINESSES</b>		# OF BUSINESSES AFFECTED							

COMMENTS: \_\_\_\_\_  
 \_\_\_\_\_

# Question

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- What type of information could be noted on maps?

- Geographic features and boundaries
- Jurisdictional boundaries
- Locations of key facilities
- Transportation routes
- Evacuation routes

# Effective Implementing Instructions

## ■ Should be:

- ☞ Appropriate for the use and the audience.
- ☞ Complete.
- ☞ Clear, concise, and easy to use.
- ☞ Sufficiently detailed.
- ☞ Up-to-date.
- ☞ Sufficient in scope.
- ☞ Identified in the EOP.

# Question

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- Do any of you use implementing instructions in your job?

# Question

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- For those of you who use implementing instructions, what agency responsibilities are associated with the tasks that you use the instructions for?

# Activity

- Peanut butter and jelly sandwich
- Snake bite (self-care)
- Singles' bar pick-up operations
- Choosing a successful fishing spot (freshwater)
- Diaper change (infant)
- ABS brake bleed and module test for a motorcycle

# Unit Summary

This unit described:

- Functional annexes that explain how to carry out a broad function in an emergency. There are eight core functions.
- Hazard-specific appendices—supplements to an annex that explains how to carry out the function in the face of a specific hazard.

# Unit Summary

- This unit also described types of implementing instructions:

- ➡ SOPs
- ➡ Job Aids
- ➡ Checklists
- ➡ Information cards
- ➡ Forms

... and the reasons for developing them.