



# Developing and Maintaining Local Emergency Operations Plans

# Plan Construction



# Objectives

- Describe the component parts of an Emergency Operations Plan (EOP)
- Address alternate EOP formats
- Describe functional, support and hazard/threat/incident-specific annexes
- Describe types of implementing instructions



# Emergency Operations Plan (EOP)

An EOP should:

- Provide an overview of the community's emergency response organization and policies
- Provide a general understanding of the community's approach to emergency response



# An EOP Should Be ...

- Comprehensive
- An all-hazards plan
- Flexible
- Scalable
- Risk-based





# Parts of an EOP

- The Base Plan
- Functions
- Hazard-, Threat-, and Incident-Specific Elements





# EOP Content Requirements

An EOP is a public document that should include:

- Assignments of responsibility for specific actions by specific agencies/parties
- Coordination of authorities and activities among entities
- Strategies for protecting people and property
- Resource lists and resource agreements – better to include in a resource manual
- Reference response agreements (MOUs) with other jurisdictions
- Summarize preparedness and mitigation efforts that will be employed for the most common or high-risk hazards





# The Base Plan

Provides an overview of the emergency management and response program by:

- Document emergency response policies
- Describe the response organization
- Assign tasks

**The structure of the Base Plan is also followed for operational, functional, and ESF based annexes.**

## **BasePlan**

- A. Policy**
- B. Control**
- C. Scope**



# CPG-101 Plan Content Outline

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

Sections in **red**  
may be “optional”-  
or covered in Base  
Plan or in annexes





# State of Ohio Structure of EOP Elements

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



# Introduction

- Promulgation Document
- Signature Page
- Dated title page and record of changes
- Record of Distribution
- Table of Contents



# Purpose

- A broad statement of what the EOP is meant to do
- A synopsis of the EOP and its components



# Situation

The Situation includes:

- Hazards addressed by the plan
- Relative probability and impact
- Areas likely to be affected
- Vulnerable critical facilities
- Population distribution
- Special populations
- Inter-jurisdictional relationships
- Maps



# Assumptions

What is assumed to be true in order for the plan to be valid, for example:

- The identified hazards will occur
- Individuals and organizations are familiar with the EOP and will execute their assigned responsibilities
- If needed, assistance will be available
- Executing the EOP will save lives and reduce damage
- Whenever possible, replace assumptions with facts



# Concept of Operations

- Sequence of actions before, during, and after an event – **the ‘whats’**
- Division of local, state, and federal responsibilities
- When the EOP or its components will be activated and deactivated
- Alert levels, trigger points, decision points
- Requesting assistance – mutual aid or higher levels of government





# Organization & Assignment of Responsibilities

- Lists areas of responsibility assigned by organization and position – **the “who”**
- Identifies responsibilities and specifies which organizations have primary responsibility and which have supportive roles
- Primary, Lead and Support Agencies



# Administration and Logistics

- Assumed resource needs for high-risk hazards
- Resource availability and procurement issues
- Reference mutual aid agreements
- Policies on augmenting response staff with public employees and volunteers
- A statement that addresses liability issues
- Resource management policies (acquisition, tracking, and financial recordkeeping)



# Plan Development and Maintenance

- Describe the jurisdiction's planning process
- Identify the planning group participants
- Assign plan development responsibilities
- Describe the revision cycle (training, exercising, review of lessons learned, revision)



# Authorities and References

- The legal bases for emergency operations, including:
  - Laws, statutes, and ordinances
  - Executive orders
  - Regulations
  - Formal agreements
  - Pre-delegation of emergency authorities
- Pertinent reference materials (including related plans of various agencies or levels of government)



## Annexes to the Base Plan

- **Functional and Support annexes** explain how the community will carry out a broad function (*Warning, Communications, Mass Care*) in an emergency.
- **Hazard/threat/incident-specific elements are additions to a function/annex** that add information about how to carry out the function in the face of a specific hazard, threat, or incident.



# Annex Structure

## Look Familiar?

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





# EOP Formats

- Functional
- Emergency Support Function (ESF)
- Agency-based\*
- Emergency Phase-based\*
- Hazard-based\*

\*Not frequently used



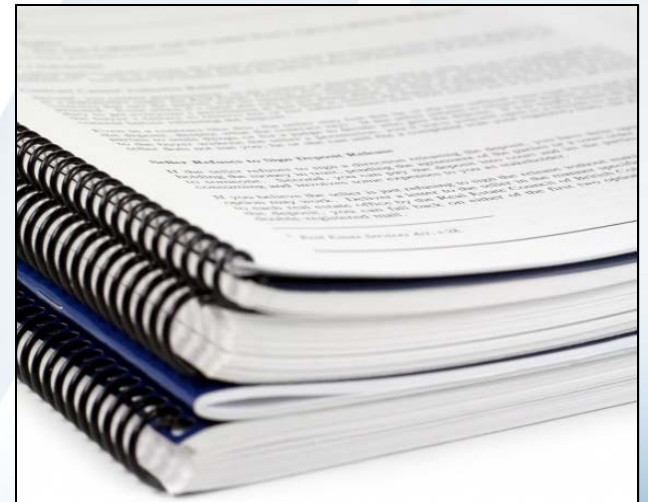
# Determining Which EOP Format to Use

- Clear
- Concise
- Comprehensive
- Understandable
- Functional



# Functional Annex Format

- *The Base Plan* - broad, overarching information relevant to the EOP as a whole – an executive summary
- *Functional annexes* document the methods and actions of critical operational functions
- *Hazard-specific annexes* focus on response strategies for specific hazards





# Eight Core Functional Annexes

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



# ESF Annex Format

- *Base Plan*—outlines the ESFs activated in an emergency – an executive summary
- *ESFs*— Emergency Support Functions describe mission execution for each emergency phase and identifies task assignments
- *Support Annexes*—describe the coordination between jurisdictions and all other cooperating organizations
- *Incident Annexes*—address policies, characteristics, concept of operations, and responsibilities for an incident





# 15 Core ESF Annexes

- ESF-1 Transportation
- ESF-2 Communications
- ESF-3 Engineering/Public Works
- ESF-4 Fire Fighting
- ESF-5 Information/Planning
- ESF-6 Mass Care
- ESF-7 Resources/Logistics
- ESF-8 Public Health/Medical Services
- ESF-9 Search and Rescue
- ESF-10 HazMat
- ESF-11 Food/Agriculture
- ESF-12 Energy
- ESF-13 Law Enforcement
- ESF-14 Mitigation and Recovery
- ESF-15 External Affairs





# Agency/Department-Focused Annex Format

Agency/department tasks are described in separate sections:

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



# Other Annex Formats

- Emergency Phased-based
  - Preparedness
  - Response
  - Recovery
- Hazard-based
  - Floods
  - Tornadoes
  - Etc.



# Determining Which Annex Format to Use

Which format should you  
use for your EOP?



# Activity 1

- Illustrate your understanding of the component parts of an annex by noting one or two items that might appear in each section of an **Evacuation** annex.
- Focus on these sections:
  - Situation and Assumptions
  - Concept of Operations
  - Assignment of Responsibilities
  - Administration and Logistics



# Hazard/Threat/Incident-Specific Elements

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



# Hazard/Threat/Incident-Specific Annex Structure

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





# Support Annexes

- Fiscal Support
- Drought Response
- Pandemic Response
- Donations Support
- Others?



# EOP Supporting Documents

- Usually called “Tabs” or “Attachments”
  - Maps
  - Charts
  - Tables
  - Forms
- Should serve the purpose of eliminating large amounts of text or illustrating text to aid the user





# What NIMS says about Implementing Instructions

Each organization covered by the EOP should develop **procedures** that translate their organization's EOP-based tasks into specific action-oriented checklists/implementing instructions for use during incident response operations.



# Implementing Instructions

- Overviews
- Standard Operating Procedures/Guidelines
- Job Aids
- Checklists
- Information cards
- Recordkeeping and combination forms
- Maps



# Overviews

- Concept summaries of an incident-related function or team
- Examples might include:
  - EOC layout
  - Description of section responsibilities in an EOC
  - Qualifications, operational considerations and potential missions of a team or task force
- Bridge between functional annex and task/position-specific procedures



# Standard Operating Procedure/Guideline (SOP/SOG) Development

- 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





# Job Aids

Used on the job for:

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



# Job Aids

Title/Purpose

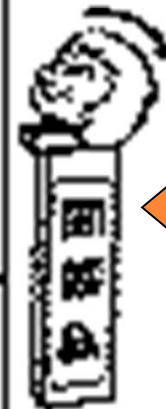
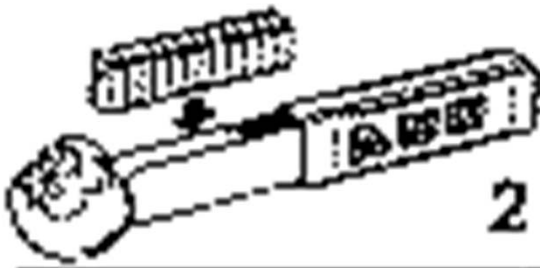


Directions to fill  
your PEZ Dispenser  
with PEZ Candy

Materials  
Illustrated



Clearly  
illustrates how  
to perform each  
step and in  
sequence



Desired  
Result





# 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



# Information Cards

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

A graphic of a blue information card with a white border and a curled bottom-left corner, containing the word 'Information' in white text.

**Information**



# Forms

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



# Forms

- 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: \_\_\_\_\_

\_\_\_\_\_





# Maps

- Transportation routes
- Evacuation routes
- Staging areas
- Locations of resources and personnel
- Specific hazards
- Locations of key facilities/infrastructure



# 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



# Questions...

- What types of implementing instructions do you currently use on a regular basis?
- Can you identify areas where the development of procedures would be useful to your organization or your jurisdiction?



# Summary

- The EOP and its component parts
- EOP formats
- Functional annexes that explain how to carry out a broad function in an emergency
- Hazard/Threat/Incident-specific annexes — supplements to an annex that explains how to carry out the function in the face of a specific hazard, threat, or incident
- Support Annexes/Elements
- Types of implementing instructions