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Plan Development and Review Guidance for Local Emergency Operations Plans

(Version – January 2015)



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Introduction

The **Ohio Revised Code** requires local emergency management agencies within the state of Ohio to develop and maintain an Emergency Operations Plan (EOP) ([ORC - 5502.26](#), [.27](#), and [.271](#)). The Ohio Administrative Code, Rule [4501:3-6-01](#), requires each county emergency management agency (EMA) to annually review and update its EOP.

This guidance was prepared to assist in the development and maintenance of local EOPs, to outline the planning process, and to set a standard for planning elements that should be addressed in a local jurisdiction's EOP. This guidance supplements the guidance found in FEMA's Comprehensive Preparedness Guide 101 (CPG 101), *Developing and Maintaining Emergency Operations Plans, Version 2.0*, November 2010. Local EMAs should use both documents for guidance in the development and subsequent revisions of their EOP.

Chapter One of this guidance document provides an overview of the EOP development and formatting process, and includes a link to plan development and preparedness planning guidance. **Chapter Two** of this guidance document is the State of Ohio's *Emergency Operations Plan Development and Review Checklist* (Checklist), a comprehensive checklist tool that sets the standard for essential planning elements, some unique to Ohio programs, that are recommended to be included in an EOP. The Checklist is the primary tool that a local planning team should use to develop an EOP and to review and/or evaluate an existing EOP.

The local EOP development and review process should include the community's public- and private-sector response organizations, support agencies and service agencies that may be active during an emergency or disaster in order to foster an integrated planning process. The community's chief elected officials should be included in the entire process, not only at the approval stage. In addition, each jurisdiction should consult with legal counsel to review public record requirements and restrictions regarding the publication and distribution of their EOP.

The **ultimate goal of the EOP development and update process** is that the local EOP reflects the wealth of experience and knowledge, and the scope of response capabilities available in the local community and throughout the state.

The Planning Process – Five Key Steps

Developing or revising an Emergency Operations Plan (EOP) includes five key steps that are routinely mentioned in most federal and private planning guides:

1. Organizing a Plan Development Team
2. Completing a Hazard Analysis
3. Conducting a Capability Assessment
4. Reviewing Existing Plans/Procedures
5. Writing/Updating/Revising the Plan.

Although the actual writing of a plan does not begin until a few developmental steps are completed, it is important to capture inputs that will be used in the plan writing step while these previous steps are being completed.

To accomplish the tasks associated with writing the Plan, the jurisdiction should engage in the first step of **Organizing a Plan Development Team** and engaging them in an Integrated Planning Process. As the National Response Team guidance states, "Experience shows that

plans are not used if they are prepared by only one person or one agency.” In order to effectively accomplish the task of preparing an Emergency Operations Plan, a jurisdiction should use the experience and knowledge of each response and support group that may be activated during an emergency. Local officials must also ensure that the Plan Development Team is comprised of personnel who will dedicate time and will actively participate in the plan development process. As a plan is written and revised, team members should solicit and receive feedback from personnel in their respective agencies/departments. The real value of an emergency operations program and a plan is not measured by the words that end up on paper, but rather by the planning process that created them.

If a jurisdiction chooses to employ a **Planning Contractor** to “write or prepare” their Emergency Operations Plan and/or associated plans, they should consider working with the contractor to structure their services around facilitating an ongoing, incremental, and integrated plan development process that includes a broad spectrum of agencies and organizations in a Whole Community approach.

The scope of plans that could be addressed in an integrated plan development process could include the jurisdiction’s emergency operations plan, hazard analysis, mitigation plan, terrorism response plan, hazardous materials response plan, radiological incident response plan, agency-based operational plans, emergency resource manual (procedural and resourcing information that is used in the Emergency Operations Center during an emergency response), standard operating procedures and other plans. It is best for a jurisdiction to think of this collection of plans – that is developed and managed by multiple agencies – as an interoperable ‘System of Plans’. The jurisdiction’s system of plans should address the full scope of emergency response functions (General Planning Topics) as they are presented in the State of Ohio’s *Plan Development and Review Guidance Checklist* (Chapter Two of this document).

The list of agencies to be included in an integrated planning process will be determined by a jurisdiction’s situations and needs. In assembling a jurisdiction’s set of “planning partner agencies”, it is important to consider how these agencies offer support to representative populations in disaster and non-disaster situations.

It is important for those who lead and/or facilitate the emergency planning process to develop close relationships with and between agencies that would be involved in an Integrated Planning process. Addressing the emergency response needs of the “whole community” will result in the participation in an integrated planning process of a wider set of agencies than would have been involved in the past. Responding to the full scope of planning needs to address diverse populations will include addressing functional needs populations (those in the community who may need assistance in: carrying-out daily living activities; effectively receiving and transmitting written and oral information and communications; accessing transportation assistance; personal and/or protective supervision; acquisition of medical treatment, maintenance of medication and maintenance/replacement of durable medical equipment), pet support, etc.

The second step, **Completing a Hazard Analysis**, is the critical step in the plan development process. A community cannot effectively plan emergency response actions without a clear understanding of the hazards that may impact them.

The hazard analysis, also called a hazard assessment, involves three basic steps:

1. Identifying what hazards may occur and how they will impact the jurisdiction.
2. Determining which of the jurisdiction's geographic areas, sensitive populations, environmental areas, infrastructure, and other assets are potentially vulnerable to hazards, and how much damage could be expected to occur to them.
3. Estimating how likely or frequently each hazard could be expected to occur.

There are a number of guides available that provide information on how to complete a hazard analysis, such as [Chapter 4 of CPG-101](#). Whether hazard analysis results are defined in a qualitative or a quantitative manner depends on the hazard analysis model that is used. In either case, a jurisdiction needs to prepare a separate, formal hazard analysis document and summarize the results of the analysis in the EOP.

The Ohio Emergency Management Agency's (Ohio EMA) Mitigation Branch provides a number of hazard analysis guidance tools that can be used to complete a hazard analysis. The Branch also maintains the state hazard analysis and has guidance on how it conducted and maintains the State-level Plan. The Ohio EMA Field Operations, Training and Exercise (FOT&E) Branch provides guidance that can be used to complete hazard analyses for chemical hazards. These tools can help to define disasters' impacts on a jurisdiction.

When the hazard analysis is complete, the jurisdiction's key response and governmental agencies should use the results of the analysis to engage in the third step, **Conducting a Capability Assessment**. In the Capability Assessment, these agencies will work together to determine how prepared their jurisdiction is to respond to the hazards that were identified in the hazard analysis. The results of the capability assessment will be used to identify the response and recovery strengths, to identify response and recovery gaps that exist, and to determine how the jurisdiction will respond to and overcome these gaps. The Capability Assessment should also identify resource acquisition needs, training needs, procedure needs, education needs, and should address other identified gaps and limitations of the jurisdiction.

The fourth step, **Reviewing Existing Plans and Procedures**, is the natural continuation of the hazard analysis and capability assessment. After the completion of the first two analyses, responders and planners will know the hazards that can impact their jurisdiction will they will have assessed their ability to respond to them. The jurisdiction will also have reviewed their procedures for responding to emergencies and disasters. In this step, the jurisdiction's Team will prioritize and delegate the work needed to develop and/or update the jurisdiction's EOP and response organizations' operational plans and procedures.

The EOP should note, where possible, agencies that have fully-developed operational plans and procedures that reflect their EOP-assigned responsibilities. Reviewing existing plans and procedures will help ensure the creation of an interoperable system of plans that will facilitate interaction and cooperation between response agencies.

The National Incident Management System (NIMS) requires that a corresponding standard operating procedure/guideline be developed for every assignment of responsibility in an EOP. Local agencies and organizations should be encouraged to review, update and develop their procedures/guidelines to ensure that they are able to effectively respond to their assignments of responsibility.

After completing the first four steps, the jurisdiction should now be ready to begin the final step of **Writing/Updating/Revising the Plan**. We encourage jurisdictions to address EOP elements

incrementally, and not attempt to write/update their entire EOP in one effort. This can best be accomplished by developing a prioritized EOP update schedule that addresses no more than one-third of the Plan in any one year. .

Once the plan is written, the next step will be to regularly **Revise the Plan**. As a community changes, so will the way in which disasters may impact an area and how a jurisdiction will respond to emergencies and disasters. To prevent the jurisdiction from being unprepared, plans must continually be implemented, exercised and evaluated. Each plan should include an ongoing review process that brings officials together to read, review and evaluate its content. Ohio law states that counties are required to annually review and update their plan. Regularly reviewing a plan will also keep the plan fresh in the minds of local agencies and elected officials.

A jurisdiction should also consider having their plan periodically evaluated by an outside entity. An outside evaluator can be from a neighboring county, from a response agency, or from the Ohio EMA. Third-party reviews can provide an objective critique that can identify issues that may have been overlooked.

Another process used to keep the plan current is to routinely exercise the plan. In Ohio, county EMAs must annually exercise their EOPs. This function allows local officials to test their plan and determine if their training, procedures and resources are adequate to respond to an emergency. Ultimately, the true test of any plan is its activation during an actual emergency or disaster. The activation will demonstrate the effectiveness of a jurisdiction's preparedness and will identify where local readiness planning can be improved. A community needs to come together in an After-Action Reporting process following an emergency and identify the lessons to be learned by the event. A plan needs to define how exercises and incident critiques will be integrated into the EOP revision process as well as into the overall emergency preparedness program.

The “Whole Community” Approach to Plan Development

Jurisdictions are encouraged to adopt a Whole Community approach to plan development that involves as many of the types of agencies in the following list (not all-inclusive or exclusive) as is appropriate to their emergency response needs:

- Local law enforcement and fire response departments
- Executive leadership, government agencies and community councils
- Volunteer organizations (local Voluntary Organizations Active in Disaster, Community Emergency Response Team programs, volunteer centers, Regional and local Animal Response Teams, etc.)
- Faith-based organizations
- Individual citizens
- Community leaders (e.g., representatives from specific segments of the community, including seniors, minority populations, and non-English speakers)
- Disability services providers and advocacy organizations
- School boards and higher education institutions
- Local Cooperative Extension System offices
- Animal control agencies and animal welfare organizations
- Local transportation system operators
- Surplus stores, hardware stores, big-box stores, local retailers
- Supply chain components, such as manufacturers, distributors, suppliers, and logistics providers
- Home care services
- Medical facilities

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- Local planning councils (e.g., Citizen Corps Councils, Local Emergency Planning Committees)
- Chambers of commerce
- Non-profit organizations
- Medical and social advocacy groups
- Media outlets
- Airports and public transportation systems
- Utility providers
- Non-Governmental Organizations (American Red Cross, the Salvation Army, etc.)
- Area Agencies on Aging
- Alcohol and drug addiction support agencies
- Development departments and planning agencies
- Local boards of education
- Health departments
- Medical services providers
- Medical equipment providers
- Pharmaceutical providers
- Job and Family Service agencies
- Independent living assistance agencies
- Health and human services agencies
- Behavioral health agencies
- Developmental disability services providers
- Sight and hearing agencies
- Translation and interpretation service agencies
- English as a second language agencies
- Transportation service providers
- Area transportation service planners

Planning Standards

Chapter Two of this guidance, the **Plan Development and Review Guidance Checklist** (Checklist), contains a checklist of planning elements that are recommended to be included in a jurisdiction's EOP. The Checklist should be used during both the plan development process and during the plan review process. The Checklist recognizes that there are unique tasks for specific hazards and unique planning requirements for those incidents. The Checklist provides a list of minimum standards, but recognizes that the elements that are contained in the Checklist might not be the only issues a community should address. The jurisdiction must determine if there are elements beyond the Checklist's Standard that should be addressed to ensure their ability to respond to their unique list of hazards.

A plan's elements (ESFs, Annexes, Tabs, etc.) should be of uniform structure and must include:

1. A list of the **Primary and Support Agencies** that have specific Assignments of Responsibility for carrying out missions under the plan.
2. A **Purpose Statement** that defines why the plan has been written and what it is intended to accomplish.
3. A statement that identifies the plan's **Scope of Operations** – the capacity and the limitations of the plan.
4. A **Situation and Assumptions Section** that provides an accounting of the types of incidents that the plan could be used to address, and a discussion of assumptions of supporting elements that need to be in place for the Plan to be considered to be valid.
5. A well-defined and detailed **Concept of Operations Section** – a list of tasks that may be undertaken in response to the Plan's identified Situation Statements. The Concept of Operations should highlight the critical tasks that must be accomplished. To aid in the development of the Concept of Operations Section, some sections of the Checklist include links to the U.S. Department of Homeland Security's (DHS) Target Capabilities List. The



information provided in these links will help determine a list of critical tasks for each planning topic.

6. A well-defined list of specific **Assignments of Responsibility** by Support Agencies to the plan. These Assignments of Responsibility must respond directly to the Plan's Concepts of Operations, in that there should be one-or-more assignments of responsibility for every operational concept.
7. The Assignments of Responsibility can then translated into **Standard Operating Procedures** that are maintained under separate cover by the support agencies that have responsibility for carrying out those tasks. Here again, the Target Capabilities List can serve as a tool for agencies and organizations to focus on critical tasks for which corresponding standard operating procedures must be developed.

The amount of detail included in the Plan will depend on the Plan's target audience and their need to know each of the plan's functions. Some agencies will need to have their assignments of responsibility spelled out in great detail, while others may only need an overview of a function and its responsibilities. The planning team will need to work closely with support agencies to determine how much detail is needed.

Standard Operating Procedures (SOP) should not be included in the jurisdiction's EOP. SOPs that are related to Emergency Operations Center (EOC) operations (contact lists, EOC procedures, resource lists, etc.) should be maintained by the Local EMA and should be housed under separate cover from the EOP, most often in a **Resource Manual**. The EOP could also contain a list/description of SOPs that support the plan.

There is a role for local EMAs to play in coordinating the application of separate agency SOPs. A local EMA should work with support agencies to ensure that their individual SOPs will correspond to the SOPs of other support agencies. For the example, the EOP might specify in the medical or rescue section how SOPs and response protocols will be coordinated during a response, such as; the first EMS unit on-scene will orchestrate all triage functions using their SOPs. As the planning team addresses the issue of coordinating SOPs, they might discover that they can combine some of their separate SOPs into a jurisdiction-wide SOP.

Using the Plan Development and Review Checklist

Notes on General Use

- The Plan Development and Review Guidance Checklist (Chapter Two of this guidance document) is intended to be used as a tool to assist in the ongoing, incremental development, review and update of county EOPs and associated plans.
- The Checklist is not the basis for Ohio EMA's county EOP review process; however, a completed Checklist could provide valuable points of discussion during a plan review.
- The Checklist is comprehensive. It is designed to encompass a broad range of planning considerations and to assist jurisdictions to respond effectively before, during, and after an emergency or disaster.
- Jurisdictions do not need to address all of the Checklist elements in their plans, but they should address the Checklist's planning elements that will allow their EOP and their response resources to effectively respond to their identified hazards.

- The EOP should be in a continuous development process, and the Checklist is a tool that could take several plan development cycles to fully address. (See Ohio EMA’s Local Plan Development Guidance Page for a complete set of plan development guidance tools at <http://www.ema.ohio.gov/LocalEOP.aspx>).
- It is critical that jurisdictions continually engage their local planning partners in the EOP development and update process. Using the Checklist as a plan development guide will ensure that key planning elements are addressed as will assist in the identification of response gaps.

Checklist Structure and Contents

Each of the Checklist sections include five components (see Figure 1, below):

1. **General Planning Topics**
2. **Associated Target Capabilities** (where applicable)
3. **Planning Elements**
4. **Plan Location: Section and Page References Column** (for each planning element)
5. **Comments Column**

A. General Planning Topic - Associated Target Capabilities (Link)

Planning Elements	Plan Location: Section & Page	Comments
<u>Individual Planning Element #1</u>		
<u>Individual Planning Element #2</u>		
<u>Individual Planning Element #3</u>		
<u>Etc.</u>		

Figure 1 – Layout of Checklist, Planning Elements

The **General Planning Topics** are the planning topics that should be included in the jurisdiction’s plans (Base Plan, Communications, Transportation, Warning). The brief statement that follows each general planning topic clarifies the planning topic that should be addressed by the planning team.

For some General Planning Topics, links to **Associated Target Capabilities** (Department of Homeland Security’s Target Capabilities List (TCL) are provided for those that are directly applicable to the planning topic. In some cases, other TCLs that are indirectly related to the planning topic are included because they might contribute to the discussion.

The TCLs should be viewed as additional preparedness planning tools that can serve multiple purposes. Most users are familiar with the Target Capabilities through exercises under the Homeland Security Exercise Evaluation Program (HSEEP), where they are used to design, conduct and evaluate exercises. The target capabilities can also be applied to the development and maintenance of plans and procedures. In evaluating existing plans and procedures, or in an initial meeting with planning partners to develop a new plan, the target capabilities may provide benchmarks for comparison, or a useful starting point for discussion. Note that, while the Target Capabilities have been replaced by the Core Capabilities at the federal level, Ohio still views the TCLs as a valuable plan development resource. The Core Capabilities can be viewed at: (Link)



The lists of **Planning Elements** that are included in the Checklist provide a wide scope of planning elements for the jurisdiction to consider in constructing their plans. These planning elements were generated by a number of agencies that assisted in the development of the Checklist. It is not expected that a jurisdiction will address all of these planning elements in their plans.

A **Plan Location: Section and Page** column is to be used to identify where the given planning element is addressed (which document(s) – EOP, Hazard Analysis, Mitigation Plan, etc.), the specific section, and the specific page). This reference will allow a user / reviewer / updater to quickly locate information related to the element. It also allows outside reviewers to find the element in the jurisdiction’s plan regardless of which plan format the jurisdiction has chosen to use.

In some cases, a planning element may be addressed in more than one plan, section or page. There should be ample space in the column to list two-or-three location references. If there are more references than that, it may indicate that the plan is continuously repeating the topic, and thus the Team may wish to consolidate this material.

If a Planning Element is not locally applicable, the jurisdiction should indicate an “NA” in this column to indicate that the elements was considered, and possibly include a short statement in the Comments column to assist future plan developers/reviewers. When completed, the Checklist should be included or referenced in the EOP’s Base Plan. Future plan reviewers and first-time plan readers will be able to quickly use the Checklist to locate a specific item in the plan without searching through the entire EOP.

Finally, a **Comment** column is provided for use during the plan development or review process to make notes about a given planning element or the entire planning topic. The planning team may use the space to note that further work is needed for a particular topic or that they need to contact another agency for more input. When the plan is evaluated locally, the evaluator could use this column to make recommendations on how to improve a particular function or section of the EOP. Comments that are entered into the Checklist should be those that will assist in future plan development and review. The planning team can then use those recommendations to complete its annual review and to make changes to the plan as needed. If the Team or an evaluator needs to make additional comments, the last page of the Checklist provides space for discussion.

Steps in Using the Checklist in the Plan Development Process

- Identify an element of the jurisdiction’s plan(s) that needs to be developed or updated.
- Find the Planning Topic within the Checklist that corresponds to/addresses the chosen element.
- Determine which of the Planning Topic’s Planning Elements apply to the jurisdiction’s level of response.
- Work with planning partners to address/update the chosen planning elements.
- Complete the entries in the checklist columns (Plan Location: Section and Page, and Comments).

Further Support

Ohio EMA recognizes that some Planning Topics relate to plan development and response requirements that were generated by other Ohio laws or national standards. Where this is the case, the Checklist in Chapter Two includes references to specific requirements and/or planning guidance. For example, Local Emergency Planning Committees (LEPC) have specific requirements to develop chemical response plans. Their planning requirements are identified and specifically referenced in the Checklist's discussion. In addition, Chapter One's Section 3, below, contains a link to plan development and preparedness planning links on Ohio EMA's Plans Branch Home Page. Please note that since plan development guidance is continuously created and/or revised, the linked materials will be routinely updated. The Checklist, itself, contains hyperlinks to reference materials that relate to a specific planning element. If a jurisdiction has a valuable source of information, or discovers additional guidance that is not included in the linked guidance materials, they should contact Ohio EMA so that it can be included in this document and shared with other Teams.

As Teams use the Checklist, there will likely be questions about the planning process and the guidance. Teams should contact their assigned Ohio EMA Field Liaison (Liaison) for assistance beyond this document. Liaisons, in conjunction with the assigned Ohio EMA planner, will address questions concerning the planning and emergency preparedness process. If the Team has a question about a specific issue that is managed by another section within Ohio EMA, another state agency, or the federal government, contact a Liaison, who will coordinate resources to provide a response from the appropriate source.

Ohio EMA's County Plan Review Process

The Ohio EMA Plans Section will facilitate an interactive review of each county's Emergency Operations Plan at least once every four years. More frequent reviews will be done by request or if conditions warrant.

Briefly, Ohio EMA's Plan Review process is structured as follows:

- A Plan Review Worksheet is completed by the county and the Ohio EMA Plans Section Planner.
- During an onsite plan review visit, the Plan Review Worksheet is used to facilitate an interactive assessment of the adequacy, feasibility, completeness and structure of the jurisdiction's plan and plan development process.
- As one of the outcomes of the plan review visit, the Ohio EMA Planner and the jurisdiction agree on a plan of action to address selected plan elements.

Choosing a Plan Format

To begin drafting their plan, the Team will need to determine which plan format they will use. As stated in FEMA’s CPG 101, “...an EOP’s format is ‘good’ only if the EOP’s users understand it, are comfortable with it, and can use it to extract the information they need.”

This section contains various plan formats that a jurisdiction could use for its EOP. These plan format options are based in part on how other counties have developed their plans, as well as existing state and federal planning guidance. The formats outlines that are presented in this guidance are samples only, and are included here to give planners an idea on where to begin. As each plan format is discussed, the section will show how the Checklist’s planning elements could be addressed for that framework.

Although the National Response Framework (NRF) calls for continuity and interoperability between emergency operations plans at all levels of government, there is no requirement for local emergency management agencies to adopt any particular format.

As part of the jurisdiction’s planning team’s plan development process, the team should decide which EOP plan format will be most effective for and applicable to their jurisdiction. The jurisdiction’s style of government and the results of their risk assessment may help the team decide which format to use. For example, in larger metropolitan counties that contain several municipalities and have adequate local staff to operationally support all 15 Emergency Support Functions (ESFs), county emergency operations may assume more of a coordination and support role, and an ESF format may be best for their EOP. In smaller counties, with a more limited government structure and staff that performs multiple duties, a county may benefit from using the Functional Annex format for their EOP. In short, “form follows function” in the sense that operational needs should help determine which EOP format a jurisdiction uses. Generally, the Functional Annex or agency/department formats are best to be used by local jurisdictions, while the ESF format tends to be used by larger jurisdictions and state and federal levels of government.

Functional Annex Format

The Functional Annex Format is the EOP framework that is presented in FEMA’s CPG 101 guidance. This format is organized on three key sections: the Base Plan, a set of Functional Annexes, and hazard specific Annexes (Figure 2).

In the Functional Annex Format, the **Base Plan** provides the plan user an overview of the jurisdiction’s preparedness and response actions. It defines the local hazards, outlines agency roles and responsibilities, and explains how the plan is kept current. The Base Plan contains a Table of Contents and a Promulgation Document that is signed by the jurisdiction’s Chief Elected Officer.

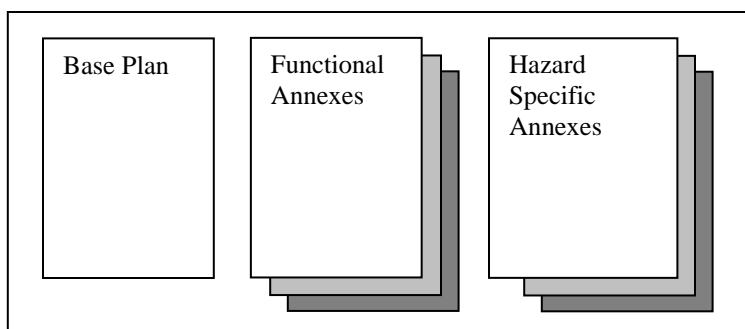


Figure 2 – CPG-101’s EOP Format

The **Functional Annexes** are individual chapters that focus on specific response and recovery functions, such as

communications and damage assessment. The Annexes clearly define the actions, roles,

policies and concerns of that function. They discuss how tasks are managed before, during and after the disaster, and identify the key agencies that will implement that function

The **Hazard Specific Annexes** are used to explain hazard-specific actions and tasks. They explain the actions that are unique to a particular disaster. For example, a Hazard Specific Annex for terrorism would discuss how local law enforcement’s command posts will coordinate response functions with the FBI’s on-scene operations center during a response. The Hazard Specific Annexes should not repeat actions that are already outlined in the Base Plan or in other Annexes.

The Functional Annex Format also uses a specific outline to define the functions within each chapter (Figure 3). This additional formatting makes the plan easy to read and use, since the information is laid out the same in each chapter. It also creates the potential to repeat some information in many sections when one piece of information is relevant to multiple chapters of the plan. It will also require accurate reference to other chapters in order to clarify the coordination needed between multiple functions. For more information on this individual chapter formatting, review CPG -101.

- | |
|---|
| <ol style="list-style-type: none">I. PurposeII. Situation & AssumptionsIII. Concept of OperationsIV. Assignment of ResponsibilitiesV. Administration & LogisticsVI. Plan Development & MaintenanceVII. Authorities & References |
|---|

Figure 3 – CPG101’s Individual Chapter

Sample EOP outline using the Functional Annex Format

I. Base Plan

- A. Promulgation Document / Signature Page
- B. Table of Contents
- C. Purpose
- D. Situations & Assumptions
 - 1. Hazard Analysis Summary
 - 2. Capability Assessment
 - 3. Mitigation Overview
- E. Concept of Operations
- F. Assignment of Responsibilities
- G. Administration & Logistics
 - 1. Continuity of Government
 - 2. Incident Critique
 - 3. Documentation
 - 4. Cost Recovery
 - 5. Training Program
 - 6. Public Education
- H. Plan Development & Maintenance
 - 1. Plan Maintenance
 - 2. Plan Changes & Distribution
 - 3. Exercise Program
- I. Authorities & References

II. Functional Annexes

- A. Direction & Control
 - 1. Incident Assessment
 - 2. Damage Assessment
 - 3. Incident Command
 - 4. Incident Scene Operations
 - 5. Emergency Operations Center
 - B. Communications
 - C. Warning (Initial Notification)
 - D. Emergency Public Information
 - E. Evacuation
 - 1. Sheltering
 - F. Mass Care
 - G. Health and Medical
 - 1. Emergency Medical
 - 2. Public Health
 - 3. Response Personnel Safety
 - H. Resource Management
 - I. Donations Management *
 - J. Infrastructure / Public Works *
 - K. Debris Management *
- * **Note:** These sections are not specifically in the CPG-101, they are topics that are relevant to Ohio emergency management programs and should be addressed in the plan.

- ### III. Hazard-Specific Annexes (Earthquake, Flooding, Dam/Levee Failure, Hazardous Materials, Lethal Chemical Agents & Munitions, Radiological, Terrorism, Tornado – note, this is not a complete list and local team must define them based on their hazard analysis.)

Emergency Support Function (ESF) Format

The Emergency Support Function framework is the outline used in the National Response Framework (NRF) and Ohio’s Emergency Operations Plan (Figure 4). It begins with a **Base Plan**, addresses individual **Emergency Support Functions (ESF)**, then attaches separate **Support** or **Incident Annexes** as required.

In this format, the **Base Plan** provides an overview of the local response system. It briefly explains the local hazards, capabilities, needs, and response organization. It reviews the tasks under each emergency phase and identifies which agencies have the lead for a given ESF. The Base Plan then outlines the **ESFs** that are activated locally during a disaster. Each ESF has a

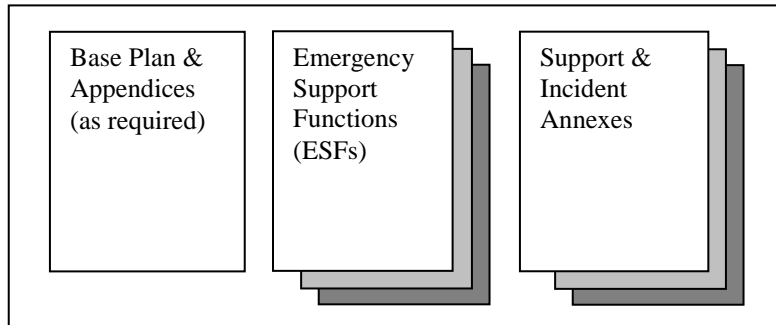


Figure 4 – ESF Format

designated Primary Agency that is responsible for coordinating and reporting on missions that are associated with that function. Support Agencies and what resources and capabilities they provide are defined in each ESF. Federal and state of Ohio ESFs include transportation; communications; public works and engineering; firefighting; information and planning; mass care; resource

support; health and medical services; search and rescue; hazardous materials; food and agriculture; energy; law enforcement; community recovery and mitigation; and emergency public information.

The EOP uses **Support Annexes** to describe the mission, policies and concept of operations of related activities that are implemented during disaster operations. These Annexes vary, but can include recovery, community relations, legal affairs, donations management, financial management, logistics/resource management, and public/media affairs. **Incident Annexes** are used to describe the responsibilities and actions for specific events that are found in one-or-more plans, and pre-planning has coordinated those functions with the rest of the EOP. For example, many communities have a separate Mass Casualty Incident Annex that may require coordination with the Firefighting, Search and Rescue, and Health and Medical ESFs. As another example, a Mass Casualty plan can be included in with the EOP, or it can be included as a separate Incident Annex.

Sample EOP outline using the ESF Format

I. Base Plan

- A. Table of Contents
- B. Promulgation Statement/Purpose
- C. Assignment of Responsibilities
- D. Continuity of Government
- E. Hazard Analysis
- F. Capability Assessment

II. Emergency Support Function Annexes

- A. ESF #1 - Transportation
- B. ESF #2 - Communications
- C. ESF #3 - Public Works and Engineering, Debris Management
- D. ESF #4 - Firefighting
- E. ESF #5 - Information and Planning
 - 1. Incident Command/Assessment
 - 2. Emergency Operations Center
 - 3. Documentation
 - 4. Incident Critique
- F. ESF #6 - Mass Care
 - 1. Evacuation
 - 2. Sheltering & Mass Care
- G. ESF #7 - Resource Support
- H. ESF #8 - Health and Medical Services
 - 1. Emergency Medical Services
 - 2. Public Health
 - 3. Casualty and fatality management
- I. ESF #9 - Search and Rescue
- J. ESF #10 - Hazardous Materials
- K. ESF #11 – Agriculture and Food
- L. ESF #12 - Energy and Utilities
- M. ESF #13 - Law Enforcement
- N. ESF #14 - Community Recovery and Mitigation
- O. ESF #15 - Emergency Public Information

III. Support Annexes

- A. Recovery Function Annex
 - 1. Damage Assessment
- B. Community Relations
 - 1. Public Education
- C. Legal Affairs
- D. Donations Management
- E. Financial Management
 - 1. Cost Recovery
- F. Logistics Management
- G. Public/Media Affairs
 - 1. Public Notification & Warning

IV. Incident Annexes

- A. Terrorism
- B. Drought
- C. Nuclear Power Plants
- D. (other hazard or local response plans as required)

V. Appendices

- A. Plan Maintenance
- B. Exercise Program
- C. Training Program
- D. Mitigation Program

Emergency Phase Format

The Emergency Phase format is based on the common emergency management phases that occur over the lifespan of a disaster. The format is organized into five chapters (Figure 5): a **Base Plan**, followed by **Preparedness**, **Response**, **Recovery**, and **Hazard Specific Procedures** sections. The **Base Plan** provides the simple overview of the county’s ability to respond to disasters. This includes a general purpose statement and a list of agency roles and responsibilities. It defines how the plan is developed and maintained. The **Preparedness** section briefly identifies those actions taken in advance of a disaster. These steps should ensure response and recovery procedures have been fully developed and evaluated. This section will include a synopsis of the local hazard analysis and capability assessments.

It will briefly identify how training and exercises are used to prepare personnel for disasters. It will also address how resources are procured and ready for activation prior to a disaster.

The **Response** section contains the specific methods and procedures used to respond to a disaster. Its contents are organized by those common response functions that are implemented during any given disaster. This includes but is not limited to direction and control, communications, and medical procedures. This section needs to identify, coordinate, and reference existing department SOPs that are utilized in this emergency phase. The **Recovery** section addresses the specific methods and procedures implemented once the immediate disaster has passed.

This format allows each plan holder to read and see the whole picture as it relates to each emergency phase. Each section or chapter would explain the coordination involved between response and support agencies as they implement their procedures. These agencies will see how their procedures impact the tasks of other agencies and it should help to avoid duplicating response procedures. Overall, the Response and Recovery sections will be the most used sections of the plan. The procedures should be as detailed as needed so that each response agency can understand and operate efficiently within the overall response mechanism. The local planning team will need to identify what additional response and recovery functions should be added based on local abilities.

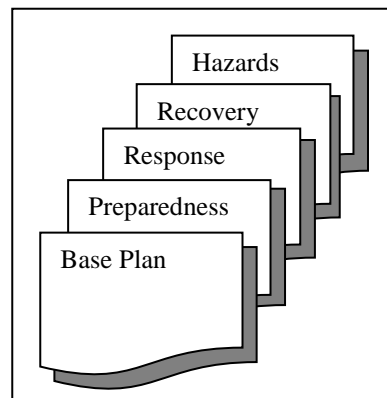


Figure 5 – Emergency Phase Format

Disaster-Specific Framework

The Disaster-Specific format addresses procedures in terms of the disasters that will likely impact the county and how the local community will respond to those events. The format contains a **Base Plan** and three disaster chapters (Figure 6): **Natural Hazards**, **Man-Made Disasters**, and **Technological Hazards**. The first chapter, the **Base Plan**, addresses the basic ability of the county to prepare for, respond to, and recover from disasters. This includes a general-purpose statement and lists each agency role during disasters to include hazard specific responsibilities. It then summarizes the results of the county’s hazard analysis and capabilities assessment. It concludes with a discussion of training, exercises, and plan maintenance. Next, the individual hazard chapters will outline the unique procedures to manage each disaster from start to finish.

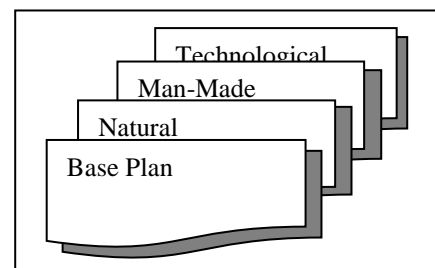


Figure 6 – Disaster-Specific Framework

The **Natural Hazards** chapter will address the unique response and recovery procedures used to respond to flooding, severe weather, dam failures, etc.

The **Man-Made** chapter will address the unique procedures that are used to manage events such as terrorist events as well as riot and civil disturbance (protests) scenarios. Finally, the **Technological** chapter addresses the specific procedures implemented to manage chemical, radiological, and biological incidents regardless of the cause. This should include releases from fixed facilities as well as from transportation related incidents.

Agency-Specific Framework

The Agency Format addresses response procedures by separately addressing the tasks that each individual agency will implement during a response. The format's main body is therefore divided into separate sections for each response and support agency that has a role during a disaster. These sections will likely include, but are not limited to, agencies such as: fire, law enforcement, human services, public works, media, and/or private organizations. Overall, this format option will be organized into three sections (Figure 7): **Base Plan**, individual **Response and Support Agency** sections, and **Hazard Specific Procedures** for the individual agencies.

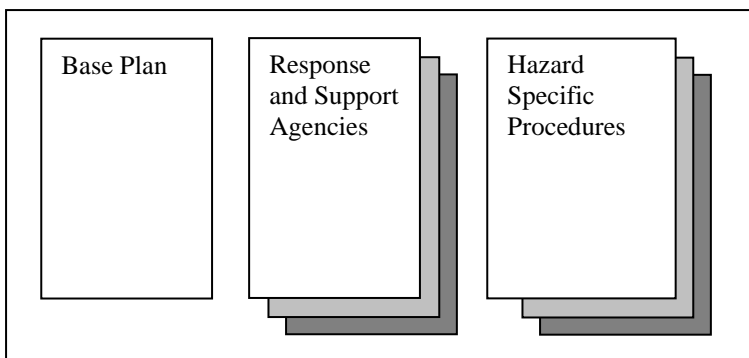


Figure 7 – Agency Format

The **Base Plan** provides a simple overview of the county's ability to respond to disasters. This includes a general-purpose statement as well as a comprehensive list of agencies and their roles and responsibilities. It summarizes the basic tasks taken to prepare for a disaster, and defines how the plan is developed and maintained.

The individual **Response and Support Agency** sections will separate and discuss the emergency functions completed by

individual agencies. Each individual agency section will still need to refer to other agency sections in order to understand how to coordinate their respective agency procedures.

The **Hazard Specific Procedures** section is used to address the unique preparedness, response and recovery procedures germane to each agency for specific disaster. The hazard specific procedures can immediately follow each agency section or be attached as a separate chapter to the plan. For example, the fire department section could address their unique river rescue protocols.

This format allows the plan user to review only those procedures specific to their agency without having to review everyone else's response tasks. The individual sections will still reference the unique relationships that need to exist with the other agencies during a disaster, but will not contain detailed procedures that another agency completes. If needed, the plan user can go to the other agency's section and review their procedures to understand the bigger picture. Also, the level of detail provided in each section would vary depending on the needs of those agencies. Agencies with detailed SOPs may not need much information in their portion of the plan while others may need more detailed procedures in the EOP.

Links to Plan Development and Preparedness Planning Tools

A list of internet links to plan development and preparedness planning tools can be accessed at the Ohio EMA Plans Branch webpage under the Local Emergency Operations Plan Development heading at: <http://www.ema.ohio.gov/LocalEOP.aspx>. This linked information will provide access to some of the best information on plan development and preparedness planning guidance.

