Chapter 4
Basic Plan Content

Introduction

The Basic Plan, as defined in Chapter 3, provides an overview of the jurisdiction's approach to emergency operations. It details emergency response policies, describes the response organization, and assigns tasks. Although the Basic Plan guides development of the more operationally oriented functional annexes, its primary intended audience consists of the jurisdiction's chief executive, his or her staff, and agency heads. The Basic Plan elements listed in this chapter--not necessarily in the order presented or under the headings given here--should meet the needs of this audience while providing a solid foundation for development of functional annexes.

Elements of the Basic Plan

Introductory Material

The EOP should be prefaced by certain items that enhance accountability and ease of use. Among these are the promulgation document, the signature page, the dated title page and the record of changes, the record of distribution, and the table of contents.

Promulgation Document

The promulgation document enters the EOP "in force"; it gives the EOP official status and provides both authority and responsibility for organizations to perform their tasks. The promulgation document is usually a letter signed by the jurisdiction's chief executive. In it, the chief executive might declare simply that the EOP is in force, perhaps citing the legal basis for his or her authority to make that declaration. However, the promulgation document also should mention tasked organizations' responsibility to prepare and maintain SOPs and commit them to the training, exercises, and plan maintenance efforts needed to support the EOP. The promulgation document also allows the chief executive to affirm his or her support for emergency management.

Signature Page

Some jurisdictions may choose to include a signature page to show that, prior to seeking the chief executive's signature, all response organizations tasked in the EOP have coordinated in the plan's development and are committed to its effective implementation.

Dated Title Page and Record of Changes   The title page should bear the date of publication; a record of changes can be a chart containing a number assigned to any change, a description of the change and/or the affected part of the EOP, the date of the change, the date of its actual entry into the EOP, and the signature or initials of the person responsible. These items should be included so users of the EOP can be certain that everyone is using the most recent version of the EOP.

Record of Distribution   This is a list of individuals and organizations that receive a copy of the EOP.   The record of distribution can be used to provide evidence that tasked individuals and agencies have had the opportunity to read and understand their responsibilities, which is a basic assumption of an EOP. To that end, copies may be numbered and the record may show both a date of transmittal and a date on which receipt is confirmed. The record of distribution also serves as a convenient checklist for distributing later revisions to the plan. Note that the list need not be limited to response organizations. Since the public has an interest in emergency preparedness measures, copies of the EOP (without SOPs, call-down lists, and other sensitive information) can be made available to public libraries, as well as to media contacts. Neighboring jurisdictions also should receive copies of the EOP. For the sake of convenience, a long record of distribution may be treated as a stand-alone annex and placed at the end of the EOP, or kept separate as an "administrative" document.

Table of Contents   A table of contents makes finding information easier. It provides a quick topical overview of the EOP. The table of contents should list all sections of the EOP and be supported with clearly labeled tabs for each section.

Purpose   The rest of the EOP flows logically from its purpose. The Basic Plan should contain a general statement of what the EOP is meant to do. The statement should be supported by a brief synopsis of the Basic Plan, the functional annexes, and the hazard-specific appendices.

Situation and Assumptions   After the broad statement of purpose, the situation and assumptions section narrows the scope of the EOP by outlining what hazards the EOP addresses, what characteristics of the jurisdiction may affect response activities (and how), and what information used in preparing the EOP must be treated as assumption rather than fact.   Policies also circumscribe and affect response activities, and could be treated either as part of the situation or in a separate section, if desired.

Situation   The situation section characterizes the "planning environment"--and so makes clear why emergency operations planning is necessary. The situation section should, at a minimum, draw from the jurisdiction's hazard identification and analysis. The situation section may include relative probability and impact of the hazards, geographic areas likely to be affected by particular hazards, vulnerable critical facilities (nursing homes, schools, hospitals, etc.), population distribution, characteristics and locations of special populations (institutionalized persons, the elderly and disabled, those who speak languages other than English, etc.), critical resource dependencies on other jurisdictions, and more. The level of detail is a matter of judgment; some information may be deemed useful to a few specific functional annexes and presented there. In any event, maps should be included (as tabs) to support the situation description.

Assumptions   Assumptions are simply that: what, in developing the EOP, has been treated as true for the EOP's execution. These should be included to show the limitations of the EOP, allowing EOP users (and others) to foresee that some improvisation or modification may become necessary. It is valid to include even "obvious" assumptions: that identified hazards will occur (scenarios, if used, can be outlined), that individuals and organizations are familiar with the EOP and will execute their assigned responsibilities, that assistance may be needed, and that--if so--assistance will be available.

Concept of   The audience for the Basic Plan needs to picture the sequence and scope of
Operations   the planned emergency response. The concept of operations section explains the jurisdiction's overall approach to an emergency situation, i.e., what should happen, when, and at whose direction. Topics should include: division of local, State, Federal, and any intermediate interjurisdictional responsibilities; activation of the EOP; "action levels" and their implications (if formalized in the jurisdiction); general sequence of actions before, during, and after the emergency situation; who requests aid and under what conditions (the necessary forms being contained in tabs); and, for States, who appoints a State Coordinating Officer (SCO) and how the SCO and the State response organization will coordinate and work with Federal response personnel in accordance with the FRP (see Chapter 7). The concept of operations will touch on direction and control, alert and warning, or continuity of operations matters that may be dealt with more fully in annexes.

Organization and Assignment of Responsibilities

This section of the Basic Plan establishes the emergency organization that will be relied on to respond to an emergency situation. It includes a listing by position and organization of what kinds of tasks are to be performed; such a listing permits a quick grasp of who does what, without some of the procedural details included in functional annexes. When two or more organizations perform the same kind of task, one should be given primary responsibility and the other(s) should be given a supporting role. For the sake of clarity, a matrix of organizations and areas of responsibility (including functions) should be included to show at a glance the primary and supporting roles (see Table 4-1 for an example). However, shared general responsibilities--such as developing SOPs--should not be neglected. The listing by organizations might also include organizations not under jurisdictional control, if they have defined responsibilities for responding to emergencies that might occur in the jurisdiction.

The following are examples of the types of tasking that should be assigned to agencies, organization chiefs, and individuals in the Basic Plan (but please note that specific tasking related to the critical operational activities each organization is responsible for accomplishing are detailed in each of the functional annexes to the EOP and are addressed in Chapter 5 of this Guide).

Chief Executive Official ("CEO")

➢ Sets policy for the emergency response organization.

➢ Assumes responsibility for the overall response and recovery operations.

➢ Authorizes the mitigation strategy for recovery.

➢ Identifies by title or position the individuals responsible for serving as IC(s), EOC Manager, Health and Medical Coordinator, Communications Coordinator, Warning Coordinator, PIO, Evacuation Coordinator, Mass Care Coordinator, and Resource Manager.

➢ Identifies by title or position the individuals assigned to work in the EOC during emergencies.

*Fire
Department*   Manages fire department resources and directs fire department operations.

*Police
Department*   Manages law enforcement resources and directs traffic control and law
                       enforcement operations.

*Health and   ➢   Coordinates the use of health and medical resources and personnel
Medical   involved in providing medical assistance to disaster victims.
Coordinator*
                       ➢   Meets with the heads of local public health, emergency medical
                            (EMS), hospital, environmental health, mental health, and mortuary
                            services, or their designees, to review and prepare emergency
                            health and medical plans and ensure their practicality and
                            interoperability. When appropriate, includes local representatives
                            of professional societies and associations in these meetings to gain
                            their members' understanding of and support for health and medical
                            plans.

                       ➢   Meets with representatives of fire and police departments,
                            emergency management agencies, military departments, State and
                            Federal agencies, and the ARC to discuss coordination of disaster
                            plans.

Public Works   ➢   Manages public works resources and directs public works
                            operations (e.g., water supply/treatment, road maintenance,
                            trash/debris removal).

                       ➢   Coordinates with private sector utilities (e.g., power and gas) on
                            shutdown and service restoration.

                       ➢   Coordinates with private sector utilities and contractors for use of
                            private sector resources in public works-related operations.

*Warning   ➢   Determines warning resource requirements.
Coordinator*
                       ➢   Identifies warning system resources in the jurisdiction that are
                            available to warn the public.

> ➢   Performs a survey to establish warning sites.

> ➢   Identifies areas to be covered by fixed-site warning systems.

> ➢   Develops procedures to warn areas not covered by existing warning systems.

> ➢   Develops special warning systems for those with hearing and sight disabilities.

> ➢   Develops means to give expedited warning to custodial institutions (e.g., nursing homes, schools, prisons).

> ➢   Coordinates warning requirements with the local Emergency Alert System (EAS) stations, and other radio/TV stations in the jurisdiction.

> ➢   Develops a chart of various warning systems, applicability of each to various hazards, and procedures for activating each.

> ➢   Coordinates planning requirements with the EOC Manager.

EOC Manager   (Note: In many jurisdictions, this function is performed by the emergency manager.)

> ➢   Manages the EOC as a physical facility (e.g., layout and set-up), oversees its activation, and ensures it is staffed to support response organizations' needs.

> ➢   Oversees the planning and development of procedures to accomplish the emergency communications function during emergency operations.

> ➢   Ensures a sufficient number of personnel are assigned to the communications and Information Processing sections in the EOC.

> ➢   Oversees the planning and development of the warning function.

> ➢   Reviews and update listings including phone numbers of emergency response personnel to be notified of emergency situations.

     ➢ Designates one or more facilities to serve as the jurisdiction's alternate EOC.

     ➢ Ensures that communications, warning, and other necessary operations support equipment is readily available for use in the alternate EOC.

Emergency   ➢ Coordinates with the Communications Coordinator, Warning
Manager   Coordinator, PIO, Evacuation Coordinator, Health and Medical Coordinator, Resource Manager, and the Mass Care Coordinator to ensure necessary planning considerations are included in the EOP.

     ➢ Coordinates with the local chapter of the ARC, Salvation Army, other public service non-profit organizations, the School Superintendent, etc., as appropriate to identify a lead organization, if possible, and personnel to perform mass care operations jobs.

     ➢ Coordinates volunteer support efforts to include the activities of volunteers from outside the jurisdiction and the assistance offered by unorganized volunteer and neighborhood groups within the jurisdiction.

     ➢ Works with the PIO to develop emergency information packets and emergency instructions for the public.

     ➢ Coordinates planning requirements with the emergency management staff in neighboring jurisdictions that have been identified as potentially hazard-free and have agreed to house evacuees in their mass care facilities.

     ➢ Coordinates the provision of mass care needs for personnel performing medical duties during catastrophic emergencies.

     ➢ Assists, as appropriate, the animal care and control agency staff's efforts to coordinate the preparedness actions needed to protect and care for animals during and following catastrophic emergencies.

     ➢ Assists the Resource Manager as needed to prepare for response operations:

- Convenes planning meetings for the function in consultation with (or on the advice of) the Resource Manager.

- Designates Emergency Management Agency staff to serve in key posts, as appropriate. (Whether the Resource Manager should be an emergency management official-- given the emergency resources focus--or a Department of General Services person is left to the discretion of the jurisdiction.)

➢ Advocates that mitigation concerns be addressed appropriately during response and recovery operations.

Communications
Coordinator

➢ This individual is responsible for the management of all emergency communications systems and will set emergency systems operations protocol for all emergency communications operations. The coordinator:

- Assembles a team of representatives from the government departments and public service agencies involved in emergency operations to develop a communication procedure that will be responsive to the jurisdiction's needs and compatible with the communication procedures used by emergency response organizations.

- Identifies communications and warning resources in the local government available to the EOC.

- Identifies and designates private and public service agencies, personnel, equipment, and facilities that can be used to augment the jurisdiction's communications capabilities. For example, developing procedures with RACES or other available local communications resources and arranging for emergency augmentation of communications capabilities.

- Designates personnel to serve on the Communications Section Team.

- Surveys communications equipment sites for power sources and locations.

- Analyzes equipment locations in relation to potential hazards and disaster conditions.

- Coordinates emergency communications and warning frequencies and procedures with EOCs at higher levels of government and with neighboring communities.

- Identifies a repair capability available under emergency conditions and coordinates repair and maintenance activities.

- Arranges training programs for all communications staff, including volunteers and repair personnel.

Public Information Officer (PIO)

➤ Advises the Emergency Manager and "CEO" on matters of emergency public information (EPI).

➤ Establishes and maintains a working relationship with local media.

➤ Prepares a call-down list for disseminating EPI to groups that do not have access to normal media (e.g., schoolchildren).

➤ Prepares emergency information packets for release; distributes pertinent materials to local media prior to emergencies; and ensures that information needs of visually impaired, hearing impaired, and non-English speaking audiences are met.

➤ Coordinates with the animal care and control agency to obtain information for dissemination to the public on the appropriate action that should be taken to protect and care for companion and farm animals, and wildlife during disaster situations.

Evacuation Coordinator

➤ Coordinates all evacuation planning activities with the Emergency Manager.

➢ Identifies high-hazard areas and determines population at risk; prepares time estimates for evacuation of the people located in the different risk area zones. Accomplishment of these tasks requires the preparation of a threat summary, based on the jurisdiction's hazard analysis. The summary quantifies the specific evacuation needs of the jurisdiction. It addresses the evacuation planning needs that are applicable to the hazards that threaten the people living in the jurisdiction. Typical threats include: hazardous materials accidents involving the facilities that use, store, manufacture, or dispose of them and the transport modes (planes, trains, boats, trucks, pipelines, etc.) used to move them; flooding as a result of snow melt or torrential rains in flood prone and/or low lying areas subject to flash floods; coastal and inland flooding caused by tidal surge and rain, and the wind damage associated with hurricanes and tropical storms; flooding of locations downstream from dams; areas subject to wildfire; areas subject to major seismic activity; areas within a 10-mile radius of nuclear power plants; populations at risk to war-related threats including attacks involving nuclear, chemical, or biological weapons, and other situations involving terrorist activities.

➢ Identifies transportation resources (e.g., public transit, school buses, etc.) likely to be available for evacuation operations; prepares an inventory of vehicle resources (public and private buses, public works trucks, commercial bus companies, trucking companies, truck rental companies, rail services, marine/ferry, air services, ambulance services, etc.).

➢ Assists facilities that provide care for special needs populations to develop a facility evacuation plan.

➢ Develops information for evacuees' use on the availability and location of mass care facilities away from the threat of further hazard-induced problems.

➢ Assists, as appropriate, the animal care and control agency staff's coordination of the preparedness actions that are needed to prepare for the evacuation of animals during catastrophic emergencies.

Mass Care   ➢   Surveys buildings to select the safest and best possible for use as
Coordinator   mass care facilities.

➢   Prepares a list that identifies the buildings that have been selected for use as mass care facilities and the number of people that can be housed in each.

➢   Compares mass care facility locations with potential hazards and disaster conditions.

➢   Prepares a resource list that identifies the agencies that are responsible for providing the resources (cots, blankets, beds, food, water, candles, medical and sanitation supplies, communication gear, backup power sources, etc.) required to set up and sustain operations in each mass care facility.

➢   Makes provisions to ensure the following items are available in sufficient quantities for use in mass care facilities, when opened (these stocks may be pre-positioned or delivered at the time of need):

- Food supplies.

- Water and sanitary supplies.

- Clothing, bedding, and other supplies.

- First Aid/medical supplies, as appropriate.

➢   Prepares necessary agreements to guarantee access to those non-government owned facilities that have been designated for mass care use during emergencies.

➢   Designates a mass care facility manager and identifies staffing requirements for each mass care facility.

➢   Makes necessary arrangements to ensure mass care staff members are trained.

➢   Prepares a manager's kit for the designated manager in each mass care facility.

> ➢ Coordinates with the Emergency Manager and PIO to develop a public information program to make citizens aware of availability and location of mass care facilities.

> ➢ Develops a mass care operations organization chart.

> ➢ Manages mass care activities during emergencies.

> ➢ Coordinates mass care activities with the Emergency Manager.

> ➢ Assists, as appropriate, the animal care and control agency staff's coordination of the preparedness actions that should be accomplished in order to feed, shelter, and provide medical treatment for animals during and after catastrophic emergencies.

Resource Manager

> ➢ Manages and directs resource support activities during large-scale emergencies and disasters.

> ➢ Chairs planning meetings for the function.

> ➢ Ensures that resource listings and/or the resource database is current.

> ➢ Ensures that necessary agreements and appropriate public information materials (e.g., regarding donations) are in place.

> ➢ Coordinates resource planning activities with the Emergency Manager.

Education Department/ Superintendent of Education

> ➢ Develops and periodically exercises a student evacuation plan.

> ➢ Coordinates with the Evacuation Coordinator to work out arrangements to use school buses to transport school children and other evacuees.

> ➢ Coordinates with the Mass Care Coordinator to work out arrangements to use schools and/or their food stocks for mass care.

> ➢ Coordinates with the Mass Care Coordinator for the transport of school children to mass care facilities.

> ➢

Animal Care   ➢   (Note: In some jurisdictions the responsibilities assigned to this
and Control   organization may be performed by the State, non-profit, or
Agency   volunteer organizations. For example, the State might assign the
                             State Veterinarian or someone from the Department of Agriculture
                             to assume responsibility for this activity, whereas a local jurisdiction
                             might assign responsibility to a governmental animal control
                             department or contract with a non-profit or volunteer organization,
                             such as the Humane Society or Society for the Prevention of
                             Cruelty to Animals (SPCA).)

                    ➢   Coordinates the services and assistance provided to the animal
                             victims. Activities may include the protection, care, and disposal (if
                             appropriate) of animal victims impacted by disasters.

                    ➢   Coordinates preparedness activities with the appropriate public and
                             private sector organizational representatives. These activities
                             include planning that addresses provisions for protection of
                             companion and farm animals, wildlife, animals in zoos and aquarium
                             parks, animal shelters, animal research facilities, university medical
                             and animal science centers, pet stores, etc. Note that extensive
                             coordination with State/local agencies such as fish and game
                             departments; farm bureaus; wildlife, natural resources, and
                             agriculture departments; game wardens; the jurisdiction's
                             Emergency Management Agency staff; the individuals tasked in the
                             EOP to serve as the Evacuation and Mass Care Coordinators, PIO,
                             Health and Medical Coordinator, Resource Manager, etc. and other
                             non-government organizational representatives from the ARC,
                             Humane Society, American Veterinary Medical Association, State
                             veterinarians associations, veterinary technician associations, live
                             stock and horse associations, kennel clubs, and other animal
                             protection volunteer groups will be necessary to ensure the needs of
                             animals are met during disaster situations.

                    ➢   Forms emergency response teams (evacuation, shelter, medical
                             treatment, search and rescue, etc.) that includes trained
                             professionals and volunteers to accomplish necessary actions during
                             response operations. Team members may include animal care and
                             control staff, Humane Society staff, veterinarians, veterinary
                             technicians, livestock inspectors, game wardens, farmers, kennel
                             owners, volunteers from animal protection organizations, etc.

All Tasked
Organizations

("All tasked organizations" includes those identified above, and all other government or private sector organizations that have been assigned tasking in the EOP to perform response functions.)

➢ Maintain current internal personnel notification rosters and SOPs to perform assigned tasks.

➢ Negotiate, coordinate, and prepare mutual aid agreements, as appropriate.

➢ Analyze need and determine specific communications resource requirements.

➢ Work with EOC communications coordinator to ensure equipment and procedures are compatible.

➢ Identify potential sources of additional equipment and supplies.

➢ Provide for continuity of operations by taking action to:

- Ensure that lines of succession for key management positions are established to ensure continuous leadership and authority for emergency actions and decisions in emergency conditions.

- Protect records, facilities, and organizational equipment deemed essential for sustaining government functions and conducting emergency operations.

- Ensure, if practical, that alternate operating locations are available should the primary location suffer damage, become inaccessible, or require evacuation. Alternate operating locations provide a means to continue organizational functions during emergency conditions.

- Protect emergency response staff. This includes actions to:

    – Obtain, as appropriate, all necessary protective respiratory devices and clothing, detection and decontamination equipment, and antidotes for

personnel assigned to perform tasks during response operations.

− Ensure assigned personnel are trained on the use of protective gear, detection and decontamination devices, and antidotes.

− Provide security at facilities.

− Rotate staff or schedule time off to prevent burnout.

− Make stress counseling available.

• Ensure the functioning of communications and other essential equipment. This includes actions to:

− Test, maintain, and repair communications and warning equipment.

− Stockpile supplies and repair equipment.

Administration and Logistics

This section covers general support requirements and the availability of services and support for all types of emergencies, as well as general policies for managing resources. Mutual aid agreements should be referenced; authorities for and policy on augmenting staff by reassignment of public employees and soliciting volunteers, along with relevant liability provisions, should be addressed. The section should provide the jurisdiction's general policies on keeping financial records, reporting, tracking resource needs, tracking the source and use of resources, acquiring ownership of resources, and compensating the owners of private property used by the jurisdiction.

Plan Development and Maintenance

The overall approach to planning, including the assignment of planning responsibilities, should be discussed in the Basic Plan. Statements should focus on the planning process, participants in that process, and how development and revision of different "levels" of the EOP (Basic Plan, annexes, appendices, and SOPs) are to be coordinated. This coordination task should be assigned to the appropriate person. Provision should also be made for a regular cycle of testing, reviewing, and updating the EOP.

Authorities and References

The Basic Plan should indicate the legal basis for emergency operations and activities. Laws, statutes, ordinances, executive orders, regulations, and formal agreements relevant to emergencies should be listed. The legal basis should include predelegation of emergency authorities, i.e., enabling measures sufficient to ensure that specific emergency-related authorities can be exercised by the elected or appointed leadership or their designated successors. It is important to specify the extent and limits of the emergency authorities granted to the "CEO," the circumstances under which these authorities become effective, and when they would be terminated.

Citing reference materials--including related plans of other levels of government--can be valuable for indicating what has influenced the writing of the EOP. References also help reduce the size of an EOP by directing the user to the full text of procedures, data analyses, and other pertinent information.

BLANK PAGE