A TOOL FOR EVALUATING PLAN QUALITY OF LOCAL GOVERNMENT EMERGENCY MANAGEMENT RESPONSE PLANS

BY

RACHEL MEYERSON

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EXECUTIVE SUMMARY

Local governments are leading disaster response efforts and need to be fully prepared. Preparedness involves developing emergency response plans. Incomplete planning can lead to ineffective response operations. This research addresses the question what constitutes a high quality local government emergency management response plan. Through an iterative process of synthesizing literature, evaluating existing plans, and collecting expert feedback, an evaluation tool was developed to measure the quality of local government response plans. This study applies a similar methodology to plan quality studies that have been completed for hazard mitigation and disaster recovery plans in that the evaluation tool is framed using plan quality principles derived from land use planning practice. This research is intended to better inform scholars studying the quality of response plans across jurisdictions, practitioners developing or improving response plans, and policy makers at all levels of government to further develop standards, requirements, and funding opportunities for response plans.

ACKNOWLEDGEMENTS

INTRODUCTION

We live in a world with increasing threats and vulnerabilities to natural, technological, and manmade disasters. As disasters become more frequent and severe all levels of government face pressure to respond efficiently and effectively. Local governments in particular are at the forefront. While assistance from the state or federal government may be necessary depending on the size of the event, local governments lead the response efforts of their own communities and need to be fully prepared. Developing high quality emergency management plans to mitigate against, respond to, and recover from disasters can better prepare a community. Alexander (2005) argues that a higher quality response plan can help increase the effectiveness of a local government in responding to an emergency. This research addresses the question: **What constitutes a high quality local government emergency management response plan?** Scholars have studied the quality of hazard mitigation and recovery plans using planning principles derived from literature (Berke, Smith, & Lyles, 2011; Smith & Flatt, 2011). Until now, however, none have applied plan quality principles to response plans.

Through an iterative process of synthesizing literature, evaluating existing plans, and collecting expert feedback, an evaluation tool was developed to measure the quality of local government response plans (see Appendix B). Evaluating plan quality can identify strengths, weaknesses, and opportunities for improvements (Berke & Godschalk, 2009). For the purposes of this study, the evaluation tool focuses on the quality of the plan document and not the planning process. However, a strong written plan should document the planning process. This concept is reflected in the evaluation tool.

LITERATURE REVIEW

The development and application of plan quality measurement tools are derived from land use planning principles. These principles are continuing to evolve as plan quality studies mature and their significance gains support from government officials. Most recently, Berke has redefined the principles as direction-setting or action oriented.[1] Direction-setting principles are the fundamental aspects of the plan that are driven by the alignment of community vulnerabilities, capabilities, goals and actions; those include Identification and Vision, Fact Base, Goals, and Policies. Action-oriented principles involve plan development and its use; those include Participation, Inter-organizational Coordination, Implementation, and Monitoring and Evaluation. The applicability of these principles has been explored (see Appendix C) and the *Analysis* section further analyzes each principle as it relates to response plans.

While response scholars and national policies and programs have begun to identify guidelines and standards for response plan quality evaluation, they have only touched the surface. Alexander (2005) developed a list of categories to evaluate response plan quality (see Appendix D for a comparison of his categories to the evaluation tool developed in this study). The Federal Emergency Management Agency's National Response Framework defines broad criteria (such as acceptability and feasibility) to measure key aspects of response planning (see Appendix D for criteria). The Emergency Management Accreditation Program, a nationally recognized voluntary assessment and peer review accreditation process, lists topics that response plans are required to include. Lastly, the Department of Homeland Security conducted a Nationwide Plan Review in 2010, however, the criteria were unclear, the questions were subjective in nature, and the data could easily be skewed based on the evaluator. The response plan literature to date identifies a framework in which plans should be evaluated and has been used as a foundation for this evaluation tool. The literature, however, does not provide sufficient guidance for local governments to evaluate their response plans. This research is intended to fill this gap by identifying a comprehensive list of specific indicators that should be represented in a response plan.

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[1] Conversation with Dr. Philip Berke on September 13, 2011.

METHODOLOGY

This study applies a similar methodology to plan quality studies that have been completed for hazard mitigation and disaster recovery plans (Berke, Smith & Lyles, 2011; Smith & Flatt, 2011). The evaluation tool developed (see Appendix B) is framed using the plan quality principles described in Appendix C. Specific indicators for each principle were developed through an iterative process of synthesizing literature, evaluating existing plans, and collecting expert feedback. Figure 1 depicts the process by which the evaluation tool was developed. After the first draft was completed, the tool was tested on three North Carolina local government response plans. The purpose of using the evaluation tool on three plans was to test its applicability to these plans and its usability among potential evaluators. The tool was updated based on each evaluation. Four experts in the field were then asked to evaluate the tool and improvements were made based on their feedback. Appendix E provides further detail on the methodology.

Figure 1: Methodology
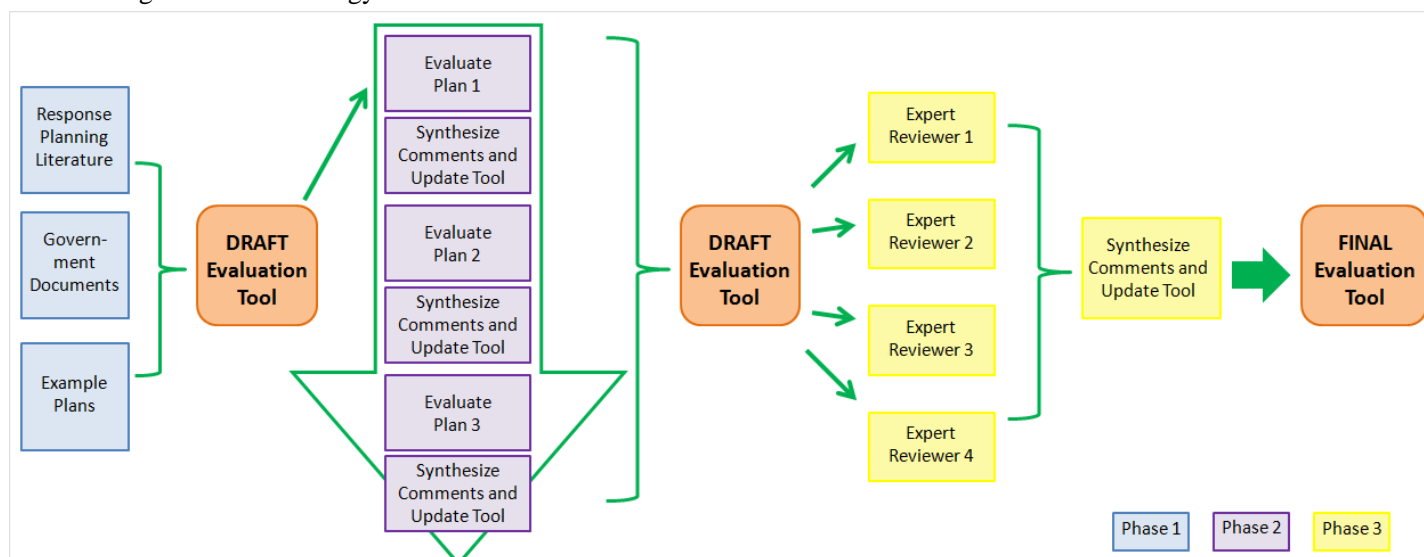
ANALYSIS: DEVELOPMENT OF THE PLAN QUALITY TOOL

The complete response plan evaluation tool is located in Appendix B. The tool includes a section for each planning principle and a final section for the evaluator to identify best practices. The tool also includes general instructions for the plan evaluator, a definitions section to clarify the language used, and a guide that provides information on the indicators that are located in more than one section. The following sections provide an explanation of the response planning indicators in the evaluation tool within each planning principle. Appendix A lists the literature in which the indicators were derived.

DIRECTION-SETTING

FACT BASE. The *Fact Base* represents foundational elements of the plan which includes the critical information collected and analyzed on the jurisdiction's existing conditions, vulnerabilities, future threats and risks, and capabilities. Existing conditions includes an assessment of the jurisdiction's demographic, geographic, and economic characteristics. A vulnerability assessment addresses specific components of a community that are susceptible to hazards. A significant concern for communities is the safety and

security of socially vulnerable populations (Perry & Lindell, 2007); those populations include elderly persons, those with disabilities, low-income, children, and persons that lack proficiency in English. Beyond the population, the vulnerabilities of government services and infrastructure should be analyzed. One of the most critical components is identifying the natural, technological, and manmade hazards in which a community is at risk; those hazards could include flooding, earthquakes, pandemic influenza, terrorist attacks, and chemical spills. A risk assessment includes identifying the probability of occurrence and potential magnitude or intensity in the future (Pine, 2009). Hazard identification and risk assessment enables the local government to assess the capabilities needed for response, actions taken to offset any cascading effects of the hazard (such as erosion, landslides, and dam or levee failure) and ensure public safety.

The capability assessment involves the jurisdiction's analysis of their available and required resources to respond efficiently and effectively in different disaster scenarios (FEMA Regional Planning Guide, 2011). Assessing the required versus available capabilities will provide a basis for the jurisdiction to determine the resource gaps. The resource gaps should be filled through mutual aid and pre-positioned agreements with other jurisdictions, state and federal governments, and other sectors or organizations.

VISION AND GOALS. For the purposes of this paper, the *Vision and Goals* are combined into one section because their explanation is similar. The vision of a response plan should guide the overall response. That vision should be clear and concise and set the stage for the plan. Goals state the desired outcomes or conditions during and after an event (FEMA CPG 101, 2010). The stakeholders involved in the planning process should develop the goals to provide a framework for the policies and actions of the local jurisdiction in response (Smith, 2011). The goals listed in the evaluation tool progress from immediate response to the community's transition to recovery and demobilizing response operations or returning back to normal operating conditions.

POLICIES. The *Fact Base, Vision* and *Goals* should inform the *Policies*. The *Policies* are the actions intended to guide decisions during an incident. They should answer the question: what needs to happen in order for an effective and efficient response operation to take place. Although overlap exists in the *Fact Base* and *Policies* sections of the tool, the indicators have different purposes. Whereas the capability assessment identifies what the jurisdiction has available or has pre-determined as a need in response, the policies represent the immediate actions of the jurisdiction in response while using those capabilities. The evaluation tool aligns the goals with the policies to encourage internal consistency in the plan document and provide a basis for the jurisdiction to achieve its goals. While the policies need to be clear and detailed to minimize confusion during a disaster, they also need to be flexible and adaptable to allow for contingencies.

ACTION ORIENTED

PARTICIPATION. The planning process is as important as the plan itself and should be described in the plan document. *Participation* includes the persons and organizations involved in preparing the plan. Stakeholders play a significant role in plan development and implementation. The planning process includes coordinating resources and assigning roles and responsibilities to implement response policies. The appropriate stakeholder involvement will increase the local government's access to resources, buy-in of the plan, and better prepare those involved in implementation during response (FEMA CPG 101, 2010).

INTER-ORGANIZATIONAL COORDINATION. For the purposes of this research, *Inter-organizational Coordination* is defined as the collaboration of efforts within the emergency management organization as well as those outside of the organization on both a horizontal and vertical axis. The integration and

coordination amongst emergency management functions (mitigation, preparedness, response, recovery, prevention, and protection) will enhance the development of effective and efficient solutions for the local jurisdiction. Horizontal coordination refers to relationships across a horizontal axis; those include government entities, neighboring jurisdictions, private sector, non-profit sector, and community organizations. Developing an understanding for shared resources through mutual aid or pre-positioned agreements will greatly benefit the region as a whole in responding to a disaster. Vertical coordination refers to relationships to the jurisdiction on vertical scale; those include state or federal organizations (Berke, Smith, & Lyles, 2011; Smith & Flatt, 2011). State and federal governments can provide necessary resources to local governments. Coordinating with state and federal plans will enable the local government to comply with the appropriate standards and procedures.

IMPLEMENTATION. For the purposes of the evaluation tool, *Implementation* is measured through the identification of roles and responsibilities and the presentation of the plan document itself. Clearly identifying the roles and activities of each participant and organization in response will help avoid uncertainties during an event. In addition, this can hold those responsible for implementing policies and procedures accountable for their actions (Alexander, 2005). Jurisdictions typically organize their response efforts and designate responsibilities based on the NRF's Emergency Support Functions, the Incident Command System, or Functional and Support Annexes. This organization of response is critical in implementing specific operations and should be reflected in the plan (FEMA CPG 101, 2010). Furthermore, to implement a plan it must be clear, concise, and accessible for its users. Plan implementation also involves training personnel and others on the plan and its policies (Perry & Lindell, 2003).

MONITORING AND EVALUATION. A written plan needs to be up-to-date to meet the current needs of the community. Including procedures to monitor, evaluate, and update the plan will increase its applicability and use. In the response planning field, exercising or testing a response plan ensures that roles and responsibilities are clear and concise, policies and procedures are effective, and shortfalls in capabilities are addressed (Haddow, Bullock, & Coppola, 2008). Lessons learned from these exercises should be incorporated in an updated plan (Perry & Lindell, 2007). In addition, changes in a community's threats to hazards, vulnerabilities, and capabilities need to be monitored and reflected in an updated plan.

ISSUES AND LIMITATIONS

Developing an evaluation tool to measure the quality of local government emergency management response plans presents a number of issues and challenges. To begin with, the quality of the plan document does not indicate a high or low success rate in response operations. A number of factors contribute to a successful response and a single assessment of a jurisdiction's response plan may not adequately reflect all of these elements during a real-life incident. However, this evaluation tool is designed to include all aspects of response. The tool evaluates whether response plans include participants of the planning process, roles and responsibilities in implementation, inter-organizational coordination, and protocols to exercise and update the plans. These elements, along with policies that are grounded in the fact base, all have an impact on the success of response and should be included in the plan document.

A second issue with the evaluation tool is the weighting of indicators. While the scaling, as described in Appendix D: Methodology, may imply that each item is of equal weight, this is not the case. However, more empirical data (such as example response plans) and resources would be required to develop a scale that would adequately prioritize and apply specific weights to critical elements in a response plan. This research design is simplified to avoid random and arbitrary decision making in creating the tool. These scales have been successful in previous plan quality studies (Berke, Smith, & Lyles, 2011; Smith & Flatt,

2011) and will be useful in future research studies comparing response plans across jurisdictions. The weighting is not as applicable to emergency management practitioners because the evaluation tool is more useful as a checklist for individual jurisdictions to identify strengths and shortfalls in their response plans.

NEXT STEPS AND FUTURE DIRECTIONS

The purpose of the response plan evaluation tool is to better inform researchers, practitioners, and policy makers as to what constitutes a high quality local government emergency management response plan. The following sections outline future research opportunities and practical applications of the evaluation tool and this research paper.

RESEARCH. Studies can be designed to cross multiple jurisdictions. This approach would allow for a larger comparative analysis tied to a set of established dependent and independent variables. A larger sample size (in terms of the number of plans evaluated) would increase the value added to the field in that the results would capture the weaknesses and strengths in response plans across a geographic region and allow for statistical inferences. Using the tool in this manner requires an appropriate research design and the training of individuals responsible for plan coding (see Appendix F for more details). The tool was developed in Microsoft Excel; however, recent plan quality studies have used a qualitative data analysis computer program called Atlas Ti. For the purposes of this research, the *Fact Base* section has been uploaded into Atlas Ti (see Appendix F: Figures 1 to 6). The program provides an easier way to evaluate plans and the evaluation tool can easily be adapted for use in Atlas Ti.

POLICY AND PRACTICE. One of the goals of this project is to better connect research to practice by providing a useful tool for local governments to evaluate their response plans. As described in the *Methodology* section, the tool was used to evaluate three plans. While the purpose of evaluating the plans was to improve the tool itself, three areas of improvement were found across all three plans; those include
- *Depicting the planning process:* Elements of the planning process were not included. Including the persons that participated in plan development and information on the process itself can increase buy-in and use of the response plan. Furthermore, collaborating with stakeholders from different sectors will increase the jurisdiction's capabilities in providing access to various resources.
- *Situational information*: The *Fact Base* lacked depth. A jurisdiction needs to understand its risks and the capabilities and policies it needs for an efficient and effective response. This should be reflected in the plan document.
- *Alignment of the goals and policies:* Alignment of a clear vision, goals, and policies did not exist. This alignment can influence the success of response operations.

While local government response plans are typically operations based (referred to as Emergency Operations Plans) and focus on the actions in a response operation, the areas listed above are critical in response planning because they increase the plan's usability, accuracy, and consistency. Future research will further identify shortfalls across response plans which could lead to policy recommendations at the local level.

The evaluation tool can also be used to better inform state and national standards and policies. As mentioned in the *Literature Review* section, the NRF, Nationwide Plan Review, and EMAP Standards provide frameworks and general criteria for local and state response plans, however, they are not comprehensive. The evaluation tool can educate policy makers at all levels on ways to improve response plan criteria and evaluation standards, adding detail to their broad categories. States should also consider implementing policies that require certain information to be included in response plans. Furthermore, this research or future research studies with the evaluation tool could influence state and federal policies to provide pre-event support to local governments to develop higher quality local response plans.

APPENDIX A: REFERENCES BY TOPIC

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APPENDIX B: EVALUATION TOOL

PLAN QUALITY EVALUATION TOOL FOR

LOCAL GOVERNMENT EMERGENCY MANAGEMENT RESPONSE PLANS

BY

RACHEL MEYERSON

MCRP/MPA CANDIDATE 2012
THE UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL

SPRING 2012

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PURPOSE AND ORGANIZATION OF THE PLAN QUALITY EVALUATION TOOL

The purpose of this document is to evaluate the content of local government emergency management response plans and inform emergency managers about new ideas and best practices.

The absence of an item does not indicate that the plan is of poor quality. Each section needs to be reviewed as a whole because some items relate to one another. For example, in the Vulnerability Assessment section under Section 2: Fact Base, one indicator reads "Plan references mitigation plan or other relevant resource for a detailed vulnerability assessment." If the plan does reference another resource that has a detailed vulnerability assessment then the vulnerabilities may not be discussed in the plan at all. The fact that the vulnerability assessment is absent from the plan is not important and does not indicate that this plan is of poor quality since the plan indicated that a vulnerability assessment was completed in another plan (the same is true for the Hazard Identification and Assessment section). In addition, the community's assets need to be taken into consideration. For example, a community might not be eligible for an Urban Areas Security Initiative grant from the federal government and therefore would not receive a score for that indicator.

The plan is divided into nine sections. Sections 1 through 8 are defined by the following planning principles: Identification and Vision, Fact Base, Goals, Policies, Participation, Inter-organizational Coordination, Implementation, and Monitoring and Evaluation as defined below:

- **Identification and Vision** – Identification provides the basic information of the evaluation and the plan document such as the jurisdiction and date of the plan. The vision defines the themes and intent of the plan. It should set the stage for the plan and its policies.
- **Fact Base** – an analysis of current and future vulnerabilities including population, natural environment, and infrastructure. Additionally, the fact base should include an assessment of the community's capabilities.
- **Goals** – state desired outcomes or conditions. They provide a framework for the policies and actions of the local jurisdiction in response.
- **Policies** – intended to guide decisions during an incident. They should be aligned with specific actions that help achieve the plan's goals.
- **Participation** – includes the persons and organizations involved in preparing the plan. This includes other government agencies and departments, and non-profit and private sectors.

- **Inter-organizational Coordination** – the horizontal and vertical integration of organizations involved in response; this includes organizations on a horizontal axis such as government entities, neighboring jurisdictions, private sector, non-profit sector, and community organizations and on a vertical axis such as state or federal agencies.. In addition, this section includes the alignment of policies and plans across emergency management sectors (hazard mitigation, preparedness, and recovery) and at the federal and state levels.
- **Implementation** – involves executing the policies and actions outlined in the plan. This is measured through the identification of resources and roles and responsibilities of different organizations and persons in response. Implementation also includes plan clarity which is measured by the organization and presentation of the plan document.
- **Monitoring and Evaluation** –involves exercising or testing the plan to assess the effectiveness and feasibility of response policies. It also includes updating the plan based on changes in the fact base or goals and feedback from exercises or a real-life incident. Furthermore, it involves identifying those responsible for monitoring, evaluating, and updating the plan to increase accountability in maintaining an accurate and reliable plan document.

Section 9: Best Practices is intended for the evaluator to list any best practices located in the response plan. Each section has subsections and within those subsections are indicators. For example, Section 2: Fact Base has subsections 2.1 to 2.5. Subsection 2.1: Existing Conditions contains indicators such as Geographic Extent, General Population and Economic Characteristics. The plan is evaluated based on the indicators present in the plan.

GENERAL INSTRUCTIONS FOR THE PLAN EVALUATOR

The number scheme 0-1-2 will be used by the evaluator to code each plan, except Section 1: Identification and Vision which asks for information about the evaluator and the plan (e.g. evaluator name, date published, plan title), and Section 9: Best Practices. In addition, the end of each section asks for a summary from the evaluator.

The evaluator should be familiar with the entire evaluation tool and review all of the items in each section prior to coding a plan. Having a strong understanding of the evaluation tool in advance will make the evaluation easier and more accurate.   To help guide the evaluator, a list of relevant definitions is available in Appendix A.   Moreover, Appendix B is a guide that provides information on the indicators that are located in more than one section.

Unless otherwise specified in the evaluation tool, follow the directions below.
1. Complete each item in the section of the evaluation tool as follows:
    a. Read the instructions in the 'Comments' column as your guide.
    b. Put a '2,' '1,' or '0' in the appropriate 'Score' box as described in the 'Comments' section (Note: some sections only indicate a '1' or '0').
    c. Mark the page number(s) where the item material can be found in the 'Page#' section; if no corresponding page number leave blank.
    d. At the end of each section, summarize the overall quality of the section as determined by coding the plan.
    e. Make any notes you feel are appropriate in the white space to the right of the table.
2. Review your evaluation of each section to ensure that all items have been completed fully and accurately.

Note:
    Indicators without a section number in the left column fall under the category of the preceding numbered indicator.
    No instructions in the 'Comments' column indicates that the item is a category and the evaluator is not required to fill in any score or page number.

Section 1: Identification and Vision				
		Data		Comments
Section 1.1 Identification				
1.1.1	Evaluator			Name of person coding plan
1.1.2	Dates of Evaluation			
	Start Evaluation			Fill in date
	End Evaluation			Fill in date task is completed
	Entered into Database			Fill in date task is completed
	Intercoder Reliability Check			Fill in date task is completed
		Data	Page #	Comments
1.1.3	State			E.g. North Carolina
1.1.4	Regional Plan			E.g. Winton-Salem/Forsyth County
1.1.5	Jurisdiction Specific			E.g. Dare County
1.1.6	Title of Plan			Full title
1.1.7	Date of Plan			E.g. November 2011
1.1.8	Author/Preparer of Plan			List primary agency and contractor (if noted in the plan)
1.1.9	Agency Contact			Primary
	Address			Address (if provided)
	Website			Agency or plan website (if provided)

Section 1.2 Issues Identification and Vision		Score	Page #	Comments
1.2.1	Overall Mission or Vision Statement			1 - Includes overall mission or vision statement
				0 - No vision or mission statement
1.2.2	Response is defined in the plan			1 - Definition present
				0 - Definition not present
	If definition is present, what is it?			
1.2.3	How is the plan organized? Based on Emergency Support Functions, Incident Command System, Functional Annexes, or hybrid form?			
Section 1.3 Identification and Vision Section Summary				
1.3.1	In a few sentences or bullet points, characterize the issue identification and vision-- the approach or style used, strengths and weaknesses, best practices, and any other notes on the overall quality of the section.			

Section 2: Fact Base				
		Score	Page #	Comments
Section 2.1 Existing Conditions				
2.1.1	Geographic Extent			2 - Detailed description of the specific geographic areas that are affected by hazards within the jurisdiction; should include maps of geographic extent of identified hazards 1 - General, or brief, description of the geographic areas that are affected by hazards within the jurisdiction 0 - No description
2.1.2	Demographics (General Population)			2 - Detailed assessment of the jurisdiction's demographics; applies to the general population not to especially vulnerable populations, which is covered in (2.2.2); should include spatial representation of population at risk (such as maps) 1 - General, or brief, assessment of the demographics 0 - No description
2.1.3	Economic Characteristics			2 - Detailed narrative description of the economic characteristics (such as agriculture or industry) of the jurisdiction; should include spatial representation of the economic characteristics at risk (such as maps) 1 - General, or brief, description of the jurisdiction's economy 0 - No description
2.1.4	Land Use Trends			2 - Detailed description of land use and development trends and their risks; includes transportation, population density, location of new development; should include maps of land use trends at risk 1 - General, or brief, description of land use and development trends 0 - No description

Section 2.2 Vulnerability Assessment				
2.2.1	Plan References Mitigation Plan or other relevant resource for a detailed Vulnerability Assessment			1 - Plan refers to mitigation plan or other relevant resource for a detailed vulnerability assessment 0 - No reference to mitigation plan or other relevant resource for vulnerability assessment
2.2.2	Socially Vulnerable Population			2 - Detailed assessment of the vulnerability of especially vulnerable populations (e.g. minorities, low income, elderly, children or people with disabilities) to hazards 1 - General, or brief, description of socially vulnerable populations 0 - No description
2.2.3	Household Pets and Service Animals			2 - Detailed assessment of the vulnerability of household pets and service animals in the community 1 - General, or brief, assessment of the vulnerability of household pets and service animals 0 - No description
2.2.4	Critical Facilities			2 - Detailed assessment of the vulnerability of critical facilities to hazards; includes facilities such as hospital, bridges, sewage treatment plants, water treatment plants, schools, power plants, police stations, and fire stations. Description should align critical facilities with their locations in a spatial element (such as maps) 1 - General, or brief, description of vulnerability of critical facilities 0 - No description
2.2.5	Infrastructure			2 - Detailed description of the vulnerability of infrastructure systems (fuel, electric power, water sewer, telecommunications, transportation); should include maps of infrastructure at risk 1 - General, or brief, description of infrastructure systems 0 - No Description

2.2.6	Governmental Services			2 - Detailed assessment of the vulnerability of governmental services in a disaster (e.g. sanitation, road maintenance, fire and rescue, law enforcement) 1 - General, or brief, description of vulnerability of governmental services 0 - No description
2.2.7	Neighboring Jurisdictions			2 - Detailed description of risks facing neighboring jurisdictions and how that could impact this jurisdiction 1 - General, or brief, description of risks of neighboring jurisdictions 0 - No description
2.2.8	Environmental Assets			2 - Detailed assessment of the vulnerability of environmental assets (e.g. dunes, wetlands, forests, water supplies, ecosystems, species) to hazard events; should include maps of environmental assets 1 - General, or brief, assessment of environmental assets 0 - No description
2.2.9	Chemical, Biological, Radiological, and Nuclear (CBRN)			2 - Detailed description of risks of chemical, biological, radiological, and nuclear including location and number of facilities in region; should include maps 1 - General, or brief, description of CBRN (includes if plan indicates the jurisdiction does not have any risks) 0 - No description
Section 2.3 Hazard Identification and Risk Assessment				
2.3.1	Plan References Mitigation Plan or other relevant resource for a detailed Hazard Identification and Risk Assessment			1 - Plan refers to mitigation plan or other relevant resource for a detailed hazard identification and assessment 0 - No reference to mitigation plan or other relevant resource for hazard identification and assessment

2.3.2	Hazards at Risk or Not at Risk			
2.3.2.1	Identifies Hazards at Risk or Not at Risk			1 - Plan lists the hazards in which the jurisdiction is at risk or not at risk 0 - No hazard identification
	List hazards identified in plan as at risk			Please list the hazards identified below:
2.3.2.2	Characteristics of Hazards at Risk (Causes and Impacts)			2 - Detailed description of the different causes of hazards (e.g. rainfall, storm surge) and the different impacts (e.g. damage to property and/or infrastructure, loss of life and injury, environmental change) 1 - General, or brief, description of causes and impacts 0 - No description
2.3.2.3	Likelihood of Hazards at Risk			2 - Detailed description, including spatial representation (e.g. maps) indicating multiple likely scenarios 1 - General, or brief, description indicating likelihood of hazards 0 - No description
2.3.2.4	Magnitude and Severity of Hazards at Risk			2 - Detailed descriptions and maps of the projected magnitude and severity of prevalent hazards 1 - General, or brief, description of the projected magnitude and severity 0 - No description
2.3.2.5	Previous Events			2 - Detailed description of the previous history of hazards in jurisdiction, including historic data, number of events, severity and impacts 1 - General, or brief, description of the previous history 0 - No description

2.3.2.6	Jurisdiction Prioritizes Hazards			1 - Hazards are ranked in terms of their potential risks to the jurisdiction. Prioritization could be based on hazard likelihood/frequency, geographical distribution, potential magnitude/severity, and previous history 0 - No prioritization
2.3.3	Hazard-Specific Appendices			1 - Plan has Hazard-Specific Appendices for those hazards that are more prevalent 0 - No Hazard-Specific Appendices
Section 2.4 Capability Assessment				
2.4.1	Local Government			Describes capability of local government
2.4.1.1	Legal Framework			
	Jurisdiction's Emergency Management Ordinance			1 - Description of jurisdiction's applicable emergency management ordinance 0 - No description of jurisdiction's ordinance
	Statement of Approval or Evidence of the Adoption of Response Plan			1 - Statement of approval or evidence of the adoption of response plan by jurisdiction's governing body; should include signatures of all responsible departments, agencies, and partners 0 - No evidence of statement of approval or adoption of response plan
2.4.1.2	Organization			
	Organizational Structure of Emergency Management During Response			2 - Detailed description of the organizational structure during response 1 - General, or brief, description of the organizational structure during response 0 - No description
2.4.1.3	Emergency Operations Center (EOC)			
	EOC Activation Levels			2 - Detailed description of the different EOC activation levels 1 - General, or brief, description of the EOC activation levels 0 - No description
	Location of EOC			1 - Indicates the location of the EOC 0 - No location indicated
	Alternate location of EOC			1 - Indicates the location of an alternate EOC 0 - No location indicated

	Person or group responsible for activating EOC			1 - Lists person or group responsible for activating EOC 0 - Does not list
	List of participants that will be located at the EOC			1 - Lists participants 0 - Does not list
	List of agencies represented in the EOC			1 - Lists agencies 0 - Does not list
	Standard Operating Procedures of EOC			1 - Indicates SOPs for EOC 0 - No SOPs for EOC indicated
2.4.1.4	Resources			
2.4.1.4.A	Available Resources			
	The plan indicates that the jurisdiction determined its available resources			1 - Plan indicates that jurisdiction determined resources available 0 - No indication
	Financial Resources			2 - Detailed description of the available financial resources of the jurisdiction that could be used in an emergency (e.g. information on general operating budget) 1 - General, or brief, description of the available financial resources of the jurisdiction that could be used in an emergency 0 - No description
	Equipment/Vehicles/Supplies			2 - Detailed description of available equipment, vehicles, and supplies used in disaster events including any back-up capabilities (e.g. communications equipment, sandbags, respirators, traffic barricades, toxic gas monitoring equipment) 1 - General, or brief, description of available equipment, vehicles, and supplies 0 - No description
	Facilities			2 - Detailed description of available facilities used in disaster events, including emergency operation centers, assembly/staging areas, shelters and/or "safe havens" from extreme environmental conditions 1 - General, or brief, description of available facilities 0 - No description

	First Responder Units (Police, Fire, EMS)			2 - Detailed description of available first responder unit capabilities, including vehicles, equipment, departments, personnel, fire districts, dispatching 1 - General, or brief, description of available first responder unit capabilities 0 - No description
	Sheltering			2 - Detailed assessment of available capability related to sheltering (plans, maps, studies, measures or investments related to sheltering population in hazard event) 1 - General, or brief, description of available sheltering capability 0 - No description
2.4.1.4.B	Required Resources			
	The plan indicates that the jurisdiction determined its required resources (or resources necessary for jurisdiction to respond adequately)			1 - Plan indicates that jurisdiction determined required resources 0 - No indication
	Financial Resources			2 - Detailed description of the required financial resources of the jurisdiction in an emergency 1 - General, or brief, description of the required financial resources of the jurisdiction in an emergency 0 - No description
	Equipment/Vehicles/Supplies			2 - Detailed description of required equipment, vehicles, and supplies needed in disaster events including any back-up capabilities (e.g. communications equipment, sandbags, respirators, traffic barricades, toxic gas monitoring equipment) 1 - General, or brief, description of required equipment, vehicles, and supplies 0 - No description

	Facilities			2 - Detailed description of required facilities used in disaster events, including emergency operation centers, assembly/staging areas, shelters and/or "safe havens" from extreme environmental conditions 1 - General, or brief, description of required facilities 0 - No description
	First Responder Units (Police, Fire, EMS)			2 - Detailed description of required first responder unit capabilities, including vehicles, equipment, departments, personnel, fire districts, dispatching 1 - General, or brief, description of required first responder unit capabilities 0 - No description
	Sheltering			2 - Detailed assessment of required capabilities related to sheltering (plans, maps, studies, measures or investments related to sheltering population in hazard event) 1 - General, or brief, description of required sheltering capability 0 - No description
2.4.1.4.C	Filling the Resource Gaps			
	Pre-event process used to determine and evaluate capabilities			1 - Describes a pre-event process used to determine and evaluate capabilities 0 - No description of a pre-event process
	Limitations in capacity for local government to respond			2 - Detailed description of jurisdiction's limitations in responding to a disasters 1 - General, or brief, description of jurisdiction's limitations 0 - No description
	Strategic Plan to increase capacity at the local level			1 - Mentions a strategic plan to increase capabilities at the local level 0 - No mention of a strategic plan

	Mutual Aid Agreements			2 - Detailed description of mutual aid agreements with other jurisdictions; should include resources available for loan and their locations, who pays for the resources and bears liability, and condition in which contract begins 1 - General, or brief, mention of mutual aid agreements 0 - No description
	Pre-positioned Agreements or Memorandum of Understanding (MOU)			2 - Detailed description of pre-positioned agreements/MOUs with private sector agencies, non-profits, community organizations, or educational institutions; should include resources available for loan and their locations, who pays for the resources and bears liability, and condition in which contract begins 1 - General, or brief, mention of pre-event agreements 0 - No description
2.4.1.5	Response Committees and Teams			
	Local Emergency Response Committee			1 - Indicates that a Local Emergency Response Committee exists 0 - No indication
	Response Teams			1 - Indicates that the jurisdiction has response teams (such as Citizen Emergency Response Team, Search and Rescue, Rapid Response Team, HazMat Response Team) 0 - No indication
2.4.1.6	Plans and Procedures			
	Standard Operating Procedures of Emergency Management Agency			2 - Detailed description of SOPs of Emergency Management Agency 1 - General, or brief, description of SOPs of Emergency Management Agency 0 - No description of SOPs
	Concept of Operations (CONOPS)			2 - Detailed description of CONOPS 1 - General, or brief, description of CONOPS 0 - No description of CONOPS
	Continuity of Operations (COOP)			2 - Detailed description of COOP 1 - General, or brief, description of COOP 0 - No description of COOP

	Transportation Plans			2 - Detailed assessment of transportation plans (e.g. traffic controls, alternative routes, road clearing plans, contingencies for road and bridge washouts) 1 - General, or brief, description of transportation plans 0 - No description
	Evacuation Plans or Procedures			2 - Detailed description of evacuation plans or procedures 1 - General, or brief, description of evacuation plans or procedures 0 - No description of evacuation plans or procedures
	Communications Plans or Procedures			2 - Detailed description of communications plans or procedures 1 - General, or brief, description of communications plans or procedures 0 - No description of communications plans of procedures
2.4.1.7	Training and Education			
	Training Program			2 - Detailed description of training programs 1 - General, or brief description of training programs 0 - No description
	Training of emergency management personnel			1 - Mentions training emergency management personnel in emergency procedures and protocols 0 - No mention of training
	Training of non-emergency management local personnel			1 - Mentions training non-emergency management local personnel in emergency procedures and protocols 0 - No mention of training
	Training of first responders, search and rescue teams			1 - Mentions training first responders in emergency procedures and protocols 0 - No mention of training
	Methods for assessing training needs			1 - Identifies methods for assessing training needs 0 - No identification
	Training Content			1 - Identifies content of training programs 0 - No identification
	Frequency of training			1 - Identifies the frequency of training programs 0 - No identification
	Incident Command System Training (FEMA Independent Study Courses)			1 - Identifies Incident Command System training programs 0 - No identification

	Pre-incident public education			1 - Describes pre-incident public education 0 - No description
2.4.2	State			
2.4.2.1	State Disaster Declaration Procedures			2 - Detailed description of the process by which the state declares a disaster 1 - General, or brief, description of the process by which the state declares a disaster 0 - No description
2.4.2.2	State Programs, Policies, and Laws			
	State legal framework			1 - Description of state regulations and laws applicable 0 - No description of state regulations and laws
	State Mutual Aid and Assistance Agreements (e.g. Emergency Management Assistance Compact)			1 - Describes any state mutual aid and assistance agreements 0 - No description
	State Hazard Mitigation Planning			1 - Describes State Hazard Mitigation Planning programs or policies 0 - No description
	State Disaster Recovery Assistance			1 - Describes State Disaster Recovery Assistance programs or policies 0 - No description
	State Emergency Response Agency			1 - Lists State Emergency Management Agency 0 - No mention
	State Emergency Response Team (SERT)			1 - Brief description, or mention, of State Emergency Response Team (SERT) 0 - No description
2.4.3	National Policies and Standards			
	Incident Command Structure (ICS)			1 - Plan describes the use of ICS 0 - No description of ICS
	National Incident Management System (NIMS)			1 - Plan indicates compliance with NIMS 0 - No indication
	National Fire Protection Association Standard 1600			1 - Plan indicates the jurisdiction's compliance with the National Fire Protection Association Standard 1600 0 - No indication of compliance

	Emergency Management Accreditation Program (EMAP)			1 - Plan indicates the jurisdiction's compliance with EMAP 0 - No indication of compliance
2.4.4	Federal Government			
2.4.4.1	Federal Disaster Declaration Procedures			2 - Detailed description of the process by which the federal government declares a disaster 1 - General, or brief, description of the process by which the federal government declares a disaster 0 - No description
2.4.4.2	Federal Programs, Policies, and Laws			
	Stafford Act			1 - Brief description, or mention, of the Stafford Act 0 - No description
	Americans with Disabilities Act			1 - General, or brief, description of how shelter facilities, evacuation/movement, warning procedures accommodate the provisions of the ADA 0 - No description
	FEMA: Hazard Mitigation Grant Program			1 - Brief description, or mention, of the HMGP 0 - No description
	FEMA: Homeland Security Grant Program			1 - Brief description, or mention, of the HSGP 0 - No description
	FEMA: Pre-Disaster Mitigation Program			1 - Brief description, or mention, of the PDM 0 - No description
	FEMA: Post Disaster Community Development Block Grant Funding			1 - Brief description, or mention, of the Post Disaster CDBG 0 - No description
	FEMA: Public Assistance Program			1 - Brief description, or mention, of the Public Assistance Program 0 - No description
	FEMA: Individual Assistance Program			1 - Brief description, or mention, of the Individual Assistance Program 0 - No description
	Urban Areas Security Initiative			1 - Description of the UASI program and if this jurisdiction is eligible for grant money 0 - No description

	Metropolitan Medical Response System			1 - Description of the MMRS program and if this jurisdiction is eligible for grant money 0 - No description
	Incident Management Assistance Teams			1 - Description of IMAT 0 - No description
	National Disaster Medical System			1 - Description of NDMS 0 - No description
Section 2.5 Fact Base Section Summary				
2.5.1	In a few sentences or bullet points, characterize the fact base--the approach or style used, strengths and weaknesses, best practices, and any other notes on the overall quality of the section.			

Section 3: Goals

			Score	Page #	Comments
Section 3.1 Goals					*Note: Goals may not be explicitly listed in the response plan, but may be discussed in an introduction or listed as objectives.*
3.1.1	Protect the lives and well being of the public				1 - Present 0 - Not present
3.1.2	Protect the lives of first responders				1 - Present 0 - Not present
3.1.3	Communication systems				1 - Present 0 - Not present
3.1.4	Internal and external coordination				1 - Present 0 - Not present
3.1.5	Collect information continuously to perform assessments				1 - Present 0 - Not present
3.1.6	Stabilize the incident				1 - Present 0 - Not present
3.1.7	Protect the environment				1 - Present 0 - Not present
3.1.8	Ensure continuity of government				1 - Present 0 - Not present
3.1.9	Support transition to recovery				1 - Present 0 - Not present
3.1.10	Demobilize response operations				1 - Present 0 - Not present
3.1.11	Other				1 - The plan lists other goals than the ones indicated above 0 - No other goals are present
Section 3.2 Goals Section Summary					
3.2.1	In a few sentences or bullet points, characterize the goals--the approach or style used, strengths and weaknesses, best practices, and any other notes on the overall quality of the section.				

Section 4: Policies		Score	Page #	Comments
Section 4.1 Does the plan use the Fact Base to inform Policies?				
4.1.1	Connection between the Vulnerability Assessment and Policies			2 - Yes, clear description of the connection between the community's vulnerabilities and policies 1 - Can infer from the plan that there is a connection between the community's vulnerabilities and policies 0 - No connection
4.1.2	Connection between the Hazard ID and Assessment and Policies			2 - Yes, clear description of the connection between the assessment of hazards, their impacts and policies formulated 1 - Can infer from the plan that there is a connection between the assessment of hazards, their impacts and policies formulated 0 - No connection
4.1.3	Connection between the Capability Assessment and Policies			2 - Yes, clear description of the connection between the jurisdiction's capabilities and policies 1 - Can infer from the plan that there is a connection between the jurisdiction's capabilities and policies 0 - No connection
Section 4.2 Protect the lives and well being of the public				
4.2.1	Evacuation and Shelter			2 - Detailed policy related to evacuation including pre-event actions and return re-entry) following an event 1 - General, or brief, description of evacuation policy 0 - No description
4.2.1.1	Evacuation (General)			2 - Detailed policy related to evacuation including pre-event actions and return re-entry) following an event 1 - General, or brief, description of evacuation policy 0 - No description

4.2.1.2	Sheltering (General)			2 - Detailed policy related to sheltering before, during, and after an event to include public shelters and sheltering in-place procedures 1 - General, or brief, description of shelter in-place policy 0 - No description
4.2.1.3	Animals and Household pets			2 - Detailed description of evacuation and sheltering procedures for animals and household pets (including responsible agencies, facilities, and/or plans) 1 - General, or brief, mention of emergency evacuation and sheltering of animals and household pets 0 - No description
4.2.1.4	Inmates			2 - Detailed description of evacuation and sheltering procedures for inmates 1 - General, or brief, mention of evacuation and sheltering procedures for inmates 0 - No description
4.2.2	Medical Care			
4.2.2.1	Medical care during an emergency			2 - Detailed description of medical services provided by the jurisdiction (e.g. patient triage, holding, treatment and transportation area) 1 - General, or brief, mention of medical services 0 - No description
4.2.2.2	Location of Emergency Medical Facilities			1 - Identifies the location of emergency medical facilities 0 - Not present
4.2.2.3	Mass care (feeding, hydration)			2 - Detailed description of emergency food and water distribution process (including responsible agency, plans, and/or procedures) 1 - General, or brief, mention of emergency food and water distribution 0 - No description

4.2.2.4	Disease Prevention and Control			2 - Detailed description of policies to prevent and control diseases, including responsible party, testing water supply, controlling disease vectors (e.g. mosquitoes), and other practices 1 - General, or brief, mention of disease prevention and control during an emergency 0 - No description
4.2.2.5	Crisis counseling for public			2 - Detailed description of crisis counseling services provided to the public 1 - General, or brief, mention of crisis counseling provided to the public 0 - No mention
4.2.3	Public Safety and Security			
4.2.3.1	Public Safety and Security (general)			2 - Detailed description of public safety and security measures to ensure a safe and secure environment for the public 1 - General, or brief, mention of public safety and security 0 - No description
4.2.3.2	Fire, Police, and Emergency Medical Services			2 - Detailed description of fire, police, and emergency medical services role in response 1 - General, or brief, mention of fire, police, and emergency medical services role in response 0 - No description
4.2.3.3	Security in Emergency Facilities (e.g. emergency operation centers, assembly/staging areas, shelters)			2 - Detailed description of security in emergency facilities 1 - General, or brief, mention of security in emergency facilities 0 - No description
4.2.3.4	Search and Rescue Operations			2 - Detailed description of mass search and rescue operations 1 - General, or brief, mention of search and rescue operations 0 - No description

4.2.3.5	Identifies policies specific to the safety and welfare of socially vulnerable populations			2 - Detailed description of policies for socially vulnerable populations (including communications and warning, evacuation, sheltering, and medical care) during an emergency 1 - General, or brief, mention of safety and welfare of socially vulnerable populations 0 - No description

Section 4.3 Protect the lives of first responders

4.3.1	Safety provisions for first responders in place			2 - Detailed description of safety provisions for first responders 1 - General, or brief, mention of safety provisions for first responders 0 - No description
4.3.2	Availability of protective gear for first responders			2 - Hazard-specific protective gear described (e.g. swift water rescue gear, collapsed structure gear) 1 - General, or brief, description of protective gear 0 - No description
4.3.3	Crisis counseling for first responders			2 - Detailed description of crisis counseling services provided to first responders 1 - General, or brief, mention of crisis counseling provided to emergency responders 0 - No mention

Section 4.4 Communications Systems

4.4.1	Public Warning Systems			
	Local mechanisms (e.g. face to face warnings, mobile loudspeakers, sirens, public address system, and telephones)			2 - Detailed description of local mechanisms to warn the public that explicitly addresses differing needs of various groups (e.g. non-English speakers, deaf, blind, students, etc.) 1 - General, or brief, mention of local mechanisms 0 - No mention

	Broadcast media (commercial radio, television, national weather service radio, newspapers, internet)			2 - Detailed description of broadcast media to warn the public that explicitly addresses differing needs of various groups (e.g. non-English speakers, deaf, blind, students, etc.) 1 - General, or brief, mention of broadcast media 0 - No mention
	Protective Action Recommendations (PARs) to citizens (e.g. evacuation, in place protection, or expedient respiratory protection)			2 - Detailed description of providing protection action recommendations to citizens 1 - General, or brief, mention of PARs to citizens 0 - No mention
	Socially vulnerable population warning system or communication plan (including populations with limited English proficiency or with disabilities)			2 - Detailed description of specific policies and actions to warn socially vulnerable populations 1 - General, or brief, mention of warning socially vulnerable populations 0 - No mention
	Emergency Alert System			2 - Detailed description of an Emergency Alert System in the jurisdiction 1 - General, or brief, mention of an Emergency Alert System 0 - No mention
4.4.2	Communication to emergency personnel			
	Establish interoperable voice and data communications between federal, state, and local first responders			2 - Detailed description of voice and data communications between first responders 1 - General, or brief, description of communications between first responders 0 - No description
	Communication between the Emergency Management Agency and emergency personnel			2 - Detailed description of communications between the emergency management agency and emergency personnel 1 - General, or brief, description of communications between the emergency management agency and emergency personnel 0 - No description

	Indicates how the EOC will communicate with field units, operational areas, regions, and other entities			2 - Detailed description of how the EOC will communicate to entities 1 - General, or brief, description of EOC communication systems 0 - No description
	Field Operations Guides, Job Aids, Checklists that help emergency personnel perform during response			2 - Provides examples of job aids and checklists used in response to help persons perform certain job functions 1 - General, or brief, description of job aids and checklists 0 - No description or example
4.4.3	Media			
	Identify a Media Center (Joint Information Center or Emergency Communications Center)			1 - Indicates a specified media center, those responsible and their duties 0 - No indication
	Media Management (including rumor control and dispelling disaster myths)			1 - Describes media management policies 0 - No description
	Public Inquiries			1 - Describes how public inquiries will be addressed 0 - No description
Section 4.5 Internal and external coordination				
4.5.1	Command and Control			
	Command System			2 - Detailed description of command systems that the jurisdiction uses in response (including Incident Command System, Unified Command, Area Command) 1 - General, or brief, description of command systems 0 - No description
	Operation Centers			2 - Detailed description of the operations centers activated in response including Emergency Operation Center and Joint Information Center/Emergency Communication Center 1 - General, or brief, mention of operations centers 0 - No description
	Jurisdictional lead agency			1 - Indicates a jurisdictional lead agency in response 0 - No indication

	Jurisdictional lead person			1 - Indicates a jurisdictional lead person (can be defined as a position such as "Emergency Management Coordinator") 0 - No indication
	Division of Responsibilities of Incident Command System (ICS) and Emergency Operations Center (EOC) outlined			1 - Describes division of responsibilities of ICS and EOC 0 - No description
4.5.2	Disaster Declaration Policies			
	Local Disaster Declaration (State of Emergency)			2 - Detailed description of the process by which the local government declares a disaster 1 - General, or brief, description of the process by which the local government declares a disaster 0 - No description
	State Disaster Declaration			2 - Detailed description of the process by which the state declares a disaster 1 - General, or brief, description of the process by which the state declares a disaster 0 - No description
	Federal Disaster Declaration			2 - Detailed description of the process by which the federal government declares a disaster 1 - General, or brief, description of the process by which the federal government declares a disaster 0 - No description
4.5.3	Resource Management Procedures			
4.5.3.1	Resource management procedures			2 - Detailed description of resource management procedures (e.g. resource ordering; delivery of equipment, supplies, and services; resource tracking) 1 - General, or brief, description of resources management procedures 0 - No description

4.5.3.2	Financial/Administration			
	Fiscal Management			2 - Detailed policies describing fiscal management processes during an event 1 - General, or brief, description of fiscal management 0 - No description
	Purchasing			2 - Detailed description of purchasing policies, including policies to pre-position contracts 1 - General, or brief, description of purchasing policies 0 - No description
4.5.3.3	Asset and Resource Request			
	Asset and Resource Request to State and Federal Government			2 - Detailed description of process in which state or federal government resources are requested including the completion of a damage assessment for purposes of requesting resources 1 - General, or brief, description of request for state or federal government resources 0 - No description
	Mutual Aid Agreements			2 - Detailed description of coordination of mutual aid agreements with other jurisdictions; should include condition under which agreement is activated or contract begins 1 - General, of brief, mention of coordination of MAAs 0 - No description
	Pre-positioned Agreements or Memorandum of Understanding (MOU)			2 - Detailed description of pre-positioned agreements/MOUs with private sector agencies, non-profits, community organizations, or educational institutions; should include condition under which agreement is activated or contract begins 1 - General, or brief, mention of pre-event agreements 0 - No description

4.5.4	Other			
4.5.4.1	Mass Fatality Management and Mortuary Services			2 - Detailed description of policies regarding fatality management and mortuary services (including responsible agency and procedures) 1 - General, or brief, mention of fatality management and mortuary services 0 - No description
4.5.4.2	Hazardous Material Incident, Fuel/Oil Spill, or Chemical Spill Procedures			2 - Detailed description of policies for a hazardous material incident, oil/fuel spill, or chemical spill including responsible party, determining exposure of personnel and the public, isolating the incident, decontamination and monitoring support, and other practices 1 - General, or brief, mention of a hazardous material incident, oil/fuel spill, or chemical spill 0 - No description
4.5.4.3	Private Sector			
	Private Services (e.g. grocery stores, home improvement retailers, pharmacies, banks)			2 - Detailed description of private services needed in response 1 - General, or brief, description of private services 0 - No description
	Contractors			2 - Detailed description of contracting procedures with private sector vendors including the development of pre-event agreements to address response activities (e.g. water, food, ice, debris management) 1 - General, or brief, description of contracting procedures 0 - No description
4.5.4.4	Non-Profit Services (e.g. food, clothing, shelter)			2 - Detailed description of non-profit services needed in response; non-profits include American Red Cross, Salvation Army, Voluntary Organizations Active in Disaster 1 - General, or brief, description of non-profit services 0 - No description

4.5.4.5	Volunteer Management			
	Volunteer Labor			2 - Detailed description of management and care of volunteer labor (including responsible agency and procedures for coordinating volunteers) 1 - General, or brief, description of volunteer management 0 - No description
	Donation Management			2 - Detailed description of donation management procedures 1 - General, or brief, description of donation management procedures 0 - No description
	Voluntary Organizations			1 - Listed 0 - Not listed
4.5.4.6	Response Teams			
	Community Emergency Response Team (CERT)			2 - Detailed description of CERT including members and their duties before and after disasters 1 - General, or brief, description of a Citizen Emergency Response Team 0 - No description
	Search and Rescue or Urban Search and Rescue Team (USAR)			2 - Detailed description Search and Rescue or USAR Team including members and their duties before and after disasters 1 - General, or brief, description of an Search and Rescue or USAR Team 0 - No description
	Hazardous Materials (HazMat) Response Team			2 - Detailed description of HazMat Team including members and their duties before and after disasters 1 - General, or brief, description of a HazMat 0 - No description

	Swiftwater Rescue Team			2 - Detailed description of Swiftwater Rescue Team including members and their duties before and after disasters 1 - General, or brief, description of a Swiftwater Rescue Team 0 - No description
Section 4.6 Collect information continuously to perform assessments and request resources				
4.6.1	Emphasize the importance of maintaining and collecting valid information on disaster before taking action			2 - Detailed description of how information is collected, archived, and used in response-related decision making 1 - Plan mentions the importance of maintaining and collecting valid information on disasters before taking action 0 - No mention
4.6.2	The plan emphasizes the jurisdiction's flexibility in response so that operations can adjust to current demands			2 - Detailed description of jurisdiction's flexibility in responding to current demands during an emergency 1 - Plan mentions response flexibility so that operations can adjust to current demands 0 - No mention
4.6.3	Situational Assessments			2 - Detailed description of developing situational assessments to continuously provide all decision makers with decision-relevant information regarding the nature and extent of the hazard, any cascading effects, and the status of response 1 - General, or brief, mention of developing situational assessments 0 - No description
4.6.4	Conduct Health and Safety Assessments			2 - Detailed description of how health and safety information is collected, archived, and used in response-related decision making 1 - General, or brief, description of conducting health and safety assessments of the impact of disaster 0 - No description

4.6.5	Resource Assessment			2 - Specifically mentions a resource assessment (including manpower, equipment, vehicles, and/or supplies and patterns of usage) to determine its capacity and potential need to use mutual aid agreements or state resources 1 - General, or brief, description of a resource assessment 0 - No description
4.6.6	Emergency Management Information Tools (e.g. WebEOC, E-Team)			2 - Describes process to use Emergency Management Information Tools (e.g. WebEOC, E-Team), including who, when and how these tools are used 1 - General, or brief, description of a Emergency Management Information Tools 0 - No description
Section 4.7 Stabilize the incident				
4.7.1	Stabilize the Incident within a certain timeframe			2 - Detailed description on how the jurisdiction will stabilize the incident within a certain timeframe 1 - General, or brief, description of how the jurisdiction will stabilize the incident 0 - No description
Section 4.8 Protect the environment				
4.8.1	Environmental contamination/remediation			2 - Detailed description of policies addressing environmental contamination/remediation 1 - General, or brief, description of environmental policies 0 - No description
Section 4.9 Ensure Continuity of Government				
4.9.1	Succession Plan			2 - Detailed description of persons by position to succeed government officials, including members of the emergency management organization 1 - General, of brief, description of a succession plan for government officials 0 - No description

4.9.2	Protection of vital records			2 - Detailed description of policies to protect vital records during an event 1 - General, or brief, description of policies to protect vital records during an event 0 - No description
4.9.3	Documentation of Emergency Response Activity			2 - Detailed description of how all emergency response activity will be documented during an event, including the responsible party and procedures 1 - General, or brief, description of how emergency response activity will be documented during an event 0 - No description
Section 4.10 Support Transition to Recovery				
4.10.1	Transitional housing			2 - Detailed description of transitional housing policies 1 - General, or brief, description of transitional housing policies 0 - No description
4.10.2	Relocation assistance			2 - Detailed description of relocation assistance policies 1 - General, or brief, description of relocation assistance policies 0 - No description
4.10.3	Reentry Policies			2 - Detailed reentry policy that includes the responsible party for initiating reentry, access points, staging areas for emergency personnel, or other policies. 1 - General, of brief description, of reentry policies 0 - No description
4.10.4	Restoration of Energy and Utility Services			2 - Detailed description of energy and utility services that will help restore basic services and community functionality 1 - General, or brief, description of energy and utility services 0 - No description

4.10.5	Restoration of Critical Facilities			2 - Detailed description of policies regarding the restoration of critical facilities (e.g. hospitals, fire station, police station, public school) including emergency power 1 - General, or brief, description of policies regarding the restoration of critical facilities 0 - No description
4.10.6	Debris Removal			2 - Detailed description of debris removal including responsible agency, sites for removal, temporary waiving of road weight limits, and/or plans and procedures 1 - General, or brief, mention of debris removal 0 - No description
4.10.7	Stabilizing Transportation Corridors			2 - Detailed description of stabilizing transportation corridors (e.g. providing alternative routes, road clearing plans, contingencies for road and bridge washouts) 1 - General, or brief, description of stabilizing transportation corridors 0 - No description
4.10.8	Building Inspections			2 - Detailed description of building inspections post disaster, including re-entry criteria for homes, schools, and businesses 1 - General, or brief, description of building inspections post disaster 0 - No description
Section 4.11 Demobilize Response Operations				
4.11.1	Demobilization Policy			2 - Detailed description of demobilization policies 1 - General, or brief, description of demobilization 0 - No description
Section 4.12 Policies Section Summary				
4.12.1	In a few sentences or bullet points, characterize the policies--the approach or style used, strengths and weaknesses, best practices, and any other notes on the overall quality of the section.			

Section 5: Participation				
		Score	Page #	Comments
Section 5.1 Planning Process				
5.1.1	Planning Process (general)			
	Describes and Documents Planning Process			2 - Detailed description of the process by which the plan was developed, monitored, updated, and approved 1 - General, or brief, description of the process by which the plan was developed, monitored, updated, and approved 0 - No description
	Planning Team			2 - Detailed description of emergency response planning team that developed the plan, including their roles and responsibilities 1 - General, or brief, mention of emergency response planning team 0 - No planning team mentioned
	Public Participation			2 - Detailed description of public involvement in the planning process, including public participation at open meetings or workshops, and informing the public through public notices, website updates, and/or targeted outreach 1 - General, or brief, description of public involvement in the planning process 0 - No indication of public involvement
	Involves Socially Vulnerable Populations			2 - Detailed description of specific outreach and participation to include socially vulnerable populations in plan development 1 - General, or brief, description of specific outreach and participation to include socially vulnerable populations in plan development 0 - No description

Section 5.2 Organizations/Persons Involved in Response Planning Process				
5.2.1	Local			
	Animal Control			1 - Listed as involved in planning process 0 - Not listed
	Budget/Revenue/Finance Agency			1 - Listed as involved in planning process 0 - Not listed
	Building Department/Permit Department			1 - Listed as involved in planning process 0 - Not listed
	Community Emergency Response Team (CERT)			1 - Listed as involved in planning process 0 - Not listed
	City/County Attorney			1 - Listed as involved in planning process 0 - Not listed
	Civic/Community based organization or Neighborhood Group			1 - Listed as involved in planning process 0 - Not listed
	Economic Development			1 - Listed as involved in planning process 0 - Not listed
	Elected Officials			1 - Listed as involved in planning process 0 - Not listed
	Emergency Management Division			1 - Listed as involved in planning process 0 - Not listed
	Emergency Medical Services			1 - Listed as involved in planning process 0 - Not listed
	Energy and Utilities			1 - Listed as involved in planning process 0 - Not listed
	Fire			1 - Listed as involved in planning process 0 - Not listed
	General Public			1 - Listed as involved in planning process 0 - Not listed
	Higher Education			1 - Listed as involved in planning process 0 - Not listed
	Hospitals			1 - Listed as involved in planning process 0 - Not listed

	Local Agriculture Community			1 - Listed as involved in planning process 0 - Not listed
	Local Business Community			1 - Listed as involved in planning process 0 - Not listed
	Parks/Environmental Department			1 - Listed as involved in planning process 0 - Not listed
	Planning Department/Community Development Department			1 - Listed as involved in planning process 0 - Not listed
	Police/Law Enforcement			1 - Listed as involved in planning process 0 - Not listed
	Public Health			1 - Listed as involved in planning process 0 - Not listed
	Public Works			1 - Listed as involved in planning process 0 - Not listed
	Regional Planning Agency			1 - Listed as involved in planning process 0 - Not listed
	School District			1 - Listed as involved in planning process 0 - Not listed
	Social Services/Childcare/Welfare			1 - Listed as involved in planning process 0 - Not listed
	Transportation			1 - Listed as involved in planning process 0 - Not listed
	Water/Sewer District			1 - Listed as involved in planning process 0 - Not listed
5.2.2	State			
	State Emergency Management Agency			1 - Listed as involved in planning process 0 - Not listed
	State Department of Transportation			1 - Listed as involved in planning process 0 - Not listed
	State Public Health Department			1 - Listed as involved in planning process 0 - Not listed
	State Department of Human Services/Social Services			1 - Listed as involved in planning process 0 - Not listed

5.2.3	Federal			
	FEMA			1 - Listed as involved in planning process 0 - Not listed
	National Guard			1 - Listed as involved in planning process 0 - Not listed
	National Park Service/U.S. Fish and Wildlife Service			1 - Listed as involved in planning process 0 - Not listed
	National Oceanic and Atmospheric Agency			1 - Listed as involved in planning process 0 - Not listed
	National Weather Service			1 - Listed as involved in planning process 0 - Not listed
	U.S. Coast Guard			1 - Listed as involved in planning process 0 - Not listed
	U.S. Department of Homeland Security			1 - Listed as involved in planning process 0 - Not listed
	U.S. Department of Transportation			1 - Listed as involved in planning process 0 - Not listed
	U.S. Environmental Protection Agency			1 - Listed as involved in planning process 0 - Not listed
5.2.4	Other			
	Contractors			1 - Listed as involved in planning process 0 - Not listed
	Disaster Volunteer Groups			E.g. Red Cross, Salvation Army, Voluntary Organizations Active in Disaster (VOAD) 1 - Listed as involved in planning process 0 - Not listed
	Home Improvement Retailers			E.g. Home Depot, Target, Walmart, Lowes 1 - Listed as involved in planning process 0 - Not listed
	Media			1 - Listed as involved in planning process 0 - Not listed
	Nursing Homes			1 - Listed as involved in planning process 0 - Not listed

Section 5.3 Participation Section Summary	
5.3.1	In a few sentences or bullet points, characterize the participation--the approach or style used, strengths and weaknesses, best practices, and any other notes on the overall quality of the section.	

Section 6: Inter-organizational Coordination		Score	Page #	Comments
Section 6.1 Coordination of Emergency Management Activities				
6.1.1	Preparedness			1 - Indicates coordination with the preparedness activities 0 - No mention of preparedness
	Training			1 - Indicates coordination with training programs 0 - Does not mention training
6.1.2	Hazard Mitigation			1 - Indicates coordination with the mitigation activities 0 - No mention of mitigation
	Hazard Mitigation Plan			2 - Detailed description of integration of local response plan with Hazard Mitigation Plan 1 - General, or brief, description of Hazard Mitigation Plan 0 - No description
6.1.3	Recovery			1 - Indicates coordination with the recovery activities 0 - No mention of recovery
	Disaster Recovery Plan			2 - Detailed description of integration of local response plan with Disaster Recovery Plan 1 - General, or brief, description of Disaster Recovery Plan 0 - No description
	Coordination of response and recovery committees			1 - Indicates any coordination in response and recovery committees (such as representatives or liaisons of each sector) 0 - No indication of coordination
	Damage Assessments			2 - Detailed description of how the damage assessments will impact disaster recovery process 1 - General, or brief, description of how the damage assessments will impact the disaster recovery process 0 - No description

	Describes transition from short term to long term recovery			2 - Detailed description of transition from short term to long term recovery (including temporary accommodations for misplaced households, businesses, government agencies; facilitating repair and reconstruction of property damage, restoring disrupted community social routines and economic activities) 1 - General, or brief, description of transition from short term to long term recovery 0 - No description
6.1.4	Prevention and Protection			
	Prevention and Protection Programs			2 - Detailed description of programs and policies with regard to prevention and protection from terrorist attacks 1 - General, or brief, description of terrorist programs 0 - No description
	Plans, Procedures, or Guidance specific to terrorist attacks			2 - Detailed description of plans, procedures, or guidance specific to terrorist attacks 1 - General, or brief, description of plans, procedures, or guidance specific to terrorist attacks 0 - No description
Section 6.2 Horizontal Integration				
6.2.1	Across Government Entities			
	Emergency Management Plan Integration			2 - Detailed description of integration of emergency management plans (e.g. hazard mitigation, disaster recovery, continuity of operations plan) 1 - General, or brief, description of integration of emergency management plans 0 - No plan integration indicated
	Land Use, General, or Comprehensive Plan Integration			2 - Detailed explanation of how land use or comprehensive plans are integrated into response plan 1 - General, or brief, mention of land use or comp plan 0 - No mention
	Training programs with other government departments within the jurisdiction			1 - Existence of training with other government departments within the jurisdiction on the response plan 0 - No training programs indicated

	Exercising or testing the plan with other government departments within the jurisdiction			1 - Indicates coordination with other government departments within the jurisdiction in response exercises 0 - No indication
6.2.2	Organizations involved in response beyond jurisdiction's government agencies			
6.2.2.1	Neighboring Jurisdictions			1 - Lists neighboring jurisdictions involved in response 0 - Does not list
	Capabilities/Resources			1 - Describes how capabilities and resources of neighboring jurisdictions are used during response 0 - No description
	Emergency Management Plans			1 - Indicates coordination of emergency management plans between jurisdictions 0 - Does not indicate
	Mutual aid agreements			2- Detailed description of mutual aid agreements with other jurisdictions (Information should include: conditions under which the agreement is activated, resources available for loan and their locations, personnel and who they will report to, triggering mechanism required to initiate contract, who pays for the resources and bears liability) 1 - General, or brief, description of mutual aid agreements 0 - No description
	Multi-jurisdictional training			1 - Indicates multi jurisdictional training of those involved in response activities 0 - No indication of multi jurisdictional training
	Multi-jurisdictional exercises			1 - Indicates response exercises that include multiple jurisdictions 0 - No indication of multi jurisdictional exercises
6.2.2.2	Private Sector			1 - Lists private sector partners involved in response 0 - Does not list
	Capabilities/Resources			1 - Describes how capabilities and resources of the private sector support local response efforts 0 - No description

	Emergency Plans			1 - Indicates coordination between local response plans and private sector emergency plans 0 - Does not indicate
	Pre-positioned Contractor Agreements or Memorandum of Understanding (MOU)			2- Detailed description of pre-positioned contractor agreements or MOUs with private sector (Information should include: conditions under which the agreement is activated, tasks undertaken, expertise available, condition in which the contract begins, who pays for the resources and bears liability) 1 - General, or brief, description of contractor agreements 0 - No description
	Multi-agency response plan training			1 - Indicates multi agency training of response plan in coordination with the private sector 0 - No indication of multi agency training in coordination with the private sector
	Multi-agency response plan exercises			1 - Indicates exercises that include private sector partners 0 - No indication including private sector in exercises
6.2.2.3	Non profit Sector			1 - Lists non profit partners involved (Red Cross, Salvation Army, Voluntary Organizations Active in Disasters) 0 - Does not list
	Capabilities/Resources			1 - Describes how capabilities and resources of the non profit sector support local response efforts 0 - No description
	Emergency Plans			1 - Indicates coordination between local response plan and non profit sector emergency plans 0 - Does not indicate
	Pre-positioned Agreements or Memorandum of Understanding (MOU)			2- Detailed description of pre-positioned agreements/MOUs with non profits (Information should include: conditions under which the agreement is activated, resources available for loan and their locations, personnel and who they will report to, condition in which the contract begins, who pays for the resources and bears liability) 1 - General, of brief, description of mutual aid agreements 0 - No description

		Multi-agency response plan training			1 - Indicates multi agency training of response plan in coordination with the non profit sector 0 - No indication of multi agency training in coordination with the non profit sector
		Multi-agency response plan exercises			1 - Indicates exercises that include non profit sector partners 0 - No indication including non profit sector in exercises
6.2.2.4		Other community organizations			1 - Lists community organizations involved in response (faith based organizations, neighborhood groups, etc) 0 - Does not list
		Capabilities/Resources			1 - Describes how capabilities and resources of community organizations support local response efforts 0 - No description
		Emergency Plans			1 - Indicates coordination of community organizations' emergency plans 0 - Does not indicate
		Pre-positioned Agreements or Memorandum of Understanding (MOU)			2- Detailed description of pre-positioned agreements/MOUs with community organizations (Information should include: conditions under which the agreement is activated, resources available for loan and their locations, personnel and who they will report to, condition in which the contract begins, who pays for the resources and bears liability) 1 - General, of brief, description of mutual aid agreements 0 - No description
		Multi-agency response plan training			1 - Indicates multi agency training of response plan in coordination with community organizations 0 - No indication of multi agency training in coordination with community organizations
		Multi-agency response plan exercises			1 - Indicates exercises that include community organizations 0 - No indication including community organizations in exercises

Section 6.3 Vertical Integration				
6.3.1	State Government			
6.3.1.1	State Plans			
	Emergency Operations Plan			2 - Detailed description of integration of local response plan with State EOP 1 - General, or brief, description of State EOP 0 - No description
	Other State Plans			2 - Detailed description of integration of local response plan with other State Plans 1 - General, or brief, description of other State Plans 0 - No description
6.3.1.2	State Agencies			
	State Emergency Management Agency			1 - Indicates coordination with State Emergency Management Agency 0 - No indication
	State Department of Transportation			1 - Indicates coordination with State Department of Transportation 0 - No indication
	State Public Health Department			1 - Indicates coordination with State Public Health Department 0 - No indication
	State Department of Human Services/Social Services			1 - Indicates coordination with State Department of Human Services/Social Services 0 - No indication
6.3.1.3	State Resources			1 - Describes how capabilities and resources of state government are used during response 0 - No description

6.3.2	Federal Government			
6.3.2.1	Federal Plans			
	National Response Framework			2 - Detailed description of integration of local response plan with NRF 1 - General, or brief, description of NRF 0 - No description
	National Incident Management System			2 - Detailed description of integration of local response plan with NIMS 1 - General, or brief, description of NIMS 0 - No description
	National Preparedness Goal (new Sept 2011)			2 - Detailed description of integration of local response plan with National Preparedness Goal 1 - General, or brief, description of NPG 0 - No description
	Comprehensive Preparedness Guide 101			2 - Detailed description of integration of local response plan with CPG 101 1 - General, or brief, description of CPG 101 0 - No description
	Other Federal Plans			2 - Detailed description of integration of local response plan with other relevant federal plan(s) 1 - General, or brief, description of other relevant federal plan(s) 0 - No description
6.3.2.2	Federal Agencies			
	FEMA Region			1 - Indicates Coordination with FEMA Regional Office 0 - Not present
	FEMA Headquarters			1 - Indicates Coordination with FEMA Headquarters 0 - Not present
	National Guard			1 - Indicates Coordination with National Guard 0 - Not present
	National Oceanic and Atmospheric Agency			1 - Indicates Coordination with NOAA 0 - Not present
	National Weather Service			1 - Indicates Coordination with NWS 0 - Not present

	U.S. Coast Guard			1 - Indicates Coordination with U.S. Coast Guard 0 - Not present
	U.S. Department of Homeland Security			1 - Indicates Coordination with DHS 0 - Not present
	U.S. Department of Transportation			1 - Indicates Coordination with US DOT 0 - Not present
	U.S. Environmental Protection Agency			1 - Indicates Coordination with US EPA 0 - Not present
6.3.2.3	Federal Government Resources			1 - Describes how capabilities and resources of federal government are used during response 0 - No description
Section 6.4 Inter-organizational Coordination Section Summary				
6.4.1	In a few sentences or bullet points, characterize inter-organizational coordination--the approach or style used, strengths and weaknesses, best practices, and any other notes on the overall quality of the section.			

Section 7: Implementation		Score	Page #	Comments
Section 7.1 Roles and Responsibilities of Organizations in Supporting the Jurisdiction's Plan for Response				*Note: This section is outlined to address the organization of the local jurisdiction's plan. The plan could be organized by ICS sections, ESFs, Functional Annexes and/or Support Annexes. In some cases, the functions may be within another section (e.g. Transportation may be located within the Logistics Section of the ICS Annex). If this is the case, please code both functions separately.*
7.1.1	Incident Command System			
7.1.1.1	Operations			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed
7.1.1.2	Planning			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed

7.1.1.3	Logistics			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed
7.1.1.4	Administration/Finance			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed
7.1.2	Emergency Support Functions			
7.1.2.1	Transportation (ESF 1)			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed

7.1.2.2	Communications (ESF 2)			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed
7.1.2.3	Public Works and Engineering (ESF 3)			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed
7.1.2.4	Firefighting (ESF 4)			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed

7.1.2.5	Emergency Management (ESF 5)			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed
7.1.2.6	Mass Care, Emergency Assistance, Housing and Human Services (ESF 6)			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed
7.1.2.7	Logistics, Management and Resource Support (ESF 7)			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed

7.1.2.8	Public Health and Medical Services (ESF 8)			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed
7.1.2.9	Search and Rescue (ESF 9)			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed
7.1.2.10	Oil and Hazardous Materials Response (ESF 10)			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed

7.1.2.11	Agriculture and Natural Resources (ESF 11)			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed
7.1.2.12	Energy (ESF 12)			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed
7.1.2.13	Public Safety and Security (ESF 13)			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed

7.1.2.14	Long Term Community Recovery (ESF 14)			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed
7.1.2.15	External Affairs (ESF 15)			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed
7.1.2.16	Other ESFs as determined by jurisdiction			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed

7.1.3	Support Annexes			
7.1.3.1	Direction, Control, and Coordination			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed
7.1.3.2	Continuity of Government Operations			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed
7.1.3.3	Warning			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed

7.1.3.4	Population Protection			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed
7.1.3.5	Financial Management			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed
7.1.3.6	Mutual Aid/Multi-Jurisdictional Coordination			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed

7.1.3.7	Private Sector Coordination			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed
7.1.3.8	Volunteer and Donations Management			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed
7.1.3.9	Worker Safety and Health			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed

7.1.3.10	Prevention and Protection			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed
7.1.3.11	Damage Assessment			1 - Present 0 - Not Present
	Lead Responsible Organization or Position			1 - Listed 0 - Not Listed
	Other Responsible Organizations or Positions			1 - Listed 0 - Not Listed
	Responsibilities			2 - Detailed list of responsibilities by organization or position 1 - General, or brief, list of responsibilities 0 - No responsibilities listed
Section 7.2 Responsibilities of individuals outlined in the response plan				
7.2.1	Public Officials and Employees			
	County Commissioner			1 - Responsibilities Listed 0 - Responsibilities Not Listed
	Town/City Council Member			1 - Responsibilities Listed 0 - Responsibilities Not Listed
	Municipal Mayor(s)			1 - Responsibilities Listed 0 - Responsibilities Not Listed
	City/County Attorney			1 - Responsibilities Listed 0 - Responsibilities Not Listed
	Sheriff/Police Chief			1 - Responsibilities Listed 0 - Responsibilities Not Listed

	County/Town/City Manager			1 - Responsibilities Listed 0 - Responsibilities Not Listed
	Emergency Management Coordinator			1 - Responsibilities Listed 0 - Responsibilities Not Listed
	Assistant (or Deputy) Emergency Management Coordinator			1 - Responsibilities Listed 0 - Responsibilities Not Listed
	Finance Director			1 - Responsibilities Listed 0 - Responsibilities Not Listed
	Fire Marshal or Fire Chief			1 - Responsibilities Listed 0 - Responsibilities Not Listed
	Public Safety Director			1 - Responsibilities Listed 0 - Responsibilities Not Listed
	Social Services Director			1 - Responsibilities Listed 0 - Responsibilities Not Listed
	Communications Director			1 - Responsibilities Listed 0 - Responsibilities Not Listed
	Public Works Director			1 - Responsibilities Listed 0 - Responsibilities Not Listed
	Public Health Director			1 - Responsibilities Listed 0 - Responsibilities Not Listed
	Emergency Medical Services Officer			1 - Responsibilities Listed 0 - Responsibilities Not Listed
	Damage Assessment Officer/Tax Officer			1 - Responsibilities Listed 0 - Responsibilities Not Listed
	Superintendent of Schools			1 - Responsibilities Listed 0 - Responsibilities Not Listed
	Planning Director			1 - Responsibilities Listed 0 - Responsibilities Not Listed
	Information Technology Director			1 - Responsibilities Listed 0 - Responsibilities Not Listed
	American Red Cross Liaison			1 - Responsibilities Listed 0 - Responsibilities Not Listed
	Other Employees			1 - Responsibilities Listed 0 - Responsibilities Not Listed

7.2.2	Incident Command System			
7.2.2.1	Incident Commander			
	Responsibilities			1 - Responsibilities Listed 0 - Responsibilities Not Listed
	Position appointed as Incident Commander			1 - Lists position appointed as Incident Commander during response 0 - Person appointed not listed
7.2.2.2	Finance/Administration Section Officer			
	Responsibilities			1 - Responsibilities Listed 0 - Responsibilities Not Listed
	Position appointed as Finance/Administration Section Officer			1 - Lists position appointed as Finance/Administration Section Officer during response 0 - Person appointed not listed
7.2.2.3	Logistics Section Chief			
	Responsibilities			1 - Responsibilities Listed 0 - Responsibilities Not Listed
	Position appointed as Logistics Section Chief			1 - Lists position appointed as Logistics Section Chief during response 0 - Person appointed not listed
7.2.2.4	Operations Section Chief			
	Responsibilities			1 - Responsibilities Listed 0 - Responsibilities Not Listed
	Position appointed as Operations Section Chief			1 - Lists position appointed as Operations Section Chief during response 0 - Person appointed not listed
7.2.2.5	Planning Section Chief			
	Responsibilities			1 - Responsibilities Listed 0 - Responsibilities Not Listed
	Person appointed in this position			1 - Lists person appointed as Planning Section Chief during response 0 - Person appointed not listed

7.2.2.6	Public Information Officer			
	Responsibilities			1 - Responsibilities Listed 0 - Responsibilities Not Listed
	Person appointed in this position			1 - Lists person appointed as Public Information Officer during response 0 - Person appointed not listed
7.2.2.7	Safety Officer			
	Responsibilities			1 - Responsibilities Listed 0 - Responsibilities Not Listed
	Person appointed in this position			1 - Lists person appointed as Safety Officer during response 0 - Person appointed not listed
Section 7.3 Plan Clarity				
7.3.1	Plan Contents			
	Table of Contents			1 - Present 0 - Not Present
	Table of Contents with Page numbers			1 - Present 0 - Not Present
	Executive Summary			1 - Present 0 - Not Present
	Glossary of Terms			1 - Present 0 - Not Present
	Written in clear, simple, unambiguous language			1 - Yes 0 - No
	Plan contains illustrations such as charts, graphs, figures, and maps			1 - Contains illustrations 0 - Does not contain illustrations
	Record of update or changes			1 - Present 0 - Not Present
	Introduction			1 - Brief explanation of why the plan was developed and how the plan is used 0 - No explanation
	Plan Purpose			1 - Present 0 - Not Present

	References/resources			1 - Describes/lists references and resources used in plan development 0 - No references or resources listed
	Contact List			1 - Includes a list of agencies and personnel not internal to the organization but critical to emergency operations 0 - No list
	Clear alignment of goals and policies			1 - Plan indicates clear alignment of goals and policies 0 - No indication
7.3.1.1	Type of Plan/Approach			
	All Hazards Plan			1 - Describes plan as taking an All-Hazards approach 0 - No description of All-Hazards approach
	Scenario-Based Plan			1 - Describes plan as based on a scenario 0 - Not scenario-based
	Hazard Specific Annexes			1 - Plan has hazard specific annexes 0 - No hazard specific annexes
	Capabilities-based			1 - Plan is described as capabilities-based 0 - No description of plan as capabilities-based
	Identifies assumptions used in developing the plan			1 - Plan lists assumptions 0 - No assumptions listed
7.3.2	Accessibility/Plan Distribution			
	Plan located on jurisdiction's website			1 - Indicates location of plan on jurisdiction's website 0 - No indication of website
	Copies of plan located at public venues			1 - Indicates plan is located at public venues (e.g. Public library) 0 - No location indicated
	Identifies publicizing the plan using various media channels			1 - Identifies media channels used to promote plan 0 - No identification of media channels
	Distribution list			1 - List of persons and/or agencies that have received the plan 0 - No list

Section 7.4 Plan Implementation				
7.4.1	Training			
	Administration and personnel			1 - Indicates training jurisdiction's administration and personnel on the response plan 0 - No training indicated
	Elected officials			1 - Indicates training jurisdiction's elected officials on the response plan 0 - No training indicated
	General Public			1 - Indicates training jurisdiction's citizens on the response plan 0 - No training indicated
	First Responders			1 - Indicates training jurisdiction's first responders on the response plan 0 - No training indicated
	Volunteer Groups (e.g. American Red Cross)			1 - Indicates training volunteer organizations on the response plan 0 - No training indicated
	Cross -collaboration training with other jurisdictions			1 - Indicates training with other jurisdictions on the response plan 0 - No cross collaboration training indicated
Section 7.5 Implementation Section Summary				
7.5.1	In a few sentences or bullet points, characterize implementation--the approach or style used, strengths and weaknesses, best practices, and any other notes on the overall quality of the section.			

Section 8: Monitoring and Evaluation		Score	Page #	Comments
Section 8.1 Exercising or Testing the Plan				
8.1.1	Exercise History			1 - Describes the types of exercises done in previous years 0 - No description
	Applied Exercise Lessons			1 - Applies lessons from previous exercises (e.g. results in tangible policy change) 0 - No description
	Frequency of Exercises			1 - Describes the frequency of exercises 0 - No description
	Drills			1 - Mentions drills completed in the past (exercises that test emergency plans, staffing levels, personnel training, procedures, facilities, equipment and materials) 0 - No mention
	Tabletop Exercise			1 - Mentions tabletop exercises completed in the past 0 - No mention
	Functional Exercise			1 - Mentions functional exercises completed in the past 0 - No mention
	Full-Scale Exercise			1 - Mentions full-scale exercises completed in the past 0 - No mention
8.1.2	Future Exercises Planned			
	Future Exercises (General)			1 - General, or brief, description of exercises planned in the future 0 - No description
	Exercise Schedule			1 - Provides a schedule for future exercises (within 1 to 2 years) 0 - No mention of a future exercise

	Drills				1 - Mentions future drills (exercises that test emergency plans, staffing levels, personnel training, procedures, facilities, equipment and materials) 0 - No mention
	Tabletop Exercise				1 - Mentions tabletop exercises planned for the future 0 - No mention
	Functional Exercise				1 - Mentions functional exercises planned for the future 0 - No mention
	Full-Scale Exercise				1 - Mentions full-scale exercises planned for the future 0 - No mention
8.1.3	Exercise Development (General)				
	Procedures for development				1 - Describes exercise development 0 - No description
	Procedures/process for feedback to update plan				1 - Describes process for using feedback from the exercise (e.g. After Action Reports) to update the plan 0 - No description
	Persons Involved				1 - Indicates persons involved in exercise development 0 - No indication
Section 8.2 Updating Plan					
8.2.1	Plan Evaluation				
	Frequency of Evaluation				1 - Indicates how often the plan is evaluated 0 - No indication of frequency
	Responsible Party				1 - Indicates responsible party for plan evaluation 0 - No indication
	Public Involvement				1 - Indicates public involvement in plan evaluation 0 - No indication

8.2.2	Process for Updating plan				
8.2.2.1	Response Plan (as a whole)				
	Frequency				1 - Indicates how often the plan is updated 0 - No indication
	Responsible Party				1 - Indicates responsible party for updating the plan 0 - No indication
	Process				1- Describes process for updating plan 0 - No description
8.2.2.2	Updating Vulnerability Assessment				
	Process				1 - Describes how the vulnerability assessment is updated in the plan 0 - No description
	Frequency				1 - Indicates how often the vulnerability assessment is updated 0 - No indication
	Responsible Party				1 - Indicates responsible party for updating the vulnerability assessment 0 - No indication
8.2.2.3	Updating Hazard Assessment				
	Process				1 - Describes how the hazard assessment is updated in the plan 0 - No description
	Frequency				1 - Indicates how often the hazard assessment is updated 0 - No indication
	Responsible Party				1 - Indicates responsible party for updating the hazard assessment 0 - No indication

8.2.2.4	Updating Capabilities Assessment			
	Process			1 - Describes how the capabilities assessment is updated in the plan 0 - No description
	Frequency			1 - Indicates how often the capabilities assessment is updated 0 - No indication
	Responsible Party			1 - Indicates responsible party for updating the capabilities assessment 0 - No indication
8.2.2.5	Updating Goals and Policies			
	Process			1 - Describes how the goals and policies are updated in the plan 0 - No description
	Frequency			1 - Indicates how often the goals and policies are updated 0 - No indication
	Responsible Party			1 - Indicates responsible party for updating the goals and policies 0 - No indication
8.2.2.6	Updating Support Annexes and/or Functional Annexes			*Note: All Annexes in the plan should describe how they will be updated*
	Process			1 - Describes how the Support Annexes and/or Functional Annexes are updated in the plan 0 - No description
	Frequency			1 - Indicates how often the Support Annexes and/or Functional Annexes are updated 0 - No indication
	Responsible Party			1 - Indicates responsible party for updating the Support Annexes and/or Functional Annexes 0 - No indication

8.2.2.7	Post-Disaster Plan Update			
	Process			1 - Describes how the plan is updated after a disaster 0 - No description
	Responsible Party			1 - Indicates responsible party for updating the plan after a disaster 0 - No indication
Section 8.3 Monitor and Evaluation Section Summary				
8.3.1	In a few sentences or bullet points, characterize monitor and evaluation--the approach or style used, strengths and weaknesses, best practices, and any other notes on the overall quality of the section.			

Section 9: Best Practices			Page #	Data
Section 9.1 Best Practices				
9.1.1	List Best Practices found in the Response Plan			

APPENDIX A: DEFINITIONS

Area Command – The NIMS ICS term to describe the situation in which jurisdictional EOC coordinates operations at multiple scenes or when no single scene exists.[1]

Available Resources – Resources in which a jurisdiction has available to use in an emergency.

Best Practice – A method or technique, based on research or practice, that is considered to be an exemplary practice in emergency management.

Capabilities-based Planning – Planning, under uncertainty, to provide capabilities suitable for a wide range of threats and hazards while working within an economic framework that necessitates prioritization and choice. Capabilities-based planning addresses uncertainty by analyzing a wide range of scenarios to identify required capabilities.[2]

Chemical, Biological, Radiological, and Nuclear (CBRN) – Refers to a situation in which a chemical, biological, radiological, and nuclear incident has occurred.

Community Emergency Response Team (CERT) – Sponsored volunteers who have been given professional training in disaster response and management.[3]

Community Preparedness Guide 101 (CPG 101) – A FEMA document that provides guidance for developing emergency operations plans.[4]

Concept of Operations (CONOPS) – The strategic rules under which emergency response operations are to proceed.[5]

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[1] Perry, R.W. and Lindell, M.K. (2007). *Emergency Planning*. United States: John Wiley & Sons, Inc.

[2] Federal Emergency Management Agency. (2010). *Comprehensive Preparedness Guide 101: Developing and Maintaining Emergency Operations Plans (Version 2.0).* Washington, D.C.: U.S. Department of Homeland Security.

[3] (Perry and Lindell, 2007).

[4] *Comprehensive Preparedness Guide 101*

[5] (Perry and Lindell, 2007).

Continuity of Government – Measures that ensure that representative government survives during and after an incident.[6]

Continuity of Operations (COOP) – Measures that ensure that government departments can deliver essential services during and after a disaster.

Critical Facilities – Critical facilities include hospitals, fire stations, police stations, storage of critical records, water treatment plants, and other similar facilities. Critical facilities should not be located in a floodplain and should be provided a higher level of protection so that they can continue to function and provide services after a disaster.[7]

Damage Assessment – The process used to appraise or determine the number of injuries and deaths, damage to public and private property, and status of key facilities and services (e.g. hospitals, fire and police stations, water and sanitation systems, utilities) resulting from a human-caused or natural disaster.[8]

Demobilize – Policies that coordinate an efficient return to normal operating procedures after a disaster.

Disaster Declaration (State of Emergency) – A local or state government that does not believe it can respond effectively without outside assistance will ask for a disaster declaration to receive additional resources from higher levels of government.

Emergency Management – The managerial function charged with creating the framework within which communities reduce vulnerability to hazards and cope with disasters.[9]

Emergency Management Accreditation Program (EMAP) – EMAP is an independent non-profit organization which is a standard-based voluntary assessment and peer review accreditation process for government programs responsible for coordinating

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[6] (Perry and Lindell, 2007).
[7] http://www.fema.gov/plan/prevent/floodplain/nfipkeywords/critical_facility.shtm
[8] *Comprehensive Preparedness Guide 101.*
[9] Waugh, W.L. and Tierney, K. (Eds.) (2007). *Emergency Management: Principles and Practice for Local Government, Second Edition.* Washington, D.C.: International City/County Management Association.

prevention, mitigation, preparedness, response, and recovery activities for natural and human-caused disasters. Accreditation is based on compliance with collaboratively developed national standards, the Emergency Management Standard by EMAP.[10]

Emergency Management Assistance Compact (EMAC) – Similar to local mutual aid agreement except that it is an agreement for states.[11]

Emergency Medical Facilities – Facilities required to ensure proper medical care for the sick and injured from the time of injury to the time of final disposition (e.g. temporary medical facilities, special care facilities).[12]

Emergency Operations Center (EOC) – The physical location at which the coordination of information and resources to support incident management (on-scene operations) activities normally takes place.[13]

> **EOC Activation Levels** - Levels of activation are used to determine staffing needs for the EOC. It is recommended that adjoining municipalities, neighboring counties, and nearby school districts, hospitals, and businesses use identical or compatible terms to distinguish among activation levels. The use of common terminology can help neighboring jurisdictions understand the severity of the emergency or disaster, assess which level of activation might be appropriate, and determine whether requests for mutual assistance may be forthcoming.[14]

Emergency Operations Plan (EOP) – A document that describes what the community will do in the aftermath of a disaster.[15]

Emergency Support Functions (ESFs) – ESFs group Federal resources and capabilities into functional areas that are most frequently needed in responding to an incident.[16] In this context, jurisdictions can use the ESF format to organize its resources and capabilities. The scope of each ESF[17]:

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[10] http://www.emaponline.org/
[11] (McEntire, 2007).
[12] *Comprehensive Preparedness Guide 101*
[13] *Comprehensive Preparedness Guide 101*
[14] (Waugh and Tierney, 2007)
[15] (Perry and Lindell, 2007).
[16] Federal Emergency Management Agency. (2008). *National Response Framework* (FEMA Publication P-862). Washington, D.C.: U.S.
        Department of Homeland Security.
[17] Haddow, George D., Bullock, J. and Coppola, D. (2008). *Introduction to Emergency Management, 3rd Edition*. Oxford, UK: Elsevier Inc.

1. **Transportation** – Federal and civil transportation support; transportation safety; restoration and recovery of transportation infrastructure; movement restrictions; damage and impact assessment

2. **Communications** – Coordination with telecommunications industry; restoration and repair of telecommunications infrastructure; protection, restoration, and sustainability or national cyber and information technology resources

3. **Public Works and Engineering** – Infrastructure protection and emergency repair; infrastructure restoration; engineering services, construction management; critical infrastructure liaison

4. **Firefighting** – Firefighting activities; resource support to rural and urban firefighting operations

5. **Emergency Management** – Coordination of incident management efforts; issuance of mission assignments; resource and human capital; incident action planning; financial management

6. **Mass Care, Emergency Assistance, Housing and Human Services** – Mass care; disaster housing; human services

7. **Logistics Management and Resource Support** – Resource support (facility space, office equipment and supplies, contracting services, etc)

8. **Public Health and Medical Services** – Public health; medical; mental health services; mortuary services

9. **Search and Rescue** – Life-saving assistance; urban search and rescue

10. **Oil and Hazardous Materials Response** – Oil and hazardous materials (chemical, biological, radiological, etc) response; environmental safety and short- and long-term cleanup

11. **Agriculture and Natural Resources** – Nutrition assistance; animal and plant disease and pest response; food safety and security; natural and cultural resources and historic properties protection and restoration

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12. **Energy** – Energy infrastructure assessment, repair, and restoration; energy industry utilities coordination; energy forecast

13. **Public Safety and Security** – Facility and resource security; security planning and technical resource assistance; public safety and security support; support to access, traffic, and crowd control

14. **Long Term Community Recovery** – Social and economic community impact assessment; long-term community recovery assistance to states, local government, and private sector

15. **External Affairs** – Emergency public information and protective action guidance; media and community relations; congressional and international affairs; tribal and insular affairs

Environmental contamination – The depletion or pollution of the earth's natural resources.[18]

Exercise – A simulation of a crisis, emergency, or disaster that has the goal of improvising response and recovery operations in an actual event.[19]

Drill – A small and limited exercise to improve a single function in response operations.[20]

Tabletop Exercise – Plan test conducted in the classroom or conference room, based on a limited scenario, which allows participants to verbally describe their response to contingencies.

Functional Exercise – Exercise that tests one or more functions in an emergency plan in a field setting designed to realistically approximate disaster conditions.

Full-Scale Exercise – Exercises that test all aspects and all organizational participants in an Emergency Operations Plan in a realistic field setting.[21]

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[18] (McEntire, 2007).
[19] McEntire, D.A. (2007). *Disaster Response and Recovery*. United States: John Wiley & Sons, Inc.
[20] (McEntire, 2007).
[21] (Perry and Lindell, 2007).

First responders – Public safety personnel such as police, firefighters, and emergency medical technicians.[22]

Flexibility – A willingness to depart from widely accepted standards and practices of doing things (thinking creatively and improvising solutions) to react effectively to unforeseen problems.[23]

Geographic Extent – The area in which a jurisdiction is affected by hazards.

Hazard Identification and Assessment – Assessment that identifies the hazards to which the jurisdiction is exposed, derives probabilities for impacts, and forecasts consequences.[24]

Hazard Mitigation – The capabilities necessary to reduce the loss of life and property be lessening the impact of disasters.[25]

Horizontal Integration – Refers to relationships across a horizontal axis and is measured by the strength of local relationships[26]; those include government entities, neighboring jurisdictions, private sector, public sector, and community organizations such as faith-based organization or community group.

Incident Command System – A standardized on-scene emergency management construct specifically designed to provide an integrated organizational structure that reflects the complexity and demands of a single or multiple incidents, without being hindered by jurisdictional boundaries.[27]

> **Operations** – Coordinates operational support with on-scene incident management efforts.

> **Planning** – Collection, evaluation, dissemination, and use of information regarding the threat or incident and the status of resources. The Planning Section prepares and documents government support actions and develops unified action, contingency, long-term and other plans.

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[22] (McEntire, 2007).
[23] (McEntire, 2007).
[24] (Perry and Lindell, 2007).
[25] Department of Homeland Security. (2011). *National Preparedness Goal, First Edition*. Washington, D.C.: U.S. Department of Homeland Security.
[26] Smith, Gavin. (2011). *Planning for Post- Disaster Recovery: A Review of the United States Disaster Assistance Framework*. Fairfax, VA: Public Entity Risk Institute
[27] *Comprehensive Preparedness Guide 101*

Logistics – Coordinates logistics support that includes: control of and accountability for supplies and equipment; resource ordering; delivery of equipment, supplies, and services to field locations; facility location, setup, space management, building services, and general facility operations; transportation coordination and fleet management services; information and technology systems services; administrative services such as mail management and reproduction; and customer assistance. [28]

Administration/Finance – Tracks costs, completes and files paperwork, and records expenses or operations and logistics.[29]

Incident Management Assistance Teams – IMATs are teams funded by the federal government. They are full-time, rapid-response teams with dedicated staff able to deploy within two hours and arrive at an incident within 12 hours to support the local incident commander. IMATs provide a forward federal presence to facilitate the management of the national response to catastrophic incidents.[30]

Interoperable Communications – The ability to communicate and operate across and with various disaster organizations.[31]

Joint Information Center/Emergency Communication Center – A facility established to coordinate all incident-related public information activities.[32]

Magnitude – The size and extent of a disaster.

Mass care (feeding, hydration) – Providing coordination of sheltering, feeding, hydrating, and emergency first aid following a disaster or other event that is beyond the capacity of local government to adequately meet the needs of the community.

Memorandum of Understanding – A document describing an agreement between parties.

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[28] *National Response Framework*
[29] (McEntire, 2007).
[30] http://www.fema.gov/pdf/media/factsheets/2010/imat_fact_sheet_10_05_10.pdf
[31] (McEntire, 2007).
[32] *Comprehensive Preparedness Guide 101*

Metropolitan Medical Response System (MMRS) – The MMRS Program provides funding to support the integration of emergency management, health, and medical systems into a coordinated response to mass casualty incidents caused by any hazard. *This is a federal program in which only eligible jurisdictions are allowed to apply.*[33]

Mutual Aid Agreements – Agreements between local, state, regional, and/or national governmental agencies to reduce duplication and increase the effectiveness of emergency response and other post-disaster activities. Such agreements are often used to provide supplemental staff and other resources in the post-disaster environment.[34]

National Disaster Medical System - The National Disaster Medical System (NDMS) is a federally coordinated system that augments the Nation's medical response capability. The overall purpose of the NDMS is to supplement an integrated National medical response capability for assisting State and local authorities in dealing with the medical impacts of major peacetime disasters and to provide support to the military and the Department of Veterans Affairs medical systems in caring for casualties evacuated back to the U.S. from overseas armed conventional conflicts.[35]

National Fire Protection Association Standard 1600 (NFPA 1600) – The NFPA 1600, also known as the Standard on Disaster/Emergency Management and Business Continuity Programs, establishes a common set of criteria for all hazards disaster/emergency management and business continuity programs.[36]

National Incident Management System (NIMS) – A set of principles that provides a systematic, proactive approach guiding government agencies at all levels, nongovernmental organizations, and the private sector to work seamlessly to prevent, protect against, respond to, recover from, and mitigate the effects of incidents, regardless of cause, size, location, or complexity, in order to reduce the loss of life or property and harm to the environment.[37]

National Preparedness Goal (NPG) – NPG is part of the implementation of Presidential Policy Directive 8. The goal is, "to have a secure and resilient Nation with the capabilities required across the whole community to prevent, protect against, mitigation,

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[33] http://www.fema.gov/government/grant/hsgp/index.shtm
[34] Smith, G., Flatt, V., Sandler, D. & Peterson, D. (2011). Assessing the Disaster Recovery Planning Capacity of the State of North Carolina. (Prepared by RTI International Institute-Institute for Homeland Security Solutions under contract HSHQDC-08-C-00100.)

[35] http://www.phe.gov/preparedness/responders/ndms/Pages/default.aspx
[36] http://www.nfpa.org/assets/files//PDF/NFPA16002010.pdf
[37] *Comprehensive Preparedness Guide 101*

respond to, and recover from the threats and hazards that pose the greatest risk." NPG identifies the core capabilities and capability targets necessary to advance our national preparedness. Additionally, it emphasizes the responsibility of the entire community in increasing preparedness.[38]

National Response Framework (NRF) – This document establishes a comprehensive, national, all-hazards approach to domestic incident response. It serves as a guide to enable responders at all levels of government and beyond to provide a unified national response to a disaster. It defines the key principles, roles, and structures that organize the way U.S. jurisdictions plan and respond.[39]

Position – This refers to a role within government or the community (e.g. Emergency Management Coordinator, Police Chief, or American Red Cross Liaison).

Pre-positioned Agreement - Agreements between non-profit, private, community organizations, or educational institutions that help reduce duplication and increase the effectiveness of emergency response and other post-disaster activities.[40]

Preparedness – Actions that involve a combination of planning, resources, training, exercising, and organizing to build, sustain, and improve operational capabilities. Preparedness is the process of identifying the personnel, training, and equipment needed for a wide range of potential incidents, and developing jurisdiction-specific plans for delivering capabilities when needed for an incident.[41]

Prevention – The capabilities necessary to avoid, prevent, or stop a threatened or actual act of terrorism.[42]

Protection – Capabilities to safeguard against acts of terrorism and manmade or natural disasters.[43]

Purchasing – A jurisdiction acquiring supplies and equipment for the purposes of disaster response and recovery.

Recovery – The differential process of restoring, rebuilding, and reshaping the physical, social, economic, and natural environment through pre-event planning and post-event actions.[44]

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[38] Federal Emergency Management Agency. (2011). *National Preparedness Goal*. Washington, D.C.: U.S. Department of Homeland Security.
[39] *Comprehensive Preparedness Guide 101*
[40] (Smith, Flatt, Sandler, and Peterson, 2011).
[41] *Comprehensive Preparedness Guide 101*
[42] *National Preparedness Goal*
[43] *National Preparedness Goal*

Reentry policies – Policies that address when the public and business owners will be allowed to re-enter their communities after a disaster.

Relocation Assistance – Local, state, or federal government provide assistance in relocating after a disaster.

Required Resources – Resources in which a jurisdiction needs during an emergency to respond successfully to the needs of the community.

Resource Management – A system for identifying available resources at all jurisdictional levels to enable timely, efficient, and unimpeded access to resources needed to prepare form respond to, or recover from an incident.[45]

Response – Activities in the immediate aftermath of a disaster to save lives, protect property and the environment, and meet basic human needs.[46]

Rumor control – Jurisdictions need to be prepared to manage media inquiries to avoid rumors about the situation to the public.

Scenario-based Planning – A planning approach that uses a hazard vulnerability assessment to assess the hazard's impact on an organization on the basis of various threats that the organization could encounter. These threats (e.g. hurricane, terrorist attack) become the basis of the scenario.[47]

Search and Rescue (or Urban Search and Rescue) – Involved the location, rescue, and initial medical stabilization of victims during and after a disaster. [48]

Severity – The harshness or intensity of a disaster.

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[44] (Smith, Flatt, Sandler, and Peterson, 2011).
[45] *Comprehensive Preparedness Guide 101*
[46] *National Preparedness Goal.*
[47] *Comprehensive Preparedness Guide 101*
[48] http://www.fema.gov/emergency/usr/

Sheltering in-place – The public may be asked to stay in their own homes or current location during a disaster rather than evacuate to a designated emergency shelter.

Situational Assessment – An assessment of the nature and extent of the hazard, any cascading effects, and the status of response that will provide all decision makers with relevant information to deploy resources and meet the needs of the community.

Socially Vulnerable Population – Populations that are especially vulnerable to disasters and their impacts; those include minorities, low income, elderly, children or persons with disabilities.

Staging Areas – Location where resources such as vehicles, supplies, and equipment are stored and assembled before deployed to a specific area during and after a disaster.

Standard Operating Procedures – A reference document or operations manual that provides the purpose, authorities, duration, and details for the preferred method of performing a single function or a number of interrelated functions in a uniform manner.[49]

Succession Plan – The process for identifying and training personnel to take the role of another, if necessary, during response and recovery.

Support Annexes – Describe essential supporting aspects that are common to all incidents. Those include[50]:

> **Direction, Control and Coordination** – Means the jurisdiction will use to direct and control those activities of government that are essential to saving lives, protecting property, and restoring government services during and following emergency situations
>
> **Continuity of Government Operations** – Process for maintaining essential functions of government
>
> **Warning** – Actions taken to initiate/disseminate the initial notification that a disaster or threat is imminent or has occurred
>
> **Population Protection** – Coordinating evacuation and sheltering

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[49] *Comprehensive Preparedness Guide 101*
[50] *Comprehensive Preparedness Guide 101*

Financial Management – Actions taken to ensure that funds are provided expeditiously and that financial operations are conducted in accordance with established law, policies, regulations, and standards

Mutual Aid/Multi-jurisdictional Coordination – Processes to establish and execute mutual aid agreements and multijurisdictional coordination in support of incident response

Private Sector Coordination – Processes to ensure effective coordination and integration with the private sector, including non-profit and for-profit, engaged in incident response and recovery activities

Volunteer and Donations Management – Actions taken to manage and coordinate volunteers and donations

Worker Safety and Health – Processes to ensure response and recovery worker safety and health during incident
Prevention and Protection – Methods to conduct prevention and protection activities to reduce the risk of terrorism

Damage Assessment – The operational concepts, organizational arrangements, responsibilities, and procedures to accomplish the tasks required for the local government and its citizens and businesses to initiate the damage assessment process, to assist in recovering from a major emergency or disaster

Swiftwater Rescue – Specially trained and equipped personnel that have the ability to save victims trapped in waterways.

Transitional Housing – Housing or financial assistance that enables those that have lost their homes or whose homes have been severely damaged to relocate for a period of time before finding a more permanent residence or rebuilding their previous home.

Unified Command – NIMS term for the collection of representatives from many agencies in an EOC where there is a single scene.[51]

Urban Areas Security Initiative (UASI) - The UASI Program provides funding to address the unique planning, organization, equipment, training, and exercise needs of high-threat, high-density urban areas, and assists them in building an enhanced and sustainable capacity to prevent, protect against, respond to, and recover from acts of terrorism. Per the 9/11 Act, states are

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[51] (Perry and Lindell, 2007).

required to ensure that at least 25 percent (25%) of UASI appropriated funds are dedicated towards law enforcement terrorism prevention activities. *This is a federal program in which only eligible jurisdictions are allowed to apply.*[52]

Vertical Integration – Refers to relationships to the jurisdiction on vertical scale; those include state or federal organizations.

Vulnerability – A physical feature or operational attribute that renders an entity open to exploitation or susceptible to a given hazard.[53]

WebEOC – Web-enabled incident management system that is used in Emergency Operations Centers to update real-time information and coordinate the use of resources.[54]

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[52] http://www.fema.gov/government/grant/hsgp/index.shtm
[53] *Comprehensive Preparedness Guide 101*
[54] NDDES Homeland Security State Radio. *WebEOC Training.* Retrieved from http://www.nd.gov/des/uploads%5Cresources%5C215%5Cwebeoc-7-nd-training-presentation.pdf

Topic	Location 1	Location 2	Location 3	Location 4	Location 5	Location 6
Communications plans or procedures	Section 2: Fact Base - Capability Assessment	Section 4: Policies - Communications Systems	Section 7: Implementation - Roles and Responsibilities, ESFs			
Continuity of Government Operations	Section 2: Fact Base - Vulnerability Assessment	Section 4: Policies - Ensure Continuity of Government	Section 7: Implementation - Roles and Responsibilities, Support Annexes			
Crisis Counseling	Section 4: Policies - Protect the lives and well being of the public	Section 4: Policies - Protect the lives of first responders				
Critical Facilities	Section 2: Fact Base - Vulnerability Assessment	Section 4: Policies - Support Transition to Recovery				
Disaster Declaration Procedures	Section 2: Fact Base - Capability Assessment	Section 4: Policies - Internal and External Coordination				
Emergency Operations Center	Section 2: Fact Base - Capability Assessment	Section 4: Policies - Communications Systems	Section 4: Policies - Internal and External Coordination			

Equipment/ Vehicles/ Supplies Resources	Section 2: Fact Base - Capability Assessment	Section 4: Policies - Internal and External Coordination	Section 4: Policies - Collect information Continuously to Perform Assessments	Section 7: Implementation - Roles and Responsibilities, ESFs
Evacuation plans or procedures	Section 2: Fact Base - Capability Assessment	Section 4: Policies - Protect the lives and well being of the public		
Exercises	Section 6: Interorganizational Coordination - Horizontal Coordination	Section 8: Monitoring and Evaluating - Exercising or testing the plan		
Facilities/ Operation Centers	Section 2: Fact Base - Capability Assessment	Section 4: Policies - Protect the lives and well being of the public	Section 4: Policies - Communications Systems	Section 4: Policies - Internal and External Coordination
Federal Agencies	Section 5: Participation - Federal	Section 6: Interorganizational Coordination - Vertical Integration		
Financial Management	Section 4: Policies - Ensure Continuity of Government	Section 7: Implementation - Roles and Responsibilities, Support Annexes		

First Responder Units	Section 2: Fact Base - Capability Assessment	Section 4: Policies - Protect the lives and well being of the public	Section 4: Policies - Protect the lives and well being of the public	Section 4: Policies - Protect the lives of first responders	Section 5: Participation - Organizations/ Persons involved in response planning process	Section 7: Implementation - Roles and Responsibilities, ESFs
Household Pets and Service Animals	Section 2: Fact Base - Vulnerability Assessment	Section 4: Policies - Protect the lives and well being of the public			
Incident Command System	Section 2: Fact Base - Capability Assessment	Section 4: Policies - Internal and External Coordination	Section 7: Implementation - Roles and Responsibilities, Incident Command System	Section 7: Implementation - Responsibilities of individuals outlined in the response plan, ICS	
Mass Care	Section 4: Policies - Protect the lives and well being of the public	Section 7: Implementation - Roles and Responsibilities, ESFs			
Mitigation	Section 2: Fact Base - Vulnerability Assessment	Section 2: Fact Base - Capability Assessment	Section 2: Fact Base - Hazard Identification and Assessment	Section 6: Inter-organizational Coordination - Coordination of Emergency Management Activities	

Mutual Aid Agreements	Section 2: Fact Base - Capability Assessment	Section 4: Policies - Internal and External Coordination	Section 6: Interorganizational Coordination - Horizontal Coordination	Section 7: Implementation - Roles and Responsibilities, ESFs
National Incident Management System	Section 2: Fact Base - Capability Assessment	Section 6: Interorganizational Coordination - Vertical Coordination		
Non profit sector	Section 4: Policies - Internal and External Coordination	Section 5: Participation - Organizations/Persons involved in response planning process	Section 6: Interorganizational Coordination - Horizontal Coordination	
Oil and Hazardous Materials	Section 2: Fact Base - Vulnerability Assessment	Section 4: Policies - Internal and External Coordination	Section 7: Implementation - Roles and Responsibilities, ESFs	
Organizat-ional Structure/ Command and Control	Section 2: Fact Base - Capability Assessment	Section 4: Policies - Internal and External Coordination	Section 7: Implementation - Roles and Responsibilities, ESFs	

Pre-positioned Agreements or MOUs	Section 2: Fact Base - Capability Assessment	Section 4: Policies - Internal and External Coordination	Section 6: Interorganizational Coordination - Horizontal Coordination	
Prevention and Protection	Section 6: Interorganizational Coordination - Coordination of Emergency Management Activities	Section 7: Implementation - Roles and Responsibilities, Support Annexes		
Private Sector	Section 4: Policies - Internal and External Coordination	Section 5: Participation - Organizations/Persons involved in response planning process	Section 6: Interorganizational Coordination - Horizontal Coordination	Section 7: Implementation - Roles and responsibilities, Support Annexes
Recovery	Section 4: Policies - Support Transition to Recovery	Section 6: Interorganizational Coordination - Coordination of Emergency Management Activities	Section 6: Interorganizational Coordination - Horizontal Coordination	Section 7: Implementation - Roles and Responsibilities, ESFs
Response Teams	Section 2: Fact Base - Capability Assessment	Section 4: Policies - Internal and External Coordination	Section 5: Participation - Organizations/Persons involved in response planning process	Section 7: Implementation - Roles and Responsibilities, ESFs

Note: The "Recovery" row also includes a final column: Section 7: Implementation - Roles and responsibilities, Support Annexes

Search and Rescue	Section 4: Policies - Protect the lives and well being of the public	Section 7: Implementation - Roles and Responsibilities, ESFs		
Sheltering	Section 2: Fact Base - Capability Assessment	Section 4: Policies - Protect the lives and well being of the public		
Socially Vulnerable population	Section 2: Fact Base - Vulnerability Assessment	Section 4: Policies - Protect the lives and well being of the public	Section 4: Policies - Communications Systems	Section 5: Participation - Planning Process
State Agencies	Section 5: Participation - State	Section 6: Interorganizational Coordination - Vertical Integration		
Transportation	Section 2: Fact Base - Capability Assessment	Section 4: Policies - Support Transition to Recovery	Section 7: Implementation - Roles and Responsibilities, ESFs	

Training and Education	Section 2: Fact Base - Capability Assessment	Section 6: Interorganizational Coordination - Coordination of Emergency Management Activities	Section 6: Interorganizational Coordination - Horizontal Coordination	Section 7: Implementation - Plan Implementation
Volunteer Management	Section 4: Policies - Internal and External Coordination	Section 7: Implementation - Roles and Responsibilities, Support Annexes		

APPENDIX C: PLAN QUALITY PRINCIPLES

The principles within each category are based on plan quality literature by Berke & Godschalk (2009); Berke, Smith, & Lyles (2011); and Smith & Flatt (2011) and to my research in response planning.

Direction-Setting	
Identification and Vision	Identification provides the basic information of the evaluation and the plan document such as the jurisdiction and date of the plan. The vision defines the themes and intent of the plan. It should set the stage for the plan and its policies.
Fact Base	The fact base is an analysis of current and future vulnerabilities including population, natural environment, and infrastructure. Additionally, the fact base should include an assessment of the community's capabilities.
Goals	Goals state desired outcomes or conditions. They provide a framework for the policies and actions of the local jurisdiction in response.
Policies	Policies are intended to guide decisions during an incident. They should be aligned with specific actions that help achieve the plan's goals.
Action-Oriented	
Participation	Participation includes the persons and organizations involved in preparing the plan. This includes other government agencies and departments, and non-profit and private sectors.
Inter-organizational Coordination	Inter-organizational Coordination is the horizontal and vertical integration of organizations involved in response; this includes organizations on a horizontal axis such as government entities, neighboring jurisdictions, private sector, non-profit sector, and community organizations and on a vertical axis such as state or federal agencies. In addition, this section includes the alignment of policies and plans across emergency management sectors (hazard mitigation, preparedness, and recovery) and at the federal and state levels.

Implementation	Implementation involves executing the policies and actions outlined in the plan. This is measured through the identification of resources and roles and responsibilities of different organizations and persons in response. Implementation also includes plan clarity which is measured by the organization and presentation of the plan document.
Monitoring and Evaluation	Monitoring and Evaluation involves exercising or testing the plan to assess the effectiveness and feasibility of response policies. It also includes updating the plan based on changes in the fact base or goals and feedback from exercises or a real-life incident. Furthermore, it involves identifying those responsible for monitoring, evaluating, and updating the plan to increase accountability in maintaining an accurate and reliable plan document.

APPENDIX D: CRITERIA AND EVALUATION MEASURES IN RESPONSE PLANNING

Alexander (2005) - Category-Based Evaluation Tool

Legislative and organisational context:
       Disaster mitigation policies . . . adequate and in place?
       Legislative instrument . . . its provisions fully respected?
       Legal and jurisdictional responsibilities of plan participants . . . fully specified?

Clarity of objectives:
       Scope and general objectives . . . clearly set out?
       Conditions for activation . . . fully specified?

Hazard, vulnerability and risk analysis:
       Historical analysis of past hazard impacts in the local area . . . sufficient?
       Hazard probability analysis . . . accomplished?
       Vulnerability and risk analyses . . . adequate?
       Disaster scenarios for the local area . . . constructed and satisfactory?

Logistics:
       Emergency resource audit . . . conducted?
       Structure of the command system and centres . . . fully described?
       Communications equipment, protocols and procedures . . . specified?
       Warning, evacuation and other pre-disaster preparations . . . worked out?
       Search-and-rescue . . . organised and managed?
       Maintenance of public order . . . provisions satisfactory?
       Media and public information arrangements . . . in place, tested and approved?
       Medical and mortuary services, including transportation for the injured . . . OK?
       Mutual assistance pacts . . . are they incorporated into the plan?

Recovery of infrastructure and basic services . . . adequately described?
Plans for particular sectors (as necessary):
       Hospitals, schools, industry, airports, etc. . . . included?

Arrangements:
       For testing the plan . . . in place?
       For disseminating the plan . . . in place?
       For updating the plan . . . in place?

My Critiques of Alexander's Evaluation Categories

Alexander's Categories	*My Evaluation Tool*
Legislative and Organizational Context	This covers policies and legal frameworks within the jurisdiction for the plan. This information is embedded within the capability assessment of my evaluation tool. I have expanded this section to include federal, state, and local policies.
Clarity of Objectives	This is a broad category that involves general objectives of the plan. Through my research, I have defined important goals in response; those include protecting the lives of the public and first responders, effective communication and coordination, and ensuring continuity of government. These goals should guide the policies and actions in response operations.
Hazard, Vulnerability and Risk Analysis	This category is in line with what I have put forward in my evaluation tool. Alexander's evaluation checklist includes identifying the hazards in which a jurisdiction is at risk, causes and impacts of hazards, the likelihood of future occurrences, and past history of events. My research, however, does expand upon the vulnerability assessment in identifying specific components of a community that are susceptible to hazards; such as socially vulnerable populations, and government services and infrastructure.
Logistics	Logistics include command structures, resources, communications systems, and other critical services. I have portrayed these elements as critical in the capability assessment and the policies sections of my evaluation tool. Whereas the capability assessment identifies what the jurisdiction has available or has pre-determined as a need in response, the policies represent the immediate actions of the jurisdiction in response while using those capabilities. Understanding the capabilities will enable effective policies to be made in response, thus these critical logistics are addressed in both sections.
Recovery of Infrastructure and Basic Services (Plans for Specific Sectors)	The restoration of infrastructure and basic services is a critical policy in disaster response because it involves the transition from response to recovery. I have expanded this policy to also include transitional housing, reentry policies, and debris removal. In addition, throughout the evaluation tool, I address the coordination of different plans.

	Alexander argues that plans need to be tested, updated, and disseminated appropriately. The *Monitoring and Evaluation* section of my evaluation tool addresses these elements, however I expand upon this further to include more detailed information on exercises, plan evaluation, and updating protocols.
Arrangements	

National Response Framework Criteria

Acceptability – A plan is acceptable if it can meet the requirements of anticipated scenarios, can be implemented within the costs and time frames that senior officials and the public can support, and is consistent with applicable laws.

Adequacy – A plan is adequate if it complies with applicable planning guidance, planning assumptions are valid and relevant, and the concept of operations identifies and addresses critical tasks specific to the plan's objectives.

Completeness – A plan is complete if it incorporates major actions, objectives, and tasks to be accomplished. The complete plan addresses the personnel and resources required and sound concepts for how those will be deployed, employed, sustained and demobilized. It also addresses timelines and criteria for measuring success in achieving objectives and the desired end state. Including all those who could be affected in the planning process can help ensure that a plan is complete.

Consistency and standardization of products – Standardized planning processes and products foster consistency, interoperability, and collaboration, therefore, emergency operations plans for disasters response should be consistent with all other related planning documents.

Feasibility – A plan is considered feasible if the critical tasks can be accomplished with the resources available internally or through mutual aid, immediate need for additional resources from other sources (in the case of a local plan, from state or federal partners) are identified in detail and coordinated in advance, and procedures are in place to integrate and employ resources effectively from all potential providers.

Flexibility – Flexibility and adaptability are promoted by decentralized decision-making and by accommodating all hazards ranging from smaller-scale incidents to wider national contingencies.

Interoperability and collaboration – A plan is interoperable and collaborative if it identifies other stakeholders in the planning process with similar and complementary plans and objectives, and supports regular collaboration focused on integrating with those stakeholders' plans to optimize achievement of individual and collective goals and objectives in an incident.

APPENDIX E: METHODOLOGY

(Just to note: I received an official determination from UNC's Office of Human Research Ethics that my research does not require Institutional Review Board approval).

The first phase of my methodology represents a synthesis of response planning literature, government documents, and example plans (literature by topic is listed in Appendix A). I began populating the planning principles with research findings from the emergency response field. I then read and analyzed government documents such as Federal Emergency Management Agency's Comprehensive Preparedness Guide 101 and the National Response Framework to gain more insight into what should be included in a response plan. Lastly, I reviewed two Emergency Operations Plans in North Carolina, including Dare County and Wake County. After this initial research, I went back to other scholarly work and started the process again. Once I felt that the indicators were repeating themselves, I created the first draft of the evaluation tool in Microsoft Excel.

My evaluation tool applies a research technique called content analysis. Content analysis is an established methodology used in multiple disciplines such as communications, journalism, and social sciences across a variety of means including newspapers and plans (Krippendorf, 2004). My research uses two scales to measure the content of a response plan; a 0 to 1 binary scale or a 0 to 2 ordinal scale. This measurement system has been used in previous plan quality studies (Berke, 1994; Berke, 1996; Berke & Godschalk, 2009; Berke et. al, 2011; Smith & Flatt, 2011). The binary scale is simple: a 0 indicates that the item is present in the plan while a 1 indicates that the item is not present. The ordinal scale involves marking a 0 if the item is not present, 1 if it is mentioned and 2 if the item is provided in detail (Smith & Flatt, 2011).

After the first draft was complete, I tested the evaluation tool on three North Carolina local government response plans. The purpose of using the evaluation tool on three plans was to test its applicability to local government emergency management response plans and its usability among potential evaluators. I used North Carolina plans for the review and testing phases, in part, because North Carolina is nationally recognized as a state with a strong emphasis on training local emergency managers. North Carolina also has frequent flooding, severe storms, and tornadoes and a diverse terrain; the eastern part of the state borders the ocean, the western part is in the mountains, and the central part is the more urbanized piedmont region. In addition, as a graduate student at the University of North Carolina Chapel Hill, and one that has reached out to the state's emergency management community while working in the Department of Homeland Security Center of Excellence – Coastal Hazard Center, it has been easier to obtain the plans necessary for my research.

The three plans I chose to test the evaluation tool include Hyde County, Watauga County, and Winston-Salem/Forsyth County. I primarily chose these based on their differing locations throughout the state; Hyde County borders the ocean, Watauga County is in the mountains, and Winston-Salem/Forsyth County is located in the piedmont. I also chose Winston-Salem/Forsyth County because the City of Winston-Salem Emergency Management Department is in collaboration with the Forsyth County. Moreover, Winston-Salem is one of the largest urban areas in the state.

I evaluated Hyde County first and then refined the tool based on that experience. I then used the updated tool to evaluate Watauga County and repeated the same process with the third plan. As I marked the indicators in the evaluation tool, I became more confident in the tool itself. After each plan, I developed a list of changes to the tool and items to think about when evaluating the following plan.

In the last phase, I asked four experts in the field to evaluate the tool. I chose three practitioners with varied experience in the public and private sectors as well as one hazard scholar. The four expert reviewers included:

- *Scott Wells:* During his career at the Department of Homeland Security, Scott Wells served as a Federal Coordinating Officer for approximately 25 disasters, including hurricanes Katrina and Rita in 2005 and the Columbia Space Shuttle recovery operation in 2003. Prior to his career at DHS, Mr. Wells served as an Army officer for more than 20 years, with 10 years' Pentagon experience at both the Secretariat and Staff level. He provided Department of Defense (DoD) consequence management support to domestic operations such as the 1996 Olympics, the Oklahoma City bombing in 1995, the 1994 Northridge Earthquake, two Presidential inaugurals, numerous floods, fires and smaller hurricanes, and classified terrorist incidents. Throughout his career he has assisted in the development of DHS doctrine and educational courses in response planning.
- *Ellis Stanley:* Mr. Stanley has over 30 years of work experience in emergency management. He is currently the Director of Western Emergency Management Services for Dewberry, LLC. Mr. Stanley is known for his work as the General Manager of the City of Los Angeles' Emergency Preparedness Department, Director of Emergency Management for Brunswick County, North Carolina and later Durham, North Carolina. He was also the Director of the Atlanta-Fulton County Emergency Management Agency during the 1996 Olympics and the Director of Democratic National Convention Planning for the City and County of Denver Colorado in 2008. Mr. Stanley is also an active member in the emergency management community. He sits on multiple boards including the National Science Foundation and has been the President of the International Association of Emergency Managers.
- *Sandy Sanderson:* The Emergency Management Coordinator for Dare County, North Carolina, who has over 20 years in emergency management and law enforcement in one of the most hurricane at-risk local communities in the country. Mr. Sanderson has served as a consultant to FEMA, presented at numerous regional and national hazards conferences, and is a former Navy Seal.
- *Dr. David McEntire:* An associate professor in the Department of Public Administration at the University of North Texas. He teaches emergency management and his research includes emergency management theory, international disasters, community preparedness, response coordination, homeland security, and vulnerability reduction. He has received grants funded by the Natural Hazards Center at the University of Colorado, the National Science Foundation, and FEMA in Arkansas and Oklahoma. He is the author of five books and numerous articles that have appeared in emergency management journals.

Below is an example of the guidance documents the reviewers received to prompt their feedback and the reviewer comments on my evaluation tool. During this phase, I also completed an analysis of the tool to understand where concepts overlap and to remove redundancies throughout the evaluation tool (see Appendix 2 of the evaluation tool located in Appendix B). Improvements were made based on the expert feedback and my analysis of the tool, and the evaluation tool was finalized.

REVIEWER FEEDBACK FORMS

PURPOSE OF EVALUATION TOOL AND EXPERT FEEDBACK

The purpose of developing this evaluation tool is to assess the quality of local government emergency response plans. The tool is intended to align scholarly research, federal government guidance documents, and local government response plans to better inform:

- practitioners and local government officials in developing or improving emergency response plans;
- scholars in studying the quality of response plans across jurisdictions;
- state and federal emergency management officials in providing plan development guidance and training for local governments; and
- policymakers at the local, state, and federal level to develop policies in emergency management response planning.

Based on your feedback, I will develop an improved evaluation tool. I ask that you provide honest, constructive feedback and evaluate the tool based on your expertise in the field of emergency management.

RESEARCH QUESTION AND METHODOLOGY

My research will answer the question: What constitutes a high quality local government emergency management response plan?

The methodology consists of three parts. First, I developed an evaluation tool that measures plan quality in local government emergency management response plans. The measurement tool is framed using the plan quality principles derived from standards used in planning practice and has been developed through a synthesis of response planning literature, government documents, and local government emergency management response plans. Second, after development of the tool, I tested it on three North Carolina local government response plans and improved it based on that experience. Lastly, I have asked three experts in the field to evaluate the tool and improvements will be made based on their feedback.

The following questions will help guide your comments. Any other recommendations are welcome.

1. Is this evaluation tool a useful and accurate way to measure the quality of local government emergency response plans?

2. Does the alignment of planning principles work for emergency response plans?   Are there principles that should be omitted or are there other principles that could be added?

3. Are there indicators that are irrelevant to measuring the quality of emergency response plans? Are there redundancies that could be omitted? Is terminology used appropriately?

4. What is the tool missing? Where are the gaps or weaknesses in the tool?

5. Other comments

DAVID MCENTIRE - REVIEWER FEEDBACK QUESTIONS

The following questions will help guide your comments. Any other recommendations are welcome.

1. Is this evaluation tool a useful and accurate way to measure the quality of local government emergency response plans?

It is always very difficult to measure if an EOP is complete, promising, effective, etc. For instance, one city may have a wonderful plan, but no capabilities to implement it (New Orleans in Katrina comes to mind). Another may lack a plan, but have such a strong sense of cooperation that it is better off than another (Perhaps a city in Japan would be an example here). In addition, it is sometimes difficult to fully assess a situation because some cities have mitigation and recovery plans, while others only have a response plan. Therefore, any single assessment should be taken with a grain of salt.

That being said, I like what you have put together. It is fairly complete and it would give a general overall assessment of the potential disaster goals and operational capabilities of a community.

2. Does the alignment of planning principles work for emergency response plans?   Are there principles that should be omitted or are there other principles that could be added?

Please send me the list of principles (in a single document) so I can comment on them further.

There are many ways to organize response plans and evaluate their potential effectiveness. However, I like what you have put together. While there are always different ways to organize material, I believe you have a fairly complete document. This is the most important goal in such an evaluation.

3. Are there indicators that are irrelevant to measuring the quality of emergency response plans? Are there redundancies that could be omitted? Is terminology used appropriately?

I tend to be of the mindset that it is better to over analyze and assess, rather than be incomplete. Therefore, I do not think anything you have listed is irrelevant.

Some of the lists of organizations might be a little redundant (as they appear in a few places in the plan).

The terminology you use is appropriate to the profession and is standard.

4. What is the tool missing? Where are the gaps or weaknesses in the tool?

2.1.3 You may want to include a comment about the industry in the area.
2.2.4 and 2.2.8 may overlap a little (e.g., sewage). They could also be placed near one another since they are related.
I wonder if your list of hazards should be consistent? For instance, in some cases you include causes and impacts and magnitude, and in others you do not.
What about including "mass shooting" as a hazard (e.g., Virginia Tech)?
Should a general operating budget be included in the assessment when determining government capabilities?
Should you include related community organizations as participants in 2.4.1.5? (e.g, churches, CERT teams, Ham Radio clubs, etc.)
I wonder if 2.4.1.6 has some items that should belong elsewhere (traffic, evacuation, communications)? (See section 4.2).
Should some of the sections be located together or combined (e.g., evacuation, evacuation of inmates, animal and pet evacuation and sheltering, etc.)?
Should there be mention of redundancies in jurisdictional agency and leader?
4.6 could be labeled as damage and needs assessment.
4.8 could include other environmental issues (debris removal; beach erosion, etc.)

Should faith based orgs be included in 5.2.1?

7.1.1 could have back up redundancy of lead orgs and positions.

7.3.1.1 Some people may also list a functional plan or equate that to an all hazards plan.

5. Other comments

I think you have a great document that is broad and inclusive of all of the issues pertinent to response planning.

Because emergency operations plans are often repetitive, there is difficulty in knowing the best way to organize (and simplify) an evaluation tool. I am curious to know if you thought about different ways to organize the questions. For instance, were there other possible ways to organize this beyond the "principles" approach you took? (I don't know if there are any other approaches or what the advantages and disadvantages might be. I'm just curious if you thought of any other approaches).

Notes from Scott Wells
- Biggest issue: very comprehensive. Sometimes the strength is the weakness
- Issue: weighting way out of proportion, ex. Public warning system – 0-1-2 versus pandemic threat 0-1. Public warning system 10,000x more important than having pandemic threat
- Focus on key things and leave trivial things out
- Look at the whole approach, this checklist does not allow you to do that. It looks at individual tasks
- More subjectivity
- Things to add: concept of operations – mission essential tasks
- **Think about the scoring and how to define it. And figure out analysis – how to analyze** and look at research question
- Should be focusing on war stopper issues – critical issues – and then another list of other not as important issues
- Essence of planning is determining what you need and then what you going to get that you don't have.
- Capability assessment – required versus available
- Make decision on land use versus response principles
- Divide it into three categories – what is critical (required capabilities or resources)
- This is what is critical: Good risk assessment – did it include consequences, it is reasonable and comprehensive, did that risk assessment lead to required capabilities, do they have the required capabilities, how do they make up the shortfalls?

Ellis Stanley

The following questions will help guide your comments. Any other recommendations are welcome.

1. Is this evaluation tool a useful and accurate way to measure the quality of local government emergency response plans?

One element that must be referenced here is the EMAP Standard. emaponline.org. That provides a tool to assess the "EM Program" before you address the elements in the plan element

Who and what training will be required to use tool?

2. Does the alignment of planning principles work for emergency response plans?   Are there principles that should be omitted or are there other principles that could be added?

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Plan Quality Evaluation Tool: Purpose and Issues

The purpose of this document is to evaluate the content of local government emergency management response plans and inform emergency managers about new ideas and best practices.

The plan is divided into nine sections. Each section has subsections and within those subsections are indicators. For example, Section 2: Fact Base has subsections 2.1 to 2.5. Subsection 2.1: Existing Conditions contains indicators such as Geographic Extent, General Population and Economic Characteristics. The plan is evaluated based on the indicators present in the plan.

The absence of an item does not indicate that the plan is of poor quality. Each section needs to be reviewed as a whole because some items relate to one another. For example, in the Vulnerability Assessment section under Section 2: Fact Base, one indicator reads "Plan references mitigation plan or other relevant resource for a detailed vulnerability assessment." If the plan does reference another resource that has a detailed vulnerability assessment then the vulnerabilities may not be discussed in the plan at all. The fact that the vulnerability assessment is absent from the plan is not important and does not indicate that this plan is of poor quality because they referenced the section in another plan (the same is true for the Hazard Identification and Assessment section.) In addition, the community's assets need to be taken into consideration. For example, a community might not be eligible for an Urban Areas Security Initiative grant from the federal government and therefore would not receive a score for that indicator.

In that the "Process of Planning is as important as the plan. It could be argued that if elements are not visible the plan is lacking.

Continuity of Operations (COOP) – Measures that ensure that government departments can deliver essential services during and after a disaster.

Critical Facilities – Critical facilities include hospitals, fire stations, police stations, storage of critical records, water treatment plants, and other similar facilities. Critical facilities should not be located in a floodplain and should be provided a higher level of protection so that they can continue to function and provide services after a disaster.[7]

Damage Assessment – The process used to appraise or determine the number of injuries and deaths, damage to public and private property, and status of key facilities and services (e.g. hospitals, fire and police stations, water and sanitation systems, utilities) resulting from a human-caused or natural disaster.[8]

Demobilize – Policies that coordinate an efficient return to normal operating procedures after a disaster.

Disaster Declaration (State of Emergency) – A local or state government that does not believe it can respond effectively without outside assistance will ask for a disaster declaration to receive additional resources from higher levels of government.

Emergency Management – The managerial function charged with creating the framework within which communities reduce vulnerability to hazards and cope with disasters.[9]

Emergency Management Accreditation Program (EMAP) – EMPA is an independent non-profit organization which is a standard-based voluntary assessment and peer review accreditation process for government programs responsible for coordinating prevention, mitigation, preparedness, response, and recovery activities for natural and human-caused disasters. Accreditation is based on compliance with collaboratively developed national standards, the Emergency Management Standard by EMAP.[10]

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[6] (Perry and Lindell, 2007).
[7] http://www.fema.gov/plan/prevent/floodplain/nfipkeywords/critical_facility.shtm
[8] *Comprehensive Preparedness Guide 101*.
[9] Waugh, W.L. and Tierney, K. (Eds.) (2007). *Emergency Management: Principles and Practice for Local Government, Second Edition*. Washington, D.C.:
        International City/County Management Association.
[10] http://www.emaponline.org/

Vulnerability – A physical feature or operational attribute that renders an entity open to exploitation or susceptible to a given hazard.[55]

WebEOC – Web-enabled incident management system that is used in Emergency Operations Centers to update real-time information and coordinate the use of resources.[56]

This is a brand name — there are several Emergency Management Informational tools on the market (E-Team, E Sponder, etc.)

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[55] *Comprehensive Preparedness Guide 101*
[56] NDDES Homeland Security State Radio. *WebEOC Training.* Retrieved from http://www.nd.gov/des/uploads%5Cresources%5C215%5Cwebeoc-7-nd-training-presentation.pdf

Section 1: Identification and Vision				
		Data		**Comments**
Section 1.1 Identification				
1.1.1	Evaluator			Name of person coding plan
1.1.2	Dates of Evaluation			
	Start Evaluation			Fill in date
	End Evaluation			Fill in date task is completed
	Entered into Database			Fill in date task is completed
	Intercoder Reliability Check			Fill in date task is completed
		Data	**Page #**	**Comments**
1.1.3	State			E.g. North Carolina
1.1.4	Jurisdiction			E.g. Dare County
1.1.5	Title of Plan			Full title
1.1.6	Date of Plan			E.g. November 2011
1.1.7	Author/Preparer of Plan			List primary agency and contractor (if noted in the plan)
1.1.8	Agency Contact			Primary
	Address			Address (if provided)
	Website			Agency or plan website (if provided)

(handwritten annotations)

Hampton Roads EM Planning District
Houston-Harris County Regional Planning   } might want a box to address regional
LA/Long Beach VASI   identification.

ESF vs ICS or Hybrid form. might be important to ID that early

Section 2: Fact Base				
		Score	Page #	Comments
Section 2.1 Existing Conditions				
2.1.1	Geographic Extent			2 - Detailed description of the specific geographic areas that are affected by hazards within the jurisdiction; should include maps of geographic extent of identified hazards 1 - General, or brief, description of the geographic areas that are affected by hazards within the jurisdiction 0 - No description
2.1.2	General Population			2 - Detailed assessment of the population; applies to the general population not to especially vulnerable populations (e.g. minorities, low income, elderly, children or people with disabilities), which is covered in another coding item (2.2.2); should include maps of population at risk Demographics 1 - General, or brief, assessment of the population 0 - No description
2.1.3	Economic Characteristics			2 - Detailed narrative description of the economic characteristics of the jurisdiction; should include maps of economic characteristics at risk 1 - General, or brief, description of the jurisdiction's economy 0 - No description
2.1.4	Land Use Trends			2 - Detailed description of land use and development trends and their risks; includes transportation, population density, location of new development; should include maps of land use trends at risk 1 - General, or brief, description of land use and development trends 0 - No description
Section 2.2 Vulnerability Assessment				
2.2.1	Plan References Mitigation Plan or other relevant resource for a detailed Vulnerability Assessment			1 - Plan refers to mitigation plan or other relevant resource for a detailed vulnerability assessment 0 - No reference to mitigation plan or other relevant resource for vulnerability assessment

2.2.7	Environmental Assets *Does this address climate change*			2 - Detailed assessment of the vulnerability of environmental assets (e.g. dunes, wetlands, forests, water supplies, ecosystems, species) to hazard events; should include maps of environmental assets 1 - General, or brief, assessment of environmental assets 0 - No description
2.2.8	Infrastructure			2 - Detailed description of the vulnerability of infrastructure systems (fuel, electric power, water sewer, telecommunications, transportation); should include maps of infrastructure at risk 1 - General, or brief, description of infrastructure systems 0 - No Description
2.2.9	Chemical, Biological, Radiological, and Nuclear (CBRN)			2 - Detailed description of risks of chemical, biological, radiological, and nuclear including location and number of facilities in region; should include maps 1 - General, or brief, description of CBRN (includes if plan indicates the jurisdiction does not have any risks) 0 - No description
Section 2.3 Hazard Identification and Assessment				*Note: The Earthquakes, Floods, and Hurricanes/Coastal Storms categories were chosen to include indicators for characteristics, location, magnitude and severity, and previous events. These three hazards were chosen as examples in this tool, but these indicators can be used for each hazard listed.*
2.3.1	Plan References Mitigation Plan or other relevant resource for a detailed Hazard Identification and Assessment			1 - Plan refers to mitigation plan or other relevant resource for a detailed hazard identification and assessment 0 - No reference to mitigation plan or other relevant resource for hazard identification and assessment
2.3.2	Prioritize Hazards			1 - Hazards are ranked in terms of their potential impacts in the jurisdiction based on likelihood/frequency, geographical distribution, potential magnitude/severity, and past losses of specific hazards 0 - No prioritization
2.3.3	Drought			1 - Plan indicates whether jurisdiction is at risk or not at risk of drought 0 - No indication of risk of drought

2.3.19	Pandemic Influenza			1 - Plan indicates whether jurisdiction is at risk or not at risk of pandemic influenza 0 - No indication of risk of pandemic influenza
2.3.20	Medical Counter Measures/Bio-terrorism			1 - Plan indicates whether jurisdiction is at risk or not at risk of MCM/Bio-terrorism 0 - No indication of risk of MCM/Bio-terrorism
2.3.21	Technological Accidents (Hazardous Materials Incident, Chemical Spill, Dam Failure, Power Grid Failure, Traffic Accident, Train Derailment)			1 - Plan indicates whether jurisdiction is at risk or not at risk of technological accidents 0 - No indication of risk of technological and accidental hazards
2.3.22	Animal Disease			1 - Plan indicates whether jurisdiction is at risk or not at risk of animal disease 0 - No indication of risk of animal disease
2.3.23	Coastal Erosion			2 - Plan indicates whether jurisdiction is at risk or not at risk of coastal erosion 0 - No indication of risk of coastal erosion
2.3.24	Other			1 - Plan indicates whether jurisdiction is at risk or not at risk of other hazards 0 - No indication of risk of other hazards
Section 2.4 Capability Assessment				
2.4.1	Local Government			Describes capability of local government
2.4.1.1	Legal Framework			
	Jurisdiction's Emergency Management Ordinance			1 - Description of jurisdiction's applicable emergency management ordinance 0 - No description of jurisdiction's ordinance
	Statement of Approval or Evidence of the Adoption of Response Plan			1 - Statement of approval or evidence of the adoption of response plan by jurisdiction's governing body 0 - No evidence of response plan's adoption by governing body
2.4.1.2	Organization			
	Organizational Structure of Emergency Management During Response			2 - Detailed description of the organizational structure during response 1 - General, or brief, description of the organizational structure during response 0 - No description

Section 2: Fact Base

Statements of approval should be supported by signatures, not just the EM but all responsible depts. agencies and partners.

2.4.1.3	Emergency Operations Center (EOC)			
	EOC Activation Levels			2 - Detailed description of the different EOC activation levels 1 - General, or brief, description of the EOC activation levels 0 - No description
	Location of EOC			1 - Indicates the location of the EOC 0 - No location indicated
	Alternate location of EOC			1 - Indicates the location of an alternate EOC 0 - No location indicated
	Person or group responsible for activating EOC			1 - Lists person or group responsible for activating EOC 0 - Does not list
	List of participants that will be located at the EOC			1 - Lists participants 0 - Does not list
	List of agencies represented in the EOC			1 - Lists agencies 0 - Does not list
2.4.1.4	Resources			
	Financial Resources			2 - Detailed description of the financial resources of the jurisdiction that could be used in an emergency 1 - General, or brief, description of the financial resources of the jurisdiction that could be used in an emergency 0 - No description
	Mutual Aid Agreements			2 - Detailed description of mutual aid agreements with other jurisdictions; should include resources available for loan and their locations, who pays for the resources and bears liability, and condition in which contract begins 1 - General, or brief, mention of mutual aid agreements 0 - No description
	Pre-positioned Agreements or Memorandum of Understanding (MOU)			2 - Detailed description of pre-positioned agreements/MOUs with private sector agencies, non-profits, or community organizations; should include resources available for loan and their locations, who pays for the resources and bears liability, and condition in which contract begins 1 - General, or brief, mention of pre-event agreements 0 - No description

Is there an SOP for the EOC
Standard of operation plan

Should spell out colleges + universities here

Section 2: Fact Base

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	Equipment/Vehicles/Supplies				2 - Detailed description of equipment, vehicles, and supplies used in disaster events including any back-up capabilities (e.g. communications equipment, sandbags, respirators, traffic barricades, toxic gas monitoring equipment) 1 - General, or brief, description of equipment, vehicles, and supplies 0 - No description
	Facilities				2 - Detailed description of facilities used in disaster events, including emergency operation centers, assembly/staging areas, shelters and/or "safe havens" from extreme environmental conditions 1 - General, or brief, description of facilities 0 - No description
	First Responder Units (Police, Fire, EMS)				2 - Detailed description of first responder unit capabilities, including vehicles, equipment, departments, personnel, fire districts, dispatching 1 - General, or brief, description of first responder unit capabilities 0 - No description
	Sheltering				2 - Detailed assessment of local capability related to sheltering (plans, maps, studies, measures or investments related to sheltering population in hazard event) 1 - General, or brief, description of sheltering capability 0 - No description
2.4.1.5	Response Committees and Teams				
	Local Emergency Response Committee				1 - Indicates that a Local Emergency Response Committee exists 0 - No indication
	Response Teams				1 - Indicates that the jurisdiction has response teams (such as Citizen Emergency Response Team, Search and Rescue, Rapid Response Team, HazMat Response Team) 0 - No indication

More important than how much do you have is what's available. Plan might include truck, tools, etc.

2.4.2.2	State Programs, Policies, and Laws			
	State legal framework			1 - Description of state regulations and laws applicable 0 - No description of state regulations and laws
	State Mutual Aid and Assistance Agreements (e.g. Emergency Management Assistance Compact)			1 - Describes any state mutual aid and assistance agreements 0 - No description
	State Hazard Mitigation Planning			1 - Describes State Hazard Mitigation Planning programs or policies 0 - No description
	State Disaster Recovery Assistance			1 - Describes State Disaster Recovery Assistance programs or policies 0 - No description
	State Emergency Response Agency			1 - Lists State Emergency Management Agency 0 - No mention
	State Emergency Response Team (SERT)			1 - Brief description, or mention, of State Emergency Response Team (SERT) 0 - No description
2.4.3	National Policies and Standards			
	Incident Command Structure (ICS)			1 - Plan describes the use of ICS 0 - No description of ICS
	Presidential Directives			1 - Plan indicates compliance with a Presidential Directive 0 - No indication
	National Incident Management System (NIMS)			1 - Plan indicates compliance with NIMS 0 - No indication
	Universal Task List			1 - Plan indicates compliance with Universal Task List 0 - No indication
	Target Capabilities List			1 - Plan indicates compliance with Target Capabilities List 0 - No indication
	National Fire Protection Association Standard 1600			1 - Plan indicates the jurisdiction's compliance with the National Fire Protection Association Standard 1600 0 - No indication of compliance
	Emergency Management Accreditation Program (EMAP)			1 - Plan indicates the jurisdiction's compliance with EMAP 0 - No indication of compliance

This area may fall into appendicies, etc. IS this the intent?

N.H. SANDERSON

The purpose of developing this evaluation tool is to assess the quality of local government emergency response plans. The tool is intended to align scholarly research, federal government guidance documents, and local government response plans to better inform:

- practitioners and local government officials in developing or improving emergency response plans;
- scholars in studying the quality of response plans across jurisdictions;
- state and federal emergency management officials in providing plan development guidance and training for local governments; and
- policymakers at the local, state, and federal level to develop policies in emergency management response planning.

Based on your feedback, I will develop an improved evaluation tool. I ask that you provide honest, constructive feedback and evaluate the tool based on your expertise in the field of emergency management.

RESEARCH QUESTION AND METHODOLOGY

My research will answer the question: What constitutes a high quality local government emergency management response plan?

The methodology consists of three parts. First, I developed an evaluation tool that measures plan quality in local government emergency management response plans. The measurement tool is framed using the plan quality principles derived from standards used in planning practice and has been developed through a synthesis of response planning literature, government documents, and local government emergency management response plans. Second, after development of the tool, I tested it on three North Carolina local government response plans and improved it based on that experience. Lastly, I have asked three experts in the field to evaluate the tool and improvements will be made based on their feedback.

* PLANS ASSESSMENT FOR EXISTING PLANS NOT NEW PLANS
* VERY BROAD — SCOPE IS DIFFICULT BECAUSE OF THE VARYING DIFFERENCES BETWEEN LOCAL, STATE AND FEDERAL PLANS
* STICK WITH RESPONSE PLANNING AT LOCAL LEVEL OR STATE PLANNING THEY ARE DIFFERENT IN ROLES + RESPONSIBILITIES

The following questions will help guide your comments. Any other recommendations are welcome.

1. Is this evaluation tool a useful and accurate way to measure the quality of local government emergency response plans?

   THE OVERALL VISION WANTS TO CREATE A TOOL THAT CAN LOOK INTO AN EXISTING PLAN AND DETERMINE ITS WORTHINESS — YOU CAN DO THIS UTILIZING THE DOCUMENT YOU HAVE CREATED — I WOULD CAUTION THAT LOCAL PLANS STATE PLANS AND FEDERAL PLANS HAVE VARIED LEVELS — IF, AS YOU STATED IN YOUR PURPOSE THIS IS FOR LOCAL PLAN EVALUTION, THEN THIS TOOL WOULD PROVIDE A USEFUL EVALUATION.

2. Does the alignment of planning principles work for emergency response plans?   Are there principles that should be omitted or are there other principles that could be added?

   THE TOOL HAS A SHOTGUN APPROACH — IN THAT IT ATTEMPTS TO ADDRESS EVERY POSSABLE FACET OF EM. MAN., GIVE IT A VALUE AND COME AWAY WITH YES ITS GOOD OR NO NOT COMPLETE.
   A RESPONSE PLAN CAN BE VERY BROAD, ALMOST TO THE POINT OF GENERIC —

3. Are there indicators that are irrelevant to measuring the quality of emergency response plans? Are there redundancies that could be omitted? Is terminology used appropriately?

IF YOU GO BACK TO THE "CAROLINA PLAN" THAT 90% OF THE LOCAL PLANS IN NC WERE DEVELOPED FROM A DEFINITE SIMULARITY IS OBVIOUS — EACH PLAN HAS ITS OWN FOCUS, BUT UTILIZES THE LOCAL THREATS AS THE BASIS — WHAT MAY BE IRRELEVANT IN ONE LOCAL PLAN MAY BE THE CENTRAL THEME FOR ANOTHER — THE FOCUS FOR A RESPONSE PLAN IS TO ID THREATS AND DEVELOP MEASURES TO COMBAT THEM — REDUNDANCY IS NOT BAD

4. What is the tool missing? Where are the gaps or weaknesses in the tool?

I SEEM TO RUN INTO A BLACK HOLE HERE BECAUSE I WANT TO SEE A CROSS WALK OF IDENTIFIED PROBLEMS AND SOLUTIONS WITH OPTIONS — BUT THAT ISN'T WHAT YOU ARE ATTEMPTING TO DO WITH THIS TOOL — SO THE TOOL, AS IS, DOES WHAT YOU SET OUT TO DO.

5. Other comments

THE OVERALL CONCEPT HAS ACCOMPLISHED THE DESIRED RESULT OF ASSESMNT FOR LOCAL PLAN. ARGUEMNTS COULD BE MADE THAT IT IS TO DETAILED AND WONDERS INTO HAZ MITIGATION AND MAY BE TO DETAILED FOR A SMALL COUNTY PLAN, HOWEVER IT WOULD BE A GOOD BUILDING BLOCK FOR THE SMALLER COUNTY

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Feedback Questions for

Evaluating Plan Quality of Local Government Emergency Management Response Plans

1.   Is this evaluation tool a useful and accurate way to measure the quality of local government emergency response plans?

In my opinion, I believe this would be a great tool to use as a guide in updating not only local response plans, but also at the state and federal levels. As far as the local level it may be too detailed for some smaller jurisdictions compared to more complex jurisdictions, i.e. Mecklenburg / Charlotte, NC area.

2.   Does the alignment of planning principles work for emergency response plans?

I noticed that this tool outline worked for the response plan, but also had some of the elements and principles that have been or could be used in updating Hazard Mitigation   Plans, Recovery Plans and COOP Plans.

Are there principles that should be omitted or are there other principles that could be added?

I felt that sections 2.2 and 2.3 were more geared to Hazard Mitigation planning. Section 2.4 looked to be more policy driven then response planning. However, those topics can be referenced in the response plan.

3.   Are there indicators that are irrelevant to measuring the quality of emergency response   plans?

I did notice a couple of the sections that were more Hazard Mitigation planning or policy development/update then response planning; there again can still be referenced in the response plan but not so detailed oriented.

Are there redundancies that could be omitted?

N/A

4.   What is the tool missing?

I felt that this tool covered all aspects of the planning process.

Where are the gaps or weaknesses in the tool?

N/A

5.   Other comments

I feel that this Evaluation Tool could benefit the emergency management community in assisting with plan updates. I would be willing to sit down with you some time and discuss the process that was undertaken in the development of this tool.

APPENDIX F: FUTURE RESEARCH AND ATLAS TI

As mentioned in Appendix E: Methodology, the tool uses a binary and ordinal scale which has been used in previous plan quality studies (Berke, 1994; Berke, 1996; Berke & Godschalk, 2009; Berke et. al, 2011; Smith & Flatt, 2011) to objectively analyze the plan's content. The researcher will need to determine how to best reconcile the data. In previous plan quality studies, the results from the ordinal scale were either collapsed to a 0 to 1 scale (Smith & Flatt, 2011) or the items on the binary scale were doubled (Berke et. al, 2011). Both studies resulted in an equal weighting of all the indicators. Statistical analysis (such as mean, standard deviation, t-test, analysis of variance or ANOVA) can be used to compare the data across jurisdictions (Berke & Godschalk, 2009). Just to note, the number of items included in the plan quality evaluation tool can affect the score if the items are standardized by dividing the number of indicators present by the total possible indicators. Since this study is comprehensive and provides a list of all the possible indicators that should be present in a response plan, scores are more likely to fall in the 60 percent range (Berke & Godschalk, 2009).

To increase the reliability of the plan quality assessment, the study should be designed for two persons to evaluate each plan. With a sufficient number of persons involved in the study, plans can be evaluated with different sets of evaluators to reduce evaluator bias. Training should include the use of the tool on a few plans to increase the evaluators' familiarity and clarify questions or concerns with the tool. Each plan should be reviewed independently by the evaluators. The evaluators will then meet to discuss their individual evaluation and create a reconciled evaluation score. An intercoder reliability score should be calculated to understand the percent of agreed upon indicators between the evaluators. Intercoder reliability is a measure of agreement in how the coders evaluate the plan. This percentage helps to validate the analysis because if the evaluators understood the response plan indicators in the tool, the evaluation of the plan would be similar from both persons. Intercoder reliability has ranged from 70 to 97 percent in plan quality studies. Measuring intercoder reliability is critical to the validity of the data generated by the content analysis (Berke & Godschalk, 2009).

I have provided some tools to help guide future evaluators. The introduction sections of the tool (see Appendix B) outline the purpose and organization of the tool and general instructions. In addition, the evaluation tool includes a comprehensive definitions section and a guide which provides information on the indicators that are located in more than one section. This paper can also be used to provide background information and context to the tool.

I developed my evaluation tool in Microsoft Excel. As is, the evaluator will have to evaluate the plans by hand and write in the appropriate score, page number, and any additional comments. The scores will then need to be inputted into excel for analysis. As mentioned in the *Next Steps and Future Directions* section, recent plan quality studies have used Atlas Ti. Atlas Ti is a computer software program that will enable evaluators to upload an electronic document of the plan and use a drag-and-click system to evaluate the plan with the tool. The data can be downloaded to Microsoft Excel for further analysis. I have uploaded the *Fact Base* section of my evaluation tool to show that my tool can be easily adapted for use in Atlas Ti. Figures 1 through 6 on the following pages portray the evaluation tool in Atlas Ti with the expanded *Fact Base* section. In addition, Figure 5 portrays how to code the plan using the drag-and-click method in Atlas Ti. I also uploaded reference information for the evaluators to use while coding the plan (see Figure 6).

A research study using this evaluation tool would uncover shortfalls in response planning in addition to best practices. Research may indicate that descriptions of the existing conditions or vulnerability assessments may be lacking depth. In addition, research may imply that policies are not informed from the fact base. Best practices are methods or techniques that are considered to be exemplary practice in

emergency management. Researchers may uncover best practices within the response plans, such as exercising practices. Scholars can also use the results from a content analysis study for further research on the causes of plan quality (such as local capacity or state mandates) and effects of plan quality on response operations or other outcomes (Berke & Godschalk, 2009). As disasters become more frequent and severe, this research could have major implications for policy development at all levels of government and emergency management practitioners.

Figure 1: Atlas Ti with example plan and evaluation tool's principles
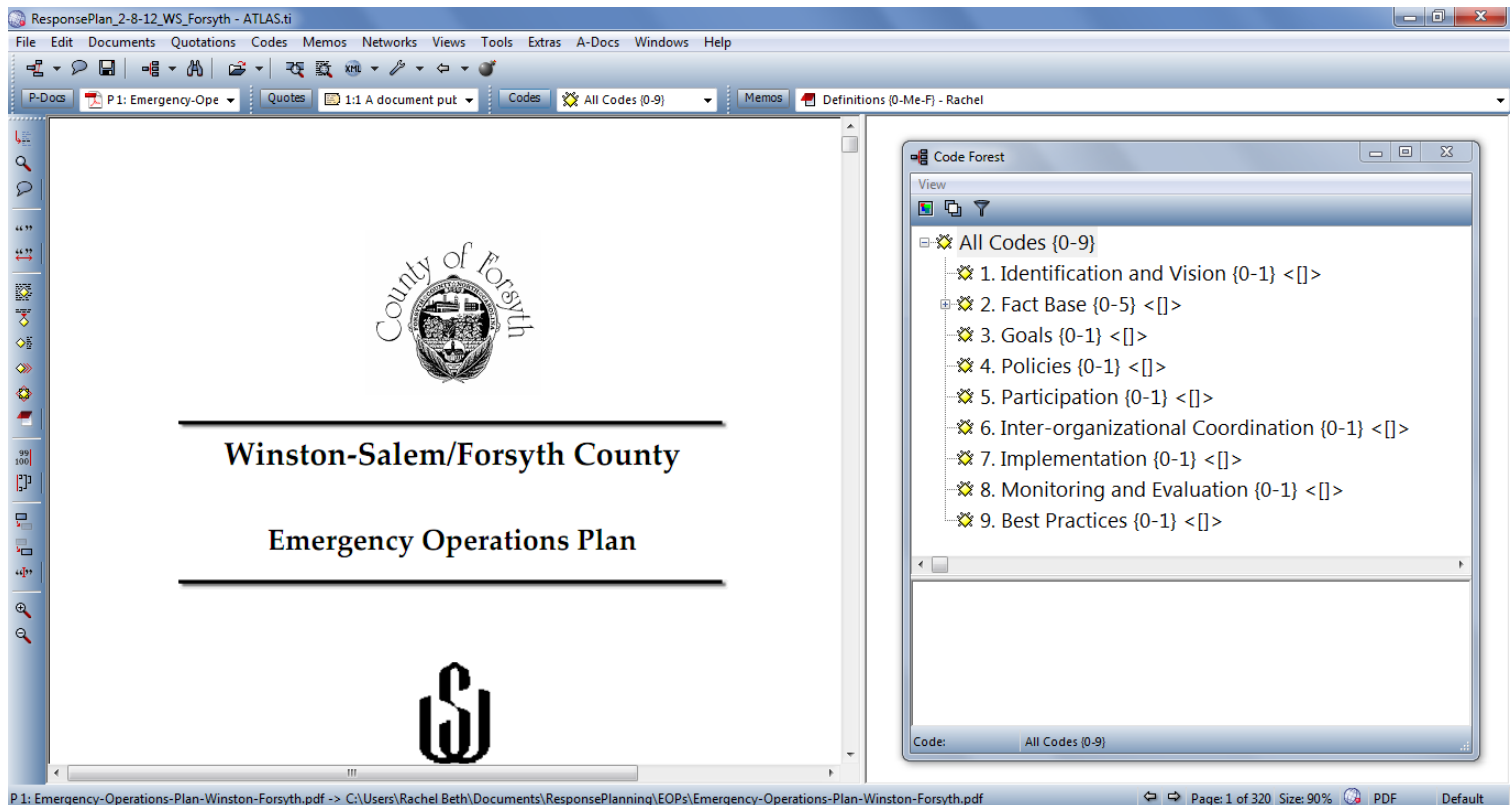
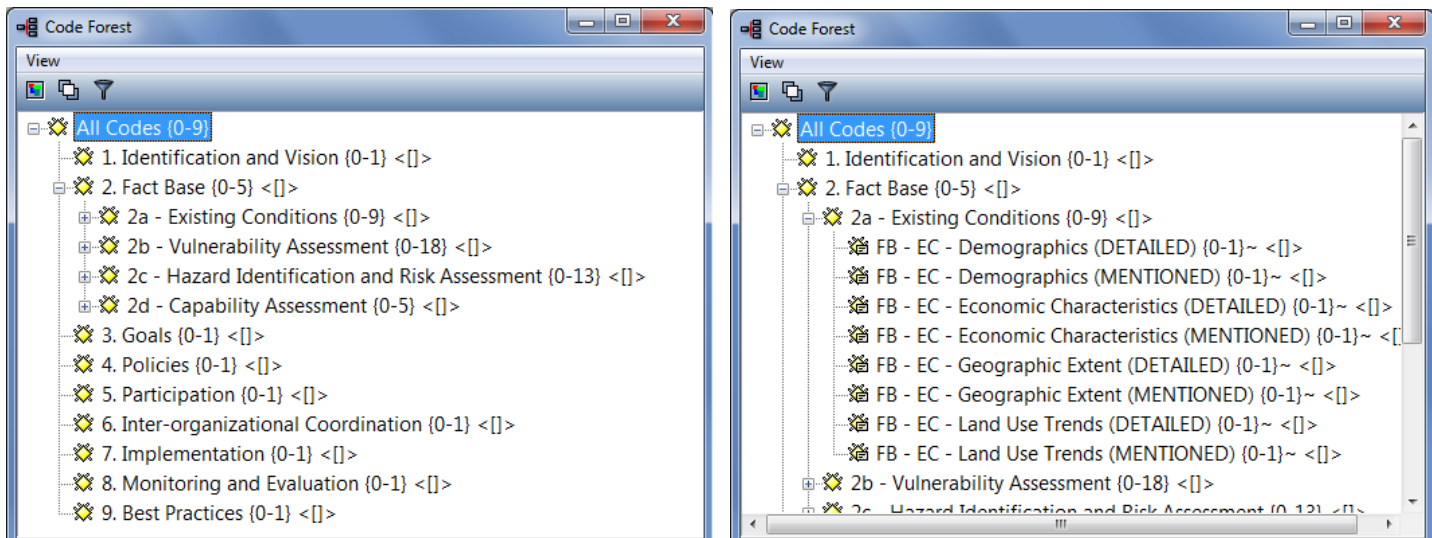Figures 2 and 3: Evaluation tool with expanded *Fact Base* section

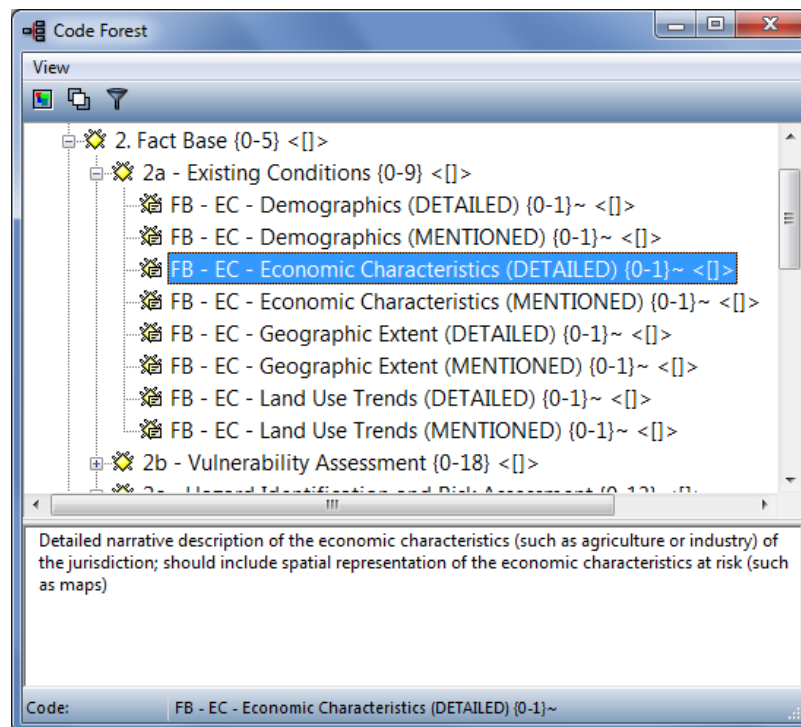Figure 4: Example indicator with description

Figure 5: Drag-and-click to code the plan (Example using Hazard Identification and Risk Assessment code "Plan References Mitigation Plan")
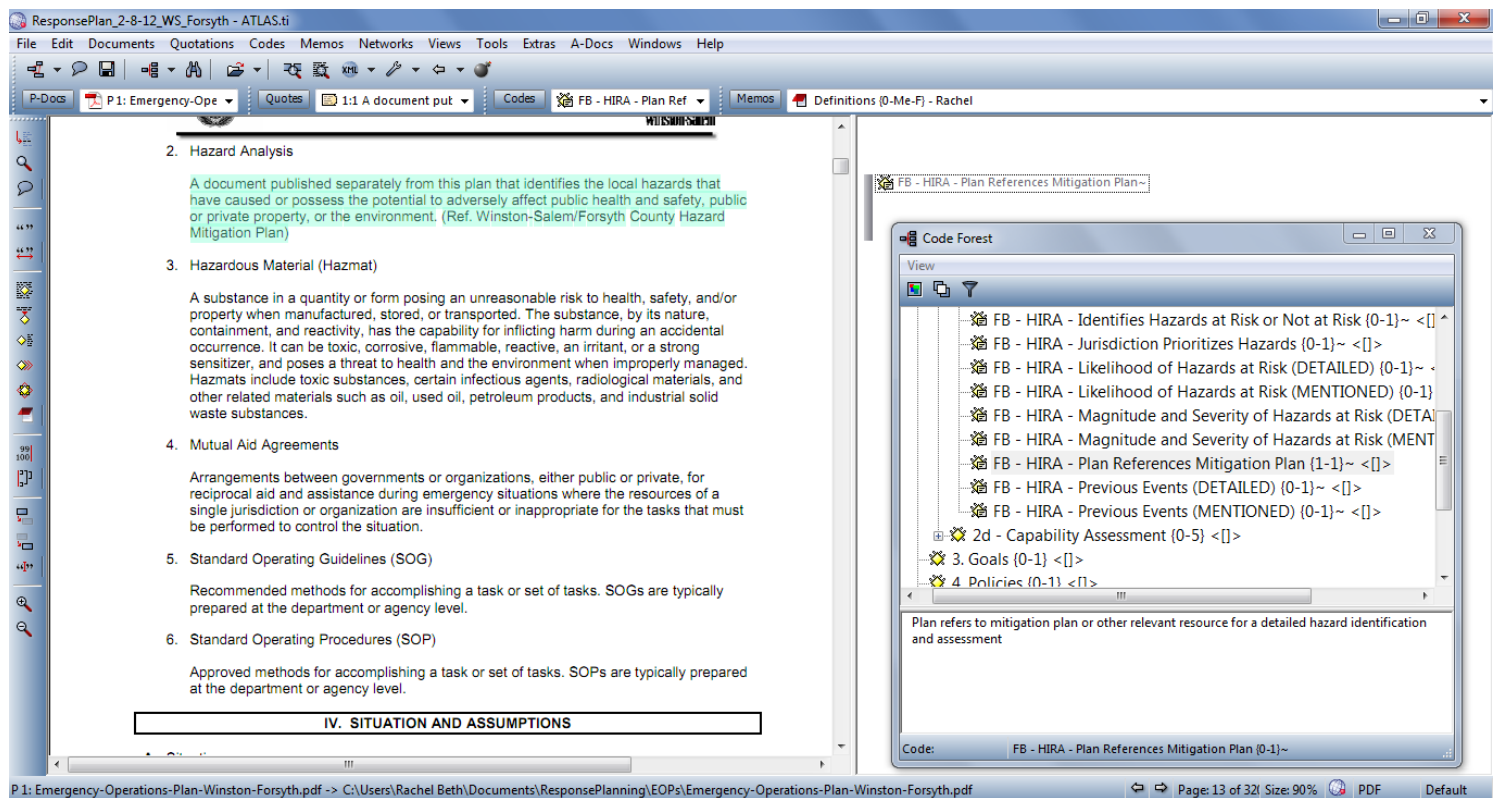

Figure 6: Memos in the evaluation tool for plan evaluators to reference while coding