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# Continuity of Operations/Continuity of Government for State-Level Transportation Organizations, Research Report 11-02

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# Continuity of Operations/Continuity of Government for State-Level Transportation Organizations



MTI Report 11-02



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REPORT 11-02

# CONTINUITY OF OPERATIONS/CONTINUITY OF GOVERNMENT FOR STATE-LEVEL TRANSPORTATION ORGANIZATIONS

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<b>16. Abstract</b> The Homeland Security Presidential Directive 20 (HSPD-20) requires all local, state, tribal and territorial government agencies, and private sector owners of critical infrastructure and key resources (CI/KR) to create a Continuity of Operations/Continuity of Government Plan (COOP/COG). There is planning and training guidance for generic transportation agency COOP/COG work, and the Transportation Research Board has offered guidance for transportation organizations. However, the special concerns of the state-level transportation agency's (State DOT's) plan development are not included, notably the responsibilities for the entire State Highway System and the responsibility to support specific essential functions related to the State DOT Director's role in the Governor's cabinet. There is also no guidance on where the COOP/COG planning and organizing fits into the National Incident Management System (NIMS) at the local or state-level department or agency. This report covers the research conducted to determine how to integrate COOP/COG into the overall NIMS approach to emergency management, including a connection between the emergency operations center (EOC) and the COOP/COG activity. The first section is a presentation of the research and its findings and analysis. The second section provides training for the EOC staff of a state-level transportation agency, using a hybrid model of FEMA's ICS and ESF approaches, including a complete set of EOC position checklists, and other training support material. The third section provides training for the COOP/COG Branch staff of a state-level transportation agency, including a set of personnel position descriptions for the COOP/COG Branch members.			
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The Mineta Transportation Institute (MTI) research team has enjoyed a long relationship with the California Department of Transportation (Caltrans) as a research partner. This report began as a small project to assist Caltrans with the delivery of mandated ICS/ SEMS/ NIMS training and an annual revision of the existing Continuity of Operations/Continuity of Government (COOP/COG) Plan. As the project developed, EOC training and adoption of new federal mandates led to a two-year research and piloting effort in conjunction with Caltrans' Office of Emergency Management. The authors are grateful to Herby Lissade, our partner in a number of other research projects, for his continuing support of excellence in emergency management. Mr. Lissade's insight into the COOP/COG work of a state-level transportation agency has influenced the outcomes of this research project. We are also grateful to Larry Orcutt of the Caltrans Office of Research and Innovation, and the Department of Homeland Security National Transportation Security Center of Excellence for the financial support of this project.

Eleven of Caltrans' districts piloted the EOC training materials. The training officers in each district took the time to assist with the development of meaningful scenarios with the right route numbers, threats and impacts. They also made all the logistical arrangements for the delivery of the classes. We are very grateful to each of them for their professional insights and support.

Waseem Iqbal assisted with many of the EOC classes and the COOP/COG pilot program, and offered his ideas for the training materials as they evolved. We are grateful for his participation in the lengthy trips to remote districts, and his insight into crucial areas of COOP/COG work as we developed this final report.

This report would not have been possible without the contributions of Bill Medigovich. The consummate emergency management professional, Mr. Medigovich brought his years of executive level experience and thorough knowledge of all phases of emergency management to the development of the COOP/COG essential functions list to meet CGC 2 standards, matching SEFs to MEFs and PMEfs. Based on his extensive personal knowledge he then developed the first set of Emergency Response Group personnel position descriptions, which was the basis for the position description set in this report. He not only helped with the delivery of many of the district EOC training sessions, and the COOP/COG pilot, he also helped the authors puzzle through the maze of federal and state relationships in the emergency management arena.

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## **Photo Credits**

The photographs illustrating this report have been provided by the state of California office of Emergency Services (now Cal EMA) Fire Branch, Chief Harold Schapelhouman of the FEMA Urban Search and Rescue Team, California Task Force 3, and the authors.

# FOREWORD

The National Incident Management System (NIMS) is the standard for managing emergency response in the United States. As noted in FEMA's Independent Study course IS-775 EOC Management, "NIMS is a flexible framework of doctrine, concepts, principles, terminology, and organizational processes that is applicable to all hazards and jurisdictions." It is focused on the field-level response to emergencies, and then adds additional supporting structures within the larger Multi-Agency Coordination System (MACS) that includes "dispatch, on-scene command, resource coordination centers, emergency operations centers, and coordination entities in groups."<sup>1</sup>

The Federal Response Plan<sup>2</sup>, an agreement among twenty-seven federal entities and the American Red Cross, created a set of twelve Emergency Support Functions, or ESFs, to support the Robert T. Stafford Act commitments to local and state governments during a disaster.<sup>3</sup> These ESFs describe types of assistance that federal resources may provide to state and local responders during a Presidential Declaration of Disaster. During the 1990s this method of organizing disaster resources was adopted by many state and local jurisdictions as an organization model for their EOCs. However, in a full activation there could be twelve different groups of people – one for each ESF – reporting to the jurisdiction's city manager or county executive, as well as supporting personnel like public information specialists and representatives from local utilities. The span of control was inefficient, and lines of communication within the EOC were often confusing. This style also required a large central space for coordination meetings because of the number of people in attendance. Finally, having so many participants who wanted to speak often made the coordination meetings last for over an hour, during which time the disaster in the community was proceeding, and junior staff members were left to make resource utilization decisions on their own.

In California during 1991 there was a hazardous materials spill into a river in Dunsmuir in the summer, followed by the Oakland Berkley Hills Firestorm in October. Dr. Richard Andrews, Director of the Governor's Office of Emergency Services, determined that a more responsive emergency management system was essential, and in 1992 convened a committee of twenty professional emergency managers from within the state to create a new emergency management structure. Since the California fire service had been using ICS since its creation in the early 1970s, this was the logical framework for the statewide structure, which was called the Standardized Emergency Management System (SEMS), and mandated for all agencies wishing to receive the state's share of emergency response costs.<sup>4</sup>

After the 9-11 attacks in New York City and at the Pentagon, the Federal Response Plan was rewritten and called the National Response Plan, and then the National Response Framework. ICS was adopted as the national standard for incident response, but the organization of each entity's EOC was left to each jurisdiction. As stated in IS-775, "NIMS requires all jurisdictions to adopt ICS as its incident management system. NIMS does not require EOCs to adopt ICS as their organizational structure. An EOC should be organized to facilitate effective operations."<sup>5</sup>

Because the researchers have spent their professional careers as California emergency managers, they are most familiar with the SEMS model for the EOC, although they have studied the original ESF-based system and other locally-developed systems. When the Continuity of Operations/Continuity of Government training was introduced after Hurricane Katrina they took all the courses necessary to become Professional Continuity Practitioners. They asked the trainers in the classes that they took (Preparing the States Continuity Course -MGT331-1 and COOP Planners Train-the-Trainer Workshop-E550) how the work of the EOC was integrated with the COOP/COG operations. None of the COOP/COG instructors had any idea how the EOC would work with the COOP/COG operation. In conversations with transportation professionals they were often told that COOP/COG was the “senior” plan and “took over” all functions during an event that required COOP/COG activities.

Because the researchers had experience in four federally-declared disaster events, as well as many smaller local and regional disasters, they understood that managing the emergency response was quite different than ensuring that paychecks were distributed on time and that computer networks continued to function. The result of their study of real events and federal guidelines is embodied in this report.

\*\*Their proposal that COOP/COG be a branch of the Management Section within the EOC may appear to be a violation of pure ICS, but, as noted above, there is no mandate for pure ICS in the EOC. Some other options for COOP/COG organization placement will be discussed toward the end of the report. The purpose of this proposed branch structure is to ensure that as the emergency response and its needs unfold, there are people ensuring that the business of the State DOT continues, at least at a level adequate to fully support the emergency response.

\*\*Likewise, the senior person in the EOC is referred to in this report as the “Management Section Chief” to make the position’s executive role clear. Some systems call this person the “EOC Manager” or “EOC Director”, and the agency can adopt whatever title is preferred in their state, as the title for the EOC executive position varies within different systems. The researchers are using “Management Section Chief” in this report as a generic position description, because “chief” is the title for the other section executives: Operations, Logistics, Planning and Finance/ Administration. Because ICS is the basis of EOC organization structure in the ESF model being used in this report, the researchers have tried to use ICS nomenclature where possible. In the field this position is “Incident Commander,” but that title belongs to the tactical executive in the field. To also have it in the EOC could be confusing, as noted in IS-775. However, the title “director” is already in use in ICS, and it designates the head of a branch. The EOC is not a branch of anything else. The title “manager” is already in use in ICS, and it designates the support position in a unit, which is headed by a “leader.” The EOC executive role is not a support position to another structure. The term “chief” makes it clear that this person is the executive in the Management Section, and therefore the executive of the whole EOC.

The reader should use this research as starting point only. Each jurisdiction and agency will need to modify the recommendations to meet the specific needs of their own organizations. The researchers support using what IS-775 calls the “ESF Model” which organizes the ESFs – of which there are now 15 – into EOC sections that parallel the ICS sections in the field. The ESF organizational structure then lends itself to having the COOP/COG Branch, when it is activated, under the supervision of the individual supervising the Management Section, and therefore all the EOC sections. By having the COOP/COG Branch Director working for the same supervisor as the four EOC section chiefs, coordination between the emergency response and the COOP/COG activities is more easily attained.

The goals of emergency response are to save lives, the environment and property, and hasten recovery for the community. Sometimes the disaster also impacts the ability of the organization to perform its internal essential functions. At the outset of the emergency an assessment must be made to determine whether the disaster will be resolved without compromising the organization’s ability to perform its essential functions, or whether the COOP/COG functions must begin. Any system that ensures that there is a coordinated response, a common operating picture, and the careful management of scarce resources toward these goals will benefit the community and increase the likelihood of a successful conclusion of the disaster.

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## EXECUTIVE SUMMARY

Within the United States, responding to any emergency or disaster event is usually the responsibility of a local jurisdiction. Emergency response can only begin when the roads have been cleared of debris, and inspected to ensure that emergency vehicles can pass over them safely. While many policies for transportation agencies are national in scope, due to the need to support interstate commerce, state transportation agencies also play a major role in managing transportation assets within their states. All successful major disaster responses are a partnership among local, state and federal agencies and responders. Local and state transportation agencies need to understand their essential functions and have a plan to restore and maintain them when a disaster strikes, so they can both support the emergency response in the field, and the internal work of their own agency.

Transportation is recognized by the federal government as a crucial linchpin in all emergency response. The *National Response Framework* recognizes the transportation function as Emergency Support Function #1 (ESF #1).<sup>6</sup> The U.S. Department of Transportation (US DOT) is supported in the delivery of ESF #1 by ten federal agencies, including the Department of Defense, the Coast Guard and the U.S. Post Office. The ESF #1 policy statement notes that its customers include state-level departments of transportation (State DOT). It also acknowledges the crucial role that State DOTs play in the delivery of disaster-related transportation services, which means that the National Incident Management System (NIMS) has to be used by State DOT partners for field-level responses to emergencies and disasters, if they want to receive the planning and training funds to effectively work within the intergovernmental system.<sup>7</sup>

In the Cold War era President Dwight D. Eisenhower recognized the need for continuity of Constitutional government in the event of a nuclear attack on the nation's capital. He issued edicts for the establishment of continuity of government (COG) plans and procedures. These ultimately came to include special shelters for Congress and key government officials, and plans for the protection of vital records to continue essential government functions.<sup>8</sup> Through the actions of succeeding presidents the COG function at the federal level has been carried on, and extended to non-federal entities, most recently through Continuity Guidance Circular 1, 2008<sup>9</sup> and Continuity Guidance Circular 2, 2010.<sup>10</sup>

The newer CGCs recognize that the people of the nation look to their governments- federal, state and local- for more than just the maintenance of Constitutional functions. Rather, they expect that government agencies will deliver potable water, public safety and passable roads. This is the Continuity of Operations (COOP) element, a concept that looks at government as a business delivering services to the community. While COG is concerned about the continuation of Constitutional government, COOP is concerned with maintaining the essential services of an organization on which the community depends. For example, the essential functions of a state-level transportation

agency include the maintenance of the State Highway System (SHS) on which emergency response and economic recovery depend.

While there is training material available for the development of the NIMS at the state level, there is no specific guidance for the development of an emergency operations center (EOC) at the State DOT. Individual states provide guidance on setting up an EOC within the context of state government, but the nexus to the continuity of operations/continuity of government function is not provided. Emergency operations may be triggered by a single apartment house fire or a category 5 hurricane. In either case the emergency management agency is focused on the delivery of rescue and relief services. However, members of the community who are not part of the emergency expect that they will still get a police response if they have an accident, or building officials to give the final sign-off for their construction projects. They expect the business of government to go on uninterrupted.

In a small, single site event that expectation is generally met. Even when the World Trade Center collapsed in New York City the city's drinking water system continued to work and the city's public health clinics still provided well-baby care. However, when Hurricane Katrina hit the Gulf Coast of the United States in 2005 all government functions ceased in the communities that were hardest hit by the storm surge and winds. A COOP plan identifies where vital records and essential staff will be relocated to safer areas, from which they can continue to provide essential functions, such as the direction of public safety personnel.

The federal guidance documents, notably CGC 2, suggest ways to identify essential functions and essential personnel on a generic level, but there is no specific guidance for state-level transportation agencies to use as they develop their plans.

This report explains the relationship between NIMS and one method of organizing the EOC. It goes on to explain one way to align the COOP/COG element of the State DOT with the State DOT's EOC. It provides checklists that show the primary functions of each state-level transportation agency EOC position in a generic State DOT organization, and their relationships within the EOC that mirror the ICS work in the field, and align with the federal level ESF approach. It provides a set of training materials so that EOC staff members can understand the system in which they work and the relationships among EOC positions.

The report then provides information on the philosophy of COOP/COG as a Branch of the EOC. It includes a tested essential functions list, and a set of personnel position descriptions for the whole COOP/COG Branch, including the Emergency Relocation Group. (The nomenclature for the sub-groupings within the COOP/COG Branch is derived from FEMA's IS 546.a, IS 547.a, and IS 548.a.) It provides a set of training materials to orient the COOP/COG Branch members to the role of COOP and the expectations of their positions, and an exercise with guidance materials to enable them to customize their individual position checklists, and create the "drive-away kit" lists for their individual positions.

The EOC and COOP/COG details and training materials are organized as appendices to the report. While the whole report is designed to be downloaded as a .pdf, the individual annexes may be downloaded in their original Word and PowerPoint format at <http://transweb.sjsu.edu/PDFs/education/11ba4n.zip> to enable state-level transportation agency emergency planners to create customized versions of these planning and training materials for use by their agencies.

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# INTRODUCTION

State-level transportation agencies (DOTs) fulfill a unique combination of roles during a disaster. Their facilities – roads, bridges and tunnels- are the basis for all other emergency services to be delivered, in many cases even local governments' emergency services. Without passable roadways there will be no police, fire or EMS response to disaster victims, as demonstrated so clearly in Hurricane Katrina. State-level DOTs carry out orders from within their own hierarchy, from the governor of the state, and, as owner of the State Highway System (SHS), from the U.S. Department of Transportation (US DOT).

The uninterrupted provision of public services from government agencies, regardless of the conditions within a community, is an expectation of modern society. Eighteen of those public services have been deemed “lifelines” by the Department of Homeland Security in the National Infrastructure Protection Plan.<sup>11</sup> One of these lifelines is transportation. “Calling these infrastructure systems „lifelines’ emphasizes the fact that the social and economic losses, resulting from their malfunction or breakdown, are almost always greater than the dollar value of the asset itself.”<sup>12</sup>

During Hurricane Katrina the world watched as a community lost the ability to provide even the most rudimentary services: passable roads, potable water, sanitation, policing, rescue, and fire fighting. The unexpected levee failure in New Orleans stressed urban community life, leaving the region without accessible roadways, railroads, and for a time even airports. The ports along the Gulf Coast were closed, notably the Port of New Orleans, impacting the delivery of crops to international markets. As DHS has noted, the lifelines are “so vital to the United States that their incapacitation or destruction [has] a debilitating effect on security, national economic security, public health or safety or any combination thereof.”<sup>13</sup>

The government agencies in the inundated portions of the Gulf Coast retreated to alternate emergency operations centers, but the loss of communications meant that the immediate response was often disjointed. For example, New Orleans' Mayor Ray Nagin was in a downtown hotel with a few trusted advisers and a cell phone,<sup>14</sup> while the city's professional emergency managers were in the alternate EOC, near the airport on high ground. There was no communication between the Mayor and the EOC, and his copy of the city's emergency operations plan was in the trunk of his car, under eight feet of water.<sup>15</sup>

The breakdown of government was clear as the days after Hurricane Katrina unfolded in New Orleans. Rescue was slowed by lack of passable roads and loss of communications systems to link the Coast Guard, Federal Emergency Management Agency (FEMA) urban search and rescue teams, and local emergency responders.<sup>16</sup> Some police officers left their posts to care for their own families, who were also victims of the disaster, because pre-disaster personal and family preparedness had not been emphasized. Community members waded through flood water filled with sewage and chemicals from flooded storage tanks in order to get food and water from closed stores, because they had neither stored disaster supplies nor evacuated, even after days of warning from the National Weather Service. Reports of civil unrest, looting and violence were exaggerated by public officials, notably the police chief, who lacked the confirmed information to make a proper analysis of the community situation.<sup>17</sup>

**FIGURE 1: Hurricane Katrina Damage in Gulfport, Mississippi.**



Transportation was a visible victim of Hurricane Katrina. The television coverage showed water shimmering between rooftops, and elevated portions of roadways marooned in the flood. Interstate highways were battered and state roads washed away. Without transportation assets the first responders could not reach the victims until the Coast Guard from the Port of New Orleans station resorted to helicopter rescues, expensive and inherently dangerous, and the urban search and rescue team from California arrived on state-to-state mutual aid with their swift water rescue equipment and light weight boats.

**FIGURE 2: California Urban Search and Rescue Team Arrives at Lafayette, Louisiana, August 30, 2005.**



State-level transportation agencies across the United States watched the tragedy unfold. In the days before the hurricane struck over one million people evacuated from the Gulf Coast, including 80% of the population of Greater New Orleans. Interstate cooperation based on pre-disaster planning between Louisiana and Mississippi allowed contraflow traffic on the interstate system, carrying people to shelters in inland areas of both states. Conversely, the televised images of stranded people, drowned school busses and broken bridges demonstrated the price of failing to plan for a catastrophic event that damaged the infrastructure needed for emergency response.

The response was slow but the recovery was slower. Public service leaders realized that knowing what functions had to continue, even in a disaster, was an important starting place for emergency planning and continuity planning in a state-level transportation department.

The federal government was also aware of the cumulative failures at every level of government that left New Orleans in shambles. In contrast, Mississippi, Alabama and Florida – without the broken levees- began a more robust recovery for their Gulf Coast



areas, based on plans for debris removal and service restoration, highlighting the challenges to State DOTs in responding to a major disaster.

**FIGURE 3: Barge and Cargo Containers Marooned in a Mississippi Town After Hurricane Katrina.**



The crucial role of transportation in disaster response has long been understood at the federal level. When the original Federal Response Plan was created in 1988 there was a series of annexes created for “Emergency Support Functions.” These ESFs listed all the types of support that the federal government could offer to states suffering through a Presidentially-declared disaster.<sup>18</sup> ESF #1 was Transportation, recognizing that without transportation nothing else happens. Without passable roads and safe bridges and tunnels, the law enforcement, fire, and emergency medical responders in the field cannot reach the victims of the disaster to provide rescue. Without transportation assets the logistics arms of the federal ESF structure cannot deliver relief supplies, set up mass care and shelter, or bring in additional response personnel.

**FIGURE 4: CA USAR Task Force 3 Rescues Elderly Resident in New Orleans After Hurricane Katrina.**



ESF #1 at the federal level is a partnership among eleven federal entities, with the U.S. Department of Transportation as the lead agency. Partners include the Department of Defense, the Coast Guard and the US Postal Service. Even with the robust federal resources at its disposal, The ESF #1 policy statement acknowledges the crucial role of non-federal partners at the outset of the ESF description. “Primary responsibility for management of incidents involving transportation normally rests with State and local authorities and the private sector, which own and operate the majority of the Nation’s transportation resources. As such, a Federal response must acknowledge State and local transportation policies, authorities, and plans that manage transportation systems and prioritize the movement of relief personnel and supplies during emergencies.”<sup>19</sup>

Through a combination of self-evaluation and federal mandates, state-level transportation departments across the United States have had to identify internal essential functions, evaluate how they will support external federal mandates, and examine what steps they need to take to comply with true continuity of government and continuity of operations capabilities.

By 2008 most states were starting their second round of Continuity of Operations/ Continuity of Government (COOP/COG) Plan writing and revision. New federal

guidance emphasized the development of State Essential Functions (SEFs), and also the importance of the linkage to federal Missions Essential Functions (MEFs) and Primary Mission Essential Functions (PMEFs). A new element was introduced: the Emergency Relocation Group (ERG) whose mission is to relocate to the alternate continuity site and deliver the SEFs and support the MEFs and PMEFs throughout the response and recovery.

One large state-level transportation agency sought guidance for the new aspects of the 2008-2010 planning cycle and found no COOP/COG materials designed specifically for the State DOTs. The Department of Homeland Security's *Preparing the States: Implementing Continuity of Operations Training* provided some useful information for generic state-level work,<sup>20</sup> but offered no guidance on exactly what issues should be paramount for a state-level agency that is focused downward to support local government, horizontally to support other state agencies – like the highway patrol and fire service- and upward to support federal efforts, notably because of the relationship with the U.S. DOT through the State Highway System(SHS). Some states, like California for example, offered a state-specific training opportunity and brought together representatives from many state agencies to work on their COOP/COG plans together. They provided templates and guidance on state expectations,<sup>21</sup> but there was still nothing to help understand the special concerns of a state-level transportation agency with its multiple customers and its pivotal role in all disaster response.

An even more crucial series of questions arose for the State DOT's continuity planners: what really are the agency's **essential functions**? Business continuity experts advise, "Focus your efforts on those ...services and activities that deliver value. ...not all data are created equal!"<sup>22</sup> Once the essential functions have been identified, who are the members of the ERG that will carry on the essential functions, what exactly do they do, and who is going to train them? The federal guidance documents indicate that they are the people who maintain the SEFs, MEFs and PMEFs with an interruption of no more than twelve hours, and who continue on for at least thirty days. A survey of the available materials from FEMA and DHS indicated that there was no specific list of ERG positions, especially as they relate to the delivery of SEFs, MEFs and PMEFs. No training for the ERG had been published, although generic independent study courses were available at the FEMA training website that mention the ERG. For example, COOP/COG training at the awareness level, basic function level and supervisory level are offered, and the ERG is mentioned, but determining exactly who is a member is profession-specific, and there is no transportation ERG guidance.

**Research by MTI on COOP/COG planning and organizing for State DOTs focused on this research question: how can a State DOT logically approach the**

**development and activation of an agency COOP/COG plan, to prepare to use the right tools and programs in a disaster?**

The answers to this research question have resulted in the creation of a *Generic COOP/COG Plan for a State-Level Transportation Agency*, MTI Report 11-01. Among its unique features is a list of Essential Functions for State-Level Transportation Agencies that incorporates the SEFs, MEFs, and PMEFs. This document, MTI Report 11-02 contains the research report from the COOP/COG planning project, a set of specific ERG position descriptions, including the Essential Functions Unit; a set of checklists for recommended EOC positions, organized as ICS/NIMS-compliant annexes; and training materials to support the creation of the COOP/COG Plan, the integration of the COOP/COG organization with the EOC organization, and the COOP/COG Branch team for the State DOT.

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## HISTORY OF COOP/COG<sup>23</sup>

Disaster response requires the cooperation of all levels of government, but the Constitution sets strict limits on what the federal government can do.<sup>24</sup> Every state is guaranteed against being invaded, even from invasion by the federal government, and application from the Governor or Legislature is required for federal troops and employees to enter a state to provide disaster assistance.<sup>25</sup> The Constitution also provides for succession to office for the Presidency, to ensure the maintenance of a republican form of government.

The concept of continuity of government (COG) developed during the Cold War era, when President Eisenhower was concerned that a Soviet nuclear attack on the United States capital could disable the federal government. In an effort to protect the government's ability to provide essential services in such an event, such as defense, medical services and mass care and shelter, presidential orders and directives have resulted in the creation of out-of-town shelters for Congress and the Cabinet,<sup>26</sup> and mandates for specific continuity of government plans. The federal government has long appreciated the necessity for maintaining a chain of command to ensure that someone is in charge, regardless of the disaster or emergency.<sup>27</sup>

The national emergency management system provides for continuous oversight of all emergency and disaster response. In an effort to enhance federal capability to respond to disasters, President Jimmy Carter merged a number of federal agencies into the Federal Emergency Management Agency in 1979, following the failed response to the Three Mile Island Nuclear Plant Accident in 1979.<sup>28</sup> But the federal government alone cannot manage all disaster response. Recognizing that, as FEMA Director James Lee Witt was famous for saying, "all disasters are local," starting in some community within one of the states or territories, the national approach to emergency management has to be intergovernmental. In 1987 FEMA issued *the Guide for the Development of a State and Local Continuity of Government Capability*, CPG 1-10. This guidance was specifically designed to "support the Integrated Emergency Management System approach to multi-hazard emergency operations planning."<sup>29</sup> In its statement of purpose, the development of an alternate EOC, "protection of vital records, and the protection of government resources, personnel, and facilities" are requirements of the multi-level continuity of government (COG) capability program, as well. The rationale for COG was still the nuclear threat.<sup>30</sup>



**FIGURE 5: The White House, Washington, D.C.**



The 1987 COG guidance was prescient in its analysis of state-level functions. “Heads of State departments, agencies, and bureaus responsible for emergency preparedness, response, recovery, and restoration of services are essential to manage execution of gubernatorial directives. They are also essential to direct critical support services and to provide State emergency services and resources required by the public. Responsibilities of these State entities may be technical or operational in nature, but each entity has its own appropriate emergency powers and authorities. Maintaining leadership to exercise these powers during emergencies is critical.”<sup>31</sup> This commentary is still directly applicable to the role of a state-level transportation agency, whose ability to open roads will impact the ability to carry out governor’s orders and the provision of all other emergency response services.

**FIGURE 6: Fire Vehicles Access Emergency By Road**



The seven elements of the 1987 COG required by this guidance document are very similar to the 2009 COOP/COG essential functions guidance. The 1987 list includes plans to ensure succession to office for key department roles, and pre-delegation of emergency authorities in case the authorized personnel are unavailable. It requires an emergency call-out list and checklists of actions for critical roles, an emergency operations center (EOC) and alternate EOC. Protection of government resources, facilities and personnel include arrangements for the family members of personnel who have to relocate. Safeguarding vital records “including automated data processing systems and records”<sup>32</sup> is one of the most important activities, as the guidance notes that such records are “essential to the effective functioning of government and to the protection of rights and interests of persons under emergency Conditions,” allowing the department to carry out its critical business functions.<sup>33</sup>

This wording is significant, because the genesis of continuity of operations (COOP) planning is in the business sector, and specifically within the information technology sector. As “automated data processing” became common and business processes



became more dependent on machines for data storage and communications, it became clear that workarounds were necessary in the event of a power outage or electromagnetic pulse. Beginning in the 1980s large companies and banking institutions began investing in continuity of operations plans, or business continuity plans. They included offsite storage of vital data, alternate locations for the provision of essential services, and succession plans for business leaders. In 1988 the Disaster Recovery Institute began issuing certifications to professionals with specified experience and training in business continuity planning (BCP).<sup>34</sup> Their approach to “BCP/ disaster recovery industry” for businesses was oriented toward protecting their operations, data and equipment, and maintaining security until government completed its disaster response. Even today this bias against emergency response is prevalent in the BCP profession, and some of this philosophy has carried over into the COOP/COG planning guidance. The linkage between emergency response and COOP/COG is lacking in the federal guidance documents.

In 1988 the Robert B. Stafford Act provided a national commitment to helping local and state governments during a Presidentially declared disaster. Instead of Congress passing special legislation after each major natural disaster, as was done for the hurricanes of the 1950s, Congress created a reliable program for splitting the costs of emergency response between the federal government (generally 75% but can be up to 100%) and the state government (25% or less) when a Presidential Declaration of Disaster was issued.<sup>35</sup>

In 1995 the unthinkable happened, a terrorist attack in America’s Heartland, Oklahoma City. The bombing of the Murrah Federal Building (a federal property, so a state request for response was not required) led to a renewed interest in supporting continuity of government services. President Bill Clinton issued a series of Presidential Decision Directives (PDD) that changed the relationship between state and federal governments in a terrorist attack. PDD-39 and PDD-62 required federal involvement, if weapons of mass destruction were used anywhere within the United States. PDD-63, “Critical Infrastructure Protection” began a counterterrorism partnership between the federal government and the states. PDD-67 “Enduring Constitutional Government and Continuity of Government Operations” replaced earlier COG directives for the federal agencies, “but neither the PDD-67 nor any information about it” were ever released outside the classified area of the federal government.<sup>36</sup>

In 1999 *Federal Preparedness Circular 65 (FPC 65) Federal Executive Branch Continuity of Operations (COOP)* provided guidance for federal agencies to create COOP plans, and it became the “best practice” used as a model by many state and local agencies, in the absence of any other guidance. In 2001 *Federal Preparedness*

*Circular 66 (FPC 66) Test, Training and Exercise Program for Continuity of Government and Federal Preparedness Circular 67 (FPC 67) Acquisition of Alternate Facilities for Continuity Operations* were issued as further programmatic guidance for federal agencies. They were last revised in 2004 when the three were merged into a new version of FPC 65.<sup>37</sup>

Following the attacks of 9/11 the federal view of emergency management and homeland security organization changed again. In 2002 President George W. Bush created the Department of Homeland Security (DHS), a conglomerate of twenty-two agencies with over 180,000 employees, merging FEMA with the Coast Guard, Border Patrol and elements of the Department of Justice,<sup>38</sup> among others. On February 28, 2003 Homeland Security Presidential Directive 5 (HSPD-5) mandated the creation of the National Incident Management System (NIMS), a nationwide command and control system at the field level, based on the Incident Command System created in California in the 1970s.<sup>39</sup>

Shortly thereafter, on December 17, 2003, President Bush issued Homeland Security Presidential Directive-7 Critical Infrastructure Identification, Prioritization, and Protection. Recognizing that “Critical infrastructure and key resources provide the essential services that underpin American society”<sup>40</sup>, a new process for identifying those parts of the nation’s infrastructure that were essential was begun. Building on work done under PDD-63, the new process included not only critical infrastructure (CI) but also key resources (KR), recognizing that the destroyed World Trade Center would not be defined under most CI categories, but was a KR for the nation’s economy and world prestige. The process for identifying CI/KR included the identification of eighteen sectors, such as transportation, water, and government facilities. These stakeholder groups met to create their own “sector-specific plans” and “coordinating councils”<sup>41</sup>

**FIGURE 7: Transportation Is Critical Infrastructure.**



After the 9/11 attacks, the 1988 Federal Response Plan was replaced by a more intergovernmental document, the National Response Plan.<sup>42</sup> A “catastrophic annex” was added to it in December 2004<sup>43</sup> that would have permitted the President to make a declaration that the lawful government of the jurisdiction affected by the catastrophe was no longer able to function. The catastrophic incident annex was not used in response to Katrina, perhaps because in the nine months between its promulgation and the disaster few DHS employees had been trained on the annex,<sup>44</sup> demonstrating that planning must be backed up by training to be effective.

In 2005 the Transportation Research Board published *Continuity of Operations (COOP) Guidelines for Transportation Agencies* as part of its National Cooperative Highway Research Program.<sup>45</sup> This was a generic guidance document designed for transportation organizations at all levels that included templates and checklists to guide the COOP process. It took the business continuity approach to COOP, emphasizing the services needed by the larger community, but not the governmental aspects of those services, such as carrying out governor’s orders, so there was no COG element. In

addition, it followed the business nomenclature development model, not NIMS, even for the names of the groups of people within the suggested organizational pattern. It provided no guidance on the relationship between the COOP/COG organization and the NIMS organization within the same agency, with COOP/COG continuing to deliver “essential services,” while the EOC focused on emergency response functions. In 2006 the Federal Highway Administration issued *Simplified Guide to the Incident Command System for Transportation Professionals* which provided assistance for state level transportation agencies to adopt ICS in their field functions, but again did not address the nexus between the EOC and the COOP/COG organization.<sup>46</sup>

The federal government recognized a need to also improve the capability of local and state governments to provide essential services, even during a catastrophe. The image of Americans trapped on their roofs, surrounded by flood water, without shelter from the broiling sun or water to drink, led to an international response that questioned why the world’s richest nation could not do a better job of meeting its citizens’ needs. National and international pressure led to the issuance of HSPD-20 National Continuity Policy in May, 2007, and revoking PPD-67. HSPD-20 created “a National Continuity Coordinator and National Essential Functions (NEFs), defined as „that subset of Government Functions that are necessary to lead and sustain the Nation during a catastrophic emergency and that, therefore, must be supported through COOP and COG capabilities.’ While Primary Essential Functions (PMEFs) are defined as those „Government Functions that must be performed in order to support or implement the performance of NEFs before, during, and in the aftermath of an emergency.”<sup>47</sup> Annex A to HSPD-20 included a list of federal departments and their place in the continuity hierarchy. Department of Transportation was in Category 1.<sup>48</sup>

While focused primarily on the federal executive departments, HSPD-20 included roles for local and state government entities. “Federal Government COOP, COG, ... plans and operations shall be appropriately integrated with the emergency plans and capabilities of State, local, territorial, and tribal governments, and private sector owners and operators of critical infrastructure, as appropriate, in order to promote interoperability and to prevent redundancies and conflicting lines of authority. The Secretary of Homeland Security shall coordinate the integration of Federal continuity plans and operations with State, local, territorial, and tribal governments, and private sector owners and operators of critical infrastructure, as appropriate, in order to provide for the delivery of essential services during an emergency.”<sup>49</sup> Further, the Secretary of Homeland Security was mandated to “develop and promulgate continuity planning guidance” to the non-federal partners.

By August of 2007 the *National Continuity Policy Implementation Plan* was approved, providing guidance to the federal executive functions in planning for the delivery of the

NEFs, PMEfs and MEFs.<sup>50</sup> FEMA Director David Paulson noted, “Continuity programs and operations are good business practices that ensure critical services will be available to the Nation’s citizens under all conditions.”<sup>51</sup> In 2008 two additional guidance documents for federal entities were issued: Federal Continuity Directive 1, which described the development process for continuity plans, and Federal Continuity Directive 2, which focused specifically on “Federal Executive Branch Mission Essential Function and Primary Mission Essential Function Identification and Submission Process.”<sup>52</sup> In his letter of transmittal, Department of Homeland Security Secretary Michael Chertoff stated, “The document provides guidance and direction for the departments and agencies in the process for the identification of their essential functions, and the Business Process Analysis and Business Impact Analysis that support and identify the relationships between these essential functions.”<sup>53</sup> Thus, the new expectation for continuity planning is no longer for the provision of Constitutional Government alone, but also for the continuation of the business of government, the delivery of those day-to-day services.

The internationally televised spectacle of government failures in Hurricane Katrina resulted in reevaluation of emergency management across the nation. After the failure of some local and state governments to take the initiative in responding to the threat of Hurricane Katrina, notably in Louisiana, a number of new federal approaches were undertaken to encourage greater intergovernmental cooperation and coordination, including the creation of the *National Response Framework* (NRF) to replace the earlier *Federal Response Plan* and *National Response Plan*. The Administration directed DHS to create the new NRF that was based on partnerships among the levels of government and between public and private sector entities, issued in January 2008. “The Framework established a comprehensive, national, all-hazards approach to domestic incident response.”<sup>54</sup> It acknowledges that effective emergency response will only result from “layered, mutually supporting capabilities.”<sup>55</sup> “The *Framework* defines the key principles, roles, and structures that organize the way we respond as a Nation. It describes how communities, tribes, States, the Federal Government, and private-sector and nongovernmental partners apply these principles for a coordinated, effective national response. It also identifies special circumstances where the Federal Government exercises a larger role, including incidents where Federal interests are involved and catastrophic incidents where a State would require significant support. The *Framework* enables first responders, decision makers, and supporting entities to provide a unified national response.”<sup>56</sup>

By 2009 the National Infrastructure Protection Plan (NIPP) was issued, based in part on the work of the CI/KR sectors in developing their sector-specific plans. Originally the plan had focused on terrorist attacks on CI/KR, but after Hurricane Katrina the

importance of natural hazards was again recognized after a long period of “all terrorism, all the time” planning from DHS. The NIPP was portrayed as a “partnership” that included DHS and other federal entities, state/local/tribal/territorial governments, regional partners, owners and operators of the CI/KR, and academia.<sup>57</sup>

By 2009 the Secretary of DHS issued the guidance required by HSPD-20 to ensure that the non-federal partners had a robust capability to actually fulfill the *Framework's* promise of an improved response to disasters, and HSPD-20's vision of coordinated COOP/COG functions. In January FEMA issued Continuity Guidance Circular 1 which required public, private and non-profit organizations to develop continuity plans, and to identify the organization's essential functions- those that must continue without an interruption of more than twelve hours, and that must continue unimpeded for at least thirty days, regardless of community conditions.<sup>58</sup> In 2010 FEMA issued a second guidance document, CGC-2, that focused on developing the essential functions list for each entity, including the development of a Primary Mission Essential Functions list and a systematic analysis of the work of the organization.<sup>59</sup>

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## Methodology

The MTI team has worked with the California Department of Transportation (Caltrans) for two years on a review of the COOP/COG Plan, jointly funded by the National Transportation Security Center of Excellence and the Caltrans Office of Research and Innovation. The first iteration of revisions was based on state and federal continuity guidance documents through Continuity Guidance Circular 1, 2008 (CGC 1). The report on the revision of Caltrans' COOP/COG Plan was submitted to the California Emergency Management Agency (CalEMA) on October 1, 2010. By that time Continuity Guidance Circular 2, 2010 (CGC 2) had been issued, so a more extensive revision was undertaken in 2010 through 2011, and is under review by Caltrans leadership. That complete revision was the basis for the creation of the *Generic COOP/COG Plan for State-Level Transportation Agencies*, MTI Report 11-XX. While the *Generic COOP/COG* publication benefitted from the work and discussions with Caltrans, its structure and contents differ significantly from the Caltrans plan that is under review, representing the authors' collective view of best practices in COOP/COG planning and organizing.

As part of the initial COOP/COG plan review project, the MTI staff offered ICS/NIMS training at the basic level for Caltrans staff in all twelve districts and at headquarters, via video teleconference. They then collaborated with Caltrans' Emergency Management Division to offer an emergency operations center (EOC) training program for Caltrans Headquarters, based on training used by CalEMA. As a result of that first course offering it became clear that the material needed to be significantly modified to specifically meet the needs of the state-level transportation agency headquarters and districts. For thirteen months MTI staff members travelled to eleven of the Caltrans districts, and returned to Caltrans Headquarters twice, to teach the 8-Hour "ICS in the EOC" course – a structure similar to the FEMA "ESF" style. Each time the materials were improved based on comments and questions asked by Caltrans staff members, enabling the MTI team to refine the PowerPoint show, the supporting materials and the class organization. We also learned the benefit of distributing chocolate bars at the afternoon break! The result of that collaboration is Appendix A of this report.

The third aspect of the research was the creation and piloting of a training/ exercise program for COOP/COG for a state-level transportation agency. After an extensive search through on-line resources, and interviews with Stephan Parker of the National Academy of Sciences Transportation Research Board and Curry Mayer of the California Emergency Management Agency, the MTI team determined that there was no readily available training resource for the COOP/COG Branch of a state-level transportation agency emergency management organization. The MTI team took all the COOP/COG



courses available through FEMA, both on line and in class, and in the process two of the team members became certified COOP COG Practitioners through FEMA.

Using the concepts taught in generic courses by FEMA, and their knowledge of Caltrans' COOP/ COG 2010 plan, and the *Generic COOP COG Plan* that they created, the MTI team created a PowerPoint-based training program that provides an overview of COOP/COG planning, the relationship between the COOP/COG organization and the EOC, and the role of the Emergency Relocation Group, including an exercise in creating their specific position checklists and position support supplies kits. They piloted the training with the Caltrans COOP COG Branch personnel, discovering that people needed a more thorough description of the jobs they were to do in order to make checklists or kit lists. In addition to improving aspects of the slide show, they created additional materials to support the training, including an extensive set of COOP/COG Branch personnel descriptions, and generic checklists for personal supports kits and professional support kits. With these guidance documents as a basis for discussion, each ERG member should be able to refine and improve the information for the position he holds. The COOP/COG planning and training materials are Appendix B of this report.

## FINDINGS

State-level transportation agencies (DOTs) are the linchpin of disaster response. Their critical infrastructure – roads, bridges and tunnels- are the basis for all other emergency services to be delivered: police, fire, EMS, ambulance access, water supplies and medicine. State-level DOTs carry out orders from within their own hierarchy, from the governor of the state, and, as owner of the State Highway System (SHS), from the U.S. Department of Transportation (US DOT).

The first challenge was developing an understanding of the roles of the emergency management organization and the COOP/COG organization within the State DOT leadership. The emergency response organization of the State DOT provides services that support first responders and disaster logistics, such as debris removal, road inspection and repair, and overweight permit issuance, an “outward facing” activity. The emergency management activity continues through the response and into the recovery, helping to coordinate the reopening of transportation to support the return of community members, and the restoration of the economy through transportation access.

The COOP/COG activity is only needed in a small number of emergencies, those where the State DOT headquarters itself is compromised. This might include the loss of power to the facility for a prolonged period – beyond a reasonable period for generator support- the loss of access to the facility due to flooding, pipeline explosion or other community-based problems, or internal damage like a fire or mold in the headquarters building. In that case there is a loss of all headquarters functions at the usual location, and the essential functions have to be carried out either at an alternate continuity site, or in a district office, or through planned devolution to another agency. COOP/COG ensures that paychecks are processed and delivered on time, that state highway communications systems remain functional, and that highway construction projects outside the disaster area continue, even when the headquarters is not open. This is an “inward facing” function.

The original COOP/COG plan for the department had been written by a business continuity planning consultant with no knowledge of the emergency management function of the State DOT. Using the DRII approach to business continuity, the original COOP/COG Plan had no disaster response elements in it. It was written to protect vital records and assets, especially the information technology systems and processes.

When the first revision was planned, the emergency management leader was only invited as an afterthought. At the beginning of the project the Information Technology (IT) staff members were the project leads, and at the first meeting they explained that

the COOP/COG Plan was the senior plan, and all other plans were subordinate to it, a clear misunderstanding of the layering of emergency response plans that build up to a catastrophe, not start with one. The IT staff members did not know that the organization had another emergency operations plan that integrated all the functions during an emergency response. They did not understand that COOP/COG is activated only when the facility is lost- such as through a flood or a mold infestation, or the ability to do essential functions is removed- through a long term power outage or a natural disaster.

As a result of meetings and consultations within the state-level transportation agency, a consensus was developed that the Emergency Operations Plan (EOP) was the guiding document for all emergency response. Other plans, such as the Pandemic Flu Plan and the COOP/COG Plan, would be annexes to the main EOP under the NIMS framework nationally. However, extensive research at the state and federal level did not reveal the existence of any guidance for how the COOP/COG Plan “Annex” would be integrated with the existing EOP and its emergency operations center (EOC) activities and positions.

The original COOP/COG Plan had been developed with significant input from stakeholder elements throughout the State DOT. They collaborated to build an essential functions list that was approved by the State DOT leadership. However, with IT in the lead the political functions of the State DOT were completely overlooked. For example, in the original COOP/COG plan there was no acknowledgement of the need to support the DOT Director in providing timely and actionable information to the governor during the emergency executive committee meetings. The lengthy essential functions list had level B and C IT actions documented, but not Level A political and policy actions.

The COOP/COG Plan acknowledged the importance of trained and prepared personnel to staff the COOP/COG response, and there had been collaboration with the emergency management office to obtain work space adjacent to the first alternate EOC, which they called the continuity facility. They were still developing a staffing list and a list of items that would be stored there, brought on electronic media to the continuity site, or accessed through cloud computing technology. The development of the Emergency Relocation Group was a planned activity that had not been completed, beyond identifying some people who would be the members of the group generally.

In the first phase of the project, reported in MTI Report 09-10, significant progress was made in revising the COOP Plan to include an essential functions list that was shortened and focused less on IT. Three additional continuity sites were identified and access maps were developed. Lines of succession for the key emergency

management positions were review, and the existence of legal documentation for the passing of power was confirmed.

A significant change was the recognition of the importance of headquarters level emergency management, which had been a collateral duty for an overwhelmed staff member. As a result of the overall COOP/COG plan review there was an opportunity for senior leadership to become better acquainted with the role of emergency management. An emergency management office was created and staffed to a level that permitted them to begin an update of the EOP, as well as work on the COOP/COG planning efforts.

Emergency management training was also recognized and valued. Support was given for providing five sessions of the basic 2.5 hour ICS/SEMS/NIMS course. This was delivered by video-teleconference, allowing people from all twelve districts and the headquarters to take the class together. Students had to take an open book test at the end of the class to get the certificate. The compliance rate was over 95% of the students taking the test, with a 97% pass rate. This demonstrated the level of interest on the part of the students.

Executive level training on emergency management was provided initially in a seminar format. Then a tabletop exercise for 2.5 hours was presented at headquarters, bringing together the EOC leadership to review their EOC roles and responsibilities. Due to the economic times, many of the senior staff members were retiring. There was a clear need to replenish the pool of people trained to work in the headquarters EOC.

During the 2.5 hour ICS/SEMS/NIMS course students asked questions about the way the EOCs worked at the district level. This resulted in a survey of district EOC plans by the State DOT emergency management staff. They recognized a lack of uniformity in both the documentation and the understanding of the EOC role. Some districts had extensive experience with field response in support of other state agencies, but little experience with a State DOT emergency requiring the opening of district EOCs. They were interested in how they would receive support from the headquarters in an emergency, and how they would be tasked to give support to other districts and local agencies.

**FIGURE 8: Transportation EOC.**



As a result of these questions it was determined that an EOC training course would be valuable for State DOT personnel, at both headquarters and in the districts. The original plan was to use the standard state-approved 8-hours EOC training course. However, the course had been developed for cities and counties, so many of the questions asked by the State DOT staff went unanswered in the standard class package. Researchers fielded questions during class, then added slides to the class package to address the issue in the presentation portion. As they went around to visit eleven of the districts, and went to headquarters with the training three times, the slide show evolved to become more state agency specific, and very focused on transportation. The researchers changed all the stock photos, selecting – and often creating – transportation specific photos for the class. All the illustrations and “war stories” were changed to relate directly to the role of transportation in an emergency.

The overall class rating in the first headquarters class was only fair, with 50% selecting very useful (5 on a scale of 1-5), while in three of the last four districts and the last two headquarters classes, more than 85% of those responding rated the class 5/ very

useful. While originally the verbal comments complained that there was not enough focus on transportation specifically, and that district issues were not adequately addressed, by the last group of classes the complaints were about the temperature in the room and the lack of food, but thanks for the instructor-provided candy bars. The complaints went from substantive issues related to training content to issues about the environment, demonstrating that the class had evolved into a useful tool for future training of State-level DOT personnel working in EOCs at the headquarters and district levels.

At every district the issue of financial reimbursement arose. The sixth activity in the 8-hour class is on the work of the Finance/Administration Section. As students discuss reimbursement from various entities – FHWA, FEMA, insurance policies- the question always arises about getting reimbursed when assisting other state or local agencies. Historically the State DOT relied on FHWA financial assistance for disasters that affected the roads, and absorbed the cost of off-system assistance, such as to local transportation agencies. In a tighter budget climate the need for tracking expenses and documenting work was emphasized in the class. Issues like mission tasking numbers and resource tracking systems need to be more completely explained in other training that would focus more attention on non-FHWA emergency financial reimbursement..

Another outcome of the EOC class was the recognition that field level staff members of the State DOT need ICS classes, especially one that includes information on how State DOT staff members work in an emergency when another agency is the Incident Commander (IC). In districts where repetitive emergencies bring them into regular contact with law enforcement and fire department first responders, the experience has generally been positive. In one remote district personnel reflected on the home cooked meals that were provided to State DOT field forces during a flood where the fire service was the IC. However, in many districts there were complaints about field forces being denied meals and shelter when working with fire crews at remote locations without fast food or motels. This failure to communicate is also a safety failure. Check-in is designed to ensure that all personnel working at an ICS event receive safety messages and safety warnings, and are overseen by a safety officer.

Through discussion during the EOC class it became clear that field forces did not understand the rules of ICS. They were failing to check-in with the ICS Planning Intelligence Section, and instead ran their own parallel operation. Thus, when food was served and bunks were assigned they were not on the list. Under state law the highway patrol has authority on the highway system in many instances, but emergencies that are related to the operation of the highway surface may actually be State DOT-led events. Training in the various ICS roles at an event, and the differences among the IC, Agency

Liaison and Section roles needs to be created specifically for field level State DOT staff members.

The challenge of preparing the COOP/COG staff remained. Until their placement in the organization was clear it was difficult to know what level of staff person should be filling a role, and exactly what it meant to be part of the Emergency Relocation Group. Researchers took every Independent Study course on COOP/COG offered by FEMA, and all the classroom courses on COOP/COG, which resulted in their earning the Professional Continuity Planner designation. Even with hours of research and training they found no documentation of the relationship between COOP/COG and the EOC. Ultimately they resolved the issue by making COOP/COG an EOC Branch within the Management Section, which gave the COOP/COG Branch Director direct access to the EOC Management Section Chief, and to the Policy Group. This set of new relationships will be discussed in greater detail in the Analysis Section of this report.

Once the COOP/COG- EOP relationship had been resolved the researchers created a class for the members of the COOP/COG Emergency Response Group (ERG). It consists of a four-hour session at the intermediate level, with the expectation that the students would take several self-study courses first. The first two hours is a class that reviews the COOP/COG plan and the various actions that are part of it, such as essential functions, vital records and the development of an ERG. The second half of the class is activity-based. The first activity has students use the ERG position description and some model position checklists to begin a position checklist for the role that each will play. Students are encouraged to work within their COOP/COG sub-units: leadership, human capital, essential functions or relocation. As they develop their checklists they are to discuss the roles with each other to develop synergies and avoid overlaps. In the second activity, now that they know what they will do, they develop professional supply and personal support kits. The class ends with students taking turns reading items that will be in either kit, as a way of reinforcing the importance of various items, and the need to stock some items at the site.

**FIGURE 9: Some Items from a Car Kit.**



This class was piloted one time. About half of the people who attended understood why they were in the ERG, and were eager to learn more about their roles. Unfortunately, at the time of the class the position descriptions for the ERG roles were not well developed, and about 35% of the students said that either they did not belong on the ERG, or did not know why they were on the ERG. While the overall satisfaction with the class was high – 75% selected “I learned a lot that will be useful in my job” only 50% of the students selected “I feel prepared to respond in an emergency.” For many students it was the first time that they had considered what it would mean to respond in an emergency, what steps they needed to take to prepared their families, and what they would have to do to prepare themselves. Few of the students regularly worked in emergency management, or indeed outside of the desk-based 8-to-4 regimen, so many of the concepts presented in the class were disturbing and worrisome, especially the threat analysis for the metropolitan area where most of the employees live. While it was good to realize how much training is needed, it is clear that selection of the ERG should be reviewed, and a basic orientation to the ERG should be provided before people are considered COOP/COG responders.



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# ANALYSIS

## ICS in the EOC

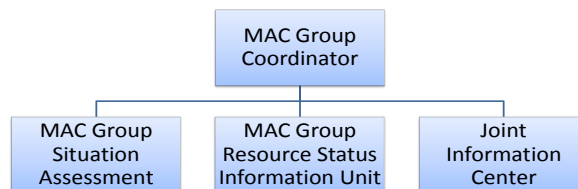
Research into the organization of emergency operations centers (EOCs) in the United States has revealed that there are currently four primary methods for organizing an emergency operations center. FEMA Independent Study Course 775 on emergency operations center management identified the four methods as follows: major management activities, ICS, ESF, and MAC. Major management activities is a simple chart suitable for small organizations that has a policy group in charge, and three subordinate units: Resource, Operations and Coordination.

**FIGURE 10: Major Management Activities Organization Chart**



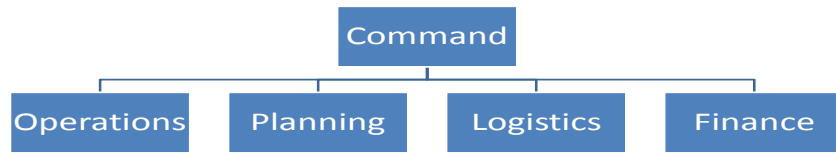
MAC is the Multiple Agency Coordination model. It works well for a single profession that is coordinating across organizational lines to manage resources for an event.

**FIGURE 11: MAC Organization Chart**



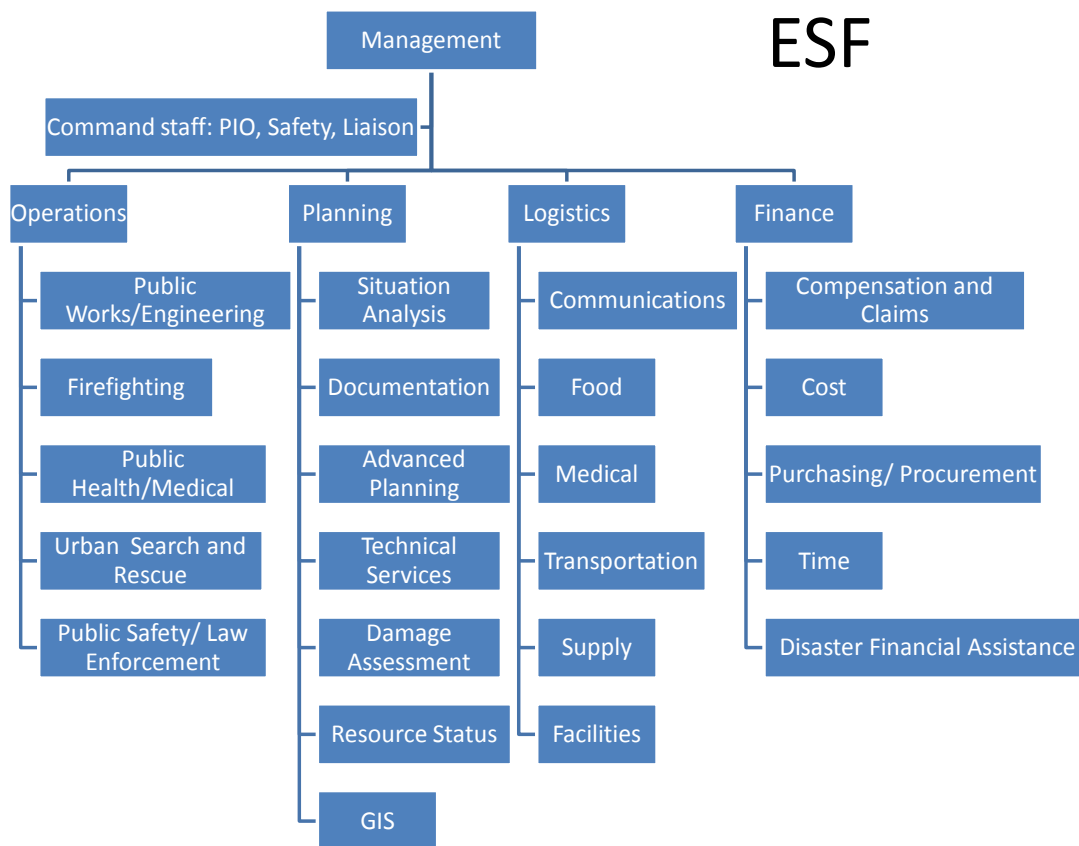
FEMA has organized the 15 federal emergency support functions into an organization chart that matches the ICS chart, so the two systems are based on the same five function basic organization.

**FIGURE 12: EOC Incident Command System Organization Chart**



In what FEMA calls “ESF” the fifteen ESFs have been gathered under the five ICS boxes to create a manageable span of control while maintaining coordination among related functions.

**FIGURE 13: EOC Emergency Support Functions Structure**



Source of Information: FEMA, EOC Management and Operations, IS-775, August, 2008.

**Table A: ESFs in the EOC**

<b>*Number</b>	<b>*Name</b>	<b>**EOC Assignment</b>
1	Transportation	Logistics
2	Communications	Logistics
3	Public Works and Engineering	Operations
4	Fire Service	Operations
5	Emergency Management	Management Section
6	Mass Care, Emergency Assistance, Housing and Human Services	
7	Logistics Management and Resource Support	Logistics
8	Health and Medical Services	Operations
9	Search and Rescue	Operations
10	Oil & Hazardous Materials Response	
11	Agriculture, Natural Resources	
12	Energy	
13	Public Safety and Security	Operations
14	Recovery & Mitigation	
15	External Affairs	Management Section (PIO)

\*Source of Information: FEMA, National Response Framework, Emergency Support Functions Annexes, January, 2008.

\*\* Source of Information: FEMA, EOC Management and Operations, IS-775, August, 2008.

This system is bringing ICS into the EOC. FEMA identified the advantages of this system as “coordinates well with on-scene ICS organizations, therefore appeals to local and state EOC;” and “provides a clear one-to-one relationship with the National Response Framework.”<sup>60</sup> So this model follows the stated goal of NIMS, creating intergovernmental coordination structures nationally. NIMS does not mandate any

specific organizational structure for the EOC, but the advantages of adopting one modeled closely on the field level, and that relates easily to the national ESFs, has clear benefits for organizational management and intergovernmental communications.

A quick review of this system, however, shows two deficiencies from the perspective of a state-level DOT. First, Transportation is only recognized as part of Logistics, when it really is the key to Operations. As has been pointed out earlier, passable roads and safe bridges and tunnels are crucial to the delivery of all rescue and relief services for a community experiencing a disaster or emergency.<sup>61</sup> All the ESFs shown in Operations in the ESF EOC organization chart above are dependent on Transportation opening the roadways, creating expedient access roads, and permitting overload and overweight vehicles, which involves designing a safe route with bridges and road infrastructure that can bear the additional weight.

Second, and most importantly, the work assigned to the various positions in the generic EOC organization chart is not relevant to the State DOT EOC. For example, State DOT has no law enforcement, fire or medical elements in its Operations Section, although in the field it will be supporting all three. Rather, the State DOT EOC is focused on the delivery of rapid repair and reopening of safe roads that are part of the SHS throughout the disaster area, and on keeping the traveling public informed about safe and open routes. In order to accomplish this, the State DOT may have to work with cities and counties because their roads intersect with the SHS, and damage to one element may require action by the other. For example, if a city street overpass collapses onto a SHS right of way, both entities will have some responsibility for recovering that portion of the circulation system, supporting emergency response to the disaster area.

Thus, a major part of designing the State DOT EOC is understanding what generic activities will be needed there, such as a Time Unit and a Cost Unit in Finance and Administration, and what unique activities will be needed, for example under Operations, such as air operations, water-borne operations and rail operations. The proposed Operations Section organization chart for a large State DOT EOC in Figure 14 shows how different the jobs and assignments are in a transportation-focused EOC. A complete set of State DOT EOC position checklists is available in Appendix A, Tab 8

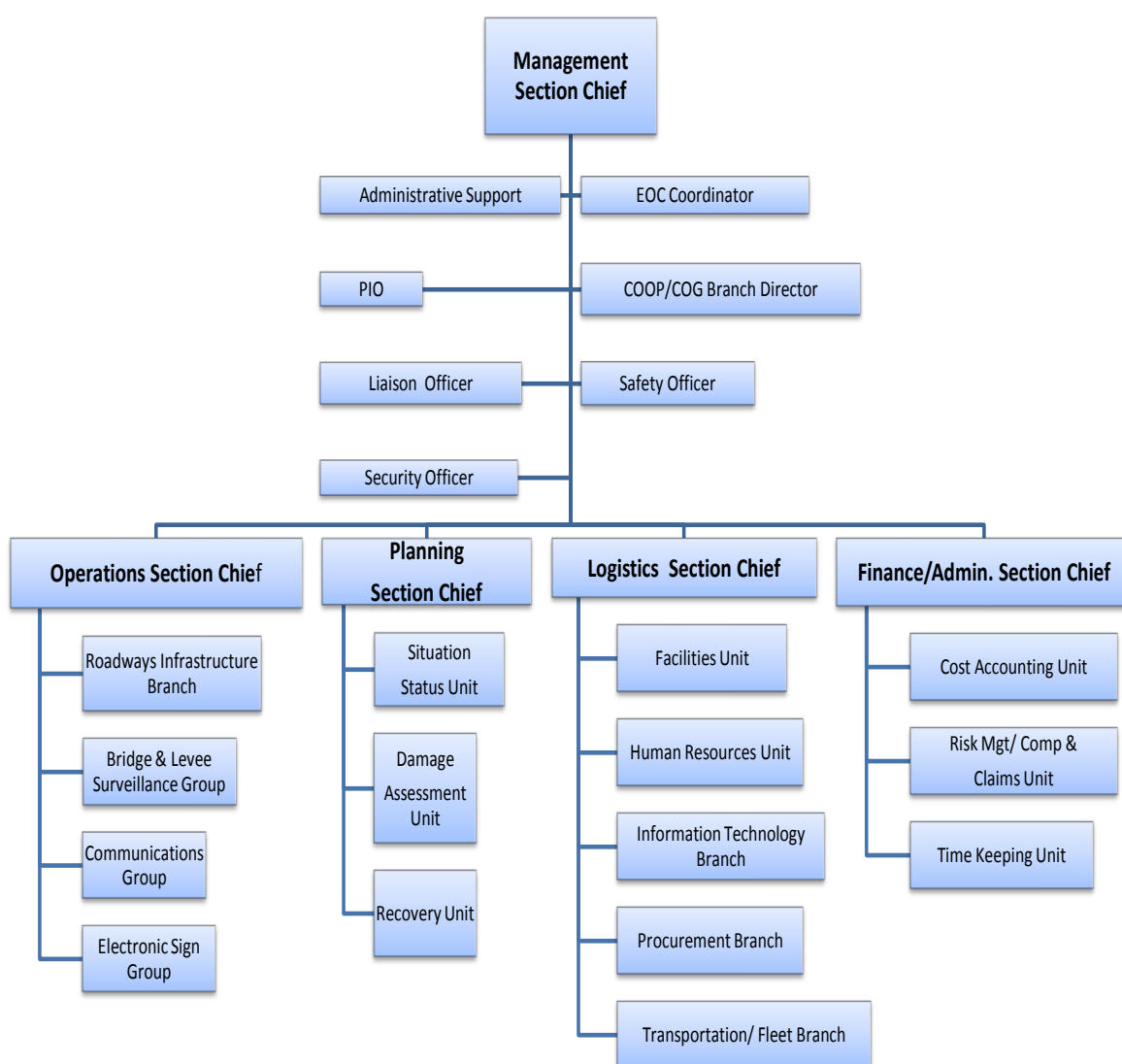
Figure 14 shows how some of the generic ESF-based EOC activities carry over into a State DOT EOC, while Operations is focused on Roadway Infrastructure, Bridge and Levee Surveillance, Communications, and Electronic Signs. Different states will have different branches and groups within Operations, but their work will all be focused on removing debris from the SHS facilities, repairing roadways, and reopening roads.

FEMA addresses this challenge by noting that the first step in designing the staff for an EOC is determining what activities have to be undertaken to directly support the emergency response and recovery. "The tasks to be performed are **the critical driver** for EOC staffing. Identifying the tasks will point to the staff needed."<sup>62</sup> These are the tasks that are critical for emergency response and EOC operations, separate from the

essential functions that the State DOT must conduct through the Emergency Relocation Group within COOP/COG, a distinction that will be discussed next.

Even with these changes from city/county ESF focus to State DOT ESF focused, the work of the Command and General Staff remains the same. The ICS-based structure allows for a flexible, hierarchical system, with positions that are filled only when needed. The Section Chief has all the responsibilities until he determines that he needs specific assistance to effectively provide disaster response services. At that time he may activate some or all of the pre-designated branches, groups and units within his section.

**FIGURE 14: State DOT EOC Organization Chart Example**



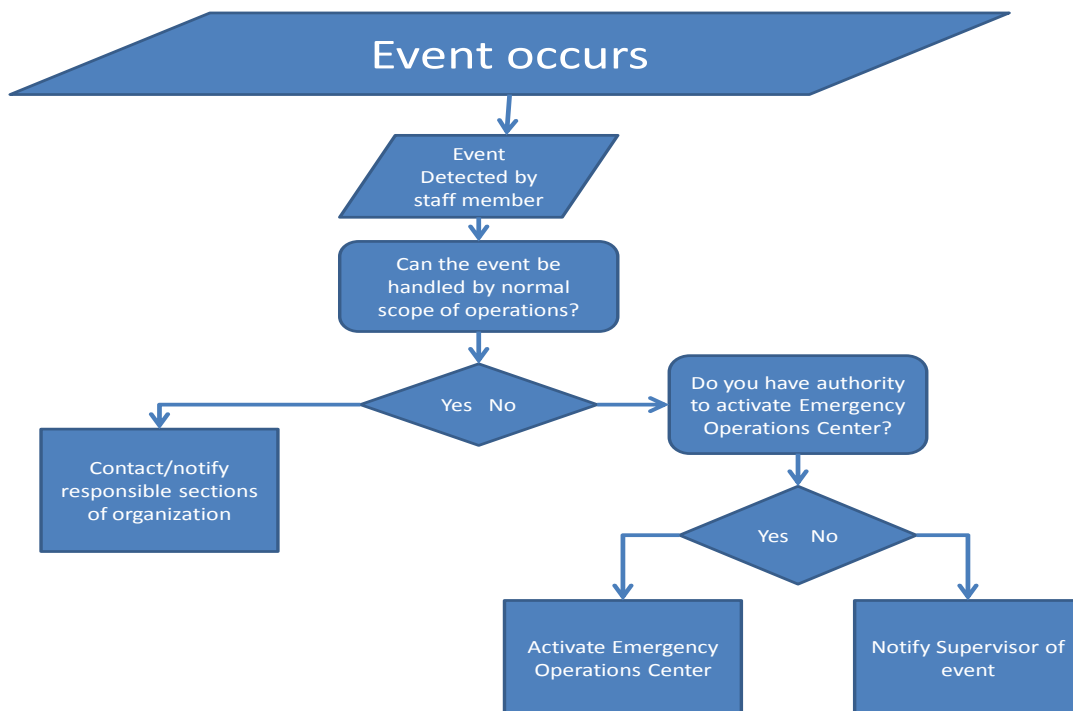
The EOC is focused on the disaster. Its purpose is to save lives, protect the environment, and protect property.

### Activation of Emergency Operations Center and COOP/COG Plan

A key issue is when an Emergency Operations Center and/or COOP/COG plan should be activated, and who has the authority to call for the activation. Both the “who” and “when” are dependent upon several factors, ranging from the resources available to the political sensitivity of the organization. The only constant is the definition of an emergency: the loss of any important resource creates an emergency that must be managed to ensure the sustainability of the organization and the safety of the community.

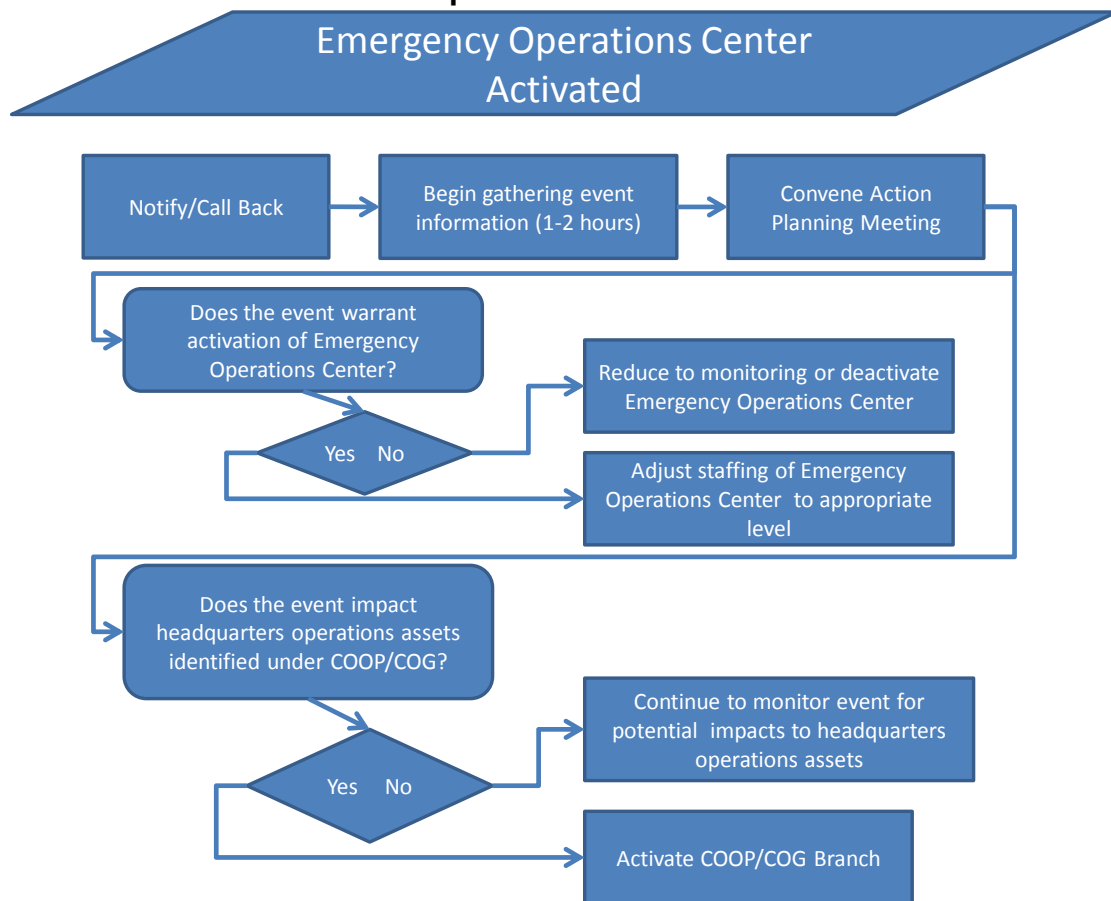
Training and exercising of key staff, entrusted with the authority to call for activation, should include various scenarios that are anticipated through threat analysis, and guidelines for recognizing unforeseen circumstances that create emergencies. Those guidelines should be based on the essential functions identified in the organization’s COOP/COG plan. The greater the number of staff members who are authorized to call for activation of the EOC or the COOP/COG Plan or both, the higher the probability the EOC will be activated in a timely fashion. One challenge that they face, however, is knowing when to activate the EOC or the COOP/COG Plan. The following decision tree provides some guidance on making that decision.

**FIGURE 15: Activation Process**



At the onset of an event, information is likely to be fragmented, inconsistent and conflicting. It is not the function of the staff authorized to activate the EOC to identify the scope and impact of an event at its outset. Their responsibility is to recognize that there is an impact on the organization that must be addressed. Determining the scope and impact of the event, and evaluating the inventory of available resources, are the responsibility of the EOC during the information gathering stage. Because there is little reliable information available during the early stages of an emergency, initially it may be unclear whether the activation should be of the EOC alone, or also of the COOP/COG Plan. That determination must be made as part of the initial Action Plan.

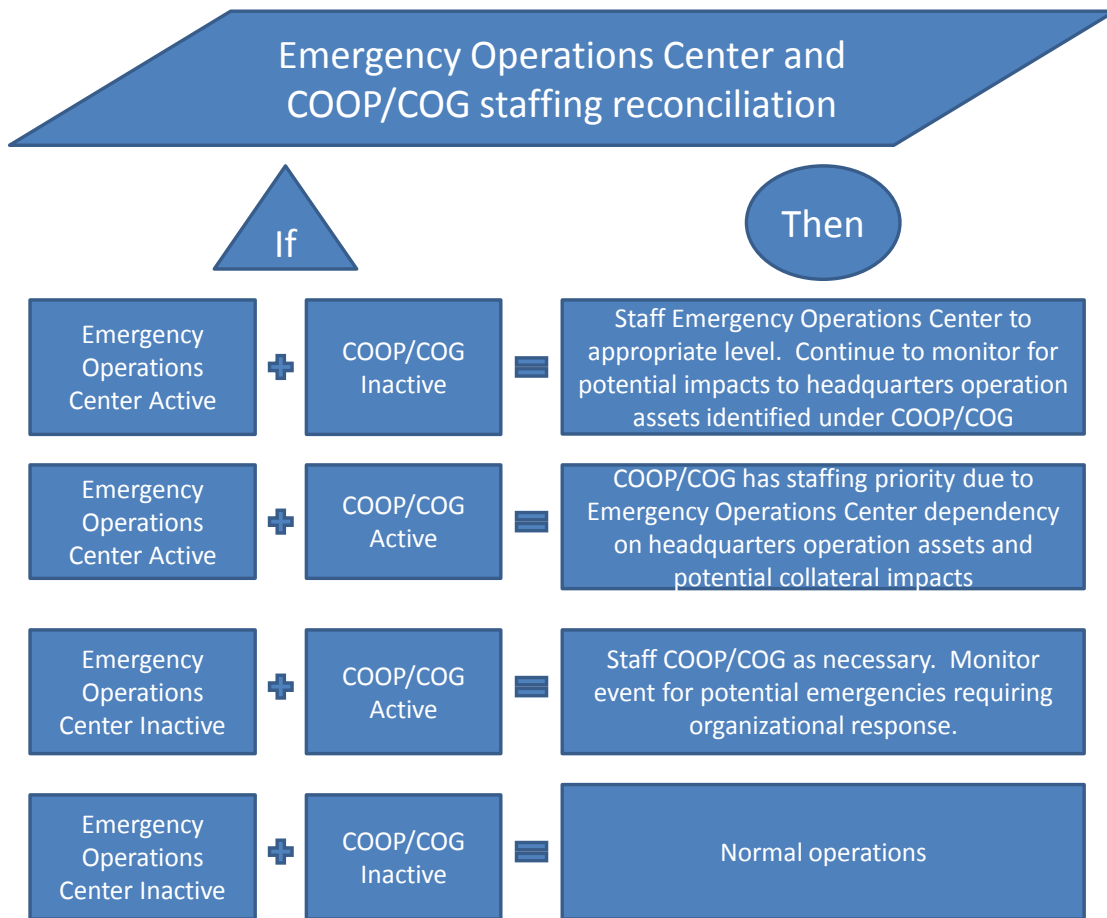
**FIGURE 16: Initial Activation Steps**



Activation of both the EOC and the COOP/COG Plan at the outset of an emergency may strain immediately available personnel and space resources. Duplicate positions, such as the PIO, should be minimized. Priority must be given to the COOP/COG Plan activities, as the essential functions it is responsible for enable long term stability within the EOC and are critical for the successful response of other agencies and departments.



**FIGURE 17: EOC and COOP/COG Staffing Reconciliation**



Even after the initial Action Plan, a periodic assessment must be conducted of the potential need to activate plans that are then not currently active, and the benefit of ending activations currently underway. Therefore, Management must consider the need to activate or deactivate the EOC and the COOP/COG Plan at each Action Planning Briefing.

Personnel with authority to activate the EOC must have adequate training, giving them the confidence to call for an activation at the appropriate time. If personnel fear professional embarrassment over an inappropriate activation, the organization might be put at risk. Therefore, management should establish a “no fault” policy for calling for an EOC activation. An inappropriate activation can best be dealt with through the After Action Report process, which will identify the reasons that the activation was not needed. The activation can still have value as a training opportunity for EOC activation, revealing the currency of staff callback lists and initial EOC activation steps. Understanding how the decision was made may lead to a better activation guideline, to avoid future unnecessary activations.

Initial activation of the EOC includes consideration of the need to activate the COOP/COG plan. At the first Action Planning Briefing the information about the event will assist the Management Section Chief in determining whether the organization is at risk from the emergency, and whether the essential functions can be continued through normal operations. At that point the Management Section Chief can either activate the COOP/COG Branch, or include as a goal for the Planning Section the active monitoring of conditions in the community that might lead to a COOP/COG activation.

By linking the COOP/COG Plan to the EOC's Management Section, the process of activation becomes transparent for staff, effectively making activation a single step process, since the decision to activate the COOP/COG Plan is made at the initial Action Planning Briefing. This reduces the need that would otherwise exist for detailed training of authorized staff on the activation decision points for both plans. This also puts the determination process into senior management's hands after the organization has had an opportunity to assess the situation, with a minimal loss of time.

### **Role of The EOC**

The EOC is a strategic management organization that supports the first responders in the field, and monitors the SHS in the rest of the disaster area to anticipate challenges that will affect worker safety and capability for delivering emergency services. Often called the "crystal ball gazers," the Planning Section's Situation Status Unit collects data about the unfolding events and determines how they will impact the field level service delivery within the existing and coming operational periods. The EOC is the point of coordination with the higher levels of government, including the state EOC.

One important role that the EOC performs is information collection and confirmation for the State DOT as it responds to the disaster. The EOC Management Section Chief briefs the executive leadership of the State DOT regarding the damage assessment of the SHS, the overall impact on the community and the outlook for the next day, for example, whether the situation is getting worse or better. This information allows the State DOT director to determine how to manage resources at his disposal. It also prepares him to give a briefing to the state's emergency council at their next meeting, and support the governor in making policy for the whole state. Key decisions include whether to declare a state of emergency, whether to ask for a Presidential Declaration of a State of Emergency – which means asking for a specific list of resources, or to request a Presidential Disaster Declaration, in which case the National Response Framework elements evaluate the needs of the state and the resources at the disposal of the ESFs, and provide supplies and personnel to the disaster response organization within the state. In either type of Presidential Disaster Declaration the Stafford Act controls what costs are eligible for federal assistance, and the split of costs between federal and state entities.

Policy decisions that affect the field may flow from the briefings to the governor. These may include decisions about the use of scarce resources and how to allocate outside assistance as it becomes available. The decision regarding which community will receive food, water, fuel and medical care first is highly political. State DOT's work in opening roads and issuing overweight and overload permits may determine which decisions can be made. No road means no resources, regardless of the political motivation to make an allocation. Therefore the State DOT is focused on rapid restoration of services at the same time as efficient and effective collection of accurate situation status information.

While the EOC works on its own schedule it is closely related to the field level ICS work. Once the emergency is abated, and the field Incident Command is closed down, the EOC will still be responsible for many aspects of recovery work, especially the reimbursement for all costs from Federal Highway Administration (FHWA), FEMA, insurance policies and responsible parties.

While some of its work may stop when the disaster ends, other tasks will continue for weeks, months or even years. For example, the City of San Jose's EOC staff members remained responsible for the disaster reimbursements until FEMA closed out the disaster declaration for the winter storms of 1990-1991 more than ten years later.

In summary, the State DOT EOC is an information broker, a resource broker, and a mechanism for carrying out the governor's policy decisions. As such the EOC must be attune to the field-level operations underway, monitoring the situation for additional challenges that may develop, coordinated with first responders within the field-level Incident Command System, and familiar with the governor's decisions and political challenges. This focus drives its tasks of creating and maintaining the ability to support the field response while at the same time supporting its own organizational needs. The training course and materials for understanding and operating in the EOC are in Appendix A.

### **COOP/COG as an EOC Branch**

When the President issued HSPD-20 the State DOT was envisioned as the owner of critical infrastructure: Transportation. HSPD-20 views Transportation as the owner of lifelines that are essential to the economy of the entire nation. The federal mandate for state and local partners to develop a COOP/COG capability is predicated on the federal government's need to move rescue and relief goods and services rapidly to the disaster site. State and local officials want to reestablish local economies as rapidly as possible. The focus is on system capability rather than individual region capability.<sup>63</sup>

When the EOC is opened for a disaster – whether impending or existing – the State DOT is a provider of services. It is a partner in delivering goods and personnel to the immediate area of the disaster.

Sometimes the EOC is opened and COOP/COG is not activated. The disaster, caused by a natural hazard or accident, is taking place away from the State DOT headquarters, and the role of the State DOT is to coordinate information, resources and services from other districts to the place where the disaster is occurring. There is no threat to the headquarters, its personnel or its services. The EOC can perform all of its critical tasks.

Sometimes the COOP/COG may be activated when the EOC is not opened. For example, one State DOT discovered mold in its materials testing lab, and the environmental enforcers ordered everyone out of the building immediately, allowing them to take only their personal belongings that they had brought to work that day. Suddenly all the samples of road materials that had been tested and were just awaiting the creation of the final reports were lost, along with all the samples awaiting testing. This caused a stoppage in work at the projects that were ready for approval to use the material. All the equipment was sequestered until it could be cleaned by a licensed contractor, who still had to be found. The COOP/COG function provided a structure of positions that could immediately take over finding the clean-up crew, getting an alternate site for the lab workers, and making decisions about medical oversight for the workers and telework arrangements.

In a major disaster that occurs at or near the headquarters, both the EOC and the COOP/COG element may be activated. This is most likely to occur when personnel have to be rapidly relocated to continue to provide the State DOT's essential functions. Just as the EOC is staffed to provide the critical tasks that have been identified, the COOP/COG organization is staffed to provide the essential functions that have been identified. By federal definition these are activities that cannot be interrupted for more than 12 hours, and that have to continue for at least 30 days in an alternate location under relatively austere circumstances. In most instances the COOP/COG organization will be moving to the same alternate location as the EOC organization during the disaster response, and may continue to operate these after the EOC has closed.

Some other options for integrating the COOP/COG activities with the EOC will be discussed at the end of this section. Whether COOP/COG is a branch of the Management Section of the EOC, as is proposed here, or one of the other configurations to be discussed later is used, it is crucial that the work of the COOP/COG organization be closely coordinated with the work of the EOC, but that the selected system also recognize that two very different activities are happening, albeit simultaneously. Therefore, there can be competition for the scarce resources within the organization itself, which is why having the Management Section Chief make the decisions creates a unified approach to managing the overall event.

**Table B: Essential Function Categories**

Acronym	Term	Definition
NEF	National Essential Function	Overarching responsibilities of the Federal Government to lead and sustain the Nation and will be the primary focus of the Federal Government’s leadership during and in the aftermath of an emergency
PMEF	Primary Mission Essential Function	Those activities that must be performed in order to support the performance of NEFs before, during, and in the aftermath of an emergency. PMEFS need to be continuous or resumed within 12 hours after an event and maintained for up to 30 days or until normal operations can be resumed.
MEF	Mission Essential Function	Those functions that enable an organization to provide vital services, exercise civil authority, maintain the safety of the public, and sustain the industrial/economic base during disruption of normal operations.
SEF	State Essential Function	Those activities that the state’s emergency management organization has designated to be continued with a gap of not more than twelve hours, and that must continue uninterrupted for at least thirty days, even in disaster circumstances.

Source: FEMA, *CGC-1*, p. 7.

Research has revealed that there are twenty-four COOP/COG essential functions that are identified by several State DOTs, some as “State Essential Functions” (SEFs), although not all states have identified all of the same twenty-four functions.

Table C provides this list of the State DOT essential functions, and their relationships to the SEFs, MEFs and PMEFS identified by the federal government in the continuity guidance documents, CGC 1 and CGC 2.

**Table C: Prioritized Essential Functions**

#	State DOT Operating Unit	Essential Functions	Priority (A, B, C)	State Essential Function	PMEF <sup>1</sup>	MEF <sup>2</sup>
1	Director/ Chief Deputy Director	Direct State DOT emergency response and recovery efforts; order activation of COOP/COG; activation of continuity facilities; support the State emergency response effort; ensure State DOT's coordination with local and Federal response agencies	A	X	X	
2	Director/ Chief Deputy Director	Perform oversight of essential maintenance elements for State Highway System (SHS)	A	X	X	X
3	Director/ Chief Deputy Director	Oversee response to emergency situations that affect the safety and operation of the State Highway System.	A	X	X	
4	Public Information	Provide transportation system information to government entities, private sector, and general public.	A	X	X	
5	Admin./ Bus., Facilities & Security	Emergency worksite hazard analysis	A			X
6	Director/ Chief Deputy Dir.	Activate COOP, continuity site, evacuate, shelter in place	A			X
7	Administration / Procurement	Facilitate emergency contracts and procurement.	A	X	X	
8	Administration / Procurement	Acquire and distribute emergency goods and services.	A	X	X	

<sup>1</sup> Primary Mission Essential Function, Federal Continuity Directive 2010

<sup>2</sup> Mission Essential Function, Federal Continuity Directive 2010

#	State DOT Operating Unit	Essential Functions	Priority (A, B, C)	State Essential Function	PMEF <sup>1</sup>	MEF <sup>2</sup>
9	Administration / Business, Facilities & Security	Provide essential building operations and maintenance and security.	A			X
10	Deputy Director-CFO	Safeguard collected funds.	A	X	X	
11	Director/Chief Deputy Director	Provide timely and accurate reporting (Legislative, Financial) to address State DOT's business needs.	A	X	X	
12	Maintenance & Operations/ Radio	Maintain the telecommunications infrastructure.	A	X	X	
13	Maintenance & Operations/ Bridge	Inspect bridges.	B			X
14	Emergency Management/ Homeland Security	Respond to Homeland Security alerts.	A	X	X	
15	Maintenance & Operations/ Traffic Operations- Truck Services	Issue transportation permits for oversized/overweight vehicles.	A	X	X	
16	Deputy Director, Planning & Modal	Coordinate and provide mutual aid to Regional Transportation Planning Agencies, Metropolitan Planning Organizations.	B			X
17	Deputy Director/CFO	Process vendor and government agencies' payments timely and accurately.	A			X

#	State DOT Operating Unit	Essential Functions	Priority (A, B, C)	State Essential Function	PMEF <sup>1</sup>	MEF <sup>2</sup>
18	Deputy Director/CFO	Ensure documentation of expenses in anticipation of the need to collect all disaster moneys owed to State DOT, including Federal funds	A	X	X	
19	Deputy Director/ IT	Maintain the network (e.g. Email) infrastructure and software (e.g. CAD, GIS, MS Office Suite) systems.	A	X	X	
20	Deputy Director for District Operations	Oversee district management of ongoing construction projects (e.g. financial, project oversight, safety, project process, supervision)	B			X
21	Administration / Human Resources	Pay employees and maintain leave and benefits systems.	B			X
22	Administration / Procurement	Facilitate non-emergency contracts and procurement.	C			
23	Administration / Procurement	Acquire and distribute non-emergency goods and services.	C			
24	Deputy Director, Planning & Modal Programs	Ensure the safety of general aviation airports and helipads within the State	B			X

These essential functions support the State DOT organization internally, for example by maintaining employee payroll, essential function #21. They also support the emergency response externally, such as coordinating response to the emergency situation on the SHS, essential function #3. At first it appears that there is a conflict between the description of the EOC and the COOP/COG organization. When both organizations are activated for the same event, there is some duplication in the position descriptions for some EOC workers and some COOP/COG Essential Functions Unit workers. The researchers found no federal guidance that explicitly described how these two



organizations within the same state department would work collaboratively during a disaster.

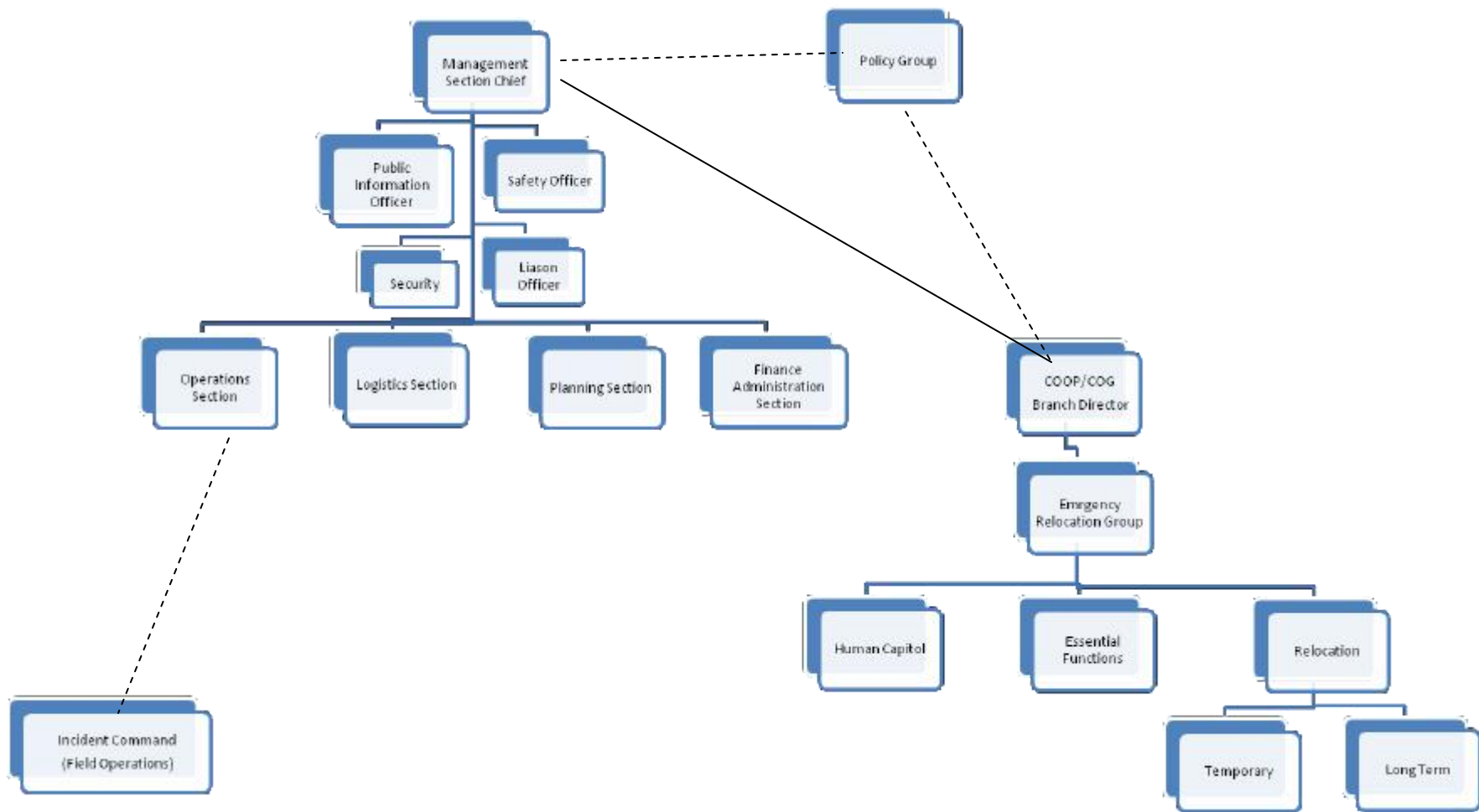
Research suggests that the structure of the standard flexible and hierarchical ICS-based ESF EOC configuration provides a simple solution to the coordination and collaboration problem. COOP/COG becomes a Branch of the Management Section in the EOC. Figure 18 shows how the EOC and the COOP/COG Branch work together. Table D lists the COOP/COG positions, and shows their potential relationship to EOC Sections. Annex B, Tab 4 at the end of the document provides a complete set of COOP/COG Branch position descriptions.

With the COOP/COG executive function performed by the Branch Director who reports directly to the Management Section Chief, there is a direct coordination between the work of the two groups. Each can report to the Policy Group, composed of the State DOT's executive leadership, about the aspects of the disaster most under his control. In addition, the COOP/COG Branch Director can attend the Action Planning Briefings for the EOC and give a five minute report like the Section Chiefs, ensuring that the EOC knows what the COOP/COG Branch is working on, and the COOP/COG Branch knows what the EOC is coordinating. When the action plan for the next action period is created the needs of both the EOC and the COOP/COG Branch can be included.

Under this proposal, the Management Section Chief makes the decision regarding which positions are activated in the EOC, and which positions are activated in the COOP/COG Branch. For example, there are likely to be Public Information requirements in each element, but these needs can be filled by one person who works for the Management Section Chief and collects information from the EOC and the COOP/COG Branch Director, or by having two people – a PIO and an Assistant PIO- collaborate to create messages for the Management Section Chief's approval, one focusing on the emergency response of the EOC, while the other focuses on the maintenance of essential functions and contact with employees, clients and vendors.

The Operations Section has the greatest potential for duplication of activities with the Essential Functions Unit (EFU) of the Emergency Relocation Group, as shown in Table C below, but this can be resolved by the Management Section Chief either deciding which elements to activate in the EFU, or assigning specific different responsibilities to each element, with Operations handling outward facing activities and COOP/COG handling inward facing activities. While the Operations Section of the EOC focuses on the immediate emergency, the COOP/COG Branch EFU member may focus on activities that have to be performed within the week, or to facilitate restoration and recovery.

Figure 18: COOP/COG Branch in the EOC



When the COOP/COG organization is independent of the EOC there is the likelihood of duplication of effort and confusion of chain of command. When the Management Section forms the nexus for the EOC and the COOP/COG Branch, coordination is enhanced through the Action Planning process and the common Action Plan for the common Operational Period.

**TABLE D: COOP/COG POSITIONS**

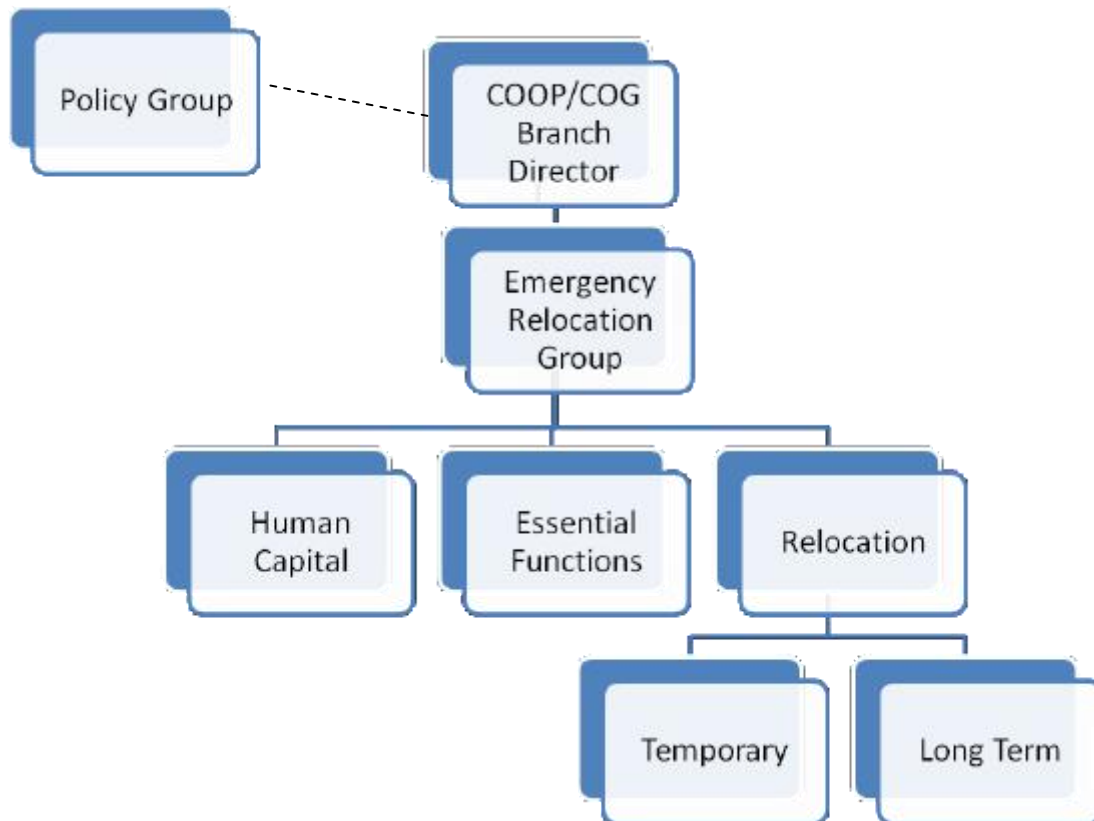
<b><i>COOP/COG ELEMENT</i></b>	<b><i>POSITION TITLE</i></b>	<b><i>WORK MAY BE SIMILAR TO EOC SECTION</i></b>
COOP/COG Branch	COOP/COG Branch Director	No
	PIO	Management/PIO
Emergency Relocation Group (ERG)	ERG Supervisor	No
Human Capital Unit	Human Capital Unit Leader	No – non-emergency
Essential Functions Unit	Bridge Maintenance & Investigations	Operations
	Budget	No
	Contracts	No – non-emergency
	Electrical	Operations
	Equipment	Logstics/Fleet
	Facilities	Logistics/Facilities
	Geographic Information System	Logistics/IT
	Hazardous Materials	Operations or Planning
	Information Technology	Logistics/IT

	Integrated Maintenance Management- SHS	No
	Major Damage/Director's Orders	No
	Radio Communications	Logistics/IT
	Roadside Maintenance	Operations
	Safety	Operations/ICS Safety
	Traffic Operations/ TMC	No
	Web Support	Logistics/IT
Relocation Unit	Relocation Unit Leader	No
	Temporary Relocation	No
	Long Term Relocation	No

**The Work of the COOP/COG Branch**

The twenty-four essential functions listed in Table C above form the basis for the creation of the COOP/COG Branch, which is staffed by personnel listed in Table D above. As the FEMA EOC guidance states, the work to be done determines the staffing needed.<sup>64</sup> The COOP/COG Branch Director has to manage the relationships with the other elements of the Branch, the EOC, and the Policy Group. This position will need PIO support to ensure that the stakeholders of the COOP/COG Branch, such as IT, Personnel, vendors and the traveling public, are kept apprised of the progress in restoring the SHS. Human Capital has to be managed during the phase when the headquarters is lost, telework and other labor arrangements are used during the disaster, and the point when relocation permits the phasing in of normal operations. Relocation has to be focused on where work can be done right now, within thirty days but for not more than six months (temporary relocation), and for a longer- and perhaps permanent – time (long-term relocation). Finally, many people have to work together to ensure the continued delivery of all twenty four essential functions, both during the disaster and during the recovery, for many of the essential functions facilitate that recovery.

**Figure 19: COOP/COG Branch**



Note: Nomenclature for the COOP/COG Branch derives from FEMA IS 546, IS 547.a. and IS 548.

The COOP/COG Branch Director coordinates and manages the overall work plan for the COOP/COG Branch and serves all executive functions, including coordination with the Management Section Chief. A PIO works for the COOP/COG Branch Director to ensure that timely notification is made to State DOT staff and stakeholders about the progress of State DOT internal disaster response and recovery issues.

COOP/COG events will probably require the relocation of some or all of the State DOT staff, out of the disaster area to a place with appropriate facilities, power and vital records, to permit resumption of the essential functions within the 12 hour time frame. The rapid delivery of essential functions is facilitated by the pre-event work of the COOP/COG Branch, who have identified and stocked alternate sites for the State DOT headquarters activities. In the pre-event phase all the COOP/COG Branch members must participate in developing lists of vital records and equipment to be cached at the alternate work sites. In addition, they must prepare themselves to go to the alternate work site, and their families to weather the disaster without them.

The people who relocate to provide the essential services are the Emergency Relocation Group (ERG), working directly for the COOP/COG Branch Director. One unit is focused on Human Capital, managing the assignments of ERG positions and telework, and determining which State DOT workers will be told to stay home until called back. This position coordinates with the labor relations entities to ensure that workers know how to use benefits during the emergency, and how to get paid for their time off.

Another critical issue is the relocation of the State DOT headquarters. If the problem is transitory – such as a fire in the headquarters that caused mostly smoke and water damage- the alternate worksite may be adequate to support the essential functions until the headquarters can be reoccupied. If the damage is more extensive, or if there are regional utility outages, the ERG Relocation Unit's Temporary team may have to find another work location for headquarters for a few months. In the worst case the Long Term team may have to find a new space to buy or rent, or even have something built in conjunction with State General Services.

Provision of the twenty-four identified essential functions is the real focus of the work of the COOP/COG. The Essential Functions Unit provides inward facing services like payroll processing, and outward facing functions like oversight of essential maintenance on the SHS. Each member of the EFU has specific work that has to continue uninterrupted for at least thirty days, even when the headquarters building is lost or the region lacks power. Complete position descriptions for a selected set of examples for a State DOT's activities are included in Appendix B, Tab 4. Their work ranges from Bridge Maintenance and Investigations to Budget, and from Electrical to GIS. A set of training materials for the COOP/COG Branch is in Appendix B.

In summary, the COOP/COG Branch includes personnel capable of providing oversight to a variety of activities required for the service delivery work of the organization to continue, despite a disaster in one part of the state. Even if hundreds of square miles of river valley are flooded, the people in other parts of the state expect their highway construction projects to move forward on schedule and within budget. While the first responders want overweight permits immediately to facilitate moving a replacement generator for the nuclear power plant, the EMS personnel want the flooded road to the hospital replaced immediately with a temporary structure. The challenge to the State DOT is to manage its resources to accomplish as many of the tasks put before it as possible, taking into account the governor's policy direction and the resources at hand. A COOP/COG Branch within the EOC provides a clear chain of command to ensure that work is achieved in an efficient and effective manner, on time and within budget.

### **Alternate COOP/COG Branch Configurations**

Some organizations may prefer not to create a branch in the Management Section, as pure ICS only provides for branches in Operations and Logistics Sections. However, as noted above, NIMS does not mandate pure ICS in the EOC, and after studying a number of possible configurations, the researchers determined that the creation of a

branch within the Management Section created the clearest chain of command and least confusion over roles and responsibilities.

Some State DOT organizations may prefer to use a different configuration for internal reasons, such as the small number of people available to staff the EOC and COOP/COG positions. Another configuration might make it easier to create positions that serve both an EOC and a COOP/COG purpose when personnel resources are stretched thin.

One alternative is to make COOP/COG a branch within the Operations Section of the EOC. This means that the Operations Chief would be overseeing the allocation of activities and resources to support both those involved in the immediate life-saving activities of the field, and those involved in the organizational and managerial functions which must be maintained uninterrupted to continue to support the field, like payroll and vital records. This could create conflicts of interest within the subunits of the Operations Section, as emergency response and organizational survival compete for scarce personnel, materiel and financial resources.

The EFU has positions supporting essential functions, such as the maintenance of the SHS, that appear to duplicate work in the Operations Section during a State DOT EOC activation. However, COOP/COG includes the Human Capital Unit and Relocation Unit which are closer to activities in the Logistics Section; and the EFU which includes activities to collect adequate documentation of costs to ensure reimbursement by appropriate parties, which is closer to the work of the Finance Section. One argument for making COOP/COG a branch of the Operations Section is to prevent duplication of effort, and clearly this is not actually achieved for these units.

Another approach might be to create a COOP/COG Officer within the Management Section instead of a branch. In reviewing the list of COOP/COG Branch positions, it might be possible to assign the work of the personnel related to EOC Sections to those sections, and to keep only the activities without EOC counterparts as activities of the COOP/COG Officer. Generally the Management Section Office positions are single person functions, but there is a precedent for multiple support personnel under an officer, such as in the PIO activity. There are generally several people staffing the PIO activity, including rumor control, executive briefings, media briefings, and preparation of outreach materials including non-English materials. However, all of them are focused on a single activity: getting out authorized information about the emergency. In the case of the COOP/COG officer, he would be overseeing vastly different work. For example, the Human Capital Unit is responsible for all the displaced employees who are not working in the emergency response organization. This person has to be familiar with labor law, existing labor agreements, and telework capabilities in order to manage the employees who are unable to access a worksite. This would include headquarters receptionists, janitors, mailroom workers and internal administration workers, anyone not supporting the field emergency response or the twenty-four essential functions. In a large headquarters this could amount to hundreds of workers. In addition, the COOP/COG Officer would be overseeing the Budget worker whose job is to track

normal expenditures and ensure that all bills, such as the medical insurance premiums, accounts payable and payroll, continue to be processed on time to avoid penalties or employee backlash, even though there is a disaster. In a COOP/COG Officer organization system one person would be responsible for doing all the COOP/COG tasks, perhaps with two or three staff. But with twenty-four different activities, it is unlikely that two or three people could manage the scope of activities embodied in Budget, Human Capital and Long Term Relocation.

A third option that was considered was breaking out all the positions with EOC counterparts as shown in Table D, and adding those to the EOC sections as additional groups or units. In this model all the Logistics/IT activities would be assigned under the EOC Logistics Chief, for example. This still left six disparate emergency relocation group activities to be performed under some umbrella outside of the existing EOC sections, and the Human Capital and Relocation Units without a coordination point within the EOC. A completely separate COOP/COG organization could have been set up for these functions, but then the problem of establishing coordination and collaboration with the EOC arises again. The Relocation Unit could have become a branch under Logistics, but the resource demands for rapidly locating and furnishing a temporary headquarters facility, and developing the plan for a long term relocation, are likely to overwhelm the Section's resources. Since there is no need to coordinate the temporary relocation of the headquarters with the location of the first responders' lodging or feeding facility, which is the normal focus of an EOC Logistics Section's Facilities Unit, the addition of the Relocation Unit into the Logistics Section does not create any efficiencies, while potentially detracting from the emergency focus of the EOC.

Examination of this option did lead to the possible configuration of the COOP/COG Branch to include the six ERG activities without EOC Section relationships and the Relocation Unit within the branch director's supervision, and placing the other COOP/COG activities as units within the related EOC sections. The benefit is better coordination of similar roles between the EOC and COOP/COG organization. The disadvantage is the loss of unified supervision and planning focused on essential functions within the COOP/COG Branch. However, a hybrid model creating a Management Section branch for the COOP/COG unique activities and a series of units for essential functions within EOC Sections is an option that might appeal to organizations with few personnel or other resource constraints.

A fourth option could be the creation of a COOP/COG Planning Unit within the Planning Section of the EOC. The Planning Section generally focuses on situation status, damage assessment, documentation and technical specialists. The COOP/COG activity does not logically merge with any of these. It could be added to Planning to ensure that the activities of COOP/COG respond to the existing situation, and that its work is properly documented, but this placement does not support the work of the COOP/COG units, such as Human Capital and Relocation, while all but six of the EFU activities have other EOC Sections that they relate to.



While integrating the COOP/COG organization into the EOC may appeal based on prevention of potential duplication of services, the price is a loss of focus on the emergency response. For example, would the Operations Section have the capacity to maintain liaison and support for the rapidly unfolding field operations and at the same time deal with the oversight of existing construction contracts in areas outside the disaster? Would the Logistics IT staff have the capacity to maintain the statewide highway signage program while supporting the needs for augmented radio communications within the disaster area? In a non-COOP/COG emergency event, the purpose of setting up a separate emergency operations center outside of the day-to-day offices is to provide for a sharp focus on support of field response. In a COOP/COG event, when the day-to-day headquarters offices are not usable, the field needs are likely to be even greater, and the need for the EOC to focus on the field intensified. Trying to blend maintenance of the day-to-day headquarters functions with field level support would divide available resources between emergency response and maintenance of the state DOT's twenty-four essential services. For most organizations with a large enough staff, having two separate organizations joined at the executive level provides the opportunity for each to focus on its task, thereby supporting the other.

In a COOP/COG Branch organization structure, the COOP/COG Branch Director reports directly to the Management Section Chief. The immediate needs of the emergency response are evaluated along with the maintenance of essential functions. Resource allocations are made based on the overall needs of the organization, weighted equally. If the COOP/COG function goes under a section, the COOP/COG issues have to compete for priority within the section. In Operations the field emergency response will take priority for hours to days, while essential function work may be bypassed. Since only the Section Chiefs and Management staff participate in the Action Planning meetings, COOP/COG needs and concerns may never reach the level within the section's priorities to be placed on the Action Plan for the next period. Since the EOC is a hierarchical organization, the COOP/COG Branch Director or COOP/COG Group Supervisor within the Operations Section would not have access to the Management Section Chief.

There are many potential configurations for the work of the COOP/COG organization. In some agencies they report directly to the organization's executive director, bypassing the EOC entirely. The research suggests that a tie to the EOC is essential for efficient management of the work of emergency response with the maintenance of the headquarters' overall essential functions. The COOP/COG Branch configuration seems to provide for the greatest opportunity for collaboration and coordination, and create the best efficiencies, without creating unnecessary work or taking away resources from the EOC's essential emergency focus.

## ENDNOTES

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- <sup>13</sup> Department of Homeland Security, *Critical Infrastructure and Key Resources Support Annex* (Washington, D.C.: Department of Homeland Security, 2008), p. CIKR-2. Accessed May 3, 2011 at <http://www.fema.gov/pdf/emergency/nrf/nrf-support-cikr.pdf>.
- <sup>14</sup> Donald F. Kettl, *System Under Stress* (Washington, D.C.: CQ Press, 2007).
- <sup>15</sup> Christopher Cooper and Robert Block, *Disaster! Hurricane Katrina and the Failure of Homeland Security* (New York: Henry Holt and Company, 2006).
- <sup>16</sup> *Ibid.*
- <sup>17</sup> *Ibid.*
- <sup>18</sup> The President may declare a disaster under the Stafford Act at the request of a governor or state legislature. Federal resources cannot go into a state until the governor or legislature makes the request.
- <sup>19</sup> Department of Homeland Security, *NRF, ESF#1, ESF#1-2*.
- <sup>20</sup> Department of Homeland Security, *Preparing the States: Implementing Continuity of Operations Training* (Washington, D.C.: DHS, Office of Grants and Training, 2006).
- <sup>21</sup> For example, California Emergency Management Agency, *Preparing the State: Continuity Planning Guidance and Plan Template (Building Organizational Resiliency)*, (Sacramento, CA: CalEMA Preparedness Branch, 2009).
- <sup>22</sup> Alison Dunn, “Brave New World: Helping Business Continuity Survive and Thrive in Today’s New Economic Reality,” *Continuity e-Guide (November 14, 2009)*. Accessed November 14, 2009 at <http://disaster-resource.com/newsletter/2009/subpages/v310/meettheexpert.com>.
- <sup>23</sup> Note that Tab 10 contains a list of auxiliary training materials to support specific aspects of COOP/COG Branch work. There is also an extensive list of publications related to COOP/COG and emergency management which is Appendix J of Frances L. Edwards and

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- Daniel C. Goodrich, *Handbook of Emergency Management for State-Level Transportation Agencies* (San Jose, CA: Mineta Transportation Institute, 2010).
- <sup>24</sup> There are three circumstances in which federal assets can enter a state for disaster response: invitation from the governor or legislature, disaster on federal property within the state, and if state government is unable to act, as outlined in the Catastrophic Incident Annex to the National Response Plan, December 2004.
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- <sup>30</sup> *Ibid.*, 1-1.
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- <sup>32</sup> *Ibid.*, 2-13.
- <sup>33</sup> *Ibid.*, 2-11.
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- <sup>36</sup> Edwards and Goodrich, *Handbook*, p. 14.
- <sup>37</sup> FEMA, *Federal Preparedness Circular 65 Federal Executive Branch Continuity of Government (COOP)*. Accessed June 12, 2010 at [http://www.fema.gov/pdf/library/fpc65\\_0604.pdf](http://www.fema.gov/pdf/library/fpc65_0604.pdf).
- <sup>38</sup> Richard T. Sylves, "Budgeting for Emergency Management," in *Emergency Management: Principles and Practice for Local Government*, ed. William L. Waugh and Kathleen Tierney, 299-318 (Washington, D.C.: ICMA Press, 2007).
- <sup>39</sup> Frances L. Edwards and Daniel C. Goodrich, "Organizing for Emergency Management," in *Emergency Management: Principles and Practice for Local Government*, ed. William L. Waugh and Kathleen Tierney, 39-55 (Washington, D.C.: ICMA Press, 2007).
- <sup>40</sup> President George W. Bush, *Homeland Security Presidential Directive-7 Critical Infrastructure And Key Resources Provide The Essential Services That Underpin American Society*. (Washington, D.C.: The White House, December 23, 2003).
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- <sup>44</sup> Cooper and Block.
- <sup>45</sup> Anabelle Boyd, *et al.*, *Continuity of Operations (COOP) Guidelines for Transportation Agencies*. NCHRP Report 525, vol. 8. (Washington, D.C.: Transportation Research Board, 2005).

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- <sup>46</sup> US Department of Transportation, Federal Highway Administration. (2006). *Simplified Guide to the Incident Command System for Transportation Professionals*. Washington, D.C.: US DOT/FHWA.
- <sup>47</sup> Edwards and Goodrich, *Handbook*, 15.
- <sup>48</sup> Department of Homeland Security, HSPD-20 Annex A. (2008). Accessed on January 16, 2009 from [http://www.dhs.gov/xabout/laws/gc\\_1215544078004.shtm](http://www.dhs.gov/xabout/laws/gc_1215544078004.shtm).
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- <sup>50</sup> FEMA, *CGC 1*, p. ii.
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- <sup>52</sup> Department of Homeland Security, *Federal Executive Branch Mission Essential Function and Primary Mission Essential Function Identification and Submission Process*. Washington, DC: DHS, 2008.
- <sup>53</sup> *Ibid.*, p. i.
- <sup>54</sup> Department of Homeland Security, *National Response Framework* (2008). Accessed May 1, 2011 at <http://www.fema.gov/emergency/nrf/aboutNRF.htm>.
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- <sup>62</sup> FEMA, IS-775.
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# ACRONYMS AND GLOSSARY

## ACRONYMS

BCP	Business Continuity Planning
Caltrans	California Department of Transportation
CGC 1	Continuity Guidance Circular 1, 2008
CGC 2	Continuity Guidance Circular 2, 2010
CI/KR	Critical Infrastructure/Key Resources
COG	Continuity of Government
COOP	Continuity of Operations
DHS	Department of Homeland Security
EOC	Emergency Operations Center
ERG	Emergency Relocation Group
FEMA	Federal Emergency Management Agency
FHWA	Federal Highway Administration
HSPD	Homeland Security Presidential Directive
ICS	Incident Command System
MEF	Mission Essential Functions
MTI	Mineta Transportation Institute
NIMS	National Incident Management System
NIPP	National Infrastructure Protection Plan
NRF	National Response Framework
PDD	Presidential Decision Directive
PMEF	Primary Mission Essential Functions
SEF	State Essential Function

SEMS	Standardized Emergency Management System (California)
SHS	State Highway System
State DOT	Department of Transportation within a state government
USDOT	United States Department of Transportation

<b>GLOSSARY</b>	
Emergency Support Function	A list of fifteen categories of assistance that the federal government can provide to communities during Presidentially declared disasters. ESF #1 is Transportation, for example. Each ESF has a lead agency and other federal partner agencies. For example, US Department of Transportation is the lead agency for ESF #1, and ten other federal agencies provide support, such as the Department of Defense and the Post Office.
Federal Response Plan	Written in 1988 and updated in 2000, the Federal Response Plan describes what the federal government will do for state and local governments during a Presidentially declared emergency. It includes the original list of ESFs.
National Response Center	The nation's emergency operations center, located in Washington, D.C. and operated by senior personnel of the Department of Homeland Security.
National Response Framework	Written after Hurricane Katrina called federal disaster response capabilities into question, this was the third version of an emergency response plan that describes the intergovernmental relationships during Presidentially declared disasters. It catalogs the resources that the federal government can provide to states and local jurisdictions when their own resources are exhausted, maintaining the ESF system.

National Response Plan	After the attacks of 9/11 the Federal Response Plan was deemed too federal-centric. The National Response Plan was created to demonstrate a more integrated system of local, state and federal partnerships, and included NGOs, tribes and the private sector. It lacked stakeholder support, and training on its features was just beginning when Hurricane Katrina struck and called federal disaster response capabilities into question.
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## ABOUT THE AUTHORS

### FRANCES L. EDWARDS, M.U.P., PH.D., CEM

Frannie Edwards is the director of the Master of Public Administration program and professor of political science at San José State University. She is Deputy Director of the DHS NTSCOE of the Mineta Transportation Institute at SJSU, where she is also a Research Associate, and teaches emergency management in the Master of Science in Transportation Management program. Her current research is focused on the continuity of operations process and its relationship to emergency management in transportation organizations. She is also researching issues related to climate change and transportation, and transportation security issues. She is a member of the National Academy of Sciences Transportation Research Board's ABE40 Committee, focused on critical infrastructure security.

Dr. Edwards has recently been guest editor for publications on climate change, and on disaster recovery following Hurricane Katrina. This year she delivered papers at the American Society for Public Administration National Conference, at the FEMA Higher Education conference, at the DHS Transportation Security Roundtable, and at a number of local emergency management events. Last year's FEMA presentation led to the creation, with Dan Goodrich, of "Campus Emergency Planning," a chapter in *The Challenges of Higher Education and Emergency Management*. Other recent work includes chapters in *Cultural Competency in Disaster Mitigation, Planning, Response and Recovery*; *Minority Resilience and the Legacy of Disaster*; and forthcoming chapters with Dan Goodrich in *Natural Hazard Mitigation: A Handbook for Practitioners and Academics*.

In June 2011 Dr. Edwards was interviewed on the CNN Headline News "Newsmakers" program regarding an MTI report on the DHS "See Something, Say Something" program. Dr. Edwards's most recent publications for MTI, all co-authored with Dan Goodrich, have included a study of exercises for transportation and transit agencies, the *Handbook of Emergency Management for State-Level Transportation Agencies*, and a supplement to the earlier report on *The Role of Transportation in Campus Emergency Planning*, created from their 2010 FEMA Higher Education Conference session.

Dr. Edwards was appointed U.S. chair for the European Union CAST Project for the development of unified training for first responders. She has done research in global supply chain security, resulting in a chapter co-authored with Dan Goodrich, published in *Supply Chain Security: International Innovations and Practices for Moving Goods Safely and Efficiently*. She has delivered papers at a number other of emergency management and homeland security conferences over the years including the Natural Hazards Conference, the Department of Homeland Security Center of Excellence conference, the Stevenson Disaster Institute at Louisiana State University, and annually at the American Society for Public Administration. Her paper for the Stevenson Institute on



cross border disaster response was published in the *Journal of Contingency and Crisis Management*. In June 2007 she was a guest of the Turkish government at the Second Istanbul Conference on Democracy and Global Security, and her paper titled "Police in Catastrophic Response: Lessons Learned from Hurricane Katrina" was published in Turkey's professional journal for law enforcement. She received the Petak Award for the best paper in emergency management delivered at the 2006 ASPA conference, which focused on the distinctions between prevention and mitigation.

Dr. Edwards was a 2006 Fellow of the Foundation for Defense of Democracies, and studied Middle Eastern terrorism at Tel Aviv University. She chaired the 2006 NATO STS-CNAD meeting for 20 nations in Portugal, and presented a paper there on the evolution of American emergency management. The book, *NATO and Terrorism: On Scene! Emergency Management after a Major Terror Attack*, co-authored with Professor Friedrich Steinhausler of Salzburg University, grew out of the March 2006 NATO workshop. She has been guest editor for six special issues of *The Public Manager*, in which she published articles on Hurricane Katrina. Other articles include, "Federal Intervention in Local Emergency Planning: Nightmare on Main Street," in *State and Local Government Review*, and "An Ounce of Prevention Is Worth a Pound of Cure: Improving Communication to Reduce Mortality During Bioterrorism Responses," with Margaret L. Brandeau and other colleagues from Stanford University, in *American Journal of Disaster Medicine*, March/April 2008. Dr. Edward's other publications include *Mercury News* op-eds on homeland security, *NATO and Terrorism: Catastrophic Terrorism and First Responders* with Dr. Steinhausler, *Saving City Lifelines* with Brian Jenkins, and chapters in ICMA's *Emergency Management, with Dan Goodrich*; and *Homeland Security Law and Policy, First to Arrive, Handbook of Crisis and Disaster Management, The New Terror*; and entries in the *WMD Encyclopedia*. She has also published over 30 articles in journals, and delivered professional papers at more than 35 conferences.

Previously, Dr. Edwards was director of the Office of Emergency Services in San José, California for 14 years, including one year as acting assistant chief, San José Fire Department. She was director of San Jose's Metropolitan Medical Task Force (MMTF), a CBRNE terrorism response unit, and head of the four-county "San José Urban Area Security Initiative." In 2004 she co-chaired the NATO Advanced Research Workshop in Germany where she delivered a paper on research needs to support first responders to CBRNE terrorism. In October 2001, while Dr. Edwards was director of the Office of Emergency Services, the *Wall Street Journal* called San José the "best prepared city in the United States" for disasters. She represented emergency management on the five night "Bio-War" series on ABC's "Nightline with Ted Koppel" in October 1999. She has been a member of the Stanford University Working Group on Chemical and Biological Warfare, the Department of Justice's Executive Session on Domestic Preparedness at the Kennedy School of Government at Harvard University, the National Academy of Sciences Institute of Medicine MMRS Review Committee, and the California Seismic Safety Commission. She was named Public Official of the Year 2002 by *Governing* magazine, and one of the "Power 100 of Silicon Valley" by *San José Magazine*. She has a Ph.D. in public administration, a Master of Urban Planning, an M.A. in Political Science (International Relations) and a Certificate in Hazardous Materials Management.

## DANIEL C. GOODRICH, M.P.A., CEM

Dan Goodrich is a Research Associate with the Mineta Transportation Institute, and an instructor in the Master of Science in Transportation Management program, where he teaches Security for Transportation Managers. His current research is focused on the continuity of operations process and its relationship to emergency management in transportation organizations, and on transportation security issues, especially related to critical infrastructure protection.

This year Mr. Goodrich has delivered papers at the American Society for Public Administration National Conference and at the FEMA Higher Education conference. Last year's FEMA presentation led to the creation, with Frannie Edwards, of the recently published "Campus Emergency Planning," a chapter in *The Challenges of Higher Education and Emergency Management*. Other recent work includes forthcoming chapters with Dr. Edwards in *Natural Hazard Mitigation: A Handbook for Practitioners and Academics*. Mr. Goodrich's most recent publications for MTI, all co-authored with Dr. Edwards, have included a study of exercises for transportation and transit agencies, the *Handbook of Emergency Management for State-Level Transportation Agencies*, and a supplement to the earlier report on *The Role of Transportation in Campus Emergency Planning*, also created from their 2010 FEMA Higher Education Conference session.

Mr. Goodrich has done research in global supply chain security, resulting in a chapter co-authored with Dr. Edwards, published in *Supply Chain Security: International Innovations and Practices for Moving Goods Safely and Efficiently*. He has co-authored a chapter, "Organizing for Emergency Management" in the ICMA textbook *Emergency Management* with Dr. Edwards, and has 3 entries on nuclear topics in *The WMD Encyclopedia*. He has delivered papers at eight other emergency management and homeland security conferences over the years, including the Natural Hazards Conference.

Mr. Goodrich was appointed U.S. Security Documents Reviewer for the European Union's CAST Project, focused on the development of unified training for first responders across EU member states. In June 2007 he was a guest of the Turkish government at the Second Istanbul Conference on Democracy and Global Security, and his paper on policing after disasters was published in Turkey. He was selected as a 2006 Fellow of the Foundation for Defense of Democracies, studying Middle Eastern terrorism in Israel at Tel Aviv University.

He delivered a paper on Fourth Generation Warfare at the 2006 NATO STS-CNAD meeting for 20 nations in Portugal, which was adopted as an annex for *NATO and Terrorism: On Scene!*, the book developed from the workshop by Dr. Edwards and Dr. Friedrich Steinhausler. In 2004 he chaired a session on "First Responders" at the NATO Advanced Research Workshop in Germany that focused on the research needs to

support first responders to CBRNE terrorism. He also serviced as a member of the NATO Expert Session on Nuclear Security Transportation in 2003-4.

Mr. Goodrich has been an active member of the San José Metropolitan Medical Task Force, a CBRNE response unit, since 1999, where he has served as exercise director for eight facilitated exercises, a model of exercise that he developed. Harvard University's Kennedy School of Government has selected the creation of this exercise style for a case study in its executive management series.

Mr. Goodrich's civilian career has included emergency management positions for the City of San Jose, the Santa Clara County Public Health Department and Lockheed Martin Space Systems Company. He currently serves as a consultant to the California Department of Transportation on emergency management and continuity of operations planning and training, and has provided training services for NASA/Ames Research Center staff in emergency management.

Mr. Goodrich served in the United States Marine Corps for ten years, including leadership positions in Security Forces. He is distinguished with rifle and a member of the President's Hundred. He also served for six years in the Army Reserve Military Police as a small arms instructor and a member of the U.S. Army Reserve shooting team. He was recalled to active duty in 2003 to train reservists being deployed to Iraq and Iraqi civilian officials.

Mr. Goodrich has a Master of Public Administration degree from San José State University, and is a Certified Emergency Manager and a FEMA Professional Continuity Practitioner.

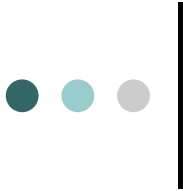
## **PEER REVIEW**

San Jose State University, of the California State University system, and the MTI Board of Trustees have agreed upon a peer review process required for all research published by MTI. The purpose of the review process is to ensure that the results presented are based upon a professionally acceptable research protocol.

Research projects begin with the approval of a scope of work by the sponsoring entities, with in-process reviews by the MTI Research Director and the Research Associated Policy Oversight Committee (RAPOC). Review of the draft research product is conducted by the Research Committee of the Board of Trustees and may include invited critiques from other professionals in the subject field. The review is based on the professional propriety of the research methodology.

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# Appendix A



## State DOT Emergency Operations Center Training



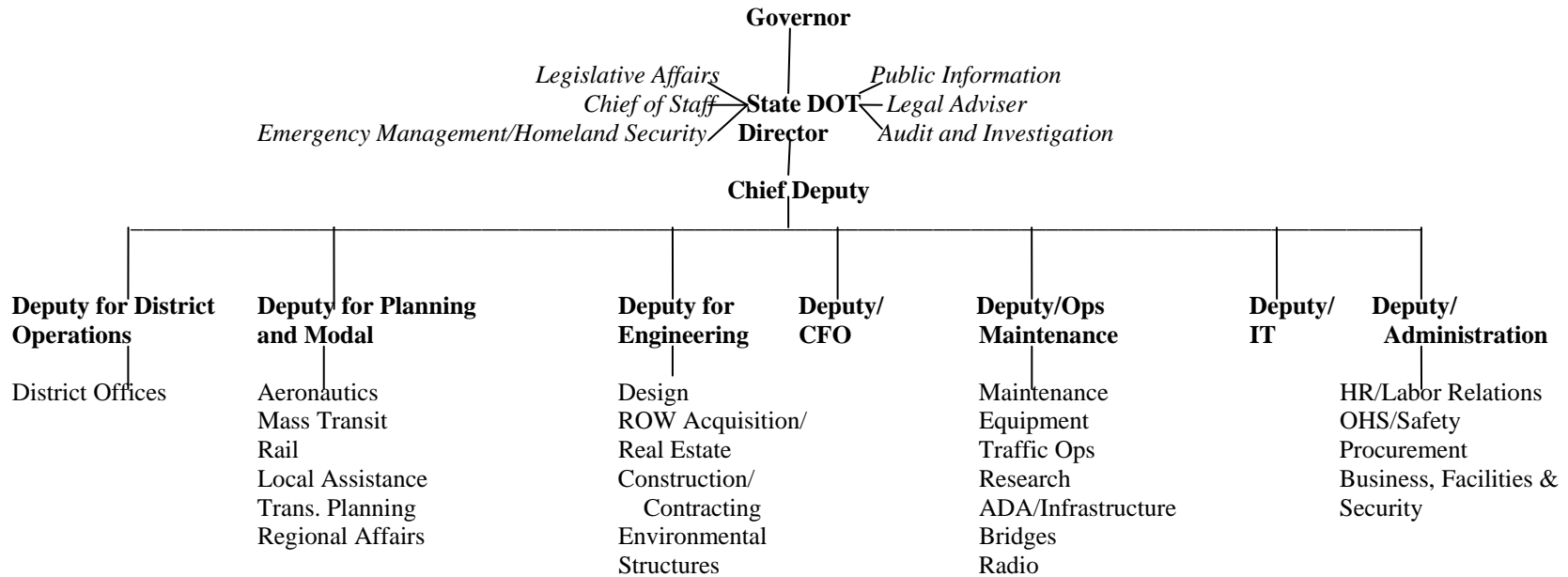
## **GENERIC STATE DOT ORGANIZATION**

Every State Department of Transportation has its own organizational structure. However, for the purpose of training personnel from multiple agencies in the same class there has to be a generic baseline organization that the training is based on. The organizational charts from five large states with complex organizations were reviewed to create a generic State DOT organization chart for the purposes of understanding how to structure a State DOT emergency response organization.

Generic Annexes also have to be provided to enable students to understand the roles of the various sections and branches in a State DOT emergency operations center. The annexes describe the work of the section and then provide checklists for the roles that each section member plays. This generic set of annexes and checklists is based on research conducted at San Jose State University and the California Department of Transportation, using the model plan from the California Emergency Management Agency. The annexes comply with Incident Command System nomenclature and National Incident Management System concepts. They are based on California's Standardized Emergency Management System (SEMS), created in 1993 to bring ICS into the EOC. Now that NIMS is a national system this approach creates a seamless organization from the field through executive management during a disaster.

The instructional materials for organizing the EOC under ICS have been designed using the same generic organizational concept. Individual agencies should consider any significant deviations in their organizational structure or state laws and refine the generic materials accordingly, in order to avoid confusing students. The generic organization chart is provided to assist with the conversion of position titles from the generic to agency-specific when customizing these course materials.

## *Generic State DOT Organization Chart*



Note: This organization chart was developed using the charts of five large state Transportation organizations. It serves as the background organization for the generic Continuity of Operations/Continuity of Government Plan (COOP/COG) when assigning individual and departmental responsibilities within the Essential Functions. Organizations using this plan as a template should substitute their own organization charts and change the Essential Functions assignments to fit the analogous positions within the actual organization.



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## **Table of Contents**

Tab 1	Schedule
Tab 2	Power Point Presentation
Tab 3	Scenario (to be distributed in class) and Activities
Tab 4	Acronyms and Glossary
Tab 5	Sample Organization Charts
Tab 6	PIO Guidance materials
Tab 7	ICS Forms
Tab 8	Generic EOC Section Checklists
Tab 9	Home and Personal Preparedness Fliers

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**TAB 1**

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# **ICS in the State-Level DOT EOC Schedule**

**Agenda (times approximate, adjusted to meet the needs of the small group process)**

**Introduction: 30 minutes**

- **Introduction of staff**
- **Student self-introductions**
- **Review of materials**

**ICS/NIMS in the EOC: 2 hours (lecture)**

- **Threat Assessment**
- **Four phases of Emergency Management (review)**
- **EOC Relationships: District/Headquarters/SOC**
- **ICS in the EOC**
  - **Roles of EOC positions**

**Activity 1: Establishing the EOC staffing – 30 minutes (2 groups and report out)**

**Activity 2: Role of the Management Section, scenario driven – 45 minutes (2 groups and report out)**

**Activity 3: Role of the Planning/Intel Section, scenario driven – 45 minutes (2 groups and report out)**

**Action Planning in the EOC: 1 hour (lecture)**

**Activity 4: Action Planning Exercise, scenario driven – 1.5 hours (2 groups and report out)**

**Activity 5: Resource Management, scenario driven – 45 minutes (2 groups and report out)**

**Activity 6: Role of the Finance Section, scenario driven – 45 minutes (2 groups and report out)**

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# TAB 2



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(Notes to Instructor:

Each slide has a Note Page with it. Most include information for the instructor. In some cases there is guidance on the types of issues to address while the slide is visible. In other cases there is a script to guide the lecture.

When the Note Page contains only information to guide activities, it is called “Notes to Instructor.” When the material is in quotation marks it is intended as a script that instructors may read verbatim or modify at their discretion. Material in parentheses is not intended to be read aloud.

Get a list of registered students in advance and divide them into 2 groups, trying to have mixture of assigned roles in each group to make populating the organization chart relatively easy. If possible, you may wish to have one group that has the more experienced staff members and one for newer staff members. This will allow instructors to keep one group challenged to do more creative thinking while the other group will be encouraged to think through the processes for the first time. While mixing capabilities may allow students to teach each other, the more experienced students tend to move through their thought processes quickly, often leaving the newer people unsure about how decisions were reached. Also, more experienced staff members may resist sitting through the rudimentary conversations about EOCs that will inevitably be a part of teaching new staff members. Use your discretion based on your knowledge of the organization and the attendees.

The class requires easy access to 2 spaces: a large space for whole group and a break out space for half of the group for the Activities portions.)

## Emergency Operations Center Training: Bringing ICS Into the EOC

- Staff Introductions
- Participant Self Introductions

2

(Notes to instructor: During this segment be sure that all students are signed in and have the class materials. Remind them to sign in again after lunch.

Go over emergency exit plan.

Remind students that ADA accommodations are available upon request to the lead instructor.

Note the length of time for lunch each day, plans for breaks, and locations of restrooms.

Have each member of the training staff give his/her name, current position, experience working in an EOC environment and/or planning for a real emergency or disaster event.

Have each student give his/her name, current position and specific job in the EOC – at least the assigned EOC Section: Management, Operations, Planning, Logistics, Finance/Administration. Note that during the small group activities the students will be representing their sections and working with people from other sections. Note that the group has been divided into 2 groups to ensure that there is a mix of sections in each group.

Emphasize that this is an *intermediate* NIMS class. It is assumed that all students have completed the prerequisite FEMA Independent Study courses on line: IS100, IS 200, IS 700a, and IS 800b.)

## Emergency Operations Center Resource Materials: Binder Review

- Tab 1 = Schedule for the day, instructor bios
- Tab 2 = PPT Presentation in 3-to-a-page Handout page format
- Tab 3 = Glossary of Terms
- Tab 4 = Example EOC organization chart
- Tab 5 = PIO guidance, useful for Exercise #2
- Tab 6 = Scenarios and small group activities
- Tab 7 = Set of ICS forms used in this exercise
- Tab 8 = State-Level Transportation Organization EOC Position Checklists. Review the EOC Checklist for your position as a refresher on your role

3

Have the students open their binders and go through the tabs with you. Make sure they look at each section to be familiar with the location and content of the guidance documents and reference materials. After the review of all the tabs say, “This is your personal EOC reference binder. Write in it, add materials to it as you learn more about your position, and keep it updated as the position annexes are changed each year. Use the post-it notes provided on the tables to make tabs for the pages you will access most, and to write yourself reminders about your activities as we work through today’s training.”

[Note to Instructor: It is recommended that in advance of class you select 2 scenarios to use for the day, one natural hazard and one technological hazard. These should be within the capability of the group to handle. The scenarios should be challenging but manageable for the students. We have provided some examples for you, but you should create scenarios that are relevant to your location and organization, for example, perhaps a hurricane if you are an Atlantic-facing state.

We recommend that you **do not** include any scenarios in the binder, just a place where the students can put the scenario when they get it. You will then “reveal” the elements at the appropriate time: the scenario description sheet with Activity 1 when they populate the Organization Chart, the media information with Activity 2, and the resource information with Activity 5.]

- **Additional Resources: for further study**
  - International City Management Association, (Waugh and Tierney, eds.), *Emergency Management: Principles and Practice for Local Government*
  - William L. Waugh, Jr., *Living With Hazards, Dealing with Disaster*
  - FEMA – Independent Study Courses  
<http://training.fema.gov/IS/crslist.asp>
  - Professional Development Series  
<http://training.fema.gov/IS/searchIS.asp?keywords=PDS>

“The ICMA publishes a ‚green book’ series as educational material for city managers. The ICMA Emergency Management book is the standard emergency management text for public agency leaders. It is available through most on-line book retailers, both new and used.

“Waugh’s book is a simple-to-read overview of natural hazards and emergency management. It includes many brief case studies to make the information very accessible for non-specialists.

“In addition to the independent study courses required as prerequisites for this course there are many other useful and interesting courses to select from at the FEMA site. The URL is shown here.

“For those with a professional assignment to emergency management roles, or who have an interest in becoming more knowledgeable about emergency management, FEMA offers an organized group of courses that lead to a Professional Development Certificate. The URL is shown here.”

## NIMS TRAINING IS REQUIRED BY HSPD-5



- HSPD-5:
- (3) Single, comprehensive approach to domestic incident management
- (15) Interoperability and compatibility among federal/state/local, based on ICS
- (17) June 1, 2003 established
- (20) FFY 2005 compliance
- 2011 Transit Security Grant considers NIMS implementation for award of grant funds.

“The following items are excerpts from HSPD-5 and the 2011 Transit Grant Kit:

“(3) To prevent, prepare for, respond to, and recover from terrorist attacks, major disasters, and other emergencies, the United States Government shall establish a single, comprehensive approach to domestic incident management. The objective of the United States Government is to ensure that all levels of government across the Nation have the capability to work efficiently and effectively together, using a national approach to domestic incident management. In these efforts, with regard to domestic incidents, the United States Government treats crisis management and consequence management as a single, integrated function, rather than as two separate functions

“(15)... To provide for interoperability and compatibility among Federal, State, and local capabilities, the NIMS will include a core set of concepts, principles, terminology, and technologies covering the incident command system

“(17) (b) By June 1, 2003, (1) in consultation with Federal departments and agencies and with State and local governments, develop a national system of standards, guidelines, and protocols to implement the NIMS; and (2) establish a mechanism for ensuring ongoing management and maintenance of the NIMS, including regular consultation with other Federal departments and agencies and with State and local governments.

“(20) Beginning in Fiscal Year 2005, Federal departments and agencies shall make adoption of the NIMS a requirement, to the extent permitted by law, for providing Federal preparedness assistance through grants, contracts, or other activities. The Secretary shall develop standards and guidelines for determining whether a State or local entity has adopted the NIMS.

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“2011 Transit Security Grant Guidance, page 26: Federal FY 2010 NIMS implementation must be considered prior to allocation of any Federal preparedness awards in FY 2011. “

## Review of Today's Learning Plan

- **Threat Assessment**
- **EOC Relationships**
- **ICS in the EOC**
- **Action Planning**
- **Methods**
  - Lecture
  - Interactive group activities



6

“Today’s class will review threats to transportation organizations, then examine the relationships among the EOCs activated during a disaster. We will look at using the ICS structure within the EOC to ensure both interoperability with the ICS organizations in the field and maintenance of ICS-mandated span of control. We will examine how Action Planning in the EOC facilitates setting achievable goals and integrates all sections around a common set of objectives.

“The methods used today will include lecture and group process. This is an eight hour class, of which about 3 hours are lecture and 5 hours are small group work or group reports.

“Are there any questions about the notebook, the content of today’s class, or the reason that NIMS training is necessary?”

(Note for Instructors: Field any questions from students based on your knowledge of NIMS and of the functions of an EOC.)



## EOC Training: Goals

- Understand
  - NIMS terms, five functions
  - Disaster management principles, goals and keys to success
  - Relationships of State DOT EOC and other EOCs
  - Concepts and procedures for the State DOT EOC as it manages in a NIMS environment and coordinates with the SOC.



“This chart shows how ICS is used in the EOC. You will notice that the general staff positions are identical, but the leadership position is called **Management** in the EOC, while it is called **Command** in the field. [Note: some students may be used to EOC Manager, EOC Director or other terms, but in any case it is a management function with a strategic focus, rather than a command function with a tactical focus.]

“At the end of today you should

-understand and be able to use NIMS terminology for the five functions within an EOC.

-- understand the principles of disaster management

-- understand the relationships between the State DOT and other EOCs that may be operational during a disaster

-Understand how to integrate the role of the State DOT with the State’s Emergency Operations Center during a disaster.”



## EOC Training: Purpose



- Provides background to function in State DOT EOC
- Provides orientation and hands-on skills
- Designed to address needs for basic EOC functioning

“The purpose of today’s class is to give you some experience working within the ICS structure in an EOC. The small group activities will give you practice in playing several roles, or supporting several roles, that are used in an EOC during a disaster. It is hoped that you will achieve two kinds of knowledge from the small group work:

1. Become familiar with the different positions within the EOC, so you understand what others are doing while you are doing your EOC job; and
2. Become prepared to take any EOC role where you are needed during a disaster. With the help of today’s training and practice sessions, and the EOC Checklist set, you should be able to fill any EOC role for which you have the technical knowledge. Since in a disaster roads may be blocked and the intended leadership may be unable to get to the EOC, all EOC staff members need to be flexible, and prepared to take on different roles to ensure that all essential transportation functions are performed to ensure the preservation of life, limitation of casualties, protection of the environment, property, and the economy.”

## Threat Analysis



**Hazard + Likelihood + Vulnerability = Threat**

“Basic threat analysis has three parts: the presence of a hazard, the likelihood of its occurrence, and the vulnerability to the hazard. For example, California cannot have hurricanes because the ocean water is so cold, thus there is no hurricane threat in California. This threat analysis is shown as a mathematical formula only to show that there is a cumulative effect ; if the hazard exists, like hurricanes in Florida, you have to determine whether a hurricane is likely, and what would be damaged if it happened. Adding these concepts up gives you the threat analysis , whether it is a real and significant problem – like a hurricane in Miami, or a real but unlikely event – like a meteor strike on New York City.”

## Hazard

- **Natural**
  - Hurricanes
  - Rain/Lightning/Hail
  - Snow/Ice
  - Wind/Tornado
  - Flood
  - Insect/Pest Infestation
  - Pandemic
  - Urban Wildland Interface Fire
  - Earthquake
    - Shaking
    - Landslides
    - Liquefaction
    - Levee failure



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“Hazards are placed in three categories: natural, technological and human-caused, intentional and accidental.

“This slide lists natural hazards that exist in various parts of the nation. Some states will experience most of these hazards, while others may have the possibility of only a few. Some hazards lead to cascading disasters, which make their management much more difficult. For example, a hurricane brings with it severe wind damage and can lead to flooding. An earthquake causes surface shaking, which can lead to landslides and levee failures. In certain types of loose granular soils the shaking can cause water to rise to the surface – a phenomenon called liquefaction- which in turn can cause the foundations of buildings to fail. Natural hazards that cascade are clearly more difficult to manage, and the consequences may continue to build, for example in succeeding after shocks following an earthquake.

“Pandemics can occur naturally. Diseases mutate in nature, causing the population’s existing resistance to the disease to fail. The so-called Spanish Flu in the early 1900s is the most famous pandemic, circling the globe twice before stopping.

“Swine flu, avian flu, and SARS are examples of diseases that crossed the species boundary to human hosts without immunity. West Nile Virus was a disease not experienced in the US before the late 1990s, so the elderly New Yorkers who were bitten by the infected mosquitoes had no resistance.”

## Hazard



- **Technological**
  - Power outage
  - Haz mat release
  - Transportation accident: road, rail, air
- **Human error/intent**
  - Medical emergency-industrial accident to heart attack
  - Vehicle accident
  - Fire
  - Workplace violence- California Street, ESL, Laidlaw bus yard

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“Some hazards result from the technology used in modern communities. Loss of power can result in people being trapped when elevators do not work, loss of medical gases in homes and hospitals, and loss of heating and air conditioning, which can worsen medical problems for the ill and elderly. Hazardous materials releases can cause inhalation hazards to the population, and can result in people having to shelter-in-place or evacuate. Transportation accidents can be as simple as a multi-car accident on the freeway that snarls rush hour traffic, or as complex as an airliner being used as a bomb.

“Some emergencies are caused by an element of human intent, while others are the result of carelessness. An urban fire may be caused by using power tools around dry brush, or by arson. Medical emergencies may come from pre-existing medical conditions or the misuse of equipment. Workplace violence may be caused by inter-personal relations among work colleagues, the firing of a worker, or dissatisfaction with services provided by a law firm, as in the California Street shooting in San Francisco.

“What starts as a single event in a single location can still have cascading effects. For example, improperly decontaminated victims of a hazardous materials accident may contaminate a med-evac helicopter and cause the pilot to pass out, resulting in an aviation accident with victims on the ground.”

## Hazard

- **Terrorism**

- Explosives: US anti-war, IRA, Palestine, WTC 1993 and 9/11/01, Madrid, London
- Chemical: WW I chlorine gas, Iran/Iraq War, Sarin in Tokyo
- Nuclear/ Radiological: hoax, scare- fuel rods

- Biological: Aum Shin Rikyo in Yokohama; The Dalles, Oregon; anthrax Fla, DC, NYC; 151 “white powder” calls Oct 2001



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“Terrorism is a long-standing threat to civilization, as small bands of discontented people use subterfuge and stealth tactics to take on a well-armed adversary, such as their own government, an occupying force or political enemies. Even before the 9/11 attacks in the US, modern terrorism was well known in Europe, where anarchists and Irish and Israeli separatists used terror tactics in the 1880s and into the twentieth century. Labor unrest, anti-war movements and animal rights movements have all had terroristic elements in the United States. This slide lists some of the well-known terrorist events and threats of the late 20<sup>th</sup> and early 21<sup>st</sup> centuries. (Note to Instructor: elaborate if time permits.)

“It should be noted that while nuclear weapons pose a state-based threat, getting a nuclear bomb to explode requires a suite of knowledge unlikely to be available to a single terrorist group. However, radiological materials such as medical isotopes and sensors in smoke detectors are readily available, and would permit the construction of a radiological pipe bomb with shrapnel that would register on a radiological detector after being deposited throughout the crime scene. While deaths would be caused by the shrapnel as with any explosive device, there is an added fear factor when the shrapnel is radioactive. Cleaning up the site of such an explosion would be costly and time consuming, adding an economic element to the damage.

“The Department of Homeland Security and the FBI have threat analysis techniques that are applied to transportation resources and other critical infrastructure to determine the appropriate investment in counter tactics. A threat analysis is the basis for the award of most DHS grants, such as Transit Security Grants, for example. The threat analysis is also part of the eligibility selection process for most federal financial assistance for counter-terrorism, organizational preparedness, and test, training and exercise programs.”

## Likelihood of occurrence

- Sources of information

- Local Government:

- Emergency Plan
    - Fire Department statistics
    - Police Department statistics
    - Planning Department
    - Public Works Dept.
    - Office of Emergency Services



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“State-level transportation agencies do not have to start a threat evaluation from the beginning. Much of the ground work has already been laid by other agencies within the community under study. When considering the threats to a highway or railway, emergency managers can turn to the local government’s existing emergency operations plan, to see what hazards have been identified as likely in that community. The fire department’s statistics demonstrate how many conflagrations and wildland fires have occurred there. Police departments have terrorism threat analyses, including a list of the most likely targets and their proximity to critical infrastructure like transportation assets. The planning department has maps of geotechnical hazards, and the public works department tracks hydrological data for the community. The local Office of Emergency Services may already have a comprehensive threat analysis for the community that takes into account multiple hazards that may interact to cause cascading events, such as an earthquake leading to levee failures and flooding.

“As shown on the slide, fire department dispatchers will be aware of transportation hazards such as the location of railroad grade-level crossings in a community, airport glide paths and heli-spot locations. Their databases and maps are a good source of timely information.”



## Likelihood of Occurrence



- Other partners:
  - County Public Health Department
  - Local gas and electric utility statistics
  - Local flood control agency reports & website
  - National Weather Service
  - US Geological Survey
  - Federal Bureau of Investigation

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“In addition to the local government, state-level transportation agencies can turn to county public health for information on potential pandemics, and to the local utility for information on power outages and the location of natural gas transmission lines. The county flood control agency has an inventory of water courses and the likelihood of flooding. The National Weather Service has a database of meteorological activity, while the US Geological Survey tracks hydrological data, seismic data and ground movement from landslides. The local FBI office tracks criminal behavior, including identified terrorist groups, and can advise on whether there is an identified threat to transportation infrastructure.”

## Vulnerability

- Who will be affected?
  - Size of the population at risk
  - Special needs?
- What will be affected?
  - Infrastructure
- What will happen?
  - Deaths, property loss, environmental damage, economic damage



Human vulnerability to Hurricane Katrina



Highway vulnerability to Northridge Earthquake

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“Once the state-level transportation agency is aware of the hazards that exist, and the likelihood of their occurrence at any given location, the last question is, “What or who will be affected?” Flash floods in the desert are spectacular, even moving boulders, but if there is no human habitation and no critical infrastructure in the area, the event goes unnoticed. However, transportation infrastructure serves a population and an economy, so its disruption will have an impact, either local or distant. “

(Read slide)

“The last element of the threat analysis involves making a list of those hazards that exist in the area of the state being studied that have a reasonable likelihood of occurring within the lifetime of the transportation infrastructure under development, and then identifying whether there is a human population at risk, how existing infrastructure will be effected, and what would happen in the worst case. For example, I-5 runs north and south in California. There is a bridge through an isolated portion of that route that carries most of the industrial trucking for the West Coast. If that bridge were to be lost, the economic impact would be devastating, as there is no workable detour for the largest vehicles. There is a rail tunnel on the East Coast that carries most of the freight for the whole eastern seaboard, and its loss for several days as a result of a fire caused severe economic impacts to good shipments of all kinds. The closure of one port caused the entire Midwestern corn harvest to drop in value because it could not be moved to willing buyers overseas, and caused a glut on the USA market. These kinds of vulnerabilities must be understood and planned for through mitigation and redundancy, and intentional workarounds.”



## Four Phases of Emergency Management



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“A way to understand emergency management is to see it as a *cycle* with *four overlapping phases*: prevention/ mitigation, planning/preparedness, response and recovery. These four phases occur simultaneously, and often overlap for years. Mitigation and preparedness often occur at the same time. Recovery should include mitigation, as repairs and replacement of damaged property take into account the need to strengthen the new structures against the recent hazard.”

## Prevention and Mitigation

### – Avoid hazard, lessen impact or harm

- **Structural safety:** foundations, sheer walls, tilt-up/URM/soft story evaluation and retrofit, fire resistant roofs
- **Location:** Not in flood plain, dam failure or landslide zone
- **Non-structural safety:**
  - furnishings, equipment, fire alarms/smoke detectors, first aid kits, showers/eye wash facilities,
  - thorough compliance with haz mat storage requirements,
  - site security: badges, metal detectors, X-ray



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“The goal of the prevention and mitigation phase is to avoid future harm, lessen the impact of a hazard event or lessen the harm from a terrorist event. The top photo shows a California house with a fireproof roof. Experience shows that such roofs can actually protect the house, even in a wildland interface fire event. The other photo is a smoke detector, now commonly found in homes, and credited with saving thousands of lives each year in house fires.

“There are various kinds of mitigation and prevention steps that can be taken. The structure can be built to be more resistant to the identified hazards: shaking, flooding, wind, fire. A structure can be built in a safer, more defensible or more stable place. Once the structure is completed the non-structural elements can also be managed to contribute to its safety. “

(Read the slide)

## Prevention and Mitigation



- *Training staff:* CPR/first aid, defensive driving, drop, cover and hold, fire safety, evacuation, haz mat handling safety, sandbagging/flood response (vehicle movement, evacuation)
- *Off-site storage of vital records/critical data:* “take home” plan, internet based storage, hot site/cold site plan
- *Insurance:* business continuity, health, mental health, vehicle, fire, wind, flood, commercial earthquake; workers comp

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“Staff training is another element of prevention and mitigation. Hazard awareness should be part of every job. (review first bullet)

“Vital records are critical to the continuity of business operations. Before a disaster the leadership of every organization needs to consider which are the vital records, and then ensure that they are backed-up, stored, or replicated in cyberspace to ensure that business resumption will be rapid. While state-level transportation departments are often highly decentralized, there are some vital records that exist only in headquarters. Emergency management leaders need to make a conscious effort to select and safeguard those records. (review second bullet)

“While many public entities are self-insured, some carry specific insurance policies that are a form of economic mitigation, lessening the financial impact of a disaster. (review third bullet).

“Note that FEMA has a “one bite of the apple” approach. If a public agency receives funding to repair a flooded building under the Public Assistance program, the public owner must carry a national flood insurance policy on that building from then on, or there will be no more federal Public Assistance if the building is flooded again. Therefore, many public agencies have flood insurance policies with FEMA on maintenance buildings and garages, buildings not covered by FHWA reimbursements.”

## Planning / Preparedness



### – Anticipating response needs

- annual drills/exercising
  - Family and neighborhood at home
  - Fire and evacuation drills at work
- personal preparedness at home and work
  - **EVERYONE** should have a “fly away” kit
- stockpile and rotate supplies
  - Home, work
- customer and external partners information plan
- refresher training

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“Some things – like earthquakes, hurricanes and cyclical winter storms – cannot be prevented. Instead people and organizations need to prepare for the anticipated events.” (Read slide.)

“For example, San Jose knows that a portion of the Guadalupe River has not been retrofitted yet for needed capacity when winter storms come. During heavy rain water runs out at the low point of the river and could flood the economically important downtown area. The top photo shows an exercise using a bladder dam to block the main street under I-280 to prevent the flood water from the Guadalupe River from reaching the downtown. The bladder dam redirects the water back to another low point in the river where it has been widened to take on more water. The flooding is limited to an area where damage would be minimal.

“Personal preparedness at home and at work is crucial. The state-level transportation agency is counting on its human capital to manage emergency response for the traveling public. If people are worried about their families they will not stay at work. If people have no water or medications, they may be unable to stay at work. Part of preparedness is getting employees and their families prepared with a family plan, and by making supply kits at home and at work. Employees who may have to go into the field should have professional supplies, like maps, charts, a laptop computer, radio, cellular phone with charger, and personal support materials, like outdoor clothing appropriate for the season. Fliers with personal and family guidance are behind Tab 9. The bottom photo is an example of a personal car or desk kit for one person for 3 days. Additional personal items should be added, like medications.”

– **Response** –steps to save lives, environment and property

- **implement plan:** personnel safety, property/ financial security
- **use training:** protect vital records, use alternate facilities
- **cooperate** with requests from State DOT Headquarters EOC, State DOT District EOCs in affected areas when requested
- **support** field level
- **contact** insurers

**Response**




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“When the hazard that was likely occurs, the organization is ready with an emergency plan. The State DOT opens its EOC to coordinate the resources of the whole organization to respond to life saving, environmental protection, and property protection. (read slide).

“The field response may be led by police or fire personnel, as shown in the top photo. State DOT’s main role may be supporting the first responders in getting to the scene of the event by inspecting roads to ensure that they are safe to drive on, removing debris and mud that would make driving dangerous, creating exclusive routes for first responders only, while re-routing the public to other highways, or issuing overweight permits to allow heavy equipment and rescue supplies to travel safely to the response point.

“Sometimes Public Works, or even DOT, is the lead agency. The focus may be on clearing damaged vehicles, making way for ambulance personnel, or shoring up levees, culverts or storm drains that have been damaged by the accident or natural event. The lower slide shows a local government transportation worker reinforcing a levee along a road.”



## Recovery



### – Short-term Recovery

- damage assessment, emergency repair contracts
- critical incident stress care of staff
- review successes and failures and update plan
- restart internal business processes

### – Long-term Recovery

- replace damaged facilities/equipment
- review insurance coverage
- Restart local economy

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“When life safety has been restored the recovery of the organization’s structures and facilities becomes the focus of effort. Damaged State DOT infrastructure has to be assessed, emergency repairs have to be made, and estimates of costs have to be developed. For damaged property that is part of the State Highway System (SHS), the Federal Highway Administration (FHWA) may pay for repair or replacement costs. However, FHWA reimbursement is limited to the roads themselves, so damage to maintenance facilities, garages and accessory structures may be covered by the FEMA Public Assistance program. Reimbursements through FEMA must be done through the State’s emergency management agency. Coordinate with the State’s EMA to ensure that State DOT follows the required bidding procedures for FEMA Public Assistance program reimbursement. Also, determine if there is a responsible party who can be billed for damage, or if there is National Flood Insurance Program coverage for any of the State DOT damaged properties.

“Another focus of recovery is the well-being of the staff members who participated in the response to the disaster. Ensure that they have appropriate opportunities for group defusing and counseling.

“Recovery also offers a chance to review the emergency plans that were used in the response, and to determine whether they were adequate, or whether they need to be updated. Remember that NIMS compliance is required for participation in federal funding streams.

“In a major event regular business processes may have stopped in some departments of the State DOT to focus on disaster response. During recovery those processes must be restarted. plans have to be made for the permanent repair or replacement of the damaged property, and steps must be taken to restart the local economy.”

## Questions?

- Are there any questions about threat assessment or the four phases of emergency management?



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(Note to Instructor: read the slide, answer student questions about the foregoing material.)

## ICS in the EOC: Overview

- Based on Incident Command System - used by fire service throughout the United States
- ICS is recognized by FEMA as the standard; liability if not used
- Ease of integration with outside agencies during disaster response
  - fire, medical, NGO's - ARC, Salvation Army



“The National Incident Management System - NIMS - mandates the use of ICS in the field during any disaster event that involves multiple agencies. Since FEMA has identified ICS as the standard system for managing disasters, failure to comply could bring negligence claims against the agency by disaster victims claiming that their losses stemmed from the local agency’s failure to use appropriate systems to respond.

“However, NIMS does not mandate a specific method for managing EOCs. Some agencies have adopted ICS-based systems. Experience in the field has shown that successful disaster management requires groupings of activities, allowing people to work across disciplines.

“Adopting the ICS structure in the EOC permits groups to focus on specific action areas – management, operations, logistics, planning, and finance/administration – across departments and divisions. Another advantage to matching the field organizational structure is that communication between the EOC and the field is simplified, as the EOC mirrors the field process.

“California adopted ICS in the EOC in 1993, and called it Standardized Emergency Management System (SEMS). SEMS has been used in the Northridge Earthquake, numerous federally declared floods, dozens of wildland interface fires, and many other emergencies and disasters. Ease of integration has led to successful use of mutual aid, collaboration across jurisdictions, and efficient use of scarce resources.

“ICS has also been adopted by the private sector and NGOs, so an ICS-based EOC is more easily understood by private and NGO partners.”



## ICS in the EOC

- ICS has two different approaches to leadership, one in the EOC and one in the field
- **Command** is the focus in the field
  - Role is tactical, to determine how to apply resources to end the disaster
- **Management** focus in the EOC
  - Role is policy, goals setting, support
  - Management of assets to ensure that the needs of the field forces are met
  - Management of information to ensure that higher levels of government are kept informed, and reimbursement is maximized



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“In the field the *Incident Commander* is focused on ending the disaster. This is accomplished by *the tactical* application of available resources, setting measurable and achievable goals.

“In the *EOC the focus is the strategic Management* of resources in support of the field. The EOC works with the executive leadership of the organization- known as the Policy Group- to set policy for the overall management of the event. The EOC’s Management Section Chief is responsible for setting goals for the EOC staff to achieve during a defined Action Period, mirroring the field’s management structure. While the Incident Action Period in the field may encompass a complete personnel work shift because the goals all relate to ending the disaster, the Action Period in the EOC may be as short as two hours, as the focus is on collecting intelligence to be used to keep the Policy Group and other levels of government informed about the progress of the disaster. They are also focused on supporting the needs of the field, whether it is for opening a shelter for the victims, or providing hot meals for the responders. The EOC has more robust systems and structures for making emergency contracts for supplies and services, as well as access to computer-based directories, purchase order information and mutual aid contacts.

“The EOC can also more easily track the on-going expenses, and keep track of the documentation and justification to ensure the maximum reimbursements from the federal government, responsible parties and insurance policies.”

## ICS in the EOC: Features

- Common terminology: positions, equipment
- Top down, expandable, flexible, adaptable: staff what you need, multiple jobs for one person or multiple people for one task, depending on the size of the event
- Supports field (tactical) operations



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“ICS in the EOC shares important features with ICS in the field.

1. Common terminology for positions, personnel and equipment prevents confusion when resources are ordered.
2. The systems are both based on a top down development strategy. The first person in the door of the EOC is the Management Section Chief. As more people respond the positions are filled by the most qualified person present to do the job. Thus the Management Section Chief position in the EOC may pass to someone with a higher position in the organization, just as command may pass in the field.
3. ICS in the EOC allows the organization to fill only the positions that are needed for that disaster. There may be a number of people in the Operations Section representing law enforcement, fire service, emergency medical service, NGOs and transportation. There may be only one person in Finance/Administration because tracking the resources using pre-established accounting numbers may enable one person to also handle the time keeping and claims units. There may be one computer technician in Logistics, or one for networks, one for desktop applications and one for coaching EOC staff members in using GIS.

“The focus is always on supporting the field, keeping the Policy Group informed, and ensuring the collection of data for reimbursement.”

## ICS in the EOC: Goals



- Save lives
- Care for casualties
- Limit further casualties
- Limit further damage to structures and environment
- Reassure and care for the public
- Restore normal functions as soon as possible

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“When the EOC is initially opened the first person to arrive is the Management Section Chief. That person starts the initial Action Period and sets the initial goals. In most emergencies the goals are initially the same: (read slide).

“These goals apply equally in the State DOT EOC. The State DOT supports the first responders in the field to ensure that they have safe passage to the disaster site when SHS facilities are involved. The State DOT supports other levels of government and other modes of transportation that are partners in the transportation network. State DOT EOC staff use their knowledge to undertake actions to limit damage to the SHS. The first question people ask in the disaster area is, „how can I get to...my child’s school, my mother’s nursing home, my home.’ Thus the State DOT smart transportation resources, road sensors, and traffic cameras collect information about road conditions, which allows the State DOT public information officers to develop messages for the public regarding open and closed roads, detours, evacuations and other essential information. State DOT may use its own electronic sign system on the roadways, as well as media messages, 5-1-1 system capabilities and toll free numbers to reassure the public and keep them informed about the best and safest routes home.

“State DOT engineers will begin repair, restoration and replacement of the road system as quickly as possible, using their own resources and contracted resources. The disaster response relies on open transportation routes for the delivery of first responders, emergency response equipment and relief supplies; for moving victims out of harm’s way; and for moving goods to market. Without a functioning transportation system the economy suffers and disaster recovery is delayed.”

# ICS Management Principles

- Planning
- Organizing
- Leading (coordinating and communicating)
- Evaluating
- Improving



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“The incident command system, whether in the field or in the EOC, relies on basic business management principles.

(Read slide)

“These principles are used in business and public administration to guide day-to-day work. They work effectively to guide disaster response.”

## Learning from Past Disasters

- Activate as early as possible
- Staff initially to a high enough level
- Delegate authority within the management team (ICS)
- Assume and plan for failures of the system
- Monitor operating effectiveness
- Be flexible - make changes as needed



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“Emergency managers have learned from past disasters that it is important to „prepare for the worst and hope for the best.’ These suggestions have grown out of real-world experiences with EOC activation in fires, floods, earthquakes and hurricanes.

(Read slide)

“So the overall message is that getting a head start enables you to gather information quickly and accurately, assess the information to understand the emergency situation and its impact on SHS, and try a variety of strategies to meet the needs of the disaster. The emergency manager pictured here is receiving a declaration of local emergency from the mayor and council. This is a reminder that all disasters are local, and the SHS is located in every jurisdiction within the state. Even when the disaster is not statewide it may impact SHS facilities within a community and require the activation of the State DOT EOC.”

## Keys to Effective Disaster Management

- Emergency organization in place (EOP)
- Team ready (ICS)
- Adequate checklists
- Training and exercises
- Effective, flexible EOC based on ICS
- **The Team, The System, The Guide, The Training, The Facilities**



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“Effective disaster management only occurs when the whole system is prepared. There must be a written emergency operations plan that encompasses all the roles of the State DOT in a disaster. The personnel who will be called to act during a disaster need to have a flexible hierarchical system in place, and in which they have been trained, to support their response, both in the field and in the EOC. The plan must include adequate checklists for each of the emergency operations center positions, so that even new staff can be guided through their critical tasks.

“Training and exercises are essential to maintain emergency response team readiness. Training materials should be given to each team member to write in and add to. This will enhance their response, as they will not only have attended classes and practiced during an exercises, but also thought about their individual roles, and added appropriate supporting resources for use during an emergency.

“The emergency operations center should be easily accessed by the State DOT staff. It should have the basic furniture and equipment already in place, or stored in readily accessible spaces nearby. It should be flexible enough to accommodate a small response team or the complete EOC activation. This may require that adjacent offices and work spaces could be incorporated into the EOC work space during complete staffing.”

(Read the slide)



## ICS in the State DOT Emergency Operations Center



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“This slide shows a major city’s emergency operations center using the ‘marketplace’ approach to design. The work spaces around the room give each unit and section a work area, while providing a central table where section members can meet across section lines to discuss solutions to common problems. Separate but adjacent work spaces are provided for the Management Section, where the Action Planning meetings can occur without interruption; for the Planning Section that uses noisy plotters and makes a lot of phone calls; and for the amateur radio volunteers (RACES) because they are talking on the radio.

“Other popular styles for EOCs are the ‘mission control’ model where everyone faces forward watching information screens, and goes to side rooms for section meetings; and the ‘pod’ approach with five separate work areas and one common work area for the Action Planning Briefings.”

## EOC Functions



- Location where centralized management is performed
- Scope of operations depending on complexity of emergency/disaster
- Five functions - flexible, expandable
- Supports coordination and communication among functions

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(Read the slide)

“During the response to the Loma Prieta Earthquake, California emergency planning coordinator Art Botterell wrote this humorous definition of an EOC:

“Where uncomfortable officials

Meet in unfamiliar surroundings

At the most inconvenient time

To play unaccustomed roles

Making unpopular decisions

Based on inadequate information

And in much too little time!”

“The goal of this EOC training is to ensure that Art’s humor does not come true! The role of the EOC is to bring together the people who have to coordinate the response and make joint decisions about managing the response to a disaster. The EOC must have space for each of the five sections: Management, Operations, Planning, Logistics and Finance/Administration. The five functions work together to save lives, protect the environment and property, and bring about rapid recovery of the State Highway System.”



## Intelligence and Resources

- Brings all relevant emergency information together in one place
- Provides analysis of information for decision making
- Facilitates coordination of resources and setting priorities



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“The EOC allows for information to be centralized and confirmed, becoming intelligence. It allows for resources to be gathered in one place to guide decisions during the disaster: plans, maps, and personnel with specialized knowledge. The various section chiefs each contribute to the Management Section Chief’s understanding of the challenges, and they work as a team to develop solutions. Together they manage the scarce resources available to respond to the disaster effectively, based on agreed-upon priorities.”

## Criteria for Activation

- Resources needed exceed normal operations
- Anticipated duration of event
- Need for major policy decisions
- Anticipated or declared emergency
- Anticipated need for mutual aid, for example district to district, Public Works Mutual Aid, Structural Engineers Assn.
- Disruption to travelers on SHS: major detours, sheltering, evacuation



“EOCs may be opened for small events when several units within the State DOT will have to collaborate on the response. It should be opened whenever lives are at risk on the SHS, or when a community disaster requires the support of transportation assets for its resolution.”  
(Read the slide)

“Mutual aid comes in several forms. Sometimes it may be one district within State DOT helping another by providing personnel and equipment. Formal mutual aid agreements exist between members of some professional groups. In some states the Public Works Directors have a professional organization that includes an agreement to go to each other’s aid during a disaster in one part of the state, often without any charge for the first shift of services. For example, in California receiving agencies only pay overtime, housing and feeding of staff, and replacement of equipment that is consumed or destroyed. The Emergency Management Assistance Compact is a form of mutual aid between states. When one state is experiencing an emergency that overwhelms its resources it can ask the EMAC coordinator to poll nearby states for access to resources and information about their cost. The receiving jurisdiction can then select assistance based on cost or rapid response, for example.

“Evacuation is the responsibility of law enforcement, but SHS resources are likely to be used as the primary route. Sheltering is the responsibility of NGOs and local government agencies, but SHS routes are likely to be needed for access to the shelters.

“Emergency response resources and supplies are generally the responsibility of local governments or the State Operations Center, but access from the source of the needed supplies to the site of the disaster will require open and functioning SHS assets, and may require the analysis of safe routes for overloaded / wide loads or overweight equipment, which can only be permitted by the State DOT.”

## Activation

- Initial activation staffing
  - Management Section Chief
  - Emergency Services Coordinator
  - PIO
  - Section Chiefs
    - Operations
    - Planning/Intel
    - Logistics
    - Finance/Admin
  - Planning: Situation Status & Analysis Unit
  - Logistics: IT support



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“When the EOC is first opened the staffing is usually as follows:”

(Read the slide)

“In keeping with the philosophy of learning from past disasters and staffing initially to a high enough level, this suggested team is capable of rapidly assembling the EOC team (Emergency Services Coordinator), collecting situational information from the SOC (Planning Chief), the field (Operations Chief) and the media (PIO) to bring to the initial Action Planning Briefing. The Logistics team can ensure that all the communications and computer equipment is functioning, while the Finance/Administration staff ensures that all departments involved in the emergency response are using the appropriate accounting codes to tie all emergency costs together.”

### Initial Actions

- Size-up: situation, extent, impact, status
- Resources: assess available resources to meet objectives
- Action Plan: develop initial action plan to address objectives with available resources
  - Determine length of time of initial operational period
  - Set goals for initial operational period
  - Obtain resources for sustained operations

## Activation



35

“These initial actions ensure that the EOC has adequate information to guide its decision-making:

(Read the slide).

“We will discuss the Action Plan in detail this afternoon.”

## General Staff Roles

- Management Section Chief and General Staff function as the EOC management team
- General Staff members are responsible for:
  - overseeing the internal functioning of their sections
  - interacting with each other, the Management Section Chief, and others within the EOC to ensure the effective functioning of the EOC organization



36

“The Management Section Chief is in overall charge of the EOC. The general staff members are the four section chiefs: Operations, Planning, Logistics and Finance/Administration.”

(Read slide)

## Emergency Operations Center Organization Chart



Blue positions are the Command Staff; Black positions are the General Staff

37

“Here is a color coded chart of the EOC staff. The positions in blue are the command staff who are part of the Management Staff and support the Management Section Chief in his work. The positions in black are the General Staff who each have a section working for them.”

(Read the boxes and emphasize the positions and roles.)



## Management Section Role

- Coordinates State DOT Headquarters activities with State Operations Center (SOC), including getting Mission Tasking # for all off-budget expenses
- Reviews all requests for State DOT resources from SOC, local entities; coordinates response with SOC, including reimbursement issues
- Responsible for developing and supporting the emergency management organization as appropriate for the situation
- Delegates functions and adds organizational elements as necessary to maintain appropriate span of control

38

(Read the slide.)

“The Management Section has many of the same tasks as the State DOT Director’s Office on a day-to-day basis, but in the EOC their function is focused on the needs of the disaster.

“The State DOT budget is from FHWA, specific taxes collected by the state, federal grants, and state general funds. This money is carefully allocated during the budget process. When a disaster occurs there is no „rainy day’ fund to pay for it. That is why State DOT must be careful to document the emergency response costs for reimbursement from the responsible party, insurance policies, FHWA or FEMA funds, or a special legislative appropriation. That is why it is important to coordinate with the SOC and get a „mission tasking number’ for any activity that is not part of the State DOT’s budget. Through these numbers the SOC can track costs and ensure that State DOT’s budget is reimbursed for assistance provided to other state and local agencies. The Management Section Chief can assign coordination of mission tasking numbers to Operations or Logistics if that would be more efficient. Most State DOTs also have an internal tracking system using special accounting codes so that all costs for response to the disaster are captured and tied to specific disaster projects or locations.”

## Management Section

- Management Section Chief
- Command staff=
  - PIO
    - PIO Staff
  - Emergency Services Coordinator
  - Safety Officer
  - Liaison Officer
  - Security Officer



39

“The management section chief is supported by the command staff.”

(Read the slide)



## Command Staff

- Public Information Officer (PIO)
  - coordinates and disseminates approved information to media, public
  - usually requires staff support: media monitoring, media release creation, media briefings preparation & execution



40

(Read the slide.)

“The PIO is the only person who is authorized to speak to the media. That person may have a staff to assist him, people who collect information, monitor the media coverage of the event and write drafts of media releases. The PIO creates the final media releases, presents them to the Management Section Chief for review, approval and signature, then distributes them. The PIO also coordinates dissemination of information using State DOT electronic signs.”

# Command Staff

- **Emergency Services Coordinator:**
  - Ensures that the facility is ready, EOP is kept up to date, staff is trained; coordinates with other elements of the department's emergency management team
- **Liaison Officer:**
  - coordinates with agency reps: State Highway Patrol, utilities, NGOs
- **Security Officer:**
  - Ensures that only EOC staff with proper credentials are admitted
  - Oversees check-in and check-out
- **Safety Officer:**
  - Psychological care of State DOT EOC staff
  - Ensures that shift change is established; works in conjunction with Personnel Unit of Logistics Section who implements call-backs
  - Ensures that food for EOC and field forces is appropriate and timely; works in conjunction with Logistics Chief who places orders

41

(Read the slide)

“The Emergency Services Coordinator is usually the person who knows the most about the organization’s emergency management system. This person can coach new EOC staff, interpret the emergency operations plan, and assist sections with understanding their work.

“The Liaison Office is responsible for receiving all representatives of other entities who come to the EOC. He provides them with a place to collaborate with EOC staff members, and ensures that their needs for information and support are considered during the Action Planning Briefings.

“The Security Officer ensures that only the trained EOC personnel are admitted during an activation. He runs the check-in/check-out function to ensure tracking of EOC staff while they are on duty, and records destination and contact information for each EOC staff member at check-out. Since staff members are going into a disaster environment, which is potentially dangerous, collecting this information allows for accountability, and tracking if someone cannot be accounted for.

“The Safety Officer looks for trip hazards and the unsafe use of equipment. However, the real focus is on the personal safety of those working in the stressful environment of the EOC. Keeping them fed and providing places for them to rest are part of the job, but so is providing a method for exchanging information with families, and encouraging people to walk off stress. Enforcing the 12-hour shift schedule is the most important and most difficult task of the Safety Officer.”

- Approach mirrors field ICS
- General staff are assigned based on the scope and complexity of the event
- State DOT Management Section Chief is in overall control
- Designated as “Chief”
  - Operations
  - Planning
  - Logistics
  - Finance/Administration

## General Staff



42

“Unlike the Command Staff members that support the Management Section Chief, the General Staff members each have their own sections to oversee, as well as providing information during the Action Planning Briefings that will shape the Action Plan for the next Action Planning Period.”

(Read the slide.)

## Operations Section



“MacArthur Maze Miracle”

- Responsible for all activities on the SHS directly related to the primary mission of the response, for example
  - Safety inspections
  - Debris removal
  - Repairs, replacement
  - Closures, detours
  - Overweight and overload permits
  - Traffic management in conjunction with State Highway Patrol- evacuation, rerouting

“The Operations Section is often referred to as ‘the point of the spear.’ These are the functions that protect lives, the environment and property, while trying to end the emergency or disaster. The Operations Section is made up of branches, groups and units with roles aimed at getting the SHS restored to operations as quickly as possible to support the work of the other emergency response agencies. Roads are essential for the delivery of all emergency services, relief supplies and field level emergency medical care. Typical emergency response functions of the State DOT are listed on the slide.”

(Read slide.)

## Operations Section



- Responsible for coordinating all operations in support of emergency response through implementation of the Action Plan
- Facilitates the direct interface with Incident Command and field tactical operations

44

(Read slide)

“The Operations Section takes an active role in implementing the priorities and objectives of the Incident Action Plan. EOC staff members interface with and support field elements delivering direct services to the public safety personnel and the community.

“The Operations Section Chief is responsible to collect timely reports from all field elements of State DOT. These field forces may be working on a transportation-focused task, and State DOT may be the IC. More often State DOT staff members are supporting the work of the State Highway Patrol or State Fire Agency, and are serving within another’s agency’s Incident Command System chain of command. Transportation personnel in the field may be part of the Operations Section or the Logistics Section, depending on the role being played. For example, State DOT personnel removing debris to facilitate road access into the emergency area by public safety personnel are part of the Operations Section. State DOT personnel using equipment to deliver supplies and personnel to a disaster site would be part of the Logistics Section’s Fleet Group.”

## Planning Section

- Responsible for collecting, evaluating and disseminating information related to the event
- Prepares the written Action Plan and coordinates Action Planning Briefings
- Prepares State SOC information forms and faxes them to State DOT representative at the SOC
- Displays critical information, performs analysis and prepares reports
- Maintains documentation regarding events, actions and resources



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“The Planning Section in the EOC confirms facts and data, and creates intelligence for use by the section chiefs in developing Action Plan objectives. They also document the disaster to keep the State DOT Director and the SOC informed about the status of State DOT, and to support disaster reimbursements. The Planning Section Chief serves as the meeting facilitator during the Action Planning Briefings, leads off the presentations with his map and situation report, and collects the direction provided by the Management Section Chief in response to the General Staff reports, including specific goals for the next Action Period, which he turns into the written Action Plan.”

(Read slide)

## Logistics Section



- Responsible for providing facilities, services, personnel, equipment and materials for the EOC and in support of field operations
- Operates and maintains all IT and communication systems
- Assists with the documentation of resources and status of purchases

46

“Logistics is the backbone of emergency response. The Logistics Section makes sure that the State DOT staff members in the EOC and in the field have the supplies and equipment that they need to succeed.

“One of Logistics’ most important functions is providing adequate staffing to a disaster event to allow for people to work 12-hour shifts, to limit stress and allow time for connecting with their families. It is common for people to want to stay in the EOC to “see this thing through,” but experience has taught that personnel function better and make better decisions when their work days are limited to 12 hours.

“Communications systems are also the responsibility of the Logistics Section. Computer systems, radios, cell phones and satellite phones are among the resources that Logistics provides to ensure communication between the field and the EOC, and among the elements of the National Incident Management System. These systems are crucial for sharing Action Plans, documenting work progress, and ensuring the safety of personnel in the field.”

(Read slide.)



## Finance/Administration Section

- Responsible for financial accounting, and other administrative needs
- Establishes disaster accounting using pre-designated account numbers to tie all disaster work to the disaster; uses Mission Tasking #s for all requests from SOC and other agencies
- Maintains records, processes claims and facilitates cost analysis
- Collects all receipts, photos and other proof of expenses to facilitate reimbursements from FHWA, FEMA, responsible parties, insurance policies



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“The Finance/Administration Section manages all elements of the event related to money: accounting for all the money spent by State DOT during the disaster, paying bills, augmenting the budget through authorized fund transfers, and ensuring that the proper procedures are followed in contracting and tracking funds so that State DOT can get the maximum reimbursements from FHWA, FEMA, insurance policies and responsible parties.

“Most State DOT finance departments have established a set of special account numbers for disaster purposes. This allows disaster-related expenses to be segregated from the normal operational costs, to facilitate reimbursements. The Finance/Administration Section in the EOC ensures that all departments involved in the response are using the appropriate numbers, and that all expenses are charged using the correct codes.

“Sometimes the SOC will assign duties to the State DOT, which are in support of State Highway Patrol, State Fire Agency, or another state or local governmental organization. In that case the state will issue a special code – sometimes called a Mission Tasking Number- that State DOT staff will use to tie all the costs related to that activity back to that number. In this way State DOT’s budget is reimbursed by the receiving department or agency.

“Disaster work must also be tied to a specific site within the disaster. Therefore field staff must carefully document their actions using photos, videos and maps to show exactly what work was done in all its stages. This material is collected by the Finance/Administration Section as part of the financial documentation. The details of reimbursement are taught in a separate class available through State EMA.”

(Read slide.)



## Hierarchy Within the EOC

- Section
- Branch
  - Unit
- Group



“Within the EOC there are sub-elements below the Section level. These are used as needed, based on the disaster that is occurring and its demands. In some cases the section chief alone may be able to fulfill the demands of the section’s Action Plan assignments, while in other cases there will have to be a variety of elements supporting the Action Plan objectives.

“Using the ICS common terminology, different levels in the EOC are given names that immediately identify their place in the hierarchy below the Section.

“A branch designates an element just below the Section that will have sub-elements under it. Thus in the example in the slide Roadways Infrastructure is a branch.

“Units are the sub-elements under the branch, with each unit having a different task.

“A Group is a sub element of the section that has a single purpose.

“In this example there is one branch with four units, and three groups.”

(Read the slide)

## Questions on ICS in the EOC?



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(Note to Instructor: Pause here to ensure that students understand the concepts of bringing ICS into the EOC. Ensure that the difference between field command – tactical role, and the EOC management – strategic coordination, is clear. Ensure that students understand that the EOC does not command the field, but that it provides resources to support the tactical decisions of the incident commander.)

## Need for EOC SOPs

- Standard Operating Procedures include
  - concepts of operations: policies, overall management, organization levels
  - guides for staff to operate in the Dist EOC: floor plan, communications, computers
  - checklists for critical tasks to be performed: priorities, critical actions, forms
  - critical resources: phone lists, contacts, contracts, resource lists

50

“Staff members come to the EOC during a time of stress. They may not have been part of an exercise for months. They are leaving other activities and may be preoccupied when they first arrive. Therefore, having a well thought-out set of Standard Operating Procedures and a set of position checklists will help the EOC staff to get oriented and begin effective work quickly. Not every event can be anticipated, and not every action can be programmed, but having all the basic information in the Emergency Operations Plan will enable staff to find guidance during the EOC activation. Knowing that the SOPs are in the plan will lessen the stress staff members experience on arrival at the EOC. They will know that they can use the position checklist to fulfill the most urgent responsibilities. As they begin to work with their EOC partners their training will come back to them and the checklists will just be a guide to action.”

(Read slide.)

“Some people believe that checklists are only for amateurs, but renowned surgeon Dr. Atul Gawande has researched the value of checklists, even for highly skilled professionals like surgeons and pilots. In his book, *Checklist Manifesto*, he demonstrates the value of following a checklist, even for a job that you know well. The checklist gives the professional confidence and avoids the commission of simple mistakes in the stress of the event that can cost lives. For example, one major American city had a local emergency, and the Red Cross and the Parks Department opened a shelter at a high school they thought was convenient for the victims, without consulting the Police Gang Task Force. Just a few hours into the event a violent confrontation occurred because the victims had crossed gang turf lines. As a result, the police had to station overtime officers 24/7 at the shelter the entire time it was open, an unexpected and large added expense. Their Care and Shelter Checklist now says, at about Item 3, „coordinate shelter locations with Police Gang Task Force before announcing to the public.”

## EOC Manual

- EOC set up
- Communications resources and layout
- Information flow, message handling
- Forms, documentation methods
- Displays, reports, information gathering
- Rumor control plan
- Resource tracking, demobilization plan

51

“Because the Emergency Services Coordinator may be unavailable when a disaster occurs, it is essential to have a thorough EOC Manual to guide the first people to arrive at the EOC in setting up the systems and equipment. Even if there is a permanent EOC there will always be some materials, like the vests that staff members wear, that will have to be taken out of storage and positioned for ease of use. These plans have already been thought through, so the EOC Manual contains the documentation of the best practices in the EOC.”

(Read slide.)

“Just like the position checklists, the EOC manual is a reminder to ensure that the important steps are taken at a time of high stress. Having the plans for message handling and rumor control readily available will make the EOC opening go smoothly. Turning on the lights, setting up check-in, getting out the vests and dry-erase markers, turning on the computers and starting the coffee become comforting rituals that mark the start of a cooperative effort to help the community.”

## EOC Facilities Characteristics

- Floor plan: consider ease of interaction among EOC participants
  - layout for computers/communications
- Equipment & Supplies List
  - furniture, copier access, phones, radios, computers, maps, status boards, forms, logs, pens, directories, food, water



52

“The EOC Manual should have a detailed floor plan to show exactly where supplies and equipment, that are not part of the day-to-day room set up, should be placed.”

(Read slide)

## Questions About the Material So Far?



“Are there any questions about any of the material presented so far? (Field any questions.)”

“We are ready to make the transition into the first activities for the day. We will take a 15 minute break and when you return please go to the group to which you have been assigned. Please be in that group by (state exact time).”

(Note to Instructor: explain how students know which group they are in and which space they should go to after the break. State which instructors will be with each group, as this will help students identify the right space.

All instructors (except the morning lecturer ) should have taken a break during the lecture, so they will go to the small group spaces immediately to greet students and ensure that everything is properly set up for the small group activities. Ideally, the morning’s lecturer will not have to be the lead staff member in a small group, to permit that person to have a break and re-join the group in time for the Activity #1 report out.)

## Small Group Activity #1

- Work collectively on all tasks
- Designate section assignments for all team members
- Prepare chart of the emergency organization
- Report back in
- 20 minutes



54

(Note to Instructor: see the materials in Tab 6 for Activity #1.

Start on time and allow only the time assigned.

Start by distributing the scenario being used in this group and give students five minutes to read it. Have the students turn to the Activity Tab in the notebook and read Activity #1. Ask the group who among them is the most likely person to be the Management Section Chief, if they were the only people able to show up at the EOC. Then have that person facilitate the rest of the activity. Using the forms provided for Activity #1 in the Student Notebook, document the group's decisions about staffing the EOC.

Note that some nationally standard ICS forms have been provided to facilitate training activities. If your state has its own situation reporting forms, please substitute those for the ICS forms, where appropriate.

Set aside one wall for each group to post their materials in the order they are created. Use blue painter's tape to avoid damaging the walls and furnishings. When you are done you will be able to walk down the wall and see the activities unfold.)



- Management Section
  - Everyone is the Management Section for this exercise
  - Read and discuss the news briefs and scenario
  - Discuss the State DOT response to the Governor's Declaration of a State of Emergency/ decision not to declare a state of emergency
  - Prepare a media release about State DOT's disaster response activities
  - Develop a safety plan for the EOC

## Small Group Activity #2

(Note to Instructor: see materials in student books.

Go to the small groups. Start on time and allow only the time assigned.

Read the material in the student book behind Tab 6 for Activity #2. Distribute the Media handout.

1. Key points: exercise care when using media reports; need to turn information into intelligence from reliable sources – TMS, Highway Patrol, SOC. Note that media reports will influence the public's perception, so is there anything that needs to be refuted or clarified in the State DOT EOC's media release?
2. Impact of Governor's declaration: review your state's laws regarding who pays for disaster expenses when a state of emergency is declared; review the Presidential Disaster Declaration and the Stafford Act split of emergency response costs: 75% federal/25% state. Does your state require local government to pay a share? Note that FHWA funding is generally not affected by a Governor's declaration. If the governor did not declare, discuss whether the EOC staff wants a declaration, and what kind of information they can send to the SOC to help get one.
3. Have the group advise the PIO on 8-10 bullet points for the State DOT EOC's first media release, written on easel paper.
4. Have the group advise the Safety Officer about 6-8 bullets points for the Safety Plan, written on easel paper.
5. Have the group help the Liaison Officer complete the 201 form.
6. Return to the big group and have the PIO post and read his easel paper; the safety officer post and read his easel paper, and the Liaison Officer read the 201, then paste it to the easel paper.)



- **Planning Section**

- Using scenario intelligence, complete a Situation Summary
- Using easel paper and map, record events, actions, resource status
- Discuss and describe how sections share information with the P/I section and how they disseminate it in the EOC; how they get Action Plans and reports to the SOC

## Activity #3



56

(Note to Instructor: see materials in student books.

Go to the small groups. Start on time and allow only the time assigned.

Follow the instructions in the student book behind Tab 6 for Activity #3.

Have the Planning Section Chief lead this activity. Make the map describing the physical impacts of the event.

Make the updated 201 as a group, then use easel paper for the bullet points from the Summary of Current Conditions.

Discuss how information flows around the EOC, the importance of Section Chiefs sharing updated information with the Planning Section Chief between briefings, and the importance of posting decisions and actions on the Status Boards in each Section's work area.

Go back to the big group and have the Planning Section Chief read the 201 and review the map.)

# Lunch!



EOC Disaster Lunch Packs, Baltimore County EOC

57

(Note to Instructor:

Remind students of the time to return. Tell them that the Action Planning lecture will begin exactly at that time and they will need this information for Activity #4. Consider allowing them to bring beverages and dessert back to eat during the Action Planning lecture.)

# Action Planning

## The Decision Briefing

(Note to Instructor:

Start on time. This lecture should take 45 minutes. Start by taking the students to Tab 6, Activity #4 and point out the EOC Action Planning Format and EOC Action Planning Checklist. Invite them to follow along in these documents and make notes as you describe the Action Planning process. Suggest that they take these documents out and have them next to the PowerPoint presentation handout to facilitate note taking. Once all the students have found the EOC Action Planning materials, begin the lecture.)

# EOC Progress



59

“This morning we described ICS in the EOC and began activities that took us through opening the EOC, establishing a management system, and a period of information gathering. At about the one and a half hour point the Management Section Chief will hold the first formal Action Planning Briefing.”

## ICS in the EOC ORGANIZATION



60

“The Command Staff and General Staff will attend the Action Planning Briefing, although the Security Officer may be excused if there is no other Security staff member present. If a COOP/COG Branch has been established in the Management Section, the COOP/COG Branch Director will also attend.

“The COOP/COG Branch may be established in disasters that impact the ability of the State DOT Headquarters to deliver essential services. In that case many activities will have to be suspended and essential functions will be conducted from an alternate location. The COOP/COG Branch will be headed by a Director who reports to the EOC Management Section Chief as part of the Management Section of the EOC.

“Each Section Chief, and the COOP/COG Branch Director if activated, will be prepared to give a five minute presentation, including current status of work in the section, and up to five questions ,or requests for direction or decisions that the Management Section Chief will address. The Command Staff report is given by the Management Section Chief.”

# State Level: SOC

- State EMA & State Agency Executives, including State DOT representative
- Located in capital city
- Sets joint policy, overall action plan
- Brokers resources among regions
- Federal response coordination
- Communicates with Governor and Legislature
- Implements media policy



61

“The State Operations Center may also be open, and coordinating information with the State DOT EOC. The Action Plan from the State DOT EOC will go to the SOC, and reports should be issued by the SOC regularly to update the status of all EOCs in the state.”

# ACTION PLANNING:

- Conducted at the incident in the field
- Conducted in the EOC and SOC
- Objective driven
- Eliminates redundancy
- Establishes accountability
- Documentation is responsibility of Planning Section



62

“Action Planning is an integral part of the ICS. In the field the Incident Commander holds more informal Incident Action Planning Briefings where he receives verbal reports from the Command and General Staff. The objectives and organization chart for the next Incident Action Period may be written on white boards at the Planning Section, and documented on 201 forms only at the request of the IC.

“In the EOC all Action Planning Briefings are held with a formal meeting that is documented by the Planning Section Chief to ensure that a record is kept for disaster reimbursement and in case of any legal action by victims or community members.

“The Action Planning Briefing ensures that each member of the general staff has the same information, understands the objectives, and works in concert with other General Staff members to avoid duplicate effort.”

(Read slide.)

## Purpose of Action Planning

- Enables the Management Section Chief to make policy decisions regarding
  - The use of scarce resources
  - The next operational period
  - Decisions on declaring a disaster
  - Decisions on call backs, contracting or otherwise enhancing available response resources

63

(Read slide)



## Purpose of Action Planning

- To conserve management time for all sections
  - Limits the time the Section Chief is unavailable to other staff
  - Focuses discussion on *decision*, not “war stories”



64

(Read slide)

“Before Action Planning was commonly used in the EOC one major city had a flood. The Command and General staff members met with the Management Section Chief behind closed doors for two hours trying to develop a „robust plan that would get ahead of the disaster.’ They left orders that they were not to be disturbed and locked the door. In two hours when they emerged from the meeting they discovered that the river had risen and flooded the downtown, an evacuation had been ordered, rescue was underway, and a shelter had been opened. All these decisions were made by lower level employees because the „bosses’ were unavailable. This proves that checklists work, since the „second string’ EOC team was amazingly successful in managing the event as it unfolded. It also proves that long planning meetings are counter-productive.”



– Focuses thoughts of Section Chiefs towards actions necessary to support response decisions

- Information provided is limited to details essential to support decision-making
- Minimizes the impacts of style, personal power or political position on the outcome of the resource allocation process

65

(Read slide.)

“The Action Planning Briefing forces the Section Chiefs to distill their section’s information into prioritized bullet points, and to think through their highest priority questions, phrased succinctly instead of being delivered as a long speech. It also ensures that there is equality among the section chiefs, even though one may be a powerful head of a large department while another is the newest deputy director of a small department.”

# Basis for Action Planning



Note: Action Planning format is behind Tab 6, Activity 4 in notebook.

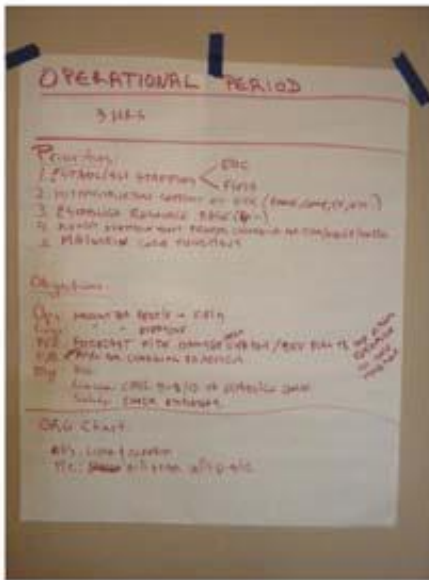
- Management by Objective: clear goals in concert with SOC, requests from Governor
- SMART Goals
  - Specific
  - Measurable
  - Attainable
  - Realistic
  - Timely

66

“Action Planning is based on the business concept of ‘management by objective.’”

(Read slide.)

## Outcomes of Action Planning



- Clear time frames to achieve goals
- Appropriate to support the needs of SOC, Department Director and Governor's Office

(Read slide.)

## When EOC is opened...

- Follow format behind Tab 6, Activity 4
- Management Section Chief gets briefing from Emergency Services Coordinator, Transportation Management Center or IC in the Field as soon as possible
  - Event overview
  - Staffing in the field
  - Staffing in the EOC



68

(Read slide.)

## Management Section Chief

- Determines initial Action Period and goals, usually 2 hours for collecting information on the event.
- Sets initial **SMART** goals, typically
  - Planning
    - Make a map of the disaster
    - Get weather/tide/sunrise-sunset
    - Status of other levels: SOC open? Local EOC in disaster area open?
    - File initial Situation Summary SOC
  - Finance
    - Start disaster-based accounting, using pre-designated accounting codes and Mission Tasking #s

69

(Read slide.)

# Management Section Chief

## INITIAL GOALS (continued)

### – Operations

- Save lives, protect environment/property using available resources
- Inventory field situation: current deployments, needs and timeframes
- Develop a list of other resources needed to maintain or enlarge response

### – Logistics

- Order food for next meal time for Field and EOC staff
- Ensure that all communications equipment and IT systems are working
- Review contracts lists, contact lists

70

(Read slide.)

# Management Section Chief

## **INITIAL GOALS (continued)**

### **– PIO**

- Issue press release announcing State DOT EOC opening and response highlights, coordinated with field dept PIOs as needed (State Highway Patrol, local police and fire departments)

### **– EMERGENCY SERVICES COORDINATOR**

- Advise on level of Governor's current disaster declaration
- Status of local emergency declarations.
- Determine status of other state departments and their EOCS

71

(Read slide.)

“These goals are typical for the first period when information collection is the focus. We simulated that during Activities 1, 2 and 3.”



## Management Section Chief



- Ensures that all section chiefs have the support equipment needed
- Ensures that Safety Officer has begun to construct shift change staffing, coordinating callbacks with Personnel Unit of Logistics Section
- Ensures that State DOT Director and SOC are notified of EOC opening

72

(Read slide)

## Section Chiefs

- Work to achieve the goals and objectives for the section in this Action Period
- Mitigate the disaster in the state in coordination with SOC
- Make plans for the next action period
- Prepare for the Action Planning Briefing



73

(Read slide)

# Action Planning Briefing



- Schedule 1 hour before the end of the Action Period
- Attendees: Section Chiefs, EPIO, Emergency Services Coordinator

74

(Read slide)

“The Action Planning Briefing is 30 or 35 minutes, depending on whether the COOP/COG Branch has been established, and a five minute presentation by the COOP/COG Branch Director is included. The Planning Section Chief then has 25 or 30 minutes to document the Action Plan for the next Action Period, and to copy and distribute the plan to all attendees. Meanwhile, based on their own notes, during the last half hour of the Action Period the Section Chiefs and PIO brief their staff members about the objectives for the next Action Period, and the Liaison shares the objectives with any agency representatives in the State DOT EOC.”

[Note: In ICS in the field the terms are “Incident Action Plan” and “operational period” because they are focused on a specific incident and on tactical operations. In the EOC the focus is organization-wide and strategic, so “Action Plan” and “Action Period” may be used. Again, there is no mandate, so an organization may select the terms that work best for their organization.]

## Important Considerations

- All section chiefs must come prepared and on time
- Strong leadership from the Management Section Chief is critical
- No phone or radio interruptions
- **STICK TO THE 30 MINUTE TIME FRAME!**



75

(Read slide)

“Note that the time frame will be extended to 35 minutes if the COOP/COG Branch Director participates.”

## Action Planning Briefing Steps

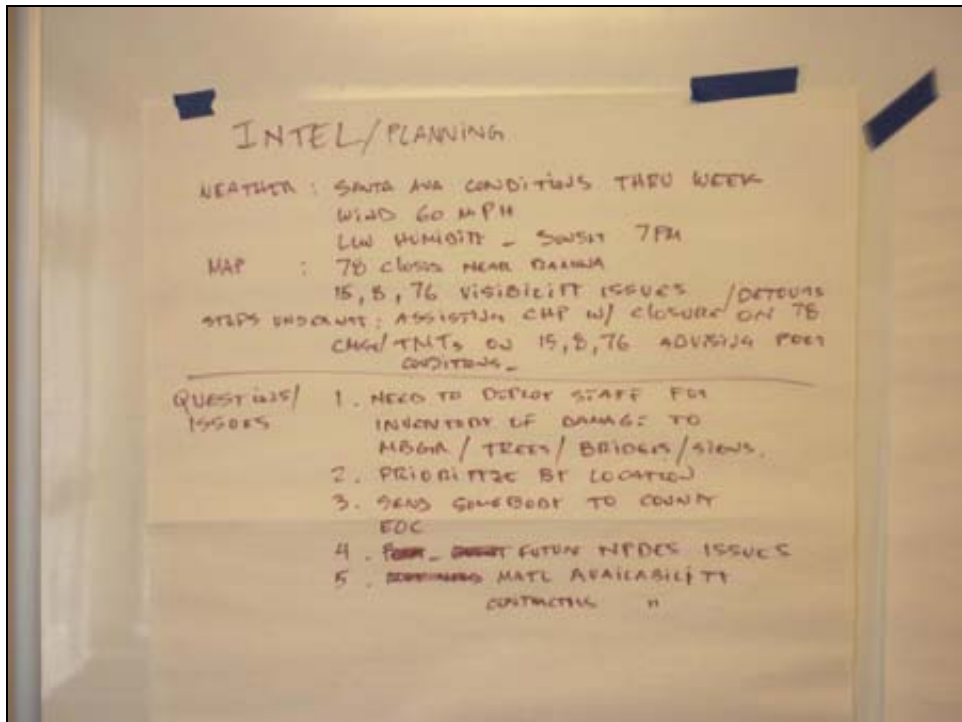
- Planning Section Chief provides
  - An overview of the current situation, including a State DOT impact map
  - Information for future strategies: weather, sunrise/sunset, tides
  - Report on SOC status reports
  - Recovery steps underway: roadway repair, insurance coverage
  - Up to 5 questions/policy direction requests in writing and posts on wall



76

“The Action Planning Briefing is a highly structured event that is carefully timed. The Planning Section Chief is the meeting facilitator. He makes sure to start and end on time, and times each presenter, limiting each to 5 minutes.”

(Read slide.)



“Here is an example of the easel paper that the Planning Section Chief brought to the Action Planning Briefing.”

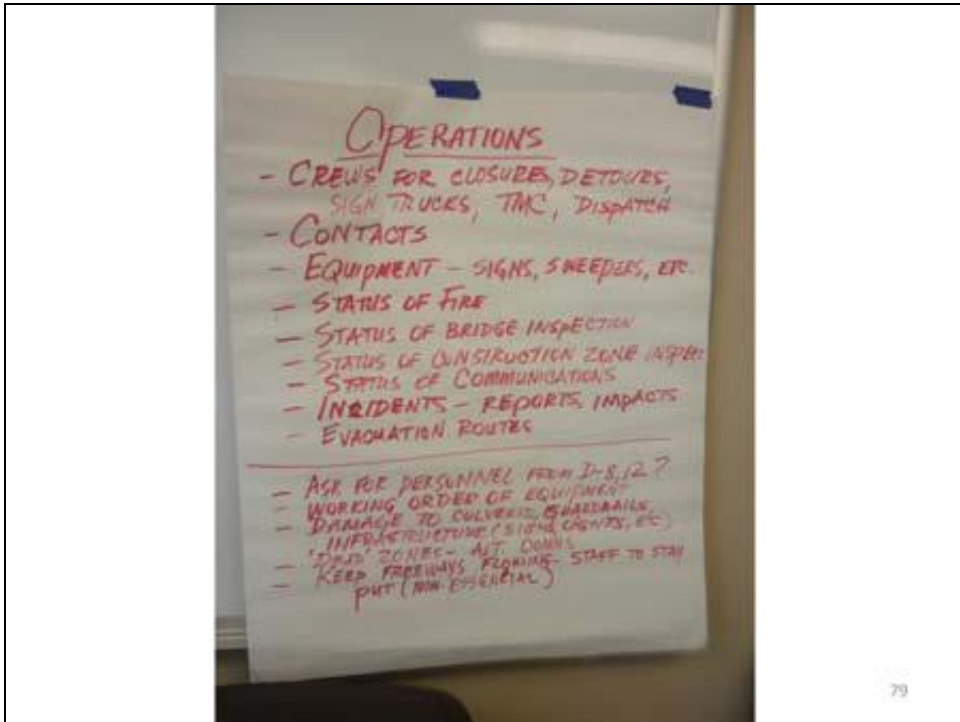
(Note to Instructor: review the report with the students, noting the weather and road closure reports and the questions he asked.)

# Operations Chief

- Provides
  - An overview of the field response
    - Evacuations, detours
    - Road damage, closures, traffic issues
    - An overview of State Highway System impacts, including interaction with local roadways
  - An overview of State DOT statewide impacts
  - Up to five questions/policy direction requests in writing and posts on wall

78

(Read slide)



“Here is an example of an Operations Section Chief’s report.”

(Note to Instructor: review the report with the students, noting the operational highlights and the questions he asked.)

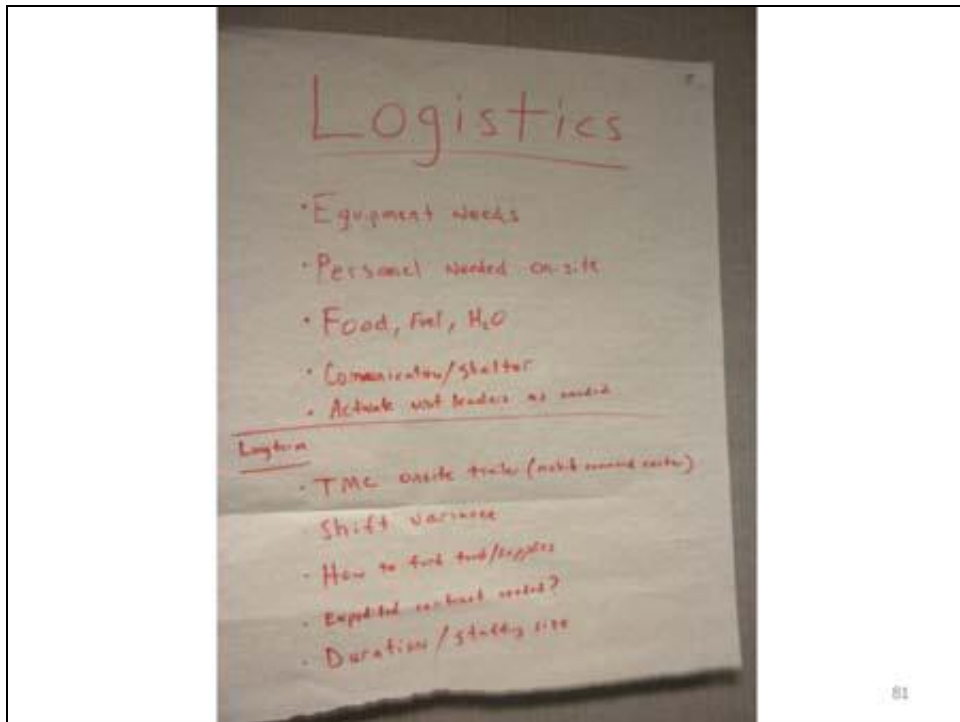


# Logistics Chief

- Provides
  - an overview of support activities
    - Contracts in place
    - Condition of communications systems, functionality in field
    - Condition of IT systems, availability of databases, internet connectivity, access to as-builts and other items stored through “cloud computing”
    - Supplies and acquisition activities: need for personnel and equipment
  - Up to 5 questions/policy direction requests in writing and posts on wall

80

(Read slide)



“Here is an example of a Logistics Section Chief’s report.”

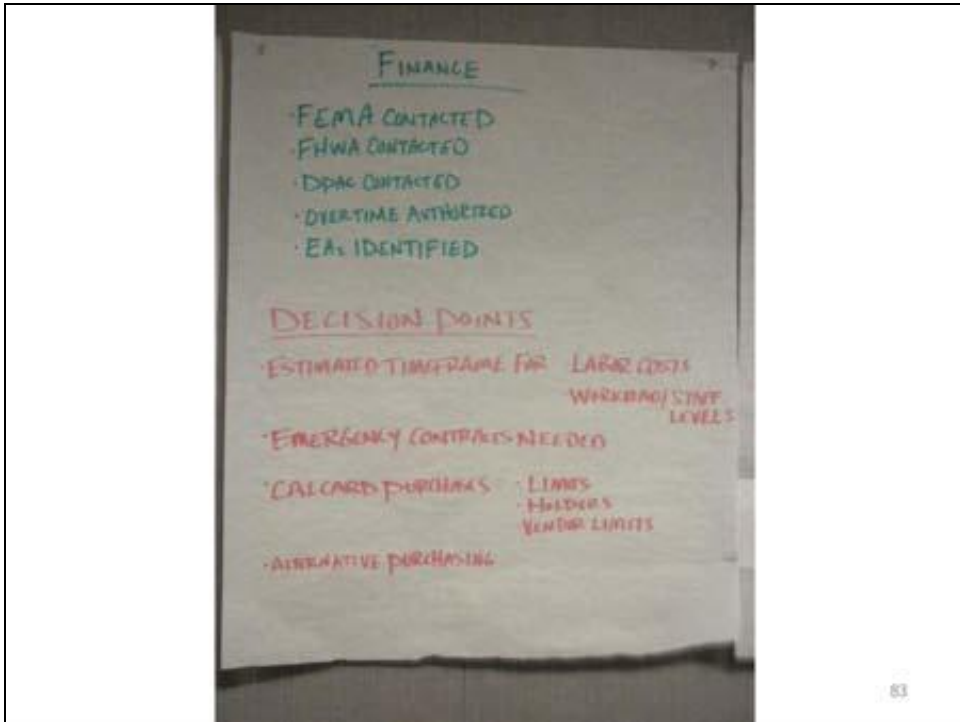
(Note to Instructor: review the report with the students, noting the situational highlights and the questions he asked.)

# Finance/Administration Chief

- Provides
  - An overview of financial impacts of the event
    - Budgeting issues
    - Damage to be covered by FHWA
    - Insured losses of State DOT property
    - Damage to be covered by FEMA
    - Overtime
    - Emergency Contracts
  - Up to five questions/policy direction requests in writing and posts on wall

82

(Read slide.)



“Here is an example of a Finance/Administration Section Chief’s report.”

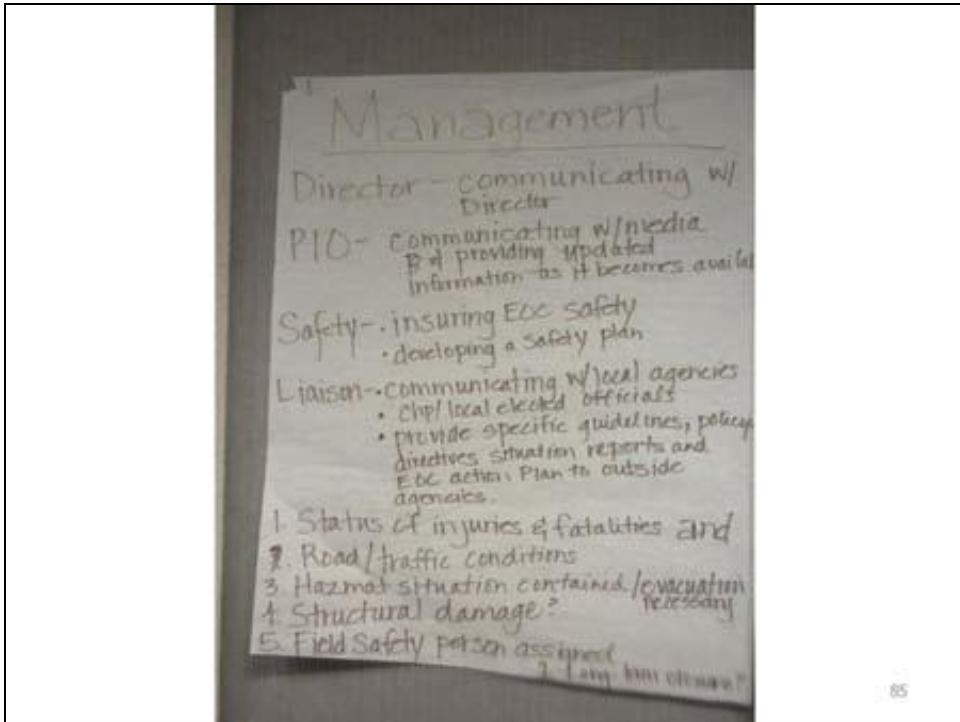
(Note to Instructor: review the report with the students, noting the financial highlights and the questions he asked.)

## Management Section Chief

- Provides overview of EPIO work, coordination with Agency, Headquarters, SOC, REOC and Op Areas, as appropriate
- Reviews all questions/policy direction requests from the 4 section chiefs and gives answers/direction
- Determines the SMART goals for the period in concert with the Department Headquarters
- Determines the next EOC Action Period

84

(Read slide)



“Here is an example of a Management Section Chief’s report.”

(Note to Instructor: review the report with the students, noting the brief reports from the Command staff, and his notes of issues he wanted to be sure were addressed.)

# The Written Action Plan

- The Planning Section Chief writes the Action Plan based on the Action Planning Briefing direction from the Management Section Chief
  - See ICS 202 in binder

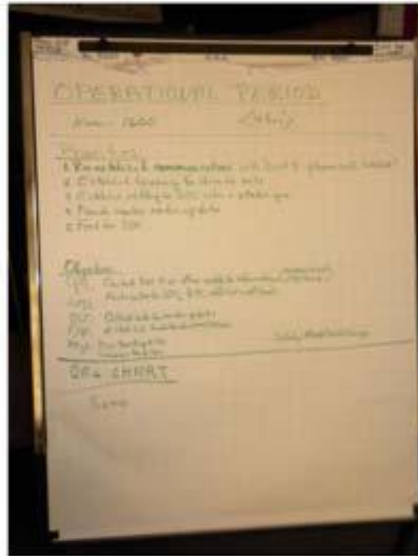


86

(Read slide)

# Written Action Plan

- Provides the basis for measuring effectiveness (measurable goals)
- Includes organization chart and operational period
- Describes four elements:
  - What they will do: goals and objectives by section
  - Who is responsible for doing it?
  - How will you communicate to get the work done?
  - Safety procedures



(Read slide)

(Note to Instructor: review the elements of the report highlighted on the initial documentation from the briefing. Note that the Planning Section Chief takes these notes during the Action Planning Briefing, then transcribes them into the formal 202 form.)



## Action Planning Steps

- EOC Section Chiefs will implement the plan
  - Each Section Chief will conduct Operational Period briefing for his section
  - Each chief will ensure that the activities assigned to his section are carried out.
- Evaluate the plan against the changing situation
  - On-going duty of each section!



(Read slide.)

## The Action Plan

- When complete
  - P/I staff will distribute the written Action Plan/202 to each EOC Section Chief
  - P/I staff will prepare an updated situation report, and forward it and the Action Plan/202 to the Department Director and SOC



89

(Read slide)

## Questions on Action Planning?



(Note to Instructor:

Ensure that all students understand the Action Planning process. Make sure that they all have their Action Planning format and checklists ready.

Give a 15 minute break and tell students to go to their small groups on time – state the exact time for the start of Activity #4.)

## Small Group Activity #4

- Prepare the action plan by holding an Action Planning Briefing, following the format
- Use 20 minutes to prepare for the briefing, developing the 5 minute section briefings
- Use 30 minutes to hold the briefing
- Use 10 minutes to create the written Action Plan



91

(Note to Instructor: make sure to stay within timeframes. Note the materials behind Tab 6 for Exercise #4.

Have students refer to their books for examples of the different sections' easel paper reports, the kinds of items that were reported and the kinds of questions that were asked. Be sure that the Command Staff works together with the Management Section Chief to create their joint report. Assist with getting the easel paper reports done in a timely fashion.

Discourage students from looking at each other's papers or "horse trading" questions. Students will sometimes try to swap common questions to get more space on their sheets for more questions. Redundant questions in the reports are important, because it shows the Management Section Chief that certain issues are cross-cutting and therefore a high priority.

Help the Planning Chief keep the Action Planning Briefing on track. Help the Planning Chief create the summary report on the easel paper – he may need assistance as they go along in the briefing.

Keep your own notes as the Management Section Chief gives direction to each of the sections to help the Planning Section Chief get the reports completed correctly. Encourage the Planning Section Chief to write on the easel paper reports as the Management Section Chief speaks, to match up the answers with the various questions.)

Go back to the big group on time. Have the Planning Section Chief read the Action Plan off the easel paper, and post it and the 202 on the wall.

## Small Group Activity #5

- **Operations Section**
  - Review EOC resource issues in resource request handout
  - Determine how the requests will be filled: district to district assistance, formal mutual aid, contracts?
  - Prepare a presentation for the whole group on the solutions



92

(Note to Instructor: make sure to stay within timeframes. Note the materials behind Tab 6 for Exercise #5.

Read slide.

Follow the directions for Exercise #5. Have the students, following the directions, complete form 201, Section 8 to document how they handled the requests they received. Also make an easel paper list that can be read by the big group.

Have them return to the big group on time. Have the Operations Chief read the resource requests and disposition information.)

## Small Group Activity #6

- As the Finance/ Administration group, consider the following:
  - What insurance policies will cover what costs: FEMA flood insurance, Workers Compensation?
  - What other sources will cover damage: on federal highway, off federal highway?
  - Do you have adequate paper-based systems to document resources and make contracts if IT does not work ?
  - Do you have pre-made agreements with vendors ?
  - Prepare a presentation to the whole group on your solutions.

93

(Note to Instructor: make sure to stay within timeframes. Note the materials behind Tab 6 for Exercise #6.

Read the slide.

Using the agency's actual policies, discuss how they would handle these questions. Make a list of any issues that need to be addressed through follow-up training on reimbursements from State EMA, or policies that need to be created.

Have each group report out on their solutions, remaining questions and training needs.)

## Course Summary



- ICS in the EOC
  - Creates a seamless connection between the field and the EOC through the Operations Section
  - Creates clear lines of authority while encouraging cross-disciplinary coordination through Sections
  - Limits the number of direct reports to the Management Section Chief for a more manageable span of control

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“Today we learned about bringing ICS into the EOC.”

(Read the slide.)

“This course is just a beginning. To become proficient in working in the EOC you will need to practice through exercises with your EOC staff colleagues. You will also benefit from reviewing these materials and taking some of the FEMA Independent Study courses.

“Thank you for being part of this class, and we hope that you have benefitted from our time together not only through learning new information, but also by making new relationships with your EOC staff colleagues.”

## Questions?



95

“Are there are questions about any of the information or activities?”

(Field questions.)

“There is instructor contact information in your binder. If you have questions as you think more about this work, please contact us.

“We enjoyed our day with you and hope that you enjoyed your day with us.”



## Speaker Contact Information

- Name
- Organization
- Contact e-mail
- Other contact information: physical address, phone number, website



**State-Level  
Transportation Organization  
Emergency Operations Center  
Training**



**HOMELAND SECURITY UNIVERSITY PROGRAMS**  
TODAY'S RESEARCH & EDUCATION, TOMORROW'S SECURITY

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**Emergency Operations Center  
Training: Bringing ICS Into the EOC**

- Staff Introductions
- Participant Self Introductions

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**Emergency Operations Center  
Resource Materials: Binder Review**

- Tab 1 = Schedule for the day, instructor bios
- Tab 2 = PPT Presentation in 3-to-a-page Handout page format
- Tab 3 = Glossary of Terms
- Tab 4 = Example EOC organization chart
- Tab 5 = PIO guidance, useful for Exercise #2
- Tab 6 = Scenarios and small group activities
- Tab 7 = Set of ICS forms used in this exercise
- Tab 8 = State-Level Transportation Organization EOC Position Checklists. Review the EOC Checklist for your position as a refresher on your role

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- **Additional Resources:** for further study
  - International City Management Association, (Waugh and Tierney, eds.), *Emergency Management: Principles and Practice for Local Government*
  - William L. Waugh, Jr., *Living With Hazards, Dealing with Disaster*
  - FEMA – Independent Study Courses  
<http://training.fema.gov/IS/crslist.asp>
  - Professional Development Series  
<http://training.fema.gov/IS/searchIS.asp?keywords=PDS>

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**NIMS TRAINING IS REQUIRED BY HSPD-5**



- HSPD-5:
- (3) Single, comprehensive approach to domestic incident management
- (15) Interoperability and compatibility among federal/state/local, based on ICS
- (17) June 1, 2003 established
- (20) FFY 2005 compliance
- 2011 Transit Security Grant considers NIMS implementation for award of grant funds.

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**Review of Today's Learning Plan**

- **Threat Assessment**
- **EOC Relationships**
- **ICS in the EOC**
- **Action Planning**
- **Methods**
  - Lecture
  - Interactive group activities




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## EOC Training: Goals

- Understand
  - NIMS terms, five functions
  - Disaster management principles, goals and keys to success
  - Relationships of State DOT EOC and other EOCs
  - Concepts and procedures for the State DOT EOC as it manages in a NIMS environment and coordinates with the SOC.



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## EOC Training: Purpose



- Provides background to function in State DOT EOC
- Provides orientation and hands-on skills
- Designed to address needs for basic EOC functioning

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## Threat Analysis



**Hazard + Likelihood + Vulnerability = Threat**

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## Hazard

- **Natural**
  - Hurricanes
  - Rain/Lightning/Hail
  - Snow/Ice
  - Wind/Tornado
  - Flood
  - Insect/Pest Infestation
  - Pandemic
  - Urban Wildland Interface Fire
  - Earthquake
    - Shaking
    - Landslides
    - Liquefaction
    - Levee failure



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## Hazard



- **Technological**
  - Power outage
  - Haz mat release
  - Transportation accident: road, rail, air
- **Human error/intent**
  - Medical emergency-industrial accident to heart attack
  - Vehicle accident
  - Fire
  - Workplace violence-California Street, ESL, Laidlaw bus yard

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## Hazard

- **Terrorism**
  - Explosives: US anti-war, IRA, Palestine, WTC 1993 and 9/11/01, Madrid, London
  - Chemical: WW I chlorine gas, Iran/Iraq War, Sarin in Tokyo
  - Nuclear/ Radiological: hoax, scare- fuel rods
  - Biological: Aum Shin Rikyo in Yokohama; The Dalles, Oregon; anthrax Fla, DC, NYC; 151 “white powder” calls Oct 2001



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## Likelihood of occurrence

- Sources of information
  - Local Government:
    - Emergency Plan
    - Fire Department statistics
    - Police Department statistics
    - Planning Department
    - Public Works Dept.
    - Office of Emergency Services



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## Likelihood of Occurrence



- Other partners:
  - County Public Health Department
  - Local gas and electric utility statistics
  - Local flood control agency reports & website
  - National Weather Service
  - US Geological Survey
  - Federal Bureau of Investigation

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## Vulnerability

- Who will be affected?
  - Size of the population at risk
  - Special needs?
- What will be affected?
  - Infrastructure
- What will happen?
  - Deaths, property loss, environmental damage, economic damage



Human vulnerability to Hurricane Katrina



Highway vulnerability to Northridge Earthquake

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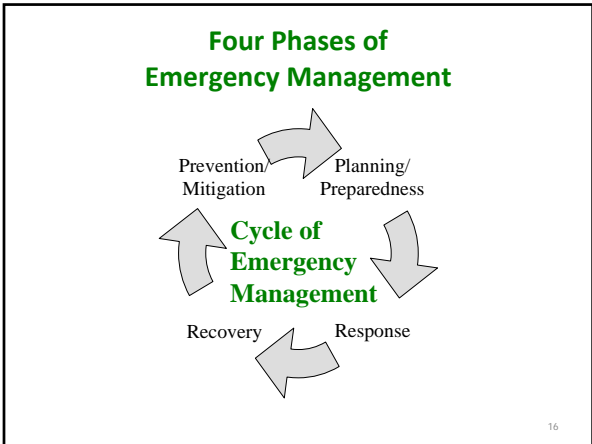
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### Prevention and Mitigation

– Avoid hazard, lessen impact or harm

- **Structural safety:** foundations, sheer walls, tilt-up/URM/soft story evaluation and retrofit, fire resistant roofs
- **Location:** Not in flood plain, dam failure or landslide zone
- **Non-structural safety:**
  - furnishings, equipment, fire alarms/smoke detectors, first aid kits, showers/eye wash facilities,
  - thorough compliance with haz mat storage requirements,
  - site security: badges, metal detectors, X-ray




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### Prevention and Mitigation



- **Training staff:** CPR/first aid, defensive driving, drop, cover and hold, fire safety, evacuation, haz mat handling safety, sandbagging/flood response (vehicle movement, evacuation)
- **Off-site storage of vital records/critical data:** “take home” plan, internet based storage, hot site/cold site plan
- **Insurance:** business continuity, health, mental health, vehicle, fire, wind, flood, commercial earthquake; workers comp

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## Planning / Preparedness



### – Anticipating response needs

- annual drills/exercising
  - Family and neighborhood at home
  - Fire and evacuation drills at work
- personal preparedness at home and work
  - **EVERYONE** should have a “fly away” kit
- stockpile and rotate supplies
  - Home, work
- customer and external partners information plan
- refresher training

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### – Response –steps to save lives, environment and property

- **implement plan:** personnel safety, property/ financial security
- **use training:** protect vital records, use alternate facilities
- **cooperate** with requests from State DOT Headquarters EOC, State DOT District EOCs in affected areas when requested
- **support** field level
- **contact** insurers

## Response



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## Recovery



### – Short-term Recovery

- damage assessment, emergency repair contracts
- critical incident stress care of staff
- review successes and failures and update plan
- restart internal business processes

### – Long-term Recovery

- replace damaged facilities/equipment
- review insurance coverage
- Restart local economy

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## Questions?

- Are there any questions about threat assessment or the four phases of emergency management?



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## ICS in the EOC: Overview

- Based on Incident Command System - used by fire service throughout the United States
- ICS is recognized by FEMA as the standard; liability if not used
- Ease of integration with outside agencies during disaster response
  - fire, medical, NGO's - ARC, Salvation Army



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## ICS in the EOC

- ICS has two different approaches to leadership, one in the EOC and one in the field
- **Command** is the focus in the field
  - Role is tactical, to determine how to apply resources to end the disaster
- **Management** focus in the EOC
  - Role is policy, goals setting, support
  - Management of assets to ensure that the needs of the field forces are met
  - Management of information to ensure that higher levels of government are kept informed, and reimbursement is maximized



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## ICS in the EOC: Features

- Common terminology: positions, equipment
- Top down, expandable, flexible, adaptable: staff what you need, multiple jobs for one person or multiple people for one task, depending on the size of the event
- Supports field (tactical) operations



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## ICS in the EOC: Goals



- Save lives
- Care for casualties
- Limit further casualties
- Limit further damage to structures and environment
- Reassure and care for the public
- Restore normal functions as soon as possible

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## ICS Management Principles

- Planning
- Organizing
- Leading (coordinating and communicating)
- Evaluating
- Improving



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## Learning from Past Disasters

- Activate as early as possible
- Staff initially to a high enough level
- Delegate authority within the management team (ICS)
- Assume and plan for failures of the system
- Monitor operating effectiveness
- Be flexible - make changes as needed



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## Keys to Effective Disaster Management

- Emergency organization in place (EOP)
- Team ready (ICS)
- Adequate checklists
- Training and exercises
- Effective, flexible EOC based on ICS
- **The Team, The System, The Guide, The Training, The Facilities**



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## ICS in the State DOT Emergency Operations Center



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## EOC Functions



- Location where centralized management is performed
- Scope of operations depending on complexity of emergency/disaster
- Five functions - flexible, expandable
- Supports coordination and communication among functions

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## Intelligence and Resources

- Brings all relevant emergency information together in one place
- Provides analysis of information for decision making
- Facilitates coordination of resources and setting priorities



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## Criteria for Activation

- Resources needed exceed normal operations
- Anticipated duration of event
- Need for major policy decisions
- Anticipated or declared emergency
- Anticipated need for mutual aid, for example district to district, Public Works Mutual Aid, Structural Engineers Assn.
- Disruption to travelers on SHS: major detours, sheltering, evacuation



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• Initial activation staffing

- Management Section Chief
- Emergency Services Coordinator
- PIO
- Section Chiefs
  - Operations
  - Planning/Intel
  - Logistics
  - Finance/Admin
- Planning: Situation Status & Analysis Unit
- Logistics: IT support

## Activation



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### Initial Actions

- Size-up: situation, extent, impact, status
- Resources: assess available resources to meet objectives
- Action Plan: develop initial action plan to address objectives with available resources
  - Determine length of time of initial operational period
  - Set goals for initial operational period
  - Obtain resources for sustained operations

## Activation



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## General Staff Roles

- Management Section Chief and General Staff function as the EOC management team
- General Staff members are responsible for:
  - overseeing the internal functioning of their sections
  - interacting with each other, the Management Section Chief, and others within the EOC to ensure the effective functioning of the EOC organization



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## Emergency Operations Center Organization Chart



Blue positions are the Command Staff; Black positions are the General Staff

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## Management Section Role

- Coordinates State DOT Headquarters activities with State Operations Center (SOC), including getting Mission Tasking # for all off-budget expenses
- Reviews all requests for State DOT resources from SOC, local entities; coordinates response with SOC, including reimbursement issues
- Responsible for developing and supporting the emergency management organization as appropriate for the situation
- Delegates functions and adds organizational elements as necessary to maintain appropriate span of control

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## Management Section

- Management Section Chief
- Command staff-
  - PIO
    - PIO Staff
  - Emergency Services Coordinator
  - Safety Officer
  - Liaison Officer
  - Security Officer




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## Command Staff

- Public Information Officer (PIO)
  - coordinates and disseminates approved information to media, public
  - usually requires staff support: media monitoring, media release creation, media briefings preparation & execution



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## Command Staff

- Emergency Services Coordinator:
  - Ensures that the facility is ready, EOP is kept up to date, staff is trained; coordinates with other elements of the department's emergency management team
- Liaison Officer:
  - coordinates with agency reps: State Highway Patrol, utilities, NGOs
- Security Officer:
  - Ensures that only EOC staff with proper credentials are admitted
  - Oversees check-in and check-out
- Safety Officer:
  - Psychological care of State DOT EOC staff
  - Ensures that shift change is established; works in conjunction with Personnel Unit of Logistics Section who implements call-backs
  - Ensures that food for EOC and field forces is appropriate and timely; works in conjunction with Logistics Chief who places orders

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## General Staff

- Approach mirrors field ICS
- General staff are assigned based on the scope and complexity of the event
- State DOT Management Section Chief is in overall control
- Designated as "Chief"
  - Operations
  - Planning
  - Logistics
  - Finance/Administration



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## Operations Section



“MacArthur Maze Miracle”

- Responsible for all activities on the SHS directly related to the primary mission of the response, for example
  - Safety inspections
  - Debris removal
  - Repairs, replacement
  - Closures, detours
  - Overweight and overload permits
  - Traffic management in conjunction with State Highway Patrol- evacuation, rerouting

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## Operations Section



- Responsible for coordinating all operations in support of emergency response through implementation of the Action Plan
- Facilitates the direct interface with Incident Command and field tactical operations

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## Planning Section

- Responsible for collecting, evaluating and disseminating information related to the event
- Prepares the written Action Plan and coordinates Action Planning Briefings
- Prepares State SOC information forms and faxes them to State DOT representative at the SOC
- Displays critical information, performs analysis and prepares reports
- Maintains documentation regarding events, actions and resources



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## Logistics Section



- Responsible for providing facilities, services, personnel, equipment and materials for the EOC and in support of field operations
- Operates and maintains all IT and communication systems
- Assists with the documentation of resources and status of purchases

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## Finance/Administration Section

- Responsible for financial accounting, and other administrative needs
- Establishes disaster accounting using pre-designated account numbers to tie all disaster work to the disaster; uses Mission Tasking #s for all requests from SOC and other agencies
- Maintains records, processes claims and facilitates cost analysis
- Collects all receipts, photos and other proof of expenses to facilitate reimbursements from FHwy, FEMA, responsible parties, insurance policies



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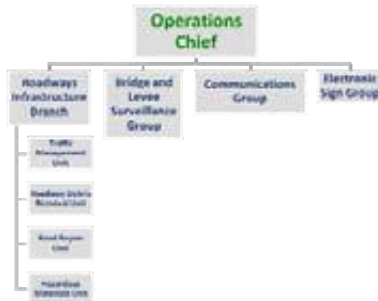
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## Hierarchy Within the EOC

- Section
- Branch – Unit
- Group



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## Questions on ICS in the EOC?



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## Need for EOC SOPs

- Standard Operating Procedures include
  - concepts of operations: policies, overall management, organization levels
  - guides for staff to operate in the Dist EOC: floor plan, communications, computers
  - checklists for critical tasks to be performed: priorities, critical actions, forms
  - critical resources: phone lists, contacts, contracts, resource lists

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## EOC Manual

- EOC set up
- Communications resources and layout
- Information flow, message handling
- Forms, documentation methods
- Displays, reports, information gathering
- Rumor control plan
- Resource tracking, demobilization plan

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## EOC Facilities Characteristics

- Floor plan: consider ease of interaction among EOC participants
  - layout for computers/communications
- Equipment & Supplies List
  - furniture, copier access, phones, radios, computers, maps, status boards, forms, logs, pens, directories, food, water



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## Questions About the Material So Far?



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## Small Group Activity #1

- Work collectively on all tasks
- Designate section assignments for all team members
- Prepare chart of the emergency organization
- Report back in
- 20 minutes



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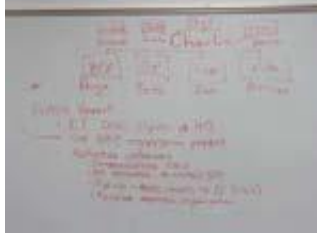
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- Management Section
  - Everyone is the Management Section for this exercise
  - Read and discuss the news briefs and scenario
  - Discuss the State DOT response to the Governor's Declaration of a State of Emergency/ decision not to declare a state of emergency
  - Prepare a media release about State DOT's disaster response activities
  - Develop a safety plan for the EOC

## Small Group Activity #2



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- Planning Section
  - Using scenario intelligence, complete a Situation Summary
  - Using easel paper and map, record events, actions, resource status
  - Discuss and describe how sections share information with the P/I section and how they disseminate it in the EOC; how they get Action Plans and reports to the SOC

## Activity #3



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## Lunch!



EOC Disaster Lunch Packs, Baltimore County EOC

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## Action Planning

The Decision Briefing

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## EOC Progress



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## ICS in the EOC ORGANIZATION



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## State Level: SOC

- State EMA & State Agency Executives, including State DOT representative
- Located in capital city
- Sets joint policy, overall action plan
- Brokers resources among regions
- Federal response coordination
- Communicates with Governor and Legislature
- Implements media policy



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## ACTION PLANNING:

- Conducted at the incident in the field
- Conducted in the EOC and SOC
- Objective driven
- Eliminates redundancy
- Establishes accountability
- Documentation is responsibility of Planning Section



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## Purpose of Action Planning

- Enables the Management Section Chief to make policy decisions regarding
  - The use of scarce resources
  - The next operational period
  - Decisions on declaring a disaster
  - Decisions on call backs, contracting or otherwise enhancing available response resources

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## Purpose of Action Planning

- To conserve management time for all sections
  - Limits the time the Section Chief is unavailable to other staff
  - Focuses discussion on *decision*, not “war stories”



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- Focuses thoughts of Section Chiefs towards actions necessary to support response decisions



- Information provided is limited to details essential to support decision-making
- Minimizes the impacts of style, personal power or political position on the outcome of the resource allocation process

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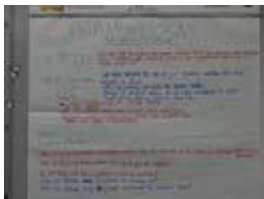
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## Basis for Action Planning



- Management by Objective: clear goals in concert with SOC, requests from Governor
- SMART Goals
  - Specific
  - Measurable
  - Attainable
  - Realistic
  - Timely

Note: Action Planning format is behind Tab 6, Activity 4 in notebook.

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### Outcomes of Action Planning

- Clear time frames to achieve goals
- Appropriate to support the needs of SOC, Department Director and Governor's Office

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### When EOC is opened...

- Follow format behind Tab 6, Activity 4
- Management Section Chief gets briefing from Emergency Services Coordinator, Transportation Management Center or IC in the Field as soon as possible
  - Event overview
  - Staffing in the field
  - Staffing in the EOC




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### Management Section Chief

- Determines initial Action Period and goals, usually 2 hours for collecting information on the event.
- Sets initial **SMART** goals, typically
  - Planning
    - Make a map of the disaster
    - Get weather/tide/sunrise-sunset
    - Status of other levels: SOC open? Local EOC in disaster area open?
    - File initial Situation Summary SOC
  - Finance
    - Start disaster-based accounting, using pre-designated accounting codes and Mission Tasking #s

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## Management Section Chief

### INITIAL GOALS (continued)

#### – Operations

- Save lives, protect environment/property using available resources
- Inventory field situation: current deployments, needs and timeframes
- Develop a list of other resources needed to maintain or enlarge response

#### – Logistics

- Order food for next meal time for Field and EOC staff
- Ensure that all communications equipment and IT systems are working
- Review contracts lists, contact lists

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## Management Section Chief

### INITIAL GOALS (continued)

#### – PIO

- Issue press release announcing State DOT EOC opening and response highlights, coordinated with field dept PIOs as needed (State Highway Patrol, local police and fire departments)

#### – EMERGENCY SERVICES COORDINATOR

- Advise on level of Governor's current disaster declaration
- Status of local emergency declarations.
- Determine status of other state departments and their EOCS

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## Management Section Chief



- Ensures that all section chiefs have the support equipment needed
- Ensures that Safety Officer has begun to construct shift change staffing, coordinating callbacks with Personnel Unit of Logistics Section
- Ensures that State DOT Director and SOC are notified of EOC opening

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## Section Chiefs

- Work to achieve the goals and objectives for the section in this Action Period
- Mitigate the disaster in the state in coordination with SOC
- Make plans for the next action period
- Prepare for the Action Planning Briefing



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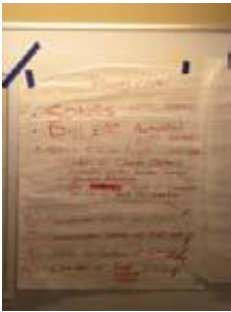
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## Action Planning Briefing



- Schedule 1 hour before the end of the Action Period
- Attendees: Section Chiefs, EPIO, Emergency Services Coordinator

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## Important Considerations

- All section chiefs must come prepared and on time
- Strong leadership from the Management Section Chief is critical
- No phone or radio interruptions
- **STICK TO THE 30 MINUTE TIME FRAME!**



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- Planning Section Chief provides

- An overview of the current situation, including a State DOT impact map
- Information for future strategies: weather, sunrise/sunset, tides
- Report on SOC status reports
- Recovery steps underway: roadway repair, insurance coverage
- Up to 5 questions/policy direction requests in writing and posts on wall



## Action Planning Briefing Steps

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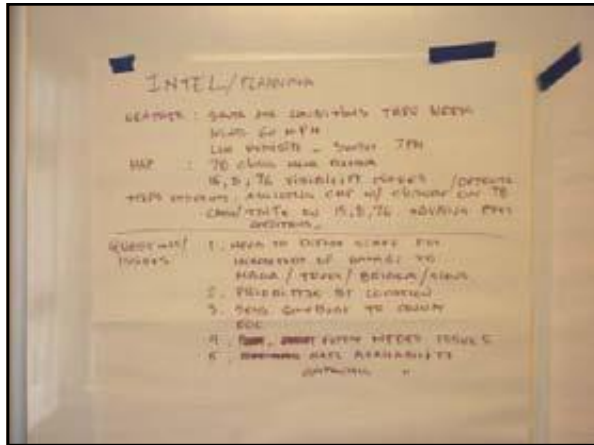
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## Operations Chief

- Provides

- An overview of the field response
  - Evacuations, detours
  - Road damage, closures, traffic issues
- An overview of State Highway System impacts, including interaction with local roadways
- An overview of State DOT statewide impacts
- Up to five questions/policy direction requests in writing and posts on wall

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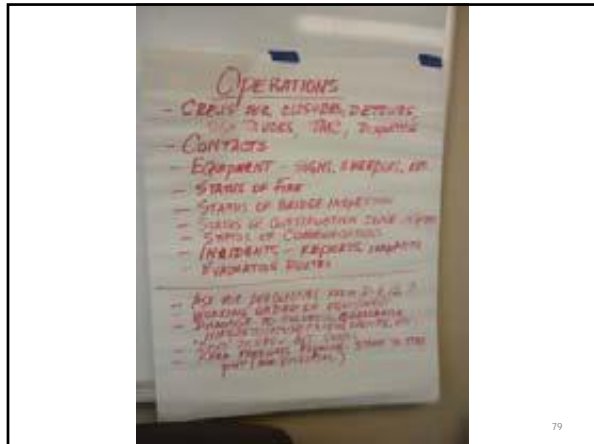
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## Logistics Chief

- Provides
  - an overview of support activities
    - Contracts in place
    - Condition of communications systems, functionality in field
    - Condition of IT systems, availability of databases, internet connectivity, access to as-builts and other items stored through “cloud computing”
    - Supplies and acquisition activities: need for personnel and equipment
  - Up to 5 questions/policy direction requests in writing and posts on wall

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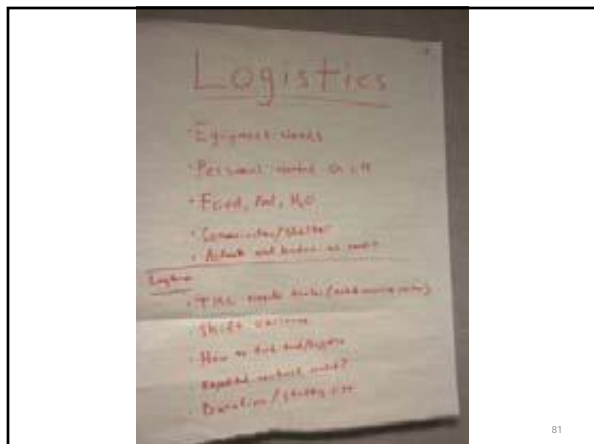
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## Finance/Administration Chief

- Provides
  - An overview of financial impacts of the event
    - Budgeting issues
    - Damage to be covered by FHWA
    - Insured losses of State DOT property
    - Damage to be covered by FEMA
    - Overtime
    - Emergency Contracts
  - Up to five questions/policy direction requests in writing and posts on wall

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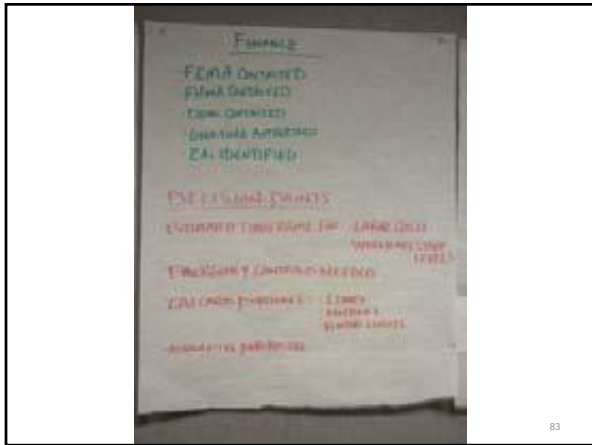
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## Management Section Chief

- Provides overview of EPIO work, coordination with Agency, Headquarters, SOC, REOC and Op Areas, as appropriate
- Reviews all questions/policy direction requests from the 4 section chiefs and gives answers/direction
- Determines the SMART goals for the period in concert with the Department Headquarters
- Determines the next EOC Action Period

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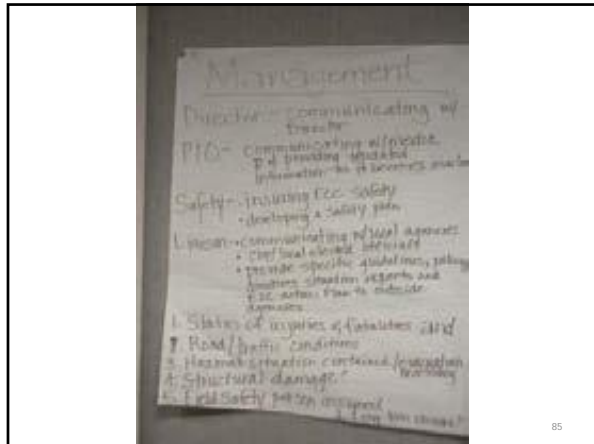
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## The Written Action Plan

- The Planning Section Chief writes the Action Plan based on the Action Planning Briefing direction from the Management Section Chief
  - See ICS 202 in binder




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## Written Action Plan

- Provides the basis for measuring effectiveness (measurable goals)
- Includes organization chart and operational period
- Describes four elements:
  - What they will do: goals and objectives by section
  - Who is responsible for doing it?
  - How will you communicate to get the work done?
  - Safety procedures




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## Action Planning Steps

- EOC Section Chiefs will implement the plan
  - Each Section Chief will conduct Operational Period briefing for his section
  - Each chief will ensure that the activities assigned to his section are carried out.
- Evaluate the plan against the changing situation
  - On-going duty of each section!



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## The Action Plan

- When complete
  - P/I staff will distribute the written Action Plan/202 to each EOC Section Chief
  - P/I staff will prepare an updated situation report, and forward it and the Action Plan/202 to the Department Director and SOC



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## Questions on Action Planning?



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### Small Group Activity #4

- Prepare the action plan by holding an Action Planning Briefing, following the format
- Use 20 minutes to prepare for the briefing, developing the 5 minute section briefings
- Use 30 minutes to hold the briefing
- Use 10 minutes to create the written Action Plan



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### Small Group Activity #5

- **Operations Section**
  - Review EOC resource issues in resource request handout
  - Determine how the requests will be filled: district to district assistance, formal mutual aid, contracts?
  - Prepare a presentation for the whole group on the solutions



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### Small Group Activity #6

- As the Finance/ Administration group, consider the following:
  - What insurance policies will cover what costs: FEMA flood insurance, Workers Compensation?
  - What other sources will cover damage: on federal highway, off federal highway?
  - Do you have adequate paper-based systems to document resources and make contracts if IT does not work ?
  - Do you have pre-made agreements with vendors ?
  - Prepare a presentation to the whole group on your solutions.

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## Course Summary



- ICS in the EOC
  - Creates a seamless connection between the field and the EOC through the Operations Section
  - Creates clear lines of authority while encouraging cross-disciplinary coordination through Sections
  - Limits the number of direct reports to the Management Section Chief for a more manageable span of control

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## Questions?



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## Speaker Contact Information

- Name
- Organization
- Contact e-mail
- Other contact information: physical address, phone number, website

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# TAB 3

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Tab 3



# State DOT Headquarters Emergency Operations Center Training

Scenarios



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(Note to Instructors: This material is not included in the student books. The beginning of the student book is at the Activities section below.)

## **SCENARIOS AS AN EOC TEACHING TOOL**

An essential part of the EOC training is the ability of the students to apply their knowledge during the class. Two natural hazards and three technological hazards scenarios, with related press coverage and resource requests, are provided as examples of the types of training materials that should be developed for each training session. While these each come from a real event they have been made “generic” with changed names for locations and natural features, and changed identification for the roads. This is to encourage you to customize these scenarios with your own local town and river names and highway numbers. You can also use these as a formatting reference only from which to develop your own unique sets of scenarios, media coverage and resource requests.

Ideally scenarios should draw on real – or at least very realistic – events for the state in which the training is being conducted. Consult with the State DOT training staff to determine the existing capabilities of the students. The selected scenarios should be challenging but not daunting. It is important for students to appreciate how to apply the ICS in the EOC training to the management of an emergency or disaster, but they should leave with a sense of accomplishment in using their new knowledge. Make sure that as you create the scenario you know what the “correct” answers would be and where resources to resolve the situation could be found, and do not create an exercise for which there is no existing resource base from which to draw for success. Although some trainers with a military background have been known to advocate “pushing the system until it breaks,” this EOC training is intended as an introduction or intermediate refresher course for State DOT staff, and there is no value in sending students away with a sense of frustration and defeat.

Be sure to include appropriate maps of the scenario areas in the training classes. Most State DOT EOCs will have maps of the state that will meet the training needs, but ensure that they are available for training use. Since students need to write on the maps to identify the disaster area, blocked roads and direction of traffic flow, the maps should either have a wipe-off surface, an acetate overlay, or be paper maps created on a DOT plotter at little cost. Be careful not to damage valuable maps. If no professional maps are available through State DOT, commercial state maps can be purchased inexpensively at bookstores or gas stations, and these will suffice for the training classes, provided they have a large enough scale map of the area that is the focus of the emergency or disaster. You will be using 2 different scenarios in each training session, so be sure to have 2 clean maps.

All three elements of the scenario are needed for the training: scenario description, media coverage and resource requests. Each element plays a part in the training. Take away messages from the materials that you provide are:

1. Early scenario information may be incomplete or only told from one profession’s perspective. For example, early reports of a wildland interface fire by State

Highway Patrol officers might not include important issues such as vulnerability of the area to rapid spread of the fire, and the location of canyons and draws that would influence fire spread.

2. Media information may help to complete the “common operating picture” but may be full of speculation, “eye witness” reports from the uninformed public, and crank callers’ disinformation. This is why the call-in radio reports are included in the media reports, as you can use this method for including confusing or contradictory media reports to make this point with the students. They will often tell you that media report information “can’t be right,” and that is the teachable moment to emphasize the unreliability of media reports, and therefore the importance of frequent and accurate media releases from State DOT.
3. Resources do not have to all come from DOT. What public private partnerships would help with the resolution of the problem? Is there a responsible party who should be contracting for the response and clean-up services? Is State DOT being asked for appropriate assistance? Is the action requested within the scope of work of State DOT employees?

This ICS in the EOC class is designed to intersperse teaching with practice. Adult learners prefer to interact with the information. The initial “seminar” sets up the system and analytical basis for the ICS in the EOC. The first period of the class – up to 2 hours – will be a lecture. After that the rest of the class should alternate between small group activities and report backs from each group. By selecting one natural and one technological hazard the students can be exposed to both challenges through working on one scenario and critiquing the other section’s management of the other. This allows adult learners to interact with information, evaluate information and critique information, which should enhance their learning and their memory of the information imparted in the class.

## **Winter Storms and Flooding Hit Maplewood**

### **SCENARIO**

It is 9:00 a.m., December 20, and a strong winter storm has hit the north central portions of the state. The winter storm started yesterday in the southern part of the state. The local area saw strong winds and heavy rain develop starting about 4:00 a.m. and continuing through the morning. The current estimate of rainfall in the basin is at least 2 inches per hour, overwhelming drainage systems. The warm rains are causing the early snow pack to melt, requiring dam operators to release water, adding to the water in the Maple River.

Sheriff's deputies and State Highway Patrol members have reported flooding at intersections along the Oak River impacting the Maplewood area. Drainage culverts are backing up and water is flowing over Highway XX in Maplewood, impeding traffic movement on the state highway, surface streets and the rail line. At least two multi-car accidents are blocking parts of Highway XX as motorists try to avoid the rushing water.

The flooding is regional, with confirmed reports of flooding along the length of Highway A south through the south central portions of the state and along the Elm and Oak Rivers in the local area. The capital city has declared a disaster as it monitors levee conditions in the delta area. News reports indicate that the northern portions of the state have been hard hit, including the German River areas and Vineland. St. Francis City is reporting extreme intersection flooding due to the volume of rain. The Southern Creek in St. John City is over its banks and threatening to flood portions of the Rock Springs neighborhood and the St. John Zoo. St. Mark City is sandbagging the levee and Lisbontown is being evacuated as the water level in the marsh rises. The National Weather Service estimates that 4 inches of rain have fallen in the last 4 hours across coastal areas of the state.

Due to the widespread flooding the Governor has declared a state of emergency including Oak County, Maple County, Vineland County, Elm County, representing almost 50% of the state's population and economic base. He has requested a Presidential Disaster Declaration. State Highway Patrol units are on overtime and callback status trying to manage traffic on major roadways that are experiencing flood-related traffic disruptions, including debris, poor visibility and local road surface flooding. Visibility problems and hydro-planing are causing accidents throughout the state. The county executives are meeting with department heads now to determine whether to declare a local emergency for three other counties adjacent to the Maple River.



## **Winter Storms and Flooding Hit Maplewood**

### **Media Coverage**

1. CBS reports that the Coastal area and northern inland areas of the State are hard hit. Power outages along the northern coast have resulted in residential buildings without power and traffic signals are out throughout the St. Francis City downtown. In St. John City traffic lights are not functioning in intersections along the interstate corridor, impacting movement on and off the highway. Elm County has localized power outages and debris in the roadway. Roads are flooded in the three northern counties. Highway XX is shut down in the Maplewood city limits. Road washouts are occurring in the German River Canyon and all along to the Vineland River. Motorists are advised to stay off the roads and shelter in place until the storm passes.
2. CNN reports that the storm that caused the flooding in the State has damaged homes along the German River and hillsides in Vineland County are experiencing mudslides. Polar, Northstar and Snowy counties have declared a disaster as the winter rain storm melts the early snow pack. The Maplewood area is inundated by a combination of released dam water and urban run-off into the Maple River. There is concern for the condition of the levees in the Capital River Delta. The Republican Party is holding a retreat in a hotel in Maplewood, and reports state that the party's leadership of the legislature is traveling there on Highway XX. Road flooding and high wind conditions have caused several state legislators to be stranded in their cars on Highway XX just north of Maplewood as traffic is snarled by the washout.
3. The Weather Channel says that the storm has stalled over the central area of the State. Rain is expected to continue throughout the day, along with winds gusting to 60 mph. Residents of low lying areas are advised to move their cars to high ground and sandbag the garages and first floor doors. Those in low lying areas along rivers and in canyons are advised to consider relocating family members and pets to higher ground.
4. Local Maplewood radio reports that residents of low lying rural areas along the Maple River are fleeing with truck loads of their belongings. Traffic along feeder roads for Highway XX is very heavy in the vicinity, notably near the high school where the Red Cross has opened a shelter for victims of flooding.

## **Winter Storms and Flooding Hit Maplewood**

### **Resource Requests**

1. The supervisor at the Maple River flood area is requesting large sandbags to reinforce the banks at a weak point that is being scoured by the rushing water. The culverts along Rt. XX are being damaged by rushing water.
2. The supervisor at Highway XX is requesting additional portable traffic control devices for critical intersections, and a debris removal team with truck and chipper for the flood area.
3. The supervisor at the Maple River flood area near Highway XX is requesting an emergency contract with a mud removal contractor for a mudslides on Rt. XX just south of the Maple River. The mud is blocking traffic and about 50 cars are stranded.
4. The EOC Safety Officer is requesting food for a staff of 12 and food for field forces of State DOT workers in the flood areas along Highway XX at the Maple River.

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## **Wildland Urban Interface Fire**

### **Scenario**

It is 9:00 a.m., November 4, and a wildland urban interface fire is burning in Willow Creek. The fire has been burning for 24 hours and is still spreading to surrounding wildland areas. State Fire is responding with mutual aid through Mutual Aid Regions 2 and 3.

State Highway Patrol needs to close Rt. 123 in Willow Creek to provide for staging and access for fire and emergency response forces.

Visibility along Highway BB is decreasing due to smoke from the wildland fire. State Highway Patrol is reporting at least two multi-car accidents caused by the smoke, at least one of which has injuries. Ambulance response has been requested.

Wildland fires are also burning in adjacent Crater County along Highway ZZ. CHP is reporting poor visibility due to smoke blowing across the road.

Two fires have been burning in the St. James City area for 2 days, and a new fire has started in Carbon Canyon in Angelstown, both in the southern part of the state.

Because of the demands on State Fire the Governor has declared a state of emergency, and is requesting a Presidential Declaration of a State of Emergency to get access to federal funds to pay for emergency response costs. The governor's declaration includes Sunland, Seaport, Willow and Pine counties at this time.

State Highway Patrol units are on overtime and callback status trying to manage traffic on major roadways that are experiencing fire-related traffic disruptions, including emergency responder access, debris, and poor visibility on portions of Highways 123, BB and ZZ.

## **Wildland Urban Interface Fire**

### **Media Coverage**

CBS reports that the Carbon Canyon area of Angelstown is hard hit by an arson caused wildland urban interface fire that is burning out of control. Power outages caused by transformer explosions from the fire have resulted in residential buildings without power and traffic signals are out throughout the area of the fire. The St. James City Fire is about fifty percent contained, but strong hot winds are making it hard to hold the fire line. The three day old fire in Willow Creek is still burning with no containment in sight. Motorists are advised to avoid Highway 123 which is closed for State Fire activities. The Crater County fire is threatening homes along Highway ZZ, and an evacuation has been ordered by the county fire chief. A shelter is open for local residents.

CNN reports that the State is on fire again. From St. James City in the south to Willow Creek in the north the state is blazing. At least one fire, the Carbon Canyon Fire, was caused by arson. Hundreds of homes are at risk, and an evacuation has been ordered by the mayor. Shelters have been opened at area high schools for residents, focusing on family reunification and providing resources for contacting insurance companies. The Carbon County fire has affected residents along Highway ZZ, where an evacuation has also been ordered. The Red Cross has an 800 number for those seeking loved ones in the fire areas.

The Weather Channel says that the high winds with gusts up to 60 miles per hour and low humidity will continue at least through the week in the State. Residents are advised to avoid burning leaves, using camp fires, or using power tools in wildland areas or near brush and debris. Residents are urged to collect leaves for safe disposal. Those in fire areas are reminded of inhalation hazards associated with smoke and advised to stay indoors.

Local radio reports that traffic along Rt.BB is hampered by poor visibility due to smoke. At least one injury accident has occurred, and an ambulance is responding.

## **Wildland Urban Interface Fire**

### **Resource Requests**

1. The supervisor at the Highway 123 closure is requesting traffic control devices and a detour plan for the north and south segments of the road, including additional traffic control devices for those areas.
2. The supervisor at the Highway BB area is requesting additional signage to warn motorists of smoke.
3. State Fire is requesting a State DOT crew to assist with access from Rt. 123 to the fire camp.
4. The EOC Safety Officer is requesting food for a staff of 25 and food for Caltrans workers in the Rt. 123 and Highway BB fire areas.

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## **Haz Mat Train Accident at 987 and I-99:**

### **SCENARIO**

It is 6 a.m. on February 17, 2011. State DOT reports that a freight train of 50 cars has overturned on the track 1,000 feet from I-99 and north of State Route 987. The train is fully engulfed in flames and releasing toxic smoke. At least eleven cars are carrying chemicals: 4 flammable liquids, 1 combustible liquid, 1 petroleum oil and 4 other cars with chemicals not regulated under US DOT as hazardous materials. The train was traveling northbound when its brakes failed. The driver lost control of the train and it fell onto its right side when he tried to apply emergency braking procedures, causing it to slide into a sand filled culvert beside the track.

Video is being streamed from the scene by a motorist showing the engineer being rescued by several neighbors. The other two crew members are missing and presumed dead. Traffic has stopped in all lanes on I-99 due to poor visibility from the smoke. A four-car accident has occurred just south of the train wreck on SR 987. Another multi-car pile-up has occurred on the southbound lanes just north of the I-99 junction. 9-1-1 callers report there was a crash and a boom, and then irritating smoke. The State Highway Patrol has determined that the smoke may be toxic and has ordered I-99 closed.

State Highway Patrol has called for the nearest hazardous materials response unit, and is working with the State Operations Center to evaluate the likelihood of injuries from the toxic smoke. They are evacuating the freeway around the 987 interchange. State Highway Patrol is requesting information regarding the best place to start clearing traffic off the freeways to relieve the back-up. The requested hazardous materials team will need help with access to the area of the tanker fire, and a bus may be needed to move stranded motorists.

The State DOT Director is asking for a briefing by the EOC Director at 10 a.m. The EOC staff members need to assist in developing briefing notes for his use, and the Planning/Intel staff members need to develop a map of the disaster area, and estimate how many motorists are involved. The Director also wants to know the status of the railroad, and when trains can begin to use it.



## **Haz Mat Train Accident at 987 and I-99:**

### **MEDIA REPORTS**

CBS-TV is reporting a huge traffic snarl at the I-99 before 987. Early reports say a train derailment with hazardous materials has overturned and is now on fire. Motorists are trapped on the interstate as traffic backs up on the north and south sides at the detours. Local radio is reporting that a freight train is on fire, with toxic smoke causing a detour on the I-99, snarling traffic in both directions. The morning commute to Essex and Sherwood is requiring lengthy commutes. Local residents are calling to report thick black smoke coming from the derailment, and our traffic copter reports that traffic has stopped on I-99 in both directions around the fire at the 987 interchange. Drivers are advised to take alternate routes to avoid the area.

The 5-1-1 message reports that State Highway Patrol is issuing an Alert for the I-99 in the Railway Junction area. Drivers are advised to take alternate routes. Those already in the area are urged to exit the interstate as soon as possible and use other streets to their destinations. Drivers should shut off air conditioners and close exterior air intakes as they approach the area. The tanker was carrying a hazardous material that is an inhalation hazard.

Twitter features photos and video of the fire, with commentary by a bystander who notes that the engineer has been rescued but is dazed and disoriented, and needs medical attention.

Morning Talk Radio states that a freight train has derailed, the engine overturned into a culvert, and the engineer was rescued by bystanders. The other two train crew members are missing and presumed dead. The train is mired in sand that is now full of hazardous materials dumped from burning freight cars. A caller claiming to be at the scene reports that jet fuel is all over the roadway and on fire. Another caller states that the CHP is not telling them the truth about the accident. He says he heard that it was sulphuric acid and Wikipedia says sulphuric acid is highly corrosive and reacts strongly with water, causing fire. There is a plume of smoke from the fire all over the freeway northwards. The owner of a local restaurant called in to say that he is standing on his deck and it looks like the whole roadway is on fire at 987 and the tracks.

**Haz Mat Train Accident at 987 and I-99:  
RESOURCES**

State Highway Patrol is requesting use of the movable sign boards for traffic control, and assistance blocking all highway entrances in the damaged area.

State Highway Patrol is asking for construction information about the SR 987 roadway where the fire is burning. Considering the damage done to the MacArthur Maze in Oakland, California by the burning tanker truck they are reluctant to send officers onto the I-99 freeway overcrossing at the railroad tracks. What advice do you have?

Local radio is asking for a list of alternate routes for people stuck on the I-99. Where can they get off to access other north and south routes?

State Highway Patrol is requesting barricades and cones on a truck to block the lanes and divert traffic off the interstate at the interchanges north and south of the fire. They also want State Highway Patrol crews to wave people off at the interchanges. How long will it take to start the diversion?

State Highway Patrol will need support for contraflow from the 987/I-99 intersection north southbound traffic, and from the accident site south for northbound traffic. Can people turn around on the interstate safely and drive contraflow once the freeway has been blocked?

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## **Nuclear Power Plant Event Scenario**

At 6:00 a.m. alarms sounded at the Standard Operating Nuclear Generating Station (SONGS). There appears to be a problem in the cooling water system and the temperature in the core is continuing to rise. The staff has instituted all emergency controls, but the actions are not decreasing the temperature.

There is a concern that there could be a release of radioactive steam and water, so the plant operator has called for an emergency response and an evacuation of adjacent areas. The owner has notified the Apple County and St. James City Operational Areas that a precautionary evacuation should be conducted according to the plan as though it were a drill, and SONGS will bear all the costs of the evacuation and reception sites.

The State Emergency Management Agency (State EMA) has issued an evacuation order for all areas within the SONGS evacuation zone. The Governor is declaring a State of Emergency to support local government response to the evacuation order.

The southbound lanes of I-5 are being resurfaced in Block City, and State Highway Patrol has been detouring southbound traffic onto surface streets at SR CC. A three car accident has occurred on Royal Road at the junction with SR CC between a hazardous material hauling truck and an open hopper truck of lemons, and the fruit is all over Royal Road and blocking storm drains. State DOT has a crew on scene trying to clean up the lemons. Sunkist has a replacement truck enroute to take the remaining load of fruit. Meanwhile, the lemon truck is on the shoulder just south of the SR CC exit, complicating the traffic detour flow on Royal Road.

An Earth Day celebration is going on from now through the weekend at Standard Operating State Beach, including people camping at the state park, and vendors set up along the state park roads. There are at least 2000 people currently there, most of whom arrived in fifth wheel and Winnebago style campers.

The Saint James City Operational Area has declared a local emergency, and the sheriff has issued a mandatory evacuation order for all county unincorporated areas within the SONGS evacuation zone. The mainside of USMC Camp Jones is sheltering in place for security reasons, while the school is being evacuated to the Brookside district office and all dependent residents are being evacuated to either Fallbrook or Encinitas, depending on the housing area. Parents should reunite with their children at the Fallbrook School District Office, where the principal will establish a student release system. A list of Red Cross shelters receiving area residents will be announced within the hour, and will then be on the St. James City Operational Area website.

## **Nuclear Power Plant Event**

### **Press/Media Coverage**

ABC and CBS TV are reporting the SONGS event, and stating that the utility is monitoring the plant grounds for tritium. Local reporters are urging people in the evacuation zone to evacuate. Shelters will be opened at Northern State University and Coastal State University.

All News Radio reports that the Governor has declared a State of Emergency and has asked the President for a Disaster Declaration to cover the evacuation and emergency response costs. The Governor is requesting federal Department of Energy and military resources to respond to the Apple County Operational Area EOC and the SOC to assist with planning the response, in case of a release.

Busses have been ordered by the Apple County Operational Area and the St. James City Operational Area for evacuation support. The Marines are providing busses for dependents without cars. Additional shelter sites are being inventoried in case the evacuation requires overnight stays. Pets should be brought to the evacuation center and will be housed nearby.

Coastal State University Campus radio is reporting that the Coastal County Fair Grounds in Seaside will accept pets and large animals for boarding during the evacuation. They are providing an e-mail address, website and phone number for more information.

The local radio station reports that the Coastal American Red Cross is opening a shelter at the Coastal State University Events Center. People are urged to bring their own toiletries and linens, and cots if they have them. Campers will be accommodated in the parking lot and family tents may be set up on a nearby grass area. Shelter supplies are being trucked in from the warehouse near Las Vegas in Nevada, and should arrive tonight.

## **Nuclear Power Plant Event**

### **Resource Requests**

1. Management needs a full roster of personnel for shift change in 12 hours.
2. Safety Officer requests that healthy snack food – fruit, bagels and cream cheese, pretzels, juice and water – be brought for the EOC staff, to be delivered ASAP. A hot meal also needs to be brought in for lunch, preferably not pizza.

### **Coastal County Operational Area Requests:**

3. Standard Operating Company needs to move some large rigging equipment from Phoenix, AZ to Coastal County to stage for immediate repairs when the accident at the plant is resolved. They need an over weight permit and a safe routing to the staging area at the Coastal County corporation yard.
4. State Highway Patrol is requesting barricades and delineators for the interstate exits for Coastal State University to separate evacuation traffic from freeway through traffic. They also need portable electronic signs for the freeway and the route to the evacuation center parking at Coastal State University. The State Highway Patrol has requested that State DOT poll its traffic control assets, and get the closest stockpiles delivered to the State DOT Coastal County District headquarters yard for staging.
5. State Highway Patrol is considering making all Coastal County coastal area highways contraflow from the coast toward inland only. Does Caltrans have the personnel and equipment to block the on ramps for SR-CC and SR-CD? Are there roads that are wide enough to permit one lane to the coast to remain open for emergency vehicles and evacuation vehicles returning for more people?
6. At what point should the northbound and southbound lanes of the interstate highway be blocked to keep traffic out of harm's way? How should traffic diversion be handled? Could freeway-based detours be established?

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## **TANKER ACCIDENT AT Highway XX and Highway A: SCENARIO**

It is 10:00 a.m., December 9. State Highway Patrol reports that a tanker truck of nitric acid has overturned on Highway XX just before the Highway A interchange. The truck was traveling southbound when it swerved to avoid a car cutting in and out of traffic. The driver lost control of the truck and it swung into the fast lane before turning onto the passenger side. The truck is placarded for nitric acid, and it is unknown whether the tanker has been compromised. Nitric acid is an oxidizer and an inhalation hazard, potentially explosive if ignited.

Video is being streamed from the scene by a trapped motorist showing the driver being rescued by several motorists, as another is trying to use his car fire extinguisher to foam the leaking diesel fuel. The 18-wheeler is spilling its 50 gallons of diesel fuel onto the roadway surface and washing away the extinguisher foam. It appears to be ignited now, burning along the length of the fuel spill, and involving at least 2 other cars whose occupants have fled their vehicles.

Traffic has stopped in all lanes. A four-car accident has occurred just south of the accident in the northbound lanes of Highway XX with at least 3 injuries, according to calls to 9-1-1. Another multi-car pile-up has occurred on the southbound lanes of Highway XX just before the accident. 9-1-1 callers report it was a hit and run accident in the beginning, leading to several rear end collisions. The driver that caused the accident is in a red Honda sedan with driver's side bumper and fender damage. He is believed to be trapped in southbound traffic.

Motorists trapped on the bridge are complaining of smoke. State Highway Patrol has called for the nearest hazardous materials response unit, and is working with the State Operations Center to evaluate the likelihood of the nitric acid catching fire and may need assistance evacuating the freeway. State Highway Patrol is requesting information regarding the best place to start clearing traffic off the freeways to relieve the back-up. The requested hazardous materials team will need help with access to the area of the tanker fire, and a bus may be needed to move stranded motorists.

The State DOT District Director is asking for a briefing by the EOC Director at 11:00 a.m. The EOC staff members need to assist in developing briefing notes for his use, and the Planning/Intel staff members need to develop a map of the disaster area, and estimate how many motorists are involved.



## **Tanker Fire at Highway XX and Highway MEDIA REPORTS**

CBS-TV is reporting a huge traffic snarl at the XX and the A in Stockton. Early reports say a tractor trailer hauling hazardous materials has overturned and is now on fire. Motorists are trapped on the freeway as traffic backs up in both directions.

Local radio is reporting that a tanker truck is on fire on Highway XX, snarling traffic through the XX/4 interchange area. Local residents are calling to report thick black smoke coming from the freeway, and our traffic copter reports that traffic has stopped on XX in both directions around the fire. The interchange off-ramps are blocked by stalled traffic. Drivers are advised to take alternate routes to avoid the area.

The 5-1-1 traffic alert message reports that State Highway Patrol is issuing an Alert for the XX and A junction. Drivers are advised to take alternate routes. Those already in the area are urged to exit the freeway as soon as possible and take other streets to their destinations. Drivers should shut off air conditioners and close exterior air intakes as they approach the area. The tanker was carrying a hazardous material that is an inhalation hazard.

Twitter features photos and video of the fire, with commentary by a bystander who notes that the driver has been rescued but is bleeding from his forehead and needs medical attention.

Morning Talk Radio states that a tanker truck has overturned on the XX in Stockton, and asked callers for information. A caller claiming to be at the scene reports that nitric acid is all over the roadway and on fire. Another caller states that the State Highway Patrol is not telling them the truth about the accident. He says he heard that it was nitric acid and Wikipedia says nitric acid is an inhalation hazard and is used for making bombs and rocket fuel. There is a plume of smoke from the fire all over the highway northwards. The owner of a local business adjacent to the freeway called in to say that he is standing on his porch and it looks like the whole bridge is on fire.

## **Tanker Fire at Highway XX and Highway A**

### **RESOURCES**

State Highway Patrol is requesting use of the movable sign boards for traffic control, and assistance blocking all freeway entrances in the accident area.

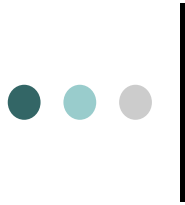
CHP is asking for construction information about the roadway where the fire is burning. Considering the destruction of the MacArthur Maze Bridge in Oakland, California in a similar tanker truck fire several years ago, they are reluctant to send officers onto the roadway. Should they just have people move off the highway on foot to a safe shelter point? Where could that be established?

Local radio is asking for a list of alternate routes for people stuck on the XX. Where can they get off to access other north and south routes?

State Highway Patrol is requesting barricades and cones on a truck to block the lanes and divert traffic off the freeway at available exits before the accident back up in each direction. They also want State DOT crews to wave people off at the interchanges. Is it legal to use State DOT workers this way? How long will it take to start the diversion?

State Highway Patrol will need support for contraflow from the accident site north for southbound traffic, and from the accident site south for northbound traffic to clear the freeway. Can people turn around on the freeway safely and drive contraflow once the freeway has been blocked?

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# State DOT Emergency Operations Center Training Activities

1. The EOC Organization
2. Management Staff
3. Information Management
4. Action Planning
5. Operations Section
6. Financial Considerations



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# State DOT Headquarters Emergency Operations Center Training

## Small Group Activity #1

- Work collectively on all tasks
- Designate section assignments for all team members
- Prepare chart of the emergency organization
- Report back in 20 minutes



Activity One: 20 minutes for small group activity

Receive and review the scenario.

As a group you will work collectively on all tasks for all EOC Sections. This will provide you an opportunity to become familiar with the jobs for all EOC Sections.

Specific section reports will be made as the course progresses. So that these briefings can be organized and coordinated, do the following:

Considering the nature, scope and possibilities inherent in your disaster scenario, develop your EOC organization:

1. Inventory the skills on your team, and using assignments in the Emergency Operations Plan (see checklists in Tab 8), previous training or other means, assign all team members a section or branch role. The assigned person will act as the spokesperson for the tasks specific to the assignment.

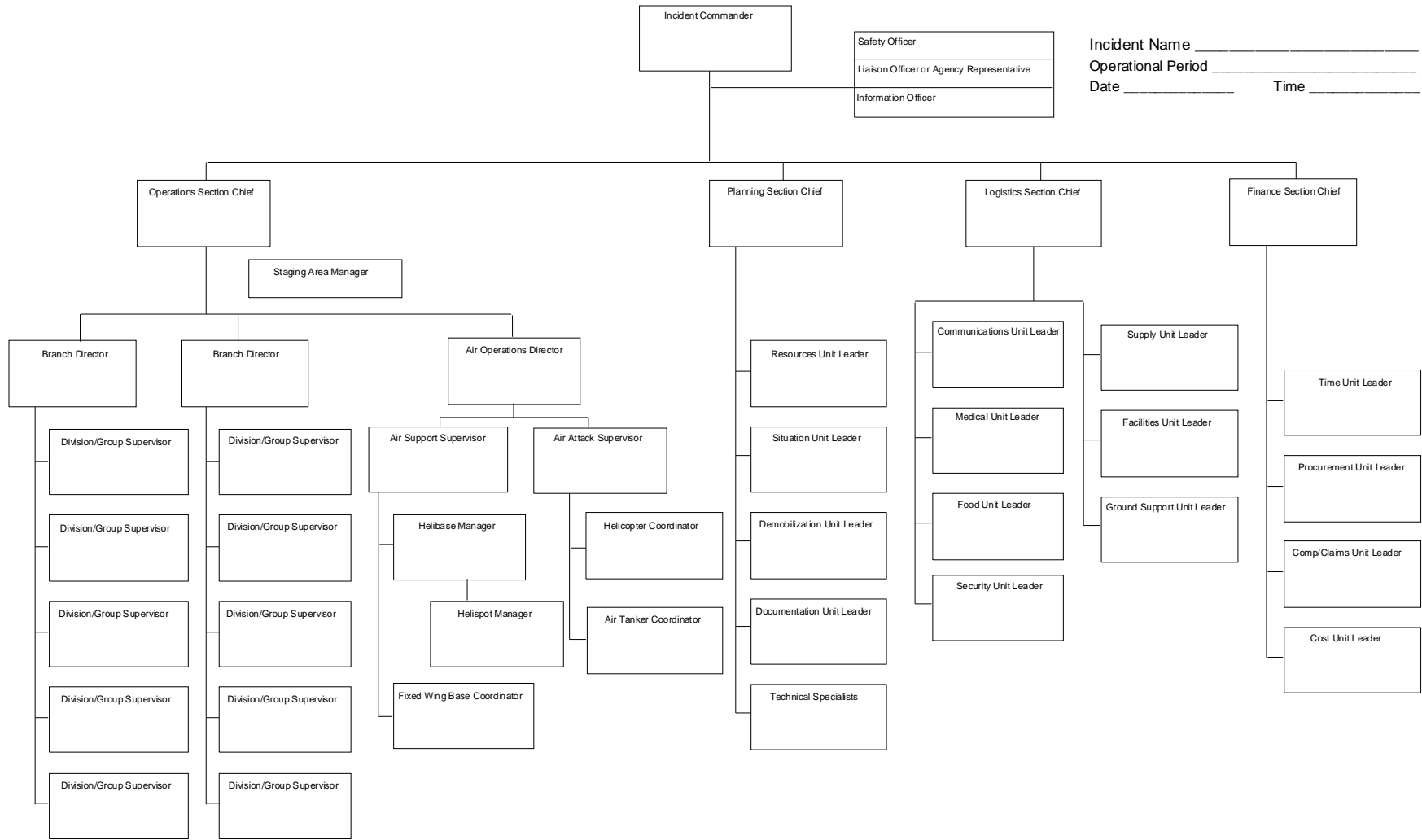
2. Complete Form 203: Emergency Operations Center Organization and ICS 207: Organization Chart.

The Management Section Chief will present the organization to the big group.

## Organization Assignment List, ICS Form 203

<b>ORGANIZATION ASSIGNMENT LIST</b>		1. INCIDENT NAME	2. DATE PREPARED	3. TIME PREPARED
POSITION	NAME	<b>4. OPERATIONAL PERIOD (DATE/TIME)</b>		
<b>5. INCIDENT COMMAND AND STAFF</b>		<b>9. OPERATIONS SECTION</b>		
INCIDENT COMMANDER		CHIEF		
DEPUTY		DEPUTY		
SAFETY OFFICER		a. BRANCH I- DIVISION/GROUPS		
INFORMATION OFFICER		BRANCH DIRECTOR		
LIAISON OFFICER		DEPUTY		
<b>6. AGENCY REPRESENTATIVES</b>		DIVISION/GROUP		
<b>AGENCY</b>	<b>NAME</b>	DIVISION/ GROUP		
		DIVISION/ GROUP		
		DIVISION/GROUP		
		DIVISION /GROUP		
		b. BRANCH II- DIVISIONS/GROUPS		
		BRANCH DIRECTOR		
		DEPUTY		
		DIVISION/GROUP		
		DIVISION/GROUP		
		DIVISION/GROUP		
		DIVISION/GROUP		
<b>7. PLANNING SECTION</b>		c. BRANCH III- DIVISIONS/GROUPS		
CHIEF		BRANCH DIRECTOR		
DEPUTY		DEPUTY		
RESOURCES UNIT		DIVISION/GROUP		
SITUATION UNIT		DIVISION/GROUP		
DOCUMENTATION UNIT		DIVISION/GROUP		
DEMOBILIZATION UNIT		DIVISION/GROUP		
TECHNICAL SPECIALISTS		d. AIR OPERATIONS BRANCH		
		AIR OPERATIONS BR. DIR.		
		AIR TACTICAL GROUP SUP.		
		AIR SUPPORT GROUP SUP.		
		HELICOPTER COORDINATOR		
		AIR TANKER/FIXED WING CRD.		
<b>8. LOGISTICS SECTION</b>		<b>10. FINANCE/ADMINISTRATION SECTION</b>		
CHIEF		CHIEF		
DEPUTY		DEPUTY		
a. SUPPORT BRANCH		TIME UNIT		
DIRECTOR		PROCUREMENT UNIT		
SUPPLY UNIT		COMPENSATION/CLAIMS UNIT		
FACILITIES UNIT		COST UNIT		
GROUND SUPPORT UNIT				
b. SERVICE BRANCH				
DIRECTOR				
COMMUNICATIONS UNIT				
MEDICAL UNIT				
FOOD UNIT				
<b>PREPARED BY (RESOURCES UNIT)</b>				







# Caltrans Headquarters Department Operations Center Training

## Small Group Activity #2 Management Section

- Everyone is the management section for this exercise
- Read and discuss the news briefs and scenario
- Review and discuss the State DOT Headquarters' response to the Governor's Declaration of a State of Emergency, or failure to declare
- Prepare a media release about Caltrans' activities
- Develop a safety plan for the DOC



## Activity Two: Management Section– 30 minutes in the group

Review the scenario and the news reports provided. Work collectively on the three problems below. Be prepared to present your solutions as products. Work collectively, brain storm and consult the emergency operations checklists.

1. Based on the scenario and news reports you have some idea of the scope of the disaster. The Management Section Chief and command staff should consider the implications of the Governor's Declaration of State of Emergency: did he declare or not? How does this action affect State DOT? Develop the bullet points on easel paper for a one page memo outlining your recommendation on a course of action for the State DOT Department Director, including your reasons for these actions. This would include inter-district mutual aid, need for a governor's declaration, or benefits of the existing declaration. The purpose of this memo is to allow the Caltrans Director to effectively interact with the Governor in their next briefing at the Governor's Emergency Committee. The Management Section Chief will post the easel paper and read them to the big group at the report-out.

2. PIO staff together with the Planning Section Chief should prepare bullets on easel paper for a brief media release regarding what actions Caltrans is currently taking, with information on available web-based information on the road conditions. Discuss how you would coordinate releases with the Section Chiefs and Director's Office. Who would be the principal spokesperson for State DOT? Who would be the lead media briefer? What subject matter experts (SME) from within State DOT would you include in the briefing? The PIO will post the easel paper and read the media release and state who is the principal spokesperson, media briefer, and SME to be at the media conference.

3. The Safety Officer should develop an EOC shift change staffing plan and consider elements necessary for safe working conditions in the EOC: appropriate food, family issues, rest for EOC staff. On easel paper, outline five bullet points to be considered in the EOC safety element for the next 48 hours. Be prepared to discuss how and what you need to consider to keep the EOC staff comfortable, safe, rested and free of unnecessary stress. The Safety Officer will post the easel paper and read the plan to the big group.

4. Review the scenario assigned to your group. Then complete the ICS 201 (transfer the information from Form 203 to Section 7). The Liaison Officer will read the ICS 201 through Section 7 to the group, and use tape to post it with the group's easel paper reports.

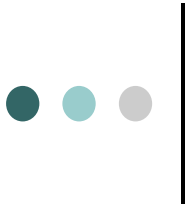
**ICS Form 201**

<b>INCIDENT BRIEFING</b>	<b>1. Incident Name</b>	<b>2. Date Prepared</b>	<b>3. Time Prepared</b>
<b>4. Map Sketch</b>			
ICS 201 Page 1 of 4	<b>5. Prepared by (Name and Position)</b>		

**6. Summary of Current Actions**

**7. Current Organization**

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# Caltrans Headquarters Department Operations Center Training

## Small Group Activity #3

### Planning/Intelligence Section

- Using scenario intelligence, complete a 201
- Make a map; using easel paper, post events, actions, resource status
- Discuss and describe how sections share information with the P/I section and how they disseminate it in the DOC; how they do situation status reports and Action Plans





Activity Three: Information Development and Management – 20 minutes in the group

Planning Section:

Practice information posting, map making and situation reporting.

1. Using the scenario information and media information, complete an updated 201, assuming that the media information has been confirmed by the PIO and Planning Section Chief.
2. Using the map, have all sections contribute to the creation of the EOC information, including resource status. In a real event what would be happening now? Who would be involved?
3. Describe how you would communicate this information to other section chiefs and the Management Section Chief between briefings. Who else would need this information? Who is responsible to get information to the State DOT Director's Office?

**ICS Form 201**

<b>INCIDENT BRIEFING</b>	<b>1. Incident Name</b>	<b>2. Date Prepared</b>	<b>3. Time Prepared</b>
<b>4. Map Sketch</b>			
ICS 201 Page 1 of 4	<b>5. Prepared by (Name and Position)</b>		

**6. Summary of Current Actions**



# State DOT Headquarters Emergency Operations Center Training

## Small Group Activity # 4

- Prepare the action plan by holding an Action Planning Briefing, following the format
- Use 20 minutes to prepare for the briefing, developing the 5 minute section briefings
- Use 30 minutes to hold the briefing
- Use 10 minutes to create the written Action Plan.  
The P/I Section Chief will present the Action Plan to the big group.



#### Activity Four: Action Planning – 1 hour in the small group

Use the Action Planning guidance to hold an Action Planning Briefing and produce an action plan. The Planning Section Chief will present the Action Plan to the big group.

1. Take 20 minutes for each section chief, working individually or with any section staff, to prepare easel paper with the section summaries of work to date/status of the section and 5 questions/requests for direction for the Management Section Chief. Note the examples in the PowerPoint.
2. Take 30 minutes to hold the Action Planning Briefing as described in the action planning documents- EOC Action Planning Format and EOC Action Planning Checklist.
3. Use 10 minutes to create the resulting Action Plan in writing. Use the ICS 202 form to document the plan, listing the goals by Section assigned to achieve them. Use easel paper if the form is too small. Note the Action Plan easel paper version in the PowerPoint.

## **EOC ACTION PLANNING FORMAT**

### **Concept of Operations**

During an EOC activation, the Management Section must receive timely information regarding the progress of the event in order to make appropriate decisions. This information comes in the form of reports from the four general staff sections: Operations, Planning, Logistics and Finance/ Administration. The information must be timely, succinct, and decision-oriented.

### **Roles and Responsibilities**

Each Section Chief is responsible to collect and provide to the Management Section Chief timely information to assist in the management of the disaster. The Decision Briefing is a half hour structured presentation during which each section chief summarizes critical information from his section, and recommends activities for the section during the next operational period. The Management Section Chief then sets the overall goals for the next operational period, and sets the length of the operational period.

### **Procedures**

The Planning Section Chief will post a map showing the event/emergency/disaster area(s), and bring a flip chart with the operational period goals listed for each section. S/he begins the briefing with a summary of conditions: weather, tides, nightfall/sunrise times, damage assessment to date, and Situation Summary.

Each Section Chief develops a five minute presentation with the following features:

- \* description of the event progress to date
- \* review of the Section's goals, and its success in completing the goals for the past action planning period
- \* map of the event and the section's deployment, if any
- \* a flip chart listing the top three to five decision points that the Management Section Chief needs to address

When all Section Chiefs have completed the presentations, the Management Section Chief will review the decision points raised by each Section Chief, and obtain any additional information that s/he needs to make decisions and set goals. S/he will then make the requested decisions, set the goals for the next operational period, and set the length of the operational period.

Following the Action Planning Briefing, the Section Chiefs will return to their Sections, and brief their subordinates regarding the overall goals and operational period length. Together with their Branch Chiefs, the Section Chiefs will set the goals for their Sections for the next operational period, and provide the new goals to the Planning Section Chief.

## ***EOC ACTION PLANNING CHECKLIST***

1. Management Section Chief or designee authorizes the opening of the EOC, and designates the activation level. The Management Section Chief establishes the initial operational period, and the time of the initial briefing.
2. During the initial operational period, each Section Chief
  - a. Develops a summary of conditions related to the Section's role:
    - 1). Management Section concerns include EPIO, legal, intergovernmental relations, and declaration status;
    - 2). Operations Section concerns include statewide impacts, areas affected, operational needs/actions;
    - 3). Planning Section concerns include weather, tide, damage assessment, anticipated events;
    - 4). Logistics Section concerns include actions to support Operations;
    - 5). Finance/Administration Section concerns include activation of disaster accounting procedures.
  - b. Develops a list of three to five priority decision points or action steps to be taken within the next operational period, with proposed time frames for completion.
  - c. Prepares maps, charts, lists or other aids for use during the initial action planning meeting.
3. At the initial action planning meeting, each Section Chief has five minutes to make the presentation, supported by any visual aids, including the list of three to five decision points on a large sheet of paper that will be posted in the meeting.
  - a. The Planning Section Chief opens with:
    - 1) A map of the event impact locations;
    - 2) A summary of conditions (weather, tide, sunrise/sunset, etc.), and damage assessment;
    - 3) A forecast of conditions that will impact the management of the disaster at future times (e.g., 6 hours, 12 hours, 24 hours), including a statement regarding whether the overall situation appears to be getting better or worse;
    - 4) A review of the three to five decision points for this section's guidance during the next operational period.
  - b. The Operations Section Chief provides:
    - 1). A summary of community conditions, including any field-related safety concerns;
    - 2). A summary of the activities in this section;
    - 3). A review of the three to five decision points for this section's guidance during the next operational period.

- c. The Logistics Section Chief provides:
    - 1). A summary of logistics status;
    - 2). A review of the three to five decision points for this section's guidance during the next operational period.
  
  - d. The Finance/Administration Section Chief provides:
    - 1). A summary of financial management considerations;
    - 2). A review of the three to five decision points for this section's guidance during the next operational period.
  
  - e. The Management Section Chief provides:
    - 1). A summary of EPIO, legal, inter-governmental and declaration status considerations;
    - 2). A review of the three to five decision points for this section's guidance during the next operational period.
  
  - f. The Management Section Chief reviews the information provided and takes the following actions:
    - 1). Provides direction to each Section Chief regarding decision points raised;
    - 2). Provides three to five goals for the overall management of the incident for the next operational period;
    - 3). Sets the length of the next operational period.
  
  - g. The Planning Section Chief:
    - 1). Assembles the Action Plan, including any field safety information, for the next operational period, and distributes it to all section chiefs;
    - 2). Prepares the situation status report and forwards it to the Operational Area EOC.
  
  - h. Every Section Chief will meet with the Branch Directors of that Section to review the goals of the EOC Action Plan for the next Action Period, and create that Section's overall action plan.
4. At each succeeding Action Planning Meeting, the same format is followed, with relevant information up-dated:
- a. The length of the operational period may vary from hours to days, depending on the needs of the management of the event.
  - b. The EOC facility may be closed at any time during any operational period at the direction of the Management Section Chief.
  - c. Action Planning Meetings may continue to be held throughout the recovery period at the discretion of the Management Section Chief.



**ICS Form 202**

<b>INCIDENT OBJECTIVES</b>	<b>1. INCIDENT NAME</b>	<b>2. DATE</b>	<b>3. TIME</b>
<b>4. OPERATIONAL PERIOD (DATE/TIME)</b>			
<b>5. GENERAL CONTROL OBJECTIVES FOR THE INCIDENT (INCLUDE ALTERNATIVES)</b>			
<b>6. WEATHER FORECAST FOR OPERATIONAL PERIOD</b>			
<b>7. GENERAL SAFETY MESSAGE</b>			
<b>8. Attachments (<input checked="" type="checkbox"/> if attached)</b>			
<input type="checkbox"/> Organization List (ICS 203)	<input type="checkbox"/> Medical Plan (ICS 206)	<input type="checkbox"/> Weather Forecast _____	
<input type="checkbox"/> Assignment List (ICS 204)	<input type="checkbox"/> Incident Map	<input type="checkbox"/> _____	
<input type="checkbox"/> Communications Plan (ICS 205)	<input type="checkbox"/> Traffic Plan	<input type="checkbox"/> _____	
<b>9. PREPARED BY (PLANNING SECTION CHIEF)</b>		<b>10. APPROVED BY (INCIDENT COMMANDER)</b>	



# State DOT Headquarters Emergency Operations Center Training

## Small Group Activity #5 Operations Section

- Receive the resource requests; coordinate the responses with your general and command staff partners
- Discuss EOC issues in the scenario as it has unfolded
- Operations Chief prepares an easel paper bullet list and a presentation for the whole group



## Activity Five: Coordination and Resources – 30 minutes

The Operations Section is the “gatekeeper” of the emergency organization. This section receives information from the field, State EMA EOC and Headquarters, *receives from them requests for resources and support*, and gets information on statewide impacts from the media and departmental sources.

You have just received a series of messages with resources requests.

Discuss with the Management Section Chief how to handle these resources requests: choices include

- using State DOT staff and resources on overtime,
- contracting out for the services or the replenishment of departmental resources used,
- contacting another state agency to provide the service.

Coordinate with the Planning Chief to document the resource requests.

Coordinate with the Logistics Section to fill the requests.

Coordinate with the Finance/Administration Section regarding charge numbers and accounts to cover any costs. What information is returned to the requestor? How?

As a group discuss planning considerations for each of the following:

1. How to receive and stage resources
2. How to deploy those resources and track their assignments
3. How to demobilize resources and account for their return
4. Billing and financial accounting

Use the Resource Summary sheet to document the actions on the resource requests.

The Operations Chief will use the report to give a summary of the decisions and plans to the big group.

8. Resources Summary				
Resources Ordered	Resource Identification	ETA	On Scene	Location/Assignment
ICS 201	Page 4			

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# State DOT Headquarters Emergency Operations Center Training

## Small Group Activity #6 Finance/ Administration Section

Consider the following:

- What insurance policies will cover what costs: property damage (what about FEMA Flood insurance requirements?), damage to equipment, personnel overtime, loss of revenue due to business interruption, injuries to staff?
- Do you have adequate paper-based systems to document resources and make contracts?
- Do you have pre-made agreements with vendors for emergency response?



Activity Six: Finance/ Administration – 20 minutes in the group

As the Finance/Administration Group, consider the following:

1. What insurance policies or reimbursement mechanisms will cover what State DOT disaster costs? Property damage- What about FEMA Flood Insurance and the “one bite of the apple” policy? Personnel overtime? Loss of revenue due to “business interruption?” Injuries to staff in the field? As a result of the event? Damage to State DOT-owned buildings and equipment? How does having an official assignment from State EMA ensure reimbursement of DOT’s out of pocket costs when doing off-highway work.
2. Do you have adequate paper-based systems to document resources and make contracts?
3. Do you have pre-made agreements with vendors for emergency response? Who can activate them? How? Do you include a “disaster clause” in your construction contracts?
4. How will you begin recovery: debris removal, repair contracts? How will you document work done on an emergency basis before formal recovery?

**TAB 4**



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## ACRONYMS

DOT	Department of Transportation
EMS	Emergency Medical Services
EMT	Emergency Medical Technician
EOC	Emergency Operation Center
EOP	Emergency Operations Plan
FEMA	Federal Emergency Management Act
FHWA	Federal High Way Administration
FIRM	Flood Insurance Rate Map
GIS	Geographical Information System
ICS	Incident Command System
MAC	Multi-Agency Coordination
MACS	Multi-Agency Coordination System
MOU	Memorandum of Understanding
NIMS	National Incident Management System
NGO	Non Profit Organization
PIO	Public Information Officer
SOC	State Operations Center, the state's EOC
TRB	Transportation Research Board, part of the National Academy of Sciences

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## GLOSSARY

Action Plan	Written plan created from the Action Planning Briefing that includes goals and objectives, operational period, maps, organization charts and any auxiliary plans to be used during the covered operational period.
Action Planning Briefing	A meeting held as needed throughout the duration of an incident to select specific strategies and tactics for event control operations and for service and support planning. The Action Planning Briefing allows all General Staff to collaborate with each other and the Management Section Chief to develop the Action Plan.
Agency	An agency is a division of government with a specific function or a non-governmental organization (e.g., private contractor, business, etc.) that offers a particular kind of assistance. In ICS, agencies are defined as jurisdictional (having statutory responsibility for incident mitigation) or assisting and/or cooperating (providing resources and/or assistance).
Agency Representative	An individual assigned to an incident from an assisting or cooperating agency who has been delegated authority to make decisions on matters affecting that agency's participation at the incident. Agency Representatives report to the Liaison Office.
Branch	The organizational level having functional responsibility for major operations. The Branch level is, organizationally, between the Section and the group or unit.
Check-In/Check-Out	The process used to ensure that all personnel are accounted for and assigned appropriately.
Chiefs	The ICS title for the General Staff individuals responsible for supervision of functional sections: Operations, Planning, Logistics, and Finance/Administration.
Command Staff	The EOC Command Staff consists of the Information Officer, Safety Officer, Security Officer, Emergency Management Coordinator and Liaison Officer; and the COOP/COG Branch Director of that position is filled. They report directly to the Management Section Chief. They may have an assistant or assistants, as needed.
Demobilization Unit	The functional unit within the Planning Section responsible for ensuring orderly, safe, and efficient demobilization of the EOC.

Deputy	A fully qualified individual who, in the absence of a superior, could be delegated the authority to manage a functional operation or perform a specific task. In some cases, a Deputy could act as relief for a supervisor and therefore must be fully qualified in the position. Deputies can be assigned to the Incident Commander, General Staff, and Branch Directors.
Director	The ICS title for individuals responsible for supervision of a Branch.
Documentation Unit	The functional unit within the Planning Section responsible for collecting, recording, and safeguarding all documents relevant to the event in the EOC.
Emergency Services Coordinator	The individual within each political subdivision that has coordination responsibility for jurisdictional emergency management.
Emergency Medical Technician	A healthcare specialist with particular skills and knowledge in pre-hospital emergency medicine.
Emergency Operations Center (EOC)	A pre-designated facility established by an agency or jurisdiction to coordinate the overall agency, or jurisdictional, response to an emergency or disaster event.
Facilities Unit	Functional unit within the Logistics Section that provides and maintains facilities for the incident. These facilities may include the feeding areas, sleeping areas, sanitary facilities.
Finance/Administration	The Section responsible for all event costs, reimbursements, and financial considerations. Includes the Time Unit, Procurement Unit, Compensation/Claims Unit, and Cost Unit.
General Staff	The group of personnel reporting to the Management Section Chief: Operations Section Chief, Planning Section Chief, Logistics Section Chief, and Finance/Administration Section Chief.
Group	Groups are established to divide the incident into functional areas of operations. Groups are composed of resources assembled to perform a special function.
Incident Action Plan	Created by the Incident Commander in the field during an ICS event. Contains objectives reflecting the overall incident strategy and specific tactical actions and supporting information for the next operational period. The Plan may be oral or written.

Incident Command System	A standardized emergency management concept specifically designed to allow its users to adopt an integrated organizational structure equal to the complexity and demands of single or multiple incidents without being hindered by jurisdictional boundaries.
Incident Commander	The individual responsible for the management of all incident operations at the incident site in the field.
Incident Objectives	In the field, statements of guidance and direction necessary for the selection of appropriate strategies and the tactical direction of resources. Incident objectives are based on realistic expectations of what can be accomplished when all allocated resources have been effectively deployed. Incident objectives must be achievable and measurable, yet flexible enough to allow for strategic and tactical alternatives.
Incident Priorities	Overarching purpose in the field. Includes the preservation of human life, conservation of the environment, protection of personal property, and stabilization of the incident
Leader	The person responsible for a Unit.
Liaison Officer	A member of the Command Staff responsible for coordinating with representatives from cooperating and assisting agencies.
Logistics Section	The section responsible for providing facilities, services, and materials for the incident or in the EOC.
Management by Objective	In ICS, this is a top-down management activity that involves three steps to achieve the incident or EOC goal. The steps are: establishing the objectives, selection of appropriate strategies to achieve the objectives, and the tactical (in the field) or strategic (In the EOC) direction associated with the selected strategy. Tactical direction includes selection of tactics, selection of resources, resource assignments, and performance monitoring.
Multi-Agency Coordination System (MACS)	The combination of personnel, facilities, equipment, procedures, and communications integrated into a common system. When activated, MACS has the responsibility for coordination of assisting agency resources and support in a multi-agency or multi-jurisdictional environment.
Mutual Aid Agreement	Written agreement between agencies and/or jurisdictions in which they agree to assist one another upon request by furnishing personnel and equipment.

National Incident Management System (NIMS)	Developed by the Secretary of Homeland Security at the request of the President, the National Incident Management System (NIMS) integrates effective practices in emergency preparedness and response into a comprehensive national framework for incident management. Based on ICS, the NIMS will enable responders at all levels to work together more effectively to manage domestic incidents no matter what the cause, size or complexity.
Officer	The ICS title for the personal responsible for the Command Staff positions of Safety, Liaison, and Information.
Operational Period	In the field, the period scheduled for execution of a given set of operation actions as specified in the Incident Action Plan. Operational Periods can be of various lengths.
Operations Section	The Section responsible for all tactical operations at the incident or, in the EOC, for supporting field operations. Includes Branches, Divisions and/or Groups, Task Forces, Strike Teams, Single Resources, and Staging Areas in the field; branches, groups, and units in the EOC.
Planning Section	Responsible for the collection, evaluation, and dissemination of information related to an event, and for the preparation and documentation of Action Plans. The Planning Section also maintains information on the current and forecasted situation and on the status of resources assigned to the incident. Includes the Situation, Resource, Documentation, and Demobilization Units, as well as Technical Specialists
Procurement Unit	Functional unit within the Finance/Administration Section responsible for financial matters involving vendor contract
Public Information Officer	A member of the Command Staff responsible for interfacing with the public, media, or with other agencies requiring information directly from the incident or the EOC. There is only one Public Information Officer per incident in the field. There is a PIO in the EOC whenever it is opened.
Safety Officer	A member of the Command Staff responsible for monitoring and assessing safety hazards or unsafe situations and for developing measures for ensuring personnel safety. In the EOC, this includes ensuring the psychological safety of the EOC staff by ensuring regular shift changes are planned for and that appropriate food is delivered in a timely fashion during prolonged activations.

Section	The organizational level with responsibility for a major functional area of the event (e.g., Operations, Planning, Logistics, Finance/Administration). The Section Chief works directly for the Management Section Chief and oversees branches, groups and units.
Span Of Control	The supervisory ratio: in the field, ranges from three to seven individuals, with five-to one being optimum. In the EOC there is no minimum, and up to 10 personnel may report to one supervisor.
Staging Areas	Staging Areas are locations set up at an incident where resources can be placed while awaiting a tactical assignment. The Operations Section manages Staging Areas.
Supervisor	The ICS title for individuals responsible for command of a Division or Group.
Unit	In the field, the organizational element having functional responsibility for a specific planning, logistics, or finance/administration activity. In the EOC, Units may also be in the Operations Section.
Unity of Command	The concept by which each person within an organization reports to only one designated person.

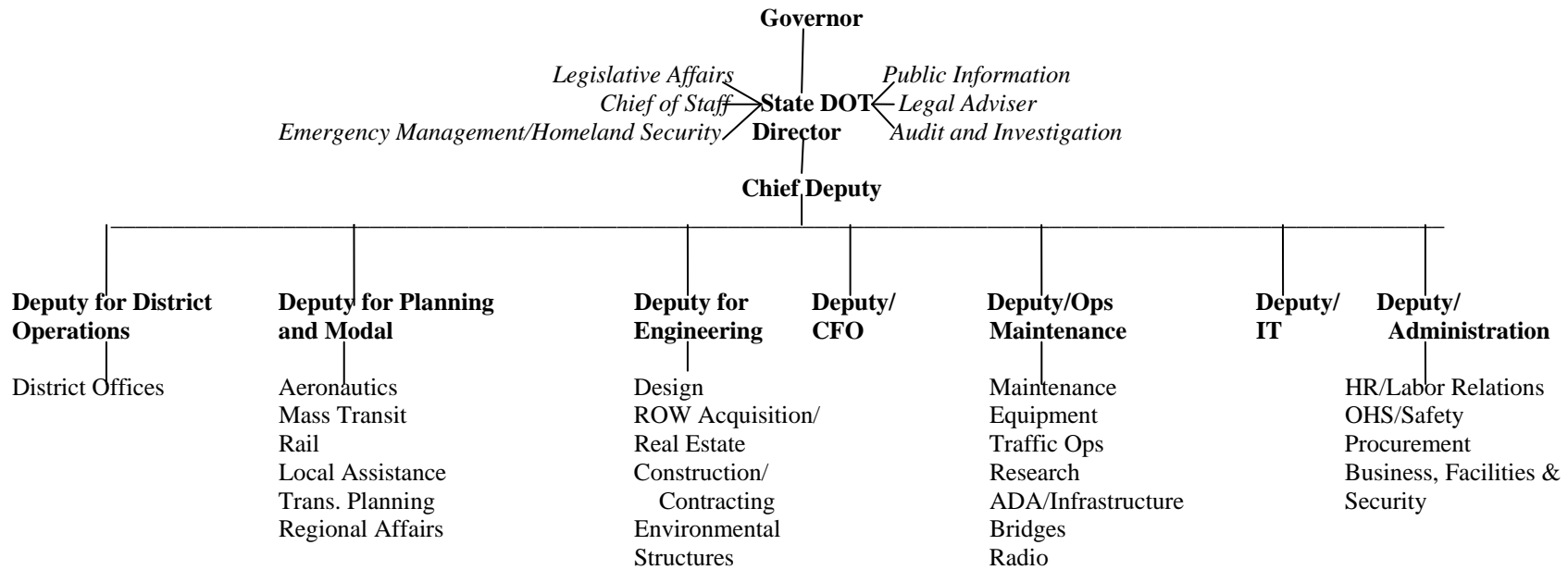


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# TAB 5

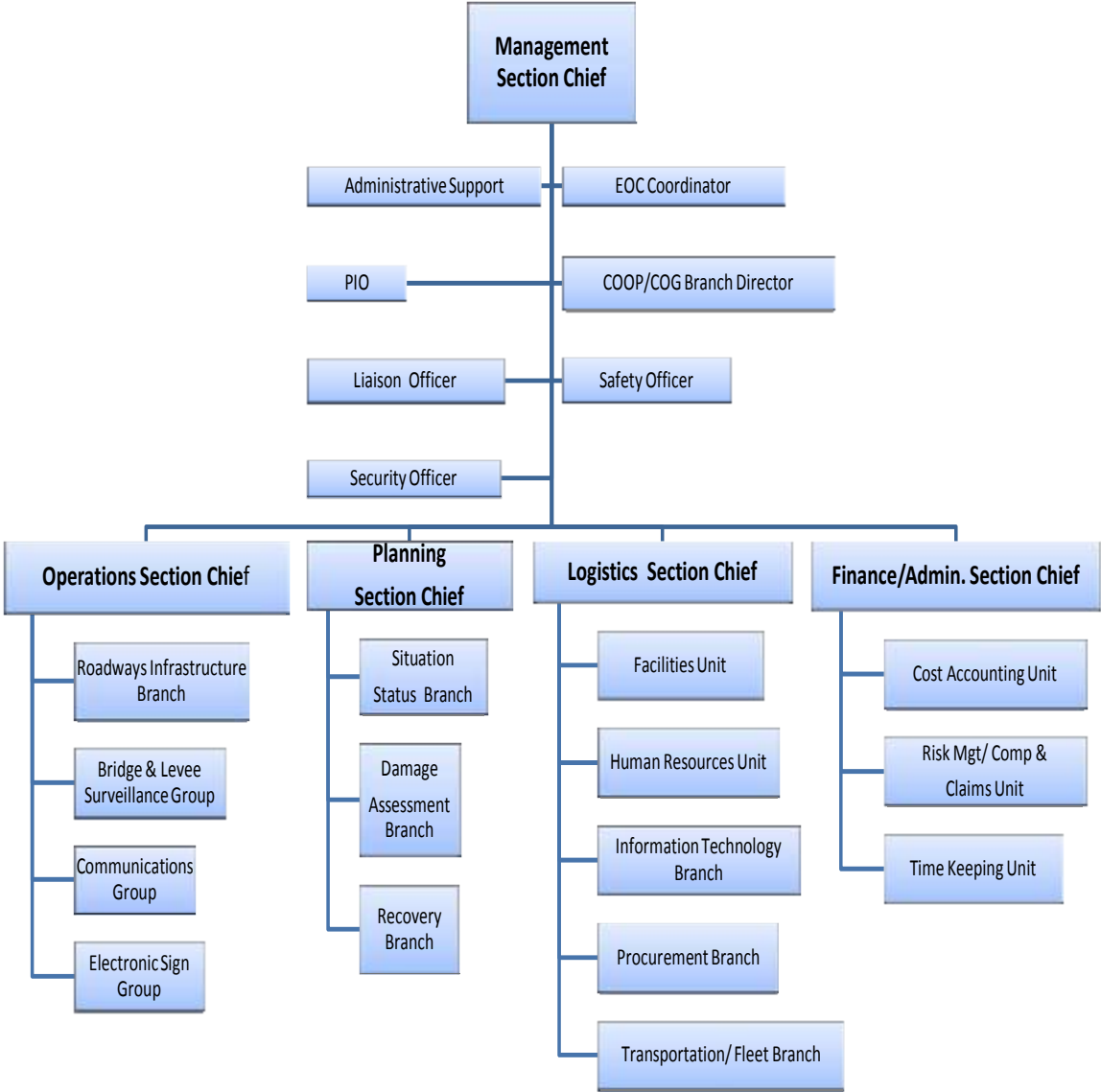
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## Generic State DOT Organization Chart

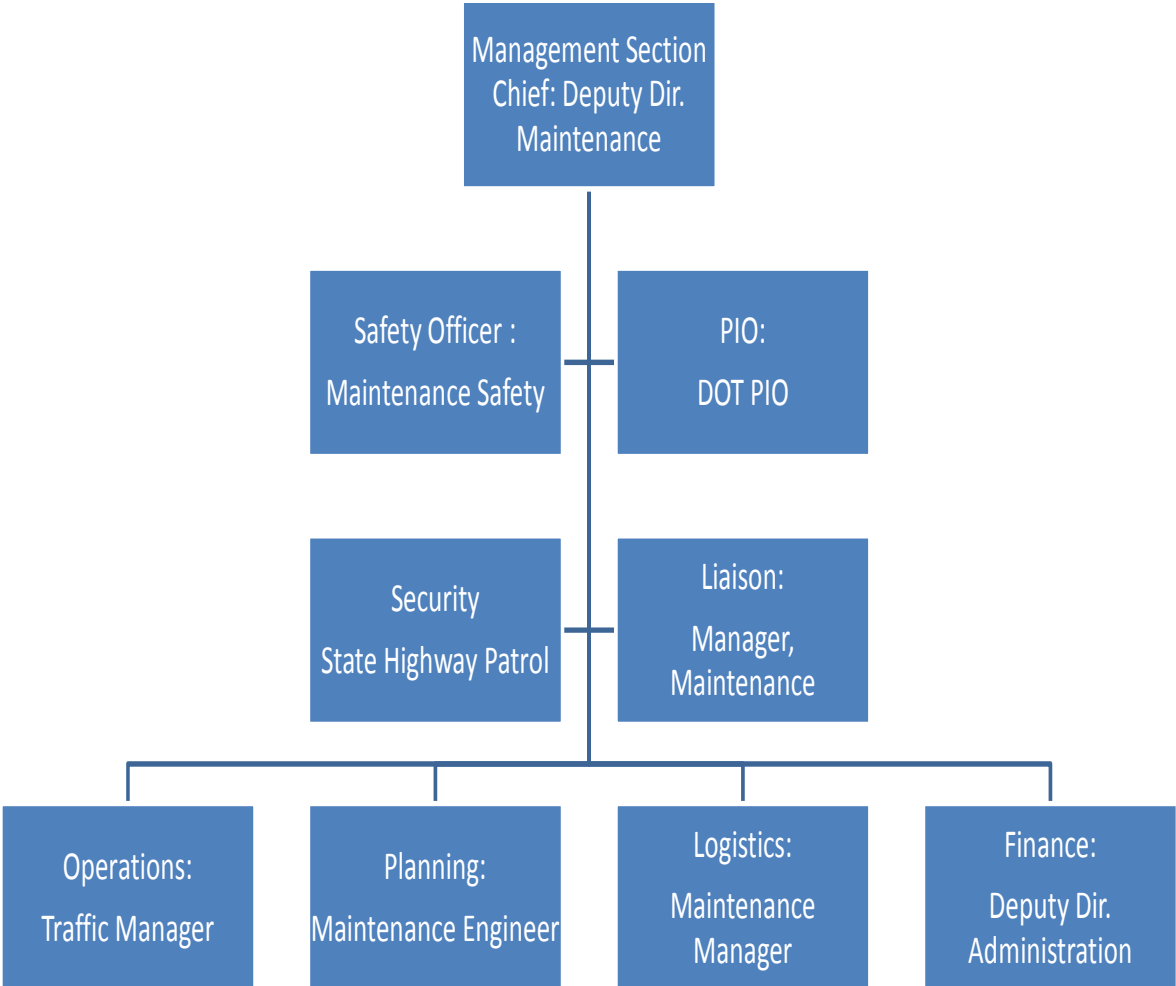


Note: This organization chart was developed using the charts of five large state Transportation organizations. It serves as the background organization for the generic Continuity of Operations/Continuity of Government Plan (COOP/COG) when assigning individual and departmental responsibilities within the Essential Functions. Organizations using this plan as a template should substitute their own organization charts and change the Essential Functions assignments to fit the analogous positions within the actual organization.

# LARGE STATE DOT ICS IN THE EOC CHART



# SMALL STATE DOT ICS IN THE EOC CHART



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# TAB 6



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## Strategies for success: A Checklist for Media Success during Disaster Events

**Ask the reporter's name.** Use it in your response.

**Use your full name and title.** Nicknames are appropriate only if that is how you are widely known.

**Provide two business cards,** one for the reporter and one for the camera operator.

**Choose the site of the interview** (if possible). Make sure you are comfortable with the location of the interview. Consider what is in the background, and be sure it enhances Caltrans' image.

**Choose the time** (if possible). If you would be more comfortable waiting another 5 minutes, ask the reporter if that is okay.

**Be calm.** Your demeanor and apparent control of the situation are very important in establishing the tempo of evolving events.

**Tell the truth.** If you are not willing to answer the question, explain why, e.g., it is law enforcement sensitive.

**Be cooperative.** There is an answer to most questions. If you do not know it now, let them know you will work diligently to determine the facts needed. Make a commitment to have the answer, or an expert to be interviewed, by a specific time. Keep your commitment.

**Get the good news out first.** Electronic media reporters frequently leave the briefing after getting a few minutes of tape, since they are only creating a 30-second segment. You want to be sure that they tape "the good news" for broadcast. If they miss the bad news, someone will tell them.

**Be professional.** Do not let your personal feelings about the media in general, or this reporter, affect your response.

**Be patient.** Expect dumb questions. Remember that disaster events are complex and confusing, and most reporters do not know how to ask intelligent questions about them. If the same question is asked again, repeat your answer without irritation.

**Take your time.** If you make a mistake, indicate that you would like to start over with your response.

**Use wraparound sentences.** This means repeating the question with your answer for a complete "soundbite." This is very important, as your answer may get edited into a completely unrelated context.

**Employ a specialist** to give out detailed specialized information. A scientist, doctor, or engineer will have the most credibility when providing scientific or operational details about an event. They will also be able to respond to technical questions quickly and with assurance.

**Employ a non-government expert** to comment on controversial issues, e.g., a university scientist to describe the effects of chemical agents, or a physician to explain a disease mechanism.

### **Special considerations when appearing on television:**

**Dress appropriately.** Wear a uniform if appropriate to your role. Otherwise, choose solid colors, preferably light blue or neutral shirts and navy or gray jackets, with no pattern or strong color contrasts. Avoid white shirts or blouses, loud ties or noticeable and sparkling jewelry.

**A relaxed facial expression conveys confidence.** Smiling constantly is painful and unnatural. However, try to appear pleasant and attentive to the reporter, with an appropriately grave expression in sad situations.

**Study the professionals.** Monitor the facial expressions and vocal inflections of TV news reporters for hints on achieving the proper balance between sincerity and seriousness.

### **Behaviors to avoid:**

**Saying "No comment".**

**Giving your personal opinion.** Stick to the facts.

**Giving "deadly boring" answers.** Remember that the average viewer wants "just the facts" that reassure or advise them. They don't want to know why operational strategies are chosen.

**Volunteering information.** The press release and your opening statement are your chances to go on the record. Once into the Question & Answer, be direct and succinct.

**Going off the record.** Anything you say can and will be used against you.

**Lying.** To tell a lie unintentionally is a mistake; to lie intentionally is stupid.

**Bluffing.** The truth will come out.

**Giving unresponsive answers.** They will keep asking the question until they get an answer.

**Being defensive.** The media and their audience recognize a defensive attitude and tend to believe you are hiding something.

**Being afraid.** Fear is debilitating and is not a characteristic you want to portray.

**Being evasive.** Be up front on what you know about the situation and what you plan to do to mitigate the incident.

**Using jargon or acronyms.** The public is not familiar with much of the language used by emergency operations organizations and emergency responders. It sounds like obfuscation.

**Being confrontational.** This is not the time to tell a reporter how much you dislike the media.

**Trying to talk and command an incident at the same time.** You will not do either well.

**Wearing sunglasses.** You appear to be hiding.

**Smoking.**

**Promising results or speculating.** Your credibility will suffer.

**Responding to rumors.** This appears defensive, and you frequently do not have the facts at hand that are needed to provide an adequate response.

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## **Strategies for Success: Pre-Made Messages**

### **Earthquake: Initial Message**

The XYZ Corporation, headquartered in San Jose, California, has experienced the effects of a 5.3 Richter magnitude earthquake today at 1:30 a.m. Because of an aggressive program of corporate and site preparedness, there were no serious employee injuries, and damage to production facilities is minimal. Engineering staff members are evaluating the safety of all processes and equipment, and will tighten and reinforce all seismic restraint in anticipation of after shocks.

Employees are being asked to respond according to the company's earthquake plan, after first ensuring the safety of their families and homes. Because of XYZ Corporation's aggressive employee safety training program, it is anticipated that most employees will have experienced minimal disruption at home.

XYZ staff members will be contacting customers and suppliers as soon as telephone service is restored to arrange for continuing business relationships. A website at [www.xyz.com](http://www.xyz.com) will provide updated information on the company's business resumption progress as soon as phone service is restored. In the interim, customers and suppliers may direct questions to the Los Angeles branch office at 213-555-1111.

XYZ Corporation, a leader in its field, has a proven track record of leadership in business resumption practices. The investment in employee training and infrastructure upgrades is enabling the company to recover quickly, providing jobs for the greater San Jose community.

### **Earthquake: Follow-Up Message**

Six hours ago the XYZ Corporation experienced a damaging earthquake at its San Jose facility. Due to its previous investments in business resumption practices, XYZ is preparing to resume normal business operations as soon as public infrastructure is restored. Clean-up and site remediation are proceeding using generators and alternate lighting sources. Communication is being maintained using the amateur radio links provided by the XYZ Amateur Radio Club members.

Because of its investment in seismic retrofitting and upgrades, XYZ employees experienced no major injuries, and damage to production facilities was limited to minor problems directly related to earth movement on the site. Production facilities will be restored to working order within 24 hours of the initial earthquake. Staff members are following up every aftershock with a safety inspection and immediate repair of any shake damage.

XYZ employees have returned to work on their emergency plan schedule, enabling the rapid restoration of business services. Employees report that the home preparedness information provided by the company, and applied in their own households, resulted in minimal disruption at their homes. Some employees report that their family members are actively involved in neighborhood emergency response teams and other community self-help efforts in their own communities. "My wife and I were pleased at the minimal damage to our home," reported Juan Sanchez, the production supervisor for XYZ. "She and my son are helping our elderly neighbors to clean up their kitchen, while my daughter is babysitting for another neighbor who is doing

home clean-up. The time we spent for tying down our furniture really paid off in safety for my family members and protection of our belongings.”

XYZ employees will be assisting the American Red Cross with disaster feeding in the industrial park this evening. XYZ vice president Susan Jones offered their services on company time as a gesture of support for neighboring businesses that have more serious recovery problems. “We have an aggressive earthquake preparedness program,” reports Jones. “It paid off in rapid recovery for us. We want to extend assistance to our neighbors as they try to recover.”

## **Earthquake: Recovery Announcement**

XYZ Corporation of San Jose has resumed normal business operations today, just 48 hours after a damaging earthquake rocked the San Jose area. According to XYZ’s recovery planner, Ming Ng, the company is back on line faster than expected. “We are very pleased with how our facility performed. The investment in retrofitting was very worthwhile. We estimate that it sped up our resumption of production by several days to a wee compared to our unprepared neighbors.” Ng reports that all customers have received their shipments within 24 hours of the originally scheduled times, and suppliers are able to make deliveries today. “We would have been back in business last night,” reports Ng, “but there was no commercial power until this morning. Although we have generators, we did not want to use them to run our production line. They are for life safety, especially to ensure that all our lighting works continuously. We did not want to use the fuel for production in case another earthquake occurred, or a major after shock required generator based lighting again.”

XYZ Corporation CFO Jackie Murphy estimates that the earthquake caused loss of production will have no impact on the company’s bottom line this year. “We have resumed production so quickly that the loss of production time can be absorbed in our normal maintenance cycle. Retrofitting and planning ahead have paid off for us financially.”

# Perspectives on Preparedness

August 2002

No. 9



BELFER CENTER FOR SCIENCE AND  
INTERNATIONAL AFFAIRS  
TAUBMAN CENTER FOR STATE AND  
LOCAL GOVERNMENT



U.S. DEPARTMENT OF JUSTICE  
OFFICE OF JUSTICE PROGRAMS  
OFFICE FOR DOMESTIC PREPAREDNESS

## Executive Session on Domestic Preparedness

The Executive Session on Domestic Preparedness (ESDP) is a standing task force of leading practitioners and academic specialists concerned with terrorism and emergency management. Sponsored by the John F. Kennedy School of Government, Harvard University, and the U.S. Department of Justice, the ESDP brings together experts with operational experience in diverse professional fields that are essential to domestic preparedness -- emergency management, law enforcement, fire protection, public health, emergency medicine, national security and defense, and elected officials.

The *Perspectives on Preparedness* series aims to provide useful information to the concerned professional communities about how the nation can enhance its ability to respond to the threat of terrorism with weapons of mass destruction. The ESDP also produces discussion papers and case studies. Visit the ESDP website at:

[WWW.ESDP.ORG](http://WWW.ESDP.ORG)

## TELLING IT LIKE IT IS: THE ROLE OF THE MEDIA IN TERRORISM RESPONSE AND RECOVERY

FRANCES EDWARDS-WINSLOW, PH.D., CEM

An important role of emergency management is the dissemination of warning and instruction during a crisis. Community members need to learn of hurricane warnings, flood advisories, and evacuation plans. In the United States the most effective means at their disposal is the media. With 24-hour news, it is possible to provide life-saving information to many community members in a short period of time, and often in multiple languages.

A principal role of the media is covering breaking stories in their community, especially those with safety implications. There is an adage in journalism: "If it bleeds, it leads." Therefore, many members of the media monitor police and fire scanners to ensure early coverage of breaking news events.

To succeed in their respective roles, emergency managers and the media must form a partnership based on their mutual interest in serving the same community, although for different reasons. For emergency managers, the media are often the only way to effectively reach the community with critical messages during a disaster. Emergency

management staff must therefore study the media and practice interacting effectively with them. Most professional emergency managers take from 40 to 160 hours of classroom training in giving an interview, writing a media release, and setting up media interviews. Emergency managers invest time in preparing carefully worded messages that can be quickly customized for immediate release during an emergency or disaster. Teams of marketing personnel in public agencies develop a media plan, create a media center, and practice their skills to meet community needs for information during an emergency.

The media should take an equal interest in preparing themselves to work effectively with public agencies, and in becoming familiar with the basics of emergency response. First, reporters should try to understand the story's context. What is the disaster history of the community? What risks have been identified by government agencies? Reporters should develop reference folders for the most likely disaster scenarios, including the websites of agencies that will have rapid and accurate information on a disaster such as the U.S. Geological Survey, the

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National Oceanic and Atmospheric Administration (NOAA), and university research centers). Reporters should make a contact list for key people in public agencies and private organizations that will manage the response to and recovery from emergencies and disasters. The reporter will then be able to quickly collect accurate background information during an unfolding event and prepare meaningful questions for public officials.

Reporters and editors should become familiar with the governmental structure of the community they are covering. As James Lee Witt, former director of the Federal Emergency Management Agency (FEMA), is famous for saying, "All disasters are local." Reporters need to know how the local community will organize to combat an unfolding disaster and who its partners will be.

Having done research in advance, when disaster occurs, reporters can quickly develop educated stories.

### **Why Should The Media Take Advice?**

Good journalism contributes to community recovery after any disaster. In the aftermath of a terrorist attack, the need for intelligent, balanced reporting is even greater. Since "the purpose of terrorism is to terrify,"<sup>1</sup> journalists have the choice of hyping the horrors and furthering the terrorist cause or of providing balanced, safety-oriented stories to calm the community. Such a choice can be the key to community recovery.

To prepare to cover a disaster, reporters can develop relationships with staff members of public agencies who will help them get stories during the disaster period. A trust relationship developed before the crisis will enable both a reporter and a public employee to work together in a more collegial fashion, especially under stress. Together they can determine the audience for a story, craft it to be most useful, and answer crucial questions. Who needs the information? Why should they care?

Government bashing is boring. In any large group of people, whether government, media,

or any other profession, some will not be doing their jobs. The focus can be on the few failures or the many quiet successes. The genius of much of the reporting of the September 11, 2001 events was the constant focus on successes. Although lives were lost, more were saved. Media coverage emphasized the large numbers of people who escaped harm because they knew what to do, because they helped each other.

### **Why Should Public Officials Talk?**

There are two sides to a partnership. If reporters are to interview officials properly, officials in turn must prepare to participate actively. Most public agencies have a cadre of trained media-relations specialists whose role is to develop relationships with the journalists. These professionals create the basis for media interviews. Public officials must be prepared to accept guidance from their public information specialists, and remain open to requests for media contact.

Because most reporters want to speak with first-line responders, public employees need to accept interaction with the media as an important part of their jobs. They need to take advantage of media-relations training available through government, educational, and consultant sources. They need to practice being interviewed while being videotaped, and review the tapes to critique and improve their performance.

Public officials and employees must acknowledge that the media have an important role to play in disaster response and recovery. Electronic media outlets can disseminate information quickly, while the print media can provide detailed response information. For this information sharing to be effective, the media's representatives must have access to knowledgeable staff members of local agencies so they can craft their stories based on the most current facts and most accurate advice.

A willingness to be truthful with a reporter is key to a successful interview. Staff members of public agencies must become comfortable speaking on the record. They will develop the confidence required by preparing well. Before

an interview agency, representatives need to be briefed on the progress of an event, the expected actions or changes within the next few hours, and the anticipated point when recovery will begin. Officials should attend the briefing with a fact sheet that will guide their answers and that they can provide to reporters. While officials should do their best to prepare to answer questions after delivering a prepared statement, they should also be willing to say “I don’t know that right now but I’ll have an answer for you” in a specified period of time.

If a disaster is unfolding, the community has the right to understand its extent and the likelihood that it will worsen. The public needs to know how to respond and whether to prepare for even worse things to come. An honest interview by a knowledgeable public official, along with balanced and factual coverage by a reporter, can aid residents’ search for emergency information.<sup>2</sup>

### What Is Happening Now?: A Local Perspective

In 1997 Congress launched the domestic preparedness program,<sup>3</sup> an amendment to the National Defense Authorization Act for fiscal year 1997. Under this program 120 of the largest cities in the United States, including two of the most isolated cities – Anchorage and Honolulu – began a partnership with federal agencies<sup>4</sup> to enhance the capabilities of state and local agencies to respond to potential terrorist attacks involving weapons of mass destruction.<sup>5</sup> The City of San Jose, the eleventh-largest city in the United States, was one of those first cities.

In undertaking domestic preparedness, the city built on its history of civil defense and disaster preparedness. The media-relations plans drafted for use during natural disasters provided the basis for media relations during human-caused events, including terrorism. While most members of the media have a general knowledge of the mechanisms of natural disaster, few understand the threats motivating the domestic preparedness program, the many potential motivations of terrorists, and the likely weapons terrorists might employ. Media relations in the midst of a terrorist event are therefore extraordinarily difficult.<sup>6</sup>

While the media and public agencies often have an adversarial relationship during the course of normal business, both parties need to develop a collaborative approach to covering a disaster, especially during a terrorist event. The Fourth Estate needs to replace its traditional watchdog function with a vision of its role in public safety.

Community members are, in a sense, public agencies’ “customers.” While people may not have much choice about who provides their public services, they do cast their votes for the officials who allocate tax dollars among competing public programs. Local government leaders have become sensitive to this role of residents as “customers” for public services. Many local governments have followed the philosophy of “entrepreneurial government” and placed customer service and satisfaction at the top of their priorities.<sup>7</sup>

To the media, community members are also “customers.” People can choose among many news outlets. Viewers will select the channels and programs that best meet their need for useful information. Newspapers are competing with news radio, 24-hour television news, and each other. The number of viewers, listeners, and readers directly affects the advertising revenues of media outlets, and building an audience base is critical. Therefore, expressed customer interest in specified topics will influence the shape of a station’s or newspaper’s content.

Not all customers have the same interests. Readers of the *New York Times* have traditionally sought balanced, in-depth stories. Readers of the *National Enquirer* prefer gossip and sensationalism. A given media outlet develops its stories to serve its customer base. Thus both governmental entities and media outlets view the community residents as customers. If they serve their common customer well, both media outlets and public agencies will benefit.

### The Business of the Media Is News

News in America is big business. Since the advent of 24-hour television news, editors and reporters must fill airtime with updates and fresh

stories. The station that provides the most up-to-date information with the most sensational twist garners the largest market share, which translates into advertising revenue and station profits.

Most print journalists have daily deadlines that allow them to research their stories more thoroughly and to take a longer view than electronic journalists when crafting new coverage of an event. In addition, while most electronic journalists are generalists, print media often have the luxury of developing staff specialists on topics such as medicine, science, and local government. Public officials can therefore expect the print media to provide more accurate and in-depth information during a disaster.

However, the need to compete with electronic media and with newspapers from all over the world that are available on the Internet often compels local print editors to adopt the same journalistic philosophy as their electronic counterparts.

### **News is Not “Happy Talk”**

In an era of “hard-hitting journalism,” newspapers often prefer investigative, cutting-edge reporting. They also cover “hard news” - the traditional police beat and city hall stories of crime and corruption. The old “society page” that provided space for civic betterment activities and volunteerism has generally given way to a broader “living” section, that encompasses topical features about parenting and household management.

Several years ago San Jose launched a new program called “San Jose Prepared!,” a local version of the national community emergency response team (CERT) program sponsored by FEMA.<sup>8</sup> At the end of the first year the city’s Office of Emergency Services (OES) sponsored a graduation for residents who had completed the 16 hours of training required for membership on a neighborhood response team. Over 100 San Jose residents gathered at a community center to receive thanks from Mayor Susan Hammer and graduation certificates and San Jose Prepared! uniforms from several members of the city council.

The city’s public information officer prepared a press release noting this outstanding response to the need for heightened community emergency preparedness. He noted the participation by elected officials and an anticipated audience of 400 people at the event, including family and friends of the graduates. He described the exhibits that would be part of the event. When OES staff members called the *Mercury News*, the local daily newspaper to determine when reporters would arrive and whether they wanted to set up interviews with some of the graduates, they were rebuffed. The local section editor said, “We don’t do ‘happy talk’ news at the *Mercury!*” and hung up. Staff, residents, and elected officials were disappointed, but two weekly neighborhood papers did cover residents who graduated at the gala event.

On Sunday OES staff eagerly sought to find out what local news took precedence over the story that 100 volunteers had given 16 hours to learn skills to help their community. The banner headline on the local section was a gang shooting involving three juveniles. There was definitely nothing happy about that headline, but why did the community need to see banner coverage of three lawless teens while making no mention of 100 caring residents?

This type of coverage is damaging because the media are partners in community betterment, whether in fighting against blight, boosting local sports teams or encouraging safe behavior among readers or viewers. The editors of a local newspaper help create a community’s image. Regardless of actual crime statistics, constant coverage of gang violence, break-ins, and drug arrests gives residents a sense that their community is dangerous. Coverage of community anti-litter campaigns, and school sports successes creates an image of a functional community. The pen really is mightier than the sword.

### **Educating: Preparing to Tell the Whole Truth**

Reporters who work with local emergency managers in advance, and who develop their own resources, will be able to cover a tragic

story more effectively. When a disaster occurs the reporter should take a few minutes to review the collected data, access a few of the websites, and use this information to develop a story outline and interview questions for public officials, first responders, and victims. This will make the reporter look smarter on camera and will result in a better story, as sensible questions will elicit interesting responses from people being interviewed. Reporters should not expect public officials to teach them about public administration, geology, and disaster mechanisms while they are trying to manage an emergency and provide vital safety information to the public.

Media conferences provide an opportunity for astute reporters to obtain useful information and unique details for their stories. In this interactive setting a reporter who has laid the groundwork can ask questions that the public would ask, going beyond prepared press releases and remarks, to the heart of the community's concerns. A collaborative approach with officials is most likely to engender rapport and responsive answers.

The anthrax attacks and hoaxes in the fall of 2001 demonstrated the success of this approach. Because the story unfolded relatively slowly, reporters were able to research some of the public health issues before interviewing representatives of local agencies. The reporters had enough background on the general mechanism underlying anthrax illness and the probable outcomes to elicit intelligent comments from interviews on specific plans and local concerns. The reporters came to their interviews prepared and left with material that was both useful to their communities and complimentary to reporters and agency representatives. They looked like partners in community safety, which itself proved reassuring to viewers and readers.

Walking blindly into an emergency situation, in contrast, can lead to wild inventions on the part of ill-informed reporters with 30 seconds of airtime to fill. A case in point was the CNN coverage of a wildland urban-interface fire in San Jose in October 2001. A reporter in town for another event heard the fire response developing over his scanner. He drove into the

neighborhood where the fire was burning as fire-fighting officials were establishing command and beginning to respond. Because the public information officer was still collecting information on which to build a media briefing, the reporter made up information to accommodate his need to "go live." Thus he stood on a Bay Area hillside covered with evergreens and deciduous trees and told the world that "the fire started in a palm tree." The nearest palm tree was miles away. Local viewers got a good laugh and the reporter lost credibility. The rest of the world heard incorrect information. Perhaps the difference between a palm tree and a pine tree is not important in covering a fire story, but accuracy matters as a principle of journalism. In a different story, attention to detail could be a matter of life and death.

### **The Role of the Foreign Language Press**

During a disaster, officials will provide specific guidance to enhance the safety of residents. For example, during a spill of hazardous materials it may be prudent for residents to shelter-in-place: stay at home and seal off the house from outside air. Since many people would not know how to respond correctly the media can provide step-by-step instruction.

Because they see U.S. troops distributing relief supplies in foreign nations, many Americans incorrectly assume that the federal government will provide material and financial help to residents of a disaster area. This is generally not the case. People must phone a toll-free number to register for federal assistance, which usually takes the form of long-term, low-interest loans. After the California floods of 1997, the media played a critical role in explaining the purpose of the toll-free number and encouraging people to register for assistance. The public service announcements and interviews with residents of flooded areas who had successfully registered helped motivate residents to get assistance with economic recovery.

Foreign language media are equal partners in outreach to English-as-a-second-language communities. The television media serve an

especially critical role for non-English-speaking members of the community and for those with hearing impairments. Captioning in other languages and closed captioning enables these populations to gain access to information they need. It is especially important for reporters who may be new to a community and perhaps unfamiliar with American governance to lay a strong groundwork before participating in a rapid-fire media conference. A one-on-one meeting with an agency's public education specialists could provide such a foundation. Because listeners and readers may be unsure of the lines of authority during a disaster, the media member's role as educator is especially critical to the non-English-speaking community.

Following the Northridge earthquake many residents of the Los Angeles area who were originally from Central America moved out of their undamaged homes and into city parks, living in their cars and makeshift lean-tos. In their nations of origin these residents had experienced earthquakes that caused buildings to fail catastrophically, killing their occupants. However, Los Angeles has strictly enforced building codes and no history of catastrophic residential collapse, apart from one "soft story" apartment building has been recorded.<sup>9</sup> Still, families with little children preferred to live outdoors during the rainy month of January, resulting in many sick children, lack of proper public health and sanitation measures, and general discomfort, rather than return to their undamaged homes.

The Spanish-language media played a vital role in educating people in the parks on the safety of residential buildings in California. The media carried reassuring stories regarding the ability of families to reoccupy their homes. The city developed Reassurance Teams composed of building officials, clergy, and social workers who visited people in the parks to answer their questions and allay their fears, encouraging them to return to the comfort of their homes. Because the Spanish-language media covered the work of these teams, they expanded their influence while convincing people to leave the parks and go home.

## **Framing: Taking the Sensational Out of the Truth**

The framing of a story influences how the audience perceives an event. A reporter who is educated about the unfolding disaster is able to craft an intelligent story using the background material that he or she has amassed in advance. This is important in helping the community to see the event in its proper context. For example, if an area has flooded ten times in the last 100 years, government and community members will respond significantly differently than if the area has no prior history of flooding. A terrorist act perpetrated by a foreign group affects people differently than an act of domestic terrorism. Oklahoma City's Murrah Building bombing was the work of an angry U.S. citizen. The attack on the World Trade Center in 1993 was the work of a band of Islamic fundamentalists. The damage done in each case was stunning, but the framing of each story helped communities understand its meaning and future implications. In Oklahoma City people anticipated a domestic search, while in New York City the search was both domestic and international.

Developing adequate background information on the risks from a disaster also enables the reporter to evaluate the emergency response realistically. It is appropriate for the media to criticize the official response, but it is pointless to demoralize the responders and the community by creating unrealistic expectations. Some people think government should stay out of their lives until a disaster comes, but expect the government to assume total responsibility for all the consequences. In fact, individuals have great latitude in the mitigation steps that they choose to take, and the degree of risk often relates directly to those steps. A balanced story would present the range of options.

During the 1997 floods in San Jose one reporter featured repeatedly a community member who thought that the city should have individually notified each resident along the reach of a creek that flooding was imminent. Instead of pointing out that flood warning is a NOAA obligation, and that in fact authorities had issued urban and small-stream flash-flood advisories



throughout the weekend, the reporter kept reiterating the resident's complaint. By law the city has no duty to issue warnings, and no technical basis on which to issue them. The resident living next to a creek for over 20 years was in a better position to evaluate the likelihood of flooding on his property. The reporter would have performed a better community service by reminding residents to heed the flash-flood warnings that stations had carried throughout the weekend. Instead, he chose to use the resident's complaint as a segue into a story on the failure of the city to protect this person's property.

Reporters should also be sensitive to the "outrage" factor associated with a particular event. "What the public sees as the risk and their related fears often have no correlation to the technical issues. In risk management and communication circles, these non-technical factors are often referred to as the 'outrage' dimension of risk."<sup>10</sup> The media are always tempted by a man-on-the-street interview that makes for good theater, but not very good news.

Researchers have noted that the public is more willing to accept some events than others. People accept voluntary risks more readily than those that are imposed.<sup>11</sup> For example, people know that automobile fatalities occur frequently but they choose to drive their cars on crowded freeways during rush hour knowing the risks. Second, natural risks seem more acceptable than artificial risks. "Natural disasters provide no focus for anger because there is no one to blame, whereas man-made disasters can usually be attributed to human error and thus become a focal point for public anger"<sup>12</sup> "Exotic risks" seem more dangerous than familiar risks.<sup>13</sup> For example, sarin is much more frightening than chlorine to most people, even though the mechanism of harm is similar. Although the amount of sarin needed to cause death is very small, inhalation of chlorine, which is readily available, can also cause death. Yet people willingly use chlorine as a disinfectant in their homes, and accept its use in community swimming pools and at sewage treatment plants. "The person who communicates with the public must be aware that the public is usually more concerned with the outrage issues than the technical aspects."<sup>14</sup>

Furthermore, the audience encompasses at least four groups within the community. Researchers have named these activists, attentives, browsers, and inattentives.

Activists, highly concerned people, [are] a subset of extremely involved individuals and groups that dominate the risk controversy. Attentives [are] individuals who follow the issue closely. Browsers [are] individuals following the issue casually. Inattentives [are] the largest number of individuals who are paying little or no attention to the issue.<sup>15</sup>

Analysts advise professional emergency managers to leave the "inattentives" alone. The "browsers" will rely on the media for information. Emergency managers can interact with "activists" while allowing the "attentives" to watch.<sup>16</sup> However, in high-hazard situations, when "attention is desired, the key challenge is getting the uninvolved to pay attention in order to protect themselves."<sup>17</sup>

It is at the nexus of information and the inattentives that the media's framing of an event can play a safety role during the response. A good story would explain risk in clear and simple terms and provide simple safety directions with a minimum of sensationalism. Such stories, carried in a variety of print and electronic outlets, will impress the browsers and ultimately reach even the inattentives.

The year 2000 turnover, Y2K, provides many examples of the importance of framing an issue to obtain action from the browsers and inattentives. Although the core concern was the change from two-digit year numbering to four-digit year numbering in computer programs, the risks from this change varied. Pay-roll systems, billing systems, and electricity systems were just a few of the large-scale systems that could have been affected. Media outlets covered the Y2K transition in stories ranging from the simplest to the most complex explanations. Yet because the message was consistent – the year change could affect you – the general public caught on.

Once the audience understood the potential problem, the media switched to advice from banks, utility companies, the American Red Cross, and FEMA on what to do. People understood that they needed a supply of cash in small bills in case ATMs and computerized cash registers failed when the date changed. People understood the need for government agencies to invest scarce resources in converting to modern software and new computer hardware. Utility companies upgraded their systems, aircraft managers altered their operations, and emergency operations centers were opened in most large communities to see the new millennium in safety. The media communicated both the personal and the social dimension of change. As a result of the mitigation steps taken throughout the economy, very few Y2K impacts ensued.

Framing is especially important during the recovery phase of a disaster. When a community is damaged and the local economy looks bleak, the way a story is presented can determine the outcome of the disaster. Residents abandoned many areas of Los Angeles after the Northridge earthquake of 1994. One damaged building was seen to adversely impact the civic life of an entire neighborhood. Renters moved from yellow-tagged buildings, often finding new permanent homes in other parts of the city.<sup>8</sup> Ghost towns developed around even undamaged buildings, as tenants perceived that services had deteriorated and crime rates had risen. Los Angeles media coverage of the gang and drug activities in some of the yellow-tagged buildings contributed to abandonment of areas by frightened residents. While landlords waited for the Small Business Administration to approve their loans and contractors waited to repair buildings, the tenant market shifted, often making it unlikely that the buildings would become economically viable again.

The City of Los Angeles responded by creating media materials showing the new investment the city was making in ghost town areas. City officials promoted a city loan program that often included grants. As media outlets began to cooperate with these promotions, landlords looked toward recovery and refurbished their

buildings in the hope of attracting new tenants. When the media initially framed the story as the degradation of the city's working-class neighborhoods, the community acted on that belief. When the media began to frame the story as "phoenix neighborhoods" that would arise from the earthquake better than ever, residents began to pursue recovery in those areas.

Careful framing of a story makes the media look evenhanded and thoughtful, enhancing their image with their customers. Careful framing gives government the chance to provide useful information to its constituents. The customers of both entities are able to understand the risks and mitigate them without letting outrage issues cloud their judgment.

### Reporting: Best Practices in Covering the News

A disaster or emergency is always a gripping story. The popularity of television shows based on police, fire, and medical responses to crises is proof of the public fascination with life and death moments. But every emergency or disaster offers enough good material to make telling the truth profitable. A good story is based on the "Seven Cs" of good communication<sup>9</sup>

First, the reporter should consider the makeup of the **community** and residents' preexisting knowledge of the risk. An earthquake in California is a surprise but not unprecedented or completely unexpected. An earthquake in New York, such as occurred in April 2002, is unexpected by most people. One state has strict seismic resistance requirements in its buildings codes, to limit the damage. The other has limited earthquake mitigation on any level, so damage levels and community concerns will differ. People in California are frequently exposed to information about how to prepare for and respond to an earthquake. People in New York State are less likely to have received pre-earthquake education. Thus, the starting place for the two stories should be quite different.

Second, stories about emergencies and disasters need to include **clear**, simple safety information. Listeners may be unsure about

the appropriate next steps. Electronic media coverage can provide lifesaving information in the midst of an event. Reporters must be careful to find a credible spokesperson and maintain a clear and simple safety message.

Public information officers for emergency response agencies develop safety information for likely emergency scenarios in advance. These officers could share some of this information with news bureaus and science writers ahead of time to give them instant access to critical information. This would ensure that the safety message reporters first broadcast will be the most specific and useful safety message for the community. For example, information specifically on bioterrorism hazards is available at the Johns Hopkins website and the Centers for Disease Control (CDC) website. Reporters and specialty writers could download this information in advance, since access to critical websites is often slowed by heavy use immediately after an event.

Third, reporters should be careful to outline the **consequences** honestly but without hype. Observed consequences and condition reports from credible sources, such as public agencies and nongovernmental agencies, should prove adequate for meaningful stories. Seeking out sensational comments on observed disaster consequences from scare mongers and ill-informed self-appointed experts may make for a momentary sensation, but does not serve the community well.

Fourth, reporters should report a **consistent** safety message. Reporters should rely on the public agency experiencing the disaster or emergency to provide information on safe conduct for residents of the disaster area. It does the community no good for reporters to shop around for more sensational information. There are always alarmists who will denigrate the safety message provided by the government. The media does not help the community by publicizing the ideas of these publicity-seeking individuals.

For example, after the Loma Prieta Earthquake a man captured attention by saying that the “drop, cover, and hold” message would kill

schoolchildren. Local talk shows offered this man considerable airtime for his misguided viewpoint, even though public spokespersons emphasized that the data on which he based his point of view were incorrect. The man insisted that he had been in “dozens of earthquakes” where he had seen “hundreds of children” who stayed in their schools and were injured and killed. Since dozens of damaging earthquakes have not occurred in his lifetime in the United States, and since children have never been in school during a twentieth-century earthquake in the United States, his comments were puzzling. When one alert reporter pointed this out and asked him where these school-hours earthquakes had occurred, he was forced to admit that he had in fact experienced only one, the Mexico City earthquake of the mid-1980s. Building codes for California schools are extremely strict,<sup>20</sup> making it unlikely that any school would either collapse or suffer significant structural damage during an earthquake. In fact, after the Northridge earthquake even the red-tagged schools (not safe to inhabit)<sup>21</sup> would not have posed an immediate life or safety threat to the students, had they been present.<sup>22</sup> On the other hand, epidemiological studies conducted by Eric Noji of the Centers for Disease Control and reported to the California Seismic Safety Commission, show that people who ran outdoors were injured by roof tiles that slid off their homes, and by bricks shaken from their chimneys. Thus, reporters must present accurate information on consequences.

Fifth, public agencies and nongovernmental organizations (NGO) will strive to provide **coordinated** information about an event. A reporter should not be offended if every agency gives the same safety message and the same disaster response directions. If the reporter is seeking something to make the story unique, an interview with a community member acting on the coordinated message might be interesting.

Sixth, only facts obtained from **credible** spokespersons should be reported. Public agencies and NGOs will provide media releases and media conferences with community leaders and subject matter experts. They will issue confirmed statements regarding the



disaster. While person-in-the-street interviews can be useful for “color,” they should not be presented as factual information. A member of the public standing in one place is seeing only one small aspect of an event. That person’s “truth” may be badly skewed, and presenting it as fact will degrade the quality of the story

Finally, **calming** messages are more constructive than scary reports. Unless Godzilla is really rising from the bay, it is probably fair to assume that local government agencies have plans in place to deal with the emergency or disaster. In any case, adding to the public’s fright will not produce good community outcomes. Calm people are more likely to think clearly and obey simple safety rules. People confronted by a terrorist event in their community do not need a reporter dwelling on how frightened residents are. The focus should be on steps being taken to mitigate the damage and preserve the safety of the community.

Mayor Rudolph Giuliani of New York City remained a calm figure in the midst of the September 11 attack, steadfastly reassuring the public that emergency workers were managing the scene. Lives were lost and property was destroyed, but the community as a whole was able to assist its members and recover, largely because it heard calm and reassuring words reminding them that they could.

### Partnership to Success

Reporters and public officials must lay the groundwork for successful partnerships in advance of a disaster. Regular interaction between members of the media and local emergency managers can build trust and partnership, ultimately benefiting the community.

The San Jose metropolitan area recently experienced a 4.9 earthquake that caused only minor damage but upset residents. *The Mercury News* used this opportunity to run a full-page feature on earthquake preparedness that included large graphics and motivational accompanying text. This rapid response was possible because of information provided by

state and local emergency response agencies during Earthquake Preparedness Month each year. A file of useful information enabled the graphic artist to create an eye-catching page on short notice.

A full-page advertisement in the *Mercury News* costs \$10,000 for one day far beyond the reach of a local emergency management program. Because of a preexisting relationship, the newspaper’s news coverage of the earthquake included a valuable public education piece.

### Conclusion

No one ever handles a disaster perfectly. The pressure on local officials to make decisions rapidly and without all the facts will inevitably lead to missteps. In retrospect the responders will recognize areas where they can improve. The media members can honestly examine lessons learned from any tragedy by the public agencies. But the emphasis should be on the future and continuous improvement, not on the mistakes that cannot be remedied.

Journalism is an art and a science. Journalists cherish their First Amendment rights and the public’s right to know. They seek recognition among their peers for insight, creativity, and courage. Pulitzer Prize-winning work focuses on heartfelt stories as well as hard-hitting ones. The role of the journalist is to report the news, educate the public, and frame the story

The media outlets that win the prizes for their coverage of the September 11, 2001 attacks will surely be those that also served their community. Telling it like it is can be community building, lifesaving, and honest. A partnership between the media and local public agencies can benefit both entities, thereby serving their community.

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## NOTES

1 Brian Jenkins, Speech to the American Transportation Association, Washington, D.C. (October 30, 2001).

2 For a more complete discussion on preparing representatives of public agencies to effectively meet the media, please see Frances Edwards-Winslow, "Media Relations in the Midst of Disaster" on file with the author, May 2000.

3 The domestic preparedness program was initially mandated and funded through the Nunn-Lugar-Domenici Act.

4 These agencies included the Department of Defense for training, the Department of Health and Human Services for writing plans and developing stockpiles of equipment and pharmaceuticals, and the Department of Justice for crisis management. The Federal Emergency Management Agency, the Environmental Protection Agency and the Department of Energy provide consequence management planning. For a more detailed description of the Domestic Preparedness Program please see Frances E. Winslow, "Metropolitan Medical Task Force," *The Handbook of Crisis and Emergency Management* (New York: Marcel Dekker, 2001).

5 Initially the focus was on battlefield weapons used in the Persian Gulf War and suspected of being deployed by countries unfriendly to the United States. In this amendment, weapons of mass destruction refers to radiological, biological, and chemical weapons. "Radiological" encompasses the use of low-yield radiological materials with conventional explosives to create "dirty bombs." "Biological" refers to diseases known to have been weaponized by nations before the Chemical and Biological Warfare Convention outlawed their use, such as anthrax and smallpox. "Chemical" refers to the human pesticides deployed during World War I and in the war between Iran and Iraq, such as sarin.

6 Winslow, 2000.

7 For more information, please access the work of David Osbourne, ed. Gaebler, and the CAP program of the American Society for Public Administration at <[www.aspanet.org](http://www.aspanet.org)>

8 The CERT program is now part of the Citizen Corps effort launched by President George W. Bush in his 2002 State of the Union message. It was begun in California after the Loma Prieta earthquake to train residents to provide immediate life-saving services in their own neighborhoods. Earthquake epidemiology shows that the most effective rescue occurs within the first few hours after a disaster. Most such rescue efforts are undertaken by victims' family and friends, often at their own peril. In the Mexico City earthquake of the mid-1980s, many would-be rescuers became additional victims through ill-considered efforts. The goal of the national CERT program is to teach search and rescue, disaster firefighting, disaster medicine, and psychology skills so neighbors can save lives within their community.

9 In the Northridge earthquake, 17 first-floor residents of the Northridge Meadows Apartments were crushed in their beds when inadequate shear walls in parking bays failed.

10 California Governor's Office of Emergency Services, *Risk Communication Guide for State and Local Agencies* (Sacramento, CA, 2001) p. 10.

11 Ibid.

12 Ibid.

13 Ibid., p.11.

14 Ibid., p. 10.

15 Ibid., p. 17.

16 Ibid.

17 Ibid.

18 At the time of the Northridge earthquake Los Angeles had an 18 per cent vacancy rate, enabling displaced tenants to relocate to undamaged parts of the city. This process of abandonment came to be known as “ghost towning.” The loss of these resident customers drove out small businesses. Tenants of undamaged buildings found the area less convenient and also moved to where small business services were still available. The result was the depopulation of whole neighborhoods, or a shift to residents whose income levels did not draw services back.

19 Frances Edwards-Winslow, “Nuclear Risk Communication and the First Responder” Presentation at Nuclear Risk Communication Roundtable, Stanford University (May 20, 2002).

20 The California Legislature passed the Field Act after the Long Beach Earthquake of 1933. At that time most schools were made of brick for fire resistance. The earthquake occurred around 5:00 pm, so schools were unoccupied. However experts calculated that if the quake had occurred during school hours, hundreds of children could have been killed by the failure of unreinforced masonry schools. The resulting new elements to the building code forbid the use of unreinforced masonry for school buildings and incorporated numerous structural safety elements into future school buildings. This code has been continuously upgraded, making schools the safest buildings in California.

21 In an effort to make the safety of buildings after an earthquake easy for the public to understand, the Applied Technology Council of California created a post-earthquake posting scheme (ATC-20) for buildings. This system uses colored placards, generally printed in several languages appropriate to the community. A red tag means that the building is dangerous in aftershocks and may no longer be occupied until it is repaired. A yellow tag means that the building has some damage that might worsen in aftershocks, and that it should only be entered with caution and for brief periods to retrieve essential items. A green tag means that any damage is superficial and the building may be inhabited.

22 Because the earthquake occurred before 5:00 am on the Martin Luther King, Jr. Holiday, no one was present in school buildings when the quake occurred.

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INCIDENT/PROJECT ORDER NUMBER	RESOURCE ORDER			INITIAL DATE/TIME	2. INCIDENT/PROJECT NAME				3. INCIDENT /PROJECT ORDER NUMBER				4. OFFICE REFERENCE NUMBER					
	5. DESCRIPTIVE LOCATION/RESPONSE AREA					6. SEC.	TWN	RNG	Base MDM	8. INCIDENT BASE/PHONE NUMBER				9. JURISDICTION/AGENCY				
						7. MAP REFERENCE								10. ORDERING OFFICE				
	11. AIRCRAFT INFORMATION					LAT.				LONG.								
BEARING		DISTANCE	BASE OR OMNI		AIR CONTACT		FREQUENCY		Ground Contact		FREQUENCY		RELOAD BASE		OTHER AIRCRAFT/HAZARDS			
12. Request Number	Ordered Date/Time	From To		QTY	RESOURCE REQUESTED	Needed	Deliver To	To From		Time	Agency ID	RESOURCE ASSIGNED	ETD ETA		RELEASED		Time ETA	
		Date/Time	Date			To		Date	To									
13. ORDER RELAYED				ACTION TAKEN				ORDER RELAYED				ACTION TAKEN						
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**ICS Form 202**

<b>INCIDENT OBJECTIVES</b>	<b>1. INCIDENT NAME</b>	<b>2. DATE</b>	<b>3. TIME</b>
<b>4. OPERATIONAL PERIOD (DATE/TIME)</b>			
<b>5. GENERAL CONTROL OBJECTIVES FOR THE INCIDENT (INCLUDE ALTERNATIVES)</b>			
<b>6. WEATHER FORECAST FOR OPERATIONAL PERIOD</b>			
<b>7. GENERAL SAFETY MESSAGE</b>			
<b>8. Attachments (<input checked="" type="checkbox"/> if attached)</b>			
<input type="checkbox"/> Organization List (ICS 203)	<input type="checkbox"/> Medical Plan (ICS 206)	<input type="checkbox"/> Weather Forecast	
<input type="checkbox"/> Assignment List (ICS 204)	<input type="checkbox"/> Incident Map	<input type="checkbox"/> _____	
<input type="checkbox"/> Communications Plan (ICS 205)	<input type="checkbox"/> Traffic Plan	<input type="checkbox"/> _____	
<b>9. PREPARED BY (PLANNING SECTION CHIEF)</b>		<b>10. APPROVED BY (INCIDENT COMMANDER)</b>	

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**INCIDENT STATUS SUMMARY  
FS-5100-11**

1. Date/Time		2. Initial <input type="checkbox"/>		3. Incident Name				4. Incident Number				
		Update <input type="checkbox"/>										
		Final <input type="checkbox"/>										
5. Incident Commander		6. Jurisdiction		7. County		8. Type incident		9. Location		10. Started Date/Time		
11. Cause	12. Area Involved	13. % Controlled		14. Expected Containment Date/Time		15. Estimated Controlled Date/Time		16. Declared Controlled Date/Time				
17. Current Threat						18. Control Problems						
19. Est. Loss		20. Est. Savings		21. Injuries		Deaths		22. Line Built		23. Line to Build		
24. Current Weather		25. Predicted Weather		26. Cost to Date				27. Est. Total Cost				
WS	Temp	WS	Temp									
WD	RH	WD	RH									
28. Agencies												
Resources											Totals	
Kind of Resource	SR	ST	SR	ST	SR	ST	SR	ST	SR	ST	SR	ST
ENGINES												
DOZERS												
CREWS	Number of Crews:											
	Number of Crew Personnel:											
HELICOPTERS												
AIR TANKERS												
TRUCK COS.												
RESCUE/MED.												
WATER TENDERS												
OVERHEAD PERSONNEL												
TOTAL PERSONNEL												
30. Cooperating Agencies												
31. Remarks												
32. Prepared by				33. Approved by				34. Sent to:				
								Date	Time		By	

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# ICS Form 201

<b>INCIDENT BRIEFING</b>	<b>1. Incident Name</b>	<b>2. Date Prepared</b>	<b>3. Time Prepared</b>
<b>4. Map Sketch</b>			
ICS 201 Page 1 of 4	<b>5. Prepared by (Name and Position)</b>		

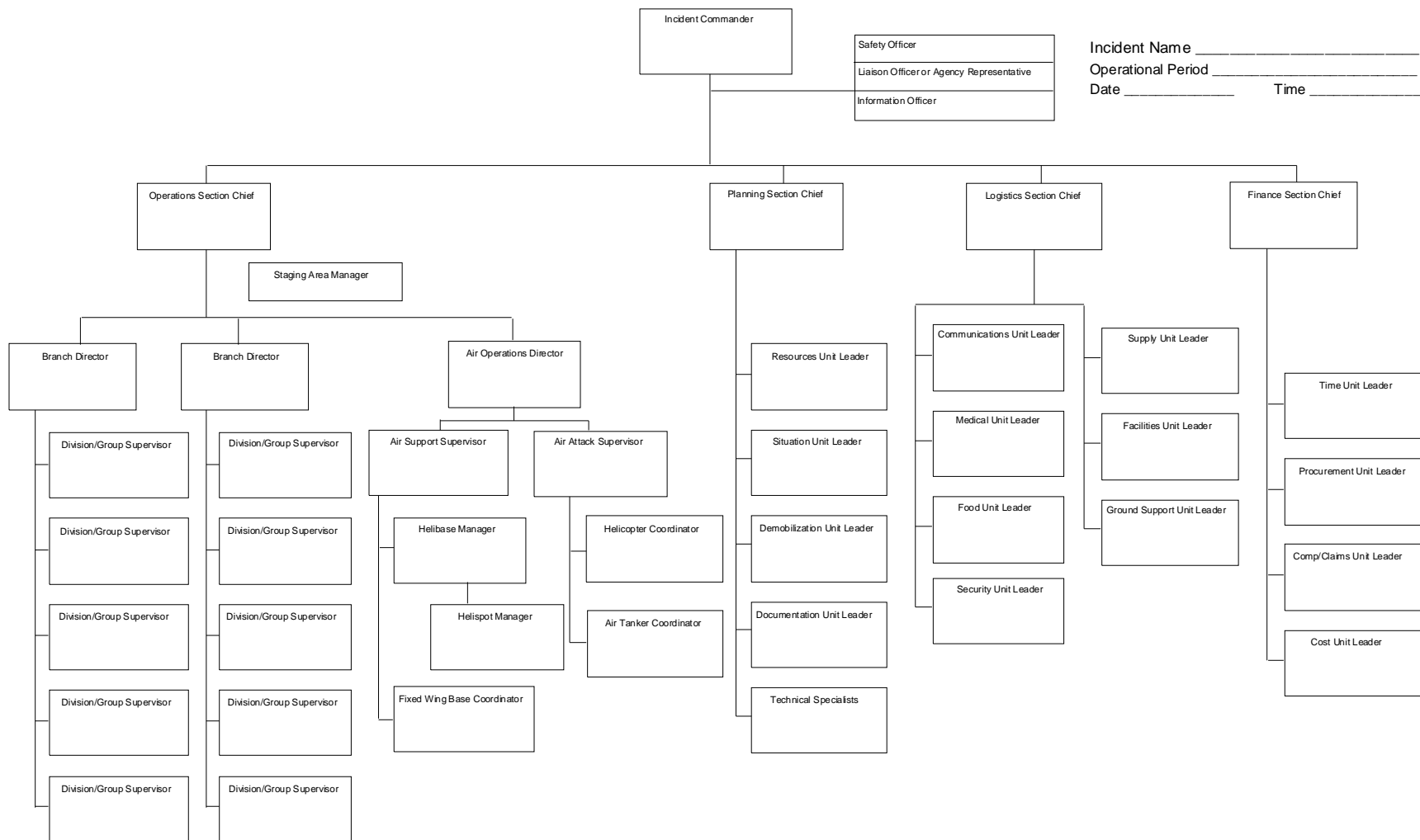
**6. Summary of Current Actions**

**7. Current Organization**



**8. Resources Summary**

Resources Ordered	Resource Identification	ETA	On Scene	Location/Assignment
ICS 201	Page 4			



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# TAB 8

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**Tab 8**

# **EOC POSITION ANNEXES**

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# **ANNEX A**

## **MANAGEMENT SECTION**

This annex establishes policies and procedures and assigns responsibilities to ensure the effective management of the State DOT emergency response organization. It provides information on the State DOT emergency management structure, activation of emergency response and recovery procedures, and Emergency Operations Center (EOC) organization.

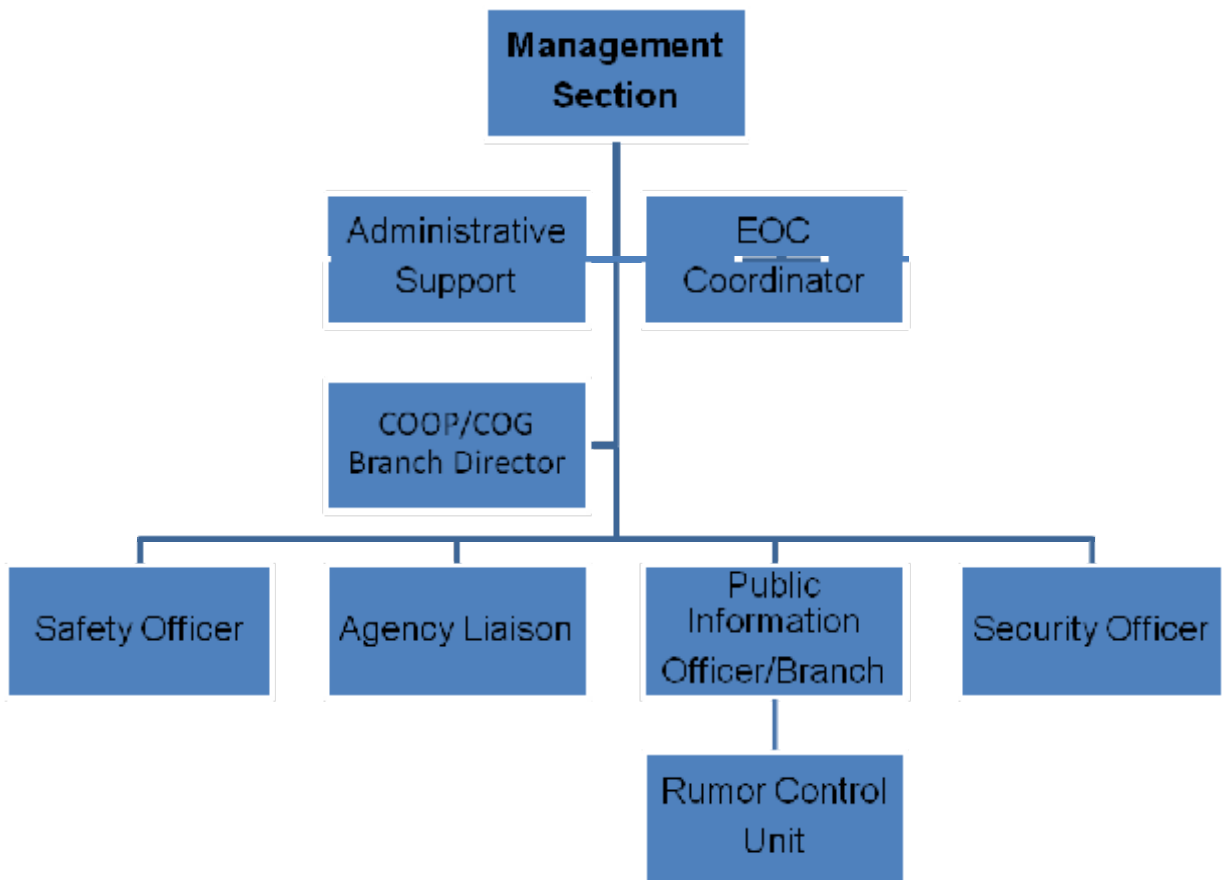
### **OBJECTIVES**

The overall objective of the Management Section is to ensure the coordination of response forces and resources in preparing for and responding to situations associated with natural disasters, technological incidents and human-caused events. Specific events include:

- Managing and coordinating emergency response and recovery operations, both at the field-level and in the EOC.
- If activated, oversee the COOP/COG Branch, if activated.
- Determining the need for State DOT to request emergency declarations.
- Coordinating and providing liaison with appropriate federal, state, and local government agencies, as well as applicable private sector entities.
- Requesting and allocating resources and other support.
- Establishing priorities among emergency response requirements and adjudicating any conflicting demands for support.
- Activating and utilizing communications systems.
- Preparing and disseminating emergency public information.
- Overseeing State DOT alerting based on federal agency warnings or local government actions.
- Developing adequate mitigation plans and projects.

The Management Section organization chart follows.





## **CONCEPT OF OPERATIONS**

State DOT emergency response and recovery operations will be managed in one of three modes, depending on the magnitude of the emergency.

### **Decentralized Coordination and Direction**

This management mode is similar to day-to-day operations and is employed in Level I responses. The State DOT EOC is not activated.

### **Centralized Coordination - Decentralized Direction**

This mode of operation is employed in Level II responses, characterized by involvement of several departments. Key management-level personnel from the principal involved departments operate from the State Operations Center, and State DOT may open its EOC for internal department coordination. Typical emergency management activities under this mode include:

- State Highway System-wide situation analysis and damage assessment,
- State Highway System public information operations,
- Determining resource requirements and coordinating resource requests,
- Establishment and maintenance of a logistics system,
- Establishment of a COOP/COG Branch when needed to oversee State DOT continuity operations.

### **Centralized Coordination and Direction**

This mode is employed in Level III disasters. The State DOT EOC is fully activated, and coordination and direction of response and recovery actions are conducted from the State DOT EOC. A COOP/COG Branch is likely to be activated to ensure continuous provision of life safety transportation-related services and to support the state and federal disaster response.

## **EMERGENCY PERIODS**

The emergency management organization will ordinarily function within the context of one of the following three periods.

### **Pre-Emergency Period**

During this period, response and recovery resources and equipment are maintained in operable condition; Emergency Operations Plans are periodically exercised and updated; and staff is periodically trained.

### **Emergency Period**

When a disaster occurs, or appears imminent, the Management Section Chief will be notified. This person will, in turn, activate all or portions of the State DOT emergency management system. The EOC may be activated, depending on the severity of the situation. A local or state emergency may have been declared, or such a declaration may be imminent.

Should an emergency occur without warning, management of the initial response will be in a decentralized mode by on-duty personnel. Centralized management, if required, will be instituted as soon as possible. Initial response efforts will concentrate on the preservation of life, protection of the environment and property, situation analysis, and hazard containment. Subsequent actions will focus on the safety of the travelling public, employee safety, damage assessment and documentation, and the development of public information. Emergency management staff will advise the Department Director of the status of the State Highway System and recommend that the DOT Director request a Governor's Declaration of a State of Emergency if damage to the system is significant, and poses a threat to life, provision of emergency response services, or the economy.

### **Post-Emergency Period**

Post-emergency activities will stress restoration of State Highway System assets and situation analysis with a view toward mitigation of future hazards. The EOC will most likely be deactivated, and any proclamations previously made will be terminated or coordinated based on the mitigation and recovery work underway.

## **EMERGENCY MANAGEMENT ORGANIZATION**

The State DOT emergency management organization is headed by the selected executive management staff member, who serves as the EOC Management Section Chief, who in turn coordinates with the State DOT Director, Chief Deputy, and other department executives, sitting as the Emergency Policy Group. The Management Section Chief is supported by a staff comprised of State DOT personnel organized under the Incident Command System (ICS)/National Incident Management System (NIMS) and assigned primary and support duties in the Table of Responsibilities, contained in this Annex. A COOP/COG Branch may be established if the State DOT Headquarters is not accessible or not usable. A complete COOP/COG plan is an annex to this Emergency Operations Plan. All position descriptions for the COOP/COG Branch are contained in the separate COOP/COG Plan Annex.

Collectively, the State DOT emergency management organization has overall responsibility for:

- Organizing, staffing, and operating the EOC;
- Operating communications and alerting systems;

- Providing the Public Information Officer (PIO) function;
- Providing resource management;
- Providing situation analysis and damage assessment; and
- Overall management of State Highway System emergency response and recovery operations.

## **DIRECTION AND CONTROL**

In an emergency requiring activation of the State DOT EOC; or in an emergency requiring response by more than one department, whether or not the EOC is activated; or in cases where a proclamation of LOCAL EMERGENCY, STATE OF EMERGENCY, or STATE OF WAR EMERGENCY, the following command relationships will apply:

**MANAGEMENT SECTION CHIEF** - The designated executive staff member or designated alternate. This individual is responsible for overall incident/State Highway System-wide coordination and management of the response effort. The most likely base of operations will be the EOC. Staff officers assigned to the EOC and the ICS/NIMS organization will support the Management Section Chief.

**EOC COORDINATOR** – Emergency Services Coordinator, or designated alternate. This individual's responsibilities will include the management and supervision of the administrative functions of the EOC. This individual is responsible for maintaining the operational readiness of the EOC facilities and staff members.

**ON-SCENE MANAGEMENT** – The State DOT subscribes to and utilizes the Incident Command System (ICS) and the National Incident Management System (NIMS). Generally, the Maintenance Division will provide Incident Commanders (ICs) in the field for State Highway System events; or serve as agency liaisons or other ICS roles to the field command established by the State Highway Patrol in human-caused emergencies and disasters; and natural disasters impacting the State Highway System. These might include

- Terrorism events involving chemical, biological, nuclear or radiological materials, or explosive materials
- Fire Suppression Operations
- Hazardous Material Incidents
- Urban Search and Rescue Operations
- Heavy Rescue Operations
- Radiological Accidents
- Earthquake Response
- Floods
- Multiple Casualty Incidents
- Evacuation operations in combination with any of the above events

When the State Emergency Management Agency opens the State Operations Center, State DOT will also have a representative there.

## **MUTUAL AID REGION EMERGENCY MANAGEMENT**

The state is organized into emergency management regions that support local authorities in disasters. The State DOT may have a representative in the Regional EOC when it is opened. The primary mission of the regional emergency management organization is to support local jurisdictions' response and recovery operations, and to coordinate mutual aid regional response and recovery operations. There are twenty four professions with mutual aid agreements within the state, including public works, which State DOT may access through the SOC or REOC for disaster response, damage assessment or recovery assistance. State DOT may also be tasked by the SOC to provide support to local transportation agencies in an emergency.

## **EMERGENCY OPERATIONS CENTER**

The State DOT Emergency Operations Center (EOC) is located inside the Headquarters Building. Access to the EOC will be provided by on-duty Emergency Management staff.

Instructions for activating the EOC are kept in a wall-mounted sleeve at the entrance to the EOC Operations Room.

If an emergency situation is too large to be coordinated from the field, or if a major disaster occurs, the Management Section Chief orders the activation of the EOC. The EOC provides a place where emergency operations can be centralized for better communication. The EOC has tables, phones, fax machines, radios, computers, maps, reference documents, operating procedures, and office supplies.

If the Emergency Operations Center is unusable, mobile radios, cellular phones and personal laptop computers will permit re-location of the EOC to the alternate EOC or to any appropriate location if circumstances dictate. In a major event the COOP/COG Branch will be activated and co-located with the EOC, either at Headquarters or in the alternate continuity location. Details on COOP/COG Branch activities are contained in the COOP/COG Branch Annex to this document.

## ***MATRIX OF RESPONSIBILITIES***

### EMERGENCY FUNCTIONS OF STATE TRANSPORTATION DEPARTMENTS

(Note: Example of possible assignments)

#### **FUNCTION**

##### **Management Section Chief**

EOC Coordinator

Administrative Support

Public Information Officer

Liaison Officer

Safety Officer

Security Officer

##### **Operations Section Chief**

Roadways

Bridges

Communications

Electronic Signs

##### **Planning Section Chief**

Situation Status

Demobilization

Documentation

Technical Specialists

Damage Assessment

Recovery Planning

##### **Logistics Section Chief**

Facilities

Human Resources

Volunteer Management

Information Technology

Procurement

Resource Tracking

Transportation/Fleet

##### **Finance/Admin. Section Chief**

Cost Accounting

Risk Management/Compensation/Claims

Time Keeping

#### **PRINCIPAL**

##### **Maintenance**

Director's Office, Emergency Management

Maintenance

Director's Office, Public Information

Director's Office, Legislative Affairs

Maintenance

Administration/Security

##### **Maintenance**

Maintenance

Maintenance/Bridge Program

Maintenance

Maintenance/Electronic Sign Program

##### **Planning and Modal**

Planning & Modal/Transportation Planning

Planning & Modal/Transportation Planning

IT/GIS

Maintenance/Haz Mat

Engineering

Engineering

##### **Administration**

Administration/Facilities

Administration/Human Resources

Administration/Human Resources

IT/ Land Mobile Radio System/RACES

Administration/Procurement

Administration/Procurement

Maintenance/Equipment

Finance

Finance

Finance

Human Resources

## EOC ACTIVATION

Determine if the EOC should be activated:

- Authorization from Management Section Chief or request from Incident Commander (IC).

If so -

Instruct Emergency Services Coordinator to initiate alert/recall procedures for key personnel.

Instruct the Emergency Services Coordinator to:

- Initiate EOC setup procedures,
- Make feeding and housing arrangements for EOC staffers, and
- Make arrangements for the activation and release of emergency response personnel and provide for (24-hour) staffing of emergency response jobs (e.g., EOC staff, emergency support services).

Once EOC staff has been assembled, conduct an initial Action Planning Briefing, situation overview, and EOC orientation. Conduct periodic Action Planning Briefings throughout the emergency.

Poll the Situation Status Branch in Planning to determine the nature, scope, and severity of the incident(s). Information thus obtained will influence decisions regarding requesting emergency declaration from the Governor, requests for mutual aid among State DOT districts or through Public Works Mutual Aid, activation of emergency contracts, and other vital considerations. Therefore, pay particular attention to:

- Nature of the emergency(s)
- Multiple incidents
- Areas of the State Highway System affected or threatened
- Containment potential
- Fatalities and injuries
- Damage assessment figures for State Highway System expressed in dollar amounts

Determine the need to activate the highway signage for motorist alerting system.

Use Disaster Accounting procedures.

Coordinate all media releases about the State DOT's involvement in and response to the emergency through the Public Information Officer.



The Management Section Chief may, based on the severity of the involvement of the State Highway System, request the Director, State DOT to request the Governor to declare a State of Emergency. Depending on the highway conditions the State DOT Director may be requested to notify supporting state agencies, such as the State Highway Patrol and the State Emergency Management Agency, of the conditions impacting the State Highway System. Examples would be bridge failures, traffic accidents compromising the integrity of the roadway, localized flooding blocking elements of the State Highway System, or other direct damage to the State Highway System that has minimal or no damage to infrastructure and property owned by others.

In most cases the emergency or disaster will occur within a local jurisdiction, and the initial emergency declaration will be made by a city or county. Damage to that jurisdiction and all others involved in the emergency will drive the Governor's decisions regarding whether to declare a state of emergency, and whether to request a Presidential State of Emergency or a Presidential Disaster Declaration. The State Highway Patrol or State Fire Agency may also request assistance from the State DOT, with or without a local emergency declaration.

## **ALERTING AND WARNING**

### **National Warning System (NAWAS)**

NAWAS is a dedicated wire-line system that provides two-way voice communications between federal Warning Centers, State's Warning Points, and local Warning Points. The system in the state consists of four elements:

- NAWAS, federal— state link
- NAWAS, State-County Warning Points circuits
- County-City warning systems
- Local warning devices and systems

### **NAWAS-Federal**

The system is activated from two federal facilities which are located in Colorado Springs, Colorado, and Olney, Maryland.

### **NAWAS-State**

The state ties into the national system with a primary dropout at State EMA Headquarters in the capital city. Circuits then extend to county warning points. State Highway Patrol Headquarters in the capital city serves as the alternate State Warning Point.

Both federal and state circuits are monitored 24 hours a day at EMA Headquarters, the alternate state Warning Point, and each county warning point.

### **County Warning System**

The Emergency Alert System will be used to contact the public in an effected area.

## **Dissemination of Attack Warnings**

The Federal Warning Centers disseminate warning information to State Warning Points over NAWAS. State Warning Points disseminate the information they receive over NAWAS to the local Warning Points. In addition, state agency radio systems, teletype and telephone circuits are used, ensuring maximum dissemination. Each local Warning Point further disseminates the warning over local Public Safety communications channels. The County disseminates information, under the authority of the Sheriff's Watch Commander, to other jurisdictions and the media through the systems described above.

Based on the information received from the State Warning Point, the Management Section Chief, or designated alternate, will decide whether or not to issue a warning order to the State DOT staff. At the request of the Governor, State Highway Patrol or State Fire Agency, electronic highway signs may be used to warn the traveling public on the State Highway System.

### **Alerting and Notification of Key Employees**

The State DOT Dispatch Center will notify the Emergency Services Coordinator (ESC) of an impending or actual emergency, and the ESC will begin the key employee notification phone tree, disseminating information about the emergency, as well as activation of the EOC. The key employee phone tree should be updated monthly by State DOT emergency management staff members.

This system will also be utilized to alert/notify/recall the Emergency Policy Group.

# Generic Checklist

## (For All Positions)

### **Activation Phase:**

- Check in with the Security Officer upon arrival at the EOC.
- Report to Management Section Chief, Section Chief, Branch Director, or other assigned supervisor.
- Set up workstation and review your position responsibilities.
- Establish and maintain a position log, which chronologically describes your actions taken during your shift.
- Determine your resource needs, such as a computer, phone, plan copies, and other reference documents.
- Ensure that the situation status/resource tracking system (Web EOC or similar system) is operational.

### **Demobilization Phase:**

- Deactivate your assigned position and close out logs when authorized by the Management Section Chief.
- Complete all required forms, reports, and other documentation. All forms should be submitted through your supervisor to the Planning Section, as appropriate, prior to your departure.
- Be prepared to provide input to the After Action Report.
- If another person is relieving you, ensure that he/she is thoroughly briefed before you leave your workstation.
- Clean up your work area before you leave.
- Check Out with the Security Officer and leave a destination and phone number where you can be reached.

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# Management Section Chief

**\*\*\*\*Read This Entire Position Checklist Before Taking Action\*\*\*\***

## Responsibilities:

1. Establish the appropriate staffing level for the State DOT EOC and continuously monitor organizational effectiveness, ensuring that appropriate modifications occur as required.
2. Exercise overall management responsibility for the coordination between elements of State DOT. In conjunction with the general staff, set priorities for response efforts. Ensure that all DOT actions are accomplished within the priorities established.
3. Ensure that Inter-Agency Coordination is accomplished effectively within the EOC.

## Activation Phase:

- Determine appropriate level of activation based on situation as known.
- Mobilize appropriate personnel for the initial activation of the EOC.
- Respond immediately to EOC site and determine operational status.
- Obtain briefing from whatever sources are available: TMC, Dispatcher, Emergency Services Coordinator, State Highway Patrol, or other trusted sources.
- Ensure that the EOC is properly set up and ready for operations.
- Ensure that an EOC check-in procedure is established immediately.
- Ensure that an EOC organization and staffing chart is posted and completed.
- Determine which sections are needed, assign Section Chiefs as appropriate and ensure they are staffing their sections as required.

Operations Section Chief  
Planning Section Chief

Logistics Section Chief  
Finance/Administration Chief

- Determine which Management Section positions are required and ensure they are filled as soon as possible.

Liaison Officer

EOC Coordinator

Public Information Officer  
Security Officer

Safety Officer  
Administrative Support

- Ensure that telephone and/or radio communications with the SOC are established and functioning
- Schedule the initial Action Planning meeting.
- Confer with the general staff to determine what representation is needed at the DOT EOC from other emergency response agencies.
- Assign a liaison officer to coordinate outside agency response to the DOT EOC.

**Operational Phase:**

- Monitor general staff activities to ensure that all appropriate actions are being taken.
- Ensure that the Liaison Officer is providing for and maintaining effective interagency coordination.
- Based on current status reports, establish initial strategic objectives for the DOT EOC.
- In coordination with Management Staff, prepare management function objectives for the initial Action Planning Briefing.
- Convene the initial Action Planning Briefing. Ensure that all Section Chiefs, Command Staff, and other key agency representatives are in attendance. Ensure that appropriate Action Planning procedures are followed (refer to EOC Action Planning documents).
- Once the Action Plan is completed by the Planning Section, review, approve, and authorize its implementation.
- Provide a briefing on the Action Plan to the Emergency Policy Group, or to the State DOT Director, as appropriate.
- Provide transportation policy and guidance on transportation-related issues to the Director of State DOT for his use with the Agency Secretary and Governor's Office briefings.
- Coordinate with other state organizations, such as the State Highway Patrol, to ensure that all plans for the opening of SHS roads, route recovery, traffic regulation and air transportation has been coordinated through the SOC process led by State DOT.
- Conduct periodic briefings with the general staff to ensure strategic objectives are current and appropriate.

- Brief your relief at shift change, ensuring that ongoing activities are identified and follow-up requirements are known.

### **Demobilization Phase:**

- Authorize demobilization of sections, branches, groups and units when they are no longer required.
- Notify the SOC and other appropriate organizations of the planned demobilization, as appropriate.
- Ensure that any open actions not yet completed will be handled after demobilization.
- Ensure that all required forms or reports are completed prior to demobilization.
- Be prepared to provide input to the state's After Action Report.
- Deactivate the EOC at the designated time, as appropriate.
- Notify the DOT Director of the termination of the emergency response and proceed with recovery operations.



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## EOC COORDINATOR (ESC)

**\*\*\*Read This Entire Position Checklist Before Taking Action\*\*\***

### **Responsibilities:**

1. Facilitate the overall functioning of the State DOT EOC.
2. Assist and serve as an advisor to the Management Section Chief and General Staff as needed, providing information and guidance related to the internal functions of the EOC, and ensure compliance with DOT emergency plans and procedures.
3. Assist the Liaison Officer in ensuring proper procedures are in place for directing agency representatives and conducting VIP/visitor tours of the EOC.

### **Activation Phase:**

- Follow generic Activation Phase Checklist.
- Assist the Management Section Chief in determining appropriate staffing for the EOC.
- Provide assistance and information regarding section staffing to all general staff.

### **Operational Phase:**

- Assist the Management Section Chief and the General Staff in developing overall strategic objectives as well as section objectives for the Action Plan.
- Advise the Management Section Chief on procedures for advising FHWA of the EOC activation, coordinating with the SOC, supporting Agency, and other legal requirements.
- Assist the Planning Section in the development, continuous updating, and execution of the EOC Action Plan.
- Provide overall procedural guidance to general staff as required.
- Provide general advice and guidance to the Management Section Chief as required.
- Ensure that all required communications are made to the SOC, the DOT Director, the Agency Secretary, and state government partners.
- Ensure that all communications with appropriate emergency response agencies are established and maintained.

- Assist Management Section Chief in preparing for and conducting briefings with Management Staff, the Emergency Policy Group, the media, and the community.
- Assist the Management Section Chief and Liaison Officer in establishing and maintaining an Interagency Coordination Group comprised of outside agency representatives and executives not assigned to specific sections within the EOC.
- Assist Liaison Officer with coordination of all EOC visits.
- Provide assistance with shift change activity as required.

**Demobilization Phase:**

- Follow generic Demobilization Phase Checklist.

# Administrative Support

\*\*\*\*Read This Entire Position Checklist Before Taking Action\*\*\*\*

## Responsibilities:

1. Assist the Management Section Chief or other EOC staff with taking meeting notes, creating documents, managing/filing/archiving information.
2. Assist EOC staff with the creation of the final reports required by outside agencies.
3. Collect information for the Incident Action Plan during the Action Planning Briefing. Coordinate with the Planning Section Chief to transfer the information into the final Action Plan for each Incident Action Period.

## Activation Phase:

- Follow generic Activation Phase Checklist.
- Check in with the Management Section Chief and obtain your priorities and specific assignment.
- Coordinate with the Logistics Section Chief to obtain additional administrative support if needed for Action Planning Briefings, report writing, or for the public information branch.
- Contact the EOC sections or branches that you may be supporting, and advise them of your availability and assigned work location in the EOC.

## Operational Phase:

- Assist the Management Section Chief in preparing for the first Action Planning Briefing.
- Participate in the Action Planning Briefing. Assist the Planning Section Chief with the development of the Action Plan document.
- Provide secretarial support to the Management Section Chief, and to other section chiefs as assigned.
- Maintain logs and files associated with your position.

## Demobilization Phase:

- Follow generic Demobilization Phase Checklist.
- Assist EOC staff with the creation of the final reports required by outside agencies.

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# Liaison Officer

\*\*\*Read This Entire Position Checklist Before Taking Action\*\*\*

## Responsibilities:

1. Oversee all liaison activities, including coordinating outside agency representatives assigned to the DOT EOC and handling requests from other EOCs for DOT EOC agency representatives.
2. Ensures the maintenance of contact and information flow with Federal Highway Administration regarding the status of the State Highway System.
3. Establish and maintain a central location for incoming agency representatives, providing workspaces and support as needed.
4. Ensure that position specific guidelines, policy directives, situation reports, and a copy of the EOC Action Plan are provided to agency representatives upon check-in.
5. In conjunction with the EOC Coordinator, provide orientations for VIPs and other visitors to the EOC.
6. Ensure that demobilization is accomplished when directed by the Management Section Chief.

## Activation Phase:

- Follow generic Activation Phase Checklist.
- Obtain assistance for your position through the Personnel Unit in Logistics, as required.

## Operational Phase:

- Contact agency representatives already on-site, ensuring that they:
  - o Have signed into the EOC
  - o Understand their assigned functions
  - o Know their work locations
  - o Understand DOT EOC organization and floor plan.
- Determine if additional representation is required from:
  - o Other agencies
  - o Private Sector organizations
  - o Utilities not already represented.

- In conjunction with the Management Section Chief and EOC Coordinator, establish and maintain an Interagency Coordination Group comprised of outside agency representatives and executives not assigned to specific sections within the EOC.
- Assist the Management Section Chief and EOC Coordinator in conducting regular briefings for the Interagency Coordination Group and with distribution of the current EOC Action Plan and Situation Report.
- Request that agency representatives maintain communications with their agencies and obtain situation status reports regularly.
- With the approval of the Management Section Chief, provide agency representatives from the DOT EOC to other EOCs as required and requested.
- Maintain a roster of agency representatives located at the DOT EOC. Roster should include assignment within the EOC (Section or Interagency Coordination Group). Roster should be distributed internally on a regular basis.

**Demobilization Phase:**

- Follow generic Demobilization Phase Checklist
- Release agency representatives who are no longer required in the DOT EOC when authorized by the Management Section chief.

## **PUBLIC INFORMATION BRANCH**

During a disaster:

- The traveling public, affected residents of neighborhoods adjacent to impacted State DOT facilities, and other state agencies and emergency response agencies that rely on the State Highway System, will need, and have the right to, accurate timely public information.
- Local media will play a crucial role in the dissemination of public information.
- Telephone communications may be severely compromised or nonexistent.
- Radio and television stations without backup power, or those not protected against Electromagnetic Pulse (EMP), may be unable to broadcast.

### **CONCEPT OF OPERATIONS**

The designated Public Information Officer (PIO) for the EOC is the Public Information Office from the State DOT Director's Office. In this capacity, the PIO will be supported by other public outreach professionals from within the DOT. These individuals may also act as PIO in the event that the PIO is unable to serve.

Media representatives, as well as all government agencies, should be advised that the single official point of contact for the media during an emergency is the PIO.

Agreements with the information media relative to the dissemination of emergency public information should be negotiated and finalized, pre-event, if possible. Generally, emergency public information will be disseminated to the DOT staff, state agency partners and the traveling public DOT via electronic signs on the highways, and through the press, radio, and television. A media center will be designated by the PIO, and media conferences will be conducted by the PIO at this location on a regular basis.

### **COMMUNICATIONS**

Circumstances permitting, the PIO should arrange for public information telephone access as follows in office space near the EOC:

- Minimum of three lines for media inquiry
- Minimum of one outgoing, unlisted line, not in rotary, for exclusive use of the PIO

In the event telephone service is not available, RACES volunteers will support the PIO in dissemination of emergency public information.



## **DUTIES AND RESPONSIBILITIES**

Duties and responsibilities of the PIO include, but are not necessarily limited to:

- Preparing, in coordination with the ESC and State DOT departments in advance, emergency public information materials that address roadway safety tips for all hazards; and providing these materials in appropriate languages other than English; and arranging for sign language interpretation for television press conferences.
- Tasking field response units to coordinate with the PIO office, and to obtain official press releases from the PIO prior to talking to the media; remind field units that the PIO at the field command post should handle all official media conferences.
- Preparing of instructions for people who must evacuate from a high-risk area. Elements that should be addressed include: definition of the population at risk; evacuation routes; suggestions on the types and quantities of safety equipment drivers should have, such as sand, salt, shovels, flares; a reminder to obtain adequate fuel; and locations of reception areas/shelters or sources for this information.
- Establishing and implementing a rumor control procedure, including monitoring radio and television stations carrying coverage of the emergency event.

## **MEDIA ACCESS**

Access to disaster areas by accredited reporters is guaranteed, with certain exceptions, by the State Penal Code. The California Peace Officers Association suggests, "In general, authorized members of the news media are to be permitted free movement in the area as long as they do not hamper, deter, or interfere with the law enforcement or public safety functions." Most states have similar guidance. If access restrictions for the media are unavoidable, a pool system may be established. Under this system, a representative of each medium would be selected and escorted into the restricted area. Information, photos, and film footage must then be shared with other media representatives.

## Public Information Officer

**\*\*\*\*Read This Entire Position Checklist Before Taking Action\*\*\*\***

### Responsibilities:

1. Serve as the coordination point for all media releases for the State DOT. Represent the State DOT as the lead Public Information Officer.
2. Ensure that the public, especially the traveling public within the affected area, receives complete, accurate, and consistent information about life safety procedures, detours, and other vital information.
3. Coordinate media releases with the Management Section Chief and with Public Information Officers representing other affected emergency response agencies in the response, such as State Highway Patrol and State Fire Agency.
4. Develop the format for press conferences in conjunction with the Management Section Chief.
5. Maintain a positive relationship with media representatives.
6. Supervise the Public Information Branch.

### Activation Phase:

- Report to the EOC and follow the Generic Action Checklist.
- Determine staffing requirements and make required personnel assignments for the Public Information Branch, as necessary.

### Operational Phase:

- Obtain policy guidance from the Management Section Chief with regard to media releases. Ensure that all media releases are signed by the Management Section Chief before release.
- Keep the Management Section Chief advised of all unusual requests for information, and of all major critical or unfavorable media comments. Recommend procedures or measures to improve media relations.
- Coordinate with the Situation Status Branch and identify methods for obtaining and verifying significant information as it is developed.
- Develop and publish a media-briefing schedule, including location, format, and preparation and distribution of handout materials.

- Implement and maintain an overall information release program.
- Establish a media information center, as required, ensuring that there are necessary space, materials, telephones, and electrical power.
- Maintain up-to-date status boards and other references at the media information center. Provide adequate staff to answer questions from members of the media.
- Interact with the SOC and other state agency EOCs, especially the state's PIOs, and obtain information relative to public information operations.
- Develop content for Emergency Alert System (EAS) releases if available. Monitor EAS releases.
- In coordination with other EOC sections and as approved by the Management Section Chief, issue timely and consistent advisories and instructions for assistance to the public.
- Coordinate with the Director's Office to ensure that they have accurate information to share with the Governor's Office, Agency Secretary's Office and Legislative representatives regarding the DOT's role in emergency situation.
- At the request of the Management Section Chief, prepare media briefings for members of the Emergency Policy Group and provide other assistance as necessary to facilitate their participation in media briefings and press conferences.
- Ensure that a rumor control function is established to correct false or erroneous information, including monitoring media coverage of the event.
- Ensure that adequate staff is available at incident sites to coordinate with the media and conduct tours of the DOT resources in the disaster area, if safe.
- Provide appropriate staffing and telephones to efficiently handle incoming media and public calls.
- Prepare, update, and distribute to the public via the media, the DOT's website, electronic highway signs, 5-1-1, and other appropriate means, information on evacuation routes and detours, open roadway segments and alternate routes around the impact area.
- Ensure that announcements, emergency information and materials are translated and prepared for vulnerable populations, including non-English speaking and hearing impaired.
- Monitor broadcast media, using information to develop follow-up news releases and rumor control.
- Ensure that file copies are maintained of all information released.

- Keep a file of all media releases for the Management Section Chief.
- Conduct shift change briefings for in-coming PIOs in detail, ensuring that in-progress activities are identified and follow-up requirements are known.
- Prepare final news releases and advise media representatives of point-of-contact for follow-up stories.

**Demobilizations Phase:**

- Follow generic Demobilization Phase Checklist.

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# RUMOR CONTROL UNIT LEADER

**\*\*\*Read This Entire Position Checklist Before Taking Action\*\*\***

## **Responsibilities:**

1. Provide staffing for rumor control telephone bank and media monitoring.
2. Establish a “Disaster Hotline” for DOT staff, media and the public, with an up-to-date recorded message. Change the message whenever circumstances change, and update it at least after every Action Planning Briefing. Ensure that the final script for each briefing is signed by the Management Section Chief.
3. Supervise the Rumor Control Unit.

## **Activation Phase:**

- Report to the EOC and follow the Generic Action Checklist.

## **Operational Phase:**

- Obtain “confirmed” disaster information
- Correct rumors by providing factual information based on confirmed data.
- Establish a “Disaster Hotline” recorded message and provide updated message information periodically.
- Notify the Public Information Officer when the “Disaster Hotline” should be staffed with operators, based on the need to update a dynamic situation.
- Refer inquiries from members of the media to the lead Public Information Officer or designated staff.

## **Demobilization Phase:**

Follow generic Demobilization Phase Checklist.

## RESPONSE TO A MAJOR EARTHQUAKE

### SAMPLE RADIO MESSAGE

#### UPDATE ON EARTHQUAKE

This is \_\_\_\_\_ at the State Department of Transportation Emergency Operations Center. The magnitude of the earthquake, which struck the \_\_\_\_\_ area at \_\_\_\_\_ today, has been determined to be \_\_\_\_\_ on the Richter scale. The epicenter has been fixed at \_\_\_\_\_ by \_\_\_\_\_.  
(scientific authority)

This office has received reports of \_\_\_\_\_ damage to the State Highway System. A list of road closures may be heard by calling the DOT Hotline at \_\_\_\_\_. DOT units are on the scene to evaluate the damage and begin emergency repairs. (Continue with summary of situation.)

Aftershocks continue to be felt in the area. If you feel shaking, quickly seek shelter under a sturdy piece of furniture or in a supporting doorway. Do not use your telephone unless you need emergency help.

## **RESPONSE TO A MAJOR EARTHQUAKE**

### **SUMMARY STATEMENT FOR MEDIA**

At approximately \_\_\_\_\_ today, an earthquake registering \_\_\_\_\_ on the Richter scale struck the \_\_\_\_\_ area, with its epicenter at \_\_\_\_\_. State DOT field units were immediately dispatched to assess damage to the State Highway System. A list of road closures may be heard at \_\_\_\_\_.

Significant aftershocks are likely to be felt for days to weeks. Damage may be made worse by each aftershock. DOT response personnel are in the field in \_\_\_\_\_ (name affected communities) to evaluate highway conditions and develop emergency repairs. Check in with the DOT website or call the Hotline at \_\_\_\_\_ for more detailed information as the event unfolds.



## **RESPONSE TO A HAZARDOUS MATERIAL INCIDENT ON SHS**

### **SAMPLE RADIO MESSAGE: UNIDENTIFIED SPILL/RELEASE IN HEAVY TRAFFIC AREA**

This is \_\_\_\_\_ at the State DOT EOC. An unidentified substance, which may be hazardous, has been spilled/released at \_\_\_\_\_ (specific location). Please avoid the area, if possible, while crews are responding. The best alternate routes are \_\_\_\_\_. If you are already in the area, please be patient and follow directions of emergency response personnel. The substance will be evaluated by specially trained personnel, and further information will be released as soon as possible. Thank you for your cooperation.

**SAMPLE RADIO MESSAGE: LOW HAZARD/CONFINED SPILL/RELEASE ON SHS**

**NO GENERAL EVACUATION**

This is \_\_\_\_\_ at the State DOT EOC. A small amount of \_\_\_\_\_, a hazardous substance, has been spilled/released at \_\_\_\_\_. Streets are blocked, traffic is restricted, and authorities have asked residents in the immediate area to evacuate. Please avoid the area. The material is slightly/highly toxic to humans and can cause the following symptoms: \_\_\_\_\_.

If you think you may have come in contact with this material, you should contact your medical caregiver. For your safety, please avoid the area. Alternate routes are \_\_\_\_\_(name streets) and traffic is being diverted. If you are now near the spill/release area, please follow directions of emergency response personnel. Cleanup crews are on the scene. Thank you for your cooperation.

**RESPONSE TO A HAZARDOUS MATERIAL INCIDENT ON SHS**

**SAMPLE SUMMARY STATEMENT FOR MEDIA (ADAPT FOR SITUATION)**

At approximately \_\_\_\_\_ a.m./p.m. today, a spill/release of a potentially hazardous substance on \_\_\_\_\_ (identify highway and nearest interchange) was reported to State DOT by (a citizen, employee, etc.). State DOT responders were immediately dispatched to cordon off the area and direct traffic. The material was later determined to be a (hazardous or harmless) \_\_\_\_\_ which upon contact, (chemical/substance/material/gas) may produce symptoms of \_\_\_\_\_. Precautionary evacuation of the (immediate or X-block) \_\_\_\_\_ area surrounding the spill was (requested or required) \_\_\_\_\_ by (Agency) \_\_\_\_\_. Approximately (number) \_\_\_\_\_ persons were evacuated. Clean-up crews from (agency/company) \_\_\_\_\_ were dispatched to the scene and normal traffic had resumed by (time) \_\_\_\_\_, at which time the highway was reopened. There were (no injuries reported / \_\_\_\_\_ persons, including DOT personnel) treated at area hospitals for \_\_\_\_\_ (specific injuries if known) and \_\_\_\_\_ were later released. Those remaining in the hospital are in \_\_\_\_\_ condition. Response agencies involved were State DOT \_\_\_\_\_ (others).

## Safety Officer

**\*\*\*Read This Entire Position Checklist Before Taking Action\*\*\***

### Responsibilities:

1. Ensure that all buildings and other facilities used in support of the DOT EOC are in a safe operating condition.
2. Monitor operational procedures and activities in the EOC to ensure they are being conducted in a safe manner considering the existing situation and conditions.
3. Stop or modify all unsafe operations in the EOC, notifying the Management Section Chief of actions taken.

### Activation Phase:

- Follow generic Activation Phase Checklist.

### Operational Phase:

- Tour the entire EOC facility and evaluate conditions. Advise the Management Section Chief of any conditions and actions which might result in liability (unsafe layout or equipment set-up, failure to tape down exposed wires, climbing on furniture to post information).
- Study the EOC facility and document the locations of all fire extinguishers, emergency pull stations, and evacuation routes and exits.
- Be familiar with particularly hazardous conditions in the facility, and take action when necessary.
- Prepare and present safety briefings for the Management Section Chief and General Staff at appropriate meetings.
- If the event which caused activation was an earthquake, provide guidance to EOC staff regarding actions to be taken in preparation for aftershock.
- Ensure that the EOC facility is free from any environmental threats, e.g., radiation exposure, air purity, water quality.
- Keep the Management Section Chief advised of unsafe conditions, take action when necessary.
- Coordinate with the Financial/Administrative Section in preparing any personnel injury claims or records necessary for proper case evaluation and closure.

- Ensure that shift change is established and staffing notifications are made well in advance of the assigned reporting time; coordinate with Section Chiefs and Personnel Unit to ensure that adequate staff members with appropriate training are available.
- Coordinate with the Logistics Section Chief to ensure that adequate and appropriate food and beverages are available for EOC staff, including meals for the 12 hour shift change schedule.
- Monitor EOC staff for stress or psychological issues and obtain appropriate support from the Personnel Section – e.g., on-site counseling, or early relief.
- Ensure that family member contact with EOC staff is facilitated.

**Demobilization Phase:**

- Follow generic Demobilization Phase Checklist.

## Security Officer

**\*\*\*Read This Entire Position Checklist Before Taking Action\*\*\***

### **Responsibilities:**

1. Provide 24-hour security for the DOT EOC.
2. Control personnel access to the EOC in accordance with policies established by the Management Section Chief.

### **Activation Phase:**

- Follow the generic Activation Phase Checklist.

### **Operational Phase:**

- Oversee check-in and check-out of all EOC staff.
- Determine the current EOC security requirements and arrange for staffing as needed.
- Determine needs for special access to EOC facilities.
- Provide executive and V.I.P. security as appropriate and required.
- Provide recommendations to Management Section Chief, as appropriate .
- Prepare and present security briefings for the Management Section Chief and general staff at appropriate meetings.

### **Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

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## **ANNEX B**

### **OPERATIONS SECTION**

#### **DUTIES AND RESPONSIBILITIES:**

The Operations Section of the Emergency Operations Center does the following:

- Coordinates the DOT's operations in support of the emergency response through implementation of the DOT's Action Plans.
- Coordinates with field forces to ensure that they have the appropriate supporting personnel and equipment to perform their tasks, based on their Incident Action Plan, whether they are in ICS Command or in another section of an ICS structure.
- Coordinates requests for mutual aid.
- Implements the goals and objectives of the EOC Action Plan for each operational period.

#### **Roadways Infrastructure Branch**

Ensures that transportation infrastructure on the State Highway System is assessed for damage, and repaired/restored as rapidly as possible to support emergency response activities; removes debris from the roadway; manages traffic in the emergency area; coordinates hazardous materials response; coordinates with EOC Operations Chief to ensure that incident transportation access needs are met; coordinates with city, county and special district transportation organizations and transit agencies to ensure the rapid restart of the state's transportation sector.

#### **Bridge and Levee Surveillance Unit**

Ensures that bridges and levees are assessed for emergency-related damage; organizes resources to ensure that bridges and levees are maintained for safe operation or returned to safe condition rapidly to support transportation access to the emergency impact area.

#### **Communications Unit**

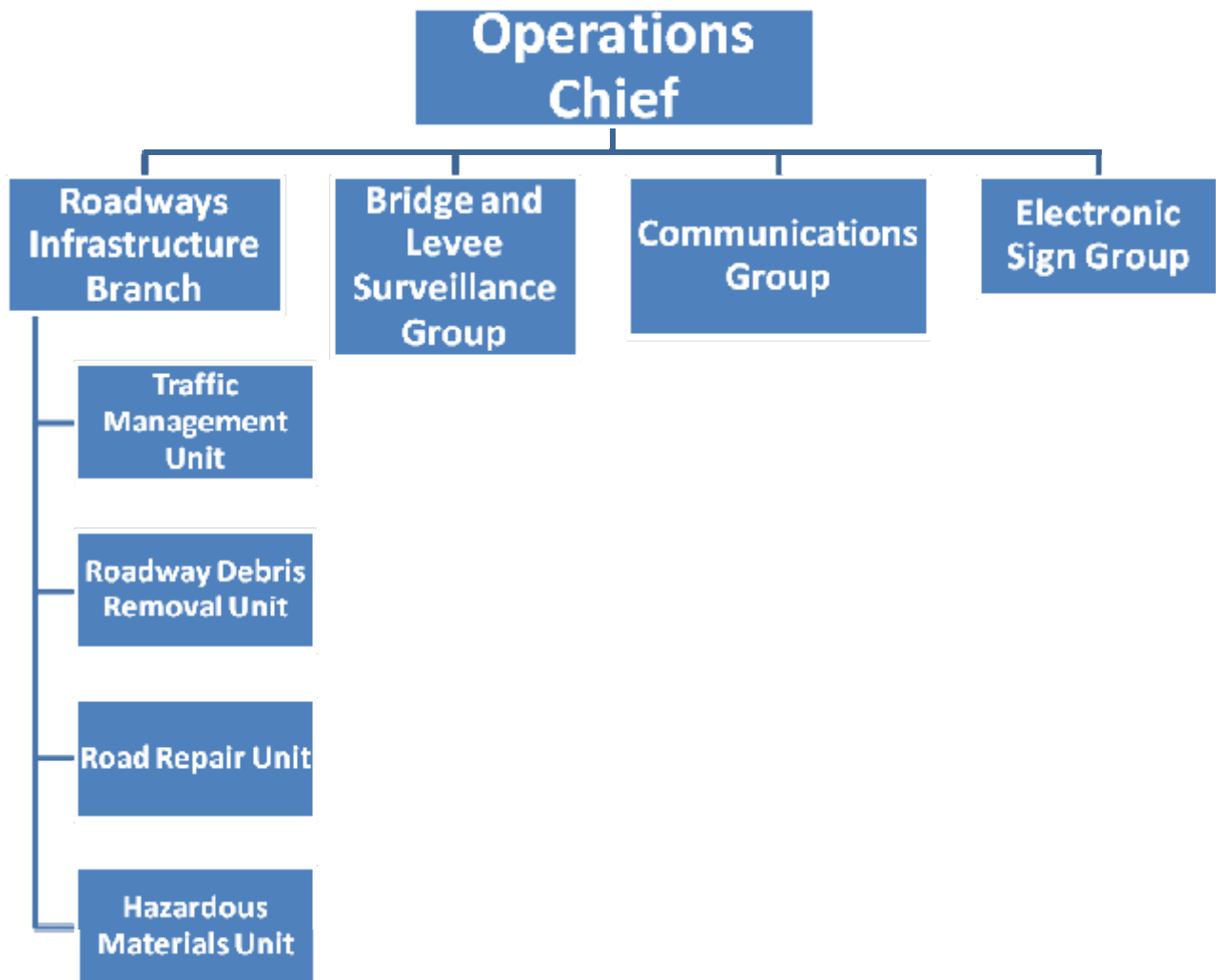
Ensures that information from the TMCs, land mobile radio and other DOT sources is available to EOC decision-makers.

#### **Electronic Sign Unit**



Manages the operation of the electronic sign system on the State Highway System to support the rapid passage of information to the traveling public, to minimize the impact on repair activities, and to support detours and evacuations.

Below is the Operations Section organization chart.



# Generic Checklist

## (For All Positions)

### Activation Phase:

- Check in with the Security Officer upon arrival at the State DOT EOC.
- Report to Management Section Chief, Section Chief, Branch Coordinator, or other assigned Superior.
- Set up workstation and review your position responsibilities.
- Establish and maintain a position log, which chronologically describes your actions taken during your shift.
- Determine your resource needs, such as a computer, phone, plan copies, and other reference documents.
- Ensure that the electronic resource tracking system [Web EOC or other system] is operational.

### Demobilization Phase:

- Deactivate your assigned position and close out logs when authorized by the Management Section Chief.
- Complete all required forms, reports, and other documentation. All forms should be submitted through your supervisor to the Planning Section, as appropriate, prior to your departure.
- Be prepared to provide input to the After Action Report.
- If another person is relieving you, ensure that he/she is thoroughly briefed before you leave your workstation.
- Clean up your work area before you leave.
- Check Out with the Security Officer and leave a destination and phone number where you can be reached.

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# Operations Section Chief

**\*\*\*\*Read This Entire Position Checklist Before Taking Action\*\*\*\***

## **Responsibilities:**

1. Ensure that the Operations Function is carried out, including coordination of response with field forces for all operational functions assigned to the State DOT EOC.
2. Determine the status of field units, and provide support to the Incident Commander.
3. Develop Operations Section objectives for the Action Planning Briefing, and ensure that Operations Section objectives and assignments identified in the EOC Action Plan are carried out effectively.
4. Following the issuance of the Action Plan, brief all subordinates on the Plan, including the allocation of Operations Section's objectives to the various Branches and Units.
5. Provide overall supervision of the Operations Section. Establish the appropriate level of branch, group and unit organizations within the Operations Section, continuously monitoring the effectiveness and modifying accordingly. Exercise overall responsibility for the coordination of Branch and Unit activities within the Operations Section.
6. Personally coordinate and oversee the issuance of overweight and overload permits in support of the emergency response.
7. In conjunction with the Operations Section branch, group and division leadership, develop routing and directions for the movement of incident victims out of an impact area.
8. In conjunction with the Operations Section branch, group and division leadership, develop routing and directions for the movement of emergency response personnel, supplies and equipment into the disaster area safely, advising on the safest modes of travel, with special focus on supporting medical facilities and shelters.
9. Ensure that the Planning Section is provided with section Status Reports and Major Incident Reports (utilizing the electronic management formats, if available).
10. Conduct periodic Operations briefings for the Management Section Chief as required or requested.

### **Activation Phase:**

- Report to the EOC as directed; follow the Generic Activation Checklist.
- Ensure that the Operations Section is set up properly and that appropriate personnel, equipment, and supplies are in place, including maps and status boards.
- Obtain a briefing from the field-level State DOT response leader, whether Incident Commander or working within an ICS structure with another department as IC, and obtain a copy of the current Incident Action Plan under which State DOT staff are working.
- Meet with Planning Section Chief; obtain a preliminary situation briefing.
- Based on the situation, activate appropriate branches within the section. Designate Branch Directors and Unit Leaders as necessary.
  - Roadways Infrastructure Branch
    - \* Traffic Management Unit
    - \* Road Debris Removal Unit
    - \* Road Repair Unit
    - \* Hazardous Materials Unit
  - Bridge and Levee Surveillance Group
  - Communications Group
  - Electronic Sign Group
- Determine need for inter-district assistance or Public Works Mutual Aid.
- Request additional personnel for the section for 24-hour operation when necessary.
- Obtain a current communications status briefing from the IT/Telecommunications Branch Coordinator in Logistics. Ensure that there are adequate equipment and frequencies available for the section.
- Obtain estimated times of arrival of section staff from the Human Resources Branch in Logistics.
- Confer with the Management Section Chief to ensure that the Planning and Logistics Sections are staffed at levels necessary to provide adequate information and support for Operations.

- Coordinate with the Liaison Officer regarding the Operations Section's need for Agency Representatives.
- Establish radio or cell-phone communications with State DOT field forces.
- Determine activation status of the SOC, and establish communication links with the State DOT representative there.
- Based on the situation as known or forecast, determine likely future needs of the Operations Section.
- Identify key issues currently affecting the Operations Section; meet with Section personnel and determine appropriate Section objectives for the first Action Planning Briefing.
- Review responsibilities of branches and groups in the section; develop an Operations Plan detailing strategies for carrying out Operations objectives.
- Adopt a proactive attitude. Think ahead and anticipate situations and problems before they occur.

#### **Operational Phase:**

- Ensure that all section personnel are maintaining their individual position logs.
- Ensure that situation status and resources information is provided to the Planning Section on a regular basis or as the situation requires, including Branch and Group Status Reports and Major Incident Reports (electronic format if available).
- Ensure that all media contacts are referred to the Public Information Officer.
- Conduct periodic briefings and work to reach consensus among staff on objectives for forth-coming operational periods.
- Attend and participate in Management Section Chief's Action Planning meetings.
- Work closely with each Branch Director and Group Supervisor to ensure that the Operations Section objectives, as defined in the current Action Plan, are being addressed.
- Ensure that the Branch and Groups coordinate all resource needs through the Logistics Section.
- Ensure that intelligence information from the Branch Director and Group Supervisors is made available to the Planning Section in a timely manner.

- Ensure that fiscal and administrative requirements are coordinated through the Finance/Administration Section (notification of emergency expenditures and daily timesheets).
- Brief the Management Section Chief on all major incidents.
- Complete a Major Incident Report for all major incidents; forward a copy to the Management Section Chief and Planning Section.
- Brief the Branch Director and Group Supervisors periodically on any updated information you may have received.
- Share status information with other sections as appropriate.

**Demobilization Phase:**

Follow the generic Demobilization Phase Checklist.

# **ROADWAYS INFRASTRUCTURE BRANCH**

## **OBJECTIVES**

- Conduct damage assessment of the State Highway System (SHS) infrastructure.
- Conduct emergency repair/restoration of SHS roadways and tunnels.
- Conduct emergency debris clearance and roadway recovery operations on SHS.
- Create safe SHS evacuation routes and detours in a post-disaster environment.
- Inspect, designate, and, when essential for life safety, demolish hazardous SHS structures.
- Conduct flood fighting operations and drain flooded areas on the State Highway System.
- Oversee the identification of spills or other deposition of hazardous materials on the SHS, and their abatement and removal in coordination with the State Highway Patrol and the responsible party or State EMA.

## **ORGANIZATION AND RESPONSIBILITIES**

The Roadway Infrastructure Branch Director is responsible for coordination and allocation of State DOT resources required for SHS damage assessment, debris clearance, transportation infrastructure restoration, and hazardous materials response and abatement. The Branch Director will coordinate with the Personnel Section to obtain additional staff for the Branch. Mutual assistance may be arranged through nearby but unaffected State DOT districts. Mutual aid may be requested through the Public Works Mutual Aid system.

Additional support may be obtained from the following:

- Associated General Contractors (AGC) of America and the Engineering and Grading Contractors Association (EGCA) are available to any legally constituted authority conducting emergency response and recovery operations.
- The state's Structural Engineers Association (SEA) has a large number of volunteers who may be made available to support government agency efforts directed toward damage assessment and determining the serviceability of damaged buildings and structures. Through the Association, other types of engineers (civil, mechanical, electrical, safety) may be obtained.



- The Concrete Sawing and Drilling Association may provide assistance in heavy rescue operations.

## **POLICIES AND PROCEDURES**

### **Post-Event Inspection of Facilities and Structures**

Inspections to determine serviceability will be conducted in accordance with State DOT procedures. Mutual aid damage inspectors will use the Damage Assessment Plan for Volunteer Engineers, and the Damage Assessment Plan for Building Officials (published and issued by State EMA).

### **Debris Clearance**

Eligibility criteria and administrative procedures relative to the application for federal grants to assist in defraying costs incurred in performing emergency debris clearance are outlined in State and Federal disaster planning documents. Finance/Administration Section will complete and coordinate such applications for Federal High Way Administration (FHWA) assistance for on-system roadway debris removal, and with the State EMA for reimbursement requests through FEMA for debris removal from culverts, rights of way, State DOT buildings and facilities not covered by the State Highway System funding sources of FHWA.

### **Roadway Infrastructure Branch**

Roadway Infrastructure Branch staff will survey damage to transportation infrastructure and report their findings to the Operations Section Chief.

Priority will be given to:

- Assessment of damage to roadways and access/egress requirements.
- Assessment of availability of evacuation routes.
- Identification, establishment, and operation of alternate routes and detours.
- Reestablishment of service on critical surface arteries in coordination with local transportation organizations and modal partners.

# Roadways Infrastructure Branch Director

**\*\*\*Read This Entire Position Checklist Before Taking Action\*\*\***

## Responsibilities:

1. Survey all SHS facilities, and restore systems that have been disrupted, including coordinating with modal and local transportation organizations.
2. Coordinate the repair of damage to State DOT SHS facilities.
3. Assist other sections, branches, and units as needed.
4. Supervise the Roadways Infrastructure Branch.

## Activation Phase:

- Follow the Generic Activation Checklist.
- Based on the situation, activate the necessary units within the Roadways Infrastructure Branch:
  - o Traffic Management Unit
  - o Road Repair Unit
  - o Road Debris Removal Unit
  - o Hazardous Materials Unit
- Provide an initial situation report to the Operations Section Chief.
- Based on the initial EOC strategic objectives prepare objectives for the Roadways Infrastructure Branch and provide them to the Operations Section Chief prior to each Action Planning Briefing.

## Operational Phase:

- Ensure that branch, group and unit position logs and other necessary files are maintained.
- Maintain current status on all damage assessment and repair activities being conducted on the SHS.
- Establish SHS detour routes, and coordinate with the SOC for information on local government -initiated detour routes that may affect the SHS.
- Poll field units to determine structural adequacy of SHS roads, tunnels and bridges.
- Determine and document the status of transportation routes within and serving the disaster area to ensure support of emergency response.

- Coordinate debris removal services as required.
- Assist State Highway Patrol in coordination of evacuation operations, particularly route selection and marking, and debris removal.
- Provide the Operations Section Chief and the Planning Section Chief with an overall summary of Roadway Infrastructure Branch activities periodically during the operational period or as requested.
- Ensure that all Roadway Infrastructure Status Reports are completed and maintained. (using electronic forms, if available).
- Refer all contacts with the media to the Public Information Officer.
- Ensure that all fiscal and administrative requirements are coordinated through the Finance/Administration Section (notification of any emergency expenditures and daily time sheets).
- Prepare objectives for the Roadway Infrastructure Branch for each subsequent operational period; provide them to the Operations Section Chief prior to the end of the shift and the next Action Planning briefing.
- Provide your relief with a briefing at shift change, informing him/her of all ongoing activities, branch objectives for the next operational period, and any other pertinent information.

**Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

# Traffic Management Unit Leader

**\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\***

## **Responsibilities:**

1. Maintain an inventory of all State DOT traffic management equipment.
2. Coordinate with Logistics Section Procurement Branch to maintain a list of alternative sources of traffic management equipment, with 24-hour contact information for each.
3. Oversee traffic management operations.

## **Activation Phase:**

- Follow Generic Activation Phase Checklist.
- Check in with the Roadways Infrastructure Branch Director and obtain your priorities and specific assignment.
- If time permits, contact all State DOT districts nearby with traffic management equipment to confirm their status and location. Recommend appropriate steps for safeguarding the equipment, such as fueling the delivery vehicles, and taking the equipment and its delivery vehicles to shelter or higher ground.

## **Operational Phase:**

- Give the Roadways Infrastructure Branch Director an updated list of available equipment, such as barricades, delineators, moveable electronic signs, and sandbags, before the first Action Planning Briefing.
- Support State Highway Patrol and State DOT repair crews with traffic management operations on SHS and at merge points with local streets; with the development and enforcement of carpooling for the disaster area; and with flood fighting materials for SHS.
- Maintain contact with the SOC to share information on road conditions on SHS, get information on traffic management and road conditions affecting the SHS; and get information from traffic cameras, if available, that cover SHS in disaster areas.
- Maintain logs and files associated with your position.

## **Demobilization Phase:**

- Follow generic Demobilization Phase Checklist.

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# Road Debris Removal Unit Leader

**\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\***

## **Responsibilities:**

1. Understand the capability for removing debris from the SHS using DOT resources.
2. Coordinate with Logistics Section Procurement Unit to maintain a list of other sources of road debris removal resources, including recycling facilities and hazardous materials/hazardous waste facilities.
3. Oversee road debris removal operations, including recycling as much material as possible, and sorting hazardous debris for safe removal.
4. Coordinate with State Environmental Protection Agency to oversee the contracting for removal of hazardous materials, and ensure that appropriate permits for hauling and disposal are obtained.

## **Activation Phase:**

- Follow Generic Activation Phase Checklist.
- Check in with the Roadway Infrastructure Branch Director and obtain your priorities and specific assignment.
- If time permits, contact DOT units with road debris removal equipment to confirm their status and location. Recommend appropriate steps for preparing the equipment, such as filling up gas tanks, or taking the equipment to shelter or high ground.

## **Operational Phase:**

- Give the Roadway Infrastructure Branch Director an updated list of available equipment before the first Action Planning Briefing.
- Oversee the removal of debris from SHS transportation infrastructure, using wood chippers for the removal of tree debris; loaders for the removal of concrete debris; re-install fallen street lights; remove animal carcasses and other material that interferes with the safe use of the SHS.
- Maintain logs and files associated with your position.

**Demobilization Phase:**

- Follow generic Demobilization Phase Checklist.  
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# Road Repair Unit Leader

**\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\***

## **Responsibilities:**

1. Maintain an inventory of all State DOT-owned and operated transportation infrastructure.
2. Maintain an inventory of all road construction as-builts.
3. Maintain an inventory of all transportation infrastructure repair equipment and materials.
4. Coordinate with the Logistics Section Procurement Branch to maintain a list of alternate sources of transportation infrastructure repair equipment and materials.

## **Activation Phase:**

- Follow Generic Activation Phase Checklist.
- Check in with the Roadways Infrastructure Branch Director and obtain your priorities and specific assignment.
- If time permits, contact all State DOT units with transportation infrastructure repair equipment and materials to confirm their status and location. Recommend appropriate steps for preparing equipment, such as filling up gas tanks, or taking vehicles, equipment and materials to shelter or higher ground.

## **Operational Phase:**

- Give the Branch Director an updated list of available vehicles, equipment and materials before the first Action Planning Briefing.
- Deploy damage assessment teams to all SHS in the disaster area; access additional personnel through DOT districts, Public Works Mutual Aid, State SEA and other capable agencies. Work with Procurement to get personnel from contract engineering firms as necessary to complete the damage assessment rapidly to ensure safe access to the disaster area for emergency response agencies.
- Provide engineering services for reconstruction of damaged transportation infrastructure.
- Create expedient roads for emergency access to the disaster area if permanent roads are too damaged for use or do not exist where needed for emergency response.



- Advise Branch Director on priorities for road repairs and route priorities during recovery.
- Coordinate with the Planning Section Recovery Planning Branch to ensure that transportation infrastructure is clean and safe for use by overseeing street sweeping, street washing, mud removal, storm drain cleaning, culvert cleaning, oil abatement, street light reinstallation, and similar activities.
- Keep the Branch Director informed of the status of damage assessment and transportation infrastructure restoration projects.
- Maintain logs and files associated with your position.

**Demobilization Phase:**

- Follow generic Demobilization Phase Checklist.

# Hazardous Materials Unit Leader

**\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\***

## **Responsibilities:**

1. Determine the scope of hazardous materials incidents throughout the SHS.
2. Assist in mobilizing hazardous materials teams at the request of the Incident Commanders.
3. Request assistance from mutual aid systems as needed.
4. Ensure that teams in the field are provided with adequate support.
5. Supervise the Hazardous Materials (HazMat) Unit.

## **Activation Phase:**

- Follow generic Activation Phase Checklist.
- Poll all State DOT hazardous materials personnel to ensure that they have the supplies and equipment ready for rapid response in an emergency environment, including adequate fuel for vehicles, safety equipment for personnel and abatement supplies.

## **Operational Phase:**

- Establish and maintain a position log and other appropriate files.
- Work closely with Operations Section director, supervisors and leaders to determine the scope of HazMat incident response required.
- Coordinate with the State Highway Patrol to determine missions for HazMat teams based on established priorities.
- Establish radio or cellphone communication with all HazMat teams in the field to determine the scope of support required.
- Coordinate with the Branch Director to provide on-site assistance with HazMat operations at the request of unit leaders.
- Coordinate with the SOC to determine medical facilities where victims of HazMat incidents or contaminated HazMat team members can be transported following decontamination.

- Coordinate with the SOC to provide on-site assistance in managing fatalities at HazMat scenes.
- Monitor and track the progress and status of each HazMat team.
- Ensure that HazMat Team Leaders report all significant events.
- Assist in establishing camp facilities (or commercial lodging) for mutual aid HazMat teams through the Logistics, if not addressed at the ICP.
- Inform the Branch Director of all significant events.
- Reinforce the use of proper procedures for media contacts. This is particularly critical in instances where the media is seeking technical information on the hazardous material, statistical information, or personal identities of injured victims or fatalities. All media contacts are to be through the State DOT EOC PIO or field PIO only.

**Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

# Bridge and Levee Surveillance Group Supervisor

**\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\***

## **Responsibilities:**

1. Monitor the condition of bridges and levees, and conduct damage assessment.
2. Monitor the water levels at bridges and levees.

## **Activation Phase:**

- Follow Generic Activation Phase Checklist.
- Check in with the Operations Section Chief and obtain your priorities and specific assignment.
- Access available databases and as-builts for bridges in the expected impact areas.
- If time permits, conduct a baseline survey of all bridges and levees.

## **Operational Phase:**

- Deploy damage assessment teams to all SHS bridges and levees, giving priority to critical access routes for emergency response agencies.
- As soon as possible, and periodically throughout the emergency, give the Operations Section Chief an updated list of all SHS bridges and levees and their conditions. Recommend priorities for repairs to the Operations Section Chief. Upon the Operations Section Chief's direction, begin emergency repairs immediately, or begin destruction of unsafe structures. Coordinate with the Logistics Section for contract services as needed.
- Regularly conduct damage assessments and survey condition and water level of SHS bridges and levees in the disaster area, starting as soon as it is safe and after every aftershock, major storm, or other triggering factor.
- Report water levels and any damage or impending failures to the Operations Section Chief.
- Maintain logs and files associated with your position.

## **Demobilization Phase:**

- Follow generic Demobilization Phase Checklist.

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# Communication Group Supervisor

**\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\***

## **Responsibilities:**

1. Create the master EOC log. Log significant events from the TMC and other State DOT systems.
2. Assist the Operations Chief, Branch Director, Group Supervisors and Unit Leaders with accessing information on the deployment of field forces in support of the disaster. Regularly log Operations Section field deployment information.
3. Assist in the creation and distribution of the Action Plan in coordination with the Planning Section Chief. Provide Situation Status data from the EOC Log.

## **Activation Phase:**

1. Follow generic Activation Phase Checklist.
2. Check in with the Operations Section Chief and obtain priorities and specific assignments, including the need for additional communications support staff.
3. Contact the EOC sections or branches, and advise them of your availability to log their significant events, resource deployments and critical information.

## **Operational Phase:**

1. Assist the Operations Section Chief in preparing for the Action Planning briefings by providing the most recent TMC summaries and critical information from the EOC log.
2. Assist the Planning Section Chief with the development of the Action Plan document, using log data.
3. Provide communications information to other Section Chiefs, Branch Directors, Group Supervisors and Unit Leaders, as needed.
4. Maintain logs and files associated with your position.

## **Demobilization Phase:**

1. Follow generic Demobilization Checklist.
2. Save the log on the desktop and to a CD and/or external drive. Make one hardcopy of the complete log. Give the portable electronic version and the printout to the EOC Coordinator. Forward an electronic version of all documentation to the Planning Section Chief.
3. Ensure that the work area is clean, the computer turned off, and all equipment is returned to its drawer or box.

# Electronic Sign Group

**\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\***

## Responsibilities:

1. Manage the remotely controlled electronic sign system to provide timely information about the SHS to the traveling public.
2. Coordinate messages for the signs with the Operations Section Chief, DOT EOC PIO and Management Section Chief.

## Activation Phase:

- Follow Generic Activation Phase Checklist.
- Check in with the Operations Section Chief and obtain your priorities and specific assignment.
- If time permits, conduct a baseline survey of all bridges and levees.

## Operational Phase:

- Gather damage assessment and road usability information from the Road Repair Unit and Bridge & Levee Surveillance Group. Map out the electronic signs in the disaster areas.
- Obtain road management information from the Operations Section Chief. Determine what types of messages would be most helpful for posting on each available working sign in the disaster area and leading up to it. For example, where motorists should be told to exit roadways, given information about detours or the location of shelters.
- Coordinate wording for each sign with the EOC PIO, and get the Management Section Chief's signature on the messaging plan. Work with the appropriate TMC to post the agreed-upon messages.
- Helps State Highway Patrol and local traffic agencies regulate and provide signage for detours, evacuations and roadblocks.
- Review and revise the messages periodically during the event, especially after significant changes in field conditions.
- Maintain logs and files associated with your position.



**Demobilization Phase:**

- Follow generic Demobilization Phase Checklist.

# **ANNEX C**

## **PLANNING**

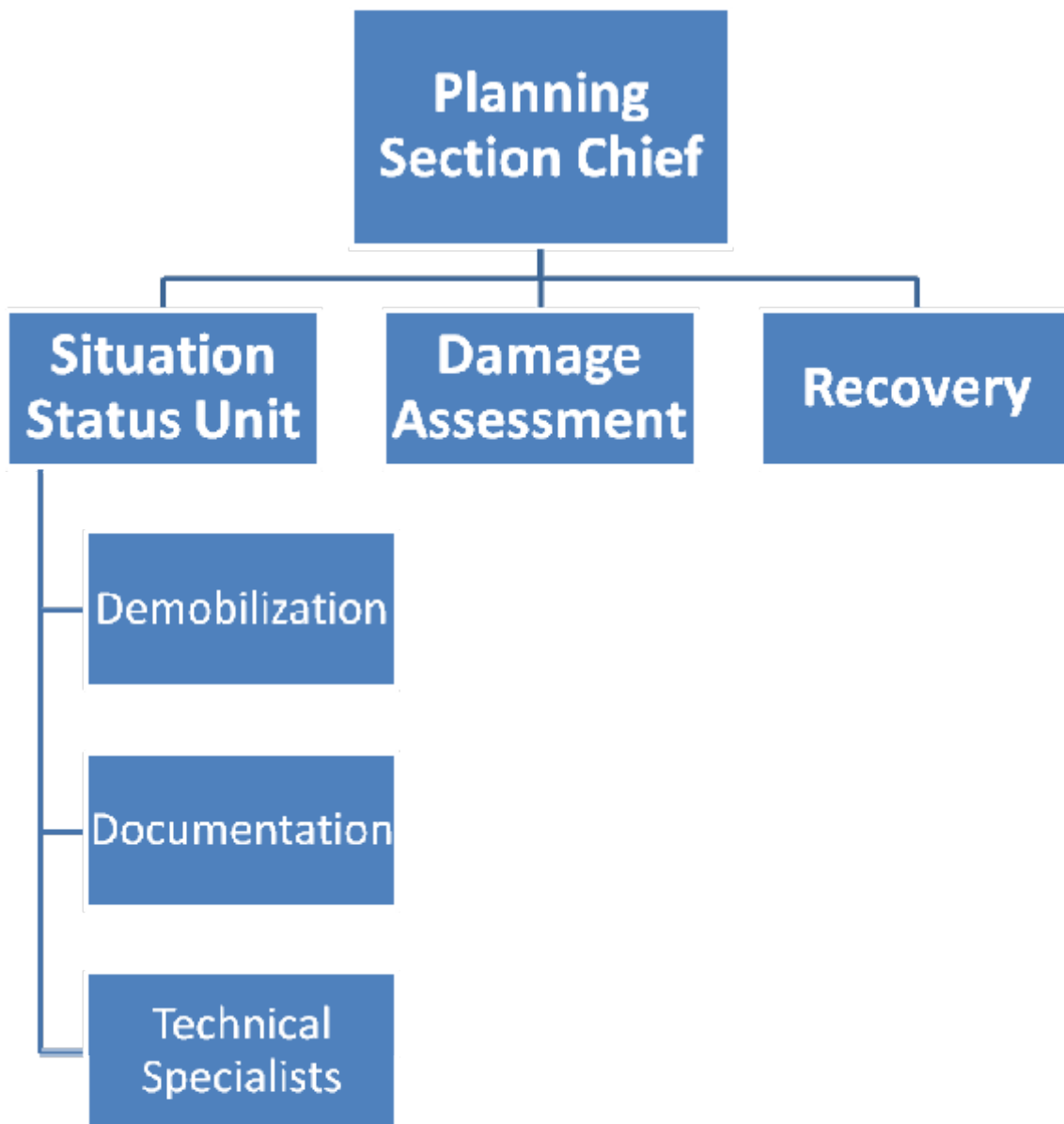
### **DUTIES AND RESPONSIBILITIES**

The role of the Planning Section is to

1. Maintain all situation intelligence that is developed within the EOC in a log and appropriate database formats
2. Collect, evaluate and disseminate information within the EOC.
3. Coordinate the Action Planning Briefings, conduct the Action Planning Briefings, and create the written Action Plan at the direction of the Management Section Chief.
4. Display critical information through status boards, maps and computer displays.
5. Perform data analysis and prepare reports and other documentation for later use in developing required reports, for reimbursement, and for lessons-learned reviews.
6. Identify any future emergency response concerns by obtaining weather information, and other information related to the ability to manage the disaster (such as sunrise/sunset, shortages, and external events, for example).
7. Conduct damage assessment to determine the extent and value of the loss of non-SHS DOT property, such as buildings and maintenance yards.
8. Develop the Recovery Plan for the event, including refuse management and debris removal for the SHS, restoration of damaged SHS facilities, and replacement of destroyed SHS facilities, including mitigation considerations for future events in the replacement designs and siting.

Staff for the Planning Section includes at least the Section Chief and three branch directors: Situation Analysis Branch, Damage Assessment Branch, and Recovery Branch. Additional staff will be requested by the Chief based on the level of activity within the section.

Following is the Planning Section organization chart.



# Generic Checklist

## (For All Positions)

### **Activation Phase:**

- Check in with the Security Officer upon arrival at the State DOT EOC.
- Report to Management Section Chief, Section Chief, Branch Coordinator, or other assigned Superior.
- Set up workstation and review your position responsibilities.
- Establish and maintain a position log, which chronologically describes your actions taken during your shift.
- Determine your resource needs, such as a computer, phone, plan copies, and other reference documents.
- Ensure that situation status/ resource request system (such as Web EOC or similar tool) is operational.

### **Demobilization Phase:**

- Deactivate your assigned position and close out logs when authorized by the Management Section Chief.
- Complete all required forms, reports, and other documentation.
- Coordinate all the required information from all the EOC Sections for the final Action Plan, and submit the finished Action Plan to the Management Section Chief; keep a copy for meetings and audits with FEMA.
- Be prepared to assist with writing the After Action Report.
- If another person is relieving you, ensure he/she is thoroughly briefed before you leave your workstation.
- Clean up your work area before you leave.
- Check out with the Security Officer; leave your intended destination and a phone number where you can be reached.

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# Planning Section Chief

**\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\***

## **Responsibilities:**

1. Ensure that the following responsibilities of the Planning Section are addressed as required:
  - Collecting, analyzing, and displaying situation information
  - Preparing periodic Situation Status Reports for State EMA
  - At the direction of the Management Section Chief, preparing and distributing the written EOC Action Plan at the beginning of each Action Planning Period, and facilitating the Action Planning briefing at the end of each Action Planning Period
  - Conducting Recovery planning activities
  - Providing technical support services to the various EOC sections and branches, and documenting and maintaining files on all EOC activities
2. Establish the appropriate level of organization for the Planning Section.
3. Exercise overall responsibility for the coordination of branch/unit activities within the section.
4. Keep the Management Section Chief informed of significant issues affecting the Planning Section.
5. In coordination with the other Section Chiefs, ensure that Branch Status Reports are completed and used as a basis for Situation Status Reports for State EMA, and for the periodic EOC Action Planning Briefing reports to the Management Section Chief.
6. Supervise the Planning Section.

## **Activation Phase:**

- Report to the EOC as directed.
- Ensure that the Planning Section is set up properly and that appropriate personnel, equipment, and supplies are in place, including maps and status boards.
- Based on the situation, activate branches within the section as needed and designate Branch Directors or Unit Leaders for each element:
  - Situation Analysis Branch
  - Documentation Unit
  - Demobilization Unit
  - Damage Assessment Branch
  - Recovery Branch
  - Technical specialists

- Request additional personnel for the section as necessary to maintain a 24-hour operation.
- Establish contact with the SOC when activated, and coordinate required Situation Status Reports with the state's Planning Section.
- Meet regularly with Operations Section Chief; obtain and review any major incident reports they provide, and evaluate their impact on the EOC Action Plan.
- Review responsibilities of branches within the section; develop plans for carrying out all responsibilities.
- Make a list of key issues to be addressed by Planning; in consultation with section staff, identify objectives to be accomplished during each Operational Period, and report these at each EOC Action Planning Briefing.
- Keep the Management Section Chief informed of significant events.
- Adopt a proactive attitude, thinking ahead and anticipating situations and problems before they occur.

**Operational Phase:**

- Ensure that Planning Section position logs and other necessary files are maintained.
- Ensure that the Situation Status Branch is maintaining current information for the situation status report, including a running log of significant events.
- Ensure that major incident reports and branch status reports are completed by the Operations Section and are accessible by Planning (using electronic tools if available).
- Ensure that a situation status report is produced and distributed to EOC Sections and the SOC prior to the end of each operational period.
- Ensure that all status boards and other displays are kept current and that posted information is neat and legible.
- Ensure that the Management Section Public Information Branch has immediate and unlimited access to all status reports and displays.
- Conduct periodic briefings with section staff and work to reach consensus among staff on section objectives for forthcoming operational periods.
- Facilitate the Management Section Chief's Action Planning briefings approximately one hour before the end of each operational period.

- Ensure that objectives for each section are completed, collected and posted following each Action Planning meeting.
- Ensure that the EOC Action Plan is completed, signed by the Management Section Chief, and distributed prior to the start of the operational period.
- Work closely with each branch/unit within the Planning Section to ensure that the section objectives, as defined in the current EOC Action Plan, are being addressed.
- Ensure that the Damage Assessment of State DOT-owned structures is completed rapidly. In an earthquake, repeat damage assessment after every major aftershock.
- Ensure that the Documentation Unit maintains files on all EOC activities and provides reproduction and archiving services for the EOC.
- Ensure that the Recovery Planning Branch is able to make a recovery plan based on adequate information from the field.
- Provide technical specialists, such as materials engineers or hydrologists, to other EOC sections as required.
- Ensure that fiscal and administrative requirements are coordinated through the Finance/Administration Section.

**Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.



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## **SITUATION STATUS BRANCH**

Collection and analysis of information and data related to a disaster or emergency are crucial to the successful management of response and recovery operations. This Annex outlines the concept of operations, and policies and procedures that the State DOT's emergency management organization will use to achieve this goal. This Annex also contains the Situation Reporting Form, and an emergency action checklist to be used by the Situation Status section in the EOC, as well as position checklists for the branch directors.

### **CONCEPTS OF OPERATIONS**

As soon as possible following an incident, field units of the State DOT will conduct a reconnaissance of affected areas to determine the extent and type of damage experienced throughout the SHS, such as impacts on infrastructure, and any other observations that can be made during disaster response field work. They will report this information to their respective branches or Section Chiefs at the EOC, who will ensure that it is shared with the Planning Section in a timely fashion. This information will be collected by the Situation Status Branch in the Planning Section, to become the basis for the opening briefing at each Action Planning Briefing, and incorporated into the required reports that are sent to the SOC and the DOT Director via Internet or fax. It is crucial that this information be timely and accurate.

The Situation Status Branch will maintain visual displays of disaster-related information for use by other EOC Sections in managing their work. Such displays may include posted paper, whiteboards or computer displays. Information may also be shared via e-mail if networked or wireless laptop computers are available.

As soon as practical, the Situation Status staff will obtain information on the disaster from external sources, including the National Weather Service, US Geological Survey, State Department of Water Resources, and any other sources appropriate to the specific disaster. They will add this information to their documentation for the Action Planning Briefing, and for use in the reports to the SOC. As soon as practical, the Situation Status staff will create a map of the disaster impacts on the SHS. The map will evolve with the event during the Action Period, and be prepared as an asset for the next Action Planning Briefing. The map presented at each Action Planning Briefing will be marked for ending time and date, and preserved as an asset of that briefing. The evolution of the map will then continue forward from that point until each successive Action Planning Briefing, at which time the map will once again be marked with time and date. In addition, Situation Status staff will post one copy of the last Action Planning Briefing map within the EOC's Operations Section work space for reference by all EOC Sections as they fulfill their goals for the Incident Action Period. Where possible, the map should be made using GIS to incorporate critical features: road grid, waterways, special facilities (high occupancy, special populations, public safety) and other critical features already available through existing GIS databases. The posted map may be paper, or an electronic map sent to each computer in the EOC when computers are available.

The collected disaster information is the basis on which requests for disaster relief funding and mutual aid will be initiated; and on which requests for gubernatorial and presidential emergency and disaster declarations will be made.

## **POLICIES AND PROCEDURES**

### **Intelligence Gathering**

Within the context of this plan, intelligence can be grouped in three categories, as follows:

1. Information needed to determine the nature and extent of operational problems, any populations at risk on the SHS, and the immediate access needs of disaster responders. During the early phases of an emergency, first priority is accorded to the collection and collation of this category of disaster intelligence.
2. Damage assessment information expressed in dollar amounts. Initial reports must be rapid, so approximation is all that is needed; accuracy will be developed later. This category of disaster intelligence information will be initially developed by the Damage Assessment Unit, and should lead to projections relative to short and long-term financial and economic impacts.
3. Information relative to both short and long-term recovery operations.

The State Disaster Assistance Manual provides specific, detailed guidance relative to damage assessment and documentation. This manual is available from the State EMA. Detailed information and forms are part of the state's electronic data system guidance. The Situation Analysis Branch staff, who are responsible for collating damage assessment information received from field units, should be familiar with these systems, and ensure that appropriate hard copy documents are always available for any EOC activation.

**STATE EMERGENCY MANAGEMENT AGENCY  
SITUATION REPORT  
(Example of typical document)**

**FROM: State DOT EOC**

**State EMA Region: *As designated***

**Event Name:**

- 2. Report as of:.....**
- 3. Date/Time of Event: ...**
- 4. Event Location:.....**
- 5. Event Type:.....**
- 6. Areas Affected: .....**
- 7. Current Situation: .....**

<b>8. Current Situation Detail</b>	<i>Status</i>	<i>Details, Locations, Comments, etc.</i>
<b>a. Significant Damage:</b>		
<b>b. Deaths:</b>		
<b>c. Injuries:</b>		
<b>d. Damaged Buildings</b>		
<b>e. Utility Problems</b>		
<b>f. Common Problems</b>		
<b>g. Road Problems</b>		
<b>h. Evacuations</b>		
<b>i. Critical issues</b>		
<b>j. Other Problems</b>		

- 9. Major Incidents:.....**
- 10. Response/Recovery priorities: .**
- 11. Date/Time of next Report:.....**
- 12. Proclamations/Declarations:....**
  - a. State Agency:.....**
  - b. Gubernatorial Requested:**
  - c. Director's Concurrence:...**
  - d. Gubernatorial Received: ..**
  - e. Presidential Requested:....**
  - f. Presidential Received: .....**

13. Response	Status	Details, Locations, Comments
a. E.O.C.(s) Activated:		
b. Care & Shelter:		
c. Construction & Engineering:		
d. Hazardous Materials:		
e. Fire & Rescue:		
f. Law Enforcement:		
g. Medical / Health:		
h. Movement:		
i. Utilities:		
j. Disaster assistance programs/facilities:		
k. Mutual aid received in <u>last</u> 24 hours?		
l. Mutual aid received in <u>next</u> 24 hours?		

14. Other Critical Information or General Comments:

15. Response actions taken and resources committed by function:

16. a. Report Prepared by:  
b. Phone:  
Email, if available:  
Other:

# Situation Status Branch Director

**\*\*\*\*Read This Entire Position Checklist Before Taking Action\*\*\*\***

## **Responsibilities:**

Upon arrival at the EOC, follow the Generic checklist, then check in with the EOC Coordinator.  
Request:

- Seating assignment
- Shift assignment
- EOC orientation
- Incident/situation briefing

Initiate/maintain a position log. Pass this log on to your relief with instructions to maintain it.

## **Activation Phase:**

- Follow the generic Activation Phase Checklist.

## **Operational Phase:**

Set up status boards and maps.

Issue Situation Report Forms to all EOC sections. Instruct Section Chiefs to periodically poll field units, complete the Situation Report Forms, and return them to the Situation Status Branch in the EOC.

Prepare and submit to SOC Situation Report Forms as follows:

- Initial report within 4 hours.
- Subsequent reports to be submitted as conditions warrant; i.e., any significant changes should be reported, or at the beginning of each new Action Period.

Post the raw data contained in the Situation Report forms to status boards and maps.

Based upon data, prepare summaries and recommendations for the next Action Planning Briefing.  
Key considerations are:

- Nature and scope of the emergency

- Response capability on SHS
- Threat to life and property
- Damage assessment data, expressed in dollar amounts

In the event of an EARTHQUAKE, collect the following information from the Damage Assessment Unit and Operations Section and post:

- Location of SHS facilities that are collapsed or destroyed, severely damaged, or repairable.
- Sites of major community damage requiring SHS access for emergency responders.
- Periodic damage assessment figures, expressed in dollar amounts, from SOC.

In the event of a FLOOD or DAM FAILURE, collect the following information from the Damage Assessment Unit and Operations Section and post:

- Boundaries of the inundation area(s).
- Anticipated duration of the inundation period.
- Status of SHS facilities that are within the inundation area.

In the event of a HAZARDOUS MATERIAL or RADIOLOGICAL INCIDENT, collect the following information from the Damage Assessment Unit and Operations Section and post:

- Identity of substance(s) involved.
- Quantity of substance(s) involved.
- Extent of the release, and plume direction.
- Relative threat to life and property.
- Boundaries of evacuation area(s).
- Wind speed and direction, as well as weather predictions.
- SHS facilities and infrastructure within the affected area.

# Documentation Unit Leader

**\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\***

## **Responsibilities:**

1. Collect, organize and file all completed event or disaster related forms, including all EOC position logs, situation status reports, EOC Action Plans and other related information, just prior to the end of each operational period.
2. Provide document reproduction services to EOC staff.
3. Distribute the State DOT EOC situation status reports, EOC Action Plan, and other documents, as required.
4. Maintain a permanent electronic archive of all situation reports and Action Plans associated with the event or disaster.
5. Assist the EOC Coordinator in the preparation and distribution of the After Action Report.
6. Supervise the Documentation Unit.

## **Activation Phase:**

- Follow the generic Activation Phase Checklist.

## **Operational Phase:**

- Maintain a position Log.
- Meet with the Planning Section Chief to determine what EOC materials should be maintained as official records.
- Meet with the Recovery Branch Director to determine what EOC materials and documents are necessary to provide accurate records and documentation for recovery purposes.
- Initiate and maintain a roster of all activated EOC positions to ensure that position logs are accounted for and submitted to the Documentation Unit at the end of each shift.
- Reproduce and distribute the Situation Status Reports and Action Plans. Ensure distribution is made to the SOC via electronic system or fax.
- Keep extra copies of reports and plans available for special distribution as required.
- Set up and maintain document reproduction services for the EOC.

## **Demobilization Phase:**

Follow Generic Demobilization Checklist.



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# **DAMAGE ASSESSMENT UNIT**

Collection and analysis of damage assessment information is crucial to the successful management of response and recovery operations.

## **CONCEPTS OF OPERATIONS**

Immediate windshield surveys of damage will be conducted by State DOT field forces already in the area. Assigned field staff will conduct a reconnaissance of affected areas to determine the extent of damage, and will report this information to the Damage Assessment Unit of the Planning Section. This overview of damaged areas will become the basis for the development of a field inspection program. It is crucial that this information be timely, accurate, and where practicable, includes specific damage assessment figures in dollar amounts.

## **POLICIES AND PROCEDURES**

### **Damage Assessment**

Damage assessment teams will be composed of qualified individuals such as Maintenance and Engineering staff. There are two potential streams of funding to reimburse DOT for repairs to damaged facilities.

1. Federal High Way Administration (FHWA) funds for on system road damage. This funding is generally limited to repair of the roads themselves and their attendant bridges and tunnels. Accessory uses like culverts and activities like excavations may be disallowed.
2. Federal Emergency Management Agency Public Assistance funds. This funding may provide for emergency work like debris removal and emergency repairs, and for permanent repair and replacement of non-system property owned by State DOT. Application for the FEMA Public Assistance funding is coordinated through State EMA. All work for which FEMA funding will be sought should be reviewed with State EMA first to ensure that the procedures are followed to allow for reimbursement. Different types of projects have different bidding requirements, for example.

The Damage Assessment Team will follow their SOP to provide a complete survey of the State DOT property within the damaged areas in a timely fashion. They will use Applied Technology Council Report-20 (ATC-20) formats for damage assessment, and post any damaged State DOT buildings using color-coded tri-lingual signs. They will provide a complete survey of the State DOT

facilities and infrastructure within the damaged areas of the state. If the number of available Maintenance and Engineering staff members is inadequate to inspect the State DOT facilities within a reasonable period of time, Building Officials' Mutual Aid or mutual aid from State SEA may be requested from the SOC.

Dollar value estimates for the damaged buildings will be developed within the Planning Section. This will be a cooperative effort among State DOT divisions with knowledge of building and facility values, such as Engineering, Facilities, Maintenance, and Risk Management.

All damage assessment reports will be provided to the Planning Section Damage Assessment Unit Leader in a timely fashion. The Damage Assessment Unit will aggregate the information and create the damage estimate information needed to complete the required forms. This information will be recorded on the required forms by the assigned Planning Section personnel, and sent to the SOC.

# Damage Assessment Unit Leader

**\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\***

## **Responsibilities:**

1. Collect initial damage assessment information from the field through Maintenance staff.
2. Coordinate with the Operations Section to obtain damage information for SHS on system infrastructure.
3. Develop detailed damage assessment information, with associated damage cost/value estimates, for SHS property.
4. Maintain detailed records on damaged areas and structures.
5. Coordinate with the Planning Section Chief to request State SEA Mutual Aid if required to inspect structures and/or facilities.
6. Supervise the Damage Assessment Branch.

## **Activation Phase:**

- Follow generic Activation Phase Checklist.

## **Operational Phase:**

- Establish and maintain a position log and other necessary files.
- Deploy trained State DOT personnel to the field according to their plan to complete the inspection of State DOT facilities, using ATC-20 as a basis, and tri-lingual signs indicating safety levels (red, yellow, green) for buildings.
- Obtain initial damage assessment information from Maintenance field staff, and keep the Section Chief informed.
- Prepare detailed damage assessment information, including estimate of value of the losses, and provide to the Planning Section Chief.
- Clearly label on a SHS map each structure and/or facility inspected in accordance with ATC-20 standards and guidelines.
- Maintain a list of structures and facilities requiring immediate inspection or engineering assessment.
- If mutual aid is needed, initiate all requests for engineers through the SOC.
- Refer all contacts with the media to the Public Information Branch.

## **Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

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## **RECOVERY PLANNING BRANCH**

Recovery actions must be planned for early in a disaster, often while the disaster is still unfolding, and implemented as soon as life safety issues are resolved. The development of a recovery plan is a critical part of the disaster response period, enabling property damage to be minimized, economic damage limited, and restoration of SHS services to be rapid.

### **CONCEPT OF OPERATIONS**

The Recovery Planning Branch consists of a Branch Director and associated Unit Leaders when appropriate. If activated, units may include, for example, Refuse Removal, Vector and Animal Control, and Streets and Drains. The Recovery Branch reviews the damage assessment information and situation intelligence, and develops a plan to assist with all aspects of temporary and long term service restoration on State DOT property.

### **POLICIES AND PROCESURES**

#### **Refuse Removal**

Disasters frequently generate large amounts of damaged goods, building contents and building materials. Disaster-related traffic accidents may result in damaged goods being dumped on the roadway. Floods and earthquakes may also destroy infrastructure, requiring the removal of concrete, steel and other large building materials. Barges, boats and other large items may be deposited within the SHS rights-of-way by shaking, flooding or explosion, for example. This material must be removed from the SHS quickly to facilitate physical and service restoration. Some material will be removed as excess refuse. Other material is hazardous and requires special handling. Still other items can be recycled if properly separated. The Refuse Unit will oversee the development of appropriate plans for the non-emergency removal of disaster related debris. In addition, they will work with regional and state agencies to facilitate recycling wherever possible.

#### **Vector and Animal Control**

Disasters may displace domestic economic herds and wild animal populations from their natural habitats and drive them into SHS areas. These animals can become traffic hazards for emergency responders as roadways are restored for emergency response. SHS includes rights-of-way that are the normal habitat for a variety of wild animals, and that are adjacent to grazing lands. Vermin, vectors and aggressive wild animals may seek shelter in SHS landscaping, or in disaster-related ponding or mud. Domestic animals and pets may become separated from their owners during disasters. They may run away or hide during disaster evacuations and be left behind within the SHS rights-of-way. The Vector and Animal Control Unit will coordinate with County Vector Control to abate vector-related health hazards; and coordinate with community Animal Services to ensure that the rescue services are aware of the location of domestic animals found on SHS property; and work with them to control traffic to facilitate their timely removal.

## **Streets and Drains**

Public infrastructure is frequently damaged during a disaster. This unit will coordinate with the Operations Section Roadway Debris Removal Team to ensure that roads are cleaned to allow delivery of recovery services, such as refuse removal and emergency response capabilities. Streetlights and underground structures are also frequent victims of disaster damage. These need to be repaired to facilitate the flow of traffic within the SHS. Storm drains, sanitary sewers, water lines and conduits may have been damaged and require repair. These infrastructure elements are often within the SHS rights-of-way, or may cross the SHS rights-of-way. The Streets and Drains Unit will coordinate non-SHS infrastructure repair work with the Operations Section branches, groups and units to ensure that infrastructure repair poses no threat to the emergency response use of the SHS. This work will have to be coordinated with the private sector and local utilities, who are the owners of most affected infrastructure; and with communities whose streets cross SHS roads.

## **Financial Recovery**

The Recovery Planning Branch will carefully coordinate all information needed to obtain reimbursement of recovery-related costs from higher levels of government, insurance carriers or responsible parties. They will provide the information to the Finance/Administration Section in a timely manner, and assist with the development of files and documentation to support the State DOT's cost recovery efforts. The Recovery Branch will also work with other EOC sections to ensure that field forces develop appropriate documentation of their work to support reimbursement (for example, videotape of repair and restoration work, photos, safekeeping of drawings, and similar activities).

# Recovery Planning Branch Director

**\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\***

## Responsibilities:

1. Collect and maintain documentation of all disaster information to facilitate the design of recovery work.
2. Coordinate all SHS facility recovery with other entities sharing intersections and rights-of-way, including private sector, public utilities and local government agencies and contractors, with the goal of minimizing disruption to the SHS.
3. Supervise the Recovery Planning Branch and all recovery operations.

## Activation Phase:

- Report to the EOC when directed and follow the Generic checklist.

## Operational Phase:

- Establish and maintain position log and other necessary files.
- Coordinate with the EOC Director to determine the disaster declaration level and the likely assistance that will flow from it (e.g., SBA only, Public Assistance and Individual Assistance if Presidential Disaster Declaration)
- Coordinate with the Damage Assessment Branch to determine the estimated length of time SHS will be unusable.
- When appropriate establish the Refuse Removal Unit for management of non-emergency disaster-related debris left behind on SHS
  - Coordinate with Logistics Chief to contract for roll out boxes for light-weight materials
  - Coordinate with Logistics Chief to contract for licensed hazardous waste disposal when required
  - Coordinate with Logistics Chief to contract for recycling of construction debris (bricks, concrete, cinder block, asphalt)
  - Coordinate with SOC for removal of large items like barges, boats, oil tanks
  - Coordinate with SOC for removal of coffins and dead bodies
- When appropriate, establish Streets and Drains Unit
  - Coordinate with Construction and Engineering and Logistics to obtain street sweeping services to remove mud from the SHS road surfaces in previously flooded areas
  - Coordinate with Operations Section to ensure that street infrastructure is restored rapidly to facilitate debris removal and reconstruction



- Coordinate with Operations Section to ensure that storm drains, sanitary sewers, and sewer lift stations that are within the SHS rights-of-way, or are directly impacting the SHS facilities, are inspected for proper functioning immediately after the disaster abates, and if needed the owners will be contacted by the Roadway Repair Group to ensure that repairs are conducted rapidly to minimize impact on the functionality of SHS facilities.
- When appropriate, establish Vector and Animal Control Unit to ensure the removal of animals and vectors from SHS rights-of-way.
  - Contact county vector control to abate health hazards and remove vectors that exist on the SHS as a result of the disaster. This may include treatment for insect infestation, draining of standing water that encourages the development of disease-bearing mosquito populations, and the removal of wild animals known to carry zoonotic diseases, such as plague and rabies.
  - Contact animal rescue organizations to remove pets from the SHS rights-of-way
  - Contact the county agricultural agent to facilitate the return of economic animals to their owners
- Prepare all required state and federal documentation as necessary to recover all allowable disaster recovery costs.
- Organize and prepare Branch records for Planning Section Chief.
- Assist the EOC Coordinator and Planning Section Chief with preparation of the After Action Report.

**Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

# RECOVERY PLANNING BRANCH SOP

## DEFINITIONS

1. **Recovery Planning** is the projection of current situation intelligence into post-disaster actions, activities, and organizational changes.
2. **Immediate Recovery** includes actions required to mitigate the effects of the disaster on the State DOT's property, and restore SHS to an acceptable level.
3. **Long-term Recovery** includes actions required to restore the SHS to pre-disaster status, including the recovery of funds spent for disaster response.

## OBJECTIVES

1. The objective of **Recovery Planning** is to anticipate the immediate needs of the SHS for actions and activities to mitigate the effects of the disaster, and to organize the appropriate responses so that they may be implemented at the earliest possible time during or after the disaster. The Recovery Planning Branch will analyze disaster/situation intelligence as it is being collected with an eye to post-disaster actions to contain and remedy damage as quickly as possible. Actions would include consideration of synergistic relationships among disaster events (e.g. the earthquake, hazardous materials events, and air and water quality protection issues; or dam failure, flooding and water and sewer system usability). While Situation Status Branch members focus on the response, the Recovery Planning Branch members will look beyond the disaster event to its broader implications for the SHS, and develop action steps to normalize activities and restore the SHS and the delivery of transportation services.
2. The objective of **Immediate Recovery** is to restore essential public services and infrastructure to a functional level, thereby mitigating the effects of the disaster on the SHS. Coordination among public agencies, special districts, utilities and private contractors is an essential element of Immediate Recovery planning. Close coordination with the private sector and utility companies that share the SHS rights-of-way and intersections, and local transportation departments whose roads cross SHS, is essential for rapid restoration of services required to support emergency response. Immediate recovery plans may be implemented while disaster response is continuing, at the discretion of the Management Section Chief. For example, passable roads should be cleared for emergency traffic as quickly as possible, including the removal of large debris.

Establishment of a streamlined system for inspection leading to re-occupancy of State DOT's buildings is essential. Advice should be provided to the Logistics Branch regarding the needs for streamlined procurement and contracting processes for priority SHS restoration activities.

3. The objective of **Long-term Recovery** is to restore the SHS to its pre-disaster condition with as little disruption to the traveling public as possible, and with maximum cost-recovery

to the State DOT. Activities include coordinating with agencies regarding reconstruction of infrastructure, sequencing of repairs, economic impact mitigation actions (e.g., business recovery), and coordination with state and federal aid programs.

## **ORGANIZATION**

1. The primary responsibility for gathering the information at all phases of the Recovery planning process lies with the Recovery Planning Branch of the Planning Section. The Recovery Planning Branch must compile their status reports, in cooperation with utilities and surrounding jurisdictions in the affected areas. Recovery reporting responsibilities will go to the Recovery Branch once the State DOT EOC has closed, but restoration and repairs continue. At the discretion of the DOT Director, all communication with the SOC may go through his office, but direct contact with the SOC is generally more efficient.

Recovery Planning Branch status report items should be forwarded to the SOC Planning Section if they fall into one of the following categories:

- a. Exceed the ability of the State DOT to accomplish
  - b. Impact neighboring jurisdictions' transportation and infrastructure systems
    - 1) May result in coordination directly with the local EOC;
    - 2) May require coordination with the private sector.
  - c. Requires state or federal intervention/assistance.
2. It is the responsibility of the Recovery Planning Branch to provide updated information to the SOC Planning Section in a timely manner regarding all issues that have been referred through the State DOT's representative at the SOC.
  3. It is the responsibility of the Recovery Planning Branch to notify the SOC when an incident is closed, when the disaster has been terminated, when the EOC Recovery Planning Branch has closed, or when any other action that impacts previous service/assistance requests has occurred.

## **TASK LISTS**

### **Immediate Recovery:**

1. Organize SHS facility debris removal
  - a. Coordinate regulatory agency permitting
  - b. Contract with hauler
  - c. Coordinate with the HazMat Unit for guidance on handling HazMat and Haz Waste on the SHS

2. Coordinate with Operations Section and Damage Assessment Unit for damage assessment information
3. Activate the streamlined procurement system for emergency response and recovery activities
  - a. Emergency contract awards
  - b. Emergency purchasing through open p.o., standing contracts, sole source vendors

**Long-Term Recovery:**

1. Participate in priority setting for clean-up and infrastructure reconstruction for facilities that impact the SHS recovery
  - a. City and county roads that intersect with SHS
  - b. Bridges - government, railroad
  - c. Regional transportation grid evaluation
    - 1) Railroad
    - 2) Airport
    - 3) Pipelines
    - 4) Ports
2. Develop a financial recovery plan for the State DOT
  - a. Evaluate disaster-related economic impact
    - 1) Create program to assure maximum possible FHWA assistance
    - 2) Create program to assure maximum possible disaster cost-recovery through FEMA for State DOT non-FHWA projects
    - 3) Assess business interruption losses (such as tolls, fare box, user fees) and potential coverage
    - 4) Assess business losses to ancillary businesses: such as cafeterias at State DOT facilities.

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## **ANNEX D**

### **LOGISTICS SECTION**

#### **DUTIES AND RESPONSIBILITIES**

The role of the Logistics Section is to

1. Procure supplies, equipment and services needed for the State DOT's emergency response and service provision, including technology support in the State DOT Emergency Operations Center.
2. Ensure that adequate and appropriate personnel are available to staff all needed positions in the State DOT emergency response and support functions, whether through existing employees or contracts.
3. Ensure that adequate SHS assets are available to meet the needs of the State DOT's emergency response.

Branches that may be activated are:

#### **Facilities**

Ensures that facilities needed to support the emergency response are available and functional.

#### **Information Technology**

Oversees the provision, maintenance, purchasing, leasing, renting, or assignment of communications equipment including radios, telephone, cellphones, and computer equipment; ensures that all telecommunication and computer-based capabilities needed for the State DOT EOC are functional.

#### **Human Resources**

Provides staffing for emergency response; develops a call back plan for the staffing needed for 24 hour EOC coverage, and staffing for emergency response and support functions; processes Workers' Compensation claims for State DOT employees and registered volunteers (such as RACES operators), and passes them to the Finance/Administration Risk Management, Compensation and Claims Unit; passes registered Disaster Service Worker-Workers' Compensation claims on to State EMA for processing.

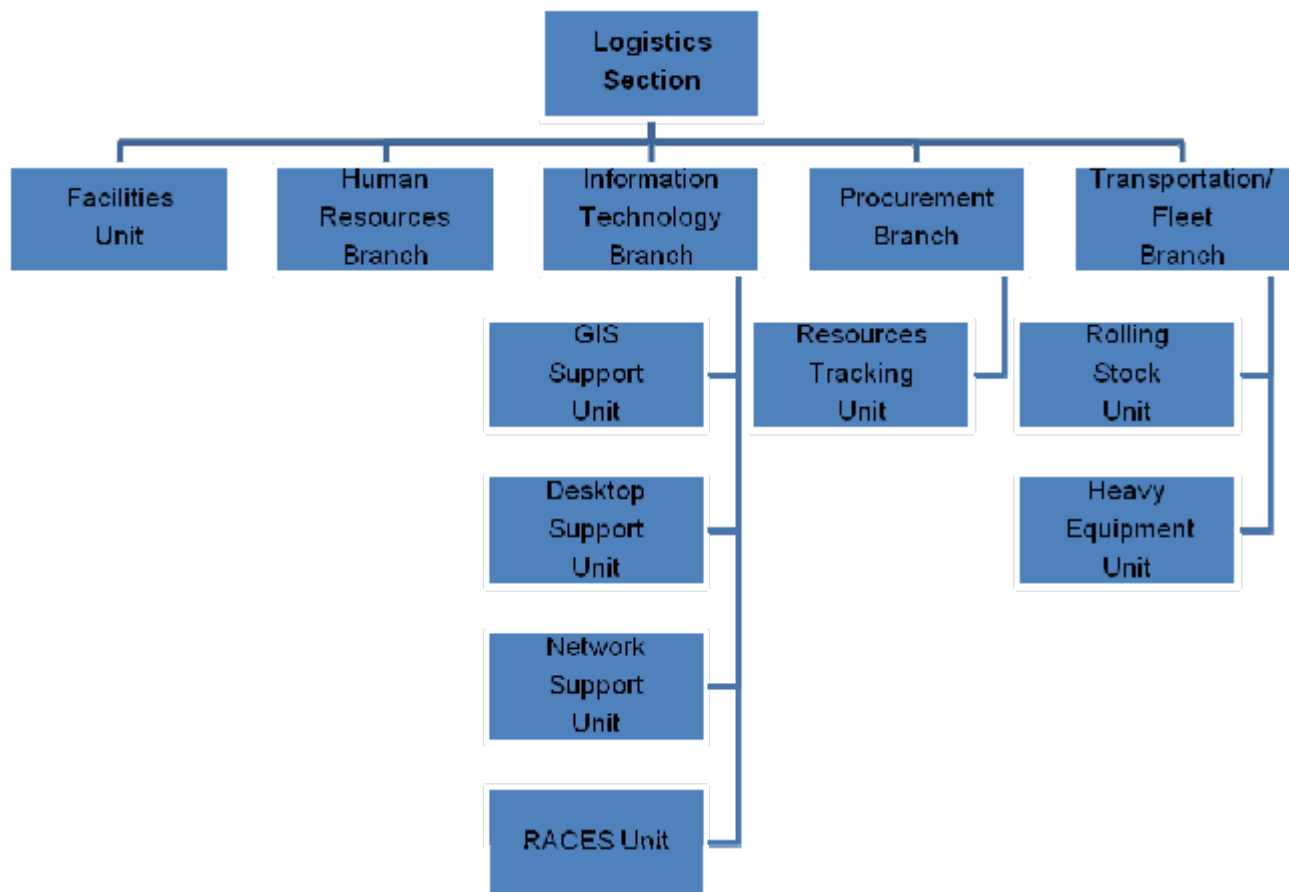
#### **Procurement/Resource Tracking**

Ensures the full functioning of the State DOT's Emergency Operations Center by maintaining needed supplies, including janitorial services, feeding services and materials, as needed; ensures that all supplies and equipment needed to support both field forces and the EOC are obtained in an expeditious, cost-conscious manner and in keeping with state and federal reimbursement standards; maintains overall control of all assets acquired for disaster response and recovery.

## Transportation/Fleet

Coordinates the use of State DOT fleet and other vehicle assets; obtains and coordinates the use of transportation resources; schedules commercial transportation as needed for movement of State DOT emergency personnel and shipments of resources required for response and recovery by State DOT; supports other state agencies as tasked by the SOC.

The Logistics Section organization chart follows.



# Generic Checklist

## (For All Positions)

### Activation Phase:

- Check in with the Security Officer upon arrival at the State DOT EOC.
- Report to Management Section Chief, Section Chief, Branch Coordinator, or other assigned Superior.
- Set up workstation and review your position responsibilities.
- Establish and maintain a position log, which chronologically describes your actions taken during your shift.
- Determine your resource needs, such as a computer, phone, plan copies, and other reference documents.
- Ensure that the electronic information management system (Web EOC or other) is operational.

### Demobilization Phase:

- Deactivate your assigned position and close out logs when authorized by the Management Section Chief.
- Complete all required forms, reports, and other documentation. All forms should be submitted through your supervisor to the Planning Section prior to your departure.
- Be prepared to provide input to the After Action Report.
- If another person is relieving you, ensure he/she is thoroughly briefed before you leave your workstation.
- Clean up your work area before you leave.
- Check out with the Security Officer. Leave a destination and phone number where you can be reached.



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# Logistics Section Chief

**\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\***

## **Responsibilities:**

1. Ensure the Logistics function is carried out in support of the State EOC. This function includes providing communication services, resource tracking; acquiring equipment, supplies, personnel, facilities, and transportation services; as well as arranging for food, lodging, managing the personnel insurance program registrations, and other support services as required.
2. Establish the appropriate level of branch and/or unit staffing within the Logistics Section, continuously monitoring the effectiveness of the organization and modifying as required.
3. Ensure section objectives as stated in the EOC Action Plan are accomplished within the operational period or within the estimated time frame.
4. Coordinate closely with the Operations Section Chief to establish priorities for resource allocation to activated Incident Commands within the State DOT.
5. Support the COOP/COG Branch needs, if activated.
6. Keep the Management Section Chief informed of all significant issues relating to the Logistics Section.
7. Ensure that State DOT emergency response workers have a message relay capability for contacting their families during emergency response.
8. Coordinate with the Check-in/Check-Out function to ensure that all EOC personnel are accounted for at all times while on duty.
9. Supervise the Logistics Section.

## **Activation Phase:**

- Report to the EOC when directed, and follow the Generic Checklist.
- Ensure the Logistics Section is set up properly, including Check-In, and that appropriate personnel, equipment, and supplies are in place, including maps, status boards, vendor contract numbers and contact information, and other resource directories.

- Based on the situation, activate branches/units within section as needed and designate Branch Directors and Unit Leaders for each element:
  - Facilities
  - Human Resources
  - Information Technology
  - Procurement
  - Transportation/Fleet Branch
- Mobilize sufficient section staffing for 24-hour operations.
- Establish communications with the Logistics Section at the SOC if activated.
- Advise Branches and Units within the section to coordinate with appropriate branches in the Operations Section to prioritize and validate resource requests from Incident Command Posts in the field. This should be done prior to acting on the request.
- Meet with the Management Section Chief and General Staff between Action Planning Briefings to identify immediate resource needs.
- Follow state law regarding purchasing authority during emergency response, both before and after disaster declaration. Be sure that all section members are aware of which phase they are working in, and that they are following the requirements.
- Review FHWA and FEMA rules for contracting during disasters before and after a federal declaration. Follow the rules for the appropriate phase.
- Assist Logistics Section branch and unit leaders in developing objectives for the section as well as plans to accomplish their objectives to prepare for the first operational period, or in accordance with the Action Plan.
- Provide periodic Section Status Reports to the Management Section Chief.
- Adopt a proactive attitude, thinking ahead and anticipating situations and problems before they occur.

### **Operational Phase:**

- Ensure that Logistics Section position logs and other necessary files are maintained.
- Meet regularly with section staff and work to reach consensus on section objectives for forthcoming operational periods.
- Coordinate with all section members and prepare the written sheet of the Logistics Section questions, overviews, requests, and direction and objectives at least 30 minutes prior to each Action Planning meeting.

- Attend and participate in EOC Action Planning Briefings.
- Ensure that all branches of the Logistics Section coordinate closely with the Finance/Administration Section prior to spending money or making financial commitments, and that all required documents and procedures are completed and followed.
- Ensure that transportation requirements, in support of response operations, are met through the Transportation/Fleet Branch.
- Ensure that all requests for facilities and facility support are addressed.
- Ensure that all State DOT resources are tracked and accounted for, as well as resources ordered through Mutual Aid.
- Provide section staff with information updates as required.

**Demobilization Phase:**

Follow the generic Demobilization Phase Checklist.

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# Facilities Unit Leader

**\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\***

## **Responsibilities:**

1. Ensure that adequate essential facilities are provided for the response effort, including securing access to the facilities in a manner adequate to accomplish the mission.
2. Ensure that acquired buildings, building floors, and/or workspaces are returned to their original operational state when no longer needed.
3. Supervise the Facilities Unit.

## **Activation Phase:**

- Follow generic Activation Phase Checklist.

## **Operational Phase:**

- Establish and maintain a position log and other necessary files.
- Work closely with the EOC Coordinator and other sections in determining facilities and furnishings required for effective operation of the EOC, and the COOP/COG Branch, if activated.
- Coordinate with Branches and Units in the Operations Section to determine if assistance with facility acquisition and support is needed at the field level, and provide that assistance.
- Arrange for continuous maintenance of acquired facilities, and ensure that utilities and restrooms are operating properly.
- If facilities are acquired away from the EOC, coordinate with assigned personnel and designate a Facility Manager.
- Develop and maintain a status board or other reference that depicts the location of each facility, a general description of furnishings, supplies, and equipment at the site, hours of operation, and the name and phone number of the Facility Manager.
- Ensure all structures are safe for occupancy and that they comply with ADA requirements.
- As facilities are vacated, coordinate with the facility manager to return the location to its original operational state. This includes removing and returning furnishings and equipment, arranging for janitorial services, and locking or otherwise securing the facility.

**Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

# Human Resources Branch Director

**\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\***

## **Responsibilities:**

1. Provide personnel resources as requested in support of the EOC and Field Operations, and COOP/COG Branch if activated.
2. Identify, recruit, and register volunteers, such as additional RACES staff, as required.
3. Develop an EOC organization chart.
4. Supervise the Human Resources Branch.
5. Ensure that Workers' Compensation claims and Disaster Service Worker claims resulting from the response are processed within a reasonable time and passed to the Risk Management, Compensation and Claims Unit.
6. Ensure that workers have a message relay capability for contacting their families during the disaster.
7. Coordinate with the Security Officer to monitor staff compliance with the Check-in/ Check-Out function.

## **Action Phase:**

- Follow the generic Activation Phase Checklist.

## **Operational Phase:**

- Coordinate with the Security Officer to monitor staff compliance with the Check-in/ Check-Out function to ensure that all EOC personnel (and COOP/COG personnel, if activated) are accounted for at all times while on duty.
- Establish and maintain personnel logs and other necessary files.
- In conjunction with the Planning Section Documentation Unit, develop a large poster-size EOC organization chart depicting each activated position. As people check in, indicate the name of the person occupying each position on the chart. The chart should be posted in a conspicuous place, accessible to all EOC personnel. Assist the COOP/COG Branch Director to create the same chart for the COOP/COG Branch, if activated.
- Coordinate with the Liaison Officer and Safety Officer to ensure that all EOC staff members, including volunteers, and COOP/COG Branch members if activated, receive a current situation and safety briefing upon Check-in.



- Establish communications with other state organizations that can provide personnel resources.
- Process all incoming requests for personnel support. Identify the number of personnel, special qualifications or training, where they are needed and the person or unit they should report to upon arrival. Determine the estimated time of arrival of responding personnel, and advise the requesting parties accordingly.
- Maintain a status board or other reference to keep track of requested personnel resources.
- Coordinate with the Management Section Liaison Officer and Security Officer to ensure access, badging or identification, and proper direction for responding personnel upon arrival at the EOC or alternate continuity facility for the COOP/COG Branch.
- To minimize redundancy, coordinate all requests for personnel resources from the field level through the EOC Operations Section prior to acting on the request.
- In coordination with the Management Section Safety Officer and the Operations Section, determine the need for crisis counseling for emergency workers, and acquire mental health specialists, as needed.
- Arrange for childcare services for EOC personnel, and COOP/COG Branch personnel if activated, as required.
- If directed by the Management Section Chief, establish volunteer registration locations; have any volunteers sworn in, and issue to them disaster service worker identification cards.
- Keep the Logistics Section Chief informed of significant issues affecting the Human Resources Branch.
- Work with Risk Management, Compensation and Claims to ensure that Workers' Compensation claims resulting from the disaster are processed in a reasonable timeframe; and that volunteer Disaster Service Worker claims are sent to the State EMA as quickly as possible.
  - Receive and process all Workers Compensation and volunteer Disaster Service Worker claims associated with the event.
  - Establish and maintain a chronological log of injury and illness report during the event or disaster.
  - Investigate all injury or illness claims as soon as possible.

- Prepare appropriate forms for all verifiable injury or illness claims and forward them to Workers' Compensation within the required timeframe consistent with State DOT Policy and Procedures.

**Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

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# Procurement Branch Director

**\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\***

## **Responsibilities:**

1. Oversee the procurement and allocation of supplies and materiel required by State DOT emergency response and recovery.
2. Coordinate procurement actions with the Finance/Administration Section.
3. Coordinate delivery of supplies and materiel as required.
4. Supervise the Procurement Branch.

## **Activation Phase:**

- Follow the generic Activation Phase Checklist.

## **Operational Phase:**

- Establish and maintain a position log and other necessary files.
- Determine if requested types and quantities of supplies and materiel are available in the State DOT inventory.
- Obtain procurement spending limits and purchasing codes from the Finance/Administration Section. Obtain a list of pre-designated emergency purchase orders as required.
- Ensure that all contracts identify the scope of work and specific site locations.
- Negotiate rental rates not already established, or purchase price, with vendors as required.
- Admonish vendors as necessary, regarding unethical business practices, such as inflating prices or rental rates for their merchandise or equipment during disasters.
- Finalize all agreements and contracts, as required.
- Complete final processing and send documents to Finance/Administration Section for payment.
- Verify cost data in the pre-established vendor contracts and/or agreements.
- Ensure that the branch processes purchase orders and develops contracts in a timely manner.

- Whenever possible, meet personally with the requesting party to clarify types and amount of supplies and material, and also verify that the request has not been previously filled through another source.
- In conjunction with the Resource Tracking Unit, maintain a status board or other reference depicting procurement actions in progress and their current status.
- Determine if procurement items can be provided without cost through the SOC.
- Determine unit costs of supplies and material from suppliers and vendors, and whether they will accept purchase orders as payment, prior to completing the order.
- Orders exceeding the purchase order limit must be approved by the Finance/ Administration Section before the order can be completed.
- If vendor contracts are required for procurement of specific resources or services, the Branch Director should develop the necessary agreements. Coordinate vendor contracts not previously addressed by existing approved vendor list.
- Determine if the vendor or provider will deliver the ordered items. If delivery services are not available, coordinate pick-up and delivery through the Transportation/Fleet Branch.
- In coordination with the Human Resources Branch, provide food and lodging for EOC staff, COOP/COG Branch staff, and volunteers as required. Assist field level with food services at Command Post, Rehab, or camp locations as requested.
- Keep the Logistics Section Chief informed of significant issues affecting the Procurement Branch.

**Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

# Resource Tracking Unit Leader

**\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\***

## **Responsibilities:**

1. Coordinate with the other units in the Logistics Section to capture and centralized resource status information.
2. Develop and maintain resource status boards in the Logistics Section.
3. Supervise the Resource Tracking Unit.

## **Activation Phase:**

- Follow the generic Activation Phase Checklist.

## **Operational Phase:**

- Establish and maintain a position log and other necessary files.
- Coordinate closely with all branches in the Logistics Section, particularly Supply/Procurement, Human Resources, and Transportation/Fleet.
- As resource requests are received in the Logistics Section, post the request on a status board and track the progress of the request until filled.
- Status boards should track requests by providing at a minimum the following information: date and time of the request, items requested, priority designation, time the request was processed, and estimated time of arrival or delivery to the requesting party.
- Work closely with other Logistics units and assist in notifying requesting parties of the status of their resource request. This is particularly critical in situations where there will be delays in filling the request. An additional status board may be developed to track resources used by the requesting party. Information categories might include the following: actual arrival time of the resource, location of use, and an estimate of how long the resource will be needed.

## **Demobilization Phase:**

Follow the generic Demobilization Phase Checklist.

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# Transportation/Fleet Branch Director

**\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\***

## **Responsibilities:**

1. In coordination with the Operations Section and the Planning Section Situation Status Branch, develop a transportation plan to support EOC operations.
2. Arrange for the acquisition or use of required transportation/fleet resources.
3. Supervise the Transportation/Fleet Unit.

## **Activation Phase**

- Follow the generic Activation Phase Checklist.

## **Operational Phase:**

- Establish and maintain a position log and other necessary files.
- Routinely coordinate with the Planning Section Situation Status Branch and the Operations Section to determine the status of transportation routes in and around the state, including monitoring the progress of route recovery operations.
- Access the Operations Section plan that identifies routes of ingress and egress for the disaster area, thus facilitating the shipment of resources and materials.
- Keep the Logistics Section Chief informed of significant issues affecting the Transportation/Fleet Branch.

## **Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.



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# Rolling Stock Unit

**\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\***

## **Responsibilities:**

1. Maintain an inventory of all State DOT-owned vehicles.
2. Maintain an inventory of all long-term leased vehicles.

## **Activation Phase:**

- Follow Generic Activation Phase Checklist.
- Check in with the Logistics Chief and obtain your priorities and specific assignment.
- If time permits, contact all State DOT units with vehicles to confirm their status and location. Recommend appropriate steps for preparing vehicles, such as filling up gas tanks, or taking vehicles to shelter or high ground.

## **Operational Phase:**

- Give the Branch Director an updated list of available vehicles before the first Action Planning Briefing.
- Support Operations and Logistics Section activities, as requested.
- Maintain logs and files associated with your position.

## **Demobilization Phase:**

- Follow generic Demobilization Phase Checklist.

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# Heavy Equipment Unit

**\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\***

## **Responsibilities:**

1. Maintain an inventory of all heavy equipment owned by the State DOT.
2. Maintain a list of all leased heavy equipment and contractor's equipment currently in use at construction projects near the disaster area, especially if covered by a disaster-use redirection clause in the contract.
3. Maintain a list of companies that rent heavy equipment.

## **Activation Phase:**

- Follow Generic Activation Phase Checklist.
- Check in with the Logistics Chief and obtain your priorities and specific assignment.
- If time permits, contact all State DOT units with heavy equipment to confirm their status and location. Recommend appropriate steps for preparing vehicles, such as filling up gas tanks, or taking vehicles to shelter or higher ground.

## **Operational Phase:**

- Give the Branch Director an updated list of available heavy equipment before the first Action Planning Briefing.
- Support Operations and Logistics Section activities requiring heavy equipment assets, as requested.
- Coordinate with Procurement to obtain contracts or purchase orders for heavy equipment rental or lease.
- Maintain logs and files associated with your position.

## **Demobilization Phase:**

- Follow generic Demobilization Phase Checklist.

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# Transit Connection Unit

**\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\***

## **Responsibilities:**

1. Maintain a list of 24 hour contacts for all public and private bus companies and other transit operators, including ferry and rail.
2. Maintain a list of 24 hour contacts for all public school busses.
3. Maintain a list of 24 hour contacts for all general aviation airports and helicopter services.

## **Activation Phase:**

- Follow generic Activation Phase Checklist.
- If time permits, contact all transit and aviation operators and ambulance companies to confirm the status and location of the vehicles, drivers and mechanics. Recommend appropriate steps for preparing the vehicles, such as filling up gas tanks, or taking vehicles to shelter or high ground.

## **Operational Phase:**

- Give the Branch Director an updated list of available transit and aviation equipment before the first Action Planning Briefing.
- Coordinate with the Operations Section regarding plans for evacuation, relocation or medical transportation.
- Support Operations and Logistics Section activities requiring transit, aviation and ambulance assets, as requested. This may include acquiring large capacity vehicles for use in transportation of victims, or to support first responders. Para-transit and ambulances may be needed to move people with disabilities or injured disaster victims.
- Coordinate with Procurement to obtain contracts or purchase orders for the use of the transit and ambulance equipment and operators, including personnel time and materiel consumed.
- Maintain logs and files associated with your position.

## **Demobilization Phase:**

Follow generic Demobilization Phase Checklist.

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# Information Technology Branch Director

**\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\***

## **Responsibilities:**

1. Ensure radio, telephone, and computer resources and services are provided to EOC staff as required.
2. Oversee the proper operation of communications resources within the EOC.
3. Ensure that a communications link is established with the SOC.
4. Determine any changes in computer requirements for all EOC positions.
5. Ensure that the RACES (HAM) Radio Room is established including sufficient frequencies to facilitate operations, and coordinate with RACES leadership to ensure that adequate RACES operators are available for 24-hour coverage.
6. Develop and distribute a Communications Plan that identifies all systems in use and lists specific frequencies allotted for the event or disaster.
7. Supervise the Information Technology Branch.

## **Activation Phase:**

- Follow the generic Activation Phase Checklist.
- Based on the situation, activate the necessary units within the Information Technology Branch: GIS Support Unit, Network Support Unit, Desktop Support Unit, and Communication/RACES Unit.
- Prepare objectives for the Information Technology Branch; provide them to the Logistics Section Chief prior to the initial Action Planning Briefing.

## **Operational Phase:**

- Ensure that Information Technology Branch position logs and other necessary files are maintained.
- Keep all sections informed of the status of communications systems, particularly those that are being restored.
- Coordinate with all EOC sections/branches/units regarding the use of all communication systems.



- Ensure that the RACES (HAM) Radio Room is activated to receive and direct event or disaster-related communications to appropriate destinations within the EOC.
- Ensure that adequate communications operators are mobilized to accommodate each EOC Section on a 24-hour basis, or as required.
- Ensure that electronic/web-based communications links are established with the SOC.
- Continually monitor the operational effectiveness of EOC communications systems; provide additional equipment as required.
- Ensure that technical personnel are available for communications equipment maintenance and repair.
- Mobilize and coordinate amateur radio resources to augment primary communications systems as required.
- Keep the Logistics Section Chief informed of the status of communications systems.
- Refer all contact with the media to the Public Information Branch.

**Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

# **INFORMATION TECHNOLOGY BRANCH RESOURCES**

[California example, obtain from appropriate state]

## **EMERGENCY ALERT SYSTEM**

The Emergency Alert System (EAS) is a network of public broadcast stations and interconnecting facilities, authorized by the Federal Communications Commission (FCC) to operate in a controlled manner during wartime, or during a state of disaster or national emergency. The system is designed to provide a communications link between government authorities and the public. Priority for use is:

1. Presidential messages
2. Local programming
3. State programming
4. National programming and news

## **STATE RADIO SYSTEMS**

### **California Law Enforcement Radio System**

Serves all OES facilities and interconnects law enforcement agencies of counties and cities. The system is microwave inter-tied to provide statewide coverage. This system is the state's radio backup for the National Warning System.

### **California Emergency Services Radio System**

A local government system serving all OES facilities, numerous state agencies, and participating county level civil defense agencies. The system is microwave inter-tied to provide statewide coverage.

### **OES Fire Network**

Serves all OES facilities and fire support equipment. Radio equipment on this network is located with fire services agencies in 52 counties. The network employs mountaintop mobile relays and interconnects with the State Microwave System to provide statewide coverage.

## **TELETYPE**

The California Law Enforcement Telecommunications System (CLETS) has 900 terminals statewide, and serves all counties and cities in the state.

## **COMMUNICATIONS SUPPORT**

[California example, obtain from appropriate state]

### **California EMA**

California State EMA has two mobile command complexes, each consisting of a communications van, an operations van, a command van, and a generator. One complex is located at Los Alamitos, and the other is located at State OES Headquarters in Sacramento. Their primary mission is to provide a communications link between the disaster area and State EMA Headquarters. These complexes are capable of operating on all state radio communications systems, satellite systems, mutual aid radio systems, and Radio Amateur Civil Emergency Services (RACES). Whenever possible, radio operators should be provided by the local jurisdiction.

### **California National Guard (CNG)**

The CNG has an assortment of communications equipment and capabilities, with limited in-place facilities. Most communications equipment is designed to serve CNG forces, although some reserve capability is available.

### **Radio Amateur Civil Emergency Service (RACES)**

RACES operate on amateur radio (HAM) frequencies under authority of the FCC in support of emergency radio communications operations. RACES is frequently employed in augmentation of existing systems, as a substitute for damaged or inoperable systems, and to establish communications links with otherwise inaccessible areas.

### **REACT/GMRS (Citizens Band Radio)**

CB operators can participate in civil defense activities on a voluntary basis, under the direction of civil defense authorities. REACT operates UHF repeaters and has an established organization.

## **POLICIES AND PROCEDURES**

State DOT has a relatively robust communications network, including cellular phones, land mobile radios, satellite radios and website capability. Emergency reserve equipment is also available. However, some areas of the state are inaccessible due to mountainous conditions or lack of repeaters, and amateur radio systems may be a useful auxiliary method of communication to replace or augment State DOT systems. RACES will be used to back up State DOT communications systems.

During a STATE OF WAR EMERGENCY, privately owned radio systems, equipment, and facilities, subject to approval of the licensee, will be used to support the response activities of field forces not already linked to EOCs.

Electromagnetic Pulse (EMP), a phenomenon associated with the detonation of a nuclear weapon, can prove devastating to radio communication equipment and computers. The most reliable protective methods against EMP involve shielding the equipment by encasing it in metal containers. Since this method is fiscally impractical, protective actions will consist of unplugging equipment prior to a detonation, given adequate warning time.

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# RACES Unit

**\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\***

## **Responsibilities:**

1. Maintain a radio room containing amateur band radios that are capable of reaching throughout the state, including other RACES volunteers in local areas.
2. Maintain a group of trained volunteers who can operate the amateur band radios and systems.
3. Provide radio and packet radio services to support the EOC; assist with message relaying among the EOC sections.

## **Activation Phase:**

- Follow Generic Activation Phase Checklist.
- Check in with the Logistics Chief and obtain your priorities and specific assignment.
- If time permits, hold a volunteer check-in net to determine where the members are located, on which bands they can be reached, and community conditions. Arrange for repeaters to be checked, power supplies verified, and generators set up with adequate fuel supply.

## **Operational Phase:**

- Give the Branch Director an updated list of available volunteers.
- Provide communications support for field and EOC activities, as assigned by the Logistics Section Chief. Use packet radio for communications involving lists of numbers, names or other data that is hard to distinguish over the radio.
- Maintain logs and files associated with your position.

## **Demobilization Phase:**

- Follow generic Demobilization Phase Checklist.

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# GIS Support Unit

**\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\***

## **Responsibilities:**

1. Assist EOC staff with accessing GIS materials.
2. Assure that all GIS data and software are functioning; assist network support unit with equipment acquisition and maintenance.

## **Activation Phase:**

- Follow generic Activation Phase Checklist.
- Check in with Management Section Chief and obtain your priorities and specific assignment, including the need for additional GIS support staff.
- Coordinate with the Human Resources Branch to obtain additional GIS support staff if needed.
- Contact the EOC sections or branches that you may be supporting, and advise them of your availability and assigned work location in the EOC.

## **Operation Phase:**

- Assist the Planning Section Chief in displaying/accessing GIS information as needed.
- Provide needed GIS information for the Action Plan document.
- Provide GIS support to other section chiefs as assigned.
- Maintain logs and files associated with your position.

## **Demobilization Phase:**

- Follow generic Demobilization Phase Checklist
- Provide GIS support to emergency management staff to support the creation of the final reports required by outside agencies.



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# Desktop Support Unit

**\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\***

## **Responsibilities:**

1. Assist EOC staff with accessing computer-based materials, or creating computer-based materials, including word processing documents.
2. Assist Administrative Support positions, as needed.
3. Assist the Planning Section Chief with the creation and distribution of the Action Plans at the beginning of each Action Planning Period.

## **Activation Phase:**

- Follow generic Activation Phase Checklist.
- Check in with the Logistics Chief and obtain your priorities and specific assignment, including the need for additional computer support staff
- Coordinate with the Human Resources Branch to obtain additional computer support staff if needed.
- Contact the EOC sections or branches that you may be supporting, and advise them of your availability and assigned work location in the EOC.

## **Operational Phase:**

- Assist the Planning Section Chief in preparing for the first Action Planning Briefing.
- Assist the Planning Section Chief with the development of the Action Plan document.
- Provide computer support to other section chiefs as assigned.
- Maintain logs and files associated with your position.

## **Demobilization Phase:**

- Follow generic Demobilization Phase Checklist.
- Provide computer-based files to assist OES staff with the creation of the final reports required by outside agencies.

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# Network Support Unit

**\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\***

## **Responsibilities:**

1. Assist EOC staff with accessing computer-based materials and internet sites, or creating computer-based materials, including GIS and word processing documents, and Emergency Alert System (EAS) access points; train new EOC staff in hardware, software, and network functions, as needed.
2. Ensure that all computers, peripherals, computer systems, servers and networks are functioning. Perform repairs or obtain replacement equipment, as needed.

## **Activation Phase:**

- Follow generic Activation Phase Checklist.
- Check in with the Logistics Section Chief and obtain your priorities and specific assignment, including the need for additional network support staff.
- Contact the EOC sections or branches that you may be supporting, and advise them of your availability and assigned work location in the EOC.

## **Operational Phase:**

- Assist the Planning Section Chief in accessing GIS, and all other computer-based systems required to document events and meet state-mandated reporting.
- Assist the Planning Section Chief with the development of the Action Plan document, including required maps, and in forwarding the required documentation from the Action Planning Briefing to the SOC via the electronic system or fax.
- Provide network support to other section chiefs as assigned.
- Maintain logs and files associated with your position.

## **Demobilization Phase:**

- Follow generic Demobilization Phase Checklist.
- Provide computer-based files, maps, and supporting materials, including RIMS, and EAS documents, to assist OES staff with the creation of the final reports required by outside agencies.

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# ANNEX E

## FINANCE SECTION

The duties of the Finance Section are:

- Establish timekeeping procedures consistent with federal, state, and State DOT guidelines for State DOT employees and equipment.
- Provide guidance to other departments with respect to timekeeping, salary, benefits, and documentation procedures.
- Be responsible for all financial and cost aspects of the disaster, including record keeping, for reimbursement.
- Handle any property/equipment claims for compensation.
- Apprise the Management Section Chief of the current and projected financial status of the State DOT budget.
- Obtain eligible reimbursement and other funding from state and federal sources expeditiously.

SOPs of the Department of Finance provide details regarding the methods used for tracking FEMA reimbursements. [NOTE: depending on your state, these may have to be created.]

The Finance Section organization chart follows.



# Generic Checklist

## (For All Positions)

### **Activation Phase:**

- Check in with the Security Officer upon arrival at the State DOT EOC.
- Report to Management Section Chief, Section Chief, Branch Coordinator, or other assigned Superior.
- Set up workstation and review your position responsibilities.
- Establish and maintain a position log, which chronologically describes your actions taken during your shift.
- Determine your resource needs, such as a computer, phone, plan copies, and other reference documents.
- Ensure that any electronic support systems (Web EOC, other) is operational.

### **Demobilization Phase:**

- Deactivate your assigned position and close out logs when authorized by the Management Section Chief.
- Complete all required forms, reports, and other documentation. All forms should be submitted through your supervisor to the Planning Section, prior to your departure.
- Be prepared to provide input to the After Action Report.
- If another person is relieving you, ensure he/she is thoroughly briefed before you leave your workstation.
- Clean up your work area before you leave.
- Check out with the Security Officer, and leave a destination and phone number where you can be reached.

# Finance/Administration Section Chief

**\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\***

## **Responsibilities:**

1. Ensure that all financial records are maintained throughout the event or disaster.
2. Ensure that all on-duty time is recorded for all State DOT emergency response personnel.
3. Ensure that all on-duty time sheets are collected from field level Supervisors or Incident Commanders and their staffs.
4. Ensure there is a continuum of the payroll process for all employees responding to the event or disaster.
5. Determine purchase order limits for the procurement function in Logistics.
6. Ensure that all travel and expense claims are processed within a reasonable time, given the nature of the situation.
7. Provide administrative support to all EOC Sections in coordination with the Human Resources Branch, as required.
8. Activate units within the Finance/Administration Section as required and monitor section activities continuously and modify the organization as needed.
9. Ensure that all recovery documentation is accurately maintained during the response and submitted on the appropriate forms to the Federal High Way Administration (FHWA), Federal Emergency Management Agency (FEMA), State EMA and the Department Director's Office.
10. Supervise the Finance/Administration Section.

## **Activation Phase:**

- Follow the generic Activation Phase Checklist.
- Ensure that the Finance/Administration Section is set up properly and that appropriate personnel, equipment, and supplies are in place.
- Based on the situation, activate units within the section as needed and designate Unit Leaders for each element:
  - o Time Keeping Unit
  - o Risk Management, Compensation and Claims Unit



- o Cost Accounting Unit
- Ensure that sufficient staff is available for 24-hour schedule, or as required.
- Meet with the Logistics Section Chief and review financial and administrative support requirements and procedures; determine the level of purchasing authority to be delegated to Logistics Sections.
- Meet with all Finance/Administration Unit Leaders and ensure that responsibilities are clearly understood.
- In conjunction with Finance/Administration Unit Leaders, determine the initial Action Planning objectives for the Action Planning Briefing.
- Notify the Management Section Chief when the Finance/Administration Section is operational.
- Adopt a proactive attitude, thinking ahead and anticipating situations and problems before they occur.

**Operational Phase:**

- Ensure that Finance/Administration position logs and other necessary files are maintained.
- Ensure that displays associated with the Finance/Administrative Section are current, and that information is posted in a legible and concise manner.
- Participate in all Action Planning Briefings.
- Brief all Finance/Administration Unit Leaders and ensure they are aware of the EOC objectives as defined in the Action Plan.
- Keep the Management Section Chief aware of the current fiscal situation and other related matters, on an on-going basis.
- Ensure that the Planning Recovery Unit maintains all financial records related to their work throughout the event or disaster.
- Ensure that the Time Keeping Unit tracks and records all State DOT staff time.
- Ensure that the Time Keeping Unit processes all timesheets and travel expense claims promptly.
- Ensure that the Cost Accounting Unit maintains all financial records related to the event or disaster.

- Ensure that the Finance/Administration Section provides administrative support to other EOC Sections as required.
- Ensure that all recovery documentation is accurately maintained by the Recovery Planning Branch during the response, and given to the Finance Section for submission on the appropriate forms to Federal High Way Administration (FHWA), Federal Emergency Management Agency (FEMA), the State EMA or the State DOT Director's Office.

**Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

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# **Risk Management, Compensation and Claims Unit Leader**

**\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\***

## **Responsibilities:**

1. Oversee the investigation of property/equipment damage or loss claims involving the State DOT, arising out of the event or disaster.
2. Complete all forms required.
3. Maintain a file of property/equipment damage or loss claims associated with the event or disaster, which includes results of investigations. Note whether there is an insurance policy, a responsible party, or whether the loss is covered under a federal reimbursement program for public sector loss and damage.
4. Oversee the investigation of personal injury claims involving the State DOT, arising out of the event or disaster.
5. Oversee the investigation of liability claims involving the State DOT, arising out of the event or disaster.
6. Supervise the Risk Management, Compensation and Claims Unit.

## **Activation Phase:**

- Follow the generic Activation Phase Checklist.

## **Operational Phase:**

- Establish and maintain a position log and other necessary files.
- Maintain a chronological log of property/equipment damage, personal injury or liability claims reported during the event or disaster.
- Investigate all property/equipment damage, personal injury or liability claims as soon as possible.
- Prepare appropriate forms for all property/equipment damage, personal injury or liability claims.
- Coordinate with the Logistics Section Facilities Unit and the Human Resources Branch regarding the mitigation of State DOT event-related hazards.

- Keep the Finance/Administration Chief informed of significant issues affecting the Risk Management, Compensation and Claims Unit.
- Forward copies of all equipment or property damage, personal injury or liability claims to the Cost Accounting Unit.

**Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

# Cost Accounting Unit Leader

**\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\***

## **Responsibilities:**

1. Collect and maintain documentation of all disaster information for reimbursement from the Federal High Way Administration (FHWA), the Federal Emergency Management Agency (FEMA), State EMA or the Department Director's Office.
2. Coordinate reimbursements with disaster assistance agencies.
3. Prepare and maintain a cumulative cost report for the event or disaster.
4. Supervise the Cost Accounting Unit and all aspects of financial recovery operations.

## **Activation Phase:**

- Follow the generic Activation Phase Checklist.

## **Operational Phase:**

- Establish and maintain position log and other necessary files.
- In conjunction with the Operations Chief and Logistics Chief, compute costs for use of equipment owned, rented, or donated, or obtained through mutual aid.
- Obtain information from the Logistics Section Resources Tracking Unit regarding equipment use time.
- Ensure that the State DOT's Finance Office establishes a disaster accounting system to include an exclusive cost code for disaster response.
- Ensure that each section is collecting cost recovery documentation daily at the end of each shift: overtime related to the section's work, and equipment consumed or destroyed during their work.
- Meet with the Planning Section Documentation Unit Leader and review EOC Position logs, journals, all status reports and Action Plans to determine additional cost recovery items that may have been overlooked.
- Act as the liaison for the State DOT with other government units and disaster assistance agencies, to coordinate the cost recovery process, where appropriate.
- Prepare all required state and federal documentation as necessary to recover all allowable disaster response and recovery costs.

- Contact and assist State DOT Incident Commanders, or field supervisors when another agency has Incident Command, and obtain their cumulative cost totals for the event or disaster, on a daily basis.
- Prepare and maintain a cost report for the Finance/Administration Chief, Management Section Chief, and Policy Group. The report should provide cumulative analyses, summaries, and total disaster/event related expenditure for the State DOT.
- Organize and prepare records for final audit.
- Assist the EOC Coordinator and Planning Section with preparation of the After Action Report.

**Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.

# Time Keeping Unit Leader

**\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\***

## **Responsibilities:**

1. Track, record, and report all on-duty time for personnel working during the event or disaster.
2. Ensure that personnel time records, travel expense claims and other related forms are prepared and submitted to the budget and payroll office.
3. Supervise the Time Keeping Unit.

## **Activation Phase:**

- Follow the generic Activation Phase Checklist.

## **Operational Phase:**

- Establish and maintain position logs and other necessary files.
- Initiate, gather, or update time reports from all personnel, including volunteers assigned to each shift; ensure that time records are accurate and prepared in compliance with State DOT policy.
- Obtain complete personnel rosters from the Logistics Section Human Resources Branch. Rosters must include all EOC personnel as well as personnel assigned to the field level.
- Provide instructions for all supervisors to ensure that time sheets and travel expense claims are completed properly and signed by each employee prior to submitting them.
- Establish a file for each employee or volunteer within the first operational period to maintain a fiscal record for as long as the employee is assigned to the response.
- Keep the Finance/Administration Section Chief informed of significant issues affecting the Time-Keeping Unit.

## **Demobilization Phase:**

- Follow the generic Demobilization Phase Checklist.



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# TAB 9

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## EMERGENCY KIT FOR THE CAR

**WATER. This is your most important item.** You will need water to drink, for first aid, and to take medicine. Based on who usually rides in your car, have at least one gallon of water per person in your kit. You can purchase a box of foil packets or cans of water at a camping store, or one liter bottles at a discount store in a 20 bottle flat.

**PRESCRIPTION MEDICATIONS. This is the second most important item.** If you take medications on which your health depends you must carry a three-day supply at all times. This would include heart, blood pressure and diabetic medications. If you regularly take other prescription drugs for allergies or other health concerns, it is also wise to carry these. Keep this supply fresh by rotating it every week. Also include any non-prescription medications you often use: nose drops, antihistamine, allergy remedies, diarrhea medication, or indigestion medications. In times of stress, such as an emergency, health problems can become worse. Having proper medications and keeping to the prescribed schedule is very important.

**FOOD.** Food is important for psychological reasons and to keep your blood sugar level up to avoid dizzy or shaky feelings. People with diabetes, heart disease, or other health problems should consult their physicians for advice about the foods for their kits. The healthy general public should select foods like crackers, peanut butter, snack packs of fruit, pudding, granola bars, dried fruit, and single serving cans of juice. Plan on four light meals per day. Avoid high sugar foods like candy and soft drinks as they make you very thirsty. Avoid alcoholic beverages.

**LIGHT SOURCE.** A chemical light stick provides long shelf life and a sparkless source of light. A flashlight with a special long-life battery or a long-burning candle may be used after you have checked the area to be sure that there is no leaking gas or petroleum in the area. Do not rely on a regular flashlight as ordinary batteries lose their power quickly in the heat of a car. You might consider an electric light with an attachment to your car cigarette lighter, available at camping stores.

**RADIO.** Your car radio is your source for emergency broadcast information. Get a list of all news stations for the area where you live, work, and areas you drive to or through. Keep this list in your glove compartment and in your emergency kit. A hand cranked emergency radio is also useful and eliminates the need for batteries. These often come with flashlights that run on the same power source.

**EMERGENCY BLANKET.** Mylar emergency blankets are available at camping goods stores. They can be used as a blanket or a heat shield against the sun. They fold into a small package. A thermal blanket may be substituted when storage space permits.

**FIRST AID SUPPLIES.** Include 4"x4" gauze, cloth that can be torn into strips to hold a bandage in place, Kerlex, anti-bacterial ointment (Neosporin, Bacetracin, etc.), burn cream, rolls of gauze, large gauze pads, rolls of first aid tape, scissors, a large cloth square for a sling or tourniquet, safety pins, needles and heavy thread, matches, eye wash, and a chemical ice pack. Rotate these supplies every six months.

**PERSONAL CARE AND HYGIENE ITEMS.** Alcohol-based hand sanitizer, small plastic bottle of pine oil or other disinfectant, six large heavy-duty garbage bags with ties for sanitation and waste disposal, box of tissues, roll of toilet paper, plastic bucket to use as a toilet after lining it with a plastic garbage bag.. (Your smaller kit items can be stored in your bucket inside a sealed trash bag).

**ADDITIONAL ITEMS TO CONSIDER.** Sturdy shoes (especially if your work shoes are not good for walking), sweater or jacket, hat/sun visor, mouthwash, feminine hygiene supplies, whistle (to attract attention and call for help), rope or string, pencil and tablet, change for a pay phone.

**DON'T LET YOUR GAS TANK FALL BELOW HALF FULL!** The radio and heater in your car may save your life, but you can't run the car's accessories long without the gas to start the engine and re-charge the battery. If you travel in isolated areas, on the freeway, or far from home, an adequate gasoline supply is crucial. Fill up often. After a quake, gas pumps may not work for several days while electrical power is restored. Once the pumps work, the supplies will quickly be depleted through panic buying. **NEVER CARRY CANS OF GAS IN YOUR TRUNK!** A can of gas is a bomb!



## Confidential Household Data for Your Disaster Kit

**Address:** \_\_\_\_\_ **Phone:** \_\_\_\_\_

**Adult Name:** \_\_\_\_\_ **Work Phone:** \_\_\_\_\_

**Employer:** \_\_\_\_\_ **Work Hours:** \_\_\_\_\_

**Adult Name:** \_\_\_\_\_ **Work Phone:** \_\_\_\_\_

**Employer:** \_\_\_\_\_ **Work Hours:** \_\_\_\_\_

**Other adults in the household:**

**Any with disabilities?:**

Children	Birth Year	School
_____	_____	_____
_____	_____	_____
_____	_____	_____

**Persons authorized to pick-up children from school (Info on emergency release card)**

Name \_\_\_\_\_ Phone \_\_\_\_\_

Name \_\_\_\_\_ Phone \_\_\_\_\_

Name \_\_\_\_\_ Phone \_\_\_\_\_

Name \_\_\_\_\_ Phone \_\_\_\_\_

**Pets in Household:**

Type: \_\_\_\_\_ Medical Problems \_\_\_\_\_

Type: \_\_\_\_\_ Medical Problems \_\_\_\_\_

Type: \_\_\_\_\_ Medical Problems \_\_\_\_\_

**Household Cell Phones, E-mail addresses, Ham Radio Call Signs, etc.**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**What language is spoken at home:** \_\_\_\_\_

**What languages can you act as a translator for:**

\_\_\_\_\_

**Important Medical Conditions in Family, including allergies and special medications:**

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**Neighbors that have your house key:**

**Address** \_\_\_\_\_

<b>Out of Area Contact:</b>	<b>Relationship:</b>	<b>City:</b>	<b>Phone:</b>
_____	_____	_____	_____
_____	_____	_____	_____

**Family meeting place:**

**Address:** \_\_\_\_\_

**Phone:** \_\_\_\_\_

**Make a rough sketch of your home showing the locations of gas & water valves and electric switches. Show entry and exits, location of pool or hot tub. Include location of your emergency and first aid supplies.**

**Hot Water Heater Strapped Top & Bottom Yes \_\_\_\_\_ No \_\_\_\_\_ Need Help \_\_\_\_\_**

**What neighborhood teams are your family members part of?**

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# FEMA: Family Basic Disaster Supplies

Keep the items that you would most likely need during an evacuation in an easy-to-carry container. Possible containers include a large, covered, NEW trash container, a camping backpack, or a duffle bag.

There are six basics you should stock in your home:

**Water:** <http://www.fema.gov/plan/prepare/water.shtm>

## How Much Water do I Need?

You should have at least a three-day supply of water and you should store at least one gallon of water per person per day. A normally active person needs at least one-half gallon of water daily just for drinking.

Additionally, in determining adequate quantities, take the following into account:

- Individual needs vary depending on age, physical condition, activity, diet, and climate.
- Children, nursing mothers, and ill people need more water.
- Very hot temperatures can double the amount of water needed.
- A medical emergency might require additional water.

## How Should I Store Water?

To prepare the safest and most reliable emergency supply of water, it is recommended that you purchase commercially bottled water. Keep bottled water in its original container and do not open it until you need to use it.

Observe the expiration or “use by” date.

## If You are Preparing Your Own Containers of Water

It is recommended that you purchase food-grade water storage containers from surplus or camping supplies stores- also known as Bear Cans- to use for water storage. Before filling with water, thoroughly clean the containers with dishwashing soap and water and rinse completely so there is no residual soap. Follow the directions below on filling the container with water.

If you choose to use your own storage containers, choose two-liter plastic soft drink bottles, not plastic jugs or cardboard containers that have had milk or fruit juice in them. Milk protein and fruit sugars cannot be adequately removed from these containers and provide an environment for bacterial growth when water is stored in them. Cardboard containers also leak easily and are not designed for long-term storage of liquids. Also, do not use glass containers, because they can break and are heavy.

If storing water in plastic soda bottles, follow these steps:

Thoroughly clean the bottles with dishwashing soap and water and rinse completely so there is no residual soap. Sanitize the bottles by adding a solution of 1 teaspoon of non-scented liquid household chlorine



bleach to a quart of water. Swish the sanitizing solution in the bottle so that it touches all surfaces. After sanitizing the bottle, thoroughly rinse out the sanitizing solution with clean water.

## Filling Water Containers

Fill the bottle to the top with regular tap water. If the tap water has been commercially treated from a water utility with chlorine, you do not need to add anything else to the water to keep it clean. If the water you are using comes from a well or water source that is not treated with chlorine, add two drops of non-scented liquid household chlorine bleach to the water. Tightly close the container using the original cap. Be careful not to contaminate the cap by touching the inside of it with your finger. Place a date on the outside of the container so that you know when you filled it. Store in a cool, dark place to inhibit growth of bacteria. Replace the water every six months if not using commercially bottled water.

**Food:** <http://www.fema.gov/plan/prepare/food.shtm>

Store at least a three-day supply of non-perishable food. Select foods that require no refrigeration, preparation or cooking and little or no water. If you must heat food, pack a can of Sterno. Select food items that are compact and lightweight. Avoid foods that will make you thirsty; choose salt-free crackers, whole grain cereals, and canned foods with high liquid content.

Include a selection of the following foods in your Disaster Supplies Kit:

Note: Be sure to include a manual can opener.

- Ready-to-eat canned meats, fruits and vegetables
- Canned juices, milk, soup (if powdered, store extra water)
- Staples--sugar, salt, pepper
- High energy foods--peanut butter, jelly, crackers, granola bars, trail mix
- Vitamins
- Foods for infants, elderly persons or persons with special dietary needs
- Comfort/stress foods--cookies, hard candy, sweetened cereals, lollipops, instant coffee, tea bags

**First aid supplies:** <http://www.fema.gov/plan/prepare/firstaid.shtm>

Assemble a first aid kit for your home and one for each car. A first aid kit should include:

- Ask your doctor about including an epinephrine auto injector
- Sterile adhesive bandages in assorted sizes
- 2-inch sterile gauze pads (4-6)
- 4-inch sterile gauze pads (4-6)
- Hypoallergenic adhesive tape
- Triangular bandages (3)
- 2-inch sterile roller bandages (3 rolls)
- 3-inch sterile roller bandages (3 rolls)
- Scissors
- Tweezers
- Needle
- Moistened towelettes
- Antiseptic

- Thermometer
- Tongue blades (2)
- Tube of petroleum jelly or other lubricant
- Assorted sizes of safety pins
- Cleansing agent/soap
- Latex gloves (2 pair) Sunscreen

### **Non-prescription drugs**

- Aspirin or non-aspirin pain reliever
- Anti-diarrhea medication
- Antacid (for stomach upset)
- Syrup of Ipecac (use to induce vomiting if advised by the Poison Control Center)
- Laxative
- Activated charcoal (use if advised by the Poison Control Center)

[Contact your local American Red Cross chapter](#) to obtain a basic first aid manual.

### **Clothing, bedding and sanitation supplies:**

<http://www.fema.gov/plan/prepare/clothing.shtm>

### **Clothing and Bedding**

If you live in a cold climate, you must think about warmth. It is possible that you will not have heat.

Include at least one complete change of clothing and footwear per person.

- Jacket or coat
- Long pants
- Long sleeve shirt
- Sturdy shoes or work boots
- Hat, gloves and scarf
- Rain gear
- Thermal underwear
- Blankets or sleeping bags
- Sunglasses

### **Sanitation**

- Toilet paper
- Soap, liquid detergent
- Feminine supplies
- Personal hygiene items
- Plastic garbage bags, ties (for personal sanitation uses)
- Plastic bucket with tight lid
- Disinfectant
- Household chlorine bleach

**Tools:** <http://www.fema.gov/plan/prepare/tools.shtm>

- Mess kits, or paper cups, plates and plastic utensils
- [Emergency preparedness manual](#)
- Portable, battery-operated radio or television and extra batteries
- Flashlight and extra batteries
- Cash or traveler's checks, change
- Nonelectric can opener, utility knife
- Fire extinguisher: small canister, ABC type
- Tube tent
- Pliers
- Tape
- Compass
- Matches in a waterproof container
- Aluminum foil
- Plastic storage containers
- Signal flare
- Paper, pencil
- Needles, thread
- Medicine dropper
- Shut-off wrench, to turn off household gas and water
- Whistle
- Plastic sheeting
- Map of the area (for locating shelters)

## **Special items:**

Remember family members with special needs, such as infants and elderly or disabled persons.

- **For Babies**
  - Formula
  - Diapers
  - Bottles
  - Pacifiers
  - Powdered milk
  - Medications
  
- **For Adults**
  - Heart and high blood pressure medication
  - Insulin
  - Prescription drugs
  - Denture needs
  - Contact lenses and supplies
  - Extra eye glasses
  - Hearing aid batteries
  
- **Entertainment--games and books.**



## **FIRES, FLOODS, FAULTS, TERRORISTS...*DO YOU KNOW WHERE YOUR FAMILY'S VITAL RECORDS EMERGENCY INFORMATION IS...?***

During a disaster, like an earthquake or flood, you may need to evacuate your home rapidly. You will want to have some important legal documents with you, and others in a safe place. Take steps now to ensure that you safeguard your legal documents, and have appropriate access to them for disaster recovery!

**1. Open a bank safe deposit box, or buy a fireproof safe** for essential, irreplaceable, original documents. These include:

- Family birth certificates
- Marriage certificates and divorce papers
- Citizenship papers
- Military records and discharge papers, copies of the face of military ID cards
- Copies of insurance policies with agent contact information
- A list of bank accounts with the bank address
- A list of credit card numbers and addresses
- Accountant's copy of your income tax filings for 7 years
- Securities, US Savings Bonds, certificates of deposit, and other financial instruments
- Original Social Security Cards for all family members
- Titles and deeds for property
- Vehicle titles and a copy of the registration papers

**2. Make a GoKit Document Cache** to keep in your family emergency kit.

Organize these records in a 1" ring binder with page protectors, or in a waterproof container. You can use a 14" piece of 3" PVC pipe and two end caps to create an inexpensive waterproof container. Use adhesive to attach one end cap permanently, and use a threaded cap for the other end. Fill the book or tube with the following documents/copies and update it each spring and fall.

- Copies of birth certificates and marriage/divorce papers
- Emergency contact information for all family members: work address and phone, school address and phone, day care/after school care address and phone
- Out of area contact person's name, address and phone number
- Copies of citizenship papers/green cards
- Original passports for all family members
- Military papers to prove Veterans Benefits eligibility, copies of the face of military ID cards
- Copies of medical information for each family member: physicians names and numbers, prescription drug names and dosages, pharmacy name and number
- Copies of insurance policies with 24 hour contact information for every policy
- Copies of the tax bill, mortgage papers or property deed to prove homeownership; copy of lease to prove legal right to alternate shelter

- Copies of 2 utility bills less than 1 year old to prove residency (owners and renters)
- Copies of the credit card list and emergency numbers to report lost cards
- Copies of all family drivers licenses and auto registrations
- Copies of all Social Security Cards
- One pad of checks and one credit card for an account that you seldom use. Use for emergency expenses: food, alternate lodging, replacement clothing
- \$100 in small bills in case cash registers and credit card machines do not work
- \$10 in quarters for the pay phone
- A copy of the wills for each family member. Make sure that an out of area family member has another copy in a safe place, and that your legal adviser has a copy.
- Copies of funeral arrangements in place or last wishes for adults.

***DON'T LEAVE YOUR FAMILY'S FINANCIAL SECURITY TO CHANCE...  
BE PREPARED!***



## Low Cost/No Cost Emergency Preparedness

1. Get a family out-of-state phone contact and make a wallet card for each family member.
2. Ensure that school emergency contact cards are regularly updated and that each child has at least 2 people listed to pick him/her up if parents are unavailable.
3. Select two family reunification points for use if the home is inaccessible. Select one place in the neighborhood, such as a friend's home, grocery store, or other location well known to all family members. Select another location not in your immediate neighborhood but easily accessible by all family members, such as your place of worship, a movie theater, or a regional mall.
4. Locate your gas meter and learn how to use the gas shut-off valve and **when** to shut off your gas.
5. Store heavy objects on low shelves or on closet floors, not on high shelves. Heavy pots, pans, and storage boxes may fall during earthquakes and injure family members.
6. Remove any heavy objects from overhead shelves in bedrooms. When people are asleep, they cannot protect themselves from falling objects.
7. **Water** is the most important element. Each person needs one (1) gallon for drinking and food preparation each day. Additional water is needed for sanitation, clean up, and for pets. A dog will need one (1) gallon a day and a cat will need at least a pint.

**Storing** water is easy. Wash and rinse clean 2-liter soda bottles or **clear plastic** juice bottles. Fill them with tap water and add four (4) drops of liquid **chlorine bleach** (Clorox, the plain unscented type.)

Do not use the frosted type of plastic jugs that we buy milk, water and juice in for storage purposes. These are for **short term** use and will deteriorate too soon for storage use.

Keep some coffee filters available to be able to filter any cloudy or murky water you obtain during an emergency. Then treat it with sixteen (16) drops of chlorine bleach. Mix well and let stand for at least thirty (30) minutes before using.

A little Tang or Kool-Aid can be added at the time of drinking to avoid the slight bleach taste.

## 8. Make a Go-Kit Document Cache:

- Copies of the tax bill, mortgage papers, or property deed to prove homeownership; copy of lease to prove legal right to alternate shelter.
- Copies of 2 utility bills less than 1 year old to prove residency (owners and renters.)
- Copies of the credit card list and emergency numbers to report lost cards
- Copies of all family members' driver's licenses and auto registrations
- Copies of all Social Security Cards
- A copy of the wills for each family member. Make sure that an out-of-area family member has another copy in a safe place, and that your legal adviser has a copy.
- Copies of funeral arrangements in place or last wishes for adults.



## 9. Make a Car Kit: Have some simple things in your car. Think about yourself and family members.

- Water, some snack food, any required prescription medication, and any special needs for your children.
- Hat, jacket, blanket, or shawl. You may need to keep warm.
- Writing paper, several pencils, a flashlight. Keep the batteries **out** of the flashlight until you need it. This prevents corrosion of the flashlight.
- Shoes you can walk some distance in. Jogging shoes too worn for running are a good choice. Women should avoid high heels, open toes, and sandals.
- Simple personal hygiene and other items for your comfort.

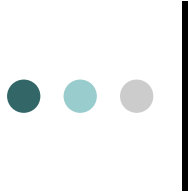
**Water, Food, and Medication** should be **changed weekly**. Put a fresh supply into the kit and use what you take out. This way you do not have to buy extra supplies and nothing will spoil. Flashlight batteries should be replaced and used every few months.

**Shoes and extra clothes** need not be new. Those that are out of style, may need a little sew-up, or have a stain will work just fine in an emergency.

Start small. Then build as you can. **Begin**, the rest is easy.



## APPENDIX B



# State DOT Continuity of Government/ Continuity of Operations Training





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**TAB 1**

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**Continuity of Operations for  
State-Level Transportation Organizations:  
The Role of the  
COOP/COG Branch**

**SCHEDULE**

**4 Hour Intermediate Training**

<b>Seminar</b>	<b>2 hours</b>
<b>Break</b>	<b>15 minutes</b>
<b>Role of the ERG</b>	<b>30 minutes</b>
<b>Interactive Creation of Checklists/Kits</b>	<b>1 hour, 15 minutes</b>

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# TAB 2



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# Continuity of Operations for State-Level Transportation Organizations: The Role of the COOP/COG Branch

Seminar



HOMELAND SECURITY UNIVERSITY PROGRAMS  
TODAY'S RESEARCH & EDUCATION, TOMORROW'S SECURITY



Title Slide

# Welcome

- Introduction of Training Staff
- Self-Introductions of attendees
- Review of class materials



During this segment be sure that all students are signed in and have the class materials.

Go over the emergency exiting plan.

Remind students that ADA accommodations are available upon request to the lead instructor.

Note the length of time for lunch each day, plans for breaks, location of restrooms.

Have each member of the training staff give his/her name, current position, experience working in a COOP environment and/or planning for a COOP event.

Have each student give his/her name, current position and specific job in the ERG – at least the assigned ERG unit: Human Capital, Essential Services or Relocation. Note that during the planning activities the students will sit with others from their unit.

**Emphasize that this is an *intermediate* COOP class.** It is assumed that all students have completed the prerequisite FEMA Independent Study courses on line: IS 100 PWb, IS 546.a, IS 547.a, IS 551, IS 700a, and IS 800b.

## Class Plan

1. Seminar – what is this all about?
2. What is the COOP Emergency Relocation Group and what is my role in it?
3. Practical application of COOP information to my ERG role.



These are the topics of today's seminar, which will last for about three hours with one 15 minute break. The class will begin with an overview of continuity of operations as it relates to state-level transportation organizations. Participants will learn about the aspects of COOP as they relate to the work of a state-level transportation organization's headquarters functions.

Instructors will then review the reason for an emergency relocation group, and the role that each serves in the ERG.

Finally, instructors will describe the individual and team roles in the ERG during an activation, and participants will develop/review the list of essential supplies and materials needed to do the work of each unit. These include both the items that need to be stockpiled ahead of time at the continuity sites/ERG worksites, and the materials that each team member needs in a —drive-away” kit. This kit includes personal support supplies, as well as materials and equipment to support the ERG tasks.

## Class Plan- Seminar Topics/ Activities

- Threats
- ICS/NIMS
- Role of Transportation
- HSPD-20, NIPP, CGC-1
- COOP Overview
- Essential Functions
- Orders of Succession/Delegation of Authority
- Alternate Facilities
- Communications
- Vital Records
- ERG
- Devolution/ Relocation
- Reconstitution/Return to Normal Operations
- After Action Review/ Improvement Plan
- Test, Training and Exercise Plan
- FEMA learning resources
- Break
- ERG checklist development
- ERG kit list development



Review the presentation plan- items listed above. Remind students that the notebook they have been given is intended as a personal reference book for their use in staying prepared for a possible COOP event, and as a guide during an ERG activation. Students should take notes in the books to enhance their personal capability for responding to an COOP event.

## Events Leading to Internal COOP- ERG Maintains EFs

Minimal	Low	Medium	High	Catastrophic
Mold in lab	Regional power outage	Legionnaire's disease	Headquarters fire, major damage	Delta levees fail flooding the state capital
Relocation for six months- one facility	Relocation for 2 weeks- all State DOT activities	Relocation for six months- all State DOT headquarters activities	Relocation for 2 years, all State DOT headquarters activities	Permanent relocation of State DOT headquarters
State DOT, GSA find a local rental, clean-up or permanent relocation	State DOT uses telecommute/ devolution to Dist A or B; return when grid repaired	State DOT, GSA find a local rental, Dept Health oversees clean- up; return to headquarters	State DOT, GSA find a local rental, GSA oversees clean-up; return to headquarters	State DOT, GSA find a metro area relocation in coordination with Governor's Office



Emergencies come at many levels. Some emergencies are limited to a small work group or single site, while others may include a large region and multiple states. Interest in continuity of operations planning grew out of the Cold War, but Hurricane Katrina pointed to the need for continuous readiness for natural events that disrupt the delivery of services and put unusual demands on transportation systems. Transportation is the keystone of all disaster response, as without open roadways, ports, airports and rail facilities the ability to deliver and support all emergency services is compromised or eliminated.

The chart shows that events at different levels require different activities from the Emergency Relocation Group. Mold in one building disrupts the ability to deliver a limited number of services, which may be contracted out or conducted from another relatively convenient site. A regional power outage may require a devolution of activities to a district with power while Headquarters waits for the restoration of local power. An infectious disease outbreak in the Headquarters building may require isolation and quarantine of workers until epidemiologists understand the source and course of the disease, so telecommuting may be the primary method for maintaining essential services, perhaps with devolution for technical work, until the building is sanitized and reoccupied safely. A fire in the Headquarters building could result in loss of records and equipment, as well as loss of a work site, leading to reliance on materials stored off-site in redundant drives or hard copies, and a long term relocation. Flooding of the capital city could result in total loss of Headquarters records and facilities, requiring permanent relocation following a period of devolution, continuity worksite use, and telework.

## Categories of Escalating Threats Leading to State/National COOP

MINIMAL Field ICS Plan, SOPs	LOW Field ICS Plan, SOPs, Specialized plans	MEDIUM Field ICS Plan, SOPs, Local EOPs	HIGH Field ICS Plan, SOPS, Local EOP, State EOP	CATASTROPHIC Field ICS Plan, SOPs, Local/Department EOP, State EOP, COOP/COG, National/State Emergency Functions
Tornado	Ice Storm	Flood	CAT 3 - 4 Hurricane	Major Earthquake / New Orleans CAT 5 Hurricane
Influenza, food borne illnesses, endemic plague	Anthrax, plague with 1-2 cases	Pandemic Influenza	Smallpox	Bio-Engineered Agent Terrorist Attack
Traffic Accident	HAZMAT Spill	Aircraft Crash	Dam Break Major Floods	Nuclear Plant Significant Incident



This chart shows how various types of threats trigger the use of field-level ICS plans and standard operating procedures. As the scope and severity of the threat increases the layers of plans are invoked, leading to larger numbers of response entities participating in the event. For example, a tornado that only effects a portion of a town with minimal loss of life would only require the use of the Field ICS functions and their related procedures. However, a hazardous materials spill might require the relocation of dozens of people for several hours while the release is stopped and the airborne plume dissipates. This would require the use of specialized plans, like community relocation plans, and might require multi-jurisdiction collaboration through a Field ICS MACs organization. A flood would likely require the activation of the local emergency operations center and the use of the community’s emergency operations plan to coordinate flood fighting, evacuation, and care and shelter of the population at risk; and the recovery of the flooded community, which could include post-flood disease issues, debris removal and elevation of the houses before re-occupancy. A Cat-3 hurricane hitting a major population center would require the state to assist the impacted communities, adding a layer to the response. Finally, a major earthquake would be likely to overwhelm even the state’s capabilities to respond, and invoke the federal government’s Emergency Support Functions (ESFs), such as transportation, care and shelter and medical care. As each level of government is added to the participant list for an event more coordination is needed to ensure effective and efficient response to community needs.

## What could happen?

- **Disaster:**
  - A human caused or natural disaster is community-wide in impact and requires mutual aid from nearby communities.
  - Loss of life, property damage and critical infrastructure damage may be widespread.
  - State and Federal funds are required for community recovery.
  - Disasters are managed with more elaborate emergency plans that include multi-disciplinary cooperation.



Chile Earthquake 2010



Response to a disaster involves an entire community. Disasters...disrupt social interaction and interrupt the ability of major community systems to afford reasonable conditions of life. ...they require resources from outside the community [but] are confined to a sufficiently narrow geographic area that resources can come from nearby ... ." (Perry and Lindell, 160) The response to a disaster will involve the whole emergency response system of the community, and possibly invoke the activation of the mutual aid system on a statewide basis.

For example, the Loma Prieta Earthquake was a disaster. Loss of life, property damage and critical infrastructure disruption occurred across the San Francisco Bay Area. The Bay Bridge top deck portion collapsed onto the bottom deck, closing the bridge for months while repairs were completed. This loss of commuter access resulted in the restoration of historic ferry service from Oakland to San Francisco, and ultimately in the creation of the Water Emergency Transportation Authority (WETA) for use in future disruptive events. (WETA)



# What could happen?



Loma Prieta damage to Cypress Structure, Oakland, CA

Loma Prieta damage to Bay Bridge, Oakland, CA



Deaths and destruction from the Loma Prieta Earthquake occurred from Watsonville in Monterey County to Santa Cruz, Santa Clara, San Francisco and Alameda Counties. Mutual aid came from all over the state, and federal financial assistance was required for restoration of infrastructure and public facilities. Yet even with this regional impact there were areas that suffered little damage and were able to assist with response to the most damaged areas. For example, the San Jose Fire Department provided search and rescue mutual aid to the collapse of the Cypress structure of the I-880 freeway in Oakland, just 35 miles away. Functioning utility services enabled restaurants in Fremont less than twenty miles away to provide food for the first responders. Caltrans had to close and repair the bridge and the Cypress structure, and take down the Embarcadero Freeway in San Francisco, but after inspecting their other infrastructure the Bay Area's major circulation patterns were restored

## What Could Happen?



Response to a disaster requires not only well developed plans and standard operating procedures, but also regional coordination and outside financial assistance for recovery. Many states have developed mutual aid programs since World War II. For example, California's mutual aid system encompasses twenty four professions, such as law enforcement, fire service, emergency medical service, ambulance service, building officials and coroners, organized along regional lines to respond to disasters. (Integrated Waste Management Plan) A disaster also demands significant financial support, sometimes from available insurance, but most often through state and federal government emergency assistance programs. In a presidentially declared disaster the federal government pays at least 75% of the emergency response costs under the Stafford Act, and additional public assistance funds are available for the restoration of public facilities. (Edwards and Afawubo, p. 85-86)

## What could happen?



Although federal and state funds may assist with local recovery and reconstruction, the impacted community still bears part of the financial burden, and if the local destruction is significant the lack of local funds may result in long-term economic slowing. For example, even though the Northridge Earthquake was localized within Los Angeles, those neighborhoods with significant damage to residential structures had a slow recovery as owners, already with highly leveraged mortgages, could not find loans or grants to repair or rebuild. The loss of residents in turn bankrupted neighborhood businesses, resulting in the abandonment of areas, called “lost-towning.” (California OES) Although Hurricane Katrina struck in 2005, thousands of homes in New Orleans remain uninhabitable as residents are unable to prove ownership, or are unable to get the funds needed for repairs, as the Road Home Program gave either the cost of repairs or the pre-disaster value of the home, whichever was less. A 2011 court decision will give 1,400 more homeowners funds to complete repairs, but thousands of other homes need repairs. (Robertson, 2011) The impact of disasters may be localized but is long-term and multi-dimensional.

- Catastrophe:
  - an event that causes widespread, multi-sector damage to multiple communities at the same time.
  - because of the widespread damage, assistance may have to come from far away.

## What could happen?



Haiti Earthquake:  
Ministry of Public Works



11

A catastrophe is an event that causes widespread, multi-sector damage to multiple communities at the same time. A catastrophe is characterized by wholesale damage to infrastructure and the built environment, including significant damage to the disaster response assets and deaths or injuries to emergency response personnel. Because of the widespread damage outside assistance may have to come from a distance, exacerbating the challenges of immediate response. National and international media coverage of the event continues for weeks to months, politicizing the event on many levels. (Quarantelli, 2006)

While Hurricane Katrina is the latest US catastrophe, the 1900 Galveston Hurricane, 1906 San Francisco Earthquake and 1947 Texas City maritime explosion are also examples of catastrophes. In each case the entire community was devastated by the event, resulting in loss of local response capabilities and a distance-generated delay in response from first responders. In each case aid came from other states and the military, and rebuilding was slow.

The magnitude of a catastrophe is difficult to predict in advance because it usually involves a “perfect storm” of factors, such as notification failures, poor immediate response, failure of the residents to act on the information available to them, and poor pre-event physical planning and construction. Because the local – and often -regional infrastructure is significantly damaged- notably roads and transportation assets, outside response is delayed, leading to increases in loss of life and suffering for survivors.

## COOP/COG Plans

- Developed to ensure that State DOT can continue to provide essential services even in a catastrophe!
- May be needed even in single-site events if the State DOT Headquarters is involved, as shown in the chart on slide 5.



Read slide.

## How do we know what is likely to happen in our state?

- The State EMA has conducted a **threat analysis** as part of the development of the State EOP and hazard mitigation plan.
- USGS, National Weather Service, FBI, State Geologist, utility operators and local first responder agencies have historical data for local areas within the state.



A threat analysis has been conducted by the State's EMA as part of the development of the state's emergency operations plan. This is available at the State's website. In addition, the State EMA developed a Hazard Mitigation Plan for the state that evaluated the existing hazards – natural, technological and human-caused, the likelihood of each hazard occurring, and the consequences of such an occurrence. When loss of life, significant property damage or significant environmental damage may result, steps are taken to lessen the damage from the occurrence through physical strengthening, zoning changes to keep people out of harm's way, policy changes regarding use and location like the special geological hazard zones, or insurance to help with rebuilding.



## Threats to the State

- Those that have the potential to deny use of the Headquarters or other key facilities; affect Mission Essential Functions

- **Natural Hazards:**

earthquake, flood, levee, dam failure, mold infestation

- **Technological Hazards:**

power outage, water interruption, hazmat event, electrical fire

- **Human/terrorist-**

**caused:** IED/bomb, hostage taking, biological agents, nuclear devices



The state's threat analysis includes a variety of natural, technological and human-caused events that can significantly impact the community and the first responders simultaneously. Such events may prevent the State DOT from delivering services in the disaster area. This slide lists some hazards in each category that would lead to loss of essential services. (review slide)

## How do we handle a catastrophe?

- The National Incident Management System (NIMS) is used in the field and in Emergency Operations Centers- state level, department, district, local jurisdiction.
- In the EOC NIMS is strategic, and focuses on supporting the field and coordinating resources, information and communications using internet, satellite and other specialized communications systems.



NIMS was created to ensure that all jurisdictions responding to a disaster are using a common operating system, speaking the same language and using the same terminology for equipment and personnel positions. NIMS is applied across all professions responding to a disaster. (review slide)



## How do we handle a catastrophe?

- NIMS was created through HSPD-5.
- HSPD-5 mandates that all federal agencies must use NIMS/ICS for all phases of emergency management.
- To qualify for federal emergency preparedness grants all state and local agencies must use NIMS or a state equivalent.



On 9/11 the response to the New York City World Trade Center attacks was uncoordinated in its early hours, with self-dispatched volunteers working on the rescue, poor personnel oversight, failure of first responders to use prescribed personal protective equipment, even when the New York State Department of Environmental Health mandated respirators, and no central command and control at the scene of the collapse. Contrast that to the well-coordinated, intergovernmental response to the attack on the Pentagon. The Arlington Fire Department used ICS to manage all elements of the event, which was brought to a rapid close. As a result the White House Office of Homeland Security recommended the adoption of a “national incident management system” based on ICS. NIMS was created by HSPD-5 and includes five key components: command and management, preparedness and planning, resource management, communications/information management, ongoing maintenance/management and supporting technologies. NIMS includes ICS as the command element.

## Role of Transportation

- HSPD-7 (National Infrastructure Protection Plan) defines Transportation as a vital part of our nation's critical infrastructure encompassing six key modes:

- Highway, mass transit, rail, aviation, pipelines, and maritime

- **Transportation has important interdependencies with other critical infrastructure sectors**



(Review slide)

Elaborate on the role of transportation:

Ability to move goods and people is crucial to the economy on a day-to-day basis

Road trucking, rail, maritime, air

Manufacturers site facilities based on access to transportation

Supply chain is crucial to creation of manufactured goods, delivering parts just-in-time to save warehouse space and working-capital costs

People need to be moved to work

Finished goods need to be delivered to warehouse, distributor, retailer/ point of sale, direct customer, point of shipment

Trucks carry 29% of cargo in US, depend on roads, bridges

Maritime, aviation and rail rely on multi-modal interface to trucking for flexible, local deliveries

## Role of Transportation

- National Infrastructure Protection Plan:

- Recognizes economic importance
- Acknowledges critical role in disaster response
  - No road, no response by police or fire
  - No road, no medical help (EMS) or transportation to medical care (ambulances)
  - No road means no relief supplies to damaged area, slowing or stopping response and recovery efforts



The California Highway Patrol's motto is —“alloads, all codes.” Dan Goodrich of MTI points out that it all starts with usable roads: —“nroads, no codes.” The National Response Framework makes Emergency Support Function #1 Transportation, demonstrating the importance of the ability to deliver goods and services to impacted communities. First responders were moved to the World Trade Center by public buses on 9/11. As shown in these photos, loss of the road system in New Orleans slowed the rescue of thousands of residents stranded on their roofs. Evacuation by road and rail saved thousands of lives in Hurricane Ike. (Review slide.)

## Transportation's Emergency Role

- At the national and state level Transportation is designated **Emergency Support Function #1**
- Under the State Emergency Plan State DOT not only assesses damages and provides route recovery, but also supports fire and rescue, care and shelter, construction and engineering, and hazardous materials incidents.



Even if the state's Department of Transportation headquarters is damaged or destroyed, the state population, agencies and economy expect continued services.

In an emergency, transportation is the essential key to response and recovery. For example, the State of California's emergency operations plan matrix shows the interrelationships between activities and departments, and transportation. (Source: Exhibit 13-2 State Agency Responsibilities Matrix, State Emergency Plan, July 2009.)

Long distance trips are crucial to support of the supply chain, creation of trade goods, and acquisition of relief supplies.

Local trips are crucial to support emergency response, getting police and fire personnel to the victims, providing field medical care (EMS), getting the victim to definitive medical care in a hospital, or to a Disaster Medical Assistance Team (DMAT) emergency facility.

Ability to provide rapid emergency response and human care is essential for maintenance of civil authority.

# Federal Mandates

- NSPD-51/HSPD-20
  - Established the Federal Executive Branch COOP/COG program and National Essential Functions assignments
  - PMEFS must be able to continue for 30 days
- CGC-1- forms structure for non-federal COOP plans
  - COOP plans and procedures elements
  - Risk management/threat analysis



HSPD-20 mandates COOP planning for federal executive branch agencies. It lists National Essential Functions, Primary Mission Essential Functions and Mission Essential Functions of federal agencies. These are activities that the national government must continue, regardless of the loss of resources at the federal level. While the NEFs are federal obligations, states are expected to support the PMEFS and MEFs. Continuity Guidance Circular-1 provides guidance for the development of COOP plans at the state, tribal and local levels. The primary goal of such plans is to ensure the continued operation of all PMEFS and MEFs of the federal government, as well as essential functions of the state itself.

Identification of the state's essential functions is done by the State EMA. The State DOT will be expected to support these state functions. In order to do that the State DOT will have to identify its own internal functions that are essential for it to continue to deliver services.

## CGC-1 Planning Elements

- Essential functions.
- Orders of succession.
- Delegations of authority.
- Continuity facilities.
- Continuity communications.
- Vital records management.
- Role of the ERG.
- Test, training, and exercise program.
- Devolution of control and direction.
- Reconstitution operations.



CGC-1 lists the elements that must be included in an organization's continuity of operations plan. The planning process starts with the identification of that agency's unique functions that must be continued even in a catastrophe. Once the essential functions are identified, a series of actions is needed to ensure their continuity regardless of community conditions. Thus, planning for alternate work sites (continuity facilities), identifying the records and systems needed to sustain the functions, and identifying the key personnel to perform the functions are part of the COOP planning process.

## Continuity of Operations

- Because of the critical role of transportation in maintaining economic activity, and in disaster response and recovery, it is crucial for state-level transportation agencies to be able to continuously deliver ESSENTIAL functions under all circumstances
- Continuity of Operations Plan includes recognition of essential functions and the activities, equipment and facilities needed to maintain them in any emergency or disaster

(Review slide)



## Continuity of Operations

- Emergency Operation Plan describes the transportation agency's response to "normal emergencies"
  - Provides overarching plan for emergency response and integration with other agencies
  - Describes the emergency operations organization and strategies
  - Describes the emergency operations center and its functionality



State DOT has a variety of plans that are used during disasters. The State DOT emergency operations plan describes how the organization will assemble key personnel in the emergency operations center to coordinate activities in response to an emergency within the state. The State DOT EOC may be opened any time that the state, a state agency or any political entity within the state needs the services of State DOT to prepare for, respond to or recover from a disaster. This can be as straightforward as issuing overload permits for a freeway to allow a vendor to move a piece of disaster response equipment like a crane or generator, or as complex as evaluating the state of repair of a transportation system after an earthquake. Generally, the EOC is activated and the EOP is used when the headquarters is not a victim of the disaster.

(review slide)



## Continuity of Operations

- COOP is an annex to the EOP
- COOP covers **catastrophic and national security** events; those that prevent the use of principal operating facilities, and/or critical functions of the department
- The EOP provides guidance for the response to an emergency or disaster; the COOP supports the agency's role in an emergency with internal loss of function, and disaster with catastrophic impact on essential functions



The changing threat environment has shifted our awareness to the need for Continuity of Government (COG) and Continuity of Operations (COOP) capabilities that enable state and local governments to continue their essential functions across a broad spectrum of emergencies. In anticipation of major catastrophic disasters, governmental units must be prepared to maintain operations throughout all types of destructive events including enemy attacks by any method. Continuity of Government has been defined as the preservation, maintenance, or reconstitution of the civil government's ability to carry out its constitutional responsibilities.

In the response continuum, COOP was merged with Continuity of Government and that is the distinctive difference with the EOP. The EOP describes how the State DOT will respond to disasters when it is not a victim. The COOP/COG plan describes how the State DOT will continue to deliver services even when the headquarters, and its facilities and personnel, are victims of the disaster.

(review slide)

## Essential Functions Defined

- Each agency must review its emergency operations and determine which are Mission Essential Functions that must be continued throughout or resumed rapidly following a disruption
- State DOT identifies those activities which support the State key essential functions which are the overarching responsibilities of State Government



Continuity Guidance Circular- 1 defines **essential functions** as those functions that enable an organization to:

Provide vital services.

Exercise civil authority.

Maintain the safety of the general public.

Sustain the industrial or economic base during an emergency.

In other words, essential functions are an agency's business functions that must continue with no or minimal interruption.

(Review slide)

Each state will define its essential functions differently, depending on what activities and systems are within its daily operations. For example, in California Caltrans is responsible for the highways, general aviation airports and helipads, but commuter rail is operated by special authorities like Amtrak, ACE and Caltrain. In contract, the Massachusetts DOT operates the state's road system, the throughway, the MBTA in Boston and bus lines in outlying areas. Each State DOT has to determine which activities must be maintained uninterrupted during a disaster, and which can be phased in as the recovery unfolds. Because DOTs use different systems, supporting functions for the COOP will also be different. For example, some DOTs use cloud computing, so redundant files may already be available in cyberspace, while others use multiple servers in multiple location to ensure redundancy of critical information like personnel records and bridge as-builts.

## State Essential Functions (SEFs)

- **Government Leadership** – Provides visible and effective leadership for the people of the state while restoring and maintaining critical state essential functions.
- **Public Safety** – Maintains public safety and security for the people of the state and decreases their vulnerability to threats and hazards
- **Emergency Management** – Protects and preserves the lives, property and environment for the people of the state from the effects of natural, technological or human-caused disasters.

Here are some definitions of the functions that the state must provide with minimal interruption: (review slide)

## State Essential Functions

- **Public Health and Medical** – Ensures the continuity and strength of the state’s medical, public health, mental health organizations and systems.
- **Social Services and Education** – Ensures the continuation of essential social services for the people of the state
- **Critical Infrastructure** – Preserves the state’s infrastructure, including its transportation systems, energy systems, utilities, dams and other critical components.
- **Financial, Economic and Business** – Ensures the financial and economic security of the state’s business, financial systems/institutions and its citizens

Review slide

# State Essential Functions

- **Information Technology/Communications** – Protects, maintains and preserves the state's communications and technological capabilities. Ensures continued interoperability of the state's communications systems.
- **Agriculture** – Promotes and preserves the livelihood of the state's agricultural community and all its members
- **Environment** – Protects, preserves and restores the state's natural environment, ecosystems, resources and natural habitats
- **Information Collaboration** – Encourages and enhances information sharing and collaboration between Local/State/Federal and Private Sectors to more effectively respond and recover from all threats

Review slide

# National Essential Functions

1. Ensuring the continued functioning of our form of government under the Constitution, including the functioning of the three separate branches of government;
2. Providing leadership visible to the Nation and the world and maintaining the trust and confidence of the American people;
3. Defending the Constitution of the United States against all enemies, foreign and domestic, and preventing or interdicting attacks against the United States or its people, property, or interests;
4. Maintaining and fostering effective relationships with foreign nations;



**National Essential Functions (NEFs)** are the subset of Government functions necessary to lead and sustain the Nation during a catastrophic emergency. They are the eight functions the President and national leadership will focus on to lead and sustain the nation during a catastrophic emergency.

NEFs shall be the primary focus of the Federal Government leadership during and in the aftermath of an emergency that adversely affects the performance of Government Functions:

(read slide)

# National Essential Functions



5. Protecting against threats to the homeland and bringing to justice perpetrators of crimes or attacks against the United States or its people, property, or interests.
6. Providing rapid and effective response to and recovery from the domestic consequences of an attack or other incident;
7. Protecting and stabilizing the Nation's economy and ensuring public confidence in its financial systems; and
8. Providing for critical Federal Government services that address the national health, safety, and welfare needs of the United States.

Read slide

#	Agency Operating Unit	Essential Functions	Priority (A,B,C)	SEF	PMEF	MEF
1	Headquarters/ Department Director	Coordinate with FHWA for State Highway System (SHS) repair costs share	A	X	X	
2	Headquarters/ Department Director	Responds to Governor's requests for information	A	X	X	X
3	Headquarters/ Department Director	Responds to Agency Secretary's requests for info	A	X	X	
4	Headquarters/ External Affairs	Provide trans. system info to gov't/public/business	A	X	X	
5	Headquarters/ Maintenance	Permits Overweight Vehicles	A	X	X	

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This slide is an example of a state-level transportation agency Essential Functions Table showing activities and the essential functions they support. Let's look at the State DOT Essential Functions list found in your class materials. Note that State Essential Functions are activities that State DOT is constitutionally obligated to perform. Primary Mission Essential Functions are activities that the federal government has designated as critical during disasters that fall within State DOT's responsibilities. Mission Essential Functions are activities that the federal government has designated as essential to support the work of other agencies during a disaster.

(Note: Direct students to the notebook tab with the State DOT Essential Functions List. Read the list as students note the priority assigned and whether it is a state essential function only, or also is a federal Primary Mission Essential Function or Mission Essential Function.)

Keeping the state highway system open is crucial for emergency response from local and in-state responders, as well as for out of state mutual aid assets like urban search and rescue teams and disaster medical assistance teams. Managing the highways includes providing rapid inspections and repairs, and issuing permits for overweight equipment and supplies, such as drinking water or cranes.



## Orders of Succession/ Delegation of Authority

- Orders of succession
  - A list of who will do what job when the usual staff and executives are not available
- Delegation of authority
  - A legal document that empowers specific staff members to act on behalf of absent executive staff members



In a disaster or catastrophe some staff members may be unable to get to work. If communications are disrupted and roads are impassable – as in a flood or earthquake – it may be days before the usual executive staff members can participate in the disaster response. Each agency must determine who will take over the roles that provide the essential services when the usual leaders are gone.

State DOT executives have specific prerogatives for managing the organization’s resources and making financial decisions. These powers are authorized for individuals or positions, as specified in Director’s Orders or other official documents. In a disaster or catastrophe these authorized people may be unavailable. In order to ensure that State DOT essential functions can be carried out – including spending funds, ordering the demolition of facilities, and managing the work of available staff members – these senior executives must officially appoint other staff members to carry out their duties in their absence.

Orders of succession and delegations of authority ensure that the essential functions continue to be provided, regardless of whether the normally designated staff is available or not. (Review slide)

# Alternate Continuity Facilities

- Primary and 2 alternate facilities
- Considerations:
  - Access
  - Space
  - Pre-staged equipment & support materials
    - Maps, plans, documentation/reimbursement forms
  - Infrastructure: water, power, heating, HVAC
  - Safety, health/medical, rest facilities
  - Interoperable communications
  - Computers, peripherals, software



Under some circumstances the State DOT headquarters building may be unavailable. This could be something as simple as an area-wide power outage, or as complex as delta levee failure and related flooding. In either case the work of State DOT's Headquarters would have to continue but at another location. State DOT has designated one location as the primary alternate facility for continuity of essential functions, with a plan to co-locate the alternate emergency operations center for ease of coordination. There are two other back up locations, as shown on the map. In the event that the State DOT headquarters is unavailable, one of these three facilities would be opened to continue providing essential services.

**The members of the Emergency Relocation Group – you! – would go to one of these sites and continue the essential functions.** This means that you will have to bring your own personal support supplies – your car kit as discussed in the NIMS class – your professional equipment and information such as maps, directories, plans, lists of contractors and their contact information, and any supporting technology that is essential for your work – cellphone, extra batteries and charger; laptop computer, spare battery and charger; computer printer; computer scanner; drafting materials; paper forms; other supplies and equipment needed for your position. Some larger documents may be stored using “old computing” technology. Some materials may be stored at the alternate sites in advance, but keeping directories and lists up to date off-site will be difficult. Consider putting the emergency operations plan, COOP plan and essential form sets on a thumb drive that you keep in your emergency kit. On the first of each month rotate your drinking water, and prescription and over-the-counter medications, and update your thumb drive. (Read slide)

# Communications Assets

- Essential for continuing vital work
- Connect field to EOC/Alt Facility to State
- Across spectrum of technologies
  - Blackberry, cellphone
  - Land lines
  - Land mobile radios
  - Satellite phones
  - E-mail – leased land lines, owned fiber optic
  - Internet based, e.g. RIMS
  - Two-way, short distance radios
  - RACES (Radio Amateurs in Civil Emergency Service)



(Review slide)

Some of these communications assets may be able to be brought to the alternate facility when it is activated, or may be stored there. You should always be prepared to perform the essential functions with only what you personally bring in case equipment stored at the alternate continuity facility has not been charged, or transportation of the equipment is not possible because of disaster conditions.

Be sure to include a —car charger” in your communications kit. Your car battery is capable of recharging your electronic equipment if other means are not available, provided you have the appropriate adapter for the car’s cigarette lighter. Such adapters are available for cellphones and handheld radios, and may be obtained for many types of PDAs and laptop computers.

Be sure to fill up your gas tank so you can run your car to keep the battery charged. Be sure to keep your car at least half full at all times to ensure your safe passage to the alternate/continuity site and the ability to charge your communications equipment, even if gas is no longer available in a community, as during a power outage.

## Vital Records

- Supports SEP, PMEF, MEF, ESF #1
- Contains essential knowledge to perform essential work, or to provide administrative support to essential work
  - COOP, EOP
  - As-builts (roads, bridges, facilities), maps, engineering plans, deeds and leases
  - CAD and paper drawings of equipment and vehicles, maintenance records, pink slips
  - Contracts and cooperative agreements, grants
  - Financial records, accounts receivable, payroll, personnel, benefits
  - Software copies, licenses, contracts, procedures



Various departments within State DOT have evaluated their documents and records and have determined which items are vital to performing the essential functions of State DOT. While some of these materials are normally available on computer networks, it is important to understand that wireless and wired access to the Internet may be disrupted as a result of the catastrophe. For example, in Hurricane Katrina people were able to send text messages but not to use the voice functions of cellphones for four days. Access to the internet was not restored for five days, and then only for people with alternate power supplies because the electricity was off for more than 20 days throughout the region, not just the flooded areas.

If you will need vital records to do your work, find out in advance how to access them from the alternate facilities and what kinds of back-up systems are in place if there is no Internet access. Some documents have been stored through “cloud computing” technologies, and may require special URLs and passwords. This information should be checked regularly and updated in your emergency kit monthly.

## Vital Records

- Methods: pre-positioned/stored, hand carried, backed-up at third location, cloud computing
  - Hard copy storage at Alt Facility
  - Electronic copy at Alt Facility
  - On ERG checklist for transport
  - Cyber storage of electronic copy- how will you access this data? Who has the passwords?



(Review slide.)

Some small businesses handle the problem of ready access to vital records by using thumb drives or portable hard drives. Hard drives with tetrabytes of space are readily available. At the end of each business day they back up the crucial lists, maps and plans to these drives and put them in the trunks of their cars in an emergency kit. That way they always have access to their information. Remember that Mayor Ray Nagin left his emergency operations plan behind in the trunk of his car when he went to his informal disaster alternate location in a hotel room, and he and his few trusted advisers had to reinvent emergency management with no resources, not a very successful method.

Larger organizations have begun using —“cloud computing” technology to store vital records in password-protected cyberspace. Such materials can be accessed from any location with internet access. The material will remain inaccessible if the internet is down due to lack of power or physical damage to connections such as phone lines or dedicated fiber optic lines. In some disasters access will be significantly impaired by system damage, meaning very long download times for large files. Direct satellite link-ups can be an emergency back-up for internet access, but such systems are expensive and generally require a monthly subscription fee regardless of actual use.

## Emergency Relocation Group

- Prepare and maintain “go-kits”
  - Checklist and kit list activities today
- Personal and family preparedness
  - Handouts
- Staff Alternate Facility
  - Alternate facilities located in COOP/COG Plan



### Emergency Relocation Group Responsibilities

Personnel selected for the Emergency Relocation Group (ERG) share several important responsibilities. They:

Participate in continuity tests, training, and exercises.

Prepare office “go-kits” that contain all of the information, supplies, and materials needed initially for continuity plan activation.

Ensure that they and their families are prepared for an emergency that may require continuity plan activation.

\* review your Disaster Service Worker (DSW) obligations with household members

\* make a family plan, out of state contact, school/day care plan to keep your child or emergency pick-up person designated in writing

\* join/ help create Community Emergency Response Team (CERT) in your neighborhood so your family is part of a support network when you cannot be home

This information is included in your notebook under Tab 5.

Report to the alternate continuity facility or other assigned work area whenever the COOP/COG plan is activated.

## Other Employees- Not ERG

- Roles as Disaster Service Workers
  - DSW handout, Tab 5
- Telework
- Contact system
- Preparing for reconstitution



[Note to Instructor: Under Tab 5 there is an example of California's DSW information. You should obtain your own state's version of this program and include or substitute it for the California information.]

Employees who are not members of the ERG may also be needed to ensure that SEFs, PMEFs and MEFs are carried out. Some non-ERG staff may receive new assignments under the DSW program. Remember that all public employees are Disaster Service Workers, and obligated to return to work as soon as possible after a disaster. For example, while new capital projects may not be advanced during the disaster response, the capital projects planning team may be reassigned as the GIS mapping team.

Other employees may stay at home and do tele-work, such as communicating with out-of-state agencies for mutual aid, or coordinating the delivery of goods and supplies to the alternate continuity facility. While not physically present at the alternative continuity facility they can still support the response and continuity effort through various communications systems.



## Other Employees – Not ERG



Telework

Radio Announcements  
for non-emergency  
employees



Employees without a disaster role will remain on standby to return to work as soon as conditions permit. Those employees need a phone tree or website to keep them apprised of the agency's expectations of them. Some agencies buy advertising spots on a pre-designated radio station where they announce employee directives at specified times during the day. For example, every day at noon there is a one-minute update on agency personnel assignments. Announcements use employee ID numbers to maintain anonymity. Some may be asked to assist public agencies closer to their homes, while others may be assigned to rest days in order to be ready to work extended hours when the disaster recovery begins.

All employees will be needed to reconstitute the agency's functions when the normal facility is again available, or when a new temporary facility that supports all agency activities is established.



# Devolution

- The capability to transfer statutory authority and responsibility for essential functions from an agency's primary operating staff and facilities to other employees and facilities, and to sustain that operational capability for an extended period.
  - E.g., Dist A and Dist B for major engineering



**Devolution** is the capability to transfer statutory authority and responsibility for essential functions from an agency's primary operating staff and facilities to other employees and facilities, and to sustain that operational capability for an extended period.

A devolution plan is an extension of an organization's concept of operations for COOP. It is a way of ensuring a COOP capability in the event COOP personnel are unable to perform the COOP mission, or the alternate facility is unavailable to support it, or the equipment needed to perform the activity cannot be transported.

A devolution plan can be activated for a range of reasons and scenarios. Any event—whether natural or manmade—that renders personnel or an alternate facility unable to fully support COOP operations can result in an activation of the devolution plan. Additionally, any event that might be accompanied by or followed by secondary events, such as aftershocks or cascading information systems failures, could also result in an activation of the devolution plan.

For these reasons, agency devolution plans should:

- Identify likely triggers.
- Describe how and when devolution will occur.
- List the resources—people, equipment, and materials—that will be required to continue essential functions and sustain operations.

## Reconstitution: Return to Normal

- The process by which agency personnel resume normal agency operations from the original or alternate continuity operating facility.
- The Facilities Manager is often appointed as the Reconstitution Manager.



Reconstitution is the process by which agency personnel resume normal agency operations from the original or a replacement alternative continuity operating facility.

Agencies must identify and outline a plan to return to normal operations after agency heads or their successors determine that reconstitution operations can begin.

Reconstitution is a complex activity that requires a carefully planned re-occupancy of the original facility, or move into the new facility. A complex project plan is required to ensure that all utilities, safety systems and support systems- like IT systems- are fully installed and working before personnel move into the facility.

Agencies must appoint a Reconstitution Manager who is familiar with the facility requirements of the State DOT Headquarters. He or she will coordinate with the General Services Agency on the repair or replacement of the State DOT Headquarters, taking into account considerations such as proximity to other state functions and access to appropriate levels of government, such as the governor's office, legislative offices and state highway patrol headquarters. The Reconstruction Manager may have to oversee and coordinate repair, reconstruction or original construction of the replacement facility, or tenant improvements in a rented or acquired facility. This person may be the Emergency Relocation Unit leader, or another person appointed separately to this function.

## Reconstitution

1. Inform all personnel that the threat no longer exists, and provide instructions for resumption of normal operations.
2. Supervise an orderly return to the normal operating facility or movement to another operating facility.
3. Report status of relocation to agency partners/customers.
4. Conduct an after-action review.



**These are the basic steps in the reconstitution process.** This work may be accomplished within the ERG through coordination of the Human Capital and Emergency Relocation units.

1. When notified that reconstitution can begin, **all employees must be informed** that the threat no longer exists, provided with the schedule for implementing reconstitution, and the steps that they should take.
2. **Supervise an orderly return** to the normal operating facility or movement to another operating facility. Reconstitution will require the actual transfer of materials, personnel, supplies, and equipment from the alternate continuity facility to the original facility, a new permanent facility, or another temporary facility.
3. **Report the status** of relocation to agency partners and customers. Agencies will need to notify their operations centers, district offices, customers, and other contacts that the transfer back to normal operations has begun.
4. **Conduct an after-action review** of COOP operations. An actual COOP deployment will offer insight into the strengths and weaknesses of the agency's COOP program. Capitalize on the lessons learned about the COOP capability by conducting an after-action review to identify those areas that require corrective action.

# AAR

- The After Action Report provides an opportunity for the COOP staff to review
  - The functionality of the COOP Plan.
  - The comprehensiveness of the coverage of essential functions: what was missing?
  - The comprehensiveness of the coverage of vital records: what was missing?
  - The effectiveness of the plans and the ease of implementation.

The After Action Report (AAR) process brings together the COOP staff to review their experience using the COOP plan. The purpose is to evaluate the functionality of the plan components and improve on the plan for future use.

(Review slide.)

AARs should be conducted after every exercise as well as after every actual use.

## Tests, Training and Exercise

- Measures to ensure that an agency's COOP program is capable of supporting the continued execution of its essential functions throughout the duration of the COOP situation.



(Review the slide)

Tests, training, and exercises (TT&E) are. . .

Measures to ensure that an agency's COOP program is **capable** of supporting the continued execution of its essential functions throughout the duration of the COOP situation.

TT&E is a significant part of a workable and sustainable COOP capability. Implementing a progressive TT&E program ensures that:

- All equipment and systems work as required.
- Employees are able to deploy to the alternate continuity facility within the required timeframe.
- The alternate continuity facility includes everything that is needed for the ERG to perform the agency's essential functions.

Be sure to rotate the exercise alternate continuity sites among the three pre-identified sites to ensure that each is capable of supporting an activation during a continuity event. Have exercise participants note differences in facility capabilities that will impact their personal support kit contents or their professional "drive away" kit contents. For example, one alternate continuity site may have a full kitchen while another may only have a refrigerator and microwave. This might affect the types of food included in the personal support kit. One site may have work stations with several electrical outlets while another may have a limited number of wall plugs, necessitating the inclusion of a multi-outlet extension cord and a roll of duct tape in the "drive away" kit.

# COOP Impacts

## Impact on the Organization:

- Leadership
- Operations
- Security
- Communications
- **A viable COOP plan will minimize the adverse impacts of a COOP event!**



(Review slide)

An event serious enough to warrant execution of a COOP plan will have adverse impacts on the entire organization. The severity of the impact depends on the nature and severity of the emergency and could range from a little to a lot.

- Normal lines of direction and control may be disrupted.
- Normal operations may only be disrupted for a brief time, or for a longer time until reconstitution is completed after the emergency ends.
- Normal security arrangements will be disrupted and the organization could be vulnerable to further disruptions until the COOP site is activated and all employees get home or to a safe location.
- Normal communications links and methods will be disrupted until the COOP site is up and running and reconstitution is complete.

**A comprehensive COOP capability** will minimize these impacts.

# FEMA Learning Resources

There are many independent study courses available through the FEMA website that will enhance your understanding of emergency management systems and continuity of operations/continuity of government. Among these are:

- IS-548 Continuity of Operations (COOP) Program Manager  
<http://training.fema.gov/EMIWeb/IS/is548.asp>
- IS-801 ESF #1 Transportation  
<http://training.fema.gov/EMIWeb/IS/is801.asp>
- IS-860.a National Infrastructure Protection Plan  
<http://training.fema.gov/EMIWeb/IS/is860a.asp>



FEMA maintains an Independent Study site with multiple courses that enhance the understanding of COOP and the importance of critical infrastructure like transportation resources to the state's ability to respond to disasters and maintain essential functions. This list of courses highlights those that most directly relate to the work of the ERG. The first two were assigned as pre-training requirements for today's class. Students may wish to review these courses after acquiring a better understanding of the expectations of the ERG.

The COOP manager's course provides additional details about the work of the ERG and its organization. The ESF #1 course explains more fully the federal view of transportation's role in disasters. The National Infrastructure Protection Plan describes transportation's role within the larger issue of critical infrastructure protection.



## SUMMARY

- The State DOT Headquarters has responsibilities that must be carried out regardless of any emergency, disaster or catastrophe that has occurred.
- The declaration of a state of emergency enhances the demand for provision of the State DOT's essential functions.
- The COOP Plan ensures that all SEFs, PMEFs & MEFs are continued in any situation.
- The ERG ensures an uninterrupted provision of all essential functions within 12 hours of the onset of the disaster and for at least 30 days.
- The alternate continuity facilities ensure that adequate provisions are made for the ERG to operate safely and efficiently for the duration of the disaster.
- Devolution enables some functions to be performed by another State DOT entity.

Read slide



Questions?



# BREAK- 15 minutes



## Role of the Emergency Relocation Group (ERG)

- What is your role in the ERG?
- Which essential functions are you responsible for?
- Who else would you have to work with to ensure that the essential function is accomplished?
- Create a checklist that answers these questions. Be prepared to share this checklist with the group.



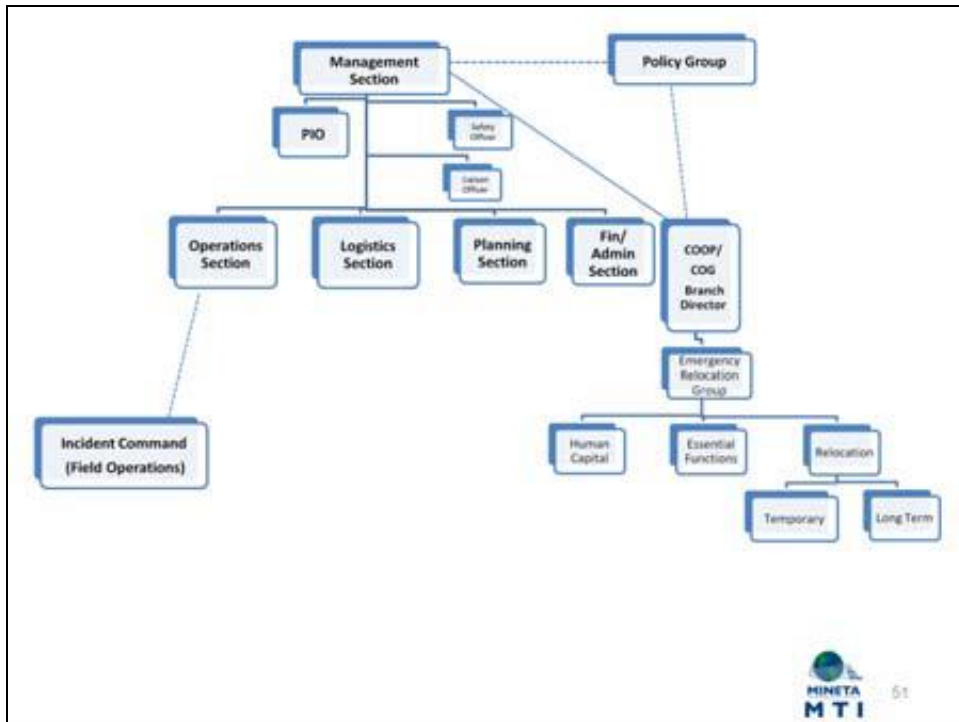
Welcome back!

The second part of the class is focused on the role of the Emergency Relocation Group. We will be describing the structure of the ERG and its relationship to the Emergency Operations Center. A set of basic checklists for some of the COOP/COG Branch positions has been provided behind Tab 6 as a starting point for the development of these and other position checklists. Behind Tab 7 is a set of position descriptions for basic COOP/COG Branch personnel. Other positions may be added to meet the needs of the individual State DOT. (Review slide)

When we have completed the description of the COOP/COG Branch roles, please determine your ERG unit, and gather with those in that same unit: COOP/COG Branch Director/PIO/ERG Supervisor; Human Capital; EFU; Relocation. Then review the position description for your job behind Tab 7, and then review the checklist behind Tab 6. If your job is not there, use a blank form to create a position description as completely as you can. Likewise, if there are other positions that should be in your unit but that are not yet staffed, please complete a position description for that role as completely as you can.

In considering how you would fulfill the SEFs, PMEFs and MEFs assigned to you, please update these descriptions and checklists. Pay special attention to the sections that describe the facilities and support technology that you would need to do your job. Be sure to add all specific software programs and databases that are essential to do your work. Also note the "stakeholders" section, and be sure that you list all the other units, departments and agencies, and critical private sector partners, that are essential to do your job.

We will then work collectively to review ERG roles for this State's DOT and the personal and professional kits that are needed to support the ERG's work. Some ideas for needed materials are included in the position descriptions, but these will need augmentation based on your more complete knowledge of the work to be done.

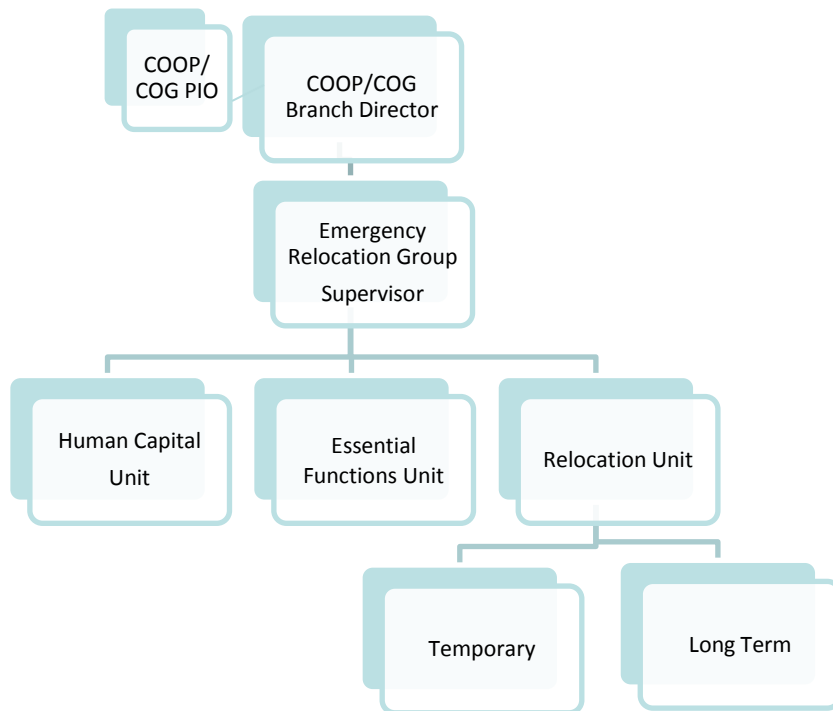


The chart depicts the lines of communication among the elements of the State DOT's emergency response organization.

The Policy Group is composed of senior executive management of the state. They receive updated information regarding the progress of the emergency from the Emergency Operations Center after each of their Action Planning Briefings. They may also request specialized information regarding the provision of the state's emergency functions directly from the COOP/COG Branch Director if the EOC is not open.

The Emergency Operations Center coordinates the State DOT's overall response to an emergency. Applying NIMS to the EOC, they are led by the Management Section and divide the work among Operations, Logistics, Planning, and Finance/Administration. The Operations Section coordinates with the field level ICS command structure, receiving information on the progress of the emergency, and providing coordination and support to the field functions. Recall that the field level ICS function is tactical, while the EOC function is strategic, and responsible for intergovernmental relations.

The COOP/COG Branch is part of the EOC's Management Section. They provide a specialized function of ensuring the delivery of the on-going functions of the State DOT. **While the EOC focuses on providing emergency services, the COOP/COG Branch focuses on ensuring that SEFs, PMEfs and MEFs continue** with no more than a 12 hour interruption, and for 30 uninterrupted days. The Emergency Relocation Group Supervisor supervises the three units of the Emergency Relocation Group.




The Continuity of Operations/Continuity of Government (COOP/COG) Branch is responsible for the continuous delivery of SEFs, PMEFS and MEFs, with an interruption of no more than 12 hours and to continue for at least 30 days. The COOP/COG Branch Director oversees the work of the Branch, and coordinates with the EOC and Policy Group. The PIO coordinates media releases and public messaging with other PIOs in the emergency organization. The Emergency Relocation Group Supervisor supervises the Emergency Relocation Group which is composed of three units.

The Human Capital Group oversees the assignment of all State DOT employees during the emergency, and as such is usually made up of personnel from the central Human Resources department of State DOT. They also authorize and account for time, overtime and related payroll functions, including calculation and provision of benefits to which employees are entitled. They coordinate Workers Compensation and other employee-related claims. Someone in this group is usually responsible for employee family contacts, and for ensuring that counseling services are available to employees during the response and recovery periods. When other parts of the ERG need additional personnel they arrange for staffing, either through callbacks of employees or contracts with outside agencies.

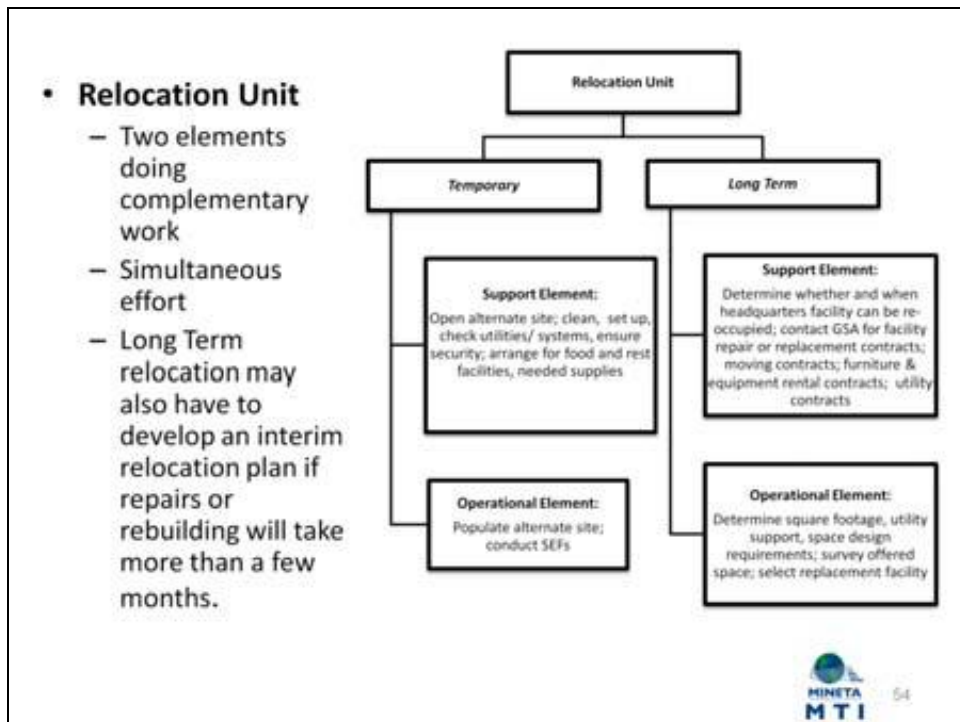
Some of the State DOT staff will be part of the ERG, and will deploy from the normal work location to the alternate continuity location. Others will have to be sent home, or to a safe place until they can get home. Some of the employees sent home may be assigned to telecommute, meaning that they would continue to work from home using available electronic communication systems. Plan writing, GIS map design, and computer aided design (CAD) work are typical of activities that can be effectively carried out from home, and can support the SEFs, PMEFS and MEFs. These employees would be working regular hours and earning a regular salary.

Other state employees might have no work that lends itself to telecommuting. This might include headquarters janitorial staff, receptionists and security personnel not assigned to the ERG. A decision has to be made about the status of these non-working personnel during the disaster period, and this is normally negotiated with the appropriate labor representation. Some people might take vacation while others might be paid while on standby at home. Individual decisions about their work status and compensation will have to be made for each labor group in advance of need.

	State DOT Operating Unit	Essential Functions	Priority (A, B, C)	State Essential Function	PMEF	MEF
1	Director/ Deputy Director	Direct State DOT's emergency response and recovery efforts; order activation of COOP/COG; activation of continuity facilities; support the State emergency response effort; ensure State DOT's coordination with local and Federal response agencies	A	X	X	
2	Director/ Deputy Director	Perform oversight of essential maintenance elements for State Highway System (SHS)	A	X	X	X
3	Director/ Deputy Director	Oversee response to emergency situations that affect the safety and operation of the State Highway System.	A	X	X	
4	External Affairs	Provide transportation system information to government entities, private sector and general public.	A	X	X	



This slide depicts an excerpt from a typical State Essential Functions (SEFs) list, shown by the priority assigned to each SEF, and the relationship of the SEFs to PMEFS and MEFs. A complete list of this State DOT's prioritized essential functions is found behind Tab 3. The ERG's Essential Functions Unit is designed to ensure that these essential functions are performed continuously from the time of the emergency through the recovery period. A typical Essential Functions Unit (EFU) would include engineers to evaluate the state's highway system and design emergency and permanent repairs; accounting personnel to ensure that all disaster-related expenses were accounted for and billed to FHWA, FEMA, insurance policies or a responsible party; contracting staff to manage emergency contracts; and public information specialists to maintain the highway information system (such as electronic signs, 5-1-1). ERG support staff would include IT functions like telecommunications, networks, and computer support; and trades like electricians. Additional personnel would be needed to ensure that all SEFs, PMEFS and MEFs were carried out effectively during the disaster. Some of these other positions might be identified through the planning process while others will only be recognized during exercises or activations. Therefore, realistic TTE cycles are crucial to the success of the ERG in an emergency.



The third unit is Relocation. Their focus is on getting the alternative continuity facility up and running, and supporting its functioning; and on determining when and whether the headquarters facility can be re-occupied, and how to ensure that the work of State DOT carries forward while the headquarters is unavailable.

The temporary occupancy will be needed for at least a few weeks while the headquarters is cleaned and repaired, so the Temporary team will continue to support the work in the alternate continuity facility, perhaps helping to improve working conditions as supplies and equipment become available.

The type and scope of the event will largely determine whether the headquarters will have to have a long term relocation. First an evaluation of the building and its infrastructure will have to be completed. Based on that a decision will be made regarding its reuse, repair or replacement. In the case of a lengthy rehabilitation process it may be necessary to relocate headquarters activities to another site for an interim period.

The Long Term team will be responsible to evaluate the scope and severity of the damage, and recommend whether to obtain a short term replacement facility or a permanent replacement headquarters building, in conjunction with the General Services Administration's real estate and facilities staffs. For example, a fire in the building that was confined to limited areas might permit re-occupancy of large portions of the building within a few weeks, following a smoke and water clean up and reconnection of utilities. However, flooding of the whole first floor might require months to years to repair circuitry, replace wallboard and carpet, and replace furnishings, especially if utilities, elevators and basements were damaged.

These Relocation units would initially be staffed, but might be closed once relocation decisions are made, especially if the decision is a rapid re-occupancy of the headquarters building.



## ERG Checklists

- Each member of the ERG must have a checklist: reminder of work, guide for new personnel
- Samples are provided behind Tab 6
- Each unit of the ERG will share its checklists within its unit.
  - Branch director/PIO/ERG Supervisor; Human Capital; EFU; Relocation
- Unit members will make suggestions for inclusions/additions, and for additional positions, either in the unit or the ERG.



Now is the time for participants to create guidance documents for the COOP/COG Branch and the ERG.

Using the checklists behind Tab 6 and position descriptions behind Tab 7 as a guide, create or update or enhance a checklist for your COOP/COG position. Working in your units, share your checklists and make suggestions for additional items that should be included.

Note that you may recognize some positions that need to be added. Please create a checklist for these positions, as well. You can do this as a group, or the person for whom the missing position would work may create the checklist. If the missing position would be in another unit, start a checklist and give it to the unit where that position would be assigned.

(Review the slide. Answer any questions about the procedures for creating the checklists. Allow 15 minutes to make the checklists and 15 minutes to share the checklists in the group. Note that people should put their personal names on the top of the checklists, as you will collect these to enhance the COOP/COG plan, but will return them to the author for his/her use in preparing for potential TTE and activations.)



## Role of the ERG- Kit Lists

- Considering your role, the items on your checklist and the essential functions that you must perform, which items would you need to perform your tasks?
- 1. Make a list of the items that you should have in your personal kit and professional kit that you would bring.
- 2. Make a list of the items that State DOT should maintain in the alternate facilities.



Now that you have reviewed your role and created your checklist, consider the support items that you would need to do this job for **five days away from home and office**. Although the alternate continuity site may be functioning for 30 days, each person is asked to make a kit that will sustain him for 5 days of work, to allow time for a supply chain to be established for the work of the Branch. Note that you should, however, have a **30 day supply of prescription medications and over-the-counter medications that you take regularly**, like low dose aspirin and allergy medications. Employers are forbidden by law from providing medications.

Second, make a list of items that State DOT should maintain at the alternate sites to enable you to do your job. This could include computer hardware that is too heavy to transport individually, like laser printers and plotters; generators and extension cords for the electronics you will need; paper forms, paper maps, and paper copies of as-builts. Remember that while cloud computing may allow for storage in cyberspace, these items can only be accessed when the internet is working, so either a hard drive, thumb drive or paper version is needed for backup.


Also make a list of support supplies that you expect State DOT to maintain at each site, such as adequate rest room supplies for the expected number of COOP/COG Branch members, EOC staff and regular site staff for at least 5 days. How will showers and laundry services be provided? How will meals be prepared- microwave, stove top, oven? What other needs should be considered in stockpiling the alternate site? (Review slide, answer questions – allow 15 minutes for kit list creation and 15 minutes for sharing in the group. Collect the lists of items for State DOT to stockpile, with personal names if authors want a copy back.)

## ERG Kits

- Each member in turn will read 5 items that he/she has on the kit list. Do not repeat items already read.
- After all participants have read items, remaining items may be read by anyone.
- Additional items may then be suggested by group members.
- The goal is to have a complete list for your personal kit when this activity is complete.




Welcome back. Let's learn from each other as we review personal kits and professional kits. We will go around the room and each person will read 5 items on either the personal list or the professional list that have not been mentioned before. After each person has had a chance to offer 5 items, others may volunteer other items that have not been read. Group members may then suggest other items that they have thought about during this discussion. The goal is to have a complete list for your personal kit and your professional kit when you leave here today. Note that we will collect the lists of items that you want State DOT to stockpile, and the professional kit list for your position, so that we can improve the COOP/COG plan. Please include your personal name and position in the branch on your kit lists so we can include them in the correct portion of the COOP/COG plan, and return the lists to you for your use. (Conduct the kit list review.)



## Summary

- The purpose of the ERG is to ensure the delivery of critical transportation services without interruption during a disaster.
- No roads, no codes!
- Be prepared for your role in the COOP/COG Branch: checklist, kits, family preparedness!



Today we have reviewed the role of the COOP/COG Branch, and your place in it. The purpose of the COOP/COG Branch, and the ERG, is to ensure that all SEFs, PMEFs and MEFs are continued uninterrupted during the early critical hours of a disaster. In these photos we see a flooded community after the Chile earthquake, a tent city in Haiti, and streets blocked by debris in China. In each case transportation was critical to the safety of the residents and the recovery of the community. Getting roads opened to relief goods and rescue teams required the coordination of government agencies for debris removal, creation of workarounds, opening of ports and airports. The State DOT plays a key role in organizing and managing these activities, often through intrastate mutual aid, Emergency Management Assistance Compact (EMAC) between the states, coordination of federal Emergency Support Functions, or contracts with the private sector.

You are a key to the success of this important work. Knowing and understanding your role in the COOP/COG Branch, and being prepared for personal and professional support, will enable you to respond quickly to ensure that the life saving work of the State DOT is carried on, and community recovery proceeds quickly.

This class is not an end but just a beginning. Please take advantage of the FEMA Independent Study classes to enhance your understanding of emergency management. Participate actively in the State DOT's TTE program. In a disaster, opening the roads for first responders is your role!

## Evaluation

- Please complete the evaluation form for this class. It is our goal to make this class useful to the COOP/COG Branch and Executive Staff of State DOT. Your comments will help us continually improve the delivery of this information.
- Thank you for participating!



## Speaker Contact Information

- Name
- Position
- E-mail address
- Other contact information: physical address, phone, website



**Continuity of Operations for  
State-Level Transportation  
Organizations:  
The Role of the  
COOP/COG Branch**

**Seminar**



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**Welcome**

- Introduction of Training Staff
- Self-Introductions of attendees
- Review of class materials



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**Class Plan**

1. Seminar – what is this all about?
2. What is the COOP Emergency Relocation Group and what is my role in it?
3. Practical application of COOP information to my ERG role.



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## Class Plan- Seminar Topics/ Activities

- Threats
- ICS/NIMS
- Role of Transportation
- HSPD-20, NIPP, CGC-1
- COOP Overview
- Essential Functions
- Orders of Succession/Delegation of Authority
- Alternate Facilities
- Communications
- Vital Records
- ERG
- Devolution/ Relocation
- Reconstitution/Return to Normal Operations
- After Action Review/ Improvement Plan
- Test, Training and Exercise Plan
- FEMA learning resources
- Break
- ERG checklist development
- ERG kit list development




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## Events Leading to Internal COOP- ERG Maintains EFs

Minimal	Low	Medium	High	Catastrophic
Mold in lab	Regional power outage	Legionnaire's disease	Headquarters fire, major damage	Delta levees fail flooding the state capital
Relocation for six months- one facility	Relocation for 2 weeks- all State DOT activities	Relocation for six months- all State DOT headquarters activities	Relocation for 2 years, all State DOT headquarters activities	Permanent relocation of State DOT headquarters
State DOT, GSA find a local rental, clean-up or permanent relocation	State DOT uses telecommute/ devolution to Dist A or B; return when grid repaired	State DOT, GSA find a local rental, Dept Health oversees clean-up; return to headquarters	State DOT, GSA find a local rental, GSA oversees clean-up; return to headquarters	State DOT, GSA find a metro area relocation in coordination with Governor's Office




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## Categories of Escalating Threats Leading to State/National COOP

MINIMAL Field ICS Plan, SOPs	LOW Field ICS Plan, SOPs, Specialized plans	MEDIUM Field ICS Plan, SOPs, Local EOPs	HIGH Field ICS Plan, SOPs, Local EOP, State EOP	CATASTROPHIC Field ICS Plan, SOPs, Local/Department EOP, State EOP, COOP/COG, National/State Emergency Functions
Tornado	Ice Storm	Flood	CAT 3 - 4 Hurricane	Major Earthquake / New Orleans CAT 5 Hurricane
Influenza, food borne illnesses, endemic plague	Anthrax, plague with 1-2 cases	Pandemic Influenza	Smallpox	Bio-Engineered Agent Terrorist Attack
Traffic Accident	HAZMAT Spill	Aircraft Crash	Dam Break Major Floods	Nuclear Plant Significant Incident




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• Disaster:

- A human caused or natural disaster is community-wide in impact and requires mutual aid from nearby communities.
- Loss of life, property damage and critical infrastructure damage may be widespread.
- State and Federal funds are required for community recovery.
- Disasters are managed with more elaborate emergency plans that include multi-disciplinary cooperation.

### What could happen?



Chile Earthquake 2010



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### What could happen?



Loma Prieta damage to Cypress Structure, Oakland, CA

Loma Prieta damage to Bay Bridge, Oakland, CA



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### What Could Happen?



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## What could happen?



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- Catastrophe:
  - an event that causes widespread, multi-sector damage to multiple communities at the same time.
  - because of the widespread damage, assistance may have to come from far away.

## What could happen?



Haiti Earthquake:  
Ministry of Public Works

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## COOP/COG Plans

- Developed to ensure that State DOT can continue to provide essential services even in a catastrophe!
- May be needed even in single-site events if the State DOT Headquarters is involved, as shown in the chart on slide 5.



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### How do we know what is likely to happen in our state?

- The State EMA has conducted a **threat analysis** as part of the development of the State EOP and hazard mitigation plan.
- USGS, National Weather Service, FBI, State Geologist, utility operators and local first responder agencies have historical data for local areas within the state.



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- Those that have the potential to deny use of the Headquarters or other key facilities; affect Mission Essential Functions

### Threats to the State



- **Natural Hazards:** earthquake, flood, levee, dam failure, mold infestation
- **Technological Hazards:** power outage, water interruption, hazmat event, electrical fire
- **Human/terrorist-caused:** IED/bomb, hostage taking, biological agents, nuclear devices



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### How do we handle a catastrophe?

- The National Incident Management System (NIMS) is used in the field and in Emergency Operations Centers- state level, department, district, local jurisdiction.
- In the EOC NIMS is strategic, and focuses on supporting the field and coordinating resources, information and communications using internet, satellite and other specialized communications systems.



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## How do we handle a catastrophe?

- NIMS was created through HSPD-5.
- HSPD-5 mandates that all federal agencies must use NIMS/ICS for all phases of emergency management.
- To qualify for federal emergency preparedness grants all state and local agencies must use NIMS or a state equivalent.



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## Role of Transportation

- HSPD-7 (National Infrastructure Protection Plan) defines Transportation as a vital part of our nation's critical infrastructure encompassing six key modes:
  - Highway, mass transit, rail, aviation, pipelines, and maritime
- Transportation has important interdependencies with other critical infrastructure sectors



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## Role of Transportation

- National Infrastructure Protection Plan:
  - Recognizes economic importance
  - Acknowledges critical role in disaster response
    - No road, no response by police or fire
    - No road, no medical help (EMS) or transportation to medical care (ambulances)
    - No road means no relief supplies to damaged area, slowing or stopping response and recovery efforts



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## Transportation's Emergency Role

- At the national and state level Transportation is designated **Emergency Support Function #1**
- Under the State Emergency Plan State DOT not only assesses damages and provides route recovery, but also supports fire and rescue, care and shelter, construction and engineering, and hazardous materials incidents.



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## Federal Mandates

- NSPD-51/HSPD-20
  - Established the Federal Executive Branch COOP/COG program and National Essential Functions assignments
  - PMEFs must be able to continue for 30 days
- CGC-1- forms structure for non-federal COOP plans
  - COOP plans and procedures elements
  - Risk management/threat analysis



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## CGC-1 Planning Elements

- Essential functions.
- Orders of succession.
- Delegations of authority.
- Continuity facilities.
- Continuity communications.
- Vital records management.
- Role of the ERG.
- Test, training, and exercise program.
- Devolution of control and direction.
- Reconstitution operations.



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## Continuity of Operations

- Because of the critical role of transportation in maintaining economic activity, and in disaster response and recovery, it is crucial for state-level transportation agencies to be able to continuously deliver ESSENTIAL functions under all circumstances
- Continuity of Operations Plan includes recognition of essential functions and the activities, equipment and facilities needed to maintain them in any emergency or disaster



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## Continuity of Operations

- Emergency Operation Plan describes the transportation agency's response to "normal emergencies"
  - Provides overarching plan for emergency response and integration with other agencies
  - Describes the emergency operations organization and strategies
  - Describes the emergency operations center and its functionality



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## Continuity of Operations

- COOP is an annex to the EOP
- COOP covers **catastrophic and national security** events; those that prevent the use of principal operating facilities, and/or critical functions of the department
- The EOP provides guidance for the response to an emergency or disaster; the COOP supports the agency's role in an emergency with internal loss of function, and disaster with catastrophic impact on essential functions



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## Essential Functions Defined

- Each agency must review its emergency operations and determine which are Mission Essential Functions that must be continued throughout or resumed rapidly following a disruption
- State DOT identifies those activities which support the State key essential functions which are the overarching responsibilities of State Government



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## State Essential Functions (SEFs)

- **Government Leadership** – Provides visible and effective leadership for the people of the state while restoring and maintaining critical state essential functions.
- **Public Safety** – Maintains public safety and security for the people of the state and decreases their vulnerability to threats and hazards
- **Emergency Management** – Protects and preserves the lives, property and environment for the people of the state from the effects of natural, technological or human-caused disasters.



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## State Essential Functions

- **Public Health and Medical** – Ensures the continuity and strength of the state's medical, public health, mental health organizations and systems.
- **Social Services and Education** – Ensures the continuation of essential social services for the people of the state
- **Critical Infrastructure** – Preserves the state's infrastructure, including its transportation systems, energy systems, utilities, dams and other critical components.
- **Financial, Economic and Business** – Ensures the financial and economic security of the state's business, financial systems/institutions and its citizens



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## State Essential Functions

- **Information Technology/Communications** – Protects, maintains and preserves the state's communications and technological capabilities. Ensures continued interoperability of the state's communications systems.
- **Agriculture** – Promotes and preserves the livelihood of the state's agricultural community and all its members
- **Environment** – Protects, preserves and restores the state's natural environment, ecosystems, resources and natural habitats
- **Information Collaboration** – Encourages and enhances information sharing and collaboration between Local/State/Federal and Private Sectors to more effectively respond and recover from all threats



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## National Essential Functions

1. Ensuring the continued functioning of our form of government under the Constitution, including the functioning of the three separate branches of government;
2. Providing leadership visible to the Nation and the world and maintaining the trust and confidence of the American people;
3. Defending the Constitution of the United States against all enemies, foreign and domestic, and preventing or interdicting attacks against the United States or its people, property, or interests;
4. Maintaining and fostering effective relationships with foreign nations;



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## National Essential Functions



5. Protecting against threats to the homeland and bringing to justice perpetrators of crimes or attacks against the United States or its people, property, or interests.
6. Providing rapid and effective response to and recovery from the domestic consequences of an attack or other incident;
7. Protecting and stabilizing the Nation's economy and ensuring public confidence in its financial systems; and
8. Providing for critical Federal Government services that address the national health, safety, and welfare needs of the United States.



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#	Agency Operating Unit	Essential Functions	Priority (A,B,C)	SEF	PMEF	MEF
1	Headquarters/ Department Director	Coordinate with FHWA for State Highway System (SHS) repair costs share	A	X	X	
2	Headquarters/ Department Director	Responds to Governor's requests for information	A	X	X	X
3	Headquarters/ Department Director	Responds to Agency Secretary's requests for info	A	X	X	
4	Headquarters/ External Affairs	Provide trans. system info to gov't./public/ business	A	X	X	
5	Headquarters/ Maintenance	Permits Overweight Vehicles	A	X	X	

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### Orders of Succession/ Delegation of Authority

- Orders of succession
  - A list of who will do what job when the usual staff and executives are not available
- Delegation of authority
  - A legal document that empowers specific staff members to act on behalf of absent executive staff members



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### Alternate Continuity Facilities

- Primary and 2 alternate facilities
- Considerations:
  - Access
  - Space
  - Pre-staged equipment & support materials
    - Maps, plans, documentation/reimbursement forms
  - Infrastructure: water, power, heating, HVAC
  - Safety, health/medical, rest facilities
  - Interoperable communications
  - Computers, peripherals, software

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## Communications Assets

- Essential for continuing vital work
- Connect field to EOC/Alt Facility to State
- Across spectrum of technologies
  - Blackberry, cellphone
  - Land lines
  - Land mobile radios
  - Satellite phones
  - E-mail – leased land lines, owned fiber optic
  - Internet based, e.g. RIMS
  - Two-way, short distance radios
  - RACES (Radio Amateurs in Civil Emergency Service)



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## Vital Records

- Supports SEP, PMEF, MEF, ESF #1
- Contains essential knowledge to perform essential work, or to provide administrative support to essential work
  - COOP, EOP
  - As-builts (roads, bridges, facilities), maps, engineering plans, deeds and leases
  - CAD and paper drawings of equipment and vehicles, maintenance records, pink slips
  - Contracts and cooperative agreements, grants
  - Financial records, accounts receivable, payroll, personnel, benefits
  - Software copies, licenses, contracts, procedures



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## Vital Records

- Methods: pre-positioned/stored, hand carried, backed-up at third location, cloud computing
  - Hard copy storage at Alt Facility
  - Electronic copy at Alt Facility
  - On ERG checklist for transport
  - Cyber storage of electronic copy- how will you access this data? Who has the passwords?



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## Emergency Relocation Group

- Prepare and maintain “go-kits”
  - Checklist and kit list activities today
- Personal and family preparedness
  - Handouts
- Staff Alternate Facility
  - Alternate facilities located in COOP/COG Plan



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## Other Employees- Not ERG

- Roles as Disaster Service Workers
  - DSW handout, Tab 5
- Telework
- Contact system
- Preparing for reconstitution



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## Other Employees – Not ERG



Telework

Radio Announcements  
for non-emergency  
employees



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## Devolution

- The capability to transfer statutory authority and responsibility for essential functions from an agency's primary operating staff and facilities to other employees and facilities, and to sustain that operational capability for an extended period.
  - E.g., Dist A and Dist B for major engineering



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## Reconstitution: Return to Normal

- The process by which agency personnel resume normal agency operations from the original or alternate continuity operating facility.
- The Facilities Manager is often appointed as the Reconstitution Manager.



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## Reconstitution

1. Inform all personnel that the threat no longer exists, and provide instructions for resumption of normal operations.
2. Supervise an orderly return to the normal operating facility or movement to another operating facility.
3. Report status of relocation to agency partners/customers.
4. Conduct an after-action review.



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## AAR

- The After Action Report provides an opportunity for the COOP staff to review
  - The functionality of the COOP Plan.
  - The comprehensiveness of the coverage of essential functions: what was missing?
  - The comprehensiveness of the coverage of vital records: what was missing?
  - The effectiveness of the plans and the ease of implementation.



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## Tests, Training and Exercise

- Measures to ensure that an agency's COOP program is *capable* of supporting the continued execution of its essential functions throughout the duration of the COOP situation.



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## COOP Impacts

Impact on the Organization:

- Leadership
- Operations
- Security
- Communications
- **A viable COOP plan will minimize the adverse impacts of a COOP event!**



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## FEMA Learning Resources

There are many independent study courses available through the FEMA website that will enhance your understanding of emergency management systems and continuity of operations/continuity of government. Among these are:

- IS-548 Continuity of Operations (COOP) Program Manager  
<http://training.fema.gov/EMIWeb/IS/is548.asp>
- IS-801 ESF #1 Transportation  
<http://training.fema.gov/EMIWeb/IS/is801.asp>
- IS-860.a National Infrastructure Protection Plan  
<http://training.fema.gov/EMIWeb/IS/is860a.asp>



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## SUMMARY

- The State DOT Headquarters has responsibilities that must be carried out regardless of any emergency, disaster or catastrophe that has occurred.
- The declaration of a state of emergency enhances the demand for provision of the State DOT's essential functions.
- The COOP Plan ensures that all SEFs, PMEfs & MEFs are continued in any situation.
- The ERG ensures an uninterrupted provision of all essential functions within 12 hours of the onset of the disaster and for at least 30 days.
- The alternate continuity facilities ensure that adequate provisions are made for the ERG to operate safely and efficiently for the duration of the disaster.
- Devolution enables some functions to be performed by another State DOT entity.



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## Questions?



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## BREAK- 15 minutes



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## Role of the Emergency Relocation Group (ERG)

- What is your role in the ERG?
- Which essential functions are you responsible for?
- Who else would you have to work with to ensure that the essential function is accomplished?
- Create a checklist that answers these questions. Be prepared to share this checklist with the group.



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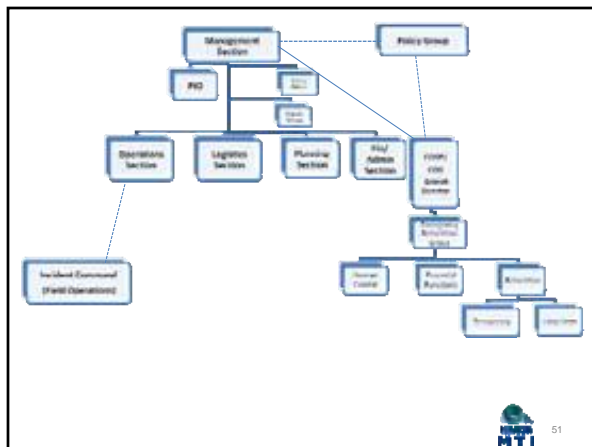
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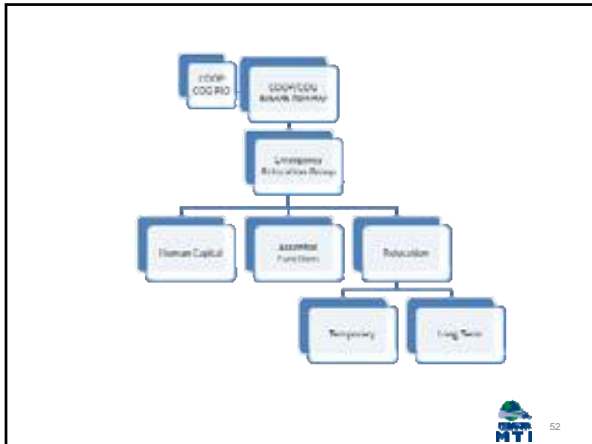
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#	State DOT Operating Unit	Essential Functions	Priority (A, B, C)	State Essential Function	PMEF	MEF
1	Director/ Deputy Director	Direct State DOT's emergency response and recovery efforts; order activation of COOP/COG; activation of continuity facilities; support the State emergency response effort; ensure State DOT's coordination with local and Federal response agencies	A	X	X	
2	Director/ Deputy Director	Perform oversight of essential maintenance elements for State Highway System (SHS)	A	X	X	X
3	Director/ Deputy Director	Oversee response to emergency situations that affect the safety and operation of the State Highway System..	A	X	X	
4	External Affairs	Provide transportation system information to government entities, private sector and general public.	A	X	X	

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- **Relocation Unit**
  - Two elements doing complementary work
  - Simultaneous effort
  - Long Term relocation may also have to develop an interim relocation plan if repairs or rebuilding will take more than a few months.

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graph TD
    RU[Relocation Unit] --> Temp[Temporary]
    RU --> LT[Long Term]
    Temp --> SE_T[Support Elements]
    Temp --> OE_T[Operational Elements]
    LT --> SE_LT[Support Elements]
    LT --> FE_LT[FUNCTIONAL ELEMENTS]
  
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### ERG Checklists

- Each member of the ERG must have a checklist: reminder of work, guide for new personnel
- Samples are provided behind Tab 6
- Each unit of the ERG will share its checklists within its unit.
  - Branch director/PIO/ERG Supervisor; Human Capital; EFU; Relocation
- Unit members will make suggestions for inclusions/additions, and for additional positions, either in the unit or the ERG.



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### Role of the ERG- Kit Lists

- Considering your role, the items on your checklist and the essential functions that you must perform, which items would you need to perform your tasks?
- 1. Make a list of the items that you should have in your personal kit and professional kit that you would bring.
- 2. Make a list of the items that State DOT should maintain in the alternate facilities.



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### ERG Kits

- Each member in turn will read 5 items that he/she has on the kit list. Do not repeat items already read.
- After all participants have read items, remaining items may be read by anyone.
- Additional items may then be suggested by group members.
- The goal is to have a complete list for your personal kit when this activity is complete.



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### Summary

- The purpose of the ERG is to ensure the delivery of critical transportation services without interruption during a disaster.
- No roads, no codes!
- Be prepared for your role in the COOP/COG Branch: checklist, kits, family preparedness!



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### Evaluation

- Please complete the evaluation form for this class. It is our goal to make this class useful to the COOP/COG Branch and Executive Staff of State DOT. Your comments will help us continually improve the delivery of this information.
- Thank you for participating!



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### Speaker Contact Information

- Name
- Position
- E-mail address
- Other contact information: physical address, phone, website



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# TAB 3

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**Tab 3: Prioritized Essential Functions**

#	State DOT Operating Unit	Essential Functions	Priority (A, B, C)	State Essential Function	PMEF <sup>1</sup>	MEF <sup>2</sup>
1	Director/ Chief Deputy Director	Direct State DOT emergency response and recovery efforts; order activation of COOP/COG; activation of continuity facilities; support the State emergency response effort; ensure State DOT's coordination with local and Federal response agencies	A	X	X	
2	Director/ Chief Deputy Director	Perform oversight of essential maintenance elements for State Highway System (SHS)	A	X	X	X
3	Director/ Chief Deputy Director	Oversee response to emergency situations that affect the safety and operation of the State Highway System.	A	X	X	
4	Public Information	Provide transportation system information to government entities, private sector, and general public.	A	X	X	
5	Administration/ Business, Facilities & Security	Emergency worksite hazard analysis	A			X
6	Director/ Chief Deputy Director	Activate COOP, continuity site, evacuate, shelter in place	A			X
7	Administration/ Procurement	Facilitate emergency contracts and procurement.	A	X	X	
8	Administration/ Procurement	Acquire and distribute emergency goods and services.	A	X	X	

<sup>1</sup> Primary Mission Essential Function, Federal Continuity Directive 2010

<sup>2</sup> Mission Essential Function, Federal Continuity Directive 2010

#	State DOT Operating Unit	Essential Functions	Priority (A, B, C)	State Essential Function	PMEF <sup>1</sup>	MEF <sup>2</sup>
9	Administration/ Business, Facilities & Security	Provide essential building operations and maintenance and security.	A			X
10	Deputy Director-CFO	Safeguard collected funds.	A	X	X	
11	Director/Chief Deputy Director	Provide timely and accurate reporting (Legislative, Financial) to address State DOT's business needs.	A	X	X	
12	Maintenance and Operations/Radio	Maintain the telecommunications infrastructure.	A	X	X	
13	Maintenance and Operations/Bridge	Inspect bridges.	B			X
14	Emergency Management/ Homeland Security	Respond to Homeland Security alerts.	A	X	X	
15	Maintenance and Operations/ Traffic Operations- Truck Services	Issue transportation permits for oversized/overweight vehicles.	A	X	X	
16	Deputy Director, Planning & Modal	Coordinate and provide mutual aid to Regional Transportation Planning Agencies, Metropolitan Planning Organizations.	B			X

#	State DOT Operating Unit	Essential Functions	Priority (A, B, C)	State Essential Function	PMEF <sup>1</sup>	MEF <sup>2</sup>
17	Deputy Director/CFO	Process vendor and government agencies' payments timely and accurately.	A			X
18	Deputy Director/CFO	Collect all disaster moneys owed to State DOT, including Federal funds	A	X	X	
19	Deputy Director/ IT	Maintain the network (e.g. Email) infrastructure and software (e.g. CAD, GIS, MS Office Suite) systems.	A	X	X	
20	Deputy Director for District Operations	Oversee district management of ongoing construction projects (e.g. financial, project oversight, safety, project process, supervision)	B			X
21	Administration/ Human Resources	Pay employees and maintain leave and benefits systems.	B			X
22	Administration/ Procurement	Facilitate non-emergency contracts and procurement.	C			
23	Administration/ Procurement	Acquire and distribute non-emergency goods and services.	C			
24	Deputy Director, Planning & Modal Programs	Ensure the safety of general aviation airports and helipads within the State	B			X

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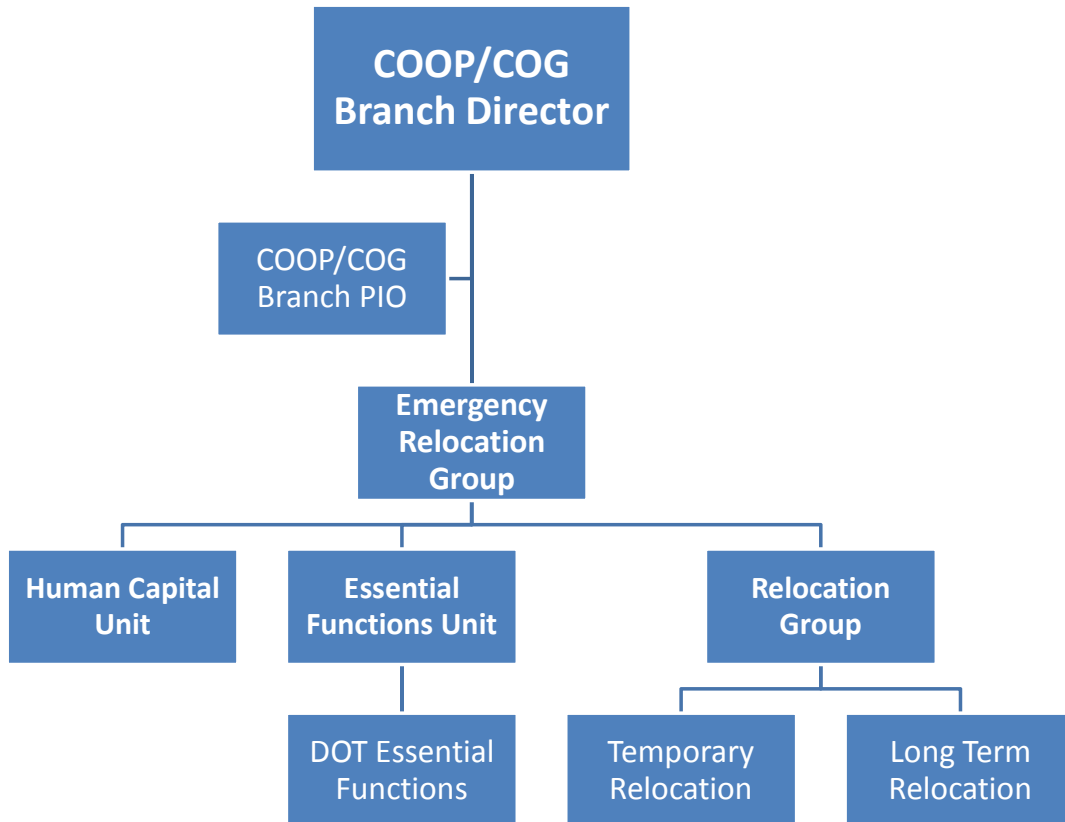
# TAB 4



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# COOP/COG BRANCH

## PERSONNEL POSITIONS



**Note:** Instructors should try to get the appropriate “legal requirements, guidance or doctrine” from the State DOT legal adviser and change these example sheets in advance of class.

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## COOP/COG Branch

### Function Task Description

<b>ERG Position Title:</b>	<b>COOP/COG BRANCH DIRECTOR</b>
<b>Organization:</b>	<b>STATE DOT</b>
<b>Position Phone:</b>	<b>TBD</b>
<b>Position Email:</b>	<b>TBD</b>
<b>Task Description</b> (Include activities performed in support of organizational Essential Functions): PROVIDE EXECUTIVE LEADERSHIP, SUPPORT STATE AND STATE DOT ESSENTIAL FUNCTIONS; MAINTAIN NATIONAL SECURITY PROTOCOLS AND MONITOR ALERT LEVELS; ENSURE LIAISON TO STATE EMA SOC, STATE DOT EOC DIRECTOR, CRITICAL STATE AND FEDERAL AGENCIES AND GOVERNOR'S EMERGENCY EXECUTIVE COUNCIL	
<b>MEF or PMEF Supported</b> (List title): DIRECT EMERGENCY RESPONSE AND RECOVERY EFFORTS, OVERSEE ESSENTIAL MAINTENANCE EFFORTS OF SHS, SUPPORT STATE EMERGENCY RESPONSE EFFORTS, OVERSEE ALL STATE DOT EMERGENCY RESPONSE EFFORTS	
<b>Timeliness</b> (How soon following activation must this task be addressed): ASAP	
<b>Identify Legal Requirements, Guidance and/or Doctrine:</b> EXECUTIVE ORDER 1-04-06; FEDERAL CGC 2010	
<b>Identify Inputs</b> (What resources/information is needed): SITREPS FROM DISTRICTS, COUNTIES, CITIES, STATE EMA SOC	
<b>Identify Outputs</b> (What resources/information is delivered): STATUS OF SHS, MOVEMENT OF CRITICAL SUPPLIES	
<b>Associated Leadership and Staffing Considerations:</b> SUCCESSOR STATUS, IMPACT ON FACILITIES, ADEQUATE MEETING SPACE, SECURE AREAS	
<b>Communications requirements</b> (Include all voice, radio, and data systems): TELEPHONE, 800 MHZ RADIOS, EMAIL/INTERNET, SATELLITE PHONES, VIDEO CONFERENCING	
<b>Facility requirements</b> (Identify all facility requirements need to support this function/task): COMMUNICATIONS READY, WORK STATIONS, BREAKOUT BRIEFING ROOMS, SECURE AREAS	
<b>Telework</b> (Can this task be performed virtually or through telework): EVENT DEPENDENT	
<b>Position resource requirements</b> (Include equipment (including IT/Communications) Vital Records (Electronic and hardcopy), software packages, supplies, GIS/Maps, etc): EXECUTIVE TEAM WILL DIRECT AND BE SUPPORTED BY ERG	
<b>Interdependencies</b> (Identify stakeholders, partners and customers associated with this function/task): STATE EMA, FHWA, GSA, GOVERNOR'S OFFICE, NATIONAL GUARD, ASSEMBLY/SENATE COMMITTEES, PUBLIC AFFAIRS	

## COOP COG Branch

### Function Task Description

<b>ERG Position Title:</b>	<b>COOP COG BRANCH PUBLIC INFORMATION OFFICER</b>
<b>Organization:</b>	<b>STATE DOT</b>
<b>Position Phone:</b>	<b>CONTINUITY FACILITY DEPENDENT</b>
<b>Position Email:</b>	<b>CONTINUITY FACILITY DEPENDENT</b>
<b>Task Description</b> (Include activities performed in support of organizational Essential Functions): RESPOND TO MEDIA INQUIRIES, DISTRIBUTE CRITICAL INFORMATION RE: STATE DOT, RESPOND TO LEGISLATIVE INQUIRIES, ENSURE CONSISTENCY OF INFORMATION RELEASES, COORDINATE WITH EOC PIO, GOVERNOR'S OFFICE PIO, HIGHWAY PATROL PIO, STATE EMA	
<b>MEF or PMEF Supported</b> (List title): PROVIDE TRANSPORTATION SYSTEM INFORMATION TO GOVERNMENT ENTITIES, PRIVATE SECTOR, AND GENERAL PUBLIC	
<b>Timeliness</b> (How soon following activation must this task be addressed): IMMEDIATELY	
<b>Identify Legal Requirements, Guidance and/or Doctrine:</b> EXEC ORDER S-04-06; FED CGC 2008, STATE EMERGENCY PLAN, environmental regulations, NEPA	
<b>Identify Inputs</b> (What resources/information is needed): SITREPS, DISTRICT PIO REPORTS, MEDIA COVERAGE	
<b>Identify Outputs</b> (What resources/information is delivered): PRESS RELEASES, FACT SHEETS	
<b>Associated Leadership and Staffing Considerations:</b> 24/7 CAPABILITY	
<b>Communications requirements</b> (Include all voice, radio, and data systems): TELEPHONE, FACSIMILE, EMAIL, INTERNET, INTRANET, TELEVISION NETWORKS, COMMERCIAL RADIO, SKYPE	
<b>Facility requirements</b> (Identify all facility requirements need to support this function/task): WORKSTATION, STORAGE CONTAINER, PHONE/FAX LISTINGS OF KEY CONTACTS, DEDICATED PIO PHONE LINE	
<b>Telework</b> (Can this task be performed virtually or through telework): NO	
<b>Position resource requirements</b> (Include equipment (including IT/Communications) Vital Records (Electronic and hardcopy), software packages, supplies, GIS/Maps, etc): VIDEO TELECONFERENCING, LAPTOP WITH OFFICE SUITE	
<b>Interdependencies</b> (Identify stakeholders, partners and customers associated with this function/task): STATE EMA PIO, HIGHWAY PATROL PIO, STATE DOT FEDERAL LIAISON, FHWA PIO	

EMERGENCY RELOCATION GROUP  
PERSONNEL POSITIONS

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## EMERGENCY RELOCATION GROUP

### Function Task Description

<b>ERG Position Title:</b>	<b>EMERGENCY RELOCATION GROUP SUPERVISOR</b>
<b>Organization:</b>	<b>STATE DOT</b>
<b>Position Phone:</b>	<b>TBD</b>
<b>Position Email:</b>	<b>TBD</b>
<b>Task Description</b> (Include activities performed in support of organizational Essential Functions): DIRECTLY OVERSEE THE ERG AND THE ESSENTIAL FUNCTIONS UNIT; OPERATIONAL DIRECTION OF ERG TEAM; SUPPORT THE EXECUTIVE TEAM; ENSURE STAFFING LEVELS, OPERATE THE CONTINUITY FACILITY; ENSURE INFORMATION FLOW AND EXCHANGE; ENSURE LIAISON TO COOP/COG BRANCH DIRECTOR	
<b>MEF or PMEF Supported</b> (List title): ACTIVATE COOP, OVERSIGHT OF ALTERNATE CONTINUITY FACILITY, RESPOND TO HOMELAND SECURITY ALERTS	
<b>Timeliness</b> (How soon following activation must this task be addressed): ASAP	
<b>Identify Legal Requirements, Guidance and/or Doctrine:</b> S-04-06; FED CGC 2, 2010; STATE EMER PLAN	
<b>Identify Inputs</b> (What resources/information is needed): SITREPS, STATE EMA REQUESTS, DHS SITREPS, USDOT/FHWA	
<b>Identify Outputs</b> (What resources/information is delivered): SITREPS, SAFETY STATUS, PERSONNEL STATUS, FACILITY STATUS, MUTUAL AID STATUS	
<b>Associated Leadership and Staffing Considerations:</b> KEY PERSONNEL AVAILABILITY, STATE EMA REQUIREMENTS	
<b>Communications requirements</b> (Include all voice, radio, and data systems): SAT PHONES, CELLPHONES, LAND MOBILE RADIO, PUBLIC TELEPHONE SYSTEMS, EMAIL	
<b>Facility requirements</b> (Identify all facility requirements need to support this function/task): SAFETY, SECURITY, PERSONNEL NEEDS, A/C SYSTEM, FOOD, WATER	
<b>Telework</b> (Can this task be performed virtually or through telework): NO	
<b>Position resource requirements</b> (Include equipment (including IT/Communications) Vital Records (Electronic and hardcopy), software packages, supplies, GIS/Maps, etc): INSTALLATION CDS, ARCVIEW, A&E DATABASE	
<b>Interdependencies</b> (Identify stakeholders, partners and customers associated with this function/task): STATE EMA SOC, DHS, DGS, USDOT FHWA REGIONAL REP, FEMA REGIONAL EOC, STATE HIGHWAY PATROL	



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**HUMAN CAPITAL UNIT  
PERSONNEL POSITIONS**

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## EMERGENCY RELOCATION GROUP

### Function Task Description

<b>ERG Position Title:</b>	HUMAN CAPITAL UNIT LEADER
<b>Organization:</b>	STATE DOT
<b>Position Phone:</b>	CONTINUITY FACILITY DEPENDENT
<b>Position Email:</b>	CONTINUITY FACILITY DEPENDENT
<b>Task Description</b> (Include activities performed in support of organizational Essential Functions): SUPPORT ERG IN EMERGENCY NOTIFICATIONS OF EMPLOYEES, REPORT ON STATUS OF NON-EMERGENCY EMPLOYEES, ENSURE PROPER PERSONNEL ACTIONS ARE TAKEN IN THE EVENT OF DEATHS OR INJURIES, WORK CLOSELY WITH CONTRACTS AND BUDGETS, MAINTAIN WORKER'S COMP FILES; ORGANIZE TELEWORK; WORK WITH UNIONS ON TIME-OFF LABOR ISSUES; ENSURE THAT EMPLOYEES ARE PAID DURING THE DISASTER, BASED ON THEIR LABOR CONTRACTS.	
<b>MEF or PMEF Supported</b> (List title): PAY EMPLOYEES AND MAINTAIN LEAVE AND BENEFITS	
<b>Timeliness</b> (How soon following activation must this task be addressed): IMMEDIATELY	
<b>Identify Legal Requirements, Guidance and/or Doctrine:</b> EXEC ORDER S-04-06; FED CGC 2008, CA STATE EMERGENCY PLAN	
<b>Identify Inputs</b> (What resources/information is needed): PERSONNEL STAFFING NEEDS FROM ERG, ACCIDENT REPORTS	
<b>Identify Outputs</b> (What resources/information is delivered): SITREPS TO ERG	
<b>Associated Leadership and Staffing Considerations:</b> 24/7 CAPABILITY	
<b>Communications requirements</b> (Include all voice, radio, and data systems): TELEPHONE, FACSIMILE, EMAIL, INTERNET, INTRANET, RADIO	
<b>Facility requirements</b> (Identify all facility requirements need to support this function/task): WORKSTATION, STORAGE CONTAINER	
<b>Telework</b> (Can this task be performed virtually or through telework): NO	
<b>Position resource requirements</b> (Include equipment (including IT/Communications) Vital Records (Electronic and hardcopy), software packages, supplies, GIS/Maps, etc): ACCESS TO PERSONNEL RECORDS, MAINFRAME	
<b>Interdependencies</b> (Identify stakeholders, partners and customers associated with this function/task): STATE PERSONNEL BOARD, DIVISION OF WORKMAN'S COMP	

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**ESSENTIAL FUNCTIONS UNIT**  
**PERSONNEL ASSIGNMENTS**

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## ESSENTIAL FUNCTIONS UNIT

### Function Task Description

<b>ERG Position Title:</b>	<b>BRIDGE MAINTENANCE AND INVESTIGATIONS</b>
<b>Organization:</b>	<b>STATE DOT</b>
<b>Position Phone:</b>	<b>CONTINUITY FACILITY DEPENDENT</b>
<b>Position Email:</b>	<b>CONTINUITY FACILITY DEPENDNET</b>
<b>Task Description</b> (Include activities performed in support of organizational Essential Functions): INSPECTION/REPAIR OF DAMAGED BRIDGE STRUCTURES, LOAD CAPACITY ANALYSIS, COST OF REPAIRS	
<b>MEF or PMEF Supported</b> (List title): PERFORM OVERSIGHT OF DISTRICT INSPECTIONS OF LOCAL BRIDGES, ESSENTIAL ELEMENTS OF THE SHS	
<b>Timeliness</b> (How soon following activation must this task be addressed): 12 HOURS	
<b>Identify Legal Requirements, Guidance and/or Doctrine:</b> S-04-06 FED CGC 2010	
<b>Identify Inputs</b> (What resources/information is needed): SITREPS FROM DISTRICTS, STATE EMA, USDOT	
<b>Identify Outputs</b> (What resources/information is delivered): SITREPS, STATUS REPORTS, ESTIMATES	
<b>Associated Leadership and Staffing Considerations:</b> EXPERIENCED PERSONNEL AVAILABLE 24X 7 COVERAGE	
<b>Communications requirements</b> (Include all voice, radio, and data systems): TELEPHONE, EMAIL, LAND MOBILE RADIO	
<b>Facility requirements</b> (Identify all facility requirements need to support this function/task): WORKSTATION, SUPPORT SYTEMS	
<b>Telework</b> (Can this task be performed virtually or through telework): EVENT DEPENDENT	
<b>Position resource requirements</b> (Include equipment (including IT/Communications) Vital Records (Electronic and hardcopy), software packages, supplies, GIS/Maps, etc): SMART BRIDGE STANDARDS AND INSPECTION RECORDS, BIRIS – BRIDGE INSPECTION INFORMATION SYSTEM, INTRANET AND INTERNET	
<b>Interdependencies</b> (Identify stakeholders, partners and customers associated with this function/task): DISTRICT COUNTERPARTS, CONTRACTORS, FHWA	



## ESSENTIAL FUNCTIONS UNIT

### Function Task Description

<b>ERG Position Title:</b>	<b>BUDGET</b>
<b>Organization:</b>	<b>STATE DOT</b>
<b>Position Phone:</b>	<b>CONTINUITY FACILITY DEPENDENT</b>
<b>Position Email:</b>	<b>CONTINUITY FACILITY DEPENDENT</b>
<b>Task Description</b> (Include activities performed in support of organizational Essential Functions): ENSURE PAYROLL, EMERGENCY OVERTIME PAY, TRACK EMERGENCY EXPENDITURES, WORK-IN-PROGRESS PAYABLES, SUPPORT DOCUMENTATION FOR VENDOR PAYMENTS	
<b>MEF or PMEF Supported</b> (List title): COLLECT DOCUMENTATION FOR ALL DISASTER REIMBURSEMENTS TO DEPARTMENT, SAFEGUARD FUNDS COLLECTED, PROCESS PAYMENTS ACCURATELY	
<b>Timeliness</b> (How soon following activation must this task be addressed): 12 HOURS	
<b>Identify Legal Requirements, Guidance and/or Doctrine:</b> EXEC ORDER S-04-06; FED CGC-1 2008	
<b>Identify Inputs</b> (What resources/information is needed): SUPPORTING DOCUMENTATION FOR VENDOR PAYMENTS, PROCEDURE MANUALS AND DOCUMENTATION	
<b>Identify Outputs</b> (What resources/information is delivered): BUDGET STATUS, FINANCIAL MANAGEMENT REPORTS, LABOR EXPENDITURE REPORTS	
<b>Associated Leadership and Staffing Considerations:</b> ACCESS TO DOT BUDGET AND DOT FINANCE, RAPID EXPENDITURE AUTHORIZATIONS	
<b>Communications requirements</b> (Include all voice, radio, and data systems): TELEPHONE, FACSIMILE, TELEDATA CENTER MAINFRAME	
<b>Facility requirements</b> (Identify all facility requirements need to support this function/task): ANNUAL BUDGET, ACCOUNTS RECEIVABLE/ACCOUNTS PAYABLE REPORTS FOR LAST 30 DAYS, ACCOUNTING SOFTWARE, COMPUTER SYSTEM, PHONE/FAX.	
<b>Telework</b> (Can this task be performed virtually or through telework): DEPENDENT ON EVENT	
<b>Position resource requirements</b> (Include equipment (including IT/Communications) Vital Records (Electronic and hardcopy), software packages, supplies, GIS/Maps, etc): MAINFRAME ACCESS, LAPTOP WITH ACCOUNTING SOFTWARE, PHONE/FAX	
<b>Interdependencies</b> (Identify stakeholders, partners and customers associated with this function/task): GOV'S OFFICE OF FINANCE, PROCUREMENT AND CONTRACTS, HUMAN RESOURCES	

## ESSENTIAL FUNCTIONS UNIT

### Function Task Description

<b>ERG Position Title:</b>	CONTRACTS
<b>Organization:</b>	STATE DOT
<b>Position Phone:</b>	CONTINUITY FACILITY DEPENDENT
<b>Position Email:</b>	CONTINUITY FACILITY DEPENDENT
<b>Task Description</b> (Include activities performed in support of organizational Essential Functions): DEVELOP DRAFT DOCUMENTS; BID OUT ,EXPEDITE, AWARD AND EXECUTE; PROVIDE CENTRALIZED ACCOUNTABILITY	
<b>MEF or PMEF Supported</b> (List title): FACILITATE NON-EMERGENCY CONTRACTS AND PROCUREMENT	
<b>Timeliness</b> (How soon following activation must this task be addressed): WITHIN 12 HOURS	
<b>Identify Legal Requirements, Guidance and/or Doctrine:</b> EXEC ORDER S-4-06; FED CGC-1 2008	
<b>Identify Inputs</b> (What resources/information is needed): DISTRICT REQUESTS, STATUS REPORTS, COOP BRANCH REQUESTS	
<b>Identify Outputs</b> (What resources/information is delivered): STATUS OF CONTRACTS, EXECUTED AWARDS	
<b>Associated Leadership and Staffing Considerations:</b> 24/7 STAFFING	
<b>Communications requirements</b> (Include all voice, radio, and data systems): TELEPHONE, CELLPHONE AND E-MAIL, LOTUS	
<b>Facility requirements</b> (Identify all facility requirements need to support this function/task): OPERATIONAL WORKSTATIONS, SECURE STORAGE	
<b>Telework</b> (Can this task be performed virtually or through telework): NO	
<b>Position resource requirements</b> (Include equipment (including IT/Communications) Vital Records (Electronic and hardcopy), software packages, supplies, GIS/Maps, etc.): INTERNET, INTRANET, STATE GSA CONTRACTS REGISTRY, CONTRACTS DATABASE	
<b>Interdependencies</b> (Identify stakeholders, partners and customers associated with this function/task): BUDGET, AUTHORIZING INDIVIDUALS, GSA, VENDORS	

## ESSENTIAL FUNCTIONS UNIT

### Function Task Description

<b>ERG Position Title:</b>	<b>ELECTRICAL</b>
<b>Organization:</b>	<b>STATE DOT</b>
<b>Position Phone:</b>	<b>CONTINUITY FACILITY DEPENDENT</b>
<b>Position Email:</b>	<b>CONTINUITY FACILITY DEPENDENT</b>
<b>Task Description</b> (Include activities performed in support of organizational Essential Functions): STATUS OF, MAINTENANCE, AND REPAIR OF ELECTRICAL DEVICES (TRAFFIC SIGNALS, MESSAGING BOARDS)	
<b>MEF or PMEF Supported</b> (List title): EMERGENCY OPERATIONS THAT AFFECT THE SAFETY AND SECURITY OF THE STATE HIGHWAY SYSTEM	
<b>Timeliness</b> (How soon following activation must this task be addressed): WITHIN 12 HOURS	
<b>Identify Legal Requirements, Guidance and/or Doctrine:</b> S-04-06, FED CGC-2 2010	
<b>Identify Inputs</b> (What resources/information is needed): SITREPS AND STATUS REPORTS FROM STATE DOT DISTRICTS AND JURISDICTIONS	
<b>Identify Outputs</b> (What resources/information is delivered): SITREP AND STATUS REPORTS	
<b>Associated Leadership and Staffing Considerations:</b> 24/7 OPERATIONS AND STAFFING	
<b>Communications requirements</b> (Include all voice, radio, and data systems): EMAIL, TELEPHONES, LAND MOBILE RADIO	
<b>Facility requirements</b> (Identify all facility requirements need to support this function/task): WORKSTATION	
<b>Telework</b> (Can this task be performed virtually or through telework): EVENT DEPENDENT	
<b>Position resource requirements</b> (Include equipment (including IT/Communications) Vital Records (Electronic and hardcopy), software packages, supplies, GIS/Maps, etc): FOX PRO, LOTUS, NOTES, ELECTRONIC SIGN INVENTORY	
<b>Interdependencies</b> (Identify stakeholders, partners and customers associated with this function/task): STATE DOT DISTRICT COUNTERPARTS, STATE SOC LIAISON	

## ESSENTIAL FUNCTIONS UNIT

### Function Task Description

<b>ERG Position Title:</b>	<b>EQUIPMENT</b>
<b>Organization:</b>	<b>STATE DOT</b>
<b>Position Phone:</b>	<b>CONTINUITY FACILITY DEPENDENT</b>
<b>Position Email:</b>	<b>CONTINUITY FACILITY DEPENDENT</b>
<b>Task Description</b> (Include activities performed in support of organizational Essential Functions): ENSURE THE INTEGRITY OF THE STATE DOT MOBILE FLEET AND EQUIPMENT, SUPPORT RAPID EQUIPMENT MUTUAL AID DISTRICT TO DISTRICT DURING EMERGENCIES, KEEP LEADERSHIP AND EOC INFORMED OF EQUIPMENT AVAILABILITY	
<b>MEF or PMEF Supported</b> (List title): PERFORM ESSENTIAL MAINTENANCE ELEMENTS OF THE SHS	
<b>Timeliness</b> (How soon following activation must this task be addressed): IMMEDIATELY	
<b>Identify Legal Requirements, Guidance and/or Doctrine:</b> EXEC ORDER S-4-06; FED CGC-1, 2008; STATE EMERGENCY PLAN; DELEGATED AUTHORITY FROM GSA	
<b>Identify Inputs</b> (What resources/information is needed): STATUS OF EQUIPMENT AND FLEET, DISTRICT MUTUAL AID	
<b>Identify Outputs</b> (What resources/information is delivered): STATUS OF THE STATEWIDE EQUIPMENT POOL, MOVEMENT OF MUTAL AID EQUIPMENT, MAJOR LOSSES	
<b>Associated Leadership and Staffing Considerations:</b> 24/7 STAFFING	
<b>Communications requirements</b> (Include all voice, radio, and data systems): TELEPHONE, RADIO, FACSIMILE, EMAIL	
<b>Facility requirements</b> (Identify all facility requirements need to support this function/task): WORKSTATION, RECORDS STORAGE	
<b>Telework</b> (Can this task be performed virtually or through telework): NO	
<b>Position resource requirements</b> (Include equipment (including IT/Communications) Vital Records (Electronic and hardcopy), software packages, supplies, GIS/Maps, etc): FOXPRO EQUIPMENT DATABASE, FLEET MANAGEMENT INVENTORIES, PERMANENT EQUIPMENT MAINTENANCE RECORD, DEPARTMENT ACQUISITION MANUAL	
<b>Interdependencies</b> (Identify stakeholders, partners and customers associated with this function/task): GSA, STATE RISK AND INSURANCE MANAGEMENT, STATE DOT FINANCE	

## ESSENTIAL FUNCTIONS UNIT

### Function Task Description

<b>ERG Position Title:</b>	<b>FACILITIES</b>
<b>Organization:</b>	<b>STATE DOT</b>
<b>Position Phone:</b>	<b>CONTINUITY FACILITY DEPENDENT</b>
<b>Position Email:</b>	<b>CONTINUITY FACILITY DEPENDENT</b>
<b>Task Description</b> (Include activities performed in support of organizational Essential Functions): FACILITY DAMAGE ASSESSMENT, COST ESTIMATES, SUPPORT LEASED FACILITIES, SUPPORT ALTERNATE CONTINUITY FACILITY ACTIVATION, RESTORATION, TENANT SERVICES	
<b>MEF or PMEF Supported</b> (List title): SUPPORT COOP ACTIVATION, PROVIDE ESSENTIAL BUILDING MAINTENANCE, SECURITY, AND OPERATION	
<b>Timeliness</b> (How soon following activation must this task be addressed): IMMEDIATELY	
<b>Identify Legal Requirements, Guidance and/or Doctrine:</b> EXEC ORDER S-04-06; FED CGC-1 2008, STATE EMERGENCY PLAN	
<b>Identify Inputs</b> (What resources/information is needed): STATUS OF FACILITIES, HQ AND DISTRICT, SITREPS, BUILDING OWNERS' REPORTS	
<b>Identify Outputs</b> (What resources/information is delivered): DAMAGE ESTIMATES, CLEARANCE REQUIREMENTS, STATUS OF RECON TEAMS	
<b>Associated Leadership and Staffing Considerations:</b> ACCESS TO KEY LEADERSHIP, 24/7 OPERATIONS	
<b>Communications requirements</b> (Include all voice, radio, and data systems): TELEPHONE, FACSIMILE, EMAIL, INTERNET, INTRANET	
<b>Facility requirements</b> (Identify all facility requirements need to support this function/task): WORKSTATION, STORAGE CONTAINER	
<b>Telework</b> (Can this task be performed virtually or through telework): EVENT DEPENDENT	
<b>Position resource requirements</b> (Include equipment (including IT/Communications) Vital Records (Electronic and hardcopy), software packages, supplies, GIS/Maps, etc): FACILITIES DATABASE, AS-BUILTS, DEEDS, CRITICAL PROJECT FILES, REAL PROPERTY INVENTORY SERVER, ASSET MANAGER INVENTORY	
<b>Interdependencies</b> (Identify stakeholders, partners and customers associated with this function/task): GSA, BUILDING OWNERS, LEASED FACILITY MANAGEMENT	

## ESSENTIAL SERVICES UNIT

### Function Task Description

<b>ERG Position Title:</b>	<b>GEOGRAPHIC INFORMATION SYSTEMS - GIS</b>
<b>Organization:</b>	<b>STATE DOT</b>
<b>Position Phone:</b>	<b>CONTINUITY FACILITY DEPENDENT</b>
<b>Position Email:</b>	<b>CONTINUITY FACILITY DEPENDENT</b>
<b>Task Description</b> (Include activities performed in support of organizational Essential Functions): PROVIDE GEOGRAPHIC INFORMATION ON STATUS OF SHS; SUPPORT THE ERG, DISTRICTS WITH GIS DATA; PROVIDE DATA TO STATE EMA AND FHWA, SUPPORT EMERGENCY RESTORATION	
<b>MEF or PMEF Supported</b> (List title): PROVIDE TRANSPORTATION INFORMATION TO GOVERNMENT ENTITIES, PRIVATE SECTOR, AND THE GENERAL PUBLIC	
<b>Timeliness</b> (How soon following activation must this task be addressed): IMMEDIATELY	
<b>Identify Legal Requirements, Guidance and/or Doctrine:</b> EXEC ORDER S-04-06; FED CGC-1 2008, STATE EMERGENCY PLAN	
<b>Identify Inputs</b> (What resources/information is needed): REPORTS FROM DISTRICTS, HIGHWAY PATROL, LOCAL JURISDICTIONS, SITREPS FROM DISTRICTS	
<b>Identify Outputs</b> (What resources/information is delivered): GEOGRAPHIC PRODUCTS COVERING THE TRANSPORTATION INFRASTRUCTURE	
<b>Associated Leadership and Staffing Considerations:</b> 24/7 CAPABILITY	
<b>Communications requirements</b> (Include all voice, radio, and data systems): TELEPHONE, FACSIMILE, EMAIL, INTERNET, INTRANET, RADIO (800 MHZ COMMO), GIS DATA LIBRARY, TELE-ATLAS DATA	
<b>Facility requirements</b> (Identify all facility requirements need to support this function/task): WORKSTATION, STORAGE CONTAINER, SPECIAL PRINTERS AND PLOTTERS	
<b>Telework</b> (Can this task be performed virtually or through telework): NO	
<b>Position resource requirements</b> (Include equipment (including IT/Communications) Vital Records (Electronic and hardcopy), software packages, supplies, GIS/Maps, etc): SPATIAL INFORMATION LIBRARY, ORACLE/ARCSDE ROAD DATABASE, QUANTUM ROUTE OPTIMIZATION, ATLAS GEOSPATIAL	
<b>Interdependencies</b> (Identify stakeholders, partners and customers associated with this function/task): GIS DATA LIBRARY, DISTRICT GIS STAFF, FHWA GIS, USGS, METROPOLITAN PLANNING AGENCIES, REGIONAL TRANSPORTATION PLANNING AGENCIES	

## ESSENTIAL FUNCTIONS UNIT

### Function Task Description

<b>ERG Position Title:</b>	<b>HAZARDOUS MATERIALS</b>
<b>Organization:</b>	<b>STATE DOT</b>
<b>Position Phone:</b>	<b>CONTINUITY FACILITY DEPENDENT</b>
<b>Position Email:</b>	<b>CONTINUITY FACILITY DEPENDENT</b>
<b>Task Description</b> (Include activities performed in support of organizational Essential Functions): MONITOR CONTAMINENTS/SPILLS AFFECTING SHS, PROVIDE TECHNICAL EXPERTS TO DISTRICTS, ASSESS IMPACT TO THE SHS, DISSEMINATE CRITICAL INFORMATION TO RELEVANT AGENCIES	
<b>MEF or PMEF Supported</b> (List title): OVERSEE RESPONSE TO HAZARDOUS MATERIALS ACCIDENTS THAT AFFECT THE SAFETY AND OPERATION OF THE SHS	
<b>Timeliness</b> (How soon following activation must this task be addressed): IMMEDIATELY	
<b>Identify Legal Requirements, Guidance and/or Doctrine:</b> EXEC ORDER S-04-06; FED CGC-1 2008, STATE EMERGENCY PLAN, STATE ENVIRONMENTAL LAWS, NEPA	
<b>Identify Inputs</b> (What resources/information is needed): SPILL REPORTS FROM DISTRICTS, HIGHWAY PATROL, LOCAL JURISDICTIONS, SITREPS FROM DIVISION OF TOXIC SUBSTANCES, STATE EMA	
<b>Identify Outputs</b> (What resources/information is delivered): SITREPS TO ERG, DIV TOXIC SUBSTANCES, DEPT HEALTH SERVICES	
<b>Associated Leadership and Staffing Considerations:</b> 24/7 CAPABILITY	
<b>Communications requirements</b> (Include all voice, radio, and data systems): TELEPHONE, FACSIMILE, EMAIL, INTERNET, INTRANET, RADIO (800 MHZ COMMO)	
<b>Facility requirements</b> (Identify all facility requirements need to support this function/task): WORKSTATION, STORAGE CONTAINER	
<b>Telework</b> (Can this task be performed virtually or through telework): NO	
<b>Position resource requirements</b> (Include equipment (including IT/Communications) Vital Records (Electronic and hardcopy), software packages, supplies, GIS/Maps, etc): HAZARDOUS MATERIALS LISTS	
<b>Interdependencies</b> (Identify stakeholders, partners and customers associated with this function/task): STATE DIV ENVIRONMENTAL ANALYSIS, STATE DIV TOXIC SUBSTANCES, STATE EMA, STATE EPA, HIGHWAY PATROL	

## ESSENTIAL FUNCTIONS UNIT

### Function Task Description

<b>ERG Position Title:</b>	<b>INFORMATION TECHNOLOGY - IT</b>
<b>Organization:</b>	<b>STATE DOT</b>
<b>Position Phone:</b>	<b>CONTINUITY FACILITY DEPENDENT</b>
<b>Position Email:</b>	<b>CONTINUITY FACILITY DEPENDENT</b>
<b>Task Description</b> (Include activities performed in support of organizational Essential Functions): MAINTAIN THE NETWORK, EMAIL, ALL SOFTWARE, MANAGE THE STATEWIDE WAN, MAINTAIN BACKUP LOCATIONS, SOFTWARE CONTRACTS, AND LICENSING	
<b>MEF or PMEF Supported</b> (List title): MAINTAIN THE NETWORK, INFRASTRUCTURE, AND SOFTWARE	
<b>Timeliness</b> (How soon following activation must this task be addressed): IMMEDIATELY	
<b>Identify Legal Requirements, Guidance and/or Doctrine:</b> EXEC ORDER S-04-06; FED CGC-1 2008, STATE EMERGENCY PLAN; DISASTER RECOVERY PLAN	
<b>Identify Inputs</b> (What resources/information is needed): STATUS OF STATE DOT NETWORK, IT INFRASTRUCTURE	
<b>Identify Outputs</b> (What resources/information is delivered): SITREPS, STATUS OF SYSTEM	
<b>Associated Leadership and Staffing Considerations:</b> 24/7 CAPABILITY	
<b>Communications requirements</b> (Include all voice, radio, and data systems): TELEPHONE, FACSIMILE, EMAIL, INTERNET, INTRANET, HIGHWAY INFORMATION NETWORK	
<b>Facility requirements</b> (Identify all facility requirements need to support this function/task): WORKSTATION, STORAGE CONTAINER	
<b>Telework</b> (Can this task be performed virtually or through telework): NO	
<b>Position resource requirements</b> (Include equipment (including IT/Communications) Vital Records (Electronic and hardcopy), software packages, supplies, GIS/Maps, etc): SYSTEM RECOVERY DOCUMENTATION, LICENSING INFORMATION, SOFTWARE CONTRACTS, UNIX, NOVELL, AND NT, CAD, DATABASE INFORMATION, STATEWIDE INFORMATION TECHNOLOGY MANUAL	
<b>Interdependencies</b> (Identify stakeholders, partners and customers associated with this function/task): DEPT TECHNOLOGY SERVICES, DISTRICT INFO TECHNOLOGY, STATE TECHNOLOGY AGENCY	



## ESSENTIAL FUNCTIONS UNIT

### Function Task Description

<b>ERG Position Title:</b>	<b>INTEGRATED MAINTENANCE MANAGEMENT SYSTEM</b>
<b>Organization:</b>	<b>STATE DOT</b>
<b>Position Phone:</b>	<b>CONTINUITY FACILITY DEPENDENT</b>
<b>Position Email:</b>	<b>CONTINUITY FACILITY DEPENDENT</b>
<b>Task Description</b> (Include activities performed in support of organizational Essential Functions): ACCURATELY TRACK EMERGENCY EXPENDITURES ,AND CREATE EFFECTIVE PAPER TRAILS CRITICAL TO FEDERAL AND STATE REIMBURSEMENT FOR STATE EMA-DIRECTED RESPONSE ACTIVITIES	
<b>MEF or PMEF Supported</b> (List title): MAINTENANCE OF THE SHS, ACQUISITION AND DISTRIBUTION OF EMERGENCY GOODS, COLLECTION OF DISASTER MONIES OWED TO DEPARTMENT	
<b>Timeliness</b> (How soon following activation must this task be addressed): WITHIN 12 HOURS	
<b>Identify Legal Requirements, Guidance and/or Doctrine:</b> EXEC ORDER S-04-06; FED CGC-1 2008, STATE EMERGENCY PLAN	
<b>Identify Inputs</b> (What resources/information is needed): DISTRICT EMERGENCY ACTIONS, EXPENDITURES	
<b>Identify Outputs</b> (What resources/information is delivered): ACCURATE COMPILATION OF ALL ACTIONS	
<b>Associated Leadership and Staffing Considerations:</b> 24/7 CAPABILITY	
<b>Communications requirements</b> (Include all voice, radio, and data systems): TELEPHONE, EMAIL, FACSIMILE	
<b>Facility requirements</b> (Identify all facility requirements need to support this function/task): WORKSTATION, STORAGE CONTAINERS	
<b>Telework</b> (Can this task be performed virtually or through telework): NO	
<b>Position resource requirements</b> (Include equipment (including IT/Communications) Vital Records (Electronic and hardcopy), software packages, supplies, GIS/Maps, etc): IMMS SERVER	
<b>Interdependencies</b> (Identify stakeholders, partners and customers associated with this function/task): BUDGET, ACCOUNTING, DISTRICT COUNTERPARTS	

## ESSENTIAL FUNCTIONS UNIT

### Function Task Description

<b>ERG Position Title:</b>	<b>MAJOR DAMAGE, DIRECTOR'S ORDERS</b>
<b>Organization:</b>	<b>STATE DOT</b>
<b>Position Phone:</b>	<b>CONTINUITY FACILITY DEPENDENT</b>
<b>Position Email:</b>	<b>CONTINUITY FACILITY DEPENDENT</b>
<b>Task Description</b> (Include activities performed in support of organizational Essential Functions): WORK CLOSELY WITH STATE DOT DISTRICT'S MAJOR DAMAGE RESTORATION COORDINATORS TO ENSURE RAPID AND TIMELY ISSUANCE OF DIRECTOR'S ORDERS, FACILITATE AUTHORIZATIONS, WORK WITH CONTRACTS AND PROCUREMENTS, OVERSEE EMERGENCY LIMITED BIDS (ELB)	
<b>MEF or PMEF Supported</b> (List title): RESPOND TO EMERGENCY SITUATIONS THAT AFFECT THE SAFETY AND OPERATION OF THE STATE HIGHWAY SYSTEM	
<b>Timeliness</b> (How soon following activation must this task be addressed): IMMEDIATELY	
<b>Identify Legal Requirements, Guidance and/or Doctrine:</b> EXEC ORDER S-04-06; FED CGC-1 2008, STATE EMERGENCY PLAN	
<b>Identify Inputs</b> (What resources/information is needed): STATE DOT DISTRICT REPORTS FROM MAJOR DAMAGE RESTORATION COORDINATORS, HIGHWAY PATROL, STATE EMA, COUNTY AND LOCAL JURISDICTIONS	
<b>Identify Outputs</b> (What resources/information is delivered): EXPEDITED DIRECTOR'S ORDERS, STATUS OF CONTRACTS, AVAILABLE CONTRACTORS	
<b>Associated Leadership and Staffing Considerations:</b> 24/7 CAPABILITY	
<b>Communications requirements</b> (Include all voice, radio, and data systems): TELEPHONE, FACSIMILE, EMAIL, INTERNET, INTRANET, RADIO (800 MHz COMMO)	
<b>Facility requirements</b> (Identify all facility requirements need to support this function/task): WORKSTATION, STORAGE CONTAINER	
<b>Telework</b> (Can this task be performed virtually or through telework): NO	
<b>Position resource requirements</b> (Include equipment (including IT/Communications) Vital Records (Electronic and hardcopy), software packages, supplies, GIS/Maps, etc): EMERGENCY CONTRACT REGISTRY; VENDOR LISTS	
<b>Interdependencies</b> (Identify stakeholders, partners and customers associated with this function/task): STATE DOT DISTRICT MAJOR DAMAGE RESTORATION COORDINATORS, DISTRICT DIRECTORS, STATE DOT MAINTENANCE AND OPS, FHWA	

## ESSENTIAL FUNCTIONS UNIT

### Function Task Description

<b>ERG Position Title:</b>	<b>RADIO COMMUNICATIONS</b>
<b>Organization:</b>	<b>STATE DOT</b>
<b>Position Phone:</b>	<b>CONTINUITY FACILITY DEPENDENT</b>
<b>Position Email:</b>	<b>CONTUITY FACILITY DEPENDENT</b>
<b>Task Description</b> (Include activities performed in support of organizational Essential Functions): PROVIDE EMERGENCY COMMUNICATIONS TO EOC, ERG; MONITOR TELCOM; COORDINATE WITH RADIO AMATEURS (ARES/RACES); IDENTIFY LANE CLOSURES; EXCHANGE CRITICAL INFORMATION WITH TMCs, OPERATE THE HIGHWAY INFORMATION NETWORK.	
<b>MEF or PMEF Supported</b> (List title): ACTIVATE COOP SITE; MAINTAIN TELECOMMUNICATIONS INFRASTRUCTURE	
<b>Timeliness</b> (How soon following activation must this task be addressed): IMMEDIATELY	
<b>Identify Legal Requirements, Guidance and/or Doctrine:</b> EXEC ORDER S-04-06, FED CGC-1 2008, STATE EMERGENCY PLAN	
<b>Identify Inputs</b> (What resources/information is needed): LICENSING INFORMATION, COMMO EQUIPMENT INVENTORY BASE, STATE EMA COMMUNICATIONS SYSTEM	
<b>Identify Outputs</b> (What resources/information is delivered): STATUS REPORTS, CRITICAL HIGHWAY INFORMATION, EMERGENCY COMMO SUPPORT TO THE ERG AND EOC	
<b>Associated Leadership and Staffing Considerations:</b> 24/7 CAPABILITY	
<b>Communications requirements</b> (Include all voice, radio, and data systems): TELEPHONE, CELL, FACSIMILE, STATE HIGHWAY INFORMATION SYSTEMS	
<b>Facility requirements</b> (Identify all facility requirements need to support this function/task): EMERGENCY GENERATORS, ANTENNA CAPABILITY, DEDICATED SECURE ROOM	
<b>Telework</b> (Can this task be performed virtually or through telework): DEPENDS ON THE EMERGENCY	
<b>Position resource requirements</b> (Include equipment (including IT/Communications) Vital Records (Electronic and hardcopy), software packages, supplies, GIS/Maps, etc): HIGHWAY INFORMATION NETWORK, LCS	
<b>Interdependencies</b> (Identify stakeholders, partners and customers associated with this function/task): RADIO AMATEURS, GSA, TMCs, FHWA	

## ESSENTIAL FUNCTIONS UNIT

### Function Task Description

<b>ERG Position Title:</b>	<b>ROADSIDE MAINTENANCE</b>
<b>Organization:</b>	<b>STATE DOT</b>
<b>Position Phone:</b>	<b>CONTINUITY FACILITY DEPENDENT</b>
<b>Position Email:</b>	<b>CONTINUITY FACILITY DEPENDENT</b>
<b>Task Description</b> (Include activities performed in support of organizational Essential Functions): STATUS OF ROADBEDS AND ROADSIDES; INFORMATION EXCHANGE WITH DISTRICT MAINTENANCE STATIONS, HIGHWAY PATROL	
<b>MEF or PMEF Supported</b> (List title): ESSENTIAL MAINTENANCE ELEMENTS FOR SHS	
<b>Timeliness</b> (How soon following activation must this task be addressed): IMMEDIATELY	
<b>Identify Legal Requirements, Guidance and/or Doctrine:</b> S-04-06; FED CGC-2 2010	
<b>Identify Inputs</b> (What resources/information is needed): SITREPS, STATUS REPORTS FROM STATE DOT DISTRICTS, HIGHWAY PATROL REPORTS	
<b>Identify Outputs</b> (What resources/information is delivered): SITREPS, STATE EMA ENTRIES	
<b>Associated Leadership and Staffing Considerations:</b> 24/7 STAFFING AND OPERATIONS	
<b>Communications requirements</b> (Include all voice, radio, and data systems): EMAIL, TELEPHONE, STATE TELECOM SYSTEMS	
<b>Facility requirements</b> (Identify all facility requirements need to support this function/task): DEDICATED WORKSTATION	
<b>Telework</b> (Can this task be performed virtually or through telework): EVENT DEPENDENT	
<b>Position resource requirements</b> (Include equipment (including IT/Communications) Vital Records (Electronic and hardcopy), software packages, supplies, GIS/Maps, etc): ROAD INVENTORY, AS-BUILTS	
<b>Interdependencies</b> (Identify stakeholders, partners and customers associated with this function/task): DISTRICT COUNTERPARTS, MAINTENANCE STATIONS, HIGHWAY PATROL	

## ESSENTIAL FUNCTIONS UNIT

### Function Task Description

<b>ERG Position Title:</b>	SAFETY
<b>Organization:</b>	STATE DOT
<b>Position Phone:</b>	CONTINUITY FACILITY DEPENDENT
<b>Position Email:</b>	CONTINUITY FACILITY DEPENDENT
<b>Task Description</b> (Include activities performed in support of organizational Essential Functions): ENFORCE HEALTH AND SAFETY POLICIES, CONDUCT SAFETY INSPECTIONS, IDENTIFY WORKPLACE HAZARDS, ENSURE HEALTH AND WELL-BEING DURING STRESSFUL EMERGENCY SITUATIONS.	
<b>MEF or PMEF Supported</b> (List title): EMERGENCY WORKSITE ANALYSIS, ACTIVATE COOP SITE	
<b>Timeliness</b> (How soon following activation must this task be addressed): IMMEDIATELY	
<b>Identify Legal Requirements, Guidance and/or Doctrine:</b> EXEC ORDER S-04-06; FED CGC-1 2008, STATE EMERGENCY PLAN	
<b>Identify Inputs</b> (What resources/information is needed): EMPLOYEE STATUS, REPORTS FROM SUPERVISORS, SAFETY REPORT VIOLATIONS	
<b>Identify Outputs</b> (What resources/information is delivered): STATUS OF WORKPLACE SAFETY, EMPLOYEE WELL-BEING	
<b>Associated Leadership and Staffing Considerations:</b> 24/7 CAPABILITY	
<b>Communications requirements</b> (Include all voice, radio, and data systems): TELEPHONE, FACSIMILE, EMAIL, INTERNET, INTRANET	
<b>Facility requirements</b> (Identify all facility requirements need to support this function/task): WORKSTATION, STORAGE CONTAINER	
<b>Telework</b> (Can this task be performed virtually or through telework): NO	
<b>Position resource requirements</b> (Include equipment (including IT/Communications) Vital Records (Electronic and hardcopy), software packages, supplies, GIS/Maps, etc): EMERGENCY NOTIFICATION RECORDS, SAFETY RECORDS	
<b>Interdependencies</b> (Identify stakeholders, partners and customers associated with this function/task): HUMAN RESOURCES, FACILITY MANAGER	

## ESSENTIAL FUNCTIONS UNIT

### Function Task Description

<b>ERG Position Title:</b>	<b>TRAFFIC OPERATIONS</b>
<b>Organization:</b>	<b>STATE DOT</b>
<b>Position Phone:</b>	<b>CONTINUITY FACILITY DEPENDENT</b>
<b>Position Email:</b>	<b>CONTINUITY FACILITY DEPENDENT</b>
<b>Task Description</b> (Include activities performed in support of organizational Essential Functions): ENSURE TMC OPERATIONS, TRAFFIC MANAGEMENT WARNING SYSTEMS FOR STATE DOT DISTRICTS, MONITOR TMC PLANNING AND OPERATION, ISSUE EMERGENCY OVERSIZE AND OVERWEIGHT PERMITS	
<b>MEF or PMEF Supported</b> (List title): ISSUE TRANSPORTATION PERMITS FOR OVERWEIGHT/OVERSIZE VEHICLES	
<b>Timeliness</b> (How soon following activation must this task be addressed): IMMEDIATELY	
<b>Identify Legal Requirements, Guidance and/or Doctrine:</b> EXEC ORDER S-04-06; FED CGC-1 2008, STATE EMERGENCY PLAN	
<b>Identify Inputs</b> (What resources/information is needed): SITREPS FROM TMCs, SHS STATUS, HIGHWAY PATROL REPORTS	
<b>Identify Outputs</b> (What resources/information is delivered): EMERGENCY PERMITS, STATUS OF WARNING SYSTEMS	
<b>Associated Leadership and Staffing Considerations:</b> 24/7 CAPABILITY	
<b>Communications requirements</b> (Include all voice, radio, and data systems): TELEPHONE, FACSIMILE, EMAIL, INTERNET, INTRANET, RADIO (800 MHZ COMMO), ACCESS TO SAT PHONES	
<b>Facility requirements</b> (Identify all facility requirements need to support this function/task): WORKSTATION, STORAGE CONTAINER	
<b>Telework</b> (Can this task be performed virtually or through telework): NO	
<b>Position resource requirements</b> (Include equipment (including IT/Communications) Vital Records (Electronic and hardcopy), software packages, supplies, GIS/Maps, etc): TRAFFIC FORECASTING SOFTWARE, TMC SYSTEMS, ROAD INVENTORY, AS-BUILTS	
<b>Interdependencies</b> (Identify stakeholders, partners and customers associated with this function/task): TRANSPORTATION PERMITS, BRANCH AND DISTRICT TMC	

## ESSENTIAL FUNCTIONS UNIT

### Function Task Description

<b>ERG Position Title:</b>	WEB SUPPORT
<b>Organization:</b>	STATE DOT
<b>Position Phone:</b>	CONTINUITY FACILITY DEPENDENT
<b>Position Email:</b>	CONTINUITY FACILITY DEPENDENT
<b>Task Description</b> (Include activities performed in support of organizational Essential Functions): UPDATE STATE DOT WEBSITE, PREPARE FEEDS INTO FACEBOOK AND TWITTER, SUPPORT EXTERNAL AFFAIRS AND PIO, ACCURATELY PORTRAY STATE DOT ACTIONS	
<b>MEF or PMEF Supported</b> (List title): PROVIDE TRANSPORTATION SYSTEM INFORMATION TO GOVERNMENT ENTITIES, PRIVATE SECTOR, AND GENERAL PUBLIC	
<b>Timeliness</b> (How soon following activation must this task be addressed): IMMEDIATELY	
<b>Identify Legal Requirements, Guidance and/or Doctrine:</b> EXEC ORDER S-04-06; FED CGC-1 2008, STATE EMERGENCY PLAN	
<b>Identify Inputs</b> (What resources/information is needed): SITREPS, STATE DOT DISTRICT REPORTS; VERIFIED AND AUTHORIZED INFORMATION	
<b>Identify Outputs</b> (What resources/information is delivered): UPDATE STATE DOT WEBSITE, CRITICAL PUBLIC INFORMATION	
<b>Associated Leadership and Staffing Considerations:</b> 24/7 CAPABILITY	
<b>Communications requirements</b> (Include all voice, radio, and data systems): TELEPHONE, FACSIMILE, EMAIL, INTERNET, INTRANET, RADIO (800 MHZ COMMO)	
<b>Facility requirements</b> (Identify all facility requirements need to support this function/task): WORKSTATION, STORAGE CONTAINER	
<b>Telework</b> (Can this task be performed virtually or through telework): NO	
<b>Position resource requirements</b> (Include equipment (including IT/Communications) Vital Records (Electronic and hardcopy), software packages, supplies, GIS/Maps, etc): MAINFRAME, SERVERS	
<b>Interdependencies</b> (Identify stakeholders, partners and customers associated with this function/task): EXTERNAL AFFAIRS, PUBLIC AFFAIRS, STATE EMA PIO, HIGHWAY PATROL PIO	

**RELOCATION UNIT  
PERSONNEL POSITIONS**



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# RELOCATION UNIT

## Function Task Description

<b>ERG Position Title:</b>	<b>RELOCATION UNIT LEADER</b>
<b>Organization:</b>	<b>STATE DOT</b>
<b>Position Phone:</b>	<b>CONTINUITY FACILITY DEPENDENT</b>
<b>Position Email:</b>	<b>CONTINUITY FACILITY DEPENDENT</b>
<b>Task Description</b> (Include activities performed in support of organizational Essential Functions): DETERMINE IF ALTERNATE FCILITIES WILL BE NEEDED FOR MORE THAN 30 DAYS; ASSESS REQUIREMENTS FOR TEMPORARY(31 DAYS TO 6 MONTHS) OR LONG TERM RELOCATION (7 MONTHS TO PERMANENT); COORDINATE WITH GSA FOR REAL ESTATE, MOVING, FURNITURE AND EQUIPMENT RENTAL AND RELATED SERVICES; COORDINATE WITH COOP/COG BRANCH CHIEF REGARDING GETTING PERMISSION FROM THE POLICY GROUP FOR THE TEMPORARY OR LONG TERM RELOCATION OF STATE DOT HEADQUARTERS.	
<b>MEF or PMEF Supported</b> (List title): SUPPORT COOP ACTIVATION, PROVIDE ESSENTIAL BUILDING MAINTENANCE, SECURITY, AND OPERATION	
<b>Timeliness</b> (How soon following activation must this task be addressed): IMMEDIATELY	
<b>Identify Legal Requirements, Guidance and/or Doctrine:</b> FED CGC-1 2008, STATE EMERGENCY PLAN	
<b>Identify Inputs</b> (What resources/information is needed): STATUS OF HEADQUARTERS FACILITY, SITREPS, COMMUNITY STATUS REPORTS- ACCESSIBILITY, UTILITIES	
<b>Identify Outputs</b> (What resources/information is delivered): RECOMMENDATIONS FOR TEMPORARY AND LONG TERM RELOCATION; PLANS FOR RELOCATION; ACTUAL RELOCATION	
<b>Associated Leadership and Staffing Considerations:</b> ACCESS TO KEY LEADERSHIP, 24/7 OPERATIONS	
<b>Communications requirements</b> (Include all voice, radio, and data systems): TELEPHONE, FACSIMILE, EMAIL, INTERNET, INTRANET	
<b>Facility requirements</b> (Identify all facility requirements need to support this function/task): WORKSTATION, STORAGE CONTAINER	
<b>Telework</b> (Can this task be performed virtually or through telework): EVENT DEPENDENT	
<b>Position resource requirements</b> (Include equipment (including IT/Communications) Vital Records (Electronic and hardcopy), software packages, supplies, GIS/Maps, etc): FACILITIES DATABASE, AS-BUILTS, DEEDS, CRITICAL PROJECT FILES, REAL PROPERTY INVENTORY SERVER, ASSET MANAGER INVENTORY	
<b>Interdependencies</b> (Identify stakeholders, partners and customers associated with this function/task): GSA, BUILDING OWNERS, LEASED FACILITY MANAGEMENT, EFU FACILITIES	

## RELOCATION UNIT

### Function Task Description

<b>ERG Position Title:</b>	TEMPORARY RELOCATION
<b>Organization:</b>	STATE DOT
<b>Position Phone:</b>	CONTINUITY FACILITY DEPENDENT
<b>Position Email:</b>	CONTINUITY FACILITY DEPENDENT
<b>Task Description</b> (Include activities performed in support of organizational Essential Functions): DETERMINE IF ALTERNATE FCILITIES WILL BE NEEDED FOR MORE THAN 30 DAYS; DETERMINE THAT TEMPORARY (UP TO 6 MONTHS) RELOCATION OF HEADQUATERS IS ADEQUATE; COORDINATE WITH GSA FOR REAL ESTATE, MOVING, FURNITURE AND EQUIPMENT RENTAL AND RELATED SERVICES; COORDINATE WITH RELOCATION UNIT LEADER REGARDING GETTING PERMISSION FROM THE POLICY GROUP FOR THE TEMPORARY RELOCATION OF STATE DOT HEADQUARTERS.	
<b>MEF or PMEF Supported</b> (List title): SUPPORT COOP ACTIVATION, PROVIDE ESSENTIAL BUILDING MAINTENANCE, SECURITY, AND OPERATION	
<b>Timeliness</b> (How soon following activation must this task be addressed): IMMEDIATELY	
<b>Identify Legal Requirements, Guidance and/or Doctrine:</b> FED CGC-1 2008, STATE EMERGENCY PLAN	
<b>Identify Inputs</b> (What resources/information is needed): STATUS OF HEADQUARTERS FACILITY, SITREPS, COMMUNITY STATUS REPORTS- ACCESSIBILITY, UTILITIES	
<b>Identify Outputs</b> (What resources/information is delivered): RECOMMENDATIONS FOR TEMPORARY RELOCATION; PLANS FOR RELOCATION; ACTUAL TEMPORARY RELOCATION	
<b>Associated Leadership and Staffing Considerations:</b> ACCESS TO KEY LEADERSHIP, 24/7 OPERATIONS	
<b>Communications requirements</b> (Include all voice, radio, and data systems): TELEPHONE, FACSIMILE, EMAIL, INTERNET, INTRANET	
<b>Facility requirements</b> (Identify all facility requirements need to support this function/task): WORKSTATION, STORAGE CONTAINER	
<b>Telework</b> (Can this task be performed virtually or through telework): EVENT DEPENDENT	
<b>Position resource requirements</b> (Include equipment (including IT/Communications) Vital Records (Electronic and hardcopy), software packages, supplies, GIS/Maps, etc): FACILITIES DATABASE, AS-BUILTS, DEEDS, CRITICAL PROJECT FILES, REAL PROPERTY INVENTORY SERVER, ASSET MANAGER INVENTORY	
<b>Interdependencies</b> (Identify stakeholders, partners and customers associated with this function/task): GSA, BUILDING OWNERS, LEASED FACILITY MANAGEMENT, EFU FACILITIES	

## RELOCATION UNIT

### Function Task Description

<b>ERG Position Title:</b>	LONG TERM RELOCATION
<b>Organization:</b>	STATE DOT
<b>Position Phone:</b>	CONTINUITY FACILITY DEPENDENT
<b>Position Email:</b>	CONTINUITY FACILITY DEPENDENT
<b>Task Description</b> (Include activities performed in support of organizational Essential Functions): DETERMINE IF ALTERNATE FCILITIES WILL BE NEEDED FOR LONG TERM RELOCATION (7 MONTHS TO PERMANENT); COORDINATE WITH GSA FOR REAL ESTATE, MOVING, FURNITURE AND EQUIPMENT RENTAL AND RELATED SERVICES; COORDINATE WITH RELOCATION UNIT LEADER REGARDING GETTING PERMISSION FROM THE POLICY GROUP FOR THE LONG TERM RELOCATION OF STATE DOT HEADQUARTERS; LOCATE, ACQUIRE AND FURNISH STATE DOT HEADQUARTERS FACILITY, FOR LONG TERM USE OR PERMANENT RELOCATION OF HEADQUARTERS FUNCTIONS.	
<b>MEF or PMEF Supported</b> (List title): SUPPORT COOP ACTIVATION, PROVIDE ESSENTIAL BUILDING MAINTENANCE, SECURITY, AND OPERATION	
<b>Timeliness</b> (How soon following activation must this task be addressed): IMMEDIATELY	
<b>Identify Legal Requirements, Guidance and/or Doctrine:</b> FED CGC-1 2008, STATE EMERGENCY PLAN	
<b>Identify Inputs</b> (What resources/information is needed): STATUS OF HEADQUARTERS FACILITY, SITREPS, COMMUNITY STATUS REPORTS- ACCESSIBILITY, UTILITIES	
<b>Identify Outputs</b> (What resources/information is delivered): RECOMMENDATIONS FOR LONG TERM RELOCATION; ALTERNATIVE LOCATIONS FOR STATE DOT HEADQUARTERS LONG TERM OR PERMANENTLY; PLANS FOR RELOCATION; ACTUAL RELOCATION	
<b>Associated Leadership and Staffing Considerations:</b> ACCESS TO KEY LEADERSHIP, 24/7 OPERATIONS	
<b>Communications requirements</b> (Include all voice, radio, and data systems): TELEPHONE, FACSIMILE, EMAIL, INTERNET, INTRANET	
<b>Facility requirements</b> (Identify all facility requirements need to support this function/task): WORKSTATION, STORAGE CONTAINER	
<b>Telework</b> (Can this task be performed virtually or through telework): EVENT DEPENDENT	
<b>Position resource requirements</b> (Include equipment (including IT/Communications) Vital Records (Electronic and hardcopy), software packages, supplies, GIS/Maps, etc): FACILITIES DATABASE, AS-BUILTS, DEEDS, CRITICAL PROJECT FILES, REAL PROPERTY INVENTORY SERVER, ASSET MANAGER INVENTORY	
<b>Interdependencies</b> (Identify stakeholders, partners and customers associated with this function/task): GSA, BUILDING OWNERS, LEASED FACILITY MANAGEMENT, EFU FACILITIES	

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## ACRONYMS FOR COOP/COG TRAINING

ACRONYM	DEFINITION
CERT	Community Emergency Response Team. Volunteers in a neighborhood organized to support each other during an emergency or disaster. CERT members receive 20 hours of training, including interfacing with emergency responders.
CGC-1	Continuity Guidance Circular -1. In 2009 the Federal government provided guidance for local, tribal and state governments to use in creating their continuity of operations programs. This circular offers guidance, models and template for use by all non-federal entities.
CGC-2	Continuity Guidance Circular -2. In 2010 the Federal government augmented the guidance on continuity of operations planning to include guidance on identifying various levels of essential functions at the non-federal level.
COG	Continuity of Government. Work carried out by any entity to ensure the continuation of Constitutional government in the United States, and the provision of services to support the continuance of the work of the Federal government.
COOP	Continuity of Operations. Work carried out by any entity to ensure that its most critical functions are continued, regardless of the disaster that may be occurring in or impacting the community. A COOP plan includes the identification of alternate locations from which essential functions can be performed, identification of systems and equipment needed to carry out the essential functions, and a list of positions in the Emergency Relocation Group who will do the work required by the essential functions.
DMAT	Disaster Medical Assistance Team. A pre-registered and pre-trained group of volunteer medical personnel who are under the direction of the US Department of Health and Human Services. They are qualified and certified medical professionals (physicians, trauma surgeons, nurses, and allied medical arts personnel) who are trained and equipped to go to another community that is having an emergency and deliver field-level medical care; or augment local medical capabilities; or replace local hospital staff members so they can have a rest during the disaster, or so they can attend to their homes, families and personal needs related to the disaster.
DOT	Department of Transportation. The state or local entity tasked with providing transportation services. These usually include roads, bridges and tunnels; may include ports, heliports and general aviation airports; and sometimes include transit systems.
DSW	Disaster Service Worker. A person who will provide services during a disaster. In some states all public agency employees are disaster services workers, which means that they are required to stay at work during a disaster, and may be assigned to any task to assist the their home agency, the public or first responders during a declared emergency. Some DSWs are registered volunteers who will augment the work of paid staff. These include amateur radio operators who provide auxiliary communications services; donations management specialists; and care and shelter volunteers, many of whom work through the American Red Cross.



EFU	<p>Essential Functions Unit.</p> <p>Every governmental entity and public agency is required to create a Continuity of Operations Plan (COOP). One section of the COOP lists all the functions of that agency that must be continued with an interruption not to exceed 12 hours, and that must continue uninterrupted for at least 30 days. These are then designated as the entity's Essential Functions. The Emergency Relocation Group within the COOP/COG Branch ensures the rapid relocation of the Essential Functions personnel and the continuity of their services. One unit with that Group is the EFU whose members actually deliver the Essential Functions.</p>
EMA	<p>Emergency Management Agency.</p> <p>The unit in any agency that oversees all phases of emergency management: mitigation/prevention, planning/preparedness/ response/recovery. At the state level they coordinate with the Governor and all agencies of state government, and run the State Operations Center.</p>
EMS	<p>Emergency Medical Services.</p> <p>The agency that provides ambulance and paramedic services to the community. In some states they are part of county government and oversee nursing homes, private ambulance companies, 9-1-1 ambulance services, and paramedic and emergency medical technician licensure.</p>
EOC	<p>Emergency Operations Center.</p> <p>The location in which coordination and strategic planning occur during an emergency. EOCs are located at all levels of government and in private and non-governmental entities.</p>
EOP	<p>Emergency Operations Plan.</p> <p>A comprehensive plan that describes how an entity will respond to emergencies and disasters, organizing its assets to support the emergency response. Segments include the legal basis for emergency management in that entity, the threat analysis for the entity or community, and annexes that describe the work of each member of the EOC staff.</p>
ERG	<p>Emergency Relocation Group.</p> <p>Those members of an entity's staff who, during a disaster that disrupts the headquarters or other essential facilities, go to an alternate location and continue to provide the essential functions of the entity, as well as oversee the human capital of the organization and find temporary and permanent relocation facilities for the entity.</p>
ESF	<p>Emergency Support Function.</p> <p>At the federal level, a category of assistance that the federal government will provide to state and local governments during declared disasters. ESF #1 is Transportation, for example, which is led by the US DOT and supported by DOD, Department of Agriculture and dozens of other federal entities.</p>
FEMA	<p>Federal Emergency Management Agency.</p> <p>The federal organization that is responsible for supporting state and local government during all four phases of emergency management. FEMA manages the National Flood Insurance Program, Public Assistance, Individual Assistance and other programs that provide funding for victims of disasters. It has an educational arm at the National Education and Training Center in Maryland that offers classes to train emergency managers from state and local governments, and has a program to encourage the development of emergency management courses in colleges and universities. It also runs the Independent Study program offering internet-based courses in emergency management.</p>

FHWA	<p>Federal High Way Administration.</p> <p>The federal organization that funds the State Highway System in the United States. During a disaster the FHWA provides financial support for the repair, restoration or replacement of SHS roadways.</p>
GIS	<p>Geographical Information System.</p> <p>A computer-based map making system that stores data about a community in layers. During an emergency or disaster these layers can be selected in different combinations to make maps that describe the extent of damage and the infrastructure involved.</p>
GSA	<p>General Services Administration.</p> <p>A governmental entity responsible for most of the business-like functions of a government, for example, making contracts to purchase goods and services, or to lease or purchase real estate. They typically oversee all the facilities and vehicles owned by a governmental entity.</p>
HSPD	<p>Homeland Security Presidential Directive.</p> <p>After the 9-11 attacks on the United States in New York City and at the Pentagon, President George W. Bush issued a series of HSPDs that ordered the Executive Branch to organize its resources to enhance America's capability to prevent, respond to and recover from terrorist attacks on the homeland.</p>
ICS	<p>Incident Command System.</p> <p>The hierarchical management system developed in California in the 1970s to manage fire ground activities when multiple fire departments worked together to fight a conflagration or wildland urban interface fire. ICS has been mandated for use across the nation in a disaster that requires multiple entities to respond. It is the basis for the National Incident Management System (NIMS) mandated by HSPD-5.</p>
MACS	<p>Multiple Agency Coordination System.</p> <p>MACS was originally developed as part of ICS. It was used when multiple agencies within the same discipline had an equal stake in the management of a fire-based emergency, such as in a wildland fire where several communities were burning at the same time. MACS has also been incorporated into NIMS.</p>
MEF	<p>Mission Essential Functions.</p> <p>Federal government functions that have been designated as critical for the continuation of service delivery to the population.</p>
NEPA	<p>National Environmental Protection Act.</p> <p>A federal law that requires the review of all projects to ensure that their impact on the environment falls into one of three categories: non-existent, <i>de minimum</i>, or mitigated.</p>
NGO	<p>Non-Governmental Organization.</p> <p>Groups organized to provide services with a community service motive. NGO is the preferred term in international settings and is commonly used in emergency management planning documents. Such groups are also known as Non-Profit Organizations (NPOs), but that is often misleading, as many NGOs offer some services through which they make a profit that then supports other services that are not profitable. For example, the American Red Cross makes a profit from managing blood donation and distribution, and uses that profit to support training programs and community emergency response services.</p>
NIMS	<p>National Incident Management System.</p> <p>Created by HSPD-5 direction to the Secretary of Homeland Security, NIMS is the adoption of ICS as the common organizational method for all emergency</p>

	response in the United States that involves multiple organizations working together.
NIPP	National Infrastructure Protection Plan. This plan recognizes the critical infrastructure and key resources in the United States and provides an organizational framework for ensuring their protection from terrorist and criminal attacks.
PIO	Public Information Officer. The official within the Incident Command structure who is the single point of contact for the public and the media during a disaster; who is the only person authorized to create materials about an emergency event for release to the public and the media.
PMEF	Primary Mission Essential Function. Activities of the Federal Executive Branch that must be continued regardless of any emergency. PMEFS are identified at the federal level, but state and local agencies are expected to provide appropriate support to the delivery of PMEFS within their jurisdictions.
SEF	State Essential Function. Activities of the State Executive Branch that must be continued regardless of any emergency. Multiple state agencies and local government entities may have to coordinate to ensure continuous service delivery.
SHS	State Highway System. The roadways that have been built with federal funding and the maintenance for which is funded through federal sources, notably the Federal High Way Administration. This includes the interstate /national defense highway system that was originally built with Department of Defense funds, in many cases, but is now maintained by the state transportation departments using federal funding.
SOC	State Operations Center. The emergency operations center for the state.
SOP	Standard Operating Procedures. These are agreed-upon ways for dealing with specific challenges and activities. SOPs may include something as simple as how to process payroll or as complex as how to manage a hazardous materials accident in an urban area. They list the steps to be taken and the individuals, positions or organizations responsible for each step; and often include information about supplies and equipment needed to deal with the challenge or activity.
TTE	Test, Training and Exercise. The Homeland Security Exercise and Evaluation Program uses the acronym TTE to describe the steps that are taken after delivering training to ensure that the students have absorbed the knowledge and are able to act on it. Tests may include skills testing or pencil and paper written tests; training includes all types of knowledge transfer; exercise includes skills demonstration, tabletop exercises that are discussion based, facilitated exercises that involve guided discussions, functional exercises that test certain elements of a plan, and full scale exercises that replicate real world emergencies.

# TAB 6

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## TAB 6: SAMPLE COOP/COG LEADERSHIP POSITIONS' CHECKLISTS

### COOP/COG Branch Director Checklist

Check-in with the COOP Security Officer

Obtain a briefing:

From the EOC Director if the EOC is open;

**OR**

From the State EMA SOC Duty Officer;

**OR**

If an internal State DOT matter only, from the Chief Deputy.

Maintain an activity log for all decisions made and orders given

Coordinate with EOC Management Section Chief on the activities for the current Action Planning period.

Hold a briefing for the COOP/COG Branch personnel:

Provide the Action Plan for the current period,

Review their planned activities for the rest of the Action Planning Period.

Obtain any information to be shared at the next EOC Action Planning Briefing.

Participate in the EOC Action Planning briefings.

Oversee the management of the COOP/COG elements, including the Emergency Response Group (ERG) and the alternate continuity site

Coordinate with Policy Group for direction on long-term relocation or reconstitution

Demobilize according to the EOC Plan

File all documents with the Management Section Chief

Check-out with COOP Security

## **Emergency Relocation Group Supervisor Checklist**

Check in with the COOP Security Officer

Obtain a briefing from the COOP/COG Branch Director

Implement the COOP/COG Plan

- Oversee the Human Capital Unit, Essential Functions Unit and Relocation Unit
- Determine the need for devolution of essential functions
- Support the Branch Director
- Ensure security at the alternate continuity site

Assist the COOP/COG Branch Director to prepare for the EOC Action Planning Briefings; provide details about the work of the ERG for inclusion in the report.

Demobilize according to the EOC Plan

File all documents with the COOP Branch Director

Check-out with COOP Security

## **Human Capital Unit Leader Checklist**

Check in with the COOP Security Officer

Obtain a briefing from the ERG Supervisor

Oversee the emergency assignments of all State DOT Headquarters employees

Ensure that ERG positions are fully staffed

Locate personnel to augment the ERG to ensure the continuity of essential functions

Ensure that non-ERG employees are kept informed and deployed through telework and other strategies to support the Essential Functions Unit (EFU)

Ensure that work time is tracked and payroll managed

Handle Workers' Compensation and other employee claims

Ensure that peer defusing and critical incident stress counseling are available to State DOT staff

Demobilize according to the EOC Plan

File all documents with the ERG Supervisor

Check-out with COOP Security



## **Essential Functions Unit (EFU) Leader Checklist**

Check in with the COOP Security Officer

Obtain a briefing from the ERG Supervisor

Restart and maintain all activities required to carry out State DOT's designated essential functions

Manage functional sub-units established at the time of the event that are designed to facilitate the delivery of essential functions, which might include:

- Administration
- Finance
- Engineering
- Maintenance

Demobilize according to the EOC Plan

File all documents with the ERG Supervisor

Check-out with COOP Security

## **Relocation Unit Leader Checklist**

Check in with the COOP Security Officer

Obtain a briefing from the ERG Supervisor

Open and survey the alternate continuity facility, evaluate its capability and designate it as the COOP/COG alternative continuity facility for that event

Provide logistical support to the ERG at the alternate continuity facility

Provide equipment and materials to ensure the continuity of essential functions at the alternate continuity site

Identify the need for long-term or permanent relocation of essential functions

Develop the reconstitution plan, including the repair or replacement of the Headquarters facility or other damaged essential function location

Demobilize according to the EOC Plan

File all documents with the ERG Supervisor

Check-out with COOP Security

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## EMERGENCY KIT FOR THE CAR

**WATER.** This is your most important item. You will need water to drink, for first aid, and to take medicine. In your kit, have at least one gallon of water per person, based on who usually rides in your car. You could purchase a box of foil packets or cans of water at a camping store, or one liter bottles at a discount store in a 20 bottle flat.

**PRESCRIPTION MEDICATIONS.** This is the second most important item. If you take medications on which your health depends you must carry a three-day supply at all times. This would include heart, blood pressure and diabetic medications. If you regularly take other prescription drugs for allergies or other health concerns, it is also wise to carry these. Keep this supply fresh by rotating it every week. Also include any non-prescription medications you often use: nose drops, antihistamine, allergy remedies, diarrhea medication, or indigestion medications. In times of stress such as an emergency health problems can become worse. Having proper medications and keeping to the prescribed schedule is very important.

**FOOD.** Food is important for psychological reasons and to keep your blood sugar level up to avoid dizzy or shaky feelings. People with diabetes, heart disease, or other health problems should consult their physicians for advice about the foods for their kits. The healthy general public should select foods like crackers, peanut butter, snack packs of fruit, pudding, granola bars, dried fruit, and single serving cans of juice. Plan on four light meals per day. Avoid high sugar foods like candy and soft drinks as they make you very thirsty. Avoid alcoholic beverages.

**LIGHT SOURCE.** A chemical light stick provides long shelf life and a sparkless source of light. A flashlight with a special long-life battery or a long-burning candle may be used after you have checked the area to be sure that there is no leaking gas or petroleum in the area. Do not rely on a regular flashlight as ordinary batteries lose their power quickly in the heat of a car. You might consider an electric light with an attachment to your car cigarette lighter, available at camping stores.

**RADIO.** Your car radio is your source for emergency broadcast information. Get a list of all-news stations for the area where you live, work, and areas you drive to or through. Keep this list in your glove compartment and in your emergency kit. A hand cranked emergency radio is also

useful and eliminates the need for batteries. These often come with flashlights that run on the same power source.

**EMERGENCY BLANKET.** Mylar emergency blankets are available at camping-goods stores. They can be used as a blanket or a heat shield against the sun. They fold into a small package. A thermal blanket may be substituted when storage space permits.

**FIRST AID SUPPLIES.** Include 4x4 gauze, cloth that can be torn into strips to hold a bandage in place, Kerlex, anti-bacterial ointment (Neosporin, Bacetracin, etc.), burn cream, rolls of gauze, large gauze pads, rolls of first aid tape, scissors, a large cloth square for a sling or tourniquet, safety pins, needles and heavy thread, matches, eye wash, and a chemical ice pack. Rotate these supplies every six months.

**PERSONAL CARE AND HYGIENE ITEMS.** Alcohol-based hand sanitizer, small plastic bottle of pine oil or other disinfectant, six large heavy-duty garbage bags with ties for sanitation and waste disposal, box of tissues, roll of toilet paper, plastic bucket to use as a toilet after lining it with a plastic garbage bag.. (Your smaller kit items can be stored in your bucket inside a sealed trash bag).

**ADDITIONAL ITEMS TO CONSIDER.** Sturdy shoes (especially if your work shoes are not good for walking), sweater or jacket, hat/sun visor, mouthwash, feminine hygiene supplies, whistle (to attract attention and call for help), rope or string, pencil and tablet, change for a pay phone.

**DON'T LET YOUR GAS TANK FALL BELOW HALF FULL!** The radio and heater in your car may save your life, but you can't run the car's accessories long without the gas to start the engine and re-charge the battery. If you travel in isolated areas, on the freeway, or far from home, an adequate gasoline supply is crucial. Fill up often. After the quake the gas pumps may not work for several days while electrical power is restored, and once the pumps work, the supplies will quickly be depleted through panic buying. **NEVER CARRY CANS OF GAS IN YOUR TRUNK!** A can of gas is a bomb!

## **PROFESSIONAL DRIVE-AWAY KIT**

Paper copies of COOP/COG Plan, Emergency Plan, maps to alternate continuity sites; GPS

Laptop computer with appropriate software: Office Suite, CAD, GIS, for example

Laptop files to do the work of the assigned position:

- Plans, directories, contract lists, phone contact lists, documents, as-builts, for example

Laptop AC power supply and spare battery

AC extension cord with at least 3 plug-in slots

Laptop battery charger with car cigarette lighter adapter

Cell phone

Cell phone AC charger; car cigarette lighter charger

Portfolio and spare paper, clip board, pens, pencil with eraser, pencil sharpener

Eye glasses (reading, computer, prescription sun glasses, other)

Protective equipment (ear plugs, safety glasses, work gloves, boots, hard hat, for example)

Outdoor wear appropriate for the season (rain gear, gloves, hat, earmuffs, for example)

Sunscreen, hand cream, face cream, other protective supplies

Folding table and folding chair

Cot, pillow, sleeping bag, blanket

Other items needed to do the job and for personal support in austere circumstances



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## **Maps to alternate continuity sites**

This section of the plan should have a map demonstrating various evacuation routes from the headquarters facility. It should also have area maps for each of the three selected continuity facilities that show the freeway access points, major roads that are likely to be opened quickly by local authorities, and the exact location of the continuity facility. Therefore, this annex should consist of four maps.

Maps with driving routes may be easily obtained by an on-line provider by accessing the maps and driving directions, zooming in to the most appropriate scale, and then using the “print screen” command to retrieve the image. State DOTs with cartographers may wish to have customized maps created for the plan.

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## TAB 9

### **Planning Materials**

**1. California DSW information folder (example)**

**Note:** Instructors should obtain the information on this program from your state emergency management agency, and substitute your information for this example folder.

**2. Confidential Household Data for your Disaster Kit**

**3. FEMA : Family Basic Disaster Supplies**

**4. Vital Records Emergency Information**

**5. Low Cost/ No Cost Emergency Preparedness**

**6. School/ Child Day Care Emergency Plans; Adult Day Care Emergency Plans**

**7. CERT Flier: Palm Bay Emergency Preparedness (example)**

**Note:** Instructors should obtain the information on this program from your state or local emergency management agency, and substitute your information for this example folder.



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**Contra Costa County Office of Education**  
77 Santa Barbara Road  
Pleasant Hill, CA 94523  
925-942-3420

For more information, please visit the following websites:

California Emergency Services Act  
<http://www.leginfo.ca.gov/cgi-bin/displaycode?section=go&v&group=08001-09000&file=8550-8551>

California Government Code 3100-3109  
<http://www.leginfo.ca.gov/cgi-bin/displaycode?section=gov&group=03001-04000&file=3100-3109>

The California Constitution Oath or Affirmation  
[http://www.leginfo.ca.gov/.const/.article\\_20](http://www.leginfo.ca.gov/.const/.article_20)

Governors Office of Emergency Services  
[http://www.oes.ca.gov/Operational/OESHome.nsf/PDF/Laws&RegsCalCodePDFs/\\$file/Ch2.3\\_%20DSW.pdf](http://www.oes.ca.gov/Operational/OESHome.nsf/PDF/Laws&RegsCalCodePDFs/$file/Ch2.3_%20DSW.pdf)

**Prepared by**



As a California city, county, or state agency or public district employee, you may be called upon as a disaster service worker in the event of an emergency. The information contained in this pamphlet will help you understand your role and obligation.

# California Public Employee **DISASTER SERVICE WORKERS**

*California Government Code  
Section 3100-3109*



**Did you know?**



## Public Employee Disaster Service Worker Status

### California Government Code Section 3100-3109

*It is hereby declared that the protection of the health and safety and preservation of the lives and property of the people of the state from the effects of natural, man-made, or war-caused emergencies which result in conditions of disaster or extreme peril to life, property, and resources is of paramount state importance...in protection of its citizens and resources, all public employees are hereby declared to be disaster service workers...*

*All disaster service workers shall, before they enter upon the duties of their employment, take and subscribe to the oath or affirmation...*

#### What does disaster service mean?

Disaster service means all activities authorized by and carried out pursuant to the California Emergency Services Act\*.

#### Who is included in the disaster service worker status?

All public employees are included in the disaster service worker status which are all persons employed by any county, city, state agency or public district.

#### What are the scope of duties of employee disaster service workers?

Any public employees performing duties as a disaster service worker shall be considered to be acting within the scope of disaster service duties while assisting any unit of the organization or performing any act contributing to the protection of life or property or mitigating the affects of an emergency.

#### How are public employees assigned disaster service activities?

Public employees are assigned disaster service activities by their superiors or by law to assist the agency in carrying out its responsibilities during times of disaster.

#### What is the oath or affirmation referred to in the government code?

Before entering upon the duties of employment, all public employees take and subscribe to the oath or affirmation set forth in the California Constitution that declares them to be disaster service workers in time of need.

#### When do public employees take the oath or affirmation?

Most public employees sign the oath or affirmation during the hiring process and it is kept with the employer.

#### Do public employees acting as disaster service workers get paid?

Public employees acting as disaster service workers get paid only if they have taken and subscribed to the oath or affirmation.

#### Can disaster service workers be sued for actions taken while performing duties?

Public employee disaster service workers for non-profit organizations and government cannot be held liable for their actions during a disaster while acting within the scope of their responsibilities.

#### What if public employees are injured while acting as disaster service workers?

Claims sustained by public employees while performing disaster services shall be filed as worker compensation claims under the same authorities and guidelines as with all employees within their agency.



*As a public employee, you may be called upon to assist in the event of fire, flood, earthquake, or other natural or man-made disasters.*

\*California Emergency Services Act

<http://www.leginfo.ca.gov/cgi-bin/displaycode?section=gov&group=08001-09000&file=8550-8551>



## Confidential Household Data for Your Disaster Kit

Address: \_\_\_\_\_ Phone: \_\_\_\_\_  
Adult Name: \_\_\_\_\_ Work Phone: \_\_\_\_\_  
Employer: \_\_\_\_\_ Work Hours: \_\_\_\_\_  
Adult Name: \_\_\_\_\_ Work Phone: \_\_\_\_\_  
Employer: \_\_\_\_\_ Work Hours: \_\_\_\_\_

Other adults in the household:  
Any with disabilities?:

Children	Birth Year	School
_____	_____	_____
_____	_____	_____
_____	_____	_____

Persons authorized to pick-up children from school (Info on emergency release card)

Name _____	Phone _____
Name _____	Phone _____
Name _____	Phone _____
Name _____	Phone _____

Pets in Household:

Type: _____	Medical Problems _____
Type: _____	Medical Problems _____
Type: _____	Medical Problems _____

Household Cell Phones, E-mail addresses, Ham Radio Call Signs, etc.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

What language is spoken at home: \_\_\_\_\_

What languages can you act as a translator for:

\_\_\_\_\_

Important Medical Conditions in Family, including allergies and special medications:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Neighbors that have your house key:**

**Address** \_\_\_\_\_

**Out of Area Contact:**

**Relationship:**

**City:**

**Phone:**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Family meeting place:**

**Address:** \_\_\_\_\_

**Phone:** \_\_\_\_\_

**Make a rough sketch of your home showing the locations of gas & water valves and electric switches. Show entry and exits, location of pool or hot tub. Include location of your emergency and first aid supplies.**

**Hot Water Heater Strapped Top & Bottom Yes\_\_\_\_\_ No\_\_\_\_\_ Need Help\_\_\_\_\_**

**What neighborhood teams are your family members part of?**

\_\_\_\_\_

# FEMA: Family Basic Disaster Supplies

Keep the items that you would most likely need during an evacuation in an easy-to-carry container. Possible containers include a large, covered trash container; a camping backpack; or a duffle bag.

There are six basics you should stock in your home:

**Water**: <http://www.fema.gov/plan/prepare/water.shtm>

## How Much Water do I Need?

You should have at least a three-day supply of water and you should store at least one gallon of water per person per day. A normally active person needs at least one-half gallon of water daily just for drinking.

Additionally, in determining adequate quantities, take the following into account:

- Individual needs vary depending on age, physical condition, activity, diet, and climate.
- Children, nursing mothers, and ill people need more water.
- Very hot temperatures can double the amount of water needed.
- A medical emergency might require additional water.

## How Should I Store Water?

To prepare the safest and most reliable emergency supply of water it is recommended that you purchase commercially bottled water. Keep bottled water in its original container and do not open it until you need to use it.

Observe the expiration or “use by” date.

## If You are Preparing Your Own Containers of Water

It is recommended that you purchase food-grade water storage containers from surplus or camping supply stores to use for water storage. Before filling with water, thoroughly clean the containers with dishwashing soap and water. Rinse them completely so that there is no residual soap. Follow the directions below on filling the container with water.

If you choose to use your own storage containers, choose two-liter plastic soft drink bottles NOT plastic jugs or cardboard containers that have had milk or fruit juice in them. Milk protein and fruit sugars cannot be adequately removed from these containers and provide an environment for bacterial growth when water is stored in them. Cardboard containers also leak



easily and are not designed for long-term storage of liquids. Also, do not use glass containers, because they can break and are heavy.

If storing water in plastic soda bottles, follow these steps:

Thoroughly clean the bottles with dishwashing soap and water. Rinse completely so that there is no residual soap. Sanitize the bottles by adding a solution of 1 teaspoon of non-scented, liquid household chlorine bleach to a quart of water. Swish the sanitizing solution around in the bottle so that it touches all surfaces. After sanitizing the bottle, thoroughly rinse out the sanitizing solution with clean water.

## Filling Water Containers

Fill the bottle to the top with regular tap water. If the tap water has been commercially treated from a water utility with chlorine, you do not need to add anything else to the water to keep it clean. If the water you are using comes from a well or water source that is not treated with chlorine, add two drops of non-scented, liquid household chlorine bleach to the water. Tightly close the container using the original cap. Be careful not to contaminate the cap by touching the inside of it with your finger. Place a date on the outside of the container so that you know when you filled it. Store in a cool, dark place. Replace the water every six months if not using commercially bottled water.

**Food**: <http://www.fema.gov/plan/prepare/food.shtm>

Store at least a three day supply of non-perishable food. Select foods that require no refrigeration, preparation or cooking, and little or no water. If you must heat food, pack a can of Sterno. Select food items that are compact and lightweight. Avoid foods that will make you thirsty. Choose salt-free crackers, whole grain cereals, and canned foods with high liquid content.

\*Include a selection of the following foods in your Disaster Supplies Kit:

Note: Be sure to include a manual can opener.

- Ready-to-eat canned meats, fruits and vegetables
- Canned juices, milk, and soup (if powdered, store extra water)
- Staples--sugar, salt, pepper
- High energy foods--peanut butter, jelly, crackers, granola bars, trail mix
- Vitamins
- Foods for infants, elderly persons, or persons with special dietary needs
- Comfort/stress foods--cookies, hard candy, sweetened cereals, lollipops, instant coffee, tea bags

**First aid supplies**: <http://www.fema.gov/plan/prepare/firstaid.shtm>

Assemble a first aid kit for your home and one for each car. A first aid kit should include:

- Sterile adhesive bandages in assorted sizes
- 2-inch sterile gauze pads (4-6)
- 4-inch sterile gauze pads (4-6)
- Hypoallergenic adhesive tape
- Triangular bandages (3)
- 2-inch sterile roller bandages (3 rolls)
- 3-inch sterile roller bandages (3 rolls)
- Scissors
- Tweezers
- Needle
- Moistened towelettes
- Antiseptic
- Thermometer
- Tongue blades (2)
- Tube of petroleum jelly or other lubricant
- Assorted sizes of safety pins
- Cleansing agent/soap
- Latex gloves (2 pair) Sunscreen

### **Non-prescription drugs**

- Aspirin or non-aspirin pain reliever
- Anti-diarrhea medication
- Antacid (for upset stomach)
- Syrup of Ipecac (use to induce vomiting if advised by the Poison Control Center)
- Laxative
- Activated charcoal (use if advised by the Poison Control Center)

[Contact your local American Red Cross chapter](#) to obtain a basic first aid manual.

## [Clothing, bedding and sanitation supplies:](#)

<http://www.fema.gov/plan/prepare/clothing.shtm>

### **Clothing and Bedding**

If you live in a cold climate, you must think about warmth. It is possible that you will not have heat.

\*Include at least one complete change of clothing and footwear per person.

- Jacket or coat
- Long pants



- Long sleeve shirt
- Sturdy shoes or work boots
- Hat, gloves and scarf
- Rain gear
- Thermal underwear
- Blankets or sleeping bags
- Sunglasses

## Sanitation

- Toilet paper
- Soap, liquid detergent
- Feminine supplies
- Personal hygiene items
- Plastic garbage bags, ties (for personal sanitation uses)
- Plastic bucket with tight lid
- Disinfectant
- Household chlorine bleach

**Tools:** <http://www.fema.gov/plan/prepare/tools.shtm>

- Mess kits, or paper cups, plates and plastic utensils
- [Emergency preparedness manual](#)
- Portable, battery-operated radio or television and extra batteries
- Flashlight and extra batteries
- Cash or traveler's checks, change
- Nonelectric can opener, utility knife
- Fire extinguisher: small canister, ABC type
- Tube tent
- Pliers
- Tape
- Compass
- Matches in a waterproof container
- Aluminum foil
- Plastic storage containers
- Signal flare
- Paper, pencil
- Needles, thread
- Medicine dropper
- Shut-off wrench, to turn off household gas and water
- Whistle
- Plastic sheeting
- Map of the area (for locating shelters)

## Special items:

Remember family members with special needs, such as infants and elderly or disabled persons.

- **For Baby**
  - Formula
  - Diapers
  - Bottles
  - Pacifiers
  - Powdered milk
  - Medications
  
- **For Adults**
  - Heart and high blood pressure medication
  - Insulin
  - Prescription drugs
  - Denture needs
  - Contact lenses and supplies
  - Extra eye glasses
  - Hearing aid batteries
  
- **Entertainment--games and books.**

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## **FIRES, FLOODS, FAULTS, TERRORISTS...*DO YOU KNOW WHERE YOUR VITAL RECORDS EMERGENCY INFORMATION IS...?***

During a disaster, such as an earthquake or flood, you may need to evacuate your home rapidly. You will want to have some important legal documents with you and others in a safe place. Take steps now to ensure that you safeguard your legal documents and have appropriate access to them for disaster recovery!

1. **Open a bank safe deposit box or buy a fireproof safe** for essential, irreplaceable, original documents. These include:

- Family birth certificates
- Marriage certificates and divorce papers
- Citizenship papers
- Military records and discharge papers, copies of the face of military ID cards
- Copies of insurance policies with agent contact information
- A list of bank accounts with the bank address
- A list of credit card numbers and addresses
- Accountant's copy of your income tax filings for 7 years
- Securities, US Savings Bonds, certificates of deposit, and other financial instruments
- Original Social Security Cards for all family members
- Titles and deeds for property
- Vehicle titles and a copy of the registration papers

2. **Make a GoKit Document Cache** to keep in your family emergency kit. Organize these records in a 1" ring binder with page protectors or in a waterproof container. You can make a waterproof container with a 14" piece of 3" PVC pipe and two end caps. Use adhesive to attach one end cap permanently and use a threaded cap for the other end. Fill the book or tube with the following documents/copies and update it each spring and fall.

- Copies of birth certificates and marriage/divorce papers
- Emergency contact information for all family members: work address and phone, school address and phone, day care/after school care address and phone
- Out of area contact person's name, address and phone number
- Copies of citizenship papers/green cards
- Original passports for all family members
- Military papers to prove Veterans Benefits eligibility, copies of the face of military ID cards
- Copies of medical information for each family member: physicians names and numbers, prescription drug names and dosages, pharmacy name and number
- Copies of insurance policies with 24 hour contact information for every policy
- Copies of the tax bill, mortgage papers or property deed to prove homeownership; copy of lease to prove legal right to alternate shelter
- Copies of 2 utility bills less than 1 year old to prove residency (owners and renters)
- Copies of the credit card list and emergency numbers to report lost cards
- Copies of all family drivers licenses and auto registrations
- Copies of all Social Security Cards
- One pad of checks and one credit card for an account that you seldom use. Use for emergency expenses: food, alternate lodging, replacement clothing
- \$100 in small bills in case cash registers and credit card machines do not work
- \$10 in quarters for the pay phone
- A copy of the wills for each family member. Make sure that an out of area family member has another copy in a safe place, and that your legal adviser has a copy.
- Copies of funeral arrangements in place or last wishes for adults.

***DON'T LEAVE YOUR FAMILY'S FINANCIAL SECURITY TO CHANCE...BE PREPARED!***

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## Low Cost/No Cost Emergency Preparedness

1. Get a family out-of-state phone contact and make a wallet card for each family member.
2. Ensure that school emergency contact cards are regularly updated, and that each child has at least 2 people listed to pick him/her up if parents are unavailable.
3. Select two family reunification points for use if the home is inaccessible. Select one place in the neighborhood, such as a friend's home, food store, or other location well known to all family members. Select another location not in your immediate neighborhood but easily accessible by all family members, such as your place of worship, a movie theater, or a regional mall.
4. Locate your gas meter and learn how to use the gas shut-off valve and **when** to shut off your gas.
5. Store heavy objects on low shelves or on closet floors, not on high shelves. Heavy pots, pans, and storage boxes may fall during earthquakes and injure family members.
6. Remove any heavy objects from overhead shelves in bedrooms. When people are asleep, they cannot protect themselves from falling objects.
7. **Water** is the most important element. Each person needs one (1) gallon for drinking and food preparation each day. Additional water is needed for sanitation, clean up, and for pets. A dog will need one (1) gallon a day and a cat will need at least a pint.

**Storing** water is easy. Wash and rinse clean 2-liter soda bottles or **clear plastic** juice bottles. Fill them with tap water, then add four (4) drops of liquid **chlorine bleach** (Clorox, the plain unscented type.)

Do not use the frosted type of plastic jugs that we buy milk and water in for storage purposes. These are for **short term** use and will deteriorate too soon for storage use.

Keep some coffee filters available to be able to filter any cloudy or murky water you obtain during an emergency. Then treat it with sixteen (16) drops of chlorine bleach. Mix well and let stand for at least thirty (30) minutes before using.

A little Tang or Kool-Aid can be added at the time of drinking to avoid the slight bleach taste.

### **8. Make a GoKit Document Cache:**

- Copies of the tax bill, mortgage papers, or property deed to prove homeownership; copy of lease to prove legal right to alternate shelter.
- Copies of 2 utility bills less than 1 year old to prove residency (owners and renters.)
- Copies of the credit card list and emergency numbers to report lost cards
- Copies of all family members' driver's licenses and auto registrations
- Copies of all Social Security Cards
- A copy of the wills for each family member. Make sure that an out of area family member has another copy in a safe place, and that your legal adviser has a copy.
- Copies of funeral arrangements in place or last wishes for adults.



**9. Make a Car Kit:** Have some simple things in your car. Think about yourself and family members.

- Water, some snack food, any required prescription medication, and any special needs for your children.
- Hat, jacket, blanket, or shawl. You may need to keep warm.
- Writing paper, several pencils, a flashlight. Keep the batteries **out** of the flashlight until you need it. This prevents corrosion of the flashlight.
- Shoes you can walk some distance in. Jogging shoes too worn for running are a good choice. Ladies should avoid high heels, open toes, and sandals.
- Simple personal hygiene and other items for your comfort.

**Water, Food, and Medication** should be **changed weekly**. Put a fresh supply into the kit and use what you take out. This way you do not have to buy extra supplies and nothing will spoil. Flashlight batteries should be replaced and used every few months.

**Shoes and extra clothes** need not be new. Those that are out of style, may need a little sew-up, or have a stain will work just fine in an emergency.

Start small. Then build as you can. **Begin**, the rest is easy.



# School/Child Day Care Emergency Plans

## Adult Day Care Emergency Plans

Some State DOT employees may have dependent children or dependent older adults in their households. These employees need to plan in advance for participation in State DOT emergency response activities, including deployment to the alternate continuity site if assigned.

To avoid stress for the employee and the dependent at the time of an emergency steps should be taken now to clarify how the dependent will be cared for during a disaster.

### **Know your children's school / day care emergency plan:**

- Ask how the school/day care will communicate with families during a crisis. Is there an automated phone dialing system to contact your work, cell, or home phone? Is there a radio station that you should monitor for information from the school or district?
- Ask if the school/day care stores adequate food, water, and other basic supplies. Work with other parents to ensure that there is an adequate stockpile of water and medical supplies at the school. Suggest that each child bring a backpack of personal support food, clothing, and a family photo to store at the school/day care each school year. At the end of the year the students can use the food and water for a picnic or donate the food and water to a shelter.
- Ask how long children will be supervised at the school/day care if you are delayed in picking up a child in a disaster. For example, in California teachers must stay until the last child is released, or until the principal combines remaining classes of children under the supervision of a teacher. Day care, however, has no such requirement. Who on the staff is committed to staying with children until authorized caregivers pick them up?
- Find out if the school/day care is prepared to shelter-in-place if need be, and where they plan to go if they must get away. How will the children be transported and who will be responsible for them?
- Ensure that you know the school/day care's emergency release policy. Keep the emergency release card up to date with the names of family members, friends, and neighbors who are authorized to take the child from school during an emergency.
  - Be sure to include any court-ordered protective orders to prevent inappropriate relatives – including a non-custodial parent – from picking up the child.
  - Remember that only those on the emergency card will be allowed to take the child from school or day care, so ensure that there are adequate numbers of authorized caregivers.



- Ensure that these caregivers are aware that they may be picking up the child in an emergency. Be sure the authorized caregivers have each other's names, addresses, and contact information.
- Know the location of pick-up and what documentation will be required for the child's release: driver's license, other photo identification, or child's consent?

**Know your adult dependent's day care or nursing home facility emergency plan:**

- Ask how the day care or nursing home will communicate with families during a crisis. Is there an automated phone dialing system to contact your work, cell, or home phone? Is there a radio station that you should monitor for information from the facility?
- Ask if the facility stores adequate food, water, and other basic supplies. Work with other responsible caregivers to ensure that there is an adequate stockpile of water and medical supplies at the facility. For day care, suggest that each client bring a backpack of personal support food, clothing, and a family photo to store at the facility each school year. At the end of the year the clients can use the food and water for a picnic, or donate the food and water to a shelter.
- Ask how long clients will be supervised at the day care or nursing home if you are delayed in picking up a dependent adult in a disaster. Few adult day care facilities have legal mandates to stay at the facility. Nursing homes have contracts that should include continuous care, but check carefully to know exactly who will be staying at the nursing home until all clients are picked up and what alternate sites may be used for the care of the last few clients. Some nursing homes have mutual aid agreements, so be sure to know where your dependent might be sent.
- Find out if the facility is prepared to shelter-in-place if need be, and where they plan to go if they must get away. How will they be transported? How will their medical records, medical supplies, and pharmaceuticals be safeguarded if they are moved?
- Ensure that you know the facility's emergency release policy. Keep the emergency release card up to date with the names of family members, friends, and neighbors who are authorized to take the client from day care or the nursing home during an emergency.
  - Be sure to include any court-ordered protective orders to prevent inappropriate relatives – including a non-custodial spouse or children – from picking up the client.
  - Remember that only those on the emergency card will be allowed to take the client from school, so ensure that there are adequate numbers of authorized caregivers.
  - Ensure that these caregivers are aware that they may be picking up the client in an emergency. Be sure the authorized care givers have each other's names, addresses, and contact information.
  - Know the location of pickup and what documentation will be required for the client's release: driver's license, other photo identification, or client's consent?

## You're On Your Own!

### An Introduction to the Community Emergency Response Team (CERT)

#### Did you know ...?

- ❖ There is a very good chance that your neighborhood will be on its own during the early stages following a catastrophic disaster.
- ❖ After a catastrophic disaster, citizens will volunteer to help. Without proper training these people can expose themselves to potential injury and even death!
- ❖ Experience has shown that basic training in disaster survival and rescue skills improves the ability of citizens to survive until responders or other assistance arrives

### City of Palm Bay Community Emergency Response Team (CERT) Program

The **City of Palm Bay Office of Emergency Preparedness (OEP)** has become a part of a national network of **CERT** communities. **OEP** has developed a program that is designed to help neighborhoods prepare for and respond after catastrophic disasters such as hurricanes, tornadoes, and other major emergencies.

Individuals completing CERT training may be affiliated with one or more of the following teams:

- **Neighborhood CERT:** Ten or more neighbors serving immediate residential neighborhood.
- **Business or Government CERT:** Co-workers serving places of business and surrounding areas, or county, municipal, or state agency employees
- **School CERT:** Faculty and staff serving a particular school and the surrounding areas.
- **Faith-Based CERT:** Teams based at a house of worship serving the immediate neighborhood, or travel into areas that need assistance.
- **Youth CERT:** Organized service-oriented groups, such as Civil Air Patrol, Fire or Police Explorers, or school-based clubs. 16 years and older.

**Individuals not affiliated with a team may still be trained and serve the Palm Bay community.**

Once trained, a **CERT** will be able to provide the following services to their neighborhood:

- ❖ Increase their neighborhood's disaster readiness
- ❖ Perform triage and provide medical services to the injured
- ❖ Perform light search and rescue operations
- ❖ Extinguish small fires and teach fire safety.
- ❖ Assess damage after a disaster
- ❖ Organize procurement of supplies

## CERT Course Content

The basic course will include those components necessary to get the team started and become capable of performing basic **CERT** functions. Each member must complete 32 hours of classes in the following areas to become certified. Classes are scheduled to accommodate the needs of each team and are available at convenient times.

**Teams will learn:**

**Disaster Preparedness:** Instructs team members how to prepare themselves and their neighborhoods for the various hazards that may occur.

#### **Team Organization and Disaster Psychology:**

Addresses organization and management principles necessary for a **CERT** to operate successfully. Covers critical incident stress for victims as well as workers.

**Medical Operations:** Team members will learn how to conduct triage, establish medical treatment areas, and provide basic first aid for victims.

**Damage Assessment:** Team members will learn how to rapidly assess damage employing a standardized format used throughout the city.

**Disaster Simulation:** A small-scale disaster simulation is also a part of the basic program.

**Fire Suppression:** Team members will learn how to use extinguishers and other equipment to suppress small fires.

**Light Search and Rescue:** Team members will learn light search and rescue planning, techniques, and rescuer safety.

## Frequently Asked Questions

### What is a CERT Member?

A **CERT** member is a person who is trained to prepare for and respond after a disaster in their neighborhood. A group of ten or more members of a neighborhood, apartment complex, business, or similar residential area comprise a team. Persons not affiliated with a team may serve as individuals.

### Who may join a CERT?

**CERT** is for anyone who is interested in helping his or her neighborhood prepare for a disaster and provide assistance afterward. Team training is preferred however persons may be trained even if they are not affiliated with a team.

### Where can I get more information about the CERT program ?

Contact the City of Palm Bay Office of Emergency Preparedness at: (321) 952-3400 Ext. 4504  
or E-mail to: [schulm@palmabayflorida.org](mailto:schulm@palmabayflorida.org)

### The CERT Information Line:

(321) 952-3400 Ext. 4504 - This information line will make available training schedules and other information relevant to the CERT program

### CERT WEBSITE RESOURCES:

**City of Palm Bay Office of Emergency Preparedness** Program information and emergency preparedness tips  
[schulm@palmabayflorida.org](mailto:schulm@palmabayflorida.org)

### Federal Emergency Management Agency:

<http://www.fema.gov/emi/cert>

Information about the National CERT program and links to other CERT sites

## Continuing Education:

Refresher classes are held several times a year and are open to all teams based on availability and need.

Some of the other available continuing education courses:

- **Terrorism Awareness**
- **Communications** (Amateur radio operations, hand-held)
- **CPR courses** are available. Contact the Palm Bay Fire Department at 321-409-6300
- **Critical Incident Stress Management**
- **Large-scale disaster simulations** are held once- a -year where all teams are invited to participate.

\*CPR is **NOT** considered a component of CERT training.



**CITY OF PALM BAY**

**OFFICE OF  
EMERGENCY  
PREPAREDNESS**

**Palm Bay Fire Department**

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