

A Publication of the Inspection and Evaluation Committee



An IG's Guide to Evaluating Agency Emergency Preparedness

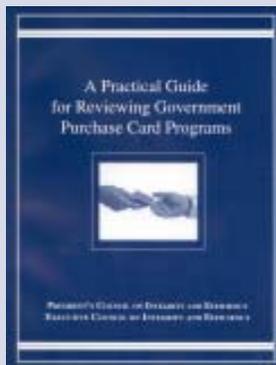


November 2006

PRESIDENT'S COUNCIL ON INTEGRITY AND EFFICIENCY



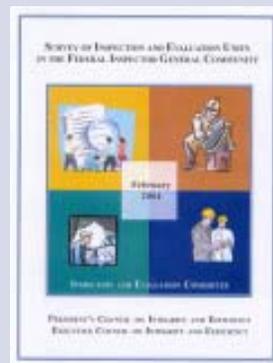
EXECUTIVE COUNCIL ON INTEGRITY AND EFFICIENCY



June 2002



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Recognizing that “together everyone achieves more,” the I&E Committee and Roundtable undertook this project because we believed there was a need within the IG community for consolidated information and common guidelines that inspector general staffs could use to structure emergency preparedness program reviews within their agencies.

INSPECTION AND EVALUATION COMMITTEE

The Inspection and Evaluation Committee of the PCIE/ECIE seeks to enhance the work of the inspector general community and, in turn, government operations by helping improve the management of federal programs. To do this the Committee shares effective I&E practices and insights in order to enhance the conduct of inspections and evaluations, and provides or identifies opportunities for training to sharpen the analytic and administrative skills of OIG inspectors and evaluators.

The Committee is supported by a very active Inspections and Evaluation Roundtable, which is composed of the assistant inspectors general or heads of inspection and evaluation units within federal offices of inspector general. The Roundtable’s purpose is to promote the professional development of employees in those units, improve the practice of evaluation and analysis, and make positive contributions to the IG community.



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EXECUTIVE COUNCIL ON INTEGRITY AND EFFICIENCY**



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MEMORANDUM FOR THE MEMBERS OF THE PCIE AND ECIE

FROM: Johnnie E. Frazier
Johnnie Frazier
Chair, Inspection and Evaluation Committee

SUBJECT: *An IG's Guide to Evaluating Agency Emergency Preparedness*

I am pleased to present this latest publication of the PCIE/ECIE Inspection and Evaluation Committee and its Roundtable, designed to help the IG community in its efforts to oversee federal emergency preparedness activities. This guide is but another tangible example of our collaborative spirit and dedication to the shared goal of making government work better. It is a product of great effort by staff from numerous IG offices and draws on a broad, representative sample of our work in the critical area of government preparedness.

In the pages that follow you will find a discussion of the key areas of concern we share in undertaking these reviews as well as lessons we have learned and important reference materials to help us plan and execute this work. As such, I believe this guide will help us focus on the essential aspects of preparedness programs and identify needed improvements.

The I&E Committee and Roundtable undertook this project because we believed there was a need within the IG community for consolidated information and common guidelines that inspector general staffs could use to structure emergency preparedness program reviews within their agencies. In these post-9/11 and -Katrina years, we tend to think of such programs as those designed to prevent, prepare for, respond to, and recover from terrorist attacks and major disasters. But catastrophic events are only part of the equation. Agencies must have plans in place to address the full gamut of potential emergencies that endanger their people and property. These range from the unthinkable, embodied in the events of 9/11, to the more commonplace, such as fires or floods. The flooding that occurred in several government buildings this past summer and the temporary shutdowns that followed are a case in point.

As a nation, our confidence in our response capabilities was sorely shaken in the aftermath of Hurricane Katrina. Inspectors general have responded with a sharpened focus on their agency's efforts to be ready for the next inevitable event, whatever it may be. This publication is a valuable tool for helping the IG community conduct high-quality work in this area.

The suggestions and guidelines offered herein are the product of the cumulative knowledge and insights of the I&E Roundtable membership, other components of the IG community, the President's Council on Integrity and Efficiency, and the Executive Council on Integrity and Efficiency. Though advisory, the guidance can facilitate the OIG review process, help ensure that agencies are prepared for any and all emergencies, and support the Homeland Security Act's goal of creating a better

integrated, more uniform federal response to natural or terrorist incidents that threaten the lives of employees or the continuity of government or private sector operations.

I want to personally thank all who participated in this project. The Defense Intelligence Agency OIG, which had the lead, deserves special recognition, as does the Commerce OIG editorial and design staff along with the I&E Roundtable and OIGs from the Departments of Agriculture, Commerce, Defense, Education, Energy, Homeland Security, and Veterans Affairs; the Environmental Protection Agency; the Farm Credit Administration; the Federal Communications Commission; the Federal Deposit Insurance Corporation; the Federal Election Commission; the General Services Administration; the Government Printing Office; the U.S. Small Business Administration; and the National Reconnaissance Office. I have no doubt that this guide will enrich our work in this critical area and, by extension, improve the safety and security of federal employees and operations everywhere.



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PREFACE

In the years since the terrorist attacks of September 11, 2001, America has given unprecedented attention and resources to ensuring national security and preparedness. And yet the more recent devastation of Hurricane Katrina left the public as well as officials at all levels of government questioning just how ready we are to respond to emergencies—whether natural or manmade, anticipated or unforeseen. These disasters gave renewed urgency to the mammoth task facing federal agencies in the post-9/11 era—maintaining robust disaster preparedness and recovery programs to protect America’s people and property from devastating loss. This has been new ground for most federal agencies, which heretofore had preparedness programs of limited scope. Given today’s ever-changing types and sources of threats, effective emergency preparedness requires the vigilant, collective, creative focus of public organizations at all levels of government. The current effort to develop a plan for responding to a potential bird flu pandemic is a case in point. While public health agencies may take the lead, all government agencies will be involved in the implementation, if only to protect their own employees.

Given today’s ever-changing types and sources of threats, effective emergency preparedness requires the vigilant, collective, creative focus of public organizations at all levels of government.

emergency preparedness reviews conducted by various OIG inspection and audit teams, this booklet offers a commonsense approach to assessing department and agency disaster response plans. It puts the current state of emergency preparedness thinking in historical context by describing the primary failings in our response to national disasters of recent memory and the changes they have prompted in present-day approaches. It outlines the key federal mandates with which preparedness programs must comply. It offers best practices, practical program criteria, checklists, and other resources OIG staff can use to measure their agency’s readiness to respond to disaster.

All in the OIG community are encouraged to continue to share common experiences and best practices with the leadership of their respective agencies and the IG community at large. It is only through such dialog that we can keep disaster preparedness thinking and decision making fresh and proactive, and constantly improve upon programs that are in place or under development.

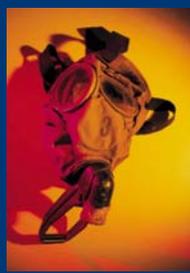
At the federal level, offices of inspector general play a key role in determining whether their agency’s disaster preparedness programs are in fact viable. And the purpose of this publication is to help them make that determination. Drawing from the most recent federal guidance and

Working Web Links

As with all things technology-related, web site urls can become outdated almost as quickly as they are created. When we went to press, all the links contained in the guide were current. However, if a link you attempt to access is no longer available and you are not redirected to a new location, a simple keyword search should bring you to the most up-to-date information on the subject you seek.

**It takes a deep commitment to change and
an even deeper commitment to grow.**

~ Ralph Ellison



I. FEDERAL PREPAREDNESS REQUIREMENTS: WHAT YOU NEED TO KNOW BEFORE YOU BEGIN

Comprehensive national preparedness as a major focus and coordinated movement in this country was born of the lives lost and illusions shattered in the 1995 bombing of the Alfred P. Murrah Federal Building in Oklahoma City and the terrorist attacks of September 11, 2001. These events fundamentally changed the scope of federal involvement in preparedness, as they exposed serious shortcomings in readiness and homeland security and expanded agencies' efforts to keep their employees and workplaces safe and secure. With this intensified focus on preparedness came new federal guidance and requirements as well as new oversight responsibilities for the inspector general community.

This chapter outlines the federal laws, regulations, and guidance you need to be familiar with before you begin your assessment and gives links for accessing the full documents. These materials dictate the requirements that agency preparedness programs must meet, so you know what to look for in your assessments.

- The **Federal Management Regulations** (formerly the Federal Property Management Regulations) mandate that every federal facility establish (1) an occupant emergency plan (OEP) that lays out procedures for protecting life and property under emergency conditions and (2) an occupant emergency organization composed of employees who perform specific tasks outlined in the OEP. www.gsa.gov/federalmanagementregulation



The bombing of the Murrah building left 169 people dead, including 19 children in the on-site daycare center. The disaster prompted sweeping changes in security requirements and building codes for federal facilities.

Source: <http://www.hq.usace.army.mil/cepa/pubs/aug01/murrah.jpg>

- **Presidential Decision Directive 67** (PDD 67), *Continuity of Operations*, requires federal agencies to develop continuity of operations plans (COOPs) that detail how the agency will perform essential functions during circumstances that disrupt normal operations.

Passed in October 1998, PDD 67 set a deadline of October 21, 1999, for agencies to define their essential functions and personnel, and have arrangements for alternate facilities that could (1) be up and running within 12 hours and (2) sustain operations for at least 30 days. The directive

assigned the Federal Emergency Management Agency (FEMA) as the focal point for helping agencies implement these requirements. <http://www.fas.org/irp/offdocs/pdd/pdd-67.htm>

- **Federal Preparedness Circular 65** (FPC 65), *Federal Executive Branch Continuity of Operations*, defines the elements of a viable COOP and provides guidance for developing one. The circular, originally issued by FEMA in 1999, was revised and reissued in 2004 to address some of the gaps in federal preparedness exposed by the September 11 attacks. http://www.fema.gov/txt/library/fpc65_0604.txt
- The ***Vulnerability Assessment of Federal Facilities***, issued in 1995 by the Department of Justice, recommends 52 minimum standards for security at federal facilities and establishes five security levels that correspond to a site's location and activities as they relate to national security. Level 1 facilities pose the lowest risk to national security; level V, the highest. The Interagency Security Committee¹ issued more current and specific guidance in April 2005—***Security Standards for Federal Buildings***—and Justice recommends that IG staff use these over the 1995 guidance. The committee's standards are available at <http://www.fas.org/sgp/crs/homsec/RS22121.pdf#search=%22Interagency%20Security%20Committee%22>. The 1995 Justice standards are not available online, but you can request a paper copy from Adam Bodner at Adam.H.Bodner@usdoj.gov or from Director, Facilities and Administration

Services Staff, Justice Management Division, USDOJ, (202) 616-2995.

A helpful publication for understanding and applying building security standards is GSA's *Security Resource Guide*, available at <http://www.usda.gov/da/physicalsecurity/gsa.htm>.

- **Homeland Security Presidential Directive (HSPD 3)**, *Homeland Security Advisory System*, established the five color-coded threat levels (green is the lowest threat; red the highest), and requires agencies to include in their response plans, protective measures that address all five threat levels. HSPD 3 was issued in March 2002. <http://www.whitehouse.gov/news/releases/2002/03/20020312-5.html>
- **HSPD 5**, *Management of Domestic Incidents*, dated February 2003, directed the Department of Homeland Security to establish the National Incident Management System (NIMS) and National Response Plan, both issued in 2004. These planning documents restructured how federal, state, and local government agencies and emergency responders are supposed to conduct disaster preparation, response, and recovery efforts. NIMS is a framework of best practices, concepts, and procedures, along with standard command and management structures, that have universal applicability to incident response organizations at all levels of government. The system is intended to enable local, state, and federal responders from different jurisdictions and different disciplines to take a coordinated, unified approach to “nationally significant” emergencies of all kinds: terrorism, fire, floods, hurricanes, hazmat spills, etc. Appendix B gives an overview of the purpose and goals of NIMS. (View HSPD 5 at <http://www.whitehouse.gov/news/releases/2003/02/20030228-9.html>. View the full description of NIMS at <http://www.dhs.gov/interweb/assetlibrary/NIMS-90-web.pdf>.)

¹ The Interagency Security Committee, established by executive order in 1995, consists of the GSA administrator and representatives from 15 federal departments, the CIA, and the Office of Management and Budget. For more information, visit http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=1995_register&docid=fr24oc95-145.pdf.

- The **National Response Plan**, through NIMS, provides the national policy and operational direction for domestic incident management. (View the full plan at http://www.dhs.gov/interweb/assetlibrary/NRP_FullText.pdf or the plan's quick reference guide at http://www.dhs.gov/interweb/assetlibrary/NPR_Quick_Reference_Guide_5-22-06.pdf.)



- **HSPD 7, Critical Infrastructure Identification, Prioritization, and Protection**, directs federal departments and agencies to identify, prioritize, and coordinate the protection of the nation's critical infrastructure and key resources. HSPD 7 assigns specific responsibilities to Agriculture, Health and Human Services, EPA, Energy, Treasury, Interior, and Defense. (See box below.)
- **HSPD 8, National Preparedness**, directs the head of each federal department to be prepared to fulfill specific roles in the conduct of larger federal response efforts, such as those that were required for Hurricane Katrina. <http://www.whitehouse.gov/news/releases/2003/12/20031217-6.html>

Agencies with Specific Responsibilities Under HSPD 7

- **Agriculture** — agricultural resources, meat, poultry, egg products
- **Health and Human Services** — public health, healthcare, and food (other than meat, poultry, egg products)
- **Environmental Protection Agency** — drinking water and water treatment systems
- **Energy** — production, refining, storage, and distribution of oil and gas: also for electric power except for commercial nuclear power facilities, which will be handled by the Nuclear Regulatory Commission in coordination with Energy, as appropriate
- **Treasury** — banking and finance
- **Interior** — national monuments and icons
- **Defense** — defense industrial base

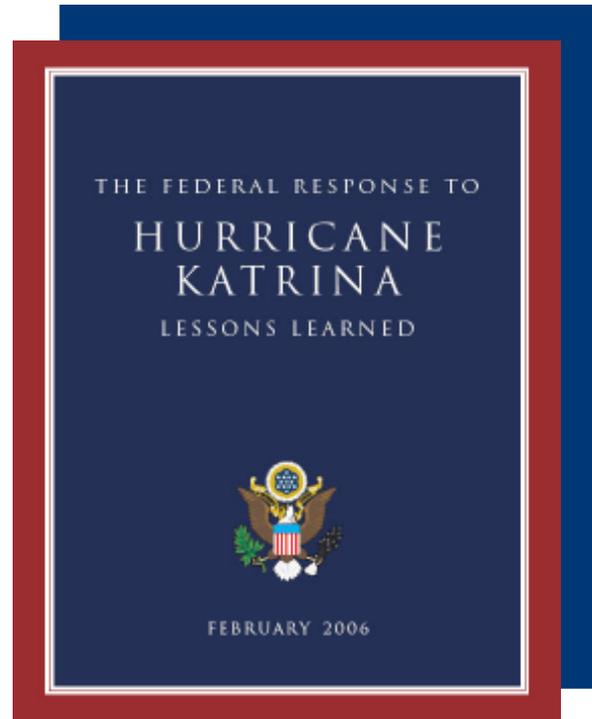
Source: <http://www.whitehouse.gov/news/releases/2003/12/20031217-5.html>

LESSONS LEARNED, AND LEARNED AGAIN

Many of the large-scale events that have occurred in recent history have often produced similar lessons learned: Hurricane Andrew in 1992, the 1993 World Trade Center bombing, the 1995 Murrah building bombing, the terrorist attacks of 9/11, and, most recently, Hurricane Katrina exposed serious flaws in incident command structures, first responder communications capabilities and service delivery, interagency coordination, building codes, evacuation plans and procedures, and general readiness of the public at large. The events of 9/11 prompted the coordinated approach to preparedness envisioned by NIMS and the National Response Plan in an all-out effort to eliminate these weaknesses. Katrina was the strategy's first real test. A key lesson learned here was that little progress had been made toward unifying national response management: coordinated local, regional, and national preparedness plans and procedures remained an elusive goal. Worse was the reality that many agencies had still not effectively implemented some long-standing preparedness requirements: viable COOPs, occupant emergency plans, and command and control structures.

Subsequently, a special White House review team identified sweeping failures in the following 17 areas:

1. National Preparedness
2. Integrated Use of Military Capabilities
3. Communications (equipment operability and interoperability)
4. Logistics and Evacuations
5. Search and Rescue
6. Public Safety and Security
7. Public Health and Medical Support
8. Human Services
9. Mass Care and Housing
10. Public Communications (warning and follow-up systems)
11. Critical Infrastructure and Impact Assessment



12. Environmental Hazards and Debris Removal
13. Foreign Assistance
14. Nongovernmental Aid
15. Training, Exercise, and Lessons Learned
16. Homeland Security Professional Development and Education
17. Citizen and Community Preparedness

To view the full White House report, visit <http://www.whitehouse.gov/reports/katrina-lessons-learned/chapter5.html>.

In the wake of the Katrina debacle, many federal requirements, including those imposed by NIMS and the National Response Plan, are being revisited and revised. This situation complicates the task of assessing these programs, and challenges the IG community to revisit agency preparedness programs with some regularity to ensure they incorporate the latest requirements.



II. EVALUATING YOUR AGENCY'S READINESS

So how might you structure an evaluation of your agency's preparedness plans, given that current requirements are being reevaluated and may well change? Developing and sustaining emergency preparedness capabilities will always be a work in progress for your agency, as new events point up new areas of need and as new ways of handling emergencies become available. IG assessments of these efforts—no matter how broad or narrow the scope—should focus on the status of preparedness at a single point in time and measure agency programs against the requirements in force.

Whether you opt to review a single component of an overall preparedness program, such as occupant emergency plans (OEPs) or continuity of operations plans (COOPs), or you consider the disaster preparedness status of an entire department, you should begin by asking some basic questions:

- Has your agency established clear performance goals and baselines for the effort?
- Is the program in keeping with requirements of relevant Homeland Security Presidential Directives, NIMS, and the National Response Plan? (See chapter 1 and appendix C for information on these initiatives and the NIMS checklist for emergency operations programs.)
- Are program components well integrated into the agency's overall disaster preparedness program?

- Have components been vigorously tested under simulated conditions and against performance goals and baselines?
- Were plans modified as a result of testing and to keep current with changes in federal preparedness requirements?
- Did leaders and disaster preparedness planners anticipate and prepare for the possible threats to their workforce, infrastructure, and the agency's ability to execute its essential mission responsibilities before, during, and following a disaster?



EVALUATING YOUR AGENCY'S READINESS

THE OCCUPANT EMERGENCY PLAN



Employee-staffed emergency response teams are often the foundation of an agency's occupant emergency organization, making sure that coworkers and others in the facility follow prescribed procedures.

Source: U.S. Department of Commerce OIG

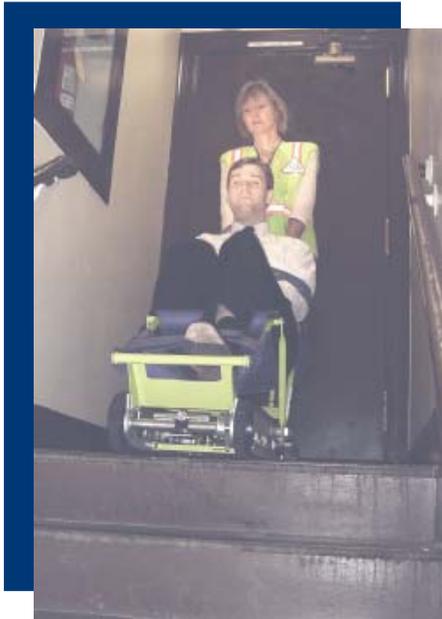
The occupant emergency plan is the most basic component of federal disaster preparedness. Its purpose is to put in place procedures to protect individual agency facilities and employees. OEP responsibilities and requirements are laid out in the Federal Management Regulations (§102-74), with more specific guidelines provided in the GSA/Federal Protective Service *Occupant Emergency Program Guide* (OEP Guide) at http://www.wasc.noaa.gov/wrso/oep-coop/GSA_OEP_Guide_6.doc.² The regulations and guidelines mandate that every federal facility have an OEP, establish an occupant emergency organization composed of employees designated to perform specific OEP tasks, and offer guidance for responding to specific types of emergencies and for establishing evaluation routes and command center capabilities.

² The OEP Guide, released in 2002, is being revised by the Federal Protective Service.

Appendix A contains the OEP Guide checklist. Use this tool as the framework for your review, along with the requirements in HSPD 3, *Homeland Security Advisory System*, and HSPD-5, *Management of Domestic Incidents*. The Secretary of Homeland Security set fiscal year-end 2005 as the deadline for federal departments and agencies to incorporate the requirements of NIMS into their emergency planning. FEMA published the NIMS templates (see appendix C) to guide agencies through the process of updating emergency preparedness plans, including the OEP. More information is available at <http://www.fema.gov/emergency/nims/index.shtm>. In addition, *Planning Scenarios Executive Summaries* (<http://www.globalsecurity.org/security/library/report/2004/hsc-planning-scenarios-jul04.htm#toc>), published by the Homeland Security Council in July 2004, provides background for emergency planning activities, including OEPs.

EVALUATING YOUR AGENCY'S READINESS

THE OCCUPANT EMERGENCY PLAN



Emergency response teams must be trained and equipped to evacuate employees with special needs.

Source: U.S. Department of Commerce OIG

Shelter in Place

OEPs must include procedures for “shelter in place,” in which building occupants do not evacuate the facility but are moved to areas within that provide maximum protection from an external threat (e.g., civil unrest, release of a toxic agent, or a severe weather emergency). For more information, see OPM’s *Federal Manager’s/ Decision Maker’s Guide* at <http://www.opm.gov/emergency/PDF/ManagersGuide.pdf>.

Procedures for People with Disabilities

Executive Order 13347 requires the federal government to provide for the safety of people with disabilities during emergencies. The OEP Guide specifies the type of emergency planning, procedures, communications, and equipment necessary for people with disabilities. Additional guidelines are available in the *Orientation Manual for First Responders on the Evacuation of People with Disabilities* (<http://www.usfa.dhs.gov/>

[downloads/pdf/publications/fa-235-508.pdf](http://www.usfa.dhs.gov/downloads/pdf/publications/fa-235-508.pdf)) and *Emergency Procedures for Employees with Disabilities in Office Occupancies* (<http://www.usfa.dhs.gov/downloads/pdf/publications/fa-154.pdf>.)

Procedures for Federal Child Care Centers

If your agency has an on-site child care center, GSA recommends that the occupant emergency plan contain a section specifically devoted to emergency procedures for the center. For guidance on evaluating the child care plan, see *Evacuation Plan for Child Care Centers* at http://www.gsa.gov/Portal/gsa/ep/contentView.do?contentType=GSA_BASIC&contentId=11254&noc=T. Besides assessing whether the child care OEP meets these criteria, you should evaluate whether the plan is consistent with and integrated into the broader agency plan and NIMS framework.

OEP Shortcomings and Best Practices

OIG reviews of agency emergency preparedness have identified a range of weaknesses in agency occupant emergency plans as well as best practices that greatly enhanced occupants’ knowledge of readiness procedures and ability to execute them in an emergency.

SHORTCOMINGS NOTED

- Agencies that managed emergency preparedness centrally sometimes did not systematically review OEPs and preparedness planning in field locations.
- Some OEPs lacked phased security procedures to correspond to DHS’ five threat levels; did not post evacuation procedures or otherwise provide them to building occupants; did not

EVALUATING YOUR AGENCY'S READINESS

THE OCCUPANT EMERGENCY PLAN



Equipping employees with escape hoods and the know-how to use them was a best practice identified in numerous IG reviews.

Source: U.S. Department of Commerce OIG

have appropriate procedures, equipment, or trained staff for evacuating people with disabilities; or did not call for testing evacuation procedures under realistic scenarios.

- OEPs sometimes failed to
 - Identify designated officials and alternates, or individuals with key OEP responsibilities.
 - Detail procedures for adequately communicating with and accounting for personnel in facilities during emergency response situations or coordinating emergency response with first responders (e.g., local fire, law enforcement, and medical personnel).
 - Address all types of emergencies (e.g., chemical/biological, nuclear/radiological, fire, civil disturbance, terrorist or hostage incidents,

explosive devices or explosions, and natural events such as earthquakes, tornadoes, hurricanes, or severe flooding).

- Contain policies on the purchase, placement, and use of emergency escape hoods.
- Have separate plans for child care centers, where applicable.
- Provide for shelter-in-place procedures, training, or exercises, or stipulate what food and water supplies should be maintained on-site.

- Some facilities did not have an approved OEP in place.

BEST PRACTICES

- Distributing pocket emergency cards that contain building evacuation and shelter-in-place instructions and emergency telephone numbers.
- Installing automated phone notification systems to advise employees of reporting instructions.
- Equipping managers at all agency facilities with Blackberries for transmitting up-to-the-minute emergency information.
- Conducting periodic unannounced tests of various evacuation scenarios.
- Providing escape hoods and associated training to all employees.
- Storing emergency supplies (potable water and food) for extended shelter-in-place situations.



HSPD-7, *Critical Infrastructure Identification, Prioritization, and Protection*, expanded the COOP requirements established in Federal Preparedness Circular 65 by mandating that departments and agencies ensure their emergency and COOP planning enables them to protect critical national infrastructure for which they have responsibility. The COOP must link organizational planning for essential functions to government-wide plans for preserving and restoring the nation's critical infrastructure.

In April 2005, GAO reported that federal government COOP planning had improved, but noted a lack of documentation in the identification of essential functions that serve as the basis for continuity of operations planning, which raised questions about the rigor with which organizations had undertaken the identification process.³ As part of its review, GAO analyzed agency continuity planning against a list of key considerations for identifying essential functions. Appendix D is a checklist adapted from the GAO analysis. Use this checklist to aid your evaluation of agency COOP viability.

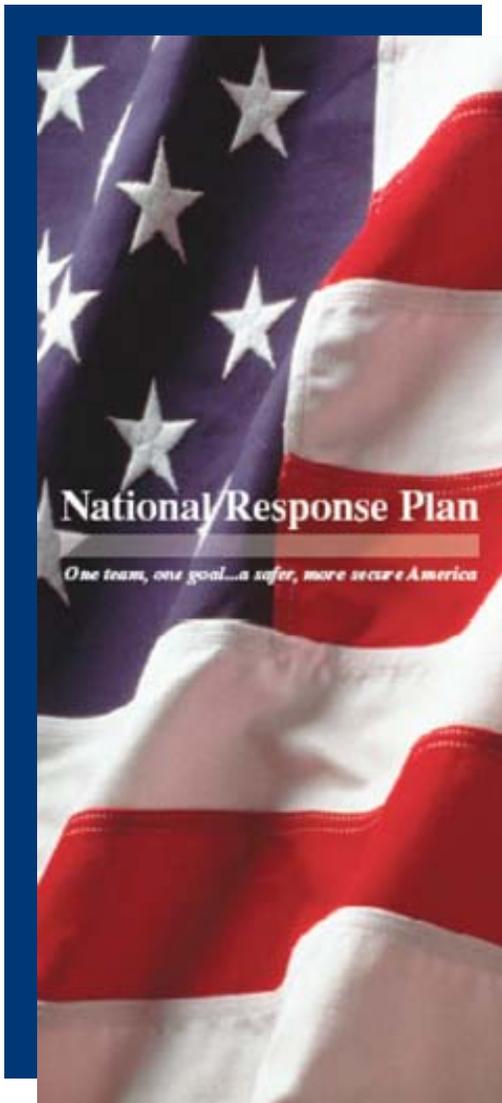
At a minimum, every COOP plan must

- Identify and document essential mission functions and critical infrastructure.

³ GAO-05-577, Report to the Chairman, Committee on Government Reform, House of Representatives, *Continuity of Operations: Agency Plans Have Improved, but Better Oversight Could Assist Agencies in Preparing for Emergencies*, April 2005.

- Designate key leadership positions and establish a chain of succession to ensure continuity of decision making.
- Establish multiple alternate operational sites and plans for evacuating key personnel to those sites.
- Plan for backup telecommunications and information technology capabilities to support each alternate site and ensure connectivity to the national emergency decision-making infrastructure.
- Make essential records and files accessible immediately from each alternate site to ensure continuity of decision making and operational capabilities.
- Establish procedures for locating and transporting key officials or alternates in the succession plan to the COOP location(s).
- Include activation and notification procedures that trigger the COOP.
- Contain detailed test and evaluation plans to ensure the effectiveness of preparation for continuity of operations.
- Include plans for actively maintaining the alternate sites' operational capabilities such that continuity plans can be executed when required.

EVALUATING YOUR AGENCY'S READINESS



Source: http://www.dhs.gov/interweb/assetlibrary/NRP_Brochure.pdf

In addition, the National Response Plan assigns certain agencies specific responsibilities in incidents of national significance (see appendix E). These agencies must ensure their COOPs address their assigned responsibilities.

CONTINUITY OF OPERATIONS PLANNING

COOP Shortcomings and Best Practices

As you review your agency's COOP, consider the shortcomings and best practices identified by other OIGs.

SHORTCOMINGS NOTED

Some agencies did not

- Adequately identify essential mission functions, or periodically review their COOPs to ensure planning assumptions and decisions were still valid.
- Clearly identify systems, data files, and records necessary to each essential mission function and required for successful COOP activation.
- Equip alternate locations with the critical equipment or infrastructure necessary to resume operations within periods specified in plans.
- Test procedures for accessing critical data.
- Establish recovery timetables for restoring essential mission functions.
- Clearly define and communicate roles and responsibilities of those involved in the COOP activation.
- Establish procedures for communicating with employees not involved in the COOP activation as agency operations were being restored.
- Delineate the order of succession for key positions or procedures for effecting an orderly succession.

BEST PRACTICES

- Conducting periodic, meticulously planned live tests of the COOP.
 - Garnering support for tests from senior management throughout the agency.
 - Having key portions of the agency's infrastructure available during the test.
 - Ensuring interoperability of communications equipment.
 - Documenting the results and analyzing them in after-action evaluations.
 - Establishing performance measures for timely implementation of needed improvements.
- Assigning headquarters and nonheadquarters staff to the COOP.
- Implementing procedures for periodically reminding non-COOP personnel of their duties and responsibilities in the event the COOP is activated.
- Restricting access to COOP documents.
- Developing clear COOP guidance and procedures for all agency field sites.



Federal agencies charged with protecting national-critical infrastructure, such as broadcast towers and antenna, must assess their readiness to do so as part of their COOP testing.

Source: U.S. Department of Commerce OIG

EVALUATING YOUR AGENCY'S READINESS

EMERGENCY PLANNING ORGANIZATIONS

An agency's emergency planning organization is usually the centralized body responsible for overseeing the development and effectiveness of OEPs, COOPs, and other aspects of preparedness across all agency components. Its structure and location within an agency's hierarchy vary, but its effectiveness rests on several common features. If you evaluate the emergency planning organization in your agency, you'll want to assess whether it

- Provides centralized policy guidance and oversight to ensure that policies are applicable to all agency components and are consistently applied and followed.
- Incorporates national guidelines contained in
 - Homeland Security Presidential Directives
 - The National Incident Management System
 - The National Response Plan
- Supports an efficient, well-equipped emergency operations center that enables effective coordination between local and national response efforts.
- Reviews OEPs for field facilities to ensure they are consistent with agency policy and applicable to local situations.
- Plans and conducts exercises in dispersed field locations.
- Reviews post-exercise reports to identify gaps in policy or execution.
- Assesses risks and provides oversight for facilities' physical security plans.
- When contract security forces are used, provides central guidance for monitoring their effectiveness at agency facilities and ensures they have the training, skills, and readiness to respond to all types of emergencies.



EVALUATING YOUR AGENCY'S READINESS

EMERGENCY PLANNING ORGANIZATIONS



State-of-the-art communications capabilities are a core feature of effective emergency operations centers, enabling them to coordinate response throughout the agency and with local, state, and federal organizations.

Source: <http://www.grantcountym.com/dispatch3.jpg>

Emergency Planning Organization Shortcomings and Best Practices

Again, OIG reviews noted the following weaknesses and best practices in agency emergency planning organizations.

SHORTCOMINGS NOTED

- Emergency organizations did not provide sufficient policy guidance or oversight of preparedness programs.
- Follow-up procedures for addressing weaknesses noted in facility risk assessments were deficient.
- Agencies that depended heavily on contract security guards did not adequately monitor guards' performance or ensure they had sufficient training.

- Contracting officers did not have the needed expertise to negotiate contracts for protective services, nor did oversight officials adequately understand their monitoring responsibilities.

BEST PRACTICES

- Maintaining emergency operations centers that have
 - State-of-the-art communications capabilities tied into subordinate and alternate sites, local and national emergency operations centers and response resources, including secure telephone, fax, and computer capabilities; a biological or chemical plume-modeling or detection capability; and "drive away" kits to enable deployment to an alternate location during an emergency.

EVALUATING YOUR AGENCY'S READINESS

EMERGENCY PLANNING ORGANIZATIONS

- Trained staff (contract and full-time employees) who operate the centers around the clock and can respond to any incident.
 - Sophisticated incident management capabilities consistent with NIMS requirements and capable of managing or monitoring responses anywhere within the department or agency.
 - Dual-use centers that can manage the agency's COOP under emergency conditions as well as its broader responsibilities under the National Response Plan.
 - Training employees on how to use protective equipment and follow shelter-in-place procedures.
 - Convening all-hands meetings to discuss emergency procedures and address employees' questions and concerns.
 - Maintaining intranet sites on emergency preparedness to provide single point of access information on all aspects of the program.
 - Giving key officials a thumb-drive memory device that contains the agency's COOP plan and can be worn around the neck.
 - Providing specialized training for first responders, support personnel, and key officials on roles, responsibilities, and specific skill areas.
- FEMA's NIMS Integration Center offers a number of online training courses for employees who have disaster preparedness responsibilities. Visit FEMA National Emergency Training Center Virtual Campus at <http://www.training.fema.gov/EMIWeb/Programs/>. OIG staff should consider taking the introductory IS 700 course.



Well-maintained intranet sites give employees easy access to their agency's latest emergency preparedness information.

Source: <http://www.osec.doc.gov/osv/>

NIMS, NRP, and the GSA OEP Guide all require agencies to test the effectiveness of preparedness plans. Evaluating whether and how well they conduct such testing is an important component of your review.

Exercises should strive to test every aspect of the disaster preparedness program and entail increasingly complex emergency scenarios. At a minimum, tests should

- Be guided by a clear statement of objectives (e.g., test the incident command structure and communications following an explosion in a designated wing of the facility that has cutoff escape routes).
- Encompass complete evacuation scenarios, including alternate traffic routes and transportation venues.

- Target designated participants and first responders (e.g., fire, security, hazmat, medical, incident command structure).
- Have key assessment criteria and a post-exercise evaluation and remediation plan (e.g., lessons learned, revisions to procedures, issues for testing in follow-on exercises).

Tabletop Exercises

When the cost and logistics of live exercises preclude full-scale testing, agencies may turn to “tabletop” exercises to test components of the overall program, such as the incident command structure. In tabletop exercises, participants discuss actions and responses, and the exercise leader introduces simulated complications (called “injects”) to test participants’ readiness and



Practicing procedures under all possible emergency scenarios is essential to keeping preparedness plans viable.

Source: http://www.gorsky.com/cert/tfd_emergency_drill_2005/IMG_0280.JPG

decision making under a wide range of scenarios. As with a full-scale exercise, the tabletop evaluation documents lessons learned, procedural changes required, and recommendations for future exercises or testing.

Preparedness Testing Shortcomings and Best Practices

OIG teams that observed exercises as part of their evaluations identified a number of problems and best practices in this area as well.

SHORTCOMINGS

- When a planned exercise was publicized, employees often scheduled lunch or meetings out of the building to avoid participating.

- People with disabilities who gathered at designated assembly points were not evacuated.
- Procedures for accounting for personnel during an evacuation were ineffective or nonexistent.
- Some exercise plans did not call for practicing shelter-in-place procedures.
- Where escape hoods were available and included as part of the test of emergency evacuation procedures, some employees left the building without their hoods.
- Some exercise plans did not have procedures for capturing lessons learned and modifying the preparedness program accordingly.

BEST PRACTICES

- Test communications equipment under all possible response scenarios to make sure it works.
 - Routinely test all elements of the OEP/emergency response/COOP plans under varied scenarios. Analyze results and modify plans in order to eliminate weaknesses.
- until the conclusion of the exercise to issue an assessment report, IG staff initiated communications with interagency planners and began observations during test preparations. IG staff issued three papers to DHS based on those observations to alert exercise managers to significant items warranting additional attention before the exercise began.

A Model Approach

Congress has mandated that every 2 years, the Department of Homeland Security oversee a test of the nation's response capabilities, known as the Top Officials (TOPOFF) National Exercise Series. The test involves agencies and responders at the federal, state, and local levels. In assessing the 2005 test, TOPOFF 3, the DHS inspector general developed an approach that allows timely resolution of issues of concern. Rather than wait

Though the TOPOFF exercises are intended to test national response capabilities, rather than internal emergency action plans, the DHS IG's approach—providing early input to allow real-time modifications and enhance the test outcome—lends itself to replication by other OIGs and offers a means for improving program outcomes. For more on the DHS IG's approach, visit http://www.dhs.gov/interweb/assetlibrary/OIG_06-07_Nov05.pdf.

In a moment of decision, the best thing you can do is the right thing to do. The worst thing you can do is nothing.

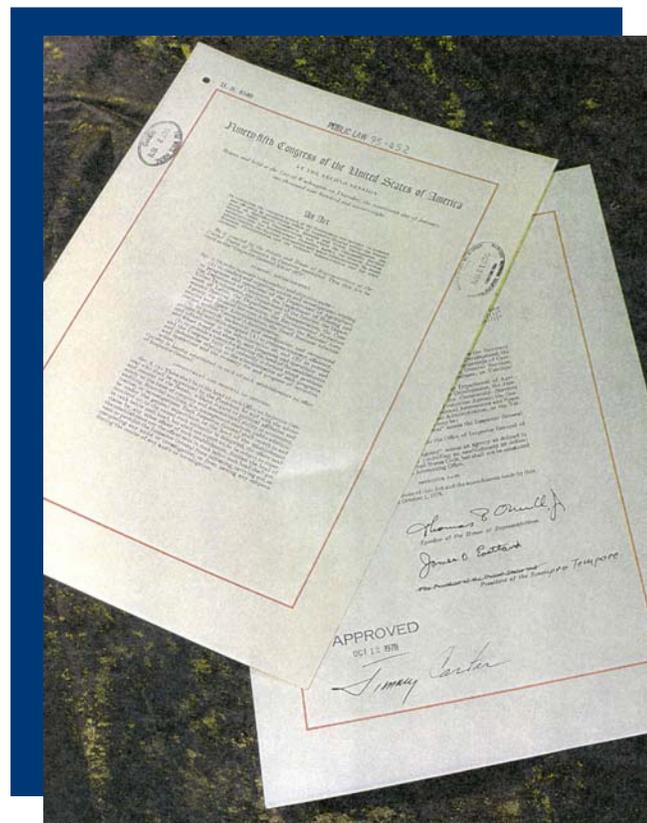
~ Theodore Roosevelt



III. AFTERWORD: UNDERSTANDING YOUR CRITICAL ROLE

When the IG Act was passed nearly 30 years ago, emergency preparedness was likely not envisioned as a core federal function. And yet today, in the aftermath of once-unimaginable acts of terrorism and massive devastation from natural disasters, emergency preparedness has become a major focus—and major expense—at agencies of all sizes and disciplines. Ensuring the soundness of these efforts and expenditures is a critical challenge for the IG community, and its importance cannot be overstated: how well we perform our work ultimately impacts how well our agencies fulfill their mandate for protecting people, facilities, and critical infrastructure in times of crisis.

By highlighting current federal requirements, key resources, and critical findings of past IG work, this guide offers a roadmap to help you assess your agency’s all-hazards preparedness and make recommendations for needed improvements, with one caveat: the job of building and maintaining an effective program of readiness is never ending, as new events expose new areas of concern and prompt changes in federal requirements. It is incumbent upon OIGs to revisit this critical area with some frequency. Your efforts will assuredly make a difference in the outcome for your agency and its employees, as well as for the nation, when the next emergency occurs.





APPENDIXES



Appendix A

OCCUPANT EMERGENCY PLAN CHECKLIST²¹

If you can't check all of the following questions, your Occupant Emergency Plan needs strengthening. Contact your building manager and/or the GSA Physical Security and Law Enforcement Office nearest you if you need help.

- | | |
|---|---|
| <input type="checkbox"/> Did building manager, Federal Protective Service, etc., assist in developing the plan? | <input type="checkbox"/> Have firefighting plans been developed which coordinate internal and external resources? |
| <input type="checkbox"/> Is the committee still available for consultation? | <input type="checkbox"/> Do occupants know to whom they should report an unlawful act? |
| <input type="checkbox"/> Has an emergency organization been established, preferably following existing lines of authority? | <input type="checkbox"/> Do occupants know to whom they should report any other emergency incident? |
| <input type="checkbox"/> Are emergency organization members designated by position rather than by person? | <input type="checkbox"/> Do employees know what procedures to follow if they receive a telephone bomb threat? |
| <input type="checkbox"/> Do organization members know their own responsibilities as well as who has decision-making authority in any given situation? | <input type="checkbox"/> Are bomb search responsibilities and techniques specified in the plan? |
| <input type="checkbox"/> Has a procedure been established to notify organization members? | <input type="checkbox"/> Are procedures established for reporting the progress of a search, evacuation, etc.? |
| <input type="checkbox"/> Are emergency procedures easy to implement rapidly? | <input type="checkbox"/> Have procedures been established for bomb disposal? |
| <input type="checkbox"/> Has a Command Center (CC) location been established? | <input type="checkbox"/> Have emergency shutdown procedures been developed? |
| <input type="checkbox"/> Are communications at the CC adequate? | <input type="checkbox"/> Have plans been made for capture and control of elevators? |
| <input type="checkbox"/> Do emergency organization members know under what circumstances they are to report to the Command Center? | <input type="checkbox"/> Have arrangements been made for emergency repair or restoration of services? |
| <input type="checkbox"/> Are employees who do not have assigned duties excluded from the Command Center? | <input type="checkbox"/> Have drills and training been adequate to ensure a workable emergency plan? |
| <input type="checkbox"/> Are emergency telephone numbers posted in the CC and throughout the building? | <input type="checkbox"/> In leased space, is the responsibility of the owner/lessor clearly defined? |
| <input type="checkbox"/> Published in the telephone book? | <input type="checkbox"/> If contract guards are used, have their authority and responsibilities been defined? |
| <input type="checkbox"/> Are procedures established for handling serious illness, injury, or mechanical entrapment? | <input type="checkbox"/> Are floor plans and occupant information readily available for use by policy, fire, bomb search squads, and other emergency personnel? |
| <input type="checkbox"/> Do organization members know what medical resources are available and how to reach them? | <input type="checkbox"/> Has a hazard communication program been implemented in accordance with 29CFR? |
| <input type="checkbox"/> Have all occupants been told how to get first aid/CPR fast? | <input type="checkbox"/> Has an inventory been compiled of all hazardous materials used in individual workplaces and stored anywhere in the building? |
| <input type="checkbox"/> Do occupants know what to do if an emergency is announced? | <input type="checkbox"/> Are emergency telephone numbers displayed and /or published where they are readily available? |
| <input type="checkbox"/> Are evaluation procedures established and familiar to all employees? | <input type="checkbox"/> Are they reviewed and updated frequently? |
| <input type="checkbox"/> Have special procedures been established for evacuation of the handicapped? | |
| <input type="checkbox"/> Are fire reporting procedures established and familiar to all employees? | |

²¹ Excerpted from *GSA Occupant Emergency Program Guide*, March 2002, p. 19. Responsibility for the guide transferred to DHS with the Federal Protective Service. The full guide is available at http://www.wasc.noaa.gov/wrso/oep-coop/GSA_OEP_Guide_6.doc.

Appendix B

COMMAND AND MANAGEMENT UNDER THE NATIONAL INCIDENT MANAGEMENT SYSTEM

(This appears as appendix D in Department of Homeland Security OIG report OIG-06-32, *A Performance Review of FEMA's Disaster Management Activities in Response to Hurricane Katrina*. View the entire report at http://www.dhs.gov/interweb/assetlibrary/OIG_06-32_Mar06.pdf.)

Command and Management Under NIMS

To the extent possible, disasters are managed locally; most responses do not exceed the capabilities of the local government. However, some incidents require multiple jurisdictions or levels of government to provide an adequate response. In addition, some incidents initially can be handled locally but grow in size or complexity and require assistance and support beyond what is available at the local level. The NIMS provides an effective and efficient coordination system to enable multiple entities at different levels of government to conduct incident management activities.

The NIMS uses two levels of management structures depending on the size, nature, and complexity of the incident. First, an Incident Command System is a standard on-scene, all-hazard incident management system that allows users to establish an integrated organizational structure to respond to single or multiple incidents. Second, Multiagency Coordination Systems provide a common framework to integrate and support incident management and coordination for incident prioritization, critical resource allocation, integration of communication systems, and information flow.

The Incident Command System

The ICS structure is designed to enable effective and efficient domestic incident management by integrating a combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure. The ICS structure is widely applicable to a variety of emergencies from small and basic to large and complex, whether natural or man-made. It applies across all levels of government, the private sector, and nongovernmental organizations, as well as across multiple functional disciplines. Several characteristics enable ICS to efficiently and effectively manage incidents:

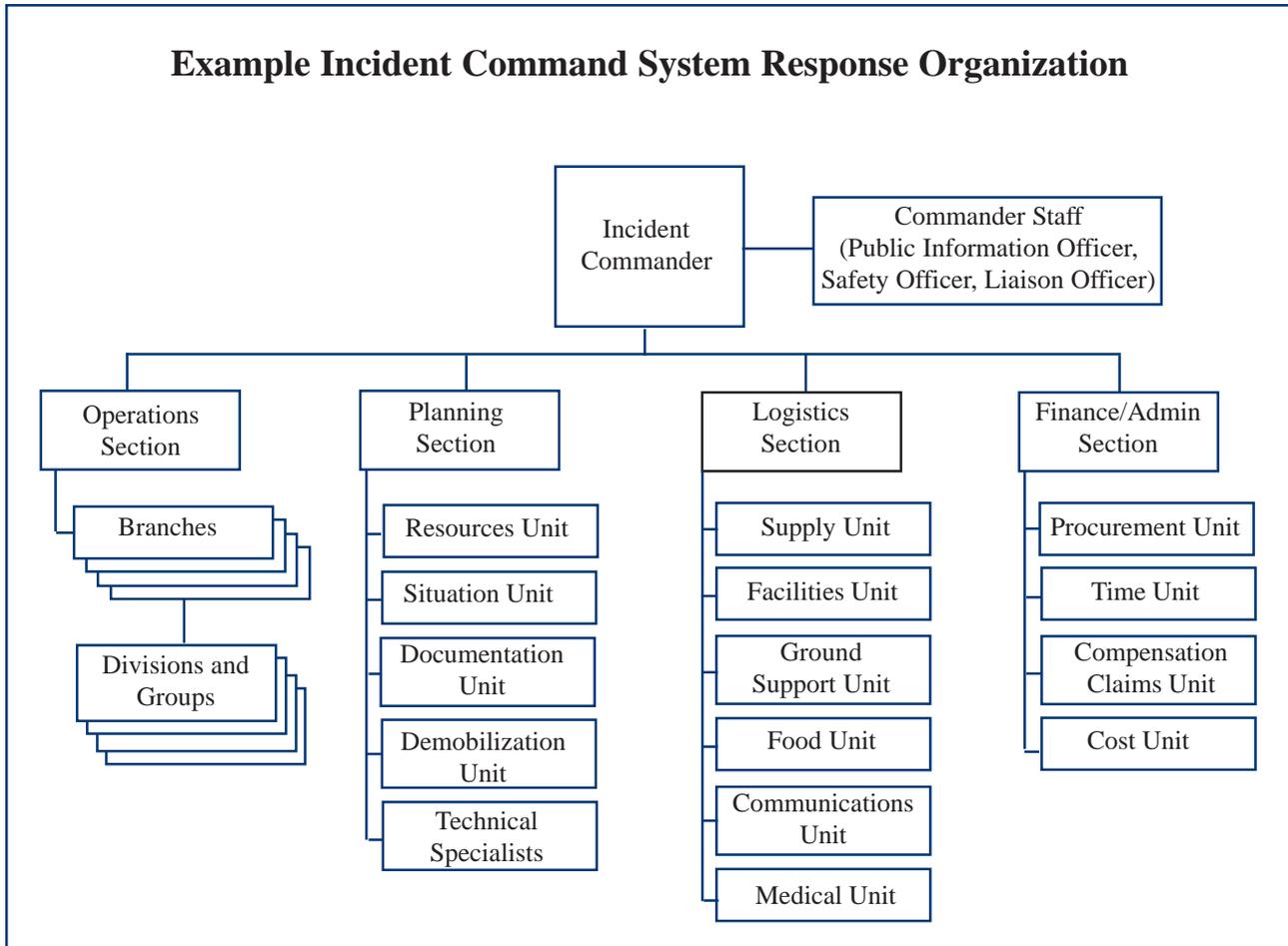
- Use of common terminology;
- Scalable, top-down modular system based on the size, complexity, and nature of the incident;
- Incidents managed by objectives established by the incident command;
- Use of incident action plans to communicate strategic objectives and operational and support activities to the incident command organization;
- Span of control ranging from three to seven subordinates;
- Designation of one supervisor for each individual for the incident;
- Clear chain of command and authority within the organization; and,
- Use of communication plans and interoperable communications systems.

ICS Organization

The ICS structure usually includes five major functional areas: command, operations, planning, logistics, and finance/administration. Depending on the size and complexity of the incident, additional functional or geographic branches or divisions can be included within one or more of the major functional areas. FEMA used all five major functional areas in each of the affected states.

Appendix B

COMMAND AND MANAGEMENT UNDER THE NATIONAL INCIDENT MANAGEMENT SYSTEM (CONT.)



Incident Command: The Incident Commander is responsible for overall management of the incident. This can be accomplished through a single command or a unified command. Under a single command, the Incident Commander develops the strategic incident objectives, approves the incident action plan, and approves all requests for ordering and releasing incident resources.

Unified command is used for incidents involving multiple agencies or jurisdictions. Under unified command, multiple agencies and jurisdictions are able to work together effectively without compromising their different legal, geographic, and functional authorities and responsibilities. Designated members of each agency work together to develop a common set of objectives and strategies for the entire incident and jointly plan support activities under a single incident action plan. As a result, unified command improves information flow, communication, and coordination and reduces duplication of efforts. For Hurricane Katrina, Mississippi and Alabama established unified commands from the start, while Louisiana did not.

Appendix B

COMMAND AND MANAGEMENT UNDER THE NATIONAL INCIDENT MANAGEMENT SYSTEM (CONT.)

Operations: The Operations Section is responsible for activities dedicated to reducing the immediate hazard, saving and sustaining lives and property, establishing situational awareness and control, and restoring normal operations. ICS provides flexibility for organizing incident operations depending on the nature of the incident, the agencies involved, and the strategic objectives set by the incident commander. Within the Operations Section, divisions or groups are established when resources involved exceed the Operations Section Chief's manageable span of control. Divisions create geographical areas of operation. Groups create functional areas of operation. If the number of divisions or groups exceeds the manageable span of control or the incident involves multiple jurisdictions, branches would be established.

Planning: The Planning Section gathers, evaluates, and disseminates situational information and intelligence critical to the incident; prepares situation reports and incident maps; maintains the status of incident resources; and develops the incident action plan based on the incident commander's strategic objectives.

Logistics: The Logistics Section provides support needs for the incident, including ordering resources from off-incident locations if not readily available in the incident area. Logistics provides facilities, transportation, supplies, equipment maintenance and fuel, food services, communications, and medical services for personnel.

Finance/Administration: A Finance/Administration Section is established if an incident requires significant financial, reimbursement, or administrative support services. If established, this section monitors multiple sources of funds, tracks and reports funds spent or obligated, and reconciles operational records with financial records.

Multiagency Coordination Systems

Multiagency coordination systems provide the framework to coordinate and support incident management policies and priorities, facilitate logistics support and resource tracking, make critical resource allocation decisions, coordinate incident related information, and coordinate interagency and intergovernmental issues regarding incident management policies, priorities, and strategies. Facilities, equipment, personnel, procedures, and communications are resources integrated into a multiagency coordination system. Operational responsibility for incident management activities remains, however, with the on-scene incident commander.

Both emergency operations centers (EOCs) and multiagency coordination entities could be part of a multiagency coordination system. EOCs, usually established at the state or local level, are the physical location where core functions of coordination, communications, resource dispatch and tracking, and information collection are executed. Personnel from multiple jurisdictions or functional disciplines may staff EOCs. For Hurricane Katrina, each affected state activated and staffed its EOC following basic ICS positions and elements. This facilitated coordination between federal and state counterparts, and ultimately, integration when the incident command organization was established in each state's

Appendix B

COMMAND AND MANAGEMENT UNDER THE NATIONAL INCIDENT MANAGEMENT SYSTEM (CONT.)

joint field office. The Homeland Security Operations Center was activated and executed the core EOC functions at the federal level for Hurricane Katrina.

Multiagency coordination entities support and facilitate incident management, coordinate policy, and provide strategic guidance and direction to support incident management activities. These entities usually include representatives from agencies or organizations with direct incident management responsibility or significant support and resource responsibilities. Several multiagency coordination entities were used during the Hurricane Katrina response, including the National Response Coordination Center, regional response coordination centers, and the Interagency Incident Management Group.

Appendix C⁴
NIMS TEMPLATES: EMERGENCY OPERATIONS PLANS AND CHECKLIST

Emergency Operations Plans (EOPS)

The following simple template can be used to identify existing EOPs.

Agency Name	Point of Contact	Office Telephone	E-Mail Address	Plan, Procedure, or Policy

⁴ The complete template is available at http://www.fema.gov/nims/nims_toolsandtemplates.shtm.

Appendix C

NIMS TEMPLATES: EMERGENCY OPERATIONS PLANS AND CHECKLIST (CONT.)

Use the following checklist to track your agency’s progress at revising its emergency operations plans (EOPs) to incorporate NIMS. Use a separate checklist for each EOP.

EOP Checklist

Defines the scope of preparedness and incident management activities necessary for the jurisdiction.	<input type="checkbox"/>
Describes organizational structures, roles and responsibilities, policies, and protocols for providing emergency support.	<input type="checkbox"/>
Facilitates response and short-term recovery activities.	<input type="checkbox"/>
Is flexible enough to use in all emergencies.	<input type="checkbox"/>
Describes the EOP purpose.	<input type="checkbox"/>
Describes the EOP situation and assumptions.	<input type="checkbox"/>
Describes the EOP concept of operations.	<input type="checkbox"/>
Describes the EOP organization and assignment of responsibilities.	<input type="checkbox"/>
Describes the administration and logistics of the EOP.	<input type="checkbox"/>
Describes EOP development and maintenance.	<input type="checkbox"/>
Describes the EOP authorities and references.	<input type="checkbox"/>
Contains functional annexes.	<input type="checkbox"/>
Contains hazard-specific appendices.	<input type="checkbox"/>
Contains a glossary.	<input type="checkbox"/>
Pre-designates jurisdictional and/or functional area representatives to the Incident Commander (IC) or Unified Command (UC) whenever possible.	<input type="checkbox"/>
Includes preincident and postincident public awareness, education, and communications plans and protocols.	<input type="checkbox"/>

Note: This checklist was adapted from NIMS, Chapter III, Section B 2 a 1, page 35, <http://www.dhs.gov/interweb/assetlibrary/NIMS-90-web.pdf>.

Appendix D

GAO CHECKLIST FOR CONTINUITY OF OPERATIONS REVIEWS

Did the Program...	Yes	Partially	No
• Identify the agency's essential functions?			
• Identify which essential functions must be continued under all circumstances?			
• Prioritize essential functions?			
• Establish staffing and resource requirements needed to perform essential functions?			
• Identify a roster of personnel to perform essential functions?			
• Identify procedures for employee advisories, alerts, notifications, and relocation instructions to the alternate facilities?			
• Establish a goal of becoming operational within 12 hours and maintaining that capability for 30 days?			
• Establish the order of succession to the agency head position?			
• Establish orders of succession to other key leadership positions?			
• Include officials outside Washington, D.C., in the order of succession?			
• Describe orders of succession by position title?			
• Include the orders of succession in the agency's emergency vital records?			
• Establish rules and procedures for resolving questions regarding succession in emergencies?			
• Define the conditions under which succession takes place and how successors are to be relieved?			
• Require orientation programs to prepare potential successors for their emergency duties?			
• Document the legal authority for officials to make policy decisions during an emergency?			

Note: Adapted from U.S. Government Accountability Office, GAO-04-160, *Continuity of Operations: Improved Planning Needed to Ensure Delivery of Essential Government Services*, February 2004.

Appendix D
GAO CHECKLIST FOR CONTINUITY OF OPERATIONS REVIEWS (CONT.)

Did the Program...	Yes	Partially	No
• Identify when emergency legal authorities begin and end?			
• Document the acquisition of alternate facilities?			
• Document the facility's capability to provide previously identified equipment and space for previously identified staff?			
• Document the capability to provide interoperable communications with internal and external organizations, critical customers, and the public?			
• Identify at least two independent channels for emergency communications?			
• Identify key internal and external contacts and how to reach them?			
• Identify how emergency communications channels will be used to access the agency's vital electronic records?			
• Identify the vital records needs to support the identified essential functions?			
• Identify where and how agency personnel are to access the vital records?			
• Outline procedures for regularly pre-positioning and updating identified vital records?			
• Conduct annual individual and team training for COOP staff?			
• Conduct annual internal agency testing and exercising of COOP plans and procedures, including operations at the alternate facility(ies)?			
• Conduct quarterly testing of alert and notification procedures?			
• Conduct refresher orientations for staff arriving at alternate facilities?			
• Conduct joint agency exercises, where applicable and feasible?			

Appendix E

EMERGENCY SUPPORT FUNCTIONS ASSIGNED TO FEDERAL AGENCIES

ESF #1 — Transportation	
<ul style="list-style-type: none"> ≈ Federal and civil transportation support ≈ Transportation safety ≈ Restoration/recovery of transportation infrastructure ≈ Movement restrictions ≈ Damage and impact assessment 	Coordinator: Department of Transportation
ESF #2 — Communications	
<ul style="list-style-type: none"> ≈ Coordination with telecommunications industry ≈ Restoration/repair and temporary provisioning of communications infrastructure ≈ Protection, restoration, and sustainment of national cyber and information technology resources 	Coordinator: Department of Homeland Security/ National Communications System
ESF #3 — Public Works and Engineering	
<ul style="list-style-type: none"> ≈ Infrastructure protection and emergency repair ≈ Infrastructure restoration ≈ Engineering services, construction management ≈ Critical infrastructure liaison 	Coordinator: Department of Defense/Army Corps of Engineers
ESF #4 — Firefighting	
<ul style="list-style-type: none"> ≈ Firefighting activities on federal lands ≈ Resource support to rural and urban firefighting operations 	Coordinator: Department of Agriculture
ESF #5— Emergency Management	
<ul style="list-style-type: none"> ≈ Coordination of incident management efforts ≈ Issuance of mission assignments ≈ Resource and human capital ≈ Incident action planning ≈ Financial management 	Coordinator: Homeland Security/FEMA
ESF #6 — Mass Care, Housing, Human Services	
Coordinator: Homeland Security/FEMA	
ESF #7 — Resource Support	
Coordinator: GSA	
ESF #8 — Public Health and Medical Services	
<ul style="list-style-type: none"> ≈ Public health ≈ Medical and mental health services ≈ Mortuary services 	Coordinator: Health and Human Services
ESF #9 — Urban Search and Rescue	
<ul style="list-style-type: none"> ≈ Life-saving assistance ≈ Urban search and rescue 	Coordinator: Homeland Security/FEMA

Appendix E

EMERGENCY SUPPORT FUNCTIONS ASSIGNED TO FEDERAL AGENCIES (CONT.)

ESF #10 — Oil and Hazardous Materials Response	
<ul style="list-style-type: none"> ≈ Oil and hazardous materials ≈ Environmental safety and short- and long-term cleanup 	Coordinator: Environmental Protection Agency
ESF #11 — Agriculture and Natural Resources	
<ul style="list-style-type: none"> ≈ Nutrition assistance ≈ Animal and plant disease/pest control ≈ Food safety and security ≈ Natural and cultural resources and historic properties protection/restoration 	Coordinator: Department of Agriculture
ESF #12 — Energy	
<ul style="list-style-type: none"> ≈ Energy infrastructure assessment, repair, restoration ≈ Energy industry utilities coordination ≈ Energy forecast 	Coordinator: Department of Energy
ESF #13 — Public Safety and Security	
<ul style="list-style-type: none"> ≈ Facility and resource security ≈ Security planning and technical and resource assistance ≈ Public safety/security support ≈ Support to access, traffic, and crowd control 	Coordinator: Department of Justice
ESF #14 — Long-Term Community Recovery	
<ul style="list-style-type: none"> ≈ Social and economic community impact assessment ≈ Long-term community recovery assistance to states, local governments, and the private sector ≈ Mitigation analysis and program implementation 	Coordinator: Homeland Security/FEMA
ESF #15 — External Affairs	
<ul style="list-style-type: none"> ≈ Emergency public information and protective action guidance ≈ Media and community relations ≈ Congressional and international affairs ≈ Tribal and insular affairs 	Coordinator: Homeland Security

Source: National Response Plan Quick Reference Guide at http://www.dhs.gov/interweb/assetlibrary/NPR_Quick_Reference_Guide_5-22-06.pdf

Appendix F

GLOSSARY OF KEY TERMS

After-Action Report (AAR)

A method of identifying and tracking correction of important problems and carrying out best practices in an operation or exercise after it has been completed. An AAR may contain lessons learned and recommended changes in plans, training, and resources.

Agency for Healthcare Research and Quality (AHRQ)

AHRQ is a scientific research agency in the Department of Health and Human Services with a mission to improve the quality, safety, efficiency, and effectiveness of health care. AHRQ provides a computer model to help hospitals and health systems plan antibiotic dispensing and vaccination campaigns to respond to bioterrorism or large-scale natural disease outbreaks. Located in Rockville, Maryland. Visit www.ahrq.gov/research/biomodel.htm.

All-Hazards Plan

An all-hazards plan is an emergency operations plan (EOP). It recognizes flexibility in disaster and hazards planning and the need to combine hazard-specific activities with a core approach that encompasses responses appropriate to all hazards. See FEMA publication, *Guide for All-Hazards Emergency Operations Planning: State and Local Guide SLG 101*, available at <http://www.fema.gov/pdf/rrr/slg101.pdf>.

Alternate Command Center or Alternate Emergency Operations Center

A location, other than the normal facility, used to host the emergency command center. See also Command Center.

Alternate Site

A location, other than the normal facility, used to process data or conduct critical business functions in the event of a disaster. The alternate site is a critical requirement of continuity of operations planning.

Area Command

An organization established to oversee the management of multiple incidents or a very large incident that has multiple incident management teams assigned to it.

Business Continuity

Business continuity and disaster recovery are often used interchangeably, despite significant differences between the two concepts. “Disaster recovery” refers to a set of activities and programs designed to return the entity to an acceptable condition. It measures the ability to respond to an interruption in services by implementing a plan to restore an organization’s critical business functions. “Business continuity management” (BCM) is not just about disaster recovery, crisis management, risk management control, or technology recovery. BCM is a holistic management process that identifies potential impacts that threaten an organization and provides a framework for building resilience with the capability for an effective response that safeguards the interests of its key stakeholders, reputation, brand, and value-creating activities.

Business Continuity Plan (BCP)

A BCP defines and ranks key business functions according to vulnerability and risk, assigns priorities to those functions, and defines procedures to continue priority functions to ensure continuation of an organization, public or private, as a going concern in the event of a disaster. A responsive BCP depends on an adequate business impact analysis (BIA) and risk assessment. Computer system and data recovery, under an IT disaster recovery plan, is a subordinate but important part of a BCP. A BCP includes safeguards for personnel and families, business assets and reputation, customers, clients, citizens, vendors, communications; and access to critical resources. It involves training, periodic exercises, post-exercise reviews, and plan updates with special attention to media relations. A BCP is a major factor in an overall risk management program. A BCP is also known as business recovery plan, business resumption plan, and business contingency plan. For quasi-government agencies such as Federal Deposit Insurance Corporation and AMTRAK, the activities included in development of the BCP are equivalent to those required for a COOP for a federal department or agency.

Appendix F

GLOSSARY OF KEY TERMS (CONT.)

Business Impact Analysis (BIA)

A BIA is an important aspect of managing an organization's overall risk, including its continuation as a going concern, and its ability for an effective business continuity plan (BCP) and an information technology (IT) disaster recovery plan. A responsive BCP, including an IT disaster recovery plan, addresses the findings from a business impact analysis. The purpose of the BIA is to identify recovery objectives for critical business processes and IT assets, as well as continuity-related risks and vulnerability in accord with the findings of a risk assessment. With an adequate BIA and risk assessment, an organization can evaluate whether changes are needed in its business continuity and disaster recovery plans. These plans should be kept up-to-date and periodically tested. The BIA is primarily applicable to quasi-governmental organizations such as the Federal Deposit Insurance Corporation or AMTRAK. Within a federal department or agency, the activities included under the BIA would be included in COOP planning.

Call Tree

A call tree is a document that graphically depicts the calling duties and the calling sequences used to contact management, staff, customers, vendors, and other key contacts in the event of an emergency, disaster, major power outage, or other crisis condition.

Checklist Test

A method used to test a completed plan to determine if information, such as phone numbers, manuals, equipment, etc., in the plan is accurate and current.

Community Emergency Response Team (CERT)

A team of local citizens, with or without an organizational affiliation, trained in a range of basic emergency response skills and techniques to assist their community in times of emergency. CERT training is conducted in accordance with national standards that are available from the Federal Emergency Management Agency.

Continuity of Government

The internal efforts taken at the policy and/or executive level of a national, state, or local governmental agency or entity to assure the continuity of essential functions across a wide range of potential emergencies by providing for succession to office and emergency delegations of authority in accordance with applicable law; safekeeping of essential resources, facilities, and records; and establishment of emergency operating capabilities.

Continuity of Operations Plan

The internal efforts of an agency or other entity, public or private, to assure continuance of its minimum essential functions across a wide range of potential emergencies, to include localized or widespread acts of nature, accidents, technological or radiological events, and responses to them.

Crisis Management

Predominately a law enforcement function that includes measures to identify, acquire, and plan the use of resources needed to anticipate, prevent, and/or respond to a threat or act of terrorism or other emergency. The requirements of consequence management and crisis management are combined in the National Response Plan.

Critical Infrastructure

Systems and assets, whether physical or virtual, so vital to the United States that their incapacity or destruction would have a debilitating impact on the national economy, security, public health or safety, or any combination of these.

Defense Support of Civil Authorities

DoD support, including federal military forces, DoD civilian and contractor personnel, and DoD agencies and components, to domestic emergencies and designated law enforcement and other activities.

Appendix F

GLOSSARY OF KEY TERMS (CONT.)

Designated Official

The highest-ranking official in a federal facility or another person agreed to by all facility tenant agencies assigned responsibility for activating the facility OEP.

Emergency Operations Center (EOC)

The physical location at which the coordination of information and resources to support domestic incident management activities takes place. An EOC may be a temporary facility or may be located in a central or permanently established facility. EOCs may be organized by major functions or disciplines (e.g., fire, law enforcement, and medical services), by jurisdiction, or by some combination of both.

Emergency Operations Plan

The plan maintained at various jurisdictional levels for managing a wide variety of potential hazards.

Emergency Response Providers

Federal, state, local, and tribal government public safety, law enforcement, or other emergency response, emergency medical, and related personnel, agencies, facilities, and/or authorities designated to respond in emergency situations.

Emergency Support Function (ESF)

A grouping of government and certain private-sector capabilities into an organizational structure to provide the support resources, program implementation, and services that are most likely to be needed to save lives, protect property and the environment, restore essential services and critical infrastructure, and help victims and communities return to normal following domestic incidents. ESFs are detailed in the annexes to the National Response Plan.

Escape Hoods

Individual protective devices issued to employees to provide temporary breathing assistance during evacuations from areas in which the breathing air is contaminated by smoke, hazardous chemical vapors, or airborne biological agents.

Federal Coordinating Officer

The federal officer who is appointed to manage federal resource support activities related to Stafford Act disasters and emergencies within the joint field office under a National Response Plan activation.

Federal Emergency Communications Coordinator (FECC)

The person assigned by GSA to serve as the principal federal manager for emergency telecommunications requirements in major disasters, emergencies, and extraordinary situations.

First Responder

Local and nongovernmental police, fire, and emergency personnel who in the early stages of an incident are responsible for the protection and preservation of life, property, evidence, and the environment, including emergency response providers as defined in section 2 of the Homeland Security Act of 2002, as well as emergency management public health, clinical care, public works, and other skilled support personnel who provide immediate support services during prevention, response, and recovery operations.

Floor Teams

Personnel assigned responsibility for executing the occupant emergency plan. Floor team members are selected from among the workforce occupying a floor of a federal facility. One person is assigned to coordinate the team's efforts.

Incident

An occurrence or event, natural or human caused, that requires an emergency response to protect life or property.

Appendix F

GLOSSARY OF KEY TERMS (CONT.)

Incident Action Plan

An oral or written plan containing general objectives that reflect the overall strategy for managing an incident.

Incident Command Post

The field location at which the primary tactical-level, on-scene incident command functions are performed.

Incident Command System

A standardized on-scene emergency management construct specifically designed to provide for the adoption of an integrated organizational structure that reflects the complexity and demands of single or multiple incidents that may span jurisdictions.

Incident Commander

The individual responsible for all incident activities, including the development of strategies and tactics and the ordering and release of resources.

Incident Management Team

The incident commander and appropriate command and general staff personnel assigned to an incident.

Incident of National Significance

Based on criteria established in HSPD-5, an actual or potential high-impact event that requires a coordinated and effective response by an appropriate combination of federal, state, local, tribal, nongovernmental, and/or private-sector entities in order to save lives and minimize damage.

Joint Field Office

A temporary federal facility established locally to provide a central point for federal, state, local, and tribal executives with responsibility for incident management.

Joint Information System

An integrated incident information and public affairs organization designed to provide consistent, coordinated, timely information during a crisis or incident operations.

Joint Operations Center

The focal organization for all federal investigative law enforcement activities during a terrorist or potential terrorist incident, or another significant criminal event.

Multijurisdictional Incident

An incident requiring action from multiple agencies that each have jurisdiction to manage certain aspects of the event. These incidents will be managed under Unified Command.

National Counterterrorism Center

The primary federal agency for analyzing and integrating all intelligence possessed or acquired by the federal government pertaining to foreign-initiated terrorism.

National Incident Management System (NIMS)

A system mandated by HSPD-5 that provides a consistent, nationwide approach to domestic incident response, regardless of cause, size, or complexity.

Nuclear Incident Response Team

Created by the Homeland Security Act to provide DHS with a nuclear/radiological response capability.

Appendix F

GLOSSARY OF KEY TERMS (CONT.)

Occupant Emergency Plan (OEP)

A set of procedures to protect life and property in federally occupied space under defined emergency conditions. The Federal Protective Service and the General Services Administration provide guidelines and assistance for developing OEPs.

Principal Federal Official

The federal official designated by the Secretary of Homeland Security to act as his/her representative locally to oversee, coordinate, and execute the Secretary's incident management responsibility under HSPD-5 for incidents of national significance.

Radiological Emergency Response Team

Team provided by EPA's Office of Radiation and Indoor Air to support and respond to incidents or sites containing radiological hazards.

Shelter in Place

An emergency action in which facility occupants are sheltered in a protected location within the facility in lieu of evacuation. Situations in which shelter in place may be appropriate include civil unrest, certain weather emergencies, atmospheric release of toxic substances, or other external hazards.

Unified Command

An application of the incident command system used when there is more than one agency with incident jurisdiction or when incidents cross political jurisdictions.

Voice-over-Internet Protocol

A technology that allows the use of broadband Internet connections for voice/telephony communications. The technology can be used on a facility's intranet to provide emergency messaging communications and instructions to building occupants.

Appendix G

INTERNET RESOURCES FOR DISASTER PREPAREDNESS

All-Hands Community, Emergency Management, and Business Continuity Community Web Site

Contains a massive collection of information on disaster preparedness, focused on both the public and private sector. <http://www.all-hands.net>

Centers for Disease Control and Prevention

Emergency Preparedness and Response. A source for medical aspects of emergency planning. <http://www.bt.cdc.gov/planning/>

Emergency Management & Command (EMAC) International, LLC

Provides access to NIMS training resources, document libraries, and discussion bulletin boards. <http://www.nimsonline.com>

National Archives and Records Administration (NARA)

A Primer on Disaster Preparedness, Management, and Response: Paper-Based Materials. Contains basic information on protection of paper records. <http://www.archives.gov/preservation/emergency-prep/disaster-prep-primer.html>

Office of Personnel Management

OPM Federal Manager's/Decision Maker's Emergency Guide. Provides guidance on human resource issues that may arise during emergencies. <http://www.opm.gov/emergency/PDF/ManagersGuide.pdf>

U.S. Department of Health and Human Services, Agency for Healthcare Research and Quality

Evaluation of Hospital Disaster Drills: A Modular Approach. Provides a well-thought-out model for planning emergency response. Tailored to a hospital environment, but has broad applicability. <http://www.ahrq.gov/research/hospdrills/>

U.S. Department of Homeland Security

Emergencies & Disasters. Contains a large volume of source documents and information on disaster preparedness. http://www.dhs.gov/dhspublic/theme_home2.jsp

U.S. Department of Homeland Security, Federal Emergency Management Agency

Provides another broad source of information on disaster preparedness, with information on specialized threats from fires to terrorism. Links to additional resources on emergency management training and NIMS implementation. <http://www.fema.gov/>

U.S. Department of Labor, Occupational Safety and Health Administration

Emergency Preparedness and Response. <http://www.osha.gov/SLTC/emergencypreparedness/index.html>

Appendix H

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Appendix I

SAMPLE OF OIG EMERGENCY PREPAREDNESS REPORTS AND CONTACTS

Agency	Report Title	Contact	Phone	E-mail
Agriculture	<i>SAS 70 General Controls of the NTIC</i>	Robert Young	202-720-6945	rwyong@oig.usda.gov
Commerce	<i>Departmental Emergency Preparedness and Security Programs Need Additional Attention (April 2002); Commerce's Emergency Preparedness Efforts Are Improving, but Additional Management Guidance and Oversight Are Needed (August 2005)</i>	Erin Reuther	202-482-2754	ereuther@oig.doc.gov
Defense	<i>Audits of emergency preparedness planning for Office of the Secretary and selected overseas operations</i>	L. Jerry Hansen William Morrison	703-602-1017 703-604-9151	jerry.hansen@dodig.mil william.morrison@dodig.mil
Defense Intelligence Agency	<i>Disaster Preparedness Evaluation (August 2003); Disaster Preparedness Follow-up (February 2006)</i>	Jennifer Carmichael	202-231-1032	jennifer.carmichael@dia.mil
Education	<i>Emergency Evacuation of People with Disabilities in Department of Education Facilities (December 2003)</i>	Deb Schweikert	202-245-7026	deb.schweikert@ed.gov
Energy	<i>The Department's Continuity Planning and Emergency Preparedness (August 2004)</i>	Gar Dovers	202-586-5798	garland.dovers@hq.doe.gov
Farm Credit Administration	<i>FCA's Emergency Preparedness</i>	Joan Ohlstrom	703-883-4032	ghlstrom@fca.gov
Federal Communications Commission	<i>Audit of the Commission's Continuity of Operations Program (September 2005)</i>	Roy Connor	202-418-0470	Roy.Connor@fcc.gov
Federal Deposit Insurance Corporation	<i>FDIC's Business Continuity Plan (August 2004)</i>	Marshall Gentry	202-416-2919	egentry@fdic.gov

Appendix I
SAMPLE OF OIG EMERGENCY PREPAREDNESS REPORTS AND CONTACTS (CONT.)

Agency	Report Title	Contact	Phone	E-mail
Federal Election Commission	<i>Inspection of the Commission's Occupant Emergency Plan</i>	Serina Eckwood	202-694-1015	seckwood@fec.gov
General Services Administration	<i>Audit of GSA's Continuity of Operations Program</i>	Paul Malatino	202-708-5340	paul.malatino@gsa.gov
Health and Human Services	<i>Nursing Home Emergency Preparedness and Response During Recent Hurricane (August 2006)</i>	Marsha Sayer	202-619-1343	marsha.sayer@oig.hhs.gov
Homeland Security	<i>A Review of the Top Officials 3 Exercise (November 2005); A Performance Review of FEMA's Disaster Management Activities in Response to Hurricane Katrina (March 2006)</i>	Carlton Mann	202-254-4205	carlton.mann1@dhs.gov
National Reconnaissance Office	<i>Inspection of NRO Emergency Management/COOP</i>	Jim Kiely	703-808-1838	james.kiely@nro.mil
SBA	<i>Audit of SBA's Continuity of Operations Planning Program</i>	Robert Seabrooks	202-205-7203	robert.seabrooks@sba.gov
Veterans Affairs	<i>Emergency Preparedness at Selected VA Medical Facilities</i>	David Daigh	202-565-8165	John.daigh@va.gov



