

Kentucky Emergency Management Planning Guide 2 2011

How to Write the Basic Plan

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Introduction

This Planning Guide will show you how to develop the Basic Plan for your County Emergency Operations Plan.

You will first be introduced to the various parts of the Basic Plan, then be taken on a step by step process developing a Basic Plan and finally you will be shown a set of worksheets that can be used to facilitate your planning meetings and development workgroups.

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Developing the Basic Plan

What is the Basic Plan

The Basic Plan is the overarching document that all other plans obtain direction from, are written in support of, and add specificity to other plans. The Basic Plan describes, in broad terms:

1. The need to be organized to respond as a community to a disaster?
2. When do we respond as a community?
3. How the community organizes itself to respond and what are the communities division of powers and responsibilities?

The Basic Plan breaks down into three general sections that provide the answers to the above questions: Community Description, Hazard Analysis, and Disaster Management.

Community Description

The Community Description Section of the Basic Plan should provide a broad overview of the community and what resources it has to deal with emergencies and disasters.

Mission Statement

A mission statement clearly defines the reason for the existence of the EOP and delineates the purpose and role of Emergency Management in the EOP. We seldom take the time to discuss or write out our mission; the mission of any Emergency Management agency is directly tied to the EOP. It is our “reason for being” and our purpose administer.

The commitment to formulating an Emergency Management mission can be critical to your community's success in disaster response, stabilization, and recovery. It helps keep emergency management personnel and programs focused on preserving or strengthening the community both programmatically and operationally. It will limit wild goose chases and help prevent unwise or ill-advised expenditure of money and/or time.

The most successful mission statements are measurable, definable, and actionable statements with emotional appeal that everyone knows and can act upon.

Creating a mission statement

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A "call to action" mission statement is:

- A motivational response to all of those involved in the plan
- Easily understood and can be transferred into individual actions every day
- A measurable, tangible goal
- Firmly rooted in the environment in which the Emergency Management and the EOP operates

A mission statement is also influenced by:

- History and traditions
- Management preferences
- Distinctive skills the community possesses
- Community resources
- Strengths and weaknesses in the community

Mission statements can be difficult to write. A good mission statement provides vision and direction for an Emergency Management and the EOP for at least 10 to 20 years. However, the mission statement must be revised if it is no longer appropriate or has lost significance or relevance.

Situational Assessment

The situational assessment portion defines the strategic situation that the community finds itself in as it relates to disasters. These situations are often related to the historical effects that have been experienced by the community because of events. The situational assessment does not get to hazard specific types of information, but deals more with the effects that those hazards have had on the community's ability to warn, communicate, respond, support its citizens, and recover from a disaster, or limitations of landscape or the environment.

The situational assessment should provide answers to these questions:

- How often and how confidently are you able to provide warning for a disaster?
- How fast have disasters occurred and escalated beyond your ability to deal with the effects.
- How have systems been effected (power, water, emergency communications, normal communications, and the transportation network) by disasters?
- How have disasters affected the ability of emergency services and law enforcement to respond? Do they get easily overwhelmed? Are they able to utilize resources through mutual aid effectively?

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- How have the citizens of the community dealt with disaster? How quickly do they require assistance? What kind of assistance do they generally require? What is the reliance on emergency sheltering of citizens?
- How long has it taken for outside resources (food, water, additional workers, etc...) to come to the aid of your community?
- How well has the community come together in disasters in the past? How well have they responded to previous disasters?
- How well has the community recovered from disasters in the past? What have been some of the difficulties that have arisen? What are some of the things that you can count on to occur?
- Have there been limitations that the community runs up against during a disaster in terms of financial capabilities, manpower limitations, and/or lack of certain skills.
- Are there limitations imposed on the community from the physical landscape? Do areas become isolated? Is the community segmented by physical features?

Answering these questions will enable you to assess the current strategic situation that your community faces and allows you to make assumptions about how the community will be able to respond, stabilize, and recover from disasters.

General Assumptions

In planning for disasters, we must make certain assumptions about how the community will react, organize, operate, and mitigate the effects of disasters. Many of these assumptions will be conceived from the Situational Assessment.

(Example: During the situational assessment, you find that it takes generally 72 hours for food and water to reach your community. So you can now assume that in nearly every disaster the community will have to provide food and water for its citizens for the first 72 hours.)

Other assumptions may be laid down in local or state laws, regulations, and/or policies. An example of this would be what agency is the lead in the community disaster response. Assumptions of this type, generally deal with how the community will organize and operate during a disaster.

Some assumptions can be made from demographic information collected in the community description.

(Example: Demographic information shows that 75% of the counties primarily rely on electricity for heating. From that I can assume that a long-term power outage will likely result in a requirement for sheltering.)

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Hazard Assessment

The Hazard Assessment provides a general overview of the reasons why we are planning, what we are planning for, and of what we are most concerned. The Hazard Assessment should provide the following information:

- What hazards do we have that could cause disasters in the community?
- Which hazards are of greatest concern?
- What is the source of those hazards and what issues are associated with them?
- When was the last occurrence of the hazard and did a disaster occur?
- How much disruption and/or what effects have it had on the community.
- A Hazard Assessment should include both manmade hazards (i.e. hazardous materials) and natural hazards (i.e. flooding).

One of the best ways of looking at your hazard threat is to use a map and draw on it the areas where you have had reoccurring or severe hazards in the past. Note when issues with these hazard have occurred and then reference these locations, how often, and how severe incidents are relating to these hazards. Below are some examples:

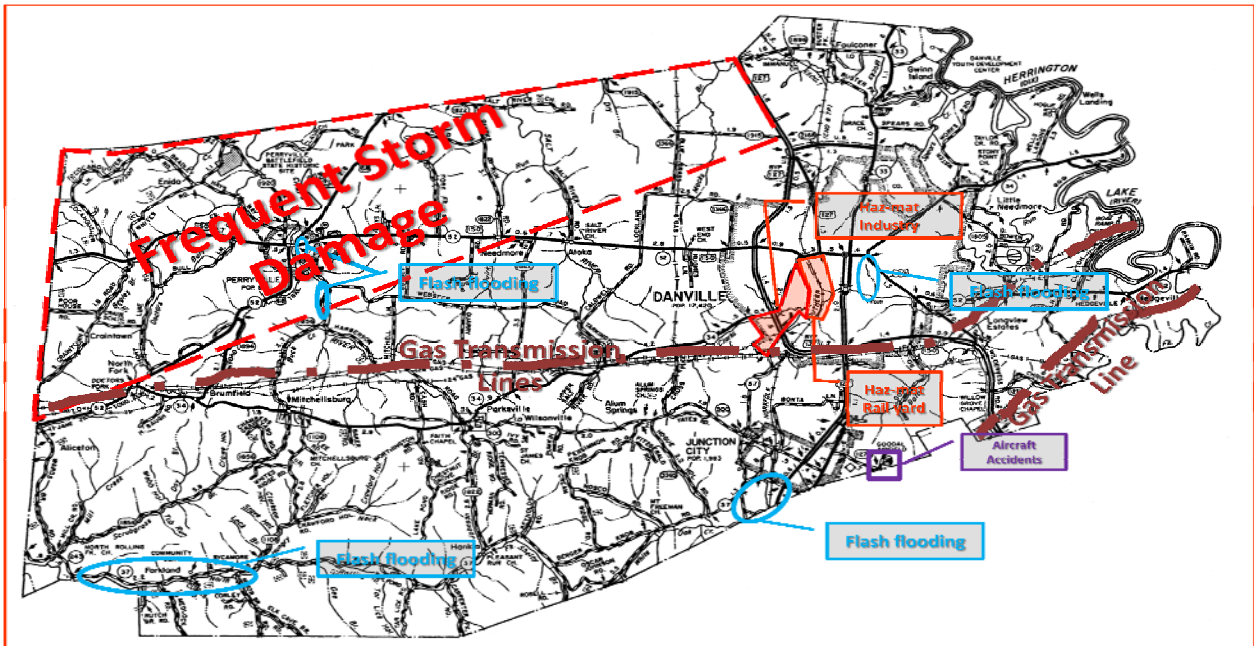


Figure 9: Sample of a Hazard Assessment Map

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Direction and Control

The Direction and Control section describes how a community is organized, where the community organizes, and the divisions of power (political organization) during a disaster.

Emergency Management Organization

The Emergency Management Organization is not how the local Emergency Management Agency is organized, but instead how all the agencies, groups, and organizations involved in disaster operations fit within the larger community Emergency Management Organization. This section should parallel your EOC organization chart. There are various ways to organize as a community during disaster. Following are examples organizational systems:

Figure 10: ICS with ESF under a Liaison

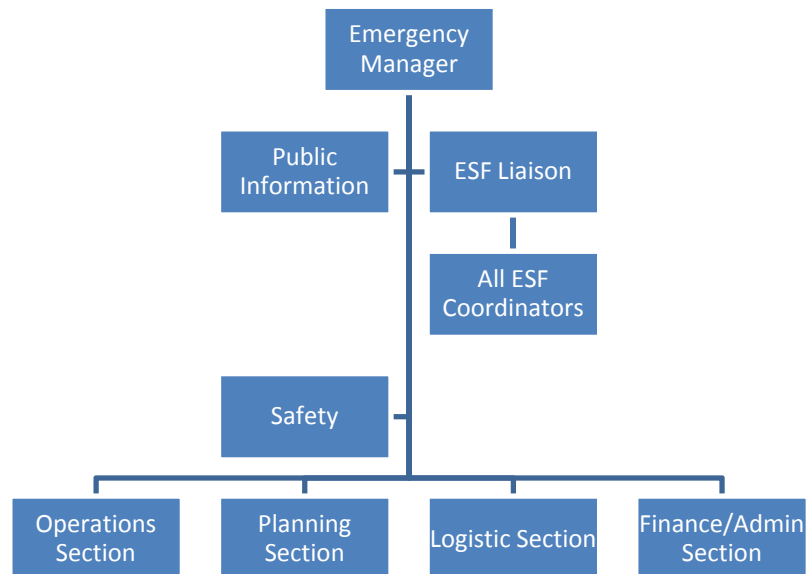


Figure 11: ICS with ESF Integrated

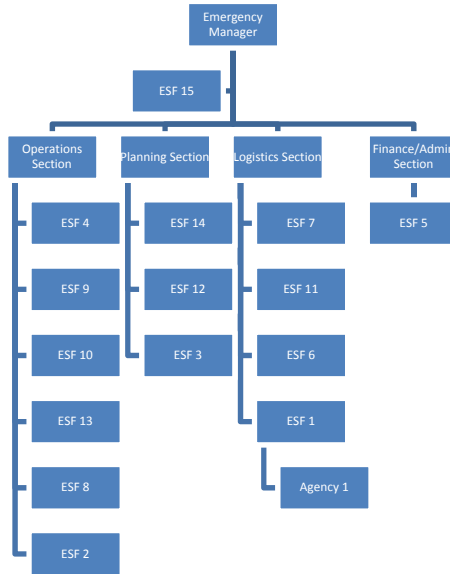
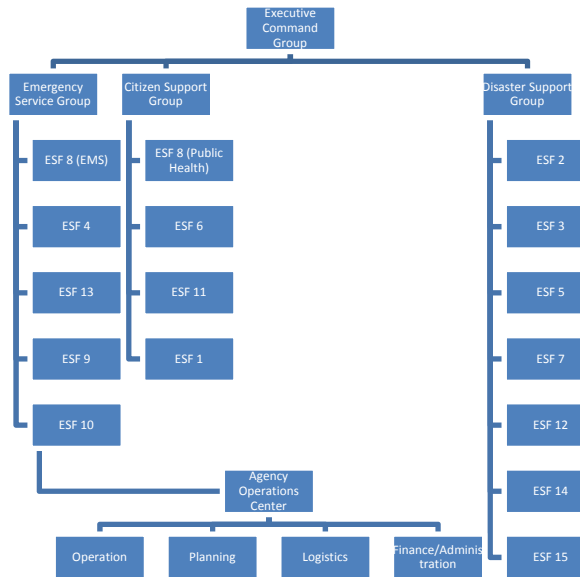


Figure 12: Multi-Agency Coordination Center Base on Functional Groups



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No matter what kind of organizational structure you employ, there are basics that must be included to describe the organizational relationships and how groups or people operate within this structure. This is known as a Concept of Operations. The Concept of Operations should include the following information:

- Who is in charge of or lead overall operations?
- What is the organizational relationship between groups/sections/people?
- How do they work together, or what is their focal point?
- What are the roles and responsibilities of each group/section/people?

Summation of Emergency Support Functions

As part of the Emergency Management Organization section of the Basic Plan, a brief overview of the roles and responsibilities of the ESFs should be give. This overview generally describes their job function.

Political Organization

The Political Organization section generally describes the “Division of Powers” between Chief Elected Officials. This seeks to say primarily responsible for what jurisdictions (i.e. Mayor = City, CJE = County) and how they will work together in a disaster to support one another as a community. It also attempts to show who has primary responsibility for setting policy and priorities for jurisdictions.

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Step by Step Basic Plan

Step 1 – Form the Core Planning Team

The Core Planning Team (*as discussed in General Planning Guidelines – Developing a Planning Team: Organizing the Planning Team*) should be made-up of the 5-7 major groups and agencies involved in the disaster response. Examples of members of this team are major Fire Departments, Sherriff's Office, Public Health, Emergency Management, Road Department, representatives from the County Judge Executive's or Mayor's Office, major water and/or power provider, major Business Leaders, and major Volunteer Organization(s).

Role of the Core Planning Team in Basic Plan Development

The role of the Core Planning Team in the development of the Basic Plan is as a sounding board. The Planner should present draft information for the Basic Plan to the Team and obtain feedback on direction and focus. The Planner should also seek to obtain additional supporting information on effects of hazards on the community and confirm that the hazard matrix developed by the Planner is accurate.

Information to be provided to the Core Planning Team by the Planner

The following information should be provided to the Core Planning Team:

1. Hazard Assessment
2. Hazard Matrix and Map
3. Demographic Information
4. Community Resources
5. General Assumptions

(This information should be taken from the County Basic Plan Worksheet)

Planner may wish to obtain feedback on Mission Statement and Direction & Control portions of the plan, but in many cases, these items are already fixed by program or political situation.

Step 2 – Develop a Mission Statement

Tips for Mission Statement Development

- The mission statement should be developed with input from the County Judge Executive.
- Write in the positive and active voice.

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- Make it simple; with no more than three short paragraphs; using simple grammar and everyday words.
- Focus on measurable and tangible goals.
- Use history and traditions to focus the statement.
- Write within the bounds of what your community has or is able to accomplish.
- Do not write to exceed the community's strengths or weaknesses.

(See: Developing the Basic Plan – Mission Statement: Creating a Mission Statement for further guidance.)

Placement of the Mission Statement Section

It is recommended that the Mission Statement be the very first section of the Basic Plan. Regardless of the placement, this section should be labeled in a manner that clearly identifies the section (i.e. Mission, Mission Statement, etc).

Step 3 – Community Description Section

Describe the Community through Its Demographics

Remember to use the latest available census data or projections in your plan. The basic community demographics that must be referenced to are, but not limited to:

- Population
 - Overall County Population
 - Population of Incorporated Cities and/or Towns
 - Rural Population (this may be expressed as a percentage or physical number)
 - Urban Population (this may be expressed as a percentage or physical number)
 - Functional Needs Populations
 - Elderly
 - Disabled
 - Limited English Speaking
 - Institutional Populations
 - Hospitals
 - Nursing homes and Assisted Living
 - Colleges and Boarding Schools
 - Incarcerated (local jails or state prison)
- Housing
 - Total number of Housing Units (includes Apartments and Individual Dwellings)

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- Rentals (this may be expressed as a percentage or physical number)
- Owner-occupied (this maybe expressed as a percentage or physical number)
- Average Household Size
- Heating Types
 - Electric
 - LP
 - Kerosene
 - Natural Gas
- Utilities
 - Water Customers (by provider)
 - Power Customers (by provider)
 - Sewer Customers (by provider)
- High Occupancy Structures

(See: *Developing the Basic Plan – Community Description*)

Community Resources

The following assets should be describe, but not limited to:

- Community Fire Protection Assets
- Community Law Enforcement Assets
- Community Medical Assets
- Community Shelter Assets
- Community Public Works Assets
- Community Communications Assets

Tips for descriptions of Community Resources:

- Do not use equipment or vehicle list to describe the asset.
- Describe the capabilities they have? What can they do?
- What are the limits of their capabilities?
- Do they have a special capability?

Placement of the Community Description Section

It is recommended that the Community Description be the second section of the Basic Plan. Regardless of the placement, this section should be labeled in a manner that clearly identifies the section (i.e. Community Description, Demographics & Resources, etc...).

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Step 4 – Hazard Assessment Section

Using the County Basic Plan Worksheet, list all natural and man-made hazards that could cause disaster in the community. After listing all hazards to the community, complete the hazard matrix section of the worksheet. Mark the hazards on a county map to develop the County Hazard Map.

General Listing of Hazards

List all hazards from County Basic Plan Worksheet along with likelihood of occurrence and impact to the community as you have ranked them in the hazard matrix. It is recommended that Planners insert the hazard matrix into this section or develop a table listing the top three hazards.

Describe the Hazard

It is recommended that all hazards listed in the hazard matrix have an assessment completed on them as described in *Developing the Basic Plan – Hazard Assessment* section. At a minimum, the top three hazards should be assessed in this manner.

Placement of the Hazard Assessment Section

It is recommended that the Hazard Assessment be the third section of the Basic Plan. Regardless of the placement, this section should be labeled in a manner that clearly identifies the section (i.e. Hazards, Hazard Assessment, etc...).

Step 5 – Situational Assessment Section

List non-hazard specific related limitations placed on the community as described in *Developing the Basic Plan – Situational Assessment* of the Handbook.

Placement of the Situational Assessment Section

It is recommended that the Situational Assessment be the fourth section of the Basic Plan. Regardless of the placement, this section should be labeled in a manner that clearly identifies the section (i.e. Situations, Situational Assessment, etc...).

Step 6 – Planning Assumptions Section

(See: *Developing the Basic Plan – General Assumptions* for further guidance.)

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General Assumptions

Under the General Assumptions, the following should be addressed:

- Assumptions based on historical reaction of the community to disasters
- Assumptions based on how community agencies and organizations will respond
- Assumptions based on how the community operates during a disaster
- Assumptions on how the community will make efforts to mitigate and warn impending disaster
- Assumptions based on local and state laws, divisions of power, regulations, or longstanding policies
- Assumptions based on Hazard Assessment
- Assumptions based on Community Demographics

Placement of the Planning Assumptions Section

It is recommended that the Planning Assumptions be the fifth section of the Basic Plan. Regardless of the placement, this section should be labeled in a manner that clearly identifies the section (i.e. Assumptions, Plan Assumption, etc...).

Step 7 – Direction and Control Section

(See: Developing the Basic Plan – Direction and Control for further guidance.)

Political Organization

This sub-section should address jurisdictional leadership and division of powers among Chief Elected Officials. It should also discuss how jurisdictions would cooperate and collaborate in disasters for the betterment of the community

This Political Organization section may be described in a graphical hierarchy chart. However, a straightforward paragraph to sufficiently describing the jurisdictional relationships will fulfill the requirements of this section.

Emergency Management Organization

This sub-section should address the organization of the community in a disaster (likely the Emergency Operations Center organization).

It is highly recommended that the Emergency Management Organization be fulfilled by an organization chart showing the relationship and management structure during a disaster.

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Summation of Emergency Support Functions

This sub-section should provide a general description of the roles and responsibilities of the ESFs.

Placement of the Direction and Control Section

It is recommended that Direction and Control be the sixth and final section of the Basic Plan. Regardless of the placement, this section should be labeled in a manner that clearly identifies the section (i.e. Direction, Command and Control, Direction and Control, etc...)

KyEM Basic Plan Worksheet

A County Basic Plan worksheet and Basic Plan template are available at <http://www.kyem.ky.gov/planning/basicplanning> help prepare your basic Plan.

The next page has an example KyEM Basic Plan worksheet.

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County Basic Plan Worksheet

SECTION 1: MISSION STATEMENT		
SECTION 2: COMMUNITY DESCRIPTION		
Population Total County: Non-Incorporated: City of _____: City of _____: City of _____: Rural %: Urban %:	Housing Units Total: Owned: Rental: Owner Occupied: Average household size:	Institutionalized Hospitals: Nursing/Asst'd Living: Schools: Incarcerated: Other:
Medical Facilities Hospita: Hoospita: Urgent Treatment: Urgent Treatment: Critical Care: Critical Care:	Special Needs Population Elderly: Disabled: Non/Limited English Speaking: Other:	Household Heating Source Electric: Natural Gas: Propane: Kerosene: Wood Other:
Household Water Service Water District 1: Water District 2: Water District 3: Water District 4: Water District 5:	Household Electrical Service Electrical Provider 1: Electrical Provider 2: Electrical Provider 3: Electrical Provider 4: Electrical Provider 5:	Household Sewer Service Sewer District 1: Sewer District 2: Sewer District 3: Sewer District 4: Sewer District 5:
Fire Departments FD 1: FD 2: FD 3: FD 4: FD 5: FD 6: FD 7: FD 8:	Law Enforcement Entities Sheriff: City of _____ City of _____ City of _____ Constable:	Transportation Entities County: City of _____ City of _____ City of _____ Public Transit: School Board: Other:
High Occupancy Structures HOS 1: _____ HOS 2: _____ HOS 3: _____ HOS 4: _____ HOS 5: _____ HOS 6: _____ HOS 7: _____ HOS 8: _____ HOS 9: _____	Shelters Personnel: _____ Functional Needs: _____ Personnel: _____ Functional Needs: _____ Personnel: _____ Functional Needs: _____ Personnel: _____ Functional Needs: _____ Personnel: _____ Personnel: _____ Pets: _____ Personnel: _____ Pets: _____ Personnel: _____ Pets: _____	
Unique Facilities Airport: Tier 2: Tier 2: Tier 2: CBRNE: Military: Other:	Notes:	

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SECTION 3: HAZARD ASSESSMENT		
Hazard	Significance Ranking	Possibility of Occurrence
Natural	{Choose from Severe, Moderate, Limited}	{Choose from Low, Medium, High}
Hurricane		
Tornado		
Severe Weather		
Wildfire		
Fire		
Earthquake		
Flood		
Draught		
Landslide		
Sinkhole		
Other		
Human-Caused	{Choose from Severe, Moderate, Limited}	{Choose from Low, Medium, High}
Terrorism		
Criminal Activity		
Pandemic		
Mass Casualty		
Civil Unrest		
Chemical Incident		
Biological Incident		
Explosive Incident		
Radiological Incident		
Nuclear Incident		
Communications Failure		
Infrastructure Failure		
Power/Utility Failure		
Other		
Notes:		
SECTION 4: SITUATIONAL ASSESSMENT		
SECTION 5: ASSUMPTIONS		
ASUMP 1:		
ASUMP 2:		
ASUMP 3:		
ASUMP 4:		
ASUMP 5:		
ASUMP 6:		
ASUMP 7:		
ASUMP 8:		
ASUMP 9:		
ASUMP 10:		
ASUMP 11:		
ASUMP 12:		
ASUMP 13:		
ASUMP 14:		
ASUMP 15:		
Notes:		

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County Basic Plan Worksheet

SECTION 6: DIRECTION & CONTROL

Political Organization

Emergency Operations Center Organization

Notes:

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