



Kentucky Emergency Management Planning Guide 1 2015

**THE BASIC GUIDE TO DEVELOPING
EMERGENCY OPERATIONS PLANS**

THIS PAGE INTENTIONALLY LEFT BLANK

KYEM Planning Guide 1

TABLE OF CONTENTS

Introduction	5
General Planning Guidelines	6
Recommended Training for Planners	6
National Incident Management System/Incident Command System	6
Basic Planning Knowledge and Understanding	6
Advanced Planning Knowledge and Understanding	7
What is Emergency Planning	8
The Planning Process	10
Step 1: Form a Planning Team	11
Organizing the Planning Team	12
Planning Meetings	14
Step 2: Conducting Research	16
Step 4: Determine Goals and Objectives	20
Step 5: Develop and Analyze Courses of Action, Identify Resources	22
Step 6: Write the Plan	24
Step 7: Approve and Implement the Plan.....	25
Step 8: Exercise the Plan and Evaluate its Effectiveness	25
Step 9: Review, Revise, and Maintain the Plan	27
How to Get the Most Out of the Emergency Operations Plan	28
Using the Plan in Preparedness Activities.....	28
Your Plan and Emergency Training	28
Your Plan and Public Education	28
Your Plan and Exercises	29
Using Plans with Mitigation	30
Using your Plans to Improve Response Capabilities	31
Using your Plans to Improve Community Resiliency	31
Using Plans in Emergency Operations	32
The Basic Plan and Emergency Operations	32
Emergency Support Functions and Emergency Operations	33
The specifics of writing Emergency Support Functions can be found in Kentucky Emergency Management Planning Guide 3 (2015) <i>How to Write Emergency Support Functions</i>	34
Support Plans and Emergency Operations.....	34
Incident Specific Plans and Emergency Operations	35

KYEM Planning Guide 1

Summary of Using Plans in you Emergency Management Program	35
Emergency Operation Plan Administration.....	36
Submitting the EOP for Concurrence.....	36
Submitting EOP Revisions and Updates.....	37
Annual EOP Review Notification and Concurrence	38
Emergency Resource List (ERL) Revisions and Updates	39
Joint County Plans (TBD).....	40

Introduction

This Planning Guide gives the beginning planner the fundamentals of emergency Planning and provides guidance on the plan submittal, concurrence and update process. This Guide is Part 1 of a 5 part series of Planning Guides developed by KYEM to assist planners across the Commonwealth with their emergency planning needs. The other Guides in this series are:

- Kentucky Emergency Management Planning Guide 2 (2015) *How to Write the Basic Plan*
- Kentucky Emergency Management Planning Guide 3 (2015) *How to Write Emergency Support Functions*
- Kentucky Emergency Management Planning Guide 4 (2015) *How to Write Incident Specific and Support Plans using the Active Planning Process*
- Kentucky Emergency Management Planning Guide 5 (2015) *The Emergency Resource List*

General Planning Guidelines

This section addresses recommended training, describes what emergency planning is; details the planning process including the development and writing of the plans, and outlines how the communities adopt the plan.

Recommended Training for Planners

For Planners and/or Local Emergency Managers and those involved in emergency planning, the following Federal Emergency Management Agency (FEMA) Independent Study (IS) classes are recommended.

National Incident Management System/Incident Command System

- IS-100.a Introduction to Incident Command System
- IS-200.a ICS for Single Resources and Initial Action Incidents
- IS-700.a NIMS An Introduction
- IS-701.a NIMS Multiagency Coordination System (MACS) Course
- IS-800.b National Response Framework, An Introduction

Basic Planning Knowledge and Understanding

- IS-1 Emergency Manager: An Orientation to the Position
- IS-10.a Animals in Disasters: Awareness and Preparedness
- IS-11 Animals in Disaster, Module B: Community Planning
- IS-197.EM Functional Needs Planning Considerations for Emergency Management
- IS-235 Emergency Planning
- IS-241 Decision Making and Problem Solving
- IS-242 Effective Communication
- IS-271 Anticipating Hazardous Weather & Community Risk
- IS-366 Planning for the Needs of Children in Disasters
- IS-546.a Continuity of Operations Awareness Course
- IS-775 EOC Management and Operations

Advanced Planning Knowledge and Understanding

- IS-26 Guide to Points of Distribution
- IS-111 Livestock in Disasters
- IS-120.a An Introduction to Exercises
- IS-130 Exercise Evaluation and Improvement Planning
- IS-197.SP Functional Needs Planning: Considerations for Service and Support Providers
- IS-288 The Role of Voluntary Agencies in Emergency Management
- IS-547.a Introduction to Continuity of Operations
- IS-805 Emergency Management
- IS-403 Introduction to Individual Assistance (IA)
- IS-634 Introduction to FEMA's Public Assistance Program
- ICS-300 Intermediate Incident Command System¹
- ICS-400 Advanced Incident Command System¹



Figure 1: Training will help planners have a common frame of reference when talking to the planning team.

¹ ICS 300/400 are classroom courses, not independent study courses.

What is Emergency Planning

- **Planning helps answer some of the “what ifs”.** Planning provides an opportunity for a community to walk through the potential impacts of various hazards based on reasonable “what if” scenarios. Care must be taken that this does not turn into a discussion of the absurd; the real hazards are usually bad enough; but it is good to take some of the hazards and walk through a scenario, or two, that represent what might happen. This type of planning lets leaders look at the potential costs and impacts of very complex and hazardous situations.

- **Emergency Planning address all hazards.** By addressing all hazards through the planning process, a community can identify those tasks, objectives, and goals that are common to all hazards, and do not need to be constantly repeated throughout the plans. There are many reasons to evacuate (flood, tornado, ice storm, hazardous material release), but evacuation in each case relies on a common set of rules; no need to have separate plans for each hazard with repetitious evacuation procedures. All-hazard planning will ensure that when a community plans for emergency functions, common tasks are identified early on, along with identifying who is responsible for accomplishing those tasks.

- **Emergency planning builds upon experience.** Part of the planning process is to evaluate After Action Reviews (AAR) from previous incidents and examine plans from similar communities. By studying existing emergency or contingency plans, planners can:

- Determine applicable authorities and statutes
- Gain insight into community risk perceptions
- Identify organizational arrangements used in the past
- Establish mutual aid agreements with other jurisdictions or Joint County
- Learn how some planning issues were resolved in the past

- **Planning helps to define the roles and responsibilities of agencies, groups, and organizations involved in potential incidents.** The planning process may be used to identify who is responsible for what. Every agency in the planning process has a primary role and a supporting role – these roles must be identified and agreed to during this process, so the overall plan clearly reflects the capabilities of the community. Any roles un-assigned must be matched to a mutual aid agreement, or identified as a responsibility of the state or federal partners.

KYEM Planning Guide 1

• **Planning involves all partners.** Just as a coordinated emergency response depends on teamwork, good emergency planning requires a team effort. The most realistic and complete plans are prepared by a team that includes representatives from each department, agencies, private sector, and nongovernmental organizations (NGOs) that will have to execute the plan. When the plan is developed collaboratively with the individuals and organizations assigned tasks in it, the more likely these parties are to accept and use it.

• **Planning needs to include senior elected officials throughout the development process.** Potential planning team members have many day to-day concerns. For a team to come together, potential members must be convinced that emergency planning has a higher priority. Local, county, and state decision makers must be involved to help maintain perspective in the planning process. Direct involvement by decision makers helps keep the planning process within a reasonable period, reminds the planning members of real world fiscal and administrative constraints, and makes sure that the results are within applicable laws and regulations.

• **Planning helps guide preparedness activities.** Planning will establish, based on the given hazard, specific tasks that need to be accomplished, objectives that need to be reached, and general goals that must be met. These tasks, objectives, and goals are the starting point for exercising the plan and establishing what capabilities the jurisdiction has, what capabilities can be developed, and what capabilities are going to require state or federal support. A capability is a set of skills needed to successfully prepare for, respond to and recover from an event. Identifying what your community is not capable of doing is as important as identifying what it can do.

In the end, planning is fundamentally a risk management tool intended to help identify potential hazards, assess the ability of the community to manage the hazards, and a formal method for identifying the gap between required capability and actual capability.

The Planning Process

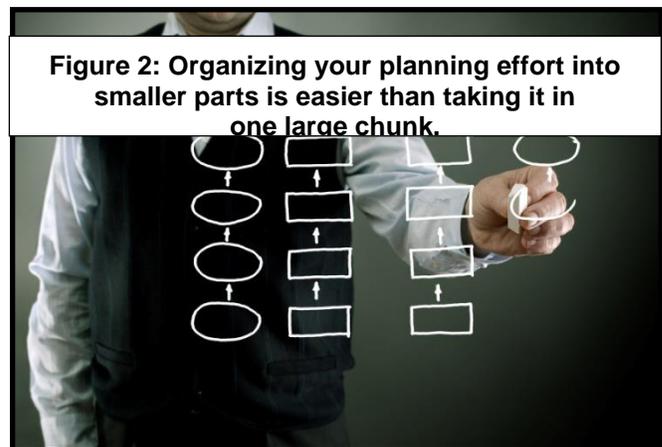
The planning process is used to:

- Identify the right people to involve in developing the plan
- Research and analyze the community's hazards
- Determine the best way to respond to those hazards
- Ensure political and programmatic understanding of the plan through integrating the plan into a unified cycle of planning, training, exercising, reviewing, revision, and maintenance.

Regardless of size or complexity, any community can use the nine basic steps outlined below to produce a useable plan for preparing for, responding to, and recovering from natural and man-made disasters.

The nine basic planning steps are:

1. Form a planning team
2. Conduct research
3. Analyze the information
4. Determine goals and objectives
5. Develop and analyze courses of action, identify resources
6. Write the plan
7. Approve and implement the plan
8. Exercise the plan and evaluate its effectiveness
9. Review, revise, and maintain the plan



KYEM Planning Guide 1

Step 1: Form a Planning Team

When forming a Planning Team, it is important to select personnel who can adequately represent their respective agencies as potential decision makers and are empowered to speak for senior members of their organization. The best planning team is the same team that is going to implement the plan in the county Emergency Operations Center (EOC) on the day of the incident.

In most counties, the planning team will be made up of representatives taken from the Disaster and Emergency Services organization; as required by KRS 39B.050 Local Disaster and Emergency Services Organization -- Membership – Responsibility; that exists to support emergency response activities in the County. At a minimum the following positions and agencies should be represented on the general planning team:

- Representatives of County and Local Government(s)
- Representatives from Fire, Police, EMS and other first responder support agencies
- The Local or Joint County Emergency Management Director; who should also be the Group Leader or Group Facilitator
- A representative of the local emergency volunteer organizations
- A representative of the private sector businesses within the County

As a management tool, the primary members of the Planning Team can be organized as Emergency Support Functions (ESFs), with the primary ESF coordinating and support agencies represented on the team (see examples below):

- ESF # 1 – Transportation: School District Transportation Supervisor
- ESF # 4 – Fire Response: Fire Chief’s Representative
- ESF # 5 – Emergency Management: Emergency Manager Representative
- ESF # 8 – Public Health and Medical Services: Local/Regional Health Department Representative
- ESF # 13 – Public Safety (Law Enforcement): Local Police Chief’s Representative

After organizing, the Planning Team will implement the remaining steps of the Planning Process.

Organizing the Planning Team

Organizing the Planning Team is essential to effectively developing emergency plans. It is recommended that agencies, organizations, and groups involved in disasters be organized into smaller teams, with a small Core Planning Team of key organization leaders at its heart and the remaining agencies, organizations and groups arranged in Functional Planning Teams (see Figure 3).

Community Planning Team



Figure 3: Planning Team Wire Diagram

The Core Planning Team

The Core Planning Team is a group of 5 to 7 individuals representing the “core” group of agencies involved in disaster response. While all local departments, offices, agencies, or groups should be involved in planning, the Core Planning Team involves those likely to be involved in majority of, if not all responses. This generally includes:

- Local government representative

KYEM Planning Guide 1

- The Chief of the largest Local Fire Department (ESF 4)
- The Sheriff or City Police Chief (ESF 13)
- Director of Public Health or Local Health Department (ESF 8)
- Director of Emergency Management (ESF 5)
- Director of Public Works or Road Department (ESF 3)
- Representative of a the largest local utility provider (Water or Power) (ESF 12)
- Representative of the largest local Volunteer Organization Active in Disaster (VOAD) (ESF 6)

The Role of the Core Planning Team

- Provide information towards the creation of the overall Basic Plan to prepare a draft Basic Plan.
- Provide answers to questions about the overall community for the Basic Plan.
- Provide information on roles and responsibilities for all of the ESFs.
- Identify and develop basic community wide Standard Operating Guidelines to support the Basic Plan.
- Provide information about resources, capabilities, threats, and risks to the community.
- Provide information and feedback on how to integrate individual agencies, groups, or organizations response, into an integrated community response.



Figure 4: A community's or Regional response to a disaster is made stronger if all involved have got their hand on the ball.

The Functional Planning Teams

Functional Planning Teams include all agencies, organizations, and groups involved in disasters. These agencies are organized into 3 to 4 functional teams. These teams are made-up of common or complementary ESFs. Below are examples of a Functional Planning Team organization:

- Emergency Services Planning Team: Includes agencies involved in firefighting, law enforcement, search & rescue, hazardous materials, and emergency medical.
- Citizen Support Planning Team: Includes agencies, groups, organizations, and businesses involved in mass care, agriculture, public health, and transportation.
- Disaster Support Planning Team: Includes agencies, groups, organizations, and businesses involved in emergency management, resource support, public works, power, communications, long-term recovery, and public information.

Role of the Functional Planning Teams

- Review the Basic Plan developed by the Core Planning Team
- Provide insights and recommendations for improvement of ESFs
- Integrate additional perspectives and provide clarity to roles and responsibilities of their respective ESFs
- Look for ways to provide cross-disciplinary support to other ESFs

Regardless of the method or organizational structure used, the process of forming and working as a Planning Group is crucial in creating a usable plan for any community.

Planning Meetings

Planners must persuade leaders and/or their designees to take an active interest in emergency planning. Although scheduling meetings with many participants may prove difficult, it is critical that everyone participates in the planning process and takes ownership of the plan. This can be accomplished by involving leaders and managers from the beginning. Their expertise and knowledge of their organizations' resources are crucial to developing a plan that considers the entire jurisdiction's needs and the resources that are available in an emergency.

A community benefits from the active participation of all stakeholders. Some tips for gathering the team together include the following:

Plan Ahead

The planning team should receive plenty of notice about when and where the planning meeting will be held. If time permits, the team members can be surveyed to identify the time(s) and place(s) that will work for the group.

Provide information about team expectations

Planners should explain why participating on the planning team is important to the participants' agency and to the community itself, showing the participants how their contributions will lead to a more effective emergency response. In addition, budget and other project management concerns should be outlined early in the process.

Ask the County/Judge Executive (CJE) to sign the meeting announcement

A directive from the executive office will carry the authority of the CJE and send a clear signal that the participants are expected to attend and that emergency planning is important to the community.

Allow flexibility in scheduling after the first meeting.

Not all team members will need to attend all meetings. In some cases, task forces or subcommittees can complete the work. When the planning team chooses to use this option, it should provide project guidance (e.g., timeframes and milestones) but let the subcommittee members determine when it is most convenient to meet.

Social Media Helps Keep Everyone on the Same Page

In order to let everyone know what happened in the last meeting and let everyone know what is going to happen at the next meeting, a social media site such as FaceBook can be used. Allow teams to post their progress and to organize cross-coordination between planning teams. New and emerging technologies such as this can be used to facilitate better and more inclusive planning efforts.

Summary

The key to planning as a group is to allow open and honest discussion during the process. Individual group members must be encouraged to express objections or doubts. If a planner disagrees with a proposed solution, that planner must identify what needs to be fixed and provide recommended solutions.

KYEM Planning Guide 1

Step 2: Conducting Research

Gathering information about the jurisdiction's planning framework, potential hazards, resource base, and geographic characteristics that could affect emergency operations is the first step of research. Planners need two types of information: facts and assumptions.

Facts are articles or items that can be shown to be true, to exist, or to have happened.

Assumptions are something that is believed to be true without proof. Something that can exist, could be true or is believed could happen. An event or situation that could occur in a specific location.

A variety of information is available to planners. The Resource Typing List along with other documents can help define response issues, roles, and tasks.

The County/Joint County Hazard Mitigation Plan is available to each county in Kentucky and lists the most likely hazards to threaten the county and its communities. Also available are hazard maps in compilations of hazard information made by FEMA and State emergency management agencies, the U.S. Geological Survey (USGS) and State geological surveys, the National Weather Service (NWS), and its local offices. For more localized hazards, maps from the National Flood Insurance Program (NFIP), maps of hazardous materials (HAZMAT TAB Q-7 Plans) sites prepared by Local Emergency Planning Committee (LEPC) may be useful.

The planning team should also make extensive use of the information about the jurisdiction that both government and nongovernment organizations develop for their own purposes. For example, the local planning and zoning commission or department may have extensive demographic, land use, building stock, similar data. The tax assessor, property valuation administration, and/or local realtors' association can often provide information on the numbers, types, and values of buildings. Building inspection offices maintain data on the structural integrity of buildings, codes in effect at time of construction, and the hazard effects that a code addresses. Local public works, road departments, engineering departments, and utilities are sources for information on potential damage to and restoration time for the critical infrastructures threatened by hazard effects. The Chamber of Commerce may offer a perspective on damage to businesses and general economic loss. Other sources of information such

KYEM Planning Guide 1

as emergency service logs and reports, universities, professional associations, etc. may also apply.

It is also important to involve civic leaders, members of the public, and representatives of community-based organizations in the planning process. They may serve as an important resource for validating assumptions about public needs, capabilities, and reactions. Since many planning assumptions and response activities will directly affect the public-at-large, it is critical to involve these representatives during the planning phase but also to ensure their inclusion during validation and implementation. Potential roles include support to planning teams, public outreach, and establishing Community Emergency Response Teams (CERTs).

The second step of research is organizing the information in a way that it is usable by the planning team. Each hazard can be described using the eight disaster descriptions listed:

1. Probability: What is the chance of the hazard happening and how often will it happen
2. Magnitude: How intense will the hazard strike the jurisdiction
3. Intensity/Severity: The impact or damage expected
4. Warning Time: How much time will you have to warn citizens to take appropriate actions
5. Location of the Event: Where is the hazard most likely to hit
6. Size: Potential size of the disaster area
7. Speed of Onset: How fast the hazard develops and impacts the public, and
8. Duration: How long the hazard will be active

Each hazard in the County or Joint County Mitigation Plan can be measured using these eight hazard descriptions.

Step 3: Analyze the Information

Hazard analysis is the basis for infrastructure mitigation efforts and EOP development. From an emergency planning perspective, hazard analysis helps a planning team decide what hazards merit special attention, what actions must be planned for, and what resources are likely to be needed.

FEMA Publication 6-2, *Understanding Your Risks: Identifying Hazards and Estimating Loss*, provides a detailed method for conducting hazard and risk assessments for many hazards. Planners can also obtain the Hazards U.S. Multi-Hazard (HAZUS-MH) model from FEMA. HAZUS-MH is a nationally applicable and standardized methodology and software program that estimates potential losses from earthquakes, floods, and hurricane winds. In addition, DHS has several resources available for the analysis of human caused events, primarily terrorism. These resources include the *National Planning*

Scenarios, *Fusion Center Technical Assistance*, and *Transit Risk Assessment Module/Maritime Assessment Strategy Toolkit*. Hazard analysis requires that the planning team knows the kinds of emergencies that have occurred or could occur in the jurisdiction. The process should begin with a list of the hazards that concern emergency managers in the planners' jurisdiction, developed from research conducted earlier in the planning process. A list of concerns might include those listed in the hazards table that follows.



Figure 5: Analyzing past incidents can provide insight into what a jurisdiction can expect in the future.

KYEM Planning Guide 1

Table 1: Hazard Analysis Matrix

Natural Hazards	Technological Hazards	Human-Caused Hazards
- Avalanche	- Airplane Crash	- Civil Disturbance
- Drought	- Dam Failure / Flash Flood	- School Violence
- Earthquake	- HAZMAT Release	- Terrorist Act
- Epidemic	- Power Failure	- Sabotage
- Flood / Flash Flood	- Radiological Release	- Cyber Attacks
- Hurricane	- Train Derailment	
- Landslide	- Large Disastrous Fire	
- Tornado	- Levee breach	
- Volcanic Eruption		
- Wildfire		
- Winter Storm		

Highlighted areas are identified in the Commonwealth 2014 Threat, Hazard, Identification, Risk, Assessment

Planners must remember that hazard lists pose several problems.

- The possibility that you will intentionally or just plain forget to include certain types of hazards
- Lists tend to give the impression that hazards are distinct events and that two or more cannot be related, when in fact they are often related (for example, an earthquake might give rise to dam failure)
- Lists may group very different causes or sequences of events that require different types of responses under one category. "Flood" might include dam failure, cloudbursts, or heavy rain upstream.
- Lists also may group a whole range of consequences under the category of a single hazard. "Terrorism" could include use of conventional explosives against people or critical infrastructure; nuclear detonation; or release of lethal chemical, biological, or radiological material.

The planning team must evaluate, compare and prioritize risks (likelihood of harm if exposed to a hazard) to determine which hazards merit special attention in planning and other emergency management efforts. This includes considering the frequency of the hazard, likelihood, and severity of its consequences in order to develop a single indicator of the threat. This allows for comparisons and the setting of priorities. Some hazards may pose a threat to the community that are so limited that additional analysis is not necessary.

Step 4: Determine Goals and Objectives

By using information from the hazard profile developed as part of the analysis process, the planning team thinks about how the hazard would evolve in the jurisdiction and what defines a successful response. Starting with a given intensity for the hazard, the team imagines the hazard's development from initial warning (if available) to its impact on the jurisdiction (as identified through analysis) and its generation of specific consequences (e.g., collapsed buildings, loss of critical services or infrastructure, death, injury, or displacement). These scenarios should be realistic and created based on the jurisdiction's hazard and risk data. Planners may use the event or events that have the greatest impact on the jurisdiction (worst case), those that are most likely to occur, or an event constructed from the impacts of a variety of hazards. During this process of building a hazard scenario, the planning team identifies the needs, and determines appropriate response actions and resources. Planners look for hazard, response, and constraint-generated needs and demands.

- Hazard-generated needs and demands are caused by the nature of the hazard. They lead to response functions like public protection, population warning, and search and rescue.
- Response-generated needs and demands are caused by actions taken in response to a hazard-generated problem. These tend to be common to all disasters. An example is the potential need for emergency refueling during a large-scale evacuation. Subsets could include the needs to find a site for refueling, identify a fuel supplier, identify a fuel pumping method, control traffic, and collect stalled vehicles.
- Constraint-generated demands are caused by things planners must do, are prohibited from doing, or are not able to do. The constraint may be caused by a law, regulation, or management directive or by some physical characteristic (e.g., terrain and road networks that make east-west evacuations impossible).

Once the needs and demands are identified, the planning team restates them as goals supported by specific objectives. Written properly, goals tell responding organizations what to accomplish and by when.

Goals are established with each given a statement of what needs to be done in general, such as "the jurisdiction will open shelters in support of victims of tornado strikes". Goals are what personnel and resources are supposed to achieve. They help identify when major elements of the response are complete and when the response is successful.

KYEM Planning Guide 1

Each goal is supported by a specific objective. An objective is an action that responders must complete to help achieve the defined goal, such as “contact the pre-identified shelter managers for each part of the jurisdiction that requires shelters within one (1) hour of being notified that a tornado has touched down”.

Objectives are more specific and identifiable actions carried out during an incident.

They lead to achieving response goals. Objectives are the things that personnel have to accomplish, actions that translate into activities, implementing procedures, or operating procedures. As goals and objectives are set, planners may identify more needs and demands.

Figure 6: Planning will identify specific actions needed to stabilize incidents more quickly.



Step 5: Develop and Analyze Courses of Action, Identify Resources

This step is a process of generating and comparing possible solutions for achieving the goals and objectives identified in Step 4. The same scenarios used during problem identification are used to develop potential courses of action. Planners consider the needs and demands, goals, and objectives to develop several response alternatives. At least two options should always be considered. Although developing only one solution may speed the planning process, it will most likely provide an inappropriate response, leading to more damaging effects on the affected population or environment.

The process of developing courses of action is often referred to as either game planning or war gaming. It combines aspects of scenario-based, functional, and capabilities-based planning. At its core, game planning is a form of brainstorming. It depicts how the response unfolds by using a process of building relationships among the hazard action, decision points, and response actions. Game planning helps planners determine what tasks occur immediately at event initiation, tasks that are more mid-event focused, and tasks that affect long-term operations. The planning team should work through this process by using tools that help members visualize response flow, such as a white board, “yellow sticky chart,” or some type of project management or special planning software. Game planning follows these steps:

1. Establish the timeline. The timeline is most often determined by the speed of hazard onset. The timeline may also change by phases. For example, a hurricane’s speed of onset is typically days, while a major HAZMAT incident’s speed of onset is minutes. The timeline for a hurricane might be in hours and days, particularly during the pre- and post-impact phases. The timeline for the HAZMAT incident would most likely be in minutes and hours.
2. Depict the scenario. Planners use the scenario information developed in Step 4 (Determine Goals and Objectives) and place the hazard information on the time line.
3. Identify and depict decision points. Decision points indicate the place in time, as hazard events unfold, when leaders anticipate making decisions required to provide the best chance of achieving an intermediate objective or response goal (the desired end state). They also help planners determine how much time is available or needed to complete a sequence of actions.
4. Identify and depict response actions. For each response action depicted, some basic information is needed. Developing this information during game planning helps planners incorporate the task into the plan when they are writing it. A response action is correctly identified when planners can answer the following questions about it:

KYEM Planning Guide 1

- What is the action?
 - Who does it?
 - When do they do it?
 - How long does it take/how much time is actually available to do it?
 - What has to happen before it?
 - What happens after it?
 - What resources does it need?
 - Use the SMART Principle:
 1. Specific
 2. Measurable
 3. Attainable
 4. Realistic
 5. Timely
5. Identify resources. Initially, the planning team identifies resources needed to accomplish response tasks in an unlimited manner. The objective is to identify the resources needed to make the response work. Once the planning team identifies all the needs and demands, they begin matching available resources to requirements. By tracking obligations and assignments, the planning team determines resource shortfalls and develops a list of needs that private suppliers or other jurisdictions might fill. The resource base should also include a list of facilities vital to emergency operations and the list should indicate how individual hazards might affect those facilities. The EOP should account for unsolvable resource shortfalls so they are not just “assumed away.”
6. Identify information needs. Another outcome of the game planning effort is a “list” of the information needs for each of the response participants. Planners need to identify the information they need and the time they need it by to drive decisions and trigger critical actions.
7. Assess progress. When game planning, the process should be periodically stopped so the planning team can:
- Identify progress made
 - Identify goals and objectives met and new needs or demands

KYEM Planning Guide 1

- Identify “single point failures” (i.e., tasks that, if not completed, would cause the response to fall apart)
- Check for gaps
- Check for mismatched organizations
- Check for problems between the jurisdiction’s plan and plans from agencies and or other jurisdictions they are working with

Step 6: Write the Plan

This step turns the results of game planning into an emergency plan. The planning team develops a rough draft of the base plan, emergency support function responsibilities, support plans, and incident specific plans (if needed). The recorded results of the game planning process used in the previous step provide an outline for the rough draft. As the planning team works through successive drafts, they add necessary tables, charts, and other graphics. A final draft is prepared and circulated to organizations that have responsibilities for implementing the plan for their comments.

Following these simple rules for writing plans and procedures will help ensure that readers and users understand their content.

Keep the language simple and clear by writing in plain English. Summarize important information with checklists and visual aids such as maps and flowcharts.

- Avoid using jargon
- Use short sentences and the active voice. Qualifiers and vague words only add to confusion
- Provide enough detail to convey an easily understood concept of operations
- Format the plan and present its content so that its readers can quickly find solutions and options
- Focus on providing mission guidance and not on discussing policy and regulations
- Plans should provide guidance for carrying out common tasks as well as enough insight into intent and vision so that responders can handle unexpected events
- “Stay out of the weeds”. Procedural documents (SOP/SOGs, Policies, and Implementation Procedures) should provide the fine details

KYEM Planning Guide 1

Step 7: Approve and Implement the Plan

The written Plan should be checked for conformity to applicable regulatory requirements and the standards of Federal or State agencies (as appropriate) and for usefulness in practice. Once the Local/County Chief Executive has approved the plan, then the plan is forwarded to the KYEM Area Manager then onto the KYEM Planning Branch for final review and letter of concurrence. The Plan is officially implemented when the Chief Executive's signature and letter of approval are in the current Local/County Emergency Operations Plan.

After the approval and adoption of the plan, the County EM should arrange to print and distribute the Plan. Each jurisdiction should maintain a record of the people and organizations that received a copy (or copies) of the Plan so that updates and changes can be made uniformly.

Step 8: Exercise the Plan and Evaluate its Effectiveness

Exercising the plan and evaluating its effectiveness involves training, using exercises, and evaluating actual events to determine whether the goals, objectives, decisions, actions, and timing outlined in the plan will lead to a successful response. In this way,

homeland security and other emergency preparedness exercise programs (e.g., Homeland Security Exercise and Evaluation Program [HSEEP], and Chemical Stockpile Emergency Preparedness Program [CSEPP]) become an integral part of the planning process. Commonly used criteria can help decision makers determine the effectiveness and efficiency of plans. These measures include adequacy, feasibility, acceptability, completeness, and compliance with guidance or doctrine. Decision makers directly involved in planning can employ these criteria, along with their understanding of plan requirements, not only to determine a plan's effectiveness and efficiency but also to assess risks and define costs. Some types of analysis, such as a determination of acceptability, are largely intuitive. In this case, decision makers apply their experience, judgment, intuition, situational awareness, and discretion. Other analyses, such as a determination of feasibility, should be rigorous and standardized to minimize subjectivity and preclude oversights.



Figure 7: Some issues do not come to light until you actually try to use plans.

- **Adequacy. Does the Plan fit the stated needs?** A plan is adequate if the scope and concept of planned response operations identify and address critical tasks effectively; the plan can accomplish the assigned mission while complying with guidance. In addition, the Plan's assumptions should be valid, reasonable, and comply with guidance.

- **Feasibility. Can the Jurisdiction actually carry out the plan?** When determining a plan's feasibility, planners assess whether their organization can

KYEM Planning Guide 1

accomplish the assigned mission and critical tasks by using available resources within the time contemplated by the plan. They allocate available resources to tasks and track the resources by status (assigned, out of service, etc.). Available resources can include internal assets and those available through mutual aid or through existing State, Regional compact, or Federal assistance agreement, voluntary organizations, and private sector agreements.

• **Acceptability. Does the public and jurisdiction official agree with the costs and time factors presented by the plan? Does it meet all legal/programmatic requirements?** A plan is acceptable if it meets the needs and demands driven by the event, meets decision-maker and public cost and time limitations, and is consistent with the law. The plan can be justified in terms of the cost of resources if its scale is proportional to mission requirements. Planners use both acceptability and feasibility tests to ensure that the mission can be accomplished with available resources, without incurring excessive risk regarding personnel, equipment, material, or time. They can also verify that risk management procedures have identified, assessed, and applied control measures to mitigate operational risk.

• **Completeness. Has the plan considered everything?** Planners must determine if the plan:

1. Incorporates all tasks to be accomplished,
2. Includes all required capabilities,
3. Provides a complete picture of the sequence and scope of the planned response operation (i.e., what should happen, when, and at whose direction),
4. Makes time estimates for achieving objectives, and identifies success criteria and a desired end state.

• **Compliance with Guidance and Doctrine. Does the plan comply with Federal and State program guidance?** The plan needs to comply with guidance and doctrine to the maximum extent possible.

A remedial action process can help a planning team identify, illuminate, and correct problems with the jurisdiction's EOP. This process captures information from exercises, post-disaster critiques, self-assessments, audits, administrative reviews, and the like, which may indicate that deficiencies exist. It then brings members of the planning team together again to discuss the problem and to consider and assign responsibility for generating remedies. Remedial actions may involve revising planning assumptions and operational concepts, changing organizational tasks, or modifying organizational implementing instructions (i.e., the SOPs). Remedial actions also may involve providing refresher training on performing tasks assigned by the EOP to an organization's personnel. The final component of a remedial action process is a mechanism for tracking and following up on the assigned actions. As appropriate, significant issues and problems identified through a remedial action

KYEM Planning Guide 1

process and/or the annual review should provide the information needed to allow the planning team to make necessary revision(s) to the plan.

Step 9: Review, Revise, and Maintain the Plan

This step closes the loop in the planning process. It is really all about adding the information gained in exercises to the research collected in sessions with the planning teams and starting the planning cycle over again. Remember, emergency planning is a continuous process that does not stop when the plan is published. During the year, there are many changes/updates in the plan that maybe listed and approved for use. Some of the changes that could be noted and reported are:

- A change in response resources (policy, personnel, organizational structures, or leadership or management processes, facilities, or equipment, mutual aid agreements),
- A formal update of planning guidance or standards,
- A change in elected officials,
- After Action Review issues reported after an activation of the plan,
- After Action Review issues reported after major exercises,
- A change in the jurisdiction's demographics or hazard profile, or
- New or amended laws or ordinances are enacted

In accordance with Kentucky Administrative Regulation 106 KAR 1:200 (Section 3), planning teams should establish a process for reviewing and revising the County/Joint County EOP by 31 July of each calendar year. All updates and changes should be sent to the KYEM Regional Area Manager by 1 September so the EOP can be forwarded to the KYEM Planning Branch for final review and concurrence.

The planning process is all about stakeholders bringing their strengths to the table to develop and reinforce a jurisdiction's emergency management program. Properly developed, supported, and executed emergency plans are a direct result of an active and evolving program.

How to Get the Most Out of the Emergency Operations Plan

This section discusses the ways in which plans can be used as well as how they function as both operational and programmatic parts of Emergency Management activities.

Using the Plan in Preparedness Activities

Your Emergency Operations Plan is a road map to preparedness activities. Contained within your Plan are information on what to train for, what skills may be needed, and what the community needs to know to be ready in the event of an emergency. The preparedness activities of Emergency Training and Public Education are necessary components of developing communities that are not only ready but also resilient to disaster. Your EOP will allow you to focus efforts on what is most critical for your community.

Your Plan and Emergency Training

Choosing an Audience. Your EOP is designed to organize emergency agencies into groups by common functional areas (ESFs). These functions naturally breakdown into audiences that require not only generalized training, but also function specific training.

Identifying Needed Skills. Your EOP will help you identify both the basic skills needed by all groups and agencies involved in disaster operations, and skills specific to functional groups. The basic skills, like knowledge of the incident command system, provide everyone with a common source of reference or common method of doing larger strategic tasks across the entire community. Function specific skills like Point of Distribution (POD) Training, Power Line Safety, and Special Needs Sheltering are specific to only certain audiences.

Table 2: An example of how an EOP can identify audiences as well as common and function specific training.

Audience	Basic Skill	Function Specific Skill
Mass Care (ESF 6)	Incident Command System	Point of Distribution Training
Firefighting (ESF 4)	Incident Command System	Power Line Safety
Public Health (ESF 8)	Incident Command System	Special Needs Sheltering

As an Emergency Manager, you can easily design a practical and useful training matrix similar to the above table from your EOP. This allows for more focused training activities across the entire disaster response community (Note: Emergency Management training should focus on skills that join the community together, not as a part of an agencies everyday activity).

Your Plan and Public Education

What the Public Needs To Know. Your plan should identify hazards to your community and highlight those that are of greatest concern. This information will allow you to focus your Community's' Public Information and Education Program onto those things that have the greatest potential for creating an adverse impact on the

community. Additionally, your plan helps to identify target audiences from both a geographic and demographic standpoint.

Flash Flooding Issue on Wayne Creek
As the Ranger County Emergency Manager you are concerned about a forecast for heavy rains this weekend on Wayne Creek. Wayne Creek is an identified area of special concern highlighted in your EOP hazard section because of a history of really bad flash flooding. In this section your EOP highlights two specific demographic groups in high concentration, people without a telephone and a Spanish speaking population. You decide that you want to alert this area of a potential for flash flooding problems. From information you have derived from your EOP, you decide to have the Sheriff Department take a flyer door-to-door with the alert in both English and Spanish.

Figure 8: An Example of how information found in an EOP help to focus an educational effort.

Educating the Public to Take Steps to Lessen Impacts from Events.

During a disaster, what the public does can be your greatest asset or liability. From the information in your EOP, you will likely be able to find many issues where if the

Planning Tip
The formation of a group to explore how to bolster the public preparedness against high impact hazards to your community can be used to prepare the public, and to also keep ESF Coordinators connected between disasters.

public did only one or two small things they would dramatically lessen the impact of the disaster on your communities' resources as well as lessen the threat to life.

Looking for real and meaningful action that can be taken by the public before, during, and after the disaster is a surefire way of

improving your community's resiliency. There are many examples of success stories where this has been done in communities for a variety of hazards first identified in EOP type documents. (Example: Having the public know to take shelter when they hear a tornado siren.)

Your Plan and Exercises

Why Exercise Your Emergency Operations Plan?

Exercises give communities the opportunity to work with the essential tools needed to

Planning Tip
Emergency Management Golden Rule – Communicate, Collaborate, Cooperate. This should be applied to all emergency management activities for a successful emergency management program

prevent, prepare, respond to, and recover from a disaster. The EOP provides organizational and strategic information on when, where, and how such tools are used. Exercises give all the shareholders involved in disasters a focal point to get together to talk about and/or work together in a "Dry Run Scenario". For emergency

management to be effective it requires a variety of skills and personnel working together collaboratively from preparing before the event happens, to responding the moment a disaster strikes, until the time that the community has fully recovered. Exercises give all the parties the opportunity to practice their skills and look for better ways to accomplish tasks. Since exercises are not life and death like a real event, it

KYEM Planning Guide 1

gives everyone the opportunity to make mistakes and learn from them without serious repercussions or the stress engendered by “real-life” events.

When Do I Need to Exercise the EOP? *KRS 39C.050(4) states that each year a local director shall conduct an exercise to test the local emergency operations plan in accordance with exercise program requirements and guidelines of FEMA or the division.*

Additionally, Emergency Managers should exercise their Plan if one or more of the following occurs: a plan is significantly updated, policies or procedures for accomplishing the tasks set forth in the plans change, and/or issues are identified in which parts of the plans validity are called into question.

How Should I Conduct an Exercise of the EOP? Exercises of the EOP are best done in a “Building Block Approach”. Using this approach an exercise is a three (3)-step process. Below are the steps taken and a description of each:

1) **Conduct an Exercise Seminar** – This is a time to get heads of agencies or groups together and explain what you would like to do and how you would like to do it in the exercise. It also gives you an opportunity to talk about any changes in the plans that may affect the exercise. This also give the agencies and groups an opportunity to provide feedback on what they would like to do, and gives them insight on what they need to train for in order to be more engaged in the exercise.

Planning Tip

The more input you allow from the groups that are involved in the exercise, the greater the buy-in you get from them. As a result, better understanding is gained of the community’s ability to work with the issues presented in the exercise.

2) **Hold a Tabletop Exercise** – Tabletop’s are a great way to walk through an event without all the side issues that occur in functional or full-scale exercises. It also allows participants time to think and figure out how they may need to readjust their approach to issues that emerge during the tabletop prior to conducting more involved functional or full-scale exercises. A tabletop should be considered a dress rehearsal for a larger exercise.

3) **Carryout a Functional or Full-Scale Exercise** – As the big finale to the process; carryout one of these exercises. This should give everyone a chance to shine and show off to the public and each other from an Emergency Management prospective. It will also allow everyone valuable practice without higher level issues which should have been resolved in the tabletop and/or seminar.

Building from concept to grand finale in this manner should yield a better-prepared and more resilient community.

Using Plans with Mitigation

Contained within your EOP are numerous opportunities to mitigate and reduce the effects that a disaster has on the community especially if you expand your definition of mitigation beyond the standard items provided for under FEMA funded projects. The good thing about most of the non-FEMA fundable mitigation projects is that they are no or low cost. Remember one thing, the dictionary defines mitigation as “any action to make something less severe or harsh”, not that it is necessarily a floodwall or

KYEM Planning Guide 1

tornado siren. Educating your community on the hazards they may be exposed to and how they might prepare for them can be a very effective mitigation tool.

Using your Plans to Improve Response Capabilities

Equipment. One of the best uses of your EOP is to improve the community's response capabilities. Your Plan identifies critical functions, objectives, and tasks that need to occur for your community to respond, stabilize, and recover from disaster. During your planning efforts a comparison of the equipment on-hand versus the equipment needed will allow your community to develop a defensible list of prioritized items needing to be purchased.. You may also identify out-dated or undersized equipment you already have that must be replaced to improve response capabilities.

Planning Tip

Do not over-depend on the Commonwealth to provide you with the equipment or personnel you need to make that initial pushback against a disaster. Have a list of secondary and tertiary responders.

Personnel. Using the identified tasks from within your Plan, you can look at whether or not you have the right sets and/or mix of personnel and adequate numbers available for your initial push during a disaster. The initial push of workers and equipment in a community often sets the tone for the entire response in a disaster. Having those skill sets and mix of trained people in adequate numbers on-hand, will help you in the end during major incidents. Most communities will never be self-sufficient for major incidents because they cannot support the kind or number of personnel needed within their community for a major incident. If that is the case for your community, the questions you should ask are who does have the personnel, how do I access them, and how long will it take them to get here?

Using your Plans to Improve Community Resiliency

Community Level Mitigation Projects. Your EOP contains information on your hazards and should provide the history of when and where those hazards have occurred. Known hazards that have associated vulnerable areas can be identified from your EOP. These are the standard FEMA fundable mitigation projects. Evaluating your EOP in conjunction with your Mitigation Plan can allow you to prioritize which possible capital projects should be funded to provide the largest impact per expenditure. . Remember, when you look at prioritization of mitigation projects, the priorities should be 1) Life Safety, 2) Property Conservation, 3) Critical Resource Expenditure (how many of your emergency services or critical supplies (food/water) it will take to support the disaster within the project mitigation zone if we leave it as it is, versus preventing or lessening the effects from disaster), and 4) Cost of the Project. Using these criteria with information from your Plan will help give you the edge on getting ahead of a potential disaster.

Community Hardening. Often mitigation projects are aimed at fixing problems that would not have existed with better pre-planning. Some examples of this are placing a neighborhood in an area that has a high flood risk or putting wood shingles on houses

KYEM Planning Guide 1

in a high woodland fire risk area. While Emergency Management should never stand in the way of development, developing with resiliency in mind will save the community and those people in at-risk areas possible trouble and money. Enacting zoning restrictions, ordinances, and regulations may be an effective tool in increasing the community's resiliency to disaster. Some examples of this policy approach to mitigation are requiring new homes to have storm shelters, storm water containment basins in new developments to reduce the flooding from additional runoff, or requiring 6" water mains and hydrants every 1,500 feet in new development. All of these things improve a communities' resiliency to disasters and can be done at very low cost as compared to the cost of a disaster.

Using Plans in Emergency Operations

This section details the uses of the Plan during actual emergency operations; what plans should be used; where the plan fits in the overall framework of emergency operations; and how plans guide emergency operations efforts.

The Basic Plan and Emergency Operations

The Basic Plan is not a tactical operations document. The Basic Plan is an **overarching document** that contains valuable basic information about the organization, coordination and command and control structure the county uses to conduct emergency operations. It answers these questions:

- 1) Where the community is going to organize itself in an emergency.
- 2) How the community is going to organize itself in an emergency.
- 3) What the division of powers is among elected offices and the division of basic responsibilities among all stakeholders in an emergency.

Where does the Community Organize? The Basic Plan should indicate the location of the primary EOC, the alternate location(s) and the order of succession in which they are going to be used. This lets everyone know where to go and in what order if the primary EOC is not useable.

How does the Community Organize? A brief overview of how the community is organized is contained in the Basic Plan. An EOC organizational chart or a brief description of how the ESF Coordinators are organized and interact within the EOC is part of the basic plan and while it does not get down to agency level, it does show the rudimentary structure.

Division of Powers. The division of powers among Chief Elected Officials in a county is critical to operations. Who has the authority to act on behalf of a jurisdiction is crucial for the setting of policies and priorities as well as the expenditure of monies. The Basic Plan describes these relationships and provides information on authority to by these officials to other individuals or offices.

Responsibilities. The Basic Plan provides an overview of the roles and responsibly of the ESFs. While the in-depth descriptions are found in the actual ESFs, the basic description of what each ESF is responsible for is in the Basic Plan.

For additional information on developing a Basic Plan see Kentucky Emergency Management Planning Guide 2 (2015) *How to Write the Basic Plan*

KYEM Planning Guide 1

Emergency Support Functions and Emergency Operations

Emergency Support Functions are **organizational documents**. The 15 ESFs in concert with one another and the Basic Plan can be used to organize and perform all needed actions in a disaster. They provide the following information:

- 1) Who does what jobs?
- 2) How the agencies under the ESF are organized.
- 3) How the coordinator and the agencies under the ESF are going to work with the community resources they control and how they access additional resources if needed.
- 4) What support will likely be needed from other ESFs for a particular ESF to perform its work?

Who Performs What Jobs? While the ESFs are divided into job groups, the specifics of what each does are delineated in this document. Their priorities as to which of the subtasks are most critical are described. The individual responsibilities for agencies supporting the ESF are defined.

Organization within the ESF. The ESFs list the agencies, groups, and organizations that are active in performing that specific job function within the community. This allows the community to organize numerous groups into one operational unit performing like functions in disaster with one person (ESF Coordinator) coordinating those actions necessary for the completion of these job under their function.

How Are Resources Allocated and Requested. The ESFs describe how agencies, groups, and organizations within an ESF are going to allocate resources in a disaster; what are the minimal acceptable levels of protections for jurisdictions like fire and law enforcement agencies; and who has the authority and/or responsibility to request resources from surrounding communities, regions, and the Commonwealth. This information is critical so that continuity of operations/protection is maintained and that valuable resources are not allocated unnecessarily or mistakenly.

What Support Does the ESF Need from Other ESFs? No function, agency, group, or organization can do their job effectively in a disaster if they are working in a silo. Coordination with multiple ESFs may be necessary to accomplish the tasks assigned to a particular ESF. Below is a sample of a matrix for ESF 6 – Mass Care and Sheltering that can be used in identifying the type of support needed from other ESFs.

KYEM Planning Guide 1

Table 3: ESF 6 Support Matrix (example)

ESF	Support Y/N	Support Needed 1	Support Needed 2	Support Needed 3
ESF 1	Y	Provide transportation as needed to shelters from affected areas		
ESF 2	Y	Radio communications to the EOC and ESF 1		
ESF 3	Y	Water and sewer service to shelters		
ESF 4	Y	Facility inspections		
ESF 5	Y	Provide support as needed and coordinate food and water to shelters, feeding stations, and distribution of these items to the public.		
ESF 6				
ESF 7	Y	Provide food and water as well as other critical shelter supplies.	To arrange for the transportation of supplies and food to shelters, feeding stations and the public.	
ESF 8	Y	Medical special needs transportation.	Shelter hygiene monitoring.	Medical special needs surveillance.
ESF 9	N			
ESF 10	N			
ESF 11	Y	Pet sheltering.		
ESF 12	Y	Power to shelters		
ESF 13	Y	Shelter security.	Monitor shelter population for sex offenders and other similar criminals	
ESF 14	Y	Processing assistance for temporary or long-term housing assistance.		
ESF 15	Y	Publicize shelter and feeding station locations		

The specifics of writing Emergency Support Functions can be found in [Kentucky Emergency Management Planning Guide 3 \(2015\) *How to Write Emergency Support Functions*](#)

Support Plans and Emergency Operations

Support Plans are **functional coordination documents**. Support Plans coordinate, in a concept-of-operation, all the ESFs necessary to carry out a specific activity (Example: Sheltering, PODs, and JICs). The Support Plan defines: who is involved; what jobs they are going to do; where they are going to do this activity; and when they are going to do this activity.

Support Plans however, do not tell how tasks are to be performed. The “how to” is a Standard Operating Procedure or Guideline (SOP/G). The Support Plan will likely reference several.

Incident Specific Plans and Emergency Operations

Incident Specific Plans (ISP) are operational documents that pertain to a particular event. They are a pre-planned set of actions that must be done in order for the community to gain control of the situation, stabilize, and return back to normal or better after a disaster or event.

ISPs are developed using the Active Planning Methodology. This methodology breaks the Plan into four phases: readiness, response, stabilization and sustainment, and recovery. Each phase has an end state that describes what success should look like at the completion of that phase. This end state description is used to develop objectives and associated tasks that are necessary to reach it. Objectives for each phase are built around a Capability. In Kentucky 16 Baseline Capabilities have been established. These have been derived from the Homeland Security Target Capabilities List.

Each county/joint county will be required to develop at least one major disaster ISP. Kentucky Emergency Management has developed a list of disasters to choose from. The county should identify which disaster type is the most relevant for their community.

Detailed information on the Active Planning Methodology and Development of Incident Specific and Support Plans can be found in Kentucky Emergency Management Planning Guide 4 (2015) *How to write Incident Specific and Support Plans using the Active Planning Process*

Summary of Using Plans in you Emergency Management Program

Plans:

1. Contain information related to all parts of Emergency Management Program
2. Plans identify target audiences for training and public education
3. Plans identify needed skills sets
4. Plans can be used to leverage mitigation activities, improve community capabilities, and/or improve resiliency
5. Each section of the Plan contains valuable operational information and can be used to guide disaster activities

Emergency Operation Plan Administration

Submitting the EOP for Concurrence

In pursuance to KRS 39A.070 (5), KRS 39B.010, KRS 39B.060 (4)(c), and as defined in 106 KAR 1:200(Section 3)(2)(f) the following is the guidance and procedure for requesting Concurrence of a county's EOP from the KYEM.

The appropriate KYEM Regional Area Office (KYEM RAO) should be notified by the Local Director of the formal submission of the county's EOP for concurrence review.

1. The Local Emergency Management Director should submit the Final Draft of the county's proposed EOP to KYEM Planning Branch prior to gaining signatures and adoption of the EOP by the County.
2. A submission of the EOP for concurrence should contain the following documents:
 - a. A letter requesting concurrence
 - b. The Basic Plan portion of the EOP
 - c. The 15 ESFs
3. Acceptable methods of receipt of the EOP to the KYEM:
 - a. All document must be in one of the following electronic formats:
 - i. Adobe Acrobat (.pdf)
 - ii. Microsoft Word (.doc or .docx)
 - iii. No paper print-outs will be accepted
 - b. The following forms of delivery are acceptable of the EOP to KYEM:
 - i. Via Electronic Mail (e-mail) sent to County Planner or other person as designated by the Planning Branch Manager
 - ii. Mandatory KYEM SharePoint Posting:

The Local Emergency Manger or their designee is responsible for notifying the Planning Branch that they have posted their plan to the SharePoint.
4. The KYEM Planning Branch will send the Local Emergency Manager or a person designated in the Request for Concurrence Letter a notification of receipt via email along with a projected timeline for completion of the review.
5. A Concurrence Letter will be issued after the plan has been review by KYEM Planning Branch for appropriate content.

KYEM Planning Guide 1

6. KYEM will notify the appropriate KYEM RRM of the receipt of an EOP for concurrence and will provide a copy of the Concurrence Letter to that office.

Submitting EOP Revisions and Updates

In pursuance to KRS 39A.070(5), KRS 39B.060(4)(c) and as defined in 106 KAR 1:200(Section 3)(2)(f) the following is the guidance and procedure for revising or updating and receiving Concurrence of an update to the county's EOP from KYEM.

The appropriate KYEM RRM should be notified by the Local Director of the submission of the county's EOP revisions or updates.

1. The Local Emergency Management Director should submit the proposed revision or updates of the county's proposed EOP to KYEM Planning Branch prior to adoption of the EOP the changes by the County.
2. A update or revisions of the EOP for concurrence should contain the following documents:
 - a. A letter requesting concurrence
 - b. The entire section where the update or revision has been made. A section is defined as one the following: Basic Plan or one of the fifteen ESFs.
3. Acceptable methods of receipt of the EOP to the KYEM:
 - a. All document must be in one of the following electronic formats:
 - i. Adobe Acrobat (.pdf)
 - ii. Microsoft Word (.doc or .docx)
 - iii. No paper print-outs will be accepted
 - b. The following forms of delivery are acceptable of the EOP to KYEM:
 - i. Mandatory KYEM SharePoint Posting
The Local Emergency Manger or their designee is responsible for notifying the Planning Branch that they have posted their plan to the SharePoint.
 - ii. Via Electronic Mail (e-mail) sent to County Planner or other person as designated by the Planning Branch Manager
4. The KYEM Planning Branch will send the Local Emergency Manager or a person designated in the Request for Concurrence Letter a notification of receipt via email along with a projected timeline for completion of the review.
5. A Concurrence Letter will be issued after the plan has been review by KYEM Planning Branch for appropriate content.
6. KYEM will notify the appropriate KYEM AM of the receipt of an EOP for concurrence and will provide a copy of the Concurrence Letter to that office.

KYEM Planning Guide 1

Annual EOP Review Notification and Concurrence

In pursuance to KRS 39A.070(5), KRS 39B.060(4)(c) and as defined in 106 KAR 1:200(Section 3)(2)(d) the following is the guidance and procedure for submitting conformation that the county has conducted an annual review of their ESF EOP.

The appropriate KYEM RRM should be notified by the Local Director of the submission of the county's annual review to the Planning Branch.

1. The Local Emergency Management Director should submit a signed letter to KYEM attesting that an annual review of the county's EOP has been conducted.
 - a. If revision and updates were needed, the Local Emergency Management Director should use the Guidance and Procedure for Submission of Revision and Updates of Emergency Support Function County Emergency Operations Plans for the submission of those revision and updates.
 - b. If no revision or updates is warranted then the Local Emergency Management Director should state such.

2. Acceptable methods of receipt of the EOP to the Kentucky Division of Emergency Management:
 - a. The signed letter must be in one of the following electronic formats:
 - i. Adobe Acrobat (.pdf)
 - ii. Microsoft Word (.doc or .docx)
 - iii. No paper print-outs will be accepted
 - b. The following forms of delivery are acceptable of the EOP to the Kentucky Division of Emergency Management:
 - i. Mandatory KYEM SharePoint Posting
The Local Emergency Manger or their designee is responsible for notifying the Planning Branch that they have posted their plan to the SharePoint.
 - ii. Via Electronic Mail (e-mail) sent to County Planner or other person as designated by the Planning Branch Manager and

3. A concurrence letter will be issued after the plan has been reviewed and its conclusion compared to current concurred plans for any major programmatic changes issued by the Division.

4. KYEM will notify the appropriate KYEM AM of the receipt of the annual review letter and will provide a copy of the Acknowledgment Letter to that office.

KYEM Planning Guide 1

Submission of Emergency Resource List (ERL) Revisions and Updates

KYEM does not require the submission of revisions or updates to a county's ERL to the Planning Branch. The ERL is the responsibility of the Local Emergency Management Director to maintain as part of the Annual Review process and shall be developed in accordance with guidance in Kentucky Emergency Management Planning Guide 5 (2015) *The Emergency Resource List*.

Joint County Plans (Guidance TBD)

Under current KRS's, Counties of two (2) or more may jointly create a single unified local emergency management agency.

KRS 39B.010 (eff. 15 July 2014)

KRS 39B.020 (eff. 15 July 2014)

KRS 39B.030 (eff. 15 July 2014)

KRS 39B.050 (eff. 15 July 2014)

KRS 39B.060 (eff. 15 July 2014)

All reference the Joint County Emergency Management Laws. Refer to these statutes for further information.

KYEM Planning Guide 1

Kentucky Division of Emergency Management

Planning Branch

110 Minuteman Parkway, Room 210

Frankfort KY, 40601

502-607-1760 (voice)

KYEM.ky.gov/planning