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MCWP 3-38.1
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MULTI-SERVICE TACTICS, TECHNIQUES, AND PROCEDURES FOR INSTALLATION EMERGENCY MANAGEMENT

APRIL 2013

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FOREWORD

This publication has been prepared under our direction for use by our respective commands and other commands as appropriate.

VANCE P. VISSER
Colonel, USA
Commandant
U.S. Army Chemical, Biological, Radiological, and Nuclear School

RICHARD P. MILLS
Lieutenant General, USMC
Deputy Commandant for Combat Development and Integration

T.B. KRAFT
Rear Admiral, USN
Commander
Navy Warfare Development Command Doctrine Center

DAVID L. REYNOLDS
Colonel, USAF
Commander
Headquarters Air Force Civil Engineer Support Agency

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U.S. Army Training and Doctrine Command
Fort Monroe, Virginia

Marine Corps Combat Development Command
Quantico, Virginia

Navy Warfare Development Command
Norfolk, Virginia

Headquarters Air Force Civil Engineer Support Agency
Tyndall Air Force Base, Florida

26 April 2013

Multi-Service Tactics, Techniques, and Procedures for Installation Emergency Management

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Preface

Multi-Service Tactics, Techniques, and Procedures for Installation Emergency represents a significant renaming and revision to the November 2007 publication *Multiservice Tactics, Techniques, and Procedures for Installation CBRN Defense*. It expands the scope from chemical, biological, radiological, and nuclear (CBRN) defense to all-hazards installation emergency management (IEM), including the management of CBRN events. This publication defines the roles of Department of Defense (DOD) installation commanders and staffs and provides the tactics, techniques, and procedures (TTP) associated with installation planning and preparedness for response to, and recovery from, hazards to save lives, protect property, and sustain mission readiness. The purpose of this publication is to summarize existing policies, responsibilities, and procedures for IEM programs at DOD installations worldwide for all hazards, as defined by Department of Defense Instruction (DODI) 6055.17, and to translate this policy into tactical terms applicable to military installation commanders. The contents have been written to complement Service IEM program manuals, standing operating procedures (SOPs), response standards, training support packages, collective task training development products, training center and unit exercises, and Service school curricula related to IEM.

The principal audience for *Multi-Service Tactics, Techniques, and Procedures for Installation Emergency Management* is military installation commanders, functional and Service component staffs, emergency managers, nonemergency management personnel performing collateral or additional emergency management (EM) duties, and civil service and contract EM personnel with application to the joint force command and joint task force that are tasked with the planning, preparation, and execution of EM. Trainers and educators throughout DOD will also use this manual.

Commanders, staffs, and subordinates ensure their decisions and actions comply with applicable United States (U.S.), international, and, in some cases, host nation (HN) laws and regulations. Commanders at all levels ensure their Soldiers operate in accordance with the law of war and the rules of engagement (see Field Manual [FM] 27-10).

Multi-Service Tactics, Techniques, and Procedures for Installation Emergency implements standardization agreements (STANAGs) 2047 (Edition 7), STANAG 2521 (Edition 1), STANAG 2873 (Edition 4), and STANAG 4359 (Edition 1).

Multi-Service Tactics, Techniques, and Procedures for Installation Emergency uses joint terms where applicable. Selected joint and Army terms and definitions appear in both the glossary and the text. Terms for which *Multi-Service Tactics, Techniques, and Procedures for Installation Emergency* is the proponent (the authority) are marked with an asterisk (*) in the glossary. For definitions shown in the text, the term is italicized, and the number of the proponent follows the definition. This publication is not the proponent for any new terms.

Multi-Service Tactics, Techniques, and Procedures for Installation Emergency applies to installation populations in their entirety, including active and reserve component military personnel unless otherwise stated; DOD civilians; military families; installation tenants; transient military or U.S. government personnel; contractor personnel; visitors and guests; HN personnel; third country national personnel; and other relevant populations in the surrounding community outside of the installation.

The proponent of this publication is the U.S. Army CBRN School, who developed this publication with the joint participation of the approving Service commands. We encourage recommended changes for improving this publication. Please reference changes by specific page and paragraph, and provide a rationale for each recommendation. Send comments and recommendations directly to—

Army.

Commandant
U.S. Army CBRN School
ATTN: ATZT-TDD-C
14000 MSCoE Loop, Suite 2617
Fort Leonard Wood, MO 65473
COMM (573) 563-7364
Web site: <http://www.wood.army.mil/cbrns>

Marine Corps.

Deputy Commandant for Combat Development and Integration
ATTN: MCCDC CDD MID DCB C116
3300 Russell Road, Suite 204
Quantico, VA 22134-5021
DSN 278-6233; COMM (703) 784-6233
Web site: <https://www.doctrine.usmc.mil/>

Navy.

Commander
Navy Warfare Development Command
ATTN: N5
1528 Piersey St, Building O-27
Norfolk, VA 23511-2699
DSN 341-4203; COMM (757) 341-4203
Web site: <https://ndls.nwdc.navy.mil/>

Air Force.

Headquarters Air Force Civil Engineer Support Agency
ATTN: CEXR
139 Barnes Drive, Suite 1
Tyndall Air Force Base, FL 32403-5319
DSN 523-6169; COMM (850) 283-6169
Web site: <www.e-publishing.af.mil>

Appendix A contains a metric conversion chart for this manual. A complete listing of preferred metric units for general use is contained in Federal Standard 376B <http://www.usaid.gov/policy/ads/300/fstd376b.pdf>.

Unless this publication states otherwise, masculine nouns and pronouns do not refer exclusively to men.

Introduction

Multi-Service Tactics, Techniques, and Procedures for Installation Emergency discusses the principles of EM as they apply to military installations. This publications provides doctrine TTP for planning, preparedness, execution, and continuous assessment in each of the four phases of EM. During military operations, this publication is subordinate to current joint publications (JPs) that address related topics, such as chemical, biological, radiological, and nuclear consequence management (CM) and defense support of civil authorities (DSCA). It covers all-hazards and coordinating operations, such as emergency support functions (ESFs) or functional areas.

The IEM involves the complex coordination of planning and response efforts with the installation command and staff; tenant command staff; and local, state, federal, and HN civilian authorities. Tenant and transient installation units also actively contribute resources to IEM mutual assistance plans. Installation commands strive to become familiar with the local community outside the installation that will impact EM operations. They are also knowledgeable of the relationship of their operations to federal guidelines governing civilian EM at national, state, and local levels.

This document addresses the various roles of the installation command for each phase of an EM life cycle. The primary overlapping phases in an EM life cycle are—

- Preparing for installation emergencies.
- Responding to installation emergencies.
- Recovering from installation emergencies.
- Mitigating installation emergencies.

Preparations for an installation emergency are directed toward planning, interoperability, and intelligence. Preparedness activities increase the resilience of the installation community and the response and recovery capabilities of the installation through risk management; coordination; task organization; equipment, training, and certification; exercise; and readiness evaluation.

Response operations include the actions taken from the initial notification of a potential or actual incident until the transition to the recovery phase begins. Immediate response measures following an installation emergency include the notification of the affected populace within 10 minutes and the execution of the Incident Command System (ICS) by installation first responders. The emergency may also require the activation of emergency operations centers (EOCs). Response roles could extend beyond installation boundaries. Civil authority support and joint reception, staging, onward movement, and integration (JRSOI) functions also occur during the response phase. Most response functions are conducted using the ICS and are supported through ESFs or equivalent organizational structures (such as functional areas) within the EOC.

The installation commander executes recovery operations within his own available organic and precoordinated resources. Recovery activities emphasize immediate response and mitigation measures to protect critical infrastructure and restore critical functions to their preincident capability. Short-term recovery actions seek to restore essential services and ensure that the needs of the installation community are met. Long-term recovery actions include restoring operations, rebuilding destroyed property, and reconstituting military operations and services. The main goal of recovery is mission reconstitution and the restoration of essential operations. The final steps of a recovery operation include capturing lessons learned and the subsequent required revisions of the EM plan upon reassessment. The *National Disaster Recovery Framework (NDRF)* was published in 2001, replacing the *National Response Framework (NRF),* Emergency Support Function (ESF)-14, Long-Term Community Recovery. The NDRF expands key ESF-14 concepts into a full framework.

Mitigation actions involve the lasting (and often permanent) reduction of, exposure to, probability of, or potential loss from identified hazards. The goal of mitigation is to reduce the impact of identified hazards on critical/essential operations, critical assets, critical infrastructure, essential services, assigned personnel, and government and personal property. Mitigation is an ongoing process that feeds directly into the overall preparedness of the installation. Mitigation can be accomplished through the implementation of sustainable

development activities, vulnerability reduction measures, and hazard prevention efforts consistent with command guidance through the vulnerability assessment (VA) process.

While the installation EM plan covers the usual activities associated with preparing for, responding to, recovering from, and mitigating the effects of an incident, the installation command and EM staffs also coordinate EM activities with various supporting entities established on and off the installation. Plans for the coordination and execution of ESFs or functional areas, continuity of operations (COOP), and critical infrastructure protection (CIP) are aligned with the installation EM plan to ensure the appropriate allocation of resources and manpower in all sectors of emergency response.

The goal of this multi-Service publication is to revise the November 2007 edition of *Multiservice Tactics, Techniques, and Procedures for Installation CBRN Defense* to expand the scope from CBRN to all-hazards EM for individuals on, or assigned to, a DOD installation. Accordingly, this publication is renamed *Multi-Service Tactics, Techniques, and Procedures for Installation Emergency Management*. The decision to revise the multi-Service TTP resulted from—

- The publication of DODI 6055.17.
- The results of the Joint Requirements Office-led, front-end analysis that identified doctrinal gaps in the passive defense and weapons of mass destruction CM capabilities-based assessments.
- The request for feedback results received from the Services.

Note. This publication is now aligned with DOD and federal civilian EM principles, policies, and guidance for all-hazards incidents.

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Chapter 1

Fundamentals of Installation Emergency Management

This chapter establishes the environment for installation EM. It provides the terms of reference and framework for IEM—prepare for, respond to, recover from, and mitigate the effects of an incident. It discusses the interface between military doctrine and federal guidance, such as the National Incident Management System (NIMS), the ICS, the NRF, and the National Preparedness Goal (NPG). It also presents an overview of the anticipated tasks and responsibilities of installation command and staff in the construction and proliferation of an IEM program. These fundamental principles guide the preparation for, and implementation of, the IEM program discussed in following chapters.

NATIONAL STRUCTURE FOR INCIDENT MANAGEMENT

1-1. Consistent with DODI 6055.17 and Homeland Security Presidential Directive (HSPD) 5, IEM plans for domestic installations are developed in compliance with NIMS, ICS, NRF, and NPG procedures. Also consistent with DODI 6055.17, installations outside the United States implement NRF and NIMS principles as much as possible when executing IEM programs.

1-2. The national structure for incident management establishes a clear progression of coordination and communication from the local level to regional and national headquarters levels. Specific elements of this governing structure are detailed in the following sections.

NATIONAL INCIDENT MANAGEMENT SYSTEM

1-3. For military installations, the use of NIMS supports the interoperability between installations, other Services, and the civilian community. All DOD components maintain interoperability with the ICS.

1-4. The following are NIMS components:

- Preparedness.
- Communications and information management.
- Resource management.
- Command and management, including the ICS.
- Ongoing management and maintenance and supporting technologies.

1-5. The NIMS process supports the following:

- Integrating incident-related prevention, mitigation, response, and recovery activities.
- Improving coordination and integration within the military operational area and with federal, state, local private-sector, and nongovernmental organization (NGO) partners.
- Increasing the efficient use of resources needed for more effective incident management.
- Improving situational awareness (SA) within the installation.
- Providing timely and accurate information for public awareness.
- Facilitating requests for assistance (RFAs) that exceed the installation response capability.
- Providing linkage to technical reachback capabilities.

INCIDENT COMMAND SYSTEM

1-6. The ICS is a flexible, standardized, on-scene, all-hazards incident management approach. It is executed and prioritized according to the principles of life safety, incident stabilization, and property conservation.

1-7. The ICS enables the coordination and integration of personnel, facilities, procedures, communications, and equipment among various jurisdictions and functional agencies. It also establishes a common process for planning and managing resources.

NATIONAL RESPONSE FRAMEWORK

1-8. The NRF is an all-discipline, all-hazards framework for the management of incidents. Consistent with DODI 6055.17 and HSPD 5, the DOD implements policy and procedures concordant with the roles and authorities under the NRF.

1-9. The purpose of the NRF is to establish a comprehensive, national, all-hazards approach to incident management; therefore, the elements of an installation response plan are consistent with the roles and authorities under the NRF.

1-10. The following are the key principles of NRF doctrine:

- Engaged partnerships.
- Tiered responses.
- Scalable, flexible, and adaptable operational capabilities.
- Unity of effort through unified command (UC).
- Readiness to act.

NATIONAL PREPAREDNESS GOAL

1-11. Presidential Policy Directive (PPD) 8 sets a strategic vision for national preparedness by using a comprehensive approach to preparedness. It also requires the development and maintenance of the NPG.

1-12. The NPG defines the core capabilities necessary to prepare for the incidents that pose the greatest risk to national security. The NPG establishes concrete, measurable, prioritized objectives to mitigate specific threats and vulnerabilities—including regional variations of risk—and emphasizes actions intended to achieve an integrated, layered, accessible, and all-of-nation/whole community preparedness approach while optimizing the use of available resources.

MISSION ANALYSIS

1-13. The overarching objective of a comprehensive, all-hazards IEM program is to maintain DOD operational readiness throughout, and subsequent to, disasters or emergencies on or near DOD installations worldwide. Consistent with DODI 6055.17, the goals of the DOD IEM program are to—

- Prepare DOD installations for emergencies.
- Respond appropriately to protect personnel, save lives, and protect property.
- Recover and restore operations after an emergency.

1-14. It is also DOD policy that IEM programs—

- Maintain DOD readiness by establishing and maintaining a comprehensive, all-hazards IEM program on DOD installations worldwide.
- Support and assist U.S. civil authorities, as directed, in EM activities.
- Coordinate preparedness, response, and recovery requirements and capabilities with state, local, and tribal governments; other military departments; or HN partners by using an all-hazards approach that balances risk management (threat, vulnerability, consequence), resources, and need.
- Align with federal guidance, which is outlined in the NIMS, ICS, and NRF and is consistent with HSPD 5.

STRATEGIC TO TACTICAL

1-15. IEM planning involves strategic, operational, and tactical level plans. Strategic planning usually occurs at the higher echelon levels, and individual IEM plans develop operational and tactical level plans that support and adhere to the strategic guidance from higher headquarters.

- **Strategic.** At this level, decisionmakers determine broad objectives and develop high-level guidance for the IEM program. Lower-level plans developed by IEM personnel adhere to this guidance and accomplish these objectives.
- **Operational.** Operational objectives support strategic objectives, sequence events, initiate actions, and apply resources to begin and sustain activities. Operational planning is also conducted and sustained across the IEM program range of operations (prevent, respond, recover). Plans written at this level are more narrowly scoped and more detailed than strategic plans.
- **Tactical.** Tactical planning is more focused and detailed than operational planning. Activities are focused on the arrangement of resources in relation to each other and to a specific threat or hazard. Tactical plans are developed to support the objectives of operational plans.
- **Services.** Each of the Services has developed IEM programs based on unique Service requirements and existing DOD doctrine. While many aspects of the Service programs are similar, there are select differences that will be addressed by exception when necessary.

TERMS OF REFERENCE

1-16. The following terms of reference and complementary doctrine apply throughout this document:

- **All hazards.** *All hazards* are any incident, natural or manmade, including those defined in DODI 6055.07, that warrants action to protect the life, property, health, and safety of military members, dependents, and civilians at risk, and minimize any disruptions of installation operations (DODI 6055.07).
- **CBRN CM.** *CBRN CM* is the response activities that require resource allocation beyond CBRN passive-defense capabilities for all deliberate and inadvertent release of CBRN hazard(s).
- **CM.** *CM* is the actions taken to maintain or restore essential services and manage and mitigate problems resulting from disasters and catastrophes, including natural, manmade, or terrorist incidents. It is a military-unique function that is coordinated with EM. (JP 3-28)
- **EM.** *EM* is the coordination and integration of all activities necessary to build, sustain, and improve the capability to prepare for, protect against, respond to, recover from, or mitigate against threatened or actual natural disasters, acts of terrorism, or other manmade disasters (NRF).
- **EM alignment with CBRN defense activities.** EM is not a military-unique function and is complementary to CBRN defense activities. IEM plans are developed in coordination with CBRN defense plans, including the recognition of potentially overlapping capabilities and resources. IEM capabilities and functions are not exempt from applicable Occupational Safety and Health Administration (OSHA) standards, the National Institute for Occupational Safety and Health guidelines, or the guidelines of other applicable federal agencies. Additional information can be found in *Multiservice Tactics, Techniques, and Procedures for Chemical, Biological, Radiological, and Nuclear Consequence Management Operations*.
- **Geographic locations.** U.S. military installations support operational forces in domestic and foreign environments. The installation location is critical in determining the laws and regulations that must be applied and in establishing the level of military authority that the installation commander may have in determining response actions, including the level of personal protection for the response force.
  - **Domestic locations.** *Domestic locations* are the continental United States, Alaska, Hawaii, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, the U.S. territories of Guam, American Samoa, Jarvis Island, the Commonwealth of the Northern Marianas Islands, the Freely Associated States of Micronesia, the Republic of Palau, the Republic of the Marshall

Islands, and the U.S. possessions of Wake Island, Midway Island, Johnson Island, Baker Island, Howland Island, Palmyra Atoll, and Kingman Reef (DODI 2000.21).

- **Foreign locations.** *Foreign locations* are any geographic area not reflected in the definition of domestic (DODI 2000.21).

- **Installations.** *Installation* is a base, camp, post, station, yard, center, or other activity under the jurisdiction of the secretary of a military department or, in the case of an activity in a foreign country, under the operational control of the secretary of a military department or the Secretary of Defense. The term installation does not include leased facilities. (DODI 6055.17)

FRAMEWORK

1-17. Chapters 2 through 5 describe the phases of IEM that can occur sequentially or simultaneously before, during, or after an emergency incident (see figure 1-1). The following are the phases of IEM:

- Prepare.
- Respond.
- Recover.
- Mitigate.

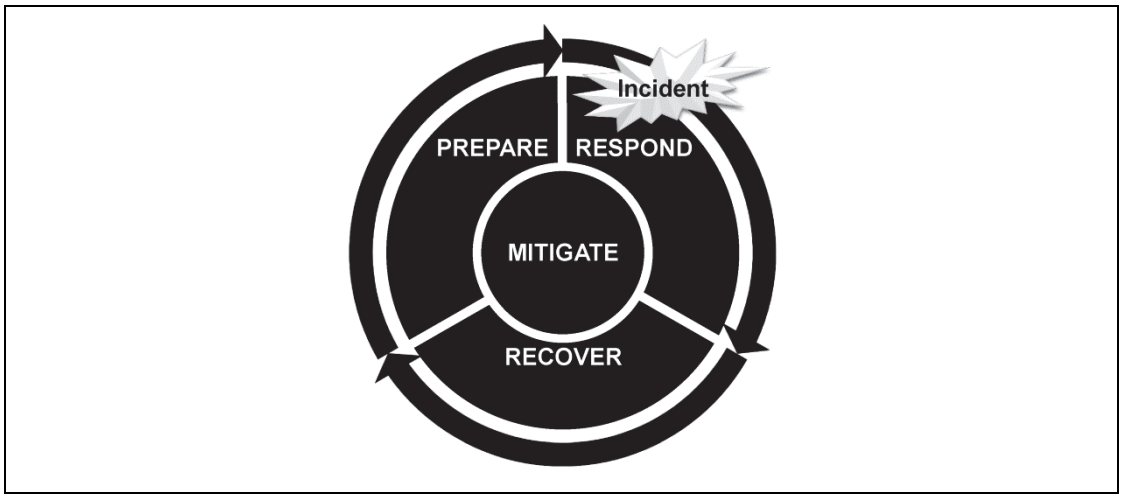

Figure 1-1. The four phases of IEM

PREPARE

1-18. The installation EM plan drives preparation efforts and facilitates response and recovery operations. Preparation and planning are based on an assessment of the operating environment. Operational assessments enable commanders and emergency managers to identify the minimum standards for training, organizing, equipping, and protecting resources. The implementation and approval of the EM plan (and related agreements) increase readiness through training and exercises. Chapter 2 discusses the preparation phase in more detail.

1-19. Because of the breadth and scope of disasters that a comprehensive program must cover, IEM plans and programs are detailed and flexible. An IEM program will gain strength and substance through coordination with installation tenants and with local, state, federal, tribal, territorial, and HN authorities.

RESPOND

1-20. Actions taken during this phase address the short-term, direct effects of an incident. Response measures include those actions taken to save lives, protect property, and continue essential services and operations. Chapter 3 discusses the response phase in more detail.

RECOVER

1-21. The focus of recovery activities is the restoration of mission capability and the essential public and government services interrupted by the incident. The recovery phase also includes completing the mitigation of the immediate hazard. Chapter 4 discusses the recovery phase in more detail.

MITIGATE

1-22. Sustainable development and vulnerability reduction measures are initiated during the mitigation phase in support of hazard prevention and suppression of known hazards. Chapter 5 discusses the mitigation phase in more detail.

1-23. IEM programs are comprehensive and address all hazards that the installation may experience, including natural and manmade incidents. These events may be intentional or accidental, foreseen or unpredictable. Employing an all-hazards approach encourages interoperability; enables the effective use of resources; and protects critical operations, personnel, assets, and the environment during likely emergency events.

OPERATING ENVIRONMENT

1-24. IEM planning accounts for every relevant component of the operating environment on an installation. These components include threat considerations; geographic frameworks; political, military, economic, and social infrastructures; information systems; geographically remote locations; physical environments; and the technological facts detailed below.

THREAT

1-25. There are common threat considerations that apply to military installations across the range of military operations, ranging from stable peace to general war conditions. Installations receive intelligence summaries that provide information on local or regional threats. Threats and hazards can range from adversarial actions, to manmade incidents, to natural disasters. Threat and hazard assessments are coordinated with similar assessments created by state and local civilian authorities. These authorities often have specific intelligence regarding natural hazard threats, such as information on hurricane susceptibility that would be useful in the preparation of a threat assessment for the installation. (See appendix B for additional information on threat and hazard assessments.)

GEOGRAPHIC FRAMEWORK

1-26. The IEM plan accounts for the entire assigned operational area and the associated areas of interest. The operational area controls response actions and establishes boundaries within which the installation commander operates. The area of interest represents the environment external to the operational area for which the installation commander must maintain SA and may include surrounding communities and civil authorities with whom the installation commander establishes agreements for coordinated notification, response, and recovery operations.

POLITICAL SYSTEMS

1-27. The political environment often impacts decisions to develop, approve, and honor support agreements between jurisdictions, especially in large-scale emergencies with the potential to impact the populace of another jurisdiction. Military authority, jurisdictional authority, and established agreements are among the important political and legal considerations for the installation commander.

MILITARY SYSTEMS

1-28. Regardless of the scope or nature of an incident, military systems function under the appropriate designated military chain of command. Military units supporting an emergency on an installation or in support of a civil jurisdiction are always under the command of military authorities, even though these

forces may provide support to civil authorities as directed under Department of Defense Directive (DODD) 3025.18.

ECONOMIC SYSTEMS

1-29. Installation commands operate within the usual economic system parameters in terms of appropriations for supplies and other resource requirements during the preparation and mitigation phases. During the response and recovery phases, emergency cost account codes are developed to track and manage response and recovery costs for submission to higher headquarters for supplemental funding requests and for reimbursement based on local support agreements.

SOCIAL SYSTEMS

1-30. Installation commanders consider cultural, ethnic, and religious attitudes and behaviors that may impact operations. Installations have varying degrees of social environments confined within a small jurisdictional area. These environments range from long-term residents in family housing to short-term student populations, and from large, special-event crowds from local civil jurisdictions to cohesive combatant units stationed on post or transiting the installation for training and exercises. The social environment usually extends into local civil jurisdictions, with potentially large components of the military community residing outside the jurisdictional boundaries of the installation commander. The social environment often includes foreign nationals, including multinational partners and third-country nationals with varying social norms. The important political, legal, and cultural issues that the installation commander must address include—

- Jurisdictional authority.
- Established agreements and contracts.
- Continuous media interaction.
- Local customs.

INFRASTRUCTURE SYSTEMS

1-31. Infrastructure systems determine specific requirements for transportation, utilities, communication, preparedness elements (evacuation and mutual aid timelines), and specific material requirements for response and recovery actions. Additional mitigation and prevention requirements may be required to ensure the protection and robustness of critical infrastructure.

INFORMATION SYSTEMS

1-32. The installation commander strives to achieve enhanced SA and understanding through interoperability with other military and civil authorities. The installation commander determines the sources of information (including intelligence) and the appropriate stakeholders for information sharing. Certain incidents may require notification procedures among military commanders and civil authorities. These notification procedures are based on common agreements and preestablished methods.

GEOGRAPHICALLY REMOTE LOCATIONS

1-33. Installations may be further defined by their location relative to local civil jurisdictions and supporting resource providers. *Remote installation* defines an installation that, due to its remote location in relation to other U.S. or HN response assets, may require additional capabilities to adequately respond to, and recover from, an emergency.

PHYSICAL ENVIRONMENT

1-34. Key components of the physical environment include the effects of terrain and weather, the geographic framework that influences the installation commander's plan, and the installation commander's ability to exercise authority. Physical conditions drive mitigation and prevention requirements and determine the specific requirements for response and recovery operations in terms of area-specific organizing, training, equipping, and exercising personnel.

TECHNOLOGICAL FACTORS

1-35. The technological infrastructure and operations present on and around the jurisdiction directly impact the IEM program across all phases. These technological conditions may include the—

- Transit, storage, manufacture, or use of hazardous materials (HAZMAT).
- Ignition sources for available fuel loads.
- Potential for aviation, maritime, or land transport accidents.
- Increased reliance on cyber and electronic systems for daily operations.
- Distributed financial management and distribution systems.
- Additional sources of environmental pollution or contamination.

1-36. These technological factors may indicate the presence of specific technological hazards (structural collapse, transportation accidents, HAZMAT release). Technological conditions may determine specific requirements for transportation and mobility, including evacuation, mutual aid timelines, and specific material requirements such as structural-collapse rescue capabilities.

TASKS AND RESPONSIBILITIES

1-37. The tasks and responsibilities identified in paragraphs 1-43 through 1-45 are assigned to designated leaders and leadership groups to ensure the creation, maintenance, and proliferation of a functional, comprehensive, and integrated all-hazards EM program on each military installation worldwide.

Note. For a checklist of additional and coordinating responsibilities, see the Initial Operational Capability Checklist and the Full Operational Capability Checklist found in DODI 6055.17.

INSTALLATION COMMANDERS

1-38. Within the DOD*, installation commander* is defined as the individual responsible for all operations performed by an installation. For the purposes of this publication, it is further defined as the commander at the lowest local level, excluding regional-level commanders, who may assume control of an installation during the course of an emergency.

1-39. All installation commanders (including those located in domestic and foreign environments) are required to—

- Establish an IEM program that is—
  - Comprehensive for all hazards.
  - Coordinated with appropriate military and civilian authorities.
  - Integrated with the overall protection mission for the installation.
- Designate, in writing, an installation emergency manager with the responsibility for overall program coordination and integration with other response elements of the installation (or as coordinated with external sources) according to DODI 3020.52 and DODI 6055.17.
- Ensure that the installation emergency manager and staff develop a comprehensive, all-hazards IEM plan and that the plan is trained, rehearsed, and exercised.
- Direct installation activities and allocate resources to support the IEM program and plan.
- Create, in concert with the installation emergency manager, an installation emergency management working group (IEMWG) to provide recommendations to the command on how to improve the planning, training, and exercising of the IEM program.
- Designate and establish an installation EOC.
- Direct inspections and assessments of IEM readiness and preparedness.
- Create, maintain, and execute applicable inter-Service support agreements (ISSAs), memorandums of understanding (MOUs), memorandums of agreement (MOAs), and mutual aid agreements (MAAs) with tenant units or local civilian jurisdictions to provide mutual aid.
- Review memorandums annually.

- Appoint, in writing, a public health emergency officer (PHEO) based on the guidance set forth in DODI 6200.03 to provide public health and medical advice to the command during a public health emergency.
- Ensure that tenant organizations participate in the IEM planning process, are included in the IEM plan, and participate in the requisite EM training and exercises on the installation.
- Ensure that tenant organization EM plans, checklists, and operating instructions implement the execution tasks outlined in the IEM plan.
- Ensure the health, well-being, and safety of the entire installation populace through the integration and enforcement of appropriate public health and safety actions during an emergency event, consistent with relevant OSHA safety standards and health service support guidelines.

INSTALLATION COMMANDERS IN FOREIGN OPERATING ENVIRONMENTS

1-40. In addition to the requirements listed above, installation commanders located in foreign operating environments must also—

- Integrate installation and HN emergency response capabilities to support the sustainment of installation capabilities and readiness according to status-of-forces agreements (SOFAs).
- Coordinate IEM measures with respective area or base cluster commanders.
- Identify interoperability requirements and mitigation measures to help meet emergency response requirements.
- Monitor or support negotiations and/or implement MOUs and/or MOAs with HNs as necessary.
- Support HN EM and response assistance.
- Coordinate training opportunities with supporting HN resources to periodically exercise existing MOUs and/or MOAs.
- Review and approve exercise scenarios for exercises that are consistent with the regional threat assessment.
- Receive briefings on SOFAs and other international agreements affecting HN emergency response capabilities appropriate to the installation.

INSTALLATION EMERGENCY MANAGER

1-41. The installation emergency manager, designated by the installation commander, has overall lead responsibility for the integration and synchronization of installation all-hazards planning and response activities. The installation emergency manager—

- Develops and maintains the comprehensive, all-hazards IEM plan; supporting annexes; associated instructions; SOPs; and checklists.
- Collaborates and coordinates with installation responders; state, local, and tribal governments; other military departments; and HN emergency managers to achieve the highest possible level of IEM plan integration and interoperability.
- Ensures that critical infrastructure, threat/hazard, vulnerability, consequence, and response capability assessments are integrated into the IEM plan.
- Coordinates with the PHEO and medical treatment facility (MTF) emergency manager to ensure that medical resource management activities are coordinated and included in the IEM plan.
- Coordinates with installation responders; tenants; local, state, tribal, and territorial governments; and HN agency emergency managers to ensure that EM plans are mutually supporting and are properly integrated.
- Employs resource management activities to coordinate the prioritization and allocation of installation resources.
- Integrates installation emergency response requirements into resource planning.
- Ensures that installation emergency response teams and personnel training occur across the range of installation operations.
- Periodically assesses installation emergency response capabilities.

- Ensures that community awareness is incorporated into emergency planning, preparation, and training.
- Provides subject matter expertise to support communication regarding installation-specific, all-hazards planning.
- Serves as program coordinator for the IEMWG.

Note. The Air Force uses a medical EM representative to meet the MTF EM requirements of DODI 6200.03.

INSTALLATION EMERGENCY MANAGEMENT WORKING GROUP

1-42. Consistent with DODI 6055.17, the installation commander establishes an IEMWG (see chapter 2 for additional information regarding the IEMWG). The IEMWG performs the following functions:

- Develops and maintains the community profile.
- Executes the IEM program implementation plan.
- Conducts the continual risk management process.
- Develops and maintains the IEM plan.
- Coordinates the development of emergency action plans (EAPs) by tenant commands as directed by the IEM plan.
- Coordinates the implementation of preparedness phase activities according to the IEM plan.
- Coordinates and supports installation community preparedness.
- Coordinates NIMS implementation.
- Supports NIMS resource management activities.
- Coordinates with and supports installation continuity programs.
- Coordinates the development of command, control, and communications capabilities according to the IEM plan.
- Coordinates the development of evacuation management and mass care capabilities.
- Coordinates preincident recovery planning and preparations, including facility surveys for use in damage assessment activities.
- Reviews training and certification reports for compliance with plan requirements.
- Reviews exercise and evaluation reports for compliance with plan requirements.
- Reviews after action reports (AARs), improvement plans (IPs), and corrective-action plans (CAPs) to identify plan deficiencies and make applicable updates on an annual basis or as required.
- Coordinates the implementation and completion of CAPs.
- Supports installation status reporting, including EM-related service areas.
- Collects, validates, and prioritizes budget and financial requirements for submission into the program objective memorandum process.

TENANT AND TRANSIENT UNITS

1-43. Tenant and transient unit commands, located on military installations worldwide, perform the following functions:

- Reports the EM status and capabilities to the installation emergency manager upon arrival at the installation and updates that status annually. The installation emergency manager includes these capabilities into the IEM plan as appropriate.
- Provides the applicable staffing, resources, and training to support coordinated and sustained operations.
- Coordinates installation responder and tenant EM plans, checklists, and operating instructions with the IEM plan; and ensures that installation responder and tenant IEM plans integrate assumptions and resources between them.

- Participates in IEM training and exercises as requested by the installation commander.
- Participates in IEMWG.

SUMMARY

1-44. In the United States, EM is structured according to the guiding national principles found in the NRF, NIMS, NPG, and ICS. All IEM plans and activities comply with this guidance. This instruction promulgates a comprehensive, all-hazards EM framework that is organized into the following four integrated phases: prepare, respond, recover, and mitigate. In the planning and execution of an IEM program, installation commanders consider the unique factors of their own operating environment. Installation staffs are cognizant of their roles and responsibilities in the creation and implementation of an IEM program.

Chapter 2

Prepare

Preparedness consists of the activities that occur before the onset of an incident or event to prepare personnel, installation tenants, emergency responder elements, and the base population for the eventual response to, and recovery from, an emergency. These activities may decrease the effects of a hazard or threat, decrease the likelihood of occurrence, and/or increase the resilience of the installation. Activities completed during the preparation phase include—

- Planning.
- Reconnaissance.
- Interagency coordination.
- Training, exercises, and evaluation.
- Resource management.
- Instilling community awareness.

ACTIONS

2-1. The four phases of IEM were introduced in chapter 1. (See figure 1-1, page 1-4.) The prepare phase is highlighted in figure 2-1.

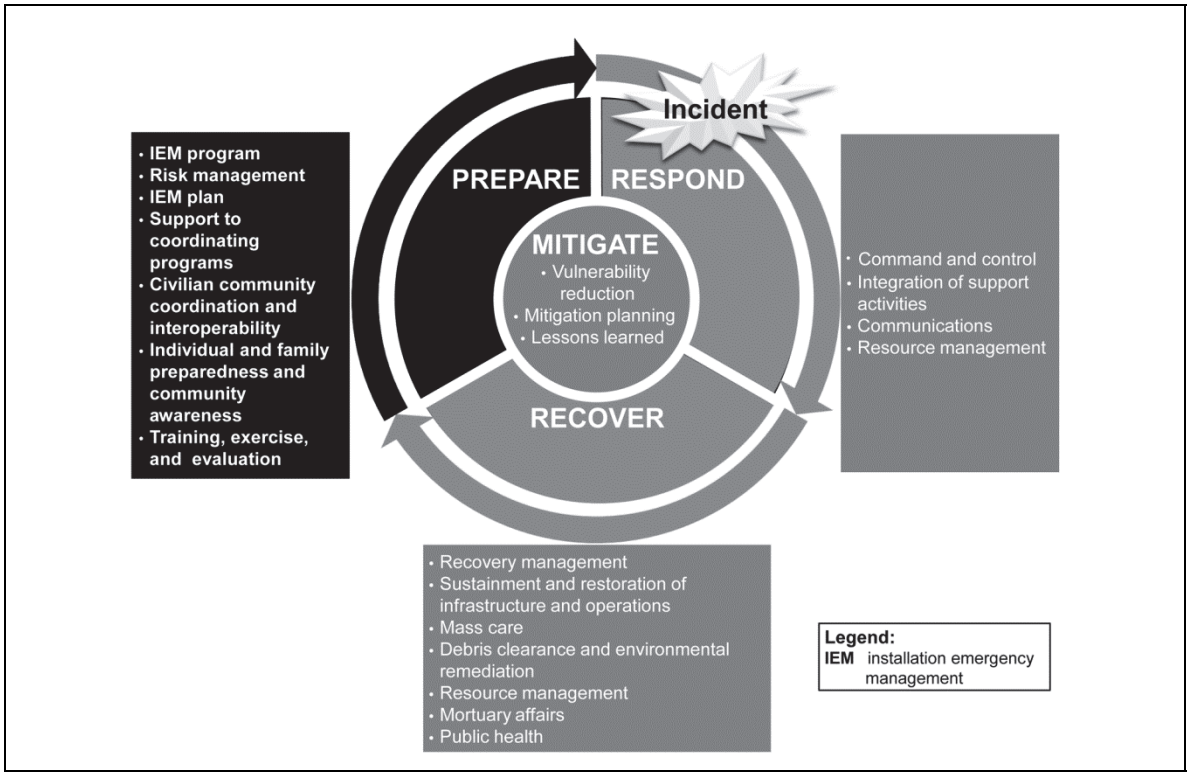

Figure 2-1. Prepare phase

2-2. Table 2-1 outlines the major functions and corresponding activities associated with the prepare phase.

Table 2-1. Prepare phase functions and actions

Functions	*Actions*
IEM program	• Designate key personnel. • Establish the IEMWG. • Select an EOC and alternate location.
Risk management	• Conduct a VA. • Perform a hazard and/or threat assessment. • Develop a capabilities assessment. • Review and update at least annually or as needed.
IEM plan	• Analyze the outcome of the risk management process. • Identify writing assignments. • Use the appropriate template, vetted through the corresponding Service. • Coordinate the plan with support agreements. • Review and update the plan at least annually or as needed.
Support for coordinating programs	• Coordinate the IEM plan with AT/FP. • Coordinate the IEM plan with other associated plans (for example, COOP plans for mission-essential functions and CIP plans for CIKR).
Civilian coordination and interoperability	• Establish, review, and maintain applicable support agreements with neighboring civilian agencies as appropriate. • Coordinate IEM planning efforts with tenant and transient units, and ensure that IEM plans and procedures are incorporated into tenant and transient unit plans. • Ensure that the plans and resources are interoperable with installation entities and neighboring civilian agencies to the greatest extent possible.
Individual and family preparedness and community awareness	• Create an informed installation community through targeted outreach programs for individuals and families. • Build community resilience through awareness.
Training, exercises, and evaluation	• Ensure regular, cross-functional training and exercise opportunities for installation personnel. • Standardize, report, and evaluate training and exercise efforts.

Legend:

AT	antiterrorism
CIKR	critical infrastructure and key resources
CIP	critical infrastructure protection
COOP	continuity of operations
EOC	emergency operations center
FP	force protection
IEM	installation emergency management
IEMWG	installation emergency management working group
VA	vulnerability assessment

INSTALLATION EMERGENCY MANAGEMENT PROGRAM

2-3. Consistent with DODI 6055.17, DOD installations develop, implement, and sustain IEM programs to encompass all hazards. The goals of each program include preparing for, responding appropriately to, and recovering from emergencies.

KEY PERSONNEL

2-4. The installation emergency manager is the day-to-day coordinator of the installation IEM program and is essential to the success of each program. Installation emergency manager responsibilities are listed in chapter 1 and in DODI 6055.17.

2-5. Each IEM program categorizes personnel by using the definitions outlined in DODI 2000.16 to identify and manage personnel resources of emergency responders, first responders, critical personnel, and essential personnel.

INSTALLATION EMERGENCY MANAGEMENT WORKING GROUP

2-6. The IEMWG is a key element of the IEM program and provides a mechanism for coordination of installation functions and delineation of EM responsibilities within the installation. Consistent with DODI 6055.17, the IEMWG—

- Is established under the direction of the installation commander and the installation emergency manager.
- Meets at least quarterly.
- Includes the following suggested members:
  - The installation commander or commander's representative.
  - The program coordinator (such as the installation emergency manager).
  - The senior installation chaplain.
  - Representatives from antiterrorism (AT), CBRN, explosive ordnance disposal (EOD), medical, disaster behavioral health, safety, public health, logistics, legal, security, fire and emergency services (F&ES), public affairs, and tenant and subordinate commands and units.
- Ensures that the activities associated with establishing and sustaining the IEM program are performed according to this and other appropriate instructions and directives.

EMERGENCY OPERATIONS CENTER

2-7. Consistent with DODI 6055.17, an EOC is the distinctive location at which the coordination of information and resources to support the incident commander (IC) occur. The EOC is activated to support on-scene response during an escalating incident by relieving the burden of external coordination and securing additional resources.

2-8. The EOC consists of personnel and equipment appropriate for the incident level and can manage multiple incidents and planned events.

2-9. The EOC is usually located near the center of the base or installation, close to the administrative offices and other emergency services such as fire response and medical services. This allows prompt response for commanders, support personnel, and emergency response team members. EOC management administrative offices are located in the EOC, and all EOC team members have rapid access to the EOC. Base commander offices are usually nearby. Also, careful consideration of the EOC location with respect to supplemental EOC staff resource locations, will allow for a timely response. Such a location and the day-to-day use of the EOC help ensure the immediate availability of key personnel and communications.

Note. Unified Facilities Criteria (UFC) 4-141-04 is the DOD source document for establishing and updating an installation EOC according to HSPD-5.

2-10. If a risk area is identified, the EOC is located away from the area of highest risk. Risk areas may include major fault lines; flood surge zones; floodplains; dam inundation zones; fire pathways; central areas subject to conflagration; avalanche paths; areas of unstable soil; HAZMAT production or storage facilities; nuclear plants, waste storage, or transportation pathways; and railways that transport HAZMAT. The following are additional location considerations:

- Determine the level of mitigation that may be required in response to the hazard if the location options place the EOC within—
  - A hazard source zone.
  - The explosive safety quantity distance arc.
  - A prescribed 10-mile radius of a nuclear power plant emergency planning zone.
- Identify utility locations, including underground and overhead lines for electrical power, water supply, sewer, gas or petroleum, communications, and other utilities that may be in the planning zone.
- Ensure that the EOC is located in an area where it can be secured.
- Identify site perimeters, perimeter barriers and fences, control gates, and other means of securing site perimeters.
- Make soil bores to determine subgrade conditions that could impact EOC survivability in a disaster incident.
- Identify where the command administration is located, and provide access for military command personnel to the EOC.
- Identify the location of emergency response and support services including law enforcement (LE), fire, medical, transportation, public works and engineering, munitions range control, and other relevant support services.
- Locate the EOC where congestion will not hinder access and where other contiguous facilities cannot impair EOC functions.
- Locate the EOC where radio and other communication systems can operate most advantageously, have the most coverage, and are away from radio interference such as power lines and tall metal structures.
- Verify that the site has an adequate area for the EOC building, required setbacks, and parking.
- Determine the type of available parking (surface versus garage) and if the parking can be secured.
- Determine if the site can accommodate helicopter access.
- Identify flight paths near the EOC site.
- Identify nearby active commercial, private, and military airports.
- Ensure that the EOC is not exposed to overhanging trees or forest from which wind-blown debris can strike the EOC.

Note. Debris and dust can damage essential EOC equipment such as antennas; heating, ventilation, and air conditioning (HVAC); and generator motor filter systems.

2-11. The EOC site should be easily and quickly securable in the event of an emergency. This includes the protection of—

- Staff.
- Buildings.
- Communication systems.
- Utility services.
- Transportation services.

2-12. The location within a building is an important factor. The first consideration is given to subgrade locations where the EOC is protected from blast, windborne debris, windstorms, and other hazards. Special caution is given when EOC locations are proposed on upper floors of structures since access can be

hindered by nonworking elevators and compromised egress stairs. Upper floors may also be more susceptible to windstorm damage.

2-13. Verify that the facilities selected for EOC use have ample area to create large operations and communication rooms and that they have the additional area necessary for support spaces. Verify that the facility has, or can accept, the infrastructure to support the protection, cabling, and environmental control necessary in the EOC. Verify that the exterior envelope is at, or can be upgraded to, the necessary EOC protection levels.

2-14. The EOC should not be located in a high-rise building or next to a high-rise building that can collapse. The following are additional areas of concern:

- Possible expansion requirements when locating the EOC.
- Compatibility of other functions with the EOC if the proposed facility will be occupied by those other functions.
- Increased security necessary for the EOC during full operations impairs the functions of other tenants.
- Subgrade water when locating EOCs in subgrade building areas.

Note. Although designs may be contrived to withstand groundwater pressure during normal operating procedures, damage to EOC subgrade structures may allow water (under pressure from bomb or earthquake shock, liquefaction, or flooding) to enter into the EOC.

2-15. Plan an alternate site for the EOC. In addition to the primary EOC, an alternate location is planned in the event that the primary EOC cannot perform its function. The alternate EOC becomes the primary command and control point when the primary EOC is disabled.

2-16. The secondary site is prepared and is capable of immediate activation, and relocation plans for moving staff and essential items (such as secure documents) to the alternate site are in place. The alternate site is selected to minimize, to the greatest extent possible, the degree to which the major hazards that impact the primary EOC will affect the alternate site. Usually, criteria that apply to the primary EOC will apply to the alternate EOC. The following are some considerations for selection of a secondary site:

- Consider the relationship of the alternate EOC to the base or installation administrative centers and emergency services.
- Consider the accessibility of the site by the emergency operations team. (While the alternate EOC is at a different location to avoid both centers being disabled by the same event, access for staff from their normal duty posts is an essential concern.)
- Consider placing the alternate EOC at a site served by roadways other than those that serve the primary EOC. (Particular attention is given to access routes that could be blocked by flooding, rail lines, traffic congestion, or other features that can be circumvented by the alternate site.)
- Verify that the alternate EOC has adequate parking.
- Determine how the resident function will be performed during an incident if the alternative EOC has a dual-use function.
- Verify that the resident function will be suspended during EOC use of the alternate facility.

Note. The EOC has redundant power and telecommunications. It is fed from two grids and has a second telecom network in the building.

RISK MANAGEMENT

2-17. EM planning is predicated on critical asset, threat/hazard, vulnerability, consequence, and response capability assessments. These assessments are used to evaluate the ability of an installation to respond to a threat/hazard, protect the population on the installation, and implement strategies to mitigate risks.

2-18. Risk management is a comprehensive process and a critical planning element of IEM that allows for the estimation of the necessary elements before, and continuous with, the development of the IEM plan. (Additional information regarding risk management is outlined in appendix B.)

2-19. IEM risk management is a continuous process. After the IEM plan is promulgated, the installation senior staff members schedule periodic follow-ups to reassess IEM preparations. These periodic follow-ups help ensure that necessary resources remain properly deployed, prepared, and synchronized to successfully execute IEM tasks. Reassessments occur at least annually before an update or review of the IEM plan and concurrently with changes in threat or unit and resource availability.

2-20. Issues that justify and prioritize hazards/threats used for planning are well documented so that the facts governing these decisions can be reviewed with each risk management process review.

VULNERABILITY ASSESSMENT

2-21. The VAs allow commanders to take a holistic look at installation strengths and weaknesses compared to the operating environment and identified threats. VAs are conducted annually (before the update or review of the IEM plan) using joint staff/defense threat reduction agency vulnerability assessment benchmarks, consistent with DODI 6055.17. The assessment results determine the basis and justification for IEM program enhancements, program planning, and budget requests.

THREAT/HAZARD ASSESSMENT

2-22. Consistent with DODI 6055.17, installations perform threat/hazard assessments in coordination with the assessments performed for AT and the Defense Critical Infrastructure Program (DCIP). Threat/hazard assessments use the joint staff/Defense Threat Reduction Agency vulnerability assessment benchmarks, Service guidance, or combatant command guidance to address the broad range of hazards/threats to the installation and personnel. The assessment identifies hazards/threats and the likelihood of them occurring. After the threats/hazards are assessed, efforts are necessary to mitigate their potential effects and to prevent them from affecting the installation and its associated mission-essential functions.

CAPABILITY ASSESSMENT

2-23. Consistent with DODI 6055.17, installations conduct capability assessments and consider contingency planning activities. The objectives of the capability assessment are to—

- Consider the range of identified and projected response capabilities necessary for responding to hazards.
- List installation resources by type to provide an asset capability report.
- Review policy, guidance, and planning documents to identify the mission-essential tasks and functions assigned to the organization.
- List installation personnel who have mission-essential EM responsibilities.
- Identify costs associated with assessment outcomes for future budget planning.

INSTALLATION EMERGENCY MANAGEMENT PLAN

2-24. Consistent with DODI 6055.17, each installation IEM plan is comprehensive, covers all hazards, and is designed to support preincident planning, mitigation, emergency response, and recovery. The IEM plan is flexible enough for use in all emergencies and is detailed enough to provide a course of action for installation commanders to apply to an unexpected event. Elements of the IEM plan are further detailed in appendix C.

2-25. The IEM planning and development begin with reviews of the operating environment and the structure of the installation command and staff. Military planning processes develop these assessments and estimates into the final IEM plan. Some Services may use the Federal Emergency Management Agency (FEMA) Comprehensive Preparedness Guide (CPG) 1-01 to structure their planning process.

2-26. IEM plans are reviewed at least annually (sooner if conditions warrant) to ensure the integration of changes in threats, VAs, capabilities, and command relationships with civil authorities. Other appropriate triggers for IEM plan review include results and AARs from training, exercises, and actual events.

2-27. The installation commander and staff have the primary responsibility for ensuring the development and maintenance of the IEM plan. Under the direction of the command, the installation emergency manager and the IEMWG develop, maintain, execute, and revise the IEM plan according to the specifications of this and other instructions and directives, as appropriate.

2-28. IEM plans are developed with a clear understanding and identification of the mission-essential functions of the installation. According to the DOD mission assurance strategy, the first pillar of mission assurance is the identification and prioritization of mission-essential functions and supporting assets and systems. The COOP community has defined a mission decomposition architecture that can be used to define these assets. Installations should review this architecture on a routine basis as part of operational planning.

2-29. The individual elements of the IEM plan are included in applicable installation-specific EM exercises to ensure that assigned personnel are well prepared in their individual roles. All IEM plans are coordinated with tenant, federal, state, local, other Service, and/or private (or HN) response and/or recovery partners. For details on plan development and maintenance, including the construction of the threat/hazard vulnerability and risk assessment, see appendixes B and C.

2-30. Installation preparedness includes tracking and disseminating information about the threat environment. The installation may use different methods to track and disseminate specific threat/hazard information. These mechanisms are considered for incorporation into the IEM plan.

SUPPORT FOR COORDINATING PROGRAMS

2-31. IEM programs coordinate with existing installation protection programs to the extent that their objectives and responsibilities overlap or complement one another. IEM maintains an active dialogue with the AT, COOP, and CIP programs on the installation to ensure the coordination of efforts and resources.

ANTITERRORISM/FORCE PROTECTION

2-32. Consistent with DODI 2000.16, the AT program is one of several security-related programs that fall under the overarching combating terrorism and force protection (FP) programs. The AT program is a collective, proactive effort focused on the prevention and detection of terrorist attacks against DOD personnel, their families, facilities, installations, and infrastructure critical to mission accomplishment and on the preparation to defend against, and plan for, the response to the consequences of terrorist incidents. AT and EM programs coordinate plans for terrorism CM preparedness and response measures and continued essential military operations.

CONTINUITY OF OPERATIONS

2-33. The purpose of a COOP program is to provide for the continual operation of installation mission-essential functions and associated critical mission facilities (CMFs) throughout an emergency. A COOP is a separate process from EM; however, the management of emergencies is interrelated with, and highly dependent on, full COOP planning efforts and the coordination of EM plans with COOP plans at installation, local, and regional levels. The responsibility of the installation is to support such efforts and ensure that installation level services required to execute the COOP plan of the mission-essential function are developed and made available during a contingency requiring the activation of the COOP plan. It is the responsibility of the commander in charge of the mission-essential functions to sign the applicable COOP plan, finance the identified requirements, and coordinate COOP requirements with the installation, specifically through the IEMWG.

2-34. A COOP program involves—

- Protecting infrastructures deemed critical to force and materiel readiness and operations in peace, crisis, and war.
- Mitigating the loss or disruption of mission-essential functions and planning for timely restoration or recovery of mission-essential functions through an appropriate devolution of the operations plan.
- Planning for the dependence on other assets (infrastructures, utilities, facilities, private sector services, other government departments and agencies) to help accomplish the installation mission.
- Coordinating with private and nonmilitary asset owners on the security and protection of critical civilian infrastructures and assets.
- Maintaining information sharing, cooperative agreements, and outreach efforts with the private sector, including partnerships with state and local governments and HNs.

2-35. Based on DODD 3020.26 and DODI 3020.42, certain mission-essential functions and associated CMFs are capable of remaining uninterrupted or resuming function during the first 12 hours after the occurrence of an emergency and through the full resumption of all functions. During an emergency, most of the mission-essential functions may be relocated to a complementary CMF at another location or at a designated emergency relocation site (ERS). The capability to perform mission-essential functions at alternate sites is fully operational as soon as possible, but no later than 12 hours after COOP activation. Detailed information on COOP planning and implementation can be found in DODI 3020.42.

2-36. The identification and criticality of mission-essential functions are examined by determining the consequences of their nonperformance. After a function has been deemed mission-essential, it is prioritized in relation to other mission-essential functions. Consistent with DODI 3020.42, areas for consideration as mission-essential include, but are not limited to—

- Command and control.
- Command decisions and strategies.
- Crisis communications.
- Crisis data storage, retrieval, and security.
- Legal obligations.
- Fiscal and contractual obligations.
- Personnel.
- Critical support to or from other DOD installations, components, agencies, or departments.

2-37. The COOP plan provides preplanned processes, assets, and the concept of operations that the organization is required to have in place to manage the response, recovery, and reconstitution of mission-essential functions after an event. COOP planning involves identifying and documenting mission-essential functions and supporting CMFs. The COOP plan is built on the results of a thorough VA. The installation and the accompanying commands of each mission-essential function and supporting CMF develop and maintain a COOP plan pertaining to their organization. Each of these COOP plans aligns with the other coordinating COOP plans as appropriate. Mission-essential functions and associated CMFs review their COOP plan annually and submit changes to the supporting installation emergency manager.

2-38. COOP plans also contain—

- Organizational structure, succession to command, and delegation of authority to appropriate staff data.
- Personnel manning requirements and procedures to ensure that sufficient, qualified personnel are available throughout the duration of the emergency.
- Logistics plans to sustain operations at the ERS.
- Lists of mission-essential documents and equipment to be made available at the alternate site.
- A plan for the devolution of operations.
- Higher headquarters reporting requirements.

- Training requirements for COOP positions critical to maintaining command and control during emergencies, including personnel designated to staff the ERS.
- A security element personnel requirement to protect staff and safeguard classified references and material.

2-39. An excellent series of templates for COOP and devolution of operations planning can be found at <http://www.fema.gov/government/coop/index.shtm>. These templates were constructed for federal agencies; however, they can be customized for use at the military installation level.

2-40. FEMA has constructed a continuity assistance tool for nonfederal entities to identify continuity strengths and areas for improvement. It can be easily tailored to fit the needs of an installation evaluating its own continuity readiness. The tool can be found at <http://www.fema.gov/pdf/about/org/ncp/cat.pdf>.

CRITICAL INFRASTRUCTURE PROTECTION

2-41. The CIP program identifies, assesses, and enhances the security of physical and cyberspace assets and associated infrastructures essential to the execution of the *National Military Strategy*. Military operations are heavily dependent on shared critical infrastructure and key resources (CIKR). This interconnectivity better enables mission accomplishment; however, it also increases vulnerability to human error, natural hazards, and physical or cyberspace attacks. Therefore, it is imperative to identify, protect, and ensure the continuity of mission-critical infrastructures. As with COOP, CIP is a separate process from EM, yet the management of emergencies is interrelated with, and highly dependent on, full CIP planning efforts and coordination of EM plans with CIP plans at installation, local, and regional levels.

2-42. Consistent with the Department of Homeland Security (DHS) Critical Infrastructure and Key Resource Center documents (available at <http://training.fema.gov/EMIWeb/IS/IS860a/CIKR/index.htm>), critical infrastructures are the assets, systems, and networks, whether physical or virtual, whose damage or destruction would weaken national defense or economic security, as in the elimination of critical services or capabilities to an identified mission-essential function or associated CMF. Key resources include publicly and privately controlled resources essential to the operations listed above.

2-43. Consistent with the *National Infrastructure Protection Plan*, the CIP program involves—

- Identifying critical resources, assets, systems, and networks.
- Identifying internal and external vulnerabilities to those resources and assessing their risks.
- Recognizing the relationship between vulnerabilities and operational readiness.
- Prioritizing assets in relation to their operational criticality and risk level.
- Mitigating/managing the vulnerabilities and employing resiliency strategies, if possible.
- Measuring the effectiveness of mitigation efforts.
- Planning for contingencies, including dependence on others assets (infrastructures, utilities, facilities, services of the private sector, other government departments and agencies) to help accomplish the installation mission.

2-44. A risk management-based CIP plan is developed and maintained. The plan aligns with other coordinating CIP plans, including neighboring civilian agency plans, as appropriate. When requested, host installation and tenant commands develop and submit local plans for CIP remediation and mitigation, CIP tabletop and field exercises, and local CIP best practices. Each installation evaluates existing support agreements (including MOUs, MOAs, MAAs, and ISSAs) as the basis for integrating their CIP tasks. The evaluation of support agreements identifies installation risks and vulnerabilities that are created by a reliance on other Service, government, or civil sector infrastructures and key resources. The evaluation also identifies tools to reduce risks and vulnerabilities or to ensure the protection of those assets and mitigate their associated risks.

2-45. On an installation level, CIP is not usually within the purview of the installation command or the IEM staff. The owners or operators of the utilities or services are usually responsible for this function. As on the federal level, building partnerships with controlling agencies increases the likelihood that infrastructure and resources are available to the installation during an emergency.

2-46. Each installation emergency manager maintains information sharing, cooperative agreements, and outreach efforts with the private sector (including partnerships with state and local governments and HNs) to identify collaborative avenues in the protection of infrastructure that is vital to the installation and its mission.

2-47. DODI 2000.16 delineates the needed installation and higher headquarters review and reporting for CIP from an AT perspective. For more information on CIP, see DODD 3020.40 and DODI 3020.45 and review the FEMA Emergency Management Institute courses available online, IS-860.a, The National Infrastructure Protection Plan, and IS-821, Critical Infrastructure and Key Resources Support Annex.

CIVILIAN COORDINATION AND INTEROPERABILITY

2-48. A major objective of preparedness efforts is to ensure mission integration and interoperability in response to emergent crises across functional and organizational lines and between public and private organizations. This integration effort includes interagency coordination, coordination with tenant and transient units on the installation, and the interoperability of procedures and resources with civilian counterparts.

COORDINATION

2-49. Responding to an incident on an installation may require all existing installation first and emergency responder assets. If installation organic response capabilities are exceeded or do not exist for a particular hazard or threat, installation commanders may require assistance from nearby federal, state, local, other Service, and/or private (or HN) capabilities to effectively respond to, and recover from, an incident. Close liaison with these agencies and departments in advance is essential to ensure that adequate resources are available when required.

2-50. Each installation ensures that IEM plans of various components and tenants within the installation have been thoroughly coordinated with each other; with the response plans of local, state, and federal organizations; and with the plans of joint task forces, multinational forces, or HN forces and organizations. Coordination is necessary to identify and update responsible points of contact, emergency protocols, and expectations in the event of an incident on (or of an incident that impacts) a DOD installation consistent with DODI 2000.16, DODI 6055.06-M, and National Fire Protection Agency (NFPA) 1600. Coordination also helps ensure the sharing of information pertaining to locally available technologies and capabilities that may provide early warning of a potential threat or hazard (biomonitoring, chemical or radiological detection, intrusion detection, decision support tools).

2-51. Consistent with DODI 6055.17, installation commanders may develop or provide input to support agreements with local emergency services, including local EM agencies. These support agreements include MAAs or other support agreements written as MOAs, MOUs, ISSAs, SOFAs, or support contracts. Installation legal counsel personnel assist in the preparation of the agreements and perform a legal review of them before execution. The support agreements are reviewed and exercised at least annually, and the contents of each support agreement are seamlessly integrated into the IEM plan.

2-52. MAAs enable installations and local, state, and federal organizations to provide resources, facilities, services, and other required support to one another during a life-threatening or significant property-threatening incident. Preestablished MAAs with private organizations are necessary to facilitate the timely delivery of assistance at the appropriate organizational level during incidents. MAAs include, at a minimum, the following elements or provisions:

- Definitions of key terms used in the agreement.
- Roles and responsibilities of individual parties.
- Procedures for requesting and providing assistance.
- Procedures, authorities, and rules for payment, reimbursement, and allocation of costs.
- Notification procedures.
- Protocols for interoperable communications.
- Relationships with other agreements among organizations.
- Procedures for workers' compensation.

- Immunity and liability rules and treatment.
- Recognition of qualifications and certifications.
- Sharing agreements, as required.
- Periods for review.
- Cancellation procedures.

2-53. Maintaining effective coordination and liaison between installation, tenant, and transient units is the responsibility of all those concerned. Preferably, before their first arrival at an installation, the EM representative of the transient unit will initiate specific coordination measures and information exchanges with the installation command regarding operational, intelligence, or logistics needs that the transient unit may require, or be able to provide to, the installation.

2-54. Adequate preparation and coordination is essential to the success of the liaison and coordination activities from the installation and a tenant, transient unit, or annex. Coordination is an integral part of the planning process, and it is important that the tenant and transient units maintain a full understanding of the installation commander's emergency response plan.

2-55. Consistent with DODI 6200.03, each MTF or equivalent ensures that force health protection measures and public health EM are integrated into existing DOD installation and/or military command emergency preparedness and response plans and agreements. Each installation coordinates with the nearest MTF command to ensure parallel efforts and synchronized expectations for preparedness and response between the installation and MTF. Medical response plans for the installation and MTF interface with corresponding local, state, federal, or HN agency EM activities.

INTEROPERABILITY

2-56. Consistent with DODI 6055.17, DODI 3020.52, and PPD 8, IEM programs are interoperable with EM efforts in their civilian mutual aid community or HN to ensure an effective and efficient emergency response. Interoperability includes the technical exchange of information, IEM systems, processes, procedures, organizations, and missions and is balanced with information assurance.

2-57. The interoperability requirements of equipment, communication systems, and other EM capabilities are identified and improved through interagency collaboration, coordination, and participation in all aspects of EM. Interoperability efforts can also be improved through the mutual inclusion of civilian agencies in installation exercises and training and through the participation of key installation personnel in local community exercises.

INDIVIDUAL AND FAMILY PREPAREDNESS AND COMMUNITY AWARENESS

2-58. Individual and community preparedness is a time and resource multiplier for the installation emergency response effort. Help may not always arrive when expected; therefore, an installation can implement individual and family preparedness efforts to ensure that personnel, their families, and other community members are prepared to immediately respond to emergencies on their own until help becomes available. A well-informed community will prevent an unnecessary delay of response efforts, and their resilience will allow activated responders to concentrate on mitigating the hazard and initiating recovery operations.

INDIVIDUAL AND FAMILY PREPAREDNESS

2-59. Per PPD 8 and HSPD 21, the responsibility for proper emergency preparedness extends to the family and individual level. The proper preparedness of both the individual and the family is essential to the overall success of an IEM program, especially due to the reliance on evacuation, movement to safe haven, movement to shelter, lockdown, and shelter-in-place (SIP) as the primary protective strategies for many families and individuals associated with the installation community. Installation personnel are highly encouraged to develop a personal or family emergency plan (including a plan for pets) and to develop and maintain a personal or family emergency kit.

2-60. Military families and individuals (especially those stationed abroad) have unique emergency readiness considerations that distinguish them from the general population. Families and individuals associated with an installation have likely often moved to new locations and may not have a strong understanding of possible evacuation routes or locations of emergency supply stores if they are new to the area. They also may not speak the native language of their HN. In addition, while much of the general population relies on other family members in their area during an emergency, members of the military community are less likely to live near extended family. On the positive side, because installation community members are accustomed to relocating often, they are uniquely prepared for certain aspects of emergency readiness, such as the collection and recording of important personal and financial records before an evacuation.

2-61. Detailed preparedness guidance, especially regarding planning and family or individual preparedness kits, is available at the FEMA Web site <http://www.ready.gov>. This site also has a section dedicated to the unique considerations of military family preparedness that links to Service-specific public awareness programs.

COMMUNITY AWARENESS

2-62. Successful response operations begin with building a resilient military community that is actively engaged in installation preparedness efforts. Installation personnel may recognize the hazard first and notify the installation dispatch center by dialing 9-1-1 or another local emergency number. Installation personnel may also be inclined to actively engage in response efforts, including organizing evacuation and sheltering plans, performing initial treatment of the wounded, and gathering and providing information to first responders.

2-63. Achieving a resilient community requires a targeted public awareness program and quality outreach products. Service-specific programs (such as Ready Army, Ready Air Force, and the Navy's Operation Prepare) are proactive programs that increase the survivability and resilience of military community members by informing them about relevant hazards, appropriate response procedures, and contamination avoidance measures and by encouraging them to have an emergency plan and kit.

2-64. It is imperative that the community be engaged early and often in the planning and preparation process of the IEM program. Key partners in the installation effort to build a resilient community may include Fleet and Family Readiness (U.S. Navy [USN]); the public affairs office; morale, welfare and recreation; housing and welcome centers; and others. Community awareness programs are regularly scheduled events that can occur at in-processing or during annual training and are recurring throughout the year via various venues, such as the post newspaper or family assistance Web sites.

2-65. Before an event, the community can be involved in a dialogue with the installation and its key partners to provide outreach materials tailored to address local emergency threats. This awareness program can also target specific audiences (families with children or pets, special-needs individuals, unmarried people) and convey the following information:

- Where to get information before, during, and after an emergency.
- What actions are required of them in the event of an incident on or near the installation.
- How to prepare individual and family preparedness plans and why they are important.
- How to prepare emergency kits for themselves, their families, and their pets.
- What services to expect from the installation before, during, and after an incident.

TRAINING, EXERCISES, AND EVALUATION

2-66. IEM organizations and personnel at all levels have opportunities for individual, collective, and collaborative training and exercises to effectively provide the installation with an all-hazards incident management capability. The value of these training and exercise programs is continually and consistently evaluated internally and externally to ensure relevance and validity for IEM capability development.

TRAINING

2-67. IEM programs establish minimum training standards for the effective management of all-hazards emergencies. Installations train to perform individual and collective EM tasks as units and joint forces. Licensing and certification standards vary based on geographical locations and available equipment on the installation. Commanders ensure that operators are fully trained to complete their assigned missions. Training is provided to HN military and civilian work forces and U.S. contractors on the installation.

2-68. To ensure an effective response, an installation-wide, cross-functional training program is implemented. Thorough training is required to prepare individuals and emergency teams to safely and efficiently respond to an incident at their required level of proficiency.

2-69. The implementation of a strong IEM training program creates awareness across the installation and enhances the skills of individuals with assigned EM functions or responsibilities. The active use of such readily available training and educational materials also helps ensure an appropriate level of competency of installation commanders, responders, technicians, specialists, and the base population.

2-70. Consistent with DODI 6055.17, the lead functional area for each mission-essential task tracks and reports the training provided to personnel. Reporting is consistent with DODD 7730.65 and may be augmented by DOD component-specific policies and procedures.

2-71. Numerous courses and training opportunities are available from various government and private sources. The installation emergency manager can tailor program training needs to meet specific mission requirements. Minimum training requirements for general all-hazards awareness, EM personnel, and first responders at all levels of the management structure can be found in DODI 6055.17.

EXERCISES

2-72. Education and training are not enough to prepare an installation for an incident. The use of realistic exercises ensures that the installation is prepared for, and can efficiently conduct operations under, emergency conditions. Exercises are conducted at regular periodicity as directed.

2-73. Exercises are conducted according to DODI 6055.17. Examples of guidance and information found in this reference include—

- A capability gap analysis.
- A response capability assessment.
- Frequency and functional requirements for exercise design and execution.
- An exercise evaluation.
- Corrective-action mechanisms.

2-74. Exercises include participants from all emergency response functions on the installation and, when possible, from appropriate tenants and local, state, federal, and HN participants using existing support agreements to ensure the proper integration into the IEM plan. Each exercise includes realistic scenarios that the installation could face based on the current hazard assessment. Each exercise is designed to evaluate specific critical missions or tasks within the overall training scenario.

2-75. When appropriate, installations located outside the United States align their installation exercise and training schedules with those of the combatant commander, the HN, and the Department of State (DOS). Installations located within the United States consider aligning their installation exercise and training schedules with those of the Department of Justice, the DHS, and state and local preparedness programs, as appropriate. Such synchronized training and exercise opportunities will further foster well-synchronized responses to IEM incidents.

2-76. Each exercise provides realistic master scenario event lists that exercise each element of the installation emergency response plan. Unexpected challenges (such as disabling key personnel and equipment) are included to assess the resiliency of the response process.

2-77. Tabletop exercises can be used to provide installation leadership and staff with opportunities to war-game multiple scenarios. Tabletop training exercises are specifically designed to train leaders to execute critical missions and critical collective tasks.

2-78. Consistent with DODI 6055.17, ensure that all members of the installation exercise evaluation team are familiar with the Homeland Security Exercise and Evaluation Program (HSEEP). HSEEP is a capability- and performance-based exercise program that provides a standardized methodology and terminology for exercise design, development, conduct, evaluation, and improvement planning. Information on HSEEP courses is available online at <https://hseep.dhs.gov/pages/1001_HSEEP7.aspx>.

EVALUATION

2-79. A critical weakness in training and exercises is the failure to evaluate each task every time it is executed. Every training opportunity or exercise provides the potential for evaluation feedback. Each evaluation is a training session. Trainers and leaders continually evaluate training and exercises as they are executed to ensure an optimized training and exercise program.

2-80. Evaluations can be internal or external:

- Internal evaluations are conducted at all levels and are implemented into all training and exercises. Installation exercise evaluation teams are established to conduct these internal evaluations.
- External evaluations are administered at the discretion of the chain of command to evaluate its ability to perform critical response missions.

SUMMARY

2-81. Consistent with NIMS, preparedness consists of the activities, tasks, programs, and systems developed and implemented before an emergency that are used to support the prevention of, mitigation of, response to, and recovery from emergencies. These activities can include developing plans and SOPs; assessing and managing risk by conducting hazard assessments and VAs; coordinating functional responsibilities throughout the installation enterprise; and implementing training, exercise, and evaluation procedures.

Chapter 3

Respond

Response operations consist of the actions taken from the initial notification of a potential or actual incident until the transition to the recovery phase. Each installation response occurs under different circumstances, but follows the common framework and incident command structure under NIMS and the NRF, regardless of the type of incident. An installation response depends on whether the installation is in a peacetime or contingency environment, what organic resources are available, what resources must be obtained from off the installation, and what threats currently face the installation.

Note. U.S. Air Force (USAF) installations employ the Air Force Incident Management System when responding to all-hazards incidents. The Air Force Incident Management System is consistent with the framework of NIMS and the NRF.

ACTIONS

3-1. The respond phase is highlighted in figure 3-1.

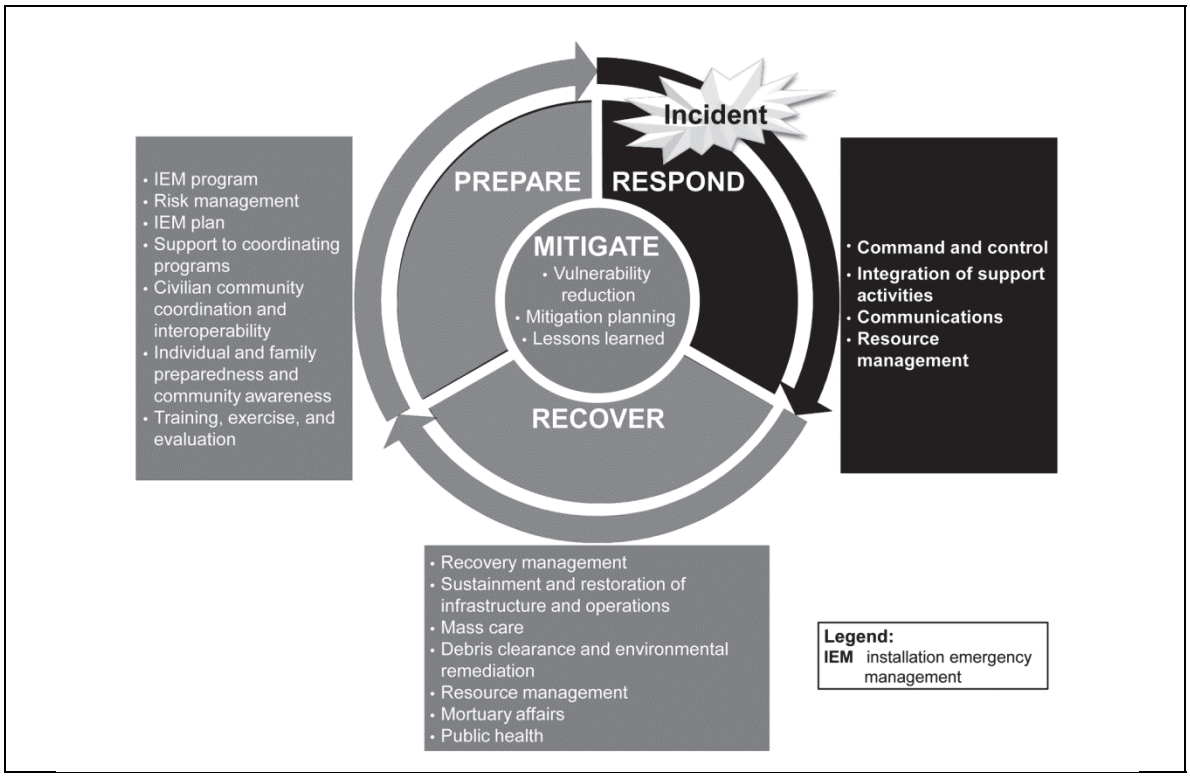

Figure 3-1. Respond phase

3-2. The key components of response include command and control, support activity integration, communication, and resource management. Table 3-1 provides an overview of response actions that are integral to typical emergency responses. Each of these areas is discussed in further detail throughout this chapter.

Table 3-1. Respond phase functions and actions

Functions	*Actions*
Command and control	• Conduct an initial scene assessment. • Activate the ICS. • Maintain SA. • Organize and conduct on-scene response operations (firefighting, emergency medical services, search and rescue, LE, HAZMAT, public works response operations). • Coordinate and manage response operations through the EOC as required. • Manage the sustainment and protection of critical operations and infrastructure. • Conduct personnel accountability operations. • Coordinate and manage emergency cost accounting.
Support activity integration	• Conduct, coordinate, and manage operations for applicable ESFs and functional areas and support annexes (evacuation, mass care, medical and public health, mortuary affairs).
Communications	• Activate and manage the joint information center. • Develop a COP. • Conduct and maintain an incident reporting process. • Coordinate with joint, interagency, intergovernmental, multinational, and HN agencies. • Conduct EPI operations. • Activate and manage a community assistance center.
Resource management	• Identify requirements. • Activate and manage support agreements and contracts. • Order and acquire needed resources. • Mobilize resources. • Manage EOD response operations. • Track and report resource usage. • Recover nonexpendable resources, and demobilize expendable resources. • Track reimbursement requirements. • Maintain inventory.

Legend:

COP	common operational picture
EOC	emergency operations center
EOD	emergency ordnance disposal
EPI	emergency public information
ESF	emergency support function
HAZMAT	hazardous materials
HN	host nation
ICS	Incident Command System
LE	law enforcement
SA	situational awareness

Note. The U.S. Army uses the term *mission command* versus *command and control*.

COMMAND AND CONTROL

3-3. Command and control of the response phase follows the NRF/NIMS framework for the establishment and execution of command functions during a response. Key command elements in a response are discussed in the following sections.

INITIAL RESPONSE ACTIONS

3-4. The initial response phase includes—

- An initial observation and report by the person who discovered the incident.
- The establishment of command and control.
- Mass, internal, and external notifications.
- Immediate and continuous health and safety protection actions.
- Immediate and continuous evaluations of the safety of possible responses.
- Immediate steps to control the source of the hazard, when applicable.
- The activation of local response resources.
- A constant assessment of the situation and maintenance of SA.

3-5. The initial IC usually manages the response by using a series of informal meetings and conversations to gather information from the initial response team and provide response guidance.

3-6. Depending on the size or impact of the incident, demands on the IC can increase quickly and additional personnel can be assigned to critical tracking and communications functions. These initial assignments form the core of a response management organization, performing crucial ICS functions even before a formal ICS process is initiated. If the initial IC determines that an expanded ICS organization will be needed to manage the response, an incident briefing will end the initial response phase.

Note. The USAF utilizes an initial response force, which is the nearest military installation that has a disaster response capability to a major accident involving DOD resources. The Air Force initial response force responds unless directed otherwise. Subject to its capabilities, the initial response force may be tasked to perform rescue operations; accident site security; firefighting; EOD procedures; radiation monitoring; command, control, and communications operations; public affairs activities; and casualty management.

INCIDENT COMMAND SYSTEM

3-7. The ICS is a standardized, on-scene, all-hazards incident management approach that—

- Allows for the integration of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure.
- Enables a coordinated response among various jurisdictions and functional agencies, both public and private.
- Establishes common processes for planning and managing resources.

Note. For details on the ICS TTP, see appendix D.

3-8. The ICS is used throughout the United States and is the recognized standard for on-scene incident management. The ICS is specifically designed to allow response agencies to adopt an integrated, organizational structure equal to the complexity and demand of single or multiple incidents without being hindered by jurisdictional boundaries.

3-9. As outlined in DODI 6055.17, DOD installations have adopted procedures consistent with ICS principles for the management of emergencies covered by the DOD IEM program. Agencies use the system on a day-to-day basis for routine situations and for major emergencies.

3-10. There are two functional centers on the installation during an incident response. They are the incident command post (ICP) and the EOC:

- **ICP.** The ICP is responsible for on-scene response activities and is under the direction of the IC. The IC reports to the installation commander.
- **EOC.** The EOC is responsible for the entire installation-wide response to the event and provides overall command and control (on behalf of the installation commander) of the incident.

Note. USAF organizations employ a third command and control node. This command and control node includes the installation commander and key staff and is called the crisis action team, which operates out of the ICP. This vital command and control node links ongoing incident response actions with the execution of the installation mission operations and maintains vital linkage with higher headquarters.

3-11. Figure 3-2 details the notional interfaces among the installation commander, the IC, the ICP, on-scene operations, and the EOC. The ICP and the EOC are discussed in detail in the following text.

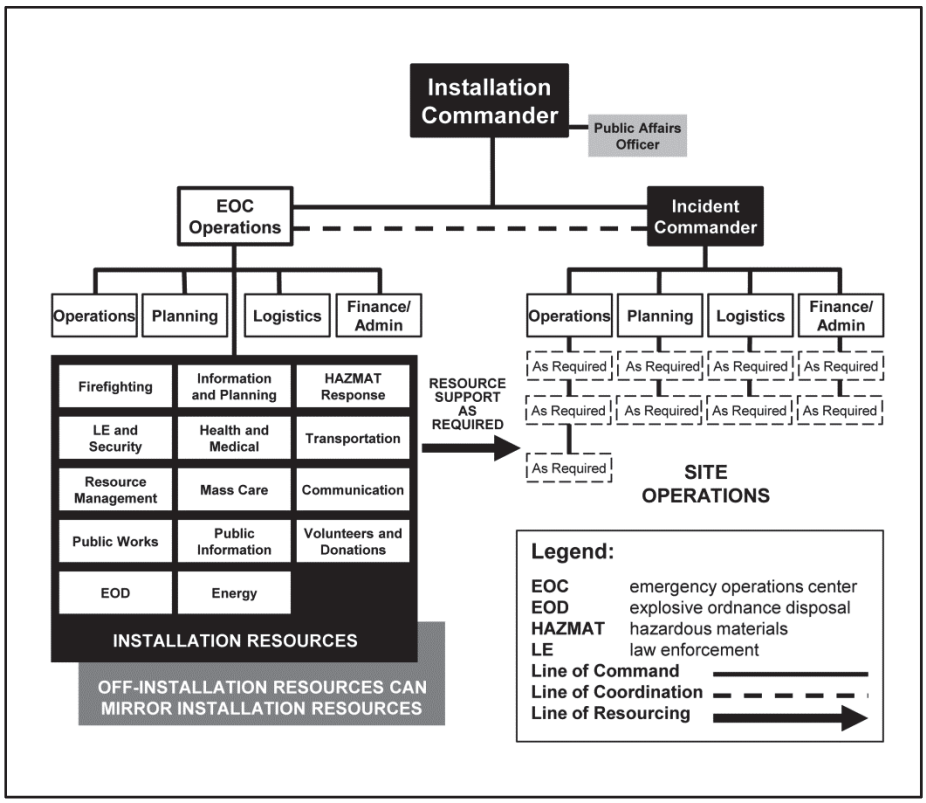

Figure 3-2. ICS interface

INCIDENT COMMAND POST

3-12. When an incident occurs, trained installation personnel initiate the ICS and establish an ICP for on-site response. The ICP is the tactical-level, on-scene incident command and management organization and is typically located at, or in the immediate vicinity of, the incident site.

3-13. Initial safety zones for the establishment of an ICP are defined in the most recent version of the Department of Transportation *Emergency Response Guidebook*. The Emergency Response Guidebook Table of Initial Isolation and Protective Action Distances provides first responders with initial guidance until technically qualified emergency response personnel are available. Distances from the area of impact show areas likely to be affected during the first 30 minutes after materials are spilled. The size of these areas could increase with time.

3-14. The senior installation first responder on the scene of an incident who has the requisite training implements the ICS. The responder assumes the role of the IC and is responsible for directing and controlling resources by virtue of explicit legal, agency, or delegated authority. As the installation response further progresses, the role of the IC may change hands as more qualified first responders arrive on-scene or are appointed by the installation commander. At some point, a UC may be established depending on the magnitude of the event or an incident of national significance.

Note. USAF installations employ fire emergency services as the IC for an incident involving two or more response agencies. Security or medical forces may function as the IC when an incident or accident involves only a medical or security response.

3-15. The IC is responsible for all aspects of the response, including developing incident objectives and managing incident operations. The IC sets priorities and defines the ICS organization for the particular response. Even if other positions are not assigned, the IC is designated. The IC may assign deputies, who must have the same qualifications as the person for whom they work, as they must be ready to take over the IC position at any time.

Note. The IC is solely the tactical commander of the incident and is in charge of running the response and initial recovery for the event. The command of the installation remains with the installation commander throughout the incident, and the installation commander is ultimately responsible for all efforts on the installation.

EMERGENCY OPERATIONS CENTER

3-16. EOCs have SOPs for monitoring incident development. They provide the following functions, consistent with DODI 6055.17:

- **COP.** The EOC uses a COP and incident management system to execute and support actions required by the IEM plan and to facilitate the coordination of incident information.
- **Interoperable communications.** The EOC ensures interoperable communications that support the first responder and first receiver missions of the Service component and are encouraged to ensure interoperable communications with civil authorities.
- **Mass warning and notification.** DOD installations maintain mass warning and notification capabilities to warn personnel immediately, but no longer than 10 minutes after incident notification and verification.
- **Continuous warning point.** The heads of the DOD components ensure a continuous capability that serves as the contact or warning point for emergency situations.

3-17. The EOC functions as an ICS liaison who coordinates support for the IC/ICP in all functional areas and follow-on elements. The EOC controls functional-area response and installation support elements so that taskings or requests from the incident site are supported, and it keeps higher headquarters informed. Each installation EOC is NIMS-compliant while using the incident or UC system organizational structure to provide a collaboration point and operations center for installation staff. The EOC supports the execution of the IEM plan, the installation AT plan, other supporting plans, DSCA missions, operational/contingency plans of assigned unit commanders, and the NRF.

3-18. Just as every incident will not require the activation of the EOC, not every EOC activation will invoke the full range of EOC capabilities. EOC activation levels (partial or full) can be scaled based on the scope of the incident and the extent to which the EOC was already activated at the time of the incident. (For example, if the EOC is already in a warm status of activation due to an exercise at the time of the incident.) For more details on the TTP of the EOC, see appendix D.

MULTIAGENCY COORDINATION SYSTEM

3-19. As defined in NIMS, the Multiagency Coordination System is a combination of facilities, equipment, personnel, procedures, and communications integrated into a common system with responsibility for coordinating and supporting domestic-incident management activities. The Mulitagency Coordination

System is focused on strategic and operational tasks at the installation level and on the support of the IC. The primary Multiagency Coordination System functions are to support incident management policies and priorities; facilitate logistics support and resource tracking; inform resource allocation decisions using incident management priorities; manage incident-related information; and coordinate interagency and intergovernmental issues regarding incident management policies, priorities, and strategies. The Multiagency Coordination System provides central locations for operational information sharing and resource coordination in support of on-scene efforts. Direct tactical and operational responsibility for conducting incident management activities at the tactical level remains with the IC.

DEFENSE SUPPORT OF CIVIL AUTHORITIES

3-20. All DOD directives should be consulted before support is provided to civilian authorities. Usually, the response to an emergency in the local community is the responsibility of local and state governments. Military response occurs—

- At the direction of the governor of the affected state for state National Guard forces.
- Upon declaration by the President as requested by the governor of the affected state.
- At the direction of Service secretaries for capabilities not assigned to geographic combatant commanders (bases, installations).
- Through immediate response authority.

3-21. Consistent with DODI 3020.52 and DODD 3025.18, the DOD, because of its capabilities and resources, may be requested through established channels to provide temporary, short-duration emergency support to civil authorities during an emergency when local and state resources have been overwhelmed and RFAs have been submitted by civilian authorities via the procedures detailed in the NRF.

3-22. Consistent with DODD 3025.18, federal military commanders, heads of DOD components, and responsible DOD civilian officials (referred to collectively as *DOD officials*) have immediate response authority. "A Federal military commander's, DOD Component Head's, and/or responsible DOD civilian official's authority temporarily to employ resources under their control, subject to any supplemental direction provided by higher headquarters, and provide those resources to save lives, prevent human suffering, or mitigate great property damage in response to a request for assistance from a civil authority, under imminently serious conditions when time does not permit approval from a higher authority within the United States. Immediate response authority does not permit actions that would subject civilians to the use of military power that is regulatory, prescriptive, proscriptive, or compulsory."

3-23. There are several statutory authorities that DOD may use to provide support and be reimbursed. These are detailed in JP 3-28, but the Homeland Security Act and the Stafford Act are discussed below:

- Homeland Security Act. The Homeland Security Act was amended with respect to the organization and mission of the FEMA in the Department of Homeland Security Appropriations Act and established DHS as an executive department of the United States. The Homeland Security Act consolidated component agencies, including FEMA, into the DHS. The Secretary of Homeland Security is the head of DHS and has direction, authority, and control over it. All functions of all officers, employees, and organizational units of DHS are vested in the Secretary.
- Robert T. Stafford Disaster Relief and Emergency Assistance Act. The Robert T. Stafford Disaster Relief and Emergency Assistance Act was also amended in the Department of Homeland Security Appropriations Act. It describes the programs and processes by which the federal government provides disaster and emergency assistance to state and local governments, tribal nations, eligible private nonprofit organizations, and individuals affected by a declared major disaster or emergency. The Robert T. Stafford Disaster Relief and Emergency Assistance Act covers all hazards, including natural disasters and terrorist events.
- Posse Comitatus Act. The Posse Comitatus Act prohibits federal, state, and local authorities from using Title 10 forces for any direct civil LE activities unless a constitutional or act of Congress exception applies. The Posse Comitatus Act does not prohibit federal forces from assisting state and local organizations with humanitarian disaster relief.

3-24. Overseas installations coordinate their efforts with the supported geographic combatant command and, consistent with geographic combatant command guidance and DODD 5530.3, with appropriate DOS officials and HNs. DSCA does not apply to support in response to foreign disasters. (Refer to DODD 5100.46 and JP 3-29.) All international agreements comply with the procedures and regulations outlined in DODD 5530.03.

3-25. DOD units supporting an installation emergency response will be under the command and control of defense authorities, yet they may work in support of the civil authorities assisting the installation. The legal considerations for emergency response on an installation are complex and vary by the location, affected area, and incident type. Commanders consult their legal staff at the beginning of the planning process to incorporate, understand, and train staffs and responders on the limitations that a particular installation might face.

INTEGRATION OF SUPPORT ACTIVITIES

3-26. As outlined in DODI 6055.17 and the NRF, ESFs organize and provide structure to federal interagency emergency response activities. Installations apply the ESF structure or equivalent functional area structure to installation emergency planning. Installations have the latitude to choose an organizational structure other than ESFs to provide functional area support to the emergency response effort. Details on the ESFs are provided in the NRF and appendix C. Appendix C also contains guidance for using functional areas in lieu of the ESF structure.

3-27. The following ESFs are outlined in the NRF:

- Transportation.
- Communications.
- Public works and engineering.
- Firefighting.
- EM.
- Mass care, emergency assistance, housing, and human services.
- Logistics management and resource support.
- Public health and medical services.
- Search and rescue.
- Oil and HAZMAT response.
- Agriculture and natural resources.
- Energy.
- Public safety and security.
- Long-term community recovery.
- External affairs.

3-28. The support functions of communications and resource management are integral to the operation of the EOC and are major, overarching components of NIMS. They are therefore discussed in more detail below and in appendixes E and F, respectively. Appendix G contains a sample MAA support agreement, while appendix H contains TTP on the support function for evacuation, shelter in place, and lockdown. Appendix I contains TTP for the mass care support function.

COMMUNICATIONS

3-29. Communication needs during a response span from communicating with and among responders to communicating emergency information to the installation community. The following elements of communication are critical to ensuring timely, widespread, accurate information delivery throughout the response effort.

EMERGENCY PUBLIC INFORMATION

3-30. The construction and delivery of emergency public information (EPI) throughout an incident is critical in creating and maintaining a resilient, trusting, empowered, and cooperative installation community. The delivery of key EPI messages begins immediately after an incident occurs (as vetted through the public affairs officer in the EOC, through the joint information center, or at higher headquarters) and continues throughout response and recovery.

3-31. EPI is an ongoing process throughout all phases of EM and is designed to engage and inform personnel potentially affected by an emergency. EPI is typically implemented through the use of a joint information center.

3-32. In coordination with local civil jurisdictions, installation commanders preselect at least one primary and one alternate site near the installation for the establishment of a joint information center. The preferable site for a joint information center, in order to support joint and interagency staffing with federal, state, local, and other authorities, is outside the jurisdictional boundaries of the installation. Locating the joint information center outside installation boundaries is necessary to preserve the adequate exchange of public information when and if the installation is closed to the public during an emergency.

3-33. The requirement for EPI does not end immediately after termination of the response phase of an incident. There is a continued need to exchange information with the full range of affected public during the recovery phase. Installations continue communication during recovery operations by providing pertinent information, such as conveying the impact and analyses of the incident. Additionally, installations provide opportunities for stakeholders to submit information on community impacts, lessons learned, and other relevant information from the community, supporting local, state, and federal agencies; the media; and members of the general public.

3-34. Providing pertinent information and assistance to military members, civilian employees, and their families is extremely important. Military personnel will be better able to concentrate on mission recovery if they are confident that their family needs (medical, housing, legal, counseling, pet care, food, clothing) are being met. The primary method of providing this assistance is to activate an emergency family assistance control center or similar assistance center. This serves as the focal point for family assistance services and operates in conjunction with the installation EOC and appropriate ESFs and functional areas.

3-35. Using current guidelines, the installation can leverage social media to convey information and monitor message response. Appendix E provides additional information regarding all aspects of communications TTP, including EPI.

COMMON OPERATIONAL PICTURE

3-36. During the response phase, a COP is established to provide the installation commander and his staff with a quick, timely, usable, precise, and reliable view of the status of an incident. As explained in DODI 6055.17, the COP provides consistency at all levels of incident management across jurisdictions, as well as between various governmental jurisdictions and private-sector and nongovernmental entities.

3-37. The COP is capable of supporting all aspects of response operations (hazard locations, evacuation or shelter-in-place requirements and locations, unit response capabilities, unit exposure status, updated risk assessments) to the greatest extent possible. To be effective, the COP is constantly updated during the response phase.

3-38. A key benefit of a good COP system is that it allows the installation to quickly relay to its tenant and transient units the identical, graphic display of relevant information for SA. The same information can be relayed to local officials. In the case of foreign operations, it is feasible that U.S. embassy personnel could relay these details to HN representatives as appropriate. Thus, a good COP facilitates collaborative planning throughout the response effort.

INCIDENT REPORTING

3-39. Incident reporting and documentation procedures are standardized to ensure that SA is maintained and that EM and response personnel have easy access to critical information. Detailed instructions for operational and situation reports can be found in Chairman of the Joint Chiefs of Staff (CJCS) Manual 3150.05C.

3-40. Situation reports offer a snapshot of the past operational period and contain confirmed or verified information regarding the explicit details (who, what, when, where, how) relating to the incident. Status reports, which may be contained in situation reports, relay information specifically related to the status of resources (such as the availability or assignment of resources).

3-41. The information contained in incident notification, situation, and status reports is standardized to facilitate processing without preventing the collection or dissemination of information unique to a reporting organization. The transmission of data in a common format enables the passing of pertinent information to appropriate jurisdictions and organizations and to a national system that can handle data queries and information and intelligence assessments and analysis.

MASS WARNING AND NOTIFICATION

3-42. DODI 6055.17 directs installations to develop mass warning and notification capabilities to warn personnel immediately, but no longer than 10 minutes after incident notification and verification. The mass warning and notification gives response direction using intelligible voice communications, visible signals, texts, text messaging, computer notification, and tactile or other communication methods. Mass warning TTP are outlined in appendix E.

3-43. Based on the Report of the DOD Independent Review (*Protecting the Force: Lessons from Fort Hood)* and the resulting Secretary of Defense memo (*Final Recommendations of the Fort Hood Follow-on Review*), DODI 6055.17 requires mass notification and warning systems to be a required capability for installations to achieve IEM full operational capability. Existing and future elements may include—

- A giant voice for outdoor areas.
- In-building speaker systems.
- Telephone alert systems for phone calls and text alerts.
- Software alert systems for computer and e-mail alerts.

DISPATCH/EMERGENCY CONTROL/EMERGENCY COMMUNICATIONS

3-44. The installation dispatch or emergency communications center provides emergency call taking; alarm monitoring; sensor monitoring; video monitoring and control; communications support; channel, frequency assignments, and allocation; and emergency notification to response personnel. In some cases, these services are provided regionally or in collaboration with civil authorities.

3-45. DODI 6055.17 requires a capability for enhanced 9-1-1 service on the installation. Enhanced 9-1-1 is a telephone system consisting of network, database, and enhanced 9-1-1 equipment that uses the single three-digit number for reporting police, fire, medical, or other emergency situations to a central location, while automatically associating a physical address with the telephone number of the calling party.

3-46. The 9-1-1 systems are interoperable with civilian authorities to allow incoming and outgoing transfers of voice and location data. Dispatch centers include capabilities for interoperable communication, weather monitoring, mass warning system control, and COP system access. Dispatch centers may also include capabilities for the provision of emergency medical dispatch instructions and monitoring of the National Warning System.

3-47. The IEM program coordinates plans with the responsible office for the dispatch function to ensure that emergency notifications to responders are communicated in a timely manner. The dispatch center is included in IEM exercises and training events as appropriate.

RESOURCE MANAGEMENT

3-48. Resource management occurs at all levels in support of incident management. Installation resources supply assets for installation level response efforts and potentially provide support for incident support base and JRSOI missions. Support agreements are in place in advance of an event and are enacted during an event as needed to maintain supplies.

SUPPLY AND LOGISTICS

3-49. Maintaining an accurate and up-to-date picture of resource availability and utilization is a critical component of resource management. Resource management includes processes for categorizing, ordering, dispatching, tracking, and recovering resources. Resource management also includes processes for the reimbursement of resources, as appropriate.

3-50. As outlined in NIMS, incident management personnel use various resource inventory systems to assess the availability of assets provided by public, private, and volunteer organizations. Installation emergency managers are responsible for the consolidation of resource inventory entries and submissions by assigned ESFs or functional areas. ESFs or functional areas on installations are responsible for entering the resources available for deployment into the resource inventory maintained at the installation. This resource data is made available to the supporting installation dispatch center and installation EOC. ESFs or functional areas are also responsible for resource and financial management related to life cycle management of assigned resources. For more information regarding resource management and resource typing, see appendix F.

INCIDENT SUPPORT BASE

3-51. Installations selected as an incident support bases are expected to continue military mission operations, in addition to those imposed by the incident support base mission. Installation commanders are prepared to request personnel, material, and equipment augmentation as necessary. As explained in the CJCS DSCA Executive Order and U.S. Northern Command Concept Plan 3501, incident support base support is temporary in nature and uses resources not required for the preparation or conduct of military operations.

3-52. The term *incident support base* is now used by DHS and FEMA to replace the previous terms of *base support installation*, *operational staging area*, *national logistics staging area*, and *mobilization site*. Consistent with DODD 3025.18 and JP 3-28, an incident support base is a DOD installation that provides specified, integrated resource support to the DSCA.

3-53. Incident support base requirements from the CJCS DSCA Executive Order, the U.S. Northern Command Concept Plan 3501, JP 3-41, and JP 3-28 state that an incident support base is a DOD installation or leased facility of any DOD component which is in or near an actual or projected domestic operational area and which has the capability to serve in general support of DOD forces involved in civil disaster response operations.

3-54. The designation as an incident support base may require the installation to provide one or more installation support roles, including ports of embarkation, ports of debarkation, intermediate staging bases, and/or forward operating bases. Consistent with DODD 3025.18 and JP 3-28, incident support bases have the following capabilities:

- Close proximity to the incident site (less than 100 miles).
- Close proximity to a major airfield.
- Life support services (billeting, food service, fuel, contracting, medical support, FP).
- Open and covered areas for the staging of supplies and equipment.
- Adequate transportation network to and from the incident site.
- Communications infrastructure sufficient to meet the surge of forces arriving in the area.

3-55. Depending on the nature and scope of assets organic to an installation, the installation may or may not be requested to provide support in the form of an incident support base. However, every installation commander is aware of the assets that may be requested of their installation in this event. In addition,

installation commanders understand the planning considerations for an installation to function as an incident support base. Consistent with DODD 3025.18 and JP 3-28, incident support base planning considerations take into account key functions of logistics for operations, including—

- A concise concept of purpose and a description of the functions that the installation will support.
- The forces required to support the operation and phasing for the induction of logistic elements.
- A joint field office in the affected area.
- A FEMA mobilization location.
- The length of time that the installation will provide support.
- Transportation suitability.
- Adequate supply, maintenance, transportation, civil engineering, medical, and other service support on the installation.

Note. For more details and a checklist on incident support base planning considerations, see JP 3-41.

3-56. To maximize the economy of force and to focus the response force on DSCA operations, the incident support base is responsible for the JRSOI of forces flowing through the incident support base, as described in detail below. JRSOI requirements are detailed in the mission assignment so that installations can determine their ability to provide support.

JOINT RECEPTION, STAGING, ONWARD MOVEMENT, AND INTEGRATION

3-57. JRSOI is the critical link between the deployment and employment of response forces in an operational area. The reception of forces and the subsequent staging at the incident support base are key to the JRSOI.

3-58. Consistent with JP 3-41, the deploying force (usually a joint task force) utilizes organic assets when possible to assist and expedite reception and staging operations. Depending on the size and scope of the deploying response force, the incident support base may require additional equipment and personnel with specialized capabilities to conduct JRSOI. Installations identify shortfalls in equipment, personnel, and other resources through their operational chain of command. Special requirements of the deploying force (such as armory or kennel services or classified material storage) are coordinated early in the planning process to ensure their availability.

3-59. An incident support base may be tasked to support the medium- to large-scale staging of logistics assets, including tractor trailers, portable facilities, and supply and logistic centers. An incident support base may also be tasked to support the forward staging (mobilization site) of manpower and ground/air/sea transportation assets for direct movement to the emergency site in place of the staging of heavy logistic assets and depots.

3-60. IEM programs facilitate the planning for, preparing for, developing required capabilities for, and supporting JRSOI during DSCA. However, the decision to designate an installation as an incident support base or to provide support to JRSOI is dependent on whether or not the installation has the organic capability to support those needs. The installation does not preplan for such a response until a standing executive order directs the installation to do so.

ACTIVATION OF SUPPORT AGREEMENTS

3-61. Support agreements are activated through predetermined activation and reporting mechanisms to meet the needs of the emergency incident. These agreements may be activated through the EOC or by the on-scene IC as outlined by the agreement and IEM plan.

3-62. IEM plans include procedures for the eventual demobilization of supplied resources through existing support agreements.

SUMMARY

3-63. An incident may begin with or without a warning period; for example, an approaching hurricane versus a sudden earthquake. As soon as an incident or the threat of an incident occurs, EM operations shift from the planning and preparation mode to the response mode. When an incident or event begins, the execution of NIMS and ICS procedures allows for a coordinated, interoperable, and expandable response structure on and off the installation. The IC directs on-scene response activities from the ICP and reports to the installation commander. The EOC manages support operations on behalf of the installation commander. The coordination and integration of support activities, especially communications and resource management, are integral to an efficient and effective incident response effort.

Chapter 4

Recover

There often is no distinct break between the time that response operations end and recovery operations begin. Recovery often begins while response operations are still in progress. In addition, recovery activities often extend long after the initial incident response phase is complete. Short-term recovery actions seek to restore essential services and ensure that the immediate needs of the impacted installation community are met. Longer-term recovery actions include fully restoring remaining noncritical operations, rebuilding destroyed property, and reconstituting other noncritical services. The main goal of recovery is mission reconstitution and the restoration of essential operations.

ACTIONS

4-1. The recover phase is depicted in figure 4-1.

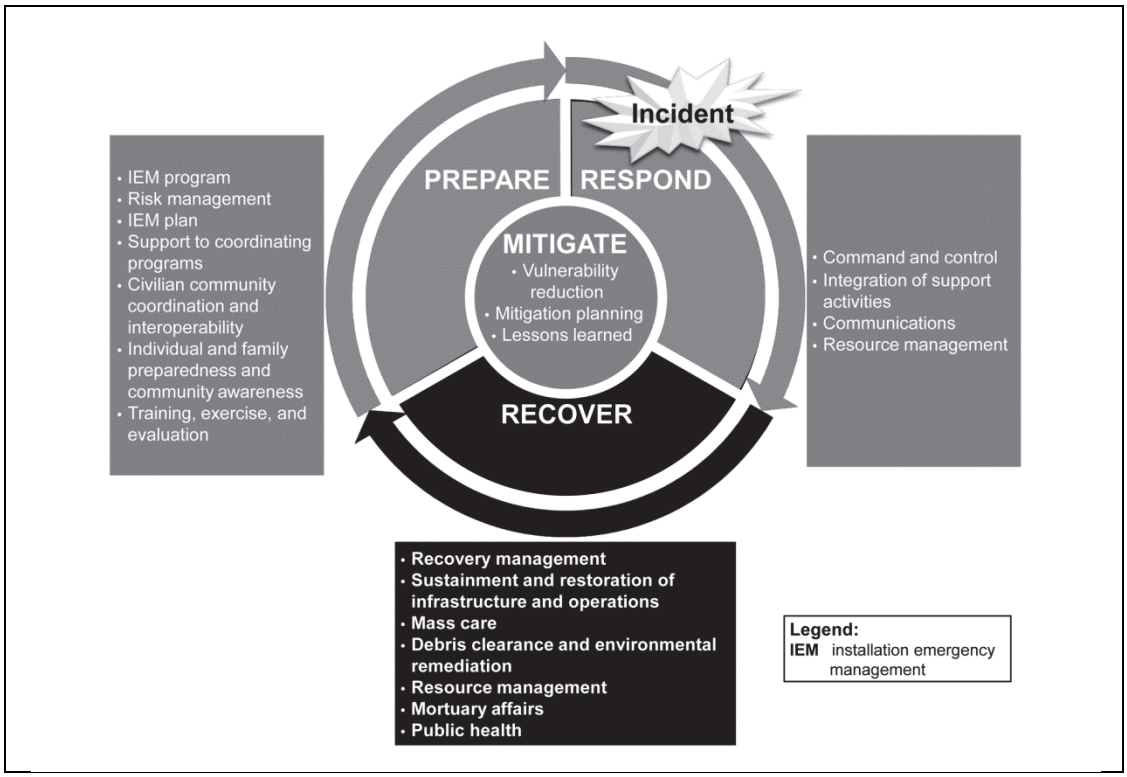

Figure 4-1. Recover phase

4-2. Table 4-1 provides an overview of recovery actions that are integral to an emergency response. Each of these areas is discussed in further detail throughout this chapter.

Table 4-1. Recover phase functions and actions

Functions	*Actions*
Recovery management	• Establish a recovery working group. • Conduct recovery planning, including establishing recovery priorities.
Sustainment and restoration of infrastructure and operations	• Sustain critical operations. • Restore and/or maintain essential operations. • Sustain critical infrastructure. • Restore and/or maintain essential infrastructure. • Conduct damage assessments.
Mass care	• Establish long-term housing/safe havens, including the coordination of long-term feeding operations. • Support and manage behavioral health and counseling operations.
Debris clearance and environmental remediation	• Conduct debris clearance operations. • Conduct environmental remediation operations.
Resource management	• Manage the final disposition of resources. • Manage support agreements and contracts. • Manage emergency cost accounting.
Mortuary affairs	• Support and manage mortuary affairs operations.
Public health	• Coordinate a health risk assessment. • Manage risk mitigation. • Coordinate risk communication. • Manage the public health needs of safe havens. • Coordinate with mortuary affairs. • Evaluate and protect food and water supplies.

RECOVERY MANAGEMENT

4-3. In part, the NRF defines recovery as " … the development, coordination, and execution of service- and site-restoration plans; the reconstitution of government operations and services; individual, private-sector, nongovernmental, and public-assistance programs to provide housing and to promote restoration; long-term care and treatment of affected persons; additional measures for social, political, environmental, and economic restoration; evaluation of the incident to identify lessons learned; postincident reporting; and development of initiatives to mitigate the effects of future incidents."

4-4. The primary tasks of an installation during the initial recovery phase are to complete any remaining mitigation of the immediate hazard and finish restoring mission capability and essential public and government services interrupted by an event. The primary tasks of an installation during long-term recovery are to restore full operations and public services and to rebuild destroyed property.

RECOVERY WORKING GROUP

4-5. Consistent with DODI 6055.17, the installation commander establishes a recovery working group early in the recovery phase of every emergency where recovery operations require coordination in the judgment of the installation commander. The recovery working group is preidentified for likely events within the IEM plans. The recovery working group is a task-organized working group focused on the evaluation, prioritization, and coordination of recovery requirements. The recovery working group, with the technical direction of the installation emergency manager and the installation public works/civil engineering representative, conducts recovery planning at the installation level.

4-6. The recommended composition of the recovery working group is shown in table 4-2.

Table 4-2. Recommended composition of the recovery working group

Core Membership	*Task-Specific*	*Optional*
Public works		Airfield operations
Installation commander (or designee)	Recreation services	Port operations
Installation emergency manager	Housing office	Reserve tenant commands
Installation PHEO	Information technology	DOD schools and daycare
Environmental	Chaplain	
Engineering	Audit	
Transportation	Tenant command representatives	
Supply/logistics	Community group liaisons	
LE	NGO liaisons	
F&ES		
EMS (if separate from F&ES)		
Community/morale and welfare services		
Public affairs		
Legal		
Contracts		
Health and safety		

Legend:

DOD	Department of Defense
EMS	emergency medical services
F&ES	fire and emergency services
LE	law enforcement
NGO	nongovernmental organization
PHEO	public health emergency officer

RECOVERY PLANNING

4-7. During the recovery phase, additional information is obtained and a recovery plan is developed and implemented. The recovery plan provides detailed, incident-specific procedures for short-term and long-term recovery. The EOC uses the IEM plan to assist in developing a detailed recovery plan based on damage assessment information and priorities established by the installation commander.

4-8. While the IEM plan facilitates response and short-term recovery, the recovery plan provides detailed, incident-specific processes and procedures, including the immediate restoration of transportation and communication capabilities, search and rescue operations, utility reconstruction, community reconstruction, site remediation, medical care or mitigation, and other activities necessary for successful long-term recovery.

4-9. During the transition to follow-on operations, the installation commander balances between focusing resources on mission-essential tasks versus completing recovery tasks. Limitations of resources require installation decisionmakers to prioritize and concentrate on the tasks needed to recover installation missions and operations to full capability.

4-10. As in the response phase, an up-to-date COP is invaluable during the recovery phase for providing the installation commander and his staff with a quick, timely, usable, precise, and reliable view of the status of an incident. During the recovery phase, the COP is capable of supporting all aspects of the recovery operations (hazard locations, unit response capabilities, unit exposure status, updated risk assessments).

4-11. Long-term recovery after a major event usually takes years to complete. Installation commanders establish recovery priorities consistent with the installation mission. Consideration is given to operational mission priorities and the reestablishment of the normal operating environment, as well as activities such as housing/facility construction, transportation restoration, community reconstruction, environmental remediation, and continued delivery of EPI.

SUSTAINMENT AND RESTORATION OF INFRASTRUCTURE AND OPERATIONS

4-12. The restoration of the installation infrastructure involves coordination with the installation public works department and civilian jurisdiction service providers, public or private. IEM programs coordinate infrastructure recovery plans before an incident to effectively restore infrastructure after the incident occurs.

4-13. The restoration, in concert with mission continuation tasks, officially begins when the IC advises the EOC director that the incident has been sufficiently controlled or terminated and the security of the situation is sufficient to begin restoration activity. Consequently, the EOC directs and coordinates infrastructure recovery inspections and reports damage by using "quick looks" and detailed assessments.

4-14. The damage assessment and impact analysis are essential to determining the magnitude, scope, scale, and extent of an emergency. Damage assessment results guide the determination of priorities, identification of required resources, and justification for assistance and supplemental funding requests. The public works asset may conduct physical damage assessments, if such a capability exists within the installation. Installations establish processes for damage assessment and debris clearance. These capabilities support short-term (less than 2 weeks in duration) recovery efforts and initial damage assessments, resource projections, and recovery planning requirements. The damage assessment process begins as soon as possible after an incident occurs to assess the level of human suffering and infrastructure impacts and continues throughout the recovery phase.

4-15. A reliable, rapid field damage assessment increases the likelihood that recovery funds and other resources are properly prioritized and targeted. Damage assessments also provide policymakers with guidance for planning and implementing mitigation measures. The field-based assessment acts as ground truth for larger, more comprehensive assessments, such as satellite-based assessments. The objective of rapid field damage assessments is to get a quick, reliable overview of the following damage-related issues:

- Is there damage to the environment?
- What is the damage to utilities and other supportive infrastructure?
- Are there impacts to livelihood because of the damage?
- What role, if any, did preincident mitigation measures play in reducing the impact of the incident, and under what circumstances and to what extent did this occur?

4-16. After basic reconstruction activities have been completed, the long-term process of recovery begins. Restoration decisions focus installation resources on critical and essential operations and infrastructure, including maintaining safety, preventing the further loss of combat power, maintaining or restoring installation integrity and security, restoring command and control over forces, restoring the primary mission, and supporting other forces. Restoration capabilities include measures required to restore the force, units, facilities, and equipment to near-normal operating conditions after a major accident or natural disaster. These measures include decontamination operations and the effective supply and sustainment of response assets.

4-17. Restoration actions, in progress or intended, are recorded and are a part of the recovery plan. From this record, several actions are enabled. Those actions include estimating repair costs and determining whether the repairs will be accomplished in-house or by contract, estimating the recovery date and time,

ascertaining required assistance, and assessing the impact on the combat readiness status of installation forces.

MASS CARE

4-18. Care for the base populace during recovery includes providing temporary housing and behavioral health and counseling services. Detailed TTP for mass care are included in Appendix H, but the fundamentals are discussed below.

HOUSING OPERATIONS

4-19. Temporary housing is where displaced personnel live from the time they leave a safe haven or civilian shelter until the time they return to their previous home or a new home. Temporary housing is in a livable condition; has sufficient utilities and services; is pest-, mold-, and mildew-free; and is properly prepared (ventilated and cleaned) by safe-haven residents before occupancy. Before occupancy, personnel need to fully understand the rules, timelines, and responsibilities concerning the use of temporary housing, such as the expected occupancy time, financial responsibilities (utilities, damages, supplies, appliances), general logistics (parking, utilities, supplies, quiet hours), and expected behavior. Examples of temporary housing include barracks, dormitories, bachelor quarters, visitors quarters, previously available family housing units, recreational lodging, hotels, rented apartments or homes in the local economy, mobile homes, and vacation properties. The coordination of temporary housing needs is the responsibility of the installation housing office in support of the recovery working group. Temporary housing needs for pets is also considered and identified.

4-20. Installations should not rush into permanent housing solutions until a revised community profile has been completed and the installation has the infrastructure and services necessary to support the estimated population. It is important to address changes in the installation populace, especially designated place relocations, during this process.

BEHAVIORAL HEALTH COUNSELING

4-21. A critical recovery operation that is often overlooked during the planning process is the provision of behavioral health and counseling services to anyone affected by the incident in the installation community. This important process begins the day of the incident and remains ongoing until full recovery is established. The behavioral health and well-being of the installation community is the most vital component to a complete and sustainable recovery effort.

DEBRIS CLEARANCE AND ENVIRONMENTAL REMEDIATION

4-22. Installations establish contracting vehicles to be used for debris clearance and environmental remediation in the event of an incident requiring these services. These contracts include, but are not limited to, MAA/MOU/MOA/ISSAs, indefinite quantity contracts, the logistics civil augmentation program, and the emergency construction capabilities contract. Contracts should not be limited to local vendors or commands, because these capabilities may be lost or overtasked during an emergency.

4-23. The debris management process begins as soon as possible after an incident occurs to permit access to the incident site by designated personnel, to remove life safety and environmental hazards, and to mitigate further environmental contamination throughout the recovery phase. Debris management capabilities at an installation may be restricted by safety considerations and may be limited to providing initial clearance operations and consolidating debris at one or more sites.

4-24. Remediation begins upon the completion of a contamination survey and continues until all contamination has been removed or remediated. The scope and duration of the remediation depends on the agent or material. The postevent assessment includes medical, environmental, and public works.

4-25. Remediation operations follow the neutralization and removal of CBRN contamination. Imminent threats to personnel or the environment are alleviated during neutralization or removal operations, so remediation operations normally take place in a nonemergency setting.

4-26. Remediation is usually performed by civilian environmental consultant firms under contract to the Service or under the supervision of the Environmental Protection Agency or the Department of Energy, depending on the nature of the event. The identification, investigation, research, development, and cleanup of contamination from hazardous substances, pollutants, and contaminants are to be carried out subject to, and consistent with, the Comprehensive Environmental Response, Compensation, and Liability Act and other federal regulatory guidance.

RESOURCE MANAGEMENT

4-27. Recovery involves the final disposition of all resources. During this process, resources are rehabilitated, replenished, disposed of, and retrograded.

4-28. While many recovery activities can occur by utilizing organic and precoordinated capabilities available to the installation, many longer-term recovery actions require external requests and coordination for assets unavailable to a typical installation command. Consistent with DODI 3020.52, installation commanders utilize reachback assets and support agreements to sustain and complete the recovery mission.

4-29. Resource management in recovery continues to include processes for categorizing, ordering, dispatching, tracking, and demobilizing resources and personnel. Resource management during recovery may also include processes for the reimbursement for resources, as appropriate.

4-30. Reimbursement provides a mechanism to fund critical needs that arise from incident-specific activities. Reimbursement processes also play an important role in establishing and maintaining the readiness of resources. Processes and procedures are in place to ensure that resource providers are reimbursed in a timely manner. These include mechanisms for tracking expenditures, collecting bills, validating costs against the scope of the work, ensuring that proper authorities are involved, and accessing reimbursement programs.

4-31. Emergency cost accounting is a key function during an emergency. Emergency cost accounting can be accomplished by the IC or EOC finance and administration sections or by another installation entity after the EOC/IC are stood down. It is important to develop and standardize procedures to rapidly develop and manage emergency cost accounting codes to track emergency-related expenses, including those incurred under support agreements and support contracts. These emergency and special purpose codes are issued by a designated Service authority. It is also important to consolidate and forward cost estimates identified during the damage assessment process to the appropriate installation-owning command as directed. It is the responsibility of installation-owning commands to develop the overarching emergency funding lines necessary to consolidate multiple emergency cost account codes that may be in use by multiple installations at the same time.

4-32. The installation business office or comptroller develops and approves procedures for expediting fiscal decisions during emergencies consistent with established authorization levels and fiscal policy. This framework provides for maximum flexibility to expediently request, receive, manage, and apply funds in a nonemergency environment and in emergency situations to ensure the timely delivery of assistance. The administrative process is documented through written procedures. The program is also capable of capturing financial data for future cost recovery, as well as identifying and accessing alternative funding sources and managing budgeted and specially appropriated funds.

MORTUARY AFFAIRS

4-33. Fatality management is a medical function with a logistics component regarding the management, transportation, handling and, if necessary, temporary internment of human remains. Mortuary affairs is a larger function of identifying the human remains; notifying and assisting the family of the deceased; transporting the remains, if necessary; and conducting permanent interment. As discussed in DODI 6055.17, IEM programs coordinate with the supporting MTF and their logistics lead on the availability and capabilities for fatality management.

4-34. IEM plans include predetermined responsibilities and procedures for the identification, decontamination (if applicable), and handling of human remains, including mass fatality incidents. This

may require support from the civilian medical examiner in the event that installation assets are overwhelmed.

4-35. Consistent with JP 4-06, mortuary affairs support may be requested by civil authorities in the event of a mass casualty incident. The support provided by DOD mortuary affairs personnel is then tailored to the needs of the requesting authority. The request could vary from personnel transporting human remains, to an identification process, to a complete excavation of a disaster site.

PUBLIC HEALTH

4-36. The public health of the protected populace requires continued monitoring and actions throughout recovery. Health risks, such as a lack of access to safe drinking water and safe and approved food sources and animal feed, can severely disrupt the recovery process. The core functions of public health are health risk assessment, risk mitigation, and communication of health risks to the public.

4-37. Other public health considerations include—

- Establishing sanitary conditions for workers and residents.
- Establishing vector control of mosquitoes, rats, and other disease vectors.
- Managing mold and mildew assessments and removal operations necessary for housing reoccupation.
- Managing public health issues resulting from a lack of water treatment facilities.
- Managing wastewater pump and treatment operations.
- Managing solid waste collection and disposal operations.
- Continuing syndromic surveillance operations.
- Continuing medical surveillance of response personnel.
- Expanding coverage to include personnel injured or exposed to hazardous conditions during response and recovery operations.
- Coordinating with mortuary affairs for the safe handling of human remains.

SUMMARY

4-38. Recovery is a long-term process that begins as an overlap with the response phase. Of the four phases, recovery is the most time- and resource-intensive. Depending on the nature of the incident, full community and economic recovery can take many months to many years and require significant budgetary expenditures. Prioritizing the tasks necessary to recoup losses will help with time and budget management as the installation commander and staff start down the long road to recovery.

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Chapter 5

Mitigate

Mitigation actions involve the lasting reduction of, exposure to, probability of, or potential loss from identified hazards. The goal of mitigation efforts is to reduce the impact of identified hazards on critical and essential operations, critical assets, critical infrastructure, essential services, assigned personnel, and government and personal property. Mitigation activities provide a critical foundation in the effort to reduce injuries and the loss of life and property from natural and/or manmade disasters by avoiding or lessening the impact of a disaster. Mitigation efforts are taken before and after an emergency and should be an ongoing process that feeds directly into the overall preparedness of the installation. Multiple functional areas execute mitigation tasks as a normal part of their operations.

ACTIONS

5-1. The mitigate phase is depicted in figure 5-1.

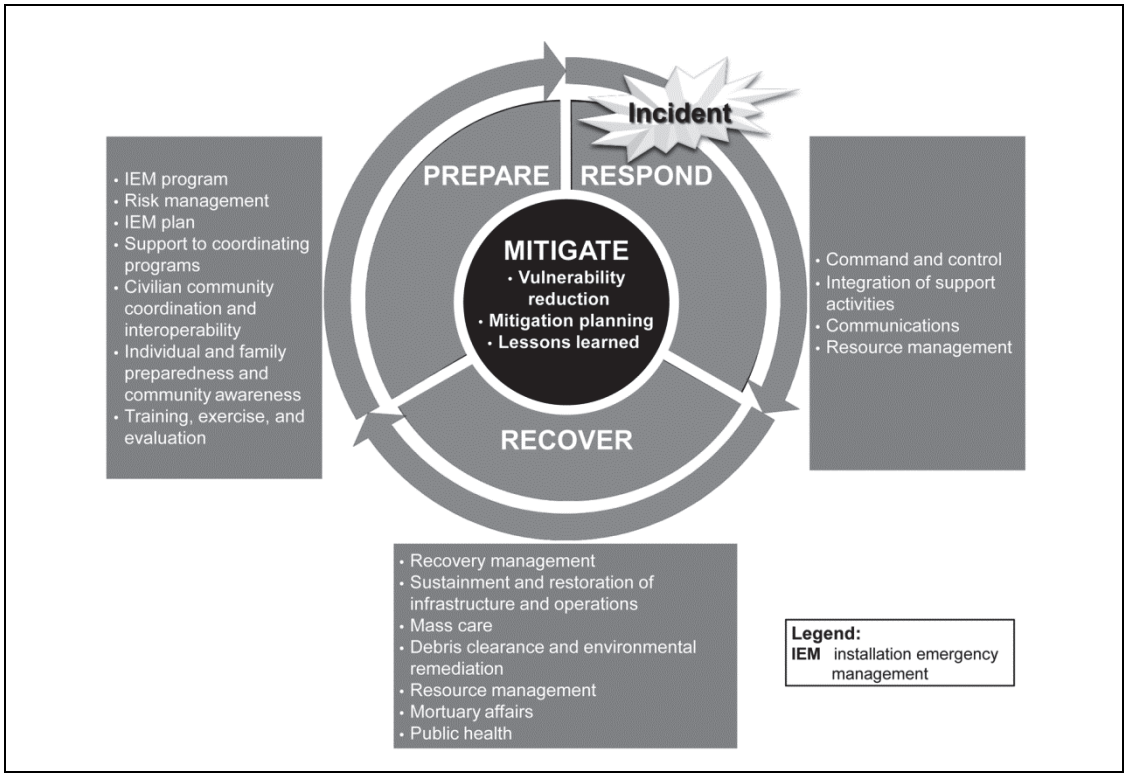

Figure 5-1. Mitigate phase

5-2. Table 5-1 outlines the major functions and corresponding activities associated with the mitigate phase.

Table 5-1. Mitigate phase functions and actions

Functions	*Actions*
Vulnerability reduction	• Understand and comply with zoning and building code requirements. • Create inventories of existing structures and their vulnerabilities. • Analyze hazard-related data to determine where it is safe to build in normal times, to open shelters in emergencies, and to locate temporary housing in the aftermath of a disaster. • Educate businesses and the public on simple measures that they can take to reduce loss and injury.
Mitigation planning	• Use results from the risk management process to understand inherent vulnerabilities of the installation. • Coordinate pre- and postevent mitigation efforts through an installation mitigation strategy. • Ensure the integration of strategies and plans with applicable functional leads, on and off the installation.
Lessons learned	• Document lessons learned in the AAR following an exercise, event, or incident. • Use lessons learned to construct an IP and a CAP. • Share lessons learned with other entities (military and civilian) as appropriate.
Legend: AAR after action report CAP corrective action plan IP improvement plan	

VULNERABILITY REDUCTION

5-3. Vulnerability reduction tools assist in the identification of mitigation efforts that may negate or reduce the effects of identified hazards. Vulnerability reduction measures tie into the results from the risk management process that takes place throughout the EM cycle (see appendix B).

5-4. Examples of vulnerability reduction and mitigation activities include—

- Understanding and complying with zoning and building code requirements for rebuilding in high-hazard areas.
- Creating inventories of existing structures and their vulnerabilities.
- Analyzing hazard-related data to determine where it is safe to build in normal times, to open shelters in emergencies, and to locate temporary housing in the aftermath of a disaster.

5-5. Vulnerability reduction also can involve educating businesses and personnel on the measures that they can take to reduce loss and injury, such as fastening bookshelves, water heaters, and file cabinets to walls to keep them from falling during earthquakes.

5-6. Key areas of concern regarding mitigation activities include—

- Utility systems, especially power and water treatment distribution.
- Dams and levees.
- Lightning and power surge protection.
- Landslide and mudslide containment structures.
- Earthquake retrofit requirements.

5-7. Mitigation actions can be grouped into the following categories:

- **Prevention.** Prevention actions are the administrative or regulatory actions or processes that influence the ways in which land and buildings are developed and built. These actions also include public activities to reduce hazard losses. Examples include planning and zoning,

building codes, capital improvement programs, open space preservation, and storm water management regulations.

- **Property protection.** Property protection actions involve the modification of existing buildings or structures to protect them from a hazard or the removal of property from the hazard area. Examples include acquisition, elevation, relocation, structural retrofits, storm shutters, and shatter-resistant glass.
- **Public education and awareness.** Public education and awareness actions inform and educate the installation populace about hazards and potential ways to mitigate them. Such actions include outreach projects, hazard information centers, and school-age and adult education programs.
- **Natural resource protection.** In addition to minimizing hazard losses, natural resource protection actions preserve or restore the functions of natural systems. These actions include sediment and erosion control, stream corridor restoration, watershed management, forest and vegetation management, and wetland restoration and preservation.
- **Emergency services.** Emergency service actions protect people and property during and immediately after a disaster or hazard event. Services include warning systems, emergency response services, and critical facility protection efforts.
- **Structural projects.** Structural project actions involve the construction of structures to reduce the impact of a hazard. Such structures include dams, levees, floodwalls, seawalls, retaining walls, and safe rooms.

5-8. The role of the installation emergency manager in mitigation activities is to participate in planning mitigation efforts under an integrated strategy through the IEMWG to ensure a cohesive and effective effort. Mitigation activities are executed by the applicable functional leads. Mitigation phase activities draw from a large number of resources established by federal and private sources. Many of these resources are available at the FEMA mitigation Web site at <http://www.fema.gov/government/mitigation.shtm> and at the FEMA Building Science Branch Web site at: <www.fema.gov/rebuild/buildingscience>.

5-9. The installation coordinates pre- and postevent mitigation efforts with owners of specific technological hazards (dams; levees; airfields; rail transportation systems; mass transit systems; ferry systems; (petro) chemical facilities; related manufacturing, storage, or transportation systems) with the potential or historical impact to the installation. A best practice for this process is to coordinate these activities with the emergency managers of local civil jurisdictions.

5-10. Table 5-2 outlines potential hazard mitigation controls and techniques that can be utilized.

Table 5-2. Potential hazard mitigation controls and techniques

Hazard Type	*Sample Mitigation Control Options*
Tropical cyclones	• Installing hurricane straps to attach a roof to the walls and foundation. • Installing storm shutters on windows. • Implementing flood control measures (dams, levees, water runoff areas). • Acquiring flood insurance (where applicable). • Using concrete building materials. • Raising foundation levels. • Installing breakaway walls, windows, and doors.
Earthquakes	• Implementing earthquake-resistant building codes. • Reinforcing buildings with steel frames. • Installing vibration isolation bearings that are designed to dampen earthquake ground movements before they reach the building to help the building move as a unit. • Bracing or supporting chimneys. • Installing windows that use wider frames and include a compressible material between the frame and the window glass to avoid direct contact between the window and the frame.
Tsunamis	• Implementing early warning and notification capabilities, coupled with public awareness regarding the actions to take when there is an earthquake or when

	a tsunami watch or warning is issued. • Ensuring that people are ready to evacuate.

Table 5-2. Potential hazard mitigation controls and techniques (continued)

Hazard Type	*Sample Mitigation Control Options*
Volcanoes	• Implementing early warning and notification capabilities, coupled with public awareness regarding the actions to take when there is an eruption or a watch or warning is issued. • Ensuring that people are ready to evacuate or shelter in place, depending on the nature of the incident.
Tornadoes	• Building safe rooms. • Installing early warning systems.
Chemicals hazards (accidental or intentional release)	• Implementing mass warning and notification systems to instruct people to evacuate or shelter in place. • Identifying the locations where HAZMAT is used and stored and ensuring that proper procedures are in use by the facility.
Biological hazards (natural or intentional release)	• Offering vaccinations and/or mass prophylaxis. • Installing biological-agent detection sensors. • Executing epidemiological surveillance measures.
Radiological hazards (accidental or intentional release)	• Coordinating with LE and intelligence agencies. • Complying with laboratory safety and security guidelines and procedures. • Sheltering in place, depending on the type or amount of radiation released (alpha, beta, gamma).
Nuclear hazards (accidental or intentional release)	• Coordinating with LE and intelligence agencies. • Complying with nuclear safety and security guidelines and procedures.
Explosives	• Coordinating with LE and intelligence agencies. • Installing blast-resistant windows. • Establishing and implementing building standoff distances.
Wild fires (accidental or arson)	• Clearing dead trees; brush; and tall, dry grass 30 feet from buildings and homes. • Planting fire-resistant trees and shrubs. • Keeping vegetation well-watered. • Landscaping with gravel. • Pruning tree limbs that are within 6 to 10 feet above the ground. • Constructing homes and buildings with noncombustible roof and siding (like metal roofs and steel siding).
Legend: HAZMAT hazardous materials LE law enforcement	

5-11. For more information on vulnerability reduction and mitigation activities, see the FEMA Mitigation Best Practices Portfolio at <http: www.fema.gov/plan/prevent/bestpractices/index.shtm>, which is an online collection of case studies that depicts how organizations and communities have worked to reduce or prevent damage from disasters.

MITIGATION PLANNING

5-12. According to FEMA, mitigation planning is the process used to identify risks and vulnerabilities associated with natural disasters. It is also used to develop long-term strategies for protecting people and property in future hazard events. The process results in a mitigation plan that offers a strategy for breaking the cycle of disaster damage, reconstruction, and repeated damage and presents a framework for developing

feasible and cost-effective mitigation projects. Cost-effective mitigation measures are the key to reducing disaster losses in the long term.

5-13. Mitigation planning is considered by the IEMWG with the technical direction of the installation emergency manager and in coordination with appropriate functional area representatives (public works, AT, information technology). While the functional area representatives are wholly responsible for the planning and implementation of mitigation measures on the installation, the IEMWG mitigation plan captures the interim and long-term actions and goals of the installation to reduce the impact of hazards and threats that cannot be eliminated. A mitigation plan is a supporting plan to (or a plan element or component of) the IEM plan. The best practice is to identify a mitigation committee of select members of the IEMWG to create and maintain this plan.

5-14. The installation mitigation plan is used to guide the combined mitigation efforts of relevant functional areas. It describes the physical, information technological, and nonmaterial mitigation strategies associated with hazards identified during the risk management process.

5-15. A mitigation plan includes—

- A discussion of the planning process and partners involved.
- A discussion of the hazards and associated potential losses.
- Goals aimed at reducing or avoiding losses from identified hazards.
- Mitigation actions that help accomplish established goals.
- Strategies that detail how the mitigation actions will be implemented and administered.
- A description of how and when the plan will be updated.

LESSONS LEARNED

5-16. Just as with the evaluation of training or an exercise, lessons learned from a real-world incident on an installation are documented and acted on to strengthen the IEM program and mitigate effects of future incidents. Immediately following an incident, installation staff who were active in the response and recovery efforts participate in a debriefing activity to capture best practices and lessons learned for inclusion in an AAR on the incident.

5-17. The AAR includes recommendations for the remediation of current IEM practices to reflect lessons learned during the incident. AARs also include dissemination and notification of successes and shortfalls, installation-wide response checklists, deficiencies, deficiency correction plans, required training efforts, implementation dates, corrective actions, follow-up actions, and lessons learned. Higher headquarters establishes internal after-action reporting procedures to ensure that reporting objectives are met, problems are solved, and results are disseminated.

5-18. As outlined in NIMS and HSEEP, lessons learned documented in the AAR are used to construct an IP and CAP, as described below. The IP and CAP are used (at a minimum) to restructure the IEM plan for better readiness and response.

5-19. The IP converts lessons learned from the incident into concrete, measurable steps that result in improved EM capabilities. It specifically details the actions that will be taken to address each recommendation presented in the AAR, who or what agency will be responsible for taking the action, and the timeline for completion.

5-20. The CAP tracks and assesses progress on enhancing preparedness and incorporating information into the emergency planning process. This process may identify needs for additional coordination, plans, procedures, organization, manning, training, equipment, and exercises. The CAP includes the incorporation of recommendations into updates to the risk management process and the annual revision of the IEM plan consistent with DODI 6055.17. The CAP is closed out when improvements have been implemented and validated through subsequent exercises and records are maintained on file as appropriate.

5-21. Lessons learned are key outputs of the AAR and reflect best practices, consistent challenges and issues, and recommended solutions based on the evaluation of the incident. The Joint Lessons Learned Program is a knowledge-sharing process established to enhance joint capabilities through discovery, knowledge development, implementation, and the sharing of lessons from joint operations, training events,

exercises, and other activities. The Joint Lessons Learned Program applies to the full range of joint operations, including training, exercises, experiments, real-world events, and other activities involving DOD assets of the Armed Forces of the United States.

5-22. Installations are also encouraged to engage with the federal Lessons Learned Information Sharing initiative and associated Web portal operated by DHS at <www.llis.gov>. The posting of lessons learned on the portal is permitted if approved by the installation commander after a legal review by the installation legal office.

SUMMARY

5-23. Vulnerability reduction efforts are critical to implementing an effective mitigation strategy on an installation. The installation emergency manager, through the IEMWG, participates in the development of an installation mitigation strategy that is captured in the installation mitigation plan. This plan may support, or be a component of, the IEM plan. Throughout the EM cycle, installation emergency managers coordinate installation-wide mitigation efforts that are led by appropriate functional area representatives. Following an event or exercise, installation staff captures lessons learned during response and recovery phases and uses them to better inform their mitigation activities in the future. Lessons learned on an installation and from other collaborating partners are integral to enhancing an installation mitigation strategy.

Appendix A

Metric Conversion Chart

This appendix complies with Army regulation (AR) 25-30 which states that weights, distances, quantities, and measures contained in Army publications will be expressed in both U.S. standard and metric units. Table A-1 is a metric conversion chart.

Table A-1. Metric conversion chart

U.S. Units	*Multiplied By*	*Equals Metric Units*
Feet	0.30480000	Meters
Inches	0.02540000	Meters
Yards	0.91440000	Meters
Miles	1.60934400	Kilometers
Metric Units	***Multiplied By***	***Equals U.S. Units***
Meters	3.28080000	Feet
Meters	39.37000000	Inches
Meters	1.09361000	Yards
Kilometers	0.621371192	Miles

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Appendix B

Risk Management

IEM planning is predicated on threat/hazard, vulnerability, and capability assessments. These assessments are used to evaluate the ability of an installation to respond to a threat or hazard, protect the population on the installation, and implement future strategies to mitigate risks.

PROCESS

B-1. Risk management is a continuous process of reviewing critical infrastructure, assets, missions, hazards, threats, vulnerabilities, consequences, and existing response capabilities to determine what additional actions are needed to achieve or maintain a desired level of readiness and to protect the population on the installation. As shown in figure B-1, a full-scale risk assessment process is configured on the probability of a threat or hazard occurring; the vulnerability of an installation against that threat or hazard; the consequence or magnitude of negative effects of the threat or hazard; the relative value of critical infrastructure, assets, and missions; and the existing response capabilities for the mitigation of effects postevent.

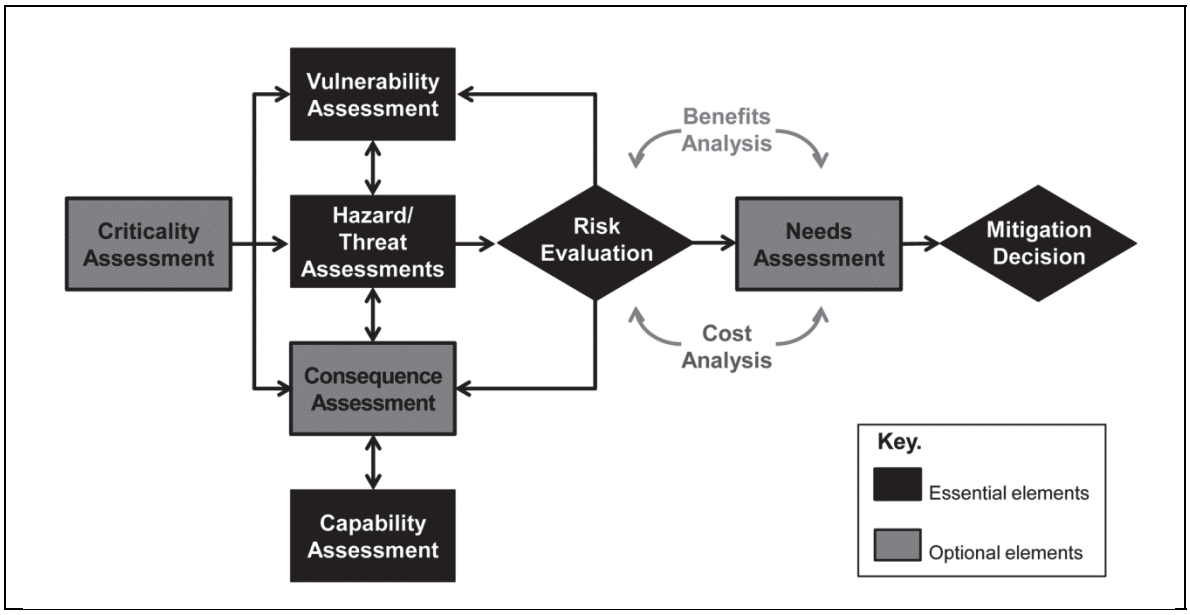

Figure B-1. Risk assessment process

B-2. At a minimum, a risk assessment is dependent on a comprehensive, all-hazards process that includes—

- Hazard threat assessments.
- A VA.
- A capability assessment.
- A risk evaluation.

B-3. A risk assessment may also include assessments of criticality, consequence, cost-benefit, and need. Risk factors from these assessments are combined in a risk evaluation that qualifies and/or quantifies risks and impacts future decisions for mitigation measures on an installation. When the resultant risk assessment is expressed in a manner that delineates which hazards and threats have more risk, it is called a *relative risk assessment*.

B-4. These assessments incorporate information and recommendations from a variety of sources including, but not limited to, higher headquarters assessments, joint staff integrated VAs, CIP planning and assessments, COOP planning activities, and exercise deficiencies.

B-5. As outlined in DODI 6055.17, the risk management process is performed and documented by the IEMWG under the authority of the installation commander and in coordination with functional areas such as AT, CBRN, and CIP. The completion of the risk management process occurs before the development of the initial IEM plan or IEM plan update and is an ongoing process. Effective risk management requires support from the IEMWG and, as appropriate, from state, local, and tribal governments; other military Services; or HN partners in the local community.

B-6. The intent of the risk management process is not to fixate on a 100 percent solution or on the resolution of every variable to a defined quantity, but rather to provide a context in which to view relative risk across the entire enterprise in as much of an objective manner as possible, given the hazards. The risk management process provides a logical process to prioritize the development of specific capabilities and the application of limited financial and human resources to specific capabilities. Using the risk management process, the IEMWG can prioritize investments into those capabilities most applicable to local conditions and needs. The process identifies key preparedness, mitigation, and prevention opportunities, which reduce overall risk to the installation.

B-7. Risk decisions are ultimately the responsibility of the installation commander and are made at the lowest possible level, except in extreme circumstances. Leaders and staffs manage risk. Staff members continuously look for hazards associated with their areas of expertise and then recommend controls to reduce risks. The role of the IEMWG in the installation risk management process is to identify controls, develop a process to implement them, recommend solutions to the installation commander, and implement the resulting decision.

CRITICALITY ASSESSMENTS

B-8. Some Services use criticality (also referred to as *critical asset* or *critical infrastructure*) assessments as inputs to their risk evaluation as shown in figure B-1, page B-1. In most cases, these criticality assessments have already been developed by AT or CIP programs.

B-9. The criticality assessment evaluates command missions and functions capabilities and determines mission impact or the consequence of the loss of assets that support command mission execution. Critical assets can be people, physical entities, systems, or information that provides a service or capability. The analysis examines those assets for which degradation or destruction impact the command ability to complete its assigned missions or functions.

B-10. DODI 3020.45 describes the critical asset identification process (also see JP 3-07.2). There are other assets that may not be critical to the execution of the mission or function that may be identified in this criticality process and included in the overall risk assessment process. These noncritical assets could include assets like high-population facilities, such as theaters, commissaries, and base exchanges.

HAZARD AND/OR THREAT ASSESSMENTS

B-11. The development of an all-hazards threat assessment accomplishes two goals:

- The identification of a comprehensive list of threats and hazards.
- The likelihood or probability of occurrence of each threat or hazard. In the context of assessing risk, the higher the probability or likelihood of a threat or hazard occurring, the higher the risk of loss will be to the asset.

B-12. Consistent with DODI 6055.17, IEM considers all hazards that may impact the installation. These hazards vary among installations. For example, hurricanes may be a significant natural hazard concern in the Southeast Region, but not in the Pacific Northwest. Tsunamis are of concern in the Pacific Northwest, but generally not in the Southeast. Toxic industrial materials are of concern at almost all installations. FEMA recommends including several other factors into the hazard assessment, including the time available until the onset of the hazard and the possibility of a single event to cascade and cause other failures. It is also beneficial for installation EM programs to coordinate threat and hazard assessments with state, local, and HN EM agencies.

B-13. The federal government has a number of hazard-specific organizations that provide hazard information for specific geographic areas. Examples include—

- National Weather Service.
- National Hurricane Center.
- National Climatic Data Center.
- U.S. Geological Survey.
- National Oceanographic and Atmospheric Administration.
- U.S. Army Corps of Engineers.
- U.S. Volcanic Observatories.
- National Earthquake Hazards Reduction Program.
- National Tsunami Hazards Reduction Program.
- Radiological Emergency Preparedness Program.
- Chemical Stockpile Emergency Preparedness Program.
- FEMA Office for Domestic Preparedness.
- Environmental Protection Agency.
- Department of Transportation, National Response Center.
- National Interagency Fire Center.

B-14. FEMA has a number of programs for consolidating and providing hazard information to state governments. In addition, each state and local jurisdiction applying for federal grant funding completes a thorough hazard assessment as part of the grant process. HN programs vary greatly, but most nations, provinces, and cities include a hazard assessment as part of their EM or civil defense programs. See DODI 3020.52 for chemical, biological, radiological, nuclear, and high-yield explosives (CBRNE)-specific guidance.

B-15. Terrorism and sabotage threats to strategic, operational, and mission-essential assets are also assessed. Installation commanders utilize existing threat assessment methods to gather and analyze the threats potentially impacting the installation on an ongoing basis and no less than annually. Threat information is integrated to meet the collective needs of EM, CBRNE preparedness, AT, CIP, and COOP planning. Installation commanders continuously ensure that forces are trained to maximize the use of threat assessments and intelligence derived from liaisons to civil and military LE and public safety agencies and departments and from EM, meteorological, environmental, public health, and medical syndromic surveillance processes and procedures.

B-16. Each Service maintains its own terrorist threat analysis capability. Although DOD threat levels may only be set by the Defense Intelligence Agency (DIA), special investigation offices and information fusion centers can provide valuable assessments to installation commands regarding terrorist threats for specific, localized areas. The following are primary sources of terrorism threat assessment data that contribute to indications and warnings for U.S. military forces:

- **Marine Corps Forces Intelligence Department (G-2) or Information Fusion Center.** The G-2 is the focal point for the intelligence support for FP-related intelligence, information, and counterintelligence (CI) issues for U.S. Marine Corps assets within their respective area of responsibility. The Information Fusion Center oversees the correlation of LE information in order to provide a domestic summary consistent with other DOD intelligence oversight directives.

- **Naval Criminal Investigative Service Multiple Threat Alert Center threat products.** Products include time-sensitive spot or suspicious activity reports, warning reports, CI terrorism supplements, annual regional threat assessments, port threat assessments, and baseline study reports.
- **Army Counterintelligence Center threat products.** Products include monthly international terrorism summaries, multidisciplined CI threat assessments, and Army Counterintelligence Center information papers.
- **Air Force Office of Special Investigation threat products.** Products include CI notes and the *Blue Line*–a daily synopsis of global incidents of interest to Air Force personnel.
- **DIA Joint Intelligence Task Force for Combating Terrorism (JITF-CT).** Disseminates intelligence on foreign terrorist threats, including the specific warning of threats against DOD personnel, facilities, and other DOD material resources. Additionally, DIA produces a threat assessment triennially, or if required, more frequently.
- **Geographic combatant command area of responsibility**. A specific supplement to the DIA–produced global threats report.
- **DHS Federal Bureau of Investigation intelligence and analysis reports.** FBI field intelligence groups are the hub of the FBI Intelligence Program. These reports contribute to local and regional perspectives on threats and serve as the primary intelligence link between the FBI and fusion centers.
- **DHS intelligence reports.** Includes DHS daily open-source infrastructure reports, digital library critical releases, advisory system threat levels, daily infectious disease reports, daily drug trafficking and smuggling reports, central digests, and daily cyber reports.

VULNERABILITY ASSESSMENTS

B-17. Vulnerability is a measure of the robustness of in-place installation and asset safeguards that are taken to prevent or mitigate a threat or hazard from impacting an installation. Vulnerabilities define the weaknesses or susceptibilities of an installation, system, asset, or application and identify its dependencies that could cause it to suffer a degradation or loss (incapacity to perform its designated function) as a result of having been subjected to a certain level of threat or hazard effects. The VA consists of the determination of the potential vulnerability of an installation or specific function to an identified hazard.

B-18. Vulnerabilities to a critical asset can result from a wide variety of factors (design and construction flaws, environmental factors, proximity to other structures or systems, factors influencing accessibility, personal behaviors of people working in or around the critical assets, operational practices associated with the critical assets or the installation). Vulnerabilities of a critical asset can also be determined by vulnerabilities to other assets or areas that are not in close proximity to the critical asset. For instance, vulnerabilities in access or perimeter control of an installation may lead to an adversary gaining access to the installation and, ultimately, to the critical asset located somewhere inside the installation.

B-19. Installation commanders conduct a local AT VA as outlined in DODD 2000.12 and DODI 2000.16 for facilities, installations, and critical nodes within their areas of responsibility on an annual basis or, as required, more frequently. This VA addresses the broad range of threats to the installation and personnel. Existing AT VAs are used to establish the vulnerability of an installation or specific function to terrorist threats, but installation EM personnel still conduct a thorough VA for natural and manmade hazards not included within the AT scope.

B-20. VAs of installations—

- Focus on the overarching EM and AT programs of the command.
- Determine asset-specific vulnerabilities applicable to particular threats and hazards.
- Assess the vulnerability scope of an asset, such as a single weakness or multiple weaknesses in the safeguard system.
- Assess the degree of difficulty in exploiting the vulnerability.
- Analyze installation structure and activities from the perspective of an adversary to obtain a basis for understanding real vulnerabilities. This may be accomplished through written questionnaires and surveys.

- Are classified according to appropriate security classification guides.
- Are disseminated for internal use at least annually.

B-21. Process tools and resources for conducting VAs include—

- DOD O-2000.12-H, including checklists and aids.
- The Joint AT Program Manager's Guide.
- Defense Threat Reduction Agency AT VA team guidelines.
- Preexisting higher headquarters assessments and Defense Threat Reduction Agency joint staff integrated vulnerability assessments, performed every 3 years for installations of greater than 300 personnel.

CONSEQUENCE ASSESSMENTS

B-22. Some Services also perform consequence assessments and use them as inputs to their risk evaluation as shown in figure B-1, page B-1. The consequence assessment determines the potential consequences that an identified hazard may have on an installation or on a specific function at the current level of EM capability of the installation. Consequence assessments include estimates for deaths, injuries, rebuilding infrastructure costs, and the magnitude of disruption in mission capabilities.

CAPABILITY ASSESSMENTS

B-23. The capability assessment determines the current level of EM capability of the installation based on the integrated nonmaterial and material readiness of supporting functional areas. Capability assessments factor in the mitigating effects of existing emergency response manpower, procedures, training, equipment, and exercises to more accurately predict consequences. The capability assessment is especially important in the identification of capability gaps (needs) that are addressed to reduce the consequence of a specific hazard on an installation or on a specific function.

B-24. The objectives of the capability assessment are to—

- Consider the range of identified and projected response capabilities necessary for responding to a hazard.
- List installation resources by type to provide an asset capability report.
- Review policy, guidance, and planning documents to identify the organization mission-essential tasks and functions assigned to the organization.
- List installation personnel with a mission-essential task responsibility as identified in DODI 6055.17.
- Identify costs associated with assessment outcomes for future budget planning.

RISK EVALUATIONS

B-25. Effective risk management requires that the assessment of each hazard be evaluated in terms of vulnerability, consequence, and the capability of the installation to manage the resulting emergency. All hazards are not equal in terms of probability or severity; therefore, risk evaluation can be used to establish relative risk in order for the installation commander to conduct risk management across the entire jurisdiction vice solely basing it on vulnerability or consequence of a specific hazard to a specific mission.

B-26. Risk factors resulting from assessments for the various threats and hazards to each critical infrastructure asset mission are compared against each other to determine relative risks. This relative risk evaluation assists in future resource allocation, prioritization, and acquisition planning. Costs and benefits may need to be considered when deciding to acquire new resources.

B-27. Service-specific examples of risk evaluation templates and matrices are provided in table B-1, page B-6; figure B-2, page B-7; figure B-3, page B-8; and table B-2, page B-9. The threats and hazards evaluated in each figure are notional and represent a small fraction of the total risks that an installation may need to evaluate. For details on using these tables and calculating risk, refer to Commander, Navy Installations Command (CNIC) Instruction 3440.17; FM 5-19; Marine Corps Order 3440.9; and the Air Force Hazard-Risk Assessment Tool.

Table B-1. U.S.N. relative risk evaluation matrix (notional data)

Threat/ Hazard Scenarios	*CI Factors (0.1, 1, 2, 10)*	*Threat Hazard Factors*		*V Factors (0.1 to 4.5)*	*C Factors (1 to 12)*	*RC Factors*		*RRF*
		T (0.1, 1, 2, 10)	*H (0.1 to 12)*			*Terrorism CBRE Attacks (1 to 4)* *Nuclear Attacks (0.1 to 2)*	*Natural Tech Hazards (2 to 8)*	
Earth-quake, building structural collapse	6	NA	4.0	1.25	4	NA	8	15.0
Tsunami	6	NA	3.0	1.25	4	NA	8	11.3
Fire (forest, wilderness, urban structural)	6	NA	2.1	1.25	4	NA	8	7.9
Transpor-tation accidents (aircraft, ship, barge, rail, vehicle, bus)	6	NA	2.0	1.25	6	NA	8	11.3
Power energy utility failure	6	NA	2.1	1.25	1	NA	8	2.0
HAZMAT spill release	6	NA	2.5	1.25	2	NA	8	4.7

Note. RRF = (CI) x (T or H) x (V) x [(C) (RC)]; templates and instructions are available in CNIC Instruction 3440.17 to evaluate each factor in the relative risk calculation.

Legend:

C	consequence
CBRE	chemical, biological, radiological, and high-yield explosives
CI	critical infrastructure
CNIC	Commander, Navy Installations Command
H	hazard
HAZMAT	hazardous materials
NA	not applicable
RC	response capability
RRF	relative risk factors
T	threat
TECH	technical
V	vulnerability

Individual Threat/Hazard Analysis Data Matrix

Installation Site Name	Threat/hazard Name	Threat/hazard Probability Rating Ranges	Probability Rating Source Information	Assessed Threat/Hazard Probability Rating	Other Rating Factors–Comments
Camp Zebra	Explosive–220-lb, vehicle-borne, improvised explosive device	Critical 0.76 to 1.00 High 0.51 to 0.75 Medium 0.26 to 0.50 Low 0.01 to 0.25	Naval Criminal Investigative Service threat assessment; Defense Intelligence Agency threat assessment; local installation threat assessment; past history of similar events occurring; and other similar sources.	High 0.60	Site-specific intelligence factors; other relevant analysis, such as a design basis threat; and a specific period for duration of the threat or hazard.

Integrated and Prioritized Threat/Hazard Matrix

Installation Site Name	Threat/Hazard Name	Assessed Threat/Hazard Probability Rating
Camp Zebra	Flooding–Hurricane	Critical 0.80
	Explosive–220 lb, vehicle-borne, improvised explosive device	High 0.60
	Aged equipment–No spares	Medium 0.47
	Electromagnetic pulse	Low 0.05

Based on work done to assess each individual threat/hazard scenario, an integrated and prioritized threat/hazard matrix can be developed for the entire installation.

Critical (0.76 to 1.00) Indicates an imminent threat against the asset or the immediate area where the asset is located.

High (0.51 to .075) Indicates acredible threat against the asset or the immediate area where the asset is located.

Medium (0.26 to 0.50)Indicates a potential threat to the asset or the immediate area where the asset is located.

Low (0.01 to 0.25) Indicates little or no credible evidence of a threat to the asset or the immediate area where the asset is located.

Legend:

lb pound

Figure B-2. USMC threat hazard matrix template (notional data)

Risk Assessment Matrix						
		Probability				
Severity	**Category**	**Frequent A**	**Likely B**	**Occasional C**	**Seldom D**	**Unlikely E**
Catastrophic	I	E	E	H	H	M
Critical	II	E	H	H	M	L
Marginal	III	H	M	M	L	L
Negligible	IV	M	L	L	L	L

Mitigation Matrix				
Installation	**State**	**Location of Installation Assessment**	**Date**	**Page_ of _**
Fort Bravo	TX	Building 1600, 1st Batallion Chemical Headquarters	9 Sep 09	1 of 1
Prepared by: Name, Rank or Grade, and Duty Position				
Jonathan J. Johnson, GS-13, Installation Emergency Manager				

Identified Hazard (Be Specific)	**Assess Hazard**				**Initial Control Measures (Be Specific)**	**Assess Residual Hazard**				**Unit Organization Assigned or Responsible**
	L	**M**	**H**	**E**		**L**	**M**	**H**	**E**	
Severe weather (tornado [called supercells]); severe wind, heavy lightning, hail, and possible tornadic activity.				✓	Activate EOC, contact National Weather Center, initiate first alert system, call needed immediate first responders with other responders on standby.			✓		Lead unit will be assigned to IFES. IFES will coordinate with off-post services if MAA is initiated.

Legend:

E	extremely
EOC	emergency operations center
GS	general schedule
H	high
IFES	installation fire and emergency services
L	low
M	moderate
MAA	mutual-aid agreement
Sep	September
TX	Texas

Figure B-3. USAF risk assessment and mitigation matrixes (notional data)

Table B-2. USAF risk assessment work sheet (notional data)

Specific Risk	*Likelihood of Occurrence*	*Initial, Consequence Rating*	*Risk Reduction Activity*	*Final, Consequence Rating*	*Risk Rating*
	A. Almost certain B. Likely C. Possible D. Unlikely E. Rare	1. Insignificant 2. Minor 3. Moderate 4. Major 5. Catastrophic	Accept Reduce likelihood or consequence Eliminate	1. Insignificant 2. Minor 3. Moderate 4. Major 5. Catastrophic	E - Extreme H - High M - Medium L - Low N - Negligible
Hurricane	B	4	Engineering–building standards Administration–HURREVAC plan	3	M Active management
Legend: HURREVAC hurricane evacuation					

Note. More templates are available in the Air Force Hazard-Risk Assessment Tool to determine the likelihood and consequence ratings.

NEEDS ASSESSMENT, COST BENEFIT ANALYSIS, AND MITIGATION DECISIONS

B-28. The risk assessment process seeks to evaluate and identify risks to the installation and its critical infrastructure assets missions based on the likelihood of threats and hazards occurring, the associated degrees of vulnerabilities, and the response capability. The risk mitigation process determines options and actions to reduce the risk of impact to the installation and its critical infrastructure assets missions. The options and actions include remediating risk, mitigating the effects of loss once the threat/hazard event occurs, reconstituting installation and asset capabilities after loss or disruption, acknowledging risk, and transferring the risk decision to a higher echelon of command.

B-29. The needs assessment identifies additional risk mitigation strategies (procedures, training, activities, countermeasures, equipment) needed to reduce the probability and consequences of priority threats and hazards. Risk mitigation strategies that improve recovery are included in the analysis. Multiple layers of protection (defense in depth) against the most critical risks are considered.

B-30. A key portion of the needs assessment analyzes and prioritizes the costs and benefits of risk mitigation strategies. Strategies involving equipment, facilities, or additional personnel are prioritized, tracked, and reported in time to support the budget process.

RISK MANAGEMENT PROCESS REVIEWS

B-31. Risk management is a continual process that evolves as hazards are identified, mitigation actions are completed, prevention capabilities are developed and employed, and EM capabilities are developed to respond to, and recover from, identified hazards threats. The risk management process is executed as a cycle. Once the risk management is complete, it is essential that a thorough review of the overall process be conducted. This is typically done during the annual program review.

B-32. Stakeholders in military and local civilian communities are involved in the review stage of the risk management process. This coordination or collaboration ensures that supporting plans align with the risk management process. Stakeholders from the local community can also identify strengths and weaknesses, focusing on collaboration between military and civilian agencies.

B-33. The final stage in the risk management process review is to exercise the plan and make adjustments as needed. After the all-hazards risk management plan is implemented and set in motion, flaws may be identified that could not be comprehended during the planning process. If this occurs, pursue immediate modification.

Appendix C

Installation Emergency Management Plan

The IEM plan is an important document for the support of installation preparation, response, and recovery operations. IEM plans assign responsibilities to organizations and individuals within EM and across installation functional response communities, including assigned or attached personnel. IEM plans facilitate coordination with organizational plans in support areas such as LE, medical and public health, communications, logistics, physical security, training, intelligence support, AT, F&ES, EOD, and HAZMAT. At a minimum, IEM plans are reviewed annually and updated, as needed, to incorporate lessons learned and opportunities for improvement identified during real-life events, exercises, and risk management activities.

KEY ELEMENTS

C-1. As outlined in DODI 6055.17, IEM plans are developed consistently with NRF and NIMS concepts and address, at a minimum, the following:

- Mission, goals, and objectives of the IEM program.
- Functional roles, responsibilities, and lines of authority for personnel, organizations, and agencies assigned to the EM response.
- Preparedness activities, including—
  - Risk management.
  - Prevention planning that establishes interim and long-term actions to reduce or eliminate identified hazards and threats to the installation.
  - Mitigation planning that establishes interim and long-term actions to reduce the impact of hazards and threats that cannot be eliminated.
  - Training.
  - Exercises.
  - Interagency coordination.
  - Equipment.
- Response planning that establishes response actions and assigns responsibilities for carrying out those actions. Specific response planning considerations include—
  - COOP planning that identifies mission-essential functions and personnel, procedures, and resources, contact information of stakeholders to be notified; ERSs to be setup; and functions to be maintained while the installation is recovering.
  - Evacuation management and mass care planning that address family assistance, SIP, lockdown, local and remote safe havens, civilian shelters, personnel accountability, special-needs management, animal needs management, behavioral health and religious support, and family assistance centers.
  - Volunteer and donations management that establishes procedures for IEM plans for organizing and coordinating the receipt of unsolicited services and goods in a manner that comports with applicable law and policy and does not interfere with ongoing response and recovery efforts.
  - Protocol to allow non-DOD first responders access to the installation during an emergency.
- Recovery planning that provides short- and long-term priorities for the restoration of functions, services, resources, facilities, and infrastructures.

- Communications through all phases of an emergency that address communication infrastructure (dispatch centers, enhanced 9-1-1 services, mobile command post and incident command communication devices), EPI, and mass warning and reporting systems.

DEVELOPMENT PROCESS

C-2. The development of a comprehensive, integrated, and executable IEM plan is the responsibility of the installation commander. Command involvement is essential in the formation of a successful plan.

C-3. The lead for IEM plan development and maintenance is the installation emergency manager. No single individual is tasked with the sole responsibility of developing an IEM plan. IEM plan development and documentation is a collective effort.

C-4. The most effective method of developing and documenting an IEM plan is through the utilization of a cross-functional working group, such as the IEMWG. This working group includes the ESF managers (or office representatives) identified by the commander.

C-5. Using the IEMWG enables the participation, input, and "buy-in" of necessary cross-functional subject matter experts. Everyone involved in IEM plan development and documentation should be thoroughly familiar with—

- Applicable IEM directives.
- Previous IEM plans and assessments.
- Data developed earlier in the overall IEM plan development process, including the results of threat, vulnerability, and capability assessments.

C-6. The unpredictability of the IEM mission, with respect to the all-hazards scope of the plan, requires that the IEM plan provide SOPs and instructions to conduct and coordinate specific EM measures that may apply to all-hazards situations. Detailed "how to" instructions—

- Permit subordinate commanders to prepare supporting plans.
- Focus on subordinate activities.
- Provide tasks, activities, constraints, and coordinating instructions.
- Do not inhibit initiative.
- Provide a clear, concise mission statement.
- Convey the intent of the commander.
- Include annexes and appendixes, if required, to expand the information not readily incorporated in earlier text, particularly with respect to hazard-specific instructions that may apply in a given scenario.

C-7. The IEM plan format mirrors the FEMA CPG 101 emergency operations plan format, yet it is tailored to meet the unique requirements of comprehensive military IEM programs. The following are basic steps in developing an IEM plan:

- Form a collaborative planning team.
- Understand the situation, including conducting research and analyzing the information. Gather and compile the information developed during earlier installation planning processes, including results of threat, vulnerability, and capability assessments and community profiles.
- Determine goals and objectives. IEM plan development and documentation requires a comprehensive, integrated approach and a strong, clear vision of IEM program requirements.
- Develop the plan. Produce a summary and basic plan. The plan summary provides the reader with a concise synopsis of the scope and purpose of the plan. The basic plan provides the groundwork for amplifying sections (annexes and appendixes), including SOPs and hazard-specific appendixes (HSAs). Commander guidance is developed in conjunction with the basic plan and is used to tailor the language of the plan to meet the mission and goals of the commander.
- Develop and analyze courses of action. Establish a plan of action and task suspense dates for the completion of the plan and its annexes and appendixes. Identify resources. Determine and assign responsibility for developing annexes and appendixes. Annexes provide the details not readily

incorporated into the basic plan, and they are written to increase the clarity and usefulness of the basic plan. These are only required if they are deemed necessary. Each annex relates to a specific aspect of the IEM operation. Appendixes further expand the annexes and contain a more detailed explanation of the concept IEM operations of the commander. Appendixes can be further subdivided into tabs and enclosures. The development and documentation of individual annexes and appendixes are tasked to IEMWG members with a related expertise or responsibility for the activity. For example, the public affairs representative supervises the development of the public affairs annex.

- Prepare, review, and gain approval of the plan.
  - Write the plan. Coordinate staff development and review of the plan. Each Service has published guidance concerning deliberate planning, organization, and staff coordination (FM 5-0, Navy Warfare Publication 5-01, Air Force Instruction [AFI] 10-2501, and Marine Corps Warfighting Publication [MCWP] 5-1). The Navy has developed additional focused disaster relief planning guidance within the following pair of Tactical Memorandums (TACMEMOs): TACMEMO 3-07.6-06, and TACMEMO 3-07.7-06. Also plan, task, and publish the development of supporting plans. Each subordinate and supporting commander who is assigned a task in the IEM plan may prepare a supporting plan. Supporting plans are consistent with supporting commander missions and responsibilities. Supporting plans are submitted to the supported commander for review and approval.
  - Approve and disseminate the plan. Finalize the plan, and submit it through the staff and to the commander for review and approval. The finalized plan is consistent with the organization or installation mission and responsibilities; oriented on tactical perspective; adequately detailed to provide specific actions to be taken; easily understood; and if required executed quickly and decisively. After commander approval and upon execution, the IEM plan becomes an operation order.
- Refine and execute the plan.
  - Exercise the plan, and evaluate its effectiveness. The IEM plan remains under constant review to ensure that it is truly a "living document," incorporating lessons learned and best practices identified in training, exercises, real-life events, and changes in risk management strategies.
  - Review, revise, and maintain the plan. When the IEM plan is published, the next planning cycle begins. As preparation proceeds, assessments are continuously updated and may require revisiting and revising the IEM plan. The IEM plan cannot remain static; rather, as the situation changes, the plan also changes. The IEM plan is updated at least annually.

C-8. As part of the development of the IEM plan, resources identified by the installation are allocated to prioritized requirements. The prioritization is made by the commander with input from the staff.

INSTALLATION EMERGENCY MANAGEMENT PLAN FORMAT

C-9. The cover instruction constitutes the legal authority, mission assignments, relevant EM policy summary, and relevant role assignments and responsibilities associated with the IEM program as determined and signed by the installation commander. The target audience of the cover instruction is other commanders above, equal to, and subordinate to the approving commander.

Note. According to FEMA and NIMS policy, there is no mandatory format for emergency operations plans. The following format provides a recommended structure based on the best practices among military and civilian EM planners. Unless otherwise directed by individual Services, installations are authorized to modify their plan formats to best suit the specific circumstances of the individual installation.

C-10. The basic plan establishes the EM capabilities required to support the missions assigned by the cover instruction. The basic plan establishes the prevention, response, and recovery operational concepts; and determines and details the linkage between the IEM plan and supporting or supported plans and programs. The basic plan consists of at least the following sections:

- Authorities and references.
- Purpose, scope, applicability, and assumptions.
- Implementation process.
- Community profile (demographic, infrastructure, personnel categorization).
- Risk management results summary (list of community hazards, vulnerabilities).
- Preparedness strategy and requirements (community awareness activities, mass warning notification systems and procedures, personnel accountability procedures).
- Response strategies and concepts (command and control of installation, IC [ICS/NIMS], SIP, evacuation procedures).
- Recovery strategies and concepts (how will long- and short-term recovery be planned and performed?).
- Mitigation strategies and activities (what mitigations are in place, and how will they be activated?).
- Continuity strategies and continuity programs (COOP/continuity of business policies and procedures).
- Plan management and maintenance efforts.
- Supporting plans and programs, including the installation AT plan, the installation F&ES plan, MTF plans, and tenant command EAPs (what interdependencies exist, and how do these plans support the overall EM program?).

C-11. Functional area annexes and ESFs are developed for each assigned functional area with responsibilities in developing, fielding, employing, or sustaining EM capabilities. These annexes consist of detailed guidance for each assigned functional area related to the development and execution of target EM capabilities. The annexes assign responsibility to the organization and individuals for carrying out specific actions at projected times and places in an emergency. These actions are not specific to a particular hazard, but rather focus on core common components supported by the function itself. As discussed in DODI 6055.17, Services may use the ESF-based organizational model or a functional area-based organizational model for IEM plans.

C-12. ESFs are an operational level coordinating structure that federal agencies use to organize an interagency federal response to an event. ESFs are mechanisms for grouping functions most frequently used to provide federal support in the management of disasters and incidents. Specific functional personnel are assigned to lead or manage specific ESFs. These designated roles are referred to as ESF managers.

C-13. While neither NIMS nor DOD mandates the use of an ESF structure when a nonfederal entity is coordinating an emergency under ICS, many state and local agencies use the ESF organization in their response effort. Therefore, ESF information is provided here for SA to facilitate the interface between installation and civilian response and recovery operations. An installation may choose to utilize an alternative functional area or equivalent organizational structure in their approach to readiness and response. Examples of responsibilities and manager roles for each ESF are shown in table C-1.

C-14. If using the functional area structure, IEM plans include functional area annexes. These functional area annexes assign responsibility to the organization and individuals for carrying out specific actions at projected times and places in an emergency that exceeds the routine responsibility or capability of the functional area. These actions are not specific to a particular hazard, but rather focus on core common components supported by the functional area. Functional area annexes also identify unmet needs of each functional area that are necessary for the successful execution of assigned functions.

Table C-1. Examples of ESF responsibilities and manager roles

No.	*ESF*	*Scope of Responsibilities*	*ESF Manager Roles*
1	Transportation	• Aviation/airspace management and control • Transportation safety • Damage and impact assessment on transportation systems and infrastructure • Restoration/recovery of transportation infrastructure • Movement restrictions	• Advise the IC, ICP, or EOC director on the availability or limiting factors of transportation resources. • Provide transportation for follow-on team members from the assembly point to the designated ICP as required. • Coordinate requests for transportation support. • Coordinate the evacuation of equipment from the incident area. • Request additional transportation resources from local agencies when needed. • Strategically plan for future phases.
2	Communications	• Coordination with telecommunications and information technology industries • Restoration and repair of telecommunications infrastructure • Protection, restoration, and sustainment of cyberspace and information technology resources • Oversight of communications within the incident management and response structures, including provision of telecommunications capabilities to the ICP, EOC, and other response organizations during response and recovery efforts	• Monitor mass notification and public warning systems. • Supervise and manage IC, ICP, and EOC computer networks to ensure that they are operational throughout an incident. • Provide communications equipment as needed. • Coordinate and monitor requests for on-site communications assets. • Coordinate and monitor on-site communications support as necessary. • Determine on-site operating frequencies. • Monitor communication networks, and recommend limiting the nonessential use of networks. • Maintain the communications log. • Coordinate communications with other appropriate entities.

Table C-1. Examples of ESF responsibilities and manager roles (continued)

No.	*ESF*	*Scope of Responsibilities*	*ESF Manager Roles*
2	Communications (continued)		• Evaluate available communications capabilities to support the incident response. Make a recommendation to the IC/ICP/EOC director on whether to request support. • Liaise with augmentation elements to coordinate communications procedures. • Monitor the network operations status, and advise the IC/ICP/EOC director of status changes. • Strategically plan for future phases.
3	Public works and engineering	• Temporary construction of emergency access routes, including streets, roads, bridges, ports, waterways, airfields, and other facilities necessary for the passage of rescue personnel • Emergency restoration of critical public services and facilities, including the supply of adequate amounts of potable water, the temporary restoration of water supply systems, and the provision of water for firefighting • Emergency demolition or stabilization of designated damaged structures and facilities • A technical assistance and damage assessment, including structural inspectors • Infrastructure protection and restoration • Emergency contracting for lifesaving and life-sustaining services • Provision of emergency power	• Request and monitor the deployed damage assessment team when requested by the IC. • Ensure that water and utilities are available for incident site support. • Ensure that environmental expertise and technical assistance is available for the IC. • Ensure that additional follow-on support is available if required. • Request follow-on elements from installation or civilian sources. • Report public works and engineering activities to the EOC. • Strategically plan for future phases.
4	Firefighting	• Command and control establishment • Responder accountability • Fire suppression • Technical rescue • Victim/patient extrication • Atmospheric monitoring and detection	• Request augmentation or mutual-aid assistance before fire service capabilities are exhausted. • Activate MOA/MOU with local/state/federal/HN fire and search-and-rescue assets for augmentation not previously activated.

Table C-1. Examples of ESF responsibilities and manager roles (continued)

No.	*ESF*	*Scope of Responsibilities*	*ESF Manager Roles*
4	Firefighting (continued)	• Establishment of control zones • Establishment of entry and/or exit control procedures • Initial triage (depending on EMS provisions)	• Monitor and obtain an expendable equipment status from the ICP. • Request additional equipment as needed. • Strategically plan for future phases.
5	EM	• Alerts and notifications • Deployment and staffing of emergency response teams • Incident action planning • Coordination of operations, logistics, and materiel • Direction and control • Information management • Resource acquisition and management • Worker safety and health • Facilities management • Financial management	• Manage the overall operation of the EOC. • Provide direct support to the EOC director. • Submit incident situation reports to higher headquarters through the installation commander. • Ensure the control and protection of classified material. • Coordinate support from additional response elements. • Keep detailed records of decisions and events. • Coordinate support from additional response elements with local civilian EM officials. • Review and comment on incident lessons learned/AARs. • Strategically plan for future phases.
6	Mass care, emergency assistance, housing and human Services	• Coordination of bulk distribution of emergency relief supplies • Provision of assistance for short- and long-term housing needs of victims • Provision of victim-related recovery efforts, such as counseling	• Arrange for mass care. • Arrange disaster housing for displaced persons and pets. • Arrange for human services. • Strategically plan for future phases.
7	Logistics management and resource support	• Emergency relief supplies • Facility space • Office equipment and supplies • Telecommunications (in coordination with ESF number 2: Communications) • Contract services • Transportation services (in coordination with ESF number 1: Transportation) • Security services • Personnel	• Arrange resource support (facility space, office equipment and supplies, contracting services). • Plan for and coordinate logistics. • Strategically plan for future phases.

Table C-1. Examples of ESF responsibilities and manager roles (continued)

No.	*ESF*	*Scope of Responsibilities*	*ESF Manager Roles*
8	Public health and medical services	• Assessment of public health/medical needs (including behavioral health). • Public health surveillance. • Medical care personnel. • Medical equipment and supplies. • Patient evacuation. • Patient care. • Safety and security of human drugs, biologics, medical devices, and veterinary drugs. • Blood and blood products. • Food safety and security. • Agriculture safety and security (in coordination with ESF 11 – Agriculture and Natural Resources). • Worker health and safety. • All-hazards public health and medical consultation, technical assistance, and support. • Behavioral health care. • Public health and medical information. • Vector control. • Potable water, wastewater, and solid waste disposal. • Victim identification, mass fatality management, and mortuary services (in coordination with ESF number 7 – Logistics management and resource support). • Veterinary care, personnel, equipment, and supplies. • Protection of animal health.	• Ensure that EMS are available as necessary. • Ensure that veterinary services are available as necessary. • Report potential biological incidents to higher headquarters. • Establish reachback guidance and support from USAPHC, USAMRIID, USAMRICD, AFRRI, and other Service public health centers as appropriate. • Ensure that a medical intelligence officer or NCO is available to provide medical intelligence information if needed. • Advise the IC/EOC/ICP on the status of medical treatment activities. • Coordinate with local medical forces for mutual assistance requirements on-scene, and activate appropriate procedures if during nonduty hours. • Serve as a liaison with the installation medical facility for on- and off-installation medical needs. • Establish contact with the local EOCs and higher headquarters. • Ensure that medical personnel are available to provide technical medical information and advice to the IC, including information on the physiological effects of contamination. Coordinate with local hospitals for bed availability. • Establish contact with local, municipal, state, and federal public health agencies as required. • Establish contact with state/regional/local public health laboratories for LRN support as needed. • Strategically plan for future phases.

Table C-1. Examples of ESF responsibilities and manager roles (continued)

No.	*ESF*	*Scope of Responsibilities*	*ESF Manager Roles*
9	Search and rescue	• Lifesaving assistance. • Search-and-rescue operations.	• Activate the search-and-rescue team. • Dispatch the team when requested by the IC. • Strategically plan for future phases.
10	Oil and HAZMAT response	• Oil and HAZMAT response, including chemical, biological, and radiological hazards. • Short- and long-term environmental cleanup measures.	• Activate installation oil and HAZMAT resources, and deploy to the incident site when requested by the IC. • Request augmentation from local civilian agencies and/or higher headquarters if CBRN or HAZMAT team capabilities are exceeded. • Strategically plan for future phases.
11	Agriculture and natural resources	• Nutrition assistance needs. • Appropriate food supplies and delivery. • Disaster food stamp authorizations. • Animal and plant disease and pest response (in coordination with ESF 8 – Public health and medical services). • Support for animal/veterinary/wildlife issues in natural disasters. • Inspection and verification of food safety aspects of slaughter and processing plants, products in distribution and retail sites, and import facilities at ports of entry. • Laboratory analysis of food samples. • Control of products suspected to be adulterated. • Foodborne disease surveillance (in coordination with ESF 8 – Public health and medical services). • Field investigations. • Conservation, rehabilitation, recovery, and restoration of natural resources.	• Advise the IC on natural and cultural resources and on the protection and restoration of historic properties. • Strategically plan for future phases.

Table C-1. Examples of ESF responsibilities and manager roles (continued)

No.	*ESF*	*Scope of Responsibilities*	*ESF Manager Roles*
12	Energy	• Energy infrastructure assessment, repair, and restoration (in coordination with ESF 3 – Public works and engineering). • Energy industry utilities coordination.	• Deploy a damage assessment team when requested by the IC. • Ensure that backup power is available to the incident site. • Provide functional expertise and assistance to the CBRN/HAZMAT team as required. • Determine the need for additional follow-on support. • Assist with coordination among the IC, ICP, EOC, and other civil and/or military authorities involved with the response. • Strategically plan for future phases.
13	Public safety and security	• Facility and resource security. • Security planning and technical resource assistance. • Public safety and security support. • Support to access, traffic, and crowd control. • Perimeter establishment. • Establishment of entry and exit control points. • Direction of evacuation and/or sheltering.	• Monitor incident site perimeter or cordon security. Deploy additional forces as requested by the IC or ICP. • Coordinate additional civilian LE support as needed or requested by the IC or ICP. • Ensure the safety of emergency responders and the public through monitoring the incident situation. Draft and provide safety notices for EOC director approval. • Ensure that personnel in the immediate area are aware of potential hazards coming from the site. • Monitor the individual equipment items status, especially during CBRNE incidents. Request additional equipment and vehicles to meet the needs of incident site security personnel for sustained operations through the recovery phase. • Request augmentation support from the EOC director; for example, when installation commander approval is needed to obtain nonemergency responder personnel support to maintain incident site perimeter or cordon security.

Table C-1. Examples of ESF responsibilities and manager roles (continued)

No.	*ESF*	*Scope of Responsibilities*	*ESF Manager Roles*
13	Public safety and security (continued)		• Monitor safe routes, and advise emergency responders of recommended or needed changes to those routes. • Coordinate installation entry requests with appropriate control centers, agencies, and ESFs. • Strategically plan for future phases.
14	Long-term community recovery	• Social and economic community impact assessment. • Long-term community recovery assistance. • Analysis and review of mitigation program implementation.	• Conduct a social and economic community impact assessment. • Recommend long-term community recovery assistance to states, local governments, and private organizations and individuals that reside on the installation or are affected by an installation-related disaster. • Conduct a mitigation analysis and program implementation. Alert and notify an SJA EOC representative to proceed to the incident site or designated assembly point and report to the IC. • Determine whether claims should be activated. • Provide advice and assistance to the installation commander, EOC, IC, and ICP members (as appropriate) on legal issues arising from the incident and on the response, including issues associated with establishing an NDA and providing military support to civil authorities. • Provide advice and assistance to responding security forces as appropriate, including advice on chain-of-custody and evidence preservation issues.

Table C-1. Examples of ESF responsibilities and manager roles (continued)

No.	*ESF*	*Scope of Responsibilities*	*ESF Manager Roles*
14	Long-term community recovery (continued)		• Prepare estimates of damage and injuries if claims teams are mobilized, and provide dollar estimates of third-party damages if possible. Report the status of funds available at the installation, and determine the potential need for advance payment and additional SJA manning. • Establish a temporary claims office in proximity to the incident site if appropriate. Advertise the location, operating hours, and advance payment availability. • Strategically plan for future phases.
15	External affairs	• EPI and protective action guidance. • Media and community relations.	• Coordinate with the installation EOC, ICP, and IC for probable timing and location of the establishment of the public information facility. • Activate the press center, as directed by the EOC director or installation commander. Coordinate installation access. • Ensure that PA representation is present at the joint information center, if established. • Coordinate a liaison with media representatives to provide accreditation, mess facilities, billeting, transportation, and escorts as authorized and appropriate. • Ensure that a PA liaison and spokesperson is available to the IC to respond to public requests for information. • Coordinate media access regarding the incident. • Coordinate and monitor the movement of news media personnel, and ensure that press passes and escorts are available. • Coordinate media requests for photographs, interviews, and biographical and other data.

Table C-1. Examples of ESF responsibilities and manager roles (continued)

No.	*ESF*	*Scope of Responsibilities*	*ESF Manager Roles*
15	External affairs (continued)		• Answer community concerns, and deal with the news media at the incident site. • Recommend and coordinate an emergency information line or a rumor control line. • Prepare, coordinate, and disseminate public information alerts. • Ensure that information for public dissemination is reviewed for compliance with security and policy requirements. • Coordinate public information drafts with the installation commander or designated representative. • Obtain approval from the installation commander for news releases; the release of photographs of suspects, victims, and the immediate scene; interviews with anyone other than the commander; and direct communication with press personnel and suspects. • Make news releases available. • Report the facts concerning the CBRN incident or attack, government investigation, terrorist apprehension, recovery operation, and other stories of interest to the public as appropriate. • Strategically plan for future phases.

Table C-1. Examples of ESF responsibilities and manager roles (continued)

Legend:	
AAR	after action report
AFRRI	Armed Forces Radiobiology Research Institute
CBRN	chemical, biological, radiological, and nuclear
CBRNE	chemical, biological, radiological, nuclear, and high-yield explosives
EM	emergency management
EMS	emergency medical services
EOC	emergency operations center
EPI	emergency public information
ESF	emergency support function
HAZMAT	hazardous materials
HN	host nation
IC	incident commander
ICP	incident command post
LE	law enforcement
LRN	Laboratory Response Network
MOA	memorandum of agreement
MOU	memorandum of understanding
NCO	noncommissioned officer
NDA	national defense area
No.	number
PA	public affairs
SJA	staff judge advocate
USAMRICD	U.S. Army Medical Research Institute of Chemical Defense
USAMRIID	U.S. Army Medical Research Institute of Infectious Diseases
USAPHC	U.S. Army Public Health Command

C-15. HSAs are developed for each hazard identified in the risk management process. HSAs consist of detailed guidance specific to the prevention of, response to, and recovery from identified hazards. In planning for specific hazard operations, the installation can use the results of the vulnerability and risk assessment to determine and emphasize the most relevant hazards to that installation. HSAs direct the employment of core EM capabilities mandated in the basic plan in a specific sequence or manner to prevent, respond to, and recover from a specific hazard. Duties and responsibilities of assigned functional areas for the management of an emergency resulting from a specific hazard are summarized in each HSA.

C-16. The following list of possible hazard categories is outlined in DODI 6055.17:

- **Natural hazards (geological).** Earthquakes, tsunamis, volcanoes, landslides, mudslides, subsidence, glaciers, icebergs.
- **Natural hazards (meteorological).** Floods, flash floods, seiche, tidal surges, droughts, fire (forest, range, urban, wild land, urban interface), snow, ice, hail, sleet, avalanches, windstorms, tropical cyclones, hurricanes, tornadoes, water spouts, dust or sand storms, extreme temperatures (heat, cold), lightning strikes, geomagnetic storms.
- **Natural hazards (biological).** Diseases that impact humans or animals (plague, anthrax, West Nile virus, foot and mouth disease, severe acute respiratory syndrome, pandemic disease).
- **Human-caused events (accidental).** HAZMAT (explosive, flammable liquid, flammable gas, flammable solid, oxidizer, poison, radiological, corrosive) spill or release; explosion or fire; transportation accident; building or structure collapse; energy, power, or utility failure; fuel or resource shortage; air or water pollution or contamination; dam, levee, or other water control structure failure; financial issues (economic depression, inflation, financial system collapse); communication system interruption; misinformation.

- **Human-caused events (intentional).** Terrorism (CBRNE and cyber), sabotage, civil disturbance, public unrest, mass hysteria, riot, enemy attack, war, insurrection, strike or labor dispute, disinformation, criminal activity (vandalism, arson, theft, fraud, embezzlement, data theft), electromagnetic pulse, physical or information security breach, active shooter, product defect or contamination.
- **Technologically caused events.** Central computer, mainframe, software, or application (internal and external); ancillary support equipment; telecommunications; energy (power or utility).

C-17. The decision to develop an HSA for an IEM plan is based on special planning requirements not common to other hazards addressed within the plan and on regulatory considerations that may require extensive, detailed planning. The content of an HSA focuses on the special planning needs generated by the hazard and does not duplicate the information in the larger plan.

C-18. The HSA contains unique and regulatory response planning details that apply to a single hazard. It addresses the essential operational actions that must be accomplished to facilitate the successful completion of a particular response function. As appropriate, the HSA quantifies the risk area, geography, and demography considerations that apply to the hazard.

C-19. While the nature of each HSA will be highly dependent on elements unique to each installation, some operational commonalities exist for each individual hazard. Excellent guidance on response operations for specific hazards is located in the incident annexes of the NRF (<see http://www.fema.gov/emergency/nrf/incidentannexes.htm>). Although these incident annexes were written for a civilian government response effort, much of the content of these incident annexes can be used to frame the development of HSAs for inclusion into a DOD installation EM plan. The following incident annexes are currently available from the various Web sites listed below:

- Biological incidents:
  <http://www.fema.gov/pdf/emergency/nrf/nrf_BiologicalIncidentAnnex.pdf>.
- Catastrophic incidents:
  <http://www.fema.gov/pdf/emergency/nrf/nrf_CatastrophicIncidentAnnex.pdf>.
- Food and agriculture incidents:
  <http://www.fema.gov/pdf/emergency/nrf/nrf_FoodAgricultureIncidentAnnex.pdf>.
- Mass evacuations:
  <http://www.fema.gov/pdf/emergency/nrf/nrf_massevacuationincidentannex.pdf>.
- Nuclear/radiological incidents:
  <http://www.fema.gov/pdf/emergency/nrf/nrf_nuclearradiologicalincidentannex.pdf>.
- Cyberspace incidents:
  <http://www.learningservices.us/pdf/emergency/nrf/nrp_cyberincidentannex.pdf>.

C-20. Further detail on the development of HSAs can be found in chapter 6 of FEMA CPG 1-01, which is a guide to assist state and local governments in all-hazards emergency operations planning. Elements of this guidance have to be reconstructed to apply to the installation instead of to a civilian government structure; however, the basic principles of hazard-specific planning still apply at the installation level.

C-21. Each Service EM program has excellent templates and checklists for hazard-specific events that pertain for each Service installation. See CNIC INST 3440.17 for response action guides pertaining to CBRNE events, hurricanes, earthquakes, and fire response operations. See Air Force Installation Emergency Management Program 10-2501 template for checklists pertaining to major accidents, natural disasters, attack actions, and terrorist use of CBRNE. Department of the Army Pamphlet 525-27 contains guidance for Army installations.

C-22. Support annexes add specific information and direction to the emergency operations plan. Support annexes focus on critical operational functions and who is responsible for carrying them out. These annexes clearly describe the policies, processes, roles, and responsibilities that agencies and departments carry out before, during, and after an emergency. While the basic plan provides broad, overarching information, these annexes focus on specific responsibilities, tasks, and operational actions that pertain to the performance of a particular emergency operations function.

C-23. These annexes also establish targets for preparedness (training, exercises, equipment checks, maintenance) that facilitate achieving function-related goals and objectives during emergencies and disasters. This list of emergency response functions is not exhaustive or comprehensive. Each jurisdiction assesses its own needs, and additional or different annexes are prepared at the discretion of the planning team.

C-24. General appendixes are the last section of the EM plan. They include basic elements, such as definitions and acronyms. (See table C-2.)

Table C-2. Examples of EM plan section content

SECTION I: Base Plan	
1. Purpose, scope, and applicability 2. Situation and assumptions 3. Risk management summary 4. Installation organization 5. Duties and responsibilities 6. Command and control 7. Preparedness program 8. Response CONOPS	9. Recovery CONOPS 10. Mitigation strategy and activities 11. Communications 12. Resource management 13. DSCA 14. Plan management and maintenance 15. Authorities and references 16. Supporting plans and programs
SECTION II: Sample Functional Area Annexes	
1. EOC 2. Dispatch center 3. Communications 4. Critical personnel/category I personnel 5. EM staff 6. F&ES 7. Emergency medical services 8. Security forces 9. EOD 10. Health services 11. Veterinary services 12. Industrial hygiene	13. OSHA 14. Public works 15. Public affairs 16. Mass care 17. Meteorological 18. Fatality management 19. Support, logistics, and finance 20. Search and rescue 21. Environmental 22. Local safe-haven management 23. Shelter-in-place management 24. Evacuation management
SECTION III: Standard ESFs	
1. Transportation 2. Communications 3. Public works and engineering 4. Firefighting 5. EM 6. Mass care, emergency assistance, housing, and human services 7. Logistics management and resource support	8. Public health and medical services 9. Search and rescue 10. Oil and HAZMAT response 11. Agriculture and natural resources 12. Energy 13. Public safety and security 14. Long-term community recovery 15. External affairs
SECTION IV: Potential HSAs	
1. Destructive weather 2. Seismic/geological hazards 3. Fire hazards 4. Pandemic influenza or other infectious disease epidemic 5. HAZMAT spill/release 6. Transportation accidents 7. Structural failure/collapse 8. Infrastructure or utility loss or interruption 9. Environmental pollution/contamination 10. Agricultural incidents	11. Terrorism incidents (active shooter, kidnapping, hijacking) 12. Chemical terrorism 13. Biological terrorism 14. Radiological terrorism 15. Nuclear terrorism 16. Explosive or incendiary terrorism 17. Electromagnetic or cyberterrorism 18. Civil disturbance 19. Nuclear-reactor accident/incident 20. Nuclear-weapon accident/incident 21. Refugee/migrant operations

Table C-2. Examples of EM plan section content (continued)

SECTION V: Support Annexes	
1. MAAs 2. MOUs/MOAs 3. ISSAs 4. Support contracts 5. Contract development, execution, and management 6. Evacuation 7. Personnel accountability 8. Safe-haven operations	9. Shelter-in-place operations 10. Special-needs populations 11. Animal care management 12. Volunteer and donations management 13. Sampling and evidence collection 14. Personnel decontamination 15. Inventory management 16. Special-events management 17. Incident support base
SECTION VI: General Appendixes	
Legend:	
CONOPS	concept of operations
DSCA	defense support of civil authorities
EM	emergency management
EOC	emergency operations center
EOD	explosive ordnance disposal
ESF	emergency support function
F&ES	fire and emergency services
HAZMAT	hazardous materials
HSA	hazard-specific appendixes
ISSA	inter-Service support agreement
MAA	mutual-aid agreement
MOA	memorandum of agreement
MOU	memorandum of understanding
OSHA	Occupational Safety and Health Administration

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Appendix D

Response Operations and Emergency Operations Centers

The response phase of an incident is usually the most energy-intensive of all phases; manpower, infrastructure, and resources are sustained on a 24-hour cycle from the moment an incident is triggered until the incident is brought under control and recovery begins. Response activities are managed by the IC on-scene, while support to the response is managed and coordinated by the EOC for the duration of the response. These activities are governed by the ICS process and principles.

INCIDENT TRIGGERS

D-1. An initial incident or series of incidents results in a *trigger* that sets a series of response actions in motion. The type of trigger will depend on whether it is associated with a warning or no-warning incident, sometimes referred to as *notice* or *no-notice incidents*. Examples of warning incidents include, but are not limited to, hurricanes and other predictable natural hazards or pandemic disease. Examples of no-warning incidents include, but are not limited to, earthquakes, flash floods, HAZMAT spills or releases, and terrorist attacks. Triggers also depend on the speed of event onset, with incidents such as chemical spills considered immediate onset and incidents such as disease outbreaks considered slow onset.

D-2. Triggers may be the result of a natural hazard or a signal received from deployed detection equipment, medical surveillance information, visual observance, and/or intelligence analysis. The types of detection technologies deployed at installations may vary; however, installations have access to—

- **Intelligence sharing and dissemination.** Installations identify multiple intelligence sources within and outside the DOD (including those that can be obtained through an open source) and establish the degree to which information sharing is allowable with EM organizations outside the DOD. These sources may include natural hazards warning systems available within the community or information gathered with specialized CBRN and explosive detector/surveillance technology, as available on the installation.
- **Health threat surveillance and detection.** The medical official or designee identifies medical and public health information needed, ensures medical laboratory support to confirm and identify hazardous substances in the affected environment, integrates and monitors medical surveillance systems operations, and monitors the health status of essential personnel and the general population.
- **Medical intelligence.** The public health or medical functional area designee collects information from available medical sources, provides medical information to local organizations and private-sector partners, and works to sustain information and/or intelligence-gathering activities necessary for assessing emerging health threat information during an incident.

COMMAND AND CONTROL

D-3. During an event, command and control is implemented through the ICS, at times using an EOC or a mobile command center as a central command location.

INCIDENT COMMAND SYSTEM

D-4. The ICS provides its users with an integrated organizational structure to match the complexities and demands of single or multiple incidents without being hindered by jurisdictional boundaries. The resulting UC not only coordinates the efforts of many jurisdictions, but also provides for and assures joint decisions on objectives, strategies, plans, priorities, and public communications.

D-5. The NIMS requires ICS use for responses and specifies that all levels of government must adopt the ICS. It is used across the range of incidents, from small to complex and from natural to manmade, including acts of catastrophic terrorism. The ICS may be expanded to include a UC for complex responses that require multiagency and/or multijurisdictional resources.

D-6. The ICS is based on proven management principles, which contribute to the strength and efficiency of the overall system used to implement a response action according to the execution tasks outlined in the IEM plan. The ICS principles are implemented through a wide range of management features, including the use of common terminology, clear text, and a modular organizational structure. The ICS emphasizes effective planning, including management by objectives and reliance on an incident action plan (IAP).

D-7. The principal ICS management functions include—

- **Command.** The IC is responsible for incident or event activity. Although other functions may be left unfilled, there will always be an IC.
- **Operations.** The operations section is responsible for directing the tactical actions to meet incident objectives.
- **Planning.** The planning section is responsible for collecting, evaluating, and displaying incident information; maintaining the status of resources; and preparing the IAP and incident-related documentation.
- **Logistics.** The logistics section is responsible for providing adequate services and support to meet incident or event needs.
- **Finance/administration.** The finance/administration section is responsible for keeping track of incident-related costs and personnel and equipment records and for administering procurement contracts associated with the incident or event.

Note. Each functional area can be expanded as needed into additional organizational units with further delegation of authority.

D-8. Because the ICS allows for organizational flexibility, an intelligence/investigation function can be embedded in several different places within the organizational structure:

- **Within the planning section.** This is the traditional placement for the intelligence/investigation function and is appropriate for incidents with little or no investigative information requirements or a significant amount of specialized information.
- **As a separate general staff section**. This may be appropriate when there is an intelligence/investigative component to the incident or when multiple investigative agencies are part of the investigative process and/or there is a need for classified intelligence.
- **Within the operations section**. This may be appropriate for incidents that require a high degree of linkage and coordination between the investigative information and the operational tactics that are being employed.
- **Within the command staff.** This may be appropriate for incidents with little need for tactical information or classified intelligence and where supporting agency representatives provide real-time information to the command element.

D-9. The modular organization of the ICS allows responders to scale their efforts and apply the parts of the ICS structure that best meet the demands of the incident. There are no hard-and-fast rules for when or how to expand the ICS organization.

D-10. Many incidents never require the activation of planning, logistics, or finance/administration sections, while others require some or all of them to be established. A major advantage of the ICS organization is the ability to fill only those parts of the organization that are required. However, if there is a need to expand the organization, additional positions exist within the ICS framework to meet virtually any need. For example, in operations involving responders from a single jurisdiction, the ICS establishes an organization for comprehensive response management. However, when an incident involves more than one agency or jurisdiction, responders can expand the ICS framework to address a multijurisdictional incident.

D-11. An IAP is an oral or written plan communicating the overall incident objectives in the context of operational and support activities for managing an incident. The creation of an IAP is critical to identifying operational resources and assignments and allows for management by objectives established in the IAP process. Every incident has a verbal or written IAP; however, written IAPs are highly recommended. At the simplest level, IAPs have four elements:

- What do we want to do?
- Who is responsible for doing it?
- How do we communicate with each other?
- What is the procedure if someone is injured?

D-12. The IAP process allows for functional organization and management by objectives in the response effort. The process consists of the following steps:

- **Step 1.** Understand installation, component, and Service policy and direction.
- **Step 2.** Assess the incident, and maintain SA.
- **Step 3.** Establish incident objectives (see the IAP).
- **Step 4.** Select appropriate strategies to achieve objectives.
- **Step 5.** Perform tactical direction, and assign and monitor resources.
- **Step 6.** Provide a follow-up and iterative reevaluation of the process.

D-13. The operational period defines the complete planning cycle. A planning cycle is typically established by the IC and planning section chief, and an IAP is then developed by the planning section for the next operational period (usually 12 or 24 hours in length) and submitted to the IC for approval. The creation of a planning cycle and the development of an IAP for a particular operational period helps to focus the available resources on the highest priorities/incident objectives. The planning cycle, if properly practiced, brings together input and identifies critical shortfalls that need to be addressed to carry out IC objectives for that period.

D-14. The UC is an ICS management process which allows all agencies who have jurisdictional or functional responsibility for the incident to jointly develop a common set of incident objectives and strategies. This is accomplished without losing or giving up agency authority, responsibility, or accountability. The UC is an important feature of ICS. It allows agencies having a legitimate responsibility at an incident to be a part of the incident command function.

D-15. During the emergency response effort, the transfer of command and/or responsibility may occur several times as the scope of the emergency shifts or as an operational period begins or ends. During such transfers, all replacements are briefed on actions taken, actions needed, and the general status of the operation. Civilian officials are kept in the loop through introductions to new incoming members of the key workforce.

EMERGENCY OPERATIONS CENTER

D-16. An EOC is the focal point of operations for the support of the IC and those responders at the incident site. The EOC is the location where the coordination of information and resources in support of the incident take place. The EOC is normally located in a permanent facility within the installation; however, an alternate or temporary location may be utilized when the primary location is unusable.

D-17. The installation commander, or his designee, activates the EOC to manage incident response resources. The installation commander provides guidance to the EOC on mission priorities. The installation commander approves, directs, or ensures IC or EOC RFAs from external specialized teams are forwarded through the higher headquarters component or DOD component commanders. During an incident, the EOC considers the following initial response actions:

- **EOC assembly.** Based on the magnitude of the incident, the EOC is recalled as the full EOC or tailored to include only those staff members and ESFs required to handle the incident. When there is doubt, it is easier to recall the full EOC staff and subsequently dismiss those members not required.

- **EOC activation.** The EOC is activated by the installation commander. The EOC updates the CAT with incident status reports. The EOC is comprised of ESFs (or designated functional area equivalents) and other functional agency representation as needed. Depending on the complexity and size of an event, the EOC may be activated to manage the operations needed to support contingencies. The EOC coordinates with the IC, civilian EOCs, EOD, F&ES, communications centers, and medical services.
- **Initial activation.** It is not always necessary to activate the full and complete EOC. During event planning or predesignated threat warning (such as increased FP conditions or hurricane conditions), the EOC may be placed in a "warm" status. During small incidents, a few ESFs may be needed, thus requiring only a partial activation. During large or major incidents and subsequent recovery, a full activation may be necessary.
- **Warm status activation.** Simply stated, warm status of the EOC means that the lights, computers, communication, and other key components are turned on in preparation for a higher level of activity. During warm status, the EOC will run any preactivation or startup checklists.
- **Partial activation.** Partial activation requires that only certain ESFs or functional areas are recalled to support responders at an incident. There are two ways to conduct a partial activation: recall and brief the entire EOC and all functional areas, and then release ESFs that are not needed. Notify only the necessary functional areas.
- **Full activation.** Full activation is recalling all the members of the EOC, all ESF/functional area offices of primary responsibility, and supporting participants. A major incident and its subsequent recovery require the full EOC. Alternatively, full activation may be followed by a situation briefing and a shift to partial activation.

D-18. The EOC provides oversight for the installation commander to support and control emergency or contingency incidents. The EOC can support multiple ICs simultaneously, while providing strategic senior officer level command and control for sustained response and recovery operations. The EOC is responsible for directing the ESFs or functional areas. Once the EOC staff is operating, they coordinate responsive information and resources that the IC needs to respond to the incident. In addition, the EOC provides the IC, through the ESFs/functional areas, the support required to control the incident, restore mission capabilities, and sustain response and recovery activities. The EOC keeps the installation commander fully informed on the incident response efforts throughout the operation. The EOC establishes and maintains an accurate and timely SA. It is the responsibility of the EOC to ensure that the entire staff is populating current incident information through the installation COP.

MOBILE COMMAND CENTER

D-19. Mobile command centers provide for continuous command and control capability during periods when the primary or alternate EOC will not be in operation, such as when emergency teams are transferring between a primary and alternate EOC. The mobile command center also provides the capability to provide command and control for localized field operations.

D-20. IEM programs may consider incorporating a mobile command center into their response capabilities. The mobile command center provides both operations and communications capability, which may be divided into separate vehicles that travel together.

D-21. The mobile command center is equipped with basic communications equipment, computers, and video display systems to provide similar support as the primary EOC. It is of sufficient size to accommodate the equipment and the primary team members and commanders. The equipment on the mobile command center is interoperable with EOC systems.

D-22. The mobile command center is maintained in a complete state of readiness. It is self-propelled or transportable without special equipment and capable of traveling over public roadways, including unimproved roadway surfaces.

Appendix E
Communications

The topic of communications can mean many different things with respect to EM. Communications may include information management in the formation and maintenance of a COP, interoperable communication standards and equipment, mass warning and notification systems, or EPI. But one thing is certain—well-planned, fully coordinated, interoperable, timely and accurate communication that takes place consistently throughout the EM process can help to ensure effective planning, response, recovery, and mitigation.

INFORMATION MANAGEMENT

E-1. Information management is an important element in supporting a COP. Effective EM and incident response activities rely on flexible communications and information systems that provide a COP to EM/response personnel and their affiliated organizations. Establishing and maintaining a COP and ensuring accessibility and interoperability are the principal goals of the communications and information management component of NIMS. Properly planned, established, and applied communications enable the dissemination of information among command and support elements and, as appropriate, cooperating agencies and organizations.

E-2. The IEM program ensures that information technology requirements are addressed for all appropriate entities, including mass warning and notification systems, continuity plans, installation dispatch center, installation EOC, predesignated mass care locations, and other preidentified locations applicable to the execution of the IEM plan.

E-3. All entities involved in managing an incident use common terminology for communications as outlined in NIMS. This allows diverse operational, management, and support entities to work together across a wide variety of incident management functions. Standard common terminology is a key principle of NIMS; therefore, it is important to limit the unnecessary creation of terminology.

E-4. The IEM programs strive for interoperability with local civil jurisdictions and other military Services in the vicinity of the installation. Interoperability includes the technical exchange of information and the end-to-end operational effectiveness of that exchange of information as required for mission accomplishment. The EM interoperability is more than just information exchange, as it includes systems, processes, procedures, organizations, and missions over the life cycle and is balanced with information assurance.

MASS WARNING NOTIFICATION SYSTEMS

E-5. Executive Order 13407 requires the United States to have an effective, reliable, integrated, flexible, and comprehensive system to alert and warn the American people in times of emergency. Various federal entities, ranging from FEMA to the National Weather Service and the Centers for Disease Control and Prevention (CDC), have established programs, standards, and funding mechanisms to ensure that alert and warning systems are sustained and interoperable at the federal, state, and local levels. The goal of a national mass notification effort is for citizens to receive rapid, secure, and trustworthy messages in times of emergency.

E-6. Military installations are also required to provide mass warning notification to their protected population. DODI 6055.17, the Report of the DOD Independent Review (*Protecting the Force: Lessons from Fort Hood*), and the resulting Secretary of Defense memo (*Final Recommendations of the Fort Hood Follow-on Review*) require installations to field a mass warning notification system capability in order to achieve full operational capability.

E-7. Mass warning notification systems serve a variety of functions on and off an installation:

- FP and other population protection—mass dissemination of alerts to accelerate community action and response.
- Personnel recall—rapid activation of off-base personnel to report for duty.
- Personnel accountability—proactive assessment of force status and its ability to perform duties.

E-8. Installations are likely to have multiple redundant systems to maximize the potential for reaching all personnel:

- Networked computers—delivery of audiovisual notifications to personal computers connected to the Internet protocol network.
- Telephone—delivery of alerts as audio messages to any phone, sometimes called "Reverse 9-1-1".
- Text messaging—delivery of text messages and/or e-mail to mobile phones, pagers, smartphones, or fax machines.
- Indoor and outdoor speakers—audio notifications via sirens and the activation of indoor and outdoor emergency warning and mass notification systems.
- Cable television and display boards—text alerts to digital displays.
- Radio broadcasts—audio broadcasts to local radio stations.
- National Emergency Alert System—delivery of text-based alerts via common alerting protocol to the National Public Alert System.
- Residential route alerting—messages announced to neighborhoods from vehicles equipped with public address systems.

E-9. Installations with significant on-base or nearby off-base family housing cooperate with local authorities for access to radio and television emergency communication systems. Overseas, a mass warning notification system includes warning sponsored family members living off base, ideally by the integration with local or HN systems.

E-10. Mass warning notification systems are most effective when notices and messages can be developed in advance of an incident, vetted through the appropriate channels, and placed on standby until needed. In this way, the installation can identify diverse populations and their communications needs and tailor messages to fit them under a variety of circumstances. This preevent message development significantly shortens the lag time between an event and the notification of the population.

INTEROPERABLE COMMUNICATIONS

E-11. The NRF describes how communities, tribes, states, the federal government, and private sector and nongovernmental partners work together to coordinate national response. An integral part of this multisector coordination is interoperable communications.

E-12. The land mobile radio system is a nontactical radio frequency system that supports installation FP, public safety, and EM entities. Land mobile radio systems have the capability to interconnect with state and local counterpart mobile radio networks to foster interdependencies and interoperability with civilian jurisdictions during incident response. The Association of Public Safety Communication Officials Project 25 (APCO-25), also known as Project 25 or P25, is a two-way, digital land mobile radio system technology suite of standards for use by federal, state/province, and local public safety agencies in North America to enable them to communicate with other agencies and mutual aid response teams in emergencies. This standard has not yet been implemented in all localities; however, installations ensure that newly purchased communications assets are compliant for future capability. The *National Emergency Communications Plan* and the Federal Communications Commission have identified interoperable frequencies for public safety radio bands, and these are programmed within LMRS units whenever possible.

E-13. Long-term evolution (LTE) is the preferred broadband technology platform for a common air interface established by the Federal Communications Commission for 700 Megahertz public safety broadband networks to create a foundation for wireless interoperability and provide a clear path for the deployment and evolution of a nationwide interoperable public safety broadband network. LTE has the

potential to handle voice and data communications. Public safety broadband network providers are required to submit certification that their networks support required LTE interfaces.

E-14. Some communications technologies offer the ability to fully integrate LTE and APCO-25 standards within one system. Additional telecommunications considerations for interoperability may include base telephone infrastructure, multiplexers, switches, routers, optical fiber, and personal computers with standard software configured for local area networks and wide area networks, and installation incident command vehicles.

EMERGENCY PUBLIC INFORMATION

E-15. The EPI is based on the integration of complementary crisis communication and risk communication theories and techniques. In this context, crisis communication is the ability to communicate effectively with other government agencies, the media, and the general public by delivering accurate and timely information that is designed to inform, educate, and guide the public in any necessary response actions they need to take to protect themselves, their families, and their communities. A recommendation to shelter in place is an example of crisis communication.

E-16. In concert with crisis communication, risk communication is an interactive process, not an event. The risk communication process facilitates the exchange of information and opinion (real or perceived) among individuals, groups, or institutions. Risk communication is proactive and engages with stakeholders about their issues and concerns in order to communicate the complexities and uncertainties of risk. Risk communication efforts are the foundation of an effective EPI program during all phases of EM. Many federal agencies are currently teaching, training, and implementing EPI practices based on this combination of crisis and risk communication principles.

E-17. In some cases, the foundational EPI principles listed below may run counter to many instinctive practices. It is human nature to wait until we know everything we can before releasing information in an attempt to allay fear and reduce the potential for panic. The principles provided below balance these instincts with behavioral principles that govern how people receive and process information. For example, we know that panic is actually more likely to occur in the absence of information. We also know that, in general, people perform at their best under crisis conditions and that the public must have trust and confidence in the response. We also know that the media is a primary means for communicating with the public. Given that background, the eight basic EPI principles are described below:

- **Be proactive; communicate before, during, and after an emergency.** The best time to plan for EPI and build working relationships with other government agencies, the media, and citizens, is before the stress and strain of a response. Plan to communicate with the potentially affected public by engaging them in determining—
  - What information will be needed before, during, and after an emergency?
  - Who will need to be informed and how?
  - What are the opportunities for effective information exchange, and how can they be maximized?
  - What are the obstacles for effective information exchange, and how can they be overcome?
  - What questions can be anticipated?
  - How can the needs of the news media be met?
  - What message does higher headquarters want to convey?
- **Take the high ground in an emergency.** The first messages are the most important. Get accurate messages out quickly. Keep it simple. Be consistent. Build trust and confidence by expressing empathy and caring, competence and expertise, honesty and openness, and commitment and dedication.
- **Craft messages carefully.** Follow your public information protocols to verify and approve messages, and then promptly release messages to the public. Stay on message. Avoid jargon. Be careful with risk comparisons. Recognize the information needs of your different audiences.
- **Trust people to do the right thing**. People often perform best under the most trying circumstances. Do not focus on alleviating panic. Acknowledge uncertainty. Do not over-reassure. Tell the truth. Deal with rumors.

- **Give the public things to do.** Give people guidance on how they need to respond.
- **Select the right spokespersons**. Effective spokespersons are trained, comfortable with their role, familiar, and credible.
- **Form positive relationships with the media**. Recognize the media as a primary source of public information. Understand and meet their needs for information.
- **Be prepared to answer questions**. Anticipate questions and prepare. Stay on message. Be honest and accurate. Provide accurate follow-up information promptly. Do not improvise, speculate, or say "no comment."

Appendix F

Resource Management

Resource management involves coordinating and overseeing the application of tools, processes, and systems that provide incident management personnel with timely and appropriate resources during an incident. Resources may include personnel, teams, information, expert knowledge, facilities, technology, equipment, supplies, specialized training, and funding (financial resources). Resource management takes place at all levels in support of the incident management activities at the installation EOC, dispatch center, ICP, and related incident management nodes. To implement these concepts and principles in performing the primary tasks of resource management, the IEM program includes standardized procedures, methodologies, and functions in its resource management processes. These processes reflect functional considerations, geographic factors, and validated practices within and across disciplines and are continually adjusted as new lessons are learned.

PRINCIPLES

F-1. Consistent with NIMS, DODI 6055.17, and NFPA 1600, each IEM program employs NIMS-based resource management procedures to prioritize resource allocation at the installation level. NIMS resource management consists of four primary tasks, which include—

- Establishing systems for describing, inventorying, requesting, and tracking resources.
- Activating these systems prior to and during an incident.
- Dispatching resources prior to and during an incident.
- Deactivating, recalling, or demobilizing resources during or after an incident.

F-2. The NIMS principles of resource management are—

- **Advance planning.** Preparedness organizations work together in advance of an incident to develop plans for managing and employing resources in a variety of possible emergency circumstances.
- **Resource identification and ordering.** Resource managers use standardized processes and methodologies to order, identify, mobilize, dispatch, and track the resources required to support incident management activities. Resource managers perform these tasks either at an IC's request or according to planning requirements.
- **Resources organization.** Resources are categorized by size, capacity, capability, skill, and other characteristics. This makes the resource ordering and dispatch process within jurisdictions, across jurisdictions, and between governmental and nongovernmental entities more efficient and ensures that ICs receive resources appropriate to their needs.
- **Support agreements.** Preincident support agreements among all parties providing or requesting resources are necessary to enable effective and efficient resource management during incident operations. Formal preincident agreements between parties, governmental and nongovernmental, that might provide or request resources are established to ensure the employment of standardized, interoperable equipment and other incident resources during incident operations.
- **Personnel certification and credentialing.** Personnel certification entails authoritatively attesting that individuals meet professional standards for the training, experience, and performance required for key incident management functions. Credentialing involves providing documentation that can authenticate and validate the certification and identity of designated incident managers and emergency responders. This system helps ensure that personnel representing various jurisdictional levels and functional disciplines possess a minimum common

level of training, currency, experience, physical and medical fitness, and capability for the incident management or emergency responder position that they are tasked to fill.

- **Equipment interoperability.** Ensure, when possible, that installation emergency response equipment is interoperable with equipment used by mutual aid partners in local communities.

F-3. Resource management includes identifying the quantity, quality, capabilities, limitations, cost, and liability connected with each resource and the timeframe within which each resource is required. This concept of resource management provides a uniform method of identifying, acquiring, allocating, and tracking resources and increases the effective use of support agreements, mutual aid, volunteer assistance, and donations through the standard classification and sharing of kinds and types of resources required for incident management.

F-4. The resource management process can be separated into two parts—resource management as an element of preparedness and resource management during an incident. The preparedness activities (resource typing, credentialing, and inventorying) are conducted on a continual basis to help ensure that resources are ready to be mobilized when called to an incident. Resource management during an incident is a finite process, specific to the needs of the particular incident, that includes identifying requirements, ordering and acquiring, mobilizing, tracking and reporting, recovering and demobilizing, and reimbursing.

RESOURCE TYPING

F-5. As outlined in NIMS, resource typing entails categorizing (by capability) the resources that incident managers commonly request, deploy, and employ. Measurable standards identifying the capabilities and performance levels of resources serve as the basis for categories. Resource users at all levels identify these standards and then type resources on a consensus basis, with a national level entity taking the coordinating lead. Resource kinds may be divided into subcategories (types) to more precisely define more precisely the resource capabilities needed to meet specific requirements. Resource typing is a continuous process designed to be as simple as possible to facilitate frequent use and accuracy in obtaining needed resources (see NIMS for additional details). To allow resources to be deployed and used on a national basis, the National Integration Center is responsible for defining national resource typing standards.

Note. The Tier One and Tier Two assets discussed below are terms established by DHS and FEMA for resource typing. There is no correlation or linkage between these asset/resource descriptions and the installation Tier Designations 2, 1, and 0 established by the Joint Program Manager Installation Protection Program for the purposes of equipment fielding. NIMS resources will be listed throughout this publication with designation of Tier One and Tier Two for delineation.

- **National NIMS Tier One Assets.** To allow resources to be deployed and used on a national basis, the National Integration Center is responsible for defining national resource typing standards for NIMS Tier One assets (national level resources). NIMS Tier One assets have strict requirements regarding organization, manning, training, certification, credentialing, equipment, and past experience with federal and/or state disaster declarations. Past DSCA operations do not count for previous experience. All installation capabilities are retained under DOD control and are not nationally deployed by FEMA independent of DSCA mission assignments. Therefore, under ordinary circumstances it is likely that none of the available NIMS Tier One resource definitions are applicable to installations.
- **State and Local NIMS Tier Two Assets.** NIMS Tier Two assets are those resources defined and inventoried by local jurisdictions, including IEM programs, that are not Tier One resources and are not assigned to interstate mutual aid deployment under EM assistance compacts. This definition includes all identified IEM program resources. IEM programs comply with NIMS requirements by developing standardized resource typing definitions for local IEM programs to the extent possible. Installations type all resources identified within their jurisdiction or with which they have an approved support agreement or contract. Installations may develop local typing criteria for additional NIMS Tier Two assets identified in the planning process.

F-6. If a requester is unable to describe an item by resource type or classification system, those with resource management responsibilities provide technical advice to enable the requirements to be defined and translated into a specification. Specific resources for CIKR may need to be identified and coordinated through MAAs and/or assistance agreements unique to those sectors.

F-7. FEMA has established 120 resource typing definitions, and they are available at <http://www.fema.gov/emergency/nims/ResourceMngmnt.shtm>. Further National Integration Center guidance on NIMS resource typing methodologies can be found at <http://www.fema.gov/pdf/emergency /nims/ng_0001.pdf>.

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Appendix G

Support Agreements

SUPPORT AGREEMENT EXAMPLE

G-1. A sample MAA/MOU template is provided in figure G-1. Verbiage contained in the sample template in figure G-1 is notional and for illustrative purposes only. An MAA/MOU is only one example of a support agreement. Other agreements may include MOAs and ISSAs. Seek Service-specific guidance and approval before entering into any type of support agreement.

MAA/MOU
BETWEEN
(YOUR INSTALLATION)
AND
(LOCAL/STATE/HN GOVERNMENT AGENCY)
FOR
EM SUPPORT

1. **PURPOSE**. The purpose of this memorandum is to document the reciprocal relationship between (your installation) and (local/state government agency) as it relates to providing EM support through expertise, advice, personnel, or equipment.

2. **AUTHORITIES/REFERENCES.** See attachment 1.

3. **DEFINITIONS OF TERMS**. See attachment 2.

4. **GENERAL.**

4.1. **Scope**. This agreement secures, to each agency, the benefits of mutual aid in EM capabilities outlined in paragraph 5.1. It defines the scope of support to be provided routinely or in an emergency. Actions and responsibilities stated herein apply only to the parties of this agreement and are not intended to supersede existing regulations or agreements, unless otherwise expressly stated.

4.2. **Assumptions**.

4.3. **Limitations** (including discussion of limiting issues and suggested workarounds)**.**

5. **ROLES AND RESPONSIBILITIES.**

5.1. **Operational support and EM capabilities available for mutual aid.**

5.2. **Procedures, authorities, and rules for payment, reimbursement, and allocation of costs.**

5.3. **Notification procedures** (procedures for requesting and providing assistance). See attachment 3 for a list of authorized representatives from which to request assistance via this agreement.

5.4. **Response times** (for defined normal workday hours, nonworkdays, and after hours, depending on mission requirements).

5.5. **(Your installation) access, internal controls, and limitations**.

5.6. **(Local/HN government agency) access, internal controls, and limitations.**

Sample

Figure G-1. Sample MAA/MOU template

6. INTEROPERABILITY. Interoperability is required according to the NRF. The NRF is grounded in doctrine that demands a tested inventory of common organizational structures and capabilities that are scalable, flexible, and adaptable for diverse operations. The adoption of the NRF across all levels of government, with businesses, and with NGOs will facilitate interoperability and improve operational coordination.

6.1. **Equipment.**

6.2. **Interoperable communications.**

6.3. **Plans** (including a discussion of emergency operations plans from each agency).

7. RELATIONSHIP WITH OTHER AGREEMENTS (identify and reference unique capabilities with other groups or agencies that may be needed during an incident).

8. FAMILIARITY VISITS AND EXERCISES.

8.1. **Familiarity visits.**

8.2. **Exercises** (including how often this agreement will be exercised between the two agencies)**.**

9. RECOGNITION OF QUALIFICATIONS AND CERTIFICATIONS.

9.1. Emergency responders will be credentialed according to the NIMS Integration Center National Emergency Responder Credentialing System where applicable. Credentialing covers education, training, experience, physical/medical fitness, certification, and licensing.

9.2. Agencies are responsible for their own training, certifications, and credentialing, but are encouraged to conduct joint training when possible.

10. APPLICABILITY. This agreement is effective upon signature by all parties and it may be amended by written agreement of all parties. Minor revisions and nonsubstantive modifications may be made by mutual agreement.

11. TERMINATION. This agreement will be in effect for a period of three (3) years from the effective date unless superseded or extended by mutual consent of all parties. This agreement may be rescinded by either party prior to its conclusion. A minimum of thirty (30) days is required to coordinate and assess residual requirements.

Attachments.
1. Authorities/References
2. Acronyms and Definitions of Terms
3. Contact List

Sample

Figure G-1. Sample MAA/MOU template (continued)

Attachment 1
AUTHORITIES/REFERENCES

(Actual MAAs would include a complete list of all references pertinent to the document.)

Federal/National

Local/State Government Agencies

Department of Defense Agencies

Service-Specific Agreements

Sample

Attachment 2
ACRONYMS AND DEFINITIONS OF TERMS

(Actual MAAs would include a complete list of all acronyms and terms used in the document.)

Acronyms

Definition of Terms

Figure G-1. Sample MAA/MOU template (continued)

Attachment 3
CONTACT LIST

(YOUR INSTALLATION) AND (LOCAL/STATE/HN GOVERNMENT AGENCY) EMERGENCY MAMANGEMENT MAA/MOU CONTACT LIST				
Agency	**Title**	**Authority to Activate Agreement**	**Name**	**Contact information**
(Your Installation)				
Command Post (24/7 Contact)	Command Post Controller	No		Telephone: Cell phone: Fax: E-mail:
XXX Installation	Commander	Yes		Telephone: Cell phone: Fax: E-mail:
XXX	Commander and Emergency Operations Center Director	Yes		Telephone: Cell phone: Fax: E-mail:
XXX	Commander	Yes		Telephone: Cell phone: Fax: E-mail:
Emergency Operations Center	EOC Manager	Yes (when emergency operations center is activated)		Telephone: Cell phone: Fax: E-mail:
XXX	Emergency Manager	No		Telephone: Cell phone: Fax: E-mail:
(Local/State Government Agency)				
(Local) Dispatch Center (24/7 contact)	EOC Director	No		Telephone: Cell phone: Fax: E-mail:
(Local) Office of EM	Emergency Manager	Yes		Telephone: Cell phone: Fax: E-mail:
(Local) Fire Department	Fire Chief	Yes		Telephone: Cell phone: Fax: E-mail:
(Local) EOC	EOC Director	Yes		Telephone: Cell phone: Fax: E-mail:
(Local) Emergency Services Disaster Agency	Emergency Planner	No		Telephone: Cell phone: Fax: E-mail:

Sample

Figure G-1. Sample MAA/MOU template (continued)

Appendix H

Evacuation, Shelter-in-Place, and Lockdown

Under certain conditions, it may become necessary to protect the population from imminent hazards during an incident. The installation commander decides the best method for this measure based on the conditions of the incident; for example, the nature of the hazard, the environmental conditions, or the amount of time before an incident will occur (in the case of notice events). The three options available to the installation commander for geographically protecting the installation populous are evacuation, shelter in place, and lockdown. Once an installation commander institutes an order for evacuation, shelter in place, or lockdown, a personnel accountability program is executed to keep track of all personnel through the duration of the event.

EVACUATION

H-1. Evacuation removes a population at risk from the hazard(s) at hand and, therefore, significantly decreases the scope, scale, and impact of any emergency. During an evacuation, an endangered population is directed to use specified evacuation routes and transportation methods to depart a threatened area/location. The safe evacuation of threatened populations when endangered by a catastrophic event is one of the principal reasons for developing an IEM plan.

EVACUATION MANAGEMENT

H-2. Evacuation management is the capability to direct and manage the evacuation of personnel and/or community members and pets to a local safe haven on the installation, a civilian shelter provided by one or more civil jurisdictions, or a predesignated, geographically remote installation or location. Evacuation management includes the phased or simultaneous return of evacuees to on-post residences or businesses during the recovery phase.

H-3. Evacuation management also includes continuous communication to evacuees during the entire evacuation process, throughout mass care operations, and during the return of evacuees to their residences or workplaces on the installation. IEM programs may consider the establishment of an evacuation management team to coordinate the evacuation of personnel, their families, and pets to a shelter, safe haven, or other designated location.

EVACUATION PLANNING

H-4. The evacuation planning process includes identifying the available transportation networks and the capabilities and limitations of each of these transportation methods, especially the carrying capacity of proposed evacuation routes and existing or potential traffic bottlenecks or blockages caused by traffic congestion or natural occurrences, such as rising waters. It is important to keep in mind that destructive weather and seismic events may limit or completely eliminate some transportation methods, especially bridges, ferries, tunnels, and some mass transit systems.

H-5. Demographic information collected during the planning phase is integral to coordinating and executing an effective evacuation effort. Prior knowledge of the population, their locations, and their resource needs (for example, vulnerable populations that may lack transportation or the ability to receive information through common lines of communication) is pivotal in determining the nature and magnitude of the evacuation assistance needed.

H-6. In addition, if efforts during the preparedness phase to build a resilient and well-informed community are successful, much of the protected population may be able to orchestrate a relatively efficient self-evacuation when there is sufficient notice of the event. Self-evacuating community members still need the

benefit of full communication efforts on the nature of the risk and the best methods for evacuation (routes, safe-haven locations, resources). They also require some assistance with infrastructure preparedness, such as the contraflow of roads and highways, debris removal, and notification of any bridge or tunnel closures due to high winds, flooding, or other incidents.

H-7. The evaluation of available evacuation routes is a key component of evacuation planning and directly impacts the clearance time of an installation or evacuation zone within an installation. Evacuation planning entails establishing primary and secondary evacuation routes and having these routes clearly marked and well lit. Evacuation routes include the preevent fielding of evacuation route markers and/or signs, which can be easily read during an emergency (low-light conditions, rain/ash fall conditions).

H-8. The designation of evacuation routes is closely coordinated with the state/local evacuation plan to mitigate conflicting routes. Note that the installation population may not have been considered during the development of the state/local evacuation plan and analysis of clearance times. The determination of evacuation routes is also closely coordinated with the Department of Public Works and synchronized with published preincident plans so that families and individuals can use that information in developing their family or individual preparedness plans.

H-9. In determining potential evacuation routes, consider the following:

- The road capacity/load.
- Sufficient width to accommodate the number of evacuating personnel.
- The route is clear and unobstructed at all times.
- The route is unlikely to expose evacuating personnel to additional hazards.
- Services along the route such as fuel, food, lodging (hotels, remote safe havens/shelters).
- Does the road lead to or contain a bridge, tunnel, or flood zone? This may have an impact on clearance time, especially for certain types of vehicles (for example, travel trailers, campers, motor homes, buses, motorcycles, and bicycles).
- Evacuation routes can also include waterways, railroads, and airfields, depending on the availability of boats, trains, and airplanes/helicopters, respectively.
- Use of reverse laning and contraflow (authorized/directed change of traffic pattern) to increase the load of a given route. Challenges to contraflow include increased signage, increased manpower for control, and acceptable entrance and exit points.

H-10. Evacuation may require extensive coordination with multimodal transportation assets, including DOD, private, or state/local/federal providers. Transportation assets can come in many forms and from many sources. A large portion of an installation population may not have access to transportation and would need transportation assistance. Examples of potential transportation assets include the following:

- Personal vehicles (cars, sport utility vehicles, travel trailers, campers, motor homes, motorcycles, bicycles, and boats).
- Motor pool assets.
- Mass transit (buses, rail).
- Ferries.
- Air assets.
- Port assets.
- National Guard.
- MAAs, MOUs, and ISSAs.

H-11. Each type of transportation asset may have limitations, depending on the hazard. These limitations are considered in planning evacuation and determining clearance time. The use of some or all of these transportation methods during certain emergencies—especially those involving flooding, high winds, multiple aftershocks, or volcanic eruption—may be unadvisable and result in blocking the progress of the evacuation. For example, buses are subject to driving restrictions over bridges during high winds. During a hurricane evacuation, with wind speeds increasing over time, evacuation plans do not rely on buses or other large transport vehicles crossing bridges after a certain point in the progression of the hurricane system toward the area. EPI broadcasts include any prohibitions on the use of these transportation methods.

H-12. Evacuation (vulnerability) zones provide a foundation to model traffic movements from one geographic area to another. It is necessary to include storm surge modeling in the development of the evacuation zones and to revise these zone models as information changes or is refined based on exercises or real events. Evacuation zones are designed to meet several functions; for example—

- They reflect the areas in each storm scenario which will need to be evacuated due to storm surge inundation.
- They relate as closely as possible to available population data information.
- The location and vulnerability of evacuation zones are clearly defined for the protected population to promote efficient evacuation.

EVACUATION OPERATIONS

H-13. The timely issuance of evacuation orders directly affects the successful evacuation of all designated personnel. In determining the proper timeframe to issue evacuation orders, consider the weather, traffic, shelter, geographic, and political conditions at the evacuation sites, on the designated evacuation route(s), and at the receiving relocation site(s). Preevent evacuation route management with federal, state, local, other Service, and/or private agencies and the preevent designation of relocation site(s) and coordination with external shelter and safe- haven providers play a critical role in the management of evacuation operations. For events with adequate warning, evacuation orders are issued when school is not in session and when there are at least 8 hours of daylight included in the evacuation time allowed. For more information on evacuation plans and operations, see the Department of Transportation/Federal Highway Administration primer on Using Highways During Evacuation Operations for Events With Advance Notice.

H-14. There are two main types of evacuation orders, and the determination of which order to issue is based on the severity of the hazard, the risk to the population, and the criticality of personnel to the EM effort:

- **Mandatory evacuation.** This is an ordered, nonelective evacuation. Designated mission-critical personnel are exempt from evacuation orders as required.
- **Voluntary evacuation.** When danger to personnel is remote, but the loss of services is possible, a voluntary evacuation may be authorized. Designated mission-critical and mission-essential personnel may be required/requested to remain on base for emergency response and recovery.

H-15. In the event of an evacuation order, it is important to work with mission-critical and mission-essential personnel to ensure the safety of their family members who are evacuating without them. If they have any concerns about the ability of their family members to evacuate without them, they will be less compliant with orders or requests to remain on base.

H-16. Clearance time refers to the time required to clear all evacuees from the evacuation routes and complete movement to the shelter, safe-haven, or designated receiving relocation site(s). Clearance time begins with the evacuation order, continues as the first evacuating vehicle enters the transportation network, and ends when the last evacuating vehicle reaches its destination. Clearance time includes the time required by evacuees to secure their homes and prepare to leave (mobilization time), the time spent by evacuees traveling along the road network (travel time), and the time spent by evacuees waiting along the road network due to traffic congestion (delay time). Clearance time does not refer to the time that a single vehicle spends traveling on the road network. Note that there may be a decision cutoff point when the projected clearance time exceeds the time to the onset of the emergency. When that occurs, the area does not evacuate and personnel shelter in place or use a local safe haven.

H-17. In calculating clearance times, the participation and occupancy rates of an area are taken into account. Assuming 100 percent participation in the evacuation and 100 percent occupancy of residences in the area increases clearance time. However, if clearance time is calculated under the assumption that not all residents will heed the evacuation orders or that the installation and its surrounding area are not at maximum capacity, the calculation is significantly less.

H-18. In overseas locations, evacuations follow established DOS evacuation procedures available via the appropriate embassy. Outside the United States and at forward operating bases, IEM plans include a section that provides evacuation procedures for noncombatant evacuation operations.

H-19. Mass casualty management requires greater numbers of medical treatment personnel to provide emergency care. A mass casualty situation exists when the number of patients requiring care exceeds the capabilities of initial responder medical personnel or resources. Medical responders make snap decisions on how to best manage the casualties to provide the best care for the greatest number. In the event that patient numbers exceed local capacity for care and treatment, a mass casualty scenario turns into a patient evacuation problem, which requires many of the same plans, assets, and resources as other evacuations.

H-20. The installation fire department or emergency medical services (EMS) normally provide medical evacuation from the incident site to the nearest MTF. When organic installation EMS are not available, MOAs may be established with the off-installation EMS for the provision of these services. Deployable medical evacuation assets may also be employed in patient evacuation.

H-21. As outlined in DODI 6200.03, the PHEO or his designee assesses the public health aspects of evacuation management, including noncombatant evacuation operations, so that the impact on the health and well-being of the vulnerable population is reduced. Consistent with DODI 6055.17, the medical commander or PHEO/assistant PHEO—

- Executes patient care plans and medical MAAs for patient care, medical facilities, and equipment.
- Coordinates and provides medical first responder capabilities, emergency care, mass casualty care, triage, first receiver care, patient movement, psychological support, and pharmacy, dental, and veterinary services
- Develops patient care, fatality management, and health care system evacuation plans and procedures appropriate in all-hazards responses (including mass casualty, isolation, and quarantine incidents).

RETURN FROM EVACUATION

H-22. Depending on the impact of the incident and the progress of the subsequent essential-service restoration efforts, conditions may stabilize to a point that it is safe for some personnel to move back to their original locations. Based on the feedback from reconnaissance, the installation commander may deem it safe for personnel to return to their original duty stations. These returning personnel need to be kept updated on safe and available routes of movement as the recovery efforts continue. A well-executed and widely disseminated COP significantly improves installation ability to keep evacuation and reentry operations running smoothly.

H-23. Returning from an evacuation requires extensive planning efforts. Evacuees returning to their homes or work centers in evacuated areas require the same consideration, coordination, and control as they received during the original evacuation. Some additional considerations are the availability of utilities, extent of debris removal, structure inspection and approval for safe occupancy, availability of adequate water for firefighting, and notification of local authorities regarding an increase in traffic flow to the installation.

SHELTER-IN-PLACE

H-24. An installation ensures the capability to prepare for, ensure communication of, and immediately execute the safe and effective SIP of an at-risk population. SIP means to take immediate shelter without moving to a new location–this could be at home, at work, at school, or in a vehicle in between. A SIP plan and checklist for businesses and residences can be found on the Ready America Web site <http://www.ready.gov/business/plan/shelterplan.html>.

H-25. In emergencies with limited or no warning time, temporary SIP within the individual's workplace or residence is the preferred protective action to avoid casualties and fatalities. SIP procedures use existing buildings, residences, vessels, and vehicles to protect personnel from hazards when it is not practical or feasible to evacuate personnel in a timely manner. These locations are not certified as shelters and are staffed only by those personnel present.

H-26. SIP may be required for a natural disaster, such as a storm or earthquake, or for an incident where chemical, biological, or radiological contaminants are released into the environment. SIP to contain the spread of an illness in a public health emergency is referred to as *isolation* and *quarantine*.

H-27. A recommendation order to start SIP also requires a follow-up recommendation to end SIP at the appropriate time. Occupants ideally relocate to a reception center located outside of the hazard area once the hazard has subsided to an appropriate level. If the shelter is not vacated in a timely fashion, occupants can be exposed to lingering low levels of contaminants.

H-28. SIP also has the collateral benefits of allowing on-scene responders to focus on lifesaving actions for people who are outside when the hazard or threat strikes and of providing responders additional time to isolate damaged infrastructure (for example, downed power lines, broken fuel mains). This focus is possible since responders do not have to manage large crowds of evacuated personnel or deal with personnel blocking emergency ingress routes.

H-29. The types of hazards which most lend themselves initially to SIP are as follows:

- Destructive weather with little to no advance notice; for example, a tornado.
- Seismic event (but not a resultant tsunami if the seismic event occurred underwater).
- Utility failure (if not a prolonged outage).
- Terrorist-caused event or HAZMAT accident involving chemicals and/or biological agents.
- Terrorist or accidental radiological release.
- Civil disturbance (including an active shooter).
- Volcanic ash fall (depending on the expected time of arrival, amount, and duration and the availability of alternative sheltering locations).

SHELTER-IN-PLACE PLANNING

H-30. The following actions ensure the successful execution of SIP:

- Install or implement mass warning notification systems.
- Implement a geographic information system-based map grid system on medium to large installations to facilitate the establishment of zones, and coordinate SIP data for buildings in those zones. If possible, tailor mass warning notification system procedures to these zones.
- Ensure that the installation and/or regional dispatch center has the means, authority, and procedures to activate a mass warning notification system that initiates SIP when directed by the IC or installation EOC.
- Coordinate emergency warning messages with public awareness training materials. Due to the short time available for emergency messages, there is little opportunity for these messages to explain what is meant by SIP; this understanding is provided in awareness training.
- Identify which buildings and structures are adequate for SIP and provide probable ICs (fire, security, environmental) with a list of the suitable and unsuitable structures available to them.
    - Avoid designating structures that have permanent openings and, thus, are not capable of being isolated from outside air (via doors, windows, and secured ventilation systems).
    - Avoid structures that must maintain air exchange to keep inside airborne levels from reaching unhealthy concentrations (typically industrial-process facilities). Also avoid chemical and biological laboratories and chemical storage areas.
    - Identify the closest structures that can be secured for each of the four primary wind directions (north, east, south, and west). Personnel should not move in the direction of the hazard. Thus, the IC, dispatch center, or EOC monitors and provides the wind direction at the hazardous event location so that the proper SIP location can be selected.
    - Notify personnel who work or live in structures that cannot be secured about information on their alternative SIP locations.
    - Include the following as preferable building considerations: HVAC system that can be shut down quickly, physical security including manual deadbolts, and locking windows.
    - Use areas with existing collective protection systems, if available.

- Establish SIP procedures that are consistent with evacuation procedures. SIP procedures include on-scene plans, dispatch center procedures, building plans, zone procedures, and EOC procedures.
- Consider developing SIP management teams for each building that has been predetermined as adequate for SIP. The SIP management team consists of zone managers (for medium to large installations), the EOC sheltering coordinator, and a minimum of four SIP members for each SIP building, including the building emergency coordinator, floor monitor(s), door monitor(s), and building manager/maintenance staff. As an initial step, it may be more practical to build on the organizational structure and personnel already designated in fire evacuation plans. The SIP management team organization is designed to expand and contract as needed to meet the needs of the incident. One person can fulfill multiple roles, depending on manpower availability and the nature and expected duration of the incident.

SHELTER-IN-PLACE FOR PUBLIC HEALTH EMERGENCIES

H-31. As discussed in DODI 6200.03, the PHEO or designee plans and advises on the public health aspects of shelter in place so that the impact on the health and well-being of the vulnerable population is reduced during a public health emergency. The installation commander, in consultation with the PHEO, has the authority to declare a DOD public health emergency and to implement relevant emergency health powers (as outlined briefly below) to achieve the greatest public health benefit while maintaining operational effectiveness.

QUARANTINE AND ISOLATION

H-32. If the nature of the incident involves an infectious disease, quarantine or isolation may be needed during the response and/or recovery phases to prevent contact between healthy populations and those infected, suspected of being infected with, an infectious disease, whether natural or intentional (such as a biological weapons attack). These decisions are made by the installation commander after consultation with the command senior medical advisor and/or PHEO and in coordination with the local CDC quarantine officer as outlined in DODI 6200.03.

H-33. Quarantine involves the detention of an individual or group suspected of having been exposed to an infectious disease until it is deemed that they have escaped infection (usually once the incubation period has lapsed). Isolation is the separation of an infected individual from a healthy population. (The term is usually used to refer to patients in an MTF.)

H-34. Installation commanders may use other forms of restriction of movement (ROM) to maintain operational effectiveness in the face of an infectious disease. The goal is to control the spread of the disease by restricting contact between healthy groups of personnel and those who have, or are suspected of having, contracted the disease. Personnel covered by ROM do not necessarily need to be removed from operations. Rather, ROM is implemented in such a way as to allow them to continue their mission. Again, these decisions are made with recommendations furnished by the command senior medical advisor and/or PHEO.

Note. See DODI 6200.03; *Field Manual for the Treatment of Biological Warfare Agent Casualties; Multiservice Tactics, Techniques, and Procedures for Health Service Support in a Chemical, Biological, Radiological, and Nuclear Environment*; FM 4-02.33; AFI 48-105; and Chief of Naval Operations Instruction (OPNAVINST) 6210.2 for detailed information.

LOCKDOWN

H-35. Lockdown is an announced emergency protocol used as a security measure to confine and restrict movement. Included in the lockdown procedure are all military uniformed Services, federal employees, contractor personnel, dependents, or other people on an installation as a guest. Because of extenuating circumstances, all personnel remain constrained inside the nearest vehicle, structure, or building that provides a measure of protection.

H-36. During lockdown, no person may enter or exit an area until the all clear is broadcast, unless movement is required to escape from a dangerous place or situation. All clear is announced over the installation warning and notification system or through verbal communication by leadership through F&ES or security forces. Lockdown is broadcast every 15 minutes until all clear is announced.

PERSONNEL ACCOUNTABILITY

H-37. Consistent with DODI 6055.17, installation commanders approve a process for personnel accountability during emergencies based on the procedures in DODI 3001.02. The personnel accountability process is executed immediately upon implementing an order for evacuation, shelter in place, or lockdown. All installation personnel, nonemployees (suppliers, visitors), and residents are made aware of the command decision for evacuation, SIP, lockdown, movement to a safe haven, or movement to a civilian shelter.

H-38. This process identifies virtual (off-site phone number, interactive notification system, Web site, or collaborative portal) and physical rally points and provides them to all assigned personnel via community preparedness tools. The personnel accountability process also includes a method of accounting for nonemployees.

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Appendix I

Mass Care Operations

Mass care operations consist of all community preparedness, interagency coordination, mass warning and notification, installation EOC, and field activities necessary to initiate and manage the care for personnel displaced for any duration due to any emergency. Mass care operations encompass a broad range of tasks that operate every aspect of a shelter or safe haven to meet the needs of a displaced population.

MASS CARE

I-1. Mass care operations include meeting the needs of a displaced population by providing access to a shelter or safe haven, food and water, emergency supplies, emergency pharmaceuticals, and other goods from the time they are displaced until the time they return to the original residence or workplace. Sheltering can occur at civilian community shelters, at local or remote safe havens (on the installation itself or on a remote installation), or in a shelter-in-place scenario.

I-2. Mass care also includes continuous communication to evacuees throughout mass care operations. In particular, up-to-date information is continuously provided to the displaced population about shelter locations, transportation options, mass feeding operations, points of distribution for emergency goods and pharmaceuticals, the evolution of the incident, and the extent and duration of displacement.

I-3. Mass care procedures include the capability to activate and manage the following:

- Assistance center on the installation.
- Local safe-haven operations consisting of one or more facilities on the installation.
- Coordination with one or more civilian shelters provided by one or more civil jurisdictions.
- Remote safe-haven operations at one or more predesignated, geographically remote receiving installations.
- Mass feeding operations at one or more locations on the installation.
- Point of distribution (POD) operations for the distribution of goods and services at one or more locations.
- Installation call center (or information hotline) operations for the distribution of approved information to friends and family of evacuees, casualties, and fatalities.
- Preexisting hazard-specific shelter locations (tornado shelters, fallout shelters).

I-4. Agreements with civilian authorities are established, when possible, to assist the installation population with mass care at local civilian locations. On the installation, basic mass care operations are also coordinated by organic assets, such as community assistance centers or family assistance centers that are usually directed by the department of morale, welfare, and recreation. Fleet and family support centers onboard Navy installations also have organic mass care capabilities that can be leveraged during an incident.

I-5. For a checklist template to determine the suitability of a space for use as a functioning shelter, see American Red Cross (ARC) Form 6564 (*Shelter Facility Survey*). For other information on mass care, including mass feeding, see ESF 6 in the NRF and FEMA CPG-1-01. The ARC *Disaster Services Program Guidance* also has several helpful resources that are available online.

SAFE HAVENS

I-6. Despite the existence of civilian shelters in the local community, installations are also prepared to provide and maintain short-term mass care services. These safe havens are able to accommodate the protected population on base during an emergency if it is still safe to remain on base, or they are able to protect a population from a neighboring base in the event that the incident is occurring elsewhere. Safe havens are able to operate for a short period of time before transportation to other, off-base accommodations is secured. The installation emergency manager and the mass care coordinator collaborate with providers of emergency assistance before an event in order to provide necessary assistance at a safe haven during an incident. Safe havens and other emergency family assistance centers are able to provide the following services as outlined in DODI 6055.17 and Directive-Type Memorandum (DTM) 10-023:

- Registration, tracking, and personnel locator assistance.
- Temporary lodging.
- Access to sanitary facilities, potable water, food, and sufficient lighting.
- Medical triage and information on available medical services.
- Family assistance center to integrate victim and family services.
- Behavioral health support and psychosocial services.
- Religious and pastoral care.
- Support services for special needs populations, including medical needs.
- Support services for animal needs.
- Communication about services available and the nature of the incident.
- Adequate security.
- Legal and financial assistance.
- Coordination with casualty and mortuary affairs.
- Transportation.
- Translation services.
- Child and youth services.

I-7. Local safe havens are generally only capable of providing temporary mass care for 5–7 days. After 72 hours (or less depending on the incident and the preparedness of the community), these temporary safe-haven residents are completely dependent on mass care operations for feeding, emergency supplies, shower and sanitary facilities, laundry services, and even clothing. Remote safe havens vary significantly, and the associated timeline for transition to temporary or permanent housing depends on the capabilities of the receiving DOD installation. During this period, it is imperative that installations quickly identify temporary housing, on- and off-post and if available on nearby DOD installations in which to relocate safe-haven residents. Constant, honest engagement with safe haven residents on the process and the expected timeline is a key component of the ongoing EPI process.

I-8. The safe-haven management team is responsible for the coordination of safe-haven operations. The safe haven management team plans how to accommodate small- and large-scale evacuation operations for people sent to or seeking local or remote safe havens. The general rules for safe-haven operation and special instructions are prepared, distributed, and available in each safe haven. The special instructions include capacity; facility employees and their family members who will seek shelter in the safe-haven facility; a list of preassigned personnel designated to the safe haven; limits of the safe-haven area; proposed layout; and the location of communications facilities, emergency equipment, and utility cutoffs. Telephone directory and emergency communications procedures are also available. The safe-haven management team works in coordination with the evacuation management team as described in appendix H.

MASS CARE PLANNING

I-9. The mass care planning process includes identifying the available facilities and services which exist on the installation and coordinating the use of such facilities and services during the response and recovery operations. The identification of facilities and services to be used during mass care operations requires the determination of service capabilities and capacities, the movement of personnel and providers to and from

designated locations (or services to and from designated PODs), and the necessary supporting infrastructure (vehicles, communications, utilities, generators, compressed gas, information technology) required to provide the given service at the given location during emergency conditions.

I-10. As with evacuation management, planning for mass care operations relies heavily on the demographic information collected during the planning phase. Mass care planning for an installation also involves determining what organic resources are available to the installation for maintaining safe havens and what other resources are available in the neighboring community for the mass care of evacuated installation populations.

I-11. Mass care planning incorporates—

- Community preparedness awareness and training.
- Mass warning and notification system procedures.
- Continued EPI throughout the response and recovery phases.
- Personnel accountability procedures consistent with DODI 3001.02.
- Facility management procedures, to include the use of pre- and postincident signage, parking management, access control, accountability, cost accounting, transportation services, and utility/power services for identified mass care locations/facilities.
- Procedures and resources for registration, personnel tracking/accountability, security, health services, volunteer management, distribution of goods, client services (legal, insurance, travel, temporary housing, school registration, counseling services), shower/bathroom services, laundry services, child support/daycare services, pet management, and waste management services.
- Procedures and resources for the provision of fuel, water, and emergency supplies to identified local and remote safe havens and through the use of PODs.
- Procedures for supporting and managing medical access and special needs populations, and personnel with psychological effects.
- Procedures for providing transportation assistance to and from mass care locations/facilities for populations without access to transportation.
- Procedures for non-English-speaking personnel and the visually and hearing impaired.
- Procedures for further evacuation in case the incident expands or a second incident occurs.
- Template mass care information sheets in multiple languages with locations of local safe havens, civilian shelters, and PODs and information on community assistance center services.
- Template safe-haven resident information sheets in multiple languages with rules and guidelines for local safe havens, to include standardized policies on registration, children, personal belongings, mobile phone use, animals/pets, smoking, alcohol, drugs, weapons, quiet hours, music/video player/game use, parking, volunteers, security, and health services.

I-12. Populations in urban environments with lower household income and/or with the lowest fear of property security (that their home will be protected by LE while away) are the most likely to seek a public safe haven or civilian shelter when impacted by an emergency or when directed to move to a safe haven or civilian shelter by authorities. For example, these categories may encompass junior enlisted personnel, barracks populations, and family housing area residents. Refer to FEMA *Community Mass Care Management Course* for more information.

I-13. The safe-haven management team determines suitable locations for safe havens using the following guidance and presents their findings to the IEMWG for approval by the installation commander. Although not all of the following considerations/needs must be met, safe havens strive to include as many as possible:

- Safe and secure location.
- Suitable space for sleeping quarters.
- Secured storage areas.
- Suitable space for people with pets.
- Adequate supply of drinking water (5 gallons/person/day).
- Adequate toilet and bathing facilities (1 toilet/40 people).

- Provisions for cooking and serving food, if possible.
- Fire and police protection.
- Adequate parking.
- Exterior walls made of concrete block or reinforced concrete.
- Load-bearing interior walls.
- Doorframes securely attached to the structure and properly braced.
- Windows with impact protection from flying debris.
- Personnel areas located away from unprotected windows and doors.
- Structure able to resist wind uplift forces.
- Properly attached roof cladding.
- Finished floors at least 15 feet above mean sea level for coastal areas and at least 15 feet above floodplain level for inland areas. (A structurally sound, multifloor building that is less than 15 feet above mean sea level may still be used as a safe haven with occupancy on floors above that minimum.)
- Inside stairwells and ready access to exits.
- No hazardous utility lines (steam, gas, oil) located in or near the safe haven (unless provision is made to control such hazards via valve alignment or other means).
- No units of access and egress less than 28 inches wide. At least two widely separated means of egress.
- Emergency power.
- Appropriate size (consider facilities such as churches or restaurants for up to 100 people and schools, hotels, conference centers, and sport complexes for more than 100 people).
- Facility compliance with AT standards.

I-14. Electrical power may or may not be available from normal sources in a disaster situation; however, consideration is given to the use of local, unit, and installation portable emergency generators to provide power to safe havens. Where such generators are included in safe-haven plans, the plans also include a 2-week fuel supply, emergency refueling procedures for each generator, and the electrical tie-in of the generators to minimum-essential operational and environmental circuitry. Portable generators must never be operated indoors, or deadly levels of carbon monoxide can accumulate. See the OSHA fact sheet at <http://www.osha.gov/OshDoc/data_Hurricane_Facts/portable_generator_safety.pdf >.

RAPID NEEDS ASSESSMENT

I-15. In order to quickly identify postincident mass care, medical care, public health, and behavioral health needs, installations develop and execute a rapid needs assessment process. The International Federation of Red Cross and Red Crescent Societies has published a *Disaster Emergency Needs Assessment* training tool and accompanying checklists that can be a useful guide in tailoring a rapid needs assessment process for an installation. The tool can be found at <http://www.ifrc.org/Global/Disemnas.pdf>.

I-16. Rapid needs assessments are designed to quickly provide accurate and inexpensive population-based information needed to match a community's mass care needs with the available resources. Early assessments combined with rapid mobilization of resources can significantly reduce human suffering and the potential for secondary medical, public health, and behavioral health impacts.

ACCESS AND FUNCTIONAL NEEDS

I-17. Persons with transportation needs include any individual who, by reason of illness, injury, age, congenital malfunction, or other permanent or temporary incapacity or disability, is unable without special facilities or special planning or design to use mass transportation facilities as effectively as persons who are not so affected. Within the transportation needs category, those with access and functional needs differ in severity and extent of disabilities; the way in which other people view their physical and mental limitations; and their income, age, and mobility. Persons with transportation needs are those who find it difficult to

evacuate without aid from community members, caretakers, family members, friends, or rescue workers. Persons with transportation needs often include the elderly and people with disabilities and can include persons with medical needs. Persons with transportation needs also include fully mobile people who have no means of transportation off the installation. This may be due to lack of financial capability to pay for public transportation, or, where none exists, may be due to a lack of a vehicle (such as, a car).

I-18. Persons with medical needs include those with potentially life-threatening conditions and/or chronic medical/physical conditions requiring specialty care or follow-up support more than once a year. Medical needs persons also include those with current and chronic behavioral health conditions, those who have required inpatient or intensive outpatient behavioral health service from any provider within the last five years or at the present time. Other qualifications include a diagnosis of asthma or other respiratory-related diagnosis with chronic recurring wheezing which meets specified criteria and a diagnosis of attention deficit disorder/attention deficit hyperactivity disorder that meets the specified criteria, requires adaptive equipment, requires assistive technology devices or services, and/or requires environmental/architectural considerations.

I-19. All persons with access and functional needs must have access to the same safe havens as persons without access and functional needs. Although not required, if deemed appropriate by the IEM, safe havens for persons with access and functional needs may be set up; however, all other safe havens still accept persons with access and functional needs. The IEMWG considers the following in planning for those with access and functional needs:

- Ensure accessible entrances, toilet and bathroom facilities, and safe haven area for those with wheelchairs and scooters.
- Ensure adequate refrigeration or cooler availability for those with medications.
- Ensure safe haven staff are properly trained to assist those with access and functional needs before a disaster strikes.
- Include persons with access and functional needs in safe havens; persons with access and functional needs should not be separated from any other persons in the safe haven except where necessary due to conflicts with companion animals and persons with allergies.
- Allow companion animals, seeing animals, retrieval animals, and all other pets that assist access and functional needs persons into the safe haven, and allow the animals to remain with their owners.
- Ensure availability of generators.
- Ensure that all safe haven information and announcements are accessible to those who are deaf, hard of hearing, blind, or visually impaired.

ANIMAL NEEDS MANAGEMENT

I-20. A plan for addressing the needs and care of animals in the event of an evacuation is also developed for each IEM program. Whether pets are to be allowed in a safe haven is the decision of the installation commander. If pets are allowed in remote safe havens, there is a signed agreement between the two installations.

I-21. Keeping animals and their owners together is a way of reducing stress on disaster victims. Dealing with separated owners and their animals can become a predominant issue in large-scale evacuations. Close cooperation with the animal-care community is the best way to plan for and respond to these issues. Local community veterinarians and animal control or humane shelter directors can be asked to coordinate evacuations and rescues of animals in an organized manner.

COMMUNITY ASSISTANCE CENTER

I-22. IEM programs establish procedures for creating a community assistance center (or similar center) to provide services based upon the needs of the specific emergency. The community assistance center (or similar) provides the following services:

- Mass care registration services.
- Personnel accountability liaison.

- Volunteer management service.
- Donations management service.
- Support services for non-English-speaking, hearing impaired, visually impaired, and physically impaired populations.
- Information on safe haven and civilian shelter locations, transportation routes and services, laundry locations, shower/bath facility locations, PODs, and utilities and power outages.
- Service liaisons: health services, access and functional needs populations, animal needs populations, utility providers (gas, water, power, waste management), and U.S. Postal Service.
- Client services: individual assistance programs, legal counsel, banking services, insurance claim services, travel services (aviation, rail, bus, ferry, and rental cars), school/childcare/daycare registration, counseling services, and housing coordination services.

PUBLIC HEALTH CONSIDERATIONS

I-23. As outlined in DODI 6200.03, the PHEO or his designee plans for and advises on the public health aspects of mass care and access and functional needs populations so that the impact on the health and well-being of the vulnerable population is reduced during a public health emergency.

I-24. Consistent with DODI 6055.17, DOD installations develop a mass prophylaxis plan for ensuring the mass distribution of prophylactic and/or curative medications during a public health emergency. In executing mass prophylaxis, each installation leverages its own inherent capability as well as the capabilities of supporting resources (for example, civilian institutions, local health departments, or access to the Strategic National Stockpile [SNS]). Medical logistics tracks mass prophylaxis and other medical supplies.

I-25. Logistics, facilities, security, and medical support functions coordinate a unified effort to set up one or more PODs for the allocation of prophylactic and/or curative medications. The location and supply of PODs is usually coordinated with parallel civilian support functions, since receipt and distribution of medications and supplies within the SNS is coordinated with the state or local entity governing SNS distribution, as discussed in the interagency agreement between DOD and Department of Health and Human Services on the support of contingency medical materiel requirements.

Note. Marine Corps installations are prohibited from serving as open PODs for the general public.

Glossary

SECTION I – ACRONYMS AND ABBREVIATIONS

AAR	after action report
AFI	Air Force instruction
AFTTP	Air Force Tactics, Techniques, and Procedures
APCO	Association of Public Safety Communication Officials
AR	Army regulation
AT	antiterrorism
ATP	Army techniques publication
ATTN	attention
CAP	corrective-action plan
CBRN	chemical, biological, radiological, and nuclear
CBRNE	chemical, biological, radiological, nuclear, and high-yield explosives
CI	counterintelligence
CIKR	critical infrastructure and key resources
CIP	critical infrastructure protection
CJCS	Chairman of the Joint Chiefs of Staff
CM	consequence management
CMF	critical mission facility
CNIC	Commander, Navy Installations Command
COMM	commercial
COOP	continuity of operations
COP	common operational picture
CPG	Comprehensive Preparedness Guide
DCIP	Defense Critical Infrastructure Program
DHS	Department of Homeland Security
DIA	Defense Intelligency Agency
DOD	Department of Defense
DODD	Department of Defense directive
DODI	Department of Defense instruction
DOS	Department of State
DSCA	defense support of civil authorities
EAP	emergency action plan
EM	emergency management
EMS	emergency medical services
EOC	emergency operations center
EOD	explosive ordnance disposal
EPI	emergency public information
ERS	emergency relocation site
ESF	emergency support function

F&ES	fire and emergency services
FBI	Federal Bureau of Investigation
FEMA	Federal Emergency Management Agency
FL	Florida
FM	field manual
FP	force protection
G-2	Assistant Chief of Staff, Intelligence
HAZMAT	hazardous materials
HN	host nation
HSA	hazard-specific appendix
HSEEP	Homeland Security Exercise and Evaluation Program
HSPD	Homeland Security Presidential directive
HVAC	heating, ventilation, and air conditioning
IAP	incident action plan
IC	incident commander
ICP	incident command post
ICS	Incident Command System
IEM	installation emergency management
IEMWG	installation emergency management working group
INST	instruction
IP	improvement plan
ISSA	inter-Service support agreement
JITF-CT	Joint Intelligence Task Force for Combating Terrorism
JP	joint publication
JRSOI	joint reception, staging, onward movement, and integration
LE	law enforcement
LTE	long-term evolution
MAA	mutual aid agreement
MCWP	Marine Corps Warfighting Publication
MO	Missouri
MOA	memorandum of agreement
MOU	memorandum of understanding
MSCoE	Maneuver Support Center of Excellence
MTF	medical treatment facility
NATO	North Atlantic Treaty Organization
NBC	nuclear, biological, and chemical
NDRF	National Disaster Recovery Framework
NFPA	National Fire Protection Agency
NGO	nongovernmental organization
NIMS	National Incident Management System
NPG	National Preparedness Goal
NRF	National Response Framework
NTTP	Navy, Tactics, Techniques, and Procedures

NWP	Naval Warfare Publication
OPNAVINST	Chief of Naval Operations Instruction
OSHA	Occupational Safety and Health Administration
PHEO	public health emergency officer
POD	point of distribution
PPD	Presidential policy directive
RFA	request for assistance
ROM	restriction of movement
SA	situational awareness
SIP	sheltering in place
SNS	strategic national stockpile
SOFA	status-of-forces agreement
SOP	standing operating procedure
STANAG	standardization agreement
TACMEMO	tactical memorandum
TTP	tactics, techniques, and procedures
UC	unified command
UFC	Unified Facilities Criteria
U.S.	United States
USA	United States of America
USAF	U.S. Air Force
USMC	U.S. Marine Corps
USN	U.S. Navy
VA	vulnerability assessment

SECTION II – TERMS

There were no new terms introduced in this publication.

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