

An aerial photograph showing a severe flood event. A wide, muddy brown river flows through the center of the image. A green truss bridge crosses the river on the left. To the right of the river, a large red barn and several smaller white buildings are partially submerged in floodwater. The surrounding fields are green but show signs of waterlogging and erosion. In the background, more trees and distant buildings are visible under a clear sky.

EMERGENCY PLANNING GUIDE

For Community Officials

**New York State Emergency Management Office
New York State Emergency Management Association
2008**

Photo: Flood Event June, 2006



PREFACE

This Guide is intended for use by community officials responsible for emergency planning in their jurisdiction, although others interested in emergency planning may also find this guide useful.

Emergency planning is an extensive field, the risks to communities are considerable and the hazards diverse. This Guide does not attempt to cover everything that you may encounter while helping your community to mitigate, prepare for, and respond to an emergency. Instead it is a framework for “how to plan”, and a manual outlining the elements of an effective emergency plan. Some communities throughout New York State already have comprehensive emergency management plans, while others are only now beginning to develop them. If your jurisdiction has an existing emergency plan, this document may serve as a guide from which to re-evaluate it. For those communities which currently lack an emergency preparedness program, this manual will explain the reasons for implementing one and the proper way of establishing it.

It is recognized that a single “ideal” plan appropriate for every locality does not exist. Plans may vary significantly with regard to geographic location, population make-up and dispersal, the form of government, intergovernmental relationships among localities, as well as the degree of local concern and support for the concept of emergency planning. This Guide was prepared to assist your jurisdiction in developing an emergency plan that is most suitable to its specific circumstances.

The Emergency Planning Guide for Community Officials is organized into four sections. Section I explains why every community should have an emergency plan and the benefits of emergency preparedness in the form of risk reduction, response and recovery planning activities. Section II illustrates the ten basic steps involved in developing and implementing an effective emergency plan. Section III provides information on the plans that are required by federal and state law. Section IV describes what planning assistance is available to you from New York State.

This Guide was prepared jointly by the New York State Emergency Management Office (SEMO) and the New York State Emergency Management Association (NYSEMA). NYSEMA is a not-for-profit organization of Emergency Managers in New York State dedicated to improving the capability and enhancing the position of emergency management across the State and nation. SEMO is responsible for coordinating the activities of all State agencies to protect New York communities, the State’s economic well-being, and the environment from natural and technological disasters and emergencies. In addition, SEMO provides assistance to communities to further enhance their level of preparedness for emergencies of all types. SEMO is available to help you through the planning process. However, SEMO cannot prepare your plan for you, it requires intimate knowledge of your community to develop an effective, efficient and realistic emergency plan.

Contents

1

SECTION I.

Why You Need An Emergency Plan

What is an emergency?

What hazards are a risk

To your community?

Recent Emergencies in

New York State

Murphy’s Law

How does planning help?

Why you? Why not someone else

Potential Community Emergencies

What is an Emergency Plan?

The difference between

Risk reduction, response and recovery

1-1

1-1

1-3

1-4

1-5

1-5

1-5

1-6

1-7

1-8

2

SECTION II.

The Planning Process

Ten-Step Planning process

Step 1. Forming a Planning Team

Step 2. Hazard Analysis

Step 3. Risk Reduction Plan

Step 4. Capability Assessment

Step 5. Response Plan

Step 6. Planning for Recovery

Step 7. Community Involvement

Step 8. Exercise to Test the Plan

Step 9. Plan Approval

Step 10. Review and Update of the Plan

Planning for Terrorism

2-10

2-11

2-14

2-15

2-19

2-20

2-31

2-32

2-33

2-35

2-36

2-37

Contents

3

SECTION III.

Required plans

Disaster Preparedness Plan	3-39
Plan for Civil Defense	3-40
Comprehensive Emergency Response Plan	3-40
Plan for Hazardous Materials Response	3-41
Emergency Response Plan	3-41
Risk Management Plan	3-42
Area Contingency Plan	3-42
Dam Failure Plan (EAP)	3-43
Crowd Control Plan	3-43
Radiological Emergency Response Plan	3-44
Local Recovery and Development Plan	3-44
School Safety Plans	3-45
Hospital Disaster Plan	3-45
Nursing Home Disaster Plan	3-45
Adult Care Facility Disaster Plan	3-46
Long Term Care Facility for the	
Mentally Retarded, Emergency Plan	3-46
Electric Utility Storm Plans	3-46
Solid Waste Management Facility Plan	3-47
Hazardous Waste Facility Contingency Plan	3-47
Radioactive Waste Facility Response Plan	3-48

3-39	Water Supply Emergency Plan	3-48
	Airport Emergency Plan	3-49
	Mitigation Plan	3-49
	Pet & Service Animal Plan	3-50
	Putting it All Together	3-51
	County Comprehensive	
	Emergency Management Plan	3-52
	Additional References	3-53

4

SECTION IV.

You are not alone	4-54
Hazard Analysis	4-54
Hazard Specific Guidance	4-54
Risk Reduction	4-54
Plan Development	4-54
Agency Procedures	4-55
Executive Briefings	4-55
Training	4-55
Drills and Exercise	4-55
City, Town, and Village Plans	4-55
Appendix A	
Emergency Management Offices	4-56

1

WHY YOU NEED AN EMERGENCY PLAN

The reason for having an emergency plan is simple - to save lives and protect property. The aim of community emergency planning is to reduce the risk to, and potential impact from emergencies and disasters. Planning does this by walking community officials and other agencies through a process to pre-identify hazards and likely threats; to locate the resources and equipment that will be needed should disaster strike; to establish an organization to quickly and efficiently coordinate help when help is needed; and to create a system to inform citizens of the dangers and how best to protect themselves. Obviously it is far easier to do all of this before an emergency occurs than during the confusion that normally accompanies disastrous events.

What is an emergency?

You will find a list of recent emergencies in New York State on page 4. There may be a number of incidents you never considered as emergencies. The definition of *emergency* may vary among individuals, agencies and jurisdictions. For the purposes of this Guide, a community emergency can be described as any situation which poses an immediate threat to the health, safety and stability of the community, thus requiring immediate intervention through a coordinated response effort involving a number of agencies.

NYS Executive Law Article 2-B

State Disaster Emergency : A period beginning with a declaration by the governor that a disaster exists and ending upon the termination thereof.

Disaster : Definition of Disaster - An occurrence or imminent threat of widespread or severe damage, injury, or loss of life or property resulting from any natural or man-made causes

National Response Framework

Emergency: Any incident, whether natural or manmade, that requires responsive action to protect life or property. Under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, an emergency means any occasion or instance for which Federal assistance is needed to supplement State and local efforts and capabilities to save lives, and to protect property and public health and safety, or to lessen or avert the threat of a catastrophe in any part of the United States.

A three-car accident on your main street is probably not a community emergency; the police, fire and emergency medical services (EMS) respond, and do what they are trained to do. No further direction or planning may be required. It is a community emergency when the accident involves a tanker truck carrying dangerous chemicals which leak into the atmosphere or the community's water system. That sort of incident would require a coordinated response from not only police, fire and EMS, but also HazMat, public works, health, environmental protection, and perhaps the state and federal government.

If the leak required the evacuation of residents, the emergency would also demand a response from social services agencies and volunteer organizations like the Red Cross. This incident would require an effective mechanism for response and recovery through emergency management, which is exactly what effective emergency planning can provide.



Oneida County, 2004—Motor vehicle accident, Hazardous Materials response.

What hazards are a risk to your community?

The need to plan for an emergency is closely connected to the perception of risk. This perception is heightened by feelings of a real and personal danger, a fairly high probability of occurrence, and that the danger is inevitable. For example, if hazardous materials are regularly transported through your community by road or railway, your residents probably believe there is a reasonable likelihood a serious accident could occur—and with good reason. If your town is built on a flood plain, you can expect to face high water levels. Prudent officials should be prepared for those contingencies.

Emergencies can occur with or without warning. Some crises are caused by incidents that happen suddenly, such as an explosion or accidental chemical release. Other crises may be a result of an incident with a slower onset, like hurricanes and drought conditions.

Both types of incidents can be planned for by identifying your community's reasonable risk to a hazard.

For example, if you live in a jurisdiction with a major transportation corridor you can reasonably assume that you are at risk to major transportation accidents. Likewise, if you live in a jurisdiction adjacent to one of the Great Lakes, you can reasonably assume that you are at risk to severe lake-effect snow storms in the winter. Proper emergency planning can and should accommodate both types of occurrences.

On the other hand, preparing an emergency plan for an invasion of killer bees is probably a waste of your valuable time. You could do it, but why bother? There are more probable, and much worse, risks to contend with. Stick with the risks that are more likely to affect your community; there are certain to be enough of them.



Onondaga County, 2004—DOT snow plows work together to clear Interstate 81 following lake-effect storm.

Recent Emergencies in New York State

Hepatitis-A Erie County *February, 2008*. A produce handler at a local grocery store was diagnosed with Hep. A , subsequently exposing patrons for approximately one month. Anyone who purchased produce and consumed un-cooked produce was at risk of exposure. The Department of Health as well as other state and local officials activated a public information campaign to inform store patrons of the possible exposure and locations where mass inoculations were to take place. Over 9,000 individuals were treated for exposure.

Severe Storms and Tornadoes New York City/ Staten Island *August, 2007*. More than three inches of rain fell in the metropolitan area in just a few hours. The storm produced an EF2 tornado in Brooklyn, and an EF1 in Staten Island. One death and nine injuries were reported.

Snow Storm Western New York *October, 2006*. Heavy, wet, lake effect snow caused thousands of trees in foliage and power lines to break and fall. Four counties received Federal Disaster Declarations. Tens of thousands of residents were without power for days, hundreds sought emergency shelters. The amount of debris was astronomical.

Storms and Flooding Central and Southeastern New York *June, 2006*. The effects of the storm and floods included significant power outages, the destruction of hundreds of homes, the evacuation of thousands of residents and the closure of hundreds of miles of roadways. At least four deaths and several injuries were reported. The Governor declared a State Disaster Emergency for 13 counties, and directed the implementation of the State CEMP and SEMO to respond and coordinate with local officials.

Hadlock Pond Dam Failure Washington County *July, 2005*. The Governor declared a State Disaster Emergency following the dam breach in the Town of Fort Ann, Warren County. Hundreds of thousands of gallons of water were released and the ensuing flooding forced the evacuation of scores of residents. SEMO dispatched a multi-agency Incident Management Assistance Team to support local operations.

Chronic Wasting Disease (CWD) Oneida County *April, 2005*. CWD, a fatal disease in moose, elk and deer, was found in a white-tailed deer at a captive deer farm. A Multi-Agency Coordination group was established by SEMO and the Departments of Health, Environmental Conservation, and Agriculture & Markets. Interagency teams were deployed to test, monitor, contain, and depopulate captive and wild herds in the area.

Murphy's Law of emergencies.

Good emergency planning leads to the unpleasant realization that the next emergency could certainly be worse than the last, a sort of Murphy's Law of increasing impact. A corollary of this proposition is that emergencies are going to be more frequent in the future than they were in the past.

Natural hazards—floods, tornadoes, blizzards—are probably no more frequent now than they were 20 years ago. However, the probability of a natural hazard impacting a densely populated suburb is higher, because there are more suburbs, and more of them are densely populated.

To the increased impact of “Acts of God,” add an increased dependence on technology in a modern society, and the complexity and fragility of the systems that keep our society functioning. Technology, as the citizens of Bhopal, India will attest,¹ can be dangerous when it malfunctions. The complicated networks that make modern societies work—electrical grids, road and transportation networks, communication systems, and many others—are vulnerable to disruption and system failure, which can have enormous consequences. Under these circumstances, vigilance is only reasonable. The fact that your community has escaped until now only makes it a more probable candidate for the next and more devastating emergency - Murphy's Law.

¹ Over 7,000 people were killed when a toxic chemical was released from an industrial plant in 1984. 5

How does planning help?

Emergency planning helps community officials anticipate problems and possible solutions. Although you cannot anticipate every problem, for some of the most obvious and serious, specific measures can be taken to eliminate or reduce the hazard. For hazards that cannot be eliminated you should develop appropriate response measures for a wide range of occurrences. Those measures will enable your community to react faster and more effectively, especially during the critical early hours of an emergency. Simply knowing the available resources, their capabilities, responsibilities, and how to use them effectively can help save lives and property, reduce damage, and speed your community's recovery.

Emergencies can occur in any community, large or small. Smaller communities may be at a disadvantage in their ability to respond effectively because they often have fewer resources to apply, and their emergency services are less likely to have the same amount of experience in dealing with unexpected events than similar services in metropolitan areas.

Why you? Why not somebody else?

The initial response is critical in an emergency, and it is at the community level that initial response takes place. So it is the community that has to prepare the emergency plan and execute it.

Community public safety agencies— police, fire, emergency medical services—are almost always the first responders to put their emergency measures into action ahead of any other organization.

That doesn’t mean you have to do everything alone. These local agencies are typically the first on the scene, but usually not the only ones.

Community emergency plans usually include provisions for sharing resources and mutual assistance with neighboring communities and with county government. There may also be help available from the state and federal government, as well as private and non-governmental agencies.

The following list shows a number of emergencies that could occur in your community:



North Country 2005—Interstate 87 washed out

Potential Community Emergencies

Natural Emergencies:

- Blizzard
- Ice Storm
- Heat Wave
- Drought
- Earthquake
- Flood
- Forest Fire
- Hurricane
- Tornado
- Disease

Technological Emergencies:

- Structural collapse (e.g. bridge, building, dam)
- Power or energy failure
- Transportation accident (e.g. road, rail, water, air, pipeline)
- Large explosion
- Hazardous material leak
- Large-scale industrial accident
- Nuclear reactor accident

Conflict Based Emergencies:

- Terrorism
- Civil unrest

What is an emergency plan?

It might be easier to say what it is not. An effective emergency plan is not a written document that is produced once and forgotten. Effective planning demands forethought and imagination in predicting the risks the community realistically faces, and the counter-measures to overcome these situations. In addition, emergency planning requires a method of training participants to carry out their assigned tasks proficiently, as well as testing the proposed counter-measures to assess their effectiveness. Subsequently, it will require revisions to correct any deficiencies that were revealed in the test, and probably additional training for the participants.

Emergency planning may not be your full-time occupation, although many counties and some communities employ full-time emergency managers to oversee plan development and maintenance. Other communities may assign the duty of emergency planning to someone perhaps from the police, fire, or public works department as a full- or part-time responsibility. In some cases, a consultant may be hired for plan development or updating.

Emergency planning is a process, not just a product. Planning is not an independent activity, and it cannot be regarded as something you do once and never have to do again.

Common characteristics

Every emergency is unique, but each shares common characteristics:

- It involves an unusual or abnormal (and often unexpected) situation
- The situation poses a risk to the health and safety of human and animal populations, or the potential for damage to property
- Reducing risk requires a prompt response from community authorities
- Response will involve extraordinary procedures and actions from community agencies and others

Likewise, every emergency plan is different, but each have some common features:

- The plan should identify known hazards and steps that can be taken to reduce their occurrence or impact
- The plan should contain a notification system for officials and agencies who are designated to respond to emergencies
- The plan should describe emergency operations procedures, such as the activation and coordination of resources, and basic strategies for responding to various incidents
- The plan should describe how the community's resources will be organized, lines of authority and chain of command
- The plan should describe the communications systems that will be used
- The plan should assign responsibilities for various aspects of emergency response
- The plan should contain resource lists to quickly obtain information, contacts and equipment
- The plan should provide guidance or protocol for media coordination and public information

The difference between risk reduction, response and recovery

The policy established in New York State encourages comprehensive emergency preparedness planning. In the past, attention was primarily given to the ability to respond when disaster struck. Today, there is a much greater expectation and responsibility for government to act effectively *before, during, and after* an emergency occurs.

The planning process, and local emergency plans and procedures can also be employed for planned events.



Lake George, 2004—Americade event

WHY YOU NEED AN EMERGENCY PLAN

WHY YOU NEED AN EMERGENCY PLAN

Planning for emergencies is an ongoing, multi-task undertaking. Through the implementation of risk reduction measures before an emergency occurs, timely and effective response during an actual occurrence, and the provision of short- and long-term recovery assistance after the occurrence, lives can be saved and property damage minimized. Risk reduction, response, and recovery are all necessary components of a successful emergency preparedness program.

Risk reduction includes two elements, prevention and mitigation. Prevention involves any activity that can eliminate the risk of a hazard in your jurisdiction. Mitigation does not eliminate the risk but reduces the seriousness of the occurrence and the degree to which human life and property are affected.

Some emergencies can be prevented. For example, a technological hazard such as the use of chlorine gas as a disinfectant at a water treatment facility. The facility could change the process to a non-hazardous disinfectant, thus eliminating the threat of a toxic chemical accident.

Other hazards cannot be prevented, but their impact can be significantly mitigated. For example: Designating a municipality's flood plain as parkland, thus precluding any commercial or residential development in areas prone to flooding.

Response includes activities taken immediately before, during, or after an emergency to help save lives and protect property. Response planning can reduce the consequences of both technological and natural hazards when prevention or mitigation is not possible, or fails to be effective.

Some hazards cannot be prevented or mitigated, and response efforts may not provide full protection. In this case recovery actions must be taken, and play a significant role in restoring the affected community.

Emergency Planning is optional, but recommended. New York State Law requires that prevention, mitigation, response, and recovery be addressed in every local government's emergency plan.

2

THE PLANNING PROCESS

THE PLANNING PROCESS

There is no single way to plan. This Guide presents a comprehensive approach to the planning process. By conducting the recommended activities, a jurisdiction puts in place the pieces of an effective emergency plan that serves as the framework for all activities **before, during, and after** an emergency. While this Guide focuses mainly on the planning process for local government, most of the principles can be applied to planning for other agencies, business and industry.

Two goals of the planning process are to reduce the risks of each hazard your community faces and to assess the capability to respond to any hazard. A comprehensive emergency plan develops a framework for responding to any emergency situation and provides information that will help communities take steps to reduce the impact of these incidents.

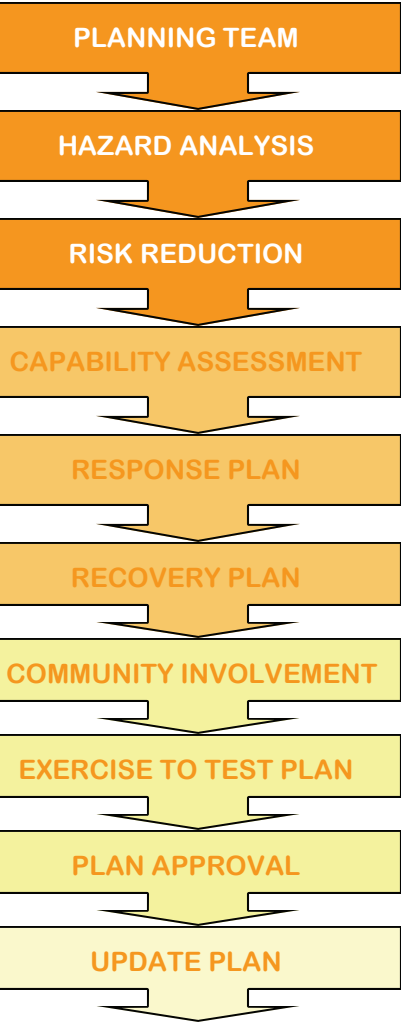
Your jurisdiction's plan should be tailored to the particular needs of the community and reflect the fundamental roles and responsibilities essential in responding to any emergency or threat. At each step in the planning process, it is important to plan for the worst. Doing so promotes a system of emergency preparedness and effective response, whether or not the occurrence is anticipated.

If your community develops a plan that adequately covers risk reduction, response, and recovery activities *before* an emergency occurs, the threat to lives and property may be greatly reduced or even eliminated. Without an emergency plan, however, the jurisdiction's capability to respond to an incident could be seriously impaired.

A good plan answers who, what, where, when, and how. It cannot be written in a vacuum or written and then never looked at again. Plan writing, though a critical component, is not the only element of community emergency management. Other important components include training, conducting exercises, and implementing risk reduction measures. Each one helps to ensure that your community and its emergency responders are prepared to face any threat. The 10 planning steps outlined in this section should provide you with a basic foundation for developing your own plan and facilitate the wider goal of "comprehensive emergency management."

THE PLANNING PROCESS

TEN STEPS
TO EFFECTIVE
EMERGENCY
PLANNING



Step 1. Form a Planning Team

Forming a planning committee or team is the first step in the planning process. A team approach is the best mechanism for incorporating the expertise of a variety of sources into the planning process. A one person planning effort might produce a well constructed plan, but it would likely reflect a single perspective or a limited experience.

Emergency planning requires coordination, trust, and cooperation among numerous groups with emergency management responsibilities. This is best gained through personal interaction and a collaborative team effort. Working together to develop and update plans provides an excellent opportunity for interaction among the various groups and individuals who are responsible for emergency planning. A cooperative team approach encourages “buy-in” which supports a planning process that reflects the consensus of the entire group.

This Guide emphasizes the benefit of community involvement throughout the entire process. All affected parties, not just the members of the planning team, have legitimate concern in developing the plan.

Strong efforts should be made to ensure that all groups with an interest in the planning process are given an opportunity to participate. Enlisting the cooperation of a range of groups, agencies, and individuals will improve planning, make the plan more functional, and maximize the likelihood of an effective response during an emergency.

Who should be on your team?

The members of the team should be committed to the emergency planning process. They should be representative of all segments of the community with a legitimate interest in reducing the risk of emergencies. The group should also possess, or have ready access to, a wide range of expertise relating to the community, its facilities, neighborhoods, essential services, hazards, and emergency resources. It is this group who will be the principal advocates of the emergency plan when it is presented to the legislative body and the public. Therefore, they must be aware of the risks the jurisdiction faces and the benefits of well thought-out emergency response procedures.



Long Island, 2007—Participants in Ardent Sentry Exercise

At a minimum, the team should include a representative from:

- Law enforcement
- Fire service
- Emergency medical services
- Public works
- Public health
- Community planning board
- Emergency management

The planning team should be limited to a workable number. Many interested parties may want to be involved in the planning process. However, the size of the team should be determined by the size of the jurisdiction, the demographic of its population, its economic base, the complexity of its government, and its resources. For larger municipalities, it may be advantageous to utilize a support group, which can provide expertise and assistance to the formal planning committee. The support group might include representatives from:

- | | |
|--------------------------------|-------------------------------------|
| • Business and industry | • Transportation |
| • Public and private utilities | • Community service organizations |
| • Hospitals | • Equipment suppliers |
| | • Anyone else willing to contribute |

THE PLANNING PROCESS



SEMO Training, 2003— Class participates in planning process

The Team Leader

There are many different ways to organize a planning team, but regardless of the method, leadership is the key to success. An individual can be initially selected to lead and facilitate the team's efforts, or a planning committee can be appointed and have the group decide who will manage the effort. Either way, it is essential to establish strong leadership for the team.

The committee leader should demonstrate a sound commitment to emergency planning. An individual with experience in emergency services is beneficial, but not necessary. When selecting the team leader, there are several factors to consider, the leader should have:

- Respect from those involved in the planning process
- Working relationships and support from concerned community agencies and organizations
- Time and resources available
- Interpersonal, management and communication skills
- Existing responsibilities related to emergency planning, prevention, and response.

Some jurisdictions may decide to appoint the team leader as a full-time emergency planning coordinator. Others may designate the position as a part-time position, or it may be supplemental to existing duties. Regardless of the team leader's title, he or she must be aware that the role may be time-consuming.

Step 2. Hazard Analysis / Risk Assessment

A hazard analysis (also known as a risk assessment) is an essential component of emergency planning. It involves the exploration of hazards that may threaten your community, as well as identifying their potential impact. Part of the process involves reviewing historical data of past events and determining the probability and frequency of tomorrow's hazards. In analyzing specific hazards, your planning team may need to consult with subject matter experts to determine the degree of threat and potential impact certain hazards pose.

The information developed in a hazard analysis provides a scientific basis for setting planning priorities and can include a determination of appropriate risk reduction actions and necessary emergency response procedures. The analysis provides the basis for conducting the vulnerability assessment as it may reveal the most vulnerable areas and populations within the community, the financial and economic costs associated with those risks, thus prompting additional planning measures to best protect residents and property in those areas.

There are various tools available to conduct a hazard analysis. The New York State Emergency Management Office can provide a software program called **HAZNY** (Hazards New York) to community planners. **HAZNY** is an automated tool that helps planners assess, rank and quantify their potential hazards and their impacts, and provides a risk ranking for planners to prioritize their efforts as appropriate. While SEMO staff can support the facilitation of the program in your jurisdiction, the program is also available upon completion of a **HAZNY** train-the-trainer workshop designed to teach local officials how to use the program themselves. For more information on **HAZNY**, contact your SEMO Regional Office or:

**New York State Emergency Management Office
Preparedness Section
1220 Washington Ave.
Building 22, Suite 101
Albany, NY 12226-2251
(518) 292-2302**



Saratoga County, May 1998 – Neighborhood in Stillwater devastated by tornado.

Whatever method is used, your analysis should identify all hazards, the likelihood of the hazards occurring [probability] and the impact of the occurrence [consequences]. Many hazards exist only in specific locations, (e.g. dam failure). In those situations, plans can incorporate the special measures necessary to protect residents in vulnerable areas. Other hazards can potentially affect the entire jurisdiction, (e.g. tornado). Protecting everyone from a specific hazard can be more difficult. However, a basic principle of emergency planning is that much of what you do to prepare for one hazard will apply to other hazards as well. Thus, it makes sense to begin your planning for hazards that can impact your entire jurisdiction.

Step 3. Risk Reduction Plan

After a hazard analysis has identified the hazards in your community, the planning team should investigate whether or not these hazards can be prevented (eliminated) or mitigated—this is called risk reduction. For almost any hazard, specific actions can be taken before an emergency that can go a long way in protecting the community. For each hazard identified, the planning team should examine different ways in which the hazard could be prevented, or its impact reduced, and then estimate the cost of implementing each method. Some of these hazards can be mitigated through an informal risk reduction report, or may warrant the development of a hazard mitigation plan.

The information and recommendations from the planning team serve as the basis of a risk reduction report. The report, which can be done in a informal setting, should be presented to the local elected officials for consideration and implementation. Their decision becomes part of the overall risk reduction planning effort. Some actions are relatively simple, inexpensive, and non-controversial. There should be little difficulty in obtaining executive and legislative support for their implementation. Examples include:

- Storm shutters for structures in hurricane-prone areas
- Tie-downs for mobile homes and below ground basement protection to mitigate the effects of a tornado
- Better public warning system capabilities
- Zoning changes to eliminate development in flood plain areas

Other projects may require significant funding to implement, and thus their acceptance may be more difficult to obtain. However, in determining the cost of a project, it is important to factor in the potential cost savings that the project can achieve in both the short- and long-term.



Southern Tier, 2006—Culvert failure during flood event

There can be obstacles when putting risk reduction ideas into action. There may be a lack of public support for some activities, or opposition from other government agencies or interest groups. But always keep in mind that you are promoting methods to protect lives and property, as well as saving money for your community. It's a message that cannot easily be ignored. The risk reduction report can be written to support a much larger, more formalized mitigation effort known as the all-hazards mitigation plan.

All Hazards Mitigation Plan

A large number of jurisdictions in the state have either completed a plan or are participating in plan development for an All-Hazards Mitigation Plan. It is a process directly driven by federal legislation* that has very specific requirements. After development of this plan the jurisdiction becomes eligible for various federal funding sources to enable them to implement mitigation measures.

Federal legislation requires that all-hazards mitigation plans address natural hazards. The State encourages jurisdictions to look at all hazards (natural, technological and human-caused) in their mitigation efforts, with the understanding that natural hazards *must* be addressed to satisfy federal mitigation planning requirements.



An example of a risk reduction project is provided on page 18.

There are four (4) phases in the development of the mitigation plan:

1. Planning Process – Development of the Planning Team. Coordination with other jurisdictions, multi-level agencies, and interest groups; an opportunity for public comment; and review and incorporation of existing plans.
2. Risk Assessment – Providing a factual basis for activities proposed in the strategy to reduce losses from identified hazards.;
3. Mitigation Strategy – The blueprint for reducing the potential losses identified in the risk assessment;
4. Plan Maintenance Process - A schedule of monitoring, evaluating, and updating the mitigation plan within a five-year cycle.



Federal Legislation:

Robert T. Stafford Disaster Relief and Emergency Assistance Act

Law which outlines an orderly and continuing means of assistance from the Federal Government to State and local governments to carry out their responsibilities to alleviate the suffering and damage which result from such disasters.

Code of Federal Regulations 44 Part 201 & 206 Hazard Mitigation Planning and Hazard Mitigation Grant Program

This rule addresses State mitigation planning, identifies new local mitigation planning requirements, authorizes Hazard Mitigation Grant program funds for planning activities, and increases the amount of HMGP funds available to States that develop a comprehensive, enhanced mitigation plan. This rule also requires that repairs or construction funded by a disaster loan or grant must be carried out in accordance with applicable standards and says that FEMA may require safe land use and construction practices as a condition of grantees receiving disaster assistance under the Stafford Act.



The all-hazards mitigation planning process can take months, if not years to complete. As such, jurisdictions developing mitigation plans should not delay in developing an emergency response plan to protect their citizens while mitigation planning efforts are underway.

Mitigation project—Raising and moving houses located in flood zones.

Village Halts Flood Through Cooperative Risk Reduction

Over several years, Empire Village has experienced significant spring flooding in its small commercial “downtown” area, the heart of the community. A small creek winds its way through the downtown, each spring it spreads beyond its banks. The result is seasonal flooding, closing of local roads, the main bridge, and excessive water in basements of numerous commercial properties on Main Street. The situation seems to get worse each year even though the annual snow pack and precipitation have decreased.

The public and the village’s commercial interests have long complained, but the crisis of December 2003 brought the situation to a turning point. The “spring flooding” began on December 14th and lasted until Christmas eve. The downtown was inaccessible during its busiest season. The holidays were a bust for the village’s businesses. At the January meeting of the Village Board the downtown merchants demanded that something be done.

Soon afterward, a committee was formed, comprised of village, town, and county public works officials, the sheriff, county emergency manager, the county Soil and Water Conservation District representative, and a State Department of Environmental Conservation representative. The committee researched the history of flooding in the village and inspected the stream. In May, the committee reported to the Village Board that accumulation of debris in the stream over the past decade had contributed to the recent flooding. They recommended that creek channel clearance be undertaken in August when the flow is minimal.

The committee assisted in obtaining the required permits. Each level of local government contributed personnel resources and equipment to get the job done. Local contractors participated voluntarily and benefited from the recovery of natural resources. Volunteers from the high school environmental club and other community service groups performed much of the manual labor.

It was estimated that over 125 tons of debris including logs, limbs, dead vegetation, masonry, piping, lumber, tires, and a washing machine were recovered from a quarter-mile bend in the creek during the four days of clearance. It was further estimated that it would have cost \$250,000 for a private contractor to complete the clearance. The local governments worked within their existing budgets with the help of volunteers. A schedule of annual stream inspection and clearance was agreed upon by the local governments.

The spring of ’05 was the first dry spring the Empire Village downtown experienced in over 20 years. Numerous canoes and rowboats navigated the creek in May, the first time in anyone’s memory. And the business community was even more pleased when their flood insurance premiums were reduced 10% as a result of the mitigation project.



Step 4. Capability Assessment

Now that your jurisdiction's planning team has identified potential hazards and initiated risk reduction activities, it is important to plan for the response actions that would be necessary when a hazard threatens the community. However, before initiating plan development, the team should complete an assessment of available response capabilities and resources. This will provide direct input into the development of the response plan and will assist the planning team in evaluating what additional emergency response procedures and resources may be needed [Gap Analysis*].

In determining your jurisdiction's resource capabilities, your planning team should address a number of questions: What local agencies currently make up the community's existing response network? Who makes the key decisions? What legal authorities and responsibilities exist? How is the public warned of a hazard and advised to take protective actions? What kinds of equipment and materials are available in the jurisdiction to respond to an emergency? Is there a community resource list? Has there ever been a major emergency in the jurisdiction, and if so, what were the results of the response effort?

One method to help answer these questions and determine your community's capabilities is through a *table-top exercise*. In this exercise, a facilitator simulates an emergency situation in a stress-free, informal atmosphere. The participants—usually people on a decision-making level—gather around a table to discuss the general problems and procedures involved in this emergency scenario. The exercise elicits discussion among the participants as to how they would attempt to resolve hazard-specific problems based on existing resources and procedures.

FEMA

Gap Analysis: Provides a snapshot of asset gaps in critical areas for disaster response.

The focus is on the familiarization of available resources, roles, responsibilities and procedures. Selection of the hazard to be exercised should be based on actual or potential threats identified in the hazard analysis (Step 2. For example, if your hazard analysis rated dam failure as a high-risk hazard, then a table-top exercise could simulate a dam failure). The exercise can be used to assess the current capabilities for that particular hazard based on an existing emergency plan, or to reinforce the need to develop a plan if one does not exist. During the exercise, the participants' simulated response actions should be based on the jurisdiction's existing resources. Exercise play that simulates resources which do not currently exist, will not objectively test the jurisdiction's operational capability. Also, keep in mind while identifying your jurisdiction's capabilities, you should also determine if your community has written mutual aid agreements with neighboring jurisdictions to provide assistance during an emergency.



SEMO Stockpile

Step 5. Response Plan

To this point, we have discussed steps to prepare for and mitigate hazards. But, if an emergency occurred in your jurisdiction *today*, would your community and its emergency responders know what to do? A *response plan* serves to organize the personnel and services of the community for emergencies that cannot be prevented. Your planning team should develop a response plan that explains the jurisdiction's overall approach in managing emergencies, to include the incorporation and designation of all emergency responders. The response plan outlines the activation process; the method of direction and control; the organization and assignment of responsibilities; action levels and sequence of actions; means of communication; and ongoing assessment. In addition, this written response plan addresses how the public will be warned and protected from hazards.

To ensure adequate planning for all hazards, the content of the plan must be responsive to the results of the Hazard Analysis (Step 2) and Capability Assessment (Step 4). Depending on the actual risks and resources available in your jurisdiction, you may find that a basic plan is sufficient. Or your planning team may decide to develop a response plan that includes annexes and or appendices specific to function, support, or specific hazards.

The specifics of what should be addressed in a local disaster preparedness plan can be found in NYS Executive Law, Article 2-B, Section 23. All jurisdictions that are developing emergency plans should fully review the law. The reference can be found on page 3-39 of this guide.

Regardless of its size or format, each jurisdiction's response plan should incorporate and address a number of issues:

- **Review Existing Plans**

Before developing your jurisdiction's response plan, your planning team should first obtain and review all existing plans. This will help minimize work efforts by building upon or modifying current plans. It will also ensure proper coordination with other related plans. To determine if your jurisdiction has existing plans, consult organizations such as the county emergency management office, police and fire departments, public utilities, and industrial sites.

- **Organization of Emergency Response**

The next task is for the planning team to determine what organizations and people will be involved in a response effort. It is important to keep in mind that many emergency response activities may vary only slightly from hazard to hazard. For example, the first responders (e.g., police, fire, emergency medical services) at the scene of an incident are generally the same whatever the hazard.

Speed and efficiency is important during an emergency. Once responders are identified, it is crucial that their efforts are organized to facilitate an effective response. The plan should clearly designate one agency or official with the responsibility of overall command and control. This includes managing the resources, analyzing information, and making decisions. Under State law, the Chief Executive of a County, City, Village, or Town is ultimately responsible for the jurisdiction's emergency response forces. The response organization should be established under the Chief Executive Officer's authority.

A key component of emergency response is the Incident Command System (ICS). As part of the National Incident Management System (NIMS), ICS has been recognized as the national standard for command, control, and coordination of resources and personnel at all emergencies. Based upon sound business principles, ICS is a management tool consisting of procedures for organizing personnel, facilities, equipment, and communications. It assigns the responsibility for front-line management of the emergency, the tactical planning and execution, and the direction of response efforts at a Command Post to an Incident Commander (IC).

FEMA SLG 101/CPG 101.

State and Local Guide to All-Hazards Emergency Operations Planning (EOP)

It is important to note that the EOP guide (SLG-101/CPG 101) illustrates the components of a Response Plan. The EOP, like the Response Plan explained above, is just one piece of a plan that is required under Section 23 of NYS Executive Law, Article 2-B. State law requires that jurisdictional plans in New York State address before, during and after (preparedness, response and recovery) an emergency. Developing plans in the preparedness, response and recovery format leads to the production of a Comprehensive Emergency Management Plan (CEMP).

The Incident Command System has a flexible design. It may be adapted and used in a variety of organizational structures, including:

- Single jurisdiction/single agency involvement
- Single jurisdiction with multi-agency involvement
- Multi-jurisdiction/multi-agency involvement
- In conjunction with an Emergency Operations Center

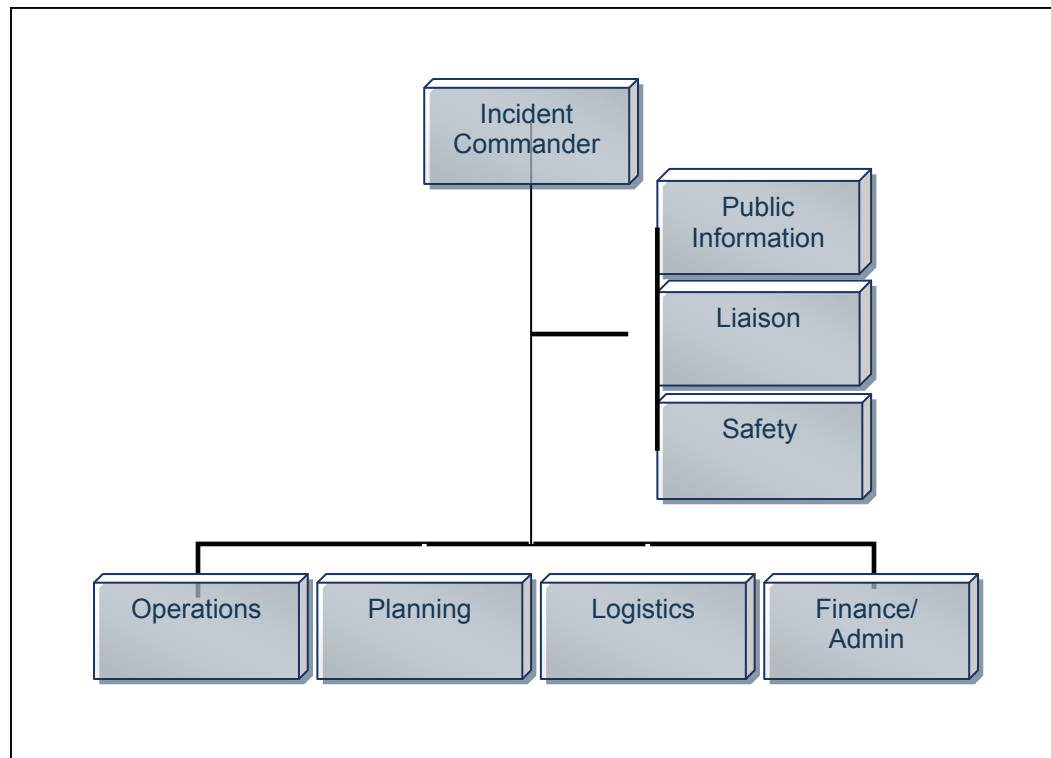


Figure 1. ICS Diagram

- **Activation of Emergency Forces**

Once your emergency response organizations have been identified, there must be a system of activating response personnel. This may be hazard specific, as different hazards may require different expertise. Your planning team should designate who will be in charge of activating the community's response organizations and the means of doing so. Keep in mind, many emergencies occur with little or no warning, therefore an immediate activation will be necessary.

The level of activation may depend on the size and scope, or anticipated size and scope, of the incident or event. A plan should include trigger points for the activation of a jurisdiction's EOC and the individual(s) who are authorized and responsible for ordering the activation. For example, the State Emergency Management Office uses five levels to demonstrate the scale of activation: Level 5 specifies an incident that is routine and has a limited impact on a community, thus requiring a minimum number of people to monitor normal response activities; Level 4 is designated for somewhat routine to moderate incidents impacting a portion of a community, and requiring a limited activation of agencies to monitor and respond; Level 3 elevates the magnitude of staffing from level 4 for moderate incidents; Level 2 is designated for a significant impact requiring all staff and agency involvement; Level 1 is a major emergency involving the full activation of emergency personnel, to include the use of mutual aid, state assistance, and possibly federal involvement.

- **Command Post and Emergency Operations Center**

Response personnel need a designated meeting site to manage operations. Your jurisdiction's emergency response may be directed and controlled from a Command Post located at or near the emergency site. Your jurisdiction may also utilize an Emergency Operations Center (EOC) in conjunction with the Command Post. The EOC provides coordination, communication, and resource support to the Command Post.

- **Assessment, Decision-Making, and Protective Measures**

The response plan needs to include a system for assessing emergencies and making decisions on what actions should be taken. This includes counter-measures to minimize the effects of the hazard (e.g., sandbagging) and public protection activities to assist people in getting out of harm's way (e.g. evacuation or shelter-in-place).

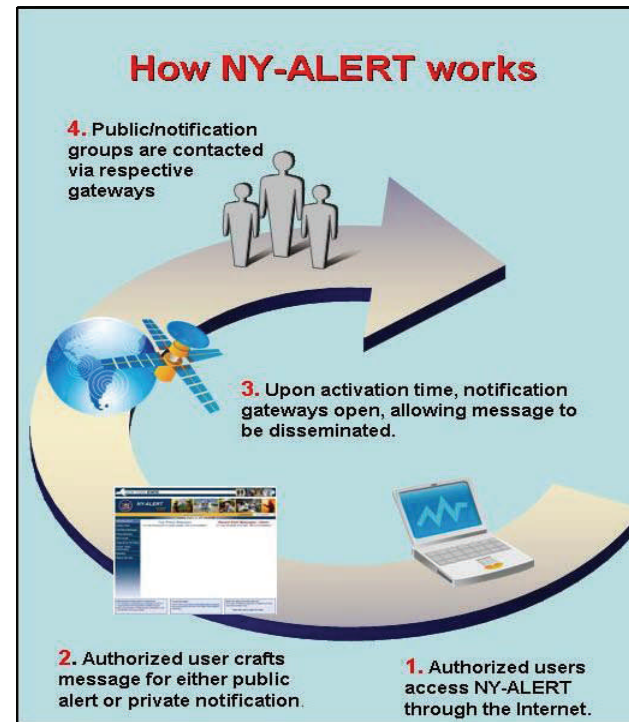
- **Public Warning and Emergency Information**

During an emergency, there is a demand for information by the public and the media. The media can play a useful role in disseminating accurate, timely and crucial information to the public. Without a plan, however, there is a risk that information may be reported inaccurately, or response activities may be disrupted due to misinformation. A public information officer (PIO) should be designated as part of the response team and be responsible for such planning.

To implement public protective actions successfully, there should be a system of notifying and warning people when a hazardous event occurs. There are various means of alerting the public and, while some may vary in their effectiveness, no one system is absolute. A plan should include more than one method of notification.

An excellent way to receive emergency information is through NY-ALERT, New York State's all-hazards alert and notification system. This web-based portal offers a single point of distribution through which State and local governments can provide emergency information to a defined audience (e.g., local, county, regional or statewide). Subscribers to the free NY-ALERT service can receive emergency information via e-mail, phone, cellular, text messaging, fax, pager, or internet postings such as RSS readers. NY-ALERT can be accessed through your local county emergency management office.

Some special populations (e.g., schools, hospitals, nursing homes, industrial sites) may need their own warning system. Review your hazard analysis in order to determine if any special populations in your jurisdiction are vulnerable to a sudden encounter with a hazard, and if they would need immediate warning.



- **Emergency Care for Victims**

During an emergency, the delivery of services to aid citizens and reduce human suffering is a top priority. A high impact emergency may result in a large number of victims requiring hospitalization, food, and shelter. This may exceed your community's emergency services capabilities. If your jurisdiction does not have the personnel or facilities to provide all medical and essential needs of victims, it will be necessary to expand your capabilities. Your plan should include mutual-aid or cooperative agreements with neighboring localities to provide back-up emergency medical personnel and support services.

- **Restoring Vital Services**

In addition to assisting victims, your community should take immediate action to restore vital services for public health and safety. Crucial to these services are open transportation lines for emergency responders; communication and power lines for essential contact and services; and water and sewer systems for sustainment and sanitation. Your plan should address how you will carry out the restoration process.

- **Resource Management**

Local officials must be able to manage resources efficiently during an emergency or disaster. One of the most important aspects in responding effectively is the ability to apply existing resources in the most productive manner.

There are many public and private agencies, businesses, industries, and organizations with resources and expertise that would be useful in an emergency. Identifying these resources during the planning process, establishing agreements and incorporating the resource into the response plan will enhance the speed and effectiveness of resource management and response actions.

Your plan should designate an agency to be responsible for the overall management of available resources. The protection of life and property may require the full mobilization and use of all resources within the community. An important and frequently necessary component of emergency response is the integration of assistance from other governments and private entities.

Agencies and organizations that are often sought for additional resources in an emergency include federal and state government agencies, the military, public utilities (e.g. gas and electric companies), bus and trucking companies, fuel suppliers, construction companies, and volunteer agencies (e.g. Red Cross, Salvation Army). There are many computer-based programs available to assist you in identifying and managing your community's emergency resources.

- **Standard Operating Guidelines**

It is important for your jurisdiction to have written response plans that incorporate key activities during an emergency. However, this “paper plan” alone is of little value unless personnel with an assigned role in emergency response carry out their own set of operational responsibilities. Each organization (e.g. fire service, police, public works) should develop Standard Operating Guidelines (SOGs) to follow during any emergency. SOGs should include handy checklists of key tasks to be performed, in some cases chronologically. These checklists can be carried by the responder as well.

SOGs should be written with consideration of the overall response plan and the need to coordinate procedures with other agencies. To avoid redundancy or conflicts in procedures among responders, invite representatives from agencies utilizing SOGs into the planning process to establish a consensus on courses of action.

Keep in mind that the coordination of SOGs, and all other activities involved in drafting the response plan should be decided upon before an emergency occurs. As with risk reduction, the steps you take to prepare for an emergency or disaster *before* its occurrence affects the magnitude of its impact upon your community.

Another helpful tool for developing a response plan, or Emergency Operations Plan (EOP), is available through the Department of Homeland Security. The *Local and Tribal NIMS Integration* document was created by the NIMS Integration Center and the Office of Grants and Training. This document provides guidance on the development of local EOPs and the integration of the National Incident Management System standards. Figure 2 is a sample progression of EOP development and the cross walk to the development of operating procedures.

A key point with the figure at right is the fact that plans are “tied” or supported by guides or operating procedures. The development of the procedures is a component to be in compliance with NIMS. More information on NIMS compliance can be found in the pages to follow.

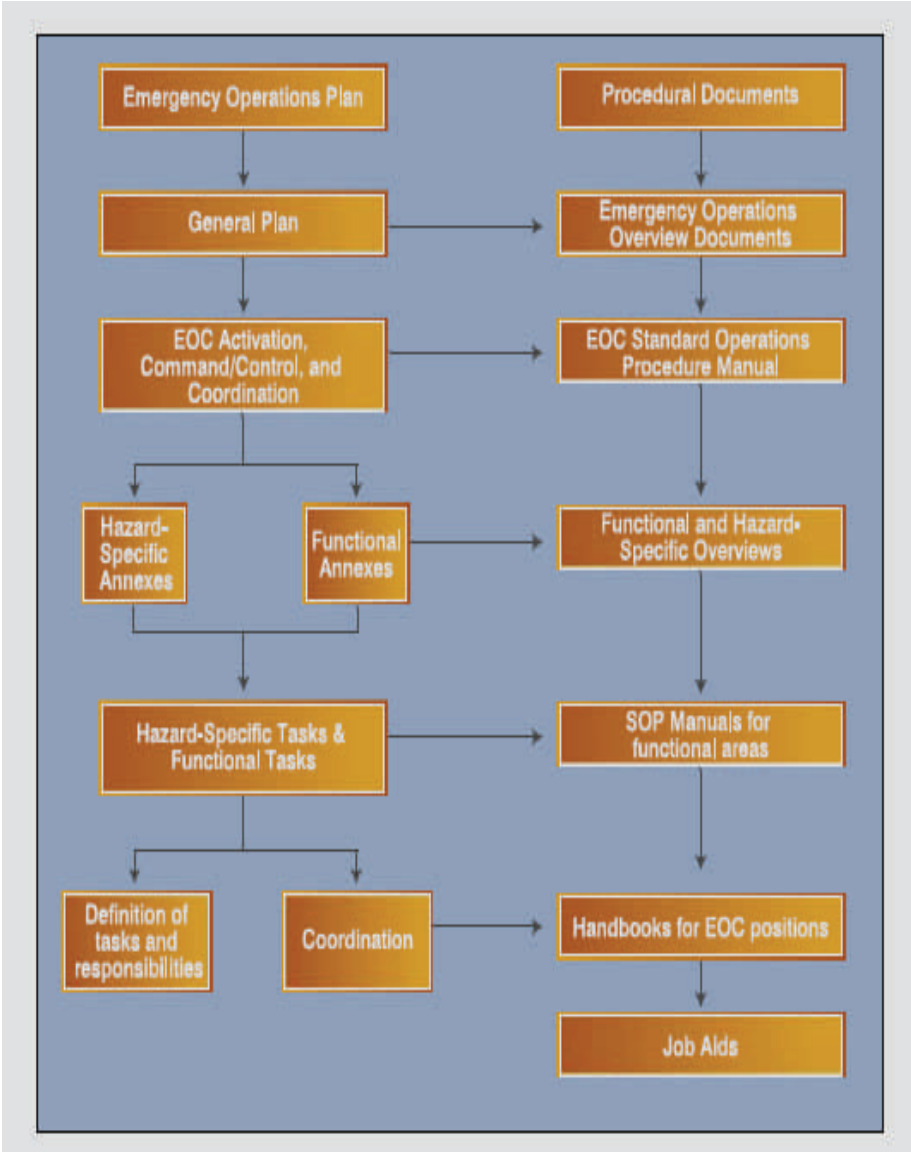


Figure 2. FEMA Local and Tribal NIMS Integration Version 1.0

Recent Changes to Emergency Planning Requirements

The terrorist attacks of 2001 illustrated the need for all levels of government, the private sector, and non-governmental agencies to prepare for, protect against, respond to, and recover from a wide spectrum of events that exceed the capabilities of any single entity. These events require a unified and coordinated national approach to planning and to domestic incident management. To address this need, the President signed a series of Homeland Security Presidential Directives (HSPDs) that were intended to develop a common approach to preparedness and response. Two HSPDs that are of particular importance to emergency planners:

HSPD-5

The purpose of Homeland Security Presidential Directive 5 is to enhance the ability of the nation to manage domestic incidents by establishing a single, comprehensive national incident management system. HSPD-5 directed the Secretary of the Department of Homeland Security to develop a National Incident Management System (NIMS) and a National Response Plan (now known as the National Response Framework or *NRF*).

HSPD-8

The purpose of Homeland Security Presidential Directive 8 is to establish policies to strengthen the preparedness of the nation to prevent and respond to threatened or actual domestic terrorist attacks, major disasters, and other emergencies requiring a national domestic all-hazards preparedness goal, establishing mechanisms for improved delivery of Federal preparedness assistance to State and local governments, and outlining actions to strengthen preparedness capabilities of Federal, State, and local entities.

NIMS

NIMS provides a consistent framework for incident management at all jurisdictional levels, regardless of the cause, size, or complexity of the incident. Established within NIMS, the Incident Command System (ICS) provides the nation's first responders and authorities with the same foundation for incident management for natural, technological and conflict-based emergencies. NIMS requires that ICS be institutionalized and used to manage all domestic incidents.

According to the NIMS Integration Center, "institutionalizing the use of ICS" means that government officials, incident managers, and emergency response organizations at all jurisdictional levels adopt the Incident Command System. Actions to institutionalize the use of ICS take place at two levels—policy and organizational/operational.

At the policy level, institutionalizing ICS means government officials:

- Adopt ICS through executive order, proclamation or legislation as the jurisdiction's official incident response system.
- Direct incident managers and response organizations in their jurisdictions to train, exercise, and use ICS in their response operations.

At the organizational/operational level, incident managers and emergency response organizations should:

- Integrate ICS into functional, system-wide emergency operations policies, plans, and procedures.
- Provide ICS training for responders, supervisors, and command-level officers.
- Conduct exercises for responders at all levels, including responders from all disciplines and jurisdictions.

NIMS integrates existing best practices into a consistent, nationwide approach to domestic incident management that is applicable at all jurisdictional levels and across functional disciplines. Six major components make up the NIMS system approach:

- 1) Command and Management - NIMS standard incident command structures are based on three key organizational systems:
 - Incident Command System: ICS defines the operating characteristics, interactive management components, and structure of incident management and emergency response organizations engaged throughout the life cycle of an incident.
 - Multiagency Coordination Systems: Multiagency Coordination Systems define the operating characteristics, interactive management components, and organizational structure of supporting incident management entities engaged at the Federal, State, local, Tribal, and regional levels through mutual-aid agreements and other assistance arrangements.
 - Public Information Systems: Public information systems refer to processes, procedures, and systems for communicating timely and accurate information to the public during crisis or emergency situations.

- 2) Preparedness - Effective incident management begins with a host of preparedness activities conducted on a “steady-state” basis, well in advance of any potential incident. Preparedness involves an integrated combination of planning, training, exercises, personnel qualification and certification standards, equipment acquisition and certification standards, and publication management processes and activities.
- 3) Resource Management - NIMS defines standardized mechanisms and establishes requirements for processes to describe, inventory, mobilize, dispatch, track, and recover resources over the life cycle of an incident.
- 4) Communications and Information Management: NIMS identifies the requirements for a standardized framework for communications, information management (collection, analysis, and dissemination), and information sharing at all levels of incident management.
- 5) Supporting Technologies: Technology and technological systems provide supporting capabilities essential to implementing and refining NIMS. These include voice and data communications systems, information management systems (e.g., recordkeeping and resource tracking), and data display systems. Also included are specialized technologies that facilitate ongoing operations and incident management activities in situations that call for unique technology-based capabilities.
- 6) Ongoing Management and Maintenance: This component establishes an activity to provide strategic direction for and oversight of NIMS, supporting both routine review and the continuous refinement of the system and its components over the long term.

Oneida County, 2005—Briefing for Chronic Wasting Disease operation



The National Response Framework (NRF)

The *National Response Framework* presents the guiding principles that enable all response partners to prepare for and provide a unified national response to disasters and emergencies – from the smallest incident to the largest catastrophe. This important document establishes a comprehensive, national, all-hazards approach to domestic incident response.

The *Framework* defines the key principles, roles, and structures that organize the way we respond as a Nation. It describes how communities, tribes, States, the Federal Government, and private-sector and nongovernmental partners apply these principles for a coordinated, effective national response. It also identifies special circumstances where the Federal Government exercises a larger role, including incidents where Federal interests are involved and catastrophic incidents where a State would require significant support. The *Framework* enables first responders, decision makers, and supporting entities to provide a unified national response.

In recent years, our Nation has faced an unprecedented series of disasters and emergencies, and as a result our national response structures have evolved and improved to meet these threats. The *National Response Framework* reflects those improvements and replaces the former *National Response Plan (NRP)*.

This *Framework* represents a natural evolution of the national response architecture. Although the *NRP* was originally called a plan, it was actually a framework written to guide the integration of local, tribal, State, and Federal response efforts. By adopting the term “framework” within the title, this document is now more accurately aligned with its intended purpose.

What These Changes Mean To You

Depending on your jurisdiction, the changes to the emergency planning requirements may mean little—or a lot. Minimally, the changes mean that your jurisdiction must:

- Use ICS to manage all incidents, including recurring and/or planned special events.
- Integrate all response agencies and entities into a single, seamless system, from the Incident Command Post, through Department Emergency Operations Centers (DEOCs) and local Emergency Operations Centers (EOCs), through the State EOC to the regional- and national-level entities.
- Develop and implement a public information system.
- Identify and type all resources according to established standards.
- Ensure that all personnel are trained properly for the job(s) they perform.
- Ensure communications interoperability and redundancy.

Consider each of these requirements as you develop or revise your jurisdiction’s CEMP.

Step 6. Planning For Recovery

When emergency response activities end, there may be a need to further assist disaster victims, and restore the impacted areas of the community. *Recovery* planning involves two phases: short-term efforts involve returning essential services to their pre-emergency state; long-term efforts involve community reconstruction, which may also correct the adverse conditions or inadequacies that led to the damage.

Although much of the recovery planning effort may take place after an incident occurs, planning out the recovery process and identifying necessary personnel and resources can be done in advance; as well as planning the method of conducting damage assessments. A **Damage assessment** is necessary to obtain state or federal disaster assistance, and it is essential for both short-and long-term recovery planning efforts. Damage assessment involves organizing a team to survey and inspect damaged facilities and infrastructure. From the information collected, determinations can be made regarding the costs and necessity of repairs and replacement. The need for state or federal assistance may also be concluded. FEMA requires separate damage assessments for Public Assistance (PA) and Individual Assistance (IA). PA assessments evaluate damage to public infrastructure in order to obtain funding under the FEMA PA program, while IA assessments evaluate damages to privately owned homes and businesses to obtain funding under FEMA's IA program.

The plan should establish both PA and IA damage assessment teams and identify prospective members of the teams, if not by name and title, at least by the type of expertise. This may include personnel that often do not play a role in the response effort, such as architects and engineers, insurance agents, tax assessors, and building inspectors. Damage assessment teams will require training on survey methods and the forms used before they are deployed, and should be prepared to participate with state and federal personnel in developing damage assessments.



Delaware County, June 2007 Flash Floods — road washed away by flood.

Although a disaster can cause personal tragedy and public hardships, a disaster may also create an opportunity for the community to make improvements and become more disaster resilient. A disaster may cause the demolition of unsafe deteriorating structures or facilitate the clearing of flood plains and streams that would otherwise be difficult to achieve by means of the normal regulatory or budgetary process.

The restoration process must also consider the need to reduce future impacts. Proper application of building codes, standards and zoning regulations can significantly reduce the impact of future events. While private insurance may pay for the cost to rebuild soon after the disaster, these funds are generally used to rebuild to the same standards in the same location. The best way to effectively use building codes or zoning regulations to reduce the impact of future events is to have a plan in place prior to the start of reconstruction. Initiating reconstruction efforts in the absence of a plan is rarely as effective and can result in repetitive damage and increased costs for recovery from recurring events.

Step 7. Community Involvement

Community involvement is vital to the success of the emergency planning process. Keeping the public informed about the potential risks to their community may not only help to save lives but will also help in the development and approval of your emergency plan. The State Executive Law (Article 2-B, Section 23) requires that localities seek the cooperation, advice and assistance of numerous officials and agencies, including the general public in plan development. One means for receiving advice and providing information is to conduct a public hearing on the plan.

Once the plan has been drafted, it should be made available to the public for their input. External review of the plan, before it is submitted for approval, will help to legitimize authority and facilitate community acceptance. Activities that encourage community involvement at different stages in the planning process can build a consensus. Community outreach can improve the soundness of the plan by increasing public input. It will also expand public understanding of the contents of the plan and thus improve the effectiveness of response during an actual emergency. Your planning team should devise a process to receive, review, and respond to the comments of external reviewers.

Involving the community does not stop once the planning process is over. After the plan is approved, your jurisdiction should develop a system of informing and educating its citizens about the contents of the plan and its application during an emergency. The finalized copy should be distributed to all groups that were involved in its development and or assigned roles and responsibilities in the plan. A copy can be kept at a library or another public place where the public will have access to it. Key parts can be included in the local phone directory.

Step 8. Exercise to Test Plan

An exercise is an activity designed to evaluate the utility of a jurisdiction’s response plans and its operational capabilities. Exercising will also help to train emergency personnel to effectively carry out their responsibilities during an emergency. The agencies identified in the plan must have the appropriate training and be fully prepared to respond to an incident. Preparedness to ensure that these emergency responders “do the right thing at the right time” is developed by a repetitive cycle of planning, training, and exercising.

An exercise is of little value without involvement from the organizations and key personnel with an actual role in emergency response. Exercises should involve the jurisdiction’s Chief Executive, department heads and their key staff, as well as representatives from the private sector, the information media, hospitals, utilities, and volunteer groups. Your jurisdiction should also consider multi-jurisdictional exercises that involve neighboring localities and/or higher levels of government.

The foundation of exercise design is identifying the objectives and capabilities that will be tested. The national standard methodology for exercise design, development, conduct, evaluation, and improvement planning is called the **Homeland Security Exercise and Evaluation Program (HSEEP)**. Your jurisdiction’s emergency plan should designate who (by title or function) will be responsible for the development of a plan for training, drills, and exercises. Development of this plan can be accomplished by conducting a Training & Exercise Planning Workshop (TEPW).

There are seven types of exercises defined within HSEEP, each of which is either discussion-based or operations-based.



More information on HSEEP can be found on page 57, under additional references.

Discussion-based Exercises familiarize participants with current plans, policies, agreements and procedures, or may be used to develop new plans, policies, agreements, and procedures. Types of Discussion-based Exercises include:

Seminar. A seminar is an informal discussion, designed to orient participants to new or updated plans, policies, or procedures (e.g., a seminar to review a new Evacuation Standard Operating Procedure).

Workshop. A workshop resembles a seminar, but is employed to build specific products, such as a draft plan or policy (e.g. a Training and Exercise Plan Workshop is used to develop a Multi-year Training and Exercise Plan).

Tabletop Exercise (TTX). A tabletop exercise involves key personnel discussing simulated scenarios in an informal setting. TTXs can be used to assess plans, policies, and procedures.

Games. A game is a simulation of operations that often involves two or more teams, usually in a competitive environment, using rules, data, and procedure designed to depict an actual or assumed real-life situation.



Woodstock, 1999—State and local officials work together in command post.

Operations-based Exercises validate plans, policies, agreements and procedures, clarify roles and responsibilities, and identify resource gaps in an operational environment. Types of Operations-based Exercises include:

Drill. A drill is a coordinated, supervised activity usually employed to test a single, specific operation or function within a single entity (e.g., a fire department conducts a decontamination drill).

Functional Exercise (FE). A functional exercise examines and/or validates the coordination, command, and control between various multi-agency coordination centers (e.g., emergency operation center, joint field office, etc.). A functional exercise does not involve any "boots on the ground" (i.e., first responders or emergency officials responding to an incident in real time).

Full-Scale Exercises (FSE). A full-scale exercise is a multi-agency, multi-jurisdictional, multi-discipline exercise involving functional (e.g., joint field office, emergency operation centers, etc.) and "boots on the ground" response (e.g., firefighters decontaminating mock victims).

After Action Reporting is critical to the exercise process to identify and document strengths and areas for improvement. Corrective actions are identified and documented in an Improvement Plan and implemented through a structured Corrective Action Program (CAP), which identifies the specific and measurable improvements or corrections and assigns responsibilities for follow-through. Amongst the corrective actions may be changes to the plan. The plan should be amended according to the lessons learned. Provisions should be made in your jurisdiction for follow-up exercises that identify whether or not the deficiencies were corrected.

Step 9. Plan Approval

Once your planning team has prepared a draft of the emergency plan, it should be approved by your jurisdiction. Before its submission, the planning team should conduct a final review of the plan, assessing its adequacy and completeness.

When submitting the final plan, your planning team should identify and comply with any local or state requirements for formal plan approval. The planning team typically works for the jurisdiction's Chief Executive Officer, who should be given the opportunity to approve, revise, or disapprove the plan. State Executive Law, Article 2-B gives the ultimate responsibility for emergency planning to the local legislative body, who should be the final promulgators of the plan, publicly declaring its acceptance. Following local approval, the plan must be submitted to the State Disaster Preparedness Commission via your SEMO Regional Office.

Step 10. Review and Update of the Plan

Producing the emergency plan does not mean the end of the planning process. Your jurisdiction should avoid the initial reaction to put the plan on the shelf. Effective emergency preparedness requires a continual process of plan review and revision. All emergency plans can become outdated because of social, economic, and environmental changes.

An outdated plan can be dangerous to both emergency responders and the public, and could lead to increased legal liability. The plan itself should assign one reliable organization or group the responsibility for review and overall stewardship of the plan. Continued use of the planning team for this role is appropriate, but may not be a viable option due to the long term commitment needed for this function.

Your jurisdiction should establish a regular review period. Keeping the plan updated should not be a difficult task, it can be achieved by scheduling periodic evaluations - at least once a year, preferably. But, if your community faces a significant number of risks, then reviewing the plan more often may be necessary.

In addition, some of the hazards identified in your analysis may change (i.e. increase or decrease in ranking) depending on the time of year. Your planning team may want to consider anticipating these seasonal changes and review plans accordingly.

When reviewing and updating the plan, your jurisdiction should also conduct a review of its hazards and capabilities. It should assess any new risks, possibly resulting from land development or changes in land use. It is also important to re-inventory the resources within the community. Revisions of the plan should also reflect any changes in demographics, economy, available technology, laws and ordinances, and development.

The emergency plan must also be evaluated and kept up-to-date through the review of actual responses and simulation exercises. Periodic revisions of the written plan will accomplish nothing unless emergency services are continually trained in response activities and the processes outlined in the revised plan. Conducting regular exercises will help to ensure that your jurisdiction's responders are experienced and prepared for any hazard that could threaten your community.

Planning for a Terrorist Incident

The planning process described can lead to the development of a community master plan, the Comprehensive Emergency Management Plan (CEMP), see page 52. Hazard-specific Annexes can be developed using the same planning process. A hazard-specific plan or annex should be consistent with the CEMP.

Planning for terrorism can be extremely challenging. Terrorism is unlike any other hazard. It is one with motive employing strategy, and whose aim may be to find soft spots in a community’s defenses to maximize casualties. Both the public and emergency responders can be terrorist targets. Thus, Steps 2 and 3 of the planning process, Hazard Analysis and Risk Reduction, are most critical to the effort of stopping terrorism before it strikes.

Planning should address both the F.B.I. threat levels, as well as the Homeland Security Advisory System. Plans should identify what steps are taken at the different levels.

Community vigilance is necessary to detect unusual circumstances which may be signals of approaching terrorism, plots and attempts. Monitoring key indicators such as hospital emergency room admission trends, Infection Control program (ICP) reports, hospital laboratory reports, electronic mortality data, unusual purchasing, and school attendance records can be part of an ongoing sentinel network to detect a terrorist incident when there are no other overt signs.

Plans should identify how the municipality will handle terrorist warnings. How are threats evaluated? Who makes the decision of whether or not to release that information? Once the decision is made to provide a warning, how will that information be disseminated, and to whom?

The Homeland Security Advisory System is designed to guide our protective measures when specific information to a particular sector or geographic region is received. It combines threat information with vulnerability assessments and provides communications to public safety officials and the public.



Public information management will be crucial during any terrorist incident. Of utmost importance is ensuring that an accurate, coordinated message is provided to the public. Proper coordination with the media will enable incident command to speak with a unified voice and provide timely, accurate information to the public.

Management of a terrorist incident will pose challenges for all levels of government. Local plans should allow for the integration of State and Federal resources into the response structure. Additionally, in the event of a bio-terrorist attack, you should identify how you will manage an incident that has no easily defined scene.

Plans should identify what steps or actions will be taken to protect responders as well as the public in the event of a terrorist attack. These events may last many days, planning for respite care for emergency responders is crucial.

Planning for mass care may provide challenges to the community. An analysis of the potential targets in our community may help identify what your mass care needs might be. Unlike other emergencies, people may not be able to seek shelter with friends and relatives due to a widespread crime scene, or the possible use of Weapons of Mass Destruction (WMD).

Most challenging is the need to plan for health and medical needs. Victims exposed to hazardous agents will pose problems for the healthcare system. The numbers of casualties, including fatalities, physical injuries, and psychological trauma, could easily exceed the capacity of the local healthcare system, requiring significant outside mutual aid. Additionally, communities need to plan for the receipt and distribution of supplies from the Strategic National Stockpile.

The Comprehensive Emergency Management Plan remains the cornerstone of your emergency planning program. The response to any emergency, including terrorism, will be guided by the framework established in the CEMP. Unique, hazard-specific concerns should be addressed in an annex to the plan.

3

PLANS, AUTHORIZED AND REQUIRED

The following is a list and description of emergency plans authorized or required by state or federal law, as well as a suggested role for the county Emergency Manager in each plan's development:

1. **DISASTER PREPAREDNESS PLAN**, aka Comprehensive Emergency Management Plan (CEMP), Emergency Operations Plan (EOP), State Emergency Assistance program (SEAP) Plan, Disaster Plan.

Legal Basis: NYS Executive Law, Article 2-B, Section 23.

Counties, cities, towns and villages are authorized, but not required, to develop a Disaster Preparedness Plan. However, for a municipality to be eligible for State Emergency Assistance Program (SEAP) funds under Article 2-B, such a plan must be completed. To date, such funds have been made available only during the 1993 State fiscal year.

SEMO has developed an instructional, model Comprehensive Emergency Management Plan (CEMP) for counties which conforms to the requirements of Article 2-B. It is comprehensive in three ways: it applies to all hazards; it encompasses the phases of emergency management spelled out in Article 2-B (prevention, mitigation, response, and recovery); and it serves as the county's umbrella emergency plan under which all other emergency plans and procedures can be integrated. The instruction and model may also be applied in the development of a CEMP for a major city, but may be too prodigious for smaller cities, towns and villages. A model town plan is also available.

If a Disaster Preparedness Plan is developed under the authority of Article 2-B, it must contain, at a minimum, the 24 elements listed in Section 23 of the Executive Law. Numerous local entities must be consulted during the development of such a plan, including the public. When a Disaster preparedness Plan is completed or revised, it must be submitted to the State Disaster Preparedness Commission by December 31 of the year the work was undertaken.

Article 2-B places the authority and responsibility for developing such a plan with the legislative body of the local government.

Role of Emergency Manager: This plan, the county's primary emergency plan, can be a major and primary responsibility of the Emergency manager (the legislative body, ultimately responsible, creates the emergency management office for this and other purposes). Most county agencies should have significant input into plan development, all coordinated by the Emergency Manager or a planning team leader. Plan maintenance and exercising can also require major efforts by the Emergency Manager.

2. PLAN OF CIVIL DEFENSE, aka Civil Defense (CD) Plan, Emergency Operations Plan (EOP).

Legal Basis: NYS Defense Emergency Act, Section 22.

Each county and city is required to develop a Plan of Civil Defense. A consolidated county-city Civil Defense Office can develop a consolidated county-city civil defense plan. The plan must conform to the requirements of the Civil Defense Commission. Section 22 places the authority and responsibility for developing such a plan with the Chief Executive Officer of the city or county.

In 1976 SEMO (then the NYS Office of Disaster Preparedness), acting for the Civil Defense Commission, distributed to counties and unconsolidated cities a model Emergency Operations Plan (EOP) that met the requirements of the Defense Emergency Act in terms of nuclear attack and also addressed peacetime hazards. Each local Emergency Management Office was required, at that time, to adopt this model EOP. Also, at that time, crisis relocation plans became annexes to the EOP. Following the passage of Article 2-B, and the development of the model Comprehensive Emergency management Plan (CEMP) in the early 1980s, attack related planning elements required by the Defense Emergency Act, including mass evacuation and in-place shelter, were incorporated into the new CEMP model (see under #1 above). As a result, the civil defense oriented EOP became obsolete, although a few jurisdictions still maintain it.

Role of Emergency Manager: As civil defense director, this plan had historically been a major and primary responsibility of the Emergency Manager. With the de-emphasis in civil defense and the incorporation of civil defense in the CEMP, it remains a responsibility of the Emergency manager, albeit a minor one.

3. COMPREHENSIVE EMERGENCY RESPONSE PLAN, aka SARA Title III Plan, Hazardous Materials (HazMat) Plan, EPCRA Plan.

Legal Basis: Federal Emergency Planning and Community Right-to-Know Act (EPCRA), aka SARA Title III, Section 303.

In New York State, New York City and each county outside of New York City is an Emergency Planning District. Each Emergency Planning District is required to develop a comprehensive emergency response plan focusing on responses to chemical releases from facilities with extremely hazardous substances. The State has appointed a Local Emergency Planning Committee (LEPC) for each Emergency Planning District which is responsible for developing such a plan. LEPCs are entities of State government.

SEMO distributed to LEPCs the “Title III Planning Guide and Model Plan” which, if followed, would make the plan an Annex to the county Comprehensive Emergency management Plan (CEMP, see under #1 above). Title III plans must be reviewed at least annually by the LEPC.

Role of Emergency Manager: As an LEPC member, the Emergency Manager may play a significant role in plan development, especially in ensuring compatibility with the CEMP (of which it is an Annex) and other county plans. The Emergency Manager should not assume full responsibility for this plan.

4. PLAN FOR HAZARDOUS MATERIALS INCIDENT RESPONSE aka HazMat plan.

Legal Basis: NYS General Municipal Law, Section 204(f).

Each county and the City of New York is required to develop a plan for the fire service response to hazardous materials incidents. This fire service plan must be consistent with planning guidance that has been distributed by the State Office of Fire Prevention and Control (OFPC). Each plan is submitted to OFPC for approval.

Role of Emergency Manager: Should ensure compatibility with CEMP and other county plans.

5. EMERGENCY RESPONSE PLAN, aka OSH 1910.120 Plan, HAZWOPER Plan.

Legal basis: Federal Superfund Amendments and Reauthorization Act (SAR) Title I, Section 126; 29 CFR 1910.120 (Hazardous Waste Operations and Emergency Response); NYS Labor Law, Article 2, Section 270-a (Public Employee Safety and health Act).

Requires employers to develop plans to protect employees who might respond to a release, or threat of release, of a hazardous substance. Typically, emergency response organizations such as police, fire, public works, and emergency medical agencies are covered by this regulation. Also, if a hazardous chemical is stored at the worksite, such a plan is required if employees would respond to a release, other than in a routine janitorial cleanup. If employees are instructed not to respond to a release, but to evacuate the worksite instead, an employee evacuation plan pursuant to 29 CFR 1910.38 is required.

In New York this regulation applied to both the private and public sector, including volunteer agencies. Eleven required elements of the 190.120 plan are listed in the regulations. The regulations permit the substitution of SARA Title III plan components if they fully address the required element. SEMO has distributed a sample 1910.120 plan and planning guide for public agencies.

Role of Emergency Manager: May have advisory and coordinating role to county and local government agencies. If Emergency Management Office is a HazMat responder, specific plan may need to be developed for that office.

6. RISK MANAGEMENT PLAN

Legal Basis: Federal Clean Air Act, Section 112(r); 40 CFR Parts 9 and 68.

Facilities with certain quantities of toxic, flammable, or explosive substances must establish a risk management (accident prevention) program and develop a risk management plan including hazard assessment and risk minimization. Plans are to be completed by June 20, 1999.

Risk management plans are submitted to LEPCs for informational purposes.

Role of Emergency Manager: As these plans identify vulnerable areas near facilities, Emergency Managers may have a keen interest in these plans. However, this interest can be assumed by the LEPC, of which the Emergency Manager should be a member.

7. AREA CONTINGENCY PLAN

Legal Basis: Federal Oil Pollution Act (Clean Water Act, Section 311(j)(4)).

Area Contingency Plans are plans of the federal government addressing responses to spills of petroleum and hazardous substances on or near inland and coastal waterways. The Coast Guard (for coastal waters) and EPA (for inland waters) have appointed Area Committees to develop such plans. These area committees are entities of the federal government.

In New York, the Coast Guard has established two Area Committees: one covering the coastal waters from Lake Erie to the St. Lawrence Seaway (including Chautauqua, Erie, Niagara, Orleans, Monroe, Wayne, Cayuga, Oswego, Jefferson, and St. Lawrence counties); the other covering the Long Island Coast and the Hudson River from NYC to Troy (including Suffolk, Nassau, Westchester, Rockland, Putnam, Orange, Dutchess, Ulster, Columbia, Greene, Rensselaer, and Albany counties and the City of New York). Subcommittees have been established to address local situations.

EPA has established one Area Committee covering the entire State's inland waters.

On-shore facilities that pose potential harm to the water environment are required to develop a Facility Response Plan.

LEPCs may play a support and resource role in Area Contingency Plan development. Area Contingency Plans are submitted to the U.S. President for review and approval.

Role of Emergency Manager: Emergency Manager may be part of Area Committee or subcommittee, or may be contacted by Area Committee to identify response resources in the area. Like the Risk Management Plans (# 6 above) these activities can be assumed by the LEPC.

8. DAM FAILURE EMERGENCY ACTION PLAN (EAP)

Legal Basis: Various federal authorities, including FERC regulations under 18 CFR.

As a condition of licensing a hydroelectric plant, the Federal Energy Regulatory Commission (FERC) requires the licensee (usually the dam owner) to develop a plan for the safety and protection of downstream populations and property in the event of a dam failure. This plan includes a dam break analysis depicting the area that would be inundated and the arrival time of flood waters.

Similar plans are required for U.S. Army Corp of Engineers, U.S. Department of Agriculture Soil Conservation Service, and U.S. Department of Interior, Bureau of Reclamation owned or regulated dams. Non-federally regulated dams in New York are not required to have emergency plans many do.

FERC has issued “Guidelines for Preparation of Emergency Action Plans”; the federal Interagency Committee on Dam Safety (ICODS) has published “Emergency Action Planning Guidelines for Dams,” and SEMO has distributed a model Dam Failure Emergency Action Plan.

Role of Emergency Manager: Should be contacted concerning alert and notification requirements. Should receive copy of plan draft for review and final copy for reference. May on own initiative develop or call for the development of public protection procedures (e.g., evacuation plan) for inundation areas. Typically, this is not covered in the dam owner developed EAP.

9. CROWD CONTROL PLAN

Legal Basis: NYS Labor Law, Section 475.

Places of assembly with a capacity of 5,000 or more used for the purpose of sporting events or musical presentations must prepare a Crowd Control Plan. The facility operator is responsible for developing the plan and filing it with the State Emergency management Office. Upon receipt SEMO advises the facility to provide a copy to the County Emergency Manager. SEMO has distributed a “Crowd Control Planning Guide.”

Role of Emergency Manager: May provide advice and assistance to facility in plan development.

10. RADIOLOGICAL EMERGENCY RESPONSE PLAN an annex to the State Disaster Preparedness Plan, aka REP Plan, Nuclear Power Plant Plan.

Legal Basis: Federal Atomic Energy Act; 10 CFR Parts 50 and 70; NUREG-0654; 44 CFR Part 350.

In order to be licensed, commercial nuclear power plants are required to demonstrate to the NRC that emergency preparedness, both on-site and off-site, is adequate. FEMA reviews the adequacy of off-site plans and reports to the NRC.

In New York, off-site plans for commercial reactors are included in the State Radiological Emergency preparedness Plan. This plan includes a State portion and separate county plans for the seven counties (Monroe, Wayne, Oswego, Orange, Putnam, Rockland, and Westchester) within the 10-mile Emergency Planning Zones.

Role of Emergency Manager: For the seven involved counties, plan development, maintenance and exercising is a major and primary role.

11. LOCAL RECOVERY AND REDEVELOPMENT PLAN

Legal Basis: NYS Executive Law, Article 2-B, Section 28-a.

Whenever a State Disaster Emergency has been declared by the governor, each county, city, town, and village in the disaster area is required to prepare a recovery and redevelopment plan. The required content of this plan is listed in Section 28-a (3).

Within 15 days following the disaster declaration, the municipality must report to the DPC whether or not it has begun plan development. Plans must be completed and submitted to the DPC within 45 days of the declaration. The DPC must comment on the plan within 10 days of submittal. After receiving DPC comments, the municipality must hold a public hearing on the plan and adopt it within 10 days. Within 60 days of the declaration, the DPC must report to the Governor and Legislature the status of the plans, and identify any municipality failing to commence plan development.

The legislative body of the municipality is responsible for plan development.

If such a plan is unnecessary or impractical, a municipality may forego the development of it only if it notifies the DPC of its intent not to develop such a plan; and following notification to the DPC, the legislative body of the municipality makes a determination that the development of the plan is either unnecessary or impractical.

Role of Emergency Manager: If such a plan is to be developed at the county level, the Emergency Manager may have a significant if not major role. If developed at the municipal level, the Emergency Manager may have an advisory role. In all situations, including a determination that such a plan is not necessary, the Emergency Manager should provide information on the requirements of this provision. The county Hazard Mitigation Officer should also play an advisory role in plan development.

12. SCHOOL SAFETY PLANS

Legal Basis: State Education Law, Section 2801-a and Regulations of the Commissioner of Education.

Every School District, BOCES and County Vocational Education and Extension Board must adopt a District-wide School Safety Plan and Building-level Emergency Response Plan by July 1, 2001, and update the plans annually. The Plans must be comprehensive multi-hazard plans, developed by planning teams. School building-level emergency response must be organized according to NIMS ICS.

The State has distributed the “Guidance Document for School Safety Plans” which is available on the SEMO website.

Role of Emergency Manager: May be asked to provide advice and assistance in plan development, particularly in identifying potential hazards, notification procedures, and interagency coordination.

13. HOSPITAL DISASTER PLAN

Legal Basis: 10 NYCRR 405.24.

Every hospital in New York State is required to develop a disaster plan. The plan contents are described in the regulations. Each hospital must exercise and update the plan twice annually.

Role of Emergency Manager: May be asked to provide advice and assistance in plan development and exercising.

14. NURSING HOME DISASTER PLAN

Legal Basis: 10 NYCRR 415.26.

Every nursing home in New York State is required to develop a disaster plan the contents of which are described in the regulations. This plan is to be updated at least twice annually.

Role of Emergency Manager: May be asked to provide advice and assistance in plan development.

15. ADULT CARE FACILITY DISASTER/EMERGENCY PLAN

Legal Basis: 18 NYCRR 485.6 (f).

Every applicant to operate an adult home, residence, or shelter must submit to the State Department of Social Services a “disaster and emergency plan.” The regulations do not specify the contents.

Role of Emergency Manager: May be asked to provide advice and assistance in plan development particularly in regard to potential hazards.

16. LONG TERM CARE FACILITY FOR THE MENTALLY RETARDED, EMERGENCY PLAN

Legal Basis: 42 CFR 483.470(h), (i).

As a condition of federal funding each facility in New York “must develop and implement detailed written plans and procedures to meet all potential emergencies and disasters such as fire, severe weather, and missing clients.”

In addition, evacuation drills must be conducted at least quarterly; or each shift. At least one drill each year for each shift must actually evacuate clients.

Role of Emergency Manager: May be asked to provide advice and assistance in plan development particularly in regard to potential hazards.

17. ELECTRIC UTILITY STORM PLANS

Legal Basis: Public Service Law, Sec. 66; 16 NYCRR 105.

Each electric power corporation in New York must file with the Public Service Commission a plan describing how the utility would restore electric power following a power outage caused by a major storm. The required contents of the plan are described in the regulations.

Role of Emergency Manager: Should be contacted regarding utility coordination with emergency services in the county.

18. SOLID WASTE MANAGEMENT FACILITY CONTINGENCY PLAN

Legal Basis: 6 NYCRR 360-1.9(h); 6 NYCRR 360.1.14(g).

Every applicant for a permit to operate a solid waste facility must submit to the state Department of Environmental Conservation (DEC) a Contingency Plan dealing with emergency situations at the facility. The required elements of the plan are listed in the regulations. Once approved by the DEC, the plan must be implemented for emergencies in accordance to the terms of the plan. In addition to the above, the following solid waste management facilities have additional contingency planning requirements in the regulations:

- Landfills—6NYCRR 360-2.10, 360-2.189(f)
- Solid Waste Incinerations/Refuse—Derived Fuel Processing Facilities/Solid Waste Pyrolysis Units—6 NYCRR 360-3.3(k)
- Medical Waste Facilities—6 NYCRR 360-10.3(g)
- Medical Waste Treatment Facilities—6 NYCRR 360-17.3(k)
- Tire Dumps—6 NYCRR 360-13.2(h)
- Used Oil Facilities—6 NYCRR 36014.3(k)

Role of Emergency Manager: These plans must include arrangements between the facility and emergency services personnel for coordinating emergency response including familiarizing emergency services personnel with the facility and its hazards. The Emergency Manager should be contacted in this regard.

19. HAZARDOUS WASTE FACILITY CONTINGENCY PLAN

Legal Basis: 6 NYCRR 373-2.4.

Every applicant for a permit to operate a hazardous waste treatment, storage, or disposal facility must prepare and be able to implement a contingency plan with emergency procedures “designed to minimize hazards to human health or the environment from fires, explosions, or any unplanned sudden or non-sudden release of hazardous waste...” The required elements of the plan are listed in the regulations.

The plan must describe arrangements with local emergency services agencies to coordinate emergency response. Copies of the plan must be submitted to local emergency services agencies.

Role of Emergency Manager: Should be contacted in regard to the need to coordinate response and should be provided with a copy of plan. Plan must assess potential public hazards at the facility and Emergency Manager should be cognizant of this.

20. RADIOACTIVE WASTE FACILITY EMERGENCY RESPONSE PLAN

Legal Basis: 6 NYCRR 383-12.2

Every radioactive waste facility with a Department of Environmental Conservation permit must develop an “emergency response plan for responding to on-site emergencies that could adversely affect the environment or public health and safety...”

The required elements of the plan are extensive and described in the regulations. The plan is to classify emergencies on-site according to action levels and include provisions for making protective action recommendations to local emergency responders. Annual exercises are required involving local emergency responders.

Role of Emergency Manager: Should be contacted in regard to plan development and invited to participate. Should be familiar with facility emergency notification and protective action procedures. Should be provided a copy of the plan.

21. WATER SUPPLY EMERGENCY PLANS

Legal Basis: Public Health Law, Sec. 1125; 10 NYCRR 5-1.33; Sec. 401 of the Public Health Security and Bioterrorism Preparedness and Response Act of 2002.

State law requires every community water system with a gross annual operating revenue of more than \$125,000 to submit a water supply emergency plan. The plan shall identify and outline steps necessary to ensure that potable water is available during all phases of a water supply emergency.

Federal law requires all community water systems serving more than 3,300 people to prepare an emergency plan.

Several counties in New York State have adopted regulations extending emergency planning requirements to smaller systems, so check your county code as well.

Role of Emergency Manager: May be asked to provide advice and assistance in plan development.

22. AIRPORT EMERGENCY PLAN

Legal Basis: 14 CFR 139.325

Every airport with an FAA-issued certificate of operation must develop and maintain an airport emergency plan. The plan addresses all hazards associated with airport operations and potential impacts on the airport. The required plan elements are contained in the regulations. The regulations require annual review session with agencies with emergency responsibilities and a full scale exercise at least every 3 years. The FAA publishes a detailed planning guide, Advisory Circular 150/5200 which is available on line at www2.faa.gov/arp/pdf/520031a.pdf.

Role of Emergency Manager: Participate in annual review with airport operator and tri-annual exercise.

23. LOCAL MITIGATION PLAN

Legal Basis: 44 CFR part 201

Every local government, College or University, Indian Tribe and independent School District should develop and maintain a Mitigation Plan making them eligible for Federal Funding to remove or reduce the threats identified in the plan. Multi-jurisdictional plans are encouraged. The required plan elements are contained in the regulation. The regulation requires annual reviews and a plan update every 5 years. There is funding available on a 75/25% basis to develop and update these plans. This funding is available through SEMO.

Role of Emergency Manager: Participate in plan development and annual reviews.

24. PETS AND SERVICE ANIMALS PLANNING

Legal Basis: (Federal) H.R. 3858 Pet Evacuation and Transportation Standards Act, 2006

Standards for State and Local Emergency Preparedness Operational Plans. Section 613 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5196b) was amended to add the following language:

Under Section 2.613, Subsection (g) - The Director shall ensure that such plans take into account the needs of individuals with household pets and service animals prior to, during, and following a major disaster or emergency.

Under Section 3.611, Subsection (j) —The Director may make financial contributions, on the basis of programs or projects approved by the Director, to the States and local authorities for animal emergency preparedness purposes, including the procurement, construction, leasing, or renovating of emergency shelter facilities and materials that will accommodate people with pets and service animals.

Under Section 4.403, Subsection (j) - Provision of rescue, care, shelter, and essential needs — (i) to individuals with household pets and service animals; and (ii) to such pets and animals.

Legal Basis: (State) A09292A P.E.T.S. Act

Amends State Executive Law, Article 2-B. Provides for state and local disaster preparedness plans to address the needs of individuals with household pets and service animals following a disaster, with particular attention to means of evacuation, shelter and transportation options.

Role of Emergency Manager: Responsible for the development and implementation of operational plans to address the needs of individuals with household pets and service animals; and such pets and animals. Plans should include the provision of evacuation, transportation, rescue, care, shelter, and essential needs.

PUTTING IT ALL TOGETHER...

Obviously, with a multitude of emergency plans there is likely to be much duplication and perhaps even some inconsistencies among the documents. Duplication can be minimized and inconsistencies must be avoided. One method to streamline plans and avoid inconsistencies is to designate one plan as the “master” with all others linked to it. This can be done by establishing the Comprehensive Emergency Management Plan (CEMP) as the master. The master plan spells out the jurisdiction’s overall policy, emergency organization, and response assignments. **All other emergency plans developed for that jurisdiction must be in accordance and consistent with the master plan’s policies, organization and responsibilities.**

Further, to avoid duplication, a plan can summarize or refer to sections of the master instead of repeating each item. For example, the Hazardous Materials Response Plan developed under the Emergency Planning and Community Right to Know Act would become an **annex** to the CEMP. As such, it need not describe in detail the county emergency response organization but can summarize this or simply refer to the appropriate section of the CEMP.



A sample Table of Contents depicting a County CEMP, with its numerous supporting plans, is provided on the next page.



Town of Moriah, June 2005—Severe storm with rain, washed out road.

EMPIRE COUNTY COMPREHENSIVE EMERGENCY MANAGEMENT PLAN

Section I. General Considerations and Planning Guidelines

- A. Policy Regarding Comprehensive Emergency Management
- B. Purpose and Objectives of the Plan
- C. Legal Authority
- D. Concept of Operations

Section II. Risk Reduction

- A. Hazard Analysis and Establishment of Planning Priorities
- B. Policies and Programs to Prevent and Mitigate Hazards
- C. Training of Key Personnel
- D. Public Education and Awareness

Section III. Response

- A. Response Organization and Assignment of Responsibilities
- B. Command Post and Emergency Operations Center
- C. Activation of Response Personnel
- D. Situation Assessment
- E. Declaration of State of Emergency and Emergency Orders
- F. Public Protective Measures
- G. Public Warning and Emergency Information
- H. Emergency Care for Victims
- I. Restoring Vital Services
- J. Resource Management
- K. Agency Procedures

- 1. County Emergency Management
- 2. County Sheriff
- 3. County Health
- 4. County Public Works
- 5. County Fire Coordinator
- 6. County Social Services
- 7. County Bldg. and Grounds Dept.
- 8. Tri-County American Red Cross

Section IV. Recovery

- A. Damage Assessment
- B. Planning for Recovery
- C. Reconstruction
- D. Public Information on Recovery Assistance

APPENDICES

- 1. Plan Review and Updating
- 2. Plan Distribution

ANNEXES

- 1. Hazardous Materials Response Plan
- 2. Dam Failure Plans
- 3. School Emergency Plans
- 4. Empire Electric Storm Plan
- 5. Empire Stadium Emergency Plan
- 6. Terrorist Incident Annex
- 7. Household Pet & Service Animal Plan
- 8. All-Hazard Mitigation Plan

R

HSEEP

The HSEEP website (<http://hseep.dhs.gov>) provides additional information regarding HSEEP Policy and Guidance. Available on the website are the revised versions of HSEEP Volumes I-III, which provide detail and context regarding many of the terms, processes, and requirements described above. Volume IV is a searchable library that provides many of the sample materials described above. The HSEEP Toolkit, which includes the National Exercise Schedule (NEXS) System, Design and Development System (DDS), and Corrective Action Program (CAP) System, allows users to schedule, plan, evaluate and track corrective actions from exercises. In addition, there are several exercise training courses, including independent study (IS-120a, IS-130, etc.), mobile (HSEEP Mobile Course), and residence courses (Master Exercise Practitioner Program) that teach students the principles of exercise planning, conduct, evaluation, and improvement planning.

HSPD-5

<http://www.whitehouse.gov/news/releases/2003/02/20030228-9.html>

The purpose of Homeland Security Presidential Directive 5 is to enhance the ability of the nation to manage domestic incidents by establishing a single, comprehensive national incident management system. HSPD-5 directed the Secretary of the Department of Homeland Security to develop a National Incident Management System (NIMS) and a National Response Plan (now known as the National Response Framework (NRF)).

NIMS

<http://www.fema.gov/emergency/nims/>

NIMS was developed so responders from different jurisdictions and disciplines can work together better to respond to natural disasters and emergencies, including acts of terrorism. NIMS benefits include a unified approach to incident management; standard command and management structures; and emphasis on preparedness, mutual aid and resource management.

NRF

The *National Response Framework* presents the guiding principles that enable all response partners to prepare for and provide a unified national response to disasters and emergencies – from the smallest incident to the largest catastrophe. This important document establishes a comprehensive, national, all-hazards approach to domestic incident response.

HSPD-8

<http://www.whitehouse.gov/news/releases/2003/12/20031217-6.html>

The purpose of Homeland Security Presidential Directive 8 is to establish policies to strengthen the preparedness of the nation to prevent and respond to threatened or actual domestic terrorist attacks, major disasters, and other emergencies requiring a national domestic all-hazards preparedness goal, establishing mechanisms for improved delivery of Federal preparedness assistance to State and local governments, and outlining actions to strengthen preparedness capabilities of Federal, State, and local entities.

4

YOU ARE NOT ALONE

In developing your jurisdiction's emergency plan, assistance is available from the State Emergency Management Office (SEMO) and other State agencies. State emergency planners will guide county officials through the entire 10-step planning process, as described in Section II of this manual. City, town, and villages can take part in this effort through county coordination.

Jurisdictions in need of State assistance in one or more parts of the planning process can obtain help tailored to their needs including:

- **Hazard Analysis**—Computer software to assist in conducting an analysis of local hazards is available at no cost. It examines the specific hazards that are a risk to your jurisdiction. *HAZNY* (Hazard New York) helps the user gain a greater understanding of each hazard and then rates it to determine its overall significance for mitigation and planning purposes. Training is available on how to conduct the analysis using the software.
- **Hazard Specific Guidance**—If a specific hazard requires in-depth planning (e.g., hazardous chemicals, dam failure, earthquake), a State specialist can provide technical assistance. The specialist can meet with your planning team, discuss the risk involved, and help in determining the planning objectives for that particular emergency.
- **Risk Reduction**—Once the hazard analysis identifies significant hazard risks, steps can be taken to reduce them through various risk reduction programs and activities. Examples include: clearance of debris from streams, inspection of dams, or restriction of residential development in hazard prone areas. Risk reduction specialists are available to meet and discuss various mitigation opportunities in your jurisdiction. They can also assist your planning team in developing the risk reduction report (Step 3), which becomes a key part of your emergency plan.
- **Plan Development**—Automated planning guides and instructional, model plans are available in hard copy and on computer disk. SEMO planners are available to assist you in applying the model to your jurisdiction.

YOU ARE NOT ALONE

- **Agency Procedures**—The Standard Operating Guidelines (SOG), or Standard Operating Procedures (SOP) of the various agencies with a role in emergency response are an essential ingredient to an effective plan. State agency counterparts are available to assist local agencies in emergency plan development. For example, the State Department of Social Services will send an emergency specialist to meet with your Social Services Department and assist in developing agency procedures. This can be done selectively with individual agencies or by sending a team of emergency specialists from various state agencies to meet individually with agencies within the jurisdiction.
- **Executive Briefings**—SEMO will brief any local official on emergency planning issues including planning requirements under various statutes, Chief Executive responsibilities, declaring a state of emergency, issuing executive orders, and liability and/or immunity under emergency laws.
- **Training**—SEMO offers a training course on Emergency Planning. Requests for additional training tailored to particular planning needs can also be made.
- **Drills and Exercises**—every emergency plan should be tested and updated on a regular basis. A full range of tests from simple alerting drills to full scale exercises can be conducted for your emergency personnel.
- **City, Town, and Village Plans**—Each municipality should have emergency plans and procedures. Although SEMO does not have the resources to work with each local government, SEMO can provide help through a coordinated effort with your county.

ALL REQUESTS FOR PLANNING ASSISTANCE MUST BE MADE THROUGH THE COUNTY EMERGENCY MANAGEMENT OFFICE TO THE SEMO REGIONAL OFFICE.



A list of county emergency management offices is found in Appendix A.



Essex County, 2005—Firefighters at scene of truck accident on Interstate-87

YOU ARE NOT ALONE



APPENDIX
A

COUNTY EMERGENCY MANAGEMENT OFFICES

ALBANY County
Disaster Preparedness & Civil
Defense
75 Remsen Street
Albany, NY 12047
(518) 765-2352

ALLEGANY County
Office of Emergency Services
4884 State Route 19
Belmont, NY 14813
(585) 268-7658

BROOME County
Office of Emergency Services
Public Safety Facility
153 Lt. VanWinkle Dr.
Binghamton, NY 13905
(607) 778-1911

CATTARAUGUS County
Emergency Services
303 Court Street
Little Valley, NY 14755-1092
(716) 938-9191

CAYUGA County
Emergency Management Office
160 Genesee Street
Auburn, NY 13021
(315) 252-7242

CHAUTAUQUA County
Office of Emergency Services
2 Academy Street Suite A-Room 106
Mayville, NY 14757-1007
(716) 753-4341

CHEMUNG County
Emergency Management Office
103 Washington St.
POB 588
Elmira, NY 14902-0588
(607) 735-8600

CHENANGO County
Emergency Management Office
14 West Park Place
Sheriff's Building
Norwich, NY 13815
(607) 334-5380

CLINTON County
Office of Emergency Services
16 Emergency Services Dr.
Plattsburgh, NY 12903
(518) 561-3370

COLUMBIA County
85 Industrial Track
Hudson, NY 12534
(518) 828-4114

CORTLAND County
Office of Fire & Emergency Management
60 Central Ave.
Cortland, NY 13045-5590
(607) 753-7533

DELAWARE County
Office of Emergency Services
280 Phoebe Lane, Suite 3
Delhi, NY 13753
(607) 746-2000

DUTCHESS County
Office of Emergency Response
392 Creek Road
Poughkeepsie, NY 12601
(845) 471-1414

ERIE County
Emergency Services Dept.
45 Elm St.
Buffalo, NY 14203
(716) 898-3696

ESSEX County
Office of Emergency Services
702 Stowersville Rd., P.O.B. 30
Lewis, NY 12950
(518) 873-6410

FRANKLIN County
Emergency Services
55 Bare Hill Rd.
Malone, NY 12953
(518) 483-1219

FULTON County
Civil Defense
County Complex
2712 State Hwy.
Johnstown, NY 12095
(518) 736-2100

GENESEE County
Office of Emergency Management
Services
7690 State Street
Batavia, NY 14020
(585) 343-5000

GREENE County
Office of Emergency Services
25 Volunteer Dr.
Cairo, NY 12413
(518) 943-2424

YOU ARE NOT ALONE

APPENDIX

A

HAMILTON County
Office of Emergency Services
P.O.B. 605
Lake Pleasant, NY 12108
(518) 548-6223

HERKIMER County
Office of Emergency Management
71 Reservoir Rd.
Herkimer, NY 13350
(315) 867-1254

JEFFERSON County
Office of Fire & Emergency Management
753 Waterman Dr.
Watertown, NY 13601
(315) 786-2601

LEWIS County
Office of Emergency Management
P.O.B. 233
Outer Stowe Street
Lowville, NY 13367-0233
(315) 376-3511

LIVINGSTON County
Emergency Management Services
3360 Gypsy Lane
Mount Morris, NY 14510
(585) 243-7100

MADISON County
Office of Emergency Preparedness
County Office Building
P.O.B. 577
Wampsville, NY 13163
(315) 366-2258

MONROE County
Office of Emergency Preparedness
1190 Scottsville Road, Suite 200
Rochester, NY 14624
(585) 528-2222

MONTGOMERY County
Office of Emergency Management
P.O. Box 1500
Business Street
Fonda, NY 12068-1500
(518) 853-5500

NASSAU County
Emergency Management Office
100 Carman Avenue
Hempstead, NY 11554
(516) 572-4195

City of NEW YORK
Office of Emergency Management
11 Water Street
Brooklyn, NY 11201
(718) 422-8700

NIAGARA County
Office of Emergency Services
5574 Niagara St. Ext.
P.O.B. 496
Lockport, NY 14095
(716) 438-3393

ONEIDA County
Office of Emergency Services
120 Base Road
Oriskany, NY 13424
(315) 765-2500

ONONDAGA County
Dept. of Emergency Management
421 Montgomery Street, Rm. 163
Syracuse, NY 13202
(315) 435-8690

ONTARIO County
2914 County Road 48
Canandaigua, NY 14424
(585) 396-4310

ORANGE County
Dept. of Emergency Services
22 Wells Farm Road
Goshen, NY 10924
(845) 615-0400

ORLEANS County
Emergency Management Office
14064 West County House Road
Albion, NY 14411
(585) 589-4414

OSWEGO County
Emergency Management Office
200 North Second Street
Fulton, NY 13069
(315) 343-1313

OTSEGO County
Office of Emergency Services
140 County Highway 33W
Cooperstown, NY 13326
(607) 547-5351

YOU ARE NOT ALONE

APPENDIX

A

PUTNAM County
Office of Emergency management
112 Old Route Six
Carmel, NY 10512
(845) 225-4300

RENSSELAER County
Bureau of Pubic Safety
4000 Main Street
Troy, NY 12181-0389
(518) 270-5255

ROCKLAND County
Office of Fire & Emergency Services
35 Fireman’s Memorial Dr.
Pomona, New York 10907
(845) 364-8600

SARATOGA County
Office of Emergency Services
25 West High Street
Ballston Spa, NY 12020
(518) 885-6761

SCHENECTADY County
Emergency Management Office
531 Liberty Street
Schenectady, NY 12305
(518) 374-7744

SCHOHARIE County
Emergency Management Office
P.O. Box 690
Schoharie, NY 12157-0690
(518) 295-8114

SCHUYLER County
Emergency Management Office
106 Tenth Street
Watkins Glen, NY 14891
(607) 535-8222

SENECA County
Emergency Management Office
1 DiPronio Drive
Waterloo, NY 13165
(315) 539-9241

ST. LAWRENCE County
Office of Emergency Services
48 Court Street
Canton, NY 13617
(315) 386-4591

STEUBEN County
Office of Emergency Services
6979 Rumsey St. Ext.
Bath, NY 14810
(607) 664-2801

SUFFOLK County
Fire, Rescue & Emergency Services
Yaphank Ave., Bldg. # C0110
Yaphank, NY 11980-0127
(631) 852-4900

SULLIVAN County
Office of Emergency Management &
Homeland Security
P.O.B. 5012
Monticello, NY 12701
(845) 583-7100

TOMPKINS County
Dept. of Emergency Response
92 Brown Road
Ithaca, NY 14850
(607) 273-8000

TIOGA County
Office of Emergency Management
103 Corporate Dr.
Owego, NY 13827
(607) 687-1010

ULSTER County
Emergency Management Office
238 Golden Hill Lane
Kingston, NY 12401
(845) 338-1440

WARREN County
Office of Emergency Services
1340 State Route 9
Lake George, NY 12845
(518) 761-6490

WASHINGTON County
Office of Emergency Services
Washington County Municipal Center
383 Broadway
Fort Edward, NY 12828
(518) 747-7520

WAYNE County
Emergency Management Office
7336 Route 31
Lyons, NY 14489
(315) 946-9711

WESTCHESTER County
Office of Emergency Management
200 Bradhurst Ave.
Mount Pleasant, NY 10532
(914) 231-1819

WYOMING County
Office of Emergency Management
County Public Safety Bldg., Suite 221
151 North Main Street
Warsaw, NY 14569
(585) 786-2255

YATES County
Office of Emergency Management
227 Main St.
Penn Yan, NY 14527
(315) 536-3033

YOU ARE NOT ALONE

APPENDIX

A

CITY EMERGENCY MANAGEMENT OFFICES

City of Buffalo
Office of Emergency Management
Buffalo Fire Department
195 Court St.
Buffalo, New York, 14202

City of Mount Vernon
Natural Disaster & Civil Defense
City Hall
Roosevelt Square
Mount Vernon, NY 10550

City of New Rochelle
Office of Emergency Management
515 North Avenue
New Rochelle, NY 10801

City of North Tonawanda
Emergency Management Office
495 Zimmermen St.
North Tonowanda, NY 14120

City of Oneida
Civil Defense & Natural Disaster
109 North Main Street
Rome, NY 13421

City of Peekskill
Office of Emergency Management
840 Main Street
Peekskill, NY 10566

City of White Plains
Office of Emergency Planning
77 South Lexington Ave.
White Plains, NY 10601

City of Yonkers
Office of Emergency Management/Civil Defense
36 Radford St.
Yonkers, NY 10705

New York City’s Mayor’s Office of Emergency
Management (NYC OEM)
165 Cadman Plaza East
Brooklyn, NY 11201

YOU ARE NOT ALONE

SEMO REGIONAL OFFICES

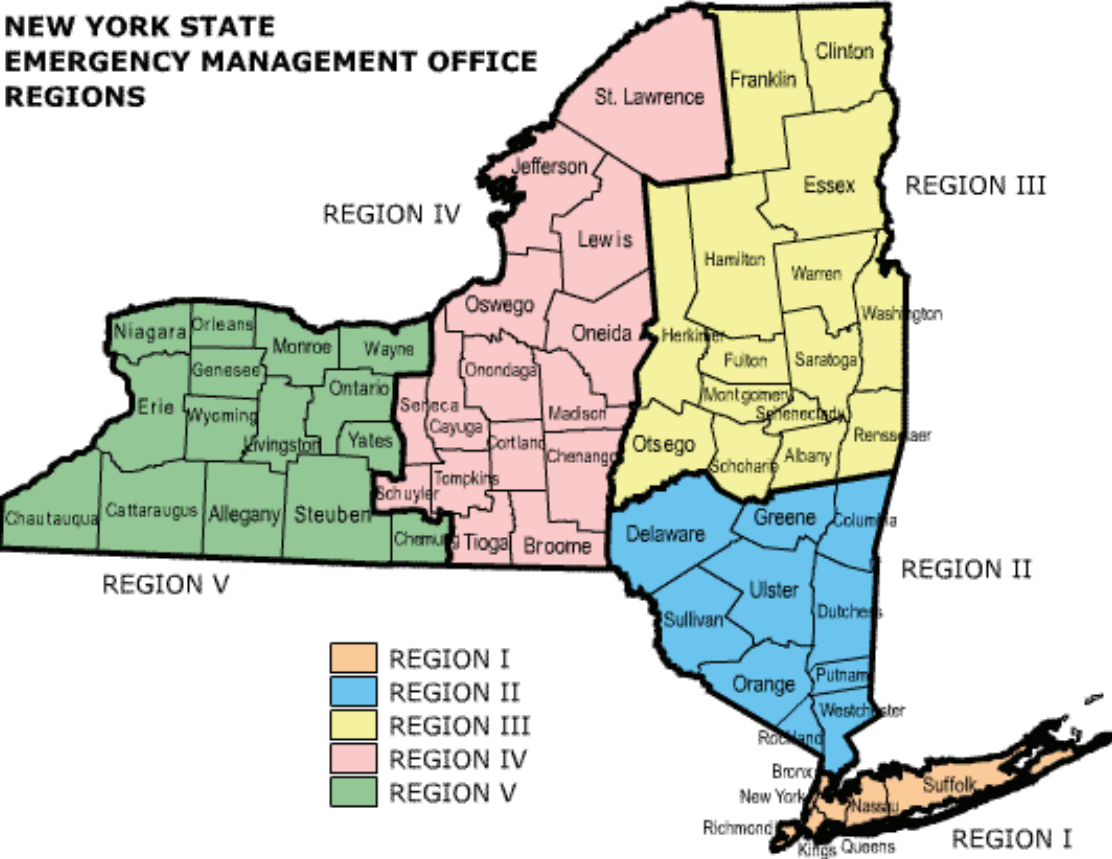
SEMO Region I
Perry B. Duryea, Jr. State Office Building
250 Veterans Memorial Highway
Islip, NY 11788
(631) 952-6322

SEMO Region II
171 Cheney Drive
Poughkeepsie, NY 12601
(845) 454-0430

SEMO Region III
5 Fox Farm Rd.
Queensbury, NY 12804-1107
(518) 793-6646

SEMO Region IV
10 Adler Drive
Suite 103
East Syracuse, NY 13057
(315) 438-8907

SEMO Region V
1144 East Union St.
Newark, NY 14513-9201
(315) 331-4880



YOU ARE NOT ALONE

A special thanks to Randy Reid of Emergency Measures Ontario (Canada) for permission to use their publication **Emergency Planning** in the development of this Guide.

NEW YORK STATE
Emergency Management Office
1220 Washington Avenue
Building 22, Suite 101
Albany, NY 12226-2251
(518) 292-2200