

General Institution
DRAFT as of 5/7/14 and 6/7/14

~~This document needs to be reviewed by Senior Staff~~

BP 3505 EMERGENCY PREPAREDNESS PLAN

References:

Education Code Sections 32280 et seq. and 71095;
Government Code Sections 3100 and 8607(a);
Homeland Security Act of 2002;
National Fire Protection Association 1600;
Homeland Security Presidential Directive-5;
Executive Order S-2-05;
19 California Code of Regulations Sections 2400-2450;
34 Code of Federal Regulations 668.46(g)

NOTE: The following policy language is legally required.

The District shall have emergency response and evacuation procedures for notifying the campus community in the event of a significant emergency or dangerous situation involving an immediate threat to the health or safety of students or employees occurring on the campuses and in the District offices.

NOTE: The following policy language is legally advised.

The Chancellor shall establish procedures that ensure that the District implements a plan to be activated in the event of an emergency or the occurrence of a natural disaster or hazardous condition. This plan must comply with the National Incident Management System (NIMS), the Standardized Emergency Management System (SEMS) and should incorporate the functions and principles of the Incident Command System (ICS), the Master Mutual Aid Agreement (MMAA) and any other relevant programs. The plan must incorporate NIMS and SEMS to facilitate the coordination between and among agencies in the event of an emergency or natural disaster.

Compliance with NIMS and SEMS mandates include but are not limited to:

- Establishing disaster preparedness procedures or a plan; and
- Completion of training sessions by college personnel in compliance with NIMS and SEMS guidelines

- Training requirements vary based on job titles or assigned roles within the emergency plan

All employees must be informed that as public employees, they are also disaster service workers during national, state, and local emergencies. The District must ensure that its employees are in compliance with the disaster service worker oath requirements pursuant to Government Code Section 3103 and set forth in Section 3 of Article 20 of the California Constitution.

The Chancellor should ensure that a team is created to carry out compliance with NIMS and SEMS mandates. The responses to emergencies or natural disasters are organized by SEMS into five categories: field response, local government, operational areas, regions, and state.

The plan should contain information regarding activation and chain of command responsibilities. Compliance with NIMS mandates requires planning and incorporation for all phases of emergency management including mitigation and prevention, preparedness, response and recovery. The District must ensure that its plan is updated regularly. Colleges must comply with NIMS and SEMS to receive federal or state funding.

❖ **From the current CLPCCD Policy 2220 titled Civil Defense, Disaster and Emergency Preparedness Plan: Policy Guideline**

In accordance with the provisions of Title 5 of the California Administrative Code, a Civil Defense, Disaster and Emergency Preparedness Plan shall be adopted by the Board of Trustees as a policy guideline for use in this District. **This plan shall be reviewed by the Board at least annually and revised as needed. A copy of the most recently adopted plan shall be filed with the County Superintendent of Schools, and police and fire departments of the respective cities. The plan shall be tested at least once twice each school academic year and records kept of such tests.**

NOTE: The **red ink** signifies language that is **legally required** and recommended by the Policy and Procedure Service and its legal counsel. The language in **black ink** is from current CLPCCD Policy 2220 titled Civil Defense, Disaster and Emergency Preparedness Plan: Policy Guideline adopted on January 16, 1996. The language in **green ink** was added during the review sessions of 4-4-14, 5-7-14 and 6-1-14 with Wyman, David, Kit and the Campus Safety & Security Directors: Sean Prather and Antonio Puente.

Date Adopted:

(This policy replaces current CLPCCD Policy 2220)

Legal Citations for BP 3505

EDUCATION CODE SECTIONS 32280 et seq. and 71095

32280. It is the intent of the Legislature that all California public schools, in kindergarten, and grades 1 to 12, inclusive, operated by school districts, in cooperation with local law enforcement agencies, community leaders, parents, pupils, teachers, administrators, and other persons who may be interested in the prevention of campus crime and violence, develop a comprehensive school safety plan that addresses the safety concerns identified through a systematic planning process. For the purposes of this section, law enforcement agencies include local police departments, county sheriffs' offices, school district police or security departments, probation departments, and district attorneys' offices. For purposes of this section, a "safety plan" means a plan to develop strategies aimed at the prevention of, and **education** about, potential incidents involving crime and violence on the school campus.

32281. (a) Each school district and county office of **education** is responsible for the overall development of all comprehensive school safety plans for its schools operating kindergarten or any of grades 1 to 12, inclusive.

(b) (1) Except as provided in subdivision (d) with regard to a small school district, the schoolsite council established pursuant to Section 52012 or 52852 shall write and develop a comprehensive school safety plan relevant to the needs and resources of that particular school.

(2) The schoolsite council may delegate this responsibility to a school safety planning committee made up of the following members:

(A) The principal or the principal's designee.

(B) One teacher who is a representative of the recognized certificated employee organization.

(C) One parent whose child attends the school.

(D) One classified employee who is a representative of the recognized classified employee organization.

(E) Other members, if desired.

(3) The schoolsite council shall consult with a representative from a law enforcement agency in the writing and development of the comprehensive school safety plan.

(4) In the absence of a schoolsite council, the members specified in paragraph (2) shall serve as the school safety planning committee.

(c) Nothing in this article shall limit or take away the authority of school boards as guaranteed under this **code**.

(d) (1) Subdivision (b) shall not apply to a small school district, as defined in paragraph (2), if the small school district develops a districtwide comprehensive school safety plan that is applicable to each schoolsite.

(2) As used in this article, "small school district" means a school district that has fewer than 2,501 units of average daily attendance at the beginning of each fiscal year.

(e) (1) When a principal or his or her designee verifies through local law enforcement officials that a report has been filed of the occurrence of a violent crime on the schoolsite of an elementary or secondary school at which he or she is the principal, the principal or the principal's designee may send to each pupil's parent or legal guardian and each school employee a written notice of the occurrence and general nature of the crime. If the

principal or his or her designee chooses to send the written notice, the Legislature encourages the notice be sent no later than the end of business on the second regular work day after the verification. If, at the time of verification, local law enforcement officials determine that notification of the violent crime would hinder an ongoing investigation, the notification authorized by this subdivision shall be made within a reasonable period of time, to be determined by the local law enforcement agency and the school district. For purposes of this section, an act that is considered a "violent crime" shall meet the definition of Section 67381 and be an act for which a pupil could or would be expelled pursuant to Section 48915.

(2) Nothing in this subdivision shall create any liability in a school district or its employees for complying with paragraph (1).

32282. (a) The comprehensive school safety plan shall include, but not be limited to, both of the following:

(1) Assessing the current status of school crime committed on school campuses and at school-related functions.

(2) Identifying appropriate strategies and programs that will provide or maintain a high level of school safety and address the school's procedures for complying with existing laws related to school safety, which shall include the development of all of the following:

(A) Child abuse reporting procedures consistent with Article 2.5 (commencing with Section 11164) of Title 1 of Part 4 of the Penal Code.

(B) Disaster procedures, routine and emergency, including adaptations for pupils with disabilities in accordance with the Americans with Disabilities Act of 1990 (42 U.S.C. Sec. 12101 et seq.). The disaster procedures shall also include, but not be limited to, both of the following:

(i) Establishing an earthquake emergency procedure system in every public school building having an occupant capacity of 50 or more pupils or more than one classroom. A district or county office may work with the Office of Emergency Services and the Seismic Safety Commission to develop and establish the earthquake emergency procedure system. The system shall include, but not be limited to, all of the following:

(I) A school building disaster plan, ready for implementation at any time, for maintaining the safety and care of pupils and staff.

(II) A drop procedure whereby each pupil and staff member takes cover under a table or desk, dropping to his or her knees, with the head protected by the arms, and the back to the windows. A drop procedure practice shall be held at least once each school quarter in elementary schools and at least once a semester in secondary schools.

(III) Protective measures to be taken before, during, and following an earthquake.

(IV) A program to ensure that pupils and both the certificated and classified staff are aware of, and properly trained in, the earthquake emergency procedure system.

(ii) Establishing a procedure to allow a public agency, including the American Red Cross, to use school buildings, grounds, and equipment for mass care and welfare shelters during disasters or other emergencies affecting the public health and welfare. The district or county office shall cooperate with the public agency in furnishing and maintaining the services as the district or county office may deem necessary to meet the needs of the community.

(C) Policies pursuant to subdivision (d) of Section 48915 for pupils who committed an act listed in subdivision (c) of Section 48915 and other school-designated serious acts which would lead to suspension, expulsion, or

mandatory expulsion recommendations pursuant to Article 1 (commencing with Section 48900) of Chapter 6 of Part 27.

(D) Procedures to notify teachers of dangerous pupils pursuant to Section 49079.

(E) A discrimination and harassment policy consistent with the prohibition against discrimination contained in Chapter 2 (commencing with Section 200) of Part 1.

(F) The provisions of any schoolwide dress **code**, pursuant to Section 35183, that prohibits pupils from wearing "gang-related apparel," if the school has adopted that type of a dress **code**. For those purposes, the comprehensive school safety plan shall define "gang-related apparel." The definition shall be limited to apparel that, if worn or displayed on a school campus, reasonably could be determined to threaten the health and safety of the school environment. Any schoolwide dress **code** established pursuant to this section and Section 35183 shall be enforced on the school campus and at any school-sponsored activity by the principal of the school or the person designated by the principal. For the purposes of this paragraph, "gang-related apparel" shall not be considered a protected form of speech pursuant to Section 48950.

(G) Procedures for safe ingress and egress of pupils, parents, and school employees to and from school.

(H) A safe and orderly environment conducive to learning at the school.

(I) The rules and procedures on school discipline adopted pursuant to Sections 35291 and 35291.5.

(J) Hate crime reporting procedures pursuant to Chapter 1.2 (commencing with Section 628) of Title 15 of Part 1 of the Penal **Code**.

(b) It is the intent of the Legislature that schools develop comprehensive school safety plans using existing resources, including the materials and services of the partnership, pursuant to this chapter. It is also the intent of the Legislature that schools use the handbook developed and distributed by the School/Law Enforcement Partnership Program entitled "Safe Schools: A Planning Guide for Action" in conjunction with developing their plan for school safety.

(c) Grants to assist schools in implementing their comprehensive school safety plan shall be made available through the partnership as authorized by Section 32285.

(d) Each schoolsite council or school safety planning committee in developing and updating a comprehensive school safety plan shall, where practical, consult, cooperate, and coordinate with other schoolsite councils or school safety planning committees.

(e) The comprehensive school safety plan may be evaluated and amended, as needed, by the school safety planning committee, but shall be evaluated at least once a year, to ensure that the comprehensive school safety plan is properly implemented. An updated file of all safety-related plans and materials shall be readily available for inspection by the public.

(f) The comprehensive school safety plan, as written and updated by the schoolsite council or school safety planning committee, shall be submitted for approval under subdivision (a) of Section 32288.

32282.5. (a) The department shall electronically distribute disaster preparedness educational materials and lesson plans that are currently available to school districts and county offices of **education**.

(b) The department shall ensure that the disaster preparedness materials are available in at least the three most dominant primary languages spoken by English learners in California, according to the language census.

(c) The department shall coordinate with the Office of Emergency Services to make sure that all materials are reviewed and updated annually.

32283. The Department of Justice and the State Department of **Education**, in accordance with Section 32262, shall contract with one or more professional trainers to coordinate statewide workshops for school districts, county offices of **education**, and schoolsite personnel, and in particular school principals, to assist them in the development of their respective school safety and crisis response plans. The Department of Justice and the State Department of **Education** shall work in cooperation with regard to the workshops coordinated and presented pursuant to the contracts. Implementation of this section shall be contingent upon the availability of funds in the annual Budget Act.

32284. The comprehensive school safety plan may also include, at local discretion of the governing board of the school district and using local funds, procedures for responding to the release of a pesticide or other toxic substance from properties located within one-quarter mile of a school. No funds received from the state may be used for this purpose.

32285. (a) The governing board of a school district, on behalf of one or more schools within the district that have developed a school safety plan, may apply to the Superintendent of Public Instruction for a grant to implement school safety plans. The partnership shall award grants for school safety plans that include, but are not limited to, the following criteria:

(1) Assessment of the recent incidence of crime committed on the school campus.

(2) Identification of appropriate strategies and programs that will provide or maintain a high level of school safety.

(3) Development of an action plan, in conjunction with local law enforcement agencies, for implementing appropriate safety strategies and programs, and determining the fiscal impact of executing the strategies and programs. The action plan shall identify available resources which will provide for implementation of the plan.

(b) The Superintendent of Public Instruction shall award grants pursuant to this section to school districts for the implementation of individual school safety plans in an amount not to exceed five thousand dollars (\$5,000) for each school. No grant shall be made unless the school district makes available, for purposes of implementing the school safety plans, an amount of funds equal to the amount of the grant. Grants should be awarded through a competitive process, based upon criteria including, but not limited to, the merit of the proposal and the need for imposing school safety, based on school crime rates.

(c) Any school receiving a grant under this section shall submit to the Superintendent of Public Instruction verified copies of its schoolsite crime report annually for three consecutive years following the receipt of the grant to study the impact of the implementation of the school safety plan on the incidence of crime on the campus of the school.

32286. (a) Each school shall adopt its comprehensive school safety plan by March 1, 2000, and shall review and update its plan by March 1, every year thereafter. A new school campus that begins offering classes to pupils after March 1, 2001, shall adopt a comprehensive school safety plan within one year

of initiating operation, and shall review and update its plan by March 1, every year thereafter.

(b) Commencing in July 2000, and every July thereafter, each school shall report on the status of its school safety plan, including a description of its key elements in the annual school accountability report card prepared pursuant to Sections 33126 and 35256.

32287. If the Superintendent of Public Instruction determines that there has been a willful failure to make any report required by this article, the superintendent shall do both of the following:

(a) Notify the school district or the county office of **education** in which the willful failure has occurred.

(b) Make an assessment of not more than two thousand dollars (\$2,000) against that school district or county office of **education**. This may be accomplished by deducting an amount equal to the amount of the assessment from the school district's or county office of **education's** future apportionment.

32288. (a) In order to ensure compliance with this article, each school shall forward its comprehensive school safety plan to the school district or county office of **education** for approval.

(b) (1) Before adopting its comprehensive school safety plan, the schoolsite council or school safety planning committee shall hold a public meeting at the schoolsite in order to allow members of the public the opportunity to express an opinion about the school safety plan.

(2) The schoolsite council or school safety planning committee shall notify, in writing, the following persons and entities, if available, of the public meeting:

(A) The local mayor.

(B) A representative of the local school employee organization.

(C) A representative of each parent organization at the schoolsite, including the parent teacher association and parent teacher clubs.

(D) A representative of each teacher organization at the schoolsite.

(E) A representative of the student body government.

(F) All persons who have indicated they want to be notified.

(3) The schoolsite council or school safety planning committee is encouraged to notify, in writing, the following persons and entities, if available, of the public meeting:

(A) A representative of the local churches.

(B) Local civic leaders.

(C) Local business organizations.

(c) In order to ensure compliance with this article, each school district or county office of **education** shall annually notify the State Department of **Education** by October 15 of any schools that have not complied with Section 32281.

32289. A complaint of noncompliance with the school safety planning requirements of Title IV of the federal No Child Left Behind Act of 2001, 20 U.S.C. Sec. 7114(d)(7), may be filed with the department under the Uniform Complaint Procedures as set forth in Chapter 5.1 (commencing with Section 4600) of Title 5 of the California **Code** of Regulations.

32289. A complaint of noncompliance with the school safety planning requirements of Title IV of the federal No Child Left Behind Act of 2001 (20 U.S.C. Sec. 7114 (d) (7)) may be filed with the department under the Uniform Complaint Procedures as set forth in Chapter 5.1 (commencing with Sections 4600) of Title 5 of the California **Code** of Regulations.

71095. (a) The chancellor's office, in consultation with the Governor's Office of Emergency Services and the Office of Homeland Security, shall, by January 1, 2009, develop emergency preparedness standards and guidelines to assist community college districts and campuses in the event of a natural disaster, hazardous condition, or terrorist activity on or around a community college campus.

(b) The standards and guidelines shall be developed in accordance with the Standardized Emergency Management System and the National Incident Management System, and shall be reviewed by the Governor's Office of Emergency Services in a manner that is consistent with existing policy. In developing the standards and guidelines, the chancellor's office shall consider, but is not limited to, all of the following components:

(1) Information on establishing a campus emergency management team.

(2) Provisions regarding overview training for every employee within one year of commencement of employment.

(3) Information on specialized training for employees who may be designated as part of an emergency management team.

(4) Information on preparedness, prevention, response, recovery, and mitigation policies and procedures.

(5) Information on coordinating with the appropriate local, state, and federal government authorities, and nongovernmental entities on comprehensive emergency management and preparedness activities.

GOVERNMENT CODE SECTIONS 3100 et seq., 8558, 8559, 8600, 8605, and 8607(a)

3100. It is hereby declared that the protection of the health and safety and preservation of the lives and property of the people of the state from the effects of natural, manmade, or war-caused emergencies which result in conditions of disaster or in extreme peril to life, property, and resources is of paramount state importance requiring the responsible efforts of public and private agencies and individual citizens. In furtherance of the exercise of the police power of the state in protection of its citizens and resources, all public employees are hereby declared to be disaster service workers subject to such disaster service activities as may be assigned to them by their superiors or by law.

3101. For the purpose of this chapter the term "**disaster service worker**" includes all public employees and all volunteers in any disaster council or emergency organization accredited by the California Emergency Council. The term "public employees" includes all persons employed by the state or any county, city, city and county, state agency or public district, excluding aliens legally employed.

3102. (a) All disaster service workers shall, before they enter upon the duties of their employment, take and subscribe to the oath or affirmation required by this chapter.

(b) In the case of intermittent, temporary, emergency or successive employments, then in the discretion of the employing agency, an oath taken and subscribed as required by this chapter shall be effective for the purposes of this chapter for all successive periods of employment which commence within one calendar year from the date of that subscription.

(c) Notwithstanding subdivision (b), the oath taken and subscribed by a person who is a member of an emergency organization sanctioned by a state agency or an accredited disaster council, whose members are duly enrolled or registered with the Office of Emergency Services, or any accredited disaster council of any political subdivision, shall be effective for the period the person remains a member with that organization.

3103. The **oath or affirmation** required by this chapter is the oath or affirmation set forth in **Section 3 of Article XX of the Constitution of California**.

3104. The oath or affirmation may be taken before any officer authorized to administer oaths. The oath or affirmation of any disaster service worker may be taken before his appointing power or before any person authorized in writing by his appointing power.

No fee shall be charged by any person before whom the oath or affirmation is taken and subscribed.

3105. (a) The oath or affirmation of any disaster service worker of the state shall be filed as prescribed by State Personnel Board rule within 30 days of the date on which it is taken and subscribed.

(b) The oath or affirmation of any disaster service worker of any county shall be filed in the office of the county clerk of the county or in the official department personnel file of the county employee who is designated as a disaster service worker.

(c) The oath or affirmation of any disaster service worker of any city shall be filed in the office of the city clerk of the city.

(d) The oath or affirmation of any disaster service worker of any other public agency, including any district, shall be filed with any officer or employee of the agency that may be designated by the agency.

(e) The oath or affirmation of any disaster service worker may be destroyed without duplication five years after the termination of the disaster service worker's service or, in the case of a public employee, five years after the termination of the employee's employment.

3106. Compliance with this chapter shall, as to state employees, be deemed full compliance with Chapter 4, Part 1, Division 5, Title 2 of this **code**, requiring taking of oaths by state employees.

3107. No compensation nor reimbursement for expenses incurred shall be paid to any disaster service worker by any public agency unless such disaster service worker has taken and subscribed to the oath or affirmation required by this chapter. It shall be the duty of the person certifying to public payrolls to ascertain and certify that such disaster service worker has taken

such oath or affirmation. Whenever there is more than one officer certifying to public payrolls the governing body of a city or county or school district may designate and make it the duty of a certain officer or officers to ascertain and certify that such disaster service worker has taken such oath or affirmation. The governing body of a city or county or school district may designate and make it the duty of a local disaster service officer to ascertain and certify that each volunteer disaster service worker has taken such oath or affirmation.

Nothing in this chapter, however, shall prevent the correction of any technical error or deficiency in an oath taken pursuant to this chapter; provided, such correction is made before the disaster service worker is actually paid or reimbursed.

3108. Every person who, while taking and subscribing to the oath or affirmation required by this chapter, states as true any material matter which he or she knows to be false, is guilty of perjury, and is punishable by imprisonment in the state prison for two, three, or four years.

3109. Every person having taken and subscribed to the oath or affirmation required by this chapter, who, while in the employ of, or service with, the state or any county, city, city and county, state agency, public district, or disaster council or emergency organization advocates or becomes a member of any party or organization, political or otherwise, that advocates the overthrow of the **government** of the United States by force or violence or other unlawful means, is guilty of a felony, and is punishable by imprisonment in the state prison.

8558. Three conditions or degrees of emergency are established by this chapter:

(a) "State of war emergency" means the condition which exists immediately, with or without a proclamation thereof by the Governor, whenever this state or nation is attacked by an enemy of the United States, or upon receipt by the state of a warning from the federal **government** indicating that such an enemy attack is probable or imminent.

(b) "State of emergency" means the duly proclaimed existence of conditions of disaster or of extreme peril to the safety of persons and property within the state caused by such conditions as air pollution, fire, flood, storm, epidemic, riot, drought, sudden and severe energy shortage, plant or animal infestation or disease, the Governor's warning of an earthquake or volcanic prediction, or an earthquake, or other conditions, other than conditions resulting from a labor controversy or conditions causing a "state of war emergency," which, by reason of their magnitude, are or are likely to be beyond the control of the services, personnel, equipment, and facilities of any single county, city and county, or city and require the combined forces of a mutual aid region or regions to combat, or with respect to regulated energy utilities, a sudden and severe energy shortage requires extraordinary measures beyond the authority vested in the California Public Utilities Commission.

(c) "Local emergency" means the duly proclaimed existence of conditions of disaster or of extreme peril to the safety of persons and property within the territorial limits of a county, city and county, or city, caused by such conditions as air pollution, fire, flood, storm, epidemic, riot, drought, sudden and severe energy shortage, plant or animal infestation or disease, the Governor's warning of an earthquake or volcanic prediction, or an

earthquake, or other conditions, other than conditions resulting from a labor controversy, which are or are likely to be beyond the control of the services, personnel, equipment, and facilities of that political subdivision and require the combined forces of other political subdivisions to combat, or with respect to regulated energy utilities, a sudden and severe energy shortage requires extraordinary measures beyond the authority vested in the California Public Utilities Commission.

8559. (a) A "mutual aid region" is a subdivision of the state emergency services organization, established to facilitate the coordination of mutual aid and other emergency operations within an area of the state consisting of two or more county operational areas.

(b) An "operational area" is an intermediate level of the state emergency services organization, consisting of a county and all political subdivisions within the county area.

8600. The Governor with the advice of the Emergency Council is hereby authorized and empowered to divide the state into mutual aid regions for the more effective application, administration, and coordination of mutual aid and other emergency-related activities.

8605. Each county is designated as an operational area. In a state of war emergency each operational area shall serve as a link in the system of communications and coordination between the state's emergency operating centers and the operating centers of the political subdivisions comprising the operational area.

The governing bodies of each county and of the political subdivisions in the county may organize and structure their operational area.

An operational area may be used by the county and the political subdivisions comprising the operational area for the coordination of emergency activities and to serve as a link in the communications system during a state of emergency or a local emergency.

8607. (a) By December 1, 1993, the Office of Emergency Services, in coordination with all interested state agencies with designated response roles in the state emergency plan and interested local emergency management agencies shall jointly establish by regulation a standardized emergency management system for use by all emergency response agencies. The public water systems identified in Section **8607.2** may review and comment on these regulations prior to adoption.

This system shall be applicable, but not limited to, those emergencies or disasters referenced in the state emergency plan. The standardized emergency management system shall include all of the following systems as a framework for responding to and managing emergencies and disasters involving multiple jurisdictions or multiple agency responses:

(1) The Incident Command Systems adapted from the systems originally developed by the FIRESCOPE Program, including those currently in use by state agencies.

(2) The multiagency coordination system as developed by the FIRESCOPE Program.

(3) The mutual aid agreement, as defined in Section 8561, and related mutual aid systems such as those used in law enforcement, fire service, and coroners operations.

(4) The operational area concept, as defined in Section 8559.

(b) Individual agencies' roles and responsibilities agreed upon and contained in existing laws or the state emergency plan are not superseded by this article.

(c) By December 1, 1994, the Office of Emergency Services, in coordination with the State Fire Marshal's Office, the Department of the California Highway Patrol, the Commission on Peace Officer Standards and Training, the Emergency Medical Services Authority, and all other interested state agencies with designated response roles in the state emergency plan, shall jointly develop an approved course of instruction for use in training all emergency response personnel, consisting of the concepts and procedures associated with the standardized emergency management system described in subdivision (a).

(d) By December 1, 1996, all state agencies shall use the standardized emergency management system as adopted pursuant to subdivision (a), to coordinate multiple jurisdiction or multiple agency emergency and disaster operations.

(e) (1) By December 1, 1996, each local agency, in order to be eligible for any funding of response-related costs under disaster assistance programs, shall use the standardized emergency management system as adopted pursuant to subdivision (a) to coordinate multiple jurisdiction or multiple agency operations.

(2) Notwithstanding paragraph (1), local agencies shall be eligible for repair, renovation, or any other nonpersonnel costs resulting from an emergency.

(f) The office shall, in cooperation with involved state and local agencies, complete an after-action report within 120 days after each declared disaster. This report shall review public safety response and disaster recovery activities and shall be made available to all interested public safety and emergency management organizations.

**TITLE 19. PUBLIC SAFETY
DIVISION 2. OFFICE OF EMERGENCY SERVICES
CHAPTER 1. STANDARDIZED EMERGENCY MANAGEMENT SYSTEM (SEMS)
ARTICLE 1. SHORT TITLE**

§ 2400. Short Title.

This Chapter shall be known and may be cited as the Standardized Emergency Management System (SEMS) Regulations.

**TITLE 19. PUBLIC SAFETY
DIVISION 2. OFFICE OF EMERGENCY SERVICES
CHAPTER 1. STANDARDIZED EMERGENCY MANAGEMENT SYSTEM (SEMS)
ARTICLE 2. PURPOSE AND SCOPE**

§ 2401. Purpose and Scope.

These regulations establish the Standardized Emergency Management System (SEMS) based upon the Incident Command System (ICS) adapted from the system originally developed by the Firefighting Resources of California Organized for Potential Emergencies (FIRESCOPE) program including those currently in use by state agencies, the Multi-Agency Coordination System (MACS) as developed by FIRESCOPE program, the operational area concept, and the

Master Mutual Aid Agreement and related mutual aid systems. SEMS is intended to standardize response to emergencies involving multiple jurisdictions or multiple agencies. SEMS is intended to be flexible and adaptable to the needs of all emergency responders in California. SEMS requires emergency response agencies use basic principles and components of emergency management including ICS, multi-agency or inter-agency coordination, the operational area concept, and established mutual aid systems. State agencies must use SEMS. Local government must use SEMS by December 1, 1996 in order to be eligible for state funding of response-related personnel costs pursuant to activities identified in California Code of Regulations, Title 19, s2920, s2925, and s2930. Individual agencies' roles and responsibilities contained in existing laws or the state emergency plan are not superseded by these regulations.

TITLE 19. PUBLIC SAFETY
DIVISION 2. OFFICE OF EMERGENCY SERVICES
CHAPTER 1. STANDARDIZED EMERGENCY MANAGEMENT SYSTEM (SEMS)
ARTICLE 3. DEFINITIONS

§ 2402. Definitions.

- (a) "Action Plan" means the plan prepared in the EOC containing the emergency response objectives of that SEMS level reflecting overall priorities and supporting activities for a designated period. The plan is shared with supporting agencies.
- (b) "Activate" means, at a minimum, a designated official of the emergency response agency implements SEMS as appropriate to the scope of the emergency and the agency's role in response to the emergency.
- (c) "Department Operations Center" means an EOC used by a district discipline (such as flood operations, fire, medical, hazardous material), or a unit (such as Department of Public Works or Department of Health). Department operations centers may be used at all SEMS levels above the field response level depending upon the impacts of the emergency.
- (d) "Disaster Assistance Program" is a program that provides state funding or reimbursement for local government response-related personnel costs incurred in response to an incident as defined in Section 2402(i).
- (e) "Emergency" means a condition of disaster or of extreme peril to the safety of persons and property caused by such conditions as air pollution, fire, flood, hazardous material incident, storm, epidemic, riot, drought, sudden and severe energy shortage, plant or animal infestations or disease, the Governor's warning of an earthquake or volcanic prediction, or an earthquake or other conditions, other than conditions resulting from a labor controversy.
- (f) "Emergency Operations Center (EOC)" means a location from which centralized emergency management can be performed.
- (g) "Emergency Response Agency" means any organization responding to an emergency, or providing mutual aid support to such an organization, whether in the field, at the scene of an incident, or to an operations center.
- (h) "Emergency Response Personnel" means personnel involved with an agency's response to an emergency.
- (i) "Incident" means an occurrence or event, either human-caused or by natural phenomena, that requires action by emergency response personnel to prevent or minimize loss of life or damage to property and/or natural resources.

- (j) "Incident Action Plan" means the plan developed at the field response level which contains objectives reflecting the overall incident strategy and specific tactical actions and supporting information for the next operational period. The plan may be oral or written.
- (k) "Incident Commander" means the individual responsible for the command of all functions at the field response level.
- (l) "Incident Command System (ICS)" means the nationally used standardized on-scene emergency management concept specifically designed to allow its user(s) to adopt an integrated organizational structure equal to the complexity and demands of single or multiple incidents without being hindered by jurisdictional boundaries. ICS is the combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure, with responsibility for the management of resources to effectively accomplish stated objectives pertinent to an incident.
- (m) "Local Government" means local agencies as defined in Government Code s8680.2 and special districts defined in California Code of Regulations, Title 19, s2900(y).
- (n) "Multi-agency or interagency coordination" means the participation of agencies and disciplines involved at any level of the SEMS organization working together in a coordinated effort to facilitate decisions for overall emergency response activities, including the sharing of critical resources and the prioritization of incidents.
- (o) "Office of Emergency Services (OES)" means the Governor's Office of Emergency Services.

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§ 2403. SEMS Organizational Levels and Functions.

- (a) All emergency response agencies shall use the Standardized Emergency Management System in responding to, managing, and coordinating multiple agency or multiple jurisdiction incidents, whether single or multiple discipline.
- (b) There are five designated levels in the SEMS organization: field response, local government, operational area, regional, and state. Each level is activated as needed.
- (1) "Field response level" commands emergency response personnel and resources to carry out tactical decisions and activities in direct response to an incident or threat.
- (2) "Local government level" manages and coordinates the overall emergency response and recovery activities within their jurisdiction.
- (3) "Operational area level" manages and/or coordinates information, resources, and priorities among local governments within the operational area and serves as the coordination and communication link between the local government level and the regional level.
- (4) "Regional level" manages and coordinates information and resources among operational areas within the mutual aid region designated pursuant to Government Code s8600 and between the operational areas and the state level. This level along with the state level coordinates overall state agency support for emergency response activities.
- (5) "State level" manages state resources in response to the emergency needs of the other

levels, manages and coordinates mutual aid among the mutual aid regions and between the regional level and state level, and serves as the coordination and communication link with the federal disaster response system.

(c) Local government, operational area, regional, and state levels shall provide for all of the following functions within SEMS: management, operations, planning/intelligence, logistics, and finance/administration.

(1) Management is responsible for overall emergency policy and coordination through the joint efforts of governmental agencies and private organizations.

(2) Operations is responsible for coordinating all jurisdictional operations in support of the response to the emergency through implementation of the organizational level's action plan.

(3) Planning/Intelligence is responsible for collecting, evaluating, and disseminating information; developing the organizational level's action plan in coordination with the other functions; and maintaining documentation.

(4) Logistics is responsible for providing facilities, services, personnel, equipment, and materials.

(5) Finance/Administration is responsible for financial activities and administrative aspects not assigned to the other functions.

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§ 2405. Field Response Level.

(a) Emergency response agencies operating at the field response level of an incident shall utilize the Incident Command System, incorporating the functions, principles and components of ICS.

(1) The functions of ICS are command, operations, planning, logistics and finance.

(A) Command is the directing, ordering, and/or controlling of resources by virtue of explicit legal, agency, or delegated authority.

(B) Operations is responsible for the coordinated tactical response of all field operations directly applicable to or in support of the mission(s) in accordance with the Incident Action Plan.

(C) Planning (may be referred to as planning/intelligence) is responsible for the collection, evaluation, documentation, and use of information about the development of the incident, and the status of resources.

(D) Logistics is responsible for providing facilities, services, personnel, equipment, and materials in support of the incident.

(E) Finance (may be referred to as finance/administration) is responsible for all financial and cost analysis aspects of the incident, and for any administrative aspects not handled by the other functions.

(2) The principles of ICS are that:

(A) The system provides for the following kinds of operation: single jurisdictional

responsibility/single agency involvement, single jurisdictional responsibility with multiple-agency involvement, and multiple-jurisdictional responsibility with multiple-agency involvement.

(B) The system's organizational structure adapts to any emergency or incident to which emergency response agencies would be expected to respond.

(C) The system shall be applicable and acceptable to all user agencies.

(D) The system is readily adaptable to new technology.

(E) The system expands in a rapid and logical manner from an initial response into a major incident and contracts just as rapidly as organizational needs of the situation decreases.

(F) The system has basic common elements in organization, terminology and procedures.

(3) The components of ICS are common terminology, modular organization, unified command structure, consolidated action plans, manageable span-of-control, predesignated incident facilities, comprehensive resource management, and integrated communications.

(A) Common terminology is the established common titles for organizational functions, resources, and facilities within ICS.

(B) Modular organization is the method by which the ICS organizational structure develops based upon the kind and size of an incident. The organization's staff builds from the top down with responsibility and performance placed initially with the Incident Commander. As the need exists, operations, planning, logistics, and finance may be organized as separate sections, each with several units.

(C) Unified command structure is a unified team effort which allows all agencies with responsibility for the incident, either geographical or functional, to manage an incident by establishing a common set of incident objectives and strategies. This is accomplished without losing or abdicating agency authority, autonomy, responsibility or accountability.

(D) Consolidated action plans identify objectives and strategy determinations made by the Incident Commander for the incident based upon the requirements of the jurisdiction. In the case of a unified command, the incident objectives must adequately reflect the policy and needs of all the jurisdictional agencies. The action plan for the incident covers the tactical and support activities required for the operational period.

(E) Manageable span-of-control within ICS is a limitation on the number of emergency response personnel who can effectively be supervised or directed by an individual supervisor. The kind of incident, the nature of the response or task, distance and safety will influence the span of control range. The ordinary span-of-control range is between three and seven personnel.

(F) Predesignated incident facilities are identified within ICS. The determination of the kinds and locations of facilities to be used will be based upon the requirements of the incident.

(G) Comprehensive resource management is the identification, grouping, assignment and tracking of resources.

(H) Integrated communications are managed through the use of a common communications plan and an incident-based communications center established for the use of tactical and support resources assigned to the incident.

(b) Where an agency has jurisdiction over multiple-agency incidents, it shall organize the field response using ICS to provide for coordinated decision-making with emergency response

agencies.

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§ 2407. Local Governmental Level.

(a) The Standardized Emergency Management System as described under SEMS Organizational Levels and Functions (s2403) shall be utilized:

- (1) when the local government emergency operations center is activated.
- (2) when a local emergency, as defined in Government Code s8558(c), is declared or proclaimed.

(b) When a local government EOC is activated, communications and coordination shall be established between the Incident Commander(s) and the department operations center(s) to the EOC or between the Incident Commander(s) and the EOC. Coordination of fire and law enforcement resources shall be accomplished through their respective mutual aid systems.

(c) Communications and coordination shall be established between a local government EOC, when activated, and any state or local emergency response agency having jurisdiction at an incident occurring within that local government's boundaries.

(d) Local government shall use multi-agency or inter-agency coordination to facilitate decisions for overall local government level emergency response activities.

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§ 2409. Operational Area Level.

(a) "Operational Area Level" means an intermediate level of the state emergency services organization, consisting of a county and all political subdivisions within the county area. Each county geographic area is designated as an operational area. An operational area is used by the county and the political subdivisions comprising the operational area for the coordination of emergency activities and to serve as a link in the system of communications and coordination between the state's emergency operation centers and the operation centers of the political subdivisions comprising the operational area, as defined in Government Code s8559(b) & s8605. This definition does not change the definition of operational area as used in the existing fire and rescue mutual aid system.

(b) All local governments within the county geographic area shall be organized into a single operational area by December 1, 1995, and the county board of supervisors shall be responsible for its establishment.

- (c) The operational area authority and responsibility under SEMS shall not be affected by non-participation of any local government(s) within the operational area.
- (d) The county government shall serve as the lead agency of the operational area unless another member agency of the operational area assumes that responsibility by written agreement with county government.
- (e) The lead agency of the operational area shall:
 - (1) Coordinate information, resources and priorities among the local governments within the operational area.
 - (2) Coordinate information, resources and priorities between the regional level and the local government level. Coordination of fire and law enforcement resources shall be accomplished through their respective mutual aid systems.
 - (3) Use multi-agency or inter-agency coordination to facilitate decisions for overall operational area level emergency response activities.

(f) The operational area EOC shall be activated and SEMS used as described in the SEMS Organizational Levels and Functions (s2403) when any of the following conditions exists:

- (1) A local government within the operational area has activated its EOC and requested activation of the operational area EOC to support their emergency operations.
- (2) Two or more cities within the operational area have declared or proclaimed a local emergency.
- (3) The county and one or more cities have declared or proclaimed a local emergency.
- (4) A city, city and county, or county has requested a governor's proclamation of a state of emergency, as defined in Government Code s8558(b).
- (5) A state of emergency is proclaimed by the governor for the county or two or more cities within the operational area.
- (6) The operational area is requesting resources from outside its boundaries, except those resources used in normal day-to-day operations which are obtained through existing agreements providing for the exchange or furnishing of certain types of facilities and services on a reimbursable, exchange, or other basis as provided for under the Master Mutual Aid Agreement.
- (7) The operational area has received resource requests from outside its boundaries, except those resources used in normal day-to-day operations which are obtained through existing agreements providing for the exchange or furnishing of certain types of facilities and services on a reimbursable, exchange, or other basis as provided for under the Master Mutual Aid Agreement.

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§ 2411. Regional Level.

- (a) The regional level EOC shall be activated and SEMS used as described in SEMS Organizational Levels and Functions (s2403) when any operational area EOC within the mutual

aid region is activated.

(b) The lead agency for establishment of the regional level EOC shall be OES.

(c) The location of the regional level EOC shall be identified by OES to accommodate the needs of the operational area(s) served.

(d) When the regional level EOC is activated, communications and coordination shall be established with the operational area(s), the state level EOC, and regional level department operations centers. Coordination of fire and law enforcement resources shall be accomplished through their respective mutual aid systems.

(e) The regional level shall use multi-agency or inter-agency coordination to facilitate decisions for overall regional level emergency response activities.

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§ 2413. State Level.

(a) The state level EOC shall be activated and SEMS used as described in SEMS Organizational Levels and Functions (s2403) when any of the following conditions exists:

(1) A regional level EOC is activated.

(2) Upon the governor's proclamation of a state of emergency.

(3) Upon the governor's proclamation of an earthquake or volcanic prediction.

(b) The lead agency for establishment of the state level EOC shall be OES.

(c) When the state level EOC is activated, communications and coordination shall be established with the regional level EOC(s), state level department operations centers, and federal emergency response agencies. Coordination of fire and law enforcement resources shall be accomplished through their respective mutual aid systems.

(d) The state level shall use multi-agency or inter-agency coordination to facilitate decisions for overall state level emergency response activities.

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§ 2415. Mutual Aid.

(a) "Mutual Aid" means voluntary aid and assistance by the provision of services and facilities, including but not limited to: fire, police, medical and health, communication, transportation, and utilities. Mutual aid is intended to provide adequate resources, facilities, and other support to jurisdictions whenever their own resources prove to be inadequate to cope with a given situation.

(b) "Mutual Aid System" means the system which allows for the progressive mobilization of resources to/from emergency response agencies, local governments, operational areas, regions, and the state with the intent of providing adequate responses to requesting agencies. The California mutual aid system includes several discipline-specific mutual aid systems (e.g., fire and rescue, law enforcement, medical and public works) which are consistent with the Master Mutual Aid Agreement.

(c) All mutual aid systems and agreements shall be consistent with SEMS and the Master Mutual Aid Agreement.

(d) Unless otherwise provided by agreement, the responsible local official in whose jurisdiction(s) an incident requiring mutual aid has occurred remains in charge and retains overall direction of personnel and equipment provided through mutual aid (as provided for in Government Code s8618).

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BOARD

§ 2425. Establishment and Purpose.

The Director, OES, shall establish the SEMS Advisory Board consisting of representatives from emergency response agencies to provide advice on all aspects of this Chapter.

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ARTICLE 6. TRAINING

§ 2428. Minimum Performance Objectives.

(a) Emergency response agencies shall determine the appropriate level(s) of SEMS instruction for each member of their staff, based upon the staff member's potential assignment during an emergency response.

(b) Emergency response agencies shall ensure that their emergency response personnel can demonstrate and maintain, to the level deemed appropriate, the minimum SEMS performance objectives required by their agencies' training programs. Agencies shall use the Minimum Performance Objectives contained in the Approved Course of Instruction (ACI) Syllabus dated March 1, 1995, which are hereby incorporated by reference, as the basis for their training programs. Minimum Performance Objectives are contained in Paragraph D of each Course Module description.

(c) SEMS minimum performance objectives shall be met through completion of materials from

the ACI, completion of equivalent courses of instruction, or through incorporation of the objectives into exercises.

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§ 2443. General Provisions.

- (a) Local government must use SEMS in order to be eligible for state funding of response-related personnel costs occurring in response to an incident as defined in s 2402(i). All state agencies shall use SEMS to coordinate multiple jurisdiction or multiple agency emergency and disaster operations.
- (b) Compliance with SEMS shall be documented in the areas of planning, training, exercises, and performance.
- (c) All applicants for reimbursement of response-related personnel costs shall self-certify compliance with s2445, 2446, 2447, and 2448. This self-certification shall be submitted in writing with the application.
- (d) Evidence of compliance with SEMS as set forth in s2445, 2446, 2447, and 2448 shall be available for review.
- (e) When the OES Director determines sufficient evidence exists to warrant a SEMS Compliance review, a Review Team shall be established to evaluate the compliance with SEMS of any local government which has requested funding of its response-related personnel costs under disaster assistance programs, or any operational area or state agency. The OES Director shall notify the local government, operational area, or state agency being evaluated, the SEMS Advisory Board, and the fund(s) administrator of any disaster assistance program of the establishment of the Review Team. At a minimum, participants on the Review Team shall include peers of the entity being evaluated, OES staff, and others knowledgeable in emergency operations and SEMS. The Review Team shall meet with the local government, operational area, or state agency being evaluated and solicit all pertinent information. The team may also review records and interview persons knowledgeable on the SEMS compliance activities of the entity being evaluated. The Review Team shall report its findings to the local government, operational area, or state agency that was evaluated, the SEMS Advisory Board, and the OES Director. This report must be issued within ninety (90) days of the establishment of the Review Team.
- (f) The SEMS Advisory Board shall examine the Review Team's report within sixty (60) days of submittal of the report. The SEMS Advisory Board shall also consider additional information pertinent to the evaluation. The local government, operational area, or state agency being evaluated may submit additional information to the Board, either verbally or in writing. After consideration, the SEMS Advisory Board shall submit a recommendation to the OES Director. A copy of the recommendation shall be forwarded to the local government, operational area, or state agency being evaluated.
- (g) The OES Director shall make a determination on whether or not the local government, operational area, or state agency being evaluated was in compliance with SEMS. This determination shall be forwarded to the local government, operational area, or state agency being evaluated by certified letter within thirty (30) days of the SEMS Advisory Board's recommendation. A copy of the determination shall be provided to the fund(s) administrator of

any disaster assistance program.

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§ 2444. Appeal Process.

- (a) In the event the local government, operational area, or state agency being evaluated disagrees with the determination of the OES Director, the local government, operational area, or state agency may request a reconsideration of the determination. The request must be submitted within thirty (30) days of receipt of the letter of determination.
- (b) The request for reconsideration shall be in writing and indicate why the local government, operational area, or state agency disagrees with the decision, any new or additional pertinent information, and any legal authority or other basis for the disagreement with the determination.
- (c) The OES Director shall review the request for reconsideration and make a determination. The local government, operational area, or state agency that submitted the request for reconsideration shall be notified of the OES Director's decision by certified letter within thirty (30) days of receipt of the request for reconsideration. A copy of the determination shall be provided to the fund(s) administrator of any disaster assistance program.
- (d) The OES Director's decision shall be considered final for the purposes of the appeal process.

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§ 2445. Planning.

Local governments, operational areas, and state agencies shall include the use of SEMS in emergency plans and procedures pursuant to s2403, 2405, 2407, 2409, 2411, 2413 and 2415.

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§ 2446. Training.

Local governments, operational areas, and state agencies shall document SEMS training provided to its emergency response personnel pursuant to s2428.

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§ 2447. Exercises.

Local governments, operational areas, and state agencies shall incorporate the use of SEMS pursuant to s2403, 2405, 2407, 2409, 2411, 2413 and 2415 at all levels of operation when exercises are performed.

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§ 2448. Performance.

Local governments, operational areas, and state agencies shall document the use of SEMS. Documentation shall include activities performed pursuant to s2403, 2405, 2407, 2409, 2411, 2413 and 2415 during the emergency.

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ARTICLE 8. AFTER ACTION REPORTS

§ 2450. Reporting Requirements.

- (a) Any city, city and county, or county declaring a local emergency for which the governor proclaims a state of emergency, and any state agency responding to that emergency shall complete and transmit an after action report to OES within ninety (90) days of the close of the incident period as specified in California Code of Regulations, Title 19, s2900(j).
- (b) The after action report shall, at a minimum, be a review of response actions taken, application of SEMS, suggested modifications to SEMS, necessary modifications to plans and procedures, identified training needs, and recovery activities to date.

National Fire Protection Association 1600

NFPA 1600

Disaster/Emergency Management and Business Continuity Programs 2007 Edition

Chapter 1 Administration

1.1* Scope. This standard shall establish a common set of criteria for disaster/emergency management and business continuity programs hereinafter referred to as the program.

1.2 Purpose. This standard shall provide disaster and emergency management and business continuity programs, the criteria to assess current programs or to develop, implement, and maintain aspects for prevention, mitigation, preparation, response, and recovery from emergencies.

1.3* Application. This document shall apply to public, not-for profit, and private entities.

Chapter 2 Referenced Publications

2.1 General. The documents or portions thereof listed in this chapter are referenced within this standard and shall be considered part of the requirements of this document.

2.2 NFPA Publications. (Reserved)

2.3 Other Publications.

Merriam-Webster's Collegiate Dictionary, 11th edition, Merriam-Webster, Inc., Springfield, MA, 2003.

Chapter 3 Definitions

3.1 General. The definitions contained in this chapter shall apply to the terms used in this standard. Where terms are not defined in this chapter or within another chapter, they shall be defined using their ordinarily accepted meanings within the context in which they are used.

Merriam-Webster's Collegiate Dictionary, 11th edition, shall be the source for the ordinarily accepted meaning.

3.2 NFPA Official Definitions.

3.2.1* Approved. Acceptable to the authority having jurisdiction.

3.2.2* Authority Having Jurisdiction (AHJ). An organization, office, or individual responsible for enforcing the requirements of a code or standard, or for approving equipment, materials, an installation, or a procedure.

3.2.3 Shall. Indicates a mandatory requirement.

3.2.4 Should. Indicates a recommendation or that which is advised but not required.

3.2.5 Standard. A document, the main text of which contains only mandatory provisions using the word "shall" to indicate requirements and which is in a form generally suitable for mandatory reference by another standard or code or for adoption into law. Nonmandatory provisions shall be located in an appendix or annex, footnote, or fine-print note and are not to be considered a part of the requirements of a standard.

3.3 General Definitions.

3.3.1* Business Continuity. An ongoing process supported by senior management and funded to ensure that the necessary steps are taken to identify the impact of potential losses, maintain viable recovery strategies, recovery plans, and continuity of services.

3.3.2 Damage Assessment. An appraisal or determination of the effects of the disaster on human, physical, economic, and natural resources.

3.3.3 Disaster/Emergency Management. An ongoing process to prevent, mitigate, prepare for, respond to, and recover from an incident that threatens life, property, operations, or the environment.

3.3.4 Emergency Management Program. A program that implements the mission, vision, and strategic goals and objectives as well as the management framework of the program

and organization.

3.3.5 Entity. A governmental agency or jurisdiction, private or public company, partnership, nonprofit organization, or other organization that has emergency management and continuity of operations responsibilities.

3.3.6* Impact Analysis [Business Impact Analysis (BIA)]. A management level analysis that identifies the impacts of losing the entity's resources.

3.3.7 Incident Action Plan. A verbal plan, written plan, or combination of both, that is updated throughout the incident management, and member safety that are developed by the incident commander. [1561, 2005]

3.3.8* Incident Management System (IMS). The combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure, designed to aid in the management of resources during incidents.

3.3.9 Mitigation. Activities taken to reduce the severity or consequences of an emergency.

3.3.10* Mutual Aid/Assistance Agreement. A prearranged agreement between two or more entities to share resources in response to an incident.

3.3.11 Preparedness. Activities, tasks, programs, and systems developed and implemented prior to an emergency that are used to support the prevention of, mitigation of, response to, and recovery from emergencies.

3.3.12* Prevention. Activities to avoid an incident or to stop an emergency from occurring.

3.3.13* Recovery. Activities and programs designed to return conditions to a level that is acceptable to the entity.

3.3.14 Resource Management. A system for identifying available resources to enable timely and unimpeded access to resources needed to prevent, mitigate, prepare for, respond to, or recover from an incident.

3.3.15* Response. Immediate and ongoing activities, tasks, programs, and systems to manage the effects of an incident that threatens life, property, operations, or the environment.

3.3.16 Situation Analysis. The process of evaluating the severity and consequences of an incident and communicating the results.

3.3.17 Stakeholder. Any individual, group, or organization that might affect, be affected by, or perceive itself to be affected by the emergency.

Chapter 4 Program Management

4.1 Program Administration. The entity shall have a documented program that includes the following:

- (1) Executive policy including vision, mission statement, roles and responsibilities, and enabling authority
- (2) Program goals, objectives, and method of program evaluation
- (3)*Program plan and procedures
- (4) Applicable authorities, legislation, regulations, and/or industry codes of practice
- (5) Program budget and project schedule, including milestones
- (6) Records management practices

4.2* Program Coordinator. The program coordinator shall be appointed by the entity and authorized to administer and keep current the program.

4.3* Advisory Committee.

4.3.1* An advisory committee shall be established by the entity in accordance with its policy.

4.3.2 The advisory committee shall provide input to or assisting the coordination of the preparation, implementation, evaluation, and revision of the program.

4.3.3 The advisory committee shall include the program coordinator and others who have the appropriate expertise, knowledge of the entity, and the capability to identify resources from all key functional areas within the entity and shall solicit applicable external representation.

4.4 Program Evaluation.

4.4.1 The entity shall establish performance objectives for program management addressed in Chapter 4 and program elements identified in Chapter 5.

4.4.2 The entity shall conduct a periodic evaluation of the program based on the objectives.

Chapter 5 Program Elements

5.1* General.

5.1.1 The program shall include the elements given in Sections 5.2 through 5.16, the scope of which shall be determined by the impact of the hazards affecting the entity.

5.1.2* The program elements shall be applicable to prevention, mitigation, preparedness, response, and recovery.

5.2 Laws and Authorities.

5.2.1* The program shall comply with applicable legislation, policies, regulatory requirements, and directives.

5.2.2* The entity shall implement a strategy for addressing the need for revisions to legislation, regulations, directives, policies, and industry codes of practice.

5.3* Risk Assessment.

5.3.1* The entity shall identify hazards, monitor those hazards, the likelihood of their occurrence, and the vulnerability of people, property, the environment, and the entity itself to those hazards.

5.3.2* Hazards to be evaluated shall include the following:

- (1) Natural hazards (geological, meteorological, and biological)
- (2) Human-caused events (accidental and intentional)
- (3) Technological-caused events

5.3.3* The entity shall conduct an impact analysis to determine potential detrimental impacts of the hazards on the following:

- (1) Health and safety of persons in the affected area at the time of the incident (injury and death)
- (2) Health and safety of personnel responding to the incident
- (3)*Continuity of operations
- (4) Property, facilities, and infrastructure
- (5) Delivery of services
- (6) The environment
- (7)*Economic and financial condition
- (8) Regulatory and contractual obligations
- (9) Reputation of or confidence in the entity
- (10)*Regional, national, and international considerations

5.4 Incident Prevention.

5.4.1* The entity shall develop a strategy to prevent an incident that threatens people, property, and the environment.

5.4.2* The prevention strategy shall be based on the information obtained from Section 5.3 and shall be kept current using the techniques of information collection and intelligence.

5.4.3 The entity shall have a system to monitor the identified hazards and adjust the level of preventative measures to be commensurate with the risk.

5.5 Mitigation.

5.5.1* The entity shall develop and implement a mitigation strategy that includes measures to be taken to limit or control the consequences, extent, or severity of an incident that cannot be reasonably prevented.

5.5.2* The mitigation strategy shall be based on the results of hazard identification and risk assessment, impact analysis, program constraints, operational experience, and cost-benefit analysis.

5.5.3 The mitigation strategy shall include interim and long term actions to reduce vulnerability.

5.6* Resource Management and Logistics.

5.6.1 The entity shall establish resource management objectives consistent with the overall program goals and objectives as identified in Section 4.1 for the hazards as identified in Section 5.3.

5.6.2 The entity shall establish procedures to locate, acquire, store, distribute, maintain, test, and account for services, personnel, resources, materials, and facilities procured or donated to support the program.

5.6.3 The resource management objectives established shall include the following:

(1) Personnel, equipment, training, facilities, funding, expert knowledge, materials, technology, information, intelligence, and the time frames within which they will be needed

(2) Quantity, response time, capability, limitations, cost, and liability connected with using the involved resources

(3) Resources and any needed partnership arrangements essential to the program

5.6.4 Resource management shall include the following tasks:

(1) Establishing processes for describing, inventorying, requesting, and tracking resources

(2) Activating these processes prior to and during an incident

(3) Dispatching resources prior to and during an incident

(4) Deactivating or recalling resources during or after incidents

(5) Contingency planning for shortfalls of resources

5.6.5 An assessment shall be conducted to identify the resource capability shortfalls and the steps necessary to overcome any shortfalls.

5.6.6 A current inventory of internal and external resources shall be maintained.

5.6.7 Donations of goods, services, personnel, and facilities, solicited and unsolicited, and the management thereof, shall be addressed.

5.7* Mutual Aid/Assistance.

5.7.1 The need for mutual aid/assistance shall be determined.

5.7.2 If mutual aid/assistance is needed, agreements shall be established.

5.7.3 Mutual aid/assistance agreements shall be referenced in the program plan.

5.8 Planning.

5.8.1 Planning Process.

5.8.1.1 The program shall follow a planning process that develops plans for the strategy, prevention, mitigation, emergency operations/response, business continuity, and recovery.

5.8.1.2 The entity shall engage in the planning process on a regularly scheduled basis or when the situation has changed to put the accuracy of the existing plan into question.

5.8.1.3 Where applicable, the entity shall include key stakeholders in the planning process.

5.8.2 Common Plan Elements.

5.8.2.1 Plans shall have clearly stated objectives.

5.8.2.2 Plans shall identify functional roles and responsibilities of internal and external agencies, organizations, departments, and positions.

5.8.2.3 Plans shall identify lines of authority for these agencies, organizations, departments, and positions.

5.8.2.4 Plans shall identify logistics support and resource requirements.

5.8.2.5 Plans shall identify the process for managing an incident.

5.8.2.6 Plans shall identify the process for managing the communication and flow of information, both internally and externally.

5.8.3 Plans.

5.8.3.1* The program shall include a strategic plan, an emergency operations/response plan, a prevention plan, a mitigation plan, a recovery plan, and a continuity plan.

5.8.3.2* The plans developed shall be either individual or integrated into a single plan document, or a combination of the two.

5.8.3.3* The strategic plan shall define the vision, mission, goals, and objectives of the program. (*See Section 4.1.*)

5.8.3.4* The emergency operations/response plan shall assign responsibilities for carrying out specific actions in an emergency.

5.8.3.5 The prevention plan shall establish interim and long term actions to eliminate hazards that impact the entity.

5.8.3.6 The mitigation plan shall establish interim and long term actions to reduce the impact of hazards that cannot be eliminated.

5.8.3.7* The recovery plan shall provide for short-term and long-term priorities for restoration of functions, services, resources, facilities, programs, and infrastructure.

5.8.3.8* The continuity plan shall identify stakeholders that need to be notified, the critical and time-sensitive applications, alternative work sites, vital records, contact lists, processes, and functions that shall be maintained, as well as the personnel, procedures, and resources that are needed while the entity is recovering.

5.8.3.9 The entity shall make appropriate sections of the plans available to those assigned specific tasks and responsibilities therein and to other stakeholders as required.

5.9 Incident Management.

5.9.1* The entity shall develop an incident management system to direct, control, and coordinate response and recovery operations.

5.9.2* The incident management system shall describe specific organizational roles, titles, and responsibilities for each incident management function.

5.9.3 The entity shall establish applicable procedures and policies for coordinating response, continuity, and recovery activities with stakeholders directly involved in response, continuity, and recovery operations.

5.9.4 The entity shall establish applicable procedures and policies for coordinating response, continuity, and recovery activities with appropriate authorities and resources, including activation and deactivation of plans, while ensuring compliance with applicable statutes or regulations.

5.9.5* Emergency operations/response shall be guided by an incident action plan or management by objectives.

5.10 Communications and Warning.

5.10.1 Communications systems shall be established and regularly tested to support the program.

5.10.2 Communication procedures shall be established by the entity and regularly exercised to support the program.

5.10.3* The entity shall develop and maintain the capability to alert officials and emergency response personnel.

5.10.4 Emergency communications and warning protocols, systems, processes, and procedures shall be developed, periodically tested, and used to alert people potentially impacted by an actual or impending emergency.

5.10.5 The entity shall determine communication needs, provide capabilities to execute plans, and review and address the interoperability of multiple responding organizations.

5.11* Operational Procedures.

5.11.1 The entity shall develop, coordinate, and implement operational procedures to support the program and execute its plans.

5.11.2* Procedures shall be established and implemented for response to and recovery from the consequences of those hazards identified in Section 5.3 and shall address health and safety, incident stabilization, operational/business continuity, property conservation, and protection of the environment under the jurisdiction of the entity.

5.11.3 Procedures, including life safety, incident stabilization, operational/business continuity, and property conservation, shall be established and implemented for response to, and recovery from, the consequences of those hazards identified in Section 5.3.

5.11.4* Procedures shall be in place to conduct a situation analysis that includes a needs assessment, damage assessment, and the identification of resources needed to support response and recovery operations.

5.11.5 Procedures shall allow for concurrent recovery and mitigation activities during emergency response.

5.11.6 Procedures shall be established for succession of management/government as required in 5.8.3.8.

5.12 Facilities.

5.12.1* The entity shall establish a primary and an alternate emergency operations center, physical or virtual, capable of managing continuity, response, and recovery operations.

5.12.2 Facilities capable of supporting continuity, response, and recovery operations shall be identified.

5.13 Training.

5.13.1 The entity shall develop and implement a training/educational curriculum to support the program.

5.13.2 The objective of the training shall be to create awareness and enhance the skills required to develop, implement, maintain, and execute the program.

5.13.3 Frequency and scope of training shall be identified.

5.13.4 Personnel shall be trained in the entity's incident management system.

5.13.5 Training records shall be maintained.

5.13.6 The training and education curriculum shall comply with all applicable regulatory requirements.

5.14 Exercises, Evaluations, and Corrective Actions.

5.14.1 The entity shall evaluate program plans, procedures, and capabilities through periodic reviews, testing, and exercises.

5.14.2 Additional reviews shall be based on post-incident analyses and reports, lessons learned, and performance evaluations.

5.14.3* Exercises shall be designed to test individual essential elements, interrelated elements, or the entire plan(s).

5.14.4* Procedures shall be established to take corrective action on any deficiency identified.

5.15 Crisis Communication and Public Information.

5.15.1* The entity shall develop procedures to disseminate and respond to requests for pre-incident, incident, and post incident information, as well as to provide information to internal and external audiences, including the media, and deal with their inquiries.

5.15.2* The entity shall establish and maintain an emergency public information capability that includes the following:

- (1) A central contact facility for the media
- (2) A system for gathering, monitoring, and disseminating emergency information
- (3) Pre-scripted information bulletins
- (4) A method to coordinate and clear information for release
- (5) The capability of communicating with special needs populations
- (6) Protective action guidelines/recommendations (e.g., shelter-in-place or evacuation)

5.15.3 Where the public is potentially impacted by a hazard, a public awareness program shall be implemented.

5.15.4 The entity shall develop procedures to advise the public, through authorized agencies, of threats to people, property, and the environment.

5.16* Finance and Administration.

5.16.1* The entity shall develop financial and administrative procedures to support the program before, during, and after an emergency or a disaster.

5.16.2 Procedures shall be created and maintained for expediting fiscal decisions in accordance with established authorization levels and fiscal policy.

5.16.3 The procedures shall include the following:

- (1) Establishment and definition of responsibilities for the program finance authority, including its reporting relationships to the program coordinator
- (2) Program procurement procedures
- (3) Payroll
- (4) Accounting systems to track and document costs
- (5)*Management of funding from external sources