

# EMERGENCY PLAN REVIEW CROSSWALK 2020 STATE AGENCIES

## **Introduction**

Per Executive Order W-9-91, Cal OES is tasked with reviewing and approving state agency emergency operation plans (EOP) and procedures designed to carry out emergency assignments. To assist with this review, Cal OES has developed this checklist (referred to as a crosswalk) of emergency plan elements designed to ensure that the fundamentals of the Standardized Emergency Management System (SEMS) and the National Incident Management System (NIMS) are included in the plan. The crosswalk is not inclusive of all issues that could be addressed in an emergency plan. There is no prescribed format. Users of this crosswalk may alter the sequence or format in any manner that meets their needs and complies with SEMS. The current version of this crosswalk can be found on the [Cal OES](#) web page.

A state agency EOP is developed to coordinate the agency's response to specific types of incidents in support of state operations to emergencies and disasters. It should conform to the State Emergency Plan (SEP) by using SEMS principals and functions. In contrast, an agency's business continuity plan is strategic in nature and addresses the aftermath of a critical incident resulting in loss of productivity or physical damages to that agency's ability to perform its primary function. The agency EOP and continuity of operations plans complement each other. This crosswalk is designed for reviewing State Agency EOPs and not continuity of operations plans. More information on continuity planning can be found on the [Cal OES Continuity Planning](#) website.

## **References:**

- [State of California Emergency Plan](#)
- [CA-Emergency Support Functions](#)
- [State Agency Administrative Orders](#)
- [Standardized Emergency Management System \(SEMS\)](#)
- [National Incident Management System \(NIMS\)](#)
- [FEMA Developing and Maintaining Emergency Operations Plans - Comprehensive Planning Guide \(CPG 101\)](#)

## **How to Use This Checklist:**

Please submit your State Agency EOP with a copy of this crosswalk to Cal OES. Indicate the page location where that element can be found or state "N/A" if you do not feel that it applies to your agency. Cal OES planners will review your plan and provide any comments or feedback. After the plan has been reviewed and comments adjudicated, Cal OES will issue a letter of approval.

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Agency:

Plan Name:

Submitted By:

Date:

Email:

Phone Number:

Reviewed By:

Date:

Email:

Phone Number:

## FOREWORD SECTION – INTRODUCTORY MATERIAL

### 1. Foreword/Preface/Introduction:

- This section should describe that the plan is flexible enough to use in all emergencies and will facilitate response and short-term recovery activities. (CPG 101)
- Provide a foreword, preface, or introduction that explains why the plan was developed and how the plan is to be used. (SEMS)

### 2. Letter of Approval:

- The promulgation document gives the plan official status, and gives both the authority and the responsibility to the agency's boards, departments or offices (BDO) to perform their tasks. (CPG 101)
- Provide evidence of a dated letter of promulgation from the agency secretary or director. (SEMS)

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### **3. Record of Changes:**

- Normally a table with fields that track each update or change to the plan. (CPG 101)
- Who maintains the emergency plan? What is the process? Detail schedules for modifications, revision list, and who has responsibility for ensuring the plan is kept up-to-date. (SEMS)

### **4. Record of Distribution:**

- Normally a table with fields that indicate who received the plan, date of delivery and number of copies. (CPG 101)
- Include a distribution method that indicates who received the plan and when. (SEMS)

### **5. Table of Contents:**

- Outlines the plan's format, key sections, attachments, charts, etc. Identifies the major chapters and key elements within the EOP. (CPG 101)
- List of where significant parts of the plan are located by page number and subsection of the plan. (SEMS)

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## PART I: BASIC PLAN

**6. Purpose:** Describe the purpose for developing and maintaining the EOP. (CPG 101)

**7. Scope:** Describe at what times or under what conditions the plan will be activated. (CPG 101)

**8. Situation Overview:** Provide an overview of the steps taken to prepare for disaster response. Include a summarized hazard analysis, a capability assessment and mitigation overview. This and other relevant information should be included to provide a rationale for prioritizing emergency preparedness actions for specific hazards. (SEMS and CPG 101)

**9. Planning Assumptions:** Identify what are assumed to be facts for planning purposes in order to make it possible to execute the EOP. (CPG 101)

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### **10. Concept of Operations:**

- Describe the EOP concept of operations. In broad terms, explain the agency's intent with regard to emergency operations. (CPG 101)
- Include the principles and methods used to carry out emergency operations in the Department Operations Center (DOC). (SEMS)

### **11. Organization and Assignment of Responsibilities:**

- Describe organizational structures, roles and responsibilities, policies and protocols for providing emergency support. (CPG 101)
- Include an emergency organization chart. Indicate how the agency fulfills the five SEMS sections (Management, Plans/Intelligence, Operations, Logistics, and Finance/Administration). (SEMS)

**12. Information Collection, Analysis and Dissemination:** Discuss essential elements of information (EEI) needed for the agency's incident response. (CPG 101)

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### **13. Communications:**

- Describe the communications and coordination protocols used between the Lead Agency and its Boards, Departments, and Offices. (CPG 101)
- Indicate how the DOC will coordinate and communicate with field units and other entities. (SEMS)

**14. Administration, Finance, and Logistics:** Describe administrative protocols including documentation, after-action reporting, cost recovery, and resource management. (CPG 101)

### **15. Plan Development and Maintenance:**

- Describe the process to regularly review and update the EOP. (CPG 101)
- Who maintains the emergency plan? What is the process? Detail schedules for modifications, and who has responsibility for ensuring the plan is kept up-to-date. (SEMS)

### **16. Authorities and References:**

- Describe the EOP authorities and references. (CPG 101)
- Provide authorities for the plan and its development. Identify the references used in developing the plan. (SEMS)

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## BASIC PLAN (ADDITIONAL SEMS ELEMENTS)

**17. Department Operations Center (DOC) Organization:** Describe the roles and responsibilities of the agency's Boards, Departments and Offices (BDOs) in the DOC, including who is responsible for ensuring the readiness of the DOC.

**18. Essential Facilities-Primary and Alternate DOC:** Indicate the location of both the primary and alternate DOC and what conditions would cause the alternate DOC to be activated.

**19. Essential Facilities-Activation/Deactivation of DOC:** Indicate how, when, and by whom, the DOC will be activated and deactivated.

**20. Field/DOC Direction and Control Interface:** Describe the direction and control relationship between the field staff (ICS) and the DOC. This should include the reporting of pertinent information.

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**21. Vital Record Retention:** Indicate how vital records are to be protected in the event of a disaster. Most data storage systems have a back-up system. Identify the system, archiving schedules, and who has responsibility for its maintenance.

**22. Notification and Mobilization:** Describe how resources are mobilized and managed (Gov. Code Sec. 8560). Include methods to contact emergency response personnel during normal business hours and after hours. This may be in the form of an alert list.

**23. Recovery After-Action Reports (AAR):** Define procedures to submit AARs to Cal OES via Cal EOC.

**24. Standard Operating Procedures (SOP) Development:** Ensure the agency's BDOs develop and maintain standard operating procedures (SOP). Indicate in the plan the relationship and purpose of SOPs to the plan.



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**25. Training and Exercises:** Describe the training and exercise programs for the agency, including who has personal responsibility for the programs. Training should include EOP orientation, SEMS training, and other training as deemed necessary.

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## APPENDICES (SEMS ELEMENTS)

**26. Glossary of Terms:** Include a glossary of terms that includes all the terms used throughout the plan.

**27. Resources:** Identify sources for materials and supplies internally and externally.

**28. Information Checklists:** Include SEMS position checklists, DOC checklists, etc.

**29. Supporting Documentation:** Include material necessary to self-certify compliance with SEMS. This should include evidence of training, planning, exercises, and performance.

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## PART II: FUNCTIONAL ANNEXES

**30. California Emergency Support Function Leads:** Briefly discuss the California Emergency Support Functions (CA-ESF) that may be completed by agency BDOs (refer to CA-ESF Annex).

**31. California Emergency Support Function Supporting Agency:** Briefly discuss the CA-ESF support roles that may be completed by agency BDOs (refer to CA-ESF Annex).

**Reviewer Comments:**