## IMPERIAL COUNTY TRANSPORTATION COMMISSION (ICTC)

## AGENCY SAFETY PLAN (ASP) 2020



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#### **Public Transportation Agency Safety Plan (PTASP) Rule Overview**

On July 19, 2018, the Federal Transit Administration (FTA) published the Public Transportation Agency Safety Plan (PTASP) Rule that requires certain transit operators of public transportation systems that receive federal funds under FTA's Urbanized Area Formula Grants to develop a PTASP (Plan) that include the processes and procedures to implement Safety Management System (SMS).

- The Rule 49 CFR Part 673 became effective on July 19, 2019.
- FTA published a Dear Colleague letter on July 19, 2019, to alert the transit industry of the July 20, 2020 safety compliance deadline.

The PTASP must include all applicable requirements of Part 673. The PTASP must be signed by the Executive Director of the transit agency and approved by the transit agency's Commission Board. Transit agency also must certify they have a PTASP in place meeting the requirements of the rule by July 20, 2020. The PTASP must be updated and certified by the transit agency annually.

The rule applies to all operators of public transportation systems that are recipients and sub-recipients of federal financial assistance under the Urbanized Area Formula Program (49 U.S.C. § 5307).

The rule does not apply to agencies that are subject to the safety jurisdiction of another federal agency, including passenger ferry operators regulated by the U.S. Coast Guard and rail operators regulated by the Federal Railroad Administration.

FTA has adopted the principles and methods of SMS as the basis for enhancing the safety of public transportation in the United States.



#### **Transit Agency Information**

The Imperial County Transportation Commission (ICTC) was established under Senate Bill 607 (SB 607 - Ducheny) which was approved by the California Legislature and Governor Arnold Schwarzenegger in 2009. As a county transportation commission, ICTC member agencies are enabled to exercise basic initiative and leadership in the transportation planning and programming process. The ICTC will act under all applicable laws and statutes for county transportation commissions. ICTC body will guide the development of the Regional Transportation Plan for the Imperial region and its Regional, State and Federal transportation improvement programs (TIPs) and their updates, including, but not limited to: the distribution and oversight of Local Transportation Fund monies; the preparation and submittal of applications for transportation-related funds; approve the allocation of and claims for Transportation Development Act funds; the planning, programming and administration of regional transit services; and, encourage active citizen participation in the development and implementation of various transportation-related plans and programs.

As established under SB 607, the ICTC Board is currently composed of ten voting members and one non-voting member consisting of two members of the Imperial County Board of Supervisors; one member from each incorporated city (seven) within Imperial County who shall be the mayor of the city or a member of its city council; one member of the Board of Directors of the Imperial Irrigation District; and, one non-voting member appointed by the Governor representing the California Department of Transportation (Caltrans). In the future, the governing Board of the commission may also include the following ex-officio or non-voting members: one member representing the State of Baja California, Mexico, who may be appointed by the governor of the state; one member representing the municipality of Mexicali, Mexico, who may be the mayor or his or her designee; one member representing the Consul of Mexico in Calexico, California, who may be the consul or his or her designee; and, one member representing any federally recognized Native American tribe in Imperial County.

In addition to the responsibilities described above, the Commission provides direct management, administration, and oversight for the following local and regional transportation programs:

- Imperial Valley Transit (IVT) System and its Inner City Circulator Service (Blue, Green, and Gold Lines)
- MedTrans (Non-Emergency Medical Demand Response Service to San Diego)
- IVT ACCESS (Americans with Disabilities Act ADA Paratransit Service)
- IVT RIDE (curb to curb transit service for seniors; persons age 55 years and over, and persons with disabilities in the Cities of Brawley, Calexico, El Centro, Imperial and West Shores)
- Local Transportation Authority (Measure D Sales Tax Program)



Transit Agency Name	Imperial County Transportation Commission (ICTC)		
Transit Agency Address	1503 N. Imperial Ave., Suite 104, El Centro, CA 92243		
Name and Title of Accountable Executive	Mark Baza, Executive Director		
Name of Chief Safety Officer or SMS Executive	David Aguirre, Transit Program Manager		
Mode(s) of Service Covered by This Plan	Fixed Route Bus; Paratransit; Dial-A-Ride and Non-Emergency Transportation		
Types (e.g., 5307,	5307 Operations/Capital 5310 Mobility Management		
	5311 Operations/Capital		
	TDA-LFT Operations TDA-STA Operations/Capital		
Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)	<ul> <li>ICTC provides direct management, administration, and oversight for the following local and regional transportation programs:         <ul> <li>Imperial Valley Transit (IVT) System and its Inter-City Circulator Services (Blue, Green and Gold Lines)</li> <li>IVT Access (Americans with Disabilities Act (ADA) Paratransit Service)</li> <li>MedTrans (Non-Emergency Medical Demand Response Service to Schego)</li> <li>IVT RIDE (Dial-A-Ride Services in the Cities of Brawley, Calexico, El Centro, Heber, Imperial, and the West Shore's Community)</li> </ul> </li> <li>Transit services are contracted out for operations and maintenance.</li> </ul>		
Does the agency provide transit services on behalf of another transit agency or entity?	Yes No Description of Arrangement(s)		



#### Plan Development, Approval, and Updates

ICTC is a small bus transit agency with fewer than 100 buses that serve rural and urban areas in Imperial County. ICTC has decided to develop its PTASP and has informed the State Safety entity (Caltrans) of its decision on February 27, 2020. Consequently, ICTC has developed this Plan to comply with 49 C.F.R Part 673 requirements. This regulation requires that the Plan must be developed based on the four (4) principles or pillars of the Safety Management Systems (SMS). SMS is defined as the formal, top-down, organization-wide, data-driven approach to managing safety risk and assuring the effectiveness of safety mitigations. It includes systematic policies, procedures, and practices for the management of safety risk. The four principles or pillars of SMS are (1) Safety Management Policy; (2) Safety Risk Management; (3) Safety Assurance; and (4) Safety Promotion.

#### Certification

This Plan will be certified by David Aguirre, Transit Program Manager, ICTC on June 30, 2020, or earlier and will be attested by a letter of certification that can be viewed at ICTC Offices located at 1503 N. Imperial Avenue, Suite 104, El Centro, CA 92243. ICTC will ensure this Plan is maintained for three years after its creation and these documents are available to FTA or other Federal entities upon request.

Name of Person Who Drafted This Plan	Maricela Galarza, Regional Mobility Coordinator			
	This Plan addresses the applicable requirements and standards stated in FTA's Public Transportation Safety Plan and the National Public Transportation Safety Plan. This Plan is developed by ICTC and by signature below, the Executive Director confirms the development of this Plan.			
	Signature by the Executive Director	Date of Signature		
	Mark By	5/27/2020		
	County Commission	Date of Approval		
Approval by	Resolution #	5/27/2020		
the Board of Commission	Relevant Documentation (title and location)			
Commission	A copy of County Commission Resolution #, approving the Agency Safety Plan (ASP), is maintained on file by the Transit Program Manager.			



	Version Number and Updates					
	Record the complete history of successive versions of this plan.					
Version Section/Pages Number Affected			Reason for Change	Date Issued		
	1	First Original Document	Official Copy of Safety Plan	5/27/2020		

#### Annual Review and Update of the Public Transportation Agency Safety Plan

Describe the process and timeline for conducting an annual review and update of the Public Transportation Agency Safety Plan.

This plan will be reviewed and updated by the Transit Program Manager beginning in April of every fiscal year. The Executive Director will review and approve any changes, signing the new ASP by May 1<sup>st</sup> of every year then will forward it to the Imperial County Transportation Commission for review and approval on the meeting held on every fourth Wednesday of the month of May. Any updated plan will be ready to be implemented by July 1<sup>st</sup> of every fiscal year.



#### **Safety Performance Targets**

#### **Safety Performance Targets**

Specify performance targets based on the safety performance measures established under the National Public Transportation Safety Plan.

ICTC must develop and implement safety performance target goals. When safety performance target goals are not met, ICTC will work to identify why such goals were not met and what actions can be taken to minimize the gap in achieving defined goals. However, when goals are easily achieved, action will be taken to exceed expectations and re-establish a reasonable baseline.

Targets below are based on a review of the previous **5 years of** safety performance data. Including; from Fiscal year 2015-16 to present the Fiscal Year 2019-20.

System reliability percentages are based on the following;

- 1. Physical Bottlenecks—insufficient capacity in the system to handle the volume without delays.
- 2. Fluctuations in Normal Traffic Volume—especially regarding highways, some days of the week see much higher traffic volumes than others.
- 3. Incidents—breakdowns or accidents on the highway, rights-of-way, and runways can delay traffic.
- 4. Weather—can lead to changes in driver behavior that affect traffic flow.
- 5. Special Events—create surges in demand on the system that are significantly greater than usual.
- 6. *Work Zones*—repair or maintenance work on highways, railways, airports, or port facilities can reduce the ability of the system to handle normal traffic volumes.
- 7. *Traffic Control Devices*—interruptions from railroad crossings, drawbridges, poorly timed traffic lights, etc. can cause delays that impact travel reliability

Mode of Transit Service	Fatalities (total)	Fatalitie s (per 100 thousan d VRM)	Injuries (total)	Injuries (per 100 thousan d VRM)	Safety Events (Accide nts/Inci dents) (total)	Safety Events (per 100 thousand VRM)	System Reliabili ty (VRM / failures)
Fixed Route Bus	0	0	0	0	10	.24	42,264
ADA / Paratransit	0	0	0	0	2	.15	35,685
Dial-A-Ride Bus	0	0	5	0.65	2	.26	14,229
Medical Transportation to San Diego	0	0	0	0	0	0	70,515



#### **Safety Performance Target Coordination**

Describe the coordination with the State and Metropolitan Planning Organization(s) (MPO) in the selection of State and MPO safety performance targets.

ICTC's Executive Director shares our ASP, including safety performance targets, with the Metropolitan Planning Organization (MPO) and the state agency in our service area each year after its formal adoption by the Commission. By June 15<sup>th</sup> of every year, an adopted copy of the ASP, including safety performance targets is provided to the Southern California Association of Governments (SCAG) and the California Department of Transportation (Caltrans). ICTC's MPO is the Southern California Association of Governments (SCAG) and state agency to report to is Caltrans District 11. ICTC's personnel are available to coordinate with Caltrans and SCAG on any safety performance targets upon request.

	State Entity Name	Date Targets Transmitted
Targets Transmitted to the State	California Department of Transportation (Caltrans)	6/15/2020
	Metropolitan Planning Organization Name	Date Targets Transmitted
Targets Trasnmittedd to the Metropolitan Planning Organization(s)	Southern California Association of Governments (SCAG)	6/15/2020



#### **Safety Management Policy**

#### Safety Management Policy Statement

Include the written statement of safety management policy, incorporating safety objectives.

Safety is a core value at ICTC, and managing safety is a core business function. We will maintain, and continuously improve processes to ensure the safety of our passengers and the public. ICTC is committed to the following safety objectives:

- Communicating with the Operations Contractor, the purpose and benefits of their developed Safety Management System (SMS) that cover transit operations administered by ICTC.
- Assuring the Operations Contractor provides a culture of open reporting of all safety concerns, ensuring that no action will be taken against any employee who discloses a safety concern unless such disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures.
- The safety and health of passengers and transit operation employees is this organization's most important business consideration. ICTC recognizes that no employee should be required to do a job that they consider unsafe for themselves, passengers, or the public. ICTC will ensure that the Operations Contractor complies with its "Be Safe" safety concept in their ASP (Exhibit 1, pg. 5-6) to maintain the safety and health requirements and maintain operational safety and health standards that equal or exceed the best practices in the transit industry.
- Providing appropriate management involvement and the necessary resources to support the Operations Contractor to maintain an effective safety reporting system that will encourage employees to communicate and report any unsafe work conditions, hazards, or at-risk behavior to the Operations Management team.
- Assure that the Operations Contractor identifies any hazardous and unsafe work conditions. The
  gathered information will be analyzed and ICTC is expected to be informed. ICTC will oversee
  processes and procedures to mitigate safety risks to an acceptable level.
- Continue to work with the Operations Contractor to establish safety performance targets that are realistic, measurable, and data-driven. Continually improving our safety performance through management processes that ensure appropriate safety management action is taken and is effective.
- Striving to achieve ICTC's goal of zero accidents and injuries.
- Providing resources for any mechanical and physical safeguards wherever they are necessary.
- Keep records and investigate accidents to determine the cause and work along with the Operations Contractor to prevent similar accidents.
- Continue to work effectively with the Operations Contractor, ICTC's transit operator, to analyze and/or address any safety and health concerns that may affect transit operations. ICTC supports the Operations Contractor in developing, maintaining, and implementing its ASP while operating ICTC's transit services (Exhibit 1).

Mark Baza, Executive Director

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#### **Safety Management Policy Communication**

Describe how the safety management policy is communicated throughout the agency's organization. Include dates where applicable.

ICTC's management strives for the prevention of any collisions and/or injuries. ICTC management remains in constant contact with the Contractor's safety manager and location general manager, to be well informed about any safety-and-health hazards. ICTC management regularly reviews any updates on the Contractor's safety and health policy. The Contractor's Safety Manager is responsible for training workers in safe work practices and reporting to the Location General Manager on any incidents or safety concerns (Exhibit 1, pgs. 7-9). In addition to regular updates and meetings, ICTC management coordinates formal quarterly operational meetings for all services operated by the Contractor. The meeting keeps ICTC management informed on any operational issues, number of collisions, number of injuries, safety efforts, vehicle maintenance, etc.. ICTC encourages the Contractor's employees to participate in any safety and health program activities including, immediately reporting hazards, unsafe work practices, and accidents to supervisors and/or management, wearing required personal protective equipment, and, participating in and supporting safety planned activities such as training, drills, etc.

ICTC encourages the free flow of information, therefore the Operation's Contractor can share information openly and candidly at any time. ICTC expects the Operations Contractor to provide complete, detailed, accurate, and forthright information to management to assure the proper action is taken to alleviate any critical situation. ICTC management will actively solicit feedback, listen to concerns, and communicate openly with the Operations Contractor to assure that performance targets and safety performance targets are strived to be met.

ICTC management will promptly communicate expected outcomes, potential problems, planned contingencies, and abort criteria for important decisions. ICTC management will share information on a wide range of issues with the Contractor's Local General Manager and periodically verify his/her understanding of the information. ICTC management will take steps to avoid unintended or conflicting messages that may be conveyed by critical safety-related decisions. ICTC management will encourage the Operations Contractor to ask questions or give feedback if they do not understand the basis of a management decision. ICTC's constant communication with the Operations Contractor during operational activities will assure safety is not a concern. ICTC's management will communicate with the Operations Contractor the reasons for resource allocation decisions, organizational changes, and other decisions affecting the organization as a whole, including the safety implications of those decisions.

The Transit Program Manager will oversee any of the Operations Contractor SMS activities and ASP implementation on transit services. The Operations Contractor introduced their SMS (ASP, Exhibit 1) principles in September 2019. It is expected for the Operations Contractor to present ICTC management with any updated ASP. ICTC Transit Program Manager will introduce ICTC's ASP in June 2020, to pertaining staff including the Operations Contractor. ICTC's Management Policy Statement will also be distributed to each pertaining employee and the Operations Contractor in the form of a handout during a scheduled quarterly meeting. ICTC expects the Operations Contractor to post copies of their Safety Management Policy Statement on any office bulletin board, breakrooms, and any location where applicable. ICTC expects that Operations Contractor has incorporated review and distribution of the Safety Management Policy Statement into new-hire training and all-staff annual refresher training.



#### Authorities, Accountabilities, and Responsibilities

Describe the authorities, accountabilities, and responsibilities of the following individuals for the development and management of the transit agency's SMS.

ICTC transit services are contracted out. ICTC requires that the Operations Contractor develop, maintain, and implement their SMS (Exhibit 1) for the following transit service operations:

- Imperial Valley Transit (IVT) System and its Inter-City Circulator Services (Blue, Green and Gold Lines)
- IVT Access (Americans with Disabilities Act (ADA) Paratransit Service)
- MedTrans (Non-Emergency Medical Demand Response Service to San Diego)
- IVT RIDE (Dial-A-Ride Services in the Cities of Brawley, Calexico, El Centro, Heber, Imperial, and the West Shore's Community)

ICTC also requires the contractor to adhere to ICTC's ASP throughout the life of the contractual agreement between both entities. ICTC makes safety a priority, therefore ensures clear communication with the Contractor is created and maintained. ICTC is to keep records of any incidents, injuries, and/or collisions throughout the contracting period.

# Accountable Executive

The ICTC Executive Director has the following authorities, accountabilities, and responsibilities under this plan:

- Designates ICTC management to assure safety is effectively applied to transit operations and maintenance.
- Assumes ultimate responsibility for carrying out ICTC's ASP and SMS
- Ensures that ICTC's ASP and the Operations Contractor SMS is effectively implemented.
- Assumes ultimate responsibility for carrying out the agency's Transit Asset Management Plan.

The Contractor Location General Manager, accountabilities, and responsibilities under their plan (Exhibit 1, pgs. 10-13):

- Designates an adequately trained manager who is a direct report.
- Ensures that SMS is effectively implemented.
- Ensures action is taken to address substandard performance in SMS.
- Assumes ultimate responsibility for carrying out ASP and SMS.

## **Chief Safety Officer** or SMS Executive

ICTC Executive Director has designated the Transit Program Manager to have the following authorities, accountabilities, and responsibilities under this plan:

- Designee for contractors reports on any safety, operations, and maintenance issues.
- Controls and directs human and capital resources needed for Transit operations and maintenance.
- Ensures action is taken to address substandard performance about performance requirements and as illustrated in the Operations Contractor SMS.
- Oversees day to day transit operations and maintenance.
- Responsible for the coordination of the formal quarterly operational meetings.
  - > Develop and maintain memos for each formal quarterly meeting with the Operations Contractor.



- > Keep records of safety reports provided during the meeting.
- Establishes and maintains safety event log to monitor and analyze trends in hazards, occurrences, incidents, and accidents that are reported by the Operations Contractor.
- Advises the Executive Director on any operational issues, safety issues, and maintenance issues. Also, reports the progress and/or status on any incidents, collision, and injuries.
- Ensures Operations Contractor policies are consistent with ICTC's safety objectives.
- Establishes guidance on the level of safety risk acceptable to the agency.
- Assures safety policy is appropriately communicated throughout the agency.
- Ensures safety concerns are considered and addressed in the agency's ongoing budget planning process.
- Assures to maintain safety documentation.
- Provides regular reports on safety performance.
- Brief the Executive Director and Commission on PTASP/SMS implementation activities.

The Operations Contractor has designated the Senior Director of Safety. The Senior Director of Safety has the following authorities, accountabilities, and responsibilities under this plan (Exhibit 1, pgs. 10-13).

#### Agency Leadership and Executive Management

ICTC Management and Regional Mobility Coordinators also have authorities and responsibilities that ensure the Operations Contractor's day to day SMS implementation and operation under this plan. ICTC staff includes:

- ✓ Executive Director
- ✓ Transit Program Manager
- ✓ Regional Mobility Coordinators

ICTC Management and Regional Mobility Coordinators have the following authorities, accountabilities, and responsibilities:

- Participate in formal Safety Operational Quarterly Meetings, also additional regular update meetings and/or teleconference calls.
- Complete training about SMS and ASP elements.
- Oversee and remain involved in day-to-day transit operations under ICTC's ASP and the Operations Contractor's SMS.
- Modify any transit safety policies to be consistent with the implementation of the Operations Contractor's SMS, as necessary.
- Provide subject matter expertise to support Operations Contractor's implementation of their SMS as requested by ICTC, investigation of safety events, development of safety risk mitigations, and monitoring of mitigation effectiveness.
- Communicate safety accountability and responsibility from the frontline employees to the top of the organization.
- Ensures the safety of passengers, employees, and the public.
- Responds to customer complaints and expectations for frequency, reliability, and convenience of service.



- Establishes clear lines of safety communication and holding accountability for safety performance.
- Promote safety in employees respective areas of responsibilities which means: zero accidents; absence of any safety concerns; perfect employee performance; and compliance with agency rules & procedures and regulatory requirements.

The Contractor's Local Transit Operation Management also has authorities and responsibilities for day-to-day SMS implementation and operation of the SMS under this plan (Exhibit 1, pgs. 10-13).



ICTC hosts formal quarterly operational meetings and also hosts informal meetings for updates and teleconference calls to support safety measures for transit operations.

- ✓ Transit Program Manager
- ✓ Administrative Analyst II
- ✓ Regional Mobility Coordinators
- ✓ Operations Contractor's critical pertaining personnel

The Operations Contractor hosts monthly Drivers' Meeting and quarterly All-Staff Meetings, to support its SMS and safety programs (Exhibit 1, pgs. 10-13):

- ✓ Vice President of Safety
- ✓ Senior Director of Safety
- ✓ Region Safety Director
- ✓ Region Safety Manager
- ✓ Location Safety Manager
- **Drivers' Meetings**: A permanent agenda item in all monthly Drivers' Meetings is dedicated to safety. Safety issues are discussed and documented.

**All-Staff Meetings**: Hazard reports and mitigations will be shared, safety topics will be brought up for open discussion, further feedback solicited, and hazard self-reporting further encouraged. Information discussed in these meetings will be documented.

#### Employee Safety Reporting Program

**Key Staff and Activities** 

Describe the process and protections for employees to report safety conditions to senior management. Describe employee behaviors that may result in disciplinary action (and, therefore, are excluded from protection).

ICTC follows an internal ESRP that provides a method for ICTC management to identify, evaluate, and correct or avoid unsafe conditions or hazards, procedural deficiencies, design inadequacies, equipment failures, near misses, etc., which adversely affect the safety of employees, passengers, and the public. ICTC is committed to using the data collected and information learned to inform decision making and instill positive changes in safety. The main objective is the continuous improvement of transit system safety including; employees, passengers, and the public.

All staff, including management, should be actively engaged in creating measurement-friendly culture by promoting the ease to report safety conditions as a means of continuous improvement within the organization's efficiency and productivity. Management will also lead by example and utilize the proper data and information for decision-making processes.

Positive safety culture must be generated from the top-down. The actions, attitudes, and decisions at the policy-making level must demonstrate a genuine commitment to safety. Safety must be recognized as the responsibility of each employee with the ultimate responsibility for safety resting with the Executive Director and the Transit Program Manager.



Employees must trust that they will have management support for decisions made in the interest of safety while recognizing that intentional breaches of safety will not be tolerated.

Management has the overall responsibility of the safe and secure operational workplace at ICTC and ensure that the Operations Contractor applies the same responsibility as well. Each employee whether in ICTC or the Operations Contractor is required to carry out specific system safety responsibilities, depending on his/her position, in compliance with the PTASP.

All employees must report immediately any unsafe conditions or hazards and near-miss to their immediate supervisor and/or management and may do so without fear of reprisal. The corrective actions and resolutions of reported unsafe conditions or hazards are developed by the supervisor and/or management and communicated to the employee who reported it. If it was reported anonymously, the corrective actions and resolution will be posted on ICTC's bulleting board for visual access for 30 days.

ICTC's will ensure that employees in violation of any safety conduct policy shall be subject to penalties ranging from a formal written warning notice up to, and including termination.

#### **Prohibited conduct**

Employees are prohibited from conducting any type of behavior that will result in a threat to maintaining safety in the workplace. An employee's behavior is not to affect the safety of other employees, passengers, or others of the public. This list of behaviors, while not inclusive, provides examples of conduct that is prohibited in this organization.

- Causing physical injury to another person.
- Making threats of any kind.
- Aggressive, hostile, or violent behavior, such as intimidation of others; attempts to instill fear in others; or subject others to emotional distress.
- Other behavior which suggests a propensity toward violence, which may include belligerent speech, excessive arguing or swearing, sabotage or threats of sabotage of the organization's property, or a demonstrated pattern of refusing to follow policies and procedures.
- Intentionally damaging the organization's property or property of another employee, or member of the public.
- Possession of a weapon while on the organization's property or while on duty.
- Committing acts motivated by, or related to, sexual harassment or domestic violence.
- Willful participation in illegal activity, such as assault or theft.
- Violation of a safety rule or safety practice.



- Smoking in prohibited areas.
- Reporting for work in an unsafe condition, which includes but is not limited to, being under the influence of alcoholic beverages or drugs. An employee who so reports shall be sent home pending investigation.
- Deliberate or careless conduct endangering the safety of self or other employees, including the provocation or instigation of violence.
- Any other offense of equal magnitude to the above.

For the employees committing any of the following safety violations, shall be subject to disciplinary action up to and including discharge. Disciplinary action for the same or different violations shall progress in the following manner:

- 1. **Verbal warning.** Verbal statements to an employee that he/she has violated a rule and/or regulation and that such violation may not continue.
- 2. **Written reprimand.** A formal notification in writing to employee that he/she has violated a rule and/or regulation.
- 3. **Suspension.** Loss of work and wages for a specific number of hours or days, but not for more than one workweek, depending on the severity of the offense. Notice of suspension is provided to the employee in writing.
- 4. **Discharge.** The employer/employee relationship is severed.

The progression of disciplinary action will depend on how serious the violation is. The agency serves the right to skip the verbal warning and implement the following disciplinary actions depending on how serious the conduct of the employee was.

ICTC is committed to the safest transit operating and workplace standards possible. To achieve this, ICTC must have uninhibited reporting of all incidents and occurrences which may compromise the safe conduct of the operations. To this end, every employee and operations contractor is responsible for the communication of any information that may affect the integrity of transit safety; including employees, passengers, and the public. Such communication must be completely free of any form of reprisal.

The Operations Contractor also provides its effective Employee Safety Reporting Program and various reporting options that apply within their employees operating ICTC transit system (Exhibit 1, pg. 14).



#### Safety Risk Management

#### **Safety Risk Management Process**

Describe the Safety Risk Management process, including:

- Safety Hazard Identification: The methods or processes to identify hazards and consequences of the hazards.
- Safety Risk Assessment: The methods or processes to assess the safety risks associated with identified safety hazards.
- Safety Risk Mitigation: The methods or processes to identify mitigations or strategies necessary as a result of safety risk assessment.

During this process ICTC makes it imperative to include in contracts and bid documents any safety-related specifications and qualifications and ensure that contractors elected for operations meet those requirements. ICTC will Identify issues that may arise during on-site work and include procedures to be used by the Operations Contractors for resolving any conflicts before the day to day operations begin.

ICTC will coordinate with Operations Contractor to:

- Ensure that work is planned and scheduled to minimize impacts on safety.
- Ensure that employees are adequately trained and equipped before operating the transit system.
- Harmonize their safety and health policies and procedures to resolve important differences, so that all employees at the site have the same protection and receive consistent safety information.

ICTC and the Operations Contractor will:

- Work together to deal with unexpected staffing needs by ensuring that enough trained and
  equipped employees are available or that adequate lead time is provided to train and equip
  employees for operations of transit services.
- Make sure that all managers with decision-making authority are available and prepared to deal with day-to-day coordination issues.

ICTC does require the Operations Contractor to provide a Safety Risk Management process throughout the contracting period. The contractor is to develop, maintain, and implement a Safety Risk Management Procedures and Process as displayed in **Exhibit 1**, **pgs. 22-28**.

ICTC's priority is to ensure the safety of transit operations, passengers, vehicles, and facilities. Therefore works with the Operations Contractor to make sure any hazards and their consequences are identified, assessed for potential safety risk, and resolved in a manner acceptable to ICTC's administration. The Operations Contractor SRM process allows us to carefully examine what could cause harm and determine whether we have taken sufficient precautions to minimize the harm, or if further mitigations are necessary (Exhibit 1, pgs. 22-23).

The Operations Contractor's Location General Manager leads their SRM process, working with ICTC to identify hazards and consequences, assess the safety risk of potential consequences, and mitigate safety risk. The results of the SRM process are then forwarded and documented in ICTC records and referenced materials. The Operations Contractor's SRM process applies to all elements of ICTC's administered transit system including the operations and maintenance; facilities (if any) and vehicles; and the Operations Contractor personnel recruitment, training, and supervision carrying out their SRM process. ICTC defines the following terms as:

• Event - Any accident, incident, or occurrence.



- Hazard Any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure belonging to CT; or damage to the environment.
- Risk Composite of predicted severity and likelihood of the potential effect of a hazard.
- **Risk Mitigation** Method(s) to eliminate or reduce the effects of hazards.
- **Consequence** An effect of a hazard involving injury, illness, death, or damage to CT property or the environment.

#### Safety Hazard Identification

The safety hazard identification process involves both ICTC and the Operations Contractor. The Safety hazard identification process is provided by the Operations Contractor (Exhibit 1, pgs. 23-25). Effective communication between both parties is required which provides the ability to identify hazards and potential consequences in the operation and maintenance of the transit system. Hazards can be identified through a variety of sources, including:

- The Operations Contractor's ESRP;
- Review of vehicle camera footage;
- Review of monthly performance data and safety performance targets;
- Observations from supervisors;
- Maintenance reports;
- Comments from customers, passengers, and third parties
- Formal quarterly meetings, update meetings, phone calls, and video calls
- Results of audits and inspections of vehicles and facilities;
- Results of training assessments;
- Investigations into safety events, incidents, and occurrences; and
- Federal Transit Administration (FTA) and other oversight authorities (mandatory information source).

When a safety concern is observed by ICTC management, whatever the source, it is reported to the Location General Manager. Procedures for reporting hazards to ICTC are reviewed during formal quarterly meetings, regular update meetings, and/or phone calls. The Location General Manager and/or Location Safety Manager also receives employee reports from their ESRP (Exhibit 1), customer comments related to safety, and the dispatch daily Operations Log. The Operations Contractor is to review these sources for hazards and document them to immediately report to ICTC.

ICTC will document any hazards reported by any source for evaluation purposes. Documentation will be based on the review of the Contractor's operations and maintenance, the results of audits and observations, and information received from FTA and other oversight authorities.

ICTC may conduct further analyses of hazards and consequences reported by the Operations Contractor's Location General Manager to collect information and identify any additional consequences if applicable. ICTC will recommend hazards that should be prioritized for the Operations Contractor's safety risk assessment (Exhibit 1, pgs. 24-25). In following up process of the identified hazards, ICTC management and the Location Safety Manager may:

- Reach out to the reporting party, if available, to gather all known information about the reported hazard;
- Conduct a walkthrough of the affected area, assessing the possible hazardous condition, generating visual documentation (photographs and/or video), and taking any measurements deemed necessary;
- Conduct interviews with employees and/or any reporting party in the area to gather potentially relevant information on the reported hazard;



- Review any documentation associated with the hazard (records, reports, procedures, inspections, technical documents, etc.);
- Contact other departments that may have an association with or technical knowledge relevant to the reported hazard;
- Review any past reported hazards of a similar nature; and
- Evaluate tasks and/or processes associated with the reported hazard.

ICTC management will then prepare an agenda to discuss identified hazards and consequences in an immediate meeting. ICTC may request additional background on the hazards and consequences, such as the results of trend analyses, vehicle camera footage, vendor documentation, reports, and observations, or information supplied by FTA or other oversight authorities from the Operations Contractor. Any identified hazard that poses a real and immediate threat to life, property, or the environment must immediately be brought to the attention of ICTC management. The Operations Contractor is responsible to move forward with the safety risk assessment and mitigation. This means that the ICTC and the Operations Contractor believes immediate intervention is necessary to preserve life, prevent major property destruction, or avoid harm to the environment that would constitute a violation of the Environmental Protection Agency or Calfornia environmental protection standards. Otherwise, the Operations Contractor will prioritize hazards for further SRM activity.

#### Safety Risk Assessment

The Operations Contractor is expected to assess safety risks associated with identified safety hazards using their safety risk assessment process(Exhibit 1, pgs. 25-26). This includes an assessment of the likelihood and severity of the consequences of hazards, including existing mitigations, and prioritizing hazards based on safety risk. The Operations Contractor assesses prioritized hazards using their Safety Risk Assessment Matrix. This matrix expresses assessed risk as a combination of one severity category and one likelihood level, also referred to as a hazard rating. For example, a risk may be assessed as "1A" or the combination of a Catastrophic (1) severity category and a Frequent (A) probability level.

Using these types of categorizations allows for hazards to be prioritized for mitigation based on their associated safety risk. The Safety schedules safety risk assessment activities and then prepares a Safety Risk Assessment Package for scheduled meetings with ICTC to review. This package is distributed at least one week in advance of the meeting. During the meeting, ICTC reviews the hazard and its consequence(s) and reviews available information distributed in the Safety Risk Assessment Package on severity and likelihood. ICTC may request additional information on the safety risk assessment.

ICTC will document the safety risk assessment reported, including hazard rating and mitigation options for each assessed safety hazard. ICTC management will maintain on file any Safety Risk Assessment Packages, and any additional information collection for three years from the date of generation.

#### **Safety Risk Mitigation**

ICTC and the Operations Contractor will review current methods of safety risk mitigation and established methods or procedures to mitigate (Exhibit 1, pgs. 27-28) or eliminate safety risks associated with specific hazards. ICTC expects that the Operations Contractor can reduce safety risk by reducing the likelihood and/or severity of potential consequences of hazards.

ICTC understands that the Operations Contractor prioritization of safety risk mitigations is based on the results of safety risk assessments. ICTC expects the Operations Contractor to track and update safety risk mitigation information and make available to ICTC management upon request.

ICTC will also document any specific reported measures or activities, such as reviews, observations, or audits, that will be conducted by the Operations Contractor to monitor the effectiveness of mitigations once implemented.



#### **Safety Assurance**

Through the Safety Assurance process, ICTC:

- Evaluates Contractors compliance with operations and maintenance procedures to determine whether the existing rules and procedures are sufficient to control the safety risk;
- Assesses the effectiveness of safety risk mitigations to make sure the mitigations are appropriate and are implemented as displayed in **Exhibit 1**, pg29-32;
- Investigates safety events to identify causal factors; and
- Analyzes information from safety reporting, including data about safety failures, defects, or conditions.
- Performs Annual Maintenance Audits and Vehicle Inventory checks to ensure no mechanical issues exist that would create a safety risk.

#### **Safety Performance Monitoring and Measurement**

Describe activities to monitor the system for compliance with procedures for operations and maintenance.

ICTC's processes to monitor the entire transit system for contractors adequate compliance with operations and maintenance procedures (Exhibit 1, pgs. 29-32) are as follows:

- Monitor compliance with, and sufficiency of, contractors procedures for operations and maintenance. This is achieved during the monthly safety inspections, accident investigations, and annual audits/reviews
- Monitor safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended. This is achieved during the formal quarterly safety and operations meeting, regular inspections, accident investigations, and annual audits/reviews
- Monitor safety-related information reported through the ICTC internal reporting program. This is achieved during the formal quarterly safety and operations meeting and annual audits/reviews
- Review Operator Chargeable versus non-chargeable accidents
- Review the Operator Training Program. This is reviewed during annual audits/reviews.
- Review Transit Supervisor Training Program. This is reviewed during annual audits/reviews
- Review the Accident Investigation Program including review of the identification of causal factors and corrective actions. This is achieved during the formal quarterly safety and operations meeting and annual audits/reviews
- Review operational data for Operators on-time performance. This is achieved during the formal quarterly safety and operations meeting and annual audits/reviews
- Review Fleet Maintenance Plan and if bus maintenance performed as per PMs. This is reviewed during annual audits/reviews
- Review data for mean distance between major mechanical failures. This is achieved during the formal quarterly safety and operations meeting and annual audits/reviews
- Review Facilities Maintenance Plan and if maintenance performed as per PMs. This is achieved during the formal quarterly safety and operations meeting and annual audits/reviews
- Review State of Good Repair and Transit Asset Management Plan activities
- Review employee safety reporting program
- Review results of surveys/studies/tests conducted to improve safety or reliability
- Check on the appropriateness and effectiveness of past mitigation strategies
- Review record of new employee/new hire safety training



- Review the implementation of the Drug & Alcohol Program & post-accident testing
- Review Cyber Security Policy, cyber-attacks, and their resolutions
- Review activities of Injury and Illness Prevention Program (IIPP)
- Review Development & implementation of PTASP/SMS
- Review training records of IIPP and PTASP/SMS
- Review participation in emergency preparedness drills internally and/or with agencies, cities, and county (Exhibit 2)
- Review Annual Safety Audit/review process of PTASP/SMS
- Review efforts to follow through with FTA safety advisories, NTSB recommendations, and peer review sessions/conferences and workshops
- Review safety goals, objectives/targets, and safety performance indicators.
- Perform random informal inspections
- Monitor and review regularly of onboard camera footage to assess drivers and specific incidents
- Operator Rule-book violations. This is reviewed during accident investigations and annual audits/reviews
- Safety review before the launch or modification of any facet of service
- Gather and monitoring of data related to the delivery of service, and regular vehicle inspections and preventative maintenance.

Results from the above processes are compared against recent performance trends quarterly and annually to determine where action needs to be taken.



Describe activities to monitor operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended.

ICTC management monitors safety risk mitigations to determine if they have been implemented and are effective, appropriate and working as intended.

The Contractor establishes one or more mechanisms for monitoring safety risk mitigations as part of the mitigation implementation process and assigns monitoring activities to the appropriate director, manager, or supervisor (Exhibit 1, pg. 28-29). These monitoring mechanisms may include tracking a specific metric on daily, weekly, or monthly logs or reports; conducting job performance observations; or other activities.

ICTC and the Contractor review the performance of individual safety risk mitigations during quarterly meetings, based on the reporting schedule determined for each mitigation, and determine if a specific safety risk mitigation is not implemented or performing as intended. If the mitigation is not implemented or performing as intended, ICTC will propose a course of action to modify the mitigation or take other actions to manage the safety risk.

ICTC monitors operations on a large scale to identify mitigations that may be ineffective, inappropriate, or not implemented as intended by:

- Reviewing results from accident, incident, and occurrence investigations;
- Monitoring employee safety reporting;
- Reviewing results of internal safety audits and inspections; and
- Analyzing operational and safety data to identify emerging safety concerns.

ICTC and the Contractor collaborate effectively to document all monitoring activities.



#### Describe activities to conduct investigations of safety events to identify causal factors.

The Contractor maintains documented procedures for conducting safety investigations of events (accidents, incidents, and occurrences, as defined by FTA) to find causal and contributing factors and review the existing mitigations in place at the time of the event (Exhibit 1, pg 29-30).

The Contractor maintains all documentation of investigation policies, processes, forms, checklists, activities, and results. As detailed in the Contractors procedures, an investigation report is prepared and sent to the Accident/Incident Review Committee and the Safety Solutions Team for review and analysis (Exhibit 1, pg. 30).

This review determines whether:

- The accident was preventable or non-preventable;
- Personnel require discipline or retraining;
- The causal factor(s) indicate(s) that a safety hazard contributed to or was present during the event; and
- The accident appears to involve underlying organizational causal factors beyond just individual employee behavior.

The Contractor is expected to inform the ICTC management of the results of the review and/or actions to be taken. It is important to ICTC that proper safety mitigation is implemented and reduce the risk of any future accidents, incidents, injuries, and collisions. ICTC will discuss all investigations with the contractor to ensure proper protocols are taking place.

Describe activities to monitor information reported through internal safety reporting programs.

ICTC routinely reviews safety data, reported by the Contractor, every quarter which includes safety reports, customer complaints, operational issues, and maintenance issues. ICTC ensures that the channel of communication is open, therefore any safety issues can be reported to ICTC at any time. When necessary, ICTC and the Contractor ensure that the concerns are investigated or analyzed through the Contractor's SRM process(Exhibit 1).

ICTC also reviews internal and external reviews, including audits and assessments, with findings concerning the Contractor's safety performance, compliance with operations and maintenance procedures, or the effectiveness of safety risk mitigations.

#### **Management of Change**

Describe the process for identifying and assessing changes that may introduce new hazards or impact safety performance.

ICTC takes the initiative to follow up with the Contractor during and after the Safety Validation of Change process is complete (Exhibit 1, Pg 33-35). ICTC wants to ensure that there are no new hazards or impacts to the safety performance as a result of any changes.



#### **Continuous Improvement**

Describe the process for assessing safety performance. Describe the process for developing and carrying out plans to address identified safety deficiencies.

ICTC supports the continuous improvement strategy that the Contractor provides in **Exhibit 1**, **pg 35-36**. ICTC supports any policy or process that would help keep the focus on improving the way operations and safety measures are done regularly. This could be through regular incremental improvements or by focusing on achieving larger improvements.



#### **Safety Promotion**

#### **Competencies and Training**

Describe the safety training program for all agency employees and contractors directly responsible for safety.

Safety Promotion is an important part of the Safety Management System, setting the tone for the PTASP/SMS and helping to establish and maintain a robust safety culture. ICTC remains closely involved with the Contractor processes to hire and train employees to operates transit services throughout the contracting period. ICTC takes pride in the employees operating transit services. ICTC ensures that effective training is provided and proper information is given.

Ongoing Safety Communication is critical and it should occur—up, down, and across all levels. Any lessons learned should be communicated to all concerned. Management commitment to resolve safety concerns & hazards should be communicated regularly. One of Management's most important responsibilities under PTASP/SMS is to encourage and motivate employees to communicate openly, authentically, and without concern for reprisal. Safety Communication is the heart and soul of a successful PTASP/SMS. Ensure employees are aware of the PTASP/SMS principles and understand their roles and responsibilities. Convey safety-critical information such as accident data, injuries, and reported hazards and their resolutions to employees.

The Contractor's comprehensive safety training program applies to all employees directly responsible for safety, including:

- Bus vehicle operators,
- Dispatchers,
- Maintenance technicians,
- Managers and supervisors

The Contractor dedicates resources to conduct a comprehensive safety training program, as well as training on SMS roles and responsibilities to effectively run operations for ICTC's transit services. The scope of the safety training process is shown in **Exhibit 1**, **pgs. 36-43**, Contractors ASP.

Operations safety-related skill training includes, but are not limited to the following:

- New-hire bus vehicle operator classroom and hands-on skill training,
- Bus vehicle operator refresher training,
- Bus vehicle operator retraining (recertification or return to work),
- Classroom and on-the-job training for dispatchers,
- Classroom and on-the-job training for operations supervisors and managers, and
- Accident investigation training for operations supervisors and managers.

Vehicle maintenance safety-related skill training include, but are not limited to

#### the following:

- Ongoing vehicle maintenance technician skill training,
- Ongoing skill training for vehicle maintenance supervisors,
- Accident investigation training for vehicle maintenance supervisors,
- Ongoing hazardous material training for vehicle maintenance technicians and supervisors



#### **Safety Communication**

Describe processes and activities to communicate safety and safety performance information throughout the organization.

ICTC and the Contractor coordinate meetings for safety communication:

- Communicating safety and safety performance information between agency and contractor: The Contractor communicates information on safety and safety performance during regular updates and formally during quarterly meetings. Information typically conveyed during these meetings includes safety performance, statistics, lessons learned from recent occurrences, upcoming events that may impact transit service or safety performance, and updates regarding SMS implementation. According to the Contractor's ASP, Exhibit 1, pgs. 43-46, the local safety manager and local general manager posts safety bulletins and flyers on the bulletin boards located in all bus operators and maintenance technician break rooms, advertising safety messages, and promoting awareness of safety issues, etc.
- Communicating information on hazards and safety risks relevant to employees' roles and responsibilities throughout the operations agency: ICTC ensures to be aware of the contractor's safety policies and procedures to distribute such information (Exhibit 1, pgs. 43-46). ICTC expects the Contractor to provide training on these policies and procedures and discuss them during safety talks between supervisors and bus operators and vehicle technicians. For newly emerging issues or safety events at the company, ICTC expects the Contractor to issue bulletins or messages to employees that are reinforced by supervisors in one-on-one or group discussions with employees.

ICTC provides targeted communication with the Contractor on any safety actions taken in response to reports submitted through the Contractors ESRP (Exhibit 1).



#### **Additional Information**

#### Supporting Documentation

Include or reference documentation used to implement and carry out the ASP that are not included elsewhere in this ASP.

ICTC's maintenance and tracking of critical safety-related documentation of a period of three years is essential. Proper document whether if it electronically or physically retained, is necessary in the event of audit reviews, referencing, or a lawsuit, etc.. ICTC keeps a well electronic configured retention system for any documentation gathered through the three years, but since its electronically retained it may be kept longer if needed for future reference. ICTC also keeps a physical backup that is kept in storage filing cabinets where they remain for three years and after the three years is transferred to ICTC's rented local storage. ICTC retains documentation for up to 10 years before considering to destroy any physical files. Technology makes records retention easier by allowing ICTC to store vast amounts of information and for longer periods. Any documentation received by the Operations Contractor or developed by ICTC in regards to the SMS's or ASP's are scanned to an electronic version and filed (electronically and physically). If documents are sent via email they are then printed out and filed (electronically and physically). Documentation received or developed is filed as soon as possible to maintain the organization of the retaining system. ICTC maintains any operations contractor documentation related to the implementation of the SMS; the programs, policies, and procedures used to carry out the Contractor's ASP(Exhibit 1); They will be available to the FTA or other Federal or oversight entities upon request.

**Exhibit 1** references to the Contractor's approved ASP.

In addition to this Agency Safety Plan, ICTC and the Operations Contractor has developed a Security and Emergency Preparedness Plan (SEPP) as a means of integrating security measures and initiatives into and throughout all levels of the organization. The mission is to provide safe and secure transit services in Imperial County. The SEPP intends to describe the policies, procedures, roles, and responsibilities to be fulfilled by all employees and contractors, beginning with the highest levels of management.

SEPP also provides a security function that must be supported by effective emergency response capabilities that ensures any security-related incidents involving operations and services are responded to, resolved, and recovered from quickly, safely, and efficiently. ICTC and the Operations Contractor's management are expected to provide leadership in promoting safety, security, and emergency preparedness throughout the organization and will consistently enforce related rules, policies, and procedures throughout their areas of control.

**Exhibit 2** references to the development and implementation of SEPP, an agreement between ICTC and the Operations Contractor.



#### **Definitions of Terms Used in the Safety Plan**

ICTC incorporates all of the FTA's definitions that are in 49 CFR § 673.5 of the Public Transportation Agency Safety Plan regulation.

- Accident means an Event that involves any of the following: A loss of life; a report of a serious injury to a person; a collision of public transportation vehicles; a runaway train; an evacuation for life safety reasons; or any derailment of a rail transit vehicle, at any location, at any time, whatever the cause.
- Accountable Executive means a single, identifiable person who has ultimate responsibility for carrying out the Public Transportation Agency Safety Plan of a public transportation agency; responsibility for carrying out the agency's Transit Asset Management Plan; and control or direction over the human and capital resources needed to develop and maintain both the agency's Public Transportation Agency Safety Plan, under 49 U.S.C. 5329(d), and the agency's Transit Asset Management Plan, under 49 U.S.C. 5326.
- Equivalent Authority means an entity that carries out duties similar to that of a Board of Directors for a recipient or sub-recipient of FTA funds under 49 U.S.C. Chapter 53, including sufficient authority to review and approve a recipient or sub recipient's Public Transportation Agency Safety Plan.
- Event means an Accident, Incident, or Occurrence.
- **Hazard** means any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment.
- **Incident** means any event that involves any of the following: a personal injury that is not serious; one or more injuries requiring medical transport; or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a transit agency.
- **Investigation** means the process of determining the causal and contributing factors of an accident, incident, or hazard, to prevent recurrence and mitigating risk.
- National Public Transportation Safety Plan means the plan to improve the safety of all public transportation systems that receive Federal financial assistance under 49 U.S.C. Chapter 53.
- Occurrence means an Event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a transit agency.
- **The operator** of a public transportation system means a provider of public transportation as defined under 49 U.S.C. 5302.
- Performance measure means an expression based on a quantifiable indicator of performance or condition that is used to establish targets and to assess progress toward meeting the established targets.
- **Performance target** means a quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a period required by the FTA.
- Public Transportation Agency Safety Plan (or Agency Safety Plan) means the documented comprehensive Agency Safety Plan for a transit agency that is required by 49 U.S.C. 5329 and Part 673.



- Risk means the composite of predicted severity and likelihood of the potential effect of a hazard.
- **Risk mitigation** means a method or methods to eliminate or reduce the effects of hazards.
- **Safety Assurance** means processes within a transit agency's Safety Management System that function to ensure the implementation and effectiveness of safety risk mitigation and to ensure that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.
- Safety Management Policy means a transit agency's documented commitment to safety, which defines the transit agency's safety objectives and the accountabilities and responsibilities of its employees concerning safety.
- Safety Management System means the formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of a transit agency's safety risk mitigation. SMS includes systematic procedures, practices, and policies for managing risks and hazards.
- Safety performance target means a performance target related to safety management activities.
- **Safety Promotion** means a combination of training and communication of safety information to support SMS as applied to the transit agency's public transportation system.
- **Safety risk assessment** means the formal activity whereby a transit agency determines Safety Risk Management priorities by establishing the significance or value of its safety risks.
- Safety Risk Management means a process within a transit agency's Agency Safety Plan for identifying hazards and analyzing, assessing, and mitigating safety risks.
- Serious injury means any injury which: (1) Requires hospitalization for more than 48 hours, commencing within 7 days from the date when the injury was received; (2) Results in a fracture of any bone (except simple fractures of fingers, toes, or noses); (3) Causes severe hemorrhages, nerve, muscle, or tendon damage; (4) Involves any internal organ; or (5) Involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface.
- Transit agency means an operator of a public transportation system.
- Transit Asset Management Plan means the strategic and systematic practice of procuring, operating, inspecting, maintaining, rehabilitating, and replacing transit capital assets to manage their performance, risks, and costs over their life cycles, to provide safe, cost-effective, and reliable public transportation, as required by 49 U.S.C. 5326 and 49 CFR Part 625.



## **Commonly Used Acronyms**

Acronym	Word or Phrase		
ADA	American's with Disabilities Act of 1990		
ASP	Agency Safety Plan (also referred to as a PTASP in Part 673)		
CFR	Code of Federal Regulations		
CT	County Transit		
ESRP	<b>Employee Safety Reporting Program</b>		
FTA	Federal Transit Administration		
ICTC	Imperial County Transportation Commission		
MPO	Metropolitan Planning Organization		
Part 673	49 CFR Part 673 (Public Transportation Agency Safety Plan)		
PTASP	Public Transit Agency Safety Plan		
SMS	Safety Management System		
SRM	Safety Risk Management		
U.S.C.	United States Code		
VRM	Vehicle Revenue Miles		



## Exhibit 1

"Operations Contractor ASP/SMS"



## First Transit Agency Safety Plan

#### 1. Transit Agency Information

Transit Agency Name	First Transit			
Transit Agency Address	600 Vine Street, Ste. 1400 Cincinnati, Ohio, U.S. 45202			
Name and Title of Accountable Executive	David Perez, Vice President of Safety – First Transit			
Name of Chief Safety Officer or SMS Executive	Paul Meredith, Senior Director of Safety			
Mode(s) of Service Covered by This Plan	Transit Bus  List All FTA Funding Types (e.g., 5307, 5310, 5311)			
Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)	Transit Bus  Types (e.g., 5307, 5310, 5311)  First Transit is a business unit of First Group America, the U.S. based Not American Operating Unit of FirstGroup plc (First Group), a United Kingdon passenger transportation company. First Group is the U.K.'s largest bus with a fleet of more than 9,000 vehicles, and also one of the U.K.'s leading operators.  First Transit services the U.S. transportation industry through two unique approaches: Transit Contracting, and Transit Management. With these two service approaches, First Transit has participated on assignments of all the sizes and scopes throughout the world.  Transit Contracting provides the design, implementation and operation flexible, cost-effective transportation systems throughout the United State Transit Contracting provides a turnkey or tailored service approach that all or most components of operations including equipment, facilities, staff management and so forth. Such operational experience encompasses of the provides and so forth. Such operational experience encompasses of the provides and so forth. Such operational experience encompasses of the provides and so forth. Such operational experience encompasses of the provides and so forth. Such operational experience encompasses of the provides and so forth. Such operational experience encompasses of the provides and so forth.		b), a United Kingdom-based U.K.'s largest bus operator, of the U.K.'s leading train arough two unique service ment. With these two ssignments of all types, tion and operation of but the United States. It is ceen approach that supplies ment, facilities, staffing, the encompasses dial-a-ride, with disablies, airport approach to	
	First Transit offers a unique six-part approach to our <u>Safety Management</u> <u>System (SMS)</u>			
<ul> <li>Location Management Team (General Region Staff (Region Safety Management Team)</li> <li>Maintenance Director &amp; Region Staff (Region Safety Management Team)</li> </ul>		on Safety Manager, Region	Safety Director, Region	





- Senior Director of Safety
- Vice President of Safety
- Vice President of Maintenance
- President

A <u>Resident Management Team</u> is assigned to each location consisting of, in part, a Location General Manager (LGM) and a Location Safety Manager (LSM).

- The LGM participates fully with the client to ensure the operation is running effectively and acts as mediator when safety related problems arise. The LGM is also responsible for ensuring implementation of the National Safety Program.
- The LSM routinely is in contact with the operation and is responsible for ensuring their locations have the current safety programs in place; auditing local safety efforts; reviewing all accident and injury claims; reviewing performance statistics; and coordinating corporate assets to address specific deficiencies found on the local level.

Our <u>Region Staff</u> consists of a Region Safety Manager, Region Safety Director, Region Maintenance Director, Region Director of Operations, Region Vice Presidents.

- The Region Maintenance Director, The Region Director of Operations and Region Vice Presidents are responsible for the oversight of all First Transit locations within the region. They provide direction and assistance to location managers, including P&L, budgets, and personnel.
- The Region Safety Manager and Region Safety Director ensures management services are provided according to local governing board policies, as well as maintaining quality and client satisfaction, and their locations have the current safety programs in place.

The <u>Vice President of Safety</u> provides oversight for each individual region of First Transit. This person works with each Region Safety Manager and Region Director of Safety to ensure First Transit is in compliance with all FTA and DOT regulations.

The <u>Vice President of Maintenance</u> provides technical assistance, training, and "best practices" information to all of First Transit's managed systems.

The <u>President of First Transit</u> works closely with the Vice President of Safety - First Transit and Vice President of Maintenance. All safety processes are reviewed and approved before any decision regarding safety is approved.

Does the agency
provide transit
services on behalf of
another transit agency
or entity?

Yes X

No **Description of Arrangement(s)** 

FGA operates 335 contracts throughout North America to provide fixed-route and paratransit public bus service for state transportation departments and administrations; transit agencies; and universities.



|--|--|

### 2. Plan Development, Approval, and Updates

Name of Entity That Drafted This Plan (Location Code)	First Transit: (Place Location Code here)		
Signature by the Accountable Executive	Signature of Accountable Executive	Date of Signature	
(Location General Manager)	(Location General Manager Signature Here)		
Approval by the Board	Name of Individual/Entity That Approved This Plan	Date of Approval	
of Directors or an			
Equivalent Authority (Local Contract	Relevant Documentation (title and location)		
Authority)			
	Name of Individual/Entity That Certified This Plan	Date of Certification	
Certification of Compliance	(Client Approver)		
	Relevant Documentation (title and location)		
	(First Transit Safety Plan and other Client Docum	nentation)	



#### **Version Number and Updates**

Record the complete history of successive versions of this plan.

Version Number	Section/Pages Affected	Reason for Change	Date Issued
Original	All pages are original version	First Official version of Safety Plan	May 2019

#### Annual Review and Update of the Public Transportation Agency Safety Plan

Describe the process and timeline for conducting an annual review and update of the Public Transportation Agency Safety Plan.

At First Transit, review of safety practices is an ongoing process, not one limited to scheduled reviews. As policies/procedures and training techniques change throughout the year they are updated and communicated throughout the organization. All changes are reviewed and approved by the Senior Director of Safety and the Vice President of Safety – First Transit.

Prior to the beginning of each fiscal year, First Transit's Safety Plan is reviewed by Executive management and revised based on the safety data collected and analyzed, and changes to policies and procedures made throughout the year. The revised plan is then disseminated to all First Transit locations for implementation.

#### 3. Safety Performance Targets

#### **Safety Performance Targets**

Specify performance targets based on the safety performance measures established under the National Public Transportation Safety Plan.

Mode of Transit Service	Fatalities	Injuries	Safety Events	System Reliability	Other (Client Required, if any)	Other (Client Required, if any)	Other (Client Required, if any)
Fixed-Route							
Demand Response							



# **Safety Performance Target Coordination**

Describe the coordination with the State and Metropolitan Planning Organization(s) (MPO) in the selection of State and MPO safety performance targets.

#### N/A

Targets Transmitted to the State	State Entity Name	Date Targets Transmitted
	N/A	N/A
Targets Transmitted to the Metropolitan Planning Organization(s)	Metropolitan Planning Organization Name	Date Targets Transmitted
	N/A	N/A
	N/A	N/A

# 4. Safety Management Policy

# **Safety Management Policy Statement**

Include the written statement of safety management policy, incorporating safety objectives.

At First Transit, safety is more than a policy statement. Management believes that working safely promotes quality, productivity, and profitability. Prevention of collisions and personal injuries is of critical importance to everyone. Management is committed to providing a safe workplace, the proper training, protective equipment, and a work environment conducive to safe practices and policies.

All employees are required to perform their duties safely and with concern for the safety of our passengers, other employees and the public. <u>First Transit will not perform any service</u>, <u>nor transport or use a product</u>, <u>unless it can be done safely</u>.

First Transit employs a company-wide safety concept, "**BeSafe**". The main purpose of BeSafe is to reduce collisions and injuries by increasing the communications between employees and managers about safety related issues. As part of this process, employees of all levels are encouraged to initiate reports of any near miss, route and security hazards, or any unsafe condition. When a report about a safety or security concern is filed, it is investigated, which includes follow-up with the reporting employee regarding the resolution of the report.

First Transit will not retaliate against nor impose any other form of retribution on any employee because of his or her good faith reporting of a safety issue/concern, another person's suspected violation of Company policies or guidelines, or any alleged violations of federal, state or local laws.

To ensure that each employee understands and performs their job functions in the BeSafe manner, the **BeSafe Handbook**, is issued to each employee and sized to fit in the safety lanyard or vest, which each employee must wear while on duty.



The **BeSafe Principles** provide the basic truths and fundamentals about working safely in our workplace and on our vehicles. All First Transit employees are expected to adopt these principles and put them into practice. Together a safe work environment is created, free from injury to each other and our passengers.

The motto for the BeSafe Principles is: "Think Safe, Act Safe, BeSafe." This motto is each employee's instruction to work safely at all times.

<u>If an employee feels they cannot perform a task safely, they don't perform the task.</u> The employee has been trained and encouraged to stop work and immediately advise management of issues preventing them from working safely and what would be required to perform the task safely.

The BeSafe Principles include:

- Prevent injury to myself and others.
  - Be aware of any hazardous condition or practice that may cause injury to people, damage to property, or the environment.
  - Use the BeSafe Handbook to record and report.
- Perform all necessary safety checks and risk assessments of the work area and job to be performed <u>before</u> any work begins.
  - Speak to management <u>before</u> work is started if unsure of the required safety and risk assessments.
- Follow all safety procedures, signs and instructions.
  - o If these are not understood, speak to management before work begins.
- Keep work area clean and tidy at all times.
  - Untidy areas could cause injury to the employee or their colleagues and waste time and energy.
- Wear protective clothing and equipment (PPE) as required.
  - Keep PPE in good working order, wear it correctly and ask for a replacement if it becomes damaged or unfit for use.
- Use only the correct tools and equipment authorized and trained to use for the job.
  - o Check that they are in good condition before use and use them safely.
- Only adjust and repair any piece of work equipment trained on and authorized to do so.
  - Never modify any equipment that changes the designed use of the equipment or alters a safety feature.
- Assess any load and capability to move it before lifting.
  - Get help with any heavy or awkward items and follow the correct lifting techniques.
- Report all injuries, incidents and near misses to management.
  - Seek help immediately and first aid (if necessary).
- Tell management of any suggestions to prevent injuries in the workplace
  - Note suggestions made and discuss with management.

The official policy that reflects First Transit's commitment to safety is included as **Appendix A**.

# **Safety Management Policy Communication**

Describe how the safety management policy is communicated throughout the agency's organization. Include dates where applicable.



# Communication of Local Safety Concerns

The Location Safety Manager is at the center of the local safety communication process and is responsible for compiling safety reports to include the following:

- · Accident and injury data for previous month
- · Security incident data
- Safety and security audit data and recommendations
- · Safety Solutions Team (SST) meeting minutes
- BeSafe near miss and hazard reporting

This person reports directly to the Location General Manager (LGM) and routinely meets formally with the LGM, one-on-one, to provide updates on safety issues, safety priorities, and hazard management. The Location Safety Manager (LSM) also meets informally with the LGM to provide updates on safety issues on an as-needed basis.

The Location Safety Manager also participates in the Safety Solutions Team (SST) meetings to discuss safety priorities, safety issues, and hazard management, and to communicate safety-related information across all departments.

 The LSM and the LGM have the authority to correct or suspend work for conditions determined to be unsafe, or pose a hazard to customers, employees, contractor employees, the general public, or endangers the safe passage of vehicles, until the unsafe condition or hazard can be mitigated or corrected.

The Region Safety Managers also conduct regular internal reviews of local operations. They are to ensure that each location is audited at least every two to three years, with high risk locations audited annually for compliance using the risk-based **Location Safety Review**.

Location Safety Review				
Category	Description			
Scope of Safety Reviews	First Transit locations are selected based upon risk- based criterion. Individual locations receive a review every 2-3 years			
Risk-Based Selection Criterion	Locations selected based on declining 3-year reviews; sites with new location managers; high collision/injury Accident Frequency Rate (AFR); prior year failing score			





Review Format	More narrow and focused audit template which includes a balance of compliance assurance as well as location-specific risks and safety performance.				
	Action plans are developed in conjunction with location staff and use a red/yellow/blue/green method to prioritize. All action items are entered, and incomplete action items are tracked within the <b>Safety Toolbox</b> .				
Findings and Falley, Up	Strong				
Findings and Follow-Up	Highly Effective				
	Some Improvement Needed				
	Much Improvement Needed				
Escalation Process	Items requiring escalation to Senior Director of Safety/Vice President of Safety – First Transit remain intact. Through the use of Safety Toolbox, unresolved actions are designed to escalate to the Location General Manager/Region Safety Manager.				
Visibility	Review results and action items are routinely shared with the Location General Manager/Region Safety Manager/Executive Management. This is augmented by the escalation process for unresolved action items as noted above.				

# **Corporate Communication of Safety Concerns**

Executive Safety Meetings are routinely held where each department discusses their concerns and progress in the area of safety and safety related concerns. Recommendations are considered, and necessary changes implemented. All complaints by departments are addressed immediately.

Minutes from the Executive Safety meeting are distributed to and posted at each location. Action items are addressed at the following meeting.

Executive safety meetings are conducted in the following formats.

First Group Executive Safety Committee (ESC)

Consists of President, COO, and Safety Vice President of each operating group



Discussions include safety performance, trend analysis, program oversight

#### First Group Safety Council

- Consists of Vice Presidents of Safety for all operating divisions
- Discussions include safety performance, trend analysis, and safety oversight

# First Group America Safety Council

- Consists of Safety Senior Directors and Safety Vice Presidents
- Discussions include safety performance, trend analysis, best practices, and program oversight

# Performance Review Management (PRM)

- Consists of Senior Region Vice Presidents, Region Vice Presidents, Region Directors of Operations, Region Director of Maintenance, Region Directors of Safety and Region Safety Managers
- Discussions include regions safety performance

# Safety Advisory Committee

- Consists of a sampling of Location General Managers, Region Directors of Operations, Region Safety Directors and Region and Local Safety Managers
- Discussions include review of policy and procedures, training, and safety awareness



# Authorities, Accountabilities, and Responsibilities

Describe the authorities, accountabilities, and responsibilities of the following individuals for the development and management of the transit agency's Safety Management System (SMS).

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Accountable Executive	(Location General Manager)			
Chief Safety Officer or SMS Executive	Paul Meredith, Senior Director of Safety			
Agency Leadership and Executive Management	(Local Transit Operation Management)			
	Vice President of Safety – First Transit			
	Senior Director of Safety			
	Region Safety Director – East Region			
	Region Safety Manager – East Region			
	Region Safety Director – Central Region			
	Region Safety Manager – Central Region			
	Region Safety Director – West Region			
	Region Safety Manager – West Region			
Key Staff	*(Location Safety Managers)*			



# Additional Accountability

To ensure safety responsibility and accountability throughout the organization from local operations to corporate management, First Transit uses the following **Safety Responsibility and Task Matrix**. Responsibilities are assigned at the local level.

# (Local Staff Responsibility)

The responsibilities and tasks are assigned to Maintenance, Operations, or Human Resources and the responsible person for each is identified for each First Transit location.

This process ensures that the pertinent safety items are covered, and that each person knows his or her areas of responsibility.

Safet	Safety Responsibility and Task Matrix					
Responsibilities and Tasks	OPS	MNT	HR	OTHER	Responsible Personnel	
Establish annual						
safety objectives for						
submission to the GM						
at the beginning of						
each fiscal year						
Submit a report on the						
safety performance at						
the end of each fiscal						
period						
Submit the following:						
period operations and						
safety data; accident						
and incident reports;						
and site safety review						
results						
The LGM or their						
designee has the						
authority to direct that						
work or conditions						
have been determined						
to be unsafe or pose a						
hazard to customers,						
employees, contractor						
employees, the						
general public, or						
endangers the safe						
passage of buses be						
suspended or						
restricted until the						
unsafe condition or						
hazard can be						
mitigated or corrected						
Management of						
system safety,						
occupational health						





	-		
and safety, accident			
and incident			
investigation,			
environmental			
protection and			
monitoring the			
implementation of the			
Safety Management			
System (SMS)			
Program Plan			
Review of all safety			
aspects of			
departmental			
procedures including:			
First Transit			
policies/instructions;			
Standard Operating			
Procedures; HR			
policies; safety and			
health policies			
SMS Review and			
Modification			
Safety Solutions			
Team Meetings			
Daily Safety & Health			
Walkthrough			
Safety related reports			
to external agencies			
Near miss and route			
hazard report			
investigations			
Investigation of safety			
related trends			
Coordination with			
United States and			
State Departments of			
Labor and			
Occupational Safety			
and Health			
Administration			
(OSHA)			
Environmental			
Management			
Oversight			
Hazard Management			
Process			
Managing Safety			
Validation of Change			
Process			
Safety Data Reporting			



Investigations			
Advise to update			
SOPs, Rules, and			
Emergency Plans			
Emergency Response			
Fire Protection			
Shop Safety			
Hazardous Tools			
Inspections			
Review Vehicle			
Maintenance and			
Failure Data			
Perform Vehicle			
Maintenance			
Inspections/Audits			
Training, Certification,			
Review, and Audit			
Personal Protective			
Equipment Review			
Hazardous Materials			
Management			
Drug and Alcohol			
Abuse Program			
Procurement			



# **Employee Safety Reporting Program**

Describe the process and protections for employees to report safety conditions to senior management. Describe employee behaviors that may result in disciplinary action (and therefore, are excluded from protection).

First Transit is committed to conducting business with honesty and integrity. Employees are encouraged to speak up and raise questions and concerns promptly about any situation that may violate our safety protocols, policies and procedures, the laws, rules, and regulations that govern our business operations.

Employees are expected to tell others when witnessing unsafe work practices or conditions. When employees are not comfortable discussing these unsafe conditions with fellow employees, they are encouraged to discuss the situation with management or report it in writing.

However, where the matter is more serious, or the employee feels that management has not addressed the concern, or they are not comfortable reporting to their immediate manager, they can report it to the next level manager, or the Region Safety Manager or Human Resources Manager. Employees may also directly file a written or verbal complaint by calling the confidential Ethics and Compliance Toll-free Hotline at 1.877.3CALLFG, (1.877.322.5534); contacting the Hotline intake site at ethicsfirst.ethicspoint.com; or emailing Compliance@firstgroup.com.

Retaliation against anyone who, in good faith, reports observations of unsafe or illegal activities; or who cooperates in any investigation of such report, is strictly prohibited and is not tolerated, regardless of the outcome of the complaint.

In other words, employees are protected for speaking up in good faith under this Policy. Any manager, or coworker who retaliates against a complaining employee or anyone involved in an investigation of a complaint is subject to discipline and/or termination.

Managers are charged with assuring that they and their staff comply with the whistleblower protections and that no retaliation occurs because of a reported safety related issue.







# **Reporting Options**

#### **Near Miss and Hazard Reporting**

In the interest of employee and passenger safety, each First Transit employee is issued a "Near Miss and Hazard Reporting" pad for documenting and reporting safety, route, and security concerns; and is encouraged to report any near miss incidents and hazards.

If an employee is involved in a near miss or determines something they see to be a hazard, we ask for their help in reporting the event so we all may learn the lessons from it and perhaps prevent a collision or injury from occurring in the future.

**Near miss:** An event you witnessed where no harm was caused, but there was the potential to cause injury or ill health; a dangerous occurrence

Hazard: Anything that may cause harm in the near future

If the safety or security hazard requires immediate attention, dispatch is notified immediately. If immediate attention is not required, the employee is encouraged to submit the information to management by the end of their workday. Our managers then initiate conversations with employees about their observations of both safe and unsafe behaviors.

The employee's contribution to the cause of the injury or collision is considered in disciplinary action, up to and including termination. If after analysis it has been determined that the incident resulted from an overt decision, disciplinary action is indicated. If not, then the appropriate counseling and/or training is indicated.

SOP #806 - Near Miss & Hazard Reporting describes the reporting process

#### Threatening or Suspicious Activity

First Transit encourages anyone who sees, hears, or learns of any conduct or statement that seems threatening or suspicious, and/or any weapons on company premises or in company vehicles, to immediately report such conduct or statement, either to his/her Supervisor or Manager, to the Human Resources Department, FirstGroup America Security, and/or to the confidential Ethics and Compliance Hotline at 1.877.3CALLFG, (1.877.322.5534), contact the Hotline intake site at ethicsfirst.ethicspoint.com, or email Compliance@firstgroup.com.

If there is an immediate risk or imminent threat of violence, serious harm, or life-threatening conduct, employees should immediately call 911, local police, or other law enforcement.

# **Open-Door Policy**

A workplace where employees are treated with respect and one that is responsive to their concerns is important to each of us. At First Transit, we recognize that employees may have suggestions for improving our workplace, as well as complaints about the workplace. We feel that the most satisfactory solution to a

Date / / Near miss report	☐ Hazard report ☐
Name	
Location	
Observation(s)	
Actions required	
The state of the s	
Who is to complete the action(s)?	
vino is to complete the action(s):	
The second secon	
Contractor Employee Visit	
	First 🍘



job-related problem or concern is usually reached through a prompt discussion with an employee's manager. Each employee is encouraged to do so.

If the matter cannot be resolved with one's immediate manager, the employee may:

- Speak with their Location General Manager or Region Safety Manager who will attempt to facilitate a solution.
- If an employee is unable to resolve the matter through the management chain of command in their location, the employee may choose to speak directly to anyone in division management or Human Resources.

First Transit's Open-Door Policy also allows employees to voice their concerns anonymously.

• If an employee would like to submit an anonymous concern, they may contact the Ethics and Compliance Toll-free Hotline at 1.877.3CALLFG, (1.877.322.5534), contacting the Hotline intake site at ethicsfirst.ethicspoint.com, or emailing <a href="mailto:Compliance@firstgroup.com">Compliance@firstgroup.com</a>.

This Open-Door Policy applies to every employee not covered by a collective bargaining agreement. It also extends to contractors and subcontractors.

In situations involving discrimination or harassment, employees should follow the Complaint Procedure described in the Discrimination, Harassment and Retaliation Reporting Procedure section of their First Transit Employee Handbook without fear of reprisal and should not follow this Open-Door Policy complaint process.

<u>In situations requiring immediate attention</u>, an employee may bypass the chain of command, which begins with his or her manager, and contact any level of management or Human Resources directly, without fear of reprisal, and without the need to follow this Open-Door Policy complaint process.

• This may be done in person, by direct contact, phone call, letter, or email message or by utilizing the Ethics and Compliance Hotline. The Ethics and Compliance Hotline can be reached by calling 1.877.3CALLFG, (1.877.322.5534) or emailing <a href="mailto:compliance@firstgroup.com">Compliance@firstgroup.com</a>.

#### Accidents/Incidents

First Transit finds accidents and incidents to be a very serious matter and a valuable learning opportunity to improve safety. SOP #700 – Accident & Safety Data Acquisition and Reporting, and the supporting SOP's, 700a – Auto and General Liability Claim Form; 700b – Courtesy Card; 700c – Operator Incident Report; ensure that the appropriate actions happen at the scene for the safety and security of First Transit passengers and employees; and that the appropriate data is collected to evaluate the incident, determine culpability; and develop actions to limit or eliminate the possibility of the incident occurring in the future.

#### Accidents

Accidents are considered to be any collision that occurs while an Operator is on duty. Operators are to report all accidents and collisions to Dispatch immediately upon occurrence. When reporting to Dispatch, the employee must state that he or she is reporting an accident and then answer any questions asked by Dispatch.

Additionally, **SOP #700c – Operator Incident Report** and **SOP #700a – Auto & General Liability Claim Form**, must be completed by the Operator involved and location management for accidents, possible claims of accidents, damage to equipment, injury and possible injury not later than one hour after completion of shift on the day of occurrence. Any vehicle defects that may have contributed to an accident shall be included in the report. To help ensure that this deadline is met, employees are paid to complete the form.



Employees who fail to report an accident may be subject to disciplinary action up to and including termination.

Employees must provide transit management with any additional accident information immediately upon request.

#### Incidents

Incidents with passengers involving slips and falls on or near the vehicle, fights, police action, or removal of a passenger, must be reported to Dispatch immediately; and require a **SOP #700a – Auto & General Liability Claim Form** to be completed by management before going off duty for the workday.

All other incidents and occurrences out of the norm, no matter how slight, are to be reported to Dispatch upon return to the yard.

The following are examples of incidents that must be reported:

- Broken or cracked windows from unknown causes,
- Cut seats,
- Service delays,
- Passing up passengers,
- Insufficient or excessive running time in schedule,
- Overloads, etc.

If in doubt, immediately contact Dispatch.

Operators Witnessing an Accident shall notify Dispatch immediately, even though their vehicle may not be involved.

# Required Courtesy Cards

In the event of an accident or an incident, Operators must distribute **SOP #700b – Courtesy Cards** then retrieve as many as possible from passengers and persons in the immediate area of the accident or incident who may have witnessed the event.

#### **Duty to Report Wrongdoing**

First Transit is committed to investigating all good faith claims of wrongdoing so that corrective action may be taken. To that purpose, First Transit encourages any employee, contractor or vendor to report wrongdoing or illegal acts to location management so long as they are not believed to be involved in the fraud, waste or abuse being reported. Management within First Transit ensures the matter is reported to Group Security and First Transit will investigate and take appropriate steps to correct the wrongdoing or potential violation.

Alternatively, reports may be made anonymously using the FGA Ethics & Compliance line at 1.877.3CALLFG, (1.877.322.5534) or by emailing <a href="mailto:Compliance@firstgroup.com">Compliance@firstgroup.com</a>. You may also contact the Healthcare Compliance Officer directly.

#### Self-Reporting

Self-reporting is also encouraged. Anyone who reports his/her own violation will receive due consideration regarding disciplinary action that may be taken.

#### **Duty to Report Law Enforcement Actions**

Employees are required to report any arrests, indictments or convictions to their immediate manager or Human Resources immediately, but no later than prior to the next scheduled work shift, to the extent permitted by applicable law. If the circumstances and the offense charged, in our judgment, present a



potential risk to the safety and/or security of our customers, employees, premises and/or property, such events may result in disciplinary or other appropriate action to the extent permitted by applicable law.

Operators and safety sensitive employees are required to report all Driving Under the Influence (DUI) or Driving While Intoxicated (DWI) related charges, vehicular collisions, and any moving violation citations received in any vehicle immediately if possible, but no later than prior to their next scheduled work shift, consistent with applicable law.

# **Possible Disciplinary Actions**

First Transit uses a tiered approach to determine possible disciplinary actions. Infractions that lead to disciplinary action are categorized into four categories;

- Class 1 Dischargeable Offenses, the most serious and unacceptable behavior
- Class 2 Serious violations of the First Transit performance code
- Class 3 Secondary violations of the First Transit performance code
- Class 4 Lesser violations of the First Transit performance code that may result in disciplinary action depending on the circumstances or repeated violations

#### Examples of Class 1 Dischargeable Offenses include:

- Convictions and imprisonment for such offenses as DUI, DWI, child abuse, etc.
- Safety; some offenses are of such a serious nature that termination is appropriate for the first offense. Those include but are not limited to:
  - o Failure to properly secure mobility devices
  - o Cell phone use while operating a company vehicle
  - Striking a pedestrian
  - Colliding into the rear of another vehicle or stationary object
  - o Running a red light or stop sign
  - o Entering a railroad crossing when the lights are flashing
- Violation of the Drug & Alcohol Policy
- Dishonesty
- Stealing/Theft
- Unauthorized Use or Removal of Company / Client Property or Vehicle
- Violence / Fighting / Threats
- Harassment
- Insubordination
- Security
- Sleeping on the Job
- **Destruction of Property**
- Failure to Return to Work
- Leaving Bus or Passengers
- Failure to Follow Sleeping Passenger Rules



Examples of <u>Class 2 Infractions</u> considered to be serious violations of the First Transit performance code include:

- Abusing or misusing sick leave
- Exchanging work assignments (trade) without proper authority
- Stopping work prior to the end of any shift without management's permission
- Excessive absenteeism, tardiness, starting work late after on the clock, or a pattern of unexcused absences unless otherwise permitted by law
- Reporting for work in an unfit condition
- Failing to obtain permission to leave work during normal working hours
- Discourteous or inappropriate attitude or behavior toward passengers or other members of the public
- Failure to comply with PPE directives
- Failure to wear a High Visibility Safety Vest, Reflective Safety Vest, or Company issued High Visibility Uniform Shirt according to Company policies
- Failure to wear Safety Glasses in compliance with PPE directives
- Failure to wear Company Assigned Shoe Grips when directed to do so
- Violation of vehicle operating regulations
- Failure to observe safety, sanitation, or disciplinary policies of the client or Company, or laws and regulations of Local, State, or Federal governments
- Failure to comply with the Risk Assessment policy
- Working more than an employee's regularly scheduled hours without advance approval of the Company
- Failure to operate a Company vehicle according to assigned route or timetable
- Failure of any Operator, Safety Sensitive Employee or employee required to be licensed for driving, to renew and maintain a valid, appropriate driver's license with required endorsements and a medical certificate for driving a Company vehicle
- Failure to wait for connections or passing up passengers
- Transport of unauthorized persons
- Attempting to enter, entering or assisting any person to enter, or attempt to enter a Company location or restricted areas without proper authority

Examples of <u>Class 3 Infractions</u>, considered to be secondary violations of the First Transit performance code, include:

- Failure to report defective equipment
- Failure to report a safety hazard
- Failure to procure necessary information for an accident report or submitting an inaccurate or incomplete report



- Posting, circulating or distributing written or printed material during working times and in working areas
- Failure to adhere to the Company Reverse Parking policy for Company vehicles and personal vehicles
- Use of a Company-owned radio or cell phone for non-Company business during working time
- Failure of any Operator to have in his or her possession a valid, appropriate driver's license with required endorsements and a medical certificate while driving a Company vehicle

Examples of <u>Class 4 Infractions</u>, considered to be lesser violations of the First Transit performance code that may result in disciplinary action depending on the circumstances or repeated violations, include:

- Failure to comply with the dress code, uniform policy, cleanliness, personal hygiene, personal grooming habits, or other requirements established by the client or Company
- Reporting for duty in an improper uniform, presenting an untidy, unkept or dirty appearance of person or uniform, or improperly displaying uniform articles, Company emblem, or authorized pins and badges
- Parking a personal vehicle in a restricted area at a Company location
- Neglect of job duties and responsibilities, or lack of application or effort on the job
- Incompetence or failure to meet reasonable standards of efficiency or effectiveness
- Failure to provide First Transit with a current address or telephone number
- Failure to inform First Transit of changes in status of dependents for insurance coverage
- Littering the employee lounge area, restrooms, or any other company property
- Failure to read notices and bulletins and not making an effort to stay informed

#### **Applying Disciplinary Actions**

Although employment may be terminated at-will by either the employee or First Transit at any time in accordance with applicable law, without following any formal system of discipline or warning, First Transit may exercise discretion to utilize forms of discipline that are less severe than termination.

Whenever an employee is subject to discipline, the employee's work record, including violations occurring in the relevant time period, is reviewed before determining penalty. The chart below describes how disciplinary actions are applied.

Class of Infraction	Discharge	Suspension	Written Warning			
1	1st Offense					
2	2nd Offense*	1st Offense				
3	3rd Offense*	2nd Offense*	1st Offense			
4	4th Offense*	3rd Offense*	1st & 2nd Offense*			
*Within 12 months of first offense, 36 months for safety						



Additionally, First Transit may use the following criteria to determine discipline specific to any type of traffic violation or preventable accident.

Major Offenses	Action
One violation	Discharge
Serious Violations	Action
One violation	Written warning
Two violations within any 36-month period	Discharge
Moving Violations	Action
Two violations within any 36-month period	Three-day Suspension
Three violations within any 36-month period	Discharge
Two violations within any 12-month period	Discharge
Preventable Vehicle Accidents	Action
One preventable accident	Written warning
Two preventable accidents within any 36-month period	Five-day Suspension
Three preventable accidents within any 36-month period	Discharge
Two preventable accidents within any 12-month period	Discharge

Details of First Transit's reporting requirements, infractions of company policy, and disciplinary actions that may be taken are described in more detail in the **First Transit Employee Handbook**.

# 5. Safety Risk Management

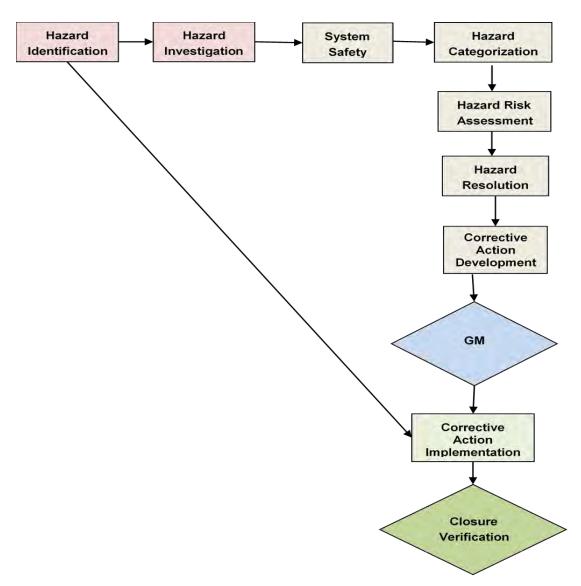
# **Safety Risk Management Process**

Describe the Safety Risk Management process, including:

- Safety Hazard Identification: The methods or processes to identify hazards and consequences of the hazards
- Safety Risk Assessment: The methods or processes to assess the safety risks associated with identified safety hazards
- Safety Risk Mitigation: The methods or processes to identify mitigations or strategies necessary as a result of safety risk assessment



Safety management is at the core of everything done at First Transit. All employees are responsible for performing their jobs in a safe manner, which includes identifying safety risks and participating in developing and implementing effective mitigation techniques. The process for managing hazards, from identification through corrective action and closure, is illustrated by the following flowchart.



As described earlier, a corporate structure exists to address all safety concerns. To ensure safety at the local levels, each location is required to form a Safety Solutions Team (SST), Accident Review Committee (ARC), and a Local Client Liaison Committee. To ensure consistency at each location, SOP's #803; #803a; #803b Safety Solutions Team, and SOP #702 – Accident Review Committee describe the procedures which are to be followed in creating and operating a Safety Solutions Team and Accident Review Committee.

These groups are responsible for reviewing safety related accidents and incidents to determine culpability; identify the causes associated with each event; and develop mitigation measures to reduce the risk of the events occurring in the future. Having these groups at each location provides a way for employees to report safety risks in a timely manner and to teams that understand the conditions associated with each specific location. Additionally, the opportunity exists for more timely, appropriate, and effective mitigation measures.



Several tools are used by the Region Safety Managers, Region Safety Directors and the Senior Director of Safety to monitor the local risks and risk management. Among them are Safety Data Reports which outline the monthly and Year to Date safety performance statistics. Also used is a Target & Goal Worksheet to track and analyze the data collected and to target reactive and proactive performance improvement measures.

#### **Safety Hazard Identification**

This process is a vital component in First Transit's efforts to reduce safety risks and improve overall delivery of service. Safety Hazard Identification data is used to implement immediate corrective actions and to proactively identify hazards before they cause future accidents or incidents.

The objective of hazard identification is to distinguish those conditions that can cause an accident or create an unsafe condition. First Transit routinely analyzes records from our operation to identify accident causation based on history. Current traffic conditions are periodically analyzed, and management inspection of established prevention processes are routinely performed.

There are five (5) main areas reviewed in Hazard Identification:

#### 1. Environment

- a. Weather
- b. Road Surface Condition
- c. Visibility

# 2. Transit Service Characteristics and Agency Policies

- a. Incentives for Safe Driving
- b. Equipment Maintenance Policies
- c. Stop Intervals
- d. Route Design
- e. Driver Scheduling
- f. Passenger Demand Schedules

#### 3. Operator

- a. Experience
- b. Physical Ability
- c. Personality
- d. Psychological Condition
- e. Physical Condition

# 4. Road Layout

- a. Width
- b. Speed Limit
- c. Geometric Design
- d. Traffic Volume
- e. Capacity
- f. Parking
- g. Adjacent Lane Use
- h. Street Lighting
- Pedestrian Volume

#### 5. Hazard Identification – Accident Prevention/Resolution

1st: Identify the Hazard

2nd: Remove the Hazard

When the Hazard cannot be removed, Train for the Hazard as a "known condition" 3rd:



First Transit relies on employees to assist in the hazard identification and resolution process. Working with the location safety personnel and through a structured process, employees help:

- Identify Critical Factors in Hazard Resolution
- Develop and Recommend an Action Plan
- Implement Action Plan
- Measure Performance Against Safety Objectives
- Monitor the Process
- Modify the Process
- Secure Outside Assistance (when needed)
- Audit for Compliance

Several tools exist for hazard identification. Among them are:

- SOP #802 and #802a Daily Safety & Health Walkthrough and Checklist
  - A routine safety and health check walkthrough to promptly identify hazardous conditions at our facilities and notify employees of the hazards identified and mitigation measures to help protect them from personal injury.
- SOP #804 Positive Check-In Procedures & Reasonable Suspicion
  - o Positive Check-In procedures are to ensure our operators reporting to work are fit-for-duty.
- SOP #900 Facility Hazard Recognition Manual
  - This Hazard Recognition Manual is intended to be a tool for recognizing potential hazards that may be present at First Transit facilities. Although it does not represent all conditions that could exist, the photos and narrative provide:
    - A reference guide for conducting safety inspections at a facility, and
    - A training document to educate and train employees to conduct effective safety inspections.

#### Vehicle Maintenance Risk Assessment

- All employees who perform maintenance and repairs to vehicles within transit centers and bus yards or on road calls complete a risk assessment using SOP #503a Vehicle Maintenance Risk Assessment Form prior to performing any work on a vehicle.
- The Risk Assessment process, SOP #503 Vehicle Maintenance Risk Assessment, requires employees about to perform a maintenance task to confirm they possess the training, skills, knowledge, abilities, tools, and equipment to safely perform the task at hand. The assessment includes determining the following.
  - Are You Properly Trained to Perform the Task?
  - If Task Requires Lifting, Are Lifts Secured, Are Jack Stands Used Correctly?
  - Are You Wearing the Appropriate Personal Protective Equipment (PPE)?
  - Have You Performed the Proper Lock-Out/Tag-Out (LOTO) procedures?
  - Are You Aware of the Potential Risks of Performing this Repair?
- o If the answer is "NO" to any of the above assessments the technician is to immediately contact their manager.

#### Pre-Survey Job Hazard Analysis

Prior to beginning a job hazard analysis, a pre-survey of the working conditions, using SOP #503b – Pre-Survey Job Hazard Analysis Form, under which the job is performed is conducted to evaluate the general conditions. A few of the potential hazards being considered include:



- 1. Are there tripping hazards in the job vicinity?
- 2. Is the lighting adequate for work conditions?
- 3. Are there explosive hazards associated with the job?
- 4. Are there electrical hazards associated with the job?
- 5. Are tools associated with the job in good condition?
- 6. Is the noise level excessive (below 85-dba)?

## Facility Parking Risk Management Assessment

- Inadequate turning areas, blind corners, uneven walking surfaces can all cause collisions or employee injury in parking areas. SOP #501 - Facility Parking Risk Assessment will help identify and prevent these types of collisions for both buses and personal vehicles.
- o The Location Manager must ensure compliance with all provisions of this SOP.
- o The risk of each facility is assessed as follows:
  - Annually
  - Unscheduled Whenever a significant vehicle collision or a pedestrian strike occurs in the bus yard or on company premises
  - Start-up locations Before operating out of the new location.
  - SOP #501a Facility Parking Risk Assessment Guide, and
  - SOP #501b Facility Parking Risk Assessment Form are tools to help with this
    assessment.

#### On-Board Video Technology

- SOP #704 On-Board Video Technology provides a summary of the on-board video system and Company standards that all First Transit employees must follow when operating a company or customer vehicle equipped with onboard video technology.
- This technology is a valuable resource and another tool that helps First Transit instill positive driving behaviors by providing opportunities to view recorded driving events, driver history and company trends.
- The goal of this in-cab camera technology is to proactively identify unsafe behaviors and improve those identified behaviors through coaching, retraining and, if necessary, disciplinary measures in accordance with the provisions of the Employee Handbook and applicable Collective Bargaining Agreements.

#### Safety Risk Assessment

Once the hazard has been identified, they are categorized into the following severity levels. The categorization of hazards is consistent with risk-based criteria for severity; it reflects the principle that not all hazards pose an equal amount of risk to personal safety.

**Category 1 – Catastrophic:** operating conditions are such that human error, design deficiencies, element, subsystem or component failure, or procedural deficiencies may cause death or major system loss and require immediate termination of the unsafe activity or operation.

**Category 2 – Critical:** operating conditions are such that human error, subsystem or component failure, or procedural deficiencies may cause severe injury, severe occupational illness, or major system damage and require immediate corrective action.

**Category 3 – Marginal:** operating conditions are such that they may result in minor injury, occupational illness or system damage and are such that human error, subsystem or component failures can be counteracted or controlled.



**Category 4 – Negligible:** operating conditions are such that human error, subsystem, or component failure or procedural deficiencies will result in less than minor injury, occupational illness, or system damage.

The next step in assessing the hazard is to <u>determine the probability of it occurring</u>. Probability is determined based on the analysis of transit system operating experience, evaluation of First Transit safety data, the analysis of reliability and failure data, and/or from historical safety data from other passenger bus systems. The following chart describes the probability categories.

Probability of Occurrence of a Hazard					
Description	Probability Level	Frequency for Specific Item	Selected Frequency for Fleet or Inventory		
Frequent	А	Likely to occur frequently	Continuously experienced		
Probable	В	Will occur several times in the life of the item	Will occur frequently in the system		
Occasional	С	Likely to occur sometime in the life of an item	Will occur several times in the system		
Remote	D	Unlikely but possible to occur in life of an item	Unlikely but can be expected to occur		
Improbable	E	So unlikely, it can be assumed occurrence may not be experienced	Unlikely to occur but possible		

Identified hazards are placed into the following Risk Assessment Matrix to enable the decision makers to understand the amount of risk involved in accepting the hazard in relation to the cost (schedule, cost, operations) to reduce the hazard to an acceptable level.

Hazard Frequency	Severity Category 1	Severity Category 2	Severity Category 3	Severity Category 4
Frequent (A)	1A	2A	3A	4A
Probable (B)	1B	2B	3B	4B
Occasional (C)	1C	2C	3C	4C
Remote (D)	1D	2D	3D	4D
Improbable (E)	1E	2E	3E	4E

Based on company policy and the analysis of historical data, First Transit has made the following determinations regarding risk acceptance.

Hazard Risk Index	Criteria by Index
1A, 1B, 1C, 2A, 2B, 3A	Unacceptable
1D, 2C, 2D, 3B, 3C	Undesirable (Management decision)
1E, 2E, 3D, 3E, 4A, 4B	Acceptable with Management Review
4C, 4D, 4E	Acceptable without Management Review



# **Safety Risk Mitigation**

# Mitigation Determination

After the assessment has been completed, the follow-up actions will be implemented as follows.

- <u>Unacceptable</u>: The hazard must be mitigated in the most expedient manner possible before normal service may resume. Interim corrective action may be required to mitigate the hazard to an acceptable level while the permanent resolution is in development.
- <u>Undesirable</u>: A hazard at this level of risk must be mitigated unless the Location General Manager and Location Safety Manager issue a documented decision to manage the hazard until resources are available for full mitigation.
- <u>Acceptable with review</u>: The Location General Manager and Location Safety Manager must determine if the hazard is adequately controlled or mitigated as is.
- <u>Acceptable without review</u>: The hazard does not need to be reviewed by the management team and does not require further mitigation or control.

#### Hazard Resolution

Safety hazard resolution or mitigation consists of reducing the risk to the lowest practical level. Not all safety risks can be eliminated completely. Resolution of hazards will utilize the results of the risk assessment process. The objectives of the hazard resolution process are to:

- 1. Identify areas where hazard resolution requires a change in the system design, installation of safety devices or development of special procedures.
- 2. Verify that hazards involving interfaces between two or more systems have been resolved.
- 3. Verify that the resolution of a hazard in one system does not create a new hazard in another system.

The SST, who was identified earlier in this plan as the team responsible for local safety review, uses the following methodologies to assure that system safety objectives are implemented through design and operations, and hazards are eliminated or controlled:

- 1. Design to eliminate or minimize hazard severity. To the extent permitted by cost and practicality, identified hazards are eliminated or controlled by the design of equipment, systems and facilities
- 2. Hazards that cannot reasonably be eliminated or controlled through design are controlled to the extent practicable to an acceptable level through the use of fixed, automatic, or other protective safety design features or devices.
- 3. Provisions are made for periodic functional checks of safety devices and training for employees to ensure that system safety objectives are met.
- 4. When design and safety devices cannot reasonably nor effectively eliminate or control an identified hazard, safety warning devices are used (to the extent practicable) to alert persons to the hazard.
- 5. Where it is impossible to reasonably eliminate or adequately control a hazard through design or the use of safety and warning devices, procedures and training are used to control the hazard.
- 6. Precautionary notation is standardized, and safety-critical issues require training and certification of personnel.



# Hazard Resolution Management and Tracking

Resolution of identified hazards are managed by the Location General Manager and/or the Location Safety Manager. The hazard resolution process is managed through the "Safety Toolbox", which is an online tool used by management, from Road Supervisors to Executive Management, to record the occurrence of safetyrelated events, review safety critical data, and track corrective actions as necessary.

The Safety Toolbox is a powerful tool to help understand the work area's safety environment. This includes:

- Understanding and improving observations of safety critical behaviors
- Reviewing recorded debriefs to ensure that the "BeSafe" process is in place and working.
- Reviewing findings from BeSafe tours and determine if tasks/actions have been closed out

The Safety Toolbox includes information regarding:

- BeSafe (BeSafe Debriefs, BeSafe Tours, BeSafe Touchpoints)
  - Debrief meetings conducted in order to assure quality.
  - o Safety Critical Behavior is the main focus of touchpoints; and shared and discussed during debrief meetings.
- Contacts (e.g. Near Misses, Hazard reports, Commendation, Safety Issue)
  - Near Misses. Reporting an event that occurred and could have caused injury.
  - Hazard Reports. Reporting an event that occurred and could have caused injury.
  - o Commendation. A report of commendable safety actions/conduct performed by a colleague within the business.
  - o **Safety issues.** A report on any safety issue that has a specific cause i.e. maintenance, housekeeping, environment and behavior etc.
- Safety Leadership Activities (e.g. Participate in safety meetings, risk assessment, section observation)
  - Participation in a Safety meeting. Actively leading or participating in the location in-service safety meeting.
  - o Intersection observation or risk assessment. Risk assessment or driver observations conducted at nearby intersections, and delivery of positive reinforcement or coaching as indicated.
  - o Rail section observation or risk assessment. Risk assessment or driver observations conducted at rail crossing(s), and delivery of positive reinforcement or coaching as indicated.
  - o **Planned general inspections.** A systematic inspection where a location is forewarned.
  - o High interest driver. A report of a driver's performance that has indicated a level of risk taking through observations, review scores, and skills evaluations.

Additional documentation, such as corrective action plans, are developed for those hazards requiring complex and multifaceted resolutions.

# 6. Safety Assurance

# Safety Performance Monitoring and Measurement

Describe activities to monitor operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended.



As discussed in Section 1 of this plan, First Transit employs a Resident Management Team at each operation location. This team consists of a <u>Location General Manager</u> and a <u>Location Safety Manager</u>, who oversee the safety of the operation.

Additionally, each location employs <u>Street Supervisors</u>, <u>Dispatchers</u>, and <u>Instructors</u>; all of whom are responsible for oversight of the daily operations and training. All safety risks identified are reported to the Location General Manager and Location Safety Manager. Any risks that can be addressed immediately are corrected but still reported. Each location also establishes a <u>Safety Solutions Team (SST)</u>, described in Section 5: Safety Risk Management of this plan, which uses the following methodologies to ensure a proactive approach to safety at each location.

- Routine hazard management
- Accident and incident investigation
- Safety data collection and analysis
- Routine internal safety audits
- Facility, equipment, systems and vehicle inspections
- Routine proficiency checks for all vehicle operators and maintenance employees
- Compliance evaluations including onsite inspections
- Regularly communicating safety and hazard data to all employees

A higher level of oversight is conducted by Region management, which includes the <u>Region Safety Manager</u>, <u>Region Safety Director</u>, <u>Region Maintenance Director</u>, and the <u>Region Vice President</u>. From this level, any identified risks and mitigations are shared with other Region local operations as a proactive means to reduce risks.

The last "local level" review comes from the <u>Vice President of Safety</u> and the <u>Vice President of Maintenance</u>. These are corporate level positions that share the identified risks and mitigations throughout the organization as a proactive means to reduce risks. Additionally, the Vice President of Safety and Vice President of Maintenance assist executive level management in using this information to impact operational and budget decisions.

Describe activities to conduct investigations of safety events to identify causal factors.

First Transit has a "zero" tolerance for preventable injuries and collisions. Elimination of preventable injuries and collisions is our number one goal.

Any injury, collision or incident that occurs is investigated to determine preventability or non-preventability. Investigations include all instances in which:

- a vehicle was damaged
- a vehicle leaves the traveled roadway
- a passenger is injured or
- an employee is injured

# SOP #700-Accident & Safety Data Acquisition describes the data collection process including

- Defining the Event & What to Do
- Accidents Defining the Accident
- "Five Cardinal Rules That Apply to an Accident"
- Operator Responsibility
- Dispatcher on Duty Accident Investigation Responsibility



**SOP #700** also describes the Operators and the Dispatchers responsibilities for protecting the customers and managing the scene.

The groups described in SOP #702 – Accident Review Committee (ARC), and SOP #803 – Safety Solutions Team (SST), review the data collected to determine if the accident/incident was preventable or non-preventable, (ARC); and identify measures to reduce the risk of the accident/incident occurring in the future (SST).

Describe activities to monitor information reported through internal safety reporting programs.

The Location Safety Manager (LSM) and/or Location General Manager (LGM) routinely reviews all location safety and hazard data, which includes searching for repetitive events that might have safety implications. When accident/incident reports and statistics indicate repetitive accidents/incidents, the LSM and LGM investigate to determine the root cause.

The following chart describes how the hazard data flows and is monitored by First Transit; from each operating location, to Region management, to corporate and parent company management.





				Risk/Safety Dat	a Flow		
				Weekly Data R	eview		
Information Collected Daily	Location	Third Party Data Collected	Risk Dept	Safety Dept	Location		
Collisions/ Injuries/ Workers Comp	Incident Occurs, claim report created, then sent to Third Party Data Collector via website, phone, fax.	Report received from Location.	Information from Third Party Data Collector created as weekly report then sent to Region Safety.	Weekly reports are reviewed and distributed for weekly management oversight conference calls.	Review data with Senior Region Leadership during weekly teleconference.		
			Period Dat	ta Review (e.g. 0	Quarterly/Monthly)		
	Risk Dept	Shared Services Dept	Region Safety Managers	Shared Safety Services Dept			
Collisions/ Injuries/ Workers Comp	Send all raw risk data gathered from weekly reports to the Shared Safety Services Dept.	Reorganizes raw data regionally then distributes to Region Safety Dept.	Review period data and distribute to locations.	Develops company, region, and location specific performance measures and distributes through Target & Goal Spreadsheet.			





	Shared Services Dept	UK	Safety Dept	First Group Executive Safety Committee (ESC)	First Group Safety Council	First Group America Safety Council	Performance Review Management (PRM)	Safety Advisory Committee
Collisions/ Injuries/ Workers Comp	Final reports sent to UK and Directors of Safety for each business group.	Processes data; analyzes; creates reports; categorizes risk factors; and gathers commentary from First Group companies for trend analysis.	Processes data; analyzes; creates reports; categorizes risk factors; and creates commentary for trend analysis.	This committee consists of President, COO, and Safety Vice President of each operating group.  Discussions include safety performance, trend analysis, program oversight.	This committee consists of Vice Presidents of Safety for all operating divisions.  Discussions include safety performance, trend analysis, and safety oversight.	This committee consists of Safety Senior Directors and Safety Vice Presidents.  Discussions include safety performance, trend analysis, best practices, and program oversight.	This review consists of Senior Region Vice Presidents, Region Vice Presidents, Region Directors of Operations, and Region Safety Managers.  Discussions include regions safety performance.	This committee consists of Location General Managers, Region Directors of Operations and Region and Local Safety Managers. Discussions include review of policy and procedures training, an safety awareness.



#### **Management of Change**

Describe the process for identifying and assessing changes that may introduce new hazards or impact safety performance.

First Transit employs a proactive process, **SOP #208 – Safety Validation of Change**, that addresses the procedures to be followed to evaluate the risk of any changes proposed at all levels of the organization. The overall purpose of this process is to provide assurance that any proposed changes which impact operations will not increase safety risk; or where additional risk is identified, that controls are put in place **prior to the changes being implemented**.

Changes to organizational structure; the nature or extent of operations; or to facility or equipment assets; as well as mergers and acquisitions of new businesses are proactively managed through this process to avoid introducing or increasing safety risks.

- The resources required to complete the validation process, in terms of people, finance and materials is included in this validation process.
- The allocation of responsibilities considers the competence of the individuals that are required to carry out the safety validation roles.
- All employees who may be affected by the proposed changes are consulted as part of the process.

The extent and scope of safety validation applied to any change proposal is proportional to the risks (safety, operational, and other risks) associated with its introduction. (For example, a major change, such as a reorganization of Region Executive roles and responsibilities or start-up of a large new bus operation, requires a more rigorous safety validation than a minor change.)

In the case of smaller, less complex or well understood changes, the safety validation of change process may be implemented as part of normal operations, using existing organizational arrangements and meeting structures to deliver the required level of assurance.

The process is generally described in the following chart.

Safety Validation of Change Process					
Main Steps	Key Activities	Checklists & Guidance	Completed By		
1. Identify Proposal for Change	<ul> <li>Raise change proposal (including Capital Expenditure Approval)</li> <li>Inform relevant functional Director(s) and Manager(s)</li> </ul>	Complete     SOP #208a –     Safety     Validation of     Change     Form, Section     A1	Change proposer		





2. Determine Classification of Change Significance	<ul> <li>Classify level of safety validation required</li> <li>Ensure the extent and scope of validation is proportional to the level of risk</li> </ul>	Complete     SOP #208a –     Safety     Validation of     Change     Form, Section     A2	Category A: Group Safety Director  Category B: Divisional head of Safety Category C: Location head of Safety		
3. Allocate Roles & Responsibilities	<ul> <li>Formally allocate change sponsor and change authorizer</li> <li>Identify other required resources and roles for consultation</li> </ul>	Complete     SOP #208a –     Safety     Validation of     Change     Form, Section     A3	Change proposer (with guidance)		
Submit Change	Change proposer				
Docido whother safety va	Decide whether safety validation should proceed				
			proposer		
4. Prepare Safety Validation of Change Case	<ul> <li>Prepare safety validation documentation</li> <li>Complete risk assessment of proposed change</li> <li>Submit for review</li> <li>Revise and finalize documentation</li> </ul>	Complete risk assessment and document findings Complete Safety Validation of Change as described in SOP #208 – Safety Validation of Change Complete SOP #208a – Safety Validation of Change Form	Change		
Submit Safety Validation Checklis	t with supporting do	cumentation	proposer		
Approve and Impleme	Change authorizer (or delegated representative)				
5. Monitoring and Review	Monitor implementation of change and safety performance	<ul> <li>Check compliance as part of Region Safety Monitoring</li> <li>Review effectiveness</li> </ul>	Location Safety Manager  Corporate Safety Management		



		Review performance process	of the process as part of Region oversight	Vice President of Safety - First Transit	
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Changes proposed at the Corporate level typically have an impact on the Region and Local levels. To ensure the risks associated with any change consider all levels of the organization, each level must complete **SOP #208 – Safety Validation of Change** as part of the process to ensure specific safety concerns have been identified and addressed.

Similarly, changes proposed at the Region level will typically have an impact on the Local level. Consequently, the Local level must also complete **SOP #208 – Safety Validation of Change** as part of the process to ensure specific safety concerns have been identified and addressed.

Additional responsibilities in the Safety Validation of Change process include:

- The Region Safety Management team provides safety expertise/support to those carrying out the safety validation.
- The Senior Director of Safety:
  - o Reviews and approves each Region's safety validation of change process
  - Decides on the level of safety validation required (consulting with other functional heads as necessary) for Category A changes
  - o Is consulted on any Category B change proposal
  - Provides safety expertise/support to Region Safety Managers and Vice President of Safety First Transit during safety validation activities as required.
  - Provides safety expertise/support to those carrying out the safety validation for Category A changes.

An electronic log of all proposed changes, whether approved or not, are maintained by the Region Safety Director.

Communication of changes to policies/procedures regarding safety issues comes from Executive Leadership. This information is then carried down through the Vice President of Safety – First Transit, Senior Director of Safety, Region Safety Directors, Region Safety Managers. Location General Managers, and employees. Notification to the client is communicated through the Location General Manager.

#### **Continuous Improvement**

Describe the process for assessing safety performance. Describe the process for developing and carrying out plans to address identified safety deficiencies.

The process described previously in this section for monitoring safety data incorporates continuous improvement. As safety risk is identified, then reported on, a determination is made as to whether the risk can be mitigated immediately or requires more time and resources.

Risk mitigations that can address the safety concerns immediately are carried out but still reported. The reporting of these concerns includes the mitigation steps that have been taken. Monitoring of the risk continues to ensure that the mitigation strategy is effective.

Section 5 of this plan, Safety Risk Management, describes the risk assessment and mitigation procedures used that determine how to proceed with improvement strategies that require more time and resources.



Which improvement strategies to implement for longer term issues is based on severity and probability of risk occurrence. Additionally, safety hazard identification data is used to implement immediate corrective actions and to proactively identify hazards before they cause future accidents or incidents.

The objective of hazard identification is to distinguish those conditions that can cause an accident or create an unsafe condition. First Transit routinely analyzes records from our operation to identify accident causation based on history. Current traffic conditions are periodically analyzed, and management inspections of established prevention processes are routinely performed.

The Risk/Safety Data Flow Chart previously described in this section, illustrates how this information is shared throughout the organization.

# 7. Safety Promotion

#### **Competencies and Training**

Describe the safety training program for all agency employees and contractors directly responsible for safety.

The education and training process at First Transit is a highly regimented and professionally developed program built around a curriculum featuring learning opportunities in two major domains:

- Knowledge (education)
- Skills (training)

Various delivery mechanisms such as classroom, multimedia presentations, closed course, observation and behind-the-wheel skills building are used to support the learning process. Learning is evaluated through written quizzes, driving tests and customer service skills evaluations.

#### <u>Instructors</u>

Successful new operator training starts with selecting and certifying good instructors.

#### 1. Classroom Instructor:

The classroom instructor is responsible for facilitating the classroom portion of New Operator Training. Classroom training requires the development of lesson plans.

#### 2. Behind-the-Wheel Instructor:

The Behind-the-Wheel (BTW) Instructor is responsible for conducting closed course exercises and behind the wheel instruction. The New Operator Training program consists of instructional DVDs, which are accompanied by facilitator guides and participant study guides. The BTW Instructor uses the Operator Proficiency Workbook to document each trainee's progress.

\*New Instructor Candidates can obtain certification as both a Classroom Instructor and a Behind-the-Wheel Instructor.

#### 3. Master:

The Master Instructor, along with the Regional Director of Safety and Region Safety Manager(s), is responsible for training the Safety Supervisors. The Master Instructor is also responsible for the certification programs for Behind-the-Wheel and Classroom Instructors and the ongoing Train-the-Trainer workshops.



Training the Instructor is a process by which a Certified Instructor works with the selected New Instructor Candidate. During this time, the Certified Instructor conducts a review of all state laws, First Transit policies and procedures, local policies, and client-specified programs and requirements.

The Certified Instructor also provides a review of the Behind-the-Wheel Manual, Classroom Manual, and all First Transit video-based courses.

In addition to the above training, the New Instructor Candidate must complete the Instructor Development Curriculum, which includes the following three self-directed courses:

- 1. How to Train
- 2. Coaching the Adult Learner
- 3. Learning Basics

There are three types of Instructor Certification:

- 1. Temporary
- 2. Certified
- 3. Master

# 1. Temporary (Silver)

Temporary certificates are issued at the local level. A temporary certificate is issued to a New Instructor Candidate upon successful completion of the New Instructor training program at his or her location, conducted by a certified trainer at that location. Certificates are issued throughout the year prior to the annual Train-the-Trainer program.

Temporary certificates are valid for one year, and one year only, from the date of issue. Temporary certification is accompanied by silver achievement emblems for Classroom, BTW or both.

To continue in the program, a New Instructor must obtain Gold Certification.

# 2. Certified (Gold)

The Certified Instructor certificate is issued to a New Instructor who has successfully completed the annual Train-the-Trainer program, conducted by a Master Trainer. The annual Train-the-Trainer program combines all elements of the temporary certification, with the exception of the classroom evaluation. At the annual Train-the-Trainer program, Classroom Instructor Candidates are required to develop a lesson plan and give a presentation.

Prior to attending the annual Train-the-Trainer program, all New Instructors must complete the "Safety Leadership" course and pass the final exam with a grade of 90% or above.

The Senior Director of Safety is the only person authorized to approve and issue a Certified Instructor certificate with gold achievement emblems for Classroom, BTW, or both.

## 3. Master

The Master Instructor Certification program ensures that First Transit Policies and Procedures are correctly implemented throughout the company.

Master Instructor Certification is required for all area safety managers and above.

The Master Instructor:

- Provides support to the Location General Manager and the Region Safety Manager,
- Is involved with training new Safety and Training Supervisors, and re-training current Safety and Training Supervisors if required,
- Conducts the annual Train-the-Trainer program for BTW and Classroom Instructor Certification



Conducts Safety and Training audits in the region and reports the findings to the Region Safety Manager, if required.

#### Employee Training

Training employees to assess risks and recognize and avoid hazards in the workplace is critical to the overall safety of the workplace. Every First Transit employee is trained in "BeSafe" and "Safe Work Methods", which are described later in this section.

"BeSafe" is our company-wide approach to safety management. This program takes our safety performance to the next level through behavioral change. "BeSafe" is inclusive, collaborative and focuses on recognizing and acknowledging safe behavior and actions through positive reinforcement such as debriefs, tours, and touchpoints. All employees are trained in the principles of "BeSafe"

The "BeSafe" concept is described in the following brochure.







First Transit's "Safe Work Methods" is designed to educate employees on how to identify conditions and actions posing risks to their well-being and that of their coworkers. This training is to be used:

- 1. In training new hire employees
- 2. In leading supervisors in identifying root causes of workplace injuries
- 3. In retraining injured workers so that re-occurrences are avoided
- 4. To supplement First Transit's First Occupational Rehabilitation Management (F.O.R.M.) light duty and return to work management program, in controlling workers compensation losses

The "Safe Work Methods" training curriculum includes:

## **New Hire Training**

New hire training is designed to educate the new employee to the hazards commonly found in the transportation environments including in vehicle maintenance shops, bus yards, fuel islands, wash bays, and office environments. The program also makes employees aware of injuries that can result from physical activities such as entering and exiting vehicles, assisting persons with disabilities, and handling mobility devices.

- o PPE program including requirements for appropriate
  - Safety eyewear
  - Safety footwear
  - Safety hand wear
  - Hi-Vis vests
  - Disposal contaminated materials
- Risk Assessment and Injury Avoidance
  - Walking & Climbing
  - Lifting, Carrying, Holding, and Lowering Objects
  - Pushing, Pulling, & Twisting
  - Burns, Scalds
  - Exposed Fluids, Chemicals, Smoke
  - Cuts, Punctures, Abrasions, Lacerations
  - Mobility Device Lifts/Ramps

# 1. Requirements for Operator Training

Applicants are required to successfully complete a comprehensive training program prior to transporting passengers. Trainees are continually evaluated and tested throughout the training program. Trainees who do not demonstrate the required level of proficiency are provided additional training or are removed from training. The Operator training program combines instructor-led sessions, video instruction, facilitated discussion, and opportunities for the trainees to practice what they have learned. Training topics include:

#### **Classroom Training**

The first part of Operator training at First Transit, classroom training, begins the process of instilling the safety culture into each Operator. Helping the student Operators understand the importance of keeping themselves and each passenger safe; and their responsibilities in maintaining a safe environment, is a theme integrated throughout.

- **Unit 1 Introduction** 
  - Welcome and Introduction
  - o Title VI Civil Rights Act 1964
  - Employee Handbook
  - o BeSafe Making Safety Personal
  - o Hazardous Communication
  - Bloodborne Pathogens



#### **Unit II - Fundamentals**

- Safe Work Methods
- Basics of Safety
- o Managing Emergencies
- Security Awareness
- Map Reading
- o Communication Devices
- Navigation and Fare Policies
- o Smith System

# **Unit III - The Operator**

- Drug and Alcohol Awareness
- Distracted Driving
- Fatigue and Sleep Apnea Awareness

#### **Unit IV - Transporting Passengers with Disabilities**

- Transporting Passengers with Disabilities
- o Interacting with Passengers
- o Diffusing Conflict
- o Passenger Care While Loading and Unloading
- Mobility Aids and Devices

# **Unit V - Driving Fundamentals**

- Driving Fundamentals I
- Driving Fundamentals II
- Roadway Types
- Railroad Crossings

# **Behind-the-Wheel Training**

Behind-the-Wheel training is conducted in three phases. Since most people coming to work as a Bus Operator have not been exposed to driving the types of vehicle used at First Transit, the first part of behind-the-wheel training takes place on a closed course. This provides the opportunity for the Instructors to evaluate the skill levels of each employee; and gives each employee the opportunity to make and learn from their mistakes in a safe environment.

The next phase of Behind-the-Wheel training takes place on the road, but in a controlled manner. During the road phase of the training, each student Operator works one-on-one with a First Transit Instructor. The road work begins with the basics; intersections, service stops, and backing. The next advanced stage of the road work addresses roadways, highway driving, and continues the instruction on intersections and service stops. The "Smith Driving System" principles are incorporated throughout the entire Behind-the-Wheel training phase.

# **Closed Course (Group Work)**

- o Vehicle Orientation
  - Pre-Trip Inspection
  - Seat Adjustment
  - Mirror Adjustment
  - Braking, Accelerating, and Transmission
  - Wheelchair Securement
- Reference Points
  - Lane Position
  - Right Side / Left Side
  - **Backing Point**
  - Forward Stop



- **Pivot Points**
- **Turning Points**
- Vehicle Control
  - Straight in Lane
  - Left Turn
  - Right Turn
  - Lane Changing Moving Right or Left

#### One on One Instruction Behind the Wheel

- o Basic Road Work
  - "Smith System"
  - Intersections
  - Service Stops
  - Backing

#### **Advanced Road Work**

- o "Smith System" Commentary Driving
- Roadways
- o Expressway / Highway Driving
- Intersections
- Service Stops

#### **Final Evaluation**

Upon completion of the training program, before an Operator can be placed into service, they must successfully demonstrate their mastery of the skills and practices learned during the training program.

#### **Cadet Training**

Once a new Operator has been placed into service there is period of observation where an experienced Operator, Instructor, or Supervisor periodically rides-along to ensure the skills learned in training have successfully transferred to providing service. This includes the securement and transportation of a person with a disability.

#### 2. Requirements for Maintenance Training

Maintenance personnel are trained in shop safety, OSHA standards, and vehicle maintenance, in addition to receiving training in driving techniques and safety. Trainees are continually evaluated and tested throughout the training program. Trainees who do not demonstrate the required level of proficiency are provided additional training or are removed from training.

Maintenance training includes:

- Introduction to First Transit policies & procedures
- Injury prevention and risk assessment
- Substance Abuse Policy
- **Defensive Driving**
- "Smith System"
- NTI Security Awareness Warning Signs
- Shop Safety Handbook
- Maintenance Lift Safety
- **DVI Procedures**
- SafeWork Methods
- Wheel Torque Specifications
- Workplace Violence
- OSHA (R-T-K / MSDS / PPE Training)



#### 3. Requirements for Staff Training

Staff personnel are trained in Safety Leadership and "BeSafe" (described in item #1)

#### • Safety Leadership

This is an interactive CD-ROM course consisting of 5 CD's and leaders guides which are designed to educate all levels of First Transit management on the behaviors surrounding accidents. Every level of management takes the course and successfully pass an online test, found on the Safety Resource Center (SRC), with a passing grade of 90% or better.

The course outline is as follows:

- o Safety Leadership
  - Accidents
  - Behavior
  - Leadership
- Supervisor Development
  - The Role of the Supervisor
  - Communication
  - Building Trust
  - Conflict Resolution
  - Performance Management
  - Decisions

#### Additional Safety Training

- o Reasonable Suspicion
- o Supervisor's Report of Reasonable Suspicion
- Code of Conduct
- Customer Service
- o OSHA Requirements
- o Hazard Abatement FORM CA Only

#### 4. Requirements for Continuing Training and Evaluations

First Transit provides ongoing employee training and evaluations.

The objective of ongoing evaluations is met through a broad spectrum of regularly scheduled management activities including:

- road observations.
- ride along evaluations, and
- daily safety contacts.

Where evaluations and observations identify unsafe acts or conditions, retraining is provided to improve skill levels in accordance with corporate standards.

In addition to First Transit's formal employee training program, the following safety training is also conducted.



#### Safety Meetings

- Twelve (12) safety meetings are issued to the locations annually with required topics identified by the location and region safety management
- Each meeting is to be a minimum of one (1) hour in length unless otherwise required by state, client or local regulations
- A required topic along with a safety campaign including posters and DVD is sent to each location for presentation to all employees
- Attendance is a condition of employment and is mandatory for all Operators, Management, Operational staff, and Maintenance personnel. (Unless stated otherwise in the CBA.)
  - o Failure to attend all meetings will result in disciplinary actions up to and including termination.
- Client/Contract requirements may require safety meetings to be conducted on a more frequent basis than the First Transit minimum standards

#### Retraining

First Transit has a "zero" tolerance for preventable injuries and collisions, elimination of preventable injuries and collisions is our number one goal.

An employee involved in a preventable injury or collision is placed on administrative leave pending completion of the investigation and completion of any required retraining.

#### **Safety Communication**

Describe processes and activities to communicate safety and safety performance information throughout the organization.

#### Safety Awareness Programs

Establishing and maintaining a culture that demands safe behavior at all times is at the core of First Transit's safety plan. This is done, in part, by providing a regular flow of positive information and recognizing those who are performing safely.

This is where our "**BeSafe**" program provides the structure and foundation for communicating safety messages and inspiring safe job performance at all levels. "BeSafe" takes safety to a more personal level. It is a company-wide commitment to safety, with the objective of continuous improvement by making safety a personal goal and incorporating behavioral change as a mitigation measure.

"BeSafe" focuses on positive change through routine personal "touchpoints" and coaching interactions between front-line employees and management. To reinforce the touchpoints, discussions and feedback sessions are conducted as needed.

This program inspires safe behavior among employees at all levels by;

- Generating system-wide participation in safety issues through positive reinforcement
- Encouraging all employees to "take ownership" for safety results
- Communicating safety policies, procedures and processes



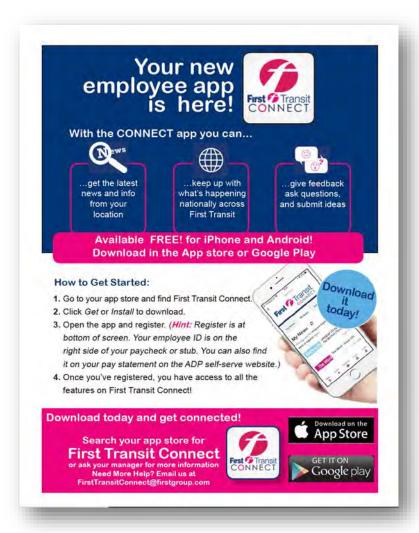
- Engaging executives and managers at all levels, encouraging their active participation in safety management and communication
- Sharing safety results at the individual, project, region and national levels by celebrating success stories
  - Individual Motivators Individual Achievement Awards: The "cultural carrot" to help affect individual safety improvement through the use of personal recognition awards. Currently established safety awards for First Transit employees are:
    - Annual Safe Driver Awards
    - Safety Solutions Team Recognition



- A Safety Leadership Group The Safety Solution Team (SST): Four to 10 location teammates dedicated to making safety "top-of-mind" by identifying and resolving safety issues.
  - SST
    - Review the safety concerns they have worked on and improvements that have been implemented
    - Record and distribute SST meeting minutes
  - GM
    - Review "Daily Safety & Health Walkthrough"
  - GM and SST
    - Recognize individuals who have earned years of safe driving
    - Pins and Certificates
    - Include bullets from SST Meeting minutes



• A Communication Tool: "First Transit Connect" employee app, a peer to peer safety communication tool offering safety tips, best practices, recognition, offering ideas on "What Works", Safety Happenings, and Safety Pep Rallies



#### **Additional Information**

#### **Supporting Documentation**

Include or reference documentation used to implement and carry out the Safety Plan that are not included elsewhere in this Plan.

Numerous standard operating procedures (SOP's), in addition to those mentioned in this plan, have been developed and incorporated into the operating practices at each First Transit location.

The SOP's have been designed to create operational consistency, increase awareness of risks and hazards, and provide easily duplicated processes for identifying and mitigating the risks associated with providing transit service. Some of those SOP's are as follows.



- High Interest Driver SOP's #206; #206a; #206b; #206c: #206d
- SOP #207 Railroad Crossing Assessment
- SOP #502 Sub-Contractors Working on Company Property
- Fire Prevention Plan SOP's #504; #504a; #504b; #504c; #504d
- Winter Safety Snow Removal Action Plan SOP's #505; #505a; #505b; #505c
- Vehicle Fueling Spill Control SOP's #506; #506a; #506b; #506c; #506d
- SOP #507 Pedestrian Visibility and Movement on Company Property
- SOP # 508 Service Truck & Service Vehicle Visibility
- Emergency Action Plan SOP's #806; #806a; #806b; #806c; #806d
- First Transit Shop Safety Handbook
- Safety & Security Planning Manual

## **Definitions of Special Terms Used in the Safety Plan**

Term	Definition

## **List of Acronyms Used in the Safety Plan**

Acronym	Word or Phrase	
ARC	Accident Review Committee	
втw	Behind-the-Wheel	
DOT	Department of Transportation	
DUI	Driving Under the Influence	
DWI	Driving While Intoxicated	
ESC	Executive Safety Committee	
FGA	First Group America	
F.O.R.M.	First Occupational Rehabilitation Management	



FTA	Federal Transit Administration	
HR	Human Resources	
LGM	General Manager	
<b>LOTO</b>	Lock-Out/Tag-Out	
LSM	Location Safety Manager	
MNT	Maintenance	
OPS	Operations	
OSHA	Occupational Safety & Health Administration	
PPE	Personal Protective Equipment	
PRM	Performance Review Management	
SMS	Safety Management System	
SOP	Standard Operating Procedure	
SRC	Safety Resource Center	
SST	Safety Solutions Team	
UK	United Kingdom	
VP	Vice President	



## **Appendix A: First Transit Safety Policy**

## **Safety Management Policy Statement**

#### Introduction

Global in scale and local in approach, First Transit is an organization which combines a robust corporate structure with strong customer-centric, local operations. Throughout the company, our focus is conducting our business in a way that aligns with our core values:

- Committed to our customers
- Dedicated to Safety
- Supportive of Each Other
- Accountable for Performance
- Setting the Highest Standards

We believe these values to be essential components in our aim to achieve ZERO safety events, resulting in ZERO harm to our customers, our employees, our shareholders, and the environments in which we operate. First Transit's Safety Management System (SMS) encourages all First Transit employees to replace risky behaviors and thought processes that jeopardize safety in the workplace. Through the program, we are striving to build a cultural identity that is continually focused on safety. First Transit has adopted the core philosophy of, "Think Safe, Act Safe, BeSafe"

#### **Safety Management Policy**

At the core of First Transit's mission is the commitment to protecting the safety and well-being of our passengers and employees. Our "*Be Safe*" program is the foundation of First Transit's Safety Management System (SMS) with three clear objectives:

- 1. To make progress on our way to "Zero Harm"
- 2. To make safety a personal core value through behavior change
- 3. To improve business performance

"Be Safe" – the driving force behind First Transit's Safety Management Policy - focuses on recognizing and acknowledging safe behavior and actions through positive reinforcement. All employees are empowered to report unsafe acts and working conditions without fear of reprisal.



## **Safety Management Policy Statement**

The guiding principles that drive First Transit's SMS program are:

- **Knowledge:** Our greatest efforts will be directed at the key safety behaviors that will help reduce incidents.
- **Recognition:** While not ignoring actions that undermine safety, the focus will be on acknowledging colleagues "doing it right" and positively reinforcing these actions.
- **Openness:** Regular positive coaching interactions, or "touchpoints" will take place and communication at "debriefs" will be open and honest.
- **Learning:** Reporting of incidents and near misses will be seen as learning opportunities to continuously improve work place safety.
  - **Courage:** We are all empowered to accept responsibility for our own safety and the safety of our colleagues and customers. If you assess something to be unsafe, you should have the courage to stop and find a safer way of doing things.

Performance improvement in all aspects of First Transit's operations is based on four key elements: Leadership and Engagement; Risk Reduction; Safety Management; and Performance Management. Each element includes safety as a top priority.

**Leadership and Engagement** depends upon honest and open communication from all employees; data collection from which critical decisions are formulated that impact daily, short term, and long-term operations; resource management; and future direction of First Transit.

<u>Risk Reduction</u> includes our comprehensive audit and inspection regime; hazard identification and reporting; continuous training and safety campaigns; employee safety evaluation reporting programs and procedures; employee and management observation of operations; and compliance assurance of FTA, DOT, and OSHA safety and operating requirements and recommendations.

<u>Safety Management</u> at First Transit has many forms; including Safety Solution Teams, Accident Review Committees, Local Client Liaison Committees at each local operation; the corporate Safety Department which gathers, analyzes, and communicates the safety information throughout the organization; and enforces policies and procedures to ensure all employees are conducting their business in the safest manner possible.



## **Safety Management Policy Statement**

<u>Performance Management</u>, the final key element, uses many Key Performance Indicators relating to safety to evaluate First Transit's progress toward Zero safety events. Daily reports; monthly location scorecards; the Critical Activity Record Entry program which captures and compares safety data monthly; major events calls, which alerts management in real time of safety events; and regular calls and meetings between mid-level and upper management to review safety concerns; are a sampling of the tools employed to ensure that safety is first and foremost in everything we do.

## **Ongoing Company-Wide Commitment**

As President of First Transit, I know our commitment and passion for safety runs far deeper than the words contained in this policy statement. While our roles may vary, everyone in our organization, from the highest levels of management to the employees on the street, has a responsibility for their own safety as well as the safety of colleagues and customers; and to perform the daily tasks of providing public transportation in as safe a manner as possible.

We at First Transit depend on every member of our team to do everything possible to protect our resources and environment from harm, now and into the future. We take great pride in this responsibility and our ability to meet these expectations.

Sincerely,

Bradley A. Thomas

President



# Exhibit 2

"Security and Emergency Preparedness Plan (SEPP)/Emergency Operations Plan (EOP)"

# Imperial County Transportation Commission (ICTC) Safety and Emergency Preparedness Plan (SEPP)



#### **Revision record**

Revision date	Draft #	Pages/sections affected	Comments

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## **Policy statement**

Recent worldwide terrorist attacks on transportation systems have created a climate of heightened risk and security awareness. The inherently open and easily accessible nature of transit systems, coupled with this heightened state of alert, has in turn greatly increased the importance of security throughout the transit industry. The Federal Transit Administration (FTA) and Transportation Security Administration (TSA) have recognized and responded to this increased importance by placing their own emphasis on transit security.

The Imperial County Transportation Commission (ICTC) and it's transit operations contractor (Contractor) in support of its mission to provide safe and secure transit services, and in response to FTA and TSA's increased emphasis on security, has developed this Security and Emergency Preparedness Plan (SEPP) as a means of integrating security measures and initiatives into and throughout all levels of the organization. The SEPP describes the policies, procedures, roles and responsibilities to be fulfilled by all employees and contractors, beginning with the highest levels of management.

All personnel and contractors are required to adhere to the policies, procedures, and requirements stated herein and to properly and diligently perform the security-related functions of their jobs as a *condition of employment*. Further, ICTC and Contractor's management team will be continually and directly involved in formulating, reviewing and revising security policies, procedures, goals and objectives.

The security function must be supported by effective emergency response capabilities to ensure that security-related incidents involving operations and services are responded to, resolved and recovered from quickly, safely and efficiently. To this end, ICTC and Contractor's management will also provide leadership in promoting safety, security and emergency preparedness throughout the organization and will consistently enforce related rules, policies and procedures throughout their areas of control.

It is a goal of ICTC and Contractor, through the effective implementation and administration of this SEPP, to take proactive measures that will improve the overall safety and security of its transit operations and services. To achieve this goal, all employees are encouraged to report potential threats, vulnerabilities, and/or hazards identified within the system to their direct supervisors and/or the Contractor's General Manager and Transit Programs Manager. They are also encouraged to provide assistance as necessary to ensure that potential threats, vulnerabilities and/or hazards are eliminated, mitigated or controlled.

Name (Contractor's General Manager)

Name (ICTC Executive Director)

Date

2/15/20

Date

Warning: This record contains Sensitive Security Information that is controlled under 49 CFR parts 15 and 1520. No part of this record may be disclosed to persons without a "need to know," as defined in 49 CFR parts 15 and 1520, except with the written permission of the Administrator of the Transportation Security Administration or the Secretary of Transportation. Unauthorized release may result in civil penalty or other action. For U.S. government agencies, public disclosure is governed by 5 U.S.C. 552 and 49 CFR parts 15 and 1520.

Imperial County Transportation Commission SEPP Version 1

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Addendum 1 – Imperial County Emergency Operations Plan (EOP)



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## **Security and Emergency Preparedness Plan (SEPP)**

#### 1. Overview

The inherently open nature of public transportation systems, the quantities of people they transport each day, and the diverse and oftentimes heavily populated areas through which they operate make such systems viable targets for various criminal activities, including acts of terrorism. Recent worldwide terrorist attacks have created an environment of heightened risk throughout the nation and have further increased the need for security hardening within the nation's public transportation systems.

The Federal Transit Administration has responded to this heightened level of risk by increasing its emphasis on security and emergency preparedness and by developing various action items and guidelines to assist transit agencies in their efforts to prevent and prepare for such events. The ICTC and Contractor consider the development, implementation and consistent enforcement of a comprehensive Security and Emergency Preparedness Plan (referred to throughout as the security plan or SEPP) as the first step towards a safe and secure program. To this end, ICTC has developed this security plan in accordance with the following:

- TSA/FTA Security and Emergency Management Action Items for Transit Agencies, 2008
- Transit Agency Security and Emergency Management Protective Measures, FTA, November 2006
- Guidance Document: Immediate Actions (IAs) for Transit Agencies for Potential and Actual Life-Threatening Incidents, FTA, 2004
- Public Transportation System Security and Emergency Preparedness Planning Guide, FTA, January 2003
- Baseline Assessment for Security Enhancement (BASE), TSA, El Centro 2017

This security plan emphasizes ICTC's and Contractor's commitment to protecting the safety of its customers and employees and the security of its vehicles, equipment, facilities and other properties. Much like ICTC and Contractor's system safety program establishes mechanisms for identifying and addressing hazards within ICTC and Contractor's operations, this security plan establishes mechanisms through which security-related threats and vulnerabilities can be identified and addressed. It is therefore the intent of ICTC and Contractor, through the implementation, enforcement and continued development of the security plan, to incorporate security measures into all aspects of its operations and services, including business administration and maintenance activities, and to establish a comprehensive and effective security program throughout the organization.

ICTC and Contractor's employees, contractors and passengers are considered the first line of defense against criminal or terrorist activities, as these individuals will most likely be the first to witness or identify criminal or suspicious behavior within ICTC and Contractor's operations. It is therefore critical to the success of the security program that all employees, contractors, passengers or other parties who may come into contact with its operations and services become and remain actively involved in the security program. Security-related roles and responsibilities have been assigned to personnel and parties within ICTC and Contractor as identified in this SEPP. Activities conducted to improve the security of its operations and services also have been documented in this SEPP.

The SEPP will be reviewed at least annually and updated as necessary to ensure that it remains up to date and consistent with federal, state and local regulations and guidelines, as well as, ICTC and Contractor's

management goals and objectives. Additionally, the SEPP will be updated whenever a significant change occurs within the organization. Management will solicit feedback from its employees, contractors and customers on a constant and ongoing basis.

## 1.1 Purpose

It is the purpose of this SEPP to establish formal mechanisms through which an effective, agency wide security and emergency preparedness program can be developed, implemented and maintained, working in concert with its safety program. It is also the purpose of the SEPP to establish mechanisms through which ICTC and Contractor and its employees, contractors, passengers and other personnel can:

- Appropriately identify and report threats and vulnerabilities within ICTC and Contractor's operations
  to the correct personnel and/or external parties (emergency response agencies, law enforcement
  agencies, etc.) so that preventive actions may be implemented to eliminate, control or minimize their
  impact.
- Introduce solutions to minimize the transit impacts of natural (e.g., storm, flooding), technological (e.g., power outage, hazmat spill), and security-related (e.g. crime, bomb threats, terrorism) calamities.
- Address strikes that may affect the transit agency or its operations.
- Establish security and emergency preparedness program responsibilities and ensure that tasks are assigned, understood, documented and tracked in an organized and useful manner.
- Implement security policies and procedures that can be measured, audited and evaluated to determine the effectiveness of ICTC and Contractor's security program.
- Satisfy local, state and federal requirements and guidelines, such as those of the Imperial C ounty and its member agencies as applicable.

## 1.1 Scope

The SEPP represents the agency's commitment to improving and maintaining security and emergency management functions across *all* operations and services and is designed to incorporate security into *every* aspect of the organization. The scope of the SEPP therefore applies to all ICTC and Contractor organizational units, employees and contractors. This security plan is to include all current modes of transportation but be scalable to incorporate any new service if and when it is introduced.

This SEPP provides guidance for all emergency management and security personnel from an *all* hazards approach (criminal activity including terrorism, natural disasters, etc.).

#### 1.2 Goals

The overall goal of ICTC and Contractor's Security and Emergency Preparedness Plan is to establish the highest reasonable level of security that can be afforded to all passengers, employees, contractors, equipment and facilities. Through the implementation of an effective security program, ICTC and Contractor will plan to provide training for employees and contractors to supply the knowledge and skills necessary to effectively respond to and control security incidents and other major events. Specific goals of the SEPP are to do the following:

- Foster the development of a ICTC security program that complements the ICTC safety program.
- Heighten security awareness among all employees, contractors and passengers.

 Develop relations and coordination with local law enforcement agencies and local and state government agencies.

## 1.3 Objectives

It is the objective of the SEPP to establish policies, procedures and requirements that can be used by personnel and contractors to integrate security practices into all processes, decision making and operations. It is therefore the objective of the program, through this security plan, to do the following:

- Define roles and responsibilities for all personnel with regards to security and emergency preparedness.
- Develop a management structure to maintain, evaluate and modify the plan.
- Enable employees, contractors, passengers and other personnel to identify criminal acts, suspicious activities and occurrences, or other security concerns identified within ICTC and Contractor's operations and to properly report and address such events.
- Solicit security concerns from employees, contractors and passengers.
- Comply with the applicable requirements of regulatory agencies, as well as all local, state and federal requirements.
- Implement an annual security review and assessment process and verify adherence to ICTC and Contractor's security policies, procedures and requirements.
- Administer security-related training courses to address security threats and emergency response.
- Meet or exceed security requirements in all operations, services and maintenance activities.
- Limit security breaches and effectively resolve those that do occur.
- Thoroughly investigate all incidents involving security breaches or other security-related threats or vulnerabilities.
- Thoroughly evaluate the security implications of all proposed system modifications before implementation and ensure that system modifications do not create new security risks.
- Address items covered by the TSA/FTA Security and Emergency Management Action Items for Transit Agencies.
- Address items covered by the BASE, as applicable, that are not already included above.

#### 1.4 Mission statement

FTA defines system security as "the application of operating, technical, and management techniques and principles to the security aspects of a system throughout its life to reduce threats and vulnerabilities to the most practical level through the most effective use of available resources." ICTC and Contractor's management recognizes the importance of system security to operational success and expects all employees and contractors, especially frontline employees, to understand and incorporate security practices into the performance of their assigned responsibilities. The mission of ICTC developed and approved by the Commission in for the delivery of public transit service in 2004, and reaffirmed in December 2018, is defined as follows:

"The mission of Imperial County Transportation Commission's public transit system is to improve the quality of life for the residents of Imperial County through a coordinated, accessible, affordable, and efficient countywide transportation system."

#### Similarly, the vision statement is that:

"The transit network provides safe, affordable and reliable transportation service that first meets the needs of the transit dependent in communities within Imperial County by providing access to healthcare, education, employment, public services, shopping, recreational facilities, and eventually allows anyone to go anywhere in the region easily and effectively."

## 2. Definitions and acronyms

#### 2.1 Definitions

- **2.1.1** accident: An unforeseen event or occurrence that results in an injury, fatality or property damage.
- **2.1.2 all hazards:** The concept of integrating all aspects of crisis management for safety, security and emergency management, including prevention, protection, response and recovery. Homeland Security Presidential Directive (HSPD) 8 (December 17, 2003) used the term "all hazards" to include preparedness for terrorist attacks, major disasters and other emergencies.
- **2.1.3** Americans with Disabilities Act (ADA): A comprehensive civil-rights measure designed to ensure that people with disabilities receive equal access to transportation and other services.
- **2.1.4** American Public Transportation Association (APTA): An international organization that represents the transit industry.
- **2.1.5** audit: A formal or official examination and verification.
- **2.1.6** Baseline Assessment for Security Enhancement (BASE): The Baseline Assessment for Security Enhancement, performed by TSA surface inspectors, is a comprehensive security assessment of a transit agency's implementation of the TSA/FTA Security Action Items for Transit Agencies. The BASE is a Microsoft Excel-based template designed to provide uniform guidance to inspectors and security auditors for review of transit agency security programs. The tool is a means for establishing baseline security program information applicable to all surface mass transit systems and measuring their progress in security enhancements.
- **2.1.7 contractors:** Includes temporary workers, day laborers, operational service providers and vendor consultants.
- **2.1.8** Code of Federal Regulations: A codification of the general and permanent rules published in the Federal Register by the executive departments and agencies of the federal government.
- **2.1.9 disaster:** An event or any set of events during which injury, death, damage to property or a combination thereof occurs to the extent that resources beyond the state and local level are required.
- **2.1.10 Department** of Labor: A Cabinet-level agency that administers a variety of federal labor laws, including those that guarantee workers' rights to safe and healthful working conditions; a minimum hourly wage and overtime pay; freedom from employment discrimination; unemployment insurance; and other income support.
- **2.1.11 downtime:** A period in which a vehicle is inoperative due to repairs or maintenance.
- **2.1.12 emergency:** A sudden, urgent, usually unforeseen event during which injury, death, damage to property or a combination thereof may occur.
- **2.1.13 emergency preparedness plan:** One or more documents focusing on preparedness and response in dealing with a disaster or emergency event.

- **2.1.14 emergency response personnel:** Members of police, fire, ambulance or other organizations involved with public safety and charged with providing and coordinating emergency services in response to emergencies or disasters.
- **2.1.15 employee:** Any person employed by the transit agency.
- **2.1.16 equipment:** Any machinery utilized on the track, road or elsewhere.
- **2.1.17 frontline employees:** Personnel who have daily contact with the agency's customers and vehicles. These personnel include operators, facilities maintenance workers, customer service representatives and receptionists..
- **2.1.18 Federal Railroad Administration:** A division of the U.S. Department of Transportation that promotes railroad safety nationwide and enforces safety standards.
- **2.1.19 Federal Transit Administration:** A division of the U.S. Department of Transportation that provides leadership, guidance, technical assistance and financial resources for mass transit agencies in the United States.
- **2.1.20 hazard:** Any condition or set of conditions, internal or external to the system or system operation, that when activated can cause injury, illness, death or damage to or loss of equipment or property.
- **2.1.21 hazard probability:** A measurement of potential occurrences per units of time, miles, trips/runs or passengers carried.
- **2.1.22 hazard resolution:** The analysis and subsequent actions taken to reduce, to the lowest level practical, the risk associated with an identified hazard.
- **2.1.23 hazard severity:** The measure or the worst potential consequences that could be caused by a specific hazard.
- **2.1.24 headway:** The time interval between vehicles moving in the same direction on a particular route.
- **2.1.25** National Terrorism Advisory System: Establish plans and procedures to respond to the National Terrorism Advisory System (NTAS) alert levels.
- **2.1.26** incident: An unforeseen event or occurrence with the potential to cause injury or property damage.
- **2.1.27 maintenance:** All actions necessary for retaining an item in, or restoring it to, an operable condition.
- **2.1.28** National Incident Management System (NIMS): A consistent nationwide template to enable all government, private sector, and nongovernmental organizations to work together during domestic incidents.

- **2.1.29 off-peak period:** The time period when vehicle usage is lightest, usually between the hours of 9 a.m. to 12 p.m. and 6 p.m. to 11 p.m.
- **2.1.30 park-and-ride lot:** Designated parking area where vehicle drivers park and board transit vehicles to other locations.
- **2.1.31 peak period:** Morning and afternoon time periods when vehicle usage is heaviest, usually between the hours of 6 to 9 a.m. and 3 to 6 p.m.
- **2.1.32 revenue vehicle:** A vehicle that carries fare-paying passengers.
- **2.1.33 risk:** A subjective evaluation of the possibility of incurring a physical or personal loss or injury.
- **2.1.34 rules and instructions:** Procedures, policies and guidelines that must be obeyed by all employees. This may be supplemented and revised by bulletins or other written directives.
- **2.1.35** safety: Freedom from conditions that can cause death, injury, occupational illness, damage to or loss of equipment or property, or damage to the environment.
- **2.1.36** Safety and Security Management Plan: An SSMP is a document required by the FTA that must be prepared by applicants for and recipients of FTA funds for major capital projects. It is a part of the project management plan (PMP) and is written to describe how the recipient will address safety and security in major capital projects.
- **2.1.37 security:** Freedom from intentional harm.
- **2.1.38 security breach:** An unforeseen event or occurrence that endangers life or property and may result in the loss of services or system equipment.
- **2.1.39 system:** A composite of people, procedures and equipment integrated to perform a specific operational task or function within a specific environment.
- **2.1.40** system safety: The application of operating, technical and management techniques and principles to the safety aspects of a system throughout its life to reduce hazards to the lowest practical level through the most effective use of available resources.
- **2.1.41 system security:** The application of operating, technical and management techniques and principles to the security aspects of a system throughout its life to reduce threats and vulnerabilities to the most practical level through the most effective use of available resources.
- **2.1.42 security plan:** A document adopted by the transit agency detailing its security policies, objectives, responsibilities and procedures.
- **2.1.43 system security program:** The combined tasks and activities of system security management and system security analysis that enhance operational effectiveness by satisfying the security requirements in a timely and cost-effective manner.
- **2.1.44 threat:** Any action with the potential to cause harm in the form of death, injury, destruction, disclosure, interruption of operations or denial of services.

- **2.1.45 threat analysis:** A systematic analysis of a system operation performed to identify threats and to make recommendations for their elimination or mitigation during all revenue and non-revenue operations.
- **2.1.46 threat resolution:** The analysis and subsequent action taken to reduce the risks associated with an identified threat to the lowest practical level.
- **2.1.47** Transit Watch: An FTA-sponsored program that aims to increase security through the awareness of passengers and transit agency employees.
- **2.1.48** Transportation Security Administration (TSA): An agency within the U.S. Department of Homeland Security charged with protecting the U.S. transportation system to ensure freedom of movement for people and commerce.
- **2.1.49 vehicle operator:** An employee who controls the movement and operation of buses, paratransit, rail or other vehicles.
- **2.1.50 vulnerability:** Anything that can be taken advantage of to carry out an attack.

## 2.2 Acronyms

ADA	Americans	with Disabilities Act	

**APTA** American Public Transportation Association

**AVL** automatic vehicle location

**BASE** Baseline Assessment for Security Enhancement (TSA)

CCTV closed-circuit television CFR Code of Federal Regulations

**CPTED** Crime Prevention Through Environmental Design

DHS Department of Homeland Security
EOC Emergency Operation Centers
EOP Emergency Operating Procedure
FBI Federal Bureau of Investigation
FRA Federal Railroad Administration
FTA Federal Transit Administration
GPS global positioning system

NTAS National Terrorism Advisory System

HSIN-PT Homeland Security Information Network – Public Transit

JIS Joint Information System
JTTF Joint Terrorism Task Force
MIS Management Information System
MOU memorandum of understanding

NIMS National Incident Management System

NTD National Transit Database
OES Office of Emergency Services
PIO public information officer

PT-ISAC Public Transit Intelligence Sharing and Analysis Center

RTSWG Regional Transit Security Working Group SMPM Security Manpower Planning Model

**SOP** standard operating procedure

**SSI** Sensitive Security Information

SSMP Safety and Security Management Plan
TSA Transportation Security Administration

VISAT Vulnerability Identification Self-Assessment Tool

**WMD** weapon of mass destruction

## 3. Transit system description

ICTC provides fixed route and demand responsive public bus service throughout Imperial County including the cities of Brawley, Calexico, Calipatria, El Centro, Holtville, Imperial, Westmorland and in areas of the County including; Niland, Seeley, Heber and the east and west sides of the Salton Sea.

Most routes meet at the Downtown El Centro Transfer Terminal at 7<sup>th</sup> and State Street, and at the local Imperial Valley College (IVC) a community college facility east of the City of Imperial.

Riders Guide, Maps, schedules and service brochures are available at the various city halls and on line at www.ivtransit.com, www.ivtraccess.com, www.ivtride.com and www.ivtmedtrans.com.

## 3.1 Organizational structure

The ICTC or "Commission" was established under Senate Bill 607 (SB 607 - Ducheny) in 2009, and became effective on January 1, 2010. As a county transportation commission, ICTC on behalf of its member agencies are enabled to exercise leadership in the regional transportation planning and programming process. ICTC will act in accordance with all applicable laws and statutes for county transportation commissions. The ICTC body will guide the development of the Long Range Transportation Plan for the Imperial region and its Regional, State and Federal Transportation Improvement Programs (TIPs) and their updates, including, but not limited to: the distribution and oversight of Local Transportation Fund monies; the preparation and submittal of applications for transportation related funds; approve the allocation of and claims for Transportation Development Act (TDA) funds; the planning, programming and administration of regional transit services; and, encourage active citizen participation in the development and implementation of various transportation-related plans and programs. The ICTC is responsible to carry out the above activities in partnership with the California Department of Transportation (Caltrans) and our designated Metropolitan Planning Organization (MPO) the Southern California Association of Governments (SCAG).

As established under SB 607 and ICTC Bylaws, the ICTC Board is currently composed of ten voting members and one non-voting member consisting of two members of the Imperial County Board of Supervisors; one member from each incorporated city (seven) within Imperial County who shall be the mayor of the city or a member of its city council; one member of the Board of Directors of the Imperial Irrigation District; and, one non-voting member appointed by the Governor representing the California Department of Transportation (Caltrans). As shown in the column to the left. In the future the governing Board of the Commission may also include the following ex-officio or non-voting members: one member representing the State of Baja California, Mexico, who may be appointed by the governor of the state; one member representing the municipality of Mexicali, Mexico, who may be the mayor or his or her designee; one member representing the Consul of Mexico in Calexico, California, who may be the consul or his or her designee; and, one member representing any federally recognized Native American tribe in Imperial County.

In addition to the responsibilities described above, the Commission provides direct management, administration and oversight for the following local and regional transportation programs:

- Imperial Valley Transit (IVT) System and its Inner City Circulator Services (Blue, Green and Gold Lines)
- IVT MedTrans (Non-Emergency Demand Response Service to medical facilities in San Diego)
- IVT Access (Americans with Disabilities Act ADA Paratransit Service)
- IVT RIDE (Dial-A-Ride Services in the Cities of Brawley, Calexico, El Centro, Heber, Imperial and the Westshores Community)
- Local Transportation Authority (Measure D Sales Tax Program)

## 3.2 Operating environment

The region of the Imperial Valley contains approximately 4,598 square miles. Agriculture through the use of irrigation is the second largest industry, behind employment in the government sector. Most of the area's geography is flat, at or below sea level. The climate is described as arid desert with summer temperatures reaching 115° Fahrenheit. The Contractor must be able to maintain adequate on-board passenger comfort.

The region has been declared to be under the *Urban Bus Fleet Rule* and the *Transit Fleet Rule* by the California Air Resources Board. In 2004, ICTC examined the use of alternative fuel for the transit systems. ICTC selected the ultra-low sulfur diesel fuel path for fixed route and ADA paratransit service operations Contractors must make the arrangements for procurement of fuel and all maintenance of ICTC owned vehicles.

Due to the proximity of the operating area to the international border with Mexico, the region has a high percentage of Spanish speaking monolingual passengers.

In addition, because there is a regional fixed-route bus system, complementary ADA Paratransit service and intra city paratransit services, there are opportunities for transfers between transit services. Open communication and cooperation between other agencies and the transit service provider(s) is very important.

Imperial County has a year-round population of 182,830 residents. During the winter, the population increases by about 120,000 due to the winter visitors from colder climates such as Alaska and Canada and are known as "Snowbirds".

## 3.3 System description

For further information on operating statistics for any of the IVT branded services, contact ICTC staff at the Administrative office.

#### **OPERATING STATISTICS (2018)**

	Rail	Bus	Paratransit	Total
Stops and routes	<u> </u>		<b>,</b>	
Routes/lines	0	23	7	30
Stops/stations	0	145	0	145
Park and rides	0	0	0	0
Ridership		•		
Average weekday ridership	0	2,615	327	2,942
Average weekend ridership	0	351	58	409
Annual ridership	0	747,669	85,360	833,029
Annual vehicle miles	0	878,270	566,961	1,445,231
Fleet and operators				
Vehicles	0	27	32	59
Vehicle operators	0	1	1	1

## 3.4 Facilities description

The contractor for ICTC leases a bus facility located at 792 E. Ross Rd, in El Centro, CA. The member agencies of ICTC have multiple bus stops, bus shelters and transfer centers throughout Imperial County in Brawley, Calexico, Calipatria, El Centro, Holtville, Imperial Westmorland and the unincorporated areas of the County.

## 3.5 Connecting transit services

ICTC connects to the following transit services as defined below:

## • Greyhound Lines, Inc

Intercity bus service from El Centro to Yuma, and El Centro to San Diego, El Cajon, Calexico, Gila Bend, Tolleson, Phoenix, Tucson and El Paso. Call (800) 231-2222 for more information (in Spanish, call (800) 531-5332).

#### • Yuma County Area Transit (YCAT)

Intercity bus service throughout central Imperial County, California. Connections to YCAT at El Centro Regional Bus Transfer Terminal. Call (760) 482-2900.

#### • L & A Shuttle

Shuttle service from various locations in El Centro to Calexico. Call (760) 357-2021 for information and reservations.

#### 3.6 Shared assets

ICTC is presently not sharing any assets.

## 3.7 Memorandum of understanding (MOU)

ICTC does not currently have MOUs. However there is an understading that ICTC will provide emergency transportation services when emergency issues arise with the OES... In addition, ICTC and its Contractor participates on the Imperial County Local Emergency Planning Committee (LEPC)

## 4. Security conditions, trends and capabilities

Since September 11, 2001, transit agencies have placed greater emphasis on mitigating terrorism-related events. Prior to 9/11, emphasis at ICTC and Contractor was mostly placed on general criminal activity, including criminal property damage, unruly passengers and fare evasion. With recent worldwide terrorist attacks on mass transit systems, ICTC and Contractor is increasingly becoming more focused on anti-terrorism measures, while still maintaining its determination to prevent crime. Because terrorists are unpredictable and prefer targets that are recognized landmarks, this makes the mass transit system susceptible to such attacks.

## 4.1 Security incident recording

ICTC and Contractor records all criminal activity that takes place on the system. Much of what the agency records is also reported to the National Transit Database (NTD) on a monthly basis. The NTD's guidelines for what activities to report and when are found at <a href="http://www.ntdprogram.gov/ntdprogram/safety.htm">http://www.ntdprogram.gov/ntdprogram/safety.htm</a>

## 4.2 Security incidents trend analysis

ICTC and Contractor have developed internal metrics to facilitate trend analysis. The results of the analysis can assist the agency in allocating resources and supporting security enhancements and fixed site improvements. Using the annual standardized form, ICTC and Contractor records all significant security incidents on a year by year basis to identify trends in criminal activity.

#### **TRANSIT CRIME TRENDS (2015 to 2017)**

Security Incident		Number of Occurrences			Percentage
		2015	2016	2017	Change
Terrorism-	Bomb threat	0	0	0	0
related	Bombing	0	0	0	0
incidents	CBRN release	0	0	0	0
	Arson	0	0	0	0
Other system	Sabotage	0	0	0	0
security incidents	Hijacking	0	0	0	0
	Cyber security	0	0	0	0
	Aggravated assault	0	0	0	0
	Burglary	0	0	0	0
	Fare evasion <sup>1</sup>	0	0	0	0
	Forcible rape	0	0	0	0
	Larceny/theft	0	0	0	0
Other personal incidents	Homicide	0	0	0	0
	Vehicle theft	0	0	0	0
	Robbery	0	0	0	0
	Suicide	0	0	0	0
	Trespassing <sup>1</sup>	0	0	0	0
	Vandalism <sup>1</sup>	0	0	0	0

<sup>1.</sup> Report only those incidents that result in arrests.

ICTC is aware of but does not currently use the FTA's *Security Manpower Planning Model* (SMPM) to reassess coverage requirements of security personnel (e.g., transit police, local law enforcement, contracted security personnel). There are currently no contracted security personnel or otherwise employed by ICTC.

The tool can be used to assess security personnel deployment impacts resulting from changes in crime rates as well as new service or other changes within the system. The most recent version of the SMPM can be found on the FTA Office of Safety and Security Web site at <a href="https://www.transit-safety.volpe.dot.gov">www.transit-safety.volpe.dot.gov</a>.

## 4.3 Internal security component

ICTC does not have direct security personnel, however, ICTC will coordinate with local, state and federal agencies regarding criminal, suspicious or problematic activities that may require law enforcement assistance. Contact information is explained below.

#### In the case of an Emergency:

- 1. Fire & Police Departments: 911
- 2. Brawley Public Safety Dispatch: (760) 344-2111
- 3. Calexico Public Safety Dispatch: (760) 768-2140
- 4. Calipatria Public Safety Dispatch: (760) 348-2211
- 5. El Centro Public Safety Dispatch: (760) 352-2111
- 6. Holtville Public Safety Dispatch: (760) 356-2991
- 7. Imperial Public Safety Dispatch: (760) 355-4327
- 8. Westmorland Public Safety Dispatch: (760) 344-2111
- 9. Imperial County Sheriff's Office Dispatch: (442) 265-2000
- 10. California Highway Patrol Safety Dispatch: (760) 312-1800
- 11. Union Pacific Critical Call Center (criminal activity, hazardous materials): 1-888-877-7267
- 12. Union Pacific to report Emergency grade crossing blockages or damage: 1-800-848-8715
- 13. FBI, El Centro Field Office (760) 355-0397

## All ICTC and Contractor staff shall be prepared to give the following information when making an emergency call:

- 1. Your name and the position you hold
- 2. Your phone number
- 3. Location of accident/incident
- 4. Time of accident/incident
- 5. Brief description of accident/incident
- 6. Number of injuries/fatalities, is known and status
- 7. Health and safety hazards if any
- 8. Remain on the phone line until the dispatcher tells you it is ok to hang up.

Remember, you are not delaying help by answering these questions. In fact, you are ensuring that first responders have information to better help you.

## 4.3.1 Security department/organization

ICTC does not have a security department. ICTC relies on the resources of local policing agencies for law enforcement duties. See Section 4.3 for a list of those agencies.

#### 4.3.2 Security Committee

ICTC and Contractor's main internal security component is its Security Committee. Headed by the Transit Programs Manager or designee, the Security Committee is represented by ICTC and Contractor. The Security Committee meets annually, or more often as needed, and assists in the security tasks of the agency including to instill the commitment to security in each employee. As a continuing responsibility of the committee, there is a permanent agenda oriented toward security and emergency preparedness matters, including a review of current

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threat conditions, comments on the implementation of the SEPP and developing processes for interacting with other public agencies. Activities performed by the Security Committee include, but may not be limited to, the following:

- Establish management and training emphasis on agency personnel awareness.
- Analyze security incidents and suspicious activities to determine a proper course of action.
- Strengthen preventive, detection and response support capabilities.
- Pursue additional grant opportunities to support regional mission requirements.
- Work to identify potential and existing problem areas.
- Assist with development and implementation of countermeasures and corrective actions.
- Develop inspection checklists and conduct periodic security surveys and inspections.
- Review and evaluate security and emergency plans for completeness and accuracy.
- Participate in formal threat and vulnerability analyses.
- Create and improve the SEPP.

#### 4.3.3 Law enforcement

ICTC does not have a security department. ICTC relies on the resources of local policing agencies for law enforcement duties. See Section 4.3 for a list of those agencies.

## 4.3.4 Contracted law enforcement security services

ICTC does not have a security department. ICTC relies on the resources of local policing agencies for law enforcement duties. See Section 4.3 for a list of those agencies.

#### 4.3.5 Contracted security services

ICTC does not have a security department. ICTC relies on the resources of local policing agencies for law enforcement duties. See Section 4.3 for a list of those agencies.

#### 4.3.6 Facility security

Crime and terrorism prevention in the transit environment begins with the securing of facilities where passengers are present, where personnel work and where vehicles are stored. This requires a keen awareness of security issues and close cooperation among all levels of transit personnel. ICTC and Contractor's facilities have security features to limit the chances of a security breach or attack on the system. See the following table for a more detailed description of the security functions, capabilities and provisions that are common at the facility.

#### **FACILITY SECURITY FEATURES**

Security Features	ICTC Bus Operations Facility	
Fencing	Yes	
Lighting	Yes	
Sensors	No	
Guard post	No	
Gate arms/Code entry gate	No	
Motion detectors	No	
Burglar systems	Yes	
Intrusion alarms	No	
Closed-circuit TV (CCTV)	Yes	
Public address systems	No	
Panic button (to police or security)	No	
Card or controlled access	No	
Law enforcement presence (24/7)	No	
Security guard presence (off-hours)	No	
Law enforcement patrol	No	
Law enforcement canine patrol	No	

## 4.3.7 Vehicle security

ICTC and Contractor has implemented some security features and practices for increasing the safety and security of its vehicles. These features include security cameras on board 100% of the vehicles. In addition, there is also GPS for bus tracking and radios for communication. In addition to security equipment, vehicle operators are currently required to perform inspections on their assigned vehicles at the beginning and end of each work shift. The inspection checklists are tailored for each vehicle and reviewed daily by maintenance personnel who are responsible for correcting problems. The inspections include but are not limited to identification of suspicious packages.

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#### **VEHICLE SECURITY FEATURES**

Security features	Rail cars	Buses	Support Vehicles
Automatic vehicle location (AVL) system		✓	
Global positioning system (GPS)		✓	
Radios		✓	✓
Direct phone			
Covert or silent alarms			
Radio speakers		✓	✓
Driver's only speakers		✓	✓
Onboard cameras (audio capable)		✓	
Audio microphones		✓	

## 4.3.8 Management information systems security

ICTC and Contractor's MIS teams maintain firewall-protected Intranet systems for management and other personnel issues. ICTC and Contractor have procured standard virus protection software and firewalls to protect its information technology infrastructure. For security purposes, the MIS teams maintain a list of the users who have access to the system. Additionally, the system requires each employee to enter a username and password at log-in.

## 4.4 Internal security practices

This SEPP includes internal security practices or procedures that are adhered to by all employees and contractors. Specific components deal with the personnel hiring and termination process, personnel identification and access control, and security awareness. Most requirements are directed toward the agency's employees and its contractor staff; however, some of these requirements apply to subcontractors, vendors, building tenants, visitors and patrons. Exhibit 6 identifies which security procedures ICTC and Contractor has in place, including the source document in which the procedures can be found.

#### **SECURITY PROCEDURES**

Security Procedures	Security Procedures Exist?	Source Document
Background investigation	Yes	Personnel Policy Manual
Badging and uniforms	Yes	ICTC Performs, Contractor Agreement
Communication with passengers	Yes	Crisis Communication Plan
Identifying suspicious behavior	Yes	Transit Watch Program and Contractor Training
Passenger and baggage screening	Yes	Transit Watch Program and Contractor Training
Safe mail package handling	No	
Sensitive Security Information	Yes	IT Policy and Personnel Policy Manual
Security procurement language checklist	No	
Termination	Yes	Personnel Policy Manual
Trash container procurement and placement	No	
Unattended items	Yes	
Vehicle security sweeps	No	

<sup>1.</sup> Refer to TSA guidance document titled "Additional Guidance on Background Checks, Redress and Immigration Status" (http://www.tsa.gov/assets/pdf/guidance\_employee\_background\_checks.pdf)

## 4.5 External security component

The interface between ICTC and Contractor and other local, state and federal governmental agencies exists on all levels. These interfaces and relationships ensure that communications are ongoing and that the development and implementation of various security-related activities occurs, including exercises, simulations, drills and training.

#### 4.5.1 Local law enforcement interface

ICTC and its Contractor relies on the resources of local policing agencies for law enforcement duties. See Section 4.3 for a list of those agencies. ICTC and Contractor will interface with law enforcement as it relates to emergencies and the need for the provision of emergency transportation.

## 4.5.2 Local/county/state interface

ICTC has verbal agreements in place to provide evacuation emergency transportation services when emergency issues arise. The agreements are with the Imperial County Office of Emergency Management and several City OES.

<sup>2.</sup> Ensure that procedures are ADA compliant and therefore consider and include passengers with disabilities, the elderly and their baggage.

#### 4.5.3 Federal interface

ICTC and its contractor will cooperate when necessary with the United States Department of Homeland Security divisions and has established relationships with the California Highway Patrol, US Border Patrol and the TSA as it relates to bus inspections.

## 5. Management of SEPP

This SEPP serves as a security and emergency preparedness tool to ensure that the agency's defined goals and objectives are achieved. The SEPP is intended to be a living document, requiring annual updating. As authorized by the Transit Programs Manager, the responsibility and authority for the preparation, implementation and enhancement of the plan rests with Transit Programs Manager. It is the responsibility of all management personnel to support the implementation and administration of the plan. The following are the top management activities associated with the security program, as identified in the SEPP:

- Communicate that security is a top priority for all employees.
- Define ultimate responsibility for secure transit system operations.
- Enforce all security rules applicable to employees.
- Develop relations with outside organizations that contribute to the program.
- Identify potential security concerns in any part of the transit system.
- Actively solicit the security concerns of all employees.
- Ensure that the program is carried out on a daily basis.
- Provide leadership and direction during security incidents, including making decisions regarding the continuation of operations and services.

Additional responsibilities of all management personnel include the following:

- Assist with the development of implementation plans and strategies for new security initiatives and activities.
- Review new security initiatives and activities before their implementation to determine their impacts on the areas under the manager's control.
- Include security considerations in the design and construction of new equipment and facilities.

**NOTE:** The term "frontline employees" used in this security plan includes all vehicle operators, maintenance personnel, security personnel, receptionists, etc. — anyone who interfaces with transit customers, visitors and transit system infrastructure (e.g., vehicles, equipment, facilities).

## 5.1 Employees

It is the responsibility of each and every employee to place safety and security as a top priority. Therefore, each employee should focus on maximizing the level of security experienced by all passengers, employees and individuals who come into contact with the system. ICTC and Contractor hopes to ensure that, if confronted with a security event or major emergency, its employees will respond effectively, using good judgment, applying due diligence and building on best practices identified in drills, training, rules and procedures. ICTC and Contractor's management expects all employees, volunteers, contractors and consultants, especially those working directly with passengers, to support this SEPP.

**NOTE:** It is not possible to address all of the specific security-related responsibilities of all personnel in a plan of this type. However, this plan will address those security-related responsibilities defined for all departments. For specific security-related responsibilities

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of individual personnel, the reader should reference all relevant documents, such as standard operating procedures, policies, plans and programs, to achieve a complete understanding of his or her security-related responsibilities.

## 5.2 Agency and Contractor personnel

All personnel are responsible and accountable for fulfilling and complying with the security requirements of their positions. All department heads and managers are likewise responsible and accountable for enforcing the security requirements pertaining to their employees. Further, it is the responsibility of all employees to notify their immediate supervisors whenever a criminal act or suspicious activity or occurrence has taken place. All personnel are required to understand and perform their duties, during normal and emergency operations, in accordance with all established security rules and procedures. The general security and emergency preparedness responsibilities of all employees and contractors are to do the following:

- Consider the security of transit passengers, employees, vehicles and facilities at all times while performing job duties.
- Participate in all required security training, including drills and tabletop exercises, as deemed necessary by direct supervision.
- Cooperate fully with personnel and departments conducting investigations of security breaches or other security-related incidents.
- Become familiar with all security and emergency operating procedures for the assigned work activity.

## 5.2.1 Transit Programs Manager Management of Security

The Transit Programs Manager is empowered and authorized to design, implement and administer a comprehensive, integrated and coordinated security and emergency preparedness program that encompasses all aspects of the organization. This includes the development and administration of a specific plan for the prevention, identification, notification, analysis, control and resolution of any threats or vulnerabilities within or directed toward its operations and services. The Transit Programs Manager is responsible for ensuring that sufficient resources and attention are devoted to the SEPP, including the following:

- Development of standard operating procedures related to employee security duties.
- Development and enforcement of safety and security regulations.
- Development of emergency operating procedures to maximize transit system response effectiveness and minimize system interruptions during emergencies and security incidents.
- Development of proper training to allow an effective response to security incidents and emergencies.
- Development of an effective notification and reporting system for security incidents and emergencies.
- Communication of security and emergency preparedness as top priorities to all employees.
- Development of relations with outside organizations that contribute to the SEPP, including local public safety and emergency planning agencies and major neighboring facilities or buildings.

#### 5.2.2 Director of security

ICTC does not have a security department. ICTC relies on the resources of local policing agencies for law enforcement duties. See Section 4.3 for a list of those agencies. ICTC's contractor is responsible for the implementation of ICTC's Security Plan and the Operations Manager has been delegated the responsibility for the responsible for the daily oversight and administration of the Security and Emergency Preparedness Program and has been granted the authority to monitor and enforce its implementation to ensure achievement of security-related goals and objectives. Responsibilities include, but may not be limited to, the following:

- Chairing the Security Committee.
- Developing, organizing and implementing a security and emergency response training curriculum for all employees (including contractors).
- Developing, organizing and implementing security and emergency response exercises.
- Initiating a threat and vulnerability assessment process.
- Compiling and analyzing security breach and system threat and vulnerability data.
- Performing periodic reviews and updates of the SEPP and other relevant documents, such as operating
  procedures, security policies and training materials, to ensure compliance with applicable state and federal regulations, guidelines and industry best practices.
- Evaluating security practices of all departments and personnel, and coordinating the establishment of new security procedures with other departments and division managers.
- Participating in meetings with external public safety agencies, local community emergency planning
  agencies and local human services agencies to discuss security and emergency preparedness issues and
  to develop procedures for responding to such issues.
- Developing and enforcing reasonable security and emergency preparedness procedures pertinent to agency activities.
- As appropriate, communicating to other agencies the policies and procedures for dissemination of SSI displayed on drawings, schematics and other information.
- Reviewing system changes or modifications to identify security-related impacts.
- Evaluating and determining the need for security equipment and devices.
- Ensuring that security information is made available to appropriate personnel and departments.

# 5.3 Agency divisions

It is the responsibility of each division to place security as a top priority. Therefore, each division should focus on maximizing the level of security experienced by all passengers, employees, contractors and individuals who come into contact with the transportation system.

# 5.3.1 Human resources

The specific security responsibilities of ICTC and Contractor human resources personnel include the following:

- Ensuring that all pre-employment screening processes are carried out effectively.
- Notifying supervisors of employee disciplinary action that may result in the affected employee becoming a risk to transit operations.
- Educating employees on employee ID policies and procedures.
- Participating in the development of security policies.

# 5.3.2 Public affairs

The specific security responsibilities of the ICTC Transit Program Manager and Contractor General Manager include the following:

- Requesting assistance from public safety resources as needed for special events.
- Providing insight into potential threats and vulnerabilities through feedback from customer focus groups and other information sources.

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- Designating a spokesperson or public information officer (PIO) as a media contact regarding security incidents and issues.
- Communicating security and encouraging riders to become part of the security effort.

#### 5.3.3 Finance

The specific security responsibilities of ICTC Transit Program manager and Contractor General Manager include the following:

- Taking security needs and improvements into consideration when developing budgets.
- Considering security aspects in all acquisitions.

# 5.4 Investigation and security incident reporting

Investigations must be performed on all security incidents involving ICTC and Contractor's system operations and services to identify what occurred and the root causes, and to develop possible countermeasures that may be implemented to prevent or minimize the impacts of future security-related incidents. It is the responsibility of the ICTC and Contractor to ensure that all security breaches and incidents are thoroughly investigated and that all applicable records are maintained.

Security and transit contractors are responsible for developing internal policies to support ICTC and Contractor's incident reporting requirements.

The degree of the investigation and the parties involved with the investigation will be dependent upon the type and extent of the security breach. Investigations involving ICTC and Contractor's assets, for example, may involve city, state and/or federal agencies. If evidence indicates that the security breach was an act of terrorism, the Federal Bureau of Investigation and other federal agencies would be involved in the investigation process. Law enforcement agencies are generally authorized to impound, receive and examine any evidence related to the incident and are responsible for maintaining the integrity of the evidence and the chain of custody. It is the responsibility of all ICTC and Contractor's employees, contractors and others who may have witnessed or have been involved in the incident to cooperate with all investigation processes and law enforcement agencies.

If necessary, the incident scene may be designated a crime scene by law enforcement agencies. In such cases, all operations and services may be halted in the location, and personnel may be prohibited from entering the location until the applicable law enforcement agency has completed its investigation and released the scene back to ICTC and Contractor's control.

In all cases, ICTC and Contractor will strive to identify the causes and contributing factors to the security breach and will take immediate corrective actions to ensure that the same or a similar type of incident does not recur. Accordingly, it is critical that the investigation process maintain a strong link to the threat and vulnerability identification and resolution process. System threats and vulnerabilities identified as a result of the investigation are to be evaluated according to the processes detailed in Section 6, "Threat, vulnerability and consequence identification and resolution."

# 5.4.1 Internal security incident reporting

ICTC and Contractor will maintain Security and Emergency Preparedness incident reports which generally include, as a minimum, the following information:

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- Physical characteristics of the scene (including photos if available)
- Significant interview findings (description of what was witnessed, the sequence of events, what may
  have contributed to the incident and where the individual was located during the time of the incident)
- Sequence of events (time and date of the incident; when emergency responders arrived at the scene; when applicable local, state and federal agencies were notified; when vehicles, equipment or victims were removed from the scene and where they were taken; and when the scene was released)
- Probable cause(s) and contributing factors (most likely cause of the incident, as well as potential contributing factors)
- Recommendations, corrective actions and countermeasures (based on investigative findings)
- Document control number (to allow tracking of corrective actions)

# 5.4.2 External security incident reporting

ICTC and Contractor, when required or requested, will perform applicable security incident reporting requirements that may include, but are not limited to the following:

- TSA Transportation Security Operations Center
- FTA's National Transit Database
- State safety oversight
- State and local government

# 6. Threat, vulnerability and consequence identification and resolution

The inherently open nature of transit systems can be exploited by criminals, terrorists or other adversaries to commit crimes, acts of violence and other malicious and destructive acts. The greatest vulnerability and challenge faced by most transit systems with regard to security is how to maintain an open and inviting environment that is easily accessible to all members of the public while concurrently maintaining a level of security that prevents or minimizes, to the greatest extent possible, the occurrence of such acts throughout the system. Key steps to prevent, minimize and prepare for criminal and/or terrorist acts within or directed toward the agency's operations and services are designed to do the following:

- Identify potential threats facing the agency.
- Identify vulnerabilities within transit operations and services that may be exploited to carry out these threats.
- Analyze the potential impacts of each threat and vulnerability scenario.
- Develop and implement corrective actions and countermeasures to eliminate, minimize or otherwise prepare for attacks.
- Protect against identified threats and vulnerabilities.

# 6.1 Threat and vulnerability assessment

Threat and vulnerability assessments enable transit agencies to thoroughly evaluate potential threats, targets and vulnerabilities within their systems. The agency's processes for conducting such assessments are based on FTA recommended practices and industry guidelines, such as those detailed in FTA's *Public Transportation System Security and Emergency Preparedness Planning Guide* or that offered by TSA's Vulnerability Identification Self-Assessment Tool (VISAT). Threat and vulnerability assessments are typically completed by ICTC and Contractor or when conditions warrant (e.g., rising crime, raising of the NTAS) or when any new major rail lines or bus route is open, or during the design stage of any new major asset.

ICTC and Contractor's assessment process entails identifying and evaluating system assets; identifying potential targets or threats within the system; examining the system to identify potential vulnerabilities that may be exploited to carry out threats; developing threat scenarios to evaluate potential consequences; and developing and implementing countermeasures to eliminate, control or otherwise address identified threats and vulnerabilities to the extent practical.

All findings, recommendations and other information gathered or developed through the assessment process is considered SSI and shall remain under the strict control of the Transit Program Manager. The Transit Program Manager, with the assistance of other applicable personnel, is responsible for evaluating all assessment findings and proposed countermeasures; for determining if, where and when countermeasures should be implemented; and for tracking through fruition all corrective actions taken to address potential threats and vulnerabilities.

# 6.2 Asset identification and analysis

Transit system assets can be broadly defined as people (passengers, employees, contractors, visitors, surrounding communities, etc.), information (operations and maintenance procedures, computer network information, passwords and facility access codes, etc.), and property (stations, vehicles, buildings, communications systems, etc.). Asset analysis enables transit systems to quantitatively and qualitatively evaluate their assets to determine which are most significant to the system. ICTC and Contractor classifies those assets determined to have the highest level of value and/or criticality within the system as "key assets." This classification is based on the following:

- The value of the asset, including:
  - replacement or repair costs;
  - lost revenues resulting from halting or delaying service because of a loss of that asset; and
  - lost revenue resulting from decreased passenger confidence in utilizing that asset.
- The impact, if the asset is lost, on passengers, employees, public safety organizations, the general public and the agency, including:
  - economic impacts on the surrounding community, state or nation; and
  - the likelihood for mass casualties.
- The value of the asset to a potential adversary, including the level of visibility and prestige that would be gained by the adversary as a result of an attack.
- How, when and by whom the asset will be accessed and used, including the relative ease of access for ingress and egress of personnel and equipment required for an attack.
- Where the asset is located within the system as well as within the surrounding community, including its proximity to:
  - facilities containing chemical, biological, nuclear or radiological materials that could significantly contribute to the level of destruction resulting from an attack;
  - community, state or national structures that can be considered symbolic in nature (e.g., state or national monuments, government complexes or financial institutions, health care facilities, places of worship, sports arenas);
  - secluded areas that are not immediately visible to the surrounding public; and areas of high crime.

By identifying key assets, ICTC and Contractor is able to direct its resources toward hardening security at critical locations, those locations would severely impact the overall system if lost.

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# 6.2.1 All hazards threat and vulnerability identification and analysis

Threat analysis is a process that enables transit systems to "define the level or degree of the threats against a facility by evaluating the intent, motivation, and possible tactics of those who may carry them out." Vulnerability analysis is described by the FTA as a process that can be used by transit systems to identify "specific weaknesses with respect to how they may invite and permit a threat to be accomplished."

Through these forms of analysis, transit systems are able to better identify and evaluate the security-related risks that exist not only within their systems, but also within the operating environments and surrounding communities through which their services are provided. This can be a complex process that may require the involvement of outside parties, including local, state or federal law enforcement and emergency response agency representatives, and/or security experts.

The analysis process involves gathering and evaluating relevant information, including but not limited to the following:

- Security practices, protocols, crime deterrents and other countermeasures currently in place within the system, including an evaluation of their effectiveness.
- Historical data pertaining to past security breaches and other security-related incidents directed toward the system or toward other similar systems.
- Crime rate data in the communities and areas surrounding the system.
- Site layout information, such as the ease of accessibility, location of incoming utilities, hazardous storage materials locations, types of building construction, levels of lighting, etc.
- Existing criminal or terrorist threats that may be present within the system's operating environment or that may be directed toward the surrounding communities, state or nation as a whole and may impact the system.
- The response capabilities of the transit system and local emergency responders, such as police and fire/rescue personnel.

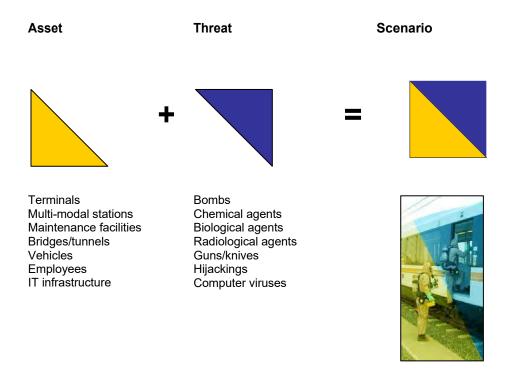
Additional information may be referenced in the Imperial County EOP (Addendum1).

# 6.2.2 Scenario analysis

Once key assets, potential threats and system vulnerabilities have been identified, threat scenarios can be developed to evaluate the types of potential attacks and outcomes that may be waged against and experienced by the transit system. The scenario analysis process combines information gained through each of the other analysis processes, as depicted below.

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# THREAT SCENARIO DEVELOPMENT

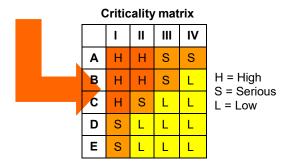


Each threat scenario is then evaluated to determine its likelihood and severity of occurrence, giving consideration to the extent of identified threats and vulnerabilities, and the level of risk associated with its occurrence. In our process "likelihood" is tied into "vulnerability"; combining vulnerability with impact gives us the level of criticality.

# **SCENARIO EVALUATION CRITERIA**

Vulnerability		Impact	
Α	Very easy	1	Loss of life
В	Relatively easy	II	Serious injuries, major service impact, >\$250,000 damage
С	Difficult	III	Minor injuries, minor service impact, <\$250,000 damage
D	Very difficult	IV	No injuries, no service impact
Е	Too difficult		

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#### **LEVELS OF RISK**

Risk level	Assets/impacts	Threat	Vulnerability
Critical	Loss of life	Definite threat exists  Both the capability and intent exist  Similar assets are targeted on a frequent or recurring basis	Few effective countermeasures exist  Known adversaries could easily exploit the asset
High	Serious injuries Major service impact >\$250,000 damage	Credible threat exists  Plausible capability and intent exists  Related incidents have occurred on similar assets in the past	Some countermeasures exist, but multiple weaknesses still exist  Many adversaries could exploit the asset
Medium	Minor injuries Minor service impact <\$250,000 damage	Potential threat exists  Adversary's desire to gain capability and intent exists  Capability could exist through a third party	Effective countermeasures exist, but at least one weakness still exists  Some known adversaries could exploit the asset
Low	No injuries No service impact	Little or no credible evidence of capability or intent exists  No history of actual or planned threats	Multiple levels of effective countermeasures exist  Few or no known adversaries would be capable of exploiting asset

# 6.3 Countermeasure development

Countermeasures and corrective actions are developed at the completion of the analysis processes to eliminate or mitigate identified system threats and vulnerabilities. Effective countermeasures will typically include mutually supporting engineering and administrative elements. Examples of engineering countermeasures include the following:

 Installing physical barriers designed to reduce the asset's vulnerability to unauthorized access or explosive or other incendiary attacks.

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- Installing integrated intrusion detection and alarm systems throughout key facilities.
- Installing chemical, biological, radiological and/or nuclear detection devices at facility and station locations.

# Administrative countermeasures include the following:

- Increasing the frequency of security patrols at key asset locations.
- Increasing security-related training to improve the abilities of employees to identify suspicious packages or activities.
- Conducting drills and tabletop exercises involving security-related scenarios.
- Developing working groups and information exchange committees with local law enforcement and emergency response agencies.

In developing the countermeasures, consideration must be given to not only the initial costs of procurement and implementation, but also to the associated maintenance costs and expected level of effectiveness at eliminating or controlling the threat or vulnerability. It is also important to take into account that during special events, additional security measures may be required. Such conditions may adversely impact the effectiveness of normal countermeasures.

The ICTC Transit Programs Manager and Contractor Operations Manager, with the assistance of other applicable personnel, is responsible for developing countermeasures and corrective actions; for determining if, where and when countermeasures should be implemented; and for documenting and tracking through fruition all steps taken to address potential threats and vulnerabilities.

Below is a sample list of typical countermeasures used in the transit industry to eliminate and control threats and vulnerabilities.

#### PUBLIC TRANSPORTATION COUNTERMEASURES

		ministrat	ive	Physical			
Countermeasures	Planning	Coordination with local responders	Training and drills	Access control	Surveillance	Blast mitigation	WMD protection
Identifying unusual or out-of-place activity	<b>√</b>	<b>√</b>	<b>√</b>	✓	✓		
Security screening and inspection procedures	✓	✓	✓	✓	✓		
Enhancing access control for stations/vehicles	<b>√</b>	✓	✓	✓	✓		
Securing perimeters for non-revenue areas		✓	✓	✓	✓		
Denying access to authorized-only areas	✓	✓	✓	✓	✓		
Security vulnerable areas (target hardening)	✓	✓	✓	✓	✓		

# PUBLIC TRANSPORTATION COUNTERMEASURES

	Ad	ministrat	ive	Physical				
Countermeasures	Planning	Coordination with local responders	Training and drills	Access control	Surveillance	Blast mitigation	WMD protection	
Removing obstacles to clear line of sight	<b>✓</b>	<b>✓</b>	<b>✓</b>	<b>√</b>	<b>√</b>			
Protecting parking lots	✓	<b>√</b>	✓	✓	✓			
Enhanced access control for control center	<b>√</b>	<b>√</b>	<b>✓</b>	<b>√</b>	<b>√</b>			
Securing critical functions and backups	<b>√</b>	<b>✓</b>	<b>√</b>	<b>√</b>	<b>√</b>			
Promoting visibility of uniformed staff	<b>✓</b>	<b>✓</b>	<b>√</b>	<b>√</b>	<b>√</b>			
Removing spaces that permit concealment	<b>√</b>	<b>✓</b>	<b>√</b>	<b>√</b>	<b>√</b>			
Reinforcing natural surveillance	<b>√</b>	<b>✓</b>	<b>√</b>	<b>√</b>	<b>√</b>			
Procedures for vehicle and station evacuation	<b>√</b>	<b>✓</b>	<b>√</b>	<b>√</b>	<b>√</b>			
Coordination with community planning efforts	<b>√</b>	<b>√</b>	<b>√</b>	✓	✓			
Backing up critical computer systems	<b>√</b>	<b>✓</b>	<b>√</b>	<b>√</b>	<b>√</b>			
Revising lost-and-found policies	<b>√</b>	<b>✓</b>	<b>✓</b>	<b>√</b>	<b>√</b>			
Securing tunnels and elevated structures	<b>√</b>	<b>✓</b>	<b>√</b>	<b>√</b>	<b>√</b>			
Elevating/securing fresh air intakes	<b>√</b>	<b>✓</b>	<b>√</b>	<b>√</b>	<b>√</b>			
Protecting incoming utilities	<b>√</b>	<b>✓</b>	<b>√</b>	<b>√</b>	<b>√</b>			
Establishing mail-handling procedures	<b>√</b>	<b>✓</b>	<b>√</b>	<b>√</b>	<b>√</b>			
Identifying appropriate personal protective equipment and training	<b>✓</b>	<b>✓</b>	✓	<b>√</b>	<b>✓</b>			
Preparing response folders and notebooks for facilities and vehicles	<b>√</b>	<b>√</b>	✓	✓	<b>✓</b>			
Familiarization training for local emergency response agencies	<b>√</b>	<b>√</b>	✓	<b>√</b>	<b>✓</b>			

# PUBLIC TRANSPORTATION COUNTERMEASURES

	Ad	ministrat	ive	Physical			
Countermeasures	Planning	Coordination with local responders	Training and drills	Access control	Surveillance	Blast mitigation	WMD protection
Planning for scene management and emergency response	<b>√</b>	<b>√</b>	✓	✓	<b>√</b>		

Source: The Public Transportation System Security and Emergency Preparedness Planning Guide, U.S. Department of Transportation

- 1. Screening procedures should include ADA-compliant procedures for the disabled, the elderly and their baggage.
- 2. Vehicle and station evacuation procedures should consider and include procedures for the disabled and the elderly.

# 6.4 Security testing and inspections

Security testing and inspection activities are conducted at least once a year or as mandated by federal regulations. Security testing and inspections are performed to do the following:

- Assess the current state of the Security and Emergency Preparedness Program.
- Monitor the effectiveness of countermeasures implemented to eliminate or control threats and vulnerabilities
- Identify any other potential threats and vulnerabilities within the system.
- Evaluate ICTC and Contractor's state of security preparedness with regard to equipment and resource availability, employee proficiency and levels of training, and local law enforcement and emergency response agency system knowledge and response capabilities.
- Enhance and promote security awareness throughout transit operations and services.

While performing these activities, several levels of equipment deficiencies may be identified. For instance, if a single video camera is used to monitor a bus stop or a parking lot, the camera must be functional at all times to ensure that the bus stop or parking area can be adequately monitored. However, if two cameras are used to monitor the bus stop or parking area, then the loss of one of the cameras may be tolerated for a short period of time. In all cases, any equipment conditions found to be unacceptable during the inspection shall be reported to the appropriate maintenance personnel and corrected immediately.

# 7. Security design

ICTC and Contractor consider security in the protection of every transit asset (e.g., vehicles, bus stops). ICTC also takes a systems-approach to security, ensuring that all systems, components and elements, including access management, communications, infrastructure, vehicles and stations, have been analyzed and properly secured. In the design of all new assets (e.g., stations, terminals etc.) and vehicles (e.g., bus), the agency implements best practices in security design. Among the best practices that the agency considers and references in the design of new transit assets are the "FTA/Volpe Transit Security Design Considerations" document and FTA's Safety and Security Management Plan.

# 7.1 Security design considerations

ICTC and Contractor considers security in the protection of every transit asset (e.g., vehicles, stations). In doing so, the agency takes a systems approach to addressing security by analyzing the integration and interdependencies of each major elements of the transit system, including access management, communications, infrastructure, vehicles and stations. ICTC and Contractor uses the FTA and Volpe's codeveloped "Transit Security Design Considerations" report as guidance.

# 7.2 Crime Prevention Through Environmental Design (CPTED)

ICTC and Contractor employs physical design features that discourage crime while at the same time encouraging legitimate use of the asset. The agency employs CPTED concepts that include defensible space, territoriality, surveillance, lighting, landscaping and physical security planning.

# 7.3 Safety and Security Management Plan (SSMP)

ICTC and Contractor prepares an SSMP to identify how the agency addresses safety and security in any major capital project, from initial project planning through initiation of revenue service. The SSMP is a document required by the FTA that must be prepared by applicants and recipients of FTA funds for major capital projects.

For specific details on requirements, visit

<a href="http://transit-safety.volpe.dot.gov/publications/security/SSMP\_FAQs\_Final.doc">http://transit-safety.volpe.dot.gov/publications/security/SSMP\_FAQs\_Final.doc</a>.

# 8. Threat levels and alerts

ICTC and Contractor recognize the threat condition designations as defined by the National Terrorism Advisory System (NTAS), pertain primarily to federal departments and agencies. ICTC and Contractor's role and application of the federal threat models are identified herein and will be dependent upon the nature and extent of the security threats to both the transit operating system and the nation as a whole. ICTC and Contractor's preparedness and response actions for each threat condition designation have been developed in accordance with FTA's recommended protective measures. Additionally, ICTC and Contractor keeps current of the federal threat level in addition to regularly receiving and monitoring alerts distributed by other organizations, including the FBI.

# 8.1 National Terrorism Advisory System (NTAS)

- Our concerns that violent extremists could be inspired to conduct attacks inside the U.S. have not diminished.
- As the U.S. continues to apply pressure against terrorist-affiliated groups overseas, attempts by these groups to inspire or even direct attacks inside the U.S. may increase.
- Though we know of no intelligence that is both specific and credible at this time of a plot by terrorist organizations to attack the homeland, the reality is terrorist-inspired individuals have conducted, or attempted to conduct, attacks in the United States.



• DHS is especially concerned that terrorist-inspired individuals and homegrown violent extremists may be encouraged or inspired to target public events or places.

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- The holiday season, in particular, provides additional opportunities for violent extremists to target public events and places where people congregate.
- Terrorist use of the Internet to inspire individuals to violence or join their ranks remains a major source of concern.
- In the current environment, DHS is also concerned about threats and violence directed at particular communities and individuals across the country, based on perceived religion, ethnicity, nationality or sexual orientation.

#### 8.1.1 Bulletin

This condition is declared when there is a low risk of terrorist attacks. ICTC and Contractor's activities at this level includes the following:

- Preparing security and emergency preparedness-related plans, including emergency operating procedures, emergency response procedures, contingency planning, communications planning, information technology/disaster recovery planning and others as needed.
- Completing inventory of each department's supplies, equipment and other resources that may be needed to execute any portion of the plans.
- Refining and exercising as appropriate preplanned protective measures.
- Ensuring that personnel receive proper training on the Homeland Security Advisory System.
- Institutionalizing a process to ensure that all facilities and regulated sectors are regularly assessed for vulnerabilities to terrorist attacks and that all reasonable measures are taken to mitigate these vulnerabilities.
- Practicing all of the security and emergency preparedness plans and procedures and determining what steps should be undertaken in managing an incident.
- Testing equipment and systems.
- Rechecking inventories of supplies, maintenance logs and new supplies ordered.
- Designing new drills and exercises and executing emergency, disaster recovery and contingency operations capabilities.
- Developing and disseminating as appropriate public awareness information for security and emergency preparedness.
- Reviewing all security and emergency preparedness plans, and on a regular basis identifying any problems, shortcomings or issues through drills and exercise after-action reports.
- Checking communications with designated emergency response or command locations.
- Reviewing and updating emergency response procedures.

#### 8.1.2 Elevated

This condition is declared when there is an elevated risk of terrorist attacks. ICTC and Contractor's activities at this level include the following:

- Increasing surveillance of critical locations.
- Coordinating emergency plans and procedures, and checking to see if other protective measures need to be put in place based on the threat information.
- Initiating contingency activities as appropriate (such as checking that equipment and alternate operating locations are available and equipment processes and procedures are operating properly).
- Coordinating emergency plans as appropriate with nearby jurisdictions.

- Assessing whether the precise characteristics of the threat require further refinement of preplanned protective measures.
- Implementing, as appropriate, contingency and emergency response plans.
- Coordinating necessary security efforts with federal, state and local law enforcement agencies.
- Preparing for the activation of emergency and contingency plans.
- Restricting access to agency facilities and limiting access to threatened facilities to essential personnel only.
- Taking additional precautions at public events and possibly considering alternative venues or even cancellation.
- Preparing to execute contingency procedures, such as moving command and control to an alternate site or dispersing the work force.

# 8.1.3 Imminent

This condition is declared when there is a severe risk of terrorist attacks. Under most circumstances, the protective measures for a severe condition are not intended to be sustained for substantial periods of time. In addition, this threat condition indicates that a severe risk of terrorist activity or an incident or emergency is imminent. However, this does not mean that ICTC and Contractor is under attack or has an active emergency ongoing. ICTC and Contractor's activities at red include the following:

- Increasing or redirecting personnel to address critical emergency needs.
- Assigning emergency response personnel and pre-positioning and mobilizing specially trained teams or resources.
- Monitoring, redirecting or constraining transportation systems.
- Closing public transit and government facilities.

# 8.1.4 Active incident

At this phase, an attack against the transit agency or an agency's service area is occurring or has occurred. ICTC and Contractor's activities at this phase include the following:

- Responding to casualties.
- Assisting in evacuations.
- Reporting incident (see Section 5.4)
- Inspecting and securing transit facilities.
- Helping with other tasks directed by local emergency management personnel.

# 8.1.5 Recovery phase

At this phase, the recovery of transit service after an attack has occurred. It follows the previous phase (active incident) and may also exist for short time periods when the agency is transitioning from a higher threat condition to a lower threat condition. This phase coexists with the prevailing threat condition. In other words, business recovery will be accomplished while maintaining the prevailing readiness status. ICTC and Contractor's activities at this phase include the following:

- Restoring service, routes and schedules.
- Repairing or reopening facilities.
- Adjusting staff work schedules and duty assignments.

- Responding to customer inquiries about services.
- Undertaking other activities necessary to restore transit service.

# 8.2 Federal Bureau of Investigation alerts

ICTC and Contractor regularly monitors, examines and evaluates the security alerts distributed by the FBI. These alerts help identify current security issues and threats affecting the nation as a whole. ICTC and Contractor distributes the list to selected individuals of the agency. Any questions or concerns relating to the FBI security alerts should be addressed directly to the local field office of the FBI at (760) 355-0397 or via the Web at <a href="https://www.fbi.gov/">https://www.fbi.gov/</a>

FBI - Imperial/El Centro Field Office 516 Industry Way Suite D Imperial Ca. 92251 Phone (760) 355-0397

Counties and territory: Imperial County

# 8.3 Public Transit Information Sharing and Analysis Center (PT-ISAC)

ICTC and Contractor regularly reviews information disseminated by the PT-ISAC. In January 2003, the U.S. Department of Transportation designated the American Public Transportation Association (APTA) as the sector coordinator in the creation of a Public Transit ISAC to further promote security for the public transportation industry. Through this role, APTA serves as the primary contact to organize and bring the public transportation community together to work cooperatively on physical and cyber-security issues.

The PT-ISAC collects, analyzes and distributes critical cyber and physical security and threat information from government and numerous other sources. These sources include law enforcement, government operations centers, the intelligence community, the U.S. military, academia, IT vendors, the International Computer Emergency Response Team (CERT) and others. The PT-ISAC is full-service, responding to incidents and warnings on a 24-hour basis, seven days a week. Any questions concerning the service should be directed to:

PT-ISAC 1-866-PT-ISAC-1 (784-7221) www.surfacetransportationisac.org

# 8.4 Homeland Security Information Network – Public Transit (HSIN-PT)

ICTC and Contractor regularly reviews information disseminated by TSA through DHS's HSIN-PT. HSIN-PT is a security information sharing resource for the public transit community to share unclassified security and threat information and establish relationships and network with both private and public transportation security officials. HSIN-PT provides the transit security community a "one-stop shop" to aid in its efforts to maintain vigilance and readiness to prevent terrorism in the mass transit and passenger rail environment. TSA also uses its emergency notification system, called TSA Alerts, sometimes in conjunction with HSIN-PT, to advise transit agencies of significant threats or terrorist attacks.

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# 9. Training

An important aspect of every employee's job is his or her individual responsibility for safety and security. As a result, ICTC and Contractor develop, maintains and updates the security-related training curriculum for all employees. Targeted security training at ICTC and Contractor incorporates such security and emergency management concepts as terrorism awareness, planning and management; the National Incident Management System (NIMS); and federal, state and local plans (e.g., EOPs). Security-awareness training is required for all personnel and is considered an essential and proactive element of the security program. It is designed to reinforce security roles and responsibilities for all employees by doing the following:

- Preparing employees for the requirements of their jobs.
- Increasing the level of security awareness throughout the organization.
- Reinforcing any applicable security policies and procedures, including standard and emergency operating procedures (SOPs and EOPs).
- Providing each employee with an opportunity to take part in the security program by asking questions and voicing any concerns.
- Increasing employee understanding pertaining to the potential threats and vulnerabilities within the system and what measures can be taken to eliminate, control and prepare for those threats and vulnerabilities.

# 9.1 General employee training (all employees)

ICTC and Contractor provide general employee training as initial and refresher training. Concepts and principles include transit operations and services; general rules, policies, and procedures; how to best utilize resources; what is expected of employees; what employees should expect of others; how to identify, report, and react to suspicious behavior, activity and unusually threatening activities; evacuation procedures; and the types of emergencies that may be experienced during the performance of employee duties.

# 9.2 Frontline employee training (non-operators)

ICTC and Contractor provide frontline employee training for non-operators (mechanics, customer service representatives, dispatchers, etc.) is essential because employees have daily contact with the ICTC's customers and vehicles.

# 9.3 Vehicle operator training

ICTC and Contractor provide training for vehicle operators may include safety, security and emergency preparedness procedures; pre-trip inspection; fare handling; radio procedures and reporting.

# 9.4 Management training

ICTC and Contractor provide management training which may include crisis management, emergency response, resource allocation, media relations, interagency coordination, information sharing, incident reporting, internal/external hierarchies of authority and continuity of operations requirements and procedures.

# 9.5 Emergency responder training

ICTC and Contractor training for local emergency responders (e.g., fire, police, EMS) may be offered upon request. Additional details may be contained in the emergency preparedness plan. Concepts of emergency responder training may include the following:

- Operating territory familiarization (e.g., types of operating environments and hazards within each vehicle, facility and equipment function)
- Emergency access and egress locations
- Emergency power shutoff devices and fire suppression systems
- Hazardous materials storage locations
- Communications with transit personnel
- Transit organizational roles and responsibilities
- Coordination of functions/lines of authority (e.g., personnel responsibilities during events)
- Relevant transit rules and operating procedures

# 9.6 NIMS training

National Incident Management System training may be made available to various operational ICTC and Contractor staff members. These staff members may include managers and supervisors, frontline employees and road supervisors. NIMS training may include the following concepts and principles: benefits of using ICS as the national incident management model, when to institute an area command, when to institute a multi-agency coordination system, benefits of using a joint information system (JIS) for public information, managing resources using NIMS, and technology.

# 10. Exercises and drills

A program for effective joint training exercises and drills involving ICTC and Contractor and other external agencies including local police, fire and emergency management agencies is maintained by the Transit Programs Manager or Contractor General Manager or an appointee. This program includes tabletop exercises and "in-the-field" full-scale mock emergency drills.

Tabletop exercises involve presenting various emergency scenarios to teams of participants with the purpose of allowing the teams to discuss the appropriate response actions. Tabletop exercises are conducted to prepare ICTC and Contractor, law enforcement and emergency response personnel to respond to emergencies involving transit passengers and equipment. Drills differ from tabletop exercises in that they involve utilizing actual equipment, facilities and personnel together to form a full-scale mock emergency.

The purpose of these drills is to demonstrate that participants understand their individual roles and responsibilities and are familiar with the equipment and layout of facilities. The results of the drills are fed back into future transit drill scenarios as necessary. Drills involve local law enforcement and emergency response personnel and are indicative of the types of emergencies typical of transit operations and services.

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# 11. Public awareness

**ICTC** and Contractor's passengers are considered part of the eyes and ears of the agency's operations and services and play a role in its security program. As a result, the agency maintains a public awareness program to maximize passenger involvement in security. This program includes the following:

- Vehicle interior card ad campaigns
- External newsletters (future plan)
- Transit education programs (future plan)
- Transit Watch ((sponsored and developed by the FTA) future plan)

These are designed to promote transit operations and services while reinforcing safety and security policies and procedures. Literature to educate the public on riding the transit system is always available and can be found aboard transit vehicles. Overall, these materials are directed toward educating passengers with regard to the following:

- The steps to be taken upon witnessing suspicious, malicious or destructive activities, persons, packages or materials within the system.
- The steps to be taken upon identifying a potential hazard within the system, including unattended items.
- The steps to be taken upon witnessing or being the victim of a criminal act.
- How to properly communicate incidents to transit, law enforcement and emergency response personnel.
- Emergency procedures, including emergency egress paths, exit locations and emergency equipment use.
- General customer service information, including schedules, service areas, emergency contact information and relevant updates pertaining to system changes.

# 12. Evaluation and modification

The evaluation and modification process is an excellent opportunity to ensure that the SEPP effectively eliminates and mitigates security threats. As ICTC and Contractor's operations change and expand; there may be a need for additional security requirements, policies, equipment and staffing. The SEPP is therefore considered a living document that is reviewed annually and updated as needed to ensure that it remains up to date and consistent with all other ICTC and Contractor rules, procedures and policies.

#### 12.1 Evaluation

The security program and this SEPP are constantly evaluated. This evaluation extends from the initial draft of the plan through its full implementation. Evaluations identify those areas needing additional attention, and as a result offer suggestions for improvement, either to fine-tune the program or to implement new objectives in a revised plan. The **Transit Programs Manager or Contractor General Manager** or designee is responsible for the evaluation or review process.

# 12.2 Modification

Modifications occur after a significant security breach and after any emergency drill or exercise. Also, management personnel are to recommend changes at any time when, in their opinion, there is a need for a modification. Moreover, employees are to submit proposed changes to their managers and supervisors, who evaluate

the proposed change and, if warranted, submit the proposed change to the **Transit Programs**Manager or Contractor General Manager for review.

If system changes occur outside a scheduled review period of the plan, the **Transit Programs** Manager or Contractor General Manager ensures that the changes are reviewed and incorporated as necessary. The **Transit Programs Manager** or Contractor General Manager has the primary responsibility for reviewing and updating the SEPP. Change bulletins are issued once changes are made to the plan, provided they are properly authorized and distributed. The final decision about whether a change is issued as an addendum or one that requires a complete revision and redistribution of the SEPP rests solely with the **Executive Director**.

# 12.3 SEPP control

The **Transit Programs Manager** or **Contractor General Manager** is responsible for the distribution of the SEPP and any revisions to it. In order to ensure that all copies are accounted for, the distributor numbers each copy and records the recipients who have been given copies. Every modification or update is distributed to **Transit Programs Manager** or **Contractor General Manager** as well as all supervisors and managers.

# **Appendix A: Common threats identification**

Category	Hazard
Natural	drought
	earthquake
	flash flooding
	flooding (river or tidal)
	high winds
	hurricane
	landslide
	tornado
	wildfire
	winter storm
Technological	dam failure
	energy or fuel shortage
	hazmat or oil spill (fixed site or in transport)
	major structural fire
	nuclear facility incident
	power outage
Societal	civil unrest or riot
	strike
	civil panic or looting
Security	violent or other crime
	bomb threats
	chemical, biological or radiological threats
	chemical, biological or radiological device/release
	explosive device/detonation
	hijackings
	sabotage or vandalism
	terrorism
	trespassing
	workplace violence

Source: The Public Transportation System Security and Emergency Preparedness Planning Guide, U.S. Department of Transportation

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# **Appendix B: Points of Contact list**

Contacts							
Imperial County Transportation Commission Transit Program Administration Staff							
Mark Baza, Executive Director	Office # (760) 592-4494	Mobile Phone # (760) 604-5508					
David Aguirre, Transit Program Manager	(760) 592-4494	(760) 996-0953					
Gustavo Gomez, Mobility Coordinator/Transit Planner	(760) 592-4494	(760) 996-9350					
Cristi Lerma, Secretary to the Board	(760) 592-4494	(760) 604-1100					
Michelle Bastidas, Admin Analyst II	(760) 592-4494	(760) 604-0513					
Vicky Hernandez, Office Technician	(760) 592-4494	(760) 604-2756					
Contractor Operations &  Maintenance Staff							
	Office #	Mobile Phone #					
Cesar Sanchez, General Manager, Imperial Valley Transit	(760) 482-2900	(760) 970 7237					
Helio Sanchez, Operations Supervisor, Imperial Valley Transit	(760) 482-2900	(760) 604-5508					
Karla Pacheco, Operations Supervisor, IVT ACCESS	(760) 482-2908	(760) 425-0660					
Karla Aguirre, Operations Supervisor, IVT RIDE	(760) 337-1760	(760) 996-2656					
Jose Guillen, Operations Supervisor, IVT MedTrans	(760) 592-4494	(760) 604-5508					
Mike Cortez, Safety and Training, Imperial Valley Transit	(760) 482-2900	(760) 332-9829					
Rogelio Hernandez, Maintenance Manager, Imperial Valley Transit	(760) 482-2900	(760) 482-8456					
Other Important Nur	nbers						

# **Appendix C: Crisis Management Plan**

# **Crisis Communication Plan**

# What is a crisis?

According to the Institute for Public Relations, a crisis is defined as a significant threat to operations that can have negative consequences if not handled properly. These consequences can be related to public safety, financial loss and/or reputation loss and the negative effects can haunt an organization for years. Any of these consequences could have a significant impact on ICTC's ability to achieve its mission.

# Why do we need a crisis communications plan?

In the business world, it's not a question of IF a crisis will happen. It's a question of WHEN it will happen. While an organization cannot predict when, where or what magnitude that crisis will be, they do have the ability to plan their response. Organizations that are well-equipped to handle and recover from a crisis while maintaining a positive image and public confidence are ones that take the time to develop and embrace a Crisis Communications Plan (the Plan).

This Plan doesn't live on a shelf, and it is updated as there are changes in trends, communication methods, and key staff. Regardless of whether or not they have an actual role in responding to a crisis, every employee should be familiar with the Plan and the principles that ICTC employs when a crisis occurs.

While every crisis is different, by following the general guidelines and procedures outlined in the Plan, ICTC will be better able to preserve credibility, protect its image and continue to serve customers. Response time is critical, and depending on the nature of the crisis, it is vital that key decisions and policies are decided upon ahead of time and not while staff is under the pressure of dealing with the situation at hand.

# What will a crisis communications plan accomplish?

The Plan puts the pieces in place for ICTC to respond to a crisis from a communications standpoint, freeing up valuable time and resources to actually handle the crisis at hand. The Plan will:

- Provide an outline of what should happen in time of a crisis
- Assigns duties and tasks to specific team members
- Details how ICTC will respond to different situations and what level of response is necessary

# **Operations and Public Information Roles in a Crisis**

The Plan is established to have a communication plan that will ensure ICTC is maintaining its own reputation while handling the public safety aspect of a crisis. ICTC staff are expected to follow the proper protocols when a crisis occurs, which includes NOT discussing the incident with the media, accepting/assigning blame, speculating or providing any insight on the situation. While the Operations side is being handled, the Crisis Management Team will simultaneously be work- ing to handle the situation from the public information perspective.

# **Key Audiences**

The Plan takes the following audiences and their potential involvement in a ICTC incident into account:

- **Board Members**
- Stakeholders/Member Agencies
- ICTC employees (and their families, if applicable)
- Passengers/General Public
- Local, state and federal officials (ADOT, Caltrans, FTA, etc.)
- Legal representatives

#### Chain of Command and Crisis Communication Team

The Crisis Communication Team (CCT) is comprised of key ICTC staff members and contractors/consultants all of whom will have a specific role in the event of a crisis. The CCT members are expected to keep their staff members informed as needed, and pull in any staff members who may have specialized skills to assist with a particular crisis situation.

Member	Title	Duties	Alternate
Mark Baza	Executive Director	Primary spokesperson, Board communication	David Aguirre
David Aguirre	Transit Programs Manager	Management of transit programs	Gustavo Gomez
Gustavo Gomez	Mobility Coordinator/Transit Planner	Secondary spokesperson, External Communications	Cristi Lerma
Cristi Lerma	Secretary to the Commission	Secondary spokesperson, Internal communications	None
Operations Contractor	General Manager	Operations communication and facilitation with Police,	

When an incident occurs, the CCT will either meet in person at a designated location, or via conference call. The team will be responsible for:

- Determining if the incident meets crisis level & if information should be released.
- Determining which information should be released to the public and the best method of dissemination (press release, press conference, etc.).

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- Assessing threats to ICTC's reputation
- Notifying member agencies, employees and board members
- Developing a response plan how and when to respond to the crisis
- Preparing and releasing information to employees, media and other external publics
- Notifying proper legal authorities, stakeholders and public officials
- Sending out regular updates to Board Members and staff
- Coordinating with Imperial County Emergency Operations Center (EOC)\* if necessary

\*The Imperial County EOC is activated during emergencies at the recommendation of the County Emergency Management Director to the County Administrator and Board of Supervisors. It is a joint operation with the County and various jurisdictions in I m p e r i a l County. Whenever an EOC is activated, it becomes the jurisdiction's central headquarters for coordinating efforts to deal with any major incident that imperils the safety and welfare of the public.

ICTC is part of the Emergency Support Function of the EOC, which unites various agencies and focuses their efforts on a specific function necessary to respond to the disaster. ICTC's responsibilities in the planning matrix are related to providing transportation. (See Addendum 1, Page 35 and Page 72)

# **Types of Incidents**

Being in the business of transporting people on a daily basis means that there are a wide variety of incidents that can occur in and around ICTC property. While some of the more obvious incidents involve ICTC fleet, there are many other security threats to passengers, employees, operations and property that need to be considered. These incidents can range from a seemingly benign public records request, to a wildfire on I-8 that forces the evacuation and closure of ICTC's main east and west freeway.

The common thread among all of these incidents, no matter the perceived size or level of importance, is that bad news travels quickly and can get out of control if not properly managed.

ICTC has identified three levels of incidents with increasing levels of response required as the significance of the incident increases. Following are the protocols to follow for each level and examples of incidents that fit into that particular level. This is not an exhaustive list and is meant to serve as a guideline.

Level 1 Incident: No action is required by the CCT and the Transit Program Manager will implement the necessary response.

# **Level 1 Incident Examples:**

- Accident involving non-life threatening injuries
- Passenger incident with non-life threatening injuries
- Bus fire with no critical damage to property or critical injury
- Public records request
- Vandalism to ICTC property and/or fleet
- Media investigation related to budget, public records law, finances, etc.

Level 2 Incident: CCT is made aware of incident and the necessary team members are involved in the response, but it does not require a full deployment of the team.

# **Level 2 Incident Examples:**

- Accident involving life-threatening injuries
- Bus fire with critical damage to property or critical injury
- Major accident involving a fatality
- Civil disturbance that disrupts service (protest, march, etc.)
- Civil disobedience or criminal activity (murder, robbery, etc.)
- Computer tampering
- Employee carelessness or malice
- Ethical investigation into ICTC employee
- Theft of ICTC property and/or fleet
- Improper use of public funds
- Structural collapse (ICTC bus shelter, building etc.)

Level 3 Incident: Full CCT deployment and activation of Crisis Communication Plan.

# **Level 3 Incident Examples:**

- Bomb threats and bombings
- Terrorism incidents
- Extreme weather (flooding, tornado, wildfire, blizzard, etc.)
- Explosion at an ICTC facility
- Fire, Flood or disasters that are beyond the control of ICTC; impacting ICTC

# **Incident Level Responses**

The CCT will execute the following responses, as appropriate for the incident level:

# **Level 1 Incident**

- 1. Management Analyst is notified of incident through the Accident Review email group and collects all necessary facts.
- 2. Appropriate staff resolve incident and Transit Programs Manager responds as required
- 3. Follow-up if necessary

- 1. Transit Programs Manager is notified of incident and collects all necessary facts.
- 2. Phone tree activated
- 3. CCT assembles (in person or via conference call) to assess incident and plan response.
- 4. Transit Programs Manager communicates with Board Chair and receives approval on response, if necessary.
- 5. Transit Programs Manager prepares written communications and responds to media.
- 6. CCT makes contacts to various audiences assigned.

Moves this step before media communication if next of kin need to be notified of incident.

- 1. Transit Programs Manager is notified of incident and collects all necessary facts.
- 2. Phone tree activated
- 3. CCT assembles (in person or via conference call) to assess incident and plan response.
- 4. Board Chair notified of response and action.
- 5. CCT develops plan to manage incident and assigns tasks to various members.
- 6. PIO prepares written communications and responds to media.
- 7. CCT makes contacts to various audiences as assigned.

Moves this step before media communication if next of kin need to be notified of incident.

- 8. Contacts made with responding agencies for coordination.
- 9. Changes communicated hourly/daily with CCT.
- 10. Execute press conference if necessary.

Level 2 Incident

**Level 3 Incident** 

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Imperial County Transportation Commission SEPP Version 1 02-2019

#### **Phone Tree**

When a Level 2 or Level 3 Incident occurs; the following phone tree will be set in motion:

- 1. Operations receives information about the incident and notifies Transit Programs Manager.
- 2. Transit Programs Manager notifies Executive Director who notifies members of the Commission and additional key stakeholders
- 3. Transit Programs Manager notifies Secretary of the Commission who notifies other appropriate ICTC staff.
- 4. CCT notifies other staff as needed.
- 5. Transit Programs Manager notifies media and general public

All members of the CCT will receive a telephone directory with the work, cell and home phone numbers of everyone on the phone tree.

# **Staff Assignments**

During a crisis, many staff members may be called upon to perform duties outside their normal job description. Staff assignments will largely depend on the type and severity of the crisis and the available resources at the time, but at a minimum, the following positions should be identified:

- Spokesperson (PIO): The Transit Programs Manager will serve as designated spokespersons for ICTC, releasing all official information. The people holding these positions should receive professional media training. The Transit Programs Manager also assumes the lead role in crisis communications during an emergency incident, coordinates with EOC if necessary.
- **Assistant PIO**: This position does not currently exist at ICTC, so an existing staff member will be assigned this role of aiding the PIO during a cri sis.
- **Support Staff**: Will assist with administrative duties during a crisis and identifies physical meeting spaces for the CCT.
- IT: Ready to implement quick website changes, assist with conference call logistics.
- Marketing: Prepared to work with outside contractor(s) to provide written communications for passengers, takes photo/video as needed, utilizes social media as a communication tool.
- Customer Service: The main ICTC line will serve as a hotline in the event of a crisis and customer service staff will be briefed with the appropriate information that is being released to the public.
- Operations: Post signage, determine reroutes, communicate with drivers...

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- Paratransit: Keeps paratransit clients and dispatch staff informed.
- Human Resources: Reach out to staff, coordinate counseling, if necessary.

Although rare, if a crisis demands a 24-hour communications need, shifts will be necessary to keep staff refreshed.

# **Public Information Officer Role**

The Public Information Officer (PIO) is responsible for not only ensuring ICTC is prepared before a crisis occurs, but also serves as the response coordinator when an incident happens. The PIO will fulfill the following duties:

# Pre-Crisis

- Prepare an up-to-date ICTC fact sheet with pertinent information about the organization, budget, leadership, milestones and other key facts.
- Keep crisis communication plan up-to-date with personnel changes, new industry developments, etc.
- Keep phone tree up-to-date and develop telephone directories when there are changes and/or new staff.
- Keep an up-to-date media list, including email address and phone numbers for the media in the southern California region.
- Develop positive working relationships with key media in the southern Arizona region so they are already familiar with ICTC before an incident occurs.
- Generate ongoing positive publicity about ICTC to develop a positive rapport with the public.
- Organize professional media training for all approved ICTC spokespersons.
- Establish working relationships with other southern California agency PIOs.
- Develop a crisis press release template that is ready to go in the event of a crisis.
- Prepare a disaster recovery toolbox that includes: paper copy of the Plan, current contact list for the CCT, media lists, flash drives with current templates and logos.
- Coordinate with IT to establish a phone or web conference plan if all CCT members cannot come together in the same room.
- Have a sound understanding of crisis communications principles and how to communicate with a wide variety of audiences during a crisis situation.

# **During a Crisis**

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- Assumes the lead role in crisis communications during an emergency.
- Work with the appropriate staff members to get a handle on the following points

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ASAP after the incident occurs: o

What happened?

- O When, where? Bus number, driver, route if applicable o Who was involved? Both ICTC staff and civilians. What caused the incident?
- O Injury report how many, what kinds, identity and current status of the injured persons
- o Who is in charge of the scene? Which ICTC staff members are present?
- Develop all written materials, talking points, press releases, etc. and approve any other messages that go out from ICTC.
- Ensure that the ICTC spokesperson is fully prepared, informed and understands the key points that needs to be communicated.
- Monitor social media channels and use as a communication tool when appropriate.
- Be honest, forthcoming and sympathetic.
- Monitor and track media coverage
- Keep up with changes in the situation and communicate with media on a regular basis so they are getting their information straight from ICTC.
- Delegate to other ICTC team members as necessary.

# After a Crisis

- Determine and communicate what is being done to prevent similar incidents in the future
- Assess the media coverage that resulted from the incident and determine if any follow-up is necessary.
- Conduct follow-up media training if necessary.
- Update the Plan with any lessons learned, new information, etc.
- Debrief with CCT members and get feedback from staff.
- Make any permanent changes to website, fact sheet, etc. that are a result of the incident.

# **Communication Checklist**

This checklist must be completed before any information is released to the public, and where indicated, should be on hand at all times, regardless of the presence of a crisis:

	Develop and	l consistently	v update I	CTC	fact sheet (	(prepared a	ahead	of time)	1
--	-------------	----------------	------------	-----	--------------	-------------	-------	----------	---

Prepare	e a	call-dow	n list fo	r dis	seminatin	g inforr	nation to	gro	ups that do	not	have
access	to	normal	media,	i.e.	schools,	senior	center,	etc.	(prepared	ahea	ad of
time)											

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All senior management and key stakeholders have been informed
Determine what, when, where, who of the incident
Identify potential story angles and "what if" list for stories the media may cover
Focus on strategies to get in front of the story as opposed to getting
bogged down in fixing what happened
Determine target/affected audiences
Develop messages that will reach and resonate with those audiences
Assign duties to key CCT members so they understand their role in the crisis
Designate and brief an official spokesperson
Establish an organized flow of information to and from the CCT
Write press releases and other key communication pieces
Receive the appropriate approvals (Legal, Board, etc.) for those messages
Remain accessible, proactive and willing to share information in a timely
manner
Track press coverage and distribute to appropriate audiences
Monitor the situation for new developments
Revise key messages as new information becomes available

# **Incident Command Center**

The Conference Room at the ICTC facility will serve as the incident command center where the CCT will convene in the event of a crisis. If the ICTC facility is involved in the crisis and therefore not accessible, an ICTC owned 40 foot bus will serve as a backup meeting location. All CCT members will work out of the incident command center while the crisis is ongoing to ensure a positive and accurate flow of information.

#### **General Crisis Communication Practices**

- Release a statement as soon as possible after the incident occurs with the known facts at that time.
- Be accessible keep a charged cell phone on you at all times.
- Be honest don't avoid questions or act like you're hiding something, because people will assume that you are.
- Give all media the same information at the same time no exclusive inter- views
- Make the Transit Programs Manager available
- Develop clear and consistent messages so ICTC is speaking with one voice.
- Use social media wisely and understand the far-reaching implications these tools have.
- Do not put sensitive information in emails

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- Coordinate with other agency PIOs involved in the incident to ensure you are releasing the same information and not contradicting each other.
- Control the story give the media new information on a regular basis so they don't have to seek it out on their own.
- Avoid spin telling the truth is always the right way to go
- Put yourself in the public's shoes and determine what is important to them during this crisis hammer those points home again and again.
- Choose your words carefully and try to not use words or phrases that can be u sed against you later.

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Imperial County Transportation Commission SEPP

02-2019

Version 1



# Imperial County Emergency Operations Plan (EOP)



Prepared By:
Imperial County
Office of Emergency Services
March 2016



# Imperial County Emergency Operations Plan (EOP)

Part 1 - Basic Plan



# LETTER OF PROMULGATION / COUNTY BOARD RESOLUTION

**Board of Supervisors County of Imperial** 



March 15, 2016

TO: OFFICIALS, EMPLOYEES, PUBLIC AND PRIVATE ORGANIZATIONS, AND

RESIDENTS OF IMPERIAL COUNTY

SUBJECT: LETTER OF PROMULGATION

The preservation of life and property is an inherent responsibility of local, state, and federal government. The Imperial County Office of Emergency Services has updated this Emergency Operations Plan (EOP) to ensure the most effective allocation of resources for the benefit and protection of the residents of Imperial County in time of emergency.

JACK TERRAZAS

BOARD OF SUPERVISORS CHAIRMAN SECOND DISTRICT SUPERVISOR IMPERIAL COUNTY

This EOP establishes the framework of the Imperial County Operational Area's emergency organization consisting of the County, cities, towns, special districts, schools, volunteer and private sector organizations, as well as State and Federal agencies and conforms to current State and Federal guidelines for emergency plans. This EOP further defines functions, assigns responsibilities, specifies policies and general procedures, and provides for coordination of planning efforts of the various emergency staff and service elements utilizing the Standardized Emergency Management System (SEMS) and the National Incident Management System (NIMS) standards.

The Imperial County Board of Supervisors give their utmost support to the plan and urges all officials, employees, public and private organizations, and residents- individually and collectively- to do their share to safeguard our communities against the impacts of natural and manmade disaster and acts of terrorism in conjunction with the Imperial County Operational Area.

This EOP is an extension of the State of California Emergency Plan and the National Response Plan. It will be reviewed and exercised periodically and revised as necessary to meet changing conditions. This promulgation letter constitutes support of the continued implementation of SEMS and NIMS by the County, cities, towns, and special districts of Imperial County.

Sincerely,

#### **JACK TERRAZAS**

Board of Supervisors Chairman Second District Supervisor Imperial County

### **RESOLUTION NO. 2015-032**

A RESOLUTION OF THE BOARD OF SUPERVISORS OF THE COUNTY OF IMPERIAL, STATE OF CALIFORNIA, APPROVING AND AUTHORIZING REVISIONS TO THE IMPERIAL COUNTY OPERATIONAL AREA EMERGENCY OPERATIONS PLAN.

On Tuesday, March 15, 2016, on motion of Supervisor R. Kelley seconded by Supervisor M. Kelley and carried, the Board of Supervisors of the County of Imperial finds and resolves as follows:

**WHEREAS**, the preservation of life and property is an inherent responsibility of local, state and federal government, and the County of Imperial has prepared an Operational Area Emergency Operations Plan (EOP) to ensure the most effective and economical allocation of resources for the maximum benefit and protection of its civilian population in time of emergency; and

**WHEREAS**, this updated EOP establishes the framework of an emergency organization consisting of the County, cities, towns, special districts, schools, volunteers and business organizations, and further defines functions, assigns responsibilities, specifies policies and general procedures within the EOP; and

**WHEREAS**, the objective of this updated EOP is to incorporate and coordinate the essential facilities, equipment, and personnel of the County of Imperial into an essential organization capable of responding to any emergency therein; and

**WHEREAS**, the EOP provides for coordination of planning efforts of various emergency staff and service elements utilizing the Standard Emergency Management System (SEMS) and the National Incident Management System (NIMS); and

**WHEREAS**, the formal recognition of NIMS principles and policies was adopted by the County of Imperial on February 21, 2006 and the County EOP has been reviewed and updated to meet federal requirements that all local emergency plans be NIMS compliant; and

**WHEREAS**, the EOP is an extension of the California Emergency Plan, which has been revised by the Governor's Office of Emergency Services and the EOP will be revised as necessary to meet changing conditions; and

**WHEREAS**, the Board of Supervisors gives its full support to this revised EOP and urges all officials, employees, public and private organizations, and citizens, individually and collectively, to do their share in furthering the total emergency effort of the County of Imperial;

**NOW, THEREFORE, BE IT RESOLVED** by the Board of Supervisors of the County of Imperial, State of California, hereby authorizes this EOP to be adopted, that the Imperial County Fire Department/Office of Emergency Services Coordinator is hereby authorized to implement future nonsubstantive amendments to this updated plan, that a copy of the Board of Supervisors' approved Imperial County Operational Area Emergency Operations Plan (EOP) be forwarded to the Governor's Office of Emergency Services, and the plan become effective immediately.



Part I: Basic Plan

**PASSED AND ADOPTED** by the Board of Supervisors of the County of Imperial, State of California, by the following vote:

AYES: Terrazas, M. Kelley, R. Kelley, Castillo

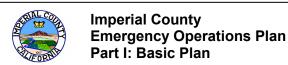
NOES: None ABSENT: Renison

\*\*\*\*\*

### STATE OF CALIFORNIA COUNTY OF IMPERIAL

I, **BLANCA ACOSTA**, Clerk of the Board of Supervisors of the County of Imperial, State of California, hereby certify the foregoing to be a full, true and correct copy of the record of the action taken by said Board of Supervisors by vote of the members present, as the same appears in the Official Minutes of said Board at its meeting of March 15, 2016, item No. 10.

**BLANCA ACOSTA** Clerk of the Board of Supervisors County of Imperial, State of California



### SIGNED CONCURRENCE BY PRINCIPLE ORGANIZATIONS



### Imperial County Office of Emergency Services

1078 Dogwood Road, Suite 104, Heber, CA 92249 (442) 265-6000 Fax (760) 482-2427

Tony Rouhotas, Jr. Fire Chief/OES Coordinator

Rosa Hernandez Deputy Coordinator

#### SIGNED CONCURRENCE BY PRINCIPLE ORGANIZATIONS

The undersigned representatives of principle organizations concur with the Mission, Goals, and Objectives of the Imperial County Operational Area Emergency Operation Plan (EOP). As needed, revisions will be submitted by review by the undersigned or their designees.

ORGANIZATION	
County Disaster Council	
Jack Terrazas, Chairman, Board of Supervisor	
Signature	Date
County Fire Department	
Tony Rouhotas, Jr., Imperial County Fire Department Fire Chief	
Signature	Date
Imperial County Operational Area Coordinating Council	
Rosa Hernandez, Imperial County Office of Emergency Services Deputy Coordinator	
Signature	Date
Approved as to Legal Form:	
Geoffrey Holbrook, County Counsel	
Cinc store	D-4-
Signature	Date
Preparedness Starts With You!	



### RECORD OF CHANGES

RECORD OF CHANGES			
Change #	Date	Person Making Change	Summary of Change

### RECORD OF DISTRIBUTION

RECORD OF PLAN DISTRIBUTION			
Name & Title	Agency	Date of Delivery	# of Copies
		Denvery	Оорісо

### **SECTION 1: FORWARD**

The Emergency Management Program of Imperial County, hereafter referred to as (the County) is governed by a wide range of laws, regulations, plan, and policies. The program is administered and coordinated by the Imperial County Fire Department, Office of Emergency Services. The National Response Framework (NRF), National Incident Management System (NIMS), the Standardized Emergency Management System (SEMS) and the State of California Emergency Operations Plan provide planning and policy guidance to counties and local entities. Collectively, these documents support the foundation for the County's Emergency Operations Plan (EOP).

The EOP is an all-hazard plan describing how the County will organize and respond to incidents. It is based on and is compatible with the laws, regulations, plans, and policies listed above. The EOP describes how various agencies and organizations in the County will coordinate resources and activities with other Federal, State, County, local and private sector partners.

It is recognized that response to emergency or disaster conditions to maximize the safety of the public and to minimize property damage is a primary responsibility of government. It is the goal of Imperial County that responses to such conditions are done in the most organized, efficient, and effective manner possible. To aid in accomplishing this goal, the County has adopted the principles of the National Incident Management System (NIMS), the Standardized Emergency Management System (SEMS), the National Response Framework (NRF), and the Incident Command System (ICS).

Public officials, departments, employees, and volunteers that perform emergency and/or first response functions must be properly prepared. Department heads and elected officials shall, to the extent possible, ensure that necessary training is provided to themselves and their employees to further prepare them to successfully carry out assigned emergency response roles. To the extent possible, procurement and maintenance of essential response equipment will also be accomplished in support of this goal. All emergency response personnel and essential support staff must be familiar with this EOP and the supporting procedures and documents.

### 1.1 Recent Trend in Emergency Management

Since 1996, a variety of emerging trends have influenced emergency management, including an increasing diversity of California's population, greater vulnerability to floods, earthquakes and wildland fires as development expands, and the need for more emphasis on disaster recovery and hazard mitigation efforts to reduce disaster impact. At the national level, significant events, such as Hurricane Katrina, captured the world's largest attention and have widely influenced emergency management today.

According to a 2011 report issued by FEMA's Strategic Foresight Initiative (SFI); the emergency management community faces a future of challenges likely to be far different from those we confront today with *increasing complexity and decreasing predictability in its operating environment.* Complexity will take the form of more incidents, new and unfamiliar threats, more information to analyze (possibly with less time to process it), new players and participants, sophisticated technologies, and exceedingly high public expectations.

Emergency services in Imperial County are provided without regard to race, gender, color, national origin, socioeconomic status, age, disability, marital status, religion, sexual orientation, or political affiliation.



Part I: Basic Plan

### 1.2 OES Mission Statement

The mission of the Imperial County Fire Department and Office of Emergency Services is to prevent the loss of life, protect the environment and loss of property, and provide to the community. Through leadership and guidance, strengthen county-wide emergency management capabilities to ensure the protection of life and property before, during and after disasters.

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### **SECTION 3: INTRODUCTION**

### 3.1 Purpose

The Imperial County Emergency Operations Plan (EOP) provides a comprehensive, single source of guidance and procedures for the County to prepare for and respond to significant or catastrophic natural, environmental or conflict-related risks that produce situations requiring coordinated response. It further provides guidance regarding management concepts relating to response and abatement of various emergency situations, identifies organizational structures and relationships, and describes responsibilities and functions necessary to protect life and property. The Plan is consistent with the requirements of the Standardized Emergency Management System (SEMS) as defined in Government Code Section 8607(a) and the National Incident Management System (NIMS), as defined by Presidential Executive Orders for managing response to multi-agency and multi-jurisdictional emergencies. As such, the plan is flexible enough to use in all emergencies and will facilitate response and short-term recovery activities. SEMS/NIMS incorporate the use of the Incident Command System (ICS), mutual aid, the operational area concept, and multi/interagency coordination.

Imperial County Operational Area Resolution No. 1010 forming the Operational Area and Disaster Council was originally adopted by the County Board of Supervisors on 02/27/1990 and is reviewed and revised as appropriate. Imperial County Operational Area Resolution No. 2006-013 recognized that the Imperial County Operational Area will continue to use SEMS to meet the objective of the National Incident Management System (NIMS), which was adopted by the Board of Supervisors on 02/21/2006.

### 3.2 Scope

This plan provides guidance on response to the County's most likely and demanding emergency conditions. It does not supersede the well-established protocols for coping with day-to-day emergencies involving law enforcement, the fire service, medical aid, transportation services, flood control, or other discipline-specific emergency response systems. Rather, it places emphasis on those unusual and unique emergency conditions that will require extraordinary response beyond the ability of any one or set of organizations to respond. Neither does this plan include detailed response level operating instructions. Each organization identified in this plan is responsible for, and expected to develop, implement, and test procedures, instructions, and standard operating guides (SOGs) on checklists that reflect cognizance of the emergency management concepts contained herein. Coordinated response and support roles must be defined by these organizations to facilitate the ability to respond to any given incident. This Plan meets the requirements of NIMS for the purpose of emergency management.

### 3.3 Plan Organization

There are five parts to a comprehensive Emergency Operations Plan: The Basic Plan, Emergency Function Annexes, Support Annexes, Hazard-specific Annexes and Appendices.

### 3.3.1 BASIC PLAN

The basic plan describes the fundamental systems, strategies, policies, assumptions, responsibilities and operational priorities that Imperial County will utilize to guide and support emergency management efforts. The purpose of the Basic Plan is to:



Part I: Basic Plan

- Provide a description of the legal authorities upon which the County has structured its emergency management organization, including the emergency declaration process, activation of mutual aid agreements, and request for resources;
- Describe the context under which the County will respond to an incident, including a community profile and discussion of hazards and threats facing the community;
- Assign and describe roles and responsibilities for the County's agencies tasked with emergency preparedness and response functions;
- Describe a concept of operations for the County that provides a framework upon which the County will conduct its emergency operations and coordinate with other agencies and jurisdictions;
- Describe the County's emergency response structure, including activation and operation
  of the County Emergency Operations Center (EOC) and implementation of ICS; and
- Discuss the County's protocols for maintaining and reviewing this EOP, including training, exercises, and plan maintenance.

#### **3.3.2 EMERGENCY FUNCTION ANNEXES**

This plan implements Emergency Function working groups, which will develop functional annexes that follow an established format to describe discipline-specific goals, objectives, operational concepts, capabilities, organizational structures and related policies and procedures. The functional annexes will be developed separately from the basic plan and will make reference to existing agency and department plans and procedures.

#### **3.3.3 SUPPORT ANNEXES**

The support annexes describe the framework through which Imperial County departments and agencies, the private sector, not-for-profit and voluntary organizations, and other non-governmental organizations coordinate and execute the common emergency management strategies. The actions described in the support annexes apply to nearly every type of emergency.

#### 3.3.4 HAZARD SPECIFIC ANNEXES

The hazard, threat, or incident-specific annexes describe the policies, situation, concept of operations, and responsibilities for particular hazards, threats, or incidents. Additionally, these annexes may be referenced as plans or standard operating guides (SOGs) that have already been developed, plans/SOGs that are under development, or plans/SOGs that are scheduled for future development.

#### 3.3.5 APPENDICES

Subsequent plans and procedures that are developed in support of the Emergency Plan, such as mutual aid plans, hazard-specific plans, catastrophic plans and related procedures will be incorporated by reference and maintained separate from the basic plan.

### 3.4 Relationship to Other Plans

### 3.4.1 EMERGENCY OPERATIONS PLAN (EOP)

The intent of the County's EOP is to provide the concept of operations and strategic activities for responding to any type of emergency incident impacting the County. Other individual communities may maintain similar plans or procedures for implementation in response to localized incidents or initial activities prior to escalation to Imperial County.

A number of agency and organization-specific plans and organizational procedures support the County EOP and annexes. These plans and procedures are interrelated and have a direct influence on the County's preparation prior to a major emergency or disaster, its activities in response to such an emergency or disaster, and its ability to successfully recover from such incidents or events. These plans also provide local, regional, and State agencies and entities with a consolidated framework for coordinating activities and resources, thus promoting efficient use of resources during all phases of emergency management.

### 3.4.2 MULTI-JURISDICTION HAZARD MITIGATION PLAN (MHMP)

Imperial County and the surrounding jurisdictions have developed an Updated Multi-Jurisdiction Hazard Mitigation Plan (MHMP) and is pending FEMA approval. The plan identifies hazards, assesses the losses associated with the hazards, and investigates the vulnerability of the community towards different hazards. The plan also identifies alternatives for the future of the community to better prepare, minimize loss and educate the public of the hazards identified. The Imperial County MHMP presents updated information regarding hazards being faced by the County, presents mitigation measures to help reduce consequences from hazards, and outreach/education efforts within the unincorporated area of the County since 2007.

### 3.4.3 CONTINUITY OF OPERATIONS (COOP) PLAN

A Continuity of Operations (COOP) Plan is scheduled for future development. Once the plan has been developed and implemented, this plan will be used in conjunction with the EOP during various emergency situations. The COOP plan details the processes for accomplishing administrative and operational functions during emergencies that may disrupt normal business activities. Parts of this plan identify essential functions of local government, private sector businesses, and community services and delineate procedures to support their continuation.

### 3.4.4 RECOVERY PLAN

The County is in the process of developing a Recovery Plan in 2015. This plan will also be used in conjunction with the EOP. The purpose of the plan is to provide for efficient coordination and policy guidance during the disaster recovery process. The recovery process includes the restoration of damaged or destroyed public facilities and infrastructure and the coordination of available services and assistance to citizens and businesses impacted by the disaster.

This plan will provide an organizational framework, policy guidance and methods for use during the recovery process. This plan will provide for the assignment of responsibilities within the County's organizational structure and includes opportunities for participation by community members.

### **SECTION 4: SITUATION/ASSUMPTIONS**

### 4.1 Situation

Imperial County is located in the far southeastern portion of California. With an area of 4,597 square miles, bordering on Mexico to the south, Riverside County to the north, San Diego County to the west, and the State of Arizona on the east. The terrain varies from 235 feet below sea level at the Salton Sea to 4,548 feet at Blue Angel Peak.

Although this region is a desert, with high temperatures and low rainfall of three inches per year, the economy is heavily based on agriculture due to the availability of irrigation water, which is supplied wholly from the Colorado River via the All-American Canal. A vast system of canals, check dams, and pipelines carry the water all over the county, a system which forms the Imperial Irrigation District. The water distribution system includes over 1,400 miles of canal with 1,200 miles of pipeline. Imported water and a long growing season allow two crop cycles each year, and the Imperial Valley is a major source of winter fruits and vegetables, cotton, and grain for the United States and international markets. Alfalfa is another major crop produced in Imperial County.

A secondary industry of the Imperial Valley region is tourism. Many visitors come to the area to visit the Salton Sea, at 235 feet below sea level, and the Glamis Sand Dunes, one of the largest dune fields in America. Another unique feature of the Imperial Valley is the New River, which flows from south to north, from the nearby border city of Mexicali, Mexico to the Salton Sea.

Other significant contributors to the local economy are government, solar, wind, geothermal electric power plants, state prisons, retail trade, and services. The County's future employment conditions will depend on several potential and on-going projects, which include the new industrial and commercial developments in the Gateway of America international border crossing, regional landfill, construction, geothermal industries, expansion of the U.S. Plaster City Gypsum Plant.

Mexico runs all along our southern boundary and there are three international ports of entry. There are two ports of entry located in Calexico, and the third port is at Andrade in eastern Imperial County. Through these three ports travel over 35 million people and over 300,000 cargo trucks each year.

The organizations described or noted in this Plan will be aware of significant emergency conditions as they arise. These conditions will trigger a response consistent with the respective responsibilities and roles defined either by this Plan, or other legal and policy frameworks. The responding organizations will be constrained in their response by the level of training, readiness activities, and interagency coordination undertaken prior to the event.

- The citizens of Imperial County will be expected to provide for their immediate needs to the extent possible for at least 72 hours following a catastrophic event, or for at least 24 hours following a location-specific event. This may include public, as well as, private resources in the form of lifeline services.
- A catastrophic earthquake would adversely impact local, county, and state government response capabilities. Consequently, a number of local emergencies will be declared.



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- Communications, electrical power, water and natural gas lines, sewer lines and fuel stations will be seriously impaired during the first 24 hours following a major earthquake and may not be fully restored for 30 days or more.
- Transportation corridors will be affected so only equipment, foodstuffs, supplies, and materials on hand will be available for use during the first 72 hours of emergency operations.
- It is possible only emergency response personnel on duty at the time of a significant earthquake will be available during the first 6 hours. Mission capability may be available within 24 hours.
- In event of a catastrophic earthquake, a clear picture regarding the extent of damage, loss of life, and injuries, may not be known for at least 36 hours.
- The OA EOC's capability may be limited for at least 8 hours if communications links to other agencies and county departments are degraded.

### 4.2 Assumptions

- Essential County services will be maintained as long as conditions permit.
- An emergency will require prompt and effective response and recovery operations by County emergency services, disaster relief, volunteer organizations, and the private sector.
- All emergency response staff are trained and experienced in operating under the NIMS/SEMS protocol.
- Environmental, technological, and civil emergencies may be of a magnitude and severity that State and Federal assistance is required.
- County support of City emergency operations will be based on the principal of selfhelp. The Cities/Towns will be responsible for utilizing all available local resources along with initiating mutual aid and cooperative assistance agreements before requesting assistance from the County.
- Considering shortages of time, space, equipment, supplies, and personnel during a catastrophic disaster, self-sufficiency will be necessary for the first hours or days following the event.
- Parts or the entire County may be affected by environmental and technological emergencies.
- The United States Department of Homeland Security provides threat conditions over the United States and identifies possible targets.
- Control over County resources will remain at the County level even though the Governor has the legal authority to assume control in a State Declaration of Emergency.
- County communication and work centers may be destroyed or rendered inoperable during a disaster. Normal operations can be disrupted during a general emergency; however, the County can still operate effectively if public officials, first responders, employees, volunteers, and residents are:
  - o Familiar with established policies and procedures;



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- Assigned pre-designated tasks;
- o Provided with assembly instructions; and
- Formally trained in their duties, roles, and responsibilities required during emergency operations.
- The County's planning strategies will make every effort to consider the needs of the general population, children of all ages, individuals with disabilities and others with access and functional needs, immigrants, individuals with limited English proficiency, and diverse racial and ethnic populations.

### 4.3 Natural Hazards

During the 2014 update of the Imperial County Multi-Jurisdiction Hazard Mitigation Plan, the planning team identified the following natural hazards:

Wildfires Flood

Earthquake/Geologic Hazards Dam Inundation

Infestation Drought
High Winds Lightning
Extreme Heat Extreme Cold

### 4.4 Industrial/ Technological/ Man-Made Hazards

In addition to natural hazards, the County may be faced with the following industrial, technological or man-made hazards:

Civil Unrest Airplane Crash

Terrorism Utility Failure/ Power Disruption

Public Health Hazards/Epidemics Train Derailment

Hazardous Materials Incident Mass Fatalities Incident

Communications Failure

### **SECTION 5: EMERGENCY MANAGEMENT ORGANIZATION**

### 5.1 Emergency Organization

Imperial County Code Chapter 2 of Division 1 of Title 2: Administration, establishes the Imperial County Emergency Services Organization, the Office of Emergency Services (OES), and the Imperial County Disaster Council. OES and the Disaster Council prepare and execute preparedness and response plans for protection of life and property within the County in the event of an emergency.

### 5.2 Roles and Responsibilities

All participating agencies and response organizations will have various roles and responsibilities throughout an emergency. Therefore, it is critical the local command structure be established to support response and recovery efforts and maintain a significant amount of flexibility to expand/or contract as the situation evolves. Typical duties may also change depending on the severity and size of incident(s) and the availability of local resources. Because of this, it is also important to develop and maintain depth within the command structure and response organizations.

Imperial County conducts all emergency management functions in accordance with SEMS and NIMS. During an emergency, the County has the responsibility to manage and coordinate the overall emergency response and recovery activities. The Office of Emergency Services along with each County Department is responsible for ensuring critical staff are identified and trained at a level enabling effective execution of existing response policies, plans, and procedures.

Most County Departments have emergency functions in addition to their normal daily duties. The Office of Emergency Services in conjunction with representatives from each County Department is responsible for developing and maintaining Standard Operating Guides (SOGs).

The Operational Area (OA) Emergency Management system consists of all County Departments, the Cities and Towns, unincorporated areas and Special Districts, together with the private and volunteer sector. This system represents all resources available within the County that may be applied to disaster response and recovery. The goal is to support emergency activities to protect life, property, and the environment.

The OA was formed in 1995 with a cooperative agreement between Imperial County and the Cities/Towns located within the County. This agreement formed the Imperial County Disaster Council as part of the Imperial County Operational Area and recognizes the County Office of Emergency Services as the lead agency for the Operational Area.

In 2006, the Operational Area Resolution was amended to include the National Incident Management System (NIMS) as an integral component of the OA disaster management system.

The OA Emergency Management Organization operates from established:

- County EOC
- City/Town EOC
- Incident Command Posts (ICPs)



- Department/District Operations Center (DOC) for county departments and special districts
- Fire/Emergency Management/Staging
- Specialized centers representing businesses, industries, and the volunteer sector.

During a state of war emergency, a state of emergency, or a local emergency, the County's Director of Emergency Services will coordinate the activities of all OA constituents. In addition, a number of mutual aid systems can also be activated to support the emergency organization.

Emergency mutual aid response and recovery activities are conducted at the request and under the direction of the affected local governments. For purposes of this Plan, such actions will initially be coordinated via the ICPs representing geographical areas of the county and operational area. Resource requests for response and recovery will originate at the lowest level of government and move progressively forward to the next level until filled.

County Departments, Special Districts, and Cities/Towns with mandated responsibilities for emergency response will follow their established plans and procedures. During complex emergencies involving multiple jurisdictions and agencies, coordination of resources can be achieved through the use of liaison officers, agency representatives, and unified command.

When support requirements cannot be met with county or local government resources, the county acting on behalf of the OA will request assistance from those state agencies having statutory authority to provide assistance via the Governor's Office of Emergency Services (State OES). If events require assistance beyond the state's capability, the state may request a Presidential Declaration of an Emergency or Major Disaster under the provisions of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, Public Law 93-288 as amended.

The County has established essential communications support requirements for the operational area's mutual aid partners via dispatch centers, mobile communications vehicles, proprietary information systems and other resources. This communications structure provides the telecommunications infrastructure for linking elements of the County Operational Area emergency organization.

Roles and responsibilities of the Board of Supervisors, Disaster Council, Individual County Departments, other levels of government, private sector, non-governmental organizations and individuals and households are described below to further clarify the County's emergency management structure.

#### 5.2.1 BOARD OF SUPERVISORS AND DISASTER COUNCIL

### **Overview**

The role of the Board of Supervisors, as the governing body for the County of Imperial in a disaster situation, is to develop and/or review policy actions and decisions for emergency response and recovery activities. Included in these efforts is proclaiming a local state of emergency if warranted as the first step in an effort to receive state and federal assistance for the County. The role of the Board of Supervisors is to provide policy guidance, advice, and support to the county and OA emergency organizations and, in particular to the Director of Emergency Services. The Chairman of the Board may be called upon to meet the requirements of the California Emergency Services Act if a Local Emergency proclamation is required. The



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County Fire Chief and his Office of Emergency Services will provide the lead staff support role in providing recommendations in fulfilling these duties.

### Responsibility

Per Imperial County Code section 2.104.050, the Board will have the following duties:

- The chairperson of the board of supervisors shall be the director of emergency services. The county fire chief is designated as the assistant director of emergency services.
- The members of the Board of Supervisors shall provide the emergency organization with overall policy direction for emergency response and recovery activities, for the four levels of readiness.
- The Chairman or Vice-Chairman of the Board of Supervisors has the authority under California Government Code section 8630 to declare a local state of emergency. In their absence the remaining board members in succession by the longest office held will step in to fulfill the duties. The other members of the Board of Supervisors must ratify the action(s) of the Chairman or Vice-Chairman within seven (7) days or and renew every 30 days to continue or the emergency proclamation will expire.

### **Functions**

- Proclaim a local emergency, or ratify a proclamation made by city managers in accordance with the provisions of the California Emergency Services Act.
- Govern the County and maintain necessary levels of operations.
- Remain visible and available to calm and assist constituents.
- Provide liaison and escort to visiting State and Federal officials.
- Remain available to provide media with information on government role in disaster mitigation, planning and recovery.
- Initiate immediate and long-term procedures to restore the community, mitigate hazards, and assist in sheltering and other related decisions.
- Take steps to insure immediate action on emergency measures such as acting pursuant to emergency ordinance to waive permit fees, acquire goods and services, issue curfew orders, or other emergency regulations that may require the action of the governing body.
- Develop legislation to mitigate future emergencies.

#### Notes

- The Board of Supervisors ratifies local emergencies that are proclaimed by the Director of Emergency Services.
- The Governor proclaims State disasters.
- The President declares Federal disasters.

### **5.2.2 DISASTER COUNCIL**

### Overview

Per Imperial County Code sections 2.104.030 – 2.104.040, the role of the Disaster Council to develop and recommend for adoption by the board of supervisors, emergency and mutual aid plans and agreements and such ordinances and resolutions and rules and regulations as are necessary to implement such plans and agreements.

### **5.2.3 DISASTER COUNCIL MEMBERSHIP**



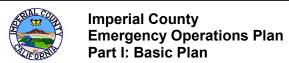
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The Imperial County disaster council consists of the following:

- A. The chairperson of the board of supervisors, who shall be chairperson.
- B. The assistant director of emergency services, who shall be vice-chairperson
- C. Chiefs of emergency services as are provided for in a current emergency plan of the county.
- D. Representatives of civic, business, labor, veterans, professional, or other organizations having an official emergency responsibility, as may be appointed by the board of supervisors.

### 1) Citizen Corps Council

The County's Disaster Council shall also serve as the County's Citizen Corps Council. For further information see <u>Citizen Corps Program Annex/Community Emergency Report Team (CERT).</u>



### **5.2.4 COUNTY DEPARTMENT ROLES**

Aging and Adult Administration	Emergency Role:	<ul> <li>Provide information and assistance to targeted populations</li> <li>Provide staff at Local Assistance Centers (LAC)</li> <li>Provide staff at shelter as needed</li> </ul>
Agricultural Commissioner's Office	Emergency Role:	<ul> <li>Monitor Pest and insect infestation</li> <li>Provide information regarding damage or threats of damage to the county's agricultural industry</li> <li>Provide staff at Local Assistance Centers (LAC)</li> </ul>
	EOC Role:	Planning/ Intelligence Section
Airport	Emergency Role:	<ul> <li>Advise on coordination and act as liaison with all airports in the County(military and civilian)</li> <li>Act as liaison in all matters of aviation and coordinate with agencies including Federal Aviation Administration(FAA), Transportation Security administration(TSA), other law enforcement agencies and/or Homeland Security agencies</li> </ul>
	EOC Role:	Logistic Section
Assessor's Office	Emergency Role:	<ul> <li>Assist in development of damage assessment information and Support Damage Assessment Unit</li> <li>Determine dollar value of disaster caused damage</li> </ul>
	EOC Role:	Planning/Intelligence Section – Advanced Planning and Demobilization Units
Auditor/Controller	Emergency Role:	<ul> <li>Record and maintain a permanent record of all receipts and expenditures during disaster response and recovery</li> <li>Establish a disaster accounting system</li> <li>Assist in development of damage assessment data</li> <li>Recovery phase</li> <li>Ensure liquidity of treasury pool to meet cash demands of County length of emergency</li> </ul>
	EOC Role:	Finance Section
Behavioral Health	Emergency Role:	<ul> <li>Disaster Crisis counseling services</li> <li>Linkage to other resources agencies</li> <li>Provide relief for disaster workers</li> <li>Provide staff/counselors at Local Assistance Centers (LAC)</li> <li>Provide staff/counselors at shelters as needed</li> </ul>
	EOC Role:	Operations Section- care and shelter branch
Clerk of the Board	Emergency Role:	Maintain a record of all meetings and actions taken by the Board of Supervisors when acting as the "Policy Group"



Community and Economic Development	Emergency Role:	<ul> <li>Update department's long-term recovery plans starting as soon as emergency occurs</li> <li>Advise policy group on availability of economic development financial aid</li> <li>Support Policy Group- Recovery Phase</li> </ul>
	EOC Role:	Finance Admin Section
County Counsel	Emergency Role:	<ul> <li>Serve as legal advisor to Management Section before, during and after each proclaimed local emergency</li> <li>Prepare and review proclamations and other actions taken or contemplated for legal effect and liability</li> </ul>
	EOC Role:	Management Section- Legal Advisor
County Executive Office	Emergency Role:	<ul> <li>Proclaim "local emergency" when Board not in session</li> <li>Control and direct the County's emergency organization</li> <li>Represent the County in all dealings pertaining to emergencies</li> </ul>
	EOC Role:	Management Section- Director of Emergency Services
District Attorney	Emergency Role:	<ul> <li>Continue essential criminal prosecutions and, if necessary, initiate "Motion to Extend Time" through appropriate magistrate</li> <li>DA Investigators will provide protection for DA staff members and building security for DA facilities and be available to respond to assist other law enforcement agencies for mutual aid as required</li> <li>Prosecute offenders who initiated disaster or who prey on those victimized by the disaster</li> <li>Offer advice on criminal matters to EOC staff and others are necessary</li> </ul>
Facilities Management	Emergency Role: EOC Role:	<ul> <li>Re-establish power (i.e., utility service) to County buildings</li> <li>Assist in determining status and condition of County buildings</li> <li>Remove debris from County buildings and grounds</li> <li>Support Local Assistance Center(LAC)</li> <li>Logistic Section- Facilities Branch</li> </ul>
Fire Department: Administration	Emergency Role:	<ul> <li>Management of emergency organization; fire suppression and rescue, fire mutual aid, emergency services, hazardous materials, and communications</li> <li>Support field operations</li> <li>Management and Operations Section</li> </ul>
	EOC Role:	Support Planning/Intelligence Section



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Fire	Department:
Fire	Prevention

**Emergency Role:** 

- Fire/arson investigation operations
- · Damage assessment operations
- Inspect/investigate potential threat to public safety
- Suppression support activities

EOC Role:

- Damage assessment operations
- Public outreach/information operations
- Action planning operations

### Fire Department: Hazardous Materials

**Emergency Role:** 

 Respond to all hazardous materials emergencies for the purpose of protecting life, property, and the environment

**EOC Role**:

Operations – Haz Mat Branch Support Planning and Intelligence Section

## Fire Department: Office of Emergency Services (OES)

**Emergency Role:** 

- Lead agency for the Imperial County Operational Area (OA)
- Provide timely and accurate situation status and resource status reports to appropriate policymakers, elected officials, and to State OES Southern Region EOC(REOC)
- Provide accurate and timely information to the general public related to operational area and state emergency response
- Monitor situation status and resource status in each local jurisdiction within the county
- Coordinate with each local jurisdiction to facilitate the rapid and efficient procurement of resources needed in response to an emergency
- Provide any appropriate services needed to support the area-wide response
- Assist in the coordination between County departments to efficiently utilize County resources to produce the most effective response to an emergency
- Assist in the facilitation of the rapid restoration of business, government, and other institutions

### EOC Role:

- Overall EOC management
- Planning/Intelligence Section and support to other EOC Sections as required

### Fire Department: Suppression

**Emergency Role:** 

- Respond to all fire incidents for the purpose of protecting life, property and the environment
- Search and rescue operations
- Manage/Activate Incident Command posts (ICP's)
- OA Fire/Rescue coordination

### **Fleet Services**

**Emergency Role:** 

- Provide emergency transportation and service needs of the County's fleet
- Provide fuel and vehicle/equipment support to all County Departments
- Provide emergency generators and support to existing generators



	EOC Role:	Support transportation/Logistics Section
Human Resources: Administration	Emergency Role:	<ul> <li>Establish and implement a system of registering disaster workers and citizen volunteers</li> <li>Review employment actions taken by County during a local proclamation</li> </ul>
	EOC Role:	Logistics and Finance Sections
Human Resources: Risk Management	Emergency Role:	<ul> <li>Provide safety and risk management services to emergency organizations</li> </ul>
	EOC Role:	<ul> <li>Management Section – ADA Coordinator/ EOC Safety Officer</li> <li>Support Finance Section – Compensation Unit</li> </ul>
Information/Tech Services	Emergency Role:	<ul> <li>Provide communications, computer, and date services during an emergency</li> </ul>
	EOC Role:	Logistics Section – Information Systems, Communications and Computer Systems Branch
Library	Emergency Role:	Provide archive and records management
	EOC Role:	Planning/Intelligence Section – Documentation Unit
Planning and Development Services: Administration	Emergency Role:	<ul><li>Coordinate critical building damage assessment</li><li>Support Recovery phase</li></ul>
	EOC Role:	Operations Section
Planning and Development Services: Building and Safety	Emergency Role:	<ul> <li>Damage assessment of privately owned structures</li> <li>Support damage assessment activities County wide</li> </ul>
	EOC Role:	Operations Section
Planning and Development Services: Planning	Emergency Role:	<ul> <li>Provide, public information and warning when potential earthquake presents a hazard to citizens</li> <li>Provide general information on ways to mitigate the potential effects of disasters</li> <li>Support Department Operations Center(DOC)</li> </ul>
	EOC Role:	Planning/Intelligence Section – Advanced Planning Unit and Demobilization Unit
Planning and Development Services: Parks/Recreation	Emergency Role:	<ul> <li>Establish Human shelters, Animal shelters, Staging areas, Fire camps, Incident Command Posts, Field treatment sites(FTS), and temporary morgues</li> <li>Coordinate with solid waste management for disposal of waste</li> <li>Account for cultural resources</li> <li>Support Department Operations Center(DOC)</li> </ul>



	EOC Role:	Operations/ Logistics Section
Probation	Emergency Role:	<ul> <li>Provide for the safety and security of the community by maintaining juvenile institutions</li> <li>Act as a law enforcement resource as needed, where directed by the Chief or his designee</li> </ul>
Public Defender	Emergency Role:	<ul> <li>Continue to provide essential defense services to criminal prosecutions as mandated under the state and federal constitutions and state statutory laws</li> <li>Offer legal advice on criminal matters to EOC staff and others as necessary</li> </ul>
Public Health: Administration	Emergency Role:	<ul> <li>Hospital capacity assessment and resource reallocation</li> <li>Regional disaster medical health coordinator Environmental health assessment and mitigation Laboratory/epidemiological evaluation</li> <li>Organize mass immunization or mass prophylaxis responses</li> <li>Provide staff at shelters as needed</li> <li>Support Department Operations Center (DOC)</li> </ul>
	EOC Role:	Operations Section – Medical and Health Branch
Public Health: Animal Control	Emergency Role:	<ul> <li>Coordinate control and boarding services for animals displaced by a disaster situation</li> <li>Evacuation and care of animals</li> <li>Assessment of causes of illness and death among animals</li> <li>Coordination with the State Veterinary Diagnostic Laboratory</li> </ul>
	EOC Role:	Operations Section- Animal Care Unit
Public Health: Emergency Medical Services (EMS)	Emergency Role:	<ul> <li>Coordinate provisions of out-of-hospital acute and pre-hospital medical care, transportation to patients with illnesses and injuries</li> <li>Provide subject matter technical support to Local Assistance Centers(LAC)</li> <li>Coordinate provision of staff at shelters as needed with Public Health</li> </ul>
	EOC Role:	Operations Section- Medical Health Branch
Public Health: Environmental Health Services	Emergency Role:	<ul> <li>Protect public health, promote safety and prevent environmental hazards during disasters</li> <li>Prevention of illness and injury during disasters</li> </ul>
	EOC Role:	Operations Section- Medical and Health Branch



Public Works: Transportation	Emergency Role:	<ul> <li>Determine surface routes to be reopened following major disaster, and establish priorities for opening those routes in coordination with cities/towns and Cal Trans</li> <li>Erect barricade and roadblocks around disaster areas</li> <li>Survey roads and flood control facilities</li> <li>Traffic signal maintenance</li> <li>Traffic signs and pavement striping maintenance</li> <li>Storm repairs and clean up</li> <li>Maintenance of bridges and metal pipe and concrete box culverts</li> <li>Maintenance of drainage facilities such as inlets, ditches, dikes, and gutters</li> </ul>
	EOC Role:	Operations Section-Public Works Branch Logistics Section- Transportation Branch
Public Works: Administration	Emergency Role:	<ul> <li>Survey roads, flood control, and solid waste facilities</li> <li>Assist purchasing to procure heavy equipment</li> <li>Assist with public works mutual aid</li> <li>Coordinate/activate Department Operations Center(DOC)</li> </ul>
	EOC Role:	Operations Section- Public Works Branch
Public Works: Solid Waste Management	Emergency Role:	<ul> <li>Conduct damage assessment of infrastructure and facilities</li> <li>Determine waste disposal methods</li> <li>Support recovery phase</li> </ul>
	EOC Role:	Operations Section
Procurement Services	Emergency Role:	Responsible for procurement and purchase of equipment and materials needed by emergency organization
	EOC Role:	Logistics Section and Finance/Admin Section
Real Estate Services (CEO)	Emergency Role:	<ul> <li>Assist in assessing condition of property/facilities owned or leased by the County and right of way issues associated with roads and flood control channels</li> <li>Determine facilities needs of County departments and procure alternative facilities as needed to continue operations and services</li> <li>Work with damage/safety assessment team(s) to determine condition of owned and leased facilities and need for replacement facilities</li> </ul>

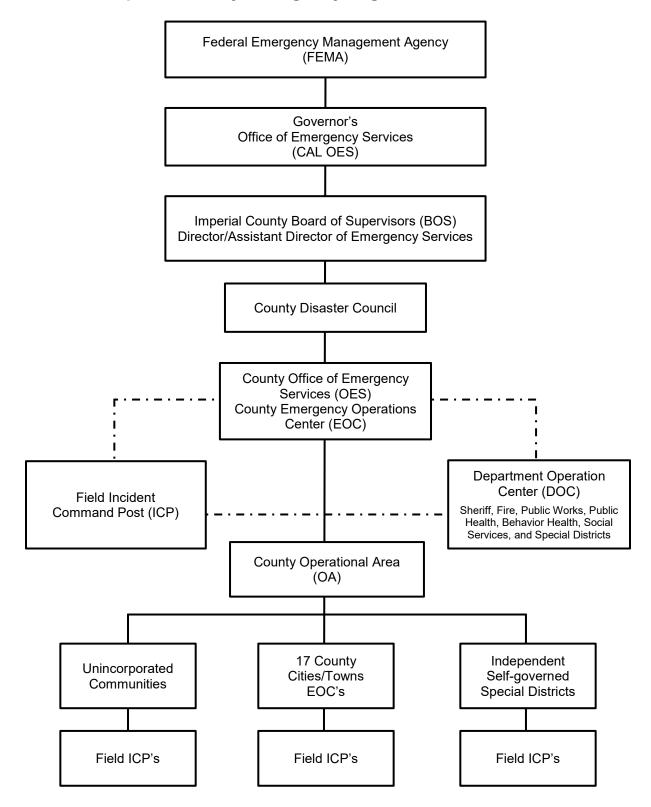


Sheriff- Coroner	Emergency Role:	<ul> <li>Coordinate law enforcement response to proclaimed disasters</li> <li>Control and allocate all law enforcement resources sent in or from outside the County</li> <li>Serve as action agency which implements evacuation of disaster victims</li> <li>Direct movement of people, vehicles and equipment in and around disaster areas</li> <li>Coordinate law enforcement mutual aid within OES Region VI</li> <li>Provide security of EOC and County buildings</li> <li>Coordinate/activate Department Operations Center (DOC) when necessary</li> </ul>
	EOC Role:	<ul> <li>Operations Section – Law Branch/Area Law Coordinator</li> <li>Planning/Intelligence Section</li> <li>Management Section – when emergency is criminal in nature (e.g., terrorism)</li> </ul>
Social Services	Emergency Role:	<ul> <li>Support the American Red Cross with care and shelter operation</li> <li>Support Local Assistance Centers(LAC)</li> <li>Provide staff at shelters as needed</li> <li>Damage assessment of social services facilities</li> </ul>
	EOC Role:	Operations Section – Care and Shelter Branch
Special Districts	Emergency Role:	<ul> <li>Provide information regarding condition of Board Governed and Self Governed Special Districts, including water, sanitation, road, park, dam and TV translator districts throughout the County</li> <li>Conduct damage assessment of all infrastructure and assist in getting services on line</li> </ul>
	EOC Role:	Operations Section
Superintendent of Schools	Emergency Role:	Provide information regarding condition of all schools in County; coordinate mutual aid between school districts; monitor school district evacuations; provide updated information to media
	EOC Role:	Operations Section – School Branch
	Support Role:	DOC, Safety Coordinator to coordinate with County Risk Management
Treasurer – Tax Collector	Emergency Role:	<ul> <li>Ensure liquidity of treasury pool to meet cash demands of County during length of emergency</li> <li>Support recovery phase</li> </ul>



	EOC Role:	Planning/Intelligence Section – Advance Planning/Resources Branch
Veterans Affairs	Emergency Role:	Support Local Assistance Centers (LAC)
	EOC Role:	Provide staff at shelters as needed

# **5.3 Chart: Imperial County Emergency Organization**



#### 5.3.1 COUNTY GOVERNMENT/OPERATIONAL AREA

The California Emergency Services Act designates each County as an Operational Area (OA) to coordinate emergency activities and resources of its political subdivisions. The governing bodies of political subdivisions within each County coordinate to establish the lead agency for the OA. The Operational Area lead agency serves as a coordinating link between the local government level and the region level of state government. OA responsibilities involve coordinating with the jurisdictions and organizations to deploy field-level emergency response personnel, activate emergency operations centers, and issue orders to protect the public.

### **5.3.2 STATE GOVERNMENT**

During a state of war emergency, a state of emergency, or a local emergency, the Cal OES Secretary coordinates the emergency activities of all state agencies in connection with such emergency and has the authority to use any state government resource to fulfill mutual aid requests or to support emergency operations. Cal OES operates the California State Warning Center (CSWC) 24-hours a day to receive and disseminate emergency alerts and warnings. When needed the State Operations Center (SOC) and Regional Emergency Operations Centers (REOCs) are activated to coordinate emergency management information and resources. Cal OES also coordinates the delivery of federal grant programs under Presidential declarations of emergency and major disaster.

# **5.3.3 FEDERAL GOVERNMENT**

The federal government supports emergency management throughout the nation and in California by providing tools, resources, and guidance to support California's emergency management system. When an emergency occurs that exceeds, or is anticipated to exceed resources located within the state, or when federal departments or agencies acting under their own authorities are partners in the unified command for an emergency, the federal government will implement the National Response Framework (NRF) to access federal department and agency capabilities, organize the federal response and ensure coordination with all response partners.

#### **5.3.4 PRIVATE SECTOR**

Private sector organizations play a key role before, during, and after an emergency. First, they must provide for the welfare and protection of their employees in the workplace. In addition, the County must work seamlessly with businesses that provide water, power, communication networks, transportation, medical care, security, and numerous other services upon which both response and recovery are particularly dependent.

### 5.3.5 NON-GOVERNMENTAL ORGANIZATIONS

Non-governmental Organizations (NGOs) play extremely important roles before, during, and after an emergency. For the County, NGOs such as the American Red Cross (ARC) provide sheltering, emergency food supplies, counseling services, and other vital services to support response and promote the recovery of disaster victims. NGOs collaborate with responders, governments at all levels, and other agencies and organizations.



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### 5.3.6 INDIVIDUALS AND HOUSEHOLDS

Although not formally a part of the County's emergency operations, individuals and households play an important role in the overall emergency management strategy. Community members can contribute by:

- Reducing hazards in their homes,
- Preparing emergency supply kits and household emergency plans,
- · Monitoring emergency communications carefully,
- · Volunteering with established organizations, and
- Enrolling in emergency response training courses

# 5.4 Standardized Emergency Management System (SEMS) Functions

SEMS requires that every emergency response involving multiple jurisdictions or multiple agencies include the five SEMS functions identified below. These functions must be applied at each level of the SEMS organization.

#### **5.4.1 COMMAND**

Command is responsible for the directing, ordering, and/or controlling of resources at the field response level. A key concept in all emergency planning is to establish command and tactical control at the lowest level that can perform that role effectively in the organization. In the Incident Command System (ICS), the Incident Commander (IC), with appropriate policy direction and authority from the responding agency, sets the objectives to be accomplished and approves the strategy and tactics to be used to meet those objectives.

The IC must respond to higher authority. Depending upon the incident's size and scope, the higher authority could be the next ranking level in the organization up to the agency or department executive. This relationship provides an operational link with policy executives who customarily reside in the Department Operations Center (DOC) or EOC, when activated.

### **5.4.2 MANAGEMENT**

Management is responsible for overall emergency policy and coordination at the SEMS EOC levels. The EOC serves as a central location from which multiple agencies or organizations coordinate information collection and evaluation, priority setting and resource management.

Within the EOC, the primary Management functions are to:

- Facilitate multiagency coordination and executive decision making in support of the incident response,
- Implement the policies established by the governing bodies, and
- Facilitate the activities of the Multiagency Coordination (MAC) Group.

### **5.4.3 OPERATIONS**

Operations is responsible for coordinating and supporting all jurisdictional operations in support of the response to the emergency through implementation of the organizational level's Action Plans (AP).



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- At the Field Level, the Operations Section is responsible for the coordinated tactical response directly applicable to, or in support of the objectives in accordance with the Incident Action Plan (IAP).
- In the EOC, the Operations Section Coordinator manages functional coordinators who share information and decisions about discipline-specific operations.

#### **5.4.4 LOGISTICS**

Logistics is responsible for providing facilities, services, personnel, equipment and materials in support of the emergency. Unified ordering takes place through the Logistics Section Ordering Managers to ensure controls and accountability over resource requests. As needed, Unit Coordinators are appointed to address the needs for communications, food, medical, supplies, facilities and ground support.

### **5.4.5 PLANNING/INTELLIGENCE**

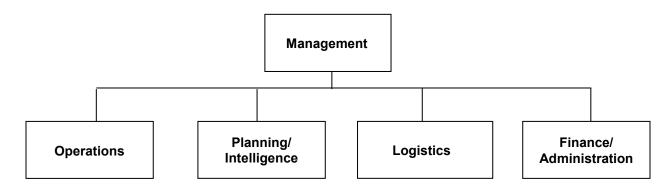
Planning and Intelligence is responsible for the collection, evaluation and dissemination of operational information related to the incident for the preparation and documentation of the Incident Action Plan (IAP) at the Field Level or the Action Plan (AP) at an EOC.

Planning/Intelligence also maintains information for the EOC. As needed, Unit Coordinators are appointed to collect and analyze data, prepare situation reports, develop action plans, set Geographic Information Systems (GIS) priorities, compile and maintain documentation, conduct advance planning, manage technical specialists and coordinate demobilization.

#### 5.4.6 FINANCE/ADMINISTRATION

Finance and Administration is responsible for all financial and cost analysis aspects of the emergency and for any administrative aspects not handled by the other functions. As needed, Unit Leaders are appointed to record time for incident or EOC personnel and hired equipment, coordinate procurement activities, process claims and track costs.

# 5.4.7 STANDARD ICS STRUCTURE (SEMS FUNCTIONS) Chart



# 5.5 Emergency Functions

The California State Emergency Plan establishes the California Emergency Functions (CA-EFs), which consists of seventeen primary activities deemed essential to addressing the emergency management needs of communities in all phases of emergency management. The California Emergency Functions were designed to bring together discipline-specific stakeholders



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at all levels of government to collaborate and function within four phases of emergency management. The EFs consist of an alliance of agencies, departments and other stakeholders with similar functional responsibilities. This grouping allows each EF to collaboratively mitigate, prepare for, cohesively respond to and effectively recover from an emergency.



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**5.5.1 TABLE: CALIFORNIA EMERGENCY FUNCTIONS** 

CA-EF Title		Definition	County Department			
1	Transportation	Assists in the management of transportation systems and infrastructure during domestic threats or in response to incidents; including flood control.	County Public Works Department: Transportation			
2	Communications	Provides resources, support and restoration of government emergency telecommunications, including voice data, and public safety radio.	County Information/Technical Services Department			
3	Construction & Engineering	Organizes capabilities and resources to facilitate the delivery of services, technical assistance, engineering expertise, construction management and other support.	County Public Works Department: Construction & Engineering/ Facilities Mgmt.			
4	Fire & Rescue	Monitors the status of fire mutual aid activities. Coordinates support activities related to the detection and suppression of urban, rural and wild land fires and emergency incident scene rescue activities and provides personnel, equipment and supplies to support local jurisdictions.	County Fire Department: Suppression			
5	Management	Coordinates and resolves issues among the CA-EFs in the four phases of emergency management to ensure consistency in the development and maintenance of the EOP annexes. During emergencies, serves in an advisory capacity to the EOC Director.	County Fire Department: Office of Emergency Services			
6	Care & Shelter	Coordinates actions to assist responsible jurisdictions to meet the needs of victims displaced during an incident including food assistance, clothing, non-medical care and sheltering, family reunification and victim recovery.	County Social Services Department/ Office of Emergency Services			
7	Resources	Coordinates plans and activities to locate, procure and pre-position resources to support emergency operations.	County Procurement Services Dept.			
8	Public Health & Medical	Coordinates Public Health and Medical activities and services in support of the jurisdictions' resource needs for preparedness, response, and recovery from emergencies and disasters.	County Public Health Department/EMS			
9	Search and Rescue	Supports and coordinates response of personnel and equipment to search for and rescue missing or trapped persons that may involve criminal acts and water rescues.	County Sheriff/ Coroner Department			
10	Hazardous Materials	Coordinates resources and supports the responsible agencies to prepare for, prevent, minimize, assess, mitigate, respond to and recover from a threat to the public or environment by actual or potential hazardous materials releases.	County Fire Department: HazMat			

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11	Food & Agriculture	Coordinates activities during emergencies impacting the agriculture and food production industries, specifically farms and ranches; supports the recovery of impacted industries and resources after incidents.	County Agriculture Weights and Measures
12	Utilities	Provides resources and support to responsible jurisdictions and in partnership with private sector to restore gas, electric, water, wastewater and telecommunications.	County Public Works Department/ County Special Districts
13	Law Enforcement	Coordinates law enforcement personnel and equipment to support responsible law enforcement agencies, coroner activities and public safety in accordance with Law Enforcement and Coroner's Mutual Aid Plans.	County Sheriff/ Coroner Department
14	Long-Term Recovery	Supports and enables economic recovery from the long-term consequences of extraordinary emergencies and disasters.	County Auditor- Controller
15	Public Information	Supports the dissemination of accurate, coordinated, timely and accessible information to affected audiences, including governments, media, the private sector, and the local populace, including people with access and functional needs.	CAO Public Information/ County Fire Public Information/ County Sheriff- Coroner PIO
16	Evacuation	Supports the safe evacuation of persons, domestic animals and livestock from hazardous areas.	County Sheriff/Coroner Department(Including Transit Agencies and Animal Control)
17	Volunteer & Donations Management	Supports responsible jurisdictions in ensuring the most efficient and effective use of affiliated and unaffiliated volunteers and organizations and monetary and in-kind donated resources to support incidents requiring a state response	County Fire Department: Office of Emergency Services



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# **5.5.2 MATRIX: CALIFORNIA EMERGENCY FUNCTIONS**

California Emergency Functions		County Executive Office	County Public Health Office: Public Information	County Agriculture Commissioner	County Auditor-Controller	County Fire Department: HazMat	County Fire Department: OES	County Fire Department: Public Information Officer	County Fire Department: Suppression	County Social Services Department/OES	County Information/Technical Services Department	County Public Health Department/ICEMA	County Public Works Department: Construction & Engineering/ Facilities Mgmt.	County Public Works Department	County Public Works Department: Transportation	County Procurement Services Dept.	County Sheriff/Coroner Department	County Sheriff/Coroner Department: Public Information Officer	County Special Districts
1	Transportation														Р				
2	Communications										Р								
3	Construction & Engineering												Р						
4	Fire & Rescue								Р										
5	Management	S					Р												
6	Care & Shelter	S					S			Р		S							
7	Resources	S				S	S		S		S	S		S	S	Р	S		S
8	Public Health & Medical											Р							
9	Search & Rescue								S									Р	
10	Hazardous Materials					Р			S										
11	Food & Agriculture			Р															
12	Utilities													Р					Р
13	Law Enforcement																Р		
14	Long Term Recovery	S			Р		S						S						
15	Public Information		Р				S	Р				S		S			S	Р	
16	Evacuation								S								Р		
17	Volunteers & Donations Management						Р												

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# **SECTION 6: CONCEPT OF OPERATIONS**

# **6.1 Overview**

The emergency response of governmental agencies in Imperial County is an extension of day-to-day operations. Emergency operations rely on the normal authority and responsibility of government, plus police powers that may be invoked by executive authority under specified conditions. Governmental agencies at all levels must work together effectively, along with the private sector, business and the industry, community based organizations and volunteers in order to meet the challenges posed by a disaster.

The organizational scheme for emergency operations will incorporate requirements of the Standardized Emergency Management System (SEMS) and the National Incident Management System (NIMS), and will be applied via the OA EOC, and the Department/Special District Operations Centers (DOCs).

SEMS is the system required by Government Code Section 8607(a) for Managing response to multi-agency and multi-jurisdiction emergencies in California. SEMS consists of five organizational levels that are activated as necessary: field response, local government, operational area, region and state. NIMS is required by Homeland Security Presidential Directive (HSPD-5), Management of Domestic Incidents.

SEMS incorporates the use of the Incident Command System (ICS), the Master Mutual Aid Agreement, existing mutual aid systems, the Operational Area concept, and multi-agency or interagency coordination. SEMS helps unify all elements of Imperial County's emergency management organization into a single integrated system. Its use is mandatory in order to be eligible for state funding of response related personnel costs resulting from a disaster.

Imperial County's emergency management organization is comprised of the County of Imperial's departments and Board-Governed Special Districts. The Imperial County Operational Area (OA) comprises 7 cities and 11 towns, over 22 Special Districts, 27 public school districts, utility organizations and volunteers.

Under SEMS, the OA means an intermediate level of the state's emergency services organization that encompasses the County and all political subdivisions located within the geographical boundaries of the County, including Special Districts.

The OA manages information, resources, and priorities among local governments within the OA. It serves as the coordination and communication link between the local government level and regional level of state government.

It is important to note, that while an OA always encompasses the entire county area, it does not necessarily mean that the county government manages and coordinates the OA response within the County. The governing bodies of the County and the political subdivisions within the County develop the organization, structure, and operating procedures for the OA.

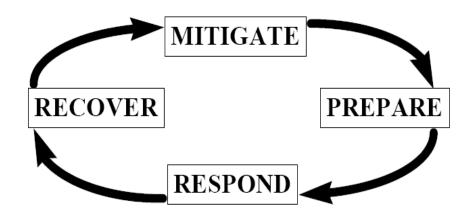
In Imperial County, even though the county acts as lead agency, OA management and coordination are shared via operation of a mutual aid zone system. OA representation via the Cities/Towns will channel requests to the OA. The County OES provides staff to coordinate and

staff the County OA EOC. This ensures that information, resources, and priorities represent consensus and shared responsibilities.

# 6.2 Emergency Management Phases

Emergency management can be categorized into a series of phases. Each phase is unique and will cause the initiation of a response level consistent with it.

### **6.2.1 DISASTER CYCLE CHART**



#### 6.2.2 PREPAREDNESS PHASE/PLANNING PHASE

# Day-to-day

The preparedness phase involves activities undertaken in advance of an emergency. These activities develop operational capabilities and improve effective response to disasters. Disaster plans are developed and revised to guide disaster response and increase available resources. Planning activities include developing hazard analysis, writing mutual aid agreements, training response personnel, and improving public information and communications systems.

These preparedness activities are part of the implementation of the County Operational Area plan, as well as related plans and procedures, which are in effect at all times to provide authorization to accomplish these essential preparedness activities.

# **Increased Readiness**

As a crisis begins to develop, government takes action to increase its readiness. Actions taken during the buildup of a crisis situation are designated to increase an organization's ability to respond effectively to a disaster. Increase readiness actions include briefing government officials, reviewing plans, preparing information for release to the public, updating resource lists, and testing warning and communications systems.

Events that may trigger increased readiness are:

- Issuance of a credible long-term earthquake prediction;
- A flood or severe winter storm advisory;
- Wind surge;
- An expansive hazardous materials accident;
- And outbreak of disease activity;



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- A rapidly-deteriorating International situation that could lead to an attack upon the United States; or
- Information or circumstances indicating the potential for acts of violence, terrorism, or civil unrest.

#### **6.2.3 RESPONSE PHASE**

### Pre-Impact

When emergency management authorities are able to recognize the approach of a potential disaster, actions are taken to save lives and protect property. The response phase is activated to coordinate emergency response activities. During this phase, warning systems may be activated, resources may be mobilized, EOC may be activated, and evacuation may begin.

# Immediate Impact

During this phase, emphasis is placed on saving lives, controlling the situation, and minimizing the effects of the disaster. Immediate response actions are accomplished within the affected area by government agencies (including mutual aid) and segments of the private sector. During this phase, Incident Command Posts (ICPs) and EOCs may be activated, and emergency instructions may be issued to the public.

Some examples of initial response activities include:

- Brief the CEO and key officials or employees on the situation;
- Disseminate warnings, emergency public information, and instructions to the cities/towns and citizens of Imperial County;
- Conduct evacuations and/or rescue operations;
- · Care for displaced persons and treat the injured;
- Conduct initial damage assessments and surveys;
- Assess the need for mutual aid assistance;
- Restrict movement of traffic and people;
- Establish Unified Command(s);
- · Coordinate with state and federal agencies working on the field; and
- Develop and implement incident Action Plans.

# **Sustained**

As the emergency continues, assistance is provided to victims of the disaster and efforts are made to reduce secondary damage. Zone or countywide mutual aid may be provided to assist with these efforts. Response support facilities may also be established. The incident's resource requirements continually change to meet the needs of the incident.

Examples of sustained response activities include:

- Preparation of detailed damage assessments;
- Operation of the mass care and shelter facilities;
- Conduct coroner operations;
- Procure required resources to sustain operations;
- Document situation status;
- Protect, control, and allocate resources;



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- Restore vital utility services;
- Document expenditures;
- Develop and implement Action Plans for extended operations;
- Disseminate emergency public information;
- Declare a local emergency;
- Request a gubernational and federal declaration, if required;
- · Prioritized resource allocations; and
- Inter/multi agency coordination.

### **6.2.4 RECOVERY PHASE**

At the onset of an emergency, actions are taken to enhance the effectiveness of recovery operations. Recovery is comprised of steps the County will take during and after an emergency to restore government function and community services to levels existing prior to the emergency. Recovery is both a short and long-term process.

Short term operations seek to restore vital services to the community and provide for the basic needs of the public, such as bringing necessary lifeline systems (e.g. power, communications, water and sewage, disposal of solid and hazardous wastes, or removal of debris) to an acceptable standard while providing for basic human needs (e.g. food, clothing, and shelter). Recovery also includes cost recovery activities.

The recovery period is also an opportune time to institute mitigation measure, particularly those related to the recent emergency. This is also the phase of reassessing procedures and functions of all annexes of this disaster plan for deficiencies. Resources to restore or upgrade damaged areas may be available if it can be shown extra repairs will mitigate or lessen the chances of, or damages caused by, another similar disaster in the future.

# **6.2.5 MITIGATION PHASE**

Mitigation planning includes a review of ways to avert future emergencies and reduce the impact of future disasters. Specific hazard mitigation plans are prepared subsequent to a federally declared disaster. They reflect the current risk analysis and mitigation priorities specific to the declared disaster. Mitigation efforts include, but are not limited to:

- Amend local ordinances and statues, such as zoning ordinances, building codes, and other enforcement codes:
- Initiate structural retrofitting measures;
- Assess tax levies or abatements;
- Emphasize public education and awareness;
- Undertake flood control project;
- · Remove fuel in areas having a high potential for wildfires; and
- Assess and alter land use planning.

# **6.3 Emergency Proclamations**

### **6.3.1 OVERVIEW**

To those directly affected, every disaster is catastrophic and merits a "proclamation" of an emergency. There are, however, a variety of governmental disaster proclamations/declarations that may be issued independently of one another. Sometimes mayors, County executives, or governors issue formal declarations that may or may not involve special emergency powers (for the issuing government) or be eligible for special assistance funds. The California Emergency Services Act provides for three types of emergency proclamations in California:

- Local Emergency Proclamation
- Governor's Proclamation of State of Emergency
- State of War Emergency

Emergency proclamations expand the emergency powers and authorities of the state and its political subdivisions. They also provide a mechanism for unaffected jurisdictions to provide resources and assistance to the affected jurisdictions. Although emergency proclamations facilitate the flow of resources and support to the affected jurisdictions and local government, they are not a prerequisite for rendering mutual aid and assistance under existing agreements or requesting assistance from the American Red Cross (ARC). During a state of emergency or state of war emergency, the Governor has complete authority over all agencies of state government.

### 6.3.2 LOCAL EMERGENCY PROCLAMATION

The local governing body or a duly authorized local official may proclaim a local emergency, as described in the California Emergency Services Act and as provided in its local emergency ordinance. Proclamations are normally made when conditions of disaster or of extreme peril to the safety of persons and property exist within the jurisdictional limits of a County, city and County, or city. A local emergency may be proclaimed when conditions 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 that requires extraordinary measures beyond authority vested in the California Public Utilities Commission (PUC).

Local proclamations may authorize additional emergency powers to local officials per local ordinance. A Local Emergency provides local governing bodies with expanded emergency police powers and authorities, which include:

- Authorization to promulgate and suspend local orders and regulations necessary to provide for the protection of life and property.
- Authority to acquire or commandeer supplies and equipment for public use.
- Power to conduct and perform emergency response activities under emergency conditions with broadened immunities from legal liability for performance or failure of performance.



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As provided in the Imperial County Code, a local emergency may be proclaimed for good and sufficient causes by:

- The Board of Supervisors acting as a body if the Board is in session; or, if the Board is not in session,
- The Director of Emergency Services/Chief Executive Officer and;
- Whenever a local emergency is proclaimed when the Board of Supervisors is not in session, the Board shall take action to ratify the proclamation within seven (7) days.

The proclamation of a local emergency provides confirmation of the disaster condition and may trigger activation of the jurisdiction's recovery and reconstruction organization. This organization will most likely be separate from the emergency organization dedicated to response and rise into being as the response organization begins demobilization. Such an organization is authorized via the Disaster Recovery Reconstruction Act of 1986 and may have powers parallel to those of a community redevelopment agency, except that the reconstruction authority would be authorized to operate beyond the confines of designated redevelopment areas and would have financing sources other than tax increment sources.

#### **6.3.3 STATE OF EMERGENCY**

A disaster may be of such magnitude that it requires extraordinary action by the state in order to protect the lives, property, and environment of its citizens. The Emergency Services Act allows the Governor to proclaim a state of emergency when conditions of disaster have risen 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, governor's warning of an earthquake or volcanic prediction, an earthquake, or other conditions resulting from a labor controversy or conditions causing a 'state of war emergency' which conditions, by reasons 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.

When the situation warrants, the County's Board of Supervisors may petition the Governor to proclaim a State of Emergency including Imperial County.

This petition must include:

- A resolution requesting the Governor to proclaim a State of Emergency.
- Initial Damage Estimate (IDE) Report data depicting the conditions existing within the OA.
- A summary of County Operational Area resources committed to the mitigation of the effects of the current disaster including dollars, manpower, equipment, facilities, etc.
- In the event that the Board believes the situation is of such a serious nature that Federal assistance is required, the Governor should be petitioned to request a declaration of Federal Emergency from the President of the United States.

Whenever the Governor declares a State of Emergency the following will apply:



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- Mutual aid shall be rendered as needed;
- The Governor shall have the right to exercise all police powers vested in the State by the Constitution and the laws of the State of California within the designated area;
- The Governor may suspend orders, rules, or regulations of any state agency and any regulatory statute or statute prescribing the procedure for conducting state business;
- The Governor may commandeer or make use of any private property or personnel (other than media) in carrying out the responsibilities of his office; and
- The Governor may promulgate, issue, and enforce orders and regulations deemed necessary.

Provided that the State of Emergency proclaimed by the Governor does not cause a Presidential Declaration of a State of Emergency or State of War, a local OA has other options for short-term recovery and include such programs as:

- The California Disaster Assistance Act, and
- The Corps of Engineers Emergency Authorities, including those for flood fighting, authorized under the provisions of Public Law 84-99, Flood and Coastal Storm Emergencies (33 U.S.C. 701n) (69 Stat. 186) as amended.

The Disaster Assistance Act is the Act linked to SEMS, which authorizes reimbursement of personnel-related disaster expenses. It does not supplant federal assistance otherwise available in the absence of state financial relief.

Public Law 84-99 (Flood Fighting) gives authority to the U.S. Army Corps of Engineers to prevent and control floods, and when local interests have exhausted their resources, provide assistance as appropriate. It is not always necessary to proclaim a Local Emergency prior to requesting assistance in flood fighting from the Corps. Requests for Corps assistance are to be coordinated by the County's Public Works Group, and processed through County OES to the State's Regional Emergency Operations Center (REOC) at Los Alamitos.

### **6.3.4 STATE OF WAR EMERGENCY**

In addition to a State of Emergency, the Governor can proclaim a State of War Emergency whenever California or the nation is attacked by an enemy of the United States, or upon receipt by California of a warning from the federal government indicating that such an enemy attack is probable or imminent. The powers of the Governor granted under a State of War Emergency are commensurate with those granted under a State of Emergency.

#### 6.3.5 COUNTY EMERGENCY PROCLAMATION SAMPLE



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# COUNTY OF IMPERIAL STATE OF CALIFORNIA PROCLAMATION OF EXISTENCE OF A LOCAL EMERGENCY (By Director of Emergency Services)

WHEREAS, California Government Code section 8630 and Imperial County Code section 2.104.060 et seq. empower the Chairman of the Board of Supervisors to proclaim the existence or threatened existence of a local emergency when Imperial County is affected or likely to be affected by a public calamity and the Board of Supervisors is not in session; and

WHEREAS, the Chairman of the Board of Supervisors of the County of Imperial does hereby find:

WHEREAS,; and
WHEREAS,; and
WHEREAS,; and
WHEREAS, the Board of Supervisors of the County of Imperial is not in session and cannot immediately be called into session;
NOW, THEREFORE, IT IS HEREBY PROCLAIMED that a local emergency exist throughout said County; and
IT IS FURTHER PROCLAIMED AND ORDERED that during the existence of said local emergency the powers and duties of the emergency organization of the County shall be those prescribed by State law, by charter, ordinances, and resolutions of this County, and by the current County of Imperial Emergency Plan, as approved by the Board of Supervisors.
IT IS FURTHER PROCLAIMED AND ORDERED that this local emergency be ratified by the County Board of Supervisors in accordance to section 8630 of the California Government Code.
IT IS FURTHER PROCLAIMED AND ORDERED that said local emergency shall be deemed to continue to exist until its termination is proclaimed by the Board of Supervisors or it is terminated by operation of law.
IT IS FURTHER PROCLAIMED AND ORDERED that a copy of this proclamation be forwarded to the Governor of California.
IT IS FURTHER ORDERED that a copy of this proclamation be forwarded to the Secretary of the California Governor's Office of Emergency Services (Cal OES).
Dated:
Time of Signing:
RYAN E. KELLEY
Director of Emergency Services, County of Imperial and
Chairman of the Board of Supervisors
6.4 EOC Responder



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### **6.4.1 OVERVIEW**

In order to ensure that Imperial County can sustain EOC operations for any type/length of activation, OES has implemented *EOC Responder* training, which includes ICS training, SEMS training, EOC Section specific training, and Web EOC orientation. Upon completion of the EOC Responder training, personnel are added to a confidential/limited access *EOC Responder Database* and *Department Roster* to be utilized for EOC responder call-outs. The database is comprised of contact information from County Department/Division personnel and personnel from other governmental, utilities and non-profit agencies that have been designated as EOC Responders for their respective department/division or agency.

### **6.4.2 NOTIFICATION/MOBILIZATION**

In the event of an emergency or disaster requiring activation of the EOC or an impending activation, the EOC Responder Roster may be accessed for EOC Responder notifications. The database may be used by Logistics Section personnel (or EOC personnel as designed by the EOC Director) when the EOC Director requests an enhanced staffing level at the EOC. Upon activation of the EOC, each functional coordinator assesses the need for one or more EFs to support their emergency response and recovery activities. Each EF mobilizes according to its functional annex.

Emergency notification and mobilization is based upon regular position assignment, not individuals. These assignments may be changed as an incident develops, or as needs are assessed. Emergency assignments allow employees to know when to respond during disaster operations and minimize the amount of phone calls necessary. This system does not affect the handling of smaller, local emergencies. These will be handled by on-duty units, mutual aid, and/or limited call-out of off-duty officers.

Trained County personnel/EOC responders will be notified and fill the EOC section positions as needed.

### 6.4.3 OPERATIONAL PERIOD/INCIDENT ACTION PLANNING

FEMA defines an Operational Period as, "the period of time scheduled for executing a given set of operational actions as specified in the IAP. The length of the operational period is typically 12 to 24 hours at the beginning of an incident requiring extensive response efforts, and are subsequently reviewed and adjusted throughout the life cycle of the incident as operations require."

Typically during Operational Area EOC activations, the operational period may be a 12 hour shift for EOC responders however, the initial operational period may vary from less than 12 hours, or may exceed 12 hours depending on the severity of the incident and the availability of EOC responders.

Although many important tasks are accomplished during this initial period, efforts focus primarily on situational awareness and establishing initial incident priorities. Gaining an understanding of the situation includes gathering, recording, analyzing, and displaying information regarding the scale, scope, complexity, and potential incident impacts.

Comprehensive situational awareness is essential in order to develop and implement an effective Incident Action Plan (IAP – Field Level) or Event Action Plan (EAP – EOC Level), a written plan that defines the incident objectives and reflects the tactics necessary to manage an incident



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during an operational period. Incident objectives answer the question of what must be accomplished during the operational period. The IAP is a set of activities, repeated each operational period, that provides a consistent rhythm and structure to incident management.

### **6.4.4 SHIFT CHANGE**

Before the initial operational period concludes and it has been determined that the incident requires multiple operational periods, shifts will be changed at the designated intervals until deactivation. Shift changes should allow for one-half-hour overlap to brief incoming personnel and would generally be scheduled one hour later than field personnel to stagger personnel during a shift change.

### **6.4.5 DEACTIVATION**

Deactivation is called by the EOC Director.

6.5 Standardized Emergency Management System (SEMS) Organization/ Coordination Levels



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There are five SEMS organization levels:

- Field Level: where emergency response personnel and resources, under the command
  of responsible officials, carry out tactical decisions and activities in direct response to an
  incident or threat.
- 2. Local Government Level: includes Cities/Towns, Counties and Special Districts. Local governments manage and coordinate the overall emergency response and recovery activities within their jurisdiction. Local governments are required to use SEMS when their Emergency Operations Center (EOC) is activated or a local emergency is declared or proclaimed in order to be eligible for state reimbursement of response-related costs.
- 3. Operational Area (OA) Level: the intermediate level of the state's emergency management organization which encompasses a County's boundaries and all political subdivisions located within that County, including Special Districts. The OA facilitates and/or coordinates information, resources and decisions regarding priorities among local governments within the OA. The OA serves as the coordination and communication link between the Local Government Level and Regional Level. State, federal and tribal jurisdictions in the OA may have statutory authorities for response similar to that at the local level.
- 4. Regional Level: manages and coordinates information and resources among OAs within the mutual aid region and also between the OA and the state level. The Regional Level also coordinates overall state agency support for emergency response activities within the region. California is divided into three California Governor's Office of Emergency Services (CalOES) Administrative Regions Inland, Coastal and Southern which are further divided into six mutual aid regions. The Regional Level operates out of the Regional Emergency Operations Center (REOC).
- 5. State Level: prioritizes tasks and coordinates state resources in response to the requests from the Regional level and coordinates mutual aid among the mutual aid regions and between the Regional Level and State Level. The state level also serves as the coordination and communication link between the state and the federal emergency response system. The state level requests assistance from other state governments through the Emergency Management Assistance Compact (EMAC) and similar interstate compacts/agreements and coordinates with the Federal Emergency Management Agency (FEMA) when federal assistance is requested. The state level operates out of the State Operations Center (SOC).

# 6.5.1 MULTI-AGENCY OR INTER-AGENCY COORDINATION

Multi-agency or inter-agency coordination is important for:

Establishing priorities for response;



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- Allocating critical resources;
- Developing strategies for handling multi-agency response problems;
- Sharing information; and
- Facilitating communications.

# 6.5.2 COORDINATION WITH SPECIAL DISTRICTS

Special Districts are formed under various laws that provide the necessary authority to operate. Special Districts often have unique resources, capabilities, and vulnerabilities. Coordination and communications with the EOC should be established among Special Districts who are involved in emergency response. This may be accomplished in various ways depending on the local situation. Special Districts will work with the local government in their service areas to determine how best to establish coordination and communications in an emergency. If possible, the Special District will have a liaison representative at the County EOC and direct communications should be established between the Special District DOC and the County EOC.

#### 6.5.3 COORDINATION WITH PRIVATE/NON-PROFIT AGENCIES AND VOLUNTEER GROUPS

Imperial County recognizes the valuable assistance and resources provided by non-governmental private sector partnerships and the importance of organizations that perform voluntary services in the community. As a result, the County continues to cultivate relationships with private/non-profit agencies and has established an extensive trained volunteer base to support emergency response operations within the County.

The County EOC will generally be the coordination point for private/non-profit agencies and volunteer groups for deployment to support emergency response activities. Private/non-profit agencies or volunteer groups that play a key role(s) in the response may have representative(s) in the EOC. Private/non-profit agencies and volunteer groups that have countywide response roles and cannot respond to numerous city EOCs may be represented at the OA level.

During an emergency, the County EOC may establish communication with private/non-profit agencies and volunteer groups through an agency representative, volunteer coordinator, or authorized personnel. Coordination, activation, and deployment of these members may be incident driven and will follow the appropriate organization response guidelines that have been established for the specific private/non-profit agency or volunteer group.

The following volunteer programs are managed and/or supported by OES and may be activated to provide support to the OA during EOC activations, Shelter activations, and/or other jurisdictional specific incidents:

# **Community Emergency Response Teams (CERT)**

The Community Emergency Response Team (CERT) Program educates people about disaster preparedness and trains them in basic disaster response skills, such as fire safety, light search and rescue and disaster medical operations. Using their training, CERT members can assist others in their neighborhood or workplace following an event and can take a more active role in preparing their community. CERT members may be activated as follows:

 In unincorporated communities that support a Community Emergency Response Team (CERT) Program, a CERT may be activated by contacting the assigned local CERT County Liaison.



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• In Cities/Towns that support a CERT Program, the local Emergency Manager should be contacted for details regarding the activation of that jurisdiction's CERT.

# Imperial Valley Disaster Recovery Team (IVDRT)/Voluntary Organizations Active in Disaster (VOAD)

Imperial Valley Disaster Recovery Team (IV DRT) is an organization, based within a community or geographic area, which is composed of representatives from public, private, non-profit and faith-based agencies, community groups, and businesses. Their mission is to strengthen areawide disaster coordination and address the long term and unmet needs of Imperial County residents.

# Radio Amateur Civil Emergency Services (RACES)

Radio Amateur Civil Emergency Service (RACES) volunteers hold an FCC issued HAM Radio license. These members volunteer their time to provide Auxiliary Emergency Communications for the County and affiliated Cities within the Imperial County Operational Area. The RACES mission is to provide support for any possible need relative to communications in an emergency.

The RACES unit of OES provides a variety of professional non paid skills, including emergency tactical, administrative and logistical communications for all government agencies between the County and City Governments and neighboring State Agencies. This includes operations on all authorized equipment and frequencies when needed.

# **Spontaneous Unaffiliated Volunteers (SUV)**

A widely recognized need existing in Imperial County immediately following a disaster or incident is the successful management of Spontaneous Unaffiliated Volunteers (SUV) who respond to an incident with the intent on helping. It becomes essential to direct the outpouring of human resources to where it's most needed as quickly as possible to mitigate potential chaos and to give people an opportunity to be involved in the recovery of their own community.

The Imperial County VOAD serves as the Lead Coordinating Organization.

# 6.6 Incident Command System (ICS)

The Incident Command System (ICS) is a nationally recognized on-scene emergency management system 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 uses a common organizational structure to effectively accomplish management of the incident by objectives.

The **five functions** of the ICS organization are command, operations, planning, logistics, and finance:

### Command

Responsible for directing, ordering, and/or controlling resources by virtue of explicit legal, agency, or delegated authority. It includes the incident commander (IC) who is responsible for the overall management of the incident. The command function also includes the Information Officer, Liaison Officer, and Safety Officer.

# **Operations**

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 (IAP). Operations develop



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the operations portion of the IAP, requests resources to support tactical operations, maintain close communication with the Incident Commander, and ensure safer tactical operations. The operations function includes branches, divisions, groups, and air operations personnel.

# **Planning**

Responsible for the collection, evaluation, documentation, and use of information about the development of the incident. The planning function includes the resource unit, situation unit, documentation unit, and demobilization unit.

# Logistics

Responsible for providing facilities, services, personnel, equipment, and tracking the status of resources and materials in support of the incident. The logistics function includes the supply unit, facilities unit, ground support unit, communications unit, food unit, and medical unit.

#### **Finance**

Responsible for all financial and cost analysis aspects of the incident, and/or any administrative aspects not handled by the other functions. The finance function includes the time unit, procurement unit, compensation/claims unit, and the cost unit.

#### 6.6.1 PRINCIPLES OF ICS

The system's organizational structure adapts to any emergency or incident to which emergency response agencies would expect to respond. Components of ICS are:

- Common terminology;
- Modular organization;
- Unified command structure;
- Consolidated action plans;
- Manageable span-of-control;
- Pre-designed incident facilities;
- Comprehensive resource management; and
- Integrated communications.

Common titles for organizational functions, resources, and facilities within ICS are utilized. The organizational structure is developed based upon the type and size of an incident. Staff builds from the top down as the incident grows, with responsibility and performance placed initially with the Incident Commander (IC). At all incidents there will be five functions. Initially, the IC may be performing all five functions. Then, as the incident grows, each function may be established as a section with several units under each section.

### **6.6.2 UNIFIED COMMAND**

Unified command structure is a unified team effort that allows all agencies with responsibility for the incident to manage an incident by establishing a common set of incident objectives and strategies.

In some incidents, several organizations may share response authority. ICS has the advantage of combining different local, County, regional, State, and Federal agencies into the same organizational system, maximizing coordination of response activities and avoiding duplication of efforts. A structure called Unified Command (UC) allows the IC position to be shared among



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several agencies and organizations that maintain jurisdiction. UC members retain their original authority but work to resolve issues in a cooperative fashion to enable a more efficient response and recovery.

In a large incident involving multiple jurisdictions and/or regional, State, and Federal response partners, a UC may replace a single organization IC. Each of the four primary ICS sections may be further subdivided, as needed. In smaller situations, where additional persons are not required, the IC will directly manage all aspects of the incident organization.

# **SECTION 7: EMERGENCY OPERATIONS CENTER (EOC)**

# 7.1 Overview

The Imperial County Emergency Operations Center (EOC) is a centralized location for decision making regarding the Operational Area's emergency response. The EOC is where the emergency response actions can be managed and resource allocations and responses can be tracked and coordinated with the field, Cities/Towns, and the State. The County's Emergency Services Coordinator is responsible for the operational readiness of the EOC.

When an emergency or disaster occurs, or has the potential to occur, the County will activate the EOC. Under SEMS, and expanded by the Imperial County OA, any one City/Town that activates its EOC for an emergency will trigger an OA EOC activation. In turn, this activates the State OES Region and State Operations Center.

The EOC will organize according to the SEMS functions of Management, Operations, Planning/Intelligence, Logistics and Finance/Administration and will activate those functions necessary for the emergency. The five (5) SEMS EOC functions are shown below:

# 1. Management Section Activities and Responsibilities:

- a. Overall EOC Management
- b. Facilitation of Multiagency Coordination System (MACS) and MAC Groups
- c. Public Information Coordination and Joint Information Center (JIC) Management
- d. Provision for Public Safety and Risk Communications and Policy

# 2. Operations Section Activities and Responsibilities:

- a. Transportation
- b. Construction and Engineering
- c. Fire and Rescue
- d. Care and Shelter
- e. Resources
- f. Public Health and Medical
- g. Hazardous Materials
- h. Utilities
- i. Law Enforcement
- j. Long-Term Recovery
- k. Evacuation
- I. Volunteer and Donations Management
- m. Others as Needed

# 3. Planning/Intelligence Section Activities and Responsibilities:

- a. Situation Status
- b. Resource Status
- c. Situation Analysis
- d. Information Display



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- e. Documentation
- f. Advance Planning
- g. Technical Services
- h. Action Planning
- i. Demobilization

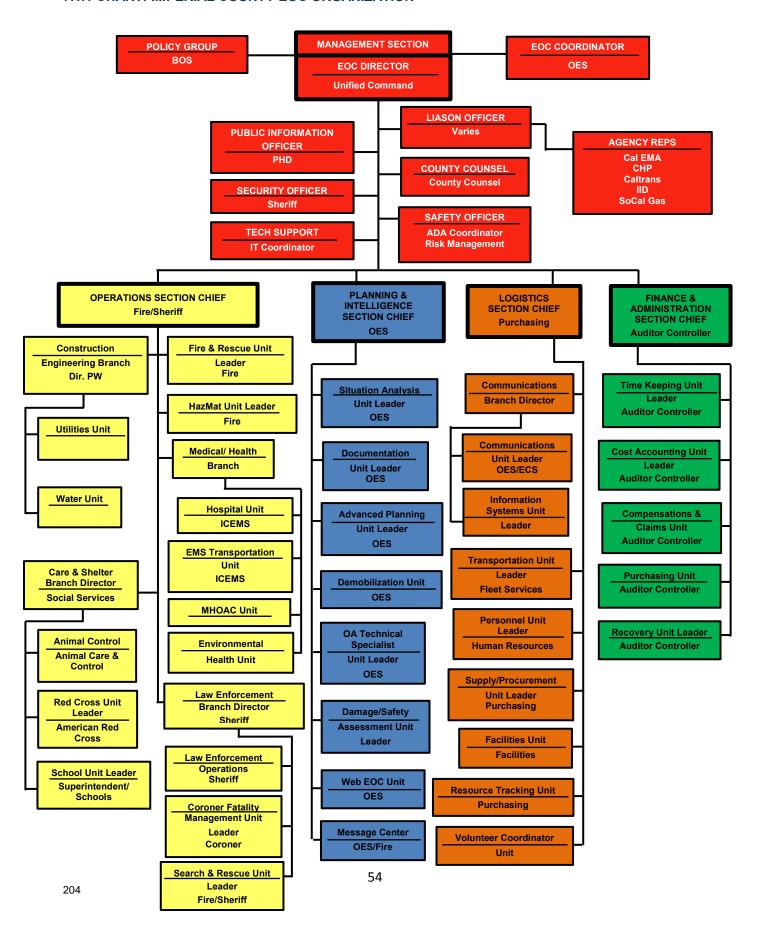
# 4. Logistics Section Activities and Responsibilities:

- a. Field Incident Support
- b. Communications Support
- c. Transportation Support
- d. Personnel
- e. Supply and Procurement
- f. Resource Tracking
- g. Sanitation Services
- h. Computer Support

# 5. Finance/Administration Activities and Responsibilities:

- a. Fiscal Management
- b. Time-Keeping
- c. Purchasing
- d. Compensation and Claims
- e. Cost Recovery
- f. Travel Request, Forms, and Claims

#### 7.1.1 CHART: IMPERIAL COUNTY EOC ORGANIZATION



# 7.2 Special Districts, Private, and Non-Profit Agencies

Depending on the size and kind of incident, involvement from Special Districts, utilities, volunteer organizations and/or private organizations may be necessary in the County's EOC. During EOC activations, these agencies respond to County-focused emergencies and will coordinate and communicate directly with staff in the EOC. Ideally, the agency will provide a representative to the EOC and will serve in the Management Section to better facilitate coordination.

# 7.3 Primary and Alternate Emergency Operations Centers

As a place, the OA EOC differs greatly from one organization to another, but the functions are much less variable. The OA EOC is responsible not only for assembling and directing local government response but also for communicating with all other levels of government, with the private sector, and the public (both the public at large and the public at risk).

According to SEMS, the OA EOC is structured to fulfill an organization standard, which includes the functions of management, finance and administration, logistics, operations, and planning/intelligence. Although each of the SEMS functions is necessary, coordination, communications, and intelligence are critical.

Communications issues are important to the County's emergency response capability. These issues include channel capacity, the importance of multiple channels, and the planning for a viable emergency communications system. An alternate EOC will be activated in when the primary is not functional.

# Primary OA EOC Location

OA EOC

1078 Dogwood Road, Suite 104 Heber, CA 92249 (760) 482-2400

Alternate EOCs Location
County Planning & Development Services
801 Main Street
El Centro, CA 92243

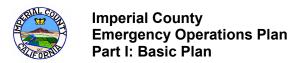
# 7.4 Activation Levels and Deactivation of Emergency Operations Center

### 7.4.1 EVENT/INCIDENT MONITORING

"Monitoring" refers to the staffing of an EOC facility to carry out duties related to a training exercise, a pre-planned event, or minor incident that would not require the Operational Area, State Region and State Emergency Operations Centers to activate in support.

The City/Town may bring responders into the EOC to assist in monitoring an event that has the potential to escalate to the point that activation is necessary.

Imperial County OES supports the Operational Area (OA) with a Duty Officer that is on call 24 hours per day (24/7) and is always interested in such "monitoring" events. Under any circumstances, County OES must be notified if and when the EOC is formally activated.



Examples: Parades, holiday activities, sports events, political events, concerts, minor fire/hazmat, and winter storm incidents, etc.

Listed below are the recommended three Levels of Activation. Establishing Levels of Activation facilitates the implementation of an appropriate emergency response. Levels of Activation ensure that assets are committed in phases according to the specific requirements of any threat or hazard. Increasing and decreasing EOC staffing is a principle of SEMS and its incorporation of ICS as modified in the EOC environment.

#### 7.4.2 LEVEL I EOC ACTIVATION

**Level I** is often referred to as "Low-level Activation." The EOC is staffed with the daily operating staff members of OES, who carry out additional duties in support of activation. Department Operations Centers (DOCs) may also be activated.

**Level I** may prompt the minimum staffing of the EOC with an Emergency Manager, a Public Information Officer (PIO), a Duty Officer, an Emergency Communications Services (ECS) Officer and a few EOC responders to specifically fill designated EOC sections (Management, Operations, Planning/Intelligence, Logistics, and/or Finance/Administration). Per SEMS and ICS principles, if Section positions are not filled, the EOC Director/Manager is responsible for all sections. Section Coordinators and a situation assessment activity in the Planning and Intelligence Section may be included in this level, etc. These additional duties often include communication, coordination, monitoring, receiving, and distributing information pertaining to the emergency or disaster. After hours, a **Level I** EOC Activation is usually staffed by the on-call County OES Duty Officer.

<u>Example:</u> To support the activation of a City/Town EOC within the Operational Area for an event such as flooding or for imminent threat condition such as fire, etc.

### 7.4.3 LEVEL II EOC ACTIVATION

Moving to **Level II** means that **Level I** staffing has been deemed insufficient to meet the needs of the incident and additional positions need to be filled in the EOC.

**Level II** is often referred to as "Medium-level Activation." The EOC is staffed with the daily operating staff members of County OES who carry out additional duties in support of activation. Additional trained EOC responders are also called in to staff specific functions within the Management, Operations, Planning/Intelligence, Logistics and Finance/Administration per SEMS/NIMS protocols. This may involve staffing the unfilled Section Chief positions and some Branch and Unit positions as needed. The decision to call in additional trained EOC responders is based upon the magnitude of the emergency or disaster as determined by the EOC Director.

**Level II** activation may necessitate a 24-hour A-shift/B-shift operation. After hours, **Level II** EOC Activation may be staffed by a reduced number of EOC Responders in the EOC or by an on-call County OES Duty Officer. Staffing is at the discretion of the EOC Director as guided by incident activities. County Department Operations Centers (DOCs) may also be activated.

<u>Example:</u> Earthquake with damage, flooding, or isolated to one or two Cities/Towns or in a remote area.



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# 7.4.4 LEVEL III EOC ACTIVATION

**Level III** is often referred to as "Full or High-level Activation." This encompasses the staffing of **Levels I** and **II** along with additional trained EOC Responders to staff most, if not all, of the positions within the Management, Operations, Planning/Intelligence, Logistics and Finance/Administration SEMS Sections. All Sections have Section Chiefs, and most Branches and Units are also staffed.

During a **Level III** Activation, the EOC operates on a 24-hour basis, rotating personnel into the EOC on 12-hour shifts. County Department Operations Centers (DOCs) may also be activated.

### 7.4.5 CHART: ACTIVATION EVENT EXAMPLES

Listed below are examples and characteristics of potential disastrous events that could occur within the boundaries of Imperial County and how the OA EOC will respond.

Event Examples and Characteristics	Threat Assessment	County Response Level	Response				
<ul> <li>Earthquake Predictions/Advisories</li> <li>Severe Weather Conditions</li> <li>Minor localized incidents</li> <li>Short-term with 4-12 hour period of concern</li> </ul>	LOW	I	<ul> <li>Initially activate with County OES staff</li> <li>Increase or reduce staff as appropriate</li> </ul>				
Moderate Earthquake     Affecting OA     Major fire, wind or rain storm     affecting county     Two (2) or more large scale     incidents involving three (3)     or more departments or     Cities     Major scheduled event     Longer term incident, two or     more shifts	MEDIUM	II	Activate Level Two EOC staff:     * EOC Section Coordinator/     Branch Leaders     as appropriate      * Liaison Reps as     Appropriate      Activate Recovery     Organization if warranted.				
Major county or regional emergency     Three (3) or more departments with heavy resource involvement     Mutual aid resources unavailable for 24-hours     Portions of county cutoff/isolated     Significant injury, damage, loss     Long duration; several days to weeks	HIGH	III	Activate full EOC organization     Brief full EOC organization     Operate 12 hour shifts     Activate Recovery Organization     Request mutual aid via REOC     Demobilize Branches not required				

### 7.4.6 WHO MAY ACTIVATE



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The following County personnel are authorized to activate the County OA EOC provided that all criteria for EOC activation are met:

- Chairman of the Board of Supervisors
- County Executive Officer
- County Fire Chief/OES Coordinator
- County Assistant Fire Chief

### 7.4.7 HOW TO ACTIVATE

An authorized individual activating the EOC must contact:

- The OES Coordinator or designee
- Imperial County Fire Department Communication Center
- Identify yourself and provide callback confirmation telephone number if requested
- Briefly describe the emergency/disaster situation causing the request
- Request EOC Responder staffing at a Level I, II, or III.

The EOC Director will follow the activation set up procedures set forth in the *Management Section of the EOC Standard Operating Procedure (EOC SOG)*.

### 7.4.8 DEACTIVATION

Deactivation (demobilization) of the EOC will occur upon order of the EOC Director based on incident status. Deactivation may occur through a gradual decrease in staffing or all at once. EOC Responders must follow the deactivation procedures set forth in each Section of the **EOC Standard Operating Guide (EOC SOG).** 

When de-activation occurs, staff is responsible for:

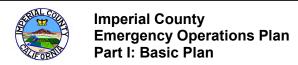
- Ensuring that any open actions not yet completed will be taken care of after the deactivation
- Ensuring that all required forms or reports are completed and turned in prior to deactivation
- Being prepared to submit and/or participate in developing an After Action Report

# 7.5 Field/EOC Communications and Coordination

Responsibility for emergency response is based on statutory authority. The emergency response is coordinated under SEMS/ICS, which provides a flexible, adaptable and expandable response organization to address all-hazards of varying magnitude and complexity.

An EOC is activated to support field operations when an emergency requires additional resources, or when requested resources exceed that which is available from within the jurisdiction. Field Incident Commanders and EOCs will establish communications when the EOC is activated. Local government EOCs will establish communications with the Operational Area EOC (OAEOC). The OAEOC will communicate with the Regional Emergency Operations Center (REOC) and the REOC will communicate with the State Operations Center (SOC).

# 7.6 Field/EOC Direction and Control Interface



#### 7.6.1 COMMAND AND CONTROL

During response to minor or moderate events, jurisdictions may manage the emergency with existing resources and may or may not activate their local EOC. Personnel that are part of a field level emergency response will utilize the Incident Command System (ICS) to manage and direct on-scene operations.

During multiple-incident situations within the County, an Area Command may be established to provide for the ICs at separate locations. Generally, an Area Commander will be assigned and receive policy direction from the EOC.

Another scenario for the EOC/Area Command interaction would be the occurrence of several similar type incidents located in close proximity but in different jurisdictions. A Unified Area Command may be established to oversee Incident Commands operating in general proximity to each other. The Unified Area Command would coordinate with the activated local government EOCs.

# 7.6.2 COORDINATION WITH THE OPERATIONAL AREA CITIES AND TOWNS

Coordination and communications should be established between activated local government EOCs and the Operational Area (OA). For most of the Cities/Towns, this channel is through the Emergency Services Coordinator or designee by phone, radio, or computer. The Emergency Services Coordinator will notify and communicate with Imperial County Fire Office of Emergency Services who serves as the County Operational Area EOC. The OA responsibilities involve coordinating with the city and other organizations to deploy field-level emergency response personnel, activate emergency operations centers, and issue orders to protect the public.

The Multi-Agency Coordination System (MACS) is the decision-making system used by member jurisdictions of the Imperial County Operational Area. Agencies and disciplines involved at any level of the SEMS organization work together to facilitate decisions for overall emergency response activities, including the sharing of critical resources and the prioritization of incidents.

# 7.6.3 MULTI-AGENCY OR INTER-AGENCY COORDINATION (MACS)

Multi-Agency Coordination (MAC) is a process that allows all levels of government and all disciplines to work together more efficiently and effectively. MAC occurs across the jurisdictional lines, or across levels of government. The primary function of MAC is to coordinate activities above the field level and to prioritize the incident demands for critical or competing resources. MACS consist of a combination of elements: personnel, procedures, protocols, business practices and communications integrated into a common system.

In the EOC, representatives who are authorized to represent or commit agency resources and funds are brought together to form Multi-Agency Coordination Groups (MACS Groups) that can:

- Commit agency resources and funds,
- Provide coordinated decision making,
- Allocate resources among cooperating agencies,
- Establish priorities among incidents,
- Harmonize agency policies, and
- Provide strategic guidance to support incident management activities.



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# MACS Groups may include:

- Representatives from the County's departments and agencies;
- Representatives from outside agencies including Special Districts, volunteer agencies, and private organizations;
- Coordination with agencies not represented in the EOC may be accomplished through other methods of communications; and
- Involvement by all departments and agencies in the EOC action planning process is essential for effective emergency management within the County.

# 7.7 Field Coordination with Department Operations Centers (DOCs) and Emergency Operations Centers (EOCs)

Communication and coordination among SEMS levels is clearly necessary for effective emergency response. In a major emergency, the County's EOC may be activated to coordinate the overall response. Incident Commanders (ICs) in the field may communicate with the Department Operations Centers (DOCs) which in turn will communicate and coordinate with the EOC. Depending on the incident, the ICs may communicate directly with the EOC, usually to their counterpart in the Operations section. When the EOC is directly overseeing the incident command teams, the EOC is operating in a centralized coordination and direction mode.

# **SECTION 8: MUTUAL AID**

# 8.1 Overview

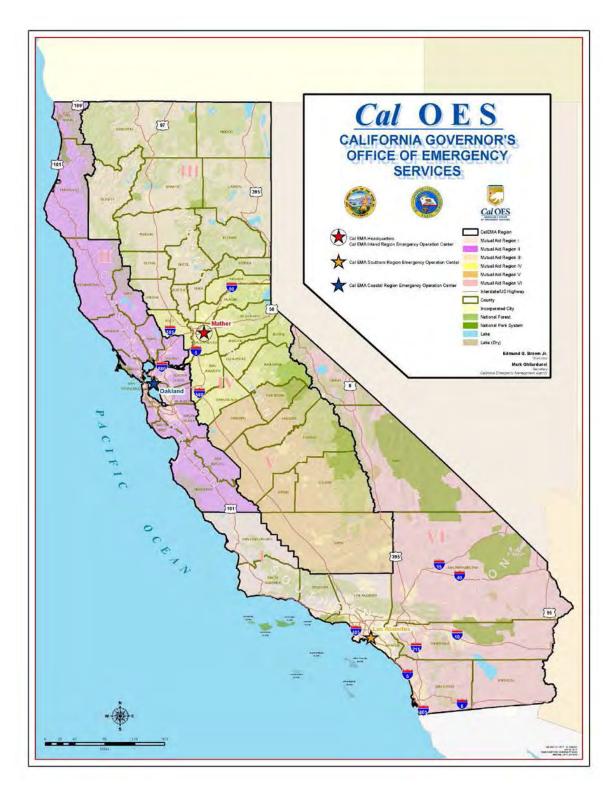
California's emergency assistance is based on a statewide mutual aid system designed to ensure that adequate support and/or additional resources are provided to a jurisdiction whenever their own resources are overwhelmed or inadequate. The basis for this system is the *California Disaster and Civil Defense Master Mutual Aid Agreement (MMAA)*, which is entered into by and between the State of California, its various departments and agencies and the various political subdivisions, municipal corporations and public agencies to assist each other by providing resources during an emergency. This plan promotes the establishment of emergency assistance agreements between public and private sector agencies at all levels.

The agreement obligates each signatory entity to provide aid to each other during an emergency without expectation of reimbursement. Under specific conditions, federal and state monies may be appropriated to reimburse public agencies who aid other jurisdictions. If other agreements, memoranda and contracts are used to provide assistance for consideration, the terms of those documents may affect disaster assistance eligibility and local entities may only be reimbursed if funds are available.

Formal mutual aid requests will follow specified procedures and are processed through preidentified mutual aid coordinators. Mutual aid requests will follow discipline-specific chains (i.e. fire, law enforcement, emergency manager, etc.) from one level of government to the next. The mutual aid coordinator receives the mutual aid request and coordinates the provision of resources from within the coordinator's geographic area of responsibility. In the event resources are unavailable at one level of government, the request is forwarded to the next higher level of government to be filled.

# **8.1.1 MUTUAL AID REGIONS**

To facilitate the coordination and flow of mutual aid, the State is divided into **six** Mutual Aid Regions. Imperial County is located in region VI.



### **8.1.2 MUTUAL AID AGREEMENTS**

The *California Disaster and Civil Defense MMAA* creates a formal structure wherein each jurisdiction retains control of its own facilities, personnel and resources, but may also receive or render assistance to other jurisdictions within the State. State government is obligated to provide available resources to assist local jurisdictions in emergencies. It is the responsibility of local jurisdictions to negotiate, coordinate and prepare mutual aid agreements. Mutual aid agreements exist for law enforcement, fire, public works, medical services and emergency managers.

Mutual aid assistance may be provided under one or more of the following plans:

- Law Enforcement Mutual Aid Plan
- Search and Rescue Mutual Aid Plan
- Coroner Mutual Aid Plan
- Urban Search and Rescue Mutual Aid Plan
- Emergency Managers Mutual Aid Plan
- Public Works Mutual Aid Plan
- California Medical Mutual Aid Plan

#### 8.1.3 MUTUAL AID COORDINATION

Formal mutual aid requests will follow an established process for ordering, tracking, mobilizing and demobilizing. Depending on the scale of the emergency, limited resources may need to be rationed or controlled and are processed through pre-identified mutual aid coordinators. Mutual aid requests will follow discipline-specific chains (e.g., fire, law enforcement, emergency manager, etc.) from one level of government to the next. The mutual aid coordinator receives the mutual aid request and coordinates the provision of resources from within the coordinator's geographic area of responsibility. In the event resources are unavailable at one level of government, the request is forwarded to the next higher level of government to be filled.

- **Field Level Requests:** Requests for MMAA resources originate from the Field Level and are managed by the Incident Commander (IC). If the IC is unable to obtain the resource through existing local channels, the request is elevated to the next successive government level until obtained or cancelled.
- Local Government Request: Local jurisdictions are responsible for the protection of life and property within the municipal geographic boundaries. The local jurisdiction where the incident occurred should assess its resource inventory and existing local agreements to determine if the requested resource is available. When locally committed resources are exhausted and mutual aid is needed, the local official will request assistance from the OA Mutual Aid Coordinator.
- Operational Area Requests: The OA is a composite of its political subdivisions (i.e. municipalities, contract cities, Special Districts and County agencies). The OA Mutual Aid Coordinator assesses the availability of resources within the OA and fulfills the resource request based upon that assessment. In the event resources are unavailable at the OA level, the request is forwarded to the responsible Region Mutual Aid Coordinator to be filled.



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- Region Level Requests: The state is geographically divided into six Mutual Aid Regions. For Law Enforcement Mutual Aid, Region I is divided into two sub-regions. Each Mutual Aid Region is comprised of multiple Operational Areas and has a Regional Mutual Aid Coordinator. The Region Mutual Aid Coordinator is granted the authority to coordinate the mutual aid response of discipline-specific resources within the Region to support a mutual aid request by a jurisdiction also within the Region. In the event resources are unavailable at the Region level, the request is forwarded to the State Mutual Aid Coordinator to be filled.
- State Level Requests: On behalf of the Governor, the Secretary of Cal OES has the
  responsibility for coordination of state mutual aid resources in support of local
  jurisdictions during times of emergency. The Secretary will analyze and coordinate the
  request by forwarding the request to an unaffected REOC or tasking an appropriate state
  agency to fill the need.

# **8.1.4 INTERSTATE MUTUAL AID**

Mutual aid may also be obtained from other states. California is a member of the interstate Emergency Management Assistance Compact (EMAC), a congressionally ratified organization that provides form, structure and procedures for rendering emergency assistance between states. After a state of emergency declaration, California can request and receive reimbursable assistance through EMAC for other member states quickly and efficiently without issues of liability. The Secretary of Cal OES and the states' EMAC Coordinator are responsible for facilitating requests for assistance pursuant to EMAC.

### 8.1.5 VOLUNTEER AND PRIVATE MUTUAL AID

A significant component of our mutual aid system is through volunteer and private agencies. These include agencies such as the American Red Cross (ARC) and Salvation Army who mobilize to provide assistance with mass care and sheltering. During these large-scale incidents, these agencies will typically provide a representative to the County EOC.

Many private agencies, churches, non-profits and other organizations offer to provide their assistance during emergencies. If needed, the County may request the agency to provide a liaison to the EOC to help facilitate and coordinate mutual aid.

# 8.1.6 MUTUAL AID RESOURCE MANAGEMENT

It is the policy of the state that contracts and agreements for emergency response and disaster repair and restoration should be entered into by the lowest level of government. When local resources are exhausted and additional resources are required, resource requests (mission tasking) will follow an established process for ordering, tracking, mobilizing and demobilizing. Depending on the scale of the emergency, limited resources may need to be rationed or controlled.

### **8.1.7 RESOURCE ORDERING**

All resource requests, at each level, must include the following:

- Clearly describe the current situation;
- Describe the requested resources;
- Specify the type or nature of the service the resource(s) will provide;



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- Provide delivery location with a common map reference;
- Provide local contact at delivery location with primary and secondary means of contact;
- Provide the name of the requesting agency and/or OA Coordinator contact person;
- · Indicate time frame needed and an estimate of duration; and
- Resource request involving personnel and/or equipment with operators will need to indicate if logistical support is required (e.g., food, shelter, fuel and reasonable maintenance).

#### **8.1.8 RESOURCE DIRECTORIES**

Each state agency and local government entity should identify sources for materials and supplies internally and externally. The County currently utilizes the following systems for mobilizing/demobilizing, tracking, re-assigning, and accounting for county assets:

 Sheriff CAD (Computer Aided Dispatch) – Fire/Law Enforcement/Animal Control Resources

The County is in the process of implementing the Web EOC Resource Manager Database program for the following additional county assets:

- Office of Emergency Services (OES) Resources
- Public Health Resources
- ICEMS (Southern Counties Emergency Medical Agency) Resources

#### **8.1.9 DAILY UPDATES**

The requesting agencies are responsible to report to Cal OES the number and status of resources deployed on a mission on a daily basis.

#### 8.1.10 FEDERAL ASSISTANCE

When resources are not available within the state or through existing agreements with other states, California may request assistance from the federal government. Requests for federal assistance during an emergency will be coordinated through the State Operations Center (SOC).

#### SECTION 9: INFORMATION COLLECTION, ANALYSIS, AND DISSEMINATION

#### 9.1 Overview

Emergency Operations Centers (EOCs) are responsible for gathering timely, accurate, accessible and consistent intelligence during an emergency. Situation reports should create a common operating picture and be used to adjust the operational goals, priorities and strategies.

To ensure effective intelligence flow, emergency response agencies at all levels must establish communications systems and protocols to organize, integrate and coordinate intelligence among the affected agencies. The flow of situation reports among the levels of government should occur as:

#### FIELD LEVEL

Field situation reports should be disseminated to local EOC.

#### LOCAL EMERGENCY OPERATIONS CENTER (EOC)

Local EOC will summarize reports received from the field, Department Operation Centers (DOCs) and other reporting disciplines, and send to the Operational Area (OA) EOC.

#### OPERATIONAL AREA EMERGENCY OPERATIONS CENTER (OA EOC)

The OA EOC will summarize reports received from responsible local EOCs, County field units, County DOCs and other reporting disciplines, and forward to the Cal OES Regional Emergency Operations Center (REOC).

#### REGIONAL EMERGENCY OPERATIONS CENTER (REOC)

The REOC will summarize situation reports received from the OA EOC, state field units, state DOCs and other reporting disciplines, and forward to the State Operations Center (SOC).

#### STATE OPERATIONS CENTER (SOC)

The SOC will summarize situation reports received from the REOC, state DOCs, state agencies and other reporting disciplines, and distribute to state officials and others on the distribution list.

#### JOINT FIELD OFFICE (JFO)

When the state-federal JFO is activated, the REOC and SOC situation reports will be assimilated into the JFO situation report. The REOC organization may be collocated with the federal organization at the JFO.

#### 9.2 Technology

The use of technology via the world-wide internet has redefined the parameters of emergency management and has enhanced simultaneous record keeping for the County. The utilization of internet web-hosted computer applications, in use in the County, includes the State Web-based Emergency Operations Center (CalEOC) used by the County EOC.

#### 9.2.1 CALIFORNIA EMERGENCY OPERATIONS CENTER (CalEOC)

California established communications support procedures and systems to provide information links for elements of the California Emergency Organization specifically between the OA, the



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OES REOC, the State Operations Center (SOC), and other state agencies. A key element of the current system is the Web-based Emergency Operations Center (CalEOC). CalEOC provides real time access to Federal, State and Local emergency response agencies throughout California for reporting and data collection. It is SEMS and NIMS compliant.

Imperial County utilizes CalEOC; a crisis information management system for sharing elements of the crisis. This allows the County to have a common operating picture, situational awareness and information coordination throughout the Operational Area (OA) during an emergency. OA EOC responders are able to share real time information with other agencies within the County and Cities/Towns which allows for a coordinated deployment of resources available to emergency managers.

In addition to CalEOC, the OA has other emergency management information systems operational in the EOC. They include the Operational Area Satellite Information System (OASIS) and Emergency Alert System (EAS). These systems link the County/Operational Area EOC with each of the Cities and Towns comprising the OA, County DOCs, State of California Governor's Office of Emergency Services, and local radio stations.

#### **SECTION 10: PUBLIC INFORMATION**

#### 10.1 Overview

The purpose of Emergency Function (EF) 15 – Public Information, is to provide accurate, coordinated, timely and accessible information to affected audiences, including governments, media, the private sector, and the local populace including those with access and functional needs. This may be achieved by using accessible means and accessible formats on the incident's cause, size and current situation to the public, responders and additional stakeholders (both directly affected and indirectly affected).

Public information must be coordinated and integrated as part of the Multiagency Coordination System (MACS) across jurisdictions, agencies and organizations among federal, state, tribal and local governments and with the private sector and Non-Government Organizations (NGOs). Public information includes processes, procedures and organizational structures required to gather, verify, coordinate and disseminate information.

The County has a Public Information Officer (PIO) who acts as spokesperson for the County as directed. The PIO directs, plans, organizes and coordinates a public relations and information dissemination program for the County.

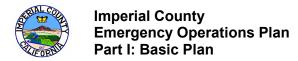
#### **10.2 Government Responsibility**

The media provides the public with hazard warnings, safety instructions, official announcements, notice of emergency regulations, evacuation procedures, directions on getting to medical and mass care facilities, status reports on the condition of lifelines, and damage assessment information. Radio and television stations are required to maintain and test emergency communications equipment.

The Federal Communications Commission (FCC) governs the Emergency Alert System (EAS), and local emergency managers are responsible for getting emergency information to EAS as well as ensuring that the information is translated for non-English speakers and made available to those with visual and hearing disabilities.

Accurate and timely information is critical to saving lives and protecting property in a disaster. Coordination between the media and the EOC and other official communications systems contributes importantly to rumor control and assessments of report validity, and strengthens coordination generally among Local, County, State, and Federal information officials. Coordination with the media can also improve the quality of status reports about response efforts.

Although this Plan addresses public information and media relations in the context of emergency response, the basis for the success of that effort occurs long before the disaster. Public awareness and education prior to any emergency are crucial to successful public information efforts during and after the emergency. The pre-disaster awareness and education programs must be viewed as equal in importance to all other preparations for emergencies and receive an adequate level of planning.



#### 10.3 Function

The coordination of public information in a disaster will require a high level of coordination between Cities and Towns, Special Districts, private organizations, and the County. For purposes of this Plan, the EOC will provide overall coordination of County and OA public information during a disaster. This coordination will be initiated when there is a Level II activation of the OA EOC. The EOC PIO will perform the public information function under the management component of SEMS.

It will be the responsibility of this public information function to coordinate the collection of information from field, local, and zone locations and formulate an accurate and comprehensive picture of the disaster situation for release to the public. Dissemination of information may occur in the form of press releases, public service announcements, situation summaries, EAS, media interviews and press conferences.

In addition to the functions generally described for the public information function, the political, economic and social impacts of the statements released must be considered. A high level of coordination will need to occur with elected officials to ensure that the message(s) provided to the public reflects public policy as it relates to the particular disaster event.

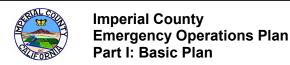
Depending on the type of event, the EOC PIO may perform his or her function from a field location collocated with the Joint Information Center (JIC), or other field support location designated by an Incident Commander. The EOC PIO's primary role is established and maintains positive working relationships with the media in attendance to ensure that the public receives accurate, comprehensive and timely reports of the event.

#### 10.4 Joint Information Center (JIC)

The Joint Information Center (JIC) is a central location that facilitates operation of the Joint Information System (JIS). It is a location where personnel with public information responsibilities perform critical emergency information functions, crisis communications and public affairs functions. JICs may be established at the OA EOC, at incident sites, or can be components of Federal, State, tribal, territorial, regional, or local MACS (e.g., MAC Groups or EOCs).

Typically, an incident–specific JIC is established at a single, on-scene location in coordination with Federal, State, and local agencies (depending on the requirements of the incident) or at the national level, if the situation warrants. Informational releases are cleared through IC/UC, the EOC/MAC Group, and/or Federal officials in the case of federally coordinated incidents to ensure consistent messages, avoid release of conflicting information, and prevent negative impact on operations. This formal process for informational releases ensures the protection of incident-sensitive information.

Agencies may issue their own releases related to their policies, procedures, programs, and capabilities; however, these should be coordinated with the incident-specific JIC(s). A single JIC location is preferable, but the system is flexible and adaptable enough to accommodate virtual or multiple JIC locations, as required. For example, multiple JICs may be needed for a complex incident spanning a wide geographic area or multiple jurisdictions. In instances when multiple JICs are activated, information must be coordinated among all appropriate JICs; each JIC must have procedures and protocols to communicate and coordinate effectively with one another. Whenever there are multiple JICs, the final release authority must be the senior command,



whether using Unified or Area Command structures. A county JIC may be used when an incident requires County coordination and is expected to be of long duration (e.g., weeks or months) or when the incident affects a large area of the County.

#### **10.5 Public Awareness and Education**

The public's response to any emergency is based on an understanding of the nature of the emergency, the potential hazards, the likely response of emergency services, and knowledge of what individuals and groups with and without access and functional needs should do to increase their chances of survival and recovery. Pre-disaster awareness and education programs are viewed as equal in importance to all other preparation for emergencies. The County places a high priority in public disaster education by providing citizens emergency training such as Federal Emergency Management Agency (FEMA) Community Emergency Response Team (CERT) training.

#### 10.5.1 EMERGENCY PUBLIC INFORMATION

During an emergency, the County is responsible for the dissemination of information about the emergency to the public to keep them informed about what has happened, the actions of the emergency response agencies and to summarize the expected outcomes of the emergency actions. The Public Information Officer's (PIO's) primary role is to disseminate emergency instructions and critical information to the media and the public and to provide approved messages that are accessible to all sectors within the access and functional needs population, including those who are deaf, blind, or require messages in a different language.

The County has various systems in place for disseminating warnings and emergency information to the public. The following primary systems may be utilized by the County in an emergency.

#### 10.5.2 EMERGENCY ALERT SYSTEM (EAS)

The Emergency Alert System (EAS) is designed for the broadcast media to disseminate emergency public information. This system enables the President, and federal, state and local governments to communicate with the general public through commercial broadcast stations.

This system uses the facilities and personnel of the broadcast industry on a volunteer basis. EAS is operated by the broadcast industry according to established and approved EAS plans, standard operating guides and within the rules and regulations of the Federal Communications Commission (FCC). FCC rules and regulations require all participating stations with an EAS operating area to broadcast a common program. Each broadcast station volunteers to participate in EAS and agrees to comply with established rules and regulations of the FCC.

#### 10.5.3 TELEPHONE EMERGENCY NOTIFICATION SYSTEM (TENS)

The County acquired the TENS to provide rapid emergency notifications to residents of the County. TENS, also referred to as a Reverse 9-1-1 Public Warning System, is a public warning system that may be used to warn or advise County residents of the potential for fire, flood, or other emergency circumstances in the County.

An emergency may require varied responses, depending on the type of incident, whether it is an act of nature, human caused, or a technical event. The primary purpose of TENS is to improve notification of persons within a geographic area in the event of a **life-threatening** incident or



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threat. This may include evacuation notices, shelter in place orders, and/or special instructions for an imminent threat.

The TENS system uses a database of phone numbers and addresses which are geocoded with the County's street network to identify phone numbers in a specific area. The notification system can complete both small and large-scale notifications. The system is a notification option for public safety officials to make emergency notifications in a timely manner.

#### **SECTION 11: ACCESS AND FUNCTIONAL NEEDS**

Populations with access and functional needs include those members of the community who may have additional needs before, during and after an incident in functional areas including, but not limited to maintaining health, independence, safety and support, communication, and transportation.

Individuals in need of additional response assistance may include those who:

- Have disabilities;
- · Live in institutionalized settings;
- Are elderly;
- Are children;
- Are from diverse cultures:
- Have limited English proficiency or are non-English speaking; or
- Are transportation disadvantaged.

Lessons learned from recent national emergencies concerning people with disabilities and older adults have shown that the existing paradigm of emergency planning, implementation and response must change to meet the needs of these groups during an emergency. These lessons show four areas that are repeatedly identified as most important to people with access and functional needs. Each of the following areas has been addressed in detail under their respective plan:

- 1. **Communications and Public Information** Emergency notification systems must be accessible to ensure effective communication for people who are deaf/hard of hearing, blind/low vision, or deaf/blind. See: Section 10.5.2 and 10.5.3 of this plan for additional information.
- 2. **Evacuation and Transportation** Evacuation/Transportation plans should incorporate public transit, para-transit, school bus and private sector transportation resources and strategies for identifying and movement of people with disabilities and others with access and functional needs.
- 3. Sheltering Care and shelter plans must address the access and functional needs of people with disabilities and older adults to allow for sheltering in general population shelters. See: Imperial County Mass Care and Shelter (MCS) Plan for additional information.
- 4. **Americans with Disabilities Act** When shelter facilities are activated, Imperial County will make every reasonable effort to address and resolve Americans with Disabilities Act (ADA) issues when they arise. See: Imperial County Mass Care and Shelter (MCS) Plan for additional information.

Imperial County is committed to the inclusion of access and functional needs in the County's planning efforts and will do everything reasonably possible to communicate and coordinate with people with access and functional needs.

#### **SECTION 12: CONTINUITY OF GOVERNMENT**

#### 12.1 Overview

A major disaster could include death or injury of key officials, partial or complete destruction of established seats of government, and the destruction of public and private records essential to continued operations of government and industry. Law and order must be preserved and government services maintained. Applicable portions of the California Government Code and the Constitution of the State of California provide authority for the continuity and preservation of local government.

Continuity of leadership and government authority is particularly important with respect to emergency services, direction of emergency response operations, and management of recovery operations. To this end, it is particularly essential that the County of Imperial and all the Cities and Towns within the County continue to function as government entities. The California Government Code and the Constitution of California provide the authority for state and local governments to reconstitute themselves in the event incumbents are unable to serve.

Under California's concept of mutual aid, local officials remain in control of their jurisdiction's emergency operations while others may provide additional resources upon request. A key aspect of this control is to be able to communicate official requests, situation reports, and other emergency information throughout any disaster situation.

To ensure continuity of government seven elements must be addressed by government at all levels:

- Succession of Officers
- Seat of Government
- Emergency Powers and Authority
- Emergency Plans
- Primary and Alternate Emergency Operations Center(s)
- Preservation of Vital Records
- Protection of Critical Infrastructure

#### 12.1.1 SUCCESSION AND POWERS OF THE DIRECTOR OF EMERGENCY SERVICES

Section 2.104.050 of the Imperial County Code, identifies the following lines of succession for the Director of Emergency Services:

- 1. Vice-Chair of the Board of Supervisors
- 2. Assistant Director of Emergency Services/Fire Chief
- 3. County Executive Officer
- 4. Assistant Fire Chief



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Section 2.104.060 of the Imperial County Code, empowers the Director of Emergency Services to:

- 1. Request the Board of Supervisors to proclaim the existence of a "Local Emergency" if the Board of Supervisors is in session;
- 2. Request the Chair of the Board of Supervisors to issue such proclamation if the Board of Supervisors is not in session. Or, in the absence of the Chair of the Board of Supervisors, request the Vice-Chair of the Board of Supervisors to issue such a proclamation if the Board of Supervisors is not in session. Or, in the absence of the Chair and Vice-Chair of the Board of Supervisors to issue such proclamation if the Board of Supervisors is not in session;
- 3. Recommend that the Board of Supervisors request the Governor to proclaim a "State of Emergency" when, in his or her opinion, the locally available resources are inadequate to cope with the emergency;
- 4. Control and direct the effort of the emergency organization of this County for the accomplishment of the purposes in this Chapter;
- 5. Direct cooperation between and coordination of services and staff of the emergency organization of this County and resolve questions of authority and responsibility that may arise between them; and
- 6. Represent this County in all dealings with public or private agencies on matters pertaining to emergencies as defined herein.

#### 12.1.2 SUCCESSION OF OFFICERS WHO HEAD DEPARTMENTS

Section 8637, Article 15, Chapter 7, Division 1, Title 2 of the California Government Code permits the political subdivision to provide for the succession of officers who head departments having duties in the maintenance of law and order or in the furnishing of public services relating to health and safety. The Lines of Succession listing for the primary County emergency response functions are listed in Chart: 12.1.7.

#### **12.1.3 STANDBY OFFICERS**

Section 8638, Article 15, Chapter 7, Division 1, Title 2 of the California Government Code permits the governing body to appoint up to three standby officers for each member of the governing body and up to three standby officers for the political subdivision's chief executive. The standby officers shall have the same authority and powers as the regular officers.

#### 12.1.4 RECONSTITUTING THE GOVERNING BODY WITH TEMPORARY OFFICERS

Section 8644, Article 15, Chapter 7, Division 1, Title 2 of the California Government Code establishes a method for reconstituting the governing body. It authorizes that, should all members of the governing body, including all standby members, be unavailable, temporary officers shall be appointed by the chairman of the board of any other County within 150 miles of the political subdivision or, if unavailable, by the mayor of any city within 150 miles of the political subdivision.



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#### 12.1.5 MEETING OF GOVERNING BODY DURING AN EMERGENCY

Section 8642, Article 15, Chapter 7, Division 1, Title 2 of the California Government Code directs local governing bodies to convene as soon as possible whenever a state of emergency or local emergency exists and at a place not necessarily within the political subdivision.

#### 12.1.6 DUTIES OF GOVERNING BODY DURING AN EMERGENCY

Section 8643, Article 15, Chapter 7, Division 1, Title 2 of the California Government Code provides that the duties of the governing body during emergencies shall include ascertaining the damage to the political subdivision and its personnel and property, reconstituting itself and the political subdivision, and performing functions in preserving law and order and furnishing local services.

#### 12.1.7 CHART: IMPERIAL COUNTY LINES OF SUCCESSION

The Lines of Succession listing for the primary Imperial County emergency response (County Departments) function as follows:

Function/Department	Title/Position		
Agricultural/Seal of Weights	Agricultural Commissioner     Assistant Agricultural Commissioner     Deputy Agricultural Commissioner		
Air Pollution Control	Air Pollution Control Officer     Assistant Air Pollution Control Officer     Division Manager		
Assessor	Assessor     Assistant Assessor     Auditor Appraisal Supervisor		
Auditor/ Controller	Auditor/Controller     Assistant Auditor/Controller     Systems and Audit Manager		
Behavioral Health	Director     Assistant Director     Deputy Director of Youth and Young     Adults		
Child Support Services	Director     Assistant Director     Program Manager & Administrative     Services Manager		
Clerk of the Board	Clerk of the Board     Assistant Clerk of the Board     County Executive Officer		
Cooperative Extension	County Director     Safety Coordinator     Office Supervisor		
County Clerk/Recorder	Clerk/Recorder     Assistant Clerk/Recorder		



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County Counsel	County Counsel     Assistant County Counsel     Senior Deputy County Counsel
County Free Library	County Librarian     Assistant County Librarian     Library Technician
District Attorney	<ol> <li>District Attorney</li> <li>Assistant District Attorney</li> <li>Chief Investigator</li> <li>Assistant Chief Investigator</li> </ol>
Executive Office	County Executive Officer     Assistant County Executive Officer     Deputy CEO
Airport	County Executive Officer     Assistant County Executive Officer     Manager
Community & Economic Development	County Executive Officer     Assistant County Executive Officer     Manager
EEO/ADA	County Executive Officer     Assistant County Executive Officer     Administrative Analyst
Fleet Services	Fleet Supervisor     Lead Mechanic     Mechanics
Info/Technical Services	ITS Manager     ITS Network Administrator     ITS Communications Specialist
Procurement Services	Purchasing Supervisor     Systems Coordinator     Office Technician
Fire Protection/OES	County Fire Chief     Assistant County Fire Chief     Deputy Chief
Human Resources & Risk Management	Director     Assistant Director     Risk Management Analyst



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Planning & Development Services Parks & Recreation	Director     Assistant Director     Planning Division Manager     Building Division Manager
Probation & Corrections	Chief     Assistant Chief     Division Manager
Public Administrator/AAA	<ol> <li>Public Administrator</li> <li>Assistant Public Administrator</li> <li>Area Agency on Aging Manager</li> </ol>
Public Defender	Department Head     Assistant Public Defender     Senior Deputy Public Defender
Public Health/EHS Animal Control/EMS	Director     Deputy Director     EMS Manager
Public Works	<ol> <li>Director</li> <li>Deputy Director of Public Works/Engineering</li> <li>Deputy Director of Public Works/Admin</li> <li>Deputy Director of Field Operations</li> </ol>
Registrar of Voters	Registrar of Voters     Office Tech     Office Assistant III
Retirement	Retirement Administrator     Assistant Administrator     Account/Auditor
Sheriff/Coroner	Sheriff     Undersheriff     Chief/Operations Division     Coroner's Sergeant
Social Services	Director     Deputy Director of Administration     Deputy Director of Welfare to Work     Division
Treasurer/Tax Collector	Treasurer-Tax Collector     Assistant Treasurer-Tax Collector     Division Manager
Workforce Development	Director     Deputy Director     Supervisor

#### 12.2 Alternate Government Facilities

#### 12.2.1 IMPERIAL COUNTY SEAT OF GOVERNMENT

Section 23600 of the California Government Code provides that the Board of Supervisors shall designate alternate County seats which may be located outside County boundaries (real property cannot be purchased for this purpose). A resolution designating the alternate County seats must be filed with the Secretary of State, and additional seats may be designated subsequent to the original site designations if circumstances warrant.

For appointed officials of Board-governed Special Districts, the Board of Supervisors may designate alternates to serve as acting officers in their principal positions when necessary.

In general, the seat of County government is the place where the Board of Supervisors sits and meets:

#### **Imperial County Administration Center**

Board Chambers 950 Main Street, Second Floor El Centro, CA 92243

#### 12.2.2 ALTERNATE SEAT OF GOVERNMENT

The Chairman or Vice Chairman or other member of the Board of Supervisors may designate alternate or temporary seats of government in the event the above referenced location is deemed unsafe. The alternate location would depend upon the extent of damages resulting from a Countywide event. However, alternate locations may be as follows:

#### **Imperial County Courthouse**

208 Main Street Brawley, CA 92227

#### **Imperial County Courthouse**

415 East Fourth Street Calexico, CA 92231

#### **Imperial County Center Four**

2995 S. 4<sup>th</sup> Street, Suite 105 El Centro, CA 92243

#### 12.3 Vital Record Retention

The preservation of vital records is of high importance to Imperial County. The County has an established Records Management Program, which is tasked to manage County records efficiently and economically by reducing the amount of unnecessary records being stored, creating a Countywide Records Retention Program, setting up standards and procedures for storing records, administering salvage paper programs, and maintaining historical records of the County.

The preservation of vital records is critical to the County's recovery from a catastrophic event. In addition to the information retrieval requirements of response, each response function has a record-keeping component. Although the principal focus of vital records preservation is to



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support recovery through reimbursement of disaster-related costs, vital records also have a broader and arguably more important function. Vital records become vital because they help to describe a reasonably complete compilation of damage, death, physical and mental trauma, and allocation of public and private resources making it possible to learn from the disaster experience.

Vital records for the County are maintained by various Departments, including the following:

- The Clerk of the Board maintains records of the Board of Supervisors' actions, which include contracts for services, emergency proclamations and approval of emergency expenditures, programs and requests for grant funds.
- The County Clerk-Recorder maintains records regarding birth, death, and marriage certificates.
- The County Treasurer/Tax Collector maintains records regarding property taxes.
- The County Assessor maintains records regarding the value of real property.
- The County Auditor/Controller maintains records regarding budgets, accounting and audits.
- The County Information Technical Services maintain the County's archives and records management system.

#### **SECTION 13: RECOVERY**

#### 13.1 Overview

Recovery programs provide relief to individuals and communities stricken by an emergency and restore public services to a state of normalcy. Recovery efforts include damage assessments and the actions necessary to return health and safety systems (e.g., water, electricity, and food) and services (e.g., acute health care and law enforcement) to a community's minimum operating standards. Successful recovery activities result in the restoration of government operations, business, reconstruction of public buildings and infrastructure, and the rebuilding of impacted communities.

Recovery continues after the immediate public safety and life support infrastructure has been restored, and encompasses activities that result in the rebuilding of the affected communities based on their strategic priorities. It includes measures for social, political, environmental, and economic restoration, evaluation of the incident to identify lessons learned, post-incident reporting, and development of initiatives to mitigate the effects of future emergencies. Thus, many recovery activities are long-term and may continue for many years.

The County, each of the Cities/Towns in the OA, and all Special Districts serving the OA, will be involved in recovery operations for the OA. In the aftermath of a disaster, many citizens will have specific needs that must be met. Typically, there will be a need for such services as:

- Assessment of the extent and severity of damages to homes and other property;
- Restoration of services generally available in communities: water, food, and medical assistance;
- Repair of damaged homes and property;
- Vital records recovery; and
- Professional counseling for County citizens when the sudden changes resulting from the emergency have resulted in mental anguish and inability to cope.

Recovery operations occur in two phases: short-term and long-term. Below is an overview of each phase, including objectives and goals of the phases.

#### 13.1.1 SHORT TERM RECOVERY

Short-term recovery operations will begin during the response phase of the emergency. Short-term recovery operations will include all the agencies participating in the OA.

The major objectives of short-term recovery operations include:

- · Rapid debris removal and cleanup, and
- Orderly and coordinated restoration of essential services (electricity, water, and sanitary systems).

The goal of short-term recovery is to restore local government to at least a minimal capacity. Short-term recovery includes:

- Expanded social, medical, and mental health services;
- Re-establishment of the County continuity of government;



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- Re-establishment of transportation routes; and
- Abatement and demolition of hazardous structures.

For federally declared disasters, Local Assistance Centers (LACs) are established by local government (County/City/Town) and are staffed by local government, State OES and/or the Federal Emergency Management Agency (FEMA) personnel to assist disaster victims and businesses in applying for grants, loans, and other benefits. These LACs may host representatives from various agencies (governmental and private industry) in a coordinated effort to stage a "One-Stop" location for assistance to disaster victims and businesses.

#### 13.1.2 LONG TERM RECOVERY

The goal of long-term recovery is to restore facilities to pre-disaster condition if this is desirable. Long-term recovery activities include hazard mitigation activities, restoration or reconstruction of public facilities, and disaster response cost recovery.

The major objectives of long-term recovery operations include:

- Coordinated delivery of social and health services;
- Recovery of disaster response costs;
- Effective integration of mitigation strategies into recovery planning and operations in order to ensure a maximum reduction of vulnerability to future disasters; and
- Re-establishing the local economy to pre-disaster levels.

#### 13.1.3 RECOVERY ORGANIZATION

Federal and State response and recovery operations will be mutually coordinated with the Operational Area to ensure effective mobilization of resources to and in support of the impacted jurisdictions in accordance with the *California Catastrophic Incident Base Plan: Concept of Operations* dated September 23, 2008.

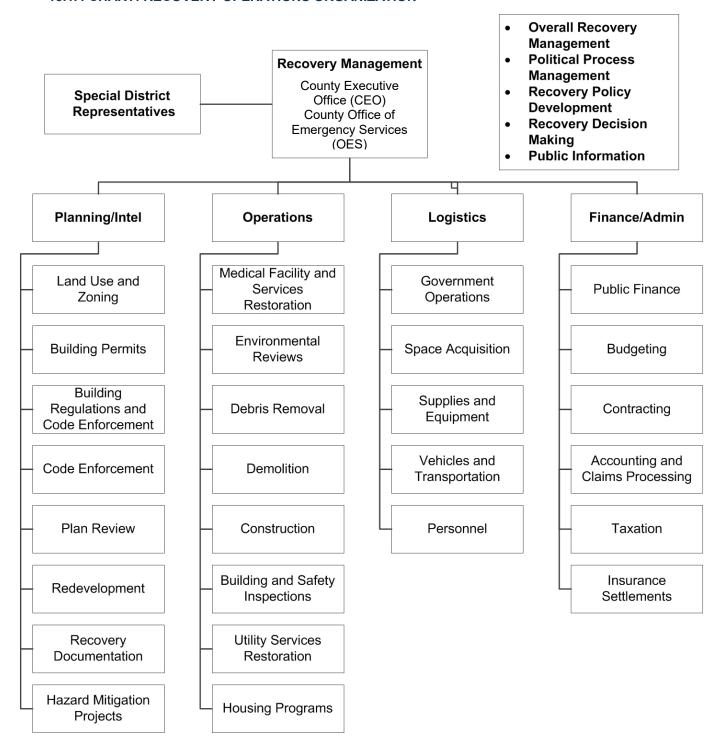
For the County, recovery operations will be managed and directed by the County Executive Officer (CEO). Recovery issues involving OA jurisdictions and Special Districts will be coordinated and managed between the CEO and designated representatives.

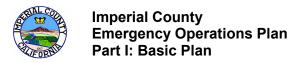
The County Fire Department, Office of Emergency Services, Pubic Works, and other designated County staff will assist the CEO in facilitating and leading the recovery process. County departments will also be represented and responsible for certain functions throughout the recovery process.



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#### 13.1.4 CHART: RECOVERY OPERATIONS ORGANIZATION





#### 13.1.5 RECOVERY OPERATIONS RESPONSIBILITIES

The County, Cities/Towns, and Special Districts have specific responsibilities in recovering from a disaster. The chart listed below depicts the functional responsibilities assigned to the County departments and/or key personnel, OA jurisdictions, and Special Districts.

Function	Department/Agencies
Political process management, interdepartmental coordination, policy development, decision making, and public information. Government operations and communications, space acquisition, supplies and equipment, vehicles, personnel, and related support.	County Executive Office
Advise on emergency authority, actions, and associated legal risks and liabilities, preparation of legal opinions, and preparation of new and amended ordinances, resolutions, and emergency proclamations.	County Counsel
Land use and zoning variance, permits and controls for new development, revision of building regulations and codes, code enforcement, plan review, and building and safety inspections.	County Land Use Services and City/Town Planning Departments
Debris removal, demolition, construction, management of and liaison with construction contractors, and restoration of utility services.	County Public Works/Solid Waste and County Special Districts
Restoration of Public Health medical facilities and associated services, and perform environmental reviews.	County Public Health/ICEMS
Lead County agency responsible for administering public assistance programs; including low income and accessible housing needs.	Community and Economic Development
Public finance, contracting, accounting claims processing, and insurance settlements.	County Auditor/Controller- Procurement Services and Risk Management
Applications for disaster financial assistance, liaison with assistance providers, and onsite recovery support.	County OES

#### 13.2 Recovery Damage/Safety Assessment

#### **13.2.1 OVERVIEW**

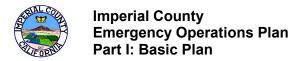
The recovery damage/safety assessment is the basis for determining the type and amount of State and/or Federal financial assistance necessary for recovery. County OES staff will prepare and file an Initial Damage Estimate (IDE) with State OES (via a RIMS report) during the incident to support a request for a gubernatorial proclamation and for use by State OES to request a presidential declaration.

A detailed damage/safety assessment report will be coordinated through the incident with the County OES and other applicable County Departments. Each County jurisdiction will complete a detailed damage/safety assessment and will forward this report to County OES for inclusion in the County's IDE report.

Building codes and land use regulations can reduce most of the structural damage that would otherwise result from a disaster. Nevertheless, damage will usually occur and a fast and accurate assessment of conditions is essential for immediate response and long-term recovery.

Damage/safety assessment is a multi-department responsibility. A summary of those responsibilities follows:

- **Public Works** Assessment of flood control systems, structures and capabilities; damage related to debris; county transportation issues.
- County Fire Assessing situations where hazardous materials are involved. Also will provide windshield (initial) surveys to assess damage, initiate initial life safety activity, and identify impacts to critical facilities.
- **Planning & Development** Perform detailed physical damage assessment on a building-by-building basis on non-governmental buildings. Coordinate engineering contract and volunteer services.
- Assessor Utilize damage assessment information to correlate, verify and document damage assessment losses in dollar values. Coordinate with Fire and Planning & Development.
- Auditor/Controller Utilize damage assessment information collected to correlate, verify and document losses in dollar values. Provide financial basis for county claims for reimbursement from federal and state sources.
- **Facilities Management** Responsible for both the initial and detailed assessment of all county buildings.
- **Sheriff** Provide initial assessment of damage observed, identify impacts to critical facilities and provide airborne surveillance where required.
- **Information Systems** Provide initial and detailed assessments of damage to county telecommunications systems.
- **Public Safety Dispatch Centers** Provide immediate assessment of center structural integrity to determine its continued availability or use.
- Public Health Obtain damage estimates from Public Health medical facilities.



• Office of Emergency Services - Compile damage assessment data for transmission to State OES.

#### 13.3 Recovery Documentation and Reporting

Recovery documentation and reporting are essential to recovering eligible emergency response and recovery costs. Timely damage/safety assessments, documentation of all incident activities and accurate reporting will be critical in establishing the basis for eligibility of disaster assistance programs.

County OES is responsible for coordinating the preparation of the appropriate documentation for an incident and for development/ filing of specific recovery reports to State OES.

#### 13.3.1 RECOVERY DOCUMENTATION

The recovery documenting information should include the location and extent of damage, and estimates of costs for:

- Debris removal,
- · Emergency work, and
- Repairing or replacing damaged facilities to a non-vulnerable and mitigated condition.
- The cost of compliance with building codes for new construction, repair, and restoration will also be documented. The cost of improving facilities may be provided under federal mitigation programs.

Documentation is essential to recovering expenditures related to emergency response and recovery operations. For each jurisdiction and special district, documentation must begin at the field response level and continue throughout the operation of their EOC as the disaster unfolds.

Included in the EOC Planning/Intelligence Section is a Documentation Branch that will coordinate the collection of all incident documentation for dissemination and filing.

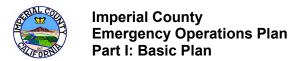
#### 13.3.2 RECOVERY REPORTING

Along with the IDE report to be filed with State OES, there are several other recovery related reports that are the responsibility of County OES. Such reports include the After Action Report and the After Action Questionnaire.

#### 13.4 Recovery After Action Reports

The completion of After Action Reports is a part of the required SEMS reporting process. The Emergency Services Act, Section 8607(f) mandates that the State Office of Emergency Services (State OES) in cooperation with involved state and local agencies, complete an After Action Report within 120-days after each declared disaster.

Section 2450(a) of the SEMS Regulations states, "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 State OES within 90-days of the close of the incident period as specified in the California Code of Regulations, section 2900(j)."



#### 13.4.1 USE OF AFTER ACTION REPORTS

After Action Reports (AARs) are made available to all interested public safety and emergency management organizations and serve the following important functions:

- As a source for documentation of response activities.
- Identifying problems/successes during emergency operations.
- Analysis of the effectiveness of the components of SEMS.
- Describe and define a plan of action for implementation of improvements.

The SEMS approach to the use of After Action Reports emphasizes the improvement of emergency management at all levels. The After Action Report provides a vehicle for not only documenting system improvements, but also can, if desired; provide a work plan for how these improvements can be implemented.

#### 13.4.2 COORDINATION

It may be useful to coordinate the After Action Report process when multiple agencies/jurisdictions are involved in the same emergency. Jurisdictions are encouraged to work together in the development of After Action Reports when appropriate and feasible. For example, an OA may take the lead in coordinating the development of an After Action Report, which involves several jurisdictions. If appropriate, jurisdictional reports may become part of an overall OA report.

Coordination is required in passing on information to and cooperating with other EOC Branches and elements of the emergency organization. The dissemination of information, establishment of priorities and distribution of resources cannot be done by any one person - and probably not by any one agency or department. A concerted effort on the part of many individuals in many agencies or departments will be required.

#### 13.4.3 SAMPLE: EOC ACTIVATION PERIOD/AAR REPORT

Upon the deactivation of the EOC, County OES will distribute an EOC Activation Period Questionnaire (either electronically or in hard copy) to all EOC Responders. The EOC Responders will complete the form and return the form to County OES for use in the development of the After Action Report.

#### After-Action/Corrective Action Report

(This AA/CA Report template can be used for a declared, un-declared, or pre-planned event, an exercise, and/or training for SEMS/NIMS compliance).

Information Needed	Text goes in text boxes below.
Name of Agency:	
Type of Agency:* (Select one)  * City, County, Operational Area (OA), State agency (State), Federal agency (Fed), special district, Tribal Nation Government, non- governmental or volunteer organization, other.	
OES Admin Region: (Southern)	
Completed by:	
Date report completed:	
Position: (use SEMS/NIMS positions)	
Phone number:	
Email address:	
Dates and Duration of event:  (Beginning and ending date of response or exercise activities – using mm/dd/yyyy)	
Type of event, training, or exercise:*  * Actual event, table top, functional or full scale exercise pre-identified planned event, training, seminar, workshop, drill, game.	
Hazard or Exercise Scenario:*  * Civil Disorder, Dam Failure, Drought, Earthquake, Fire, Flood, Landslide, Terrorism, Winter Storm, chemical, biological release/threat, radiological release/threat, explosive release/threat, cyber, or other/specify.	

#### **SEMS/NIMS FUNCTION EVALUATION**

MANAGEMENT (Public Information, Safety	, Liaison, etc.)	
	Satisfactory	Needs Improvement
Overall Assessment of Function (check one)		
If "needs improvement" please briefly descri	be improvements need	led:
Planning		
Training		
Personnel		
Equipment		
Facilities		
FIELD COMMAND (Use for assessment of f	ield operations, i.e., Fi	re, Law Enforcement, etc.)
	Satisfactory	Needs Improvement
Overall Assessment of Function (check one)		
If "needs improvement" please briefly descri	be improvements need	led:
Planning		
Training		
Personnel		
Equipment		
Facilities		
OPERATIONS (Law enforcement, fire/rescue	e, medical/health, etc.)	
	Satisfactory	Needs Improvement
Overall Assessment of Function (check one)	Guiloluololy	noods improvement
If "needs improvement" please briefly descri	be improvements need	led:
Planning		
Training		
Personnel		
Equipment		
Facilities		

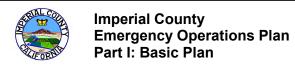
#### PLANNING/INTELLIGENCE (Situation analysis, documentation, GIS, etc.)

	Satisfactory	Needs Improvement
Overall Assessment of Function (check		
one)		
If "needs improvement" please briefly describ	oe improvements need	led:
Planning		
Training		
Personnel		
Equipment		
Facilities		
LOGISTICS (Services, support, facilities, etc.)		

	Satisfactory	Needs Improvement	
Overall Assessment of Function (check			
one)			
If "needs improvement" please briefly describe improvements needed:			
Planning			
Training			
Personnel			
Equipment			
Facilities			
EINANCE/ADMINISTRATION (Durchasir	ac cost unit atc \		

#### FINANCE/ADMINISTRATION (Purchasing, cost unit, etc.)

	Satisfactory	Needs Improvement	
Overall Assessment of Function (check			
one)			
If "needs improvement" please briefly describe improvements needed:			
Planning			
Training			
Personnel			
Equipment			
Facilities			



SEMS regulations under Title IX, Division 2, Chapter 1, Section 2450(a) require any federal, state, or local jurisdiction proclaiming or responding to a Local Emergency for which the governor has declared a *State of Emergency* or *State of War Emergency* shall complete and transmit an AAR to Cal OES within 90 days of the close of the emergency period. Upon completion of the AAR, corrective actions are identified to make recommendations for correcting

problems noted in the response/recovery effort, or during exercises and training. Depending on the level of the AAR, corrective action may encompass anything from detailed recommendations for improving individual agency plans and procedures to broader system-wide improvements. Priority corrective actions are assigned to relevant stakeholders and tracked to ensure the identified problem has been addressed.

#### 13.5 Recovery Disaster Assistance

When requesting implementation of disaster assistance programs, some key areas of concern must be adequately addressed. These areas include the needs of distinct groups, disaster assistance available at each level of declaration, and the level of detail required on each request for disaster assistance.

#### 13.5.1 INDIVIDUAL ASSISTANCE PROGRAM

The disaster individual assistance programs have been developed for the needs of four distinct groups:

- **Individuals:** may receive loans or grants for real and personal property, dental, funeral, medical, transportation, unemployment, sheltering, and rental assistance, depending on the extent of damage.
- Businesses: (including agriculture interests) may obtain loans that are often made available through the United States Small Business Administration (SBA), to assist with physical and economic losses as a result of a disaster or an emergency.
- Agriculture: programs exist for agricultural or other rural interests through the United States Department of Agriculture, including assistance for physical and production losses.
- **Government:** funds and grants are available to government and certain non-profit organizations to repair, reconstruct, and mitigate the risk of future damage. A state grant program is available to local governments to respond and recover from disasters. Federal grant programs are available to assist governments and certain non-profit organizations in responding to and recovering from disasters.

#### 13.5.2 PUBLIC ASSISTANCE PROGRAM

The Public Assistance Program provides Federal disaster grant assistance for the repair, replacement, or restoration of disaster-damaged, publicly owned facilities and the facilities of certain Private Non-Profit (PNP) organizations. The Federal share of assistance is not less than 75% of the eligible cost for emergency measures and permanent restoration. The State determines how the non-Federal share (up to 25%) is split with the applicants.

#### 13.5.3 ELIGIBLE APPLICANTS

 Eligible applicants include the States, local governments, Indian Tribes and certain PNP organizations.



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 Eligible PNP facilities must be open to the public and perform essential services of a governmental nature.

#### 13.5.4 ELIGIBLE WORK

To be eligible, the work must be required as the result of the disaster, be located within the designated disaster area, and be the legal responsibility of an eligible applicant. Work that is eligible for supplemental Federal disaster grant assistance is classified as either emergency work or permanent work.

FEMA has developed a number of reference documents that give specific details regarding Public Assistance. These documents include:

- Public Assistance Policy Digest
- Public Assistance Public Assistance Guide
- Public Assistance Applicant Handbook
- Public Assistance Debris Management Guide
- Public Assistance Program Public Assistance Coordinator 9570.2 SOP September 1999
- Public Assistance Program Case Management File 9570.3 SOP September 1999
- Public Assistance Program Kickoff Meeting 9570.4 SOP September 1999
- Public Assistance Program Project Formulation 9570.5 SOP September 1999
- Public Assistance Program Validation of Small Projects 9570.6 SOP September 1999
- Public Assistance Program Immediate Needs Funding 9570.7 SOP September 1999

#### 13.5.5 HAZARD MITIGATION GRANT PROGRAMS

Hazard Mitigation Grant Program (HMGP) activities are aimed at reducing or eliminating future damages. Activities include hazard mitigation plans approvable by the Federal Emergency Management Agency (FEMA) and cost effective hazard mitigation projects. HMGP grants are provided on a cost-share basis of 75 percent federal share and 25 percent non-federal share.

The Disaster Mitigation Act of 2000 (DMA 2000) states that each jurisdiction (Counties, Cities, Towns, and Special Districts) must submit a local Hazard Mitigation Plan (HMP) to the State Office of Emergency Services (State OES) by November 1, 2004, in order to be eligible for Federal Emergency Management Agency (FEMA) pre and post disaster mitigation funds. The objective of the Local Hazard Mitigation Plan is "to save lives, preserve property and protect the environment, during times of Disaster."

A few of the consequences of not having a HMP are: ineligibility for Public Assistance permanent reconstruction work, ineligibility for Fire Mitigation Assistance Grant (FMAG), ineligibility for Hazard Mitigation Grant Program (HMGP) funds, ineligibility for Pre-Disaster Mitigation Program funds, etc.

Federal funding is provided under the Robert T. Stafford Emergency Assistance and Disaster Relief Act (Stafford Act) through FEMA and the State of California Governor's Office of



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Emergency Services (State OES). State OES is responsible for identifying program priorities, reviewing applications and forwarding recommendations for funding to FEMA. FEMA has final approval for activity eligibility and funding.

The federal regulations governing the HMGP are found in Title 44 of Code of Federal Regulations (44CFR) Part 206 and Part 13. For specific information regarding current HMGP activities, refer to the State OES web site: <a href="https://www.oes.ca.gov">www.oes.ca.gov</a>.

#### **SECTION 14: ADMINISTRATION AND LOGISTICS**

#### 14.1 Plan Implementation Overview

An Emergency Operations Plan lays the groundwork for emergency operations. However, having a plan does not in itself enable Imperial County or the OA to respond effectively to a disaster. Experience shows that if responders do not fully understand procedures or responsibilities, serious problems will arise during efforts to respond to an incident. To implement this Plan, therefore, emergency staff and disaster support agencies must also be trained in the plan's overall concept, their own responsibilities under it, and the procedures it sets forth. Training helps ensure that response agencies fully understand the plan. A community, County, or OA with an emergency plan that no one understands or knows how to implement, is at an enormous disadvantage in the event of a disaster.

A plan is necessary but alone is not a sufficient management tool. It can generate consensus about the need to take specific actions and commit to specific programs. But to manage emergencies effectively, the plan must be regularly updated, monitored, and evaluated. It must also be supplemented by Standard Operating Guides (SOGs) that ensure its requirements are being addressed. Additionally, it must be implemented, whether through regulation, budgets, or ongoing decision-making.

The implementation process necessary to make this Plan of use should be three-dimensional: it should take advantage of the broad range of training and informational resources available via the federal and state governments, and the Internet; it should include function-specific training based upon SOGs; and it should reach not only response agencies but the general population.

Whereas training and information from federal, state or Internet sources is fairly general, the primary goal of an internal training program is to ensure that response agencies fully understand, and can act on, the roles assigned to them in the Plan. The third dimension of training is that designed for the community at large. For a response effort to be effective, citizens must know the proper responses to disasters and must also follow instructions. They need training in both areas.

In addition to the training efforts stated above, the implementation activities must include correction of capability shortfalls. Correction of capability shortfalls should be a planned multi-year effort to ensure that capability targets are being met and that response capability is not degraded.

#### **14.2 Administration**

The Office of Emergency Services (OES) is the lead for the development and implementation of the County's EOP and for ensuring that the following administrative actions are taken prior, during and after an emergency:

#### **Before**

- An established written Emergency Operations Plan (EOP)
- Standard Operating Guides (SOGs)
- Track emergency services training records
- Document drills and exercises to include the critiques
- Include non-government organizations in the County's emergency planning activities



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#### **During and After**

- Maintenance of written log-type records
- Issuance of press releases
- Submission of status reports and initial damage assessment
- Utilize pre-established bookkeeping and accounting methods to track and maintain records of expenditures and obligations
- Document recovery operations

#### 14.3 Logistics

Additionally, OES is the lead for ensuring that the following logistical actions are taken before and during an emergency:

#### **Before**

- Acquiring and typing County equipment
- · Stockpiling supplies
- Designating emergency facilities, such as shelter sites
- Establish mutual aid agreements, such as with American Red Cross; and prepare a resource contact list

#### **During**

- Move emergency equipment into place
- Arrange for food and transportation
- Arrange for shelter facilities; if needed, call on mutual aid; and if needed, provide backup power and communications

#### **SECTION 15: PLAN MAINTENANCE AND DISTRIBUTION**

#### 15.1 Overview

Upon final approval of the Plan, a listing of specific agencies and individuals will be documented on the "Record of Distribution" Form and will be inserted into the front section of this Plan. It will be the responsibility of County OES to periodically revise and update the Plan. Such revisions/updates will be documented on the "Update/Revision List Form" and the form will be inserted into the front section of this Plan.

Annexes may be added to the Plan at future dates, as needed, and will also be documented on the "Record of Changes" Form and the form will be inserted into the front section of this Plan.

#### 15.2 Review and Approval

The review and approval process for this Plan is conducted at four (4) levels: OA, Department, Disaster Council and Board of Supervisors.

At the Department level, each department assigned a primary or important secondary response role in the emergency organization is provided a draft copy of the plan to review. They are requested to specifically comment on the role(s) prescribed for them in the emergency organization and to make or recommend appropriate changes. The changes are incorporated in the final draft.

The final draft of the Plan is presented to the Disaster Council for review and to further ensure that policy issues regarding coordination of functions are clearly understood and/or clarified. The final draft is also sent to County Counsel for review to ensure its legal sufficiency. Upon a sign off by General Counsel and the Disaster Council, the Plan is submitted to the Board of Supervisors for approval.

The Board of Supervisors will issue a Letter of Promulgation or Resolution denoting approval of the Plan. The Board of Supervisors exercises overall authority and responsibility for the contents of this Plan.

#### **SECTION 16: STANDARD OPERATING PROCEDURE (SOP) DEVELOPMENT**

The Imperial County Emergency Plan is intended to be used in conjunction with City/Town and state agency plans and associated Standard Operating Procedures (SOPs). Where supporting plans are inconsistent with the general principles described in the County EOP, the County plan will supersede supporting plans.

SOPs for Imperial County are published separately to support the EOP and provide details for how a particular function or task will be carried out during an emergency. For example:

- Guidance information
- Responsibilities of responding employees/agencies
- Procedures
- Personnel Assignments
- Contact Lists
- Equipment Lists
- Forms

SOPs provide the purpose, authorities, duration and details for the preferred method of performing a single function or a number of interrelated functions in a uniform manner. SOPs must also facilitate the need to carry out actions under conditions that may not have been anticipated when the SOP was drafted. For example, it may be necessary to consider alternative procedures that solve a problem in order to perform in a more time-efficient or cost-efficient way.

It is the responsibility of OES to coordinate with the various County Departments and other agencies to update the SOPs on an as needed basis.

#### **SECTION 17: TRAINING AND EXERCISES**

#### 17.1 Training

Training and testing are essential to ensure emergency response personnel of all levels of government and the public are operationally ready. As part of the emergency management training curriculum, it is recommended that personnel with emergency responsibilities complete emergency management courses as described in the SEMS Approved Course of Instruction (ACI) and the NIMS integration criteria.

In addition to SEMS and NIMS courses, County employees are provided EOP orientation, Disaster Service Worker training, EOC Section Specific training and other additional specialized training as available. Imperial County Fire/OES is responsible to provide and maintain the training and testing records to demonstrate the compliance with SEMS and NIMS requirements.

#### 17.2 Exercises

Exercises provide personnel with an opportunity to become thoroughly familiar with the procedures, facilities and systems which will actually be used in emergency situations. The County participates in all-hazard exercises that involve emergency management/response personnel from multiple disciplines and/or multiple jurisdictions. The exercises:

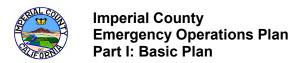
- Are as realistic as possible
- Stress the application of standardized emergency management
- Are based on risk assessments (credible threats, vulnerabilities and consequences)
- Include non-governmental organizations and the private sector, when appropriate
- Incorporate the concepts and principles of SEMS and NIMS
- Demonstrate continuity of operations issues
- Incorporate issues related to access and functional needs populations

The assurance that emergency management policies and plans are meeting their stated objectives is gained through a program of regularly scheduled tests and exercises. Drills and exercises are activities that are used to promote an awareness of potential hazards and the need for an effective emergency management program. Testing and evaluation of emergency operations plans and procedures, training response personnel in carrying out assigned responsibilities, and demonstrating the operational capabilities of the jurisdiction are ongoing goals. Local preparedness to assure that emergency forces "do the right things at the right time" is built by a repetitive cycle of planning, training, and exercising.

Training and exercises of the emergency management organization (EOC, ICS, and/or other agencies) components can take many forms. Exercises range from seminars/workshops to full-scale demonstrations. They will generally fall within one of the following types of training activity:

#### 17.2.1 DISCUSSION OR ORIENTATION EXERCISE

This is a low key, non-stressed training approach in which members of the emergency organization are "walked" through required procedures and plans. This approach is best used as an introduction to specific subject matter and to clarify roles and responsibilities.



#### 17.2.2 DRILLS

Drills are a periodic activity for perfecting skills in specific operations. In developing the training program, care should be taken to ensure that students are taught via the building block method where they start first with discussion/orientation exercises and graduate to full scale exercises. This provides the student with a conceptual framework for clearly understanding his/her role in the emergency organization.

In developing an exercise, consideration should be given to the type of exercise, the purpose and goals, and the hazard(s) on which to base the exercise. The selection of the hazard should be based on actual or potential threats identified in the hazard analysis. The County and OA should avoid concentrating on any single hazard year after year, but should diversify to cover adequately all major contingencies.

One of the most important aspects of any exercise is getting the right people to participate. Major OA exercises should involve County department heads, key staff and representatives from the private sector and Cities and Towns, volunteer organizations, the media, hospitals, Special Districts and utilities. The active participation of organization chief executives would give the exercise the necessary importance and encourage full support of each element of the OA emergency organization. An exercise is of limited value without the participation of the right people.

#### 17.2.3 TABLETOP EXERCISE

This is an activity in which targeted personnel (elected or appointed officials and key staff) is presented with simulated emergency situations without time constraints. It is usually informal, held in a conference room environment, and is designed to elicit constructive discussion by the participants as they attempt to resolve problems based on existing emergency operations plans. The purpose is for the participants to evaluate policy, plans and procedures and resolve coordination and responsibilities in a non-threatening format.

#### **17.2.4 FUNCTIONAL EXERCISE**

This activity is designed to test and/or evaluate the capability of an individual function (e.g., communications, care and shelter) or complex activity within a function. It is applicable where the activity is capable of being effectively evaluated in isolation from other emergency functions.

#### 17.2.5 FULL SCALE EXERCISE

This exercise is intended to evaluate the operational capability of emergency management systems in an interactive manner. It involves testing of a major portion of the basic elements existing within emergency operations plans and organizations. This type of exercise includes the mobilization of personnel and resources and the actual movement of emergency workers, equipment, and resources required to demonstrate coordination and response capability.

#### 17.2.6 TESTS

Tests measure the actual readiness capability of procedures, personnel, facilities, or equipment against the capability described in emergency operations plans. Examples include tests of the Emergency Alert System (EAS), call back procedures, and EOC activation procedures.



**Part II: Functional Annexes** 

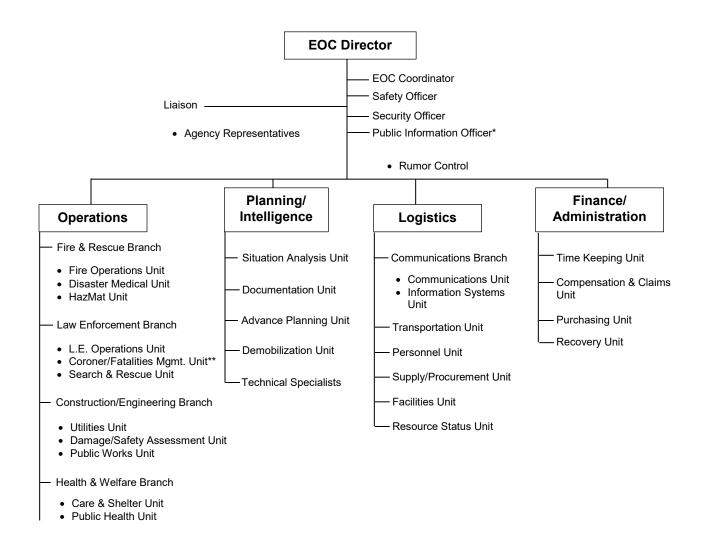




## **SECTION 18: SEMS EOC POSITION CHECKLISTS**

#### 18.1: Overview

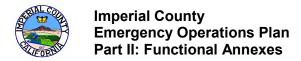
The following checklists are extracted from the state planning guide SEMS *Local Government EOC Position Checklists.* They are based on the generic SEMS operating structure shown below. The EOC Director may alter this generic structure as needed based on operational requirements.



## **Generic Checklist** (For All Positions)

#### **Activation Phase:**

	Check in with the Personnel Unit (in Logistics) upon arrival at the EOC.
	Report to EOC Director, Section Chief, Branch Coordinator, or other assigned Supervisor.
	Set up your workstation and review your position responsibilities.
	Establish and maintain a position log which chronologically describes your actions taken during your shift.
	Determine your resource needs, such as a computer, phone, plan copies, and other reference documents.
	Ensure RIMS (Response Information Management System) is operational.
Demok	pilization Phase:
	Deactivate your assigned position and close out logs when authorized by the EOC Director.
	Complete all required forms, reports, and other documentation. All forms should be submitted through your supervisor to the Planning/Intelligence Section, as appropriate, prior to your departure.
	Be prepared to provide input to the after-action report.
	If another person is relieving you, ensure they are thoroughly briefed before you leave your workstation.
	Clean up your work area before you leave.
	Leave a forwarding phone number where you can be reached.



#### **18.1.1 MANAGEMENT SECTION**

#### **EOC Director**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Establish the appropriate Staffing level for the EOC and continuously monitor organizational effectiveness ensuring that appropriate modifications occur as required.
- 2. Exercise overall management responsibility for the coordination between Emergency Response Agencies within the Operational Area. In conjunction with the General Staff, set priorities for response efforts. Ensure that all agency actions are accomplished within the priorities established.
- 3. Ensure that Inter-Agency Coordination is accomplished effectively within the EOC.

☐ Determine appropriate level of action based on situation as known.

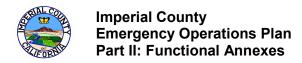
Activation Phase:	Acti	vation	Phase:
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Mobilize appropriate personnel for the initial activation of the EOC
Respond immediately to EOC site and determine operational status.
Obtain briefing from whatever sources are available.
Ensure that the EOC is properly set up and ready for operations.
Ensure that an EOC check-in procedure is established immediately.
Ensure that an EOC organization and staffing chart is posted and completed.
Determine which sections are needed, assign Section Chiefs as appropriate and ensure they are staffing their sections as required.
<ul> <li>Operations Sections Chief</li> <li>Logistics Section Chief</li> <li>Planning/Intelligence Section Chief</li> <li>Finance Administration Chief</li> </ul>
Determine which Management Section positions are required and ensure they are filled as soon as possible.
<ul> <li>Liaison Officer</li> <li>EOC Coordinator</li> <li>Public Information Coordinator</li> <li>Safety Officer</li> <li>Security Officer</li> </ul>
Ensure the telephone and/or radio communications with Operational Area EOC are established and functioning.
Schedule the initial Action Planning meeting.
Confer with the General Staff to determine what representation is needed at the EOC from other emergency response agencies.
Assign a liaison officer to coordinate outside agency response to the EOC, and to assist as necessary in establishing an Interagency Coordination Group.



## **Operation Phase:**

	Monitor general staff activities to ensure that all appropriate actions are being taken.
	In conjunction with the Public Information Unit, conduct news conferences and review media releases for final approval, following the established procedure for information releases and media briefings.
	Ensure that the Liaison Officer is providing for and maintaining effective interagency coordination.
	Based on current status reports, establish initial strategic objectives for the County EOC.
	In coordination with Management Staff, prepare management function objectives for the initial Action Planning Meeting.
	Convene the initial Action Planning meeting. Ensure that all Section Chiefs, Management Staff, and other key agency representatives are in attendance. Ensure that appropriate Action Planning procedures are followed (refer to Planning/Intelligence Section, "Action Planning Job Aid"). Ensure the meeting is facilitated appropriately by the Planning/Intelligence Section.
	Once the Action Plan is completed by the Planning/Intelligence Section, review, approve and authorize its implementation.
	Conduct periodic briefings with the general staff to ensure strategic objectives are current and appropriate.
	Conduct periodic briefings for elected officials or their representatives.
	Formally issue Emergency Proclamation for the County, and coordinate local government proclamations with other emergency response agencies, as appropriate.
	Brief your relief at shift change, ensuring that ongoing activities are identified and follow-up requirements are known.
Demok	oilization Phase:
	Authorize demobilization of sections, branches and units when they are no longer required.
	Notify the Operational Area EOC, and other appropriate organizations of the planned demobilization, as appropriate.
	Ensure that any open actions not yet completed will be handled after demobilization.
	Be prepared to provide input to the after action report.
	Deactivate the County EOC at the designated time, as appropriate.
	Proclaim termination of the emergency response and proceed with recovery operations.



## **EOC Coordinator (ESC)**

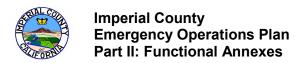
\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Facilitate the overall function of the EOC.
- 2. Assist and serve as an advisor to the EOC Director and General Staff as needed, providing information and guidance related to the internal function of the EOC and ensure compliance with operational area emergency plans and procedures.
- 3. Assist the Liaison Officer in ensuring proper procedures are in place for directing agency representatives and conducting VIP/visitor tours of the EOC.

## Activation Phase:

Activat	don Filase.
	Follow generic Activation Phase Checklist.
	Assist the EOC Director in determining appropriate staffing for the EOC.
	Provide assistance and information regarding section staffing to all general staff.
Operat	ion Phase:
	Assist the EOC Director and General Staff in developing overall strategic objectives as well as section objectives for the Action Plan.
	Advise the EOC Director on procedures for enacting emergency proclamations, emergency ordinances and resolutions, and other legal requirements.
	Assist the Planning/Intelligence Section in the development, continuous updating, and execution of the EOC Action Plan.
	Provide overall procedural guidance to General Staff as required.
	Provide general advice and guidance to the EOC Director as required.
	Ensure that all notifications are made to the Operational Area EOC.
	Ensure that all communications with appropriate emergency response agencies are established and maintained.
	Assist EOC Director in preparing for and conducting briefings with Management Staff, the BOS, the media, and the general public.
	Assist the EOC Director and Liaison Officer, in establishing maintaining an Interagency Coordination Group comprised of outside agency representatives and executives <u>not assigned</u> to specific sections with the EOC.
	Assist the Liaison Officer with coordination of all EOC visits.
	Provide assistance with shift change activity as required.
Demob	pilization Phase:
	Follow generic Demobilization Phase Checklist.



#### **Public Information Branch Coordinator**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

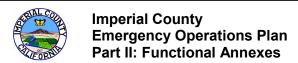
- 1. Serve as the coordination point for all media releases.
- 2. Represent the jurisdiction as the lead Public Information Officer.
- 3. Ensure that the public within the affected area receives complete, accurate, and consistent information about life safety procedures, public health advisories, relief and assistance programs and other vital information.
- 4. Coordinate media releases with Public Information Officers representing other affected emergency response agencies within the Operational Area as required.
- 5. Develop the format for press conferences, in conjunction with the EOC Director.
- 6. Maintaining a positive relationship with the media representatives.
- 7. Supervising the Public Information Branch.

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	Follow generic Activation Phase Checklist.
	Determine staffing requirements and make required personnel assignments for the Public Information Branch as necessary.
Operat	tion Phase:
	Obtain policy guidance from the EOC Director with regard to media releases.
	Keep the EOC Director advised of all unusual requests for information and of all major critical or unfavorable media comments. Recommend procedures or measures to improve media relations.
	Coordinate with the Situation Status Unit and identify method for obtaining and verifying significant information as it is developed.
	Develop and publish a media briefing schedule, to include location, format, and preparation and distribution of hand-out materials.
	Implement and maintain an overall information release program.
	Establish a Media Information Center, as required, providing necessary space, materials, telephones, and electrical power.
	Maintain up-to-date status boards and other references at the media information center.
	Provide adequate staff to answer questions from members of the media.
	Interact with other County EOC as well as Operational Area EOC PIOs and obtain information relative to public information operations.
	Develop content for state Emergency Alert System (EAS) releases if available.
	Monitor EAS releases as necessary.
	In coordination with other EOC sections and as approved by the EOC Director, issue timely and consistent advisories and instructions for life safety, health, and assistance for the public.



	At the request of the EOC Director, prepare media briefings for members of the BOS and provide other assistance as necessary to facilitate their participation in media briefings and press conferences.
	Ensure that a rumor control function is established to correct false or erroneous information.
	Ensure that adequate staff is available at incident sites to coordinate and conduct tours of the disaster areas.
	Provide appropriate staffing and telephones to efficiently handle incoming media and public calls.
	Prepare, update, and distribute to the public Disaster Assistance Information Directory, which contains locations to obtain food, shelter, supplies, health services, etc.
	Ensure that announcements, emergency information and materials are translated and prepared for access and functional needs populations (non-English speaking, hearing impaired, etc.).
	Monitor broadcast media, using information to develop follow-up news releases and rumor control.
	Ensure that file copies are maintained of all information released.
	Provide copies of all media releases to the EOC Director.
	Conduct shift change briefings in detail, ensuring that in-progress activities are identified and follow-up requirements are known.
	Prepare final news releases and advise media representatives of points-of-contact for follow-up stories.
Demok	pilization Phase:
	Follow generic Demobilization Phase Checklist.



#### **Rumor Control Unit Leader**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Provide staffing for rumor control telephone bank.
- 2. Establish a "Disaster Hotline" with an up-to-date recorded message.
- 3. Supervise the Rumor Control Unit.

<b>Activation</b>	Phase:
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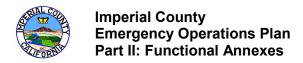
☐ Follow generic Activation Phase Checklist.

#### **Operation Phase:**

Obtain "confirmed" disaster information.
Operate a telephone bank for receiving incoming inquiries from the general public.
Correct rumors by providing factual information based on confirmed data.
Establish a "Disaster Hotline" recorded message and provide updated message information periodically.

☐ Refer inquiries from member of the media to the lead Public Information Officer or designated staff.

#### **Demobilization Phase:**



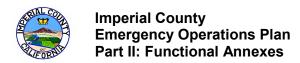
#### **Liaison Officer**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Oversee all liaison activities, including coordinating outside agency representatives assigned to the EOC and handling requests from other EOCs for EOC agency representatives.
- 2. Establish and maintain a central location for incoming agency representatives, providing workspace and support as needed.
- 3. Ensuring that position specific guidelines, policy directives, situation reports, and a copy of the EOC Action Plan is provided to Agency Representatives upon check-in.
- 4. In conjunction with the EOC Coordinator, provide orientations for VIPs and other visitors to the EOC.

	EOC.
5.	Ensuring that demobilization is accomplished when directed by the EOC Director.
Activa	tion Phase:
	Follow generic Activation Phase Checklist.
	Obtain assistance for your position through the Personnel Unit in Logistics, as required.
Operat	ion Phase:
	Contact Agency Representatives already on-site, ensuring that they:
	<ul> <li>Have signed into the EOC, understand their assigned functions, know their work locations, and understand EOC organization and floor plan.</li> </ul>
	Determine if additional representation is required from:
	<ul> <li>Other agencies, volunteer organizations, private organizations, utilities not already represented.</li> </ul>
	In conjunction with the EOC Director and EOC Coordinator, establish and maintain an Interagency Coordination Group comprised of outside agency representatives and executives <u>not assigned</u> to specific sections within the EOC.
	Assist the EOC Director and EOC coordinator in conducting regular briefings for the Interagency Coordination Group and with distribution of the current EOC Action Plan and Situation Report.
	Request that Agency Representatives maintain communications with their agencies and obtain situation status reports regularly.
	With the approval of the EOC Director, provide agency representatives from the EOC to other EOCs as required and requested.
	Maintain a roster of agency representatives located at the County EOC. Roster should include assignment within the EOC (Section or Interagency Coordination Group). Roster should be distributed internally on a regular basis.
Demok	oilization Phase:
	Follow generic Demobilization Phase Checklist.
	Release agency representatives that are no longer required in the County EOC when authorized by the EOC Director.



#### **Agency Representatives**

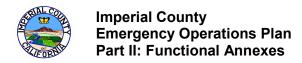
\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Agency Representatives should be able to speak on behalf of their agencies, within established policy limits, acting as a liaison between their agencies and the EOC.
- 2. Agency Representatives may facilitate requests to or from their agencies, but normally do not directly act on or process resource requests.
- 3. Agency Representatives are responsible for obtaining situation status information and response activities from their agencies for the EOC.

#### Ac

Activat	tion Phase:
	Follow generic Activation Phase Checklist.
	Check in with the Liaison Officer and clarify any issues your authority and assignment, including the functions of other representatives from your agency (if any) in the EOC.
	Establish communications with your home agency; notify the Logistics Section Communications Unit and the Liaison Officer of any communication problems.
	Unpack any materials you may have brought with you and set up your assigned station, request through the Liaison Officer and/or Logistics to obtain necessary materials and equipment.
	Obtain an EOC organization chart, floor plan, and telephone list from the Liaison Officer.
	Contact the EOC sections or branches that are appropriate to your responsibility; advise them of your availability and assigned work location in the EOC.
Operat	ion Phase:
	Facilitate requests for support or information that your agency can provide.
	Keep current on the general status of resources and activity associated with your agency.
	Provide appropriate situation information to the Planning/Intelligence Section.
	Represent your agency at planning meetings, as appropriate, providing updated briefings about your agency's activities and priorities.
	Keep your agency executive informed and ensure that you can provide agency policy guidance and clarification for the EOC Director as required.
	On a regular basis, inform your agency of the EOC priorities and actions that may be of interest.
	Maintain logs and files associated with your position.
Demok	pilization Phase:
	Follow generic Demobilization Phase Checklist.
	When demobilization is approved by the EOC Director, contact your agency and advise them of expected time of demobilization and points of contact for the completion of ongoing actions or new requirements.
	Ensure that you complete all final reports, close out your activity log, and transfer any ongoing missions and/or actions to the Liaison Officer or other appropriate individual.
	Ensure copies of all documentation generated during the operation are submitted to the Planning/Intelligence Section.



## **Safety Officer**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Ensure that all buildings and other facilities used in support of the EOC are in safe operating condition.
- 2. Monitor operational procedures and activities in the EOC to ensure they are being conducted in safe manner considering the existing situation and conditions.
- 3. Stop or modify all unsafe operations outside the scope of the EOC Action Plan, notifying the EOC Director of actions taken.

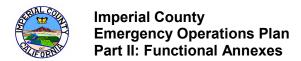
#### **Activation Phase:**

		Follow	generic	Activation	Phase	Checklist.
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#### **Operation Phase:**

Tour the entire EOC facility and evaluate conditions; advise the EOC Director of any conditions and actions which might result in liability, (unsafe layout or equipment set-up, etc.).
Study the EOC facility and document the locations of all fire extinguishers, emergency pull stations, and evacuation routs and exits.
Be familiar with particularly hazardous conditions in the facility; take action when necessary.
Prepare and present safety briefings for the EOC Director and General Staff at appropriate meetings.
If the event which caused activation was an earthquake, provide guidance regarding actions to be taken in preparation for aftershocks.
Ensure that the EOC facility is free from any environmental threats $-$ e.g., radiation exposure, air purity, water quality, etc.
Keep the EOC Director advised of unsafe conditions; take action when necessary.
Coordinate with the Financial/Administration Section in preparing any personnel injury claims or records necessary for proper case evaluation and closure.

#### **Demobilization Phase:**



## **Security Officer**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Provide 24-hour security for the EOC.
- 2. Control personnel access to the EOC in accordance with policies established by the EOC Director.

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☐ Follow generic Activation Phase Checklist.

#### **Operation Phase:**

Determine the current EOC security requirements and arrange for staffing as needed.
Determine needs for special access to EOC facilities.
Provide executive and V.I.P. security as appropriate and required.
Provide recommendations as appropriate to EOC Director.
Prepare and present security briefings for the EOC Director and General Staff at appropriate meetings.

## **Demobilization Phase:**



#### **18.1.2 OPERATIONS SECTION**

#### **Operations Section Chief**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

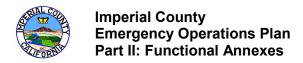
- 1. Ensure that the Operations Function is carried out including coordination of response for all operational functions assigned to the EOC.
- 2. Ensure that operational objectives and assignments identified in the EOC Action Plan are carried out effectively.
- 3. Establish the appropriate level of branch and unit organizations within the Operations Section, continuously monitoring the effectiveness and modifying accordingly.
- 4. Exercise overall responsibility for the coordination of Branch and Unit activities within Operations Section.
- 5. Ensure that the Planning/Intelligence Section is provided with Branch Status Reports and Major Incident Reports (utilizing the Response Information Management System formats if available).
- 6. Conduct periodic Operations briefings for the EOC Director as required or requested.
- 7. Overall supervision of the Operations Section.

#### **Activation Phase:**

Follow the generic Activation Phase Checklist.
Ensure that the Operations Section is set up properly and that appropriate personnel, equipment and supplies are in place, including maps and status boards.
Meet with Planning/Intelligence Section Chief; obtain a preliminary situation briefing.
Based on the situation, activate appropriate branches within the section. Designate Branch Coordinators as necessary.
<ul> <li>Fire &amp; Rescue</li> <li>Law Enforcement</li> <li>Health &amp; Welfare</li> <li>Construction &amp; Engineering</li> </ul>
Determine need for Mutual Aid.
Request additional personnel for the section as necessary for 24-hour operation.
Obtain a current communications status briefing from the Communications Branch Coordinator in Logistics. Ensure that there is adequate equipment and frequencies available for the section.
Determine estimated times of arrival of section staff from the Personnel Branch in Logistics.
Confer with the EOC Director to ensure that the Planning/Intelligence and Logistics Sections are staffed at levels necessary to provide adequate information and support for operations.
Coordinate with the Liaison Officer regarding the need for Agency Representatives in the Operations Section.
Establish radio or cell-phone communications with Incident Commander(s) operating in the County, and coordinate accordingly.



	Determine activation status of other EOCs in the Operations Area and establish communication links with their Operations Section if necessary.
	Based on the situation known or forecasted, determine likely future needs of the Operations Section.
	Identify key issues currently affecting the Operations Section; meet with Section personnel and determine appropriate section objectives for the first operational period.
	Review responsibilities of branches in section; develop an Operations Plan detailing strategies for carrying out Operations objectives.
	Adopt a proactive attitude. Think ahead and anticipate situations and problems before they occur.
Operat	tion Phase:
	Ensure that all section personnel are maintaining their individual position logs.
	Ensure that situation and resources information is provided to the Planning/Intelligence Section on a regular basis or as the situation requires, including Branch Status Reports and Major Incident Reports (utilize Response Information Management System format if available).
	Ensure that all media contacts are referred to the Public Information Branch.
	Conduct periodic briefings and work to reach consensus among staff on objectives for forth-coming operational periods.
	Attend and participate in EOC Director's Action Planning meetings.
	Provide the Planning/Intelligence Section Chief with the Operations Section's objectives prior to each Action Planning meeting.
	Work closely with each Branch Coordinator to ensure that the Operations Section objectives, as defined in the current Action Plan, are being addressed.
	Ensure that the branches coordinate all resource needs through the Logistics Section.
	Ensure that intelligence information from Branch Coordinators is made available to the Planning/intelligence Section in a timely manner.
	Ensure that fiscal and administrative requirements are coordinated through the Financial/Administration Section (notification of emergency expenditures and daily time sheets).
	Brief the EOC Director on all major incidents.
	Complete a Major Incident Report for all major incidents; forward a copy to the Planning/Intelligence Section.
	Brief Branch Coordinators periodically on any updated information you may have received.
	Share status information with other sections as appropriate.
Demok	pilization Phase:
	Follow the generic Demobilization Phase Checklist.



#### Fire & Rescue Branch Coordinator

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Coordinate fire, disaster medical, hazardous materials, and search and rescue operations in the unincorporated county or contact areas.
- 2. Assist the EOC Fire & Rescue Branch Coordinator in acquiring mutual aid resources, as necessary.
- 3. Coordinate the mobilization and transportation of all resources through the Logistics Section.
- 4. Complete and maintain branch status reports (in RIMS format if available) for major incidents requiring or potentially requiring operational area, state and federal response, and maintain status of unassigned fire & rescue resources in the County.
- Implement the objectives of the EOC Action Plan assigned to the Fire & Rescue Branch.
- 6. Overall supervision of the Fire & Rescue Branch.

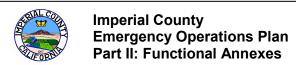
#### Acti

Activa	tion Phase:				
	Follow generic Activation Phase Checklist.				
	Based on the situation, activate the necessary Units within the Fire & Rescue Branch:				
	<ul> <li>Fire Operations Unit</li> <li>Search &amp; Rescue Unit</li> <li>Disaster Medical Unit</li> <li>HazMat Unit</li> </ul>				
	If the mutual aid system is activated, coordinate use of the County's fire resources with the Fire & Rescue Mutual Aid Coordinator.				
	Prepare and submit a preliminary branch status report and major incident reports as appropriate to the Operations Sections Chief.				
	Prepare objectives for the Fire & Rescue Branch; provide them to the Operations Section Chief prior to the first Action Planning meeting.				
Operat	tion Phase:				
	Ensure that Branch and Unit position logs and other files are maintained.				
	Maintain current status on Fire & Rescue missions being conducted in the County.				
	Provide the Operations Section Chief and the Planning/Intelligence Section with an overall summary of the Fire & Rescue Branch operational priorities, periodically or as requested during the operational period.				
	On a regular basis, complete and maintain Fire & Rescue Branch Status Reports on RIMS forms if available.				
	Refer all contacts with the media to the Public Information Branch.				
	Ensure that all fiscal and administrative requirements are coordinated through the Finance/Administration Section (notification of any emergency expenditures and daily time sheets).				
	Prepare objectives for Fire & Rescue Branch for the subsequent operational period; provide them to the Operations Section Chief prior to the end to the shift and the next Action Planning meeting.				



□ Provide your relief with a briefing at shift change; inform him/her of all ongoing activities, branch objectives, for the next operational period, and any other pertinent information.

## **Demobilization Phase:**



## **Fire Operations Unit Leader**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

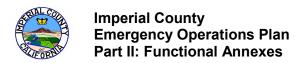
- 1. Assist Incident Commanders in the field by providing coordination for mutual aid requests to and from the Operational Area Fire/Rescue Aid Coordinator, as appropriate.
- 2. Respond to requests for fire resources from the field in a timely manner, following established priorities (life safety, protection of the environment, and protection of property).
- 3. Monitor and track fire resources utilized during the event.
- 4. Provide general support to field personnel as required.
- 5. Supervise the Fire Operations Unit.

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	Establish and maintain a position log and other appropriate files.
	Establish and maintain radio or cell-phone communication with the Department Operations Center, or Fire & Rescue Branch at the Field Level.
	Obtain regular status reports on the fire situation form the Department Operations Center or Fire & Rescue Branch at the Field Level.
	Assess the impact of the disaster/event on the County Fire Department's operational capability.
	Establish the objectives of the Fire Operations Unit based on the nature and severity of the disaster, and provide them to the Fire& Rescue Branch Coordinator prior to the first Action Planning meeting.
	Provide fire status updates to the Fire & Rescue Branch Coordinator on a regular basis.
	Evaluate and process all requests for fire Mutual Aid resources through the Operational Area Fire & Rescue Mutual Aid Coordinator.
	If not addressed at the Incident Command Post or DOC, ensure that incident facilities are established (staging areas, etc.) to coordinate incoming fire mutual aid resources, as required.
	In conjunction with Planning/Intelligence, determine if current and forecasted weather conditions will affect fire and rescue operations.
	Inform the Fire & Rescue Branch Coordinator of all significant events that occur.
	Coordinate with the Law Enforcement Branch to determine status of evacuations and shelter locations.
	Assist in establishing camp facilities (or the use of commercial lodging) through the Logistics Section, if not addressed at the ICP or DOC.
	Reinforce the use of proper procedures for media contacts.
Demok	pilization Phase:
	Follow Generic Demobilization Phase Checklist.



#### **Disaster Medical Unit Leader**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Ensure that all available disaster medical resources are identified and mobilized as required.
- 2. Provide assistance to Incident Command Posts and Department Operations Centers in establishing triage teams.
- 3. Determine the status of medical facilities within affected area.
- 4. Coordinate the transportation of injured victims to appropriate medical facilities as required.
- 5. Supervise the Disaster Medical Unit.

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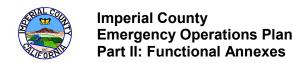
Operation Phase:				
	Establish and maintain po			

	Establish and maintain position logs and other necessary files.
	Work closely with all Operations Section Branch Coordinators to determine the scope of disaster medical assistance required.
	Determine the status and availability of medical mutual aid resources in the operational area; specifically paramedics and ambulances.
	Establish radio or telephone communication with area hospitals and other medical facilities to determine their capability to treat disaster victims.
	Determine status and availability of specialized treatment such as burn centers.
	Assist the Search and Rescue Unit Leader in providing triage for extricated victims.
	Coordinate with the Logistics Section to acquire suitable transportation for injured victims as required or requested.
	Establish and maintain communication with the Operational Area EOC and determine status and availability of medical resources.
	Coordinate with the Logistics Section to obtain necessary supplies and equipment to support disaster medical operations in the field.
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## ☐ Inform the Fire & Rescue Branch Coordinator of all significant events.

☐ Reinforce the use of proper procedures for the media contacts. This is particularly critical in emergency medical situations where statistical information is requested by the media.

#### **Demobilization Phase:**



#### Search & Rescue Unit Leader

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Determine the scope of the search and rescue mission and assist in mobilizing Search and Rescue Teams at the request of Department Operations Centers or Field Incident Commanders.
- 2. Provide search and rescue support as required to other emergency response agencies consistent with established priorities and objectives.
- 3. Ensure that deployed teams are provided with adequate support.
- 4. Supervise the Search & Rescue Unit.

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☐ Follow generic Activation Phase Checklist.

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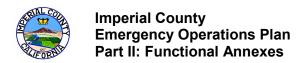
	Establish and maintain position logs and other appropriate files.
	Work closely with all Operations Section Branch Coordinators to determine the scope of search and rescue assistance required.
	Coordinate with the Fire and Rescue Branch Coordinator to determine missions for search and rescue teams based on established priorities.
	Mobilize and deploy available search and rescue teams to locations within the jurisdiction, or to other emergency response agencies within the Operational Area, in a manner consistent with established policies and priorities.
	Establish radio or cell-phone communication with all deployed search and rescue team leaders to determine the scope of support required.
	Work closely with the Logistics Section to determine the status and availability of search and rescue resources in the Operational Area; specifically larger jurisdictions who have organized USAR teams.
	Coordinate with the Law Enforcement Branch to determine availability of search dog units.
	,
	Coordinate with the Construction and Engineering to provide on-site assistance with rescue operations at the request of team leaders.
	operations at the request of team leaders.  Coordinate with the Disaster Medical Unit to provide on-site assistance to extricated victims
	operations at the request of team leaders.  Coordinate with the Disaster Medical Unit to provide on-site assistance to extricated victims requiring medical treatment.  Coordinate with the coroner's unit to provide on-site assistance in managing fatalities at search
_ _	operations at the request of team leaders.  Coordinate with the Disaster Medical Unit to provide on-site assistance to extricated victims requiring medical treatment.  Coordinate with the coroner's unit to provide on-site assistance in managing fatalities at search locations.
	operations at the request of team leaders.  Coordinate with the Disaster Medical Unit to provide on-site assistance to extricated victims requiring medical treatment.  Coordinate with the coroner's unit to provide on-site assistance in managing fatalities at search locations.  Ensure that each team leader develops a safety plan for each assigned mission.

☐ Inform the Fire & Rescue Branch Coordinator of all significant events.



☐ Reinforce the use of proper procedures for media contacts. This is particularly critical in instances where the media is seeking statistical information or personal identities of injured victims or fatalities.

#### **Demobilization Phase:**



#### **HazMat Unit Leader**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Determine the scope of hazardous materials accidents throughout the jurisdiction.
- 2. Assist in mobilizing hazardous materials teams at the request of Department Operations Centers or Field Incidents Commanders.
- 3. Request assistance from and/or provide hazardous materials support as required to Operational Area Emergency Response Agencies consistent with established priorities and objectives.
- 4. Ensure that deployed teams are provided with adequate support
- 5. Supervise the HazMat Unit.

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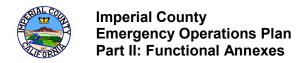
Follow	generic	Activation	Phase	Checklist.

## **Operation Phase:**

Establish and maintain position logs and other appropriate files.
Work closely with all Operations Section Branch Coordinators to determine the scope of HazMat incident response required.
Coordinate with the Fire and Rescue Branch Coordinator to determine missions for HazMat teams based on established priorities.
Mobilize and deploy available HazMat teams to the Operational Area or to other emergency response agencies within the Operational Area, in a manner consistent with the HazMat Mutual Aid System and established priorities.
Establish radio or cell-phone communication with all deployed HazMat teams to determine the scope of support required.
Work closely with the Logistics Section to determine the status and availability of HazMat Response Teams in the Operational Area.
Coordinate with construction and engineering to provide on-site assistance with HazMat operations at the request of team leaders.
Coordinate with the Disaster Medical Unit to determine medical facilities where victims of HazMat incidents can be transported following decontamination.
Coordinate with the Coroner's Unit to provide on-site assistance in managing fatalities at HazMat scenes.
Monitor and track the progress and status of each HazMat team.
Ensure that HazMat Team Leaders report all significant events.
Assist in establishing camp facilities (or commercial lodging) for HazMat teams through the Logistics Section, of not addressed at the ICP or DOC.
Inform the Fire & Rescue Branch Coordinator of all significant events.
Reinforce the use of proper procedures for media contacts. This is particularly critical in instances where the media is seeking technical information on the hazardous material, statistical information, or personal identities of injured victims or fatalities.



#### **Demobilization Phase:**



#### **Law Enforcement Branch Coordinator**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Coordinate movement and evacuation operations during a disaster.
- 2. Alert and notify the public of the impending or existing emergency within the County.
- 3. Coordinate law enforcement and traffic control operations during the disaster.
- 4. Coordinate site security at incidents.
- 5. Coordinate Law Enforcement Mutual Aid requests from emergency response agencies through the Law Enforcement Mutual Aid Coordinator at the Operational Area EOC.
- 6. Supervise the Law Enforcement branch.

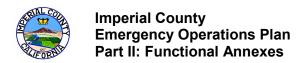
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	Follow generic Activation Phase Checklist.
	Based on the situation, activate the necessary Units within the Law Enforcement Branch
	<ul><li>Law Enforcement Operations Unit</li><li>Coroner Unit</li></ul>
	Contact and assist the Operational Area EOC Law Enforcement and Coroner's Mutual Aid Coordinator with the coordination of mutual aid resources.
	Provide an initial situation report to the Operations Sections Chief.
	Based on the initial EOC strategic objectives; prepare objectives for the Law Enforcement Branch and provide them to the Operations Section Chief prior to the first Action Planning meeting.
Operat	ion Phase:
	Ensure that Branch and Unit position logs and other appropriate files are maintained.
	Maintain current status on Law Enforcement missions being conducted in the County.
	Provide the Operations Section Chief and the Planning/Intelligence Section with an overall summary of Law Enforcement Branch operational priorities, periodically or as requested during the operational period.
	On a regular basis, complete and maintain the Law Enforcement Branch Status Report. (Use RIMS Forms if available).
	Refer all contacts with the media to the Public information Branch.
	Determine need for Law Enforcement Mutual Aid.
	Determine need for Coroner's Mutual Aid.
	Ensure that all fiscal and administrative requirements are coordinated through the Finance/Administration Section (notification of any emergency expenditures and daily time sheets).
	Prepare objectives for the Law Enforcement Branch for the subsequent Operations period; provide them to the Operations Section Chief prior to the end of the shift and the next Action Planning Meeting.
	Provide your relief with a briefing at shift change, informing him/her of all ongoing activities, branch

objectives for the next operational period, and any other pertinent information.



## **Demobilization Phase:**



#### **Law Enforcement Operations Unit Leader**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Coordinate requests for Law Enforcement Mutual Aid Resources through the Operational Area Law Enforcement Mutual Aid Coordinator and provide general support to field personnel as required.
- 2. Establish and maintain communication with Law Enforcement Branch Directors in the field or at the Department Operations Center (DOC) if activated.
- 3. Respond to requests for Law Enforcement resources from the field in a timely manner, following established priorities (life safety, protection of the environment, and protection of property).
- 4. Monitor and track law enforcement resources utilized during the event.
- 5. Supervise the law enforcement unit.

☐ Follow generic Activation Phase Checklist.

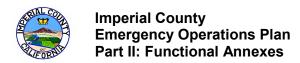
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Opera	tion Phase:
	Establish and maintain position logs and other appropriate files.
	Establish and maintain radio or cell-phone communication with the Department Operations Center, or Law Enforcement Branch Directors at the field level.
	Obtain regular status reports on the law enforcement situation from the Department Operations Center or Law Enforcement Branch at the field level.
	Assess the impact of the disaster/event on the Sheriff Department's operational capability.
	Establish the objectives of the Law Enforcement Operations Unit based on the nature and severity of the disaster, and provide them to the Law Enforcement Branch Coordinator prior to the first Action Planning meeting.
	If the Department Operations Center is not activated, ensure that the assignment of law enforcement resources are closely monitored and coordinated, and that on-scene time is logged at the field level.
	If not addressed at the ICP or DOC, ensure that incident facilities are established (staging areas, etc.) to coordinate incoming law enforcement mutual aid resources, as required.
	In conjunction with Planning/Intelligence, determine if current and forecasted weather conditions will affect law enforcement operations.
	Coordinate major evacuation activity with the Fire Operations Branch, as required.
	Coordinate with the Care and Shelter Unit to establish suitable shelter locations and appropriate shelter facilities for evacuated population.
	Assist in establishing camp facilities (or commercial lodging) for law enforcement personnel, through the Logistics Section, if not addressed at the ICP or DOC.
	Reinforce the use of proper procedures for media contacts.
	Provide law enforcement status updates to the Law Enforcement Branch Coordinator on a regular basis



□ Evaluate and process all requests for law enforcement resources through the Operational Area Law Enforcement Mutual Aid Coordinator.

#### **Demobilization Phase:**



#### **Coroner Unit Leader**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

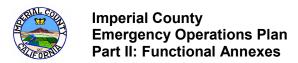
- 1. At the direction of the Sheriff/Coroner, establish and oversee an interim system for managing fatalities resulting from the disaster/event.
- 2. At the direction of the Sheriff/Coroner, establish and oversee the operation of temporary morgue facilities and maintain detailed records of information relative to each fatality.
- 3. Supervision of the Coroner Unit.

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## **Operation Phase:**

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	Establish and maintain position logs and other appropriate files.
	Ensure that locations where fatalities are discovered are secured.
	Ensure that fatality collection points are established and secured as necessary.
	Ensure that temporary morgue facilities are established in accordance with guidelines established by the Sheriff/Coroner.
	Request Coroner's Mutual Aid through the Sheriff/Coroner at the Operational Area EOC as required.
	Procure, through logistics, all necessary fatalities management equipment and supplies, such as temporary cold storage facilities or vehicles, body bags, etc.
	Coordinate with the Search & Rescue Unit to determine location and number of extricated fatalities.
	Ensure that human remains are transported from fatality collection points to temporary morgue(s), if so advised by the Sheriff/Coroner.
	Assist the Sheriff/Coroner with identification of remains and notification of next of kin as required.
	In conjunction with local mortuaries and cemeteries, assist with the reburial of any coffins that were surfaced and/or disturbed as a result of the disaster.
	Keep the Law Enforcement Branch Coordinator informed of Coroners Unit activities on a regular basis.
	Inform the Law Enforcement Branch Coordinator and the Public Information Branch of the number of confirmed fatalities resulting from the disaster or event. (NOTE: This information must be verified with the Sheriff/Coroner prior to release).
	Ensure that all media contacts are referred to the Public Information Branch.
Demob	pilization Phase:
	Follow generic Demobilization Phase Checklist.



#### **Construction/Engineering Branch Coordinator**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Survey all utility systems, and restore systems that have been disrupted, including coordinating with utility service providers in the restoration of disrupted services, and assist other sections, branches, and units as needed.
- 2. Survey all public and private facilities, assessing the damage to such facilities, and coordinating the repair of damage to public facilities. Survey all other infrastructure systems, such as streets and roads within the County.
- 3. Supervise the Construction/Engineering Branch.

☐ Follow generic Activation Phase Checklist.

#### **Activation Phase:**

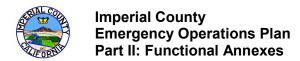
	Based on the situation, activate the necessary units within the Construction/Engineering Branch:
	<ul> <li>Utilities Unit</li> <li>Damage/Safety Assessment Unit</li> <li>Public Works Unit</li> </ul>
	Contact and assist the Operational Area Public Works Mutual Aid Coordinator with the coordination of mutual aid resources as necessary.
	Provide an initial situation report to the Operations Section Chief.
	Based on the initial EOC strategic objectives prepare objectives for the Construction/Engineering Branch and provide them to the Operations Section Chief prior to the first Action Planning meeting.
Operat	ion Phase:
	Ensure that branch and unit position logs and other necessary files are maintained.
	Maintain current status on all construction/engineering activities.
	Ensure that damage and safety assessments are being carried out for both public and private facilities.
	Request mutual aid as required through the Operational Area Public Works Mutual Aid Coordinator.
	Determine and document the status of transportation routes into and within affected areas.
	Coordinate debris removal services as required.
	Provide the Operations Section Chief and the Planning/Intelligence Section with an overall summary of Construction/Engineering Branch activities periodically during the operational period or as requested.
	Ensure that <u>all</u> Utilities and Construction/Engineering Status Reports, as well as the Initial Damage Estimation are completed and maintained. (Utilize RIMS forms of available).
	Refer all contacts with the media to the Public Information Branch.
	Ensure that all fiscal and administrative requirements are coordinated through the Finance/Administration Section (notification of any emergency expenditures and daily time sheets).



Prepare objectives for the Construction/Engineering Branch for the subsequent operations period;
provide them to the Operations Section Chief prior to the end of the shift and next Action Planning
meeting.

□ Provide your relief with a briefing at shift change, informing him/her of all ongoing activities, branch objectives for the next operational period, and any other pertinent information.

#### **Demobilization Phase:**



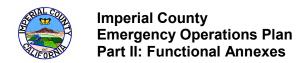
#### **Utilities Unit Leader**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Assess the status of utilities; provide Utility Status Reports as required.

2.	Coordinate restoration of damaged utilities with utility representatives in the County EOC if present, or directly with Utility companies.
3.	Supervise the Utilities Unit.
Activa	tion Phase:
	Follow generic Activation Phase Checklist.
Operat	tion Phase:
	Establish and maintain position logs and other necessary files.
	Establish and maintain communications with the utility providers for the County.
	Determine the extent of damage to utility systems in the County.
	Coordinate with the Liaison Officer to ensure that agency representatives from affected utilities are available to respond to the County EOC.
	Ensure that all information on system outages is consolidated and provided to the Situation Analysis Unit in the Planning/Intelligence Section.
	Ensure that support to utility providers is available as necessary to facilitate restoration of damaged systems.
	Keep the Public Health Branch Coordinator informed of any damage to sewer and sanitation systems, as well as possible water contamination problems.
	Keep the Construction/Engineering Branch Coordinator informed of the restoration status.
	Complete and maintain the Utilities Status Report (utilize RIMS forms if available).
	Refer all contacts with the media to the Public Information Branch.
Demok	nilization Phase:



#### **Damage/Safety Assessment Unit Leader**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

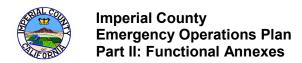
#### Responsibilities:

**Activation Phase:** 

- 1. Collect initial damage/safety assessment information from other branches/units within the Operations Section.
- 2. If the disaster is winter storm, flood, or earthquake related, ensure that dam inspection teams have been dispatched.
- 3. Provide detailed damage/safety assessment information to the Planning/Intelligence Section, with associated loss damage estimates.
- 4. Maintain detailed records on damaged areas and structures.
- 5. Initiate requests for Engineers form the Operational Area, to inspect structures and/or facilities.
- 6. Supervise the Damage/Safety Assessment Unit.

	Follow generic Activation Phase Checklist.

Operat	ion Phase:
	Establish and maintain a position log and other necessary files.
	Obtain initial damage/safety assessment information from Fire & Rescue Branch, Law Enforcement Branch, Utilities Unit and other branches/units as necessary.
	Coordinate with the American Red Cross, utility service providers, and other sources for additional damage/safety assessment information.
	Prepare detailed damage/safety assessment information, including estimate of value of the losses, and provide to the Planning/Intelligence Section.
	Clearly label each structure and/or facility inspected in accordance with ATC-20 standards and guidelines.
	Maintain a list of structures and facilities requiring immediate inspection or engineering assessment.
	Initiate all requests for engineers and building inspectors through the Operational Area EOC.
	Keep the Construction/Engineering Branch Coordinator informed of the inspection and engineering assessment status.
	Refer all contacts with the media to the Public Information Branch.
Demob	oilization Phase:
	Follow generic Demobilization Phase Checklist.



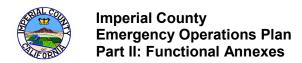
#### **Public Works Unit Leader**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Assist other Operation Section Branches by providing construction equipment and operators as necessary.
- 2. Provide heavy equipment assistance to the Damage/Safety Assessment Unit as required.
- 3. Provide emergency construction and repair to damaged roadways. Assist with the repair of utility systems as required.
- 4. Providing flood-fighting assistance, such as sandbagging, rerouting waterways away from populated areas, and river, creek, or stream bed debris clearance.

		populated areas, and river, creek, or stream bed debris clearance.
	5.	Supervise the Public Works Unit.
Act	tivat	ion Phase:
		Follow generic Activation Phase Checklist.
Ор	erat	ion Phase:
		Establish and maintain a position log and other necessary files.
		Ensure that appropriate staff is available to assist other emergency responders with the operation of heavy equipment, in coordination with the Logistics Section.
		Ensure that engineering staff are available to assist the Damage/Safety Assessment Unit in inspecting damaged structures and facilities.
		As requested, direct staff to provide flood fighting assistance, clear debris from roadways and water ways, assists with utility restoration, and build temporary emergency structures as required.
		Work closely with the Logistics Section to provide support and materials as required.
		Keep the Construction/Engineering Branch Coordinator informed of unit status.
		Refer all contacts with the media to the Public Information Branch.
De	mob	ilization Phase:
		Follow generic Demobilization Phase Checklist.



#### **Health & Welfare Branch Coordinator**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Safeguard the public health of citizens by ensuring there is an ample supply of potable water, a functioning sanitation system, and vector controls are established, as required.
- 2. In coordination with volunteer and private agencies, provide clothing, shelter, and other mass care services as required, to disaster victims.
- 3. Supervise the Health and Welfare Branch.

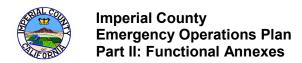
#### **Activation Phase:**

□ Follow generic Activation Phase Checklist		Follow	generic	Activation	Phase	Checklist
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#### Ope

erat	ion Phase:
	Establish and maintain a Health and Welfare Unit position log and other necessary files.
	Ensure that all potable water supplies remain safe, and free from contaminates.
	Ensure that sanitation systems are operating effectively and not contaminating water supplies.
	Ensure that vector control plan is established and implemented for the affected area(s).
	Provide the Operations Section Chief and the Planning/Intelligence Section with an overall summary of Health and Welfare Branch operational priorities, periodically during the operations period or as requested.
	Complete and maintain the Care & Shelter Status Reports (utilizing RIMS forms if available).
	Ensure that the Public Health Branch is available to assist the Coroner Unit in mitigating and managing mass fatality situations.
	Ensure coordination of all mass care activities occurs with the Red Cross and other volunteer agencies as required.
	Prepare objectives for the Health and Welfare Branch for the subsequent operations period; provide them to the Operations Section Chief prior to the end of the shift and the next Action Planning meeting.
	Refer all contacts with the media to the Public Information Branch.
nob	oilization Phase:

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#### Care & Shelter Unit Leader

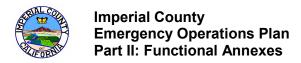
\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Coordinate directly with the American Red Cross and other volunteer agencies to provide food, potable water, clothing, shelter and other basic needs as required to disaster victims within the County.
- 2. Assist the American Red Cross with inquiries and registration services to reunite families or

	respond to inquiries from relatives or friends.
3.	Assist the American Red Cross with the transition from mass care to separate family/individual housing.
4.	Supervise the Care & Shelter Unit.
Activat	tion Phase:
	Follow generic Activation Phase Checklist.
Operat	ion Phase:
	Establish and maintain your log and other necessary files.
	Coordinate with the Liaison Office to request an Agency Representative from the American Red Cross. Work with the Agency Representative to coordinate all shelter and congregate care activity.
	Establish communications with other volunteer agencies to provide clothing and other basic life sustaining needs.
	Ensure that each activated shelter meets the requirements as described under the Americans with Disabilities Act.
	Assist the American Red Cross in staffing and managing the shelters to the extent possible.
	In coordination with the American Red Cross, activate an inquiry registry service to reunite families and respond to inquiries from relatives or friends
	Assist the American Red Cross with the transition from operating shelters for displaced persons to separate family/individual housing.
	Complete and maintain the Care and Shelter Status Report Form (utilize RIMS forms if available).
	Refer all contacts with the media to the Public Information Branch
Demok	oilization Phase:
	Follow generic Demobilization Phase Checklist.

#### De



#### **Public Health Unit Leader**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Assess the status and availability of potable water within the jurisdiction.
- 2. Assess the status of sanitation system within the jurisdiction.
- 3. Inspect and assess emergency supplies such as foodstuffs and other consumables for purity and utility.
- 4. Assess the need for a vector control plan for the affected disaster area(s) within the jurisdiction.
- 5. Supervise the Public Health Unit.

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	Follow	generic	Activation	Phase	Checklist.
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#### Ope

rat	ration Phase:			
	Establish and maintain a position log and other necessary files.			
	Coordinate with the Utilities Unit Leader to determine current status of water and sanitation systems.			
	If systems are damaged, request assistance from County Public Health to assess drinking water quality and potential health risks form ruptured sewer/sanitation systems.			
	Develop a distribution system for drinking water throughout the County as required.			
	Contact and coordinate with the Logistics Section, to obtain chemical (portable) toilets and other temporary facilities for the disposal of human waste and other infected waste.			
	Inspect emergency supplies to be used in the EOC or by field emergency responders, such as foodstuffs, drugs, and other consumables for purity and utility.			
	Determine the need for vector control, and coordinate with County Public Health for Vector control services as required.			
	Inform the Health & Welfare Branch Coordinator on all activities of the Public Health Unit periodically during the operational period, or as required.			
	Refer all contacts with the media to the Public Information Branch.			
ob	ilization Phase:			
	Follow generic Demobilization Phase Checklist.			

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#### 18.1.3 PLANNING/INTELLIGENCE SECTION

#### Planning/Intelligence Section Chief

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Ensure that the following responsibilities of the Planning/Intelligence Section are addressed as required:
  - a. Collecting, analyzing, and displaying situation information,
  - b. Preparing periodic Situation Reports,
  - c. Preparing and distributing the EOC Action Plan and facilitating the Action Planning meeting,
  - d. Conducting Advance Planning activities and report,
  - e. Providing technical support services to the various EOC sections and branches, and documenting and maintaining files on all EOC activities.
- 2. Establish the appropriate level of organization for the Planning/Intelligence Section.
- 3. Exercise overall responsibility for the coordination of branch/unit activities within the section.
- 4. Keep the EOC Director informed of significant issues affecting the Planning/Intelligence Section.
- 5. In coordination with other Section Chiefs, ensure that Branch Status Reports are completed and utilized as a basis for Situation Reports, and the EOC Action Plan.
- 6. Supervise the Planning/Intelligence Section.

#### **Activation Phase:**

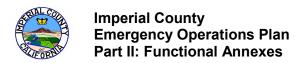
Follow the generic Activation Phase Checklist.		
Ensure that the Planning/Intelligence Section is set up properly and that appropriate personnel, equipment and supplies are in place, including maps and status boards.		
Based on the situation, activate branches within section as needed and designate Branch or Unit Leaders for each element:		
<ul> <li>Situation Analysis Unit</li> <li>Advance Planning Unit</li> <li>Documentation Unit</li> <li>Technical Services Unit</li> </ul>		
Request additional personnel for the section as necessary to maintain a 24-hour operation.		
Establish contact with the Operational Area EOC when activated, and coordinate Situation Status Reports with their Planning/Intelligence Section.		
Meet with Operations Section Chief; obtain and review any major incident reports.		
Review responsibilities of branches in section; develop plans for carrying out all responsibilities.		
Make a list of key issues to be addressed by Planning/Intelligence; in consultation with section staff, identify objectives to be accomplished during the initial Operational Period.		
Keep he EOC Director informed of significant events.		
Adopt a proactive attitude, thinking ahead and anticipating situations and problems before they occur.		



# Imperial County Emergency Operations Plan Part II: Functional Annexes

# **Operation Phase:**

	Ensure that Planning/Intelligence position logs and other necessary files are maintained.	
	Ensure that the Situation Analysis Unit is maintaining current information for the situation status report.	
	Ensure that major incidents reports and branch status reports are completed by the Operations Section and are accessible by Planning/Intelligence (utilize RIMS forms if available).	
	Ensure that a situation status report is produced and distributed to EOC Sections and Operational Area EOC at least once, prior to the end of the operational period.	
	Ensure that all status boards and other displays are kept current and that posted information is neat and legible.	
	Ensure that the Public Information Branch has immediate and unlimited access to all status reports and displays.	
	Conduct periodic briefings with section staff and work to reach consensus among staff on section objectives for forthcoming operational periods.	
	Facilitate the EOC Director's Action Planning meetings approximately two hours before the end of each operational period.	
	Ensure that objectives for each section are completed, collected and posted in preparation for the next Action Planning meeting.	
	Ensure that the EOC Action Plan is completed and distributed prior to the start of the next operational period.	
	Work closely with each branch/unit within the Planning/Intelligence Section to ensure the section objectives, as defined in the current EOC Action Plan are being addressed.	
	Ensure that the advance planning unit develops and distributes a report which highlights forecasted events or conditions likely to occur beyond the forthcoming operational period; particularly those situations which may influence the overall strategic objectives of the EOC.	
	Ensure that the Documentation Unit maintains files on all EOC activities and provides reproduction and archiving services for the EOC, as required.	
	Provide technical services, such as energy advisors and other technical specialists to all EOC sections as required.	
	Ensure that fiscal and administrative requirements are coordinated through the Financial/Administration Section.	
Demobilization Phase:		
	Follow the generic Demobilization Phase Checklist.	



#### Situation Analysis Unit Leader

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Oversee the collection, organization, and analysis of disaster situation information.
- 2. Ensure that the information collected from all sources is validated prior to posting on status boards.
- 3. Ensure that situation status reports are developed utilizing RIMS forms, for dissemination to EOC staff and also to the Operational Area EOC.
- 4. Ensure that an EOC Action Plan is developed (utilizing RIMS form) for each operational period, based on objectives developed by each EOC Section.
- 5. Ensure that all maps, status boards and other displays contain current and accurate information.
- 6. Supervise Situational Analysis Unit.

Activation Phase:			
		Follow generic Activation Phase Checklist.	
		Ensure there is adequate staff available to collect and analyze incoming information, maintain the Situation Status Report on RIMS, and facilitate the Action Planning process.	
		Prepare Situation Analysis Unit objectives for the initial Action Planning meeting.	
Эре	erat	ion Phase:	
		Ensure position logs and other necessary files are maintained.	
		Oversee the collection and analysis of all event or disaster related information.	
		Oversee the preparation and distribution of the Situation Status Report (utilizing RIMS forms if available). Coordinate with the Documentation Unit for manual distribution and reproduction as required.	
		Ensure that each EOC Section provides the Situation Analysis Unit with Branch Status Reports, (utilizing RIMS forms), on a regular basis.	
		Meet with the Public Information Branch Coordinator to determine the best method for ensuring access to current information.	
		Prepare a situation summary for the EOC Action Planning meeting.	
		Ensure each section provides their objectives at least 30 minutes prior to each Action Planning meeting.	
		Convene and facilitate the Action Planning meeting following the meeting process guidelines.	
		In preparation for the Action Planning meeting, ensure that all EOC objectives are posted on chart paper, and that the meeting room in set up with appropriate equipment and materials (easels, markers, sit stat reports, etc.)	

☐ Following the meeting, ensure that the Documentation Unit publishes and distributes the Action

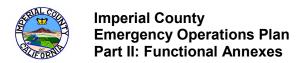
☐ Ensure that adequate staff is assigned to maintain all maps, status boards and other displays.

Plan prior to the beginning of the next operational period.



# Imperial County Emergency Operations Plan Part II: Functional Annexes

## **Demobilization Phase:**



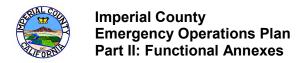
#### **Documentation Unit Leader**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Collect, organize and file all completed event or disaster related forms, to include: all EOC position logs, situation status reports, EOC Action Plans and any other related information, just prior to the end of each operational period.
- 2. Provide document reproduction services to EOC staff.
- 3. Distribute the EOC situation status reports, EOC Action Plan, and other documents, as required.
- 4. Maintain a permanent electronic archive of all situation reports and Action Plans associated with the event or disaster.
- 5. Assist the EOC coordinator in the preparation and distribution of the After-action Report.
- 6. Supervise the Documentation Unit.

Activation Phase:		
	Follow generic Activation Phase Checklist.	
Operat	ion Phase:	
	Maintain a position log.	
	Meet with the Planning/Intelligence Section Chief to determine what EOC materials should be maintained as official records.	
	Meet with the Recovery Unit Leader to determine what EOC materials and documents are necessary to provide accurate records and documentation for recovery purposes.	
	Initiate and maintain a roster of all activated EOC positions to ensure that position logs are accounted for and submitted to the Documentation Unit at the end of each shift.	
	Reproduce and distribute the Situation Status Reports and Action Plans. Ensure distribution is made to the Operational Area EOC.	
	Keep extra copies of reports and plans available for special distribution as required.	
	Set up and maintain document reproduction services for the EOC.	
Demobilization Phase:		
	Follow generic Demobilization Phase Checklist.	



# **Advance Planning Unit Leader**

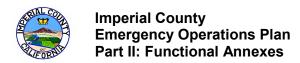
\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Development of an Advance Plan consisting of potential response and recovery related issues likely to occur beyond the next operational period, generally within 36 to 72 hours.
- 2. Review all available status reports, Action Plans, and other significant documents. Determine potential future impacts of the event or disaster; particularly issues which might modify the overall strategic EOC objectives.
- Provide periodic briefings for the EOC Director and General Staff addressing Advance Planning

3.	issues.
4.	Supervise the Advance Planning Unit.
Activa	tion Phase:
	Follow generic Activation Phase Checklist.
Opera	tion Phase:
	Maintain a position log.
	Monitor the current situation report to include recent updates.
	Meet individually with the general staff and determine best estimates of the future direction & outcomes of the event or disaster.
	Develop and Advance Plan identifying future policy related issues, social and economic impacts, significant response or recovery resource needs, and any other key issues likely to affect EOC operations within a 36 to 72 hour time frame.
	Submit the Advance Plan to the Planning/Intelligence Chief for review and approval prior to conducting briefings for the General Staff and EOC Director.
	Review Action Planning objectives submitted by each section for the forthcoming operational period. In conjunction with the general staff, recommend a transition strategy to the EOC Director when EOC activity shifts predominately to recovery operations.
Demo	bilization Phase:
	Follow generic Demobilization Phase Checklist.

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#### **Technical Services Unit Leader**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Provide technical observations and recommendations to the County EOC in specialized areas, as required.
- 2. Ensure that qualified specialists are available in the areas required by the particular event or disaster.
- 3. Supervise the Technical Services Unit.

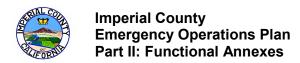
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☐ Follow generic Activation Phase Checklist.

#### **Operation Phase:**

Maintain a position log and other necessary files.
Coordinate with the Logistics Section to ensure that technical staff are located and mobilized.
Assign technical staff to assist other EOC Sections in coordinating specialized areas of response or recovery.
Assign technical staff to assist the Logistics Section with interpreting specialized resource capability and requests.

#### **Demobilization Phase:**



#### **Demobilization Unit Leader**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Develop a Demobilization Plan for the EOC based on a review of all pertinent planning documents, and status reports.
- 2. Supervise personnel assigned to the Demobilization Unit.

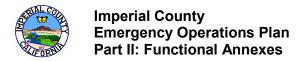
Activa	tion Phase:
	Follow generic Activation Phase Checklist
Operat	tion Phase:

erat	ion Phase:
	Monitor the current situation report to include recent updates.
	Meet individually with the general staff and administer the section worksheet for the Demobilization Plan.
	Meet with the EOC Director and administer the EOC Director's worksheet for the Demobilization Plan.
	Utilizing the worksheets, develop a draft Demobilization Plan and circulate to the EOC Director and General Staff for review.
	Finalize the Demobilization Plan for approval by the EOC Director.
	Demobilization planning must occur at least once during the operational period for as long as EOC Sections are formally staffed.

☐ Advise all Section Chiefs to ensure that demobilization staff complete all reports, time sheets, and

exit surveys in coordination with the personnel unit prior to leaving the EOC.

# Demobilization Phase:



#### **18.1.4 LOGISTICS SECTION**

#### **Logistics Section Chief**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Ensure the Logistics function is carried out in support of the EOC. This function includes providing communication services, resource tracking; acquiring equipment, supplies, personnel, facilities, and transportation services; as well as arranging for food, lodging, and other support services as required.
- 2. Establish the appropriate level of branch and/or unit staffing within the Logistics Section, continuously monitoring the effectiveness of the organization and modifying as required.
- 3. Ensure section objectives as stated in the EOC Action Plan are accomplished within the operational period or within the estimated time frame.
- 4. Coordinate closely with the Operations Section Chief to establish priorities for resource allocation to activated Incident Commands within the County.
- Keep the EOC Director informed of all significant issues relating to the Logistics Section.
- Supervise the Logistics Section.

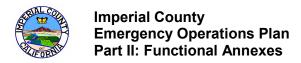
#### Acti

ivat	ion Phase:		
	Follow the generic Activation Phase Checklist.		
	Ensure the Logistics Section is set up properly and that appropriate personnel, equipment and supplies are in place, including maps, status boards, vendor references, and other resource directories.		
	Based on the situation, activate branches/units within section as needed and designate Branch and Unit Leaders for each element:		
	<ul> <li>Communications Unit</li> <li>Personnel Unit</li> <li>Transportation Unit</li> <li>Facilities Unit</li> <li>Supply/Procurement Unit</li> <li>Resource Status Unit</li> </ul>		
	Mobilize sufficient section staffing for 24 hour operations.		
	Establish communications with the Logistics Section at the Operational Area EOC if activated.		
	Advise Branches and Units within the section to coordinate with appropriate branches in the Operations Section to prioritize and validate resource requests from Incident Command Posts in the field. This should be done prior to acting on the request.		
	Meet with the EOC Director and General Staff and identify immediate resource needs.		
	Meet with the Finance/Administration Section Chief and determine level of purchasing authority for the Logistics Section.		
	Assist branch and Unit Leaders in developing objectives for the section as well as plans to accomplish their objectives within the first operational period, or in accordance with Action Plan.		
	Provide periodic Section Status Reports to the EOC Director.		



# Imperial County Emergency Operations Plan Part II: Functional Annexes

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	Adopt a proactive attitude, thinking ahead and anticipating situations and problems before they occur.	
Operat	tion Phase:	
	Ensure that Logistics Section position logs and other necessary files are maintained.	
	Meet regularly with section staff and work to reach consensus on section objectives for forthcoming operational periods.	
	Provide the Planning/Intelligence Section Chief with the Logistics Section objectives at least 30 minutes prior to each Action Planning meeting.	
	Attend and participate in EOC Action Planning meetings.	
	Ensure that the Supply/Procurement Unit coordinates closely with the Purchasing Unit in the Finance/Administration Section, and that all required documents and procedures are completed and followed.	
	Ensure that transportation requirements, in support of response operations, are met.	
	Ensure that all requests for facilities and facility support are addressed.	
	Ensure that all County resources are tracked and accounted for, as well as resources ordered through Mutual Aid.	
	Provide section staff with information updates as required	
Demobilization Phase:		
	Follow the generic Demobilization Phase Checklist.	



#### **Communications Branch Coordinator**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Ensure radio, telephone, and computer resources and services are provided to EOC staff as required and oversee the installation of communications resources within the County EOC.
- 2. Determine specific computer requirements for all EOC positions.
- 3. Implement RIMS if available, for internal information management to include message and e-mail systems,
- 4. Ensure that the EOC Communications Center is established to include sufficient frequencies to facilitate operations, and that adequate communications operators are available for 24-hour coverage.
- 5. Develop and distribute a Communications Plan which identifies all systems in use and lists specific frequencies allotted for the event or disaster.
- 6. Supervise the communications branch.

☐ Follow generic Activation Phase Checklist.

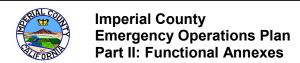
#### **Activation Phase:**

	Based on the situation, activate the necessary units within the Communications Branch:
	<ul><li>Communications Unit</li><li>Information Systems Unit</li></ul>
	Prepare objectives for the Communications Branch; provide them to the Logistics Section Chief prior to the initial Action Planning meeting.
Operat	ion Phase:
	Ensure that communication branch position logs and other necessary files are maintained.
	Keep all sections informed of the status of communications systems, particularly those that are being restored.
	Coordinate with all EOC sections/branches/units regarding the use of all communication systems.
	Ensure that the EOC Communications Center is activated to receive and direct all event or disaster related communications to appropriate destinations within the EOC.
	Ensure that adequate communications operators are mobilized to accommodate each discipline on a 24-hour basis or as required.
	Ensure that RIMS Communications links, if available, are established with the Operational Area EOC.
	Ensure that communications links are established with activated EOC within the Operational Area, as appropriate.
	Continually monitor the operational effectiveness of EOC communications systems. Provide additional equipment as required.
	Ensure that technical personnel are available for communications equipment maintenance and repair.



# Imperial County Emergency Operations Plan Part II: Functional Annexes

	Mobilize and coordinate amateur radio resources to augment primary communications systems as required.	
	Keep the Logistics Section Chief informed of the status of communications systems.	
	Prepare objectives for the Communications Branch; provide them to the Logistics Section Chief prior to the next Action Planning meeting.	
	Refer all contacts with the media to the Public Information Branch.	
Demobilization Phase:		
	Follow generic Demobilization Phase Checklist.	



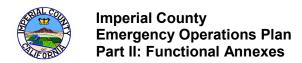
#### **Communications Unit Leader**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Install, activate, and maintain telephone and radio systems for the EOC.
- 2. Assist EOC positions in determining appropriate numbers of telephones and other communications equipment required to facilitate operations.
- 3. Acquire radio frequencies as necessary to facilitate operations.
- 4. Assign Amateur Radio Operators as needed to augment primary communications networks.
- 5. Supervise the EOC Communications Center and Communications Unit.

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Activa	tion Phase:
	Follow generic Activation Phase Checklist.
Opera	tion Phase:
	Establish and maintain a position log and other necessary files.
	Continually monitor and test the activated radio and telephone systems. Keep the Communications Branch Coordinator informed of system failures and restoration activities.
	Develop instructional guidance for use of radios and telephones and conduct training sessions for EOC staff as necessary.
	Meet periodically with the Operations Section Branches to ensure that their radio frequencies are adequate. Make modifications as necessary to maintain their operational capability.
	Coordinate with Pacific Bell Telephone Company in the County to obtain portable telephone banks, as necessary.
	Refer all contacts with the media to the Public Information Branch.
Demo	bilization Phase:
	Follow generic Demobilization Phase Checklist.



#### Information Systems Unit Leader

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Install, activate, and maintain information systems for the EOC.
- 2. Assist EOC positions in determining appropriate types and numbers of computers and computer applications required to facilitate operations.
- 3. Install RIMS, if available, on all computers for internal information management to include message and e-mail systems.
- 4. Supervise the Information Systems Unit.

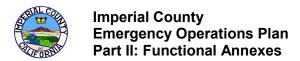
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☐ Follow generic Activation Phase Checklist.

#### **Operation Phase:**

Establish and maintain a position log and other necessary files.
Continually monitor and test RIMS if available, and ensure automated information links with the Operational Area EOC are maintained.
Keep the Communications Branch Coordinator informed of system failures and restoration activities.
Develop instructional guidance for use of computers and computer programs such as RIMS. Be prepared to conduct training sessions for EOC staff as necessary.
Request additional computer equipment as required through the Communications Branch Coordinator.

#### **Demobilization Phase:**



# **Transportation Unit Leader**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. In coordination with the Construction/Engineering Branch Coordinator, and the Situation Analysis Unit, develop a transportation plan to support EOC operations.
- 2. Arrange for the acquisition or use of required transportation resources.
- 3. Supervise the Transportation Unit.

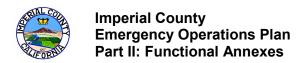
	Activ	/ation	Phase:	•
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☐ Follow generic Activation Phase Checklist.

#### **Operation Phase:**

Establish and maintain a position log and other necessary files.
Routinely coordinate with the Situation Analysis Unit to determine the status of transportation routes in and around the County.
Routinely coordinate with the Construction/Engineering Branch Coordinator to determine progress of route recovery operations.
Develop a Transportation Plan which identifies routes of ingress and egress; thus facilitating the movement of response personnel, the affected population, and shipment of resources and materiel
Establish contact with local transportation agencies and schools to establish availability of equipment and transportation resources for use in evacuations and other operations as needed.
Keep the Logistics Section Chief informed of significant issues affecting the Transportation Unit.

#### **Demobilization Phase:**



#### **Personnel Unit Leader**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Provide personnel resources as requested in support of the EOC and Field Operations.
- 2. Identify, recruit and register volunteers as required.
- 3. Develop an EOC organization chart.
- 4. Supervise the Personnel Unit.

#### **Activation Phase:**

☐ Follow generic Activation Phase Checklist.

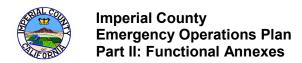
#### Ope

erat	ion Phase:
	Establish and maintain a position log and other necessary files.
	In conjunction with the Documentations Unit, develop a large poster size EOC organization chart depicting each activated position. Upon check in, indicate the name of the person occupying each position on the chart. The chart should be posted in a conspicuous place, accessible to all EOC personnel.
	Coordinate with the Liaison Officer and Safety Officer to ensure that all EOC staff, to include volunteers, receives a current situation and safety briefing upon check-in.
	Establish communications with volunteer agencies and other organizations that can provide personnel resources.
	Coordinate with the Operational Area EOC to activate the Emergency Management Mutual Aid System (EMMA), if required.
	Process all incoming requests for personnel support. Identify the number of personnel, special qualifications or training, where they are needed and the person or unit they should report to upon arrival. Determine the estimated time of arrival of responding personnel, and advise the requesting parties accordingly.
	Maintain a status board or other reference to keep track of incoming personnel resources.
	Coordinate with the Liaison Officer and Safety Officer to ensure access, badging or identification, and proper direction for responding personnel upon arrival at the EOC.
	Assist the Fire Rescue Branch and Law Enforcement Branch with ordering of mutual aid resources as required.
	To minimize redundancy, coordinate all requests for personnel resources form the field level through the EOC Operations Section <u>prior to acting on the request.</u>
	In coordination with the Safety Officer, determine the need for crises counseling for emergency workers; acquire mental health specialists as needed.
	Arrange for child care services for EOC personnel as required.
	Establish registration locations with sufficient staff to register volunteers, and issue them disaster service worker identification cards.
	Keep the Logistics Section Chief informed of significant issues affecting the Personnel Unit.



# Imperial County Emergency Operations Plan Part II: Functional Annexes

#### **Demobilization Phase:**



#### Supply/Procurement Unit Leader

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Oversee the procurement and allocation of supplies and materiel not normally provided through mutual aid channels.
- 2. Coordinate procurement actions with the Finance/Administration Section.
- 3. Coordinate delivery of supplies and materiel as required.
- 4. Supervise the Supply/Procurement Unit.

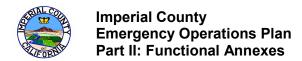
#### **Activation Phase:**

☐ Follow generic Activation Phase Checklist.

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Establish and maintain a position log and other necessary files.
Determine if requested types and quantities of supplies and materiel are available in County inventory.
Determine procurement spending limits with the Purchasing Unit in Finance/Administration. Obtain a list of pre-designated emergency purchase orders as required.
Whenever possible, meet personally with the requesting party to clarify types and amount of supplies and materiel, and also verify that the request has not been previously filled through another source.
In conjunction with the Resource Status Unit, maintain a status board or other reference depicting procurement actions in progress and their current status.
Determine if the procurement item can be provided without cost from another jurisdiction or through the Operational Area.
Determine unit costs of supplies and materiel, from suppliers and vendors and if they will accept purchase orders as payment, prior to completing the order.
Orders exceeding the purchase order limit must be approved by the Financial/Administration Section before the order can be completed.
If vendor contracts are required for procurement of specific resources or services, refer the request to the Financial/Administration Section for development of necessary agreements.
Determine if the vendor or provider will deliver the ordered items. If delivery services are not available, coordinate pickup and delivery through the Transportation Unit.
In coordination with the Personnel Unit, provide food and lodging for EOC staff and volunteers as required. Assist field level with food services at camp locations as requested.
Coordinate donated goods and services from community groups and private organizations. Set up procedures for collecting, inventorying, and distributing usable donations.
Keep the Logistics Section Chief informed of significant issues affecting the Supply/Procurement Unit.

#### **Demobilization Phase:**



#### **Facilities Unit Leader**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

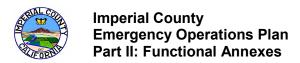
- 1. Ensure that adequate essential facilities are provided for the response effort, including securing access to the facilities and providing staff, furniture, supplies, and materials necessary to configure the facilities in a manner adequate to accomplish the mission.
- 2. Ensure acquired buildings, building floors, and or workspaces are returned to their original state when no longer needed.
- 3. Supervise the facilities unit.

☐ Follow generic Activation Phase Checklist.

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Opera	tion Phase:
	Establish and maintain a position log and other necessary files.
	Work closely with the EOC Coordinator and other sections in determining facilities and furnishings required for effective operation of the EOC.
	Coordinate with branches and units in the Operations Sections to determine if assistance with facility acquisition and support is needed at the field level.
	Arrange for continuous maintenance of acquired facilities, to include ensuring that utilities and restrooms are operating properly.
	If facilities are acquired away from the EOC, coordinate with assigned personnel and designate a Facility Manager.
	Develop and maintain a status board or other reference which depicts the location of each facility; a general description of furnishings, supplies and equipment at the site; hours of operation, and the name and phone number of the Facility Manager.
	Ensure all structures are safe for occupancy and that they comply with ADA requirements.
	As facilities are vacated, coordinate with the facility manager to return the location to its original state. This includes removing and returning furnishings and equipment, arranging for janitorial services, and locking or otherwise securing the facility.
	Keep the Logistics Section Chief informed of significant issues affecting the Facilities Unit.

#### **Demobilization Phase:**



#### Resource Status Unit Leader

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Coordinate with the other units in the Logistics Section to capture and centralize resource status information.
- 2. Develop and maintain resource status boards in the Logistics Section.
- 3. Supervise the Resource Status Unit.

Activat	Activation Phase:				
	Follow generic Activation Phase Checklist.				
Operat	ion Phase:				
	Establish and maintain a position log and other necessary files.				
	Coordinate closely with all units in the Logistics Section particularly Supply/Procurement, Personnel, and Transportation.				

- □ As resource requests are received in the Logistics Section, post the request on a status board and track the progress of the request until filled.
   □ Status boards should track requests by providing at a minimum, the following information, date.
- □ Status boards should track requests by providing at a minimum, the following information: date & time of the request, items requested, priority designation, time the request was processed and estimated time of arrival or delivery to the requesting party.
- ☐ Work closely with other logistics units and assist in notifying requesting parties of the status of their resource request. This is particularly critical in situations where there will be delays in filling the request.
- ☐ An additional status board may be developed to track resource use by the requesting party. Information categories might include the following: actual arrival time of resource, location of use, and an estimate of how long the resource will be needed.
- ☐ Keep in mind that it is generally not necessary to track mutual aid resources unless they are ordered through the Logistics Section.

#### **Demobilization Phase:**

#### 18.1.5 FINANCE/ADMINISTRATION SECTION

#### Finance/Administration Section Chief

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Ensure that all financial records are maintained throughout the event or disaster.
- 2. Ensure that all on-duty time is recorded for all County emergency response personnel.
- 3. Ensure that all on-duty time sheets are collected from Field Level Supervisors or Incident Commanders and their staffs.
- 4. Ensure there is a continuum of the payroll process for all County employees responding to the event or disaster.
- 5. Determine purchase order limits for the procurement function in Logistics.
- 6. Ensure that workers' compensation claims, resulting from the response are processed within a reasonable time, given the nature of the situation.
- 7. Ensure that all travel and expense claims are processed within a reasonable time, given the nature of the situation.
- 8. Provide administrative support to all EOC Sections as required, in coordination with the Personnel Unit.
- 9. Activate units with the Finance/Administration Section as required; monitor section activities continuously and modify the organized as needed.
- 10. Ensure that all recovery documentation is accurately maintained during the response and submitted on the appropriate forms to the Federal Emergency Management Agency (FEMA) and/or the Governor's Office of Emergency Services.
- 11. Supervise the Finance/Administration Section.

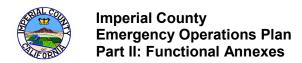
#### **Activation Phase:**

Ц	Follow the generic Activation Phase Checklist.
	Ensure that the Financial/Administration Section is set up properly and that appropriate personnel, equipment, and supplies are in place.
	Based on the situation, activate units within section as needed and designate Branch Coordinators for each element:
	<ul> <li>Time Keeping Unit</li> <li>Compensation &amp; Claims Unit</li> <li>Purchasing Unit</li> <li>Recovery Unit</li> </ul>
	Ensure that sufficient staff are available for a 24-hour schedule, or as required.
	Meet with the Logistics Section Chief and review financial and administrative support requirements and procedures; determine the level of purchasing authority to be delegated to Logistics Section.
	Meet with all Unit Leaders and ensure that responsibilities are clearly understood.
	In conjunction with Unit Leaders, determine the initial Action Planning objectives for the first operational period.



# Imperial County Emergency Operations Plan Part II: Functional Annexes

	Notify the EOC Director when the Finance/Administration Section is operational.
	Adopt a proactive attitude, thinking ahead and anticipating situations and problems before they occur.
Operat	tion Phase:
	Ensure that Finance/Administration position logs and other necessary files are maintained.
	Ensure that displays associated with the Finance/Administrative Section are current, and that information is posted in a legible and concise manner.
	Participate in all Action Planning meetings.
	Brief all Unit Leaders and ensure they are aware of the EOC objectives as defined in the Action Plan.
	Keep the EOC Director, General staff, and elected officials aware of the current fiscal situation and other related matters, on an on-going basis.
	Ensure that the Recovery Unit maintains all financial records throughout the event or disaster.
	Ensure that the Time Keeping Unit tracks and records all agency staff time.
	In coordination with the Logistics Section, ensure that the Purchasing Unit processes purchase orders and develops contracts in a timely manner.
	Ensure that the Compensation & Claims Unit processes all workers' compensation claims, resulting from the disaster, in a reasonable time-frame, given the nature of the situation.
	Ensure that the Time Keeping Unit processes all time-sheets and travel expense claims promptly.
	Ensure that the Finance/Administration Section provides administrative support to other EOC Sections as required.
	Ensure that all recovery documentation is accurately maintained by the Recovery Unit during the response, and submitted on the appropriate forms to Federal Emergency Management Agent (FEMA) and/or the Governor's Office of Emergency Services.
Demok	pilization Phase:
	Follow the generic Demobilization Phase Checklist.



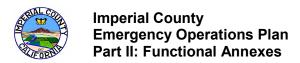
# **Time Keeping Unit Leader**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

1. Track, record, and report all on-duty time for personnel working during the event or disaster.

2.	Ensure that personnel time records, travel expense claims and other related forms are prepared and submitted to county budget and payroll office.
3.	Supervise the time keeping unit.
Activa	tion Phase:
	Follow generic Activation Phase Checklist.
Operat	tion Phase:
	Establish and maintain a position log and other necessary files.
	Initiate, gather, or update time reports from all personnel, to include volunteers assigned to each shift; ensure that time records are accurate and prepared in compliance with County policy.
	Obtain complete personnel rosters from the Personnel Unit. Rosters must include all EOC Personnel as well as personnel assigned to the field level.
	Provide instructions for all supervisors to ensure that time sheets and travel expense claims are completed properly and signed by each employee prior to submitting them.
	Establish a file for each employee or volunteer within the first operational period; to maintain a fiscal record for as long as the employee is assigned to the response.
	Keep the Finance/Administration Section Chief informed of significant issues affecting the Time-Keeping Unit.
Demok	pilization Phase:



# **Compensation & Claims Unit Leader**

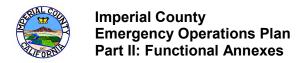
\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Oversee the investigation of injuries and property/equipment damage claims involving the County, arising out of the event or disaster.
- 2. Complete all forms required by Workers' Compensation program.

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3.	Maintain a file of injuries and illnesses associated with the event or disaster which includes results of investigations.
4.	Supervise the Compensation and Claims Unit.
Activa	tion Phase:
	Follow generic Activation Phase Checklist.
Operat	ion Phase:
	Establish and maintain a position log and other necessary files.
	Maintain a chronological log of injuries and illnesses, and property damage reported during the event or disaster.
	Investigate all injury and damage claims as soon as possible.
	Prepare appropriate forms for all verifiable injury claims and forward them to Workers' Compensation within the required time-frame consistent with County Policy & Procedures.
	Coordinate with the Safety Officer regarding the mitigation of hazards.
	Keep the Finance/Administration Chief informed of significant issues affecting the Compensation and Claims Unit.
	Forward all equipment or property damage claims to the Recovery Unit.

#### **Demobilization Phase:**



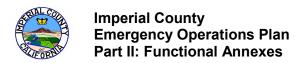
# **Purchasing Unit Leader**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

1.	Coordinate vendor contracts not previously addressed by existing approved vendor lists.
2.	Coordinate with Supply/Procurement Unit on all matters involving the need to exceed established purchase order limits.
3.	Supervise the Purchasing Unit.
Activa	tion Phase:
	Follow generic Activation Phase Checklist.
Operat	ion Phase:
	Establish and maintain position logs and other necessary files.
	Review the County's emergency purchasing procedures.
	Prepare and sign contracts as needed; obtain concurrence from the Finance/Administration Section Chief.
	Ensure that all contracts identify the scope of work and specific site locations.
	Negotiate rental rates not already established, or purchase price with vendors as required.
	Admonish vendors as necessary, regarding unethical business practices, such as inflating prices or rental rates for their merchandise or equipment during disasters.
	Finalize all agreements and contracts, as required.
	Complete final processing and send documents to Budget and Payroll for payment.
	Verify costs data in the pre-established vendor contracts and/or agreements.
	In coordinate with the Logistics Section, ensure that the Purchasing Unit processes purchase orders and develops contracts in a timely manner.
	Keep the Finance/Administration Section Chief informed of all significant issues involving the Purchasing Unit.
Domok	silization Phase:

# **Demobilization Phase:**



# **Recovery Unit Leader**

\*\*\*\* Read This Entire Position Checklist Before Taking Action \*\*\*\*

#### Responsibilities:

- 1. Collect and maintain documentation of all disaster information for reimbursement from the Federal Emergency Management Agency (FEMA) and/or Cal OES.
- 2. Coordinate all fiscal recovery with disaster assistance agencies.
- 3. Prepare and maintain a cumulative cost report for the event or disaster.
- 4. Supervise the Recovery Unit and <u>all</u> recovery operations.

Δ	ctiv	/ation	Phase:

		Follow	generic	Activation	Phase	Checklist.
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Operation P	hase:
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erat	eration Phase:			
	Establish and maintain position log and other necessary files.			
	In conjunction with Budget Office, compute costs for use of equipment owned, rented, donated or obtained through mutual aid.			
	Obtain information from the Resources Status Unit regarding equipment use times.			
	Ensure that the Budget Office establishes a disaster accounting system, to include an exclusive cost code for disaster response.			
	Ensure that each section is documenting cost recovery information from the onset of the event or disaster; collect required cost recovery documentation daily at the end of each shit.			
	Meet with the Documentation Unit Leader and review EOC Position logs, journals, all status reports and Action Plans to determine additional cost recovery items that may have been overlooked.			
	Act as the liaison for the EOC, with the county and other disaster assistance agencies; to coordinate the cost recovery process.			
	Prepare all required state and federal documentation as necessary to recover all allowable disaster response and recovery costs.			
	Contact assist Incident Commanders, and obtain their cumulative cost totals for the event or disaster, on a daily basis.			
	Prepare and maintain a cost report for the Finance/Administration Chief, EOC Director, and County Council. The report should provide cumulative analyses, summaries, and total disaster/event related expenditures for the County.			
	Organize and prepare records for final audit.			
	Assist the EOC Coordinate and Planning/Intelligence Section with preparation of the After-Action Report.			

#### **Demobilization Phase:**



# Imperial County Emergency Operations Plan (EOP)

# Part III - Appendices



#### **SECTION 19: THREATS AND HAZARDS**

#### 19.1 Overview

Imperial County is not immune to potentially catastrophic events. In the past, the County has experienced earthquakes, flooding, fires, wind storms and transportation accidents. It has experienced multi-vehicle accidents, aircraft accidents, natural gas line explosions, hazardous material spills and releases, and civil disturbances.

This history indicates that the County can expect the full range of natural, environmental and conflict hazards. Understanding these hazards and their probable impact will provide a better foundation for planning what to do to prepare for the next event.

# 19.2 Scope

This section consists of a series of threat summaries based on the results of the County's hazard analysis. The hazard analysis was conducted July 2003 through November 2004. It represents a consensus involving several County departments; local agencies, cities and towns regarding which hazards pose the greatest threat(s) to the OA. The purpose is to describe the areas at risk and the anticipated nature of the situation, which could result should the threatened event occur. See Imperial County Multi-Jurisdiction Hazard Mitigation Plan for additional information.

#### 19.3 Characteristics

Geographic characteristics, population at risk to each hazard, and potential hazard considerations are included in the analysis. A summary of the analysis follows:

- A significant earthquake could impact all or most segments of the County's population.
- The County has major industry and faces the potential for hazardous materials incidents form stationary hazardous materials users as well as transportation accidents, pipeline ruptures, and illegal dumping.
- Portions of the County at Winterhaven and Palo Verde have the potential for dam failure subject to a catastrophic event.
- Portions of the County may be subject to flooding due to flash flooding devastation caused by storm drain failure, and infrastructure breakdown during heavy rains.
- A transportation incident such as a major air crash, train derailment or trucking incident could impact key transit corridors or locations in the County.
- A civil unrest incident could impact areas within the County's largest cities.
- Any single incident or a combination of events could require evacuation and/or sheltering of the population.

# 19.4 Risk and Impact Analysis Summary

As noted in the preceding materials, the County faces a myriad of risks which individually or in combination can cause extensive loss of life, damage to property, and harm to the environment. Rapid technological growth during the past few decades has resulted in an infrastructure that is tightly interconnected by vast systems of communications, transportation, industry, government



# Imperial County Emergency Operations Plan Part III: Appendices

and economic integration. This infrastructure is continually exposed to disruption or destruction in the event of terrorist acts – as a result of the full range of threats facing the County.

A single threat cannot be viewed as a constant, either in terms of the potential for damage to property, loss of lives, or the preparedness measures that must be taken to protect the population and infrastructure.

A threat also cannot be viewed as an isolated event resulting in a predictable kind of damage, i.e., each one can trigger a series of other related incidents that can substantially increase the impact of the original threat. Such secondary events could, in fact, result in significantly higher death rates or substantially increased damage.

The predictability of a hazardous event or the magnitude of its impact depends on the nature of the particular hazard itself. For certain types of natural threats such as flooding and high winds there is a seasonal association. For other threats such as earthquakes, there is no such relationship and predictability is nearly impossible.

There is a significant variance in the potential impact of a threat on a "prepared" organization versus an "unprepared" organization. Tremendous losses of life and property can possible be avoided with adequate preparedness and mitigation measures.

Although many of the risks noted in this Plan may never occur in the form of a significant event, the County and its constituent Cities/Towns, special districts, business and voluntary organizations are preparing to ensure their timely and effective control.

#### 20.1 Overview

Natural hazards represent a category of events with historical proportions. Beginning with the demise of great civilizations from volcanic eruptions to modern day earthquakes and floods, natural hazards are a regular part of life.

The list of hazard types from natural causes is relatively long. Many occur infrequently or impact a very small population. Other hazards, such as severe snowstorms, often occur in areas that are prepared to deal with them and seldom become disasters. On the contrary, earthquakes occur which test the abilities of communities to prepare and which may be catastrophic in scope. However, from the perspective of a disaster victim it is not particularly useful to distinguish between minor and major disasters.

Natural hazards can be further categorized as sudden onset hazards or slow onset hazards:

- Sudden onset hazards are usually geological or climatic in nature and include earthquakes, tsunamis, floods, tropical storms, volcanic eruptions and landslides.
- Slow onset hazards are usually environmental in nature and include drought, famine, environmental degradation, deforestation and pest infections

## 20.2 Major Earthquake

The County is in the vicinity of several known active and potentially active earthquake faults including the San Andreas.

#### **20.2.1 OVERVIEW**

Historically, the Imperial Valley is one of the most, if not the most, seismically active regions in the State of California: Twelve significant seismic events have occurred in Imperial County during the period April 1906 to October 1987.

A major earthquake occurring in or near this jurisdiction may cause many deaths and casualties, extensive property damage, fires and hazardous materials spills and other ensuing hazards. The effects could be aggravated by aftershocks and by the secondary effects of fire, hazardous material/chemical accidents and closure of Interstate 8 and/or overpasses between the valley and high desert portions of the County. The time of day and season of the year would have a profound effect on the number of dead and injured and the amount of property damage sustained. Such an earthquake would be catastrophic in its effect upon the population and could exceed response capabilities of the individual cities and towns, OA and the State OES. Damage control and disaster relief support would be required from other OA's and private organizations, and from the state and federal governments.

Extensive search and rescue operations would be required to assist trapped or injured persons. Injured or displaced persons could require emergency medical care, food and temporary shelter. Identification and burial of many dead persons would pose difficult problems; public health would be a major concern.



# Imperial County Emergency Operations Plan Part III: Appendices

Mass evacuation may be essential to save lives, particularly in areas downwind from hazardous material releases.

Many families would be separated, particularly if the earthquake should occur during working hours, and a personal inquiry or locator system could be essential to maintain morale. Emergency operations could be seriously hampered by the loss of communications and damage to transportation routes within, and to and from, the disaster area and by the disruption of public utilities and services.

The economic impact on the County from a major earthquake would be considerable in terms of loss of employment and loss of tax base. Also, a major earthquake could cause serious damage and/or outage of computer facilities. The loss of such facilities could curtail or seriously disrupt the operations of banks, insurance companies and other elements of the financial community. In turn, this could affect the ability of local government, business and the population to make payments and purchases.

Below is a listing of the potential hazards that the County may face in an earthquake.

#### **20.2.2 GROUND SHAKING**

The most significant earthquake action in terms of potential structural damage and loss of life is ground shaking. Ground shaking is the movement of the earth's surface in response to a seismic event. The intensity of the ground shaking and resultant damages are determined by the magnitude of the earthquake, distance from the epicenter, and characteristics of surface geology. This hazard is the primary cause of the collapse of buildings and other structures.

It is generally understood that an earthquake does not in itself present a seismic hazard, but that it becomes a hazard when it occurs in a highly urbanized area. Therefore, the significance of an earthquake's ground shaking action is directly related to the density and type of buildings and number of people exposed to its effects.

#### **20.2.3 LIQUEFACTION**

Many areas may have buildings destroyed or unstable due to the phenomenon of liquefaction which is a phenomenon involving the loss of shear strength of a soil. The shear strength loss results from the increase of water pressure caused by the rearrangement of soil particles induced by shaking or vibration. Liquefaction has been observed in many earthquakes, usually in soft, poorly graded granular materials (i.e., loose sands), with high water tables. Liquefaction usually occurs in the soil during or shortly after a large earthquake. In effect, the liquefaction soil strata behave as a heavy fluid. Buried tanks may float to the surface and objects above the liquefaction strata may sink. Pipelines passing through liquefaction materials typically sustain a relatively large number of breaks in an earthquake.

#### 20.2.4 DAMAGE TO VITAL PUBLIC SERVICES, SYSTEMS AND FACILITIES

The following lists major medical facilities and capabilities available in the County.

Hospitals: El Centro Regional Medical Center – El Centro

Pioneers Memorial Healthcare District -

Brawley

Community Health

Centers:

(7) Clinica de Salud, (3) El Centro Regional Medical Center and (2) Pioneers Memorial

Healthcare District

Skilled Nursing Facilities: Valley Convalescent Hospital – El Centro

Royal Convalescent Hospital – Brawley

Public Health Services: Imperial County Behavioral Health

Imperial County Public Health

Medical Transportation: Gold Cross Ambulance Services

Blythe Ambulance Service - Riverside Co.

Calexico Fire Department

Rural Metro Ambulance Service - Yuma, AZ

West Shore Ambulance Services

Air Transportation: Aeromedevac Air Ambulance

California Highway Patrol – El Centro

Mercy Air Ambulance Sun Care Air Ambulance Schaffer Air Ambulance

Yuma Marine Corp Search & Rescue

The hospitals listed above may suffer loss due to structural damage. This will reduce the number of beds available and create the need for several field hospitals.

#### **20.2.5 COMMUNICATIONS**

System failure, overloads, loss of electrical power and possible failure of some alternate power systems will affect telephone systems, including cellular phone systems. Immediately after the event numerous failures will occur coupled with saturation overloads. This will disable up to 80% of the telephone system for one day. In light of the expected situation, emergency responders should not plan on the extensive use of telephone systems for the first few days after the event.

Radio systems are expected to be 30 to 65% effective; microwave systems, 20% effective or less.

#### 20.2.6 DAMS, FLOOD CONTROL, CHANNELS, PUMPING STATIONS

Because of current design and construction practices and ongoing programs of review and modification, catastrophic dam failure is considered unlikely. Pumping stations in areas with high water tables are expected to fail due to liquefaction. Many flood control channels are expected to suffer some damage.

#### 20.2.7 ELECTRICAL POWER



# Imperial County Emergency Operations Plan

Part III: Appendices

Major power plants are expected to sustain some damage due to liquefaction and the intensity of the earthquake. Up to 40% of the system load may be interrupted immediately following the initial shock. According to representatives of the Imperial Irrigation District, electrical power will not be rerouted and will be lost for an undefined period of time. Much of the imported power is expected to be lost. In some areas of greatest shaking it should be anticipated that some distribution lines, both underground and surface, would be damage. Much of the affected area may have service restored in days; damaged areas with underground distribution may require a longer time.

#### **20.2.8 FIRE OPERATIONS**

Although total collapse of fire stations is not expected, possible disruption of utilities, twisted doors and loss of power can create major problems. Numerous fires due to disruption of power and natural gas networks can be expected. Many connections to major water sources may be out and storage facilities would have to be relied on; water supply could vary from little or none to inadequate.

First response from fire personnel is expected to be assessment of the area to determine response and recovery needs. Operations may take days because of the disruption of transportation routes for fire department personnel and equipment. County Fire Department Services may be supplemented by statewide mutual aid systems.

Secondary responses by the Fire Services after assessment will be placed upon diversion of resources to accomplish search and rescue of trapped persons. Major problems the Fire Service should expect to interfere with operations are loss of power and water, jammed doors, restricted mobility due to debris, possible loss of primary dispatch capability and delays in reaching maximum effectiveness due to personnel shortages.

#### 20.2.9 HIGHWAYS AND BRIDGES

Damages to highway systems are expected to be major. Interstate 8, Highways 78, 86,98 and111 would most likely be impassable. Bridges and overpasses at key interchanges would be severely damaged. Major inner surface transportation routes could be subject to delays and detours. Many surface streets and older business and residential areas will be blocked by debris from buildings, falling electrical wires and pavement damage.

#### **20.2.10 NATURAL GAS**

Damage to natural gas facilities will consist primarily of isolated breaks in major transmission lines and innumerable breaks in mains and individual service connections within the distribution system, particularly in the areas of intense ground shaking. These leaks in the distribution system will affect a major portion of the County's urbanized areas, resulting in a loss of service for extended periods. Fires should be expected at the site of a small percentage of ruptures both in the transmission lines and distribution system.

#### **20.2.11 PETROLEUM FUELS**

Most major pipelines across the San Andreas Fault, and pipeline breakage is expected. Additionally, because of roadway damage and other utility transmission systems in close proximity to locations of expected pipeline breakage, an already limited response capability will

be limited further. There is a possibility of fire where pipeline failures occur. Priorities will have to be established to assure adequate fuel for emergency crews.



# Imperial County Emergency Operations Plan Part III: Appendices

There are 89.92 miles of pipeline located in Imperial County. Pipelines are located adjacent to the Union Pacific railroad tracks from the Arizona border at Yuma to the Niland tank farm, north to the Riverside County Line and south to the Imperial Tank Farm.

The Imperial Tank Farm located in the City of Imperial is a component of the Union Pacific Pipeline network that delivers gasoline, diesel and jet fuel to Southern California and Arizona. The tank farm contains 16 storage tanks with a total storage capacity of 10,000,000 gallons. A branch continues onto the Naval Air Facility (El Centro) that stores 1,000,000 gallons of fuel, predominately jet fuel, in underground tanks.

After an earthquake where significant damage has occurred, emergency fire equipment, trained personnel, and the water supply will not be able to contain fires

#### **20.2.12 RAILROADS**

Damage to railroads will significantly affect the Imperial Valley. The Union Pacific Railroad runs from Riverside county line on the east shore of the Salton Sea southeast to Arizona's border through Winterhaven; branches from Niland to Calexico. The Carrizo Gorge Railway runs from San Diego County to Plaster City northeast of Ocotillo.

These rail companies have lines that are expected to be severely damaged and out of service for an extended period of time after an earthquake. Many railroad bridges are susceptible to damage because of age, design and construction. Hazardous materials in railroad tank cars, fuel releases and fires could pose a substantial threat to this facility as well as other locations where hazardous materials are in transit or stored.

#### **20.2.13 SANITATION SYSTEMS**

Many wastewater treatment facilities could be out of service from 4 to 6 months, depending on the damage caused by the severity of intensity and liquefaction. There is a limited volume of storage available in wastewater treatment plants; if treatment capability cannot be restored before storage is expected, the wastewater will require discharge with emergency chlorination to reduce health hazards. Overflow of sewage through manholes and from ponds can be expected due to breakage in mains and loss of power. As a result, there will be a danger of excessive collection of explosive gas in sewer mains, and flow of untreated sewage in some street gutters. Many house sewer connections will break and plug.

#### **20.2.14 WATER SUPPLY**

A major aqueduct serving the County is expected to be out of service from 3 to 6 months following the event; the All-American Canal is the Imperial Valley's lifeline from the Colorado River. Approximately 3.1 million acre-feet of Colorado River water is delivered annually through the All-American Canal to nine cities and 500,000 acres of agricultural lands throughout the Imperial Valley. Considered an engineering marvel, even by today's standards, the 82-mile gravity-flow All-American Canal begins at Imperial Dam on the Colorado River about 20 miles northeast of Yuma, Arizona. Dropping a total of 175 feet between Imperial Dam and the Westside Main Canal, the All-American Canal extends south and then west, following the Mexican/American border much of the way. Crossing 14 miles of sand dunes on the east side of the Imperial Valley, the All-American Canal ends in the southwest corner of the Imperial



## Imperial County Emergency Operations Plan Part III: Appendices

Irrigation District's delivery area. Water availability and distribution for needed life support, to treat the sick and injured and for life suppression activities, is of MAJOR concern throughout the County.

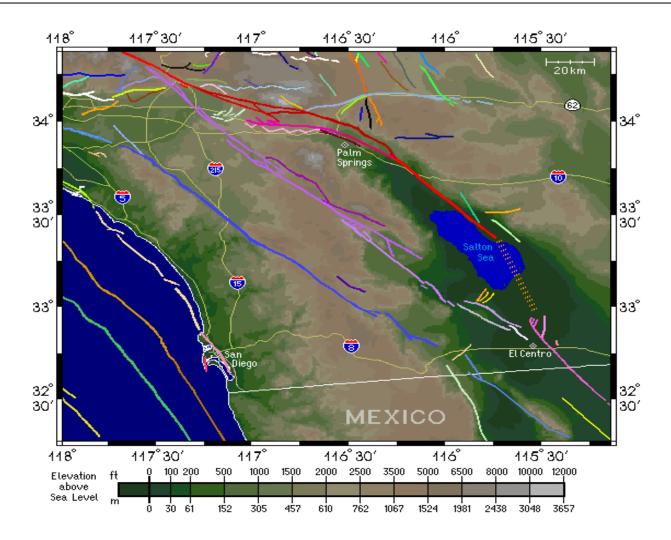
#### **20.2.15 FAULT MAPS**



#### Imperial County

Historically, the Imperial County is one of the most, if not the most, seismically active regions in the State of California. Twelve significant seismic events of 6.0 to 7.1 occurred in County between April 1906 and November 1987. These four faults (San Andreas, San Jacinto, Elsinore, and Imperial) are among the fastest moving, and therefore most dangerous, in Southern California. Over time, these four faults produce about half of the significant earthquakes of our region.

The following fault-zones are located in the County: San Jacinto (Clark and Coyote Creek faults), San Andreas, Superstition Hills, Imperial-Brawley, and Elsinore.



The area covered by this map, which extends from the Transverse Ranges (the San Gabriel and San Bernardino Mountains) in the north to Baja California, Mexico, in the south is dominated primarily by northwest-trending faults, generally of a right-lateral strike-slip nature, though faults of every type and orientation can be found here. In this area is the Salton Trough, a great inland basin, much of which is below sea level, that harbors the Salton Sea, a dominant feature of the right-hand side of this map.

#### 20.3 Modified Mercalli Scale of Earthquake Intensities

The Modified Mercalli (MM) intensity scale, one of several similar measurements of earthquake effects and damage, was devised before seismographs were invested to give some kind of scientific dimension to tremors. The MM intensity scale remains useful in plotting maps which show the general range and severity of ground effects, structural, interior damage, personal observation and sensations during an earthquake. The scale is largely dependent upon the observations and reports of the victims of an earthquake. These intensity maps are necessary imprecise and approximate.

The MM scale is based on the following categories of earthquakes effects and damage, coded by Roman numerals.

Intensity	Description	Characteristic effects	
I	Instrumental	Not felt by people, only detected by seismographs.	
II	Feeble	Felt only by a few people at rest, especially on upper floors of buildings. Delicately suspended objects may swing.	
III	Slight	Felt noticeably indoors; like the vibrations due to a passing truck. Standing motorcars may rock slightly.	
IV	Moderate	Felt indoors by many people, outdoors by few. Dishes, windows, doors rattle. May awaken some sleepers. Standing cars rocked noticeably.	
V	Rather strong	Felt by nearly everyone, many awakened. Some dishes and windows broken; occasional cracked plaster; unstable objects overturned. Some disturbance of trees, poles and other tall objects.	
VI	Strong	Felt by all; many frightened and run outdoors. Some heavy furniture moved; some falling plaster or damaged chimneys. Damage slight.	
VII	Very strong	General alarm; people run outside. Walls crack; chimneys fall. Considerable damage in poorly designed structures. Noticed by persons in moving vehicles.	
VIII	Destructive	Considerable damage in ordinary substantial buildings with partial collapse. Fall of chimneys, factory stacks, columns, monuments, walls. Heavy furniture overturned. Changes in well water. Car drivers seriously disturbed.	
IX	Ruinous	Considerable damage with partial collapse of substantial buildings. Buildings moved off foundations; ground cracks conspicuous. Underground pipes broken.	
X	Disastrous	Ground cracks badly; landslides on river banks and steep slopes; rails bent; many buildings destroyed.	
ΧI	Very disastrous	Broad fissures in ground; major landslides and earth slumps; floods. Few buildings remain standing; bridges destroyed; nearly all services (railways, underground pipes, cables) out of action.	
XII	Catastrophic	Total destruction. Ground rises and falls in waves; lines of sight and level distorted. Objects thrown into the air.	

#### **SECTION 21: WEATHER HAZARDS**

#### 21.1 Floods

Most serious flooding in the County has occurred as a result of summer thunderstorms. While the entire county is subject to various degrees of flooding from flash flood, or slow rise flooding caused by heavy precipitation, the communities of Desert Shores, Salton City, Palo Verde, Bombay Beach, El Centro, and Ocotillo are considered to be the most likely to experience significant flooding.

- Bombay Beach In the event of a major incident, it is anticipated that 300 to 1,000 residents would have to be evacuated. The community is situated in a pocket created by the Salton Sea on the west and the Chocolate Mountains on the east. Severe flooding could isolate the community.
- El Centro Historically, the Gillett/Cannon Roads area receives the heaviest flooding.
   It is at a low elevation east of El Centro, south of East Evan Hewes Highway, numerous residences and mobile homes are located in the inundation area.
- Ocotillo The entire community is at risk and is especially vulnerable to flash flooding.
- Colorado River communities of Palo Verde and Winterhaven are at high risk of flooding.
- Salton Sea Salton City and West Shores communities are at risk of floods and flash flooding.

The County has adopted flood plain zoning to preclude development of flood hazard areas. The County also has a subdivision ordinance that designates the County Planning Director to review and approve or disapprove all subdivision proposals. This ordinance specifically states that areas subject to flood hazards, inundation, or erosion shall not be subdivided except under restrictions as approved by the County Planning Director.

A unique flood hazard to the County exists on its eastern border with the state of Arizona at the Colorado River. Colorado River dams are under the jurisdiction of the U.S. Department of the Interior, Bureau of Reclamation, Lower Colorado Region. Also, economic loss would be appreciable due to destruction of residences, businesses, County roads, highways, utilities and railroads.

In addition to dam failure, the Colorado River can be expected to create severe flooding problems during periods of extended rainfall such as an El Nino event. The El Nino event of 1982-83 caused significant damage to the public works infrastructure along the Colorado River.

#### 21.2 Extreme Heat

The County is desert and consequently experiences extreme heat. Such extreme heat situations can kill by pushing the human body beyond its limits. Most heat disorders occur because of overexposure to heart, over-exercise, age, or physical conditions. Extreme heat can also cause serious economic damage to a community by drought, increased demand for water, and shortages of electrical power.



Extreme heat occurs when temperatures hover 10 degrees or more above the average high temperature for the region and last for several weeks. Humid or muggy conditions, which add to the discomfort of high temperatures, occur when a "dome" of high atmospheric pressure traps hazy, damp air nears the ground.

Excessively dry and hot conditions may provoke dust storms and low visibility. Droughts occur when a long period passes without substantial rainfall. A heat wave combined with a drought is a very dangerous situation.

#### 21.3 Fire

A combination of climate, topography, vegetation and development patterns creates high fire hazard risks throughout the County, especially in the many areas of wildland interface located in river bottom areas county wide.

Fire poses a constant threat throughout the County, especially during an extended "fire season" such as expected in 2003. Fires of significant size and impact have caused injury, death and property loss.

The wildland interface is defined as the line, area, or zone where structures and other human development meet or intermingle with undeveloped wildland or vegetative fuels. Recent fires such as the 1991 Oakland Hills fire, the Southern California fire siege of 1993, the Grand Prix, and most recently the 2003 San Diego fire are clear examples of the complexity of protecting the wildland/urban interface.

Even though the potentials of having a major fire in the unincorporated areas of the County are minimal, the hazards exist in two different locations of the County. Those would be the fuel storage farms, one of which is located south of the City of Imperial and the second site east of Niland. In the event of a fire, in any one of these sites, assistance would be required of various fire departments within the County. The threat of fire spreading and causing major problems to other areas of the County are minimal due to their isolated locations.

The interface will continue to be a major fire concern in the County, as people continue to move from urban areas and development increases.

#### 21.4 Windstorms

Periodically, Imperial County is subjected to moderate to severe episodes of windstorm, usually in February and March.

In the past, these windstorms have disrupted both surface and air transportation systems within the county; caused malfunctions in communication systems; power outages; structural damage to buildings, homes and causes crop and livestock losses, and health problems, particularly increased respiratory ailments.

#### 21.5 Thunderstorms

Imperial County has experienced many haystack fires and power poles due to lighting during a thunderstorm.



Thunderstorms generate electrical discharges of incredible voltage, which are visible as lightning bolts. Atmospheric lightning bolts can extend for miles through clouds, and are not dangerous. Lighting discharges from clouds to ground and from ground to clouds are common and can be extremely dangerous.

Any tall objects, particularly those that reach above surrounding contours, make probable targets for lightning. These objects may include a lone tree, a small stand of trees surrounded by clear ground, an exceptionally tall tree within a canopy of trees, piled haystacks or even the earth itself where it forms a ridge, peak or promontory point.

#### 22.1 Overview

Environmental hazards represent a category of events that impact everyone. Generally, environmental hazards develop over a period of time so that their impact may be lessened by implementation of effective protection policies, manufacturing changes, and pollution controls.

#### **22.2 Air Pollution**

Much of the world's urban pollution breathes polluted air at least part of the time. Sulfur dioxide (SO2), a major pollutant, is a corrosive gas harmful to humans and the environment. Electricity generation using fossil fuels is the key source of this compound in industrialized countries. Other air pollutants include nitrogen oxides, carbon dioxide, and lead, mainly from motor vehicle exhaust.

#### **22.2.1 EFFECTS**

The pollution of the troposphere (lower atmosphere) is damaging to agricultural crops, aquatic systems, buildings and human health. Primary pollutants often react to form secondary pollutants (acidic compounds), a frequent cause of environmental damage. The following effects are possible:

- Crop and vegetation damage by injury to plant tissue, increasing susceptibility to disease and drought.
- Damage to aquatic ecosystems so they no longer support life.
- Degradation of building materials, such as metals, stone and brick.
- Impact to human health by damage to respiratory tracts.

#### 22.2.2 AIR QUALITY

The air quality in the County results from a unique combination of factors; air flow patterns and emission sources, both local and those located through the region, result in some of the worst air quality in the nation. The County regularly exceeds State and Federal air quality standards for ozone and particulate matter. Designation in air quality is acute during summer months when wind patterns transport pollutants.

According to U.S. Environmental Protection Agency, Imperial County has one of the most complex air quality problems in California. Elevated particulate matter levels can result from many sources, including transport form Mexico and from disturbance of soils by wind and human activity. Common sources include unpaved roads, waste burning, agriculture, and other activities along the U.S.-Mexico border.

Many scientific studies have linked breathing particulate matter to significant health problems, including aggravated asthma, increases in respiratory symptoms, chronic bronchitis, and premature death. Particulate matter is also associated with increased hospital and emergency room visits for people with heart and lung disease, absences from work and school, and reduced visibility.

#### 22.3 Water Pollution and Supply

Although water pollution may include marine as well as fresh water pollution, this assessment will only address fresh water pollution.

Southern California's water sources are primarily groundwater or imported. Most of the County's water is from groundwater sources. These sources may be impacted by anything that can be discharged into the ground.

#### **22.3.1 EFFECTS**

The clearing of land for agricultural uses and agricultural practices such as irrigation and use of fertilizers and pesticides may seriously affect water quality.

- Fresh water pollution results in the following adverse effects:
- Untreated wastewater carries viruses and bacteria from human feces into human drinking water, which can result in illness or even infant mortality.
- Produces eutrophication, or decay of organic matter, which decreases oxygen levels in water, upsetting the balance of the aquatic ecosystem.
- Industrial effluents negatively affect health of those drinking untreated water from the tainted source and cause the water to become acidified, reducing its ability to support aquatic life.
- Sediment is carried by runoff from eroded soil deposits in drainage basins, reducing the capacity and exacerbating flooding.
- Salinization from irrigation may have harmful effects on downstream agriculture.
- Pesticides and fertilizer chemicals accumulate in water and affect tissues in living organisms.

### 22.4 Industrial/Technological Hazards

Industrial and technological hazards represent a category of events that has expanded dramatically throughout this century with the advancements in modern technology. Like natural threats, they can affect localized or widespread areas, are frequently unpredictable, can result in substantial loss of life (in addition to the potential for damage to property), and can pose a significant threat to the infrastructure of a given area. Industrial and technological threats include: hazardous materials incidents at fixed facilities; hazardous materials incidents resulting from transportation accidents; power failure; radiological incidents at fixed facilities; radiological incidents resulting from transportation accidents; structural fires; and transportation accidents of all types.

### 22.5 Public Safety Communications Failure

The County's public safety communications system is comprised of all dispatch centers and the 911 system. This includes command/control, resource deployment, acquisition and utilization.

The dispatch centers addressed in this assessment include communications centers operated by local police and fire departments, County Sheriff, County Fire, California Highway Patrol (CHP), feral and state agencies, and Yuma County, Arizona.



The countywide enhanced 9-1-1 system is dependent on the Telco interconnect into an Orange County database for proper routing of all 9-1-1 calls.

Some centers are dependent on microwave and/or landline connections to support computer-aided-dispatch (CAD) systems and/or conventional and trunked radio systems.

Without the Telco interconnect, the public loses its ability to call 9-1-1 and will need access to 7-digit backup emergency telephone numbers that may or may not be available.

#### 22.6 Aircraft Crash

An aircraft crash poses a major threat to populated areas. The communities of Calipatria, Brawley, Imperial, El Centro, and Calexico have airports in close proximity to populated areas, and are therefore subject to aircraft related disasters. Particular attention should be given to the communities of Imperial, and El Centro: they both are close to airfields that service commercial, general, and military aircraft and there is an aircraft fuel tank farm at the end of the Imperial County Airport main runway.

#### Impact on Vital Public Services, Systems and Facilities

When aircraft disasters occur there is a tremendous impact on every aspect of the emergency response/public services infrastructure even though the area affected is often small in comparison to natural disasters. Even though a relatively small area may be affected, the potential for injuries, loss of life, and property damage is staggering. Emergency medical agencies, hospitals, police, fire, coroner, transportation and communications systems can be expected to reach capacity in a very short period of time.

#### **Fire Operations**

Aircraft crashes that occur at airports can be serviced by fire equipment especially designed for mass application of water and foam available for rapid deployment. However, the majority of aircraft emergencies at airports rarely require the use of that type of special equipment.

More common are low impact or ground aircraft incidents requiring interior attack with standard hose lines and tactics similar to structural fires. Aircraft crashes away from airports tend to be those of higher impact where the use of large specialized airport crash vehicles would be of great value. This is of particular importance where there are limited or no water resources and where the fires are large open fuel or structural fires.

#### Law Enforcement Operations

Major aircraft crashes trigger a massive response by local emergency first responders, such a fire, law, and emergency medical services. Especially in off-airport incidents, vehicular access to the crash site is often limited and responding emergency vehicles can cause a traffic gridlock that prevents an effective initial response. It is law enforcement's responsibility to establish a perimeter, restrict access, and maintain order at the scene of such an incident. A very high priority must be established for initial law enforcement resources arriving on-scene to enforce ingress and egress routes for fire and EMS personnel and equipment.

Initially, local law enforcement is responsible for responding to the emergency, securing the scene, and preserving evidence. For on-airport emergencies, once the initial response is



terminated, the Airport Manager, or designated representative, is responsible for securing the scene while Federal Aviation Administration (FAA) and/or National Transportation Safety Board (NTSB) conduct the aircraft incident/accident investigation. For off-airport emergencies, local law enforcement is responsible for securing the scene for FAA/NTSB. If a criminal act is suspected, local law enforcement has a legal responsibility to investigate the incident, apprehend perpetrators, and coordinate with appropriate deferral agencies.

#### 22.6.1 MASS CASUALTY OPERATIONS

A major aircraft crash can be expected to include mass casualties that will severely strain EMS personnel resources. Local ambulance services as well as acute care facilities will be expected to meet the demand for emergency assistance. Where local care is unavailable, patients may have to be transported to trauma care facilities some distance from the crash site.

#### 22.6.2 CORONER OPERATIONS

The County Coroner's Office is responsible for providing a trained and qualified fatality incident response team to account for all fatalities and human remains. This team will include an ability to evacuate and identify remains, assistance in notification of families of deceased victims, preparation and filing of death certificates, facilitating ways for preparing, processing and releasing dead human remains to the next of kin under emergency conditions, and mortuary services. The Coroner's Office will coordinate its work with other law enforcement authorities.

#### 22.6.3 SPECIAL HAZARDS

Multiple hazards are present at the site of major aircraft crashes. Recent experience has brought to light the tremendous bio-hazard caused by human blood and tissue. Universal precautions for all rescuers is decontamination of all equipment as well as protective clothing.

Other hazards are sharp or jagged edges of aircraft fuselage, fuel contamination, toxic smoke from burning magnesium and carbon fiber components, and radioactive materials.

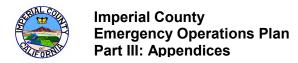
#### 22.7 Hazardous Materials Incidents

Hazardous materials incidents can occur either in transit or at a fixed facility. All areas of the County are at risk, particularly where hazardous materials fabrication, processing, storage, treatment, or disposal activities are conducted. For further information refer to the Imperial County Hazardous Materials Area Plan (May 2011).

#### 22.7.1 TYPES OF INCIDENTS

The chemicals designated "hazardous" cover a wide range of toxicity and many have minimal or no effects on humans in small doses. The type of incidents may include:

- Emissions of gases or particles into the air;
- · Wastewater discharges into rivers and other bodies of water;
- · Solid waste disposal in on-site landfills;
- Injection of wastes into underground wells;
- Transfers of wastewaters to public sewer plants; and
- Transfers of wastes to off-site facilities for treatment or storage.



#### 22.7.2 OTHER INCIDENTS

In addition to fixed site hazardous materials incidents, such incidents also occur during transportation. Areas at risk would be along highways, rail lines, pipelines, and rivers. Because major highways run through virtually every community in the County, all sections of the County are at risk.

#### 22.8 Power Failure

Power failure may be defined as interruption or loss of electrical service for an extended period of time. An extended period of time would be long enough to require emergency management organization response to needs for food, water, heating, etc., caused by loss of power.

There are two classes of power failures: failures internal to the power distribution system such as the West Coast "brownout" in 1996, and failure as the result of external causes such as severe storms.

A summary of potential effects includes loss of power to hospital and medical facilities which could cause life-threatening situations for patients; inability to use necessary medical care equipment (in the absence of working backup generators); massive traffic stoppages due to failure of traffic lights; spoilage of food; lack of heating/air conditioning for many residents/business; work interruptions since equipment cannot be used; and loss of major databases for business, educational and other institutions.

#### 22.9 Conflict Hazards

Conflict hazards include any significant contact between opposing groups of a violent nature. Generally, these hazards are below the level of conventional war and above 'routine street crimes' and other crimes of violence. They include terrorism, subversion, insurgency and drug trafficking.

Terrorism is of increasing concern because of its potential for mass injury, destruction, and death in venues previously deemed to be safe havens.

Chemicals and biological warfare tactics are being used more by terrorist-type groups and pose an increasingly serious threat to public safety organizations and the public.

#### 22.10 Domestic and International Terrorism

The threat of terrorism has grown significantly during the past several years due in part to perceptions by anti-government groups regarding actions at Ruby Ridge and Waco, the terrorist bombings in New York City and Oklahoma City and the War on Terrorism. The international terrorist events of September 11, 2001 have heightened the possibilities of these types of acts occurring in the County.

Historically, terrorist acts have been a part of America history as various groups chose violence as the primary means for furthering their political agendas. These groups were depicted as terrorists or freedom fighters depending on whose side they were on. In reality, terrorists are lawbreakers and subject to being prosecuted as common criminals.



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In the United States there are groups referred to as special interest terrorist groups. These remain a potential threat to U.S. interests. Special interest terrorist groups are characterized by their focus on a specific cause or issue. Examples include groups who espouse the use of terrorism in order to advocate environmental issues or animal rights. In recent years, many criminal acts have been perpetrated against providers of abortion services, immigrants, gays and lesbians, and racial and religious groups. These include arson, extortion, bombing, stalking, and harassment.

In addition to domestic terrorists, several international groups continue to maintain or increase their presence in the United States. These groups continue to infiltrate their members into this country, by means both legal and illegal. Despite their pronounced hatred for the United States and its policies, they perceive it as being a rich environment for fundraising, recruitment, and proselytizing. Terrorist groups are aware of the open, innocent-until-proven-guilty nature of this country, where civil rights are enforced for the criminal, as well as the victim.

Loosely affiliated groups of radical terrorists like the ones comprised of individuals who conspired in the bombing and airplane strikes of the World Trade Center and Pentagon, remain a primary concern of law enforcement officials. Such groups are difficult to identify and do not easily conform to rigid categorizations used by western law enforcement agencies.

In recent years, a variety of circumstances have substantially raised concern about the use of "weapons of mass destruction," including Chemical, Biological, Radiological, Nuclear and Explosives (CBRNE) agents as well as the use of large conventional explosive devices. America has little experience with response to a CBRNE attack. Important issues include development of a local ability to rapidly decontaminate large numbers of people, isolate those infected by a biological agent, and public health officials will coordinate efforts with law enforcement to take advantage of the full-range of expertise and authorities.

The County Sheriff's Department participates in a counter-terrorism task force and is the lead agency in the San Diego Terrorism Early Warning Group (TEWG) and will provide additional information on a "need to know" basis.

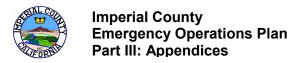
For further information, see Terrorism Annex, Appendix E.

#### **22.11 Civil Disturbances**

Civil disturbances include any incident, the intent of which is to disrupt a community to the degree that police intervention is required to maintain public safety. Riots, strikes resulting in violence, and demonstrations resulting in police intervention and arrests are included in this category.

Civil disturbances may occur at any time. Public issues for which there are extreme views and a willingness to take action if one view appears to strongly outweigh another may trigger civil disturbances.

The effects of this threat can be varied based upon the type of event and its severity and range. Loss of life and property as well as disruptions in services such as electricity, water supply, public transportation, communications, etc., could result from civil disorder.



Certain types of facilities may be more vulnerable than others during civil disorder. These include federal, state, and local government buildings, shops, stores, or other locations, which represent a particular racial, religious, or ethnic activity.

The County Sheriff's Department, on a "need to know" basis, will provide specific information on these subjects.

#### 22.12 Public Health Hazards

Generally, this category of hazards occurs when there are unsanitary conditions, crowding, and poverty. However, in recent years, increasing resistance of diseases to drugs, and lifestyle situations has created significant public health hazards.

The predictability of public health hazards may increase due to rises in travel or migration and long-term dormant symptoms of sexually transmitted diseases. Blood-borne pathogens may also contribute to the threat of a public health hazard.

In addition to the threat of biological terrorism, the well-publicized official concern about the use of chemical and biological agents as a terrorist weapon also raises the likelihood of non-terrorist groups or individuals using an infectious agent as part of other criminal activities.

#### 22.13 Epidemics

An epidemic is defined as the occurrence of a disease, known or suspected to be of infectious or parasitic origin that is unusually large or unexpected. An epidemic often evolves rapidly into an emergency situation; thus a prompt response is needed. Epidemics may be hazards in themselves, but may also accompany and intensity the misery brought on by a disaster situation.

The term "epidemic" may be applied to any pronounced rise in incidence and is not restricted to sudden outbreaks. Slow outbreaks of leprosy, for example, may spread and develop over generations. New and unrecognized epidemics occasionally arise such as AIDS (acute-immunodeficiency syndrome), which was detected in the United States in 1981, through routine surveillance of pneumonia cases.

The number of reported outbreaks of communicable disease has increased in recent years for a number of reasons. National and international travel is increasing daily and takes place over greater distances. Explosive urban development in many countries is associated with poor sanitary conditions and crowding. An increase in incidence of sexually transmitted diseases has occurred due to changes in behavior and long-term dormant systems. Some of the increases, however, may be attributed to better health care coverage in developed as well as developing countries and more thorough reporting of outbreaks.

#### **22.13.1 EXAMPLES**

Many endemic (constant presence of a disease or disease agent within a specified area) diseases are capable of being epidemic if environmental or host carriers change in a way that favors transmission.

Possible examples include:



- Exposure of non-immune persons, generally by immigration from a non-endemic area (such as tourists or refugees).
- Ecological changes may favor the breeding of an insect vector, such as the mosquito in the rainy season.
- Increase in human movements due to markets or favorable seasonal conditions increasing the points of frequency of contact.
- Contamination of food and water sources.
- Declines in nutritional status.

A potential epidemic may be predicted by increase in numbers of the organism in carriers or animals. In plague, a disease carried by fleas on rodents, for instance, an "epizootic" (the parallel term for animals equivalent to an "epidemic" for humans) occurs prior to the epidemic.

#### **22.13.2 THREATENED**

A "threatened" epidemic can be anticipated when certain circumstances are present, such as: a susceptible population; the presence or impending introduction of the disease agent; or the presence of a mechanism for large-scale transmission (such as a contaminated water supply or a vector population).

#### **22.13.3 EMERGENCY**

An epidemic "emergency" can only be defined within the larger context in which it occurs, but may include the following characteristics:

- Risk of introduction and spread of the disease in the population.
- Expectation of a large number of cases.
- The disease is of such severity as to lead to serious disability or death.
- Risk of social and/or economic disruption from presence of the disease.
- Governmental authorities are unable to cope adequately with these situations because of a lack or insufficiency of:
- Technical or professional personnel
- Organizational experience
- Necessary supplies or equipment (drugs, vaccines, laboratory diagnostic)
- Materials, vector control materials, etc.)
- · A danger of international transmission.

Constraints to the predictability of epidemics can occur in newly formed of transitional communities where medical histories are not known and immunities to local vectors may be lacking. Further, the environment may be unplanned or un-established and factors such as source of water supply uncertain. Health care may be transitional or not sufficiently focused on prevention, due to lack of supplies and trained personnel.

The communities and circumstances noted above may be a residual impact of a catastrophic earthquake or other large-area disaster event.



Epidemics can also be caused by intentional criminal acts. In 1984, a religious cult in Oregon sprayed salmonella bacteria onto salad bars to sicken a local population in an attempt to fix a local election. Although there were no deaths, hundreds of people were sickened. Yet the crime went unrecognized until one of the cult members told authorities about it at a later date. Currently concerns involve the potential use of pathogens like those that cause anthrax, botulism and small pox. For further information see County Department of Public Health Emergency Plan.

#### 22.14 Animal Control

During disasters, animals are victimized as much if not more than their human companions. Animals in harm's way include horses, livestock and household pets. Disaster workers can be expected to assist animals in different ways – remove from fires or flooded areas, round-up and care for cattle involved in trailer transport accidents, and provide help for small domestic animals. Effective animal control will require setting up temporary holding areas for animals evacuated from areas at risk. Holding areas for animals should be arranged in advance of an emergency for proper and safe planning. An Animal Evacuation Plan was written in 2001 and distributed to public safety management personnel and the (7) cities and towns of the OA. The County Animal Care and Control Program is the lead agency responsible to coordinate this Plan during a disaster.

For public health reasons, many emergency shelters cannot accept pets. It is incumbent on owners of pets to find out which motels and hotels in the county allow pets – well in advance of needing them.

Often, during natural disasters, mosquitoes and dead animal carcasses may present disease problems. Outbreaks of anthrax, encephalitis and other diseases may occur.

#### 22.15 Compound and Complex Hazards

Increasingly one type of hazard can trigger a disaster, which in turn triggers another hazard, and subsequent disaster. A flood may force people to seek refuge in neighboring communities or lands where conflicts ensue between the refugees and local communities. A terrorism incident may cause a public health, technological, conflict, and national security threat at the same time.

The potential for complex disasters is becoming more evident. Essentially a complex disaster is a form of human-made emergency in which the cause of the emergency as well as the assistance to the afflicted are bound by intense levels of economic, social, political, and technological considerations.

This is caused by situations where the ability of response forces to control and assist the afflicted is severely constrained; where persons by culture and experience view the measures suggested and imposed with disdain; where the afflicted are extremely suspicious and hostile to public (meaning government) intervention; where rumor may trigger a mob psychology and reaction which overwhelms response forces; and, where the combination of the above events compounds a disaster through actions that cause the mass displacement of people.

### 22.16 Immigrant and Indigenous Community Reactions to Disasters



Immigration and homelessness are not just national issues but a state, a regional, and local issue as well. In addition to these two highly visible groups, the County has other groups, indigenous to certain communities, who will be significantly affected by a catastrophic event.

These groups will in turn have a significant effect on emergency response. These groups include:

- An increasing number of elderly and disabled persons who are not physically or financially able to leave their homes. This group will place a high priority on "staying put" irrespective of warnings to the contrary.
- Immigrants from Central and South America and Asia who have experienced near or actual catastrophic events. Because of culture, language, and belief, their response to a disaster may be significantly different than that of persons whose lives have been lived solely in the United States. Where the predominant culture instructs persons to "duck, cover, and hold", persons with different experiences may "run, run, run" to open fields, parks, etc. In the parks shelters may be established for a community.
- Children, especially of school age, and who are in school at the time of a significant disaster event will greatly strain the resources of the emergency response management system. This may be due not so much from the children's reactions, but the reactions of parents who will want to immediately know the status of their offspring. Under these circumstances, plans for sheltering in place, or other approaches, which manage the movement of children, will be sorely tested.
- Homelessness will increase after a catastrophic event as many households representing lower income persons form substandard (not up to earthquake standards) housing units will be forced to the streets. Although designated shelters may handle a portion of this group, the location and availability of such shelters will determine their effectiveness as an emergency housing alternative.
- Traditional Native American beliefs and concerns may increase during and after a
  catastrophic event, particularly with respect to archeological sites containing human
  burials remains, cremations, artifacts of ceremonial or spiritual significance, and rock
  art.
- Further since many Native Americans reside on protected lands, the approaches to response and recovery will require cognizance of federal laws and policies.

#### 22.17 Water Releases and Dam Failure

The County has two (2) dams (Imperial & Laguna), following Palo Verde and Parker Dams on the Colorado River to the All American Canal. (Refer to Yuma Area Bureau of Reclamation for Dam Emergency Plans).

The Imperial Irrigation District (IID) receives an average of 3.1 million acre-feet each year from the Colorado River. Imperial Dam, located north of Yuma, Arizona, serves as a diversion structure for water deliveries throughout southeastern California, Arizona and Mexico. The operations of IID's River Division Office at Imperial Dam, as well as system wide water distribution, all fall under the direction of the United States Bureau of Reclamation (USBR). Water diverted at Imperial Dam for use in the Imperial Valley first passes through one of three desilting basins, used to remove silt and clarify the water. From the desilting basins, water is then delivered to the Imperial Valley through the All-American Canal.



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Three main canals - East Highline, Central Main and Westside Main - receive water from the All-American Canal and are used to deliver water to many canals that exist throughout Imperial Valley. Another important component of IID's distribution system are the seven regulating reservoirs and three interceptor reservoirs that have a total storage capacity of more than 3,300 acre-feet of water.

IID operates and maintains more than 1,438 miles of lateral canals, 230 miles of main canals and the 82-mile-long All-American Canal. Most drainage ditches ultimately discharge water into either the Alamo River or New River.

All dams and basins have the probability of some type of failure. An assessment by the Bureau of Reclamation has classified Parker Dam as a high-hazard facility. Failure of the dam has the potential to jeopardize approximately 167,000 lives along a 319-mile reach of the Colorado River between Hoover Dam and United States-Mexico border.

#### 22.18 Evacuations Due to Dam Failure

A wide variety of types of incidents may generate the need to evacuate people from a threatened area. California Penal Code Section 409.5 gives peace officers the authority to close "the area where the menace exist to any and all persons" except the news media. This section permits the arrest of any unauthorized person who willfully and knowingly enters an area closed by reason of an emergency. An arrest is also permitted of any unauthorized person who willfully remains in the area after receiving notice to evacuate or leave, except that the statute no longer permits arrests of persons refusing to evacuate their home or business.

Consequently, the responsibility to notify citizens and facilitate evacuations generally falls to law enforcement. The decision to evacuate a given area is made by the Incident Commander (IC) of Unified Commanders, based on the advice of specialist familiar with the particular kind of emergency (fire, law enforcement, public health, etc.). When an area is ordered evacuated, officers should make every effort to verbally persuade persons to leave their homes and businesses. In only the most exceptional circumstances will arrest/force be considered to remove someone from their own home or business pursuant to an evacuation order. Penal Code section 273(a) and 148, and Welfare and Institutions Code 5150 may permit an arrest under limited circumstances, especially when a person creates a danger to others such as a parent preventing a child from leaving in the face of a direct threat.

A duly authorized representative of any news service, newspaper, or radio or television station or network" cannot be prevented from entering areas closed pursuant to Penal Code Section 409.5.

Livestock, including horses, cattle, and other large animals, are a common problem during evacuations. The Imperial County Animal Care and Shelter Division maintain an emergency plan written in 2001 to provide transportation and temporary housing for such animals.

#### **SECTION 23: NATIONAL SECURITY THREATS**

#### 23.1 Overview



National security threats represent those threats that are primarily the result of actions of external, hostile forces on the land, population or infrastructure of the United States. The potential for damage resulting from national security threats ranges from the relatively localized damage that could be expected from a terrorist attack to the catastrophic devastation that could be expected to occur from either a chemical, biological or nuclear attack on the United States. Like natural or technological threats, national security threats can be either predictable or unpredictable (for example, a preemptive strike versus an attack following a buildup of tensions). National security threats include: nuclear attack; chemical/biological warfare; civil disorder; and low-intensity conflict (including terrorism, subversion, insurgency and drug trafficking).

For further information see Terrorism Annex, Appendix E.

#### 23.2 Nuclear War

#### Definition

Any hostile action taken against the United States by foreign forces which results in destruction of military and/or civilian targets through use of nuclear weapons. (Blast and fallout effects are assumed from a large-scale nuclear attack.)

#### **Frequency**

No U.S. occurrence.

#### Areas at Risk

All areas of U.S. are at risk for different blast effects or secondary effects.

#### Season(s)

An attack could occur at any time of the year.

#### **Effects**

The effects of a nuclear attack, if one should occur, would be devastating and far-reaching. Many millions of lives would be at risk to the effects of blast overpressure, fire and radioactive fallout. The loss of property and infrastructure would be catastrophic with an almost incalculable associated dollar value.

The area in the U.S. at high risk from a large-scare nuclear attack threat includes Southern California and represents the locations of blast overpressure and fallout. The information developed is based on the Nuclear Attack Planning Base (NAPB) National Aimpoint List, a database of projected Soviet (now Russia) targeting of the U.S. in a preemptive nuclear strike.

Exact radiation levels can never be determined in advance of fallout arrival. Hence, minimum fallout protection levels for an entire area cannot be defined.

Of additional concern to the United States is the increasing proliferation of missile capability worldwide, a capability that could be made more lethal by the addition of chemical, biological or

nuclear warheads. Further, domestic and international terrorist groups are known to seek possession of such weapons in pursuit of their own agendas for disruption. These activities pose ever-greater dangers to U.S. facilities and citizens and must be planned for.

### 23.3 Chemical and Biological Warfare



#### Definition

The introduction of toxic or infective agents to harm a community's population, animal or plant food resources.

#### Frequency

No significant U.S. occurrence; however, with continued development of chemical/biological weapons and improved delivery systems by Third World nations, the threat is increasing.

#### **Effects**

The effects of chemical warfare would be devastating to human and animal life or, depending on the agent used, plant life as well. Chemical weapons, including warheads on missiles, contain liquid or gaseous chemical agents that cause toxic damage to living tissue rather than damage resulting from other physical effects such as blast, heat, or shrapnel.

Although chemical agents do little damage to buildings or vehicles, long-lasting chemical agents can be placed in structures or whole areas, thereby rendering these locations useless for humans or animals until they have been decontaminated.

One advantage of using chemical and biological weapons in terrorism is the difficulty in their detection. Anything from soda cans to missile warheads can be used as delivery systems. Cost and availability are advantages that chemical and biological weapons offer. Another advantage that chemical weapons offer the potential terrorist is reputation. Coughing, sneezing, cold sweats, headaches, difficulty breathing, nausea, blistering skin, paralysis, incontinence, and self-defecation are all unpleasant terms associated with describing the effects of chemical weapons. As a result, the mere term "Chemical and Biological Weapons" strikes a chord of fear in modern day society.

One final advantage to chemical and biological weapons is their efficiency. In short, these weapons cause numerous casualties at a very low cost, and are often referred to as a "Poor Man's Atomic Bomb." According to one study, the following numbers are an approximate cost per casualty for various weapons. For atomic bombs the cost would be approximately \$2,000 per casualty. For conventional weapons the cost would be about \$800 per casualty. For nerve gas weapons the cost is about \$600 per casualty. And for biological weapons the cost would be about \$1 per casualty.

Although, some may view the above advantages with disdain, there is, as always, a down side. The disadvantages for use of chemical and biological weapons are many. The first is retaliation, followed closely by image, and acquisition.

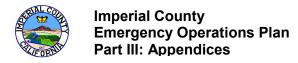
In the area of terrorism there has been an increasing level of activity in the national and international arena. This has corresponded with an increase in the ability of government response to terrorism, and the establishment of special operations units to combat terrorism both reactively and proactively. With this increase in responsiveness, the terrorist must take into

account the retaliation aspects of chemical, biological and nuclear terrorism. The use of chemical and biological weapons within the borders of the United States will cause invocation of national security measures which allow military personnel to act, without executive order, on a shoot first, ask questions later platform. The typical ban on federal troops acting as police is lifted.



It is hard for terrorist organization to enhance its image once it elects to use chemical and biological weapons. This is primarily because the reputation of chemical weapons as being terrible and inhumane is enough to instantly shed bad light on whatever group is using them. This bad image could lead to other ramifications. The use of such weapons would probably result in the downfall of financial support from sympathetic persons. Without funding, a typical terrorist group is as helpless as a bankrupt individual. They cannot hope to accomplish their goals without money, and chemical weapons are the quickest way to kill that funding.

While the manufacture of chemical and biological weapons is possible for any competent chemist or microbiologist, there is still a high level of danger in the manufacturing process. A large number terrorist have been known to self-destruct in attempting to fashion chemical or biological terrorist attack.



#### **SECTION 24: GLOSSARY OF TERMS**

Action Plan (AP): See EOC Action Plan and Incident Action Plan.

**Activation:** 1) Initial activation of an EOC may be accomplished by a designated official of the emergency response agency that implements SEMS as appropriate to accomplish the agency's role in response to the emergency. 2) An event in the sequence of events normally experienced during most emergencies.

**After-Action Report (AAR):** A report that examines response actions, application of SEMS, modifications to plans and procedures, training needs and recovery activities. After action reports are required under SEMS after any emergency that requires a declaration of an emergency. Reports must be submitted within 90 days to Cal OES.

**Agency:** A division of government with a specific function offering a particular kind of assistance. In the Incident Command System (ICS), agencies are defined either as jurisdictional (having statutory responsibility for incident management) or as assisting or cooperating (providing resources or other assistance). Governmental organizations are most often in charge of an incident, though in certain circumstances private sector organizations may be included. Additionally, Non-Governmental Organizations (NGOs) may be included to provide support.

**All-Hazards:** Any incident, natural or manmade, that warrants action to protect life, property, environment, public health or safety and minimize disruptions of government, social, or economic activities.

California Disaster and Civil Defense Master Mutual Aid Agreement (MMAA): An agreement entered into by and between the State of California, its various departments and agencies and the various political subdivisions, municipal corporations and public agencies of the State of California to assist each other by providing resources during an emergency. Mutual Aid occurs when two or more parties agree to furnish resources and facilities and to render services to each other in response to any type of disaster or emergency.

California Emergency Functions (CA-EF): The California Emergency Functions are a grouping of state agencies, departments and other stakeholders with similar functional activities/responsibilities whose responsibilities lend to improving the state's ability to collaboratively prepare for, effectively mitigate, cohesively respond to and rapidly recover from any emergency. California Emergency Functions unify a broad-spectrum of stakeholders with various capabilities, resources and authorities to improve collaboration and coordination for a particular discipline. They also provide a framework for the state government to support regional and community stakeholder collaboration and coordination at all levels of government and across overlapping jurisdictional boundaries.

California Emergency Services Act (ESA): An Act within the California Government Code to insure that preparations within the state will be adequate to deal with natural, manmade, or warcaused emergencies which result in conditions of disaster or in extreme peril to life, property and the natural resources of the state and generally to protect the health and safety and preserve the lives and property of the people of the state.



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**Catastrophe:** Any natural or manmade incident, including terrorism that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the population, infrastructure, environment, economy, national morale, and/or government functions.

**Command:** The act of directing, ordering, or controlling by virtue of explicit statutory, regulatory, or delegated authority.

**Command/Management:** Command is responsible for the directing, ordering, and/or controlling of resources at the field response level. Management is responsible for overall emergency policy and coordination at the SEMS EOC levels.

Command Post: See Incident Command Post.

**Command Staff:** The Command Staff at the SEMS Field Level consists of the Information Officer, Safety Officer and Liaison Officer. They report directly to the Incident Commander. They may have an assistant or assistants, as needed. These officers are also found at the EOC levels in SEMS and they report directly to the EOC Director and comprise the Management Staff. They may have an assistant or assistants, as needed.

**Common Terminology:** Normally used words and phrases-avoids the use of different words/phrases for same concepts, consistency, to allow diverse incident management and support organizations to work together across a wide variety of incident management functions and hazard scenarios.

**Communications:** Process of transmission of information through verbal, written, or symbolic means.

**Continuity of Government (COG):** Activities that address the continuance of constitutional governance. COG planning aims to preserve and/or reconstitute the institution of government and ensure that a department or agency's constitutional, legislative, and/or administrative responsibilities are maintained. This is accomplished through succession of leadership, the predelegation of emergency authority and active command and control during response and recovery operations.

**Continuity of Operations (COOP):** Planning should be instituted (including all levels of government) across the private sector and non-governmental organizations as appropriate, to ensure the continued performance of core capabilities and/or critical government operations during any potential incident.

**Coordination:** The process of systematically analyzing a situation, developing relevant information and informing appropriate command authority of viable alternatives for selection of the most effective combination of available resources to meet specific objectives. The coordination process (which can be either intra-or inter-agency) does not involve dispatch actions. However, personnel responsible for coordination may perform command or dispatch functions within the limits established by specific agency delegations, procedures, legal authority, etc. Multiagency or Interagency coordination is found at all SEMS levels.

**Corrective Actions:** Implementing procedures that are based on lessons learned from actual incidents or from training and exercises.



**Cost Unit:** Functional unit within the Finance/Administration Section responsible for tracking costs, analyzing cost data, making cost estimates and recommending cost-saving measures.

**Critical Infrastructure:** Systems and assets, whether physical or virtual, so vital to the United States that the incapacity or destruction of such systems and assets would have a debilitating impact on security, national economic security, national public health or safety, or any combination of those matters.

**Cyber Security:** The protection of data and systems in networks that are connected to the internet, including measures to protect critical infrastructure services. These services may include essential communications such as voice, email and internet connectivity.

**Cyber Threat:** An act or threat that poses potentially devastating disruptions to critical infrastructure, including essential communications such as voice, email and internet connectivity.

**Demobilization:** The orderly, safe and efficient return of an incident resource to its original location and status.

**Department Operations Center (DOC):** An Emergency Operations Center (EOC), specific to a single department or agency. Their focus is on internal agency incident management and response. They are often linked to and, in most cases, are physically represented in a combined agency EOC by authorized agent(s) for the department or agency.

**Disaster:** A sudden calamitous emergency event bringing great damage loss or destruction.

**Division:** The partition of an incident into geographical areas of operation. Divisions are established when the number of resources exceeds the manageable span of control of the Operations Section Chief. A Division is located within the ICS organization between the Branch and resources in the Operations Section.

**Documentation Unit:** Functional unit within the Planning/Intelligence Section responsible for collecting, distributing, recording and safeguarding all documents relevant to an incident or within an EOC.

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

**Emergency Management Assistance Compact (EMAC):** A congressionally ratified organization that provides form and structure to interstate mutual aid. Through EMAC, a disaster-affected state can request and receive assistance from other member states quickly and efficiently, resolving two key issues upfront: liability and reimbursement.

**Emergency Management Community:** The stakeholders in emergency response in California including the residents of California, the private sector and federal, state, local and tribal governments.



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**Emergency Operations Center (EOC):** The physical location at which the coordination of information and resources to support incident management (on-scene operations) activities normally takes place. An EOC may be a temporary facility or may be located in a more central or permanently established facility, perhaps at a higher level of organization within a jurisdiction. EOC may be organized by major functional disciplines (e.g., fire, law enforcement and medical services), by jurisdiction (e.g., federal, state, regional, tribal, city, County), or some combination thereof.

**Emergency Operations Plan:** The ongoing plan maintained by various jurisdictional levels for responding to a wide variety of potential hazards.

**Emergency Resource Directory (ERD):** A directory containing information on agency or organization personnel emergency certifications and qualifications and vendor and support organization supplies, equipment, etc. that may be needed during an emergency. Supplies and equipment can include such items as potable water tenders, portable toilets, heavy equipment, prepared meals, bulk foodstuffs, cots, rental office trailers, etc. To the extent possible and when appropriate, equipment should be typed by capability according to a common and accepted typing schematic. Emergency resource directories should only include those items likely to be needed by the preparing agency or organization in the performance of their duties and should not attempt to include everything that may be needed in any emergency.

**Emergency Response Agency:** 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.

**Emergency Response Personnel:** Personnel affiliated with or sponsored by emergency response agencies.

**EOC Action Plan:** The plan developed at SEMS EOC levels, which contains objectives, actions to be taken, assignments and supporting information for the next operational period.

**Essential Facilities:** Police, fire, emergency operations centers, schools, medical facilities and other resources that have a role in an effective and coordinated emergency response.

**Evacuation:** Organized, phased and supervised withdrawal, dispersal, or removal of civilians from dangerous or potentially dangerous areas and their reception and care in safe areas.

Federal: Of or pertaining to the federal government of the United States of America.

**Finance/Administration Section:** The section responsible for all administrative and financial considerations surrounding an incident or EOC activation.

**Function:** Function refers to the five major activities in ICS: Command, Operations, Planning, Logistics and Finance/Administration. The same five functions are also found at all SEMS EOC Levels. At the EOC, the term Management replaces Command. The term function is also used when describing the activity involved, (e.g. the planning function). A sixth function, Intelligence/Investigations, may be established, if required, to meet emergency management needs.



**Group:** Established to divide the incident management structure into functional areas of operation. Groups are composed of resources assembled to perform a special function not necessarily within a single geographic division. Groups, when activated, are located between branches and resources in the Operations Section. See Division.

**Hazard:** Something that is potentially dangerous or harmful, often the root cause of an unwanted outcome.

**Incident:** An occurrence or event, natural or manmade, which requires a response to protect life or property. Incidents can, for example, include major disasters, emergencies, terrorist attacks, terrorist threats, civil unrest, wild-land and urban fires, floods, hazardous materials spills, nuclear accidents, aircraft accidents, earthquakes, hurricanes, tornadoes, tropical storms, tsunamis, war- related disasters, public health and medical emergencies and other occurrences requiring an emergency response.

**Incident Action Plan (IAP):** An oral or written plan containing general objectives reflecting the overall strategy for managing an incident. It may include the identification of operational resources and assignments. It may also include attachments that provide direction and important information for management of the incident during one or more operational periods. At the SEMS EOC level it is called the EOC Action Plan.

**Incident Base:** The location at which primary Logistics functions for an incident are coordinated and administered. There is only one base per incident. (Incident name or other designator will be added to the term base.) The Incident Command Post may be co-located with the Base.

**Incident Command:** Responsible for overall management of the incident and consists of the Incident Commander, either single or unified command and any assigned supporting staff.

**Incident Commander (IC):** The individual responsible for all incident activities, including the development of strategies and tactics and the ordering and the release of resources. The IC has overall authority and responsibility for conducting incident operations and is responsible for the management of all incident operations at the incident site.

**Incident Command Post (ICP):** The field location where the primary functions are performed. The ICP may be co-located with the incident base or other incident facilities.

**Incident Command System (ICS):** A standardized on-scene emergency management construct specifically designed to provide for the adoption of an integrated organizational structure that reflects 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, designed to aid in the management of resources during incidents. It is used for all kinds of emergencies and is applicable to small as well as large and complex incidents. ICS is used by various jurisdictions and functional agencies, both public and private, to organize field-level incident management operations.



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**Intelligence:** Product of an analytical process that evaluates information collected from diverse sources; integrates the relevant information into a cohesive package and produces a conclusion or estimate. Information must be real, accurate and verified before it becomes intelligence for planning purposes. Intelligence relates to the specific details involving the activities of an incident or EOC and current and expected conditions and how they affect the actions taken to achieve operational period objectives. Intelligence is an aspect of information. Intelligence is primarily intended for internal use and not for public dissemination.

**Intelligence/Investigations:** Intelligence gathered within the Intelligence/Investigations function is information that either leads to the detection, prevention, apprehension and prosecution of criminal activities (or the individual(s) involved) including terrorist incidents or information that leads to determination of the cause of a given incident (regardless of the source) such as public health events or fires with unknown origins. This is different from the normal operational and situational intelligence gathered and reported by the Planning Section.

**Interoperability:** Allows emergency management/response personnel and their affiliated organizations to communicate within and across agencies and jurisdictions via voice, data, or video-on-demand, in real-time, when needed and when authorized.

**Joint Information Center (JIC):** A facility established to coordinate all incident-related public information activities. It is the central point of contact for all news media. Public information officials from all participating agencies should co-locate at the JIC.

Joint Information System (JIS): Integrates incident information and public affairs into a cohesive organization designed to provide consistent, coordinated, accurate, accessible, timely and complete information during crisis or incident operations. The mission of the JIS is to provide a structure and system for developing and delivering coordinated interagency messages; developing, recommending and executing public information plans and strategies on behalf of the IC; advising the IC concerning public affairs issues that could affect a response effort; and controlling rumors and inaccurate information that could undermine public confidence in the emergency response effort.

**Jurisdiction:** A range or sphere of authority. Public agencies have jurisdiction at an incident related to their legal responsibilities and authority. Jurisdictional authority at an incident can be political or geographical (e.g., federal, state, tribal and local boundary lines) or functional (e.g., law enforcement, public health).

**Key Resources:** Any publicly or privately controlled resources essential to the minimal operations of the economy and government.

**Liaison:** A form of communication for establishing and maintaining mutual understanding and cooperation.

**Liaison Officer:** A member of the Command Staff (Management Staff at the SEMS EOC Levels) responsible for coordinating with representatives from cooperating and assisting agencies or organizations. At SEMS EOC Levels, reports directly to the EOC Director and coordinates the initial entry of Agency Representatives into the Operations Center and also provides guidance and support for them as required.



**Local Government:** According to Federal Code 30 a County, municipality, city, town, township, local public authority, school district, special district, intrastate district, council of governments (regardless of whether the council of governments is incorporated as a nonprofit corporation under state law), regional or interstate government entity, or agency or instrumentality of a local government; an Indian tribe or authorized tribal entity, or in Alaska a Native village or Alaska Regional Native Corporation; a rural community, unincorporated town or village, or other public entity.

**Logistics:** Providing resources and other services to support incident management.

**Logistics Section:** The section responsible for providing facilities, services and material support for an incident or EOC activation.

Management Staff: See Command Staff.

**Mitigation:** Provides a critical foundation in the effort to reduce the loss of life and property from natural and/or manmade disasters by avoiding or lessening the impact of a disaster and providing value to the public by creating safer communities. Mitigation seeks to fix the cycle of disaster damage, reconstruction and repeated damage. These activities or actions, in most cases, will have a long-term sustained effect.

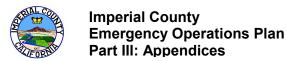
**Mobilization:** The process and procedures used by all organizations—federal, state, tribal and local-for activating, assembling and transporting all resources that have been requested to respond to or support an incident.

**Multiagency or Inter-Agency Coordination:** 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.

**Multiagency Coordination Group (MAC Group):** Typically, administrators/executives, or their appointed representatives, who are authorized to commit agency resources and funds, are brought together and form MAC Groups. MAC Groups may also be known as multiagency committees, emergency management committees, or as otherwise defined by the System. It can provide coordinated decision making and resource allocation among cooperating agencies and may establish the priorities among incidents, harmonize agency policies and provide strategic guidance and direction to support incident management activities.

**Multiagency Coordination System(s) (MACS)**: Multiagency coordination systems provide the architecture to support coordination for incident prioritization, critical resource allocation, communications systems integration and information coordination. The elements of multiagency coordination systems include facilities, equipment, personnel, procedures and communications. Two of the most commonly used elements are EOC and MAC Groups. These systems assist agencies and organizations responding to an incident.

**Mutual Aid Agreements and/or Assistance Agreements:** Written or oral agreements between and among agencies/organizations and/or jurisdictions that provide a mechanism to quickly obtain emergency assistance in the form of personnel, equipment, materials and other associated services. The primary objective is to facilitate rapid, short-term deployment of emergency support prior to, during, and/or after an incident.



**Mutual Aid Coordinator:** An individual at local government, Operational Area, Region or State Level that is responsible to coordinate the process of requesting, obtaining, processing and using mutual aid resources. Mutual Aid Coordinator duties will vary depending upon the mutual aid system.

**Mutual Aid Region:** A mutual aid region is a subdivision of Cal OES established to assist in the coordination of mutual aid and other emergency operations within a geographical area of the state, consisting of two or more Operational Areas.

**National:** Of a nationwide character, including the federal, state, tribal and local aspects of governance and policy.

**National Incident Management System (NIMS):** Provides a systematic, proactive approach guiding government agencies at all levels, the private sector and non-governmental organizations to work seamlessly to prevent, protect against, respond to, recover from and mitigate the effects of incidents, regardless of cause, size, location, or complexity, in order to reduce the loss of life or property and harm to the environment.

**National Response Framework (NRF):** A guide to how the nation conducts all-hazards incident management.

**Non-governmental Organization (NGO):** An entity with an association that is based on the interests of its members, individuals, or institutions. It is not created by a government, but it may work cooperatively with the government. Such organizations serve a public purpose, not a private benefit. Examples of NGO include faith-based charity organizations and the American Red Cross.

**Operational Area (OA):** An intermediate level of the state emergency organization, consisting of a County and all other political subdivisions within the geographical boundaries of the County.

**Operational Period:** The time scheduled for executing a given set of operation actions, as specified in the Incident Action Plan. Operational periods can be of various lengths, although usually they last 12-24 hours.

**Operations Section:** The section responsible for all tactical incident operations and implementation of the Incident Action Plan. In ICS, it normally includes subordinate branches, divisions, and/or groups. At the SEMS EOC levels the section is responsible for the coordination of operational activities. The Operations Section at an EOC contains branches, groups or units necessary to maintain appropriate span of control.

**Organization:** Any association or group of persons with like objectives. Examples include, but are not limited to, governmental departments and agencies, private sector, and/or non-governmental organizations.

**Planning Section:** The section responsible for the collection, evaluation and dissemination of operational information related to the incident or EOC activities and for the preparation and documentation of the IAP or EOC action plan respectively. This section also maintains information on the current and forecasted situation and on the status of resources assigned to the incident or EOC activation.



**Political Subdivisions:** Includes any city, city and County, County, tax or assessment district, or other legally authorized local governmental entity with jurisdictional boundaries.

**Preparedness:** A continuous cycle of planning, organizing, training, equipping, exercising, evaluating and taking corrective action in an effort to ensure effective coordination during incident response. Within NIMS, preparedness focuses on the following elements: planning, procedures and protocols, training and exercises, personnel qualification and certification and equipment certification.

**Prevention:** Actions to avoid an incident or to intervene to stop an incident from occurring. Prevention involves actions to protect lives and property. It involves applying intelligence and other information to a range of activities that may include such countermeasures as deterrence operations; heightened inspections; improved surveillance and security operations; investigations to determine the full nature and source of the threat; public health and agricultural surveillance and testing processes; immunizations, isolation, or quarantine; and, as appropriate, specific law enforcement operations aimed at deterring, preempting, interdicting, or disrupting illegal activity and apprehending potential perpetrators and bringing them to justice.

**Private Sector:** Organizations and entities that are not part of any governmental structure. The private sector includes for-profit and not-for-profit organizations, formal and informal structures, commerce and industry.

**Protocols:** Sets of established guidelines for actions (which may be designated by individuals, teams, functions, or capabilities) under various specified conditions.

**Public Information:** Processes, procedures and systems for communicating timely, accurate and accessible information on the incident's cause, size and current situation; resources committed; and other matters of general interest to the public, responders and additional stakeholders (both directly affected and indirectly affected).

**Public Information Officer (PIO)**: A member of the Command Staff (Management Staff at the SEMS EOC Levels) responsible for interfacing with the public and media and/or with other agencies with incident-related information requirements.

**Recovery:** The development, coordination and execution of service- and site-restoration plans; the reconstitution of government operations and services; individual, private—sector, non-governmental and public assistance programs to provide housing and to promote restoration; long-term care and treatment of affected persons; additional measures for social, political, environmental and economic restoration; evaluation of the incident to identify lessons learned; post incident reporting; and development of initiatives to mitigate the effects of future incidents.

**Recovery Plan:** A plan developed to restore the affected area or community.

**Region Emergency Operations Center (REOC):** Facilities found at Cal OES Administrative Regions. REOC provide centralized coordination of resources among Operational Areas within their respective regions and between the Operational Areas and the State Level.

**Reimbursement:** Provides a mechanism to recoup funds expended for incident-specific activities.



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**Resource Management:** Efficient emergency management and incident response requires a system for identifying available resources at all jurisdictional levels to enable timely and unimpeded access to resources needed to prepare for, respond to, or recover from an incident. Resource management under NIMS includes mutual aid agreements and assistance agreements; the use of special federal, state, tribal and local teams; and resource mobilization protocols.

**Resources:** Personnel and major items of equipment, supplies and facilities available or potentially available for assignment to incident operations and for which status is maintained. Resources are described by kind and type and may be used in operational support or supervisory capacities at an incident or at an EOC.

**Response:** Activities that address the short-term, direct effects of an incident. Response includes immediate actions to save lives, protect property and meet basic human needs. Response also includes the execution of EOP and of mitigation activities designed to limit the loss of life, personal injury, property damage and other unfavorable outcomes. As indicated by the situation, response activities include applying intelligence and other information to lessen the effects or consequences of an incident; increased security operations; continuing investigations into nature and source of the threat; ongoing public health and agricultural surveillance and testing processes; immunizations, isolation, or quarantine; and specific law enforcement operations aimed at preempting, interdicting, or disrupting illegal activity and apprehending actual perpetrators and bringing them to justice.

**Response Personnel:** Includes federal, state, territorial, tribal, sub-state regional and local governments, private sector organizations, critical infrastructure owners and operators, NGO and all other organizations and individuals who assume an emergency management role. Also known as an Emergency Responder.

**Safety Officer:** A member of the Command Staff (Management Staff at the SEMS EOC Levels) responsible for monitoring incident operations and advising the IC on all matters relating to operational safety, including the health and safety of emergency responder personnel. The Safety Officer may have assistants.

**Section:** 1) The organizational level having responsibility for a major functional area of incident or EOC Management, (e.g. Operations, Planning, Logistics, Finance/Administration) and Intelligence/ Investigations (if established). The section is organizationally situated between the branch and the Incident Command. 2) A separate part or division as: A) Portion of a book, treatise, or writing. B) Subdivision of a chapter. C) Division of law.

**Situation Report:** Often contain confirmed or verified information regarding the specific details relating to the incident.

**Span of Control:** The number of resources for which a supervisor is responsible, usually expressed as the ratio of supervisors to individuals. Under NIMS, an appropriate span of control is between 1:3 and 1:7, with optimal being 1:5.



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**Special District:** A unit of local government (other than a city, County, or city and County) with authority or responsibility to own, operate and maintain systems, programs, services, or projects (as defined in California Code of Regulations (CCR) Section 2900(s) for purposes of disaster assistance. This may include a joint power authority established under Section 6500 et. seq. of the Code.

**Stafford Act:** The Robert T. Stafford Disaster Relief and Emergency Assistance Act establishes the programs and processes for the federal government to provide disaster and emergency assistance to states, local governments, tribal nations, individuals and qualified private nonprofit organizations. The provisions of the Stafford Act cover all-hazards including natural disasters and terrorist events. Relevant provisions of the Stafford Act include a process for Governors to request federal disaster and emergency assistance from the President. The President may declare a major disaster or emergency.

**Staging Area:** Established on an incident for the temporary location of available resources. A Staging Area can be any location on an incident in which personnel, supplies and equipment can be temporarily housed or parked while awaiting operational assignment.

**Standard Operating Procedure (SOG):** Complete reference document or an operations manual that provides the purpose, authorities, duration and details for the preferred method of performing a single function or a number of interrelated functions in a uniform manner.

**Standardized Emergency Management System (SEMS):** A system required by California Government Code and established by regulations for managing response to multiagency and multijurisdictional emergencies in California. SEMS consists of five organizational levels, which are activated as necessary: Field response, Local Government, Operational Area, Region and State.

Standardized Emergency Management System (SEMS) Guidelines: The SEMS guidelines are intended to assist those responsible for planning, implementing and participating in SEMS.

Standardized Emergency Management System (SEMS) Regulations: Regulations establishing 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 Multiagency Coordination System (MACS) as developed by FIRESCOPE program, the Operational Area concept and the Master Mutual Aid Agreement and related mutual aid systems. Regulations are found at TITLE 19. DIVISION 2. Chapter 1, ∞ 2400 et. Seq.

**State:** When capitalized, refers to any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands and any possession of the United States. See Section 2 (14), Homeland Security Act of 2002, Public Law 107–296, 116 Stat. 2135 (2002).

**State Operations Center (SOC):** The SOC is operated by the California Governor's Office of Emergency Services (CalOES) at the State Level in SEMS. It is responsible for centralized coordination of state resources in support of the three Cal OES Administrative Regional Emergency Operations Centers (REOCs). It is also responsible for providing updated situation reports to the Governor and legislature.



**System:** An integrated combination of people, equipment and processes that work in a coordinated manner to achieve a specific desired output under specific conditions.

**Technical Assistance:** Support provided to state, tribal and local jurisdictions when they have the resources but lack the complete knowledge and skills needed to perform a required activity (such as mobile-home park design or hazardous material assessments).

**Technical Specialists:** Personnel with special skills that can be used anywhere within the SEMS organization. No minimum qualifications are prescribed, as technical specialists normally perform the same duties during an incident that they perform in their everyday jobs and they are typically certified in their fields or professions.

**Terrorism:** Under the Homeland Security Act of 2002, terrorism is defined as activity that involves an act dangerous to human life or potentially destructive of critical infrastructure or key resources; is a violation of the criminal laws of the United States or of any state or other subdivision of the United States in which it occurs; and is intended to intimidate or coerce the civilian population, or influence or affect the conduct of a government by mass destruction, assassination, or kidnapping. See Section 2 (15), Homeland Security Act of 2002, Public Law 107–296, 116 Stat. 2135 (2002).

**Threat:** An indication of possible violence, harm, or danger.

**Tribal:** Any Indian tribe, band, nation, or other organized group or community, including any Alaskan Native Village as defined in or established pursuant to the Alaskan Native Claims Settlement Act (85 stat. 688) [43 U.S.C.A. and 1601 et seq.].

**Type:** 1) An ICS resource classification that refers to capability. Type 1 is generally considered to be more capable than Types 2, 3, or 4, respectively, because of size, power, capacity, or (in the case of incident management teams) experience and qualifications. 2) A class, kind, or group sharing one or more characteristics; category. 3) A variety or style of a particular class or kind of things.

**Unified Command:** An ICS application used when more than one agency has incident jurisdiction or when incidents cross political jurisdictions. Agencies work together through the designated members of the UC, often the senior person from agencies and/or disciplines participating in the UC, to establish a common set of objectives and strategies and a single IAP.

**Unit:** The organizational element with functional responsibility for a specific incident planning, logistics, or finance/administration activity.

**Vital Records**: The essential agency records that are needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions (emergency operating records), or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records).

**Volunteer:** For purposes of NIMS, a volunteer is any individual accepted to perform services by the lead agency (which has authority to accept volunteer services) when the individual performs services without promise, expectation, or receipt of compensation for services performed. See 16 U.S.C. 742f(c) and 29 CFR 553.101.

#### **SECTION 25: AUTHORITES AND REFERENCES**

#### **IMPERIAL COUNTY RESOLUTIONS:**

County Resolution No. 20: California Master Mutual Aid Agreement. Adopted and approved on January 1951.

County Resolution No. 95-12: Adoption of Standardized Emergency Management System (SEMS). Adopted in September 1995, this Resolution contains language supporting the County's use and implementation of SEMS and the OA Concept.

County Resolution No. 2006-013: Adoption of National Incident Management System (NIMS). Adopted NIMS and also included language that the County would continue use of SEMS.

**County Resolution No. 2.104.030: Establish Disaster Council.** County Ordnance No. 237 also defines the County's Disaster Council membership (2.104.030) and powers/duties (2.104.040).

County Resolution No. 2008-004: Adoption of Multi-Jurisdictional Hazard Mitigation Plan. Adopted in February 2008 this resolution adopted the County's MJHMP.

#### STATE AUTHORITIES:

California Civil Code, Chapter 9, Section 1799.102 - Good Samaritan Liability

California Code of Regulations, Title 19

California Disaster and Civil Defense Master Mutual Aid Agreement

California Disaster Assistance Act

California Emergency Services Act

#### FEDERAL AUTHORITIES:

Federal Civil Defense Act of 1950 (Public Law 920) as amended

Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended

#### **REFERENCES**

California Catastrophic Incident Base Plan: Concept of Operations

California Emergency Plan

California Fire Service and Rescue Emergency Mutual Aid Plan

California Hazardous Materials Incident Contingency Plan

California Law Enforcement Mutual Aid Plan

Comprehensive Preparedness Guide 101, Developing and Maintaining Emergency

Operations Plans, Version 2

Emergency Alert System Plan (EAS)

Homeland Security Presidential Directive (HSPD-5)

National Incident Management System

National Response Framework

Imperial County Multi-jurisdictional Hazard Mitigation Plan

Standardized Emergency Management System Guidelines

Tactical Interoperability Communications Plan (TICP)

Telephone Emergency Notification System (TENS)

Title 44 Code of Federal Regulations

### **SECTION 26: CONTACT LISTS**

### **26.1 County Contacts**

Agency	Telephone Numbers
County Emergency Operations Center (EOC)	760-482-2400
Sheriff Dispatch	760-339-6312
Public Health DOC Deputy Officer 24/7	760-482-4835 760-455-4082
Animal Control	760-339-6291
Environmental Health - 24hr Deputy Officer	442-265-1900
Behavioral Health Department 24/7	1-800-817-5292
Public Works 24hr	442-265-1818
Facilities Management	442-265-1818
Information/ Technical Services	442-265-1040

### **26.2 Utility Contacts**

Agency	Telephone Numbers
Imperial County Sheriff Dispatch	760-339-6312
Imperial Irrigation District	
Water Dispatch	760-339-9348
Power Dispatch	1-800-303-7756
Southern California Gas	
Police/Fire 24/7	1-800-752-9656
Media	1-877-643-2331
Public Affairs	800-427-2000
Southern California Edison 24hrs	800-611-1911
Local Public Affairs	760-202-4211

### 26.3 Federal and State Contacts

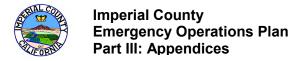
Agency	Telephone Numbers
State Warning Center Sacramento	916-845-8911
REOC – Los Alamitos	562-795-2900
CAL FIRE – South Ops	951-320-6197
Cal WARN Region	909-806-4087
NOAA Contact – Ken Waters	602-618-3115
National Weather Service Phoenix	602-275-0073
National Weather Service San Diego	858-675-8705

### 26.4 Transportation and Infrastructure Contacts

Agency	Telephone Numbers
Caltrans	760-352-2071
California Highway Patrol Dispatch Office Road + Weather Info.	760-482-2550 760-482-2500 760-352-6136
Army Corps of Engineers	1-213-452-3440
Department of Water Resources	916-574-2714
Kinder Morgan Operations Director Office	760-455-6464 760-352-0677
Reach Air Medical Dispatch	800-338-4045

### 26.5 Non-Government Contacts

Agency	Telephone Numbers
American Red Cross Imperial/San Diego Response Manager Disaster Service Manager	760-352-6220
211 Imperial/San Diego	858-300-1239
El Centro Regional Medical Center	760-339-7100
Pioneers Memorial Healthcare District	760-351-4400



#### **SECTION 27: SUPPORTING DOCUMENTATION**

#### 27.1 NIMS/CAST/TEP Overview

In Homeland Security Presidential Directive (HSPD)-5, Management of Domestic Incidents, the President directed the Secretary of Homeland Security to develop and administer a unified, national system for managing incidents. The National Incident Management System (NIMS) provides a consistent nationwide approach for Federal, State, tribal, and local governments to work effectively and efficiently together to prepare for, prevent, respond to, and recover from domestic incidents, regardless of cause, size, or complexity. NIMS incorporates the best practices currently in use by incident managers at all levels and represents a core set of doctrine, concepts, principles, terminology, and organizational processes to enable effective, efficient, and collaborative incident management at all levels.

HSPD-5 also directed the establishment of a mechanism for ongoing coordination to provide strategic direction for, and oversight of NIMS. As a result, FEMA's National Integration Center (NIC) was established to support both routine maintenance and the continuous refinement of NIMS and the guidance to Federal Departments and agencies and State, tribal, and local government encouraging its implementation.

The NIC developed and maintains NIMS Compliance Assistance Support Tool (NIMSCAST) as the premier self-assessment instrument for Federal, State, territorial, tribal, and local jurisdictions to evaluate and report achievement of NIMS implementation objectives (activities). NIMSCAST reflects implementation objectives and metrics in support of national preparedness goals, including standards for preparedness assessments and strategies and a system for assessing the Nation's overall ability to prepare for all-hazards incident management.

The Imperial County Office of Emergency Services is responsible for tracking the County's NIMS compliance and as required by FEMA and Cal OES, prepares the annual NIMSCAST report. OES utilizes the web based NIMSCAST reporting tool to report the County's NIMS compliance.

In addition, as required by FEMA and Cal OES, OES prepares an annual Operational Area Training and Exercise Plan (TEP) utilizing the "building block" approach to training and exercises. The TEP is required for grant funding purposes and also ensures the County's compliance with Homeland Security Exercise Evaluation Program (HSEEP).