



**June 2008**

# Creation of a Regional Emergency Planning Model

*for Continuous Disaster Mitigation Response*

A Guide for Regional Response Planning

Laura B. Myers, Ph.D.

Larry J. Myers, Ph.D.

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Oak Ridge National Laboratory, Oak Ridge, Tennessee

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## FOREWARD

This project was developed to support the tremendous efforts of disaster response planners and stakeholders in their missions to provide the best disaster prevention and response possible in their communities. The project team, who developed and facilitated this project, have documented a model process to assist disaster response planners and stakeholders in the enhancement of regional disaster response planning. Disaster response planners and stakeholders have developed strong action plans at their local levels in response to their own community needs and the framework expectations from FEMA-NIMS. In response to current expectations and also to the scope of large disasters, these same planning stakeholders are now working on expanding and combining their local efforts on a regional level. Some communities have been working on regional action planning longer than others, while some communities have just begun this process. The model process presented here is designed to assist groups of disaster response planning stakeholders undertake ongoing, continuous action planning. Using the model process will permit these stakeholders to start at any point in their regional planning efforts, establish annual goals, and conduct a workshop process that allows them to make progress toward meeting those goals.

The key to the model process is the communication between disparate planners and stakeholders, each representing different missions in the disaster response process. Regional action planning benefits from the knowledge of all efforts that have been established across a region and how those efforts can be combined and enhanced to better allocate resources and provide an effective and efficient regional response to disasters. It also permits an improved local response to disasters within regions with regional efforts dispatched to focus on local events, particularly in locations with more needs.

The regional emergency planning model (REPM) process is a series of workshops in which the communication and action planning efforts of regional disaster response stakeholders are facilitated by a leadership team of planners and stakeholders who bring these planners together and also grow the regional planning team over time. This team will also determine the scope of their regional boundary and potentially expand that boundary over time as needed. The model process is presented as a guide so planners and stakeholders can adapt the process for their own usage.

The model process presented here was documented by the project team from a pilot effort in the Charlotte, North Carolina region. This region was chosen to pilot the workshop process and to document how planning stakeholders would use the process because Charlotte and its surrounding region have so many different types of characteristics that can be taken into account when undertaking regional action planning. The region is urban and rural, it has a multi-state component with the North Carolina and South Carolina borders, two nuclear facilities in the immediate region and seven nuclear facilities within both states, an urban area security initiative (UASI), substantial year-round weather challenges, and significant critical infrastructure that may be attractive to potential terrorist groups, such as the nuclear facilities and the financial infrastructure. The stakeholders who participated in the Charlotte pilot effort will be referred to as the Team Charlotte Region as the model process is presented.

When the project concept was brought to the Charlotte region, the disaster response stakeholders readily agreed to use the model and to help document the process for other regions. As they used the workshop process, they also provided suggestions on how to adapt the process for the unique characteristics of other regions. They also provided their input on how the model process can enhance the regional action planning process and how to make the process work.

As the model process was developed and documented, FEMA-NIIMS and FEMA-Region IV were involved in discussions to explore the usefulness of the model process in helping communities meet NIMS compliance and to work on Region IV goals. The project received support from FEMA-NIMS and FEMA Region IV as a method for enhancing regional action planning efforts. This process does not attempt to replace any mechanism for compliance such as NIMS. This process creates a forum for continuous communication that will permit the development of compliance with federal, state, and local compliance requirements. References will be made throughout the discussion of this process on how compliance efforts can be pursued and documented using the workshop process, but the specifics of compliance are to be achieved through the mechanisms established by the appropriate governing entities which are currently being pursued on an ongoing basis in all communities. The REPM process will assist with those compliance activities.

The project team also established an advisory board of disaster response specialists to help guide the development of the process and to make sure the model process was consistent with developments in homeland security and to be consistent with regional planning goals within homeland security. Members of the advisory board are listed in the next section. Some of these board members represent the national perspective and other board members are actual planning stakeholders from the Charlotte region.

The following documentation describes the model workshop process that is designed to be continued on a yearly basis. It provides examples from the Team Charlotte Region to show how they used the model and it also provides adaptation suggestions for communities who need to adapt the model process to their own unique characteristics. Dr. Laura Myers, one of the principal investigators of the project, served as the facilitator for the pilot project, and many of her observations and adaptations are included.

The model process is designed to be conducted by local planning stakeholders. The facilitation of the workshops and meetings can be done by these same stakeholders or by someone from outside the disaster planning community, like Dr. Myers, as long as the person has established trust with the stakeholder community. The process is designed to be owned by the disaster response planning stakeholders and serves as a framework to be adapted to unique communities. It should not be forced on stakeholders and it should not be a rigid process as this is not the way disaster response planning works. Forcing the model process on people and using rigid guidelines does not appreciate the expertise of disaster planners. The beauty of this model process is that it enhances and supports the tremendous efforts of disaster planning stakeholders who wish to enhance their regional planning activities.

As your community undertakes the use of this model process, if you have any questions or any feedback for the model process, please contact the principal investigators of the project. We will be pleased to provide any information you might need to implement the process or to clarify anything that might arise in your use of the model. Any feedback you might provide to us will be incorporated into the refinement of the model process as we add more adaptation suggestions.

We have taken great pleasure in the documentation of this model planning process as it has allowed us to help support the efforts of disaster response planning stakeholders. Working with the enthusiastic and motivated stakeholders in the Charlotte region made the documentation of this process very simple. To witness the great commitment and expertise being devoted to disaster response planning has been extremely gratifying. Thank you for considering the use of this process to support disaster response planning in your community and region. Thank you for allowing us to support those of you who provide such important disaster response work for your communities and those who reside in your communities. This project has allowed us to observe and share with others the tremendous efforts you make on behalf of your communities.

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# 1.

## **CONTEXT FOR USING THE REGIONAL EMERGENCY PLANNING MODEL PROCESS**

This document describes a planning model designed for use by any group of disaster planners with the goal of developing a new or an enhanced regional disaster response plan. This planning model is a process for developing and/or enhancing a regional disaster response plan through the communication of disparate planning stakeholders. Issues for regional disaster response planning are included for use in the process to assist in the development of regional planning. Planners should read this document to determine how they can use these guidelines to develop, or enhance, their own regional planning.

Regional disaster planners and stakeholders are defined as representatives of any agency, group, community, or organization involved in disaster response planning who desire to develop regional planning efforts, regardless of the starting point. This process can be used by planners and stakeholders just beginning the regional planning process or by planners who have been doing any amount of regional disaster response planning and want to enhance their plans.

Continuous regional disaster planning is defined as regional disaster planning undertaken on a continuous basis with a baseline of regional efforts established and then goals set for ongoing, continuous planning over time. This process creates the continuity to establish planning goals, places work on a timeline to accomplish those goals, and permits an assessment of progress with the regional action planning process. The process for continuous regional disaster planning is conducted through a series of ongoing workshops that bring together these planners for a unique communication process that creates the dialogue needed for continuous regional disaster response planning.

This model process can be initiated at any stage of regional disaster response planning, from minimal regional planning to advanced regional planning. The model presumes that local planning efforts, individual efforts, and agency specific efforts have been established and are ongoing. The benefit of this

## 1. Context for Using the Regional Emergency Planning Model

model process is the communication efforts between all of these entities that help educate the disparate planners about the efforts taking place which they may or may not be aware of, as well as the development of plans to extend these efforts in a manner that enhances regional response planning.

Disparate planners refer to the representatives of the various disciplines, professions, and entities involved in disaster response planning. All of these individuals and groups are involved in some degree of disaster response work and have their own action plans depending on their missions and goals, with their own specific jurisdictional boundaries such as the city, the county, a particular region or some other specified boundary. For example, business continuity specialists are employed by community businesses to establish, exercise, and educate about disaster response plans for the organization they serve. This mission often contrasts with the mission of local law enforcement in a disaster since the law enforcement goal is to maintain safety and security in a disaster. During and after actual disasters, law enforcement and business continuity specialists often find themselves in conflict with their missions because businesses want to get back to work and law enforcement may block that effort with their safety and security tasks. The workshop process creates a dialogue between entities like law enforcement and business continuity that clarifies the missions and permits the development of synthesized action plans merging the missions of these disparate planners that helps each entity achieve its goals through some type of compromise that serves the needs of each.

### ***1.1 Development of the Model Process***

The process for developing an improved regional disaster response plan is a facilitated workshop method that has been piloted with a group of Charlotte, NC regional disaster planners. The results of their work have been integrated into the development of this model process. The Charlotte, NC region was chosen for the development of the model process because the planners in this region have been doing regional planning since the early 1990s and their efforts and history have provided an enormous amount of information for the development of a model process. These Charlotte regional planners are also continuing to develop an improved regional disaster plan and their continuity efforts helped to inform the continuous aspects of this model.

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An advisory board of subject matter experts was also developed to help develop the model. Experts with homeland security experience as well as regional planning experience were included to give their perspectives on the development of the model and to help with workshop development.



*The Charlotte Emergency Management Director, Mr. Wayne Broome, seen here making key points at a Team Charlotte Region workshop, shared numerous examples of existing partnerships in the region and his perceptions on future directions that could be taken in regional planning.*



*The REPM process is a peer-facilitated process in which discussion by participants guides the action planning activities of the team.*

This model has been designed for continuous regional action planning which is a long-term process for starting from any point of origin with regional planning and moving forward with continuous goals for enhancement over time. This model is

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adaptable to any location with its own unique characteristics. The model process adapts to the issues and characteristics of the location as needed.



*In the workshop process, break-out groups focused on specific issues of regional planning. Each group reported back to the entire workshop for discussion. The synergy and suggestions from this process were tremendous.*



*Law enforcement agencies will likely want to be very involved in the REPM process, as they were in the Team Charlotte Region project.*

### **1.2 The Basics of the Regional Emergency Planning Model Process**

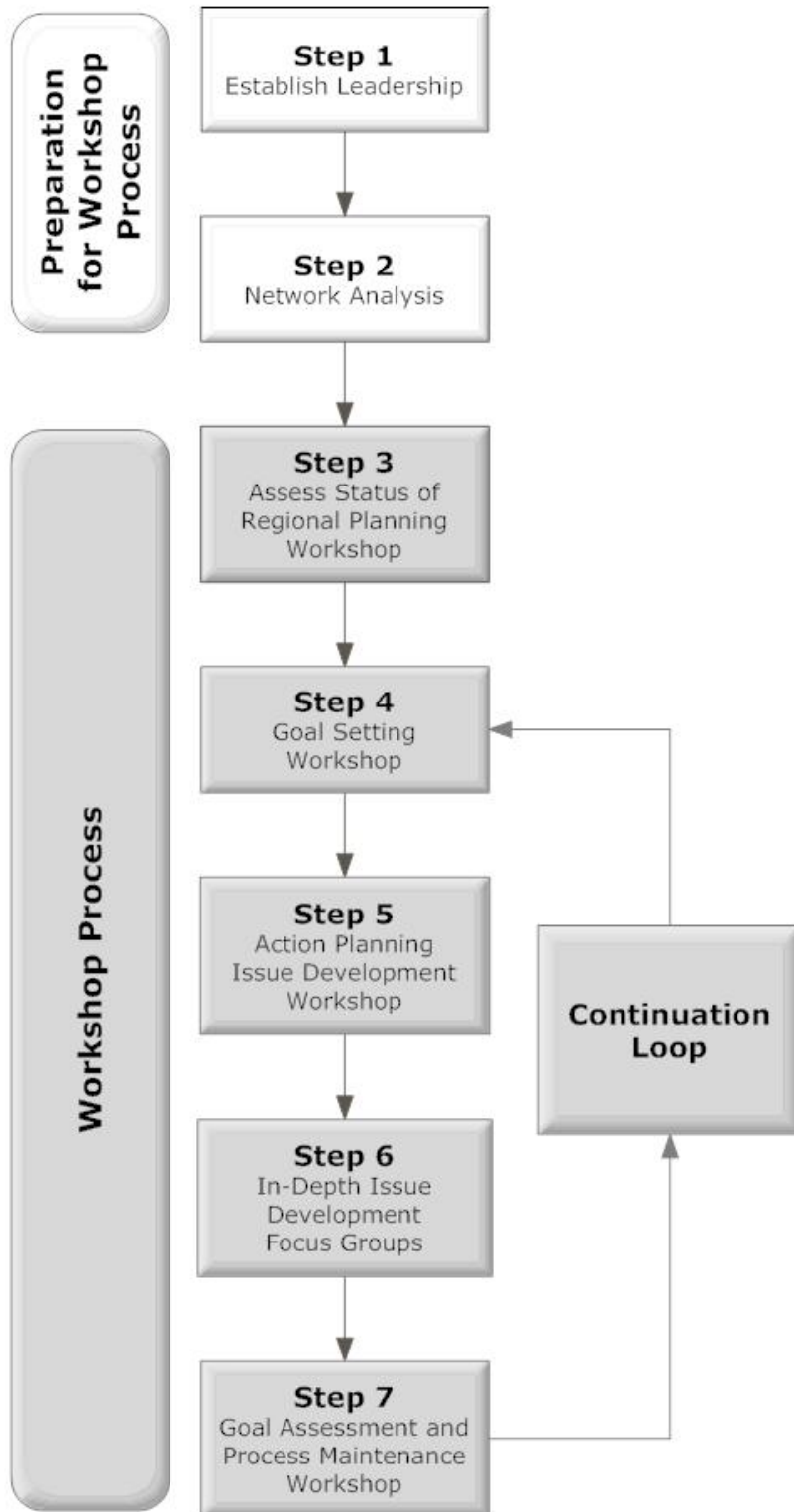
The Regional Emergency Planning Model Process is a series of workshops that establishes the continuous regional disaster planning process. The initial implementation of the process extends for a period of approximately one year and establishes

a procedure for continuation beyond that one year period. Continuation of the regional action planning process is created from the continued use of the workshop process, using the model process plan and components, over time. This continuation is called the Continuation Loop. (See Figure 1: Regional Emergency Planning Model Process).

The workshop process creates a mechanism for establishing:

1. A baseline for regional action planning. The disaster planners determine the current baseline of regional action planning in their area as a starting point for using this workshop process.
2. A timeline of regional planning goals to be achieved over time. The disaster planners and stakeholders (regional team) establish a set of goals and a timeline to achieve those goals over a continuous time frame. A series of about three workshops per year, along with small focus group meetings, permit the planners to develop and refine action plans to work toward and achieve their regional action planning goals.
3. A growing and evolving team of regional planners and subject matter experts. The workshop process permits the original team of planners to grow as the networking process occurs and the regional boundaries expand. Subject matter experts are added to the team as the needs for their expertise develop over time.
4. The inclusion of relevant components in regional disaster planning as they fit the goals of the planning team and the region. A set of key components for regional disaster response planning are included in this model, many of which will be useful to regional planners during their use of the planning process to develop enhanced action plans.

**Figure 1: Regional Emergency Planning Model (REPM) Process**



### ***1.3 Assessment Measures for Application of the Regional Emergency Planning Model Process in Your Community***

The impact of this model can be assessed on the following measures:

1. The regional disaster planning process in your community can be facilitated no matter at what stage of development the regional planning process begins. The impact of regional disaster planning over time can be measured.
2. Your community and its disaster planners can establish continuous action planning goals on a timeline. Goal establishment, timeline planning, and assessment can be measured.
3. A larger regional geography from which to create a disaster plan can be created with this process. The growth of regional geography can be measured.
4. Optimum emergency resource allocation and flexible emergency plans can be created and measured with this process.
5. Dynamic activity monitoring to ensure activities and decisions that are in compliance with applicable requirements can be created and measured with this process.
6. The number and type of regional disaster planners, including business, faith-based organizations, and individuals and families can be increased and measured with this process.
7. Improvement of a regional disaster response plan that will permit your community to be better prepared for all types of disasters can be accomplished and measured.

### ***1.4 Adapting the Regional Emergency Planning Model Process for Your Own Unique Community Characteristics***

As the model process is described, Team Charlotte Region examples are provided to show how they implemented each phase of the process. These are examples to provide suggestions for use of the workshop process and to provide context for the actions that can be undertaken. The process

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should be adapted to the unique needs of your own region and suggestions for adaptation are provided.

The model process of a series of workshops is designed to bring planners together to discuss the status of regional disaster response planning. There will already be some degree of regional planning taking place, but the workshop process permits planners to assess the baseline status of regional planning efforts, create a timeline for enhancing that process, and create a communication mechanism for making sure that the process maintains continuity over time. The process creates a regional networking process that is consistent and permits planners to interact with each other on major regional planning issues that each group of planners might not be aware of in isolation.

The Team Charlotte Region helped to customize this model process by providing information on how the process worked for them and their action planning process. The following adaptation issues have been addressed by the Team Charlotte Region in their use of the model and they describe how other regions might use this model process. The following questions and responses are summaries of actual comments from Team Charlotte Region (See Appendix A for the actual comments of the Team Charlotte Region.)

### ***1.4.1 Why should a group of disaster planners use the REPM process?***

There are numerous reasons for using the REPM process. The days of comfort and security do not exist anymore and preparation for the next “big disaster” is vital if a community is to recover in an expedient and efficient manner. The failure of some communities to respond well in past disasters serves as a measure against which other communities will be evaluated when they respond to future disasters. The “Lessons Learned” from these failures and the successes from previous disaster response are key components of current planning processes.

The collaboration of a regional response is more effective than a local response, even though local response efforts are often quite strong. In fact, the national focus is currently on the development of regional planning efforts. Resource allocation and the development of specialized teams within a region can make a large geographical area more efficient and effective in responding to all types of disasters. This

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collaboration also brings together public and private sector planners which will enhance the disaster response process and the ability of a community to recover more effectively. Regional planning also creates a degree of uniformity needed to bring together the traditional and non-traditional responder communities.

The regional planning process also creates an ownership and investment of planners through a geographic area that impacts the ability to deal with large scale events and responses such as evacuations and sheltering. Local response planners recognize the need for communication between disparate planners and the need for better resource identification on a larger geographic scale.

Many communities already possess the leadership necessary to create regional plans. There is also significant interagency communications within regions. Using the REPM process will create the forum needed to bring these entities together to develop enhanced regional action plans.

### ***1.4.2 Why would disparate regional planners want to engage in the REPM process?***

The disparate planning groups involved in regional planning will have numerous reasons for wanting to develop new and/or improved regional plans. The collaborations and partnerships that synthesize knowledge, resources, and outcomes are tremendous and the various planning groups using the REPM process will develop many of these partnerships from their own perspectives. For example, the medical/health planners often work with academic institutions on many issues and regional disaster response planning can be enhanced from such collaboration. Groups, such as water utilities, which have often been overlooked in disaster response planning, can be included in this process. Global companies, such as telecommunications companies, can be included to help them learn about how they can be part of the planning process at a regional level, when their boundaries are perceived by them to be so much larger.

Regional response planning also permits planners to determine not just primary but secondary roles they can play in the response process. For example, a law enforcement agency may play a primary role at the local level, but a secondary role in a regional scale event.

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Disparate groups also learn from each other and communicate better when they work together. The private sector uses a different set of concepts and has different missions from the public sector when it comes to emergency response. Working together on a continuous basis creates collaboration that educates both the public and the private sectors about each other. They all increase their knowledge bases and enhance their contact lists for response planning efforts.

Finally, local responses are often hyper-extended so regional planning efforts would reduce the burden and pressures on local personnel and resources. Local emergency management and disaster responders often do more with less and the regional scope would reduce this tremendous burden and help communities be more prepared for future disasters.

### ***1.4.3 What goals and objectives can be achieved for the various planning disciplines using the REPM process?***

Goals and objectives may be similar or different depending on the planning groups involved in regional planning. Many of the groups will be seeking a standardized model for a regional planning process that will document best practices, identify territory factors, do gap analyses, and create opportunities to improve. Many of the planners desire more knowledge of the efforts and planning of others in their region and how these entities have interacted in previous disasters.

Business partners will want insight into how other entities are planning. They want to establish relationships/partnerships because they may need to work together if a regional event occurs. They also want to know what government expects from them in a disaster and what they can expect from their state government.

In a similar vein, law enforcement desires to improve non-law enforcement contacts and learn from the business sector. They want to BUILD TRUST between each of the planning groups and with academics who have been collecting and doing research on disaster response planning. Other groups, such as water utilities, have the same needs.

Many of the disparate planning groups want the most current training that will assist them in disaster response and

especially regional disaster response. They want more than just the training required to be in compliance with FEMA and NIMS.

***1.4.4 How do planners begin the regional planning process?***

There will likely be a strong desire among groups within a region to take on a regional planning process or to enhance an already existing regional plan. Many of these groups, such as law enforcement or public health, are often somewhat compartmentalized and isolated in their own functions. These groups will gravitate to a mechanism that allows them to communicate with other groups to enhance their regional scope and to perform more efficiently at the local level. Getting these groups to participate in the REPM process will be relatively easy. It is often simply a matter of making calls, sending emails, and talking about the workshop process. Success in the Charlotte region to get agencies and organizations on board. The Team Charlotte Region defines their success with the REPM process as the avid participation of so many planning disciplines, their planning efforts, and their desire to sustain the use of the REPM process. Sharing this success measure with your planning groups should highlight the significance of the process in the enhancement of regional planning efforts.

It is important to obtain involvement from multiple agencies and jurisdictions therefore getting leadership planners to invite groups from across the region will be important. It is important to reach out to other communities within a regional dispersion area. Most will have the same concerns as your community and showing them what has already been accomplished with the REPM process in Charlotte will be useful. Bringing one or two influential planners to Charlotte to see the workshop process may be helpful.

To get these groups to participate and to sustain their participation, they must trust that they have ownership in the process. The design of the workshop process, with the facilitation of communication, permits that ownership and investment with the process. The process also permits the flexibility for jurisdictions to operate within their own concept of operation. Each agency or group should have an input valve and know they have that input valve.

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To obtain private partnerships with the process, corporations should share knowledge of the REPM process with offices in other locations and encourage their involvement in regional planning. Workshop efforts should be presented to home owners associations (HOA's), schools and hospitals to get their involvement. Articles should be published in newsletters and in the media regarding the regional planning process.

It may also be useful to attach the significance of regional planning efforts to grant availability. Media involvement will also highlight to residents of the community the efforts being made by disaster planners on behalf of the region.

### ***1.4.5 What do disaster planners learn that they might not already know from their involvement in the REPM process about regional disaster response planning in their region?***

Groups who use the REPM process will learn about plans and programs in the private sector, opportunities for mutual support, and opportunities to share resources. It is a great opportunity to learn about faith-based groups and how passionate people are about disaster response efforts. It is a good forum to learn about federal efforts to foster the kind of interagency and regional cooperation that the REPM process can be used to develop.

The REPM process can be used to assist private partners to learn about the amount of communication that needs to take place between planners. They can learn about the role of politics in disaster response, territorial disputes, resource competition, and grants available to agencies and organizations. The private sector can learn more about the infrastructure in the region and how significant planning needs to take place for this infrastructure and how much of this protection planning has already been accomplished.

### ***1.4.6 How will this process help planners educate each other about their missions, roles, and objectives in regional disaster response planning?***

The medical community can learn about private sector continuity of operations planning, cyber security concerns, infrastructure protection programs, and intelligence sharing concerns.

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The public sector will likely learn that many private industries do not understand why law enforcement and other public agencies do what they do in a disaster response. Likewise, the private sector will educate the public sector about what corporations have done in disaster response planning.

Joint training and exercises with disparate planners will increase knowledge and awareness. The relationship with contingency planning associations and other types of planners will be very beneficial.

Public information officers (PIO's) and public relations people in disaster response will learn more about the regional scope of disasters and how their work can be enhanced with involvement in the REPM process.

### ***1.4.7 What will communities need to do to obtain private sector and other non-traditional involvement and integrate this involvement with existing regional planning efforts?***

Local emergency management has found the involvement of the private sector and other non-traditional disaster responders has been the result of the need to identify the resources that local government does not have. Because of manpower and resource shortages, the public sector has noted the need to form partnerships between the public and private sectors to enhance disaster response.

Obtaining representation from these groups on existing committees and planning groups, as well as a seat in incident command has become very useful. It is important to obtain involvement from the management levels of these organizations. These groups have provided a significant response for temporary housing, food resources, and other types of supplies. These have become integral parts of disaster response so these entities have become part of the planning process. It is critical to make the development of these partnerships an ongoing effort and not a single project

Planners should learn who is in their communities, find out what resources those people have, plan how to utilize those resources and work together to offer your area of "expertise" to others and how to ask for help in areas or resources that your group is weak or lacking in. Communities should even do more, perhaps a symposium to bring these groups together in this process. Consider creation of

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www.linkedin.com group to provide another venue. The REPM process actually creates the communication mechanism needed to make the links to these private and non-traditional groups. Communities will need communication and guidance with supporting information like this manual to learn how to develop these relationships and partnerships.

# 2.

## THE REGIONAL EMERGENCY PLANNING MODEL PROCESS

The model process is a how-to method for developing the regional disaster planning process for any community. The model takes a group of planners through a year-long peer-interaction workshop process that can be adapted to the unique characteristics of the community using the model process.

The Charlotte region planners who used the model in 2007-2008 to pilot the process have provided numerous examples of how they applied the process to their regional planning activities. Their examples serve as suggestions of how the model can be applied. As the model is presented, not only will those examples be provided, but suggestions are also provided on how to potentially adapt the process for unique circumstances. (Refer back to Figure 1 on page 7 for a visual overview of the process).

### ***2.1 Step One: Establishing the leadership for the process***

To conduct this ongoing, continuous process, strong regional disaster response planning leadership should be identified to help establish the process and give it credibility, as well as to organize and facilitate the process. The leadership for the process can be individuals, groups, counties, or agencies/organizations. The leadership for this process will likely be easy to identify because it will be those people or entities who have been making regional planning efforts previous to this initiation or who have a strong desire to do so. It will not likely be the same role or entity in each community that undertakes this process, but it could include the emergency management director, fire department representatives, law enforcement representatives, business continuity representatives, or health/medical representatives, just to name a few.

#### ***2.1.1 Goal of Leadership Identification:***

The first year of the planning process is a series of ongoing meetings and workshops with the intent of enhancing regional disaster planning. The leadership will be responsible for:

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- Providing the credibility and ownership for the process.
- Starting the process and sustaining the process and team over time.
- Identifying the planners and growing more planners over time.
- Scheduling and facilitating the meetings and workshops.
- Documenting the process, analyzing the results for the next step in the process, and for compliance purposes.

Team Charlotte Region: At the beginning of the pilot project, several leaders emerged. The Charlotte UASI (Urban Area Security Initiative) had been doing regional disaster planning and wanted to enhance their efforts. The Charlotte Emergency Management Director, Wayne Broome, was a strong leader and very involved in and interested in regional planning. The medical, public health community was also very strong in this region. Charlotte also has a significant business continuity presence and several leaders emerged in the early leadership identification phase of this process.

### **2.1.2 Adaptation Suggestions:**

- Leadership can be identified no matter the size of the region or the regional planning history of the area. It can be one person, a group of persons, or a committee that has already been formed. Amazingly, the interest in regional disaster planning and significant local planning efforts will likely make this leadership identification process easier than anticipated.
- If leadership identification proves difficult, identify someone from the community to facilitate the process. This can be a grassroots organizer, a leader from a faith-based group, a civic leader, a university professor, or any other leader who can be identified as having a strong interest in disaster planning and is good at facilitating a process. Dr. Laura Myers, a project principal investigator, served as the facilitator

for the piloting of the model process for the Team Charlotte Region.

- Engage in trial and error to establish leadership. You may not immediately discover the right leadership planners so you will need to search for the right people. Also, be careful not to over-analyze leadership potential. The best leadership will likely emerge on its own and be the best for the process so keep searching until momentum starts to occur.
- Reversibility: Leadership for this process can come from any direction. It can start with emergency management, or law enforcement or even business. The concept of reversibility means that the origin of the process can initiate from the public sector, the private sector, one particular group of planners, a particular organization, association, or even a regional planning committee. There is no one right way to establish the leadership and begin the process.
- Ownership of process: There should be support for this process from the relevant governmental entities and organizations from which these leaders will emerge, but allowing the leadership to emerge with a buy-in to the process should create the ownership needed to guide this process over time.
- Advisory Board: Creating an advisory board of disaster response experts from across the nation, regionally, and locally to provide any assistance or input with the process will be very helpful. These experts can give various perspectives on issues, help assess goal progress, help facilitate the process, provide training, and even provide information to the Team as needed.

### **2.2 Step Two: Network Analysis**

As the leadership for the process is established, or brought together, the process of identifying the regional disaster planners and stakeholders, as well as their interdependencies with each other can begin. This process is called Network Analysis. As the workshop process evolves, the leadership planners will want to invite and include as many different planners from the region as possible. As these participants are

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included, the relationships between planning groups will surface and additional planning groups will be added.

### ***2.2.1 Who needs to be at the table to engage in regional disaster planning efforts?***

Planners should represent both the public and private sectors of the region. The public emergency management, fire, and police agencies will already be involved in extensive local and regional planning efforts. The private sector will be involved in their own disaster response planning to some degree. The key for this process is to bring both the public and private entities together, as well as entities from different jurisdictions, to communicate about their efforts and to enhance regional disaster planning.

Potential planning stakeholders include:

- Fire
- Police
- Emergency management
- Public health
- Schools
- Media
- Business (local, regional, and global)
- Faith-based organizations
- “Bubbles” - Bubbles are roles other than traditional providers. It is important to include people who have relevant and important knowledge not captured by data. Faith-based organizations, non-profit groups, grassroots organizations, and restoration services are just a few of the “bubbles” with vast experience in disaster response and many of them already have regional efforts in place.
- Community Experts - It can be very beneficial to involve community experts who have worked with disaster response in any form. These can be former federal, state, and local disaster workers who have retired in the community. Disaster response consultants and academic disaster response researchers may also be located in the community and region.

The planning stakeholder disciplines that were represented in the Team Charlotte Region project included:

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- Emergency management (local, regional, and state)
- Fire
- Medical
- Public health
- Water utilities
- Power utilities
- Financial institutions
- Telecommunications
- Private disaster response companies
- Law enforcement (county, city, state)
- Chamber of Commerce
- Economic development
- Small business administration
- Faith-based organizations
- American Red Cross

### **2.2.2 Goal of Network Analysis:**

The networking analysis creates the webbing effect of connecting regional disaster planning stakeholders from numerous perspectives and disciplines. It will be the synergy and synthesis that comes from their interactions that will enhance the regional disaster planning process. As the workshops process proceeds, these disparate groups will interact and educate each other about their missions, goals, and objectives. As they discover needs to be met, they will be able to work together in the pursuit of solutions and develop regional action plans.

Team Charlotte Region: The networking analysis was a task that evolved throughout the entire year of the model process. The network continued to grow as previously undiscovered stakeholders were identified and as gaps were analyzed and new stakeholders were identified. As planning stakeholders were invited to the workshops, the word would spread and other stakeholders would contact the facilitator and ask to be included. The leadership and facilitator also identified new stakeholders at other disaster planning events and suggested they be included in the process.

The Team also identified gaps and asked that the facilitator help locate stakeholders to fill these gaps. They wanted more input from volunteer groups, faith-based organizations, entities that had any type of regional planning experience, and input from the Department of Homeland Security. The Team had identified the need to tap into the disaster

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recovery efforts of volunteer programs and faith-based organizations. Many of these entities were already conducting their efforts using a regional approach so it made sense to include them in the regional planning process.

The Team also asked to have an expert come from another state that had done successful regionalization in their disaster planning so an expert from Florida was brought in for a workshop. The Team also wanted to know more about what DHS could provide to them in regard to their expectations regarding regional planning.

### **2.2.3 Adaptation Suggestions:**

- The preliminary meetings and the workshops will create the networking analysis and each region using this process will create its own unique network of planning stakeholders. This network will continue to grow and evolve as the needs of the region change and as the continuous planning process occurs.
- The regional boundaries will evolve as well. Identification of the regional boundary will often prove interesting in this process as boundaries will be different for the various planning groups. If a UASI is involved, the UASI will have a specified boundary with designated counties included. If the state has designated regions, those may even be different from the UASI region. In addition, counties or parishes may have created their own region through mutual aid agreements and previous responses to disasters. Various companies involved in disaster response and recovery will already have their own designated marketing regions, such as the telecommunications regions for various companies.

During the workshop process, a good deal of discussion should be devoted to the regional boundary issue and the fact of overlapping boundaries. How those overlapping boundaries will be managed during a regional disaster response should be part of the planning process. The boundaries will also expand as the planning process occurs so as the boundaries of the region change, new stakeholders will need to be identified. Sometimes, a stakeholder from outside the region will be identified which may mean the regional boundary needs to be expanded or a mutual aid agreement needs to be in place if the boundary cannot reasonably be expanded.

# 3.

## WORKSHOPS FOR THE REPM PROCESS

Preliminary planning workshops and preparation for the goal setting workshop initiate the REPM process. Assessment measures will be the first order of business to begin documenting the process and creating the baseline for planning purposes.

### ***3.1 Step Three: Assess Status of Regional Planning Workshop***

**Space and Time Requirements:** This planning workshop should occur within the first two months of the process. It should be scheduled for a half-day at a location convenient to most of your stakeholders. A conference space that will hold 20 or so people should work. Multiple planning workshops to establish the process can be undertaken as needed

**Team Charlotte Region:** This first meeting was held at the Chamber of Commerce in downtown Charlotte in their conference space. The meeting was held on a Friday morning which was a day that everyone indicated seemed to work best for most stakeholders. The meeting was facilitated by presenting the concept of the regional planning process and indicating how the workshop process would be used to help enhance the regional planning process.

The leadership planning stakeholders provided input on the baseline of planning that had occurred to that point and what they would like to achieve with the process. Their goal was to integrate the public and private sectors and to bring together the numerous stakeholders to discover unmet needs. The meeting was facilitated by Dr. Laura Myers.

#### ***3.1.1 Questions to be answered to assess status of regional planning.*** (See a copy of these questions in Appendix B)

- A. What regional disaster response planning efforts have been done to date and who has been involved?

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The participants should discuss the highlights of the current state of regional disaster planning and who have been the major players in that process. These highlights should be documented as the baseline of regional disaster response planning and will serve as the analytical comparison point for continuous planning development and measurement assessment.

Potential highlights:

- Regional planning committees that already exist.
- An All Hazards Committee that may already be in place or developing.
- Existing partnerships and mutual aid agreements already in place.
- Specialized regional response teams that are already in place or being developed.
- Known gaps that need an infrastructure protection and response plan.
- Crumbling pillars that need reinforcement.
- Regional gaps that need work.
- What compliance standards have been met or in progress?
- What compliance standards need to be met (See Appendix C for websites on some of the compliance standards for disaster response.)

#### B. Which regional stakeholders need to be involved?

The participants should identify who else needs to be involved in the process that may not be at this meeting.

Potential regional planners/stakeholders:

- Representatives from municipal, county, and state law enforcement agencies throughout the identified region.
- Emergency management directors.
- Fire department representatives from agencies throughout the region.
- Representatives from faith-based organizations and private companies.
- Representatives from the utilities in the region.
- All media organizations in the region.

- Representatives from public health and the medical community.
- Educational leaders.
- Representatives from local armed forces installations.

C. What are the current gaps in regional disaster response planning? Has a gap analysis been done or does it need to be done?

At this point, the participants should work on identifying the gaps in their current regional disaster response planning and what needs to be done in priority order.

Risk assessments will be more likely done at the local level, but some regional risk assessments will likely exist. Here are the risk assessment areas of concern (IT Disaster Recovery and Business Continuity Tool-kit: Planning for the Next Disaster-  
<http://www.nascio.org/publications/documents/nascio-drtoolkit.pdf>):

- **Geological hazards** – Earthquakes, Tsunamis, Volcanic eruptions, Landslides/mudslides/subsidence;
- **Meteorological hazards** – Floods/ flash floods, tidal surges, Drought, Fires (forest, range, urban), Snow, ice, hail, sleet, avalanche, Windstorm, tropical cyclone, hurricane, tornado, dust/sand storms, Extreme temperatures (heat, cold), Lightning strikes;
- **Biological hazards** – Diseases that impact humans and animals (plague, smallpox, Anthrax, West Nile Virus, Bird flu);
- **Human-caused events** – Accidental: Hazardous material (chemical, radiological, biological) spill or release; Explosion/ fire; Transportation accident; Building/structure collapse; Energy/power/utility failure; Fuel/resource shortage; Air/water pollution, contamination; Water control structure/dam/levee failure; Financial issues: economic depression, inflation, financial system collapse; Communications systems interruptions;
- **Intentional** – Terrorism (conventional, chemical, radiological, biological, cyber); Sabotage; Civil disturbance, public unrest, mass hysteria, riot;

Enemy attack, war; Insurrection; Strike;  
Misinformation; Crime; Arson; Electromagnetic  
pulse.

- D. Is regional planning the goal of each of the planning stakeholders?

An important part of this first meeting and subsequent workshops will be to determine if all stakeholders see regional planning as an important process. Most of them will but they will likely define regional planning needs from their own perspectives. The discussions that take place will help these disparate stakeholders express their concerns and issues with regional planning and help them determine how each group will want to measure the success of regional planning for their constituency group and for the planning group as a whole.

### ***3.1.2 Goal of Regional Planning Assessment:***

The goal of regional planning assessment in this first meeting is to establish the starting point for continuous action planning. It is important to understand that this process can begin from minimal or no regional action planning to moderate or advanced planning. The meeting will determine exactly the starting point and the future needs of the region for planning.

Team Charlotte Region: The stakeholders who met in Charlotte at the first preliminary workshop included representatives from the following groups:

- Charlotte UASI
- Charlotte Fire Dept.
- County Sheriff's Dept.
- Contingency Planning Association of the Carolinas (CPAC)
- North Carolina Highway Patrol
- American Red Cross
- North Carolina Emergency Management Office (NCEM)

This group discussed what each planning discipline was doing in regard to regional planning efforts and listened to the other stakeholders about what had been done. They suggested additional stakeholders who should join the group

and they made suggestions for the needs that should be addressed in regional planning.

The primary needs the Team Charlotte Region identified were integrating the private and public sectors, communicating with law enforcement, and identifying more gaps as the communication process evolved.

**3.1.3 Adaptation Suggestions:**

- The workshop process creates a meeting of the planning stakeholders to assess their current regional planning efforts and make plans for the continuous process needed to enhance and develop those action plans over time. This first meeting should involve the leadership planning stakeholders from as many key constituency groups involved in disaster planning in the region as possible. The goal of this meeting is to discuss the workshop process and develop answers to several key questions to establish the baseline for the planning process. The key is to facilitate the meeting and not direct it. The planning stakeholders will have ownership of the process if they are the focus of the process. The meeting can be facilitated by any of the leadership stakeholders or a trusted professional facilitator as was done in the Team Charlotte Region pilot project.
- The invitees to the first preliminary workshop should be any identified leadership planning stakeholders as well as representatives of as many planning agencies as possible. The representatives who choose to attend this first workshop will likely be the leadership in the region, as well as those who see a need to develop regional planning activity.
- The meeting facilitator should present the planning model to the group to help initiate the discussion process. (See the Model PowerPoint in Appendix D for a skeleton structure to be adapted for your regional planning project.)
- The goal of this meeting is to gather information for the workshop process and regional planning so the task should be to listen, ask questions, and record information.

- The conclusion of this meeting should be the planning for any additional preliminary meetings and for the goal setting workshop. Who needs to be there and what issues need to be addressed?

#### **3.2 Step Four: Goal Setting Workshop**

Space and Time Requirements: Depending on the scope of the region, the goal setting workshop size can range from small to medium in size. A region with a significantly sized city may have a group of 40-50 stakeholders while a region with smaller towns and cities would perhaps have a workshop size of 15-25 stakeholders.

The space used should be able to accommodate workgroup breakout sessions. The space can often be donated. Cost would only involve the coffee and lunch. Lunch should be a working lunch. If providing lunch is a cost factor, then break for lunch and add an hour to the workshop time frame. Hold the workshop on a day convenient to most stakeholders, usually a Friday. It should be held from 8:30 am until 3:30 pm with a working lunch, add an hour if a lunch break is taken.

This is the first workshop in the process with a formal agenda. The smaller group of leadership stakeholders and the facilitators should invite as many regional stakeholders from as many discipline groups as possible. The invitees should be told that the purpose of the meeting is to enhance regional disaster planning efforts and the goal is to get as many perspectives as possible on the needs of the region.

##### **3.2.1 Agenda Task 1: Present an Overview of the Project** (See Goal Setting Workshop PowerPoint in Appendix E)

All of the participants at this workshop need an introduction to the REPM process and the need to establish goals for the process.

##### **3.2.2 Agenda Task 2: Assessment of Regional Emergency Planning issues**

Have the participants engage in an assessment of issues relevant to their regional planning efforts. Prior to this workshop, gauge issues with the advisory board to determine what issues might be relevant to your particular region. This gauging of issues should begin as the leadership develops and the stakeholders begin the

discussion of what has been done and what needs to be done. This will generate a long list of issues to present to the participants in this workshop for their assessment. With this list, survey the group using a Likert scale of importance for each issue. The stakeholders are asked to determine the importance of each issue for the region and regional disaster planning efforts. (See the Issue Assessment Survey in Appendix F)

### **3.2.3 Agenda Task 3: Regional Planning Discussions Break-Out Groups**

Have the workshop participants respond to a series of regional planning questions. These questions are designed to help the stakeholders focus their efforts toward regional disaster planning and to help them educate each other about the particular needs of their discipline groups. One of the biggest enhancements to regional disaster planning is bringing disparate discipline groups together. The disparate groups learn about the missions, goals and objectives of each of the other groups represented in the workshop. They are able to identify many common objectives and the reasons that so many barriers and frictions exist in regional planning.

(See Appendix G for the Regional Planning Questions.)

To facilitate this process, mix the stakeholders into groups for the break-out sessions to answer the regional planning questions, making sure to separate same member discipline representatives as much as possible to enhance the educational efforts. Assign all of the questions to each group, but assign one question in particular for each group to present to the workshop after the break-out sessions are concluded. Give them 2-3 hours with a working lunch to work on the questions and to discuss. Provide them with butcher-block paper for the presentation question and a note-pad for the responses to the other questions. They should choose a break-out group leader and a person to record their responses on paper. Video and photography of this process helps to record the dynamics of the interactions. Tape recorders may be used to help record as well. Facilitators should move from group to group to observe and interact as needed. In the first few minutes, the groups may have questions about their roles and purposes and the facilitators should help them adjust. The facilitators also should be observing the nature of the interactions and recording any

major points for later discussion in the action planning process.

After the break-out work is completed, reconvene the groups into one large group for a facilitated discussion of the breakout work. Have each group present their response to their assigned question. They should select one person to present who will introduce the other members of the group and then briefly overview their response with the assistance of the rest of the group as needed. The facilitator will ask the rest of the workshop for anything they developed that might differ or might correspond with what the presenting group discussed. Do this for each of the questions which will take 1-2 hours, depending on the dynamics of the discussion. Record the major points of the discussions for action planning purposes and for use in subsequent workshops.

#### **3.2.4 Agenda Task 4: The Educational Process**

As a part of the ongoing, continuous action planning process, some time should be set aside for training. One of the biggest problems with emergency management planning is the time to get training on new information that might enhance emergency response efforts. A primary barrier is the difficulty in sending people to training since they are hard to replace while off duty. Using the workshop process to enhance training allows representative stakeholders to receive training and take it back to their discipline group and share that training.

Team Charlotte Region: The team engaged in a 45 minute training session on myths about public reactions to disasters. The training session addressed myths about what people do in response to disasters. The intent of the training was to facilitate a process by which the participants would be assessed regarding what they perceived people would do in a disaster situation. Then the facilitator presented a session on current research that addresses the myths about what people do in disasters. At the end of the workshop, the participants took a post-assessment to show any change in their understanding of these myths. The goal was for participants to be aware of any myths they might be using in their disaster action planning and to address those issues with this new information.

##### ***3.2.4.1 Adaptation Suggestions:***

- Never underestimate the need for training. No matter how much or how little training your participants have had in the past, they will desire more and will be very appreciative of the opportunity. A list of potential training topics is provided below, but a needs assessment of your stakeholders can be done to determine the topics that might be most salient to your particular group. Their training needs will also evolve over time so a new training needs assessment should be done annually as the regional planning process continues.
- In the search for topics/trainers, look for local/regional experts who are willing to provide the training pro-bono or determine if any of the stakeholders can provide training. In regard to topics, information on topics can be obtained and presented by a facilitator. In the Team Charlotte example, the research on disaster response myths was provided by Dr. Roxy Silver to the facilitators who used that information to train the participants. Dr. Silver also provided the assessments for the evaluation.

A list of potential training topics and training issues have been included for users of this model to choose from to incorporate into the workshop process. These topics were suggested by the Team Charlotte Region stakeholders and by the project team through an analysis of Lessons Learned. The curriculums for these topics can be obtained from numerous sources, including subject matter experts, expert stakeholders, academic experts, or commercialized training curriculums provided through the government and other entities. Cost of training curriculums and trainers can be minimized or eliminated strategically by using expert stakeholders, advisory board experts, and academic researchers who are interested in expanding their data from your training.

#### **3.2.4.2 Training Topics:**

- Training on how to develop planning teams and how to develop consensus building techniques. How to engage other agencies and gain buy-in.
- Emergency management 101 to provide the basics for all disaster planners.

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- Command and control training-does not have to be Incident Command (ICS)
- Hold an Annual Regional Preparedness Conference with federal, state, and regional program updates.
- Training on how to conduct a high value, cost effective regional exercise program with external peer evaluation.
- Training to educate private sectors on how law enforcement, fire, and emergency management groups will respond to disasters and how the private sector can assist or cooperate with those responses.
- Training on shelters/locations and what their rules are.
- Training on knowledge of evacuation routes and how they have been tested.
- Training on backup/contingency plans from law enforcement. Do they have extra staff?
- Training to provide results from county and state emergency exercises.
- Training from guest speakers who have been on front lines of disaster response (9-11, Katrina). Bring in people from other states to educate about multi-state relationships and plans.
- Training on the organization structure of disaster response with organization chart showing state agencies down to county.
- Training on NGO's and non-profit organizational responses in disasters. What do NGO's and Non-Profit's expect from law enforcement?
- Training on Federal expectations/state expectations for preparedness and new expectations from FEMA and NIMS.
- Training about business continuity for small business.

- Training on citizen expectations and citizen responses.

#### **3.2.4.3 Training Issues:**

- It is important to have key leadership involved in training to enhance the impact of the training.
- Provide glossary of all acronyms, such as NIMS, FEMA, NGO, because not all participants are familiar with all terms.
- Make sure that all participants are aware of who all the stakeholder/planners are in the process.
- Hold training sessions with disparate planner/stakeholder groups. Do role switches to help entities understand what each stakeholder group does in a disaster.

#### **3.2.5 Agenda Task 5: Goals for Next Workshop**

As the workshop comes to an end, the final goal of this workshop should be the creation of issues to be addressed at the next workshop. The last hour or so of the workshop should be devoted to creating a list of issues to be addressed at the next workshop. The facilitators should let this process be guided by the participants. Ask them what they want to address in regard to the next workshop and their continuous action planning process. What do they think are the important issues?

Team Charlotte Region: Different people will take leadership roles in this discussion. For Team Charlotte Region, the emergency management director, a county health doctor, and several others led this discussion. Below are the issues that emerged as priorities from this discussion:

##### **3.2.5.1 Issues:**

- More involvement with and more understanding of faith-based organizations and what they can do and already do in regional disaster response planning.
- More understanding of multi-state issues since Charlotte's location involves a state line.

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- An understanding of how regionalization efforts have been successful in other locations.
- The DHS perspective on regionalization. They wanted to know more of what the federal expectations were for regional planning.

#### **3.2.5.2 Adaptation suggestions:**

- The workshop group should develop their own prioritized list of goals for the next workshop.
- Leadership should gather information and/or speakers to address the goals for the next workshop.

### **3.3 Step Five: Action Planning Issue Development Workshop**

Space and Time Requirements: Same time frame and size considerations, but no need for breakout space.

In this workshop, the facilitators should locate experts and information on the issues that developed in the previous workshop. This information is to be provided to the participants and discussed in regard to action planning. This process will generate new paths/issues for subsequent action planning activities, small focus groups, and workshop meetings for the continuous action planning process.

The major issues that the Team Charlotte Region covered in this workshop were:

- A. Can we learn from others who have already experienced regionalization?

An expert on regionalization efforts in Florida spoke to the group about the Florida experience. The participants were very interested in the potential to use the Florida experience to help North Carolina and the Charlotte region do a good job with regional efforts. Many of the public emergency management participants engaged in dynamic discussion about regional boundaries, resources, and challenges.

- B. What are faith-based organizations doing from a regional perspective and can we learn from that?

Two organizations presented at this workshop for Team Charlotte Region. One group, Christian Appalachian Project (CAP), a non-profit faith-based organization, presented their work in regional disaster work. They are developing a regional organizing process to coordinate volunteers and businesses on a regional basis to help connect them to the right people during a disaster. The goal of this presentation was to help the Charlotte team to determine whether something similar might work in their region. CAP also works primarily in rural areas so they also presented information on the unique aspects of regional disaster work in rural versus urban areas. The North Carolina/South Carolina Salvation Army regional disaster response person also presented on the Salvation Army's efforts and presented how the two states have worked together to provide regional disaster response efforts through the Salvation Army.

C. How is the multi-state component of regional disaster response planning working between North and South Carolina?

There was a great level of multi-state planning in the Charlotte region between Charlotte and neighboring York County, South Carolina. This multi-state planning had been in place for several decades and paralleled the careers of the two emergency management directors. The York County, South Carolina emergency management director presented to the workshop an excellent overview of the history of the formal and informal mutual aid that had transpired between the two counties and he discussed the importance of this relationship because of the two nuclear power plants in his county and in Charlotte. The presentation served as an education tool for many of the stakeholders who were not aware of the amount of regional planning and the actual examples of such regional relationships across state lines that were in place.

An interesting outcome of this presentation was that several participants and the two emergency management directors started a discussion on how this mutual aid relationship had developed from the lengthy relationship during the careers of the two emergency management directors. The emergency management directors expressed their concern that once they had retired that

this mutual aid might start to decline because there were few people being educated and gaining experience in emergency management to take their places. This led to an important discussion on the need to recruit and socialize people for the emergency management profession which would be integral to doing the work needed for regional disaster response planning. The participants indicated that the need to develop new, qualified professionals was not just a regional planning issue, but it is critical to regional planning because of the need to bring together disparate locations, stakeholders, goals, and needs in the regional process. It would take strong, experienced leadership that could not be left to chance. A focus group developed around this issue in regard to additional regional planning efforts.

The conclusion discussion from this workshop created action planning topics for small focus groups.

#### **3.3.1 Adaptation Suggestions:**

If significant regional planning has already taken place, then the issues that emerge will be very focused and easy to prioritize. If there is a large amount of regional planning needed or if local efforts are in need of development, the issues that emerge in the workshop may be numerous and complex. While this situation may appear to overwhelm the workshop action planning process and make consensus among participants more difficult, it is actually the basis for the continuous nature of the REPM model process. The leadership stakeholders should manage the process and prioritize what action plans can be developed in the near future and those plans that may take longer or can be placed further down the priority list.

#### **3.4 Step Six: In-Depth Issue Development Focus Groups**

Over a period of a few months, various members of the leadership planning group should schedule small focus groups to develop action plans on any areas that need attention as created by the previous workshops.

These are the focus groups that developed for the Team Charlotte Region:

Team Charlotte Region Focus Groups:

- A. Financial institutions: Charlotte, NC is a major financial hub and banking continuity specialists have been a major part of the project and the planning process. The facilitator met with Wachovia continuity specialists to get more in-depth understanding of the issues for financial institutions in the planning process and of the importance of regional planning for financial institutions. Banking continuity specialists and the banking institutions have extensive resiliency planning in place. They constantly test and exercise their plans. Their current planning goals involve more interaction and understanding with the public sector. They have been working with the continuity planners association and with the public sector to develop that understanding to create better regional and national disaster planning response for the financial sector.
  
- B. The media and politicians: The Team Charlotte Region stakeholders revisited the issue of the media and politicians numerous times during the year-long planning process. These stakeholders have a long and extensive history of working with the media in disasters and as such, they had identified some gaps that needed work. Their goal is to maintain their working relationships with the media and better prepare for future disasters, such as a pandemic, by identifying improved methods for interacting with the media. They have similar goals with local and state politicians. They have working relationships with politicians that have worked well during disasters so again they want to maintain and improve those working relationships for future disasters.

During the project, the focus group for this topic was an observation by the facilitator of the stakeholders engaging in a day-long tabletop exercise hosted by the Department of Homeland Security in Charlotte. Many of the Team Charlotte Region stakeholders were participants in the exercise along with numerous media representatives, politicians, public health officials, and agency representatives. The purpose of the exercise was to engage in the response to a developing medical situation that could possibly be the result of a bioterrorism event. The exercise was designed to reveal gaps in the information process between the media, public information officers, and the agencies involved in a disaster of this nature.

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The analysis of the exercise revealed a disjuncture in time between the media and disaster response agencies, especially the public health entities and how the media might jump ahead with information if not more properly informed in a timelier manner. There was no intent on the part of public health, but rather their policies and procedures for determining the nature and magnitude of the health disaster did not create a consistent timeline with the media for getting information to the public. The exercise created some interesting gaps that planners have incorporated into their action planning work.

- C. Rural versus urban issues: The project facilitator met with several stakeholders and experts during the process to assess issues relevant to regional disaster response when the communities include a significant rural component or other unique geographical issues that should be incorporated into regional action planning. One of the experts runs a non-profit organization (CAP) that does significant work with regional disasters in rural and mountainous communities.

Emergency management professionals with significant experience with unique geographical characteristics also contributed to these discussions. Rural, mountainous, remote, and impoverished communities benefit significantly from regional response planning because of the ability of the regional incorporation of resources to be used in locations that do not have those resources. A significant factor for these communities is the increased amount of recovery time involved due to location, lack of resources, weaker infrastructure and the requisite increased damage, and the poverty of a large proportion of residents. The Team Charlotte Region took this information into account in regard to how their regional efforts could be used and perhaps better planned to help communities that met these criteria.

- D. Educational development of new personnel: A unique issue that evolved from the workshop discussions was the need to prepare for turnover in emergency response personnel. Two veteran emergency management directors from the Team Charlotte Region raised the issue of the skills and abilities that would be needed for their replacements and how that had not been properly

planned for. The ensuing discussion within the workshop revealed the depth of this issue and the need to prepare emergency response personnel for the leadership positions that would open up over time, creating a void in not only the action planning process, but also the leadership needed to manage incidents properly. Some of the less experienced stakeholders decided that this was an issue that needed to be addressed and began to research information on how to recruit new personnel, what degrees would be needed, which internships would be most useful, and how these candidates could be mentored to eventually take their requisite places with the appropriate skills, abilities, and experiences.

#### ***3.4.1 Adaptation Suggestions:***

- As the workshop discussions evolve, issues will emerge that need more focus. The facilitators and team leadership should pursue focus groups, exercises, conferences, and small research team efforts to gather information, analyze gaps, and identify additional issues that should be incorporated into the regional action planning process.
- Associations within your region may be holding conferences relevant to regional action planning. These conferences will allow for more in-depth analysis of issues and solutions to enhance the action planning process. It will also reveal planning that may be in development or in place that should be incorporated into regional plans. In the Team Charlotte Region project, the Continuity Planning Association conference held in Charlotte brought together numerous people within the state and from different parts of the country who had contributions to enhance disaster response planning.

#### ***3.5 What are the key components that REPM process users should integrate into their action planning process?***

The leadership planners and facilitators of the workshop process can integrate several key components into the workshop process for action planning purposes. These are the components that evolved from the Team Charlotte Region pilot experience and also from extensive research on regional planning, lessons learned, and best practices.

This list of components is not exhaustive or inclusive, meaning that each regional team will have its own set of components to cover and will not likely cover all that are listed here.

#### **3.5.1 Gap analysis:**

A primary component of the action planning process at any level, local or regional is gap analysis. The primary purpose of action planning is to analyze for gaps and plan for solutions. This will be the easy part of the workshop process because planners are actively engaged in gap analysis and the search for new gaps to respond to.

#### **3.5.2 Need for external support:**

An important outcome of the workshop discussions will be to identify where the region and locations within the region can take care of themselves versus needing external support. The analysis of the need for external support can start in the preliminary workshops and will continue throughout the process. The goal is to determine what plans and response teams are already in place and are sufficient and which plans and response teams need to be developed or made more effective.

#### **3.5.3 Threat assessments:**

Formal threat assessments will have likely already been done, especially in regard to critical infrastructure within the region. The Team should make all stakeholders aware of previously completed assessments and make plans to conduct additional assessments as needed, especially throughout the region and on a regional coverage basis. There will likely be more local threat assessments completed than regional ones. Regional threat assessments that may have been done are those that involve large dispersion areas such as a nuclear event or hurricane event. An important issue for the planning process is to educate all planning participants about the completed threat assessments and how that knowledge can be used to aid the planning process.

#### **3.5.4 Emergency preparation histories and team strengths:**

Workshop discussion should include overviews of previous emergency response historical events and how the region handled those responses. Emphasis should be given to

reporting on particular response team strengths throughout the region. Helping all stakeholders to become aware of the history and the strengths is a major goal of the workshop process. It also highlights the weaknesses to be worked on with action planning.

**3.5.5 NIMS compliance:**

FEMA-NIMS and FEMA Region IV have indicated that a regional planning process like this one can only enhance NIMS compliance, especially locations within a region that may need more work toward NIMS compliance. The Team should assess the status of NIMS compliance across the region and work toward developing additional coverage of NIMS compliance as needed.

**3.5.6 Major infrastructure issues in region:**

The Team should review the major infrastructure issues in the region so all stakeholders are aware of these issues and the impact that failure of these could have on the region. Response plans for these infrastructure issues should be discussed and any plans to be developed should become part of the process.

**3.5.7 Rural and urban components:**

All geographical and social characteristics should be explored to get a better understanding of regional planning needs. Distribution of resources should be analyzed across the region to enhance resource allocation for locations with fewer resources. Locations within the region that will have a more difficult time recovering from a disaster should be part of planning so resource allocation and other recovery plans can be used to help with a larger recovery effort.

**3.5.8 Multi-state components:**

Some Teams will be dealing with multi-state jurisdictions, much like Charlotte. The Team should educate themselves on planning already in place such as the number and type of mutual aid agreements, both formal and informal, as well as the need to enhance multi-state planning for the region.

**3.5.9 Power company model:**

For a region using this workshop process, the power company model for prepositioning assets and restoring

power can be adapted to other regional disaster responses. Having the utility experts involved in the planning process can help make these adaptations to other types of disaster responses. A key factor here is how to deploy personnel in disaster response. The power company model has resolved how to get their personnel to leave their families and perform their response tasks during and after a disaster. In other disciplines, such as law enforcement, the adaptation of this model will help these professionals leave their families, do their jobs, and feel secure that their families and homes are secure.

#### ***3.5.10 Private sector involvement:***

The need for more private sector involvement has become a critical factor in disaster response planning. This process allows for the interaction of the private and public sectors. The private sector brings additional resources and personnel to disaster response. Emergency management directors can be a great conduit between the private and public sector which is how it evolved for the Team Charlotte Region.

#### ***3.5.11 Individual community functions:***

Individual preparedness and response will be an important asset to disaster response so efforts should be made to determine what individuals and families can do to be resilient and how to help individuals and families acquire this information. Regional planning should include how to educate individual residents on how they can prepare themselves and their families for disasters and disaster recovery. Such efforts will be important in a regional scale disaster.

#### ***3.5.12 Faith-based organizations and volunteers:***

These entities exist within all regions and should be part of the planning process. Many of their efforts are regionalized or could be. Faith-based efforts should be integrated because their resources and significant numbers of volunteers can be added to an over-taxed public response and can be especially effective in a regional effort.

#### ***3.5.13 Existing partnerships:***

The Team should educate planning participants about existing partnerships, mutual aid agreements, and all other types of arrangements already in place both locally and

regionally. Knowledge of these relationships will enhance disaster response and aid in the planning process. The need to develop additional partnerships should be part of the continuous action planning process.

***3.5.14 Media relationship:***

Media representatives should be part of the stakeholder team and part of the planning process. Media issues should be undertaken as part of the continuous action planning process.

***3.5.15 Diversity/language issues:***

The populations in all regions are becoming more diverse and use multiple primary languages. Diverse cultural backgrounds can mean that people respond to disasters and disaster response in different ways. Communication can be problematic because of language differences. Diversity experts should be part of the team when possible and efforts should be undertaken to include diversity issues in action planning.

***3.5.16 Disadvantaged and special needs populations and poverty issues:***

FEMA and all compliance components are now requiring planning efforts to meet the needs of unique populations because of their special requirements prior to, during, and after a disaster. Efforts to include the needs of these populations should be part of assessments and action planning.

***3.5.17 Transportation issues:***

All states are reviewing and developing transportation plans for disaster response. At a regional level, these plans need to be analyzed and/or developed to meet the unique needs of the region for all types of disasters. Regional evacuation plans and associated response efforts should be evaluated and developed as needed.

***3.5.18 Medical and public health issues:***

Regional and local medical stakeholders should be part of the Team. There has been extensive medical planning done in preparation for All Hazards situations, pandemics, and other types of disasters. Educating the team about these

efforts and integrating their efforts with other stakeholder responses is critical to regional planning efforts.

#### **3.5.19 Schools:**

Both public and private school representatives, as well as community college and university disaster response planners should be part of the team. Most schools have developed their own disaster response plans and these should be integrated with community plans and regional plans.

#### **3.5.20 All Hazards Plan:**

Some communities within a region with have an All Hazards Plan to allow integration of multiple response entities with plans for all types of disaster hazards. A regional plan that taps into these All Hazards Plans and regions who attempt a regional All Hazards Plan should be more prepared for a diversity of disasters.

#### **3.5.21 Crumbling/soft pillars:**

The issue of crumbling/soft pillars arose in the Team Charlotte Region planning process. Stakeholders with extensive local and regional planning experience pointed out the importance of maintaining established plans and critical infrastructure protections and not permitting them to decline. Sustaining established efforts can be accomplished with continuous planning and exercising.

#### **3.5.22 Development of new personnel:**

An added dimension of the planning process is the planning for new personnel to manage turnover and to ensure continuity of planning. Planning should include efforts to develop personnel with the needed skills and abilities for disaster response planning.

#### **3.5.23 Exercising process:**

Plans should be exercised whenever possible, should include as many disparate stakeholder agencies as possible, and cover as large a geographic region as possible. As the regional planning process evolves, efforts should be made to exercise plans regularly and to add additional stakeholders and regional locations to identify gaps and to develop data for further action planning.

### **3.6 Step Seven: Goal Assessment and Process Maintenance Workshop**

In the first year of using the workshop process, the goal should be to conduct at least the workshops, meetings, and focus groups presented in this manual. The goal assessment and process maintenance workshop should be scheduled near the end of the first year of using the process. At this workshop, stakeholders should assess their progress from their baseline goals and establish goals for the continuity of using the workshop process for year two. Goals that were not met in year one should be part of the goals set for year two. This list should be prioritized into short and long term goals. Stakeholders should create a new timeline for completion and a listing of the needs to accomplish goals. This will set up the process for continuous action planning to be developed in year two.

When Team Charlotte Region met for their goal assessment and process maintenance workshop, they continued to develop information and planning from their previous workshops. They wanted to learn more about what the federal level was expecting in regard to regional planning. The project facilitator visited with FEMA-NIMS in Washington, DC and with FEMA Region IV in Georgia to gather more information for the stakeholders and to share information with FEMA about the project. Both entities were very interested in the project in regard to how the process would help with regional planning efforts and also with helping communities work on NIMS compliance. The stakeholders integrated this information into their planning and into helping with further development of this model process to help other communities do the same things.

The stakeholders also wanted to understand more about the Department of Homeland Security's interest in regional efforts so a representative of the Science and Technology Directorate presented at the workshop and discussed the focus on regional efforts and how projects like this one were being sponsored by DHS to help with regional planning efforts. This presentation created a discussion among the stakeholders regarding the context of regional planning using the workshop process and how the process appears to be an important function in the regional planning process.

After these presentations, the stakeholders then focused on the work that had been done at previous workshops and reviewed analyses of the surveys, discussions, and focus group work that

had been done. This led to the prioritization of planning for year two with needs and goals to be worked on.

#### **3.6.1 Adaptation Suggestions:**

- No matter how much action planning progress has been made with the first year of using the REPM process, it is important to assess progress, set goals, and establish the second year timeline with vision toward the following years for longer-term goals.
- The workshop process, the assessments, goal setting, and timelines are all part of the documentation effort that can be used to enhance compliance. It is important to educate the region about the effort to document action planning activity and to use that documentation to meet federal, state, and local compliance standards and to increase the sense of security for your region.

# 4.

## **CONTINUATION OF REGIONAL ACTION PLANNING WITH THE REPM PROCESS**

At the end of year one, what can a group of regional disaster planning stakeholders potentially have accomplished using the REPM model process?

- The process creates new and/or improved communication between disparate planning stakeholders that might have been limited or non-existent before this process took place.
- A regional planning process creates the broadening of regional boundaries with the inclusion of more planning stakeholders from neighboring agencies, entities, and jurisdictions who want to be part of the regional planning process.
- Smaller communities are able to network with larger communities to share resources, develop action plans, and are better prepared for disaster response.
- By working with communities that have already been working toward or have achieved NIMS compliance, other communities within the region are able to work toward and achieve their own NIMS compliance and any other compliance standards within their goals.
- Using the process can lead to the identification and resolution of gaps at the regional level that might not have been identified at the local level or there might have been limited capability to resolve at the local level.
- Use of the regional action planning process can lead to better regional response plans for large scale disasters with exercising to test regional plans.
- The REPM process allows for the inclusion of key decision makers in the regional action planning process.
- The REPM process allows for the increased dissemination of training to enhance regional action planning.

#### 4. Continuation of Regional Action Planning with the REPM Process

- Using the REPM process allows users to create a set of prioritized goals with a timeline for completion, as well as the ability to assess progress toward those goals.
- The REPM process creates an environment for improved knowledge of assets and better resource allocation using regional boundaries to draw from.

The Continuation Loop: The year-long multiple workshop process is designed to be continued to establish the continuity of the regional planning process. The series of workshops permits the establishment of goals and a timeline for progress assessment and completion. One year after starting the REPM process, the goals and timeline should be evaluated and reestablished for the next year of the process.. The educational learning component should be included each year and as often as possible to enhance training opportunities.

As progress is made with regional planning goals, exercises should be integrated to test newly developed and enhanced plans. Regional exercises will be essential for assessing the efficacy of regional plans and will provide the feedback needed to modify these newly developed regional plans. The workshop process, the continuous assessment of goal progress, and the integration of exercise data for planning enhancement will also help document compliance at all levels, from federal compliance standards to state and local compliance standards and expectations.

In conclusion, the model workshop process is designed for adaptation to the unique characteristics and needs of your particular region. This model does not include all possibilities for those unique qualities but does provide adaptation suggestions to help your regional planning stakeholders integrate those unique qualities into the regional planning process. The importance of this process is the communication it creates between regional planners who desire to enhance regional planning activities. The principal investigators for this project invite your feedback as they continue to enhance the model workshop process. Please contact the investigators with any questions, examples of your use of the model process, or any other feedback.

# 5.

## GLOSSARY OF FREQUENTLY USED TERMS

**5.1 All Hazards Plan** – The following hyperlink is to a document that serves as an explanation of the Charlotte-Mecklenburg County Integrated Response Plan for All Hazards.

<http://www.charmeck.org/Departments/Emergency+Management/Be+Prepared/All+Hazards+Plan.htm>

From the website:

This document represents the culmination of more than two years of work by the staff of the Charlotte-Mecklenburg Emergency Management Office (CMEMO) as well as other city and county departments.

The most positive aspects of improvement over the existing plans are in the areas of accountability, liability, and the enhancement of public safety and welfare. The issue of enhanced public safety results from a more expeditious and uniform response brought about by a clearer understanding of responsibilities and roles as well as a more defined line of authority and control. The All Hazards plan clearly delineates these elements, thereby ensuring a rapid decision-making process that translates into prompt incident mitigation.

The All Hazards plan can be used in isolated incidents or for emergencies that affect an entire municipality or multi county area. The flexibility of the plan allows it to be used in a field operation setting without the activation of the Emergency Operations Center (EOC) or in harmony with EOC operations.

In summary, the All Hazards plan provides a guide for use in emergency operations which does not eliminate the quality of personal initiative which is often necessary in the mitigation of a rapidly evolving incident.

The plan also maintains a sense of continuity between elected representatives, city/county management and

emergency response organizations which is imperative in a disaster/emergency setting that threatens the safety and well-being of our community.

**5.2 Baseline of regional disaster response planning** – This is the current level of regional disaster response planning at the beginning point of using the workshop process. It serves as the starting point to assess continuous progress throughout the workshop process and at the end of each year to determine new goals and priorities for the next year of the process. The baseline can be at the beginning of regional planning efforts or can be assessed at any stage of regional planning at which this workshop process is initiated.

**5.3 Bubbles** – Bubbles are disaster response roles, organizations, and entities other than traditional providers, such as NGO's.

**5.4 Communication mechanism** – The workshop process creates a communication mechanism to bring together disaster response planners from different agencies, organizations, and jurisdictions to assimilate and develop enhanced regional action planning.

**5.5 Community experts** – These are people within communities who may be willing to share their disaster planning experience with the action planning team. These individuals may be private sector disaster response planners or retired disaster response experts. They can be called upon to serve on team advisory boards, provide training, or even serve on the action planning team.

**5.6 Components for regional disaster response planning** – These components are issues that Team Charlotte Region and the project team determined to be factors to be raised and addressed in regional action planning during the workshop process. The list of components in the manual is not exhaustive nor will they be used by all regions in the planning process.

**5.7 Continuation Loop** – The workshop process is designed to be renewed on a yearly basis to provide continuity and consistency to the regional planning process.

**5.8 Continuous action planning** – This is action planning that starts with a baseline of current planning efforts, establishes a set of annual goals on a timeline, and works toward meeting those goals using the workshop process to bring regional stakeholders together.

**5.9 Disparate planning stakeholders** – Disparate planning stakeholders represent the various agencies and organizations who work in disaster response but have different missions.

**5.10 Dynamic activity monitoring** – Regional action planning can potentially create a more dynamic and current assessment of planning activity at the local, regional, and state levels.

**5.11 Facilitators** – These are workshop directors who facilitate the workshop and meeting processes. They can be actual stakeholders who are part of the team leadership or they can be professional facilitators such as academic researchers or agency trainers.

**5.12 FEMA-NIMS** – The National Incident Management System from FEMA.

**5.13 Flexible emergency plans** – Regional action planning can potentially create flexibility in emergency plans that permit regional plans to be used on local disasters and local response plans can be assimilated into regional plans for better distribution of resources and efforts in locales within the region that might need unique responses.

**5.14 Focus group meetings** – These are the small meetings with a limited number of people that the stakeholders identify the need to undertake to gain information from such focus groups to enhance regional action planning.

**5.15 Gap analysis** – An analysis of current plans to determine planning gaps in need of solutions.

**5.16 Input valve** – An input valve is the communication flow of all stakeholder groups to the regional action planning process.

**5.17 Interdependencies** – Interdependencies are the interrelations that develop through the workshop process as the disparate stakeholders develop plans that combine their missions in the most effective and efficient ways possible.

**5.18 Network analysis** – Network analysis is the development and expansion of the disparate stakeholders throughout the region. It begins with a small group of stakeholders and expands from workshop to workshop.

**5.19 NGO** – A non-governmental organization with no government participation.

**5.20 Optimum emergency resource allocation** – This is a potential outcome of regional disaster response planning in which limited emergency response resources within a region can be allocated more efficiently to serve the region.

**5.21 Regional boundaries** – Regional boundaries are the ever changing, expanding boundaries of the geographic area covered by the group of disparate stakeholders who are engaging in regional disaster response planning.

**5.22 Regional Planning Team** – This is the group of disaster response stakeholders who come together to use this process to enhance and develop regional action plans. In Charlotte, they are referred to as “Team Charlotte Region.”

**5.23 Reversibility** – Reversibility is the concept that describes how the leadership for this process can come from any direction or any group.

**5.24 Subject matter experts** – These are experts on various critical topics in disaster response planning that can be included in the workshop process that can provide information, conduct training, and assist with assessments. They can be local people with disaster response experience or people from other locations who can contribute to the process. The network analysis often helps discover these experts and they often have a strong desire to participate pro bono.

**5.25 Threat assessments** – Threat assessments are determinations of threats to critical infrastructure to determine the nature and amount of protection needed to prevent attack or destruction and to better prepare for recovery after impact.

**5.26 UASI** – Urban Area Security Initiative cities were chosen by applying a formula based upon a combination of factors including population density, critical infrastructure and threat/vulnerability assessment. These cities receive additional federal dollars, equipment, and training. Charlotte is a UASI city.



# Appendix A

## Actual Comments from Team Charlotte Region on their Use of the Model

### *Why should a group of disaster planners use the REPM process?*

This region had a previous history of regional communication, collaboration, consensus building, cooperation and coordination, with a UASI region, a MTAC (Metropolitan Regional Trauma Advisory Committee), and PHRST (Public Health Regional Surveillance Team). The following comments are the reasons they provided for taking part in using this workshop process to enhance their own regional planning efforts.

- We cannot assume comfort and security anymore. Everyone is concerned about the next big “disaster.”
- We have seen how bad relief and response efforts have been elsewhere and we do not want that to happen here. Therefore, we are mitigating our risk and coming together as a collaborative effort.
- Many of the public sector disaster planners indicated they wanted to interact with the private sector because they knew the public-private partnership would enhance the planning process.
- The persons involved in this regional planning process represent a group of agencies with OWNERSHIP in our response and recovery. They are seriously involved in making this process a success and finding the best means possible to make it successful.
- Many of the Charlotte region planners were already working together with an All Hazards Advisory Committee which made identifying a base group of leadership easier than it might have been otherwise. This level of interagency cooperation may not be this strong in other locations.
- All the disparate planning groups have a vested interest in partnerships of intelligence gathering and participation from the private sector and emergency personnel.

- The leadership and collaborative nature of the emergency management director in Charlotte who has been working on these relationships for some time was a significant factor in bringing these planners together.
- This community is focusing on regionalization as part of the DHS and national effort.
- There is a need for a degree of uniformity in response planning among both the traditional and non-traditional responder community.
- Local emergency management saw the need to enhance communication between disparate planners and to enhance resource identification.

***Why would disparate regional planners want to engage in the REPM process?***

- The medical community was interested in collaboration with academic institutions to document and study the regional planning process.
- Law enforcement was very concerned with disaster preparedness and any role they could play in responding to a disaster either as a primary response or secondary to assist others.
- Corporate America needed more exposure to people who “speak the language” as sometimes in Corporate America, you do not get the full view. It is too easy to get isolated planning for one purpose, to keep one company in business.
- The sheriff’s department wanted to increase their knowledge base and contacts for regional planning and continue to want to develop this goal.
- Water utilities are often overlooked as response partners. They are a strong partner in Charlotte and often present with core response agencies nationwide to encourage such partnerships elsewhere.

- Private sectors wanted to identify the resources available in regional disaster response. How can each private corporation help with regional disaster response and how can corporate representatives help their own companies be better prepared to work with the disparate planners during a disaster response.
- Global organizations such as Verizon realized the scope of a regional event will touch their networks and customers. They wanted knowledge of the regions within their market and they wanted to network with other professionals so companies like Verizon can meet the needs of their customers and also be part of the disaster response as needed.
- Local emergency management saw the need to expand their knowledge base on regional planning and organizational effort.

***What goals and objectives can be achieved for the various planning disciplines using the REPM process?***

- The medical community wanted to contribute to a standardized model for a regional planning process that will document best practices, identify territory factors, do gap analyses, and create opportunities to improve.
- Many of the planners wanted to be aware of the efforts and planning of others in their region and how these entities have interacted in previous disasters.
- Business needed insight into how other people are planning. Relationships/partnerships need to be established because they may need to work together if a regional event occurs. Business also needed to know what is going on at the state level.
- Law enforcement wanted to improve non-law enforcement contacts and learn from the business sector. They wanted to BUILD TRUST between each of the planning groups and with academics who have been collecting and doing research on disaster response planning.

- Water utilities wanted to strengthen existing and continuous efforts to promote water utility involvement in multi-agency preparedness initiatives. Water utilities were considered a non-traditional first responder in exercises conducted in Charlotte which highlighted the importance of strengthening and maintaining these collaborative efforts, especially at the EOC level.
- Planners wanted to learn about more training in addition to required FEMA and NIMS training.
- The private sector wanted to know who is who and who had what responsibility in disaster response.
- Global companies wanted to know about regional planning efforts so that they can better serve the state and the southeast if an event happens in a particular region.
- Planners wanted to define a framework for generic formation of a regional effort and to identify a regional framework for the state's regional program.

### ***How do planners begin the regional planning process?***

The Team Charlotte Region provided their suggestions on how to get this process started in new locations.

- Bring multiple regional groups to the table. There are many regional groups that are already in existence but are somewhat compartmentalized and isolated-Public Safety (ALERT, USAR), hazardous material, hospitals and EMS, and public health.
- The disparate planners must have ownership in the process. This process provides a framework to permit that ownership.
- There should be multiple agency and jurisdictional involvement.
- There should be flexibility for jurisdictions to operate within their own concept of operation.

- Every agency should have an input valve and know they have that input valve.
- Reach out to other communities, and find that most have the same concerns as your community, and then show them what has already been accomplished.
- Corporations should share this knowledge with offices in other locations and encourage their involvement in regional planning. Workshop efforts should be presented to home owners associations (HOA's), schools and hospitals to get their involvement. Articles should be published in newsletters and in the media regarding the regional planning process.
- Locate the one or two influential planners and bring them to Charlotte to see the workshop process and get them excited about what they can do.
- Attach significance of regional planning efforts to grant availability. Find a "hook" to attract and hold the attention of traditional preparedness and response agencies until the relationships are firmly established and interactions become part of normal processes.
- Hold "Boot Camps" of all planner disciplines and allow them to see what everyone, including what corporate and business partners, are doing.
- Find the right leadership in EACH agency. Work through the dominant organization or employer in area as de-facto leader.
- Do what was done in Charlotte and start making calls, sending emails, and talking about the workshop process success.
- Get involvement from business contingency experts. Contingency planning associations will be a big help.
- Get media involvement.

***What do disaster planners learn that they might not already know from their involvement in the REPM process about regional disaster response planning in their region?***

The Team Charlotte Region gave their perspectives on what they learned from the process.

- Medical community saw this process as a valuable learning opportunity to learn about plans and programs in the private sector, opportunities for mutual support, and opportunities to share resources.
- The amount of planning that is being done by so many in our business communities, and how they are attempting to work with the traditional responders such as fire, EMS, and law enforcement.
- Information about faith-based groups, how passionate people are about this type of effort. They learned about the roles different entities play in the disaster response process.
- Law enforcement was generally unaware of the business continuity recovery efforts and their involvement with emergency management.
- That there is a federal effort to foster the kind of interagency and regional cooperation that Charlotte has.
- Law enforcement planners were surprised to learn how much recovery planning had been done by financial institutions and how those efforts could be integrated with other planning efforts.
- The private sector learned about federal, state, and regional activities.
- The private sector was surprised at the amount of communication that still needed to take place between planners. Also surprised to learn about the role of politics in disaster response, territorial disputes, resource competition, and that grants were available to agencies.
- Private sector learned more about the infrastructure in the region and how significant planning needs to take place for this infrastructure and how much of this protection planning has already been accomplished.

- Local emergency management learned about the need for 360 degree communications, both internal and external.

***How will this process help planners educate each other about their missions, roles, and objectives in regional disaster response planning?***

The Team Charlotte Region gave examples of information sharing.

- The medical community learned about private sector continuity of operations planning, cyber security concerns, infrastructure protection programs, and intelligence sharing concerns.
- Simply the interaction and cooperation between so many different organizations is a valuable learning experience in itself.
- Law enforcement learned that many private industries did not understand why law enforcement does what it does in a disaster response. Likewise, law enforcement did not understand what the corporate side was doing in disaster response planning.
- Joint training and exercises with disparate planners have increased knowledge and awareness. The relationship with the contingency planning association and the rest of the planners has been very beneficial.
- The role of public information officers (PIO's) and public relations people in disaster response was an educational plus.
- The private sector indicated they could always use more information to aid them in the disaster response process.
- The workshop process in its continuous nature needs to test this educational process with exercising, assessment, and debriefing.

***What will communities need to do to obtain private sector and other non-traditional involvement and integrate this involvement with existing regional planning efforts?***

The Team Charlotte Region has seen a significant involvement of these planners. The Team Charlotte Region discussed why it happened in this region.

- Local emergency management indicated that this involvement has been the result of the needs to identify the resources that local government does not have.
- Local emergency management indicated the need to form partnerships between the public and private sector to enhance disaster response.
- These entities were also concerned with the potential threats they've seen like 9-11 and Hurricane Katrina and they see the roles that these groups can serve in situations like these.
- Charlotte has included these groups in their All Hazards Advisory Committee so it has been a natural extension.
- These groups have provided a significant response for temporary housing, food resources, and other types of supplies. These have become integral parts of disaster response so these entities have become part of the planning process.
- Charlotte has a diverse region with many entities that can provide assistance. All entities that can provide response should be integrated into the planning process.
- The role of VOAD in Charlotte has been a big asset.
- The private sector has additional resources that can be used in regional disaster response.

**The Team Charlotte Region provided suggestions.**

- Develop public and private partnerships.
- Create an open line of communication.

- Develop a public-private All Hazards Committee – a very valuable arena to discuss current emergency management plans and updates on a regular basis.
- Develop trust – let people do their jobs and trust them to do it without looking over their shoulder.
- Learn who is in their communities, find out what resources those people have, plan how to utilize those resources and work together to offer your area of “expertise” to others and how to ask for help in areas or resources that your group is weak or lacking in.
- The workshop process led to CERT training. More people have gotten involved. Communities should even do more, perhaps a symposium to bring these groups together in this process. Consider creation of [www.linkedin.com](http://www.linkedin.com) group to provide another venue.
- Get involvement from the management levels of these organizations.
- Make it an ongoing effort and not a single project.
- As the regional initiatives are fostered, more communities will need to expand these initiatives across sectors as well as jurisdictions.
- Use a communication process like the one documented in this model.
- Help all organizations and entities see benefit to themselves with involvement in the regional planning process.
- Communities will need communication and guidance with supporting information like this manual to learn how to develop these relationships and partnerships.

## **APPENDIX B**

### ***Questions to be answered to assess status of regional planning.***

1. What regional disaster response planning efforts have been done to date and who has been involved?
2. Which regional stakeholders need to be involved?
3. What are the current gaps in regional disaster response planning? Has a gap analysis been done or does it need to be done?
4. Is regional planning the goal of each of the stakeholders?

# Appendix C

## Compliance Standard Websites

### 1. FY 2008 NIMS Compliance Package

<http://www.fema.gov/emergency/nims/compliance/2008.shtm>

#### 1.1 FY2008 NIMS Compliance AI Fluman Memo

<http://www.fema.gov/library/viewRecord.do?id=3191>

#### 1.2 NIMS Compliance Objectives & Metrics. STATE March 2008

<http://www.fema.gov/library/viewRecord.do?id=3241>

#### 1.3 NIMS Compliance Objectives & Metrics. TRIBAL-V2 March 2008

<http://www.fema.gov/library/viewRecord.do?id=3243>

#### 1.4 NIMS Compliance Objectives & Metrics. LOCAL-V2 March 2008

<http://www.fema.gov/library/viewRecord.do?id=3242>

### 2. FY2008 NIMS Compliance Objectives Chart

<http://www.fema.gov/library/viewRecord.do?id=3238>

### 3. National Response Framework

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

# APPENDIX D

## Model PowerPoint Presentation for Assessing the Status of Regional Planning Workshop

### Goals of REPM Process

- Enhance critical infrastructure resilience and interoperability
- Create unprecedented collaboration and cooperation between disparate stakeholders
- Integrate the educational/learning component
- Provide continuous disaster mitigation response from a regional approach

### Characteristics of REPM

- Innovative approach for collaboration
- Establish baseline for planning
- Establish workshop process to start continuous action planning process
- Integrate private and public efforts
- Educate disparate stakeholders about regional planning missions, goals, and objectives

### Shared Objective for Stakeholders

- Critical Infrastructure Resilience
- Aggressive sharing of lessons learned
- Use of best practices
- Adaptation of best practices

### Project Location

- Identify your location and proposed regional boundary

### REPM Products

- Products include:
  - Action Plans for Continuous Regional Emergency Planning
  - Analysis of Process for Interagency Communication
  - Plans for continuous infrastructure management prior to and during a disaster

**Official Support**

- Identify official support for project as it is obtained

**Key Decision Makers**

- Identify key decision makers in region
- Obtain their consent to participate
- Obtain emergency planning documentation and information

**Analysis**

- Advisory Board will be used to help with analysis of workshop input
- Educational/learning data can be analyzed
- Best practices can be used to enhance action planning
- Pre-workshop report serves as baseline for continuous action planning process

**Planning and Learning Tool: Workshop**

- The workshop process enhances Risk-Based Planning
  - Threats
  - Vulnerability
  - Consequences
- Intelligence and information fusion can occur
- Interoperability can be enhanced
- Continuous Action Planning is developed

**Workshop Details**

- Location: Central location in region or move it around region
- Key speakers
- Facilitators
- Expectations for participants
- Action and synergy
- Collection of workshop data
- Analysis of workshop data

# APPENDIX E

## PowerPoint Presentation for Goal Setting Workshop

### Project Title: Use of the Regional Emergency Planning Model for Continuous Disaster Mitigation Response

- List names of leadership stakeholders and facilitators

### Project Goal

- Use the regional emergency planning model designed to enhance multijurisdictional, interagency planning and to provide continuous disaster mitigation response

### Project Product

- Project products include:
  - the use of a documented process for regional response planning and action plans focused on continuous regional planning
  - enhanced interagency communication
  - continuous resource management prior to and during a disaster

### Stakeholder Importance

- Homeland Security Critical Infrastructure Protection:
  - Regional disaster mitigation is the best unit of planning for necessary interconnectivity of resource planning in response to all forms of disaster, disaster dispersion issues, and disaster responses.
  - FEMA-NIMS compliance

### Project Overview

- *Community identification*: Identified disaster planning stakeholders from lead community and the surrounding region.
- *Multi-level immersion*: Gathering of regional disaster planning Lessons Learned and Best Practices from federal, state, and local sources.
- *Advisory input*: Creation of Advisory Board to serve as consultants/experts on the project.

### **Project Overview**

- *The workshops:* Continuous action planning will take place through a series of workshops.
- *Educational/Learning Component:* Training should take place.
- *Action plans:* Facilitators and leadership will analyze workshop discussion and output. Results will be provided to participants for continuous action planning.

### **DHS Assessment**

- **Solution Differences:** There are no documented regional planning solutions that can be customized to unique jurisdictions. This project produces that solution.
- **Characteristics:**
  - Use of a documented process created by disaster planners
  - Methods for customization to permit unique jurisdictions to use the model
  - Incorporates the regional, multijurisdictional approach needed for disaster planning that is currently required for appropriate disaster planning.

### **Critical Factors**

- Project Support
- Key Decision-Makers
- Feedback Process
- Enhancing regional, continuous action planning

### **Workshop Tasks**

- Educational/learning component
- Issue evaluation
- Issue development for regional planning
- Issue development presentations and discussion
- Conclusion and Wrap-Up

# APPENDIX F

## Issue Assessment Survey

### Regional Emergency Planning Workshop

#### Issue Evaluation

The Project Team has spent several months meeting with various professionals throughout the region to discuss regional disaster planning. The region is ahead of the game in regional planning, but there is always more to do. This workshop is designed to enhance regional disaster action planning and to document a method for enhancing the process. Your participation in this project is part of the enhancement of regional disaster planning for you, your agency, and your community. Your input is crucial to this process.

To begin the workshop, we would like to get your perspective on the importance of several issues in regional disaster planning. Many of the issues listed below are important to local, regional, and national efforts. Your task is to tell us what is important in a regional effort even if the same issue is important at the local and national levels. You will notice that there is some redundancy of some issues. This is necessary to include as much diverse terminology as possible to reach all the stakeholders involved in the project. Different professions may use different terms for the same issue. There will also be space for you to add issues you perceive to be important, but are not on the list.

To help you with this process, below is a hypothetical regional disaster scenario to help you analyze each of these issues. This scenario is designed to assist you in thinking about disaster response from a regional perspective. If you think the issue does not apply to this scenario for some reason, but does apply to other types of regional disasters, please analyze the issue for all types of regional disasters, both natural and man-made.

**Scenario:** A Category 4 hurricane strikes the Atlantic Coast. The remnants of the storm enter this region of North Carolina and impact multiple counties with significant storm damage. The same counties are also part of the evacuation zone for the storm and significant numbers of people are temporarily sheltered in the area now being impacted by the remnants of the storm.

Please indicate if you perceive the issue to be important in regional disaster planning.

	Not Very Important	Somewhat Important	Important	Very Important	Not Applicable To Me or to Regional Disaster Planning
1. Private sector involvement.					
2. Mutual aid agreements.					
3. Continuity of government.					
4. Citizen support/volunteers.					
5. Education of the private sector about disaster response.					
6. Knowledge of cultural issues regarding how people respond in disasters.					
7. Planning for companion animals in an evacuation.					
8. Elderly population issues.					
9. Special needs population issues.					
10. Expectations between law enforcement and business.					
11. Role of the media.					
12. Incident command.					
13. Local control in a disaster.					
14. Resiliency.					
15. Business continuity.					
16. Resource allocation.					
17. Supply chains.					
18. Communication issues.					
19. Energy issues.					
20. Deployable units/resources.					
21. Transportation issues.					

	Not Very Important	Somewhat Important	Important	Very Important	Not Applicable To Me or to Regional Disaster Planning
22. Regional response teams.					
23. Regional response locations.					
24. Regional simulations and exercises.					
25. Federal, state, and local collaborations.					
26. Emergency communication networks.					
27. Individual and family preparedness.					
28. Evacuation procedures.					
29. Shelter in place procedures.					
30. Contraflow traffic plans.					
31. Business emergency plans.					
32. Asset protection.					
33. Medical crisis response.					
34. Quarantine planning.					
35. Translational disaster plans that work for all types of disasters.					
36. Community continuity plans.					
37. Partnering of private and public sector.					
38. Partnering of rural and urban areas.					
39. Interagency response teams.					
40. Cross-state line planning.					

	Not Very Important	Somewhat Important	Important	Very Important	Not Applicable To Me or to Regional Disaster Planning
41. Financial continuity.					
42. Cross-jurisdictional capabilities.					
43. Local preparedness and self-sufficiency.					
44. Faith-based organizations.					
45. Procurement issues.					
46. Security issues.					
47. Economic development issues.					
48. Utilities issues.					
49. Information dissemination to citizens.					
50. Mutual assistance between communities.					
51. Meeting NIMS standards.					
52. Public health issues.					
53. Medical issues.					
54. Funding issues.					
55. Equipment issues.					
56. School issues.					
57. Hospital issues.					
58. Other (Please Identify) _____					
59. Other (Please Identify) _____					

	<b>Not Very Important</b>	<b>Somewhat Important</b>	<b>Important</b>	<b>Very Important</b>	<b>Not Applicable To Me or to Regional Disaster Planning</b>
60. Other (Please Identify) _____					
61. Other (Please Identify) _____					
62. Other (Please Identify) _____					

# APPENDIX G

## Regional Planning Questions

### Issue Development for Regional Disaster Planning Exercise

1. List the names, titles, and organizations of the members of your group, along with an email address.

Group \_\_\_\_\_

#### Members

1. Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Organization: \_\_\_\_\_  
Email address: \_\_\_\_\_
2. Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Organization: \_\_\_\_\_  
Email address: \_\_\_\_\_
3. Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Organization: \_\_\_\_\_  
Email address: \_\_\_\_\_
4. Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Organization: \_\_\_\_\_  
Email address: \_\_\_\_\_
5. Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Organization: \_\_\_\_\_  
Email address: \_\_\_\_\_
6. Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Organization: \_\_\_\_\_  
Email address: \_\_\_\_\_

7. Name: \_\_\_\_\_  
 Title: \_\_\_\_\_  
 Organization: \_\_\_\_\_  
 Email address: \_\_\_\_\_
8. Name: \_\_\_\_\_  
 Title: \_\_\_\_\_  
 Organization: \_\_\_\_\_  
 Email address: \_\_\_\_\_

2. Create a bulleted list of responses to the following discussion questions using the legal pad provided to document your responses. Please indicate each part of the question your group is answering as you document your response. These questions are all multiple part questions. Your group should respond to each of the questions, A-G. Each group member is asked to contribute to the responses for each question because we want to incorporate all perspectives into the discussion.

Your group will be leading the discussion on the question that corresponds to your group identification letter. For example, Group B will be leading the discussion on question B. Please copy the key points to that question on the large wall Post-It paper provided to you for your group presentation. Your group will present the key points and ask for input from the rest of the participants in the workshop. The overview/discussion presentation is scheduled for 15 minutes per group.

NOTE: Be sure to label each of your question response sheets in the legal pad and on the large wall Post-IT paper with the question letter and your group label: For example: Question A, Group B.

**Discussion Questions:**

- A. Discuss the importance of regional disaster planning. Why is a regional approach necessary for the types of disasters your region may face? Why is regional disaster planning important from YOUR perspective?
- B. Create a list of potential natural and man-made disasters that could impact this region. From your perspective, which of these types of disasters pose the largest need for a regional disaster plan? Why?

- C. Based on your knowledge, discuss current regional disaster planning efforts in your region that are in place or that are being created. Do you perceive these current regional efforts to be sufficient for the scope of any type of regional disaster or do you believe that additional regional planning efforts need to take place? If yes, what additional efforts can you identify and why are they needed?
- D. Identify current obstacles to regional disaster planning in your region and any obstacles that you can anticipate for the future. What suggestions do you have for overcoming those obstacles to enhance regional disaster planning?
- E. Discuss the importance of local, regional, state, and federal collaborations in regional disaster planning. Which collaborations are currently in place and which collaborations need to be in place for any type of regional disaster? What are the purposes of these collaborations?
- F. Discuss the status of NIMS compliance within the region, not just in Charlotte-Mecklenburg. Is NIMS compliance an issue for communities within the region and do they need assistance with the process? If yes, will regional disaster planning help these smaller communities with NIMS compliance, especially with understanding what is required?
- G. Identify the roles, agencies, organizations, or people that need to be involved in regional disaster planning, including those people or professions not in attendance today at this workshop. Identify the major issues that should be highlighted in the next workshop of this project and also for the final workshop to be held in February.